Lesson 4

Whether you are filing to one state or multiple states, SERFF's Filing Wizard makes the process quick and easy. Speed-to-Market Tools such as the NAIC Product Coding Matrices and Uniform Transmittal Documents are built into the system. Instance and user preferences and other ease of use features make creating and submitting a SERFF filing simple. A single, efficient system means less time creating and submitting your filing, which translates into increased productivity. This lesson covers the basics of preparing a SERFF filing.

This lesson covers the following topics:

- Create a Filing
- Create a Single/Multi State Filing
- P&C Filing at a Glance
- LAH Filing at a Glance
- Attaching Files for Schedule Items
- Bypass/Satisfy
- Templates
- Requesting Confidentiality

Create a Filing

SERFF allows insurers to submit new products, in addition to revisions to their rates and forms, to State Insurance Departments. The Filing Wizard guides the user through the preparation and submission of their electronic filing, making the filing process simple.

Click on the 

link under the Filings tab to begin using the Filing Wizard.

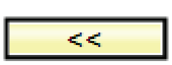
Definition of Filing Wizard Buttons:

Moves all companies to the right column. (Step 7 of the Filing Wizard.)

Moves all authors or states to the right column. (Step 1 and 2 of the Filing Wizard.)

Moves selected authors, states, or companies to the right column. (Step 1, 2, or 7 of the Filing Wizard.)

Removes selected authors, states, or companies from the right column. (Step 1, 2, or 7 of the Filing Wizard.



Remove all authors or states from the right column. (Step 1 and 2 of the Filing Wizard.)

Remove All	Removes all companies from the right column. (Step 7 of the Filing Wizard.)
Add or Remove States	This button allows you to return to Step 2 from Steps 3, 4, or 5 of the Filing Wizard. It allows the user to change the state(s) that he/she wants to file to.
Previous	Go back a step in the Filing Wizard.
Next	Advance to the next step in the Filing Wizard.
Save and Close	This button will save the filing under the 'My Draft Filings' link and close the view. The user may then access the filing from the 'My Draft Filings' link under the Filings tab.
Save and Continue	This button is available at Step 6 of the Filing Wizard. This button will allow the author to save the filing. Once this button is clicked changes to the prior Filing Wizard values cannot be changed.
Save	Saves data entered thus far.
Cancel	Cancels the Filing Wizard process.
Reset	Step 8 of the Filing Wizard.
	Step 8 of the Filing Wizard

Step 8 of the Filing Wizard.

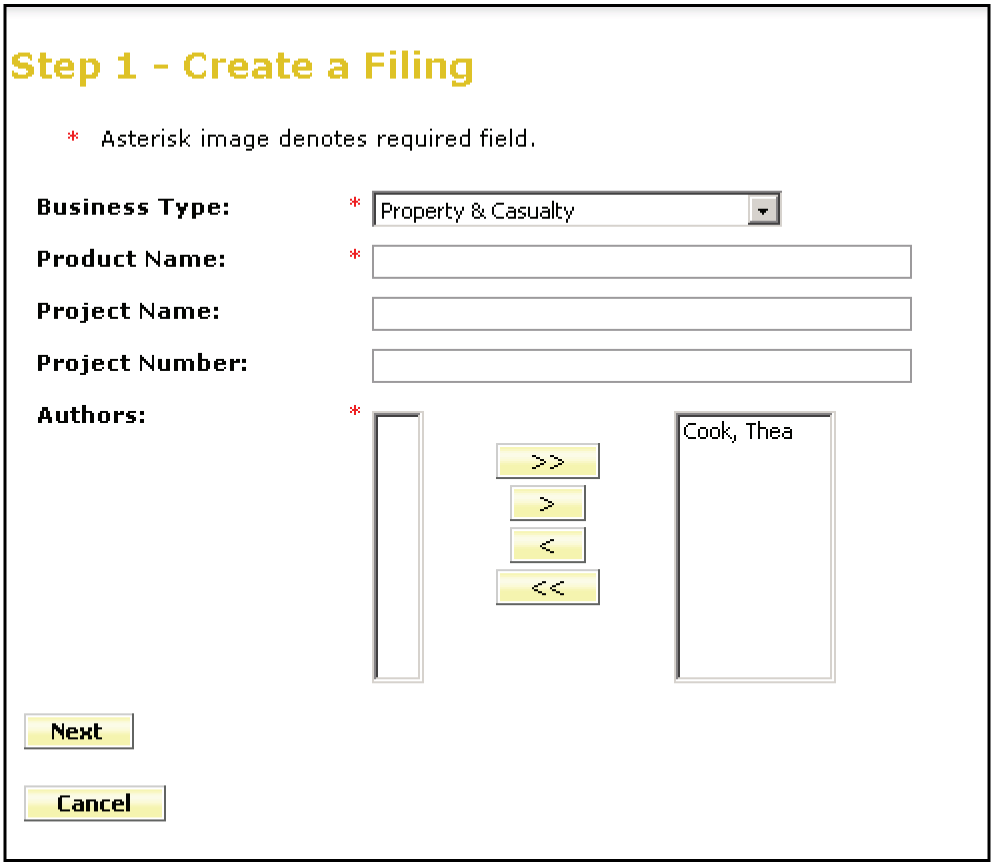
Create a Single/Multi State Filing

Step 1- Create a Filing

The first step in the Filing Wizard is to accurately complete the following fields.

- **Business Type**: In accordance with the NAIC Speed to Market tools, there are two Business Types: Property & Casualty, and Life, Accident/Health, Annuity, Credit. The Business Type can be predefined in the 'User Preferences' area of SERFF. Once set in 'User Preferences', this field will default to the defined Business Type without the user selecting it on each filing. The Author has the ability to change Business Types as some Authors cross business areas and types.
- **Product Name**: The Author enters the name of the product that they are submitting. This is a required field on the filing.
- **Project Name**: The Author may enter a project name for this filing. This is not a required field.
- **Project Number**: The Author may enter a project number. This is not a required field.
- **Other Authors**: The Creator or Author of the filing may assign Other Authors to a filing(s). Once given permission as an Other Author, full access to the filing is granted.

☞ The Creator or Author can remove themselves as an author if needed. This would prevent the Creator from getting unwanted messages about filings to which they are no longer responsible. However, the Creator or Author must select an additional author before they will be able to progress to Step 2 of the Filing Wizard.



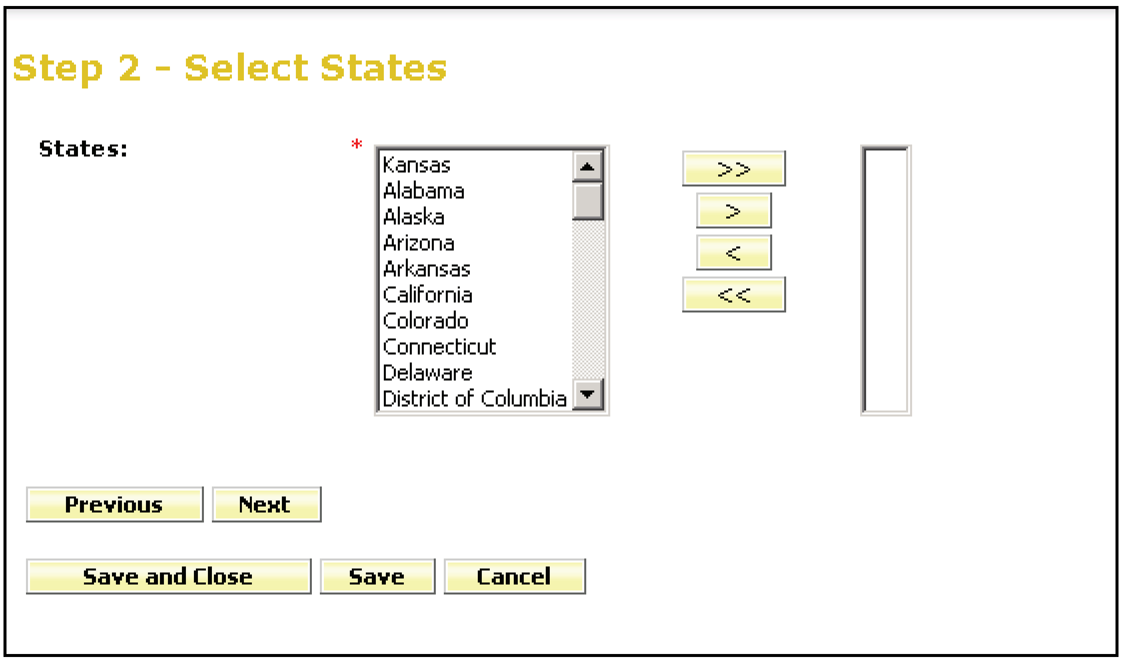
Step 1 – Create a Filing

1. Click on the ‘Business Type’ drop down box and select appropriate ‘Business Type’ for filing. If the setting has been pre-determined in the users’ ‘User Preferences’, this field will be automatically populated, but can be changed if needed.
2. Enter Product Name for Filing.
3. Enter Project Name for Filing.
4. Enter Project Number for Filing.
5. Assign Other Authors if needed. Other Authors can also be added later in the process. Highlight the name of the Other Author and click on the > button.
6. Click on the Next button to advance to Step 2.

☞ If the Author clicks on the Cancel button all information completed at Step 1 will be lost.

Step 2-Select States

The **Select States** step allows the Author to choose a single state or multiple states for which the contact is authorized to file. Hold down the **Ctrl** or **Shift** key to select multiple states from the list.



Step 2 – Select States

1. Select the state(s) for the filing.
2. Click the **Next** button to continue to advance to Step 3.
3. Click the **Previous** button to change data entered on Step 1.
4. Click the **Save and Close** button to save changes and continue to work on your filing later. This places the filing "In Process Filing Constructors".
5. Click the **Cancel** button to cancel the filing entirely.

The "**In Process Filing Constructors**," found by clicking the My Draft Filings link**,** is where all filings are stored if the Author has not completed all of the Filing Wizard Steps. When the Author is ready to resume the draft filing, simply click on the filing and the filing will open to the last updated step in the Filing Wizard.

Step 3- Select Types of Insurance

Step 3 of the Filing Wizard exhibits improvements made by states to promote uniformity as well as automation that results in speedy filing creation for industry users. SERFF has incorporated the NAIC Uniform Product Coding Matrices, a key Speed to Market and uniformity tool, into the Wizard Type of Insurance Selector.

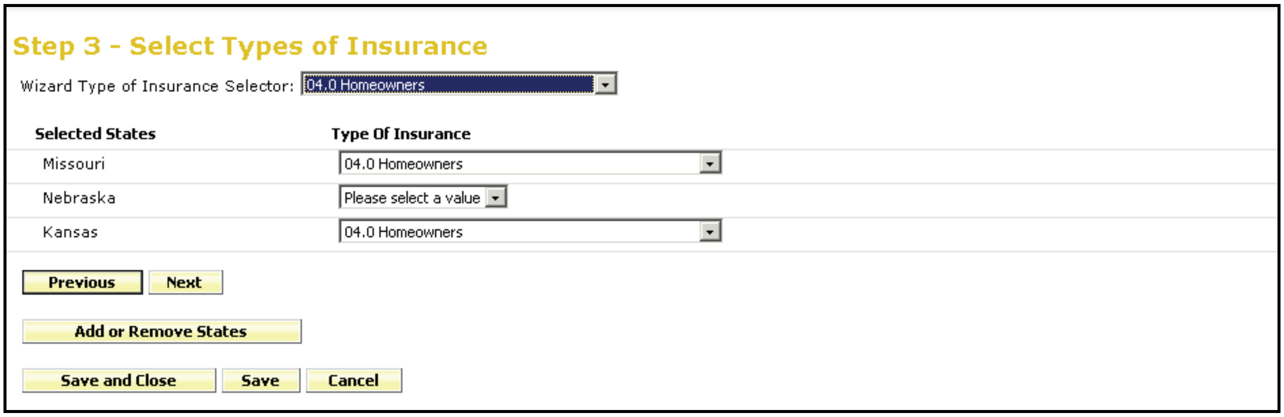
☞ The Wizard Type of Insurance Selector will only display on multi-state filings. The Author can select from the "Wizard Type of Insurance Selector" or select from the TOI drop down next to each state.

Wizard Type of Insurance Selector: The Author selects the Type of Insurance from the Wizard Type of Insurance Selector drop down. For those states that have implemented the Product Coding Matrix and accept the Type of Insurance (TOI) specified, the information will auto populate for each state selected.

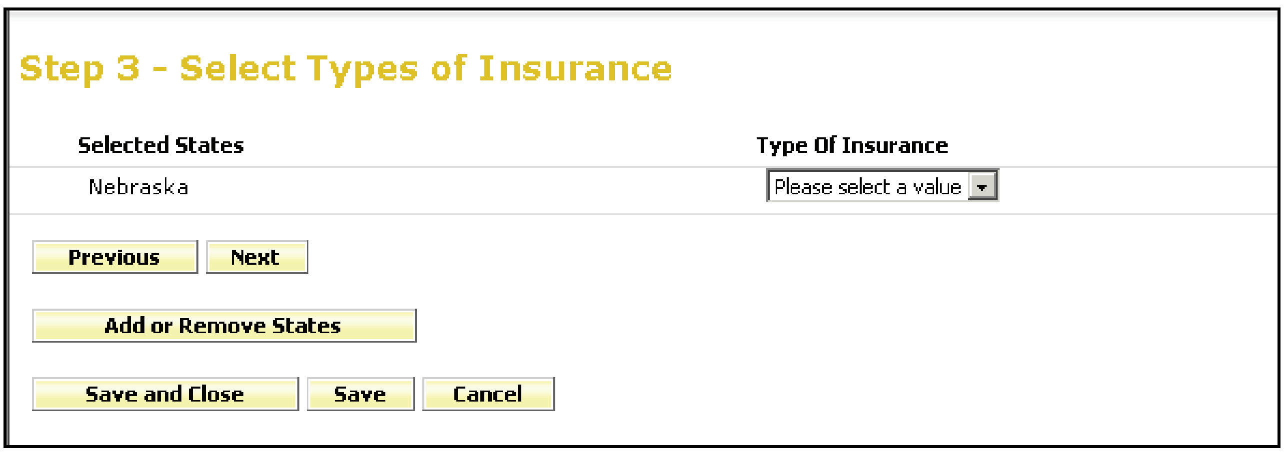
☞ For the states that haven't implemented the Product Coding Matrix, the Author will have to click on the drop down arrow next to the TOI for each state.

Click the Add State or Remove states button to change the states included in the filing.

Multi-State Filing



Single State Filing – The Wizard Type of Insurance Selector does not display in a single state filing.

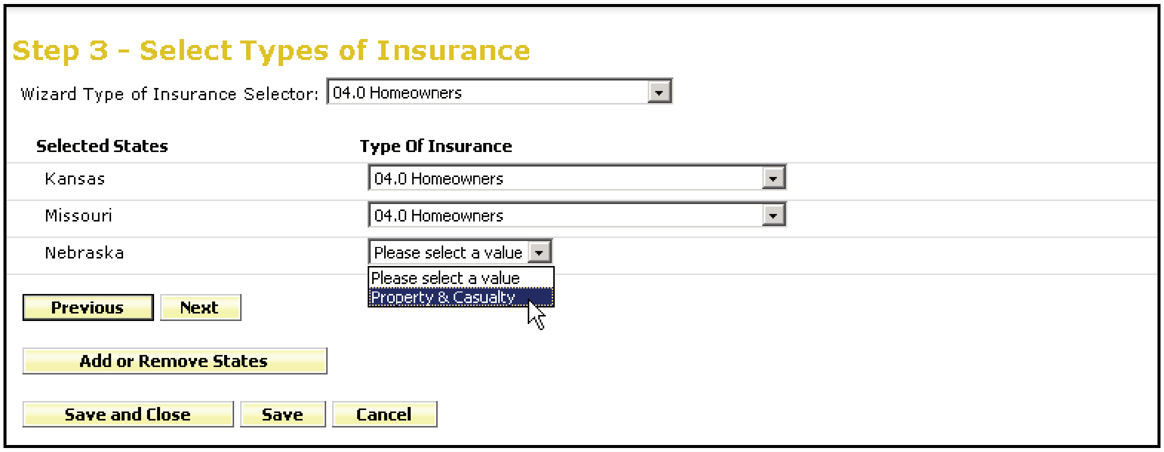


☞ **Step 3 – Select Types of Insurance**

1. Click on the drop down arrow next to the "**Wizard Type of Insurance Selector"** or to the right of the selected state.
2. Select the appropriate TOI.
3. If there is not an exact match for the Type of Insurance, when using the Wizard Type of Insurance Selector, click the drop down next to each applicable state and select the appropriate TOI.

☞ In the example below, notice that Nebraska does not accept the TOI specified.

The Author would then be required to select a TOI from the offerings presented in the TOI drop down list specific to Nebraska.



☞ A state can be added or removed at this point by clicking the

button.

4. Click on the 

button to advance to Step 4.

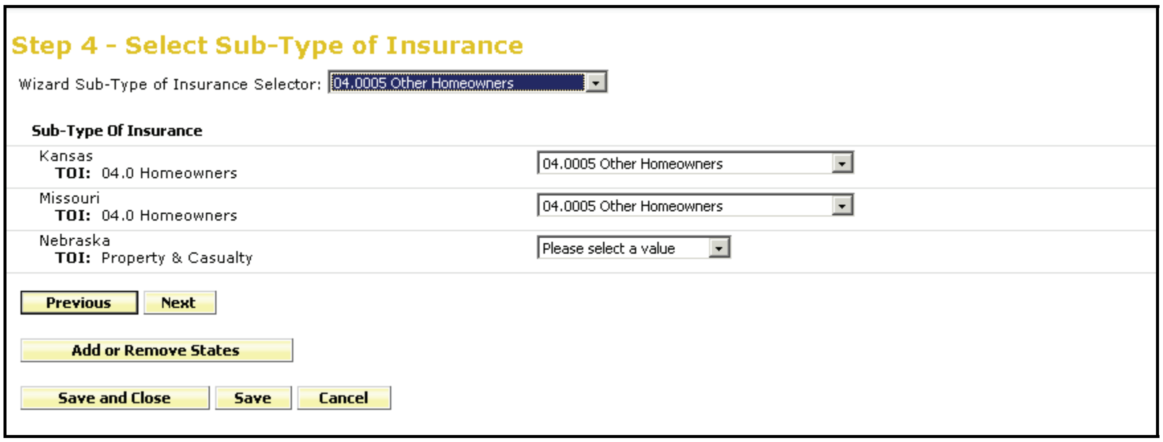
Step 4 – Select Sub-Type of Insurance

Select the Sub-Type of Insurance. The Sub-TOI drop down arrow will list those Sub-Types that are available based off of the TOI selected in the previous step.

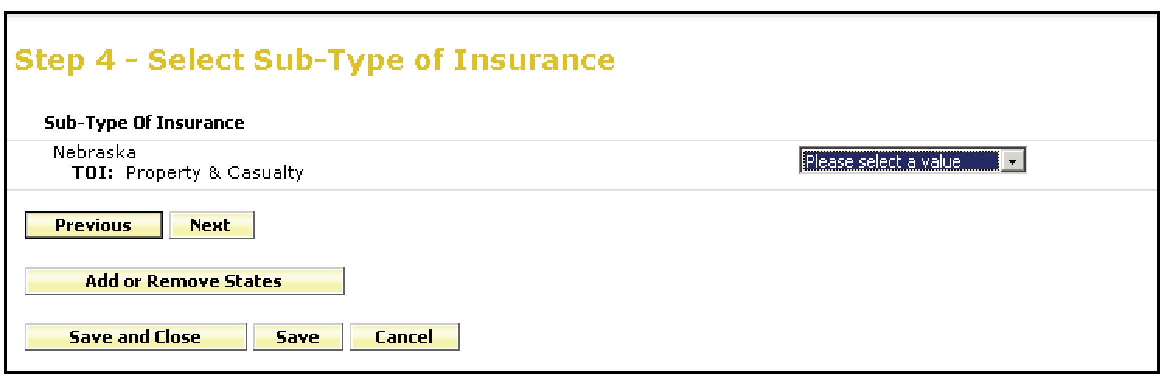
Wizard Sub-Type of Insurance Selector: The Author selects the Sub-Type of Insurance from the Filing Wizard Sub-Type of Insurance Selector drop down. For those states that have implemented the Product Coding Matrix and accept the Sub-Type of Insurance (Sub-TOI) specified, the information will auto populate for each state selected.

For the states that haven't implemented the Product Coding Matrix, the Author will have to click on the drop down arrow next to the Sub-TOI field to select the Sub-TOI for that state.

Multi-State Filing



Single State Filing – The Wizard Sub-Type of Insurance Selector does not display in a single state filing.

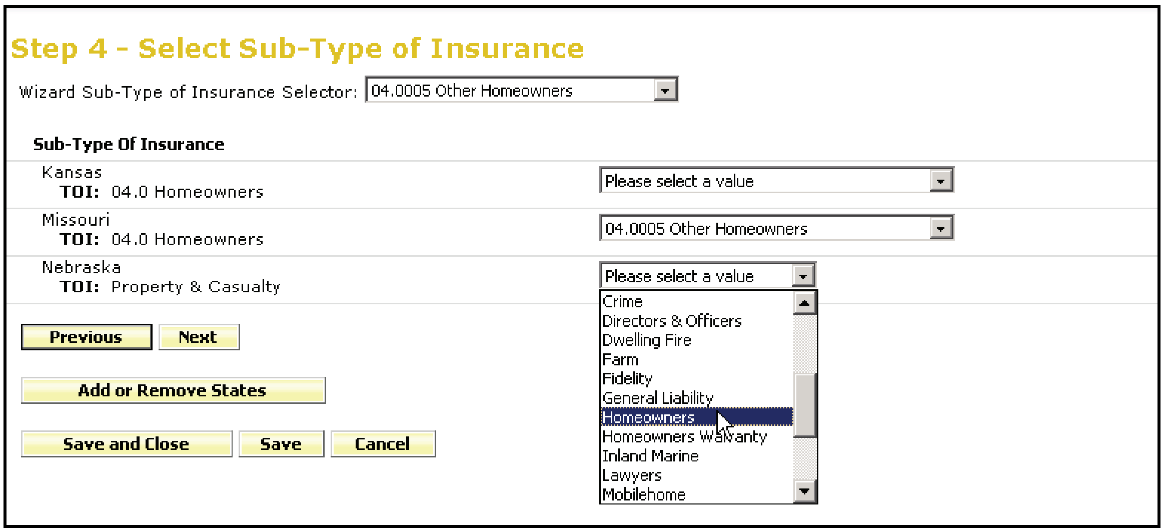


Step 4 – Select Sub-Type of Insurance

1. Select the Sub-TOI by using the Wizard Sub-Type of Insurance Selector or by individual state.

2. If there is not an exact match for the Sub-Type of Insurance, when using the Wizard Sub-Type of Insurance Selector, click the drop down next to each applicable state and select the appropriate Sub-TOI.

