Lesson 5

After an industry user submits a filing, it is assigned to a Reviewer by the state's intake staff in order to be processed. The Reviewer, or Intake Clerk, may send Objection Letters or Note to Filers before a Disposition is finally attained on a filing. This lesson also looks at the different types of Correspondence used in SERFF.

This lesson covers the following topics:

- My Open Filings
- Message Center
- Post Submission Update
- Responding to an Objection Letter
- Amendments
- PDF Pipeline
- Filer Note
- Note to Reviewer
- Reminders
- Dispositions



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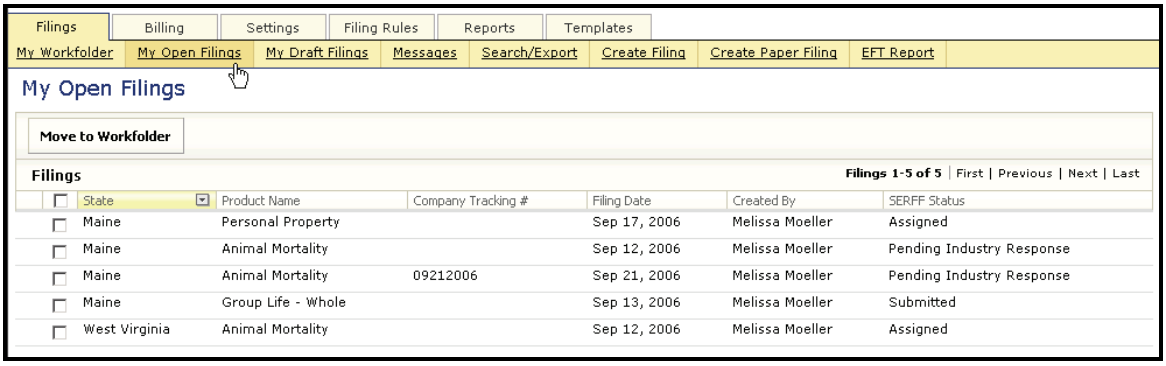
My Open Filings

All filings that have been assigned to an analyst appear under the My Open Filings link. Open filings can be moved to My Workfolder by placing a check mark in the check box next to the filing(s) that the user wishes to move and clicking the **Move to Workfolder** button to execute the move.

☞ Filing Managers will not see filings in the 'My Open Filings' view unless they are added as an Author to the filing. Filing Managers must use the Search feature to locate filings that are not assigned to them.



Most Recently Viewed Filings

When a user logs into SERFF, they are able to view their most recently viewed files by clicking on the 'Most Recently Viewed Filings' link. This provides an easy and fast way to access the last 10 filings that they have been working with most recently.

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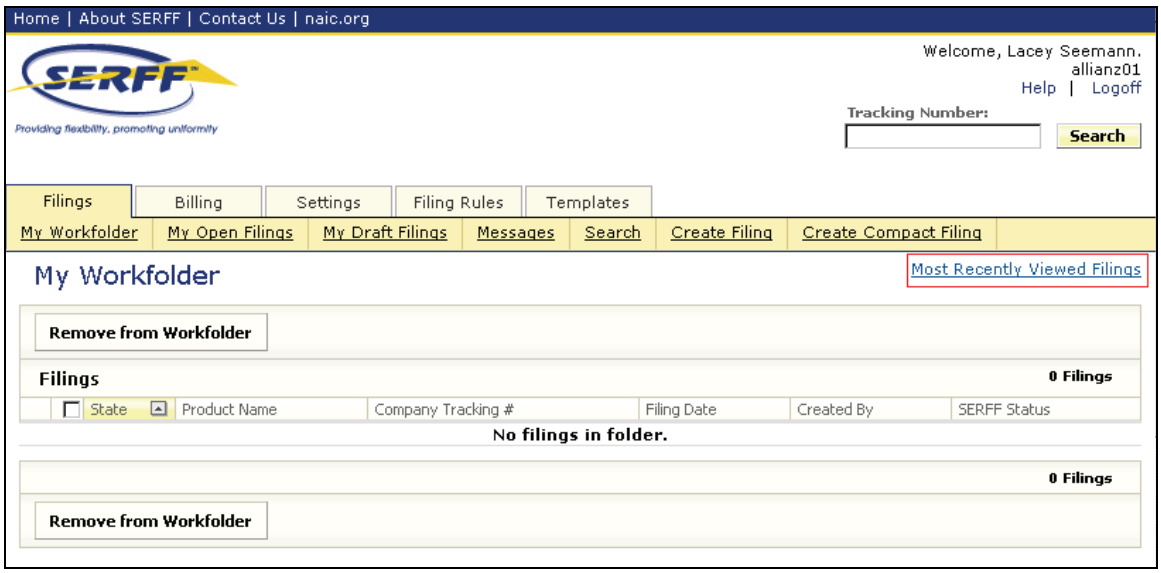

View Filing

1. Click anywhere on the filing row to open a filing you wish to view.

My Workfolder is a customizable, user specific, view. The Workfolder may contain draft filings, open filings, and closed filings. Filings can be moved to My Workfolder from any view on the Filings tab.

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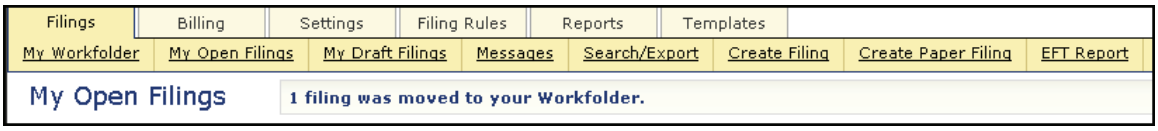
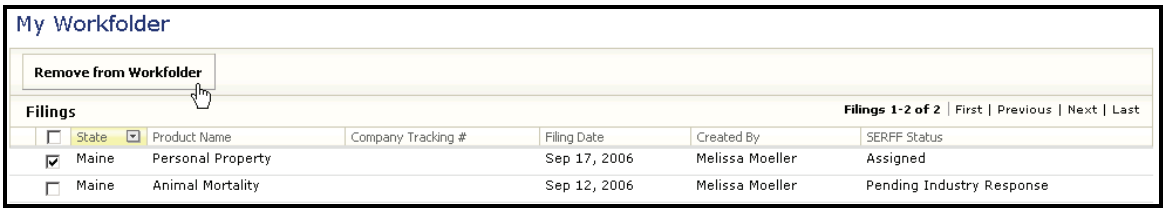
Move to My Workfolder

1. Place a check mark in the box next to the filing by clicking inside the box. To remove the check, click in the box again.
2. Click on the **Move to Workfolder** button.
3. The user is notified that the selected filing has been moved to their Workfolder.

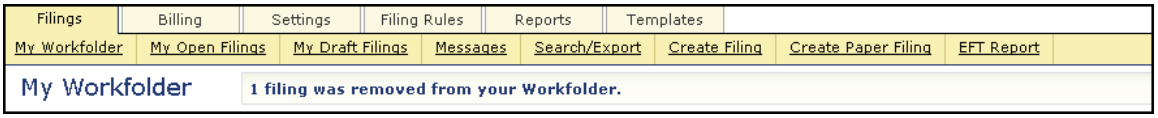


Remove from My Workfolder

1. Click on **My Workfolder** link.
2. Place a check mark in the box next to the filing(s) to be removed from My Workfolder.



3. Click the **Remove from Workfolder** button.



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☞ Removing filings from My Workfolder **will not** remove or delete the filing from SERFF. The filings can still be found under the My Open Filings link or the My Draft Filings link.

Message Center

The Message Center contains notifications about activity on SERFF Filings.

Messages can be viewed by clicking on the Messages link under the Filings tab. There are a number of messages that are generated to notify the user of their filings' status. Authors receive messages for all events on filings to which they are assigned. Managers receive messages for *all* events on *all* filings in their instance.

Messages are identified by a distinct subject line. Once the message is opened, additional information is displayed and the user can link directly to the filing referenced. If two Authors receive messages on the same filing, and one user opens the message, the icon will disappear for the filer who reads the message. The message for the other Author will be displayed with a push-pin icon indicating that the message has not been read.

Types of Messages:

- Assigned/Changed Reviewer
- Note to Filer received
- Filer Note created
- Objection Letter received
- Disposition received
- Filing submitted with Default Public Access
- Public Access status change
- Reopened Filing
- Compact Filing Acknowledgement
- Effective/Implementation Date Updated
- Filing State Info Changed
- Billing Low Block Warning

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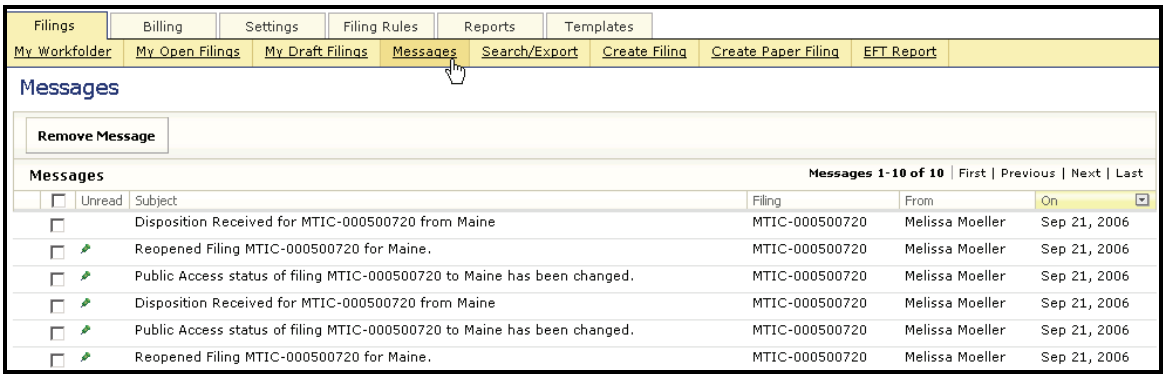
The Message Center View

Like the other views in SERFF, the columns in the Message Center can be sorted. Click once to sort the column in ascending order, click again to sort in descending order. The default sort for the Message Center is descending by date. The column on which the view is currently sorted is highlighted in yellow.

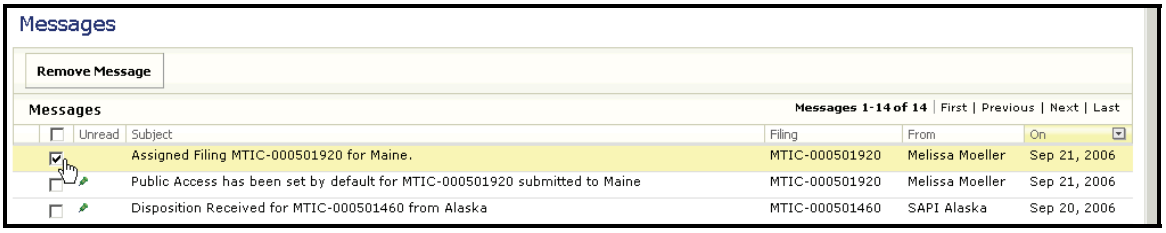


The Message Center displays 50 messages at a time. To view additional messages, use the First, Previous, Next and Last links.

☞ Remove a Message

From the Message Center view, messages can be removed individually or several at a time.

1. Select the messages to be removed by clicking in the box to the left of the Message Subject. Click the box in the column header to select the entire page of messages.



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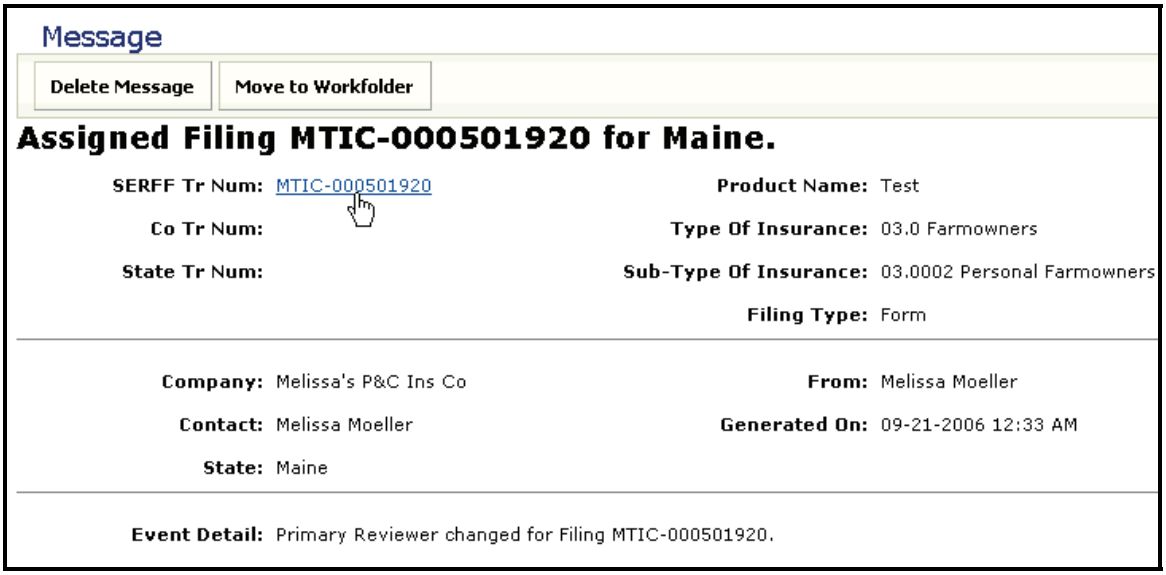
2. Click the Remove Message button.



When a Message is received, it will have an icon indicating that it has not been read. If two users receive the same message and only one reads it, the other user will still see the icon as it is user specific. Once a user opens the message, the icon will be removed.

Open a Message

1. To open a Message, move the pointer to the Message. Click when the Message to be read is highlighted in yellow.
2. The Message will display. The Message contains details about the filing and a description of the event that triggered the Message.



When viewing a Message, the user has several options.

- To return to the Message Center, click the Messages link.

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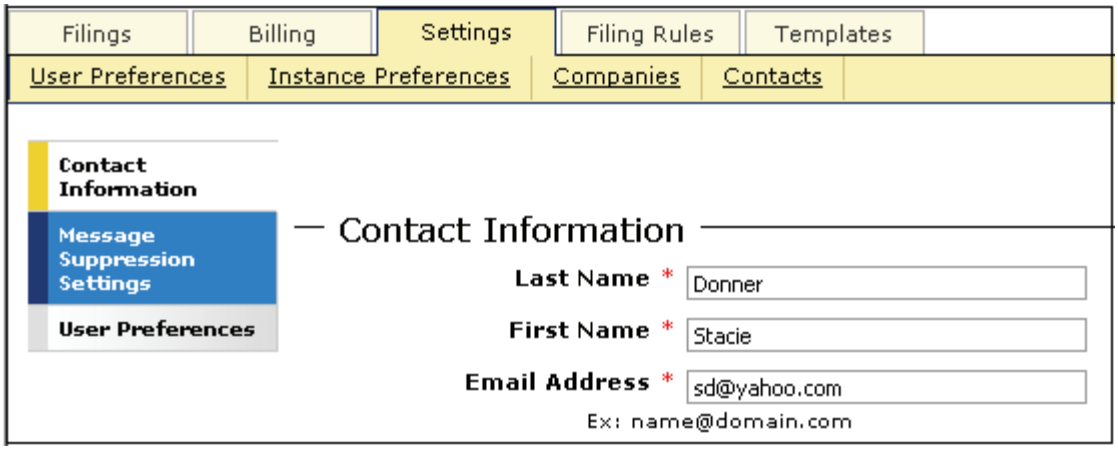
- To delete the Message for the current user, click the Delete Message button.
- To move the referenced filing to the user's Workfolder, click the Move to Workfolder button.

☞ Moving a filing to the Workfolder from within the Message also removes the Message from the Message Center.

- To open the filing referenced in the Message, click the blue, underlined SERFF Tracking Number.

Message Suppression

Message Suppression allows users to control the types of Messages they receive so that their Message view remains manageable. For example, if a particular user is a Filing Manager, he/she may not want to receive a Message each time a Filer Note is created on a filing. To access this feature, click on the Settings tab and then click on Message Suppression Settings.



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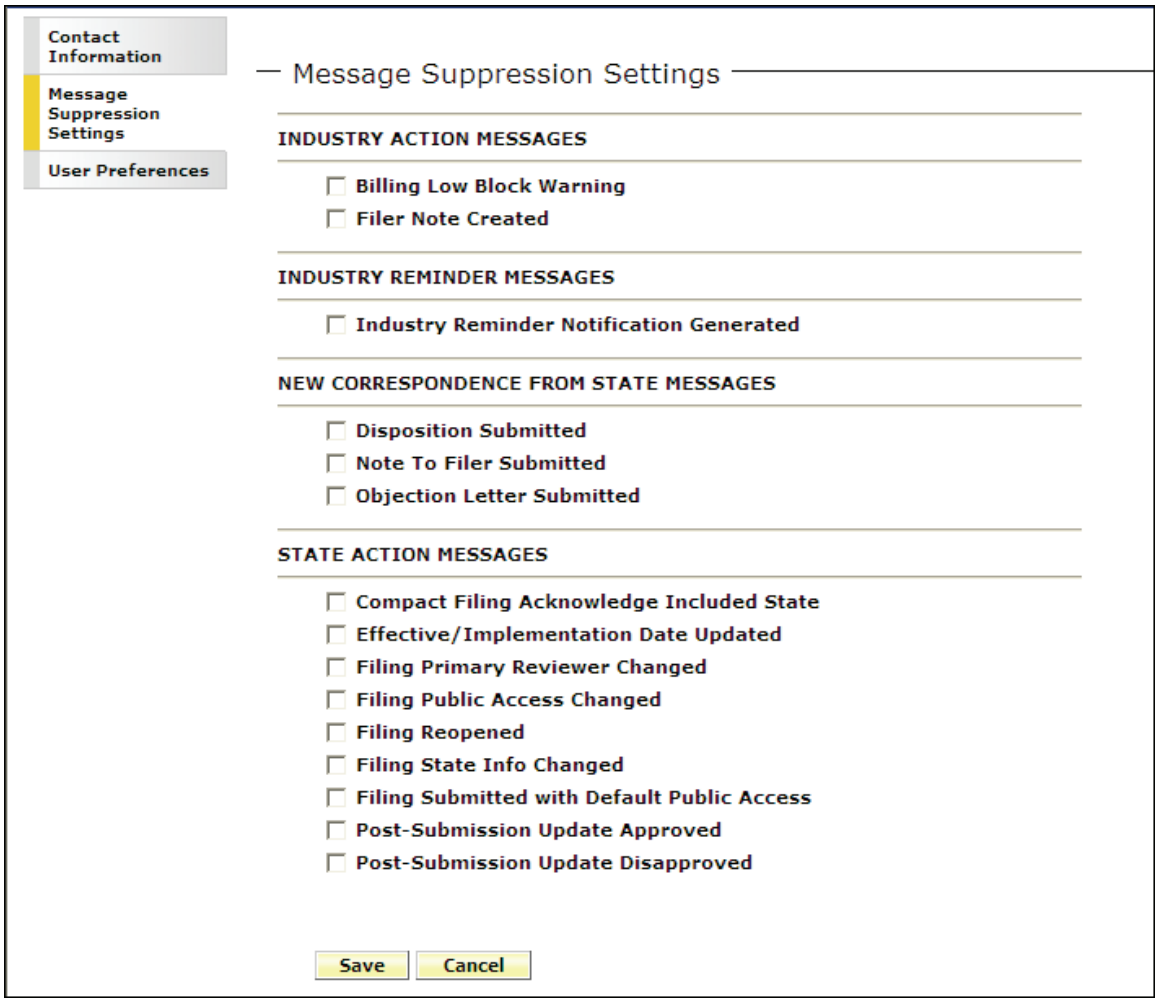
The following screen shows all pieces of Correspondence that can be suppressed:



☞ Suppress a Message(s)

1. Click on the Settings tab.
2. Click on Message Suppression Settings - the left side of the page.
3. Click on the type of Message(s) that are to be suppressed. In the example below, 'Filer Note Created' has been selected.