☞ In the example below, notice that Nebraska does not accept the Sub-TOI specified. The Author would then be required to select a Sub-TOI from the offerings presented in the Sub-TOI drop list specific to Nebraska.



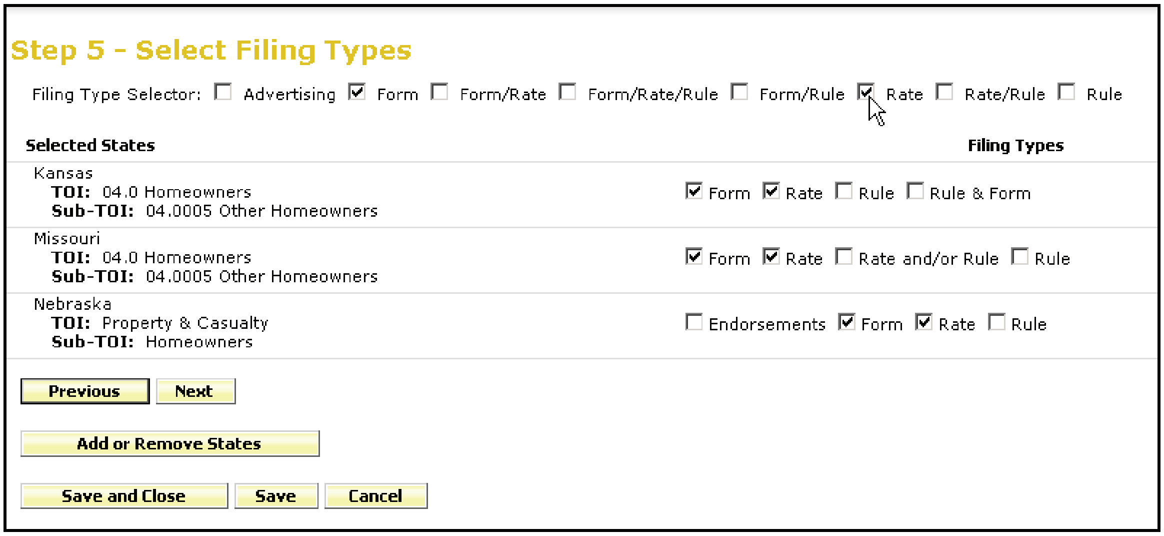
3. Click on the 

button to advance to Step 5.

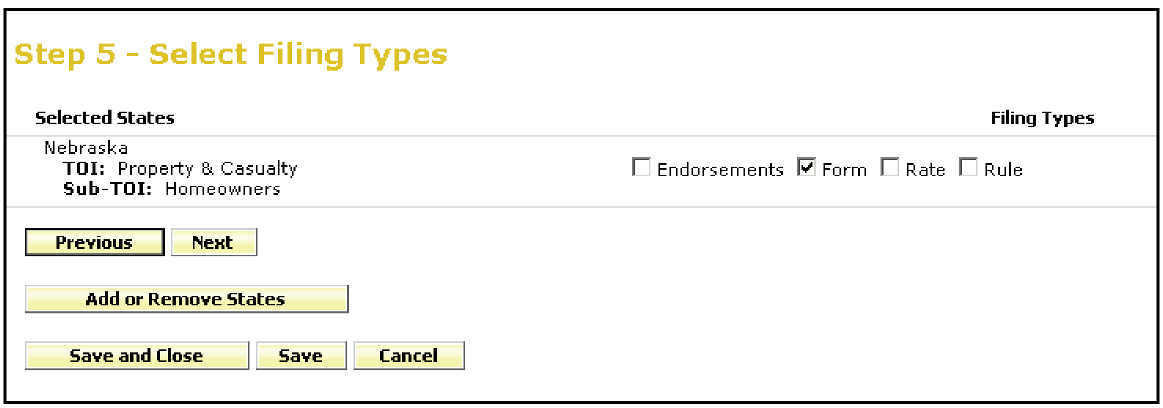
Step 5 – Select Filing Types

Filing Type Selector: The Filing Type Selector uses a standard naming convention for the most commonly used filing types in SERFF. When Filing Types are selected using the Filing Type Selector, Filing Types will auto-populate for those states that have implemented the standard naming convention. The Filing Types listed next to each state contain all of the Filing Types that have been setup by the state and are based on the TOI and Sub-TOI selected.

Multi-State Filing



Single State Filing – The Wizard Type of Insurance Selector does not display in a single state filing.



Step 5 – Select Filing Types

1. Using the Filing Type Selector, place a checkmark next to the Filing Type(s) applicable to the filing. Wherever there is an exact match, the Filing Type for the state will auto-populate. If there are no Filing Type matches, select the appropriate Filing Type for each state.
2. Click on the **Next** button to advance to Step 6.

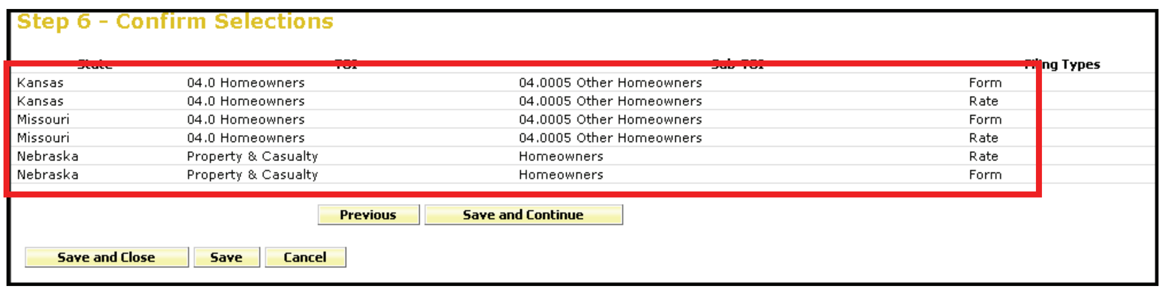
TIME SAVER

Selecting more than one Filing Type will create **unique** filings for each type selected. In the example above we have selected “Form” and “Rate”. In Step 6 there will be six filings displayed for the three states.

Step 6 – Confirm Selections

Step 6 displays a summary of the filing for review and confirmation of all the data entered in previous steps. Click on the **Previous** button to make changes to the filing, prior to saving. Once the **Save and Continue** button is clicked, changes to the prior Filing Wizard values cannot be changed.

Step 6 – Confirm Selections


Step 6 - Confirm Selections

State	TOI	Sub-TOI	Filing Types
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Form
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Rate
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Form
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Rate
Nebraska	Property & Casualty	Homeowners	Rate
Nebraska	Property & Casualty	Homeowners	Form

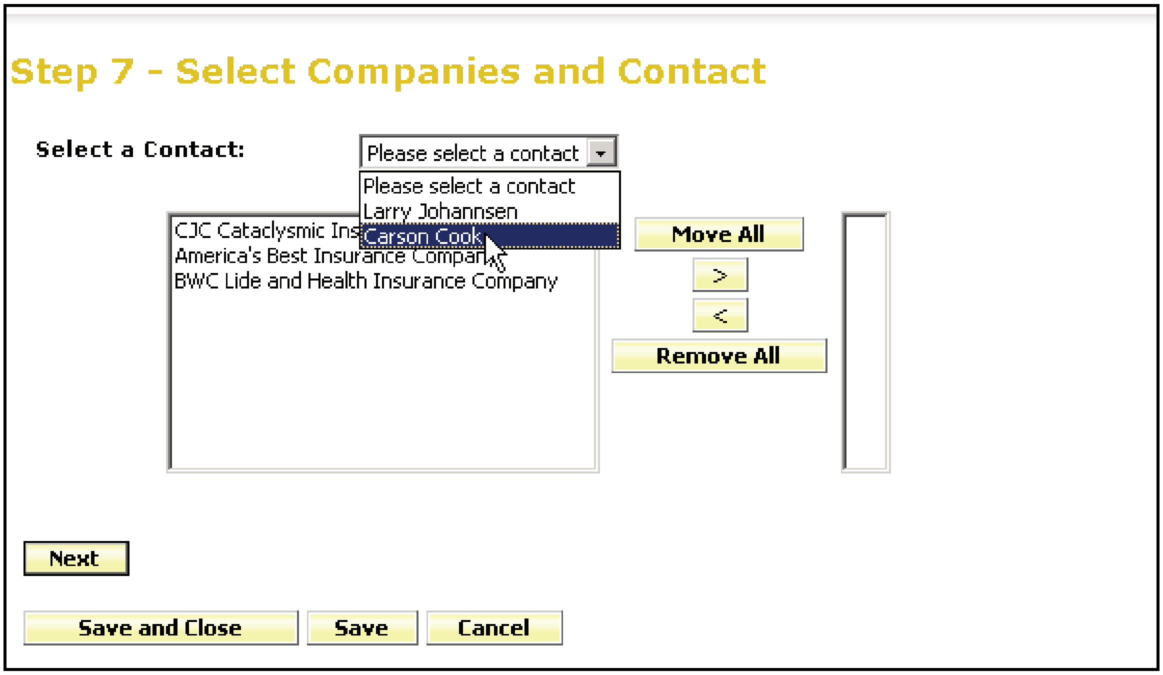
Previous Save and Continue

Save and Close Save Cancel

1. Click on the **Save and Continue** button to advance to Step 7.

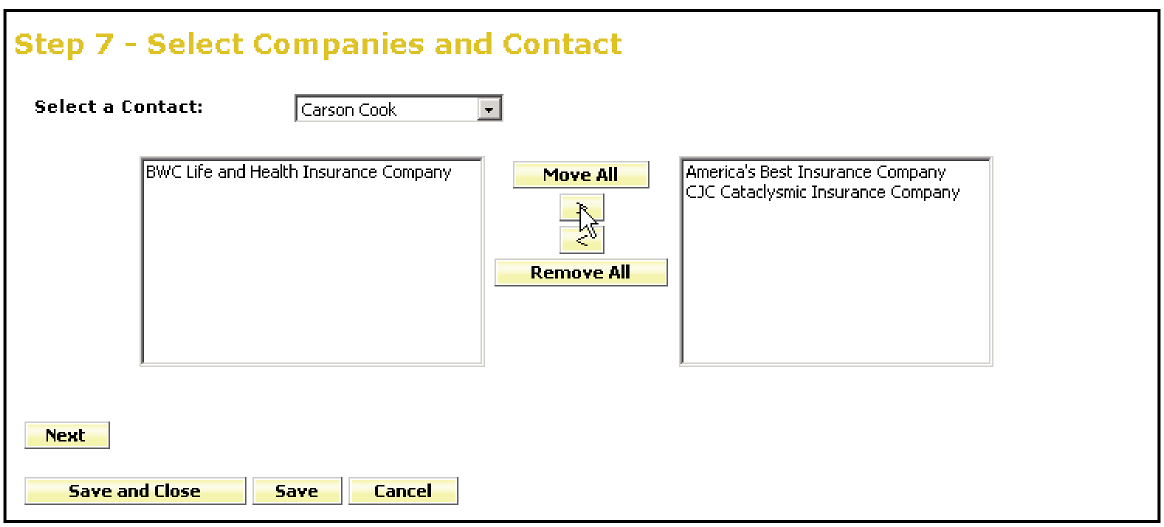
Step 7 – Select Companies and Contact

The Author selects the contact and company or companies for the filing. All contacts and companies need to be created in both the Companies and Contacts views (Settings) prior to completing the Filing Wizard. The Industry Configuration Manager is responsible for adding contacts and companies. Refer to Lesson 2 for instructions.



Step 7 – Select Companies

1. Select the contact from the drop down list.

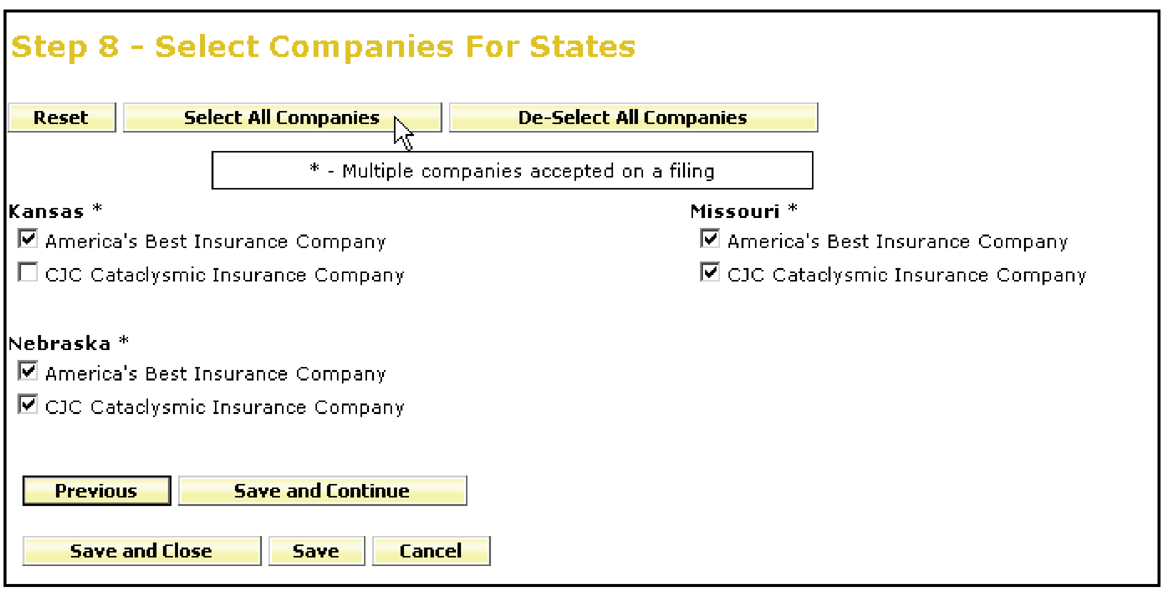


2. Select the company or companies and click on the > or Move All button. Multiple companies can be added at one time holding down the Ctrl or Alt buttons on your keyboard.
3. Click Next to advance to Step 8.

Step 8 – Selection Companies

When multiple states are selected in the filing, the Author will select the companies for each state. Clicking on the **Select All Companies** button places a check(s) next to each company. Clicking on the **De-Select All Companies** button will remove the check(s).

☞ Based on a state setting, states can pre-determine if multiple companies are allowed on a single filing. If the state has established this functionality and multiple companies are allowed, company fields will auto populate if the company's profile reflects that it is licensed in that state. If multiple companies are not allowed by the state, SERFF will break out the filing **automatically** for the industry.



Step 8 – Select Companies for States

1. Click on the Next button to advance to Step 9.

Step 9 – Default Filing Data

In Step 9 of the Filing Wizard, the Author has the opportunity to enter the required Filing Description. This is intended to replace a state's Cover Letter requirement, but a Cover Letter may still be required – please check each state's individual requirements. In addition, the Author may enter data for certain fields on the filing. These fields will vary by Business Type and can be modified later. This is the point in the creation of a filing where users begin to see differences between PC and LAH.

- **Filing Description:** This area can be used in lieu of a Cover Letter or Filing Memorandum and is free-form text. This is a required field.
- **Company Tracking Number:** This field allows the user to enter a company tracking number. This can be very useful for companies that are creating multi-state filings that share a Company Tracking Number. This is not a required field.
- **Submission Type (LAH only):** Select New or Resubmission. If Resubmission, provide the state tracking number for the prior Submission if it was provided by the state. If no state tracking number is available, and the prior filing was made in SERFF, provide the prior filing's SERFF Tracking Number. If neither is available, leave this blank.
- **Implementation Date Requested (LAH only):** The date the industry would like to have the product available to sell.
- **Lead Form Number (LAH only):** Lead Form Number of the policy, rider, endorsement, etc.
- **Overall Rate Impact (LAH only):** This is the statewide average percentage change to the Accepted rates for the coverage's included for each company.
- **Market Type (LAH only):** An identification of the targeted group or individuals. If Group is selected *(see below),* fields for Group Market Size and Group Market Type are presented.

- **Effective Date Requested (New or Renewal – P&C only):** This is the effective date the company is requesting their product be available to sell. It is not necessarily the date the filing officially becomes effective. The State Insurance Department will determine the definitive effective date. This is also where the company can indicate the different effective dates for new or renewal business. (P&C only).
- **Add Rate Data? (P&C only):** Filers can indicate whether they will provide information relevant to rates with this submission. This setting can be overridden on individual filings.
- **Status of Filing in Domicile:** This field is used to indicate the status of a product filing in a company's domiciliary state. This is not a required field.
- **Date Approved in Domicile (LAH only):** Date contract or other filing or form filing was approved in state of domicile.
- **Domicile Status Comments:** This is a free-form text field in which companies can supplement Domicile Status information. For example, if a form is pending in a company's domiciliary state.
- **Reference Organization (if applicable – P&C only):** The name of the advisory organization—i.e. ISO, NCCI, AAIS, etc. or an Insurance Company name if a "me too filing" is permitted. Some states allow companies to reference another company's filing. A "me too" filing is when one company adopts another company's filing. Usually, they are not part of the same group. *You should check with each state to determine their rules on these filings.* If permitted, use this area to indicate either an advisory organization name or "me too" company name.

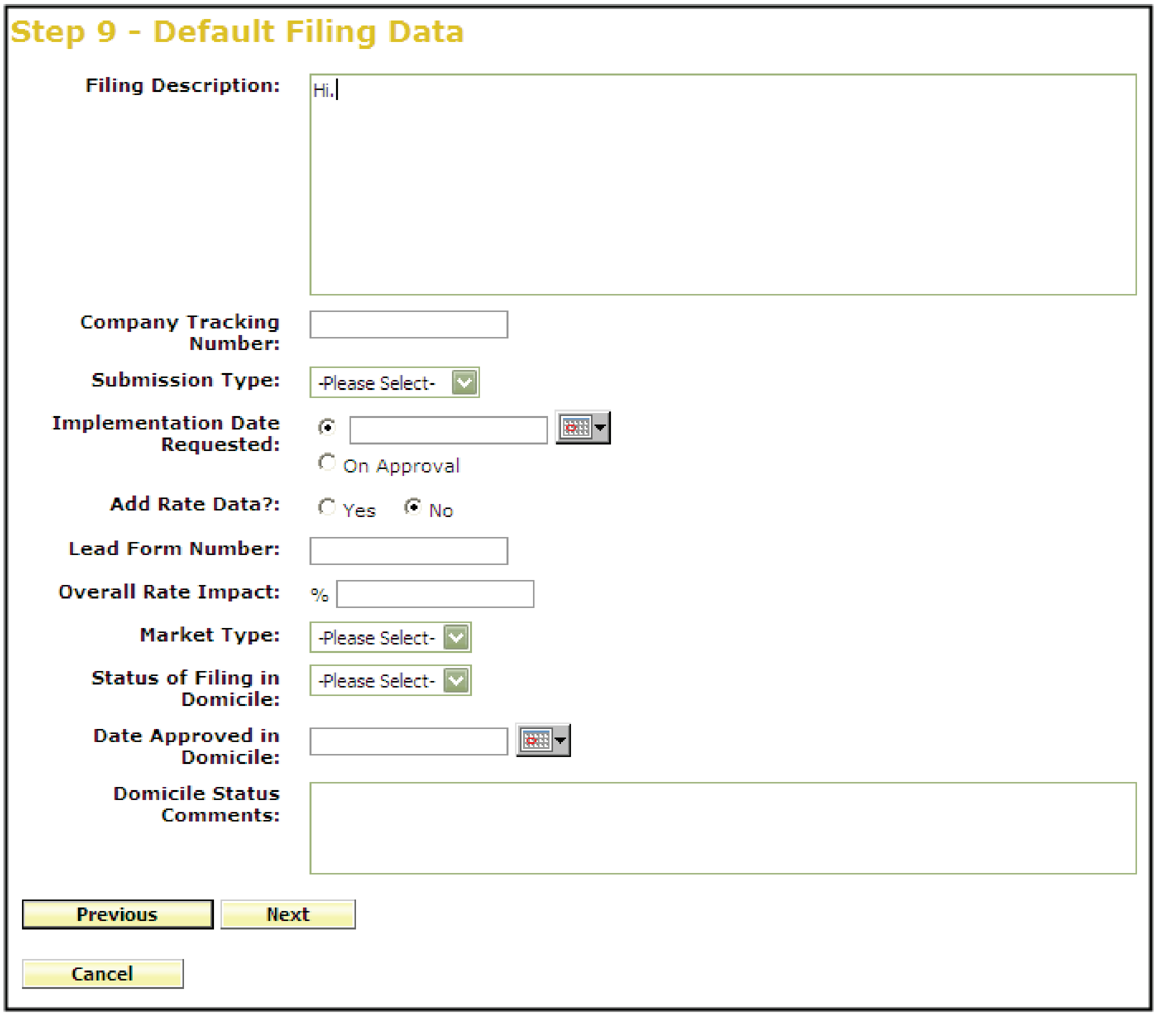
  Reference Organization Number & Title (if applicable – P&C only): This is the unique number that the reference organization gives to the filing. It is generally not the same number as the circular number.

  Advisory Org Circular (P&C only): This is a unique number that references the circular number.

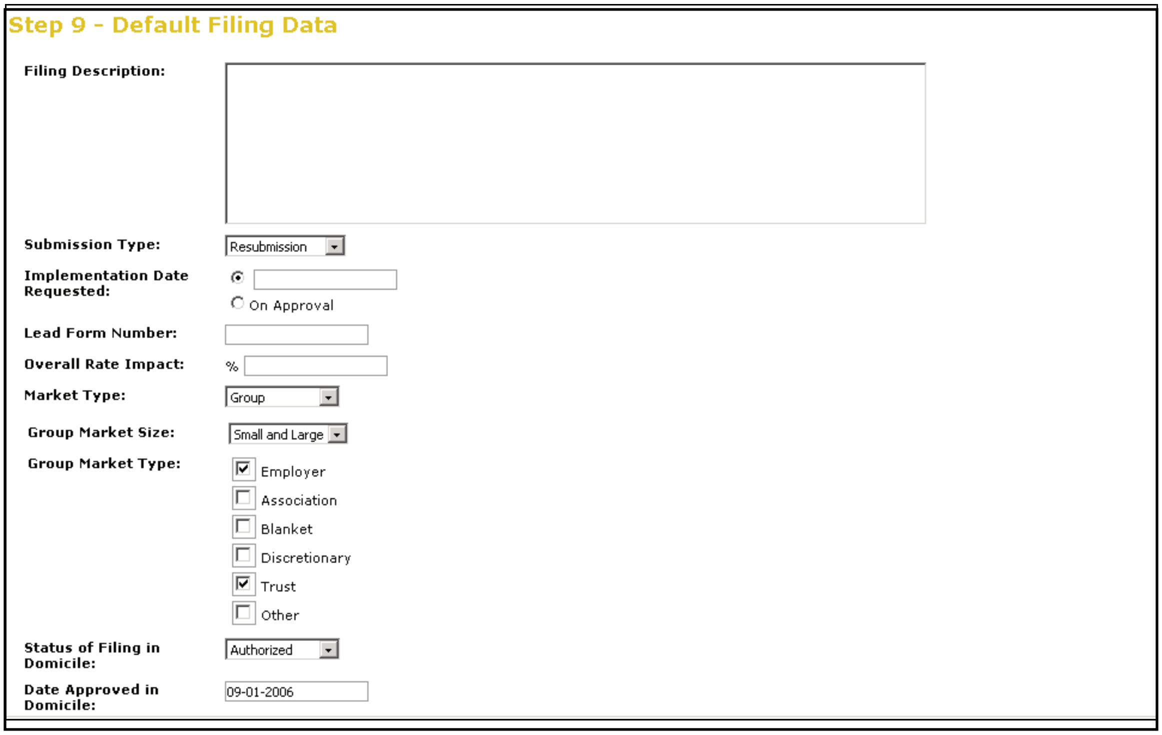
Step 9 – Default Filing Data

1. Complete the Filing data page.

PC Filing



LAH Filing

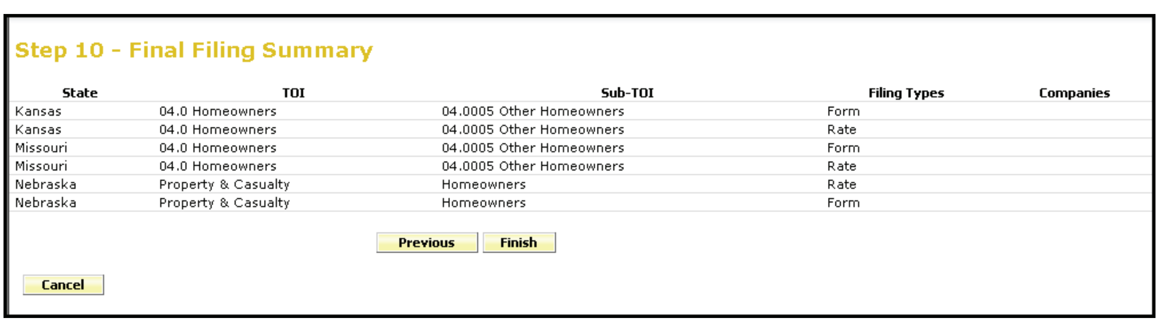


☞ The Filing Description field is the only field required on Step 9.

2. Click on the **Next** button to advance to Step 10.

Step 10 – Final Filing Summary

The final step in the Filing Wizard, Step 10 represents a summary of the filing(s) for review and confirmation by the Author. By clicking the **Previous** button, the Author is able to navigate back to Step 7 of the Filing Wizard if changes are necessary.



Step 10 - Final Filing Summary

State	TOI	Sub-TOI	Filing Types	Companies
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Form	
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Rate	
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Form	
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Rate	
Nebraska	Property & Casualty	Homeowners	Rate	
Nebraska	Property & Casualty	Homeowners	Form	

Previous Finish

Cancel

Step 10 – Final Filing Summary

1. Click the **Finish** button to complete the Filing Wizard process. The completed filing(s) is available from the My Draft Filings link. *(see below)*

At this point you have selected your state(s), TOI, Sub-TOI, Filing Types and added the companies and contact(s). Your filing container has been created. The next step is to add the state required documentation to each filing and submit to the state(s).

Filings | Billing | Settings | Filing Rules | Reports | Templates

My Workfolder | My Open Filings | My Draft Filings | Messages | Search/Export | Create Filing | Create Paper Filing | EFT Report

Draft Filings for Product: Homeowners

State	TOI	Sub-TOI	Filing Types	Companies
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Form	American Bankers Geico
Kansas	04.0 Homeowners	04.0005 Other Homeowners	Rate	American Bankers Geico
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Form	American Bankers Geico
Missouri	04.0 Homeowners	04.0005 Other Homeowners	Rate	American Bankers Geico
Nebraska	Property & Casualty	Homeowners	Rate	American Bankers Geico
Nebraska	Property & Casualty	Homeowners	Form	American Bankers Geico

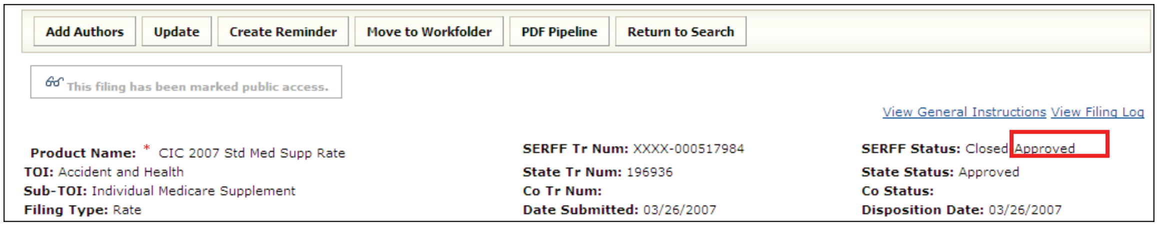
P&C Filing at a Glance

Filing at a Glance contains key information about the filing and is always displayed at the top of the page, regardless of where the Author is working.

The Filing at a Glance contains the following fields:

- **Product Name:** The name of the product being filed to the state.
- **SERFF Tracking (Tr) Num:** This number is defined by SERFF.
- **SERFF Status:** This value is assigned by the SERFF application and automatically updates as activity occurs on a filing. This field has three main purposes: (1) Give state and industry a common measure as to where the filing is in the process, (2) give the SERFF application a mechanism to control activities that can take place on a filing, and (3) allow for the reporting of metrics information.
    - **Draft:** Filing has been assigned a tracking number but has not been completed and submitted to the state.
    - **Submitted:** Author has submitted the filing to the state and the filing has passed all applicable validations. State can now access the filing.
    - **Assigned:** State has assigned the filing to one or more reviewers, but no additional action has been taken.
    - **Pending Industry Response:** There are one or more open Objection Letters on the filing that need a response from industry.
    - **Pending State Action:** One or more Objection Letters have been responded to by industry. Filing is still open.
    - **Closed:** The state has created a Disposition Report indicating the final action of the filing. The asterisk indicates that the state Disposition Status (i.e., Approved, Acknowledged, and Disapproved) will be appended to the SERFF status.

☞ Directly behind the SERFF Status there is a dash and then the Disposition Status will be listed. This status will only be shown on a closed filing. See example below:



- **TOI:** Type of Insurance.
- **SUB - TOI:** Sub-Type of insurance.
- **State Tracking (Tr) Num:** The state will enter their tracking number, if applicable.
- **State Status**: The state will select a State Status, if applicable.
- **Tracking Number (Co Tr Num):** The company will enter their tracking number for this filing.
- **Company Status (CO Status):** The Company will select a Company Status, if applicable.
- **Filing Type:** Defined in the Filing Wizard during the preparation on the filing.
- **Date Submitted:** The date the filing is submitted to the state.
- **Disposition Date:** The date the Disposition Report was submitted to company and final action taken.
- **Effective Date Requested (New or Renewal):** This is the effective date the company is requesting their product be available to sell. It is not necessarily the date the filing officially becomes effective. The State Insurance Department will determine the definitive effective date. This is also where the company can indicate the different effective dates for new or renewal business.
- **Authors:** Author(s) of the filing.

LAH Filing at a Glance

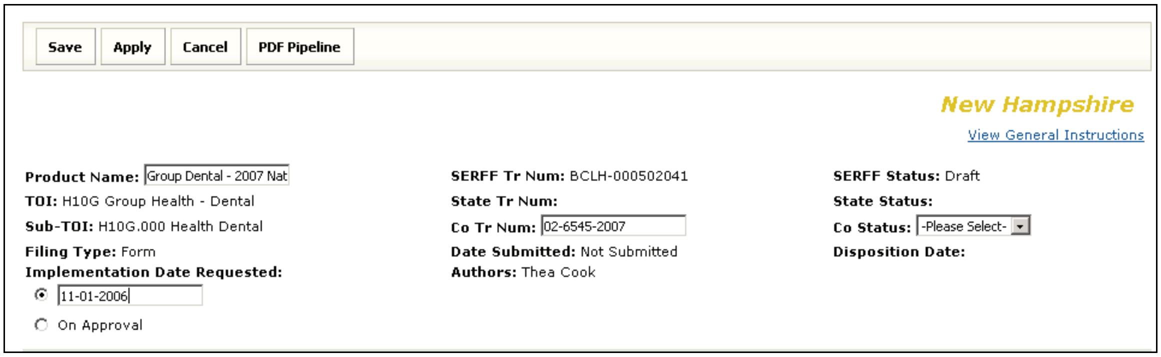
Filing at a Glance contains key information about the filing and is always displayed at the top of the page, regardless of where the Author is working.

The Filing at a Glance contains the following fields:

- **Product Name:** The name of the product being filed to state.
- **SERFF Tracking (Tr) Num:** This is the number defined by SERFF

- **SERFF Status:** This value is assigned by the SERFF application and automatically updates as activities happen on a filing. This field has three main purposes: (1) Give state and industry a common measure as to where the filing is in the process, (2) give the SERFF application a mechanism to control activities that can take place on a filing, and (3) allow for the reporting of metrics information.
  - **Draft:** Filing has been assigned a tracking number but has not been completed and submitted to the state.
  - **Submitted:** Author has submitted the filing to the state and the filing has passed all applicable validations. State can now access the filing.
  - **Assigned:** State has assigned the filing to one or more reviewers, but no additional action has been taken.
  - **Pending Industry Response:** There are one or more open Objection Letters on the filing that need a response from industry.
  - **Pending State Action:** One or more Objection Letters have been responded to by industry. Filing is still open.
  - **Closed:** The state has created a Disposition Report indicating the final action of the filing. The asterisk indicates that the state Disposition Status (i.e., Approved, Acknowledged, and Disapproved) will be appended to the SERFF status.)
- **TOI:** Type of Insurance.
- **Sub - TOI:** Sub-Type of insurance.
- **State Tracking (Tr) Num:** The state will enter their tracking number, if applicable.
- **State Status**: The state will enter a State Status, if applicable.
- **Tracking Number (Co Tr Num):** The company will enter their tracking number for this filing.
- **Company Status (CO Status):** The Company enters their status of the filing.
- **Filing Type:** Defined in the Filing Wizard during the preparation on the filing.
- **Date Submitted:** The date the filing is submitted to the state.
- **Disposition Date:** The date the Disposition Report was submitted to company and final action taken.
- **Implementation Date Requested:** The date the company expects to have the product ready for market.

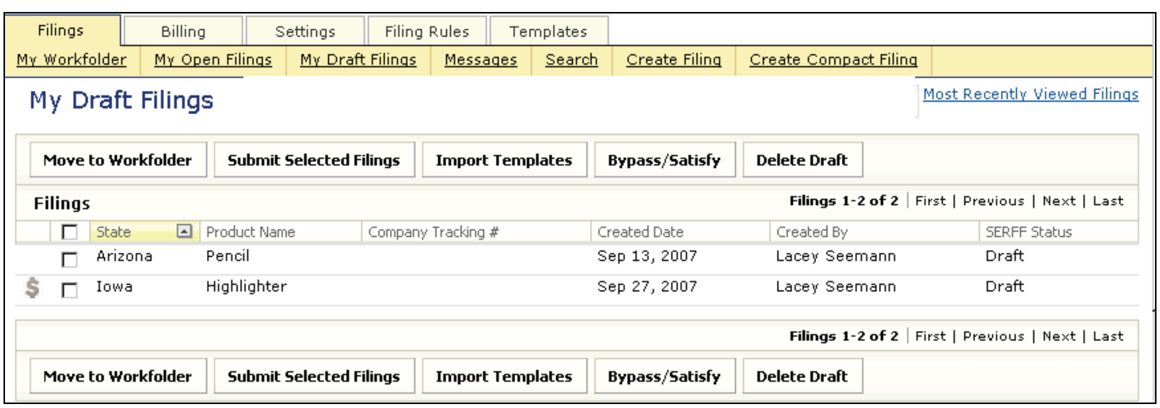
- **Authors:** Author of the filing.
- **View General Instructions link:** Click the View General Instructions link to be brought to the specific state instances General Instructions document.



Draft Filings

After completing the Filing Wizard process, the Filing Wizard automatically generates the number of draft filings to be prepared for submission to the selected states.

Prior to submission, the Author must complete the filing requirements. Placing the cursor over a filing in the Draft view, highlights that filing and the filing can be opened by clicking anywhere on that row.



☞ There is a grey dollar sign next to the Draft Filing for Iowa in the above screen shot. This icon indicates that Iowa is eligible for EFT. Once the EFT section of the Filing Fees tab has been completed and the filing submitted, the dollar sign will turn to green, as shown below:

	☐	Iowa	Apr 10, 2006	H12 Health - Excess/Stop Loss/H12.004 Self-Funded Health Plan	Form-Rate	Closed-Approved	SERT-6MXMDU220/00-00/00-00/00

Opening a Filing from Draft Filings

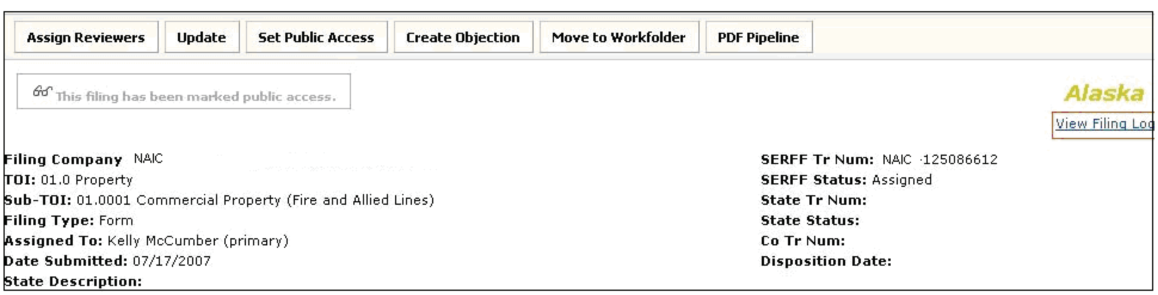
1. To open the filing, click anywhere on the filing.
2. To edit the filing, click on the Edit button.

View Filing Log

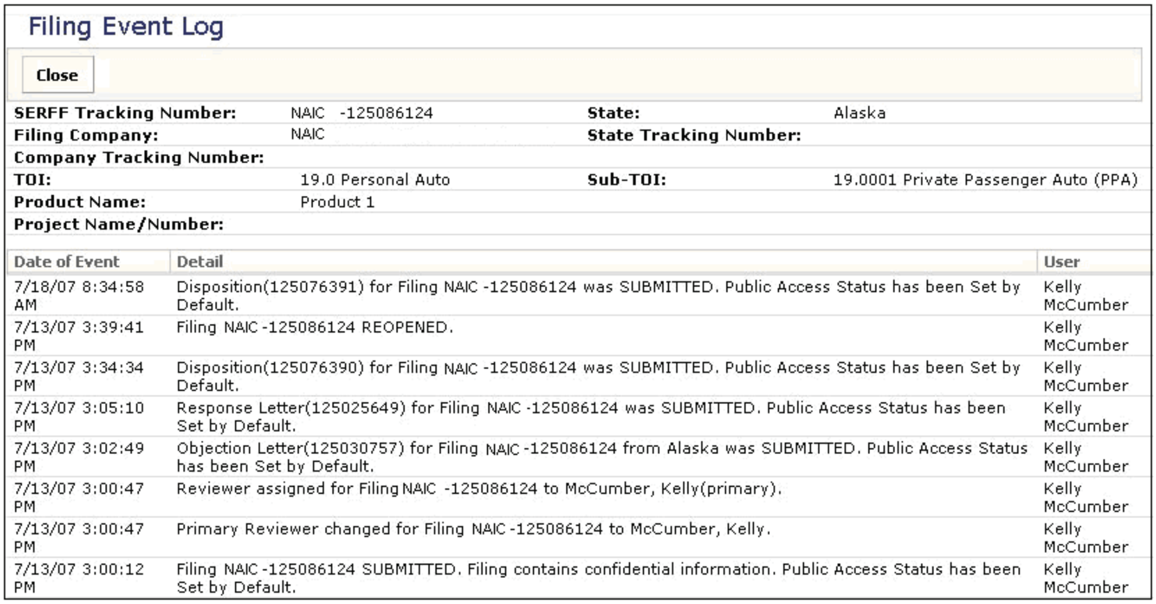
Users have the ability to view activity history on a filing with the View Filing Log feature. The activities displayed are limited to Filing Events and do not include events that occur outside the filing flow. The View Filing Log feature is particularly helpful if more than one person has worked on a filing or if there was a problem with the filing.

How to Access the View Filing Log

1. When in a filing, View Filing Log will be shown under the state name.



2. Click on View Filing Log.
3. The View Filing Log will appear showing activity on the filing.



Filing Event Log

Close

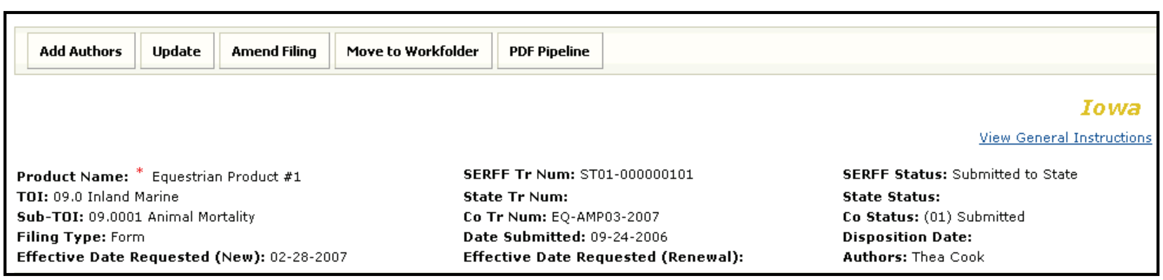
SERFF Tracking Number:	NAIC -125086124	**State:**	Alaska
Filing Company:	NAIC	**State Tracking Number:**	
Company Tracking Number:			
TOI:	19.0 Personal Auto	**Sub-TOI:**	19.0001 Private Passenger Auto (PPA)
Product Name:	Product 1		
Project Name/Number:			

Date of Event	Detail	User
7/18/07 8:34:58 AM	Disposition(125076391) for Filing NAIC -125086124 was SUBMITTED. Public Access Status has been Set by Default.	Kelly McCumber
7/13/07 3:39:41 PM	Filing NAIC -125086124 REOPENED.	Kelly McCumber
7/13/07 3:34:34 PM	Disposition(125076390) for Filing NAIC -125086124 was SUBMITTED. Public Access Status has been Set by Default.	Kelly McCumber
7/13/07 3:05:10 PM	Response Letter(125025649) for Filing NAIC -125086124 was SUBMITTED. Public Access Status has been Set by Default.	Kelly McCumber
7/13/07 3:02:49 PM	Objection Letter(125030757) for Filing NAIC -125086124 from Alaska was SUBMITTED. Public Access Status has been Set by Default.	Kelly McCumber
7/13/07 3:00:47 PM	Reviewer assigned for Filing NAIC -125086124 to McCumber, Kelly(primary).	Kelly McCumber
7/13/07 3:00:47 PM	Primary Reviewer changed for Filing NAIC -125086124 to McCumber, Kelly.	Kelly McCumber
7/13/07 3:00:12 PM	Filing NAIC -125086124 SUBMITTED. Filing contains confidential information. Public Access Status has been Set by Default.	Kelly McCumber

4. When finished, click **Close**. The user will be returned to the filing.

General Information

The General Information tab contains the filing description and is Business Type specific. It is designed to capture both the general information needed for a filing and the specific information requested in the NAIC Uniform Transmittal Document. ***This information is not editable once the filing has been submitted.***



Add Authors | Update | Amend Filing | Move to Workfolder | PDF Pipeline

Iowa

View General Instructions

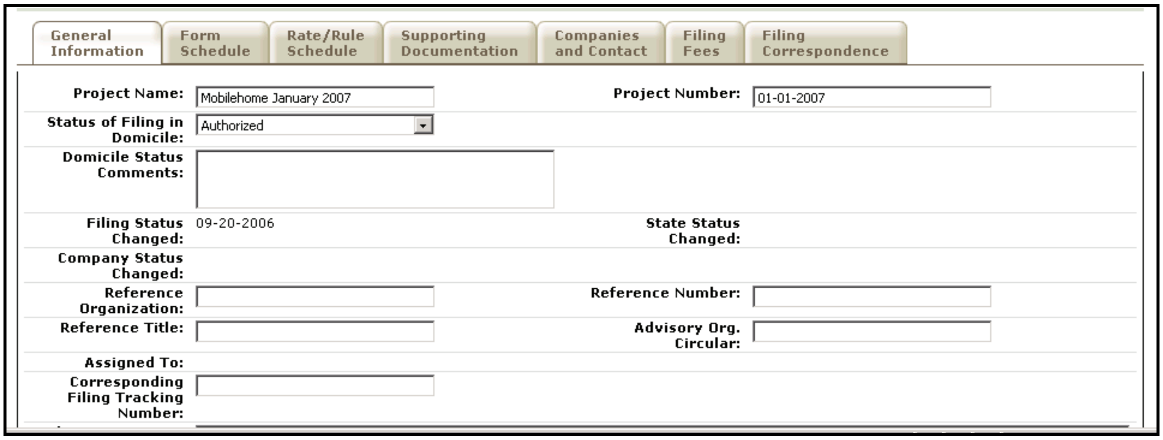
Product Name: * Equestrian Product #1	**SERFF Tr Num:** ST01-000000101	**SERFF Status:** Submitted to State
TOI: 09.0 Inland Marine	**State Tr Num:**	**State Status:**
Sub-TOI: 09.0001 Animal Mortality	**Co Tr Num:** EQ-AMP03-2007	**Co Status:** (01) Submitted
Filing Type: Form	**Date Submitted:** 09-24-2006	**Disposition Date:**
Effective Date Requested (New): 02-28-2007	**Effective Date Requested (Renewal):**	**Authors:** Thea Cook

These fields may also be entered during the Filing Wizard.