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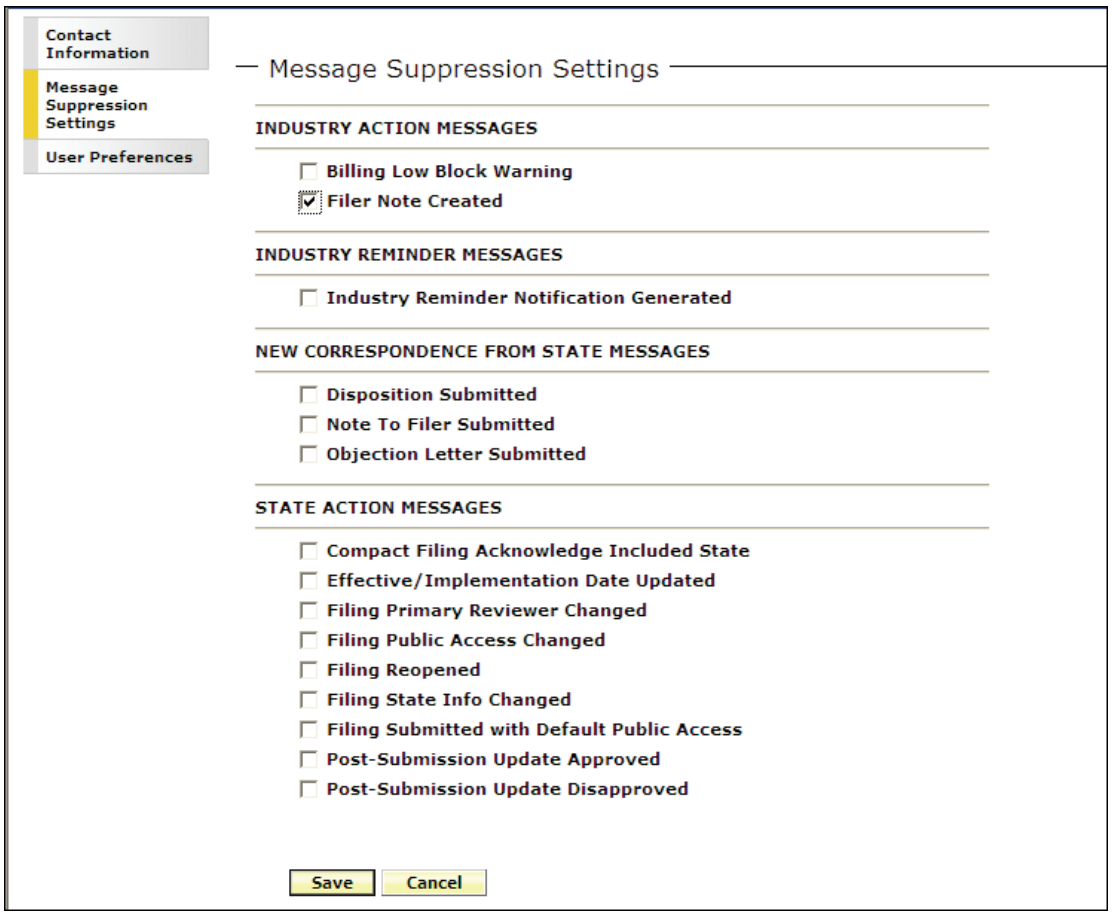

4. Click **Save**.
5. The user preferences have now been saved.



☞ All Message Suppression options are specific to each individual user. Users can update their Message Suppression settings at any time by following the same steps as above.

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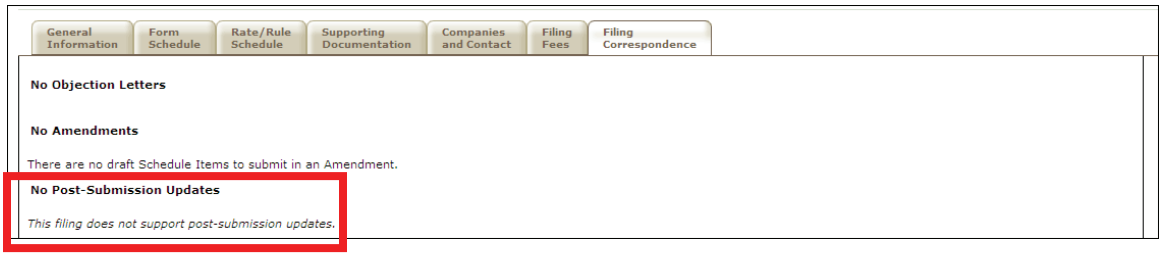
Post Submission Update

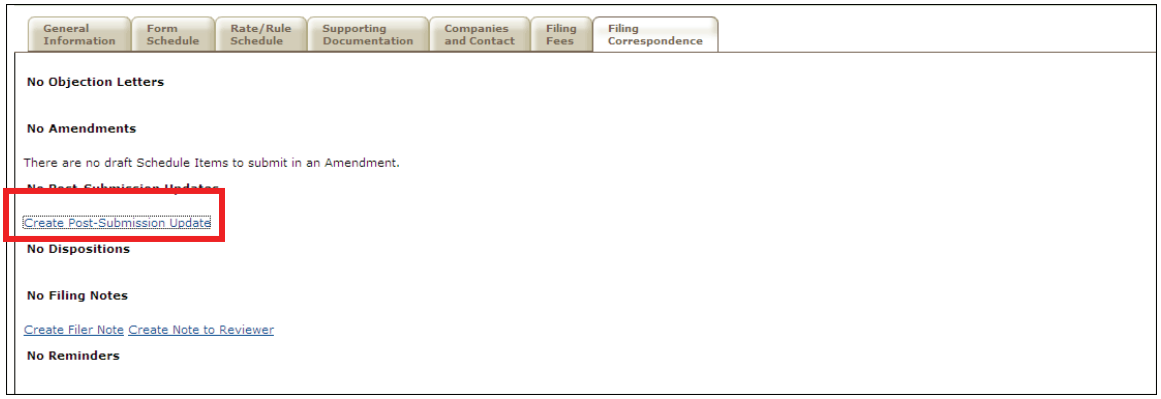
The Post Submission Update feature of SERFF gives industry users the ability to update various filing fields after the filing has been submitted. Depending upon a state setting, these updates will be allowed on open filings, both open and closed filings, or none at all. Once received, the state will review the request and allow or disallow the changes.

☞ Note: The filers will only be able to submit post submission updates if the state allows the functionality on their instance. If the state does not accept updates, the link will be replaced by explanatory text.



☞ Creating a Post-Submission Update

1. Click on the Filing Correspondence tab.
2. Click on the Create Post Submission update link



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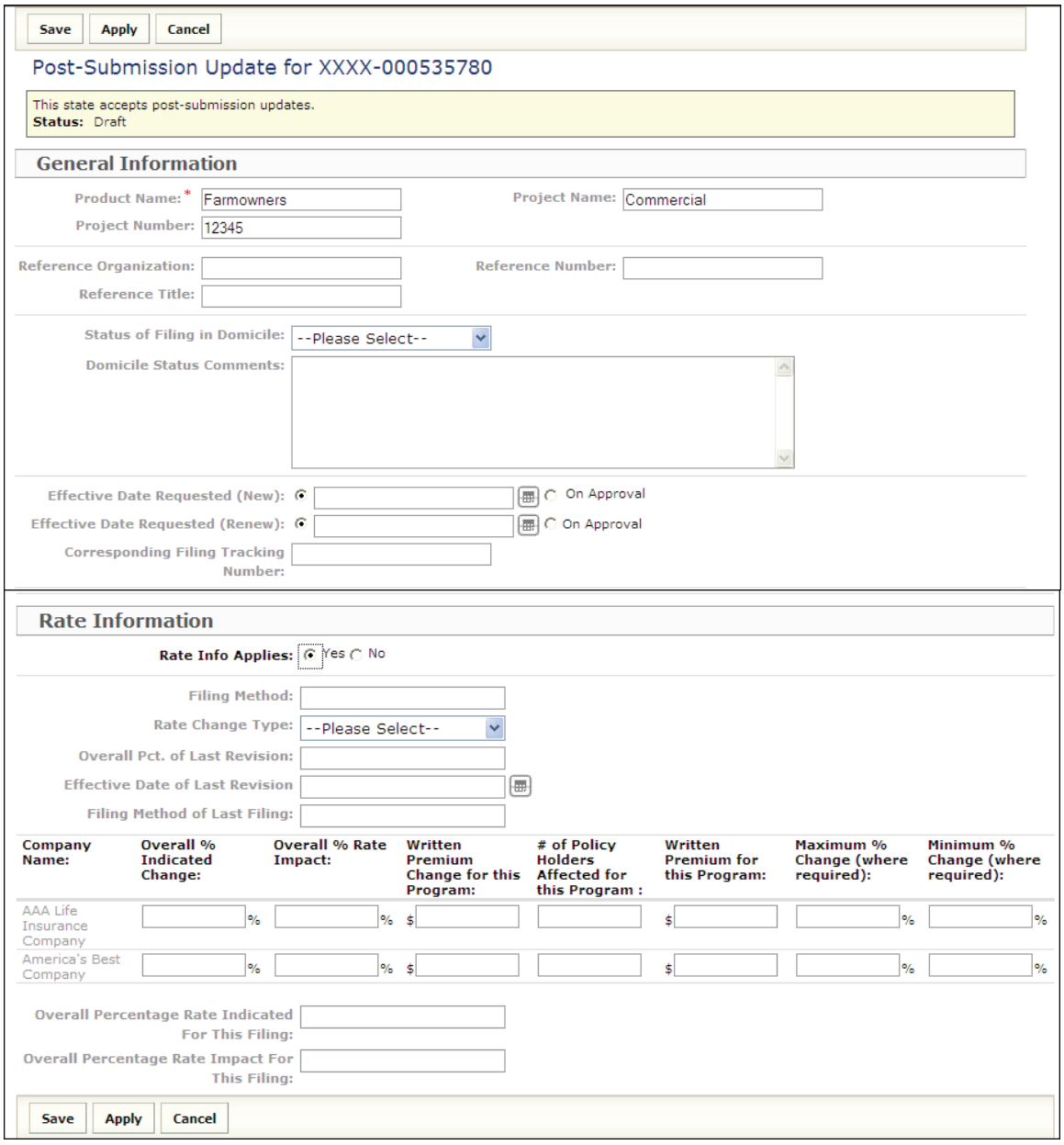
The Post Submission Update request will show the fields available for update. The current values of the fields will be displayed. Please note that there will be slight differences between filings of different business types.



3. Update the fields as needed and click the **Save** button.

☞ Note: Rate Data can be added or updated on a Post Submission Update, regardless of whether it was included on the original filing.

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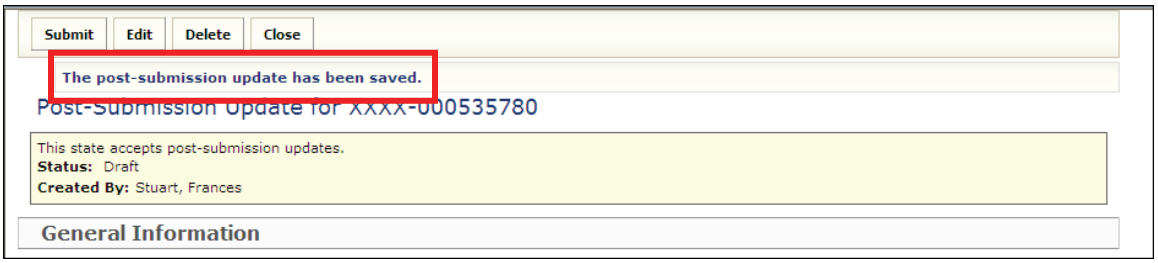
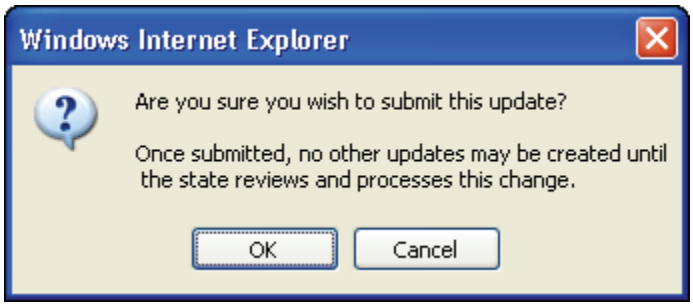
4. After saving the update the author will receive confirmation that the submission has been saved.



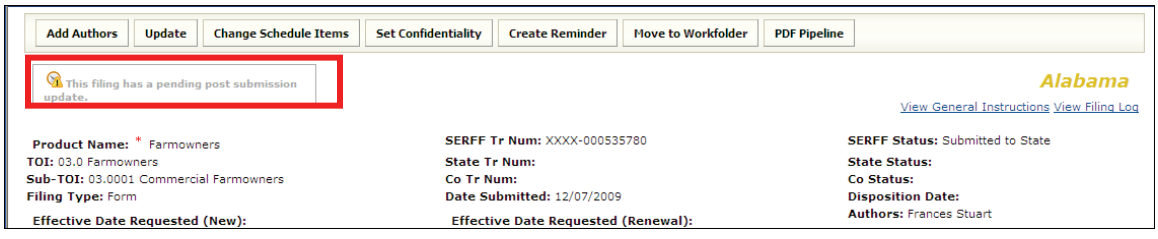
5. Click the Submit button to send to the state.



6. Click the OK button to submit.

☞ Note: Once submitted, the request cannot be changed and another request cannot be created until the state takes action on the current request.

Filings with pending Post Submission Updates will have an icon above Filing at a Glance. The full request can be accessed from the Correspondence tab.



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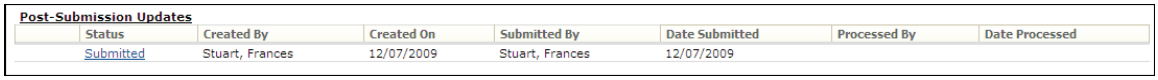
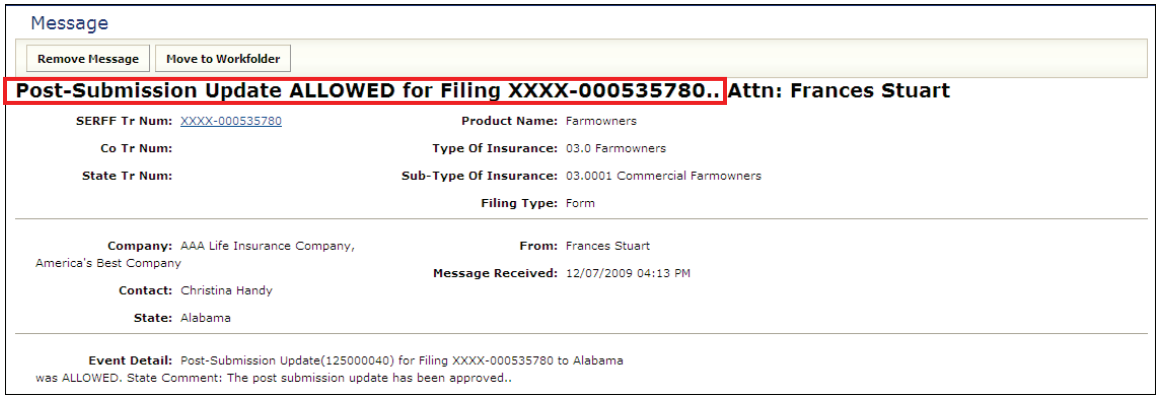
On the filing correspondence tab the filing author can view the post submission update request that was submitted to the state.



Post-Submission Updates

Status	Created By	Created On	Submitted By	Date Submitted	Processed By	Date Processed
Submitted	Stuart, Frances	12/07/2009	Stuart, Frances	12/07/2009		

Once the state has reviewed your Post Submission Update, the filer will receive a message in your SERFF Message Center advising that your request has been allowed or disallowed.



Message

Remove Message | Move to Workfolder

Post-Submission Update ALLOWED for Filing XXXX-000535780.. Attn: Frances Stuart

SERFF Tr Num: XXXX-000535780
Co Tr Num:
State Tr Num:
Product Name: Farmowners
Type Of Insurance: 03.0 Farmowners
Sub-Type Of Insurance: 03.0001 Commercial Farmowners
Filing Type: Form

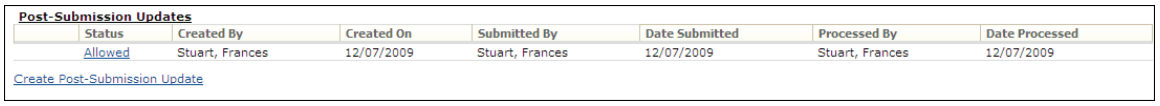
Company: AAA Life Insurance Company, America's Best Company
Contact: Christina Handy
State: Alabama
From: Frances Stuart
Message Received: 12/07/2009 04:13 PM

Event Detail: Post-Submission Update(125000040) for Filing XXXX-000535780 to Alabama was ALLOWED. State Comment: The post submission update has been approved..

After allowing the update, the icon and wording in Filing at a Glance changes, as does the status of the request. If the request is disallowed, the icon above Filing at a Glance is removed and the request status is changed to Disallowed.



This filing has post submission updates.



Post-Submission Updates

Status	Created By	Created On	Submitted By	Date Submitted	Processed By	Date Processed
Allowed	Stuart, Frances	12/07/2009	Stuart, Frances	12/07/2009	Stuart, Frances	12/07/2009

Create Post-Submission Update

When a request is allowed, the applicable fields on the filing are updated. Fields that has been changed post submission will have an icon next to them representing changed data. This icon does not appear if the change was not allowed.

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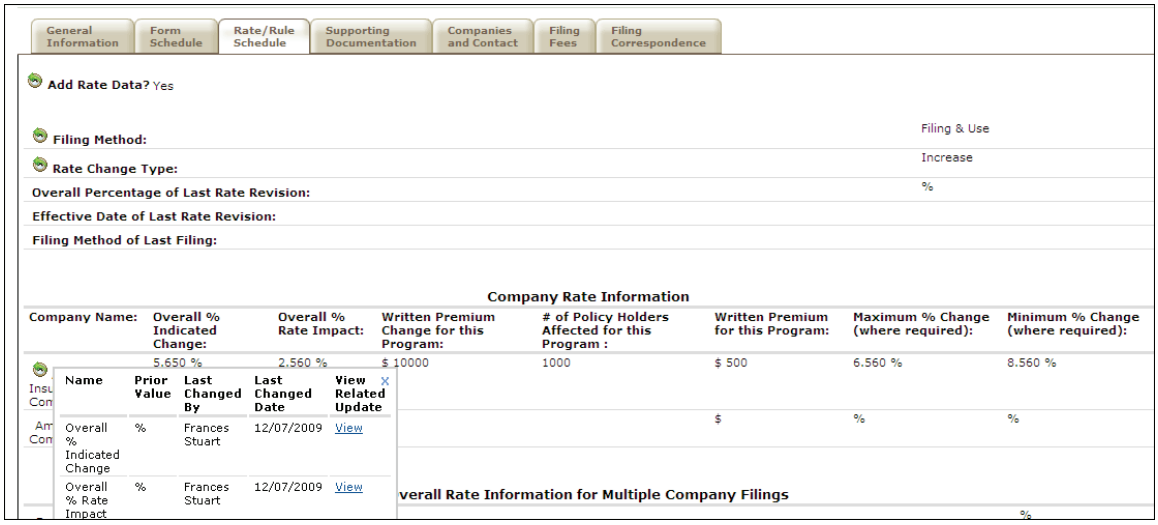
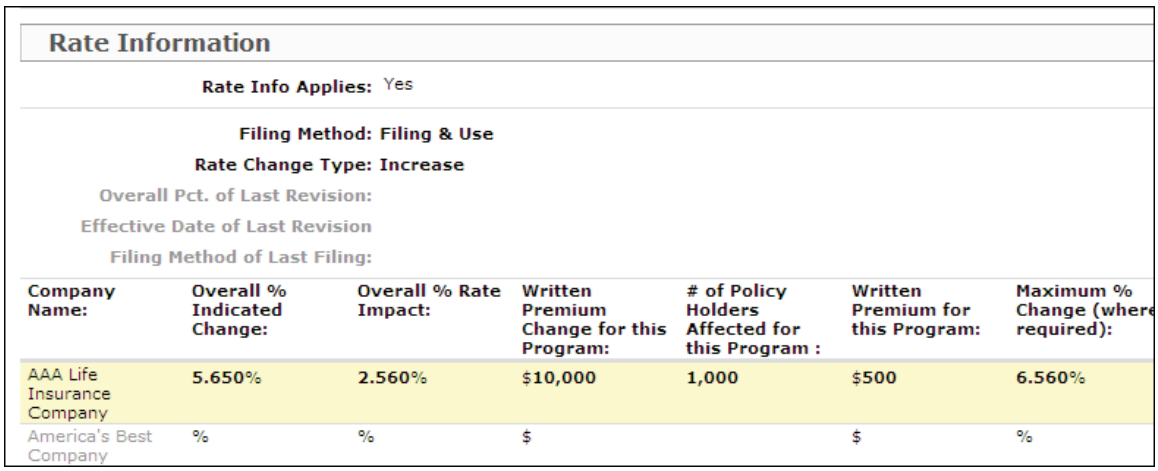
View Approved Post Submission Updates

1. Click on the schedule tab to view the approved updates.



2. Clicking the  icon for a field with changes will trigger the display of the history of changes for that field, including prior values and the date the field was changed.
3. The user can click the  link to be taken to the Post Submission Update for that change

Note: The post submission update will show the changes in bold.