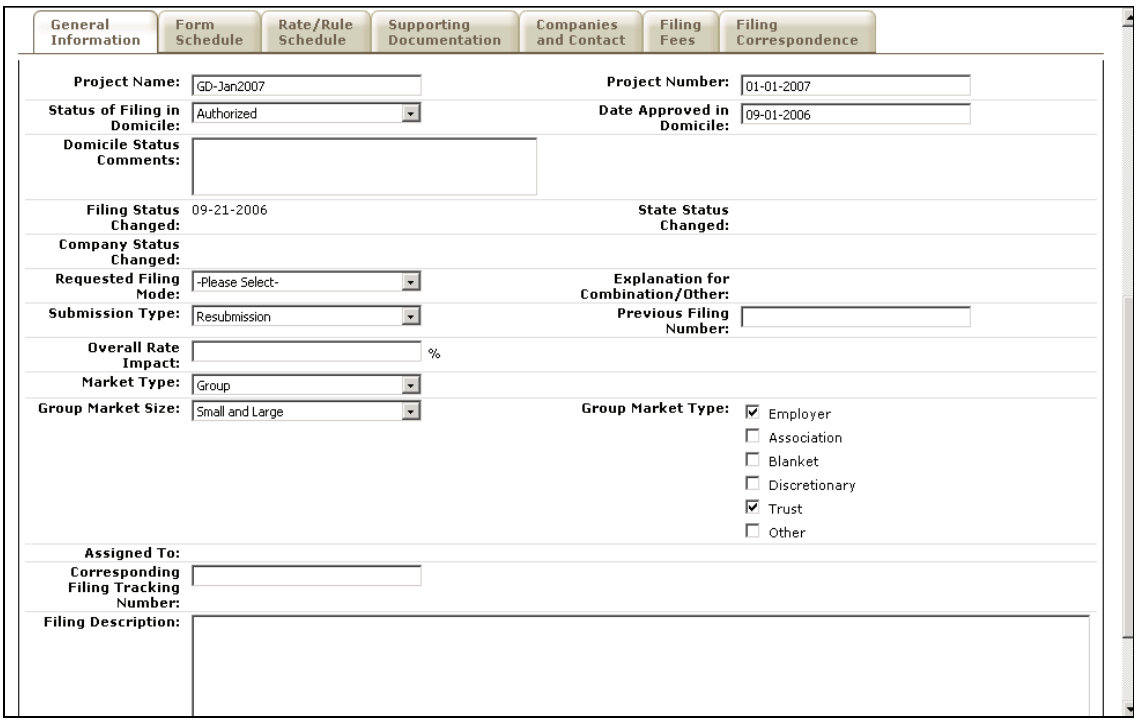
- **Project Name**: The Author may enter a project name for this filing.
- **Project Number**: The Author may enter a project number.
- **Status of Filing in Domicile:** Place to indicate the status of company's authorization to file in state. This is not a required field.
- **Filing Status Changed:** The Date the status of the Filing changed.
- **State Status Changed**: The Date the State status changed.
- **Domicile Status Comments:** Additional comments may be added in the field.

- **Corresponding Filing Tracking #:** For those states that do not accept a rate and a form in the same filing, the Author can use this field to reference the Form / Rate SERFF and/or Company Tracking Number**.**
- **Reference Organization (if applicable):** The name of the advisory organization—i.e. ISO, NCCI, AAIS, etc. or an Insurance Company name if "me too filing" is permitted. Some states allow companies to reference another company's filing. A "me too" filing is when one company adopts another company's filing. Usually they are not part of the same group. You should check with each state to determine their rules on these filings. If permitted, use this area to indicate either an advisory organization name or "me too" company name.
- **Reference Organization Number & Title (if applicable):** This is the unique number that the reference organization gives to the filing. It is generally not the same number as the circular number.
- **Advisory Org Circular:** This is a unique number that reference the circular number.
- **Filing Status Changed (if applicable):** The Date the status of the Filing changed.
- **State Status Changed (if applicable):** The Date the State status changed
- **Request Filing Mode (if applicable):** The reason the filing is being submitted to the State.
- **Submission Type (if applicable):** If resubmission, provide the state tracking number for the prior Submission if it was provided by the state. If no state tracking number is available, and the prior filing was made in SERFF, provide the prior filing's SERFF Tracking Number. If neither is available, leave this blank.
- **Overall Rate Impact (if applicable):** This is the statewide average percentage change to the Accepted rates for the coverage's included for each company.
- **Market Type (if applicable):** An identification of the targeted group or individuals.
- **Filing Description (if applicable):** This area can be used in lieu of a Cover Letter or Filing Memorandum and is free-form text.

P&C Filing – General Information



LAH Filing – General Information



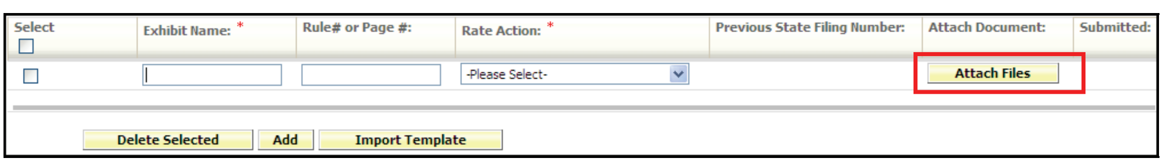
Form Schedule

The Author adds all Form Schedule data under the Form Schedule tab.

- **Form Name -** Enter name of Form being submitted.
- **Form Number -** Enter Form Number of Form being submitted.
- **Edition Date (P&C only)-** Enter the month and year the form was developed.
- **Form Type-** There are many types of forms (i.e. policy, contract, advertisement, etc.). Click the Form Type selection box and choose appropriate type of form for the filing.
- **Action-** Click the Action selection box and select appropriate action for the filing
    - New (P&C)
    - Replacement (P&C)
    - Withdrawn (P&C)
    - Initial (LAH)
    - Other (LAH)
    - Revised (LAH)
- **Action Specific Data:**
    - **Replaced Filing Number -** Enter the form number that is being replaced by a previously submitted form.
    - **Previous Filing Number-** Enter the previous filing number if a replacement form is being submitted.
- **Readability Score-** Indicates reader comprehension. Enter if required by the state.

Attaching Files for Schedule Items

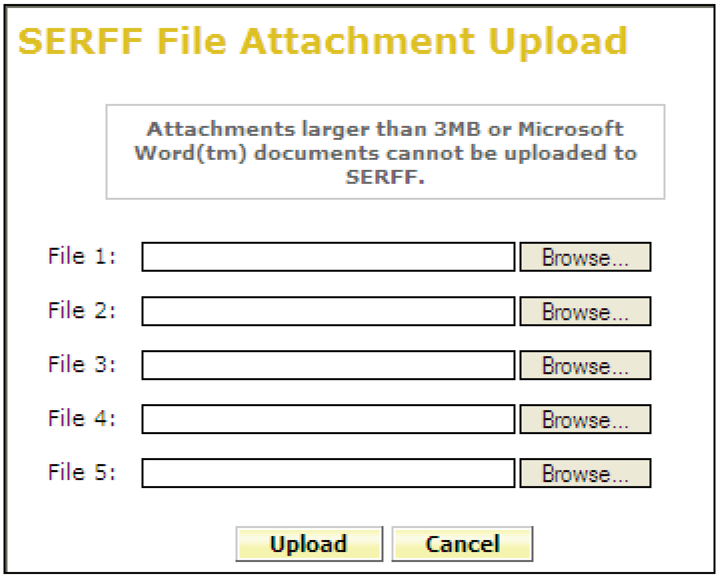
The Author may attach and upload up to 5 files per line item at one time.



1. Click on the 

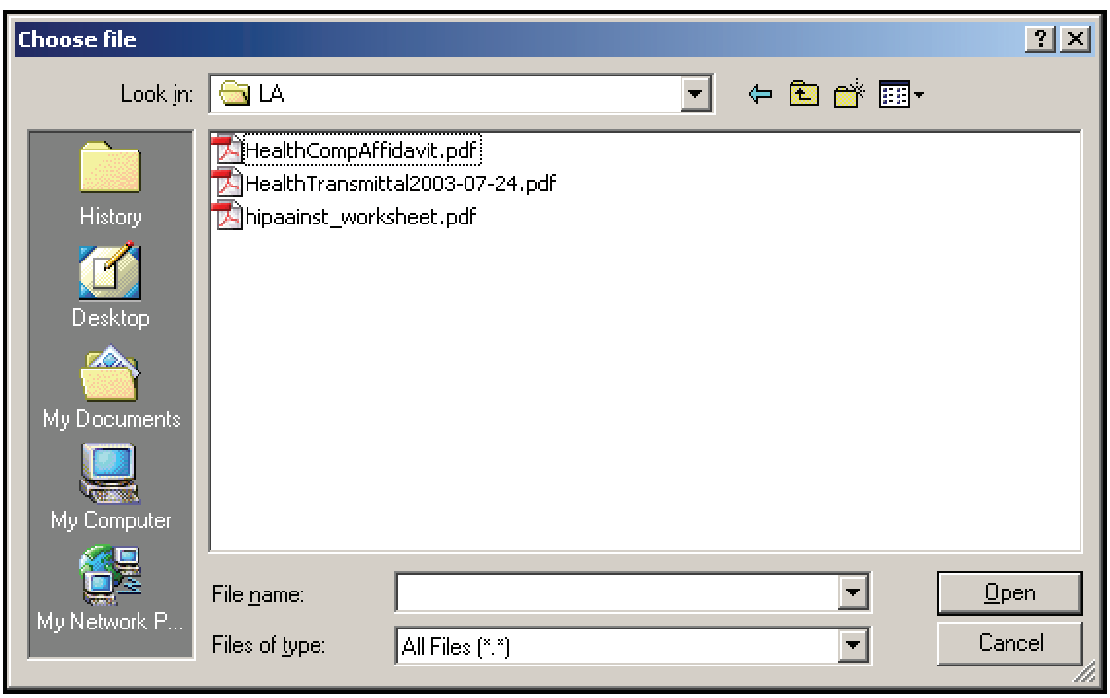
button on the line item.

2. Click on the Browse... button.

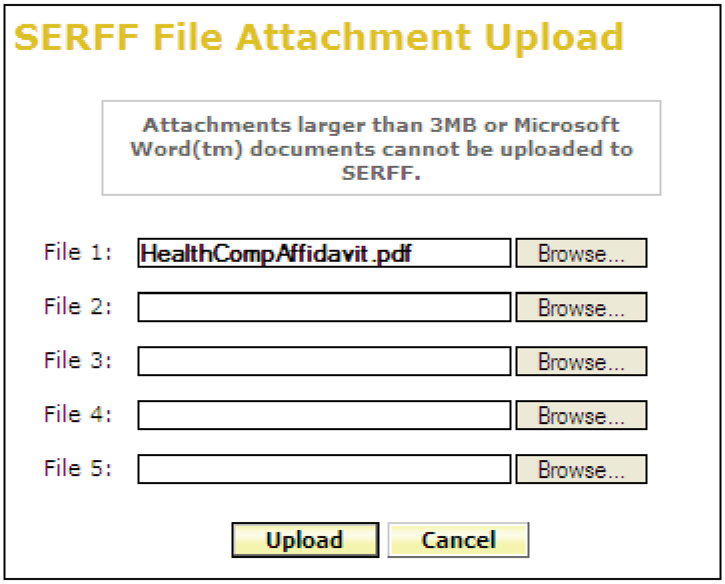


☞ Word documents and files over 3mb will not be allowed to be uploaded into the system.

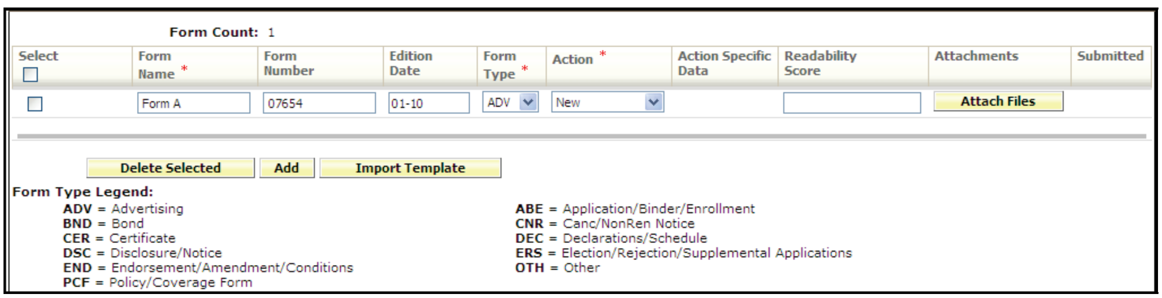
3. Select the appropriate file and click on Open.



4. Click on Upload button when all files are uploaded.



Form Schedule

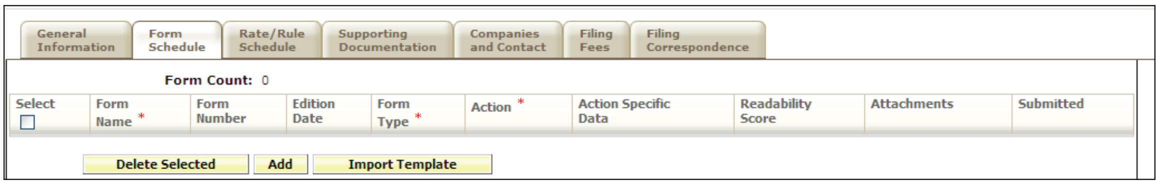


1. Click the **Add** button to initiate a row where Form data will be entered.
2. Complete the required fields.
3. The Author attaches all forms related items on the Form Schedule tab.
4. Continue to click on the **Add** button in order to add additional rows and attachments.

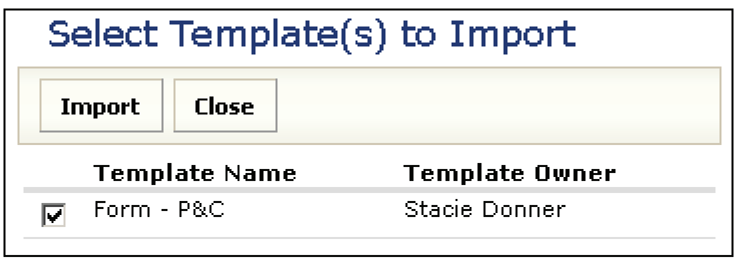
Form Schedule Using Templates

The **Import Template** button will be visible if the Author has created Schedule Templates. ***See how to create Schedule Templates later in this lesson.***

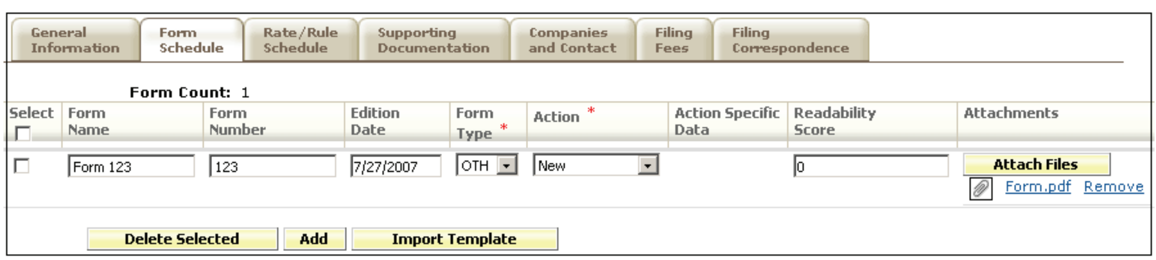
1. Click the **Import Template** button to import a Schedule Template.



2. Select the appropriate Template to import. Click the **Import** button.



3. The Form Schedule item has now been added to the filing.



Rate/Rule Schedule – P&C

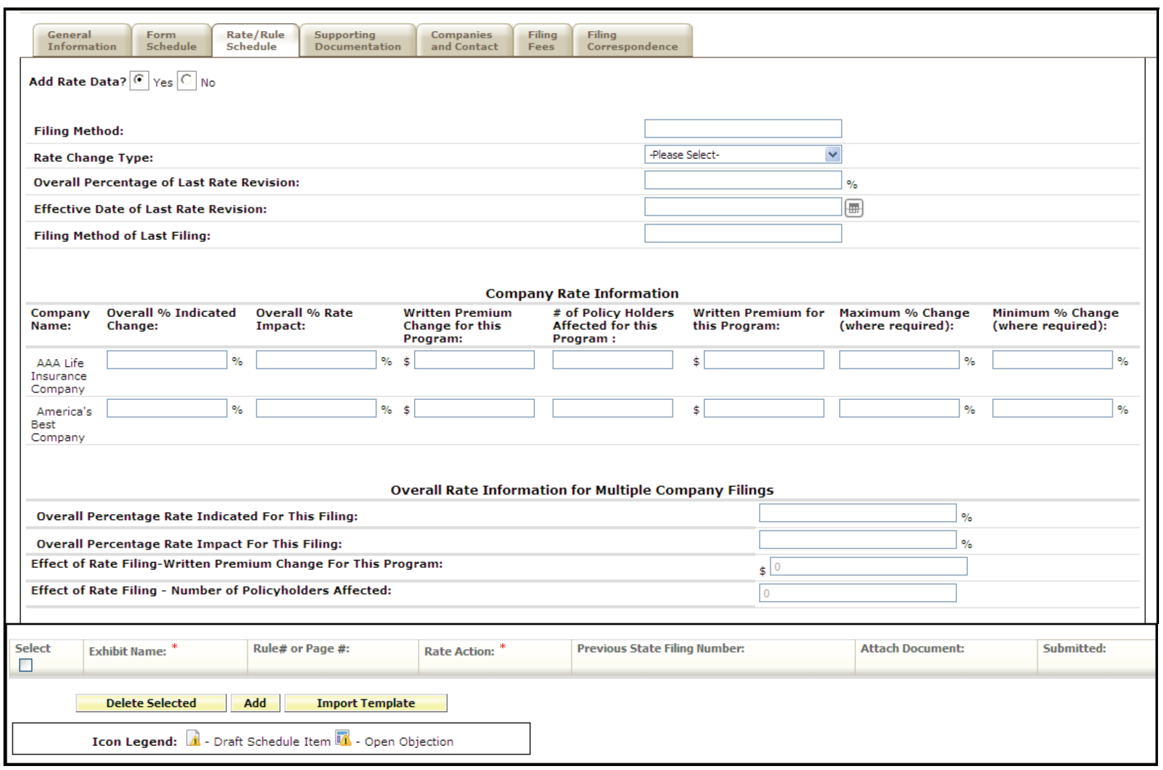
The Author completes any Rate/Rule Schedule items under the Rate/Rule Schedule tab. The information in this tab can be updated post-submission. All Rate/Rule related attachments will be attached here.

- **Filing Method** - This is the review method for which the filing is being submitted. See state specific requirements.
- **Rate Change Type** – The Author can choose from either:
    - ♦ Increase
    - ♦ Decrease
    - ♦ Neutral
- **Overall Percentage of Last Rate Revision** -This is the statewide average of the last percentage change implemented in the state.
- **Effective Date of Last Rate Revision**-This is the implementation date of the last overall percentage rate impact.
- **Filing Method of Last Filing**- This is the review method for which the last filing was submitted. See state specific requirements.
- **Company Rate Information**
    - ♦ Overall Percentage Indicated Change (when applicable) – This field is only to be completed when an actuarial indication is included in the filing submission.
    - ♦ Overall % Rate Impact - This is the statewide average percentage change to the accepted rates for the coverage's included for each company.
    - ♦ Written premium change for this program - This is the statewide change in written premium based on the proposed overall percentage rate impact for each company.
    - ♦ Number of policyholders affected for this program - This is the number of policyholders affected by the overall percentage rate impact for each company.
    - ♦ Written premium for this program - This is the statewide written premium for each company.

- ♦ Maximum % Change & Minimum % Change – This information should be completed if required by the state to which the filing is being submitted.

- Overall Percentage Rate Indicated for this Filing – Overall % Rate Indicated.
- Overall Percentage Rate Impact for this Filing- Overall % Rate Impact.
- Effect of Rate Filing – Written Premium Change for this Program- Written premium for this program.
- Effect of Rate Filing – Number of Policyholders Affected – Number Policyholders impacted.

☞ If there are multiple companies on a filing, the Overall Rate Information (Premium and Policyholders) will automatically calculate for the user.



Rate/Rule Schedule – LAH

The Author completes any Rate/Rule Schedule items under the Rate/Rule Schedule tab. The information in this tab can be updated post-submission. All Rate/Rule related attachments will be attached here.

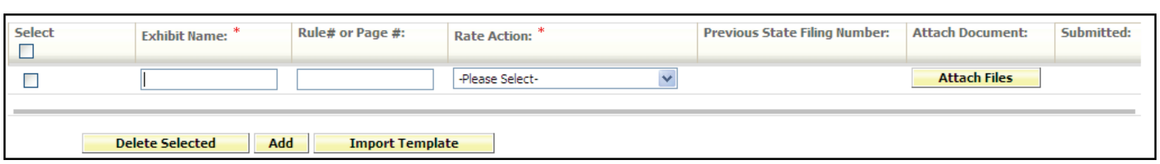
The Rate/Rule schedule contains the following fields:

- **Document Name**- This is a list of Rate and Rule and various exhibit data being.
- **Affected Form Number**- This is the list of changes to the Rate/Rule manual.
- **Rate Action** – The type of rate action being submitted.
    - New
    - Revised
    - Other

Rate Action Information – Select Revised or Other from the Rate Action. The Rate Action Information is displayed.

Rate/Rule Schedule

1. Select radio button if Rate data applies or does **NOT** apply to filing. If 'does NOT apply to filing' is selected, rate related fields will not display. The Rate/Rule Schedule defaults to 'does NOT apply'.
2. If Rate data applies to filing, complete the appropriate fields.
3. Click on the  Button to add Rate and /or Rule data and file attachments.



The P&C Rate/Rule schedule contains the following fields:

- **Exhibit Name**- This is a list of Rate and Rules and various exhibit data being filed.

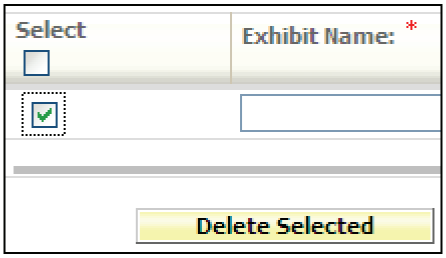
- **Rate/Rule or Page Number-** This is the list of changes to the Rate/Rule manual.
- **Rate Action** – The type of rate action being submitted.
    - ♦ New
    - ♦ Replacement
    - ♦ Withdrawn
- **Previous State Filing Number** – If rate data is being replaced or withdrawn, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected.

☞ The LAH Rate/Rule schedule contains the following fields:

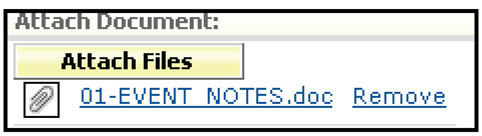
- **Document Name**- This is the name of the data being filed.
- **Affected Form Numbers**- This is the list of changes to the Rate/Rule manual.
- **Rate Action** – The type of rate action being submitted.
    - ♦ New
    - ♦ Other
    - ♦ Revised
- **Rate Action Information** – If rate data is being replaced or withdrawn, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected.