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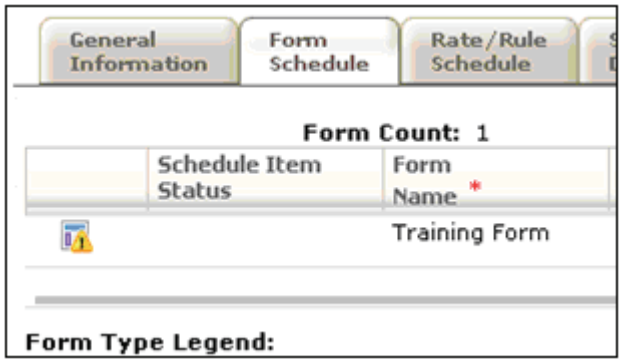
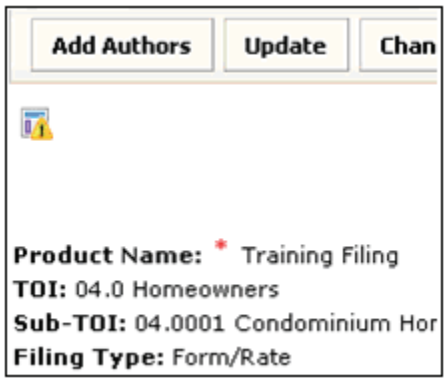
Responding to an Objection Letter

If a filing does not meet all of a state's filing requirements, an Objection Letter will be created by the state. An Objection Letter requires the Author or another user to submit a Response Letter, which may include one or more Schedule Item revisions or additions. The Reviewer will create Objections while reviewing the filing, which will be inserted into an Objection Letter and sent to the Author indicating what needs to be revised and/or added. The Author will receive a message in the Message Center stating that an Objection Letter has been received.

☞ Review the State's Objections

An 'Open Objection' icon will appear next to any Schedule Item that has an open Objection. In cases where an Objection Letter has no Objections, or has Objections not related to a specific Schedule Item, the icon will display in the Filing at a Glance section.





☞ Clicking on the icon provides the user with the details of the related Objections.

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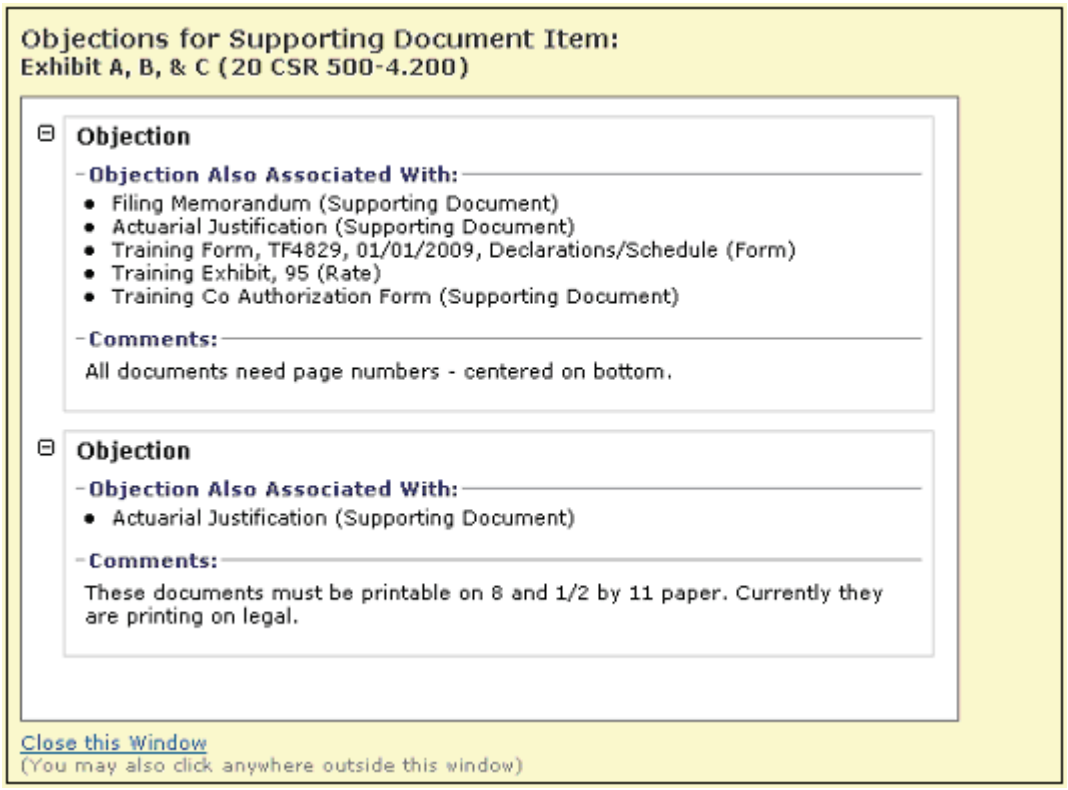

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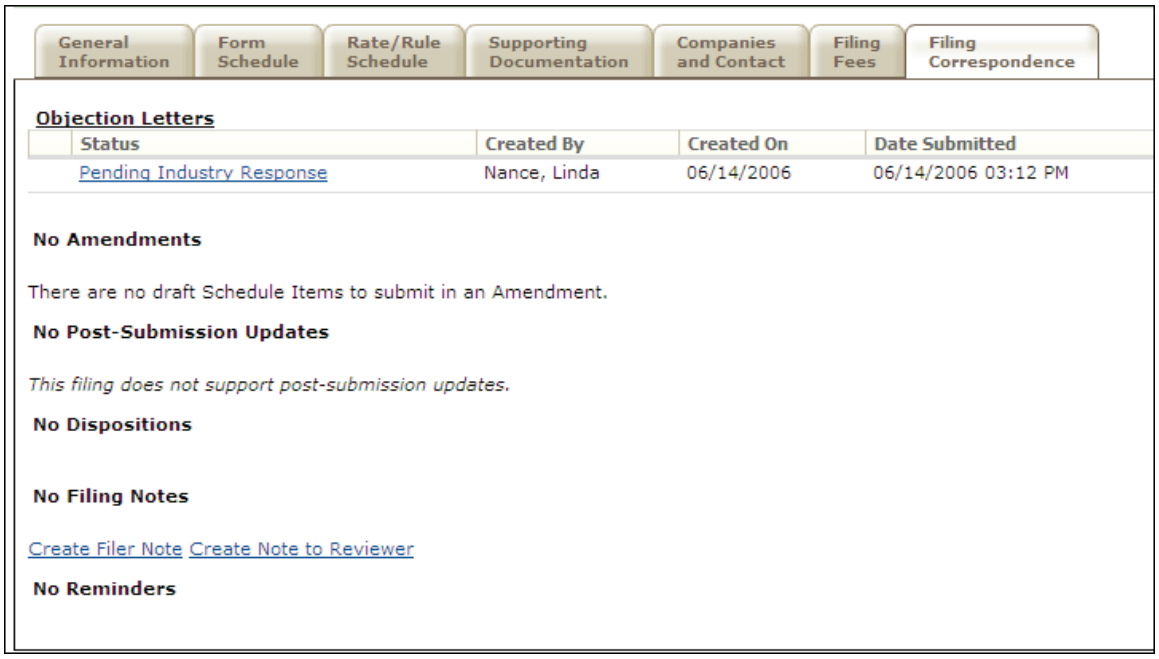
☞ This information can also be viewed within the Objection Letter on the Filing Correspondence tab.

4. Click on the Filing Correspondence tab.



5. Click on the Status link under the Objection Letters header.



Once the user has clicked on the Status link, the letter should be displayed. The user will see the Objection(s) that the Reviewer has noted regarding the filing. In the example below, there are two Objections included in the Objection Letter. Objection 1 refers to the entire filing, which is why a Schedule Item is not given in parentheses.

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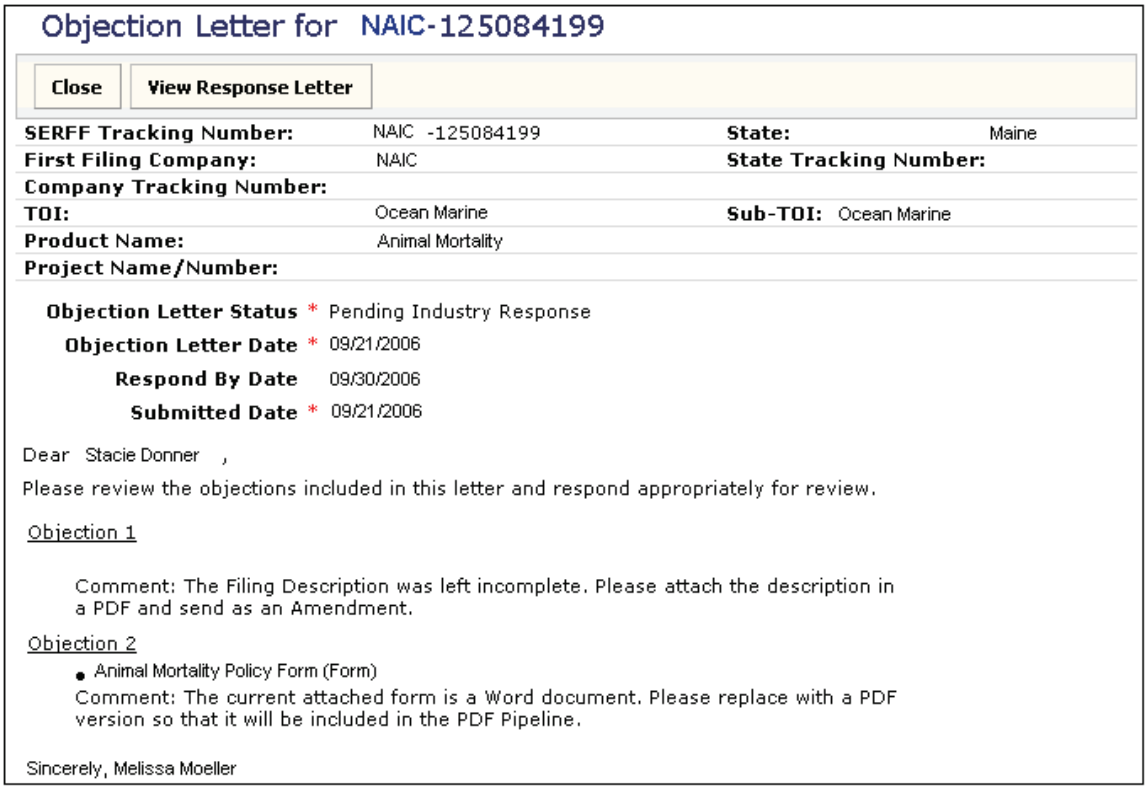
Objection 2 refers to an item from the Form Schedule, with the Form Name 'Animal Mortality Policy Form.'

The Objection Letter Status is state specific and set by the Reviewer. The Objection Letter Date is the date that the Reviewer sent the Objection Letter. The Respond by Date is a date by which the state expects the Author to respond. The Submitted Date is the date that the Objection Letter was actually submitted and viewable by the Author.



Objection Letter for NAIC-125084199

Close | View Response Letter

SERFF Tracking Number:	NAIC -125084199	**State:**	Maine
First Filing Company:	NAIC	**State Tracking Number:**	
Company Tracking Number:			
TOI:	Ocean Marine	**Sub-TOI:**	Ocean Marine
Product Name:	Animal Mortality		
Project Name/Number:			

Objection Letter Status * Pending Industry Response
Objection Letter Date * 09/21/2006
Respond By Date 09/30/2006
Submitted Date * 09/21/2006

Dear Stacie Donner ,

Please review the objections included in this letter and respond appropriately for review.

Objection 1

Comment: The Filing Description was left incomplete. Please attach the description in a PDF and send as an Amendment.

Objection 2

- Animal Mortality Policy Form (Form)

Comment: The current attached form is a Word document. Please replace with a PDF version so that it will be included in the PDF Pipeline.

Sincerely, Melissa Moeller

6. Click on the **Close** button after reviewing.

The first step in the Response Letter process is to make the requested changes to the Schedule Items. **NOTE: Do not click on the 'Respond' button. This will be the last step in the process.

Revising Schedule Items

1. Click **Change Schedule Items** from the filing view.

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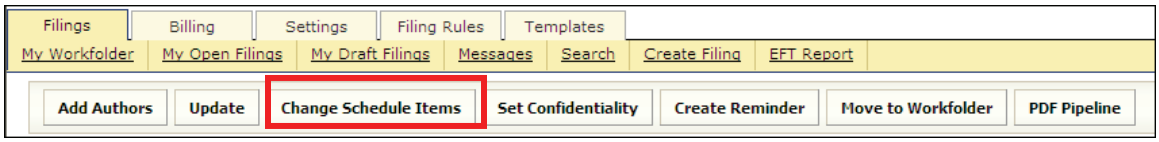
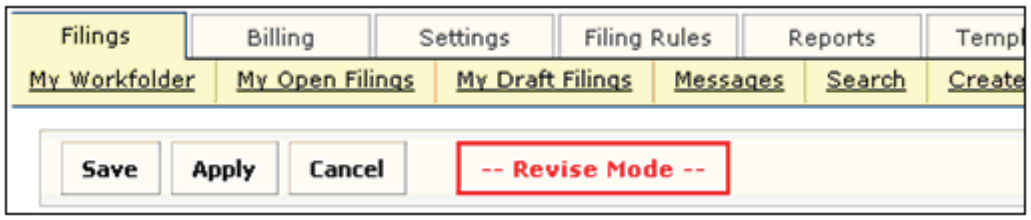
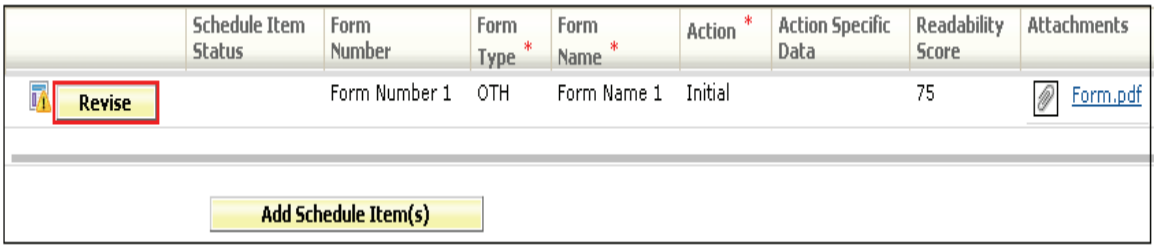


2. The filing will be put into "Revise Mode."

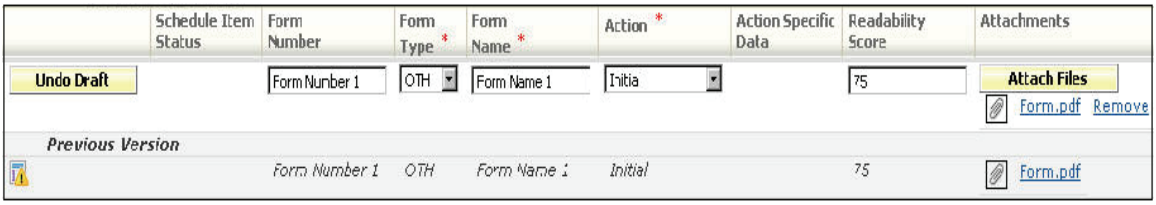


3. Click  to the left of the item to be changed.



☞ New items may also be added while in 'Revise mode' by clicking on the 'Add Schedule Items' button.

4. Make necessary changes to the Schedule Item.



☞ When revising a Schedule Item, a new line (in white) is automatically populated with the information from the original version (in grey) because many of the items may not change. (Please refer to the area pertaining to Forms Schedule Item Changes.) All fields and attachments can be changed in order to respond appropriately to the Objection Letter.

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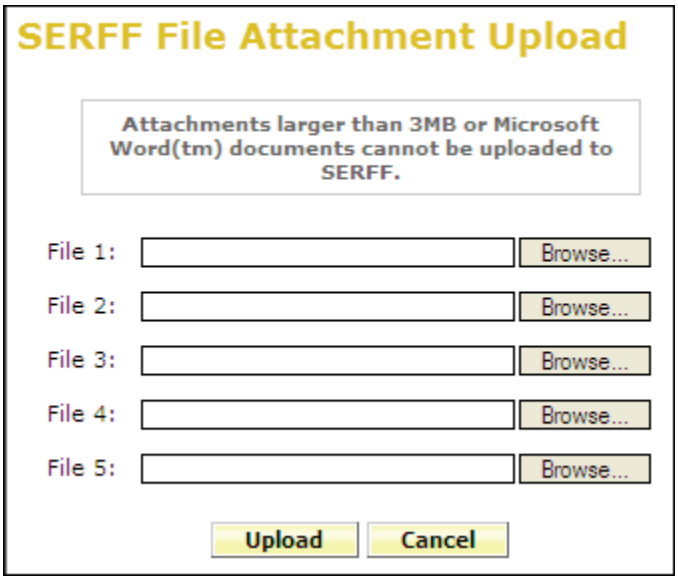
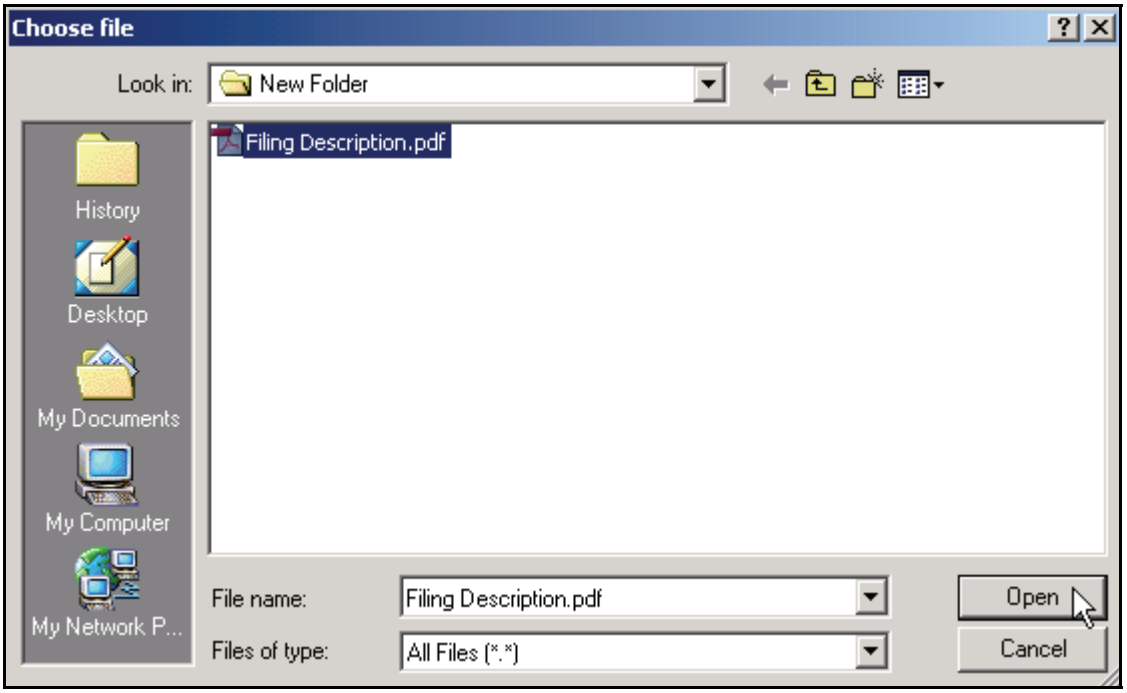
5. Click on the 'Remove' link next to the document on the revision line (white) to remove the duplicated original document.
6. Attach the revised files by clicking on the Attach Files button.
   a. Click Browse... to find the file.



   b. After selecting the appropriate file, click Open button to add the attachment to your file list.



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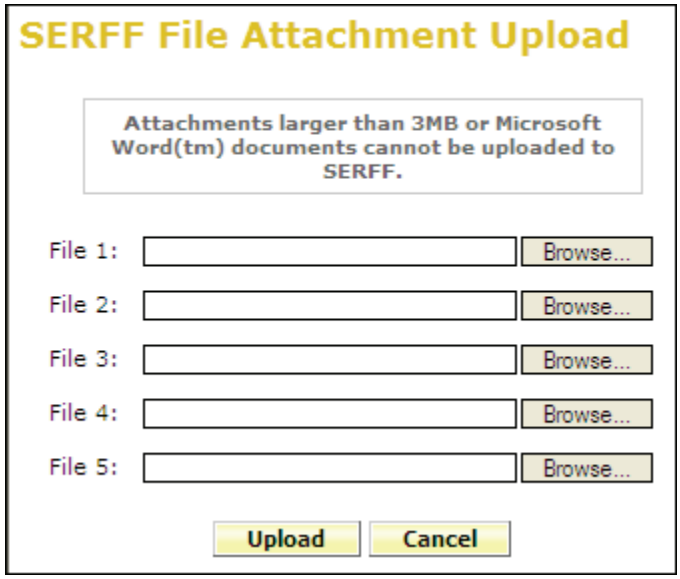
c. Click on the Upload button.



☞ Up to five files can be attached at a time before uploading.

7. Continue in this manner until all the necessary Schedule Item changes have been made. Be sure to click Apply to save your changes periodically.

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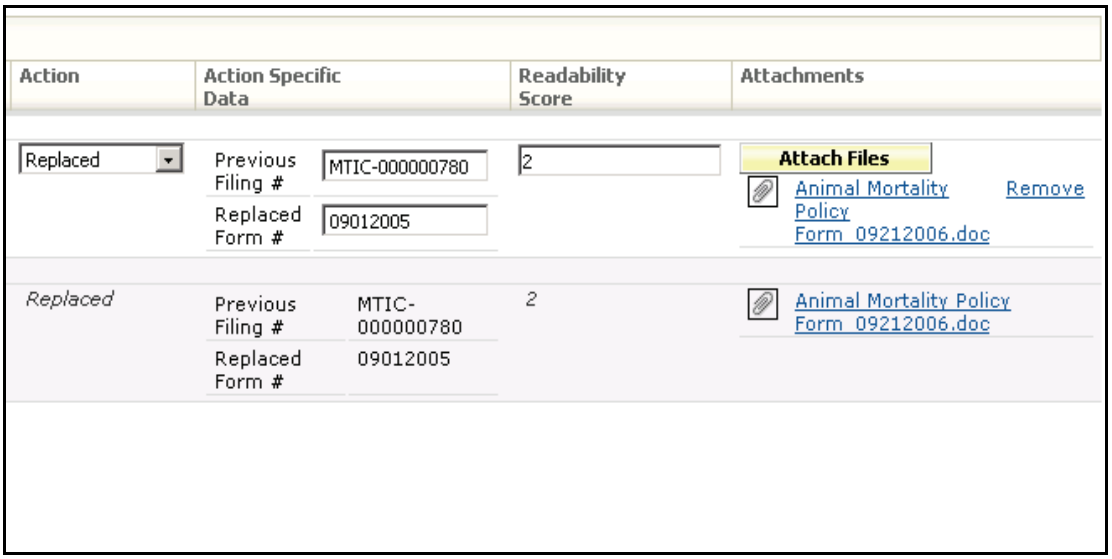
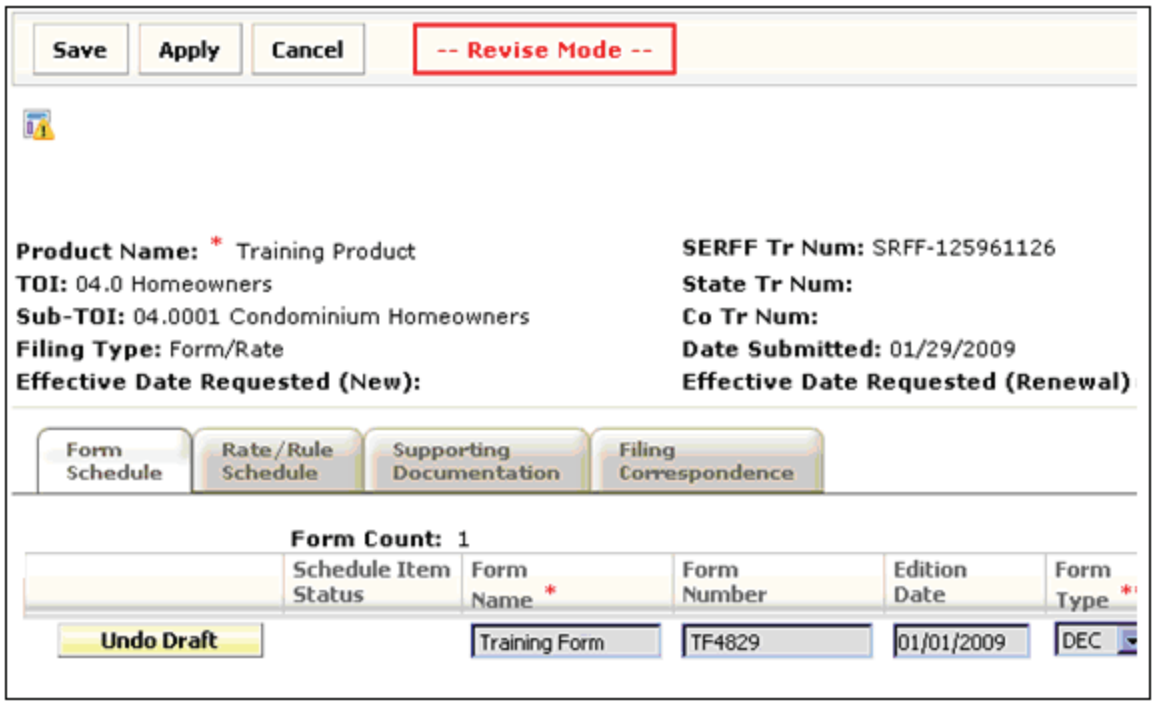
Clicking on the Remove link that is after the attachment will remove the previous version of the attachment and enable the user to submit an amended file. The user should remove the attachment that is being revised and attach the updated version. The original attachment is still seen below the attachment in the grayed out area and cannot be removed or changed.



8. Click Save to save changes and exit Revise mode.



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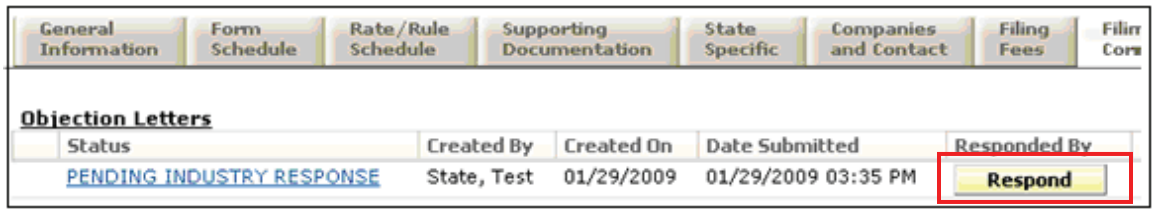
If a Schedule Item has been replaced in error, click the Undo Draft button.

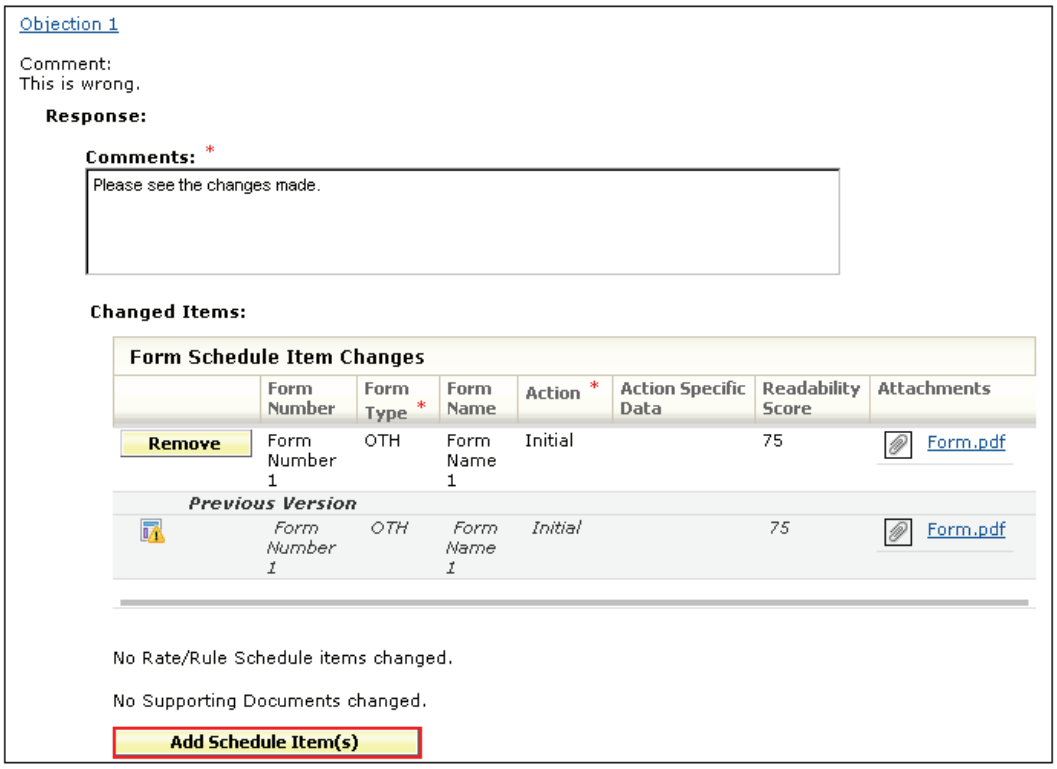
Build the Response Letter

1. Click **Respond** button located next to the Objection Letter on the Filing Correspondence tab. This will generate your Response Letter.



SERFF will automatically pull all Draft Schedule Items (the filing revisions) into the Response Letter. Each Response will automatically match up with the corresponding Objection.

2. Enter an Introduction, Comments (per Objection) and Conclusion in the respective fields. The Comments field is required and must be completed for each Objection.



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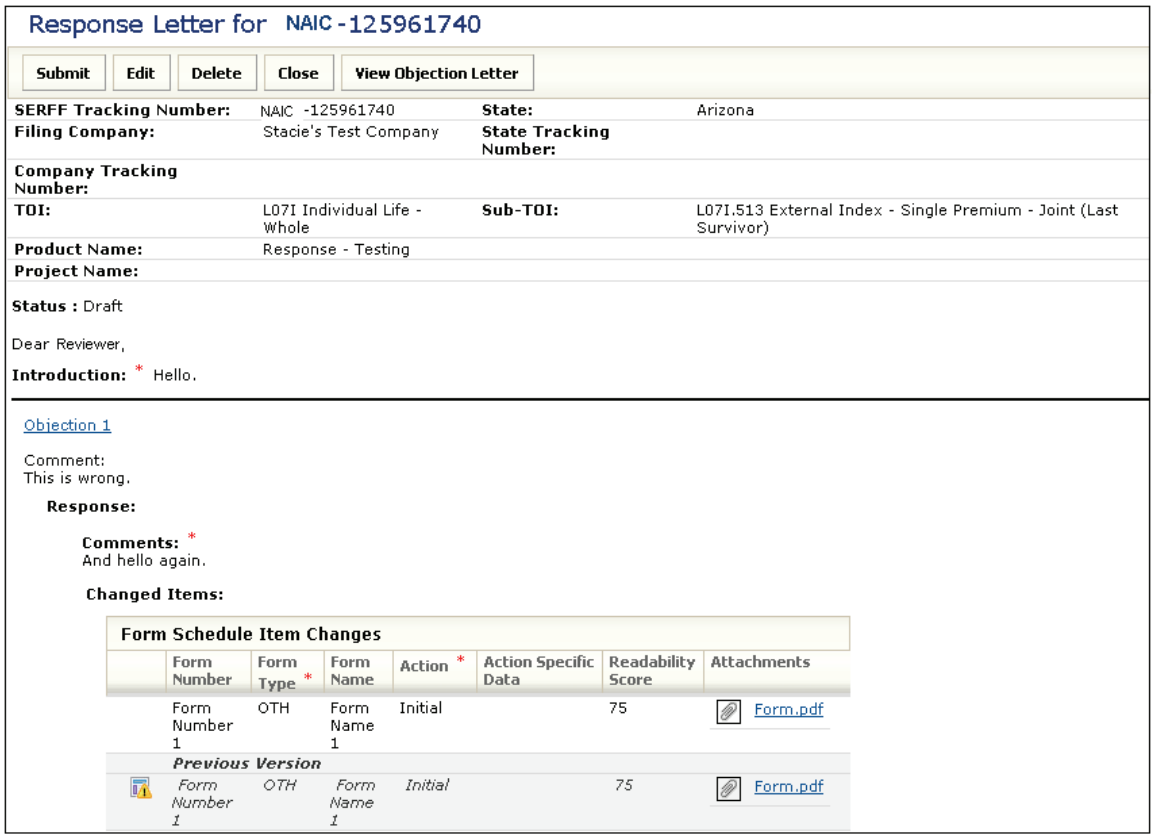
☞ If there are no Schedule Item changes for a given Objection, enter a comment relating to the particular Objection.

3. Throughout the process, click **Apply** to periodically save updates.
4. Click **Save** once all updates have been made.

☞ After clicking on the **Save** button, the user can Submit, Edit, Delete or Close the Response Letter. The user can also View the original Objection Letter sent by the Reviewer.

5. After reviewing the Response Letter and the changes, click **Submit**.



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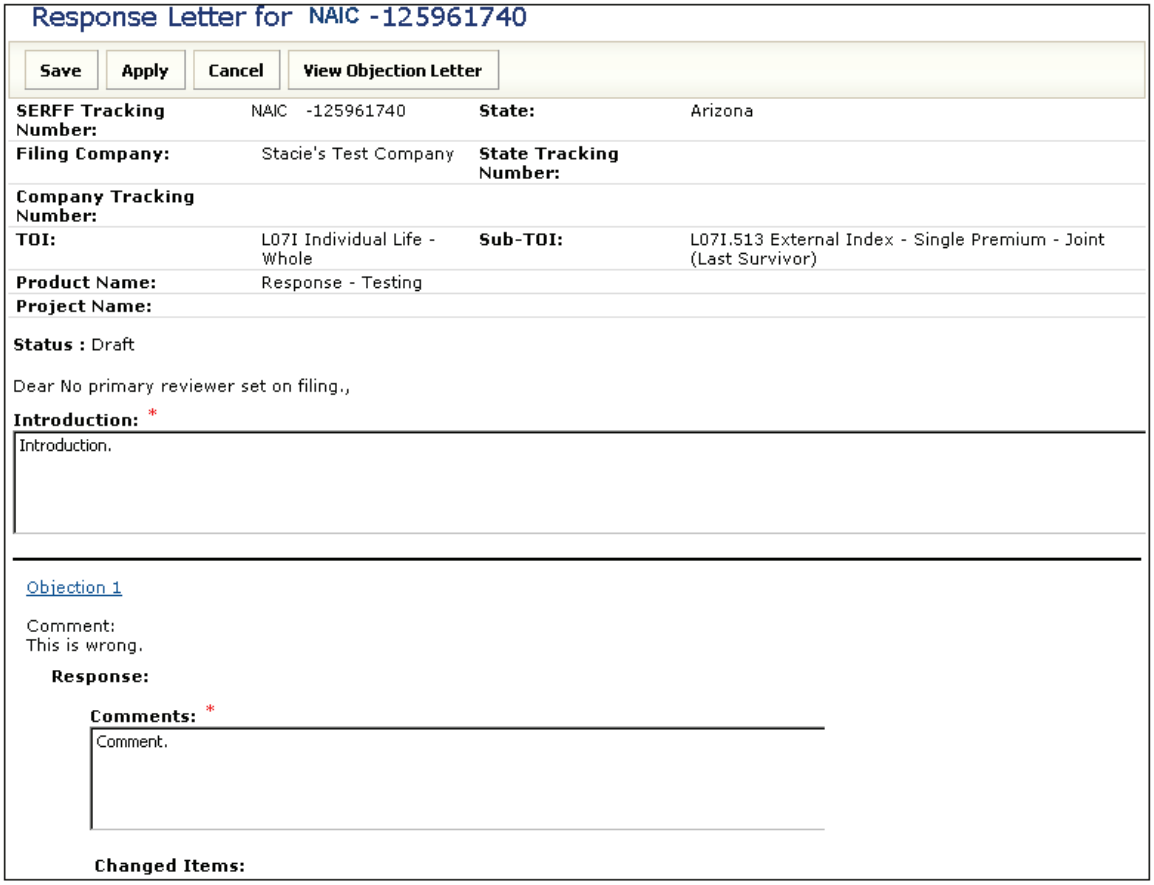
How to Edit the Response Letter

1. Open the Response Letter and click the Edit button to update.
2. Update the Introduction, Response Comments and/or the Conclusion fields as needed.