Remove a Rate/Rule Schedule or Attachment

1. Click on the check box next to the line item and then click the **Delete Selected** button to remove information from the Rate/Rule Schedule. All information entered will be deleted.



Note: Clicking on the Remove link next to the added attachment deletes the attached file (*see below*). This does not delete the new rate information displayed on the rate/rule schedule. Clicking on the **Delete Selected** button next to the exhibit name deletes the added rate information and any attached files (*see above*).



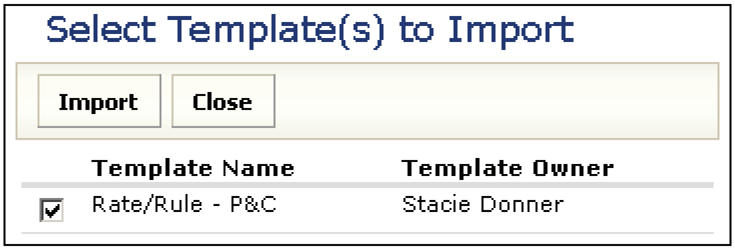
Rate Schedule Using Templates

The **Import Template** button will be visible if the Author has created Schedule Templates. See how to create a Schedule Templates later in this lesson.

1. Click the **Import Template** button to import a Schedule Template.

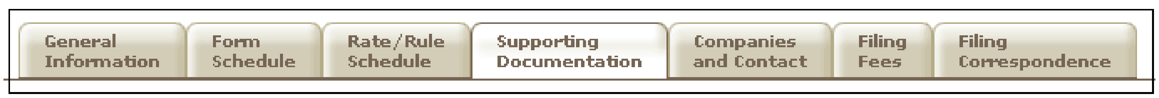
2. Select the appropriate template to import. Click the 

button.



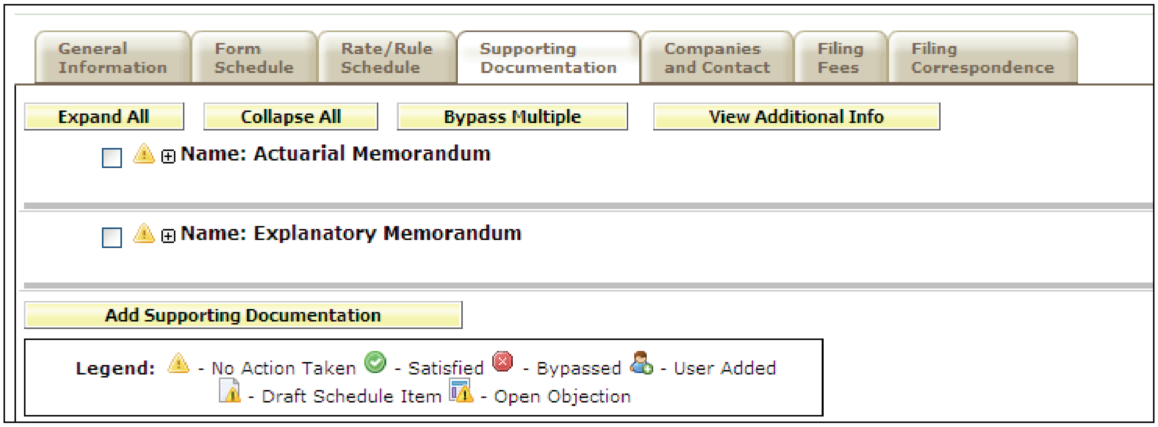
3. The Rate/Rule Schedule item has now been added to the filing.

Supporting Documentation

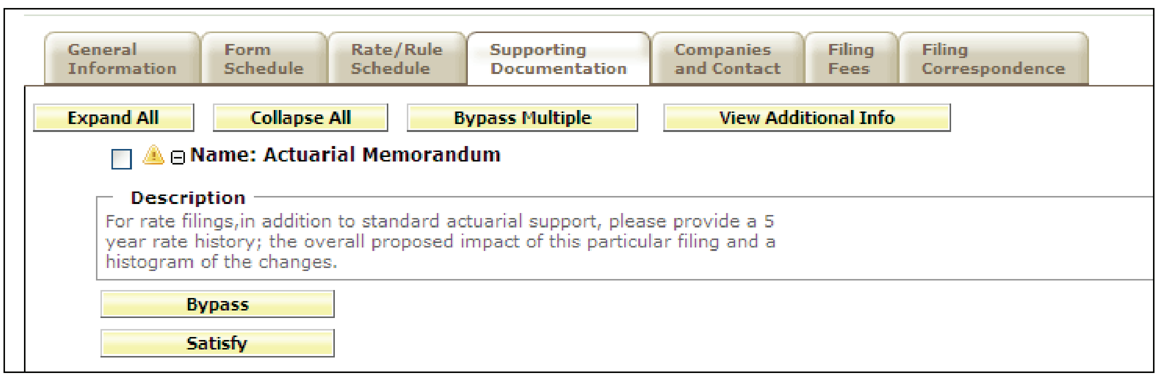


The Supporting Documentation tab provides functionality for attaching information to a filing that might be required when submitting a SERFF filing. Clicking the tab displays a list of state-defined requirements.

Each requirement has an option to Bypass or Satisfy. If the Author chooses to Bypass the requirement, an explanation is required. If the Author chooses to Satisfy the requirement, the Author must first either attach a file *or* check **No Attachment Required.** Once one of the above has been completed, the Author may enter an optional comment pertaining to the requirement.



The Author can expand, collapse, or bypass multiple requirements. When collapsed, only the **Requirement Name** and its **Status** (No Action Taken, Satisfied, or Bypassed) are visible. When a requirement is expanded, the Author can also see the state's description of the requirement and any attachments the state has added for the requirement. Links in the requirement description will be active, meaning they can be clicked and a new window will open with the web address referenced.



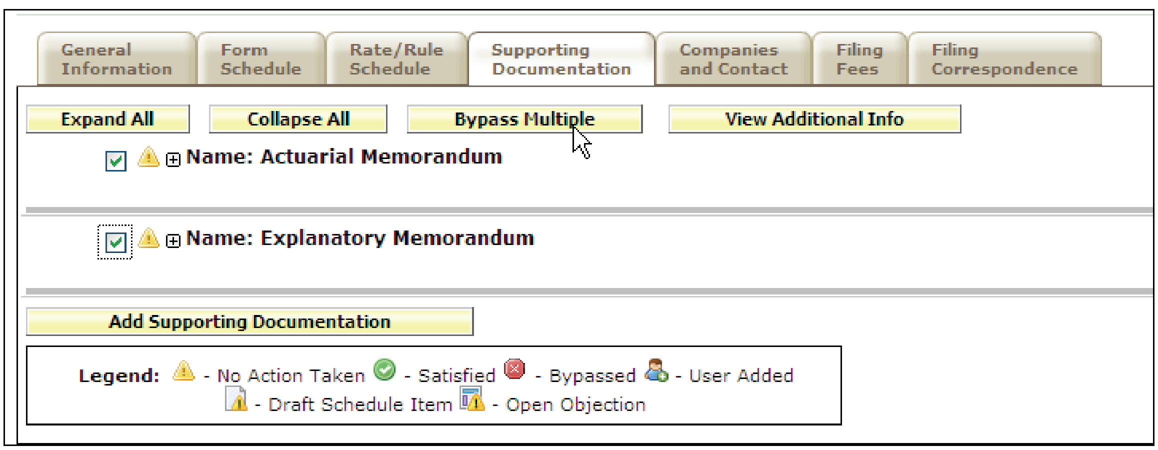
Clicking the Satisfy button reveals the following options:

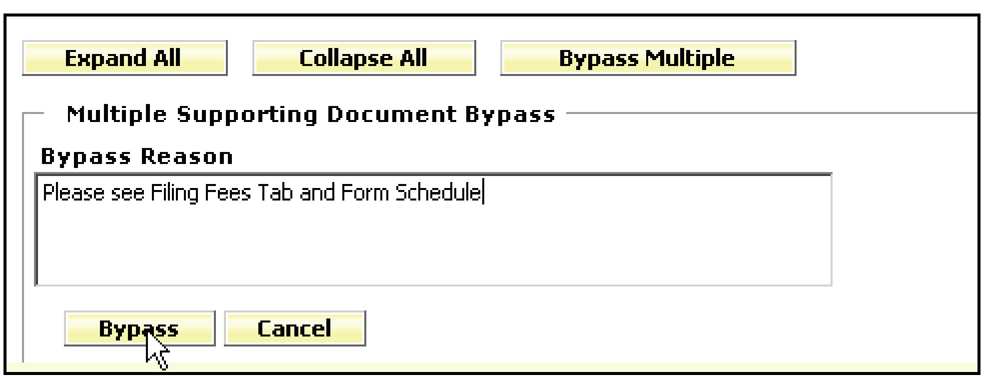
- **Comment text box-** Comments may be added after attaching a file.
- **No Attachment Required check box-** Use this check box to indicate that no attachment was required for this item. This will allow the requirement to pass completeness validation when submitting the filing to state regulators.
- **Attach Files button-** Use this button to attach supporting documentation to this requirement.
- **Reset button-** Clears all information from the requirement and resets the status flag to "No Action Taken" (this is applicable to both satisfy and bypass).

Supporting Documentation

Bypass

1. To Bypass Multiple Requirements, click the **Bypass Multiple** button and click on the check box next to each Requirement.

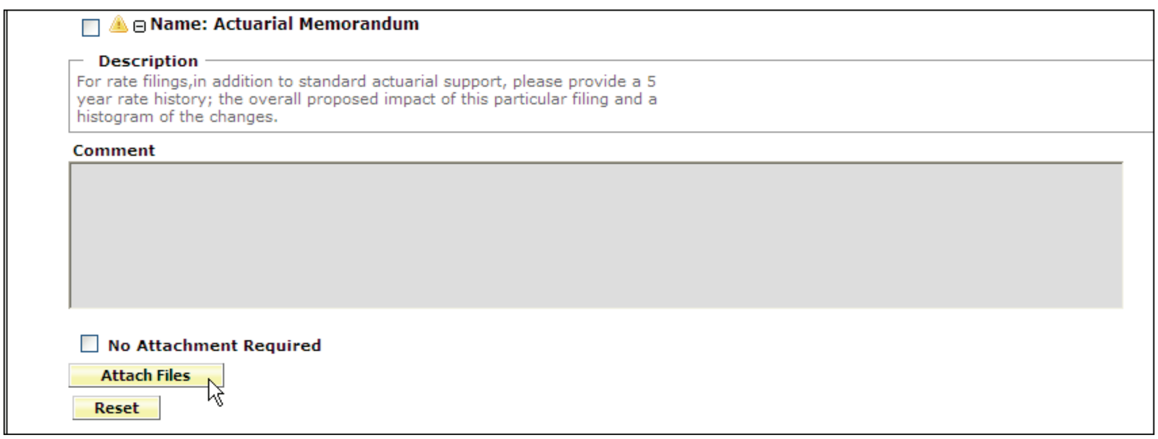




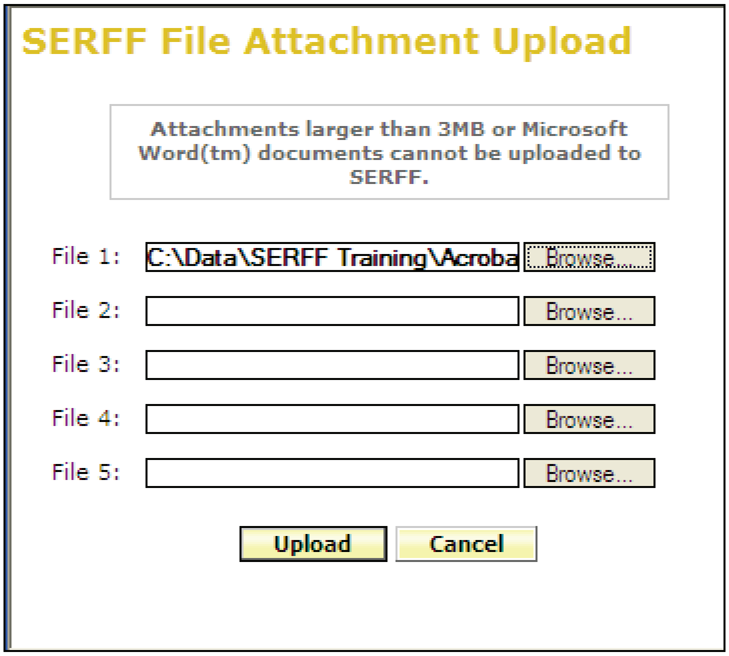
2. Enter explanation in the Bypass Reason text box and click the **Bypass** button.
3. To Bypass an Individual Requirement, click the **Bypass** button to skip the item listed.
4. Enter explanation in the Bypass Reason text box.

Satisfy

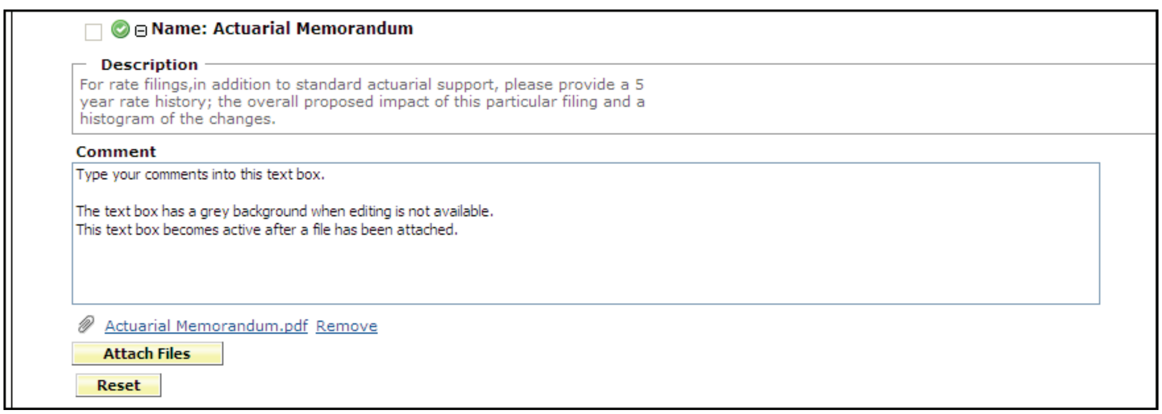
5. Click the **Satisfy** button to attach a file and add comments.
6. Click the **Attach Files** button to specify files for associating with the filing.
7. You may attach up to 5 files at a time. Use the Browse button to navigate to the file you wish to attach. Then click the **Upload** button to link the file or files to the requirement.



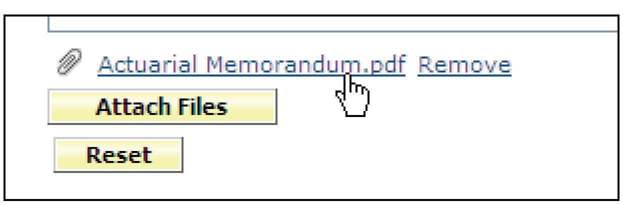
☞ Word documents and files over 3mb will not be allowed to be uploaded into the system.

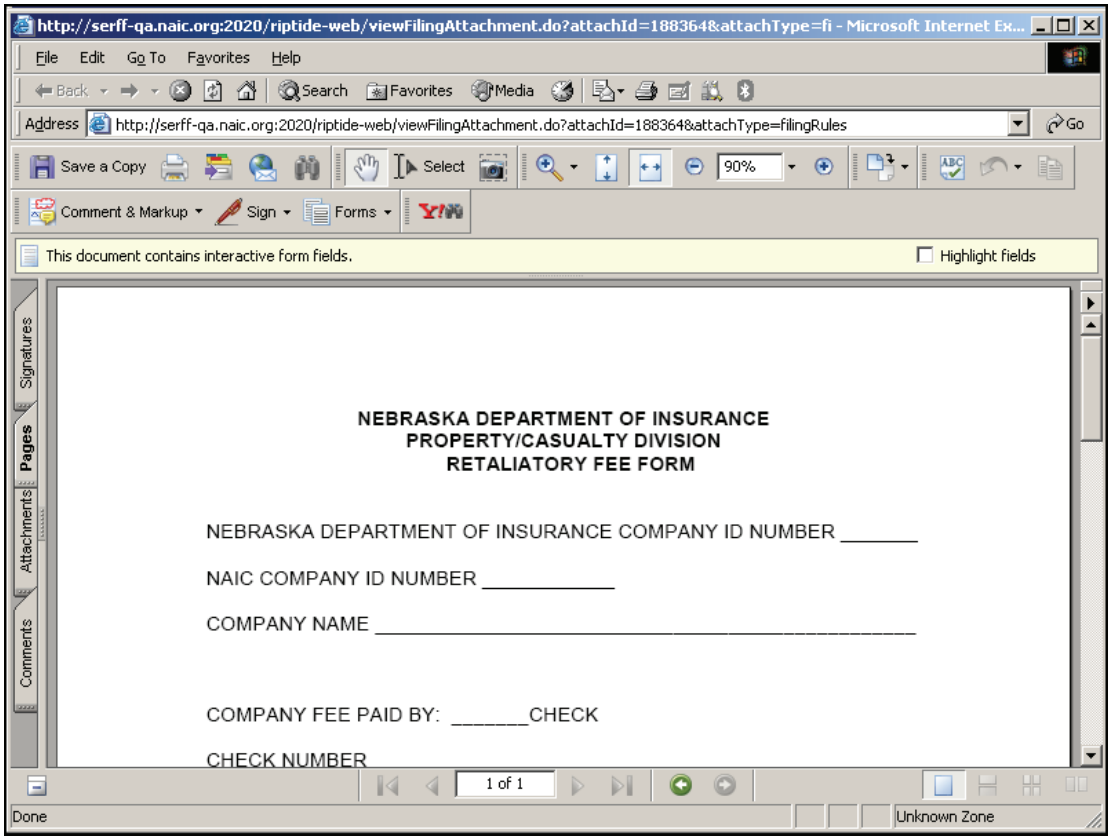


Comments may be added before or after files have been attached. The attached files are listed below the comment box, adjacent to the file Remove option. Attached files may be removed from the requirement by clicking on the Remove link.

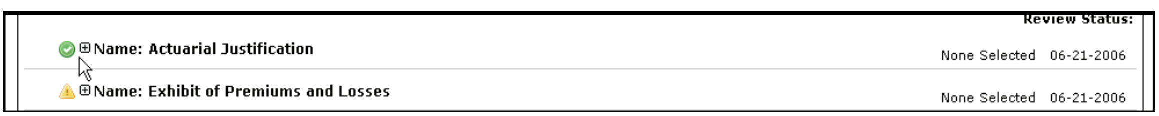


The document links will be active, meaning they can be clicked and a new window will open with the web address referenced (*see below*).

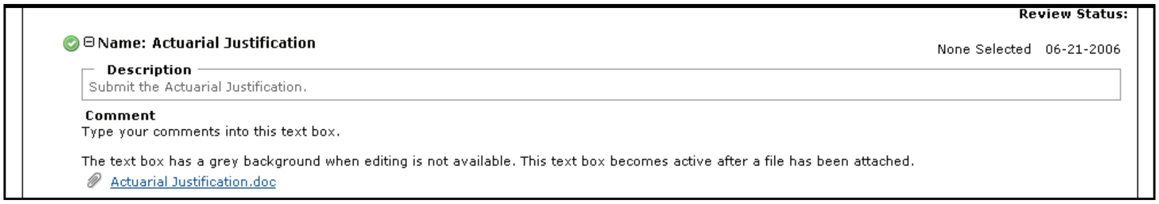




The Status Flag Legend is located at the bottom of the page. Each symbol is described for easy reference. When a requirement is satisfied, the flag becomes a green dot with a white check mark inside.



Users may review Supporting Documentation by clicking on the plus sign (*expand button*). Clicking the expand link reveals the information contained in the comment box and the attached files are listed below the comments.

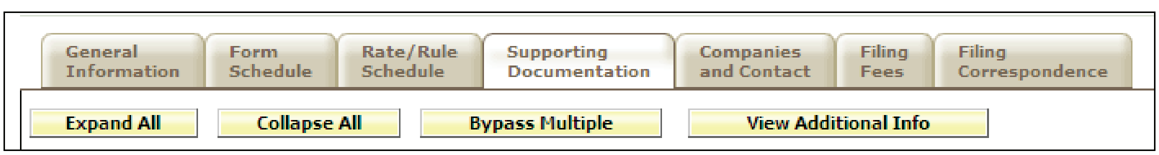


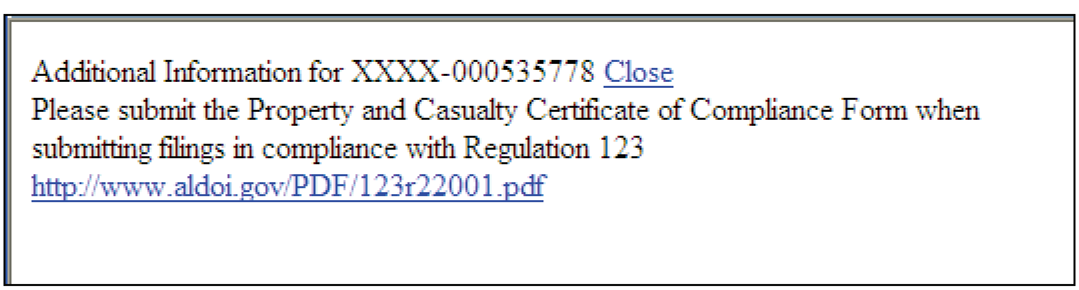
The Author can add one or more items of Supporting Documentation in addition to the list provided, which is generated from the state's Submission Requirements for the selected TOI/Sub-TOI/Filing Type combination. For each item of Supporting Documentation added, the Author must provide a **Name** and **Comments** or one or more attachments. The Author may also supply both comments and attachments.

☞ Any of the information on this tab can be modified until the time the filing is submitted with the exception of removal of any requirement items created from the state Submission Requirements list. Once the filing has been submitted, new or revised items can be added, but the original submission cannot be changed or removed. The State can define a requirement as Non-Bypassable. When the Author views the requirement the only available button will be Satisfy.