3. If needed, change the updated Schedule Items. Select Remove next to the item being updated.

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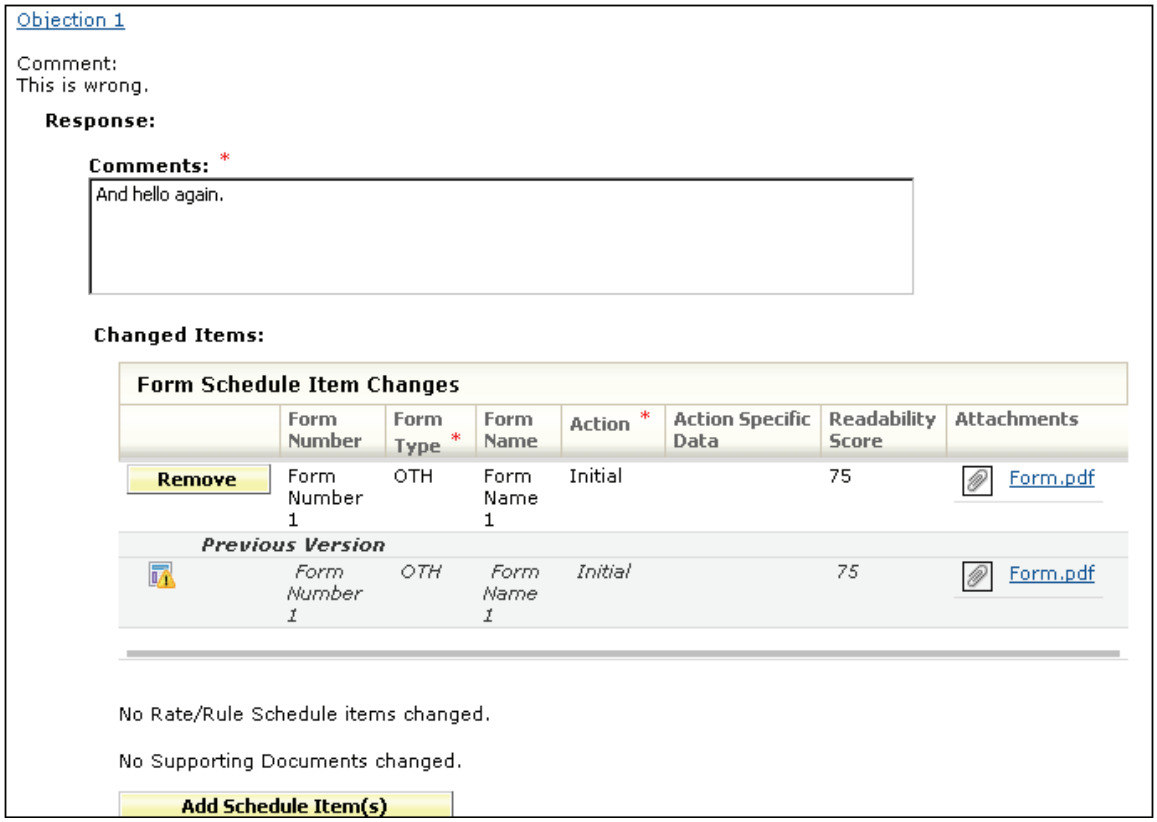

4. Click **Add Schedule Item(s)** and select Schedule Item changes that belong with the Objection.

☞ If updates need to be made to individual Schedule Items, please refer to the section titled 'Revising Schedule Items' for complete instructions.

5. Click the **Save** button.

6. The Response has now been changed. The user may Submit, Edit, Delete, Close, or View Objection Letter.

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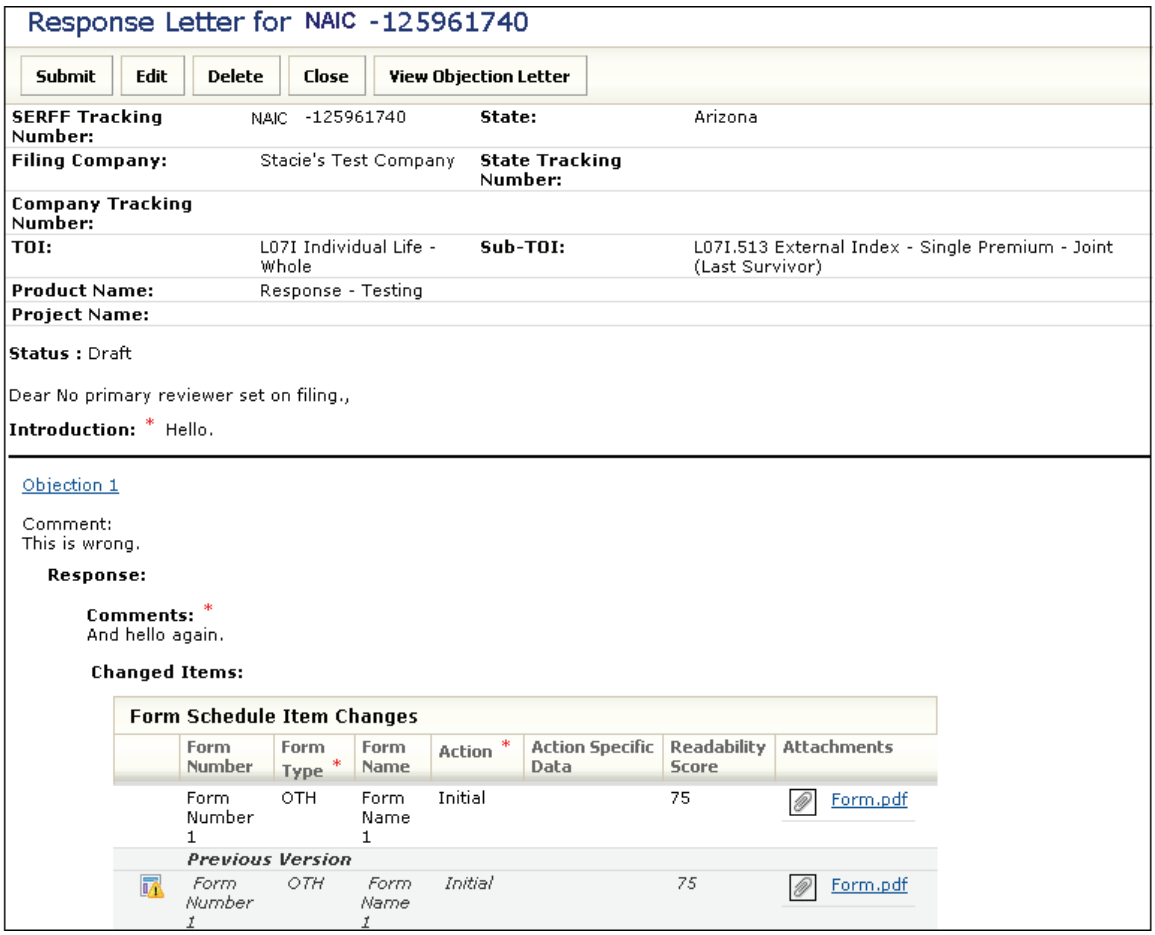

7. Click **View Objection Letter** if you would like to see the Objection Letter again.

☞ If the Response Letter is incorrect, click the **Delete** button to delete the entire Response Letter.



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How to View the Response Letter

The draft of the Response Letter is located under the Filing Correspondence tab. The user will be able to view the Response Letter two ways (please see the following two examples).



Example 1:

When clicking on the Objection Letter link, the user will be directed to the Objection Letter sent by the Reviewer.



- By clicking the 

button, the user is directed to the Response Letter.

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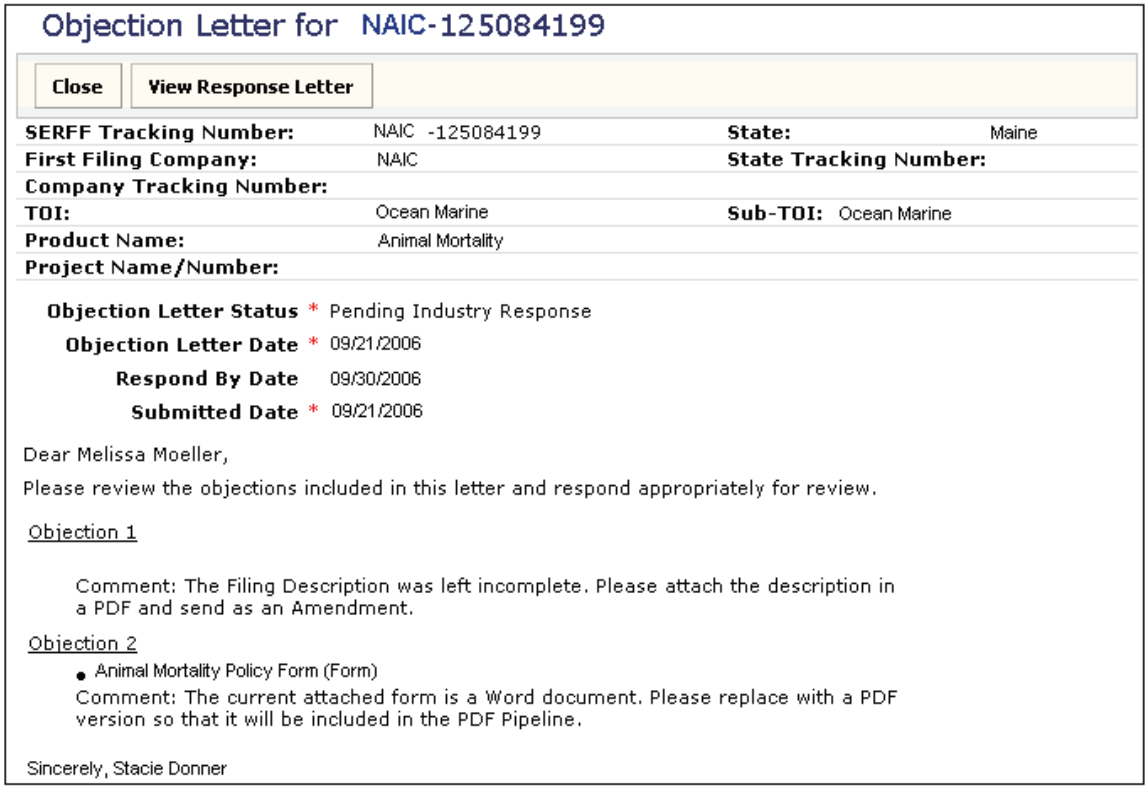

Objection Letter for NAIC-125084199

Close | View Response Letter

SERFF Tracking Number:	NAIC -125084199	**State:**	Maine
First Filing Company:	NAIC	**State Tracking Number:**	
Company Tracking Number:			
TOI:	Ocean Marine	**Sub-TOI:**	Ocean Marine
Product Name:	Animal Mortality		
Project Name/Number:			

Objection Letter Status * Pending Industry Response
Objection Letter Date * 09/21/2006
Respond By Date 09/30/2006
Submitted Date * 09/21/2006

Dear Melissa Moeller,

Please review the objections included in this letter and respond appropriately for review.

Objection 1

Comment: The Filing Description was left incomplete. Please attach the description in a PDF and send as an Amendment.

Objection 2

- Animal Mortality Policy Form (Form)

Comment: The current attached form is a Word document. Please replace with a PDF version so that it will be included in the PDF Pipeline.

Sincerely, Stacie Donner

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Example 2:

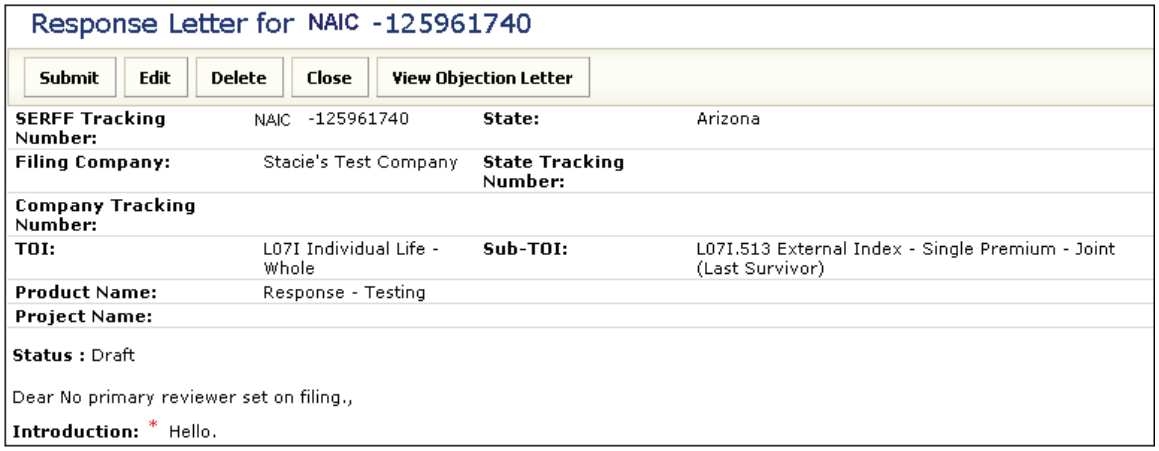
☞ By clicking on the Author's name (under Responded by), the user will be able to view the draft Response Letter.



☞ Click the **Close** button to close the Response Letter when finished reviewing.

☞ How to Submit the Response Letter

1. Click the **Submit** button to send the Response Letter.



2. A confirmation message appears confirming this action.

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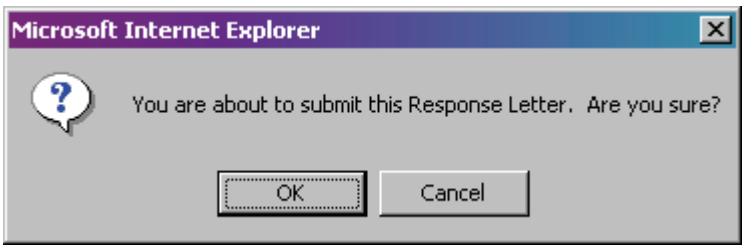

3. Click the  button.

*The Response Submitted on Date is now populated with the date sent to the State.



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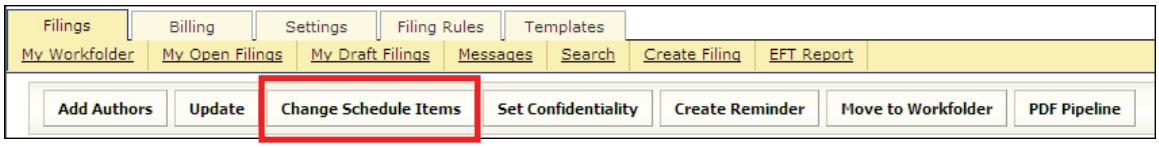
Amendments

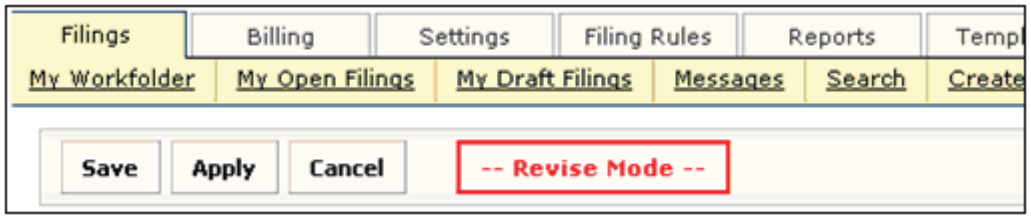
**This is only used when the amendment is not in response to an Objection Letter (i.e. - The filer has decided to add a schedule item.).*

☞ Revising/Adding Schedule Items

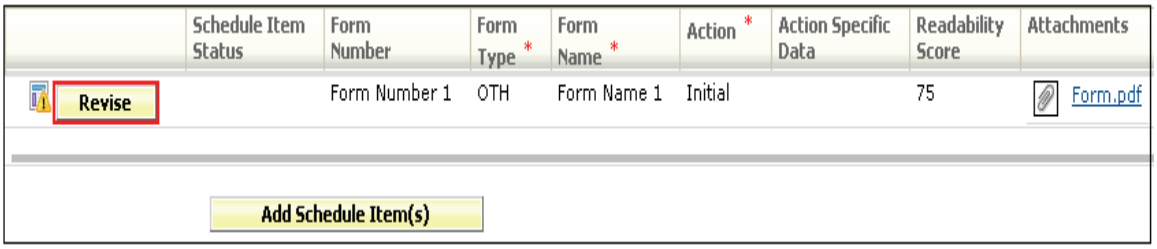
1. Click **Change Schedule Items** from the filing view.



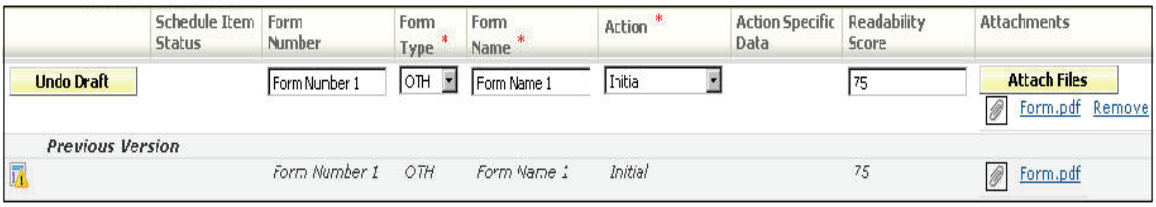
2. The filing will be put into "Revise Mode."



3. Click **Revise** to the left of the item to be revised.



☞ New items may also be added while in 'Revise mode' by clicking on the 'Add Schedule Item(s)' button.



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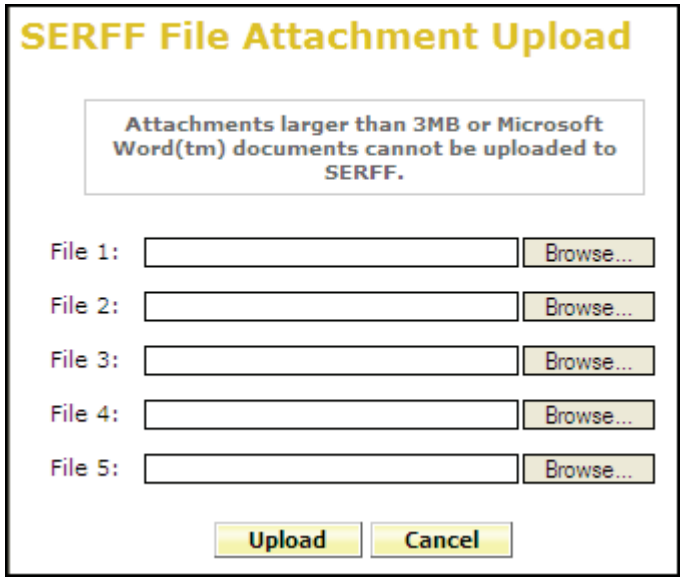
☞ When revising a Schedule Item, a new line (in white) is automatically populated with the information from the original version (in grey) because many of the items may not change. (Please refer to the area pertaining to Forms Schedule Item Changes.) All fields and attachments can be changed.

4. Attach any appropriate files by clicking on the Attach Files button.
   a. Click Browse... to find the file.



   b. After selecting the appropriate file, click Open button to add the attachment to your file list.

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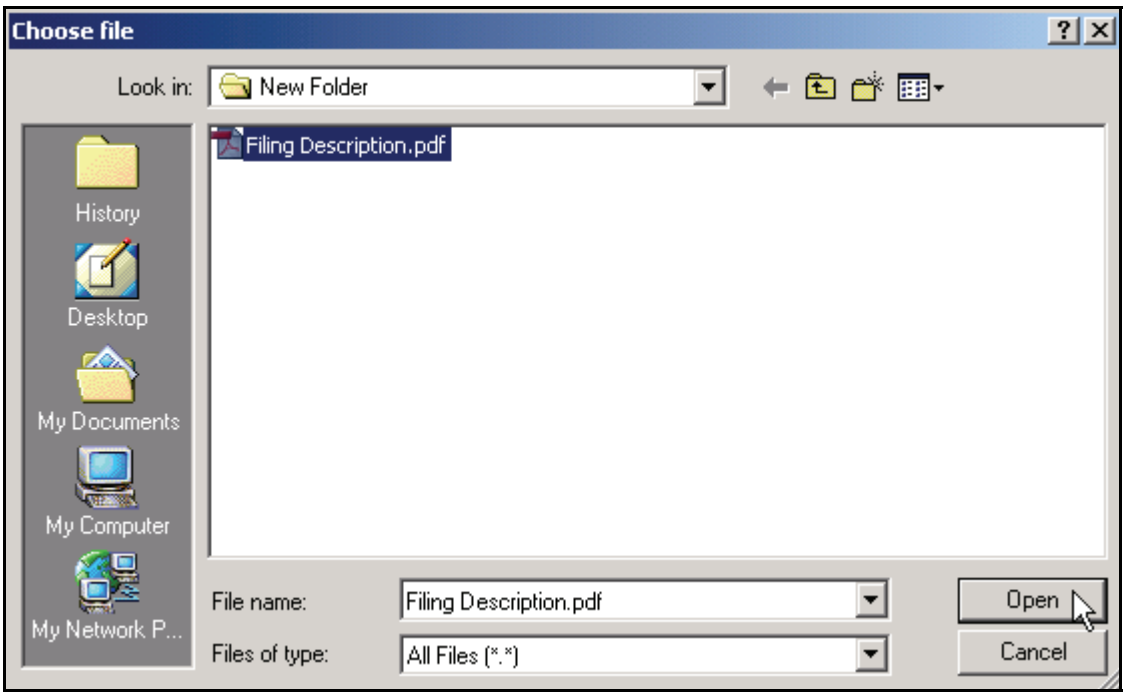
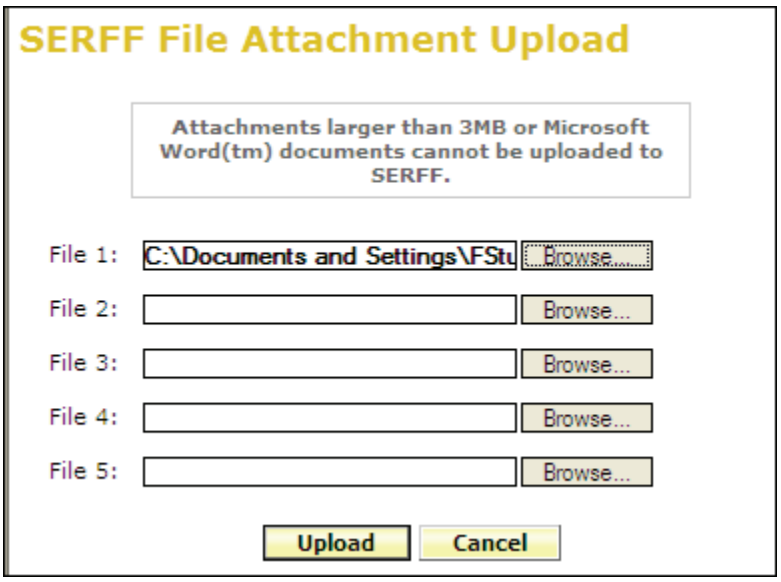


c. Click on the **Upload** button.



☞ Up to five files can be attached at a time before uploading.

5. Continue in this manner until all the necessary Schedule Item changes have been made. Be sure to click **Apply** to save your changes periodically.

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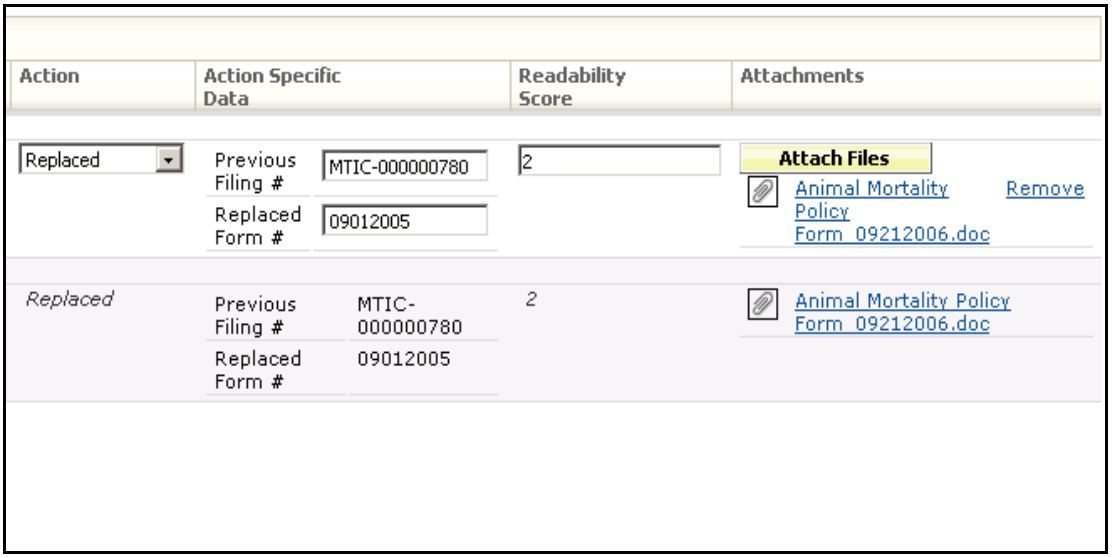
☞ Clicking on the Remove after the attachment will remove the previous version of the attachment and enable the user to submit an amended file. The user should remove the attachment that is being revised and attach the updated version. The original attachment is still seen below the attachment in the grayed out area and cannot be removed or changed.



6. Click Save to save changes and exit Revise mode.

☞ Build the Amendment

1. Click on the Filing Correspondence tab.
2. Click the Create Amendment link.
3. Enter Comments in the Comment field.
4. To make an association between draft Schedule Items and the Amendment, click Add Schedule Item(s) and select Schedule Item changes that belong with the update.

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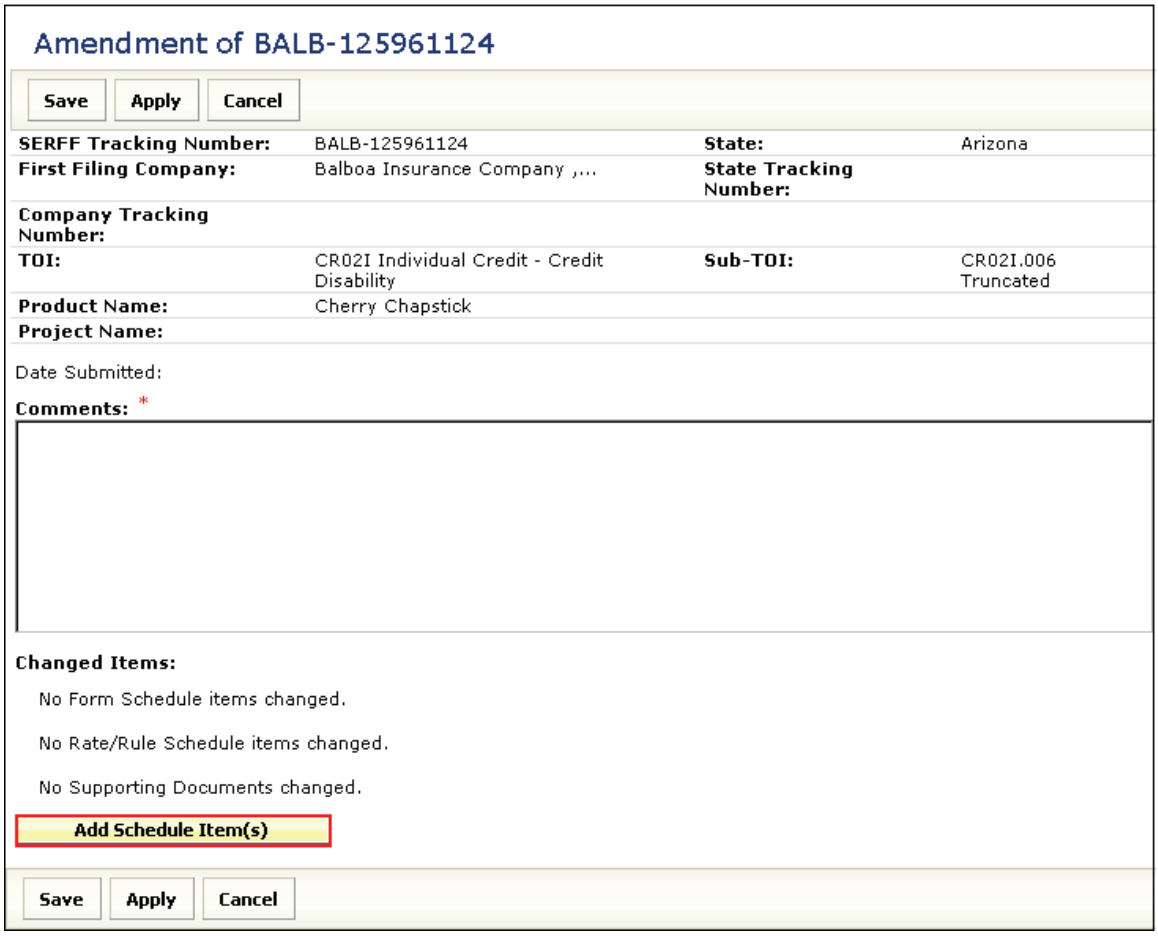

5. From the 'Draft Schedule Items for Filing' window, select the draft items to be included in the Response Letter. Click 

.

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5. Throughout the process, click **Apply** to periodically save updates.
6. Click **Save** once all updates have been made.
7. The user may then Submit, Edit, Delete or Close the Amendment.

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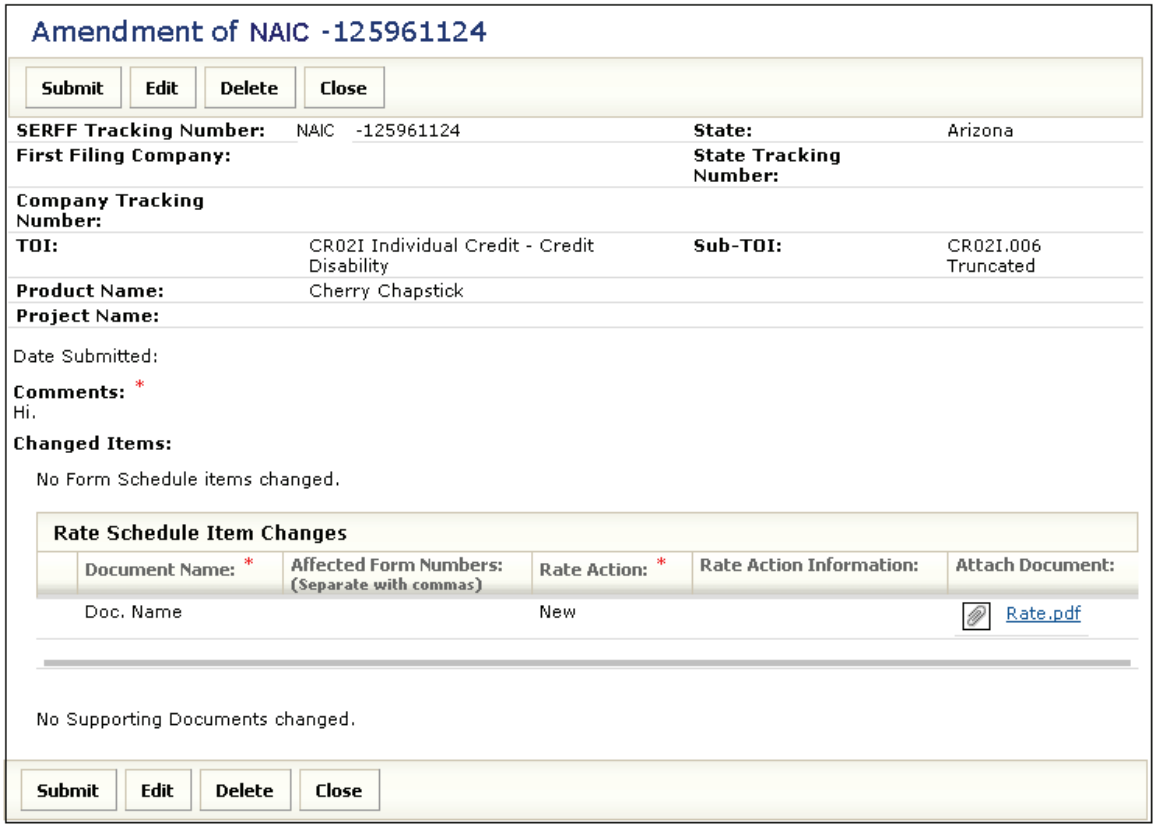

The Date Submitted field is now populated with the date and time the Amendment was sent to the State.



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PDF Pipeline

PDF Pipeline provides users with the ability to create a single PDF file of their entire filing or selected parts of their filing. The PDF Pipeline is generated on demand. The results will be displayed instantly and the user can save the PDF locally to their network or review online.

All Schedule Items and Correspondence including Reviewer Notes and Filer Notes will be available to PDF Pipeline.

☞PDF Pipeline

1. Open the SERFF filing.
2. Click the **PDF Pipeline** button.



When selecting the Form, Rate and Supporting Documentation Schedules, at least one item must be selected for the Schedule to print. If just an item from the Schedule is chosen and not the Schedule itself, only the attachment and/or details for that item will generate. Nothing will print if just the Schedule is selected and no items.

A dialog box will appear that lists all of the pieces of the filing that can be included in the PDF.

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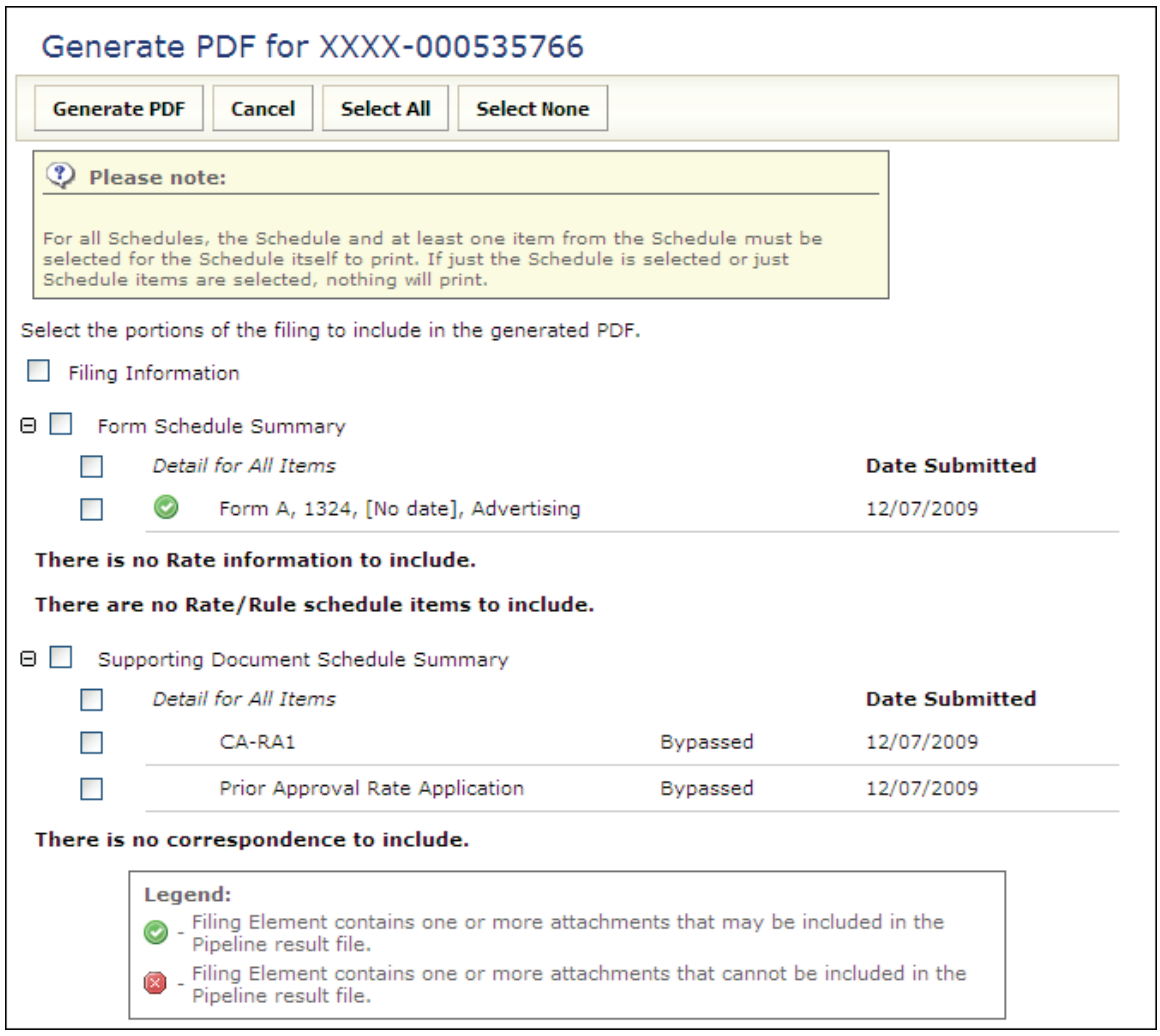

3. Select the individual items or click the Select All button.

4. Click the Select None button to deselect all the items.

5. Click the Cancel button to cancel the action.

6. Click the Generate PDF button to create the PDF.

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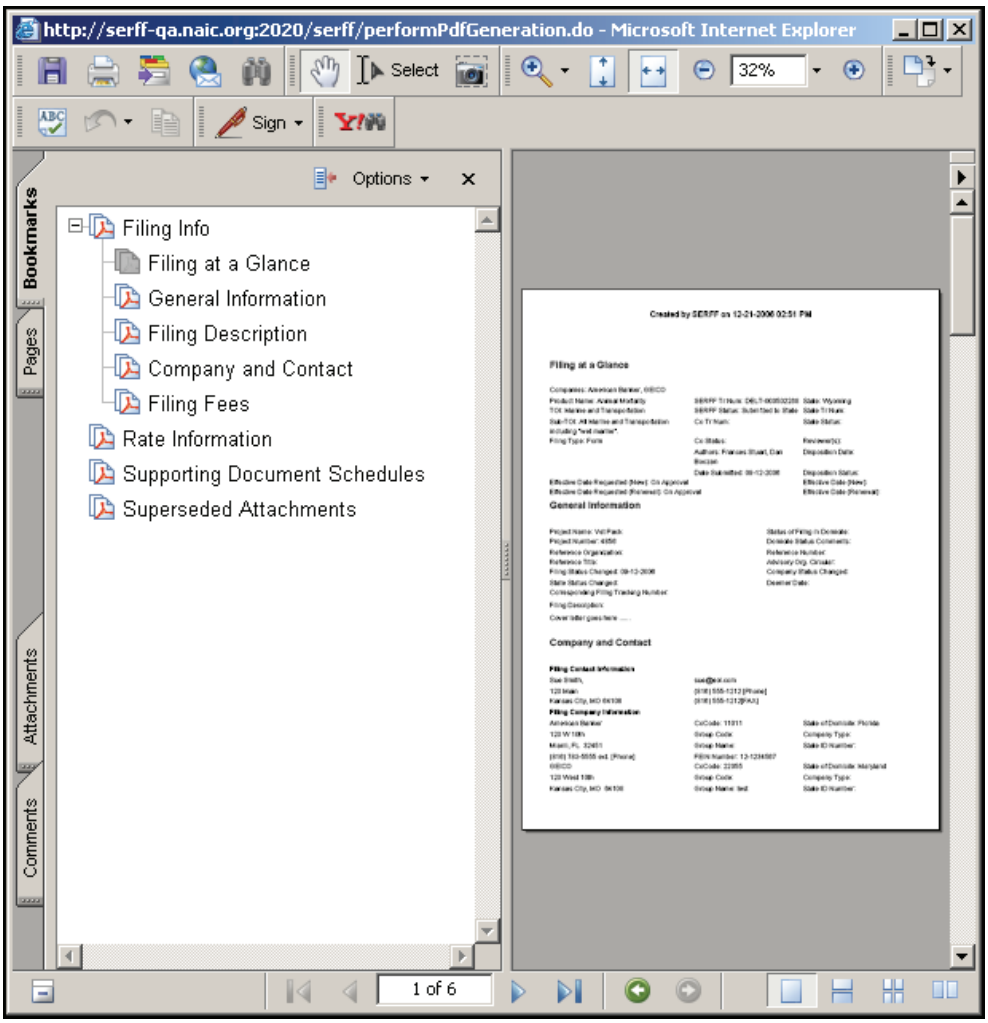

After clicking on the 

button the PDF file will open in a new window. Click on the individual bookmarks to navigate to the different sections of the filing.