View Additional Information

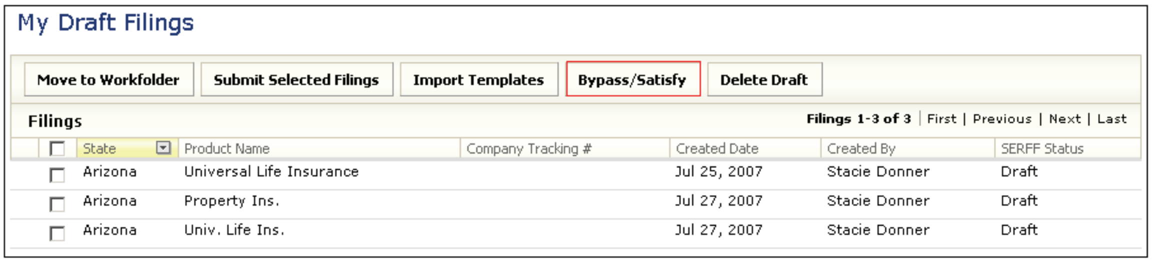
The view additional information button under the Supporting Documentation tab will display information provided by the state to assist the filer in completing the supporting documentation requirements.





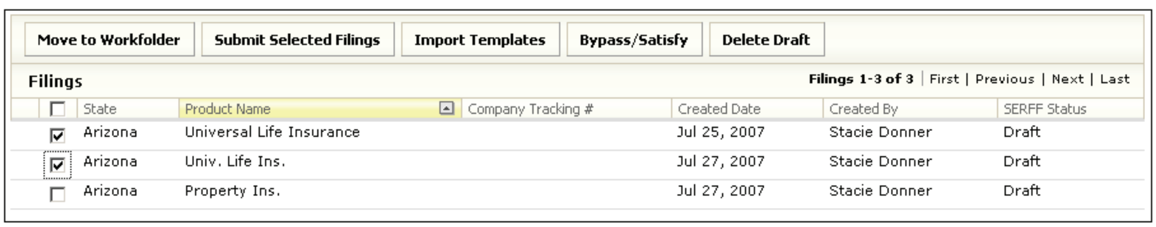
Bypass/Satisfy Multiple Supporting Documents from the Draft View

To increase efficiency in preparing a SERFF filing, a user may bypass and/or satisfy multiple Supporting Document Schedule Items from the Draft view.



The **Bypass/Satisfy** will be available to users in the Draft view.

1. Select the filings in which multiple Supporting Document Schedule Items are going to be bypassed or satisfied.



2. Select **Bypass/Satisfy**.
3. Use the empty fields to filter the filings that you wish to bypass or satisfy.

Note: The empty fields in the filter are case sensitive when narrowing the requirement list.

Bypass | Satisfy | Reset | Apply Filter | Clear Filter

Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
				All	LH Actuarial Memorandu
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		Review Requirement Checklist Requirement Last Modified: Jan 18, 2005
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		Review Requirement Checklist Requirement Last Modified: Jan 18, 2005
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004

4. Select **Apply Filter**.

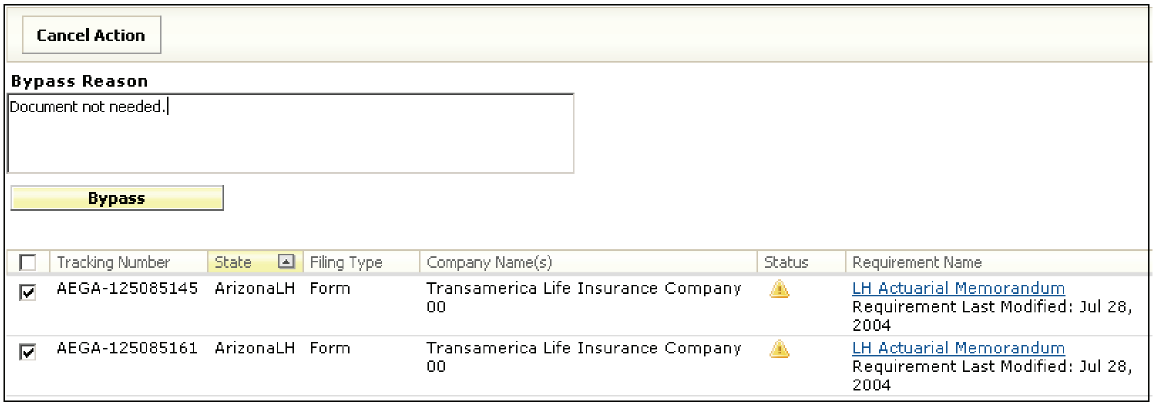
Bypass | Satisfy | Reset | Apply Filter | Clear Filter

Tracking Number	State	Filing Type	Company Name(s)	Status	Requirement Name
				All	LH Actuarial Memorandu
AEGA-125085145	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004
AEGA-125085161	ArizonaLH	Form	Transamerica Life Insurance Company 00		LH Actuarial Memorandum Requirement Last Modified: Jul 28, 2004

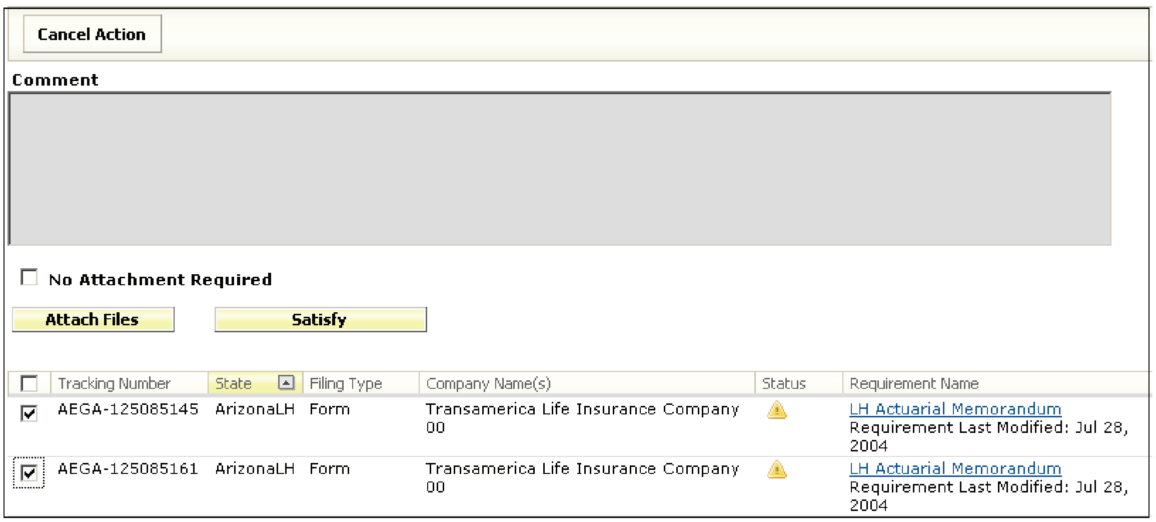
5. Once the filter has been applied, the user may:

   a. Select **Bypass** or **Satisfy**.
      The user will need to enter a Bypass reason or Satisfy the requirement as they would when working in a single draft filing. Either option can be cancelled.

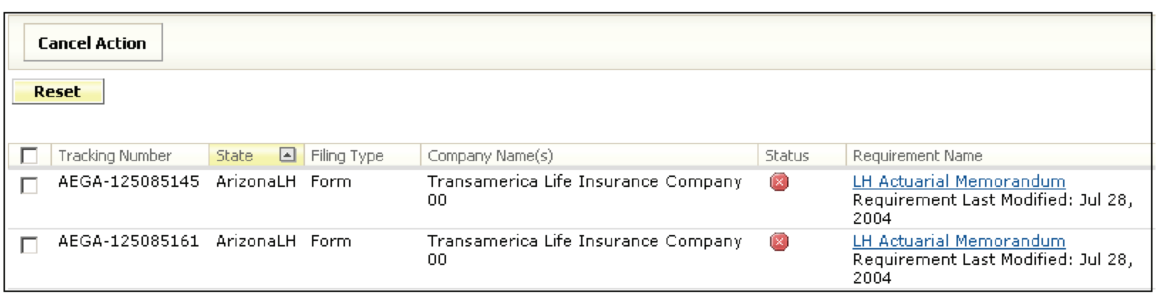
Bypass Window:



Satisfy Window:



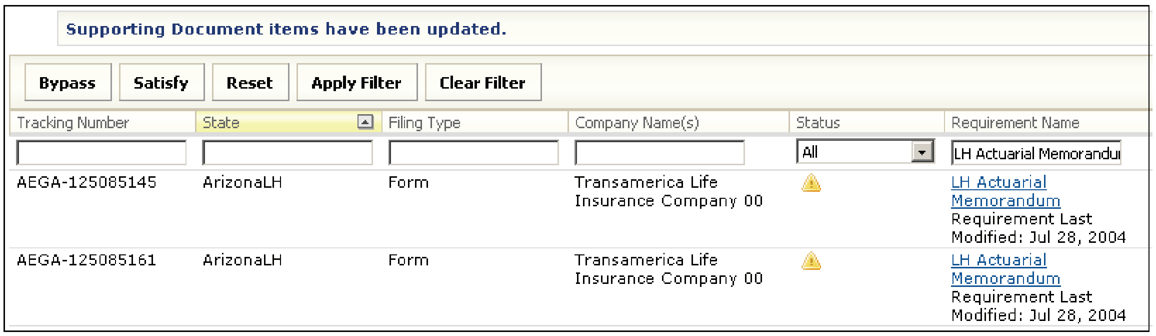
b. Select **Reset**. This will reset the status of the requirement.



1. Select **Reset**.

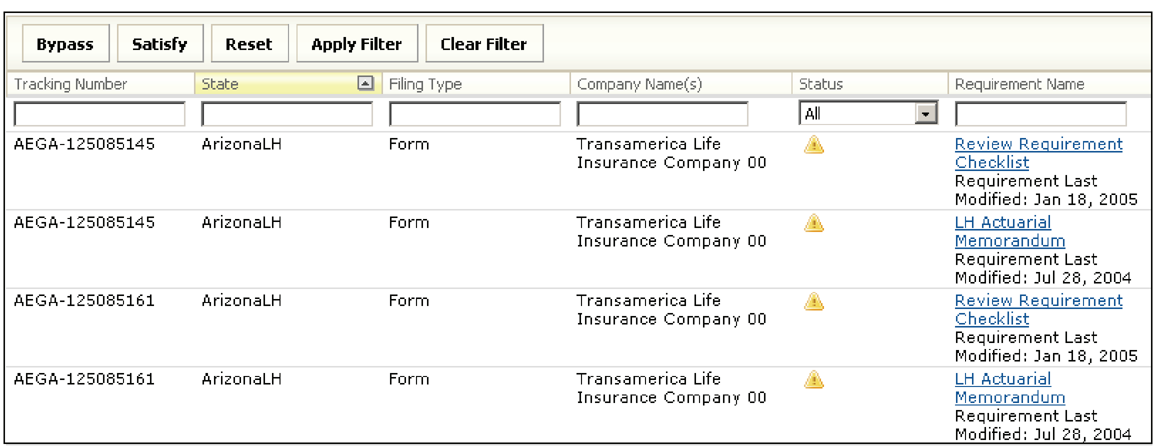
2. Select OK to confirm the action.

3. The statuses have now been updated.



c. Select Clear Filter.

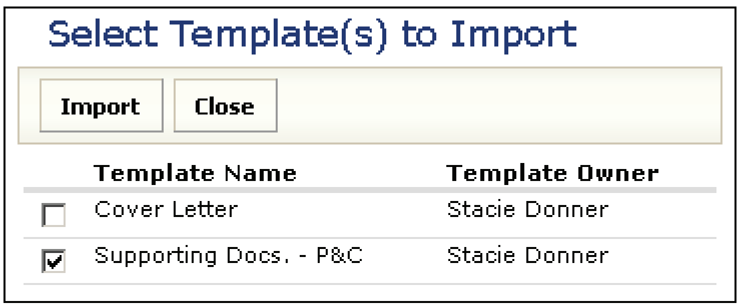
If Clear Filter is selected, the window will show all requirements found in the filings.



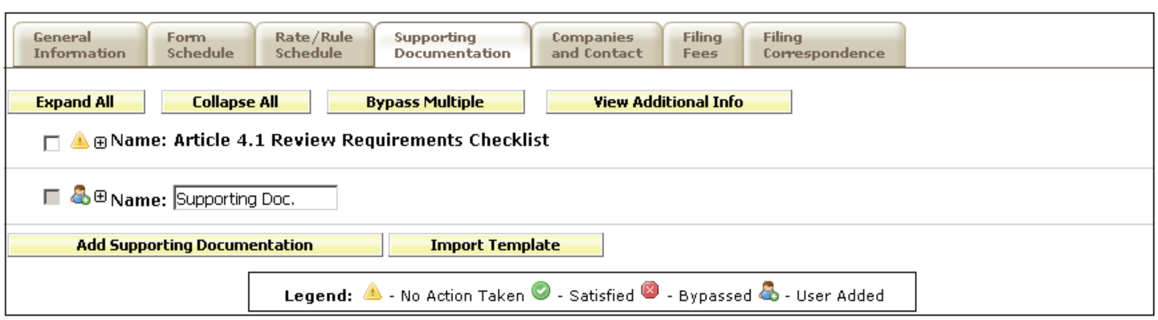
Supporting Documentation - Using Templates

The **Import Template** button will be visible if the Author has created Supporting Documentation Templates. ***See how to create Supporting Documentation Templates later in this lesson.***

1. Click the **Import Template** button to import a Supporting Documentation Template.
2. Select the appropriate template to import. Click the **Import** button.



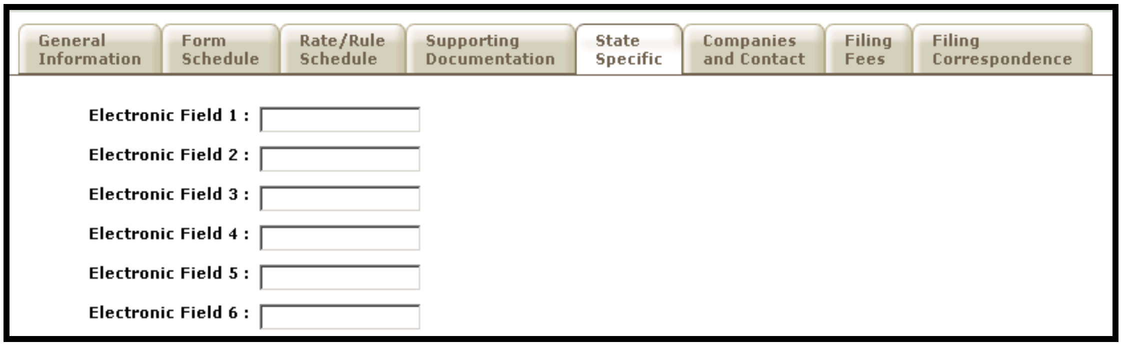
3. Click the **Import** button to initiate a row where Supporting Documentation data will be entered.
4. The Supporting Documentation Template has now been added to the filing.



State Specific Fields

The **State Specific Fields** tab holds additional fields that are required by the state to which you are filing. These are required fields and must be completed prior to submitting the filing to the state. The state may define up to ten State Specific Fields.

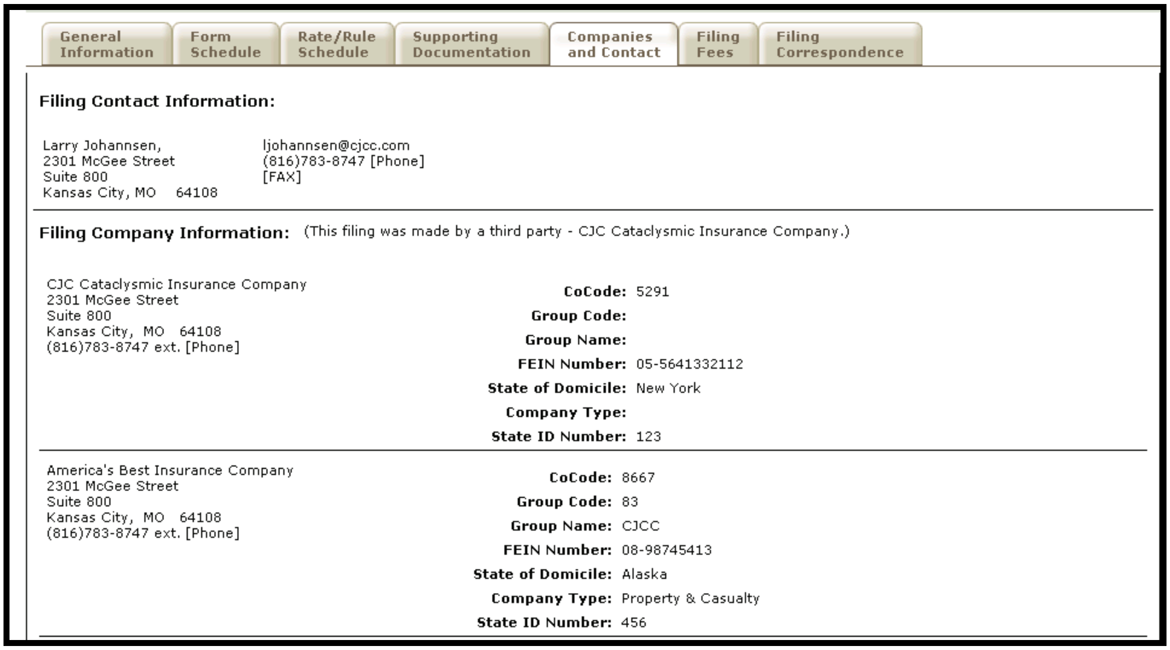
☞ If a state does not have State Specific Fields defined; this tab will not appear on the filing.



Companies and Contacts

This is the section of the filing where the Author views the company and contact information. The State Insurance Department will also view company and contact information here. This information was specified on Step 7 of the Filing Wizard, but can be modified prior to submission.

A company can be added to the filing by selecting the company name in the drop-down and then clicking Add. Companies can also be removed, but there must be at least one company and one contact on the filing. Multiple companies may be added to a filing, but only one contact per filing is permitted.



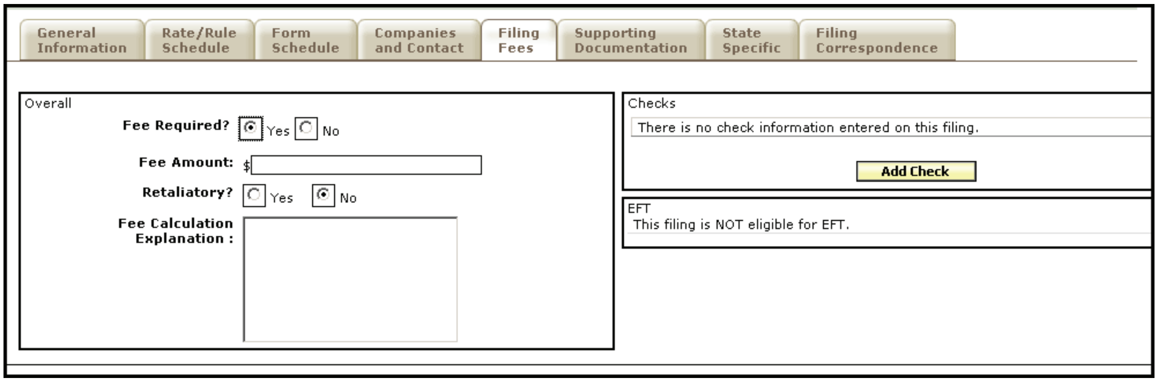
Companies and Contacts

1. Click on the **Change** button to change the contact for the filing.
2. Click on the **Add** button to add additional companies to the filing.
3. Click on the **Remove** button to remove companies from the filing.

Filing Fees

This is the section where rate and form filing fees, including EFT, will be recorded.

- **Fee Required:** Defaults to No for all filings. If left at no, the rest of the fields will be hidden. Click the Yes radio button to display fee related fields.
- **Fee Amount:** Enter the state filing fee. Allows only valid US currency.
- **Retaliatory:** Click the Yes/No radio button if state filing fee is retaliatory.
- **Fee Explanation:** Enter the explanation of where your state filing fee was derived if required by state.

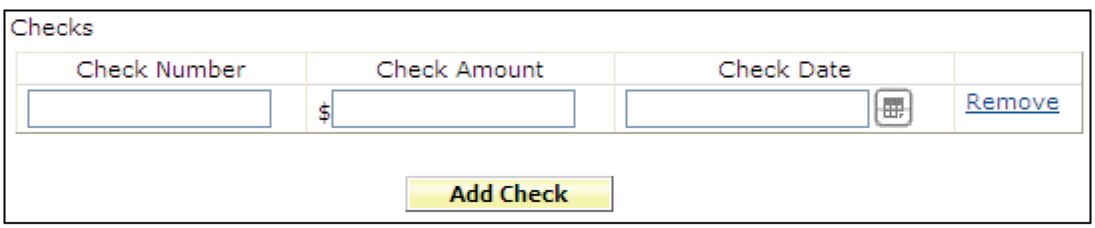


Filing Fees Required

1. Click on Yes Radio button.
2. Complete the appropriate fields.

Adding a Check to Filing Fees

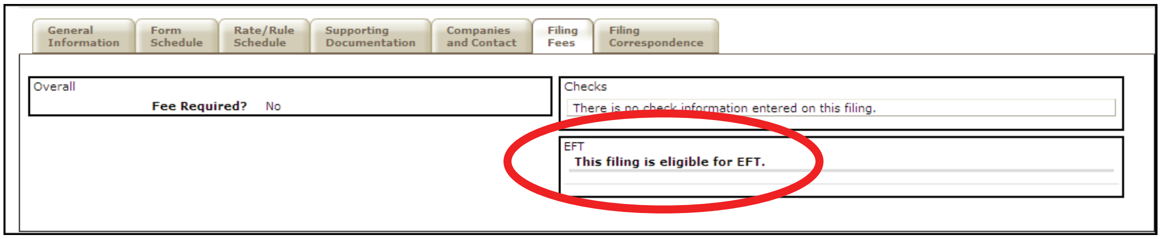
1. Click the  button.
2. Complete the appropriate fields.



Adding EFT to Filing Fees

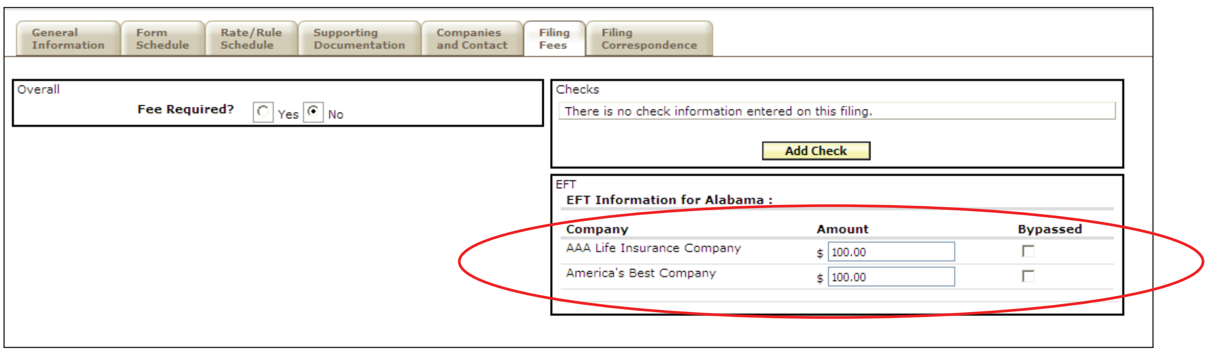
1. Enter the EFT amount owed for the filing (either on a per company or per filing basis – depending on the state setting).

If the filing is eligible for EFT, there will be a note in the EFT portion of the Filing Fees tab while in View mode.

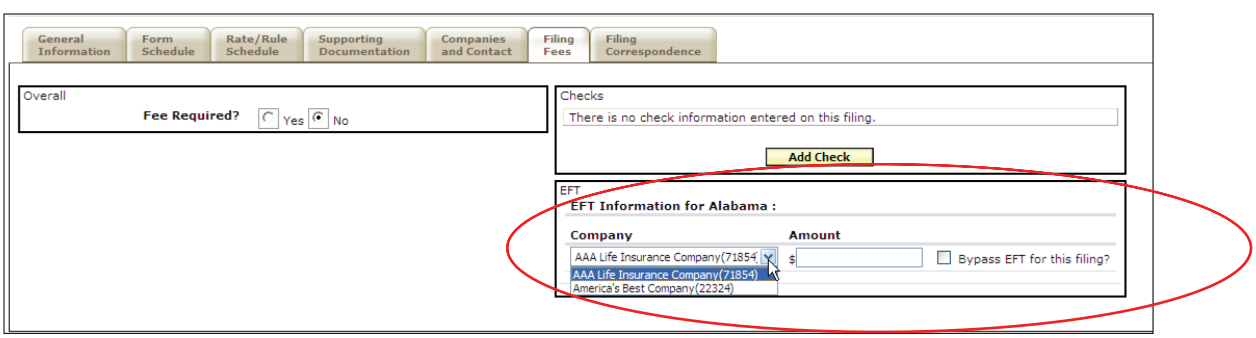


☞ If the filing is eligible for EFT, the filer must enter an amount. If no fees are to be submitted, the filer must check the 'Bypass' box in order to submit the filing. If the state charges per company, there will be a field next to each company in which the filer is submitting EFT.

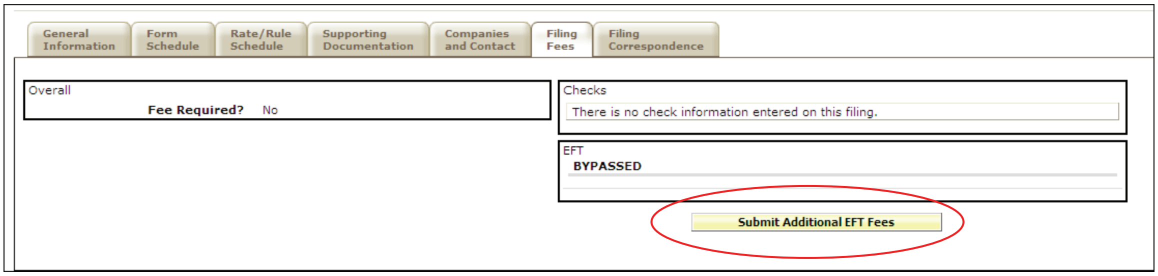
☞ Companies without a Payer UNID ***cannot be*** included on an EFT submission.

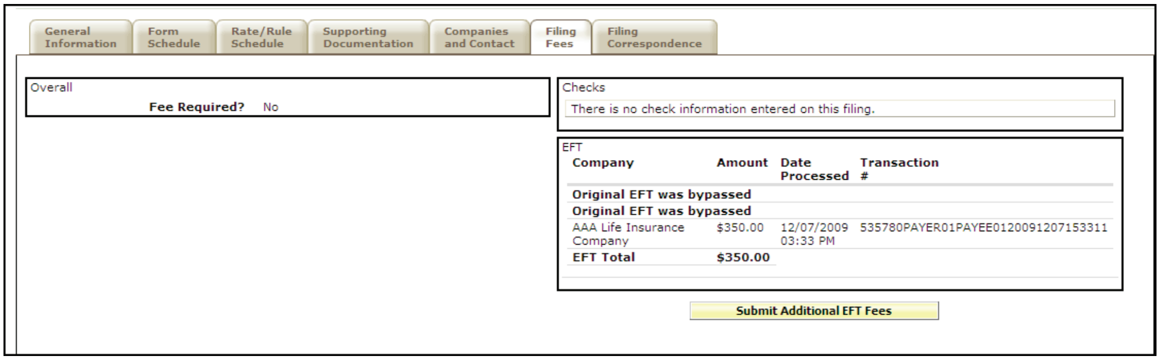


☞ If the state charges per filing, the filer must select one of the companies from the dropdown list to which the Filing Fees should be attributed.



☞ New or additional fees may be sent on a previously submitted filing if it is eligible for EFT. While in view mode, click on the Filing Fees tab and click 'Submit Additional EFT Fees.' A window will appear in which you can enter the fee amount and submit.





Filing Correspondence

The Filing Correspondence tab is where communication will be stored between the industry and the state. The Filing Correspondence tab will contain Notes to Filer, Notes to Reviewer, Filer Notes, Amendments, Objections Letters, Responses, and Dispositions. The links will not be available until the filing is submitted.

Submit Filing

This will submit the filing to the state selected.

1. Click on the  button to send the filing to the state.

2. If the Author doesn't complete all the required requirements, a Submission Failed message appears with a list of all the missing requirements. The error message will contain a link to the filing so the Author can complete the missing requirements.

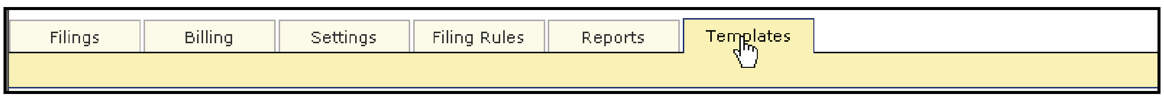
3. If all requirements have been satisfied, the filing will be submitted to the state. The Author will receive the following confirmation if the filing was successful.

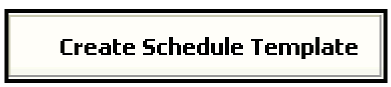
Templates

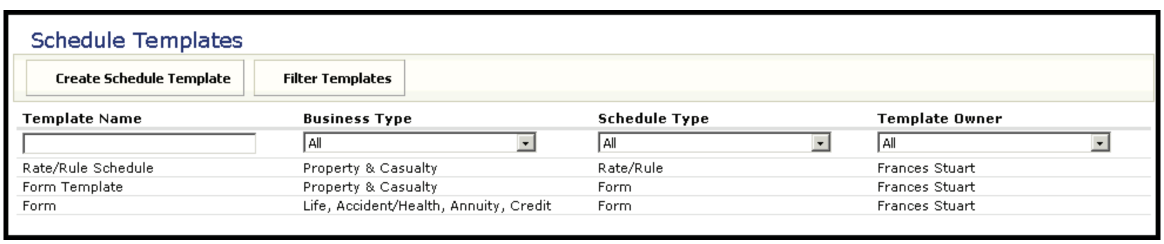
The use of Templates allows Authors to create reusable Schedules. A Template can be attached to any new or draft filing. Once attached to a filing, a Schedule created from a Template is identical to any other Schedule. It can be edited prior to submission and will appear in the same manner as other Schedules at both the state and industry.

☞ Creating A Template for Rate/Rules and Forms

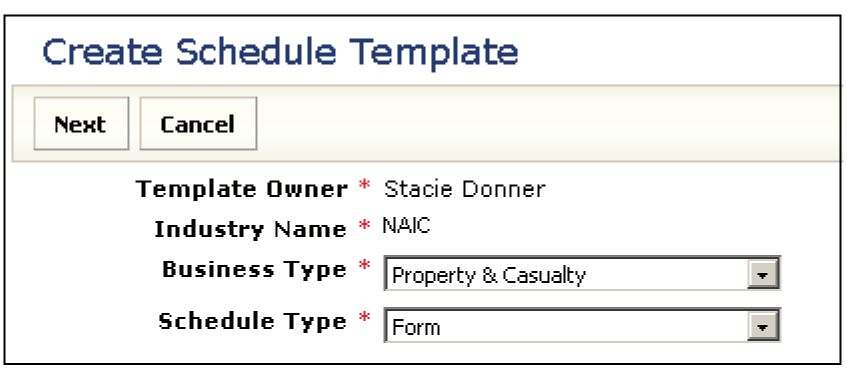
1. Click on the Templates tab.



2. Click on the  button.

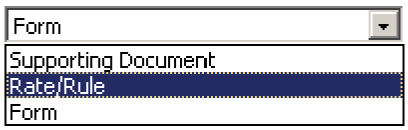


- The following page will appear:



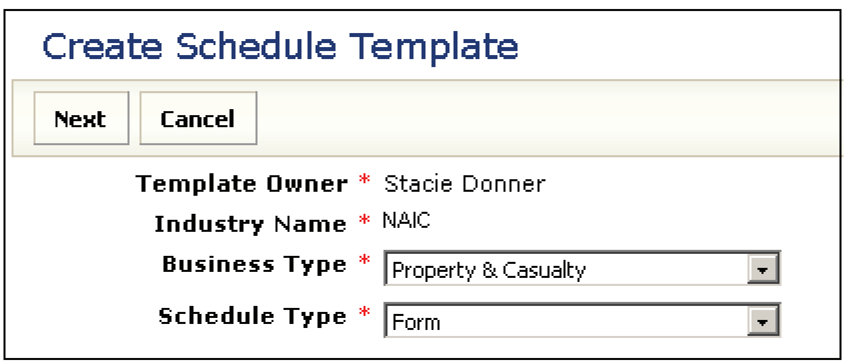
3. Select the Business Type.

4. Select the Schedule Type.

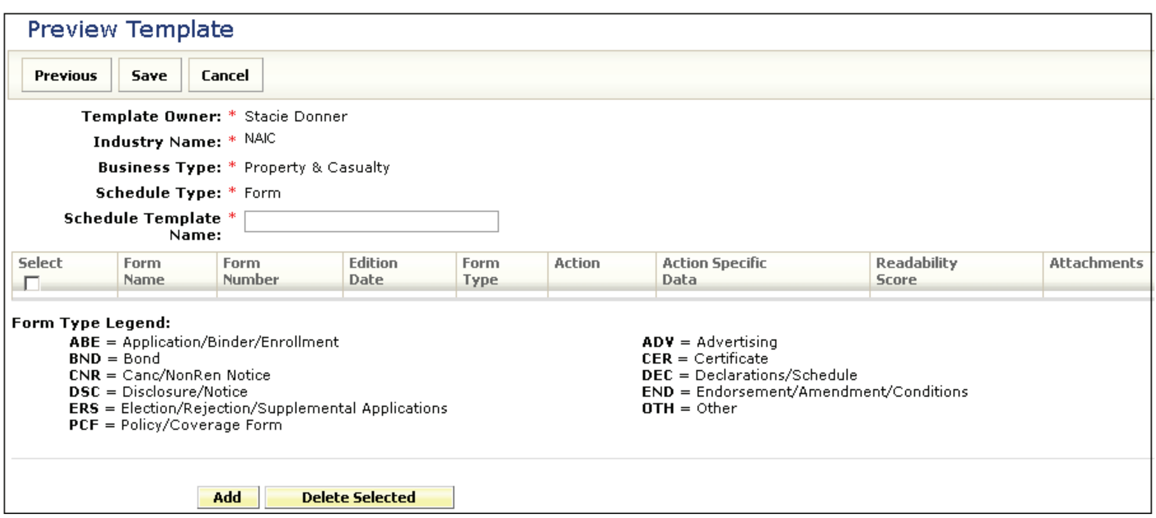


5. Click the 

button.



- The following page will appear:



6. Enter the Schedule Template Name.
7. Click the **Add** button to complete the information for the Schedule Item.

   For Forms:

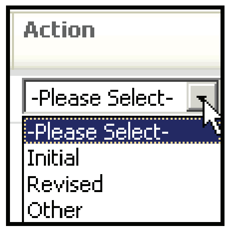
   a. **Form Number -** Enter Form Number of Form being submitted.

   b. **Form Type-** There are many types of forms (i.e. policy, contract, advertisement, etc.) Click the Form Type selection box and choose appropriate type of form for this filing.

   c. **Form Name -** Enter name of Form being submitted.

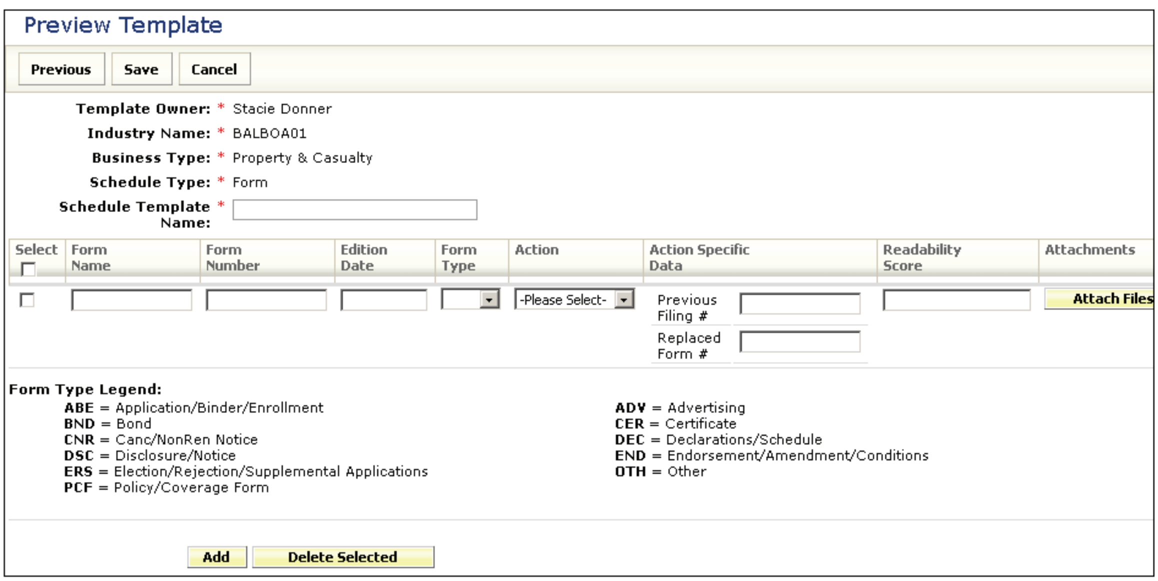
   d. **Action-** Click the Action selection box and select appropriate action for this filing

   - Initial
   - Revised
   - Other



   e. **Action Specific Data:**

   - **Replaced Filing Number -** Enter the form number that is being replaced by a previously submitted form.
   - **Previous Filing number-** Enter the previous filing number if a replacement form is being submitted.
   - **Readability Score-** Enter the Readability if required by state.



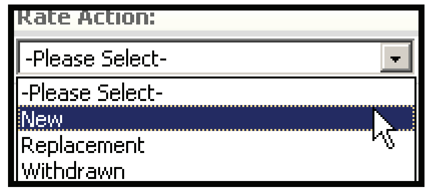
For Rate/Rules:

a. **Exhibit Name –** This is a list of Rate and Rules and various exhibit data being filed.

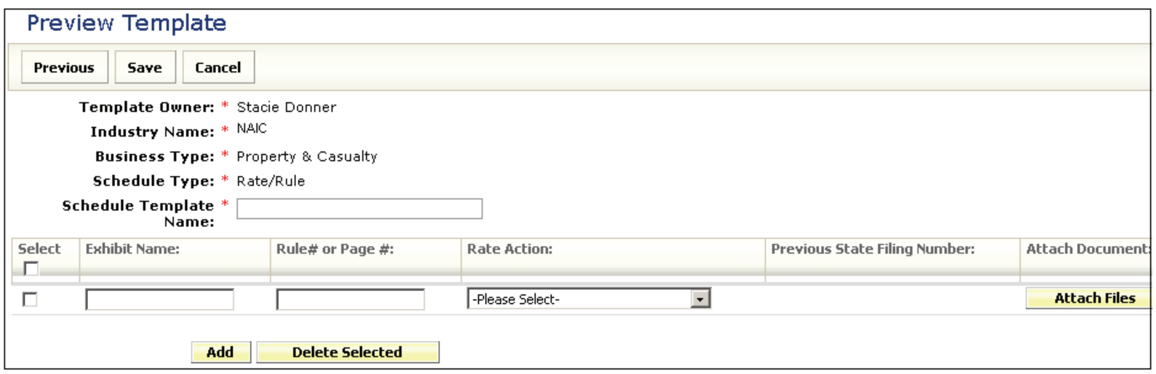
b. **Rate/Rule or Page number –** This is the list of changes to the Rate/Rule manual.

c. **Rate Action** – The type of rate action being submitted.

- New
- Replacement
- Withdrawn



d. **Previous State Filing number –** If rate data is being replaced or withdrawn, the Previous State Filing Number field is displayed. This field will not display if a 'Rate Action' of new is selected.



12. The Author attaches all forms. *Please see "Attaching Files for Schedule Items" for instructions – page 31.*

13. The Author may then click on one of the following three options:

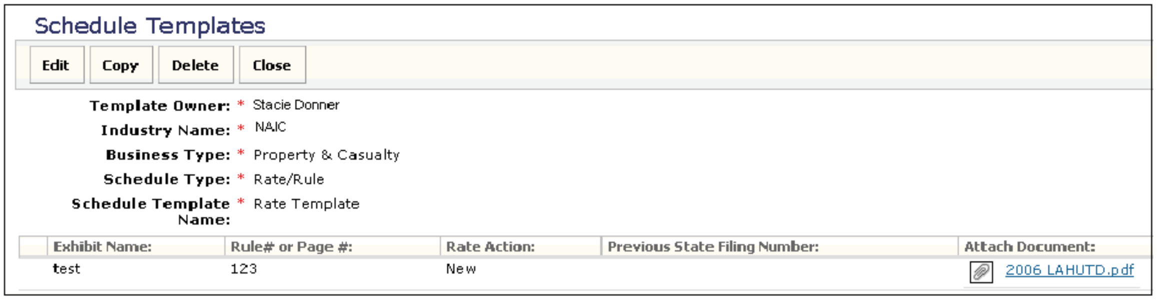
    a. Click the  button to go back a step.

    b. Click the  button to cancel this action.

    c. Click the  button to save, but stay in Edit mode.

    d. Click the  button to save the Schedule Template.

Templates can be edited or deleted by the user who created them or by a Filing Manager. Templates can be viewed, created, or added to a filing by any user on the instance.



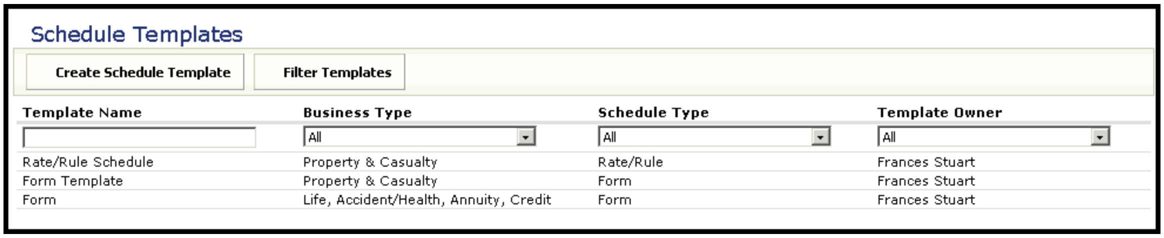
14. Once the Template has been saved, the Author may do any of the following:

- Click the **Edit** button to update the Schedule Template.
- Click the **Copy** button to create another Schedule Template based off the selected template.
- Click the **Delete** button to delete the Schedule Template.
- Click the **Close** button to close the Schedule Template.

Creating a Template for Supporting Documentation

1. Click on the Templates tab.

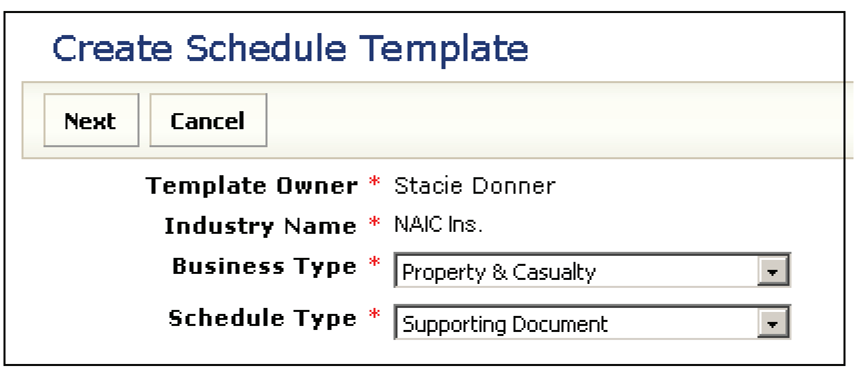
2. Click on the **Create Schedule Template** button.



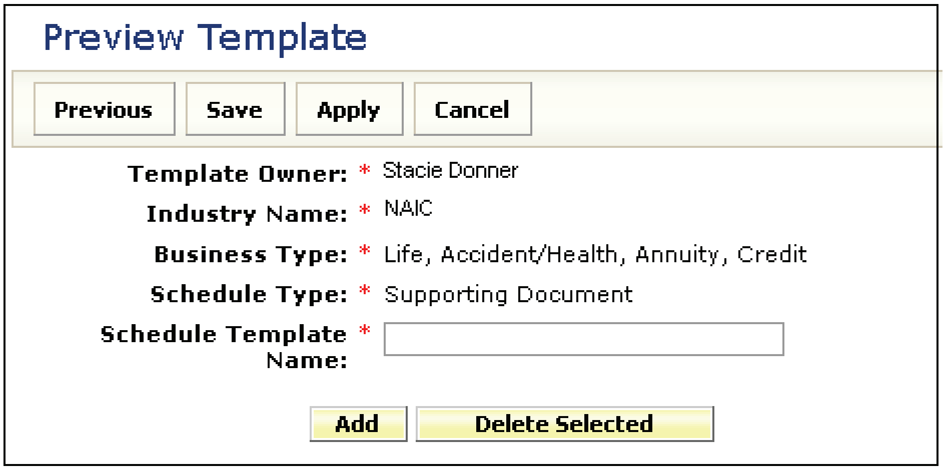
3. Select the Business Type.

4. 4. Select the Schedule Type.