- Click on the  button to save the PDF file outside of the SERFF system.
- Non-PDF attachments and attachments that are larger than 3 MB will not work with PDF Pipeline.

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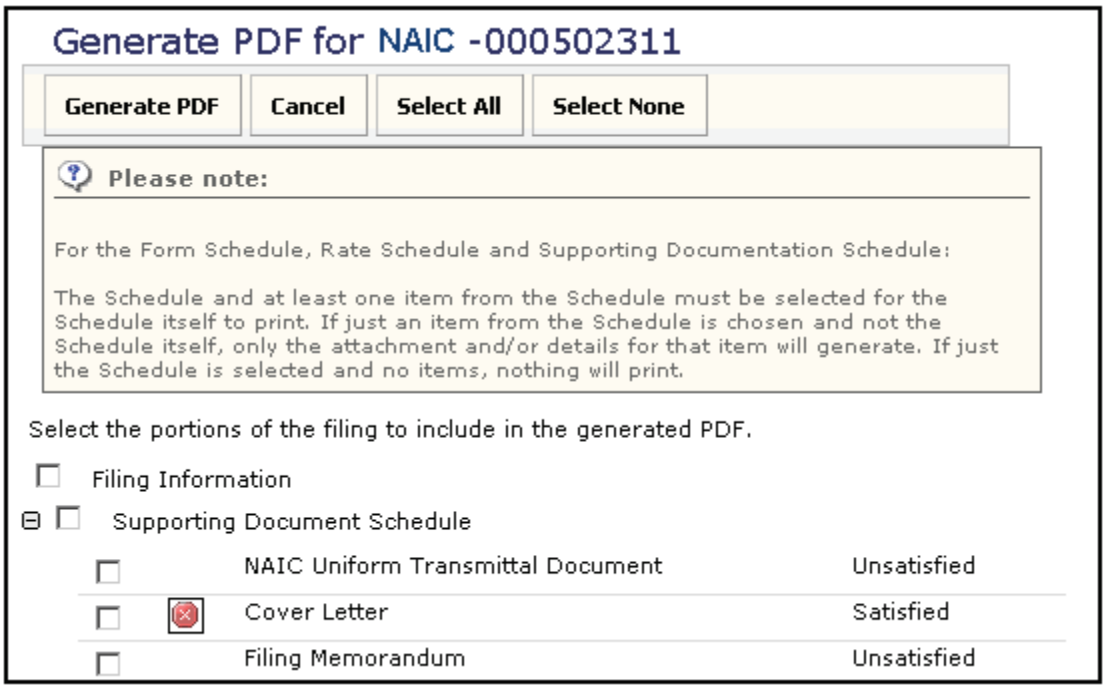
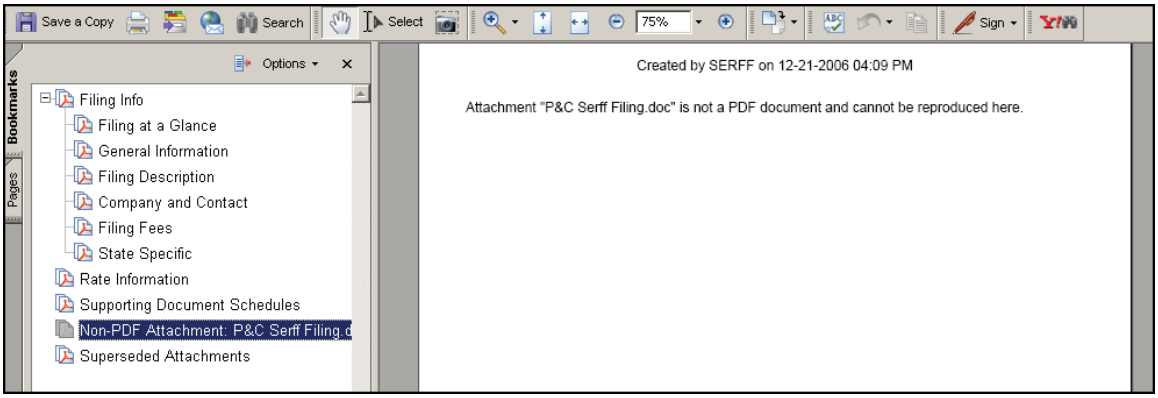
A Non- PDF attachment will be displayed with a  symbol. That symbol indicates the attached file is not a PDF document. If the box is checked prior to selecting the



button it will display Non-PDF attachment in the bookmarks and on the page.





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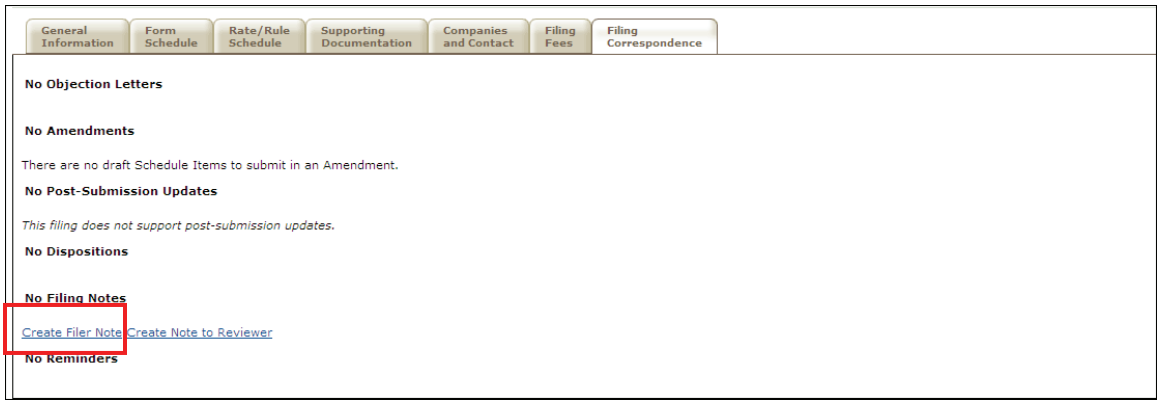
Filer Note

A Filer Note is internal communication. Only those users who have access to the filing will be able to read the Filer Note. Filer Notes can be added to an open or closed filing.



Filer Notes

1. Click the Filing Correspondence tab.
2. Click the 'Create Filer Note' link.
3. Type a subject in the Subject Field (this is a Required Field).
4. Type a comment in the comments field (the comments section can contain up to 4000 characters and is a required field).
5. Click the Attach Files button to attach related files.
6. Click the Save button to save the Filer Note.
7. Click the Cancel button to cancel the Filer Note.

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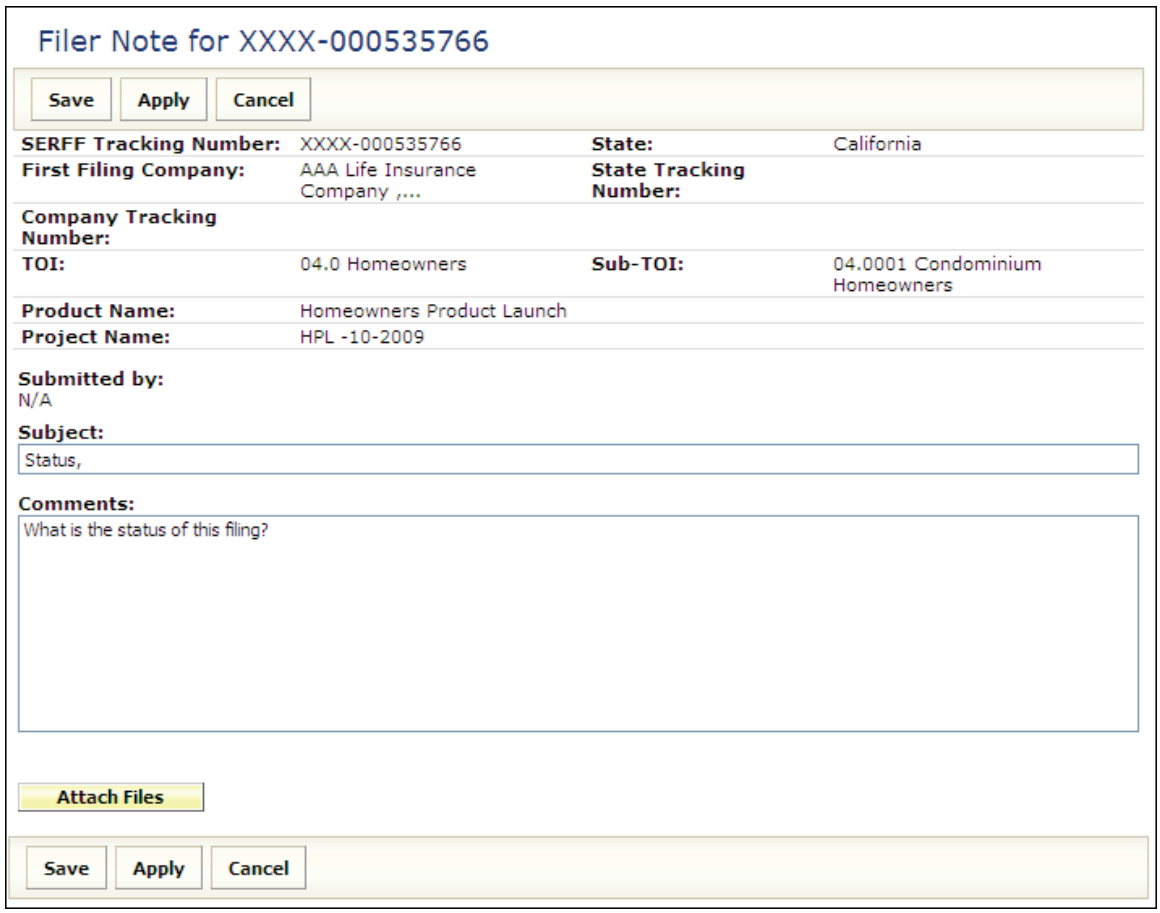

After clicking the  button, the user can then click on the Filing Note subject link. The user can then Edit, Delete, or close the Filer Note.

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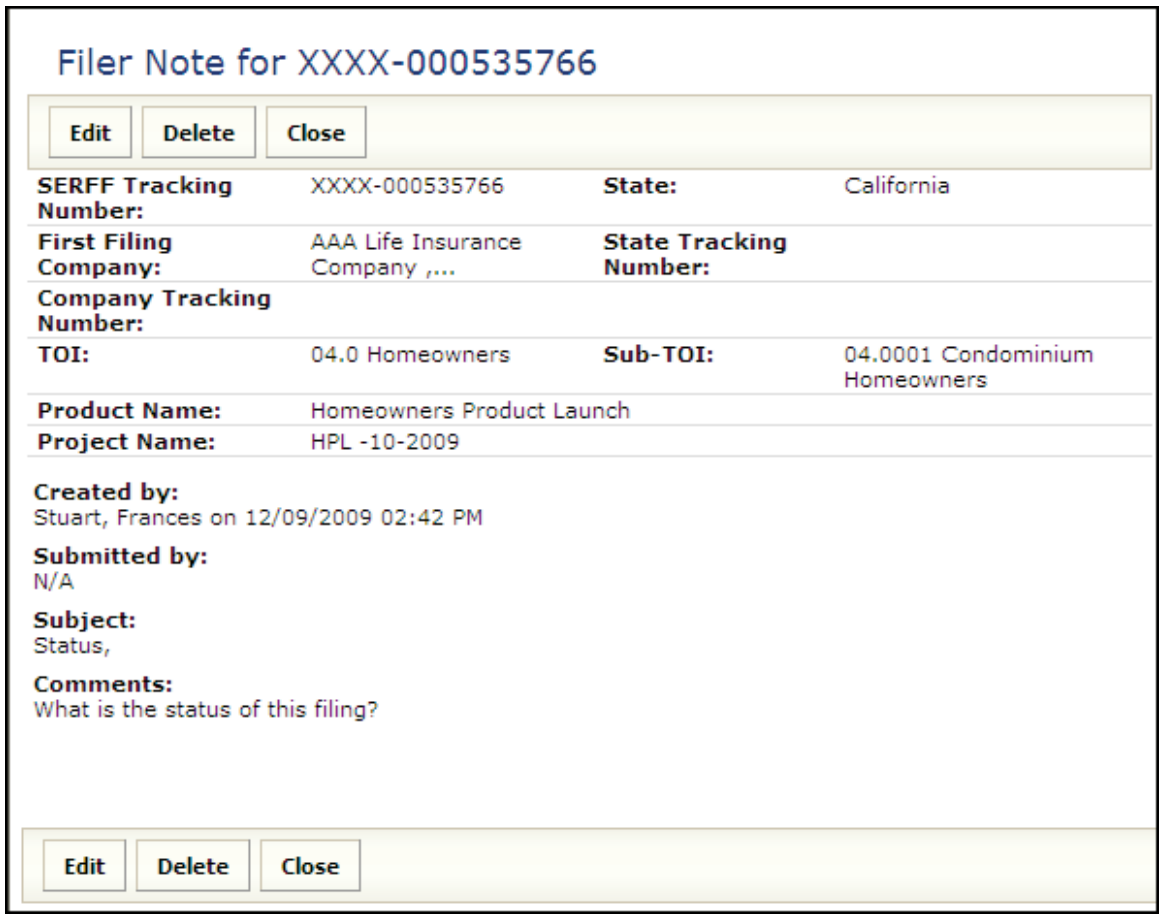
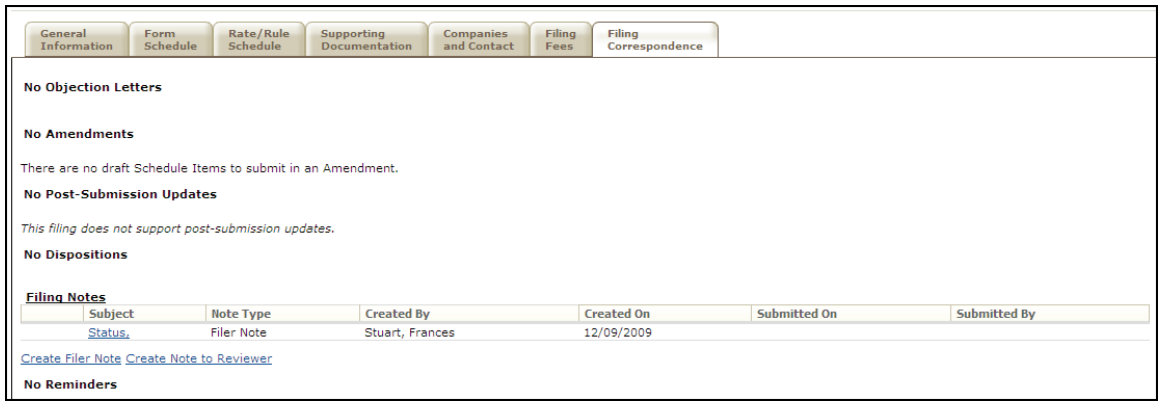


All Filer Notes are located under the Filing Correspondence tab of the filing. The Filing Notes section lists all notes, whether it is a Filer Note or a Note to Reviewer, as well as the respective 'Created On' date.



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Note to Reviewer

A Note to Reviewer is sent to the Reviewer from the user. It becomes part of the filing.

☞ Note to Reviewer

1. Click the Filing Correspondence tab.
2. Click the 'Create Note to Reviewer' link.



3. Type a subject in the Subject Field (this is a required field).
4. Type a comment in the Comments Field (the comments section can contain up to 4000 characters and is a required field).
5. Click the Attach Files button to attach related files.
6. Click the Save button to save the Note to Reviewer.
7. Click the Cancel button to cancel the Note to Reviewer.

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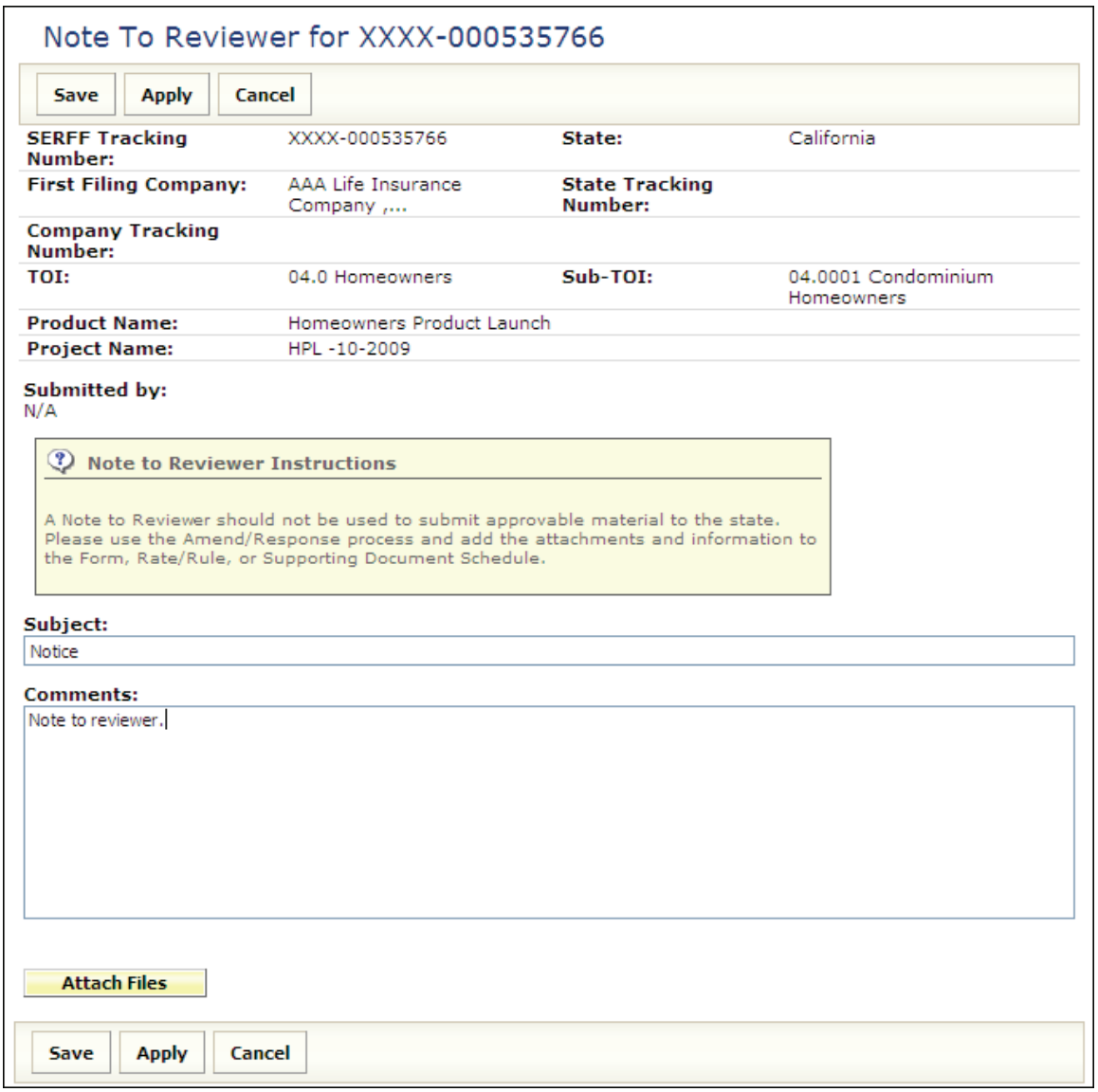

After clicking on the 

button a preview of the note is displayed. The user can Submit, Edit, Delete, or Close the note.