5. Click the  button.

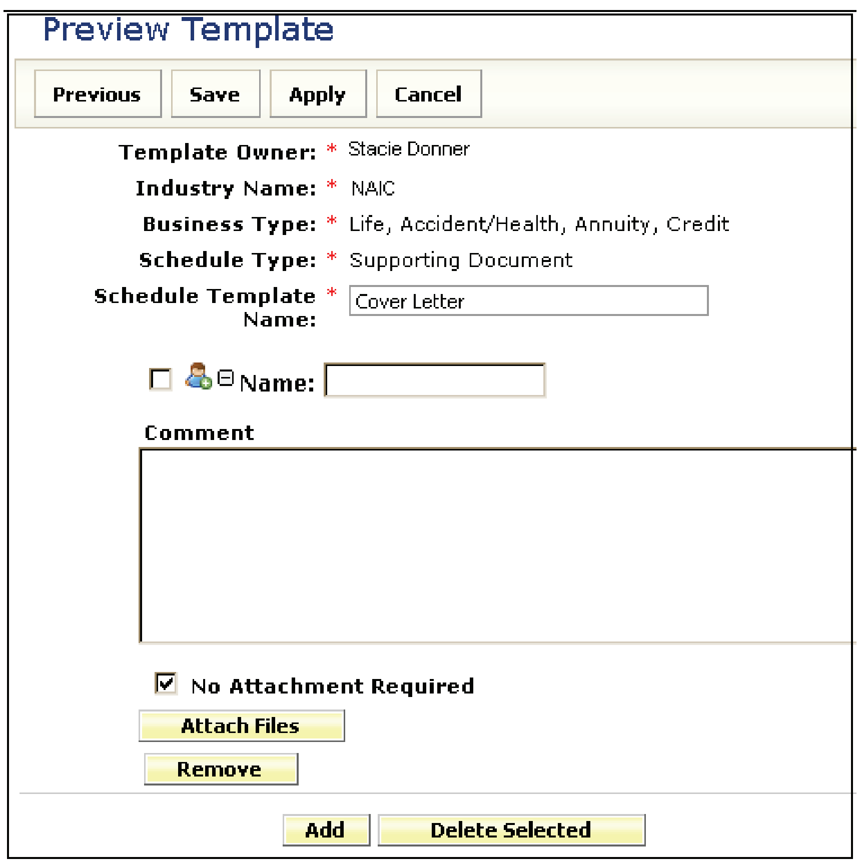


The following page will appear:

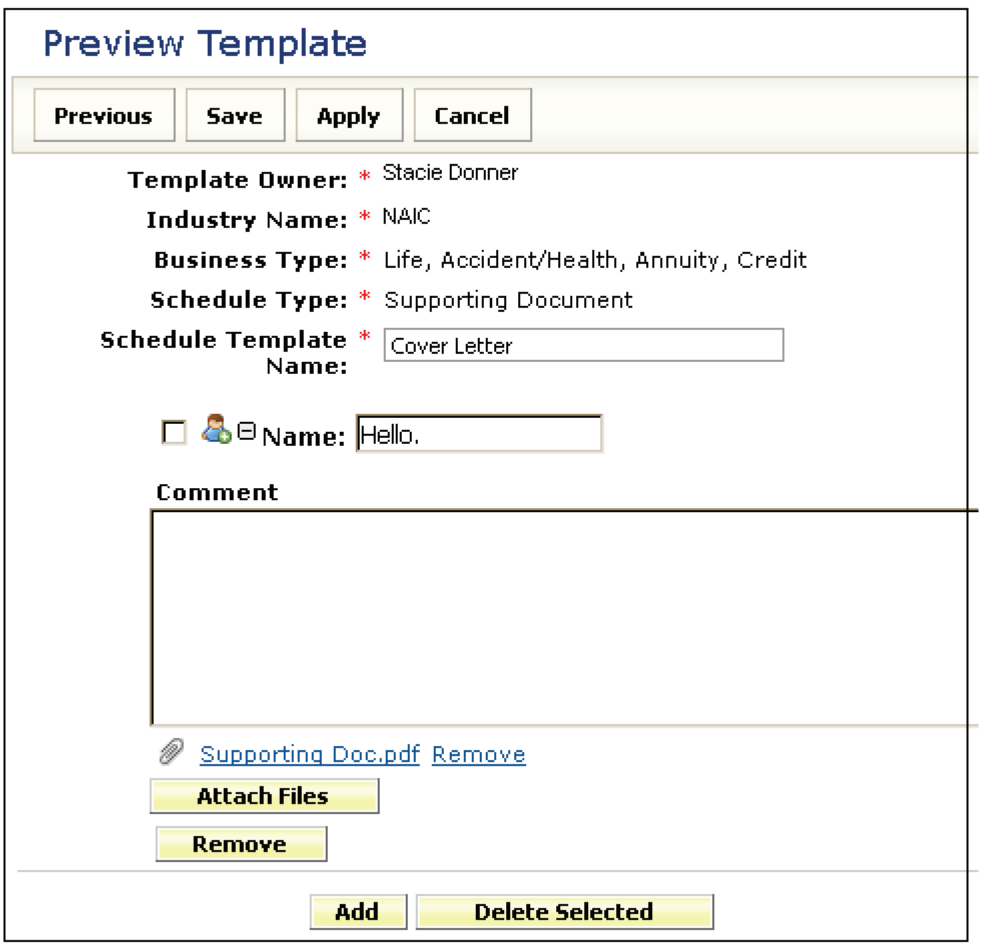


6. Enter the Schedule Template Name.
7. Click the Add button to complete the information for the Schedule Item.

The following page will appear:



8. For each item of Supporting Documentation added, the Author must provide a **Name** and either **Comments** or one or more attachments. The Author may also supply both **Comments** and attachments. The Author will be able to choose the following options:
    - **Comment text box –** Enter comments related to the status of the requirement.
    - **No Attachment Required check box -** Use this check box to indicate that no attachment was required for this item. This will allow the Supporting Documentation to pass completeness validation when submitting the filing to the state.
    - **Attach Files button -** Use this button to add attachments to the Supporting Documentation. Please see page 163 for instructions on uploading documents.
    - **Remove button -** Use this button to remove the Supporting Document item.

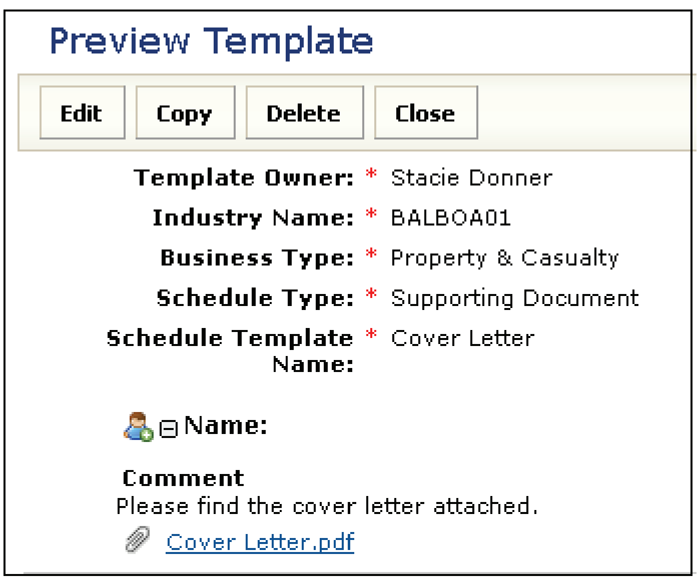


9. The Author may then chose one of the three following options:

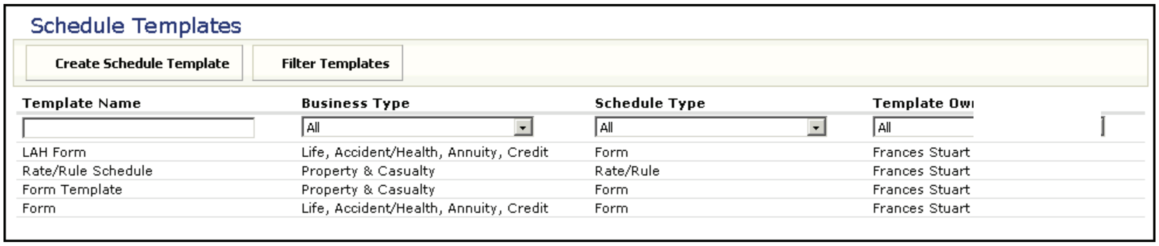
- Click the **Previous** button to go back a step.
- Click the **Cancel** button to cancel this action.
- Click the **Save** button to save the Schedule Template
- Click the **Apply** button to save, but stay in Edit mode.

10. Once the Template has been saved, the Author may do any of the following:

- Click the **Edit** button to update the Schedule Template.
- Click the **Copy** button to create another Schedule Template based off the selected template.
- Click the **Delete** button to delete the Schedule Template.
- Click the **Close** button to close the Schedule Template.



☞ How to Search for a Schedule Template



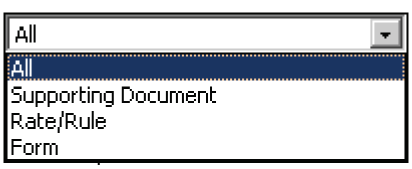
Schedule Templates

Create Schedule Template | Filter Templates

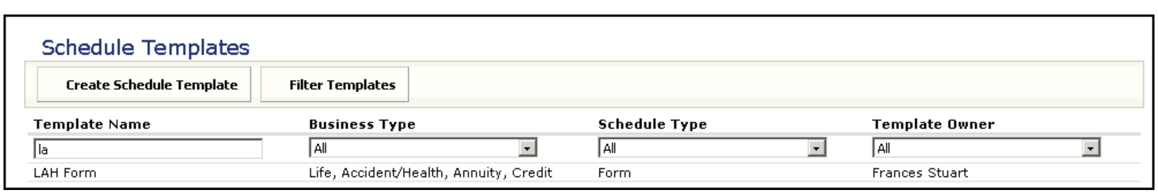
Template Name	Business Type	Schedule Type	Template Owner
	All	All	All
LAH Form	Life, Accident/Health, Annuity, Credit	Form	Frances Stuart
Rate/Rule Schedule	Property & Casualty	Rate/Rule	Frances Stuart
Form Template	Property & Casualty	Form	Frances Stuart
Form	Life, Accident/Health, Annuity, Credit	Form	Frances Stuart

1. Type in the first few characters of a Template Name in the Description field. (Ex. lah)
2. Choose a Business Type.
    a. All
    b. Property & Casualty
    c. Life, Accident/Health, Annuity, Credit

3. Choose the Schedule Type.
    a. All
    b. Rate/Rule
    c. Form
    d. Supporting Document



4. Select the Template Owner.
5. Click on the  button.



Schedule Templates

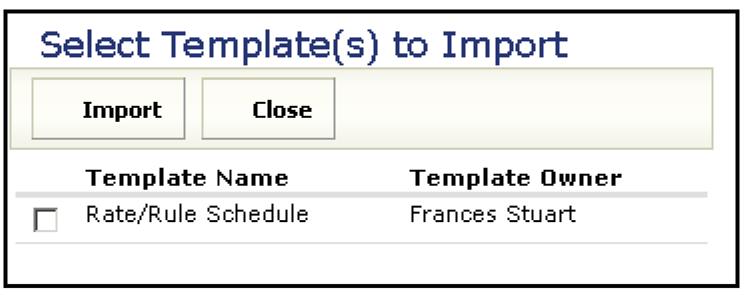
Create Schedule Template | Filter Templates

Template Name	Business Type	Schedule Type	Template Owner
la	All	All	All
LAH Form	Life, Accident/Health, Annuity, Credit	Form	Frances Stuart

☞ Add a Schedule Template to a Filing

1. Create a new filing or open a draft filing.
2. Click the **Edit** button.
3. Click the “Rate/Rule Schedule,” “Form Schedule,” or “Supporting Documentation” tab.

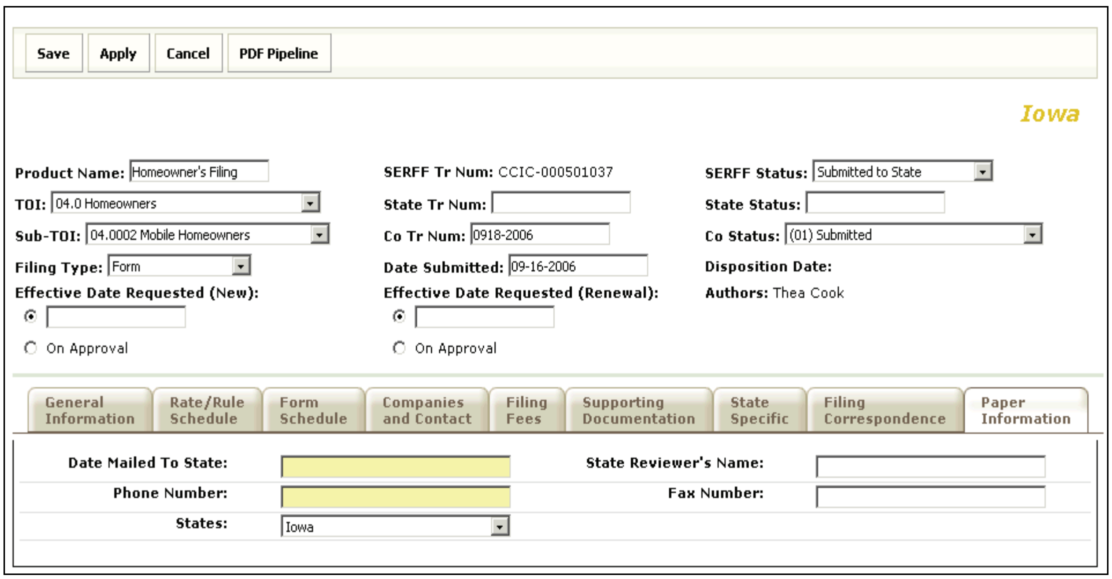
4. Click the **Import Template** button.



5. Select the Template(s). You may select more than one template at a time.
6. Click the **Close** button to close the window.
7. Click the **Import** button.

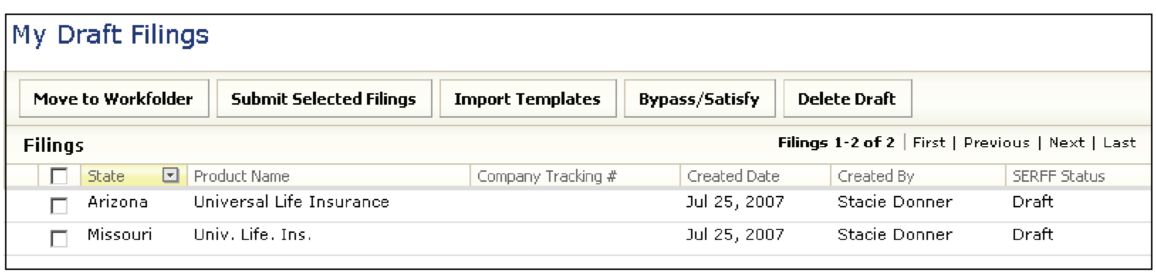
The Schedule is now populated with the information from the Template.

8. Click the  button to save the filing.



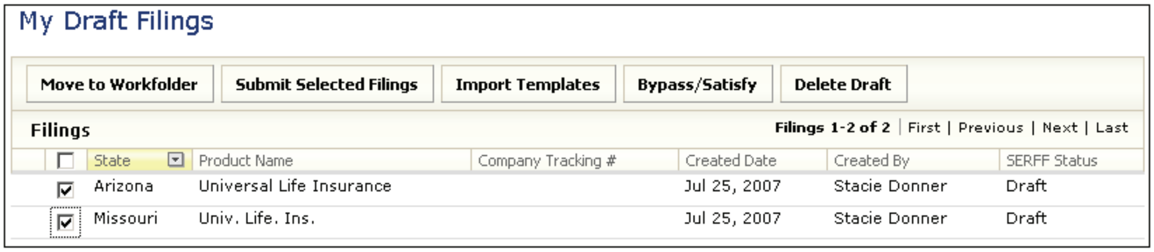
Importing Templates from the Draft view

To increase efficiency when preparing a SERFF filing, a user may import templates to one or multiple filings from the Draft view.

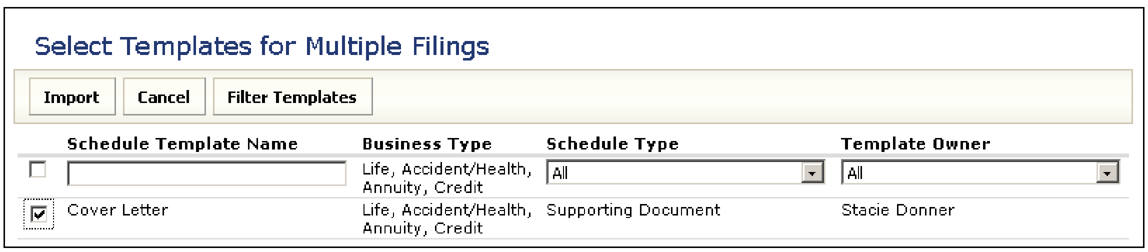


☞ The **Import Templates** button will be available to users in the Draft view if Schedule Templates have been created. See how to create Schedule Templates in the previous section.

1. Select the filings in which a Template will be added.



2. Select **Import Templates**.
3. Select the Template that should be added to the filing.



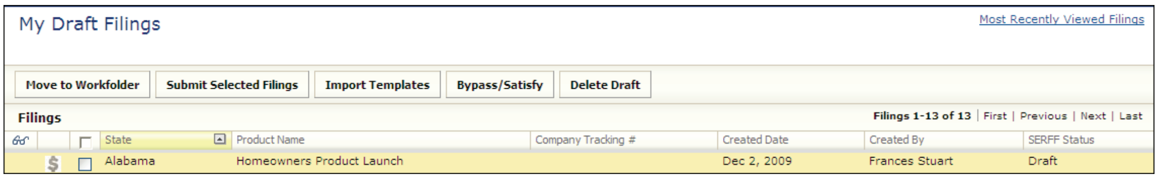
4. Select **Import**.
5. The template has now been added to the two filings.

Confidentiality

The Confidentiality option allows a user the ability to make a request that certain parts of a filing be kept confidential and not be made available via Public Access. The pieces of the filing will be labeled with an icon to indicate a request for confidentiality. The state reserves the option to override the request. If the request is overridden, the user will receive notice that the Public Access has changed on the filing. The confidentiality request icon will change from red to grey.

Requesting Confidentiality

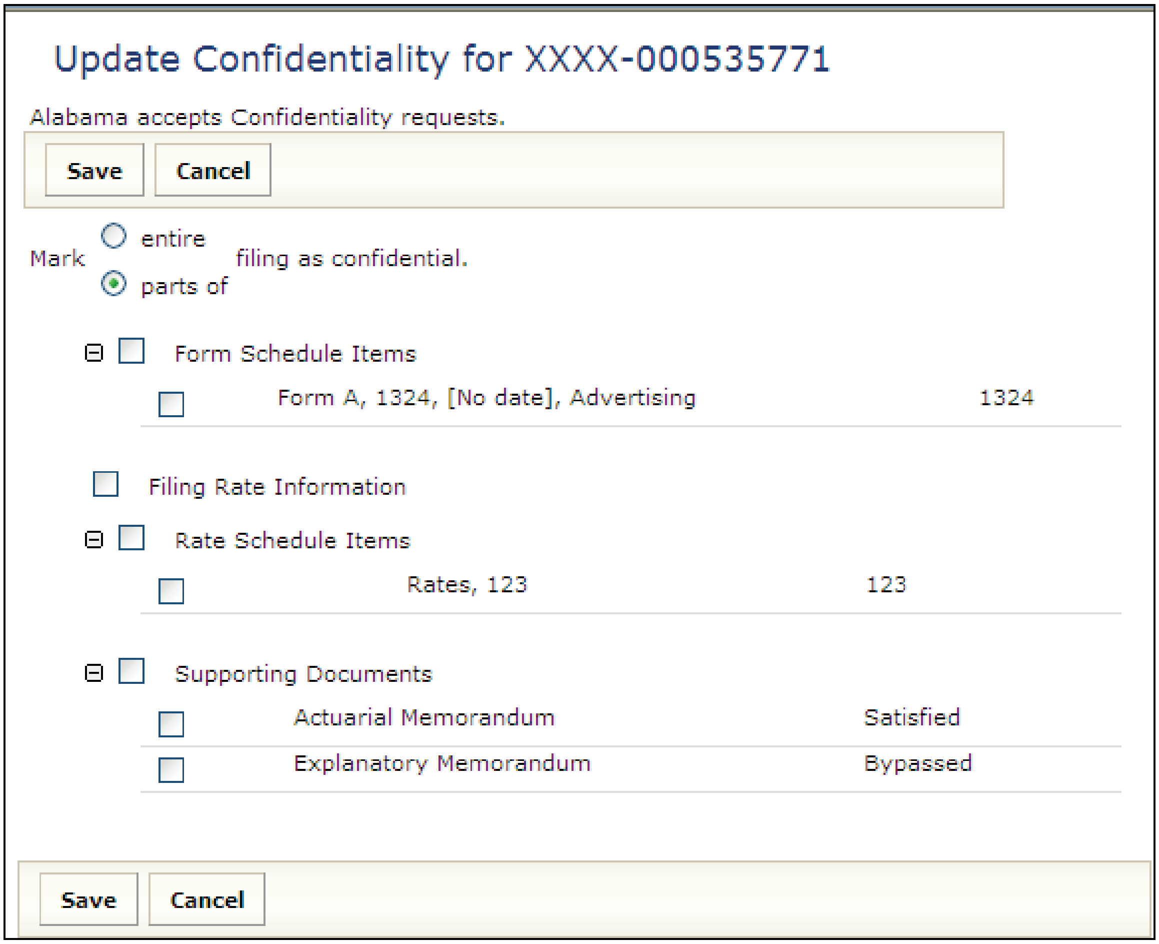
1. Open the draft filing.



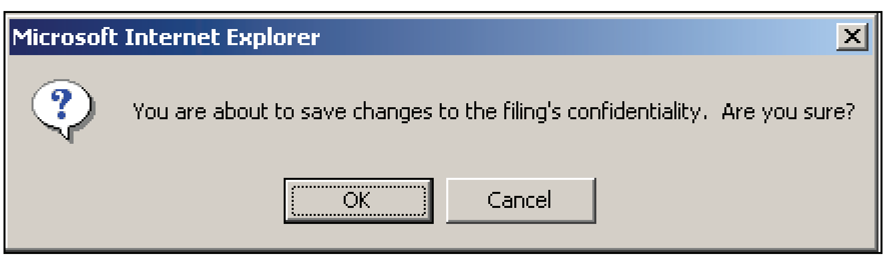
2. Select 

.

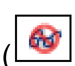
3. Select the parts of the filing to be kept confidential.



4. Click **Save**.. A confirmation message will appear verifying this action.



Click **OK**.

5. The Confidentiality icon () will display next to the items for which the user requested confidentiality.