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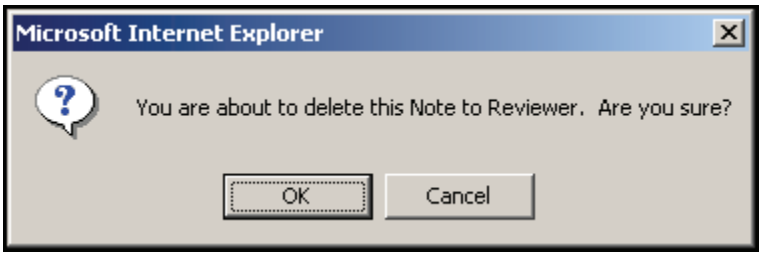
1. Click the **Edit** button to edit the Reviewer Note.
2. Click the **Delete** button to delete the Reviewer Note.
3. A confirmation message appears confirming this action.



4. Click the **OK** button.

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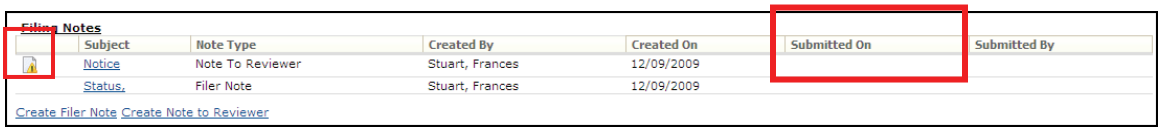
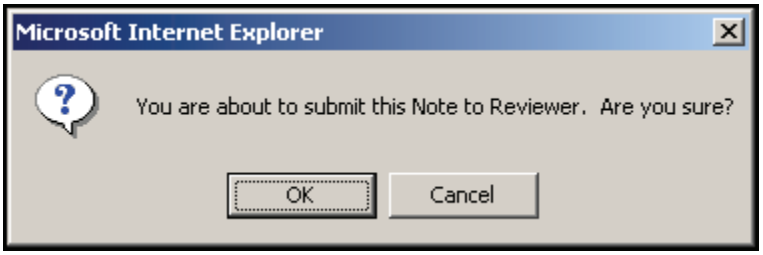
5. If you choose not to Delete, click the Close button to save the Note to Reviewer as a draft.

☞ The Submitted On field is blank. When the Note to Reviewer has been submitted, the Submitted On field will be populated with the date submitted and the draft icon will no longer be displayed.



6. Click the Submit button to send the Note to Reviewer.



7. A confirmation message appears confirming the action.
8. Click the Close button.

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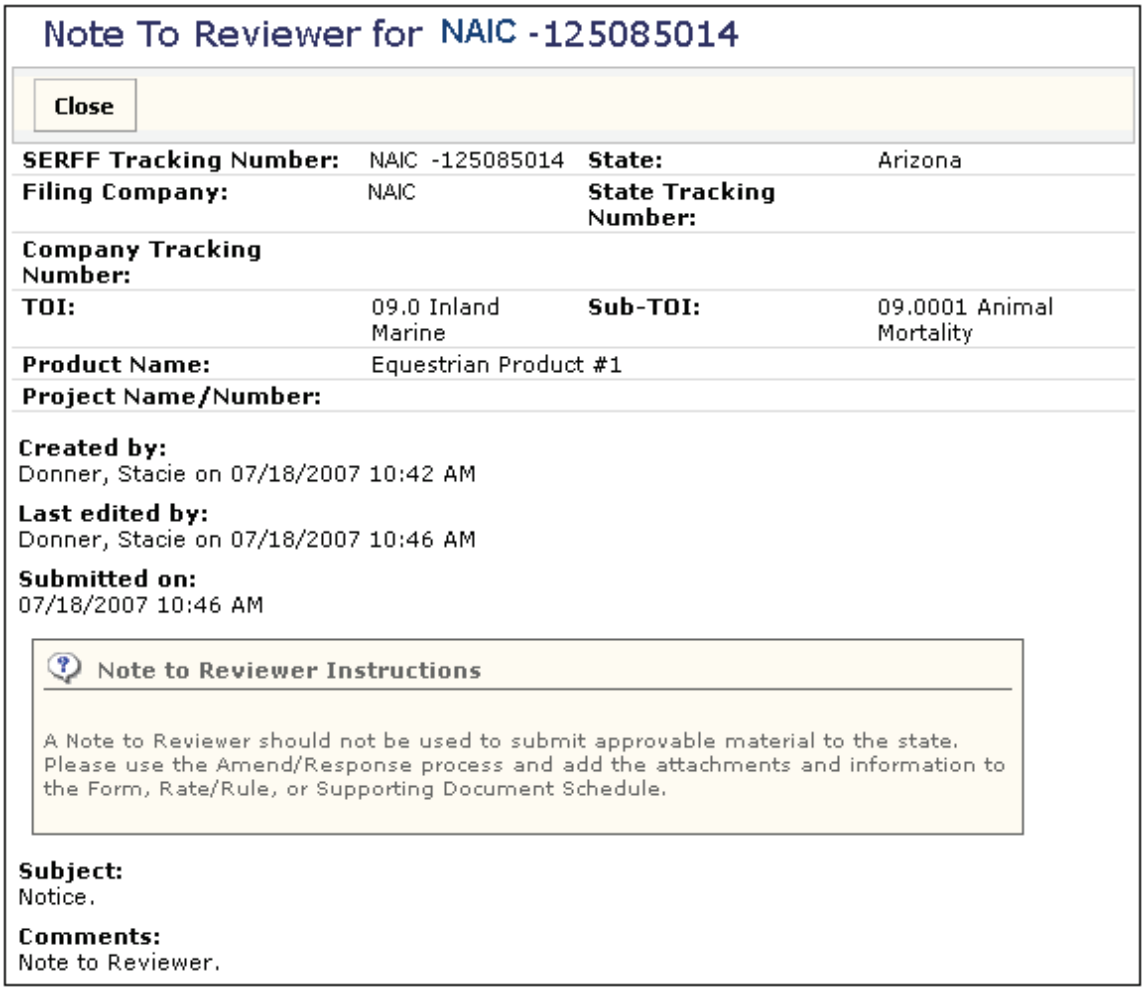

Note To Reviewer for NAIC -125085014

Close

SERFF Tracking Number:	NAIC -125085014	**State:**	Arizona
Filing Company:	NAIC	**State Tracking Number:**	
Company Tracking Number:			
TOI:	09.0 Inland Marine	**Sub-TOI:**	09.0001 Animal Mortality
Product Name:	Equestrian Product #1		
Project Name/Number:			

Created by:
Donner, Stacie on 07/18/2007 10:42 AM

Last edited by:
Donner, Stacie on 07/18/2007 10:46 AM

Submitted on:
07/18/2007 10:46 AM

Note to Reviewer Instructions

A Note to Reviewer should not be used to submit approvable material to the state. Please use the Amend/Response process and add the attachments and information to the Form, Rate/Rule, or Supporting Document Schedule.

Subject:
Notice.

Comments:
Note to Reviewer.

☞ A Note to Reviewer may be sent with the original submission of the filing, as well as on a closed filing (provided the states have not disabled this option). Submitting a Note to Reviewer on a closed filing is beneficial if the user needs to change an effective or implementation date or to ask that the filing be re-opened for another purpose. *It is important to note that attachments may not be added to a Note to Reviewer on a closed filing.*

When States Restrict NTR on Closed Filings

Some states will not accept a 'Note to Reviewer' on a Closed Filing. In this instance, there will not be a 'Create Note to Reviewer' link at the bottom of the page. Some states my provide an explanation in place of the link, if there is no explanation, then that area will just be left blank.

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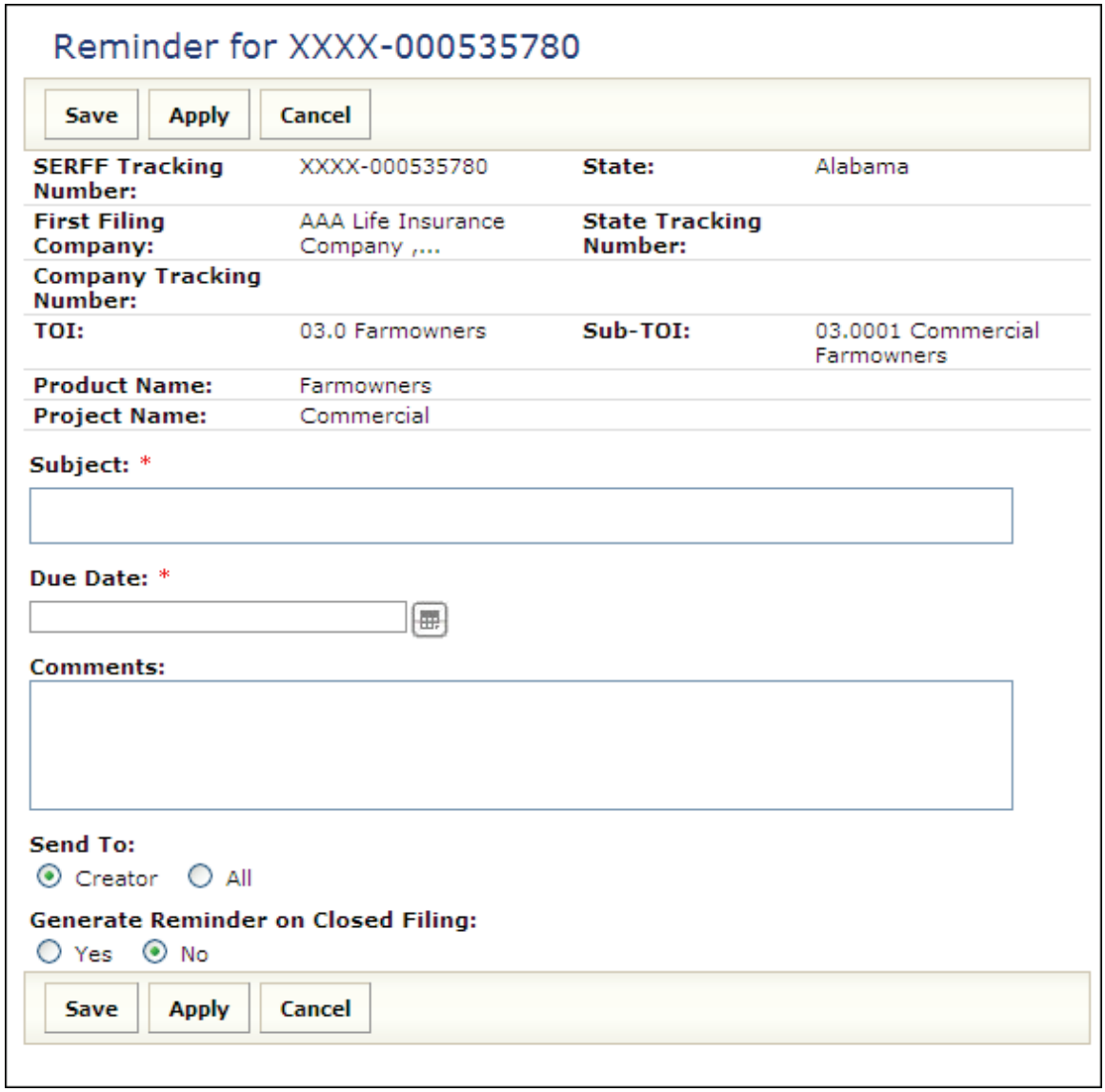
Reminders

Reminders are user defined messages that will be sent to the Message Center on the due date set by the user.

☞Create a reminder



1. Open the filing, click the Create Reminder button.



2. Type the Subject and Due Date (required fields) and comments.

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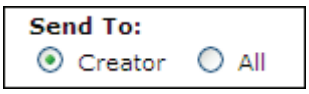
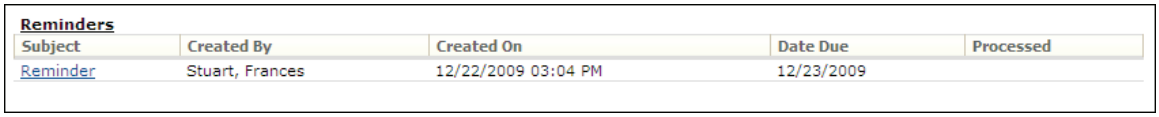


3. If the creator radio button is selected upon creation, then the message will appear in the creator message center. If the all radio button is selected, then everyone who has access to the filing will receive the message in their message center.
4. Click the Save button.
5. The reminder will be displayed under the filing correspondence tab.



Dispositions

When a Disposition Report is created for a filing, the SERFF status of that filing is changed to "Closed." The filing is then removed from the "My Open Filings" view. The user can find any closed filings by using the Advanced Search. The Disposition can be found on the Filing Correspondence Tab of the filing. The user receives a message in the Message Center indicating that there is a Disposition.

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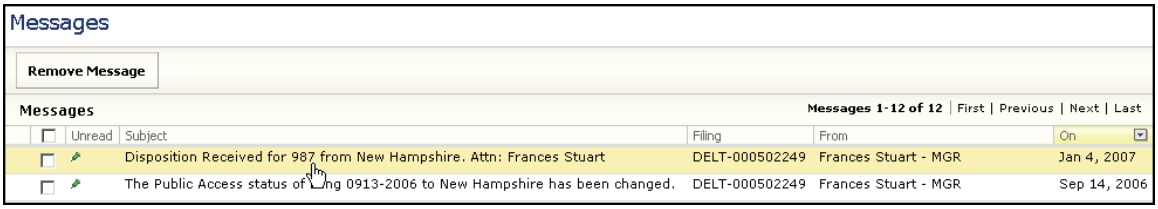
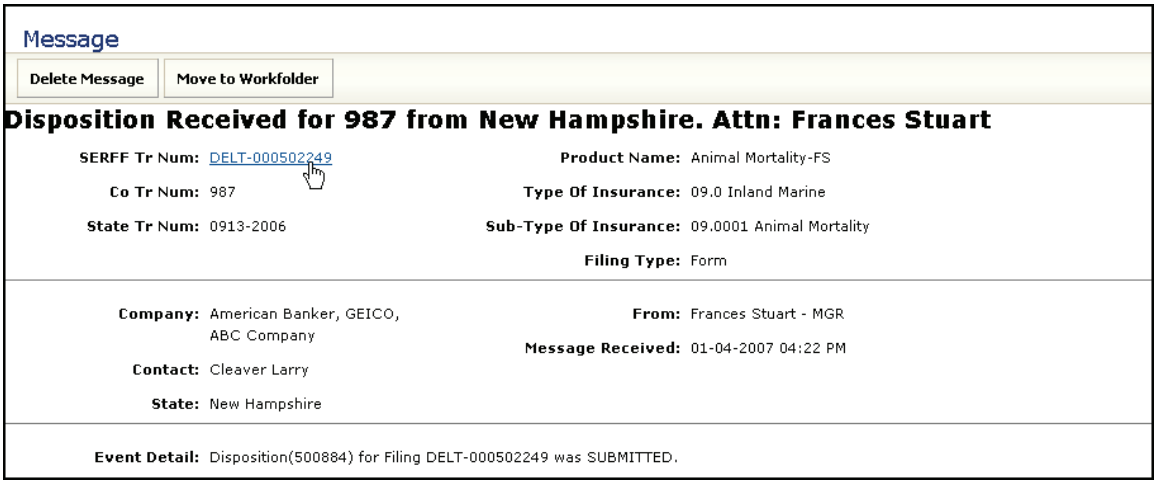
View a Disposition



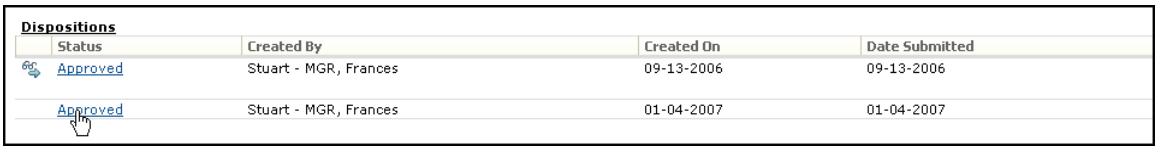
1. To open a message, move the pointer to the message. Click when the message to be read is highlighted in yellow.
2. The message will display.



3. To open the filing referenced in the message, click the blue, underlined SERFF Tracking Number.
4. Click on the Filing Correspondence tab.



5. Click the blue link under Dispositions.



The Disposition is now viewable.

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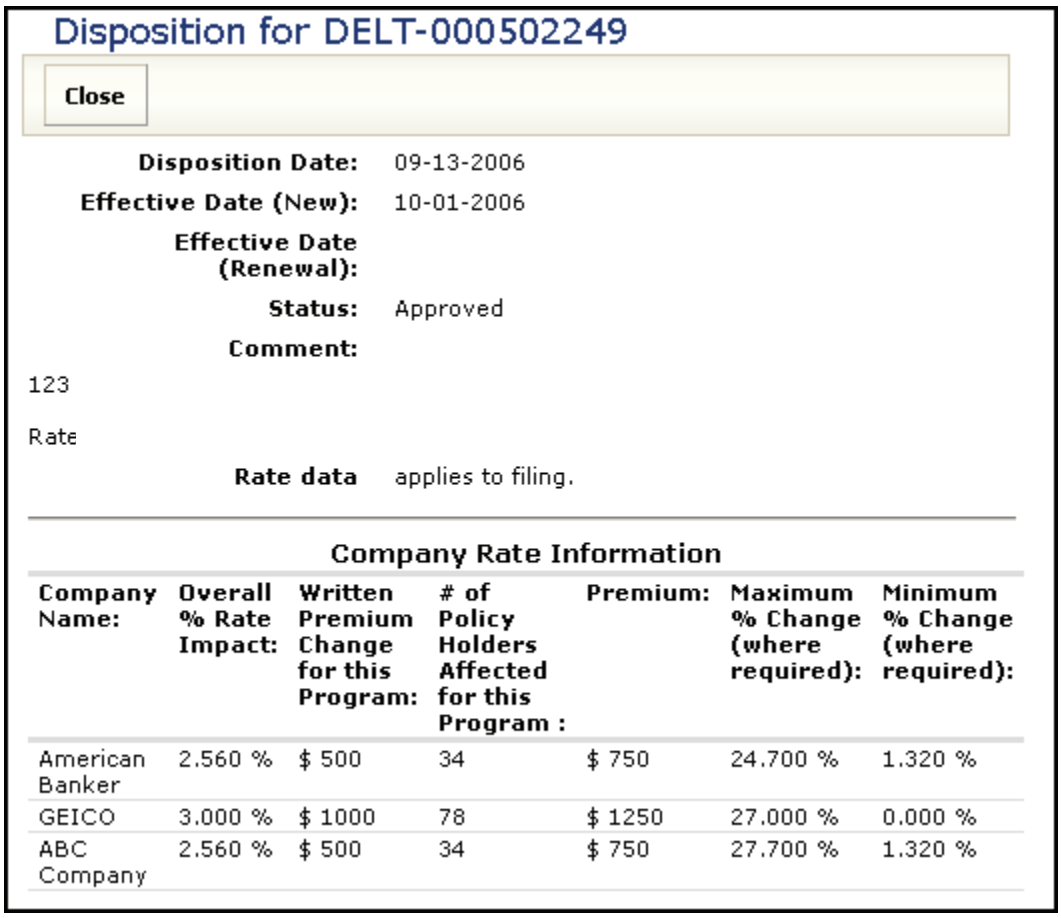

Disposition for DELT-000502249

Close

Disposition Date: 09-13-2006

Effective Date (New): 10-01-2006

Effective Date (Renewal):

Status: Approved

Comment:

123

Rate

Rate data applies to filing.

Company Rate Information

Company Name:	Overall % Rate Impact:	Written Premium Change for this Program:	# of Policy Holders Affected for this Program :	Premium:	Maximum % Change (where required):	Minimum % Change (where required):
American Banker	2.560 %	$ 500	34	$ 750	24.700 %	1.320 %
GEICO	3.000 %	$ 1000	78	$ 1250	27.000 %	0.000 %
ABC Company	2.560 %	$ 500	34	$ 750	27.700 %	1.320 %

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