Lesson 5

This lesson covers the basics of accessing and reviewing filings in SERFF, including the various views, as well as Objections, Responses, Notes and Dispositions.

SERFF has three main views for state users – Intake, My Open Filings and My Workfolder. Intake was covered in Lesson 4; My Open Filings and My Workfolder are covered in this lesson.

SERFF's Correspondence tools allow flexible, easy communication between the state and industry. This lesson will explain the ways states can communicate with the industry regarding the filing, as well as how the industry will respond.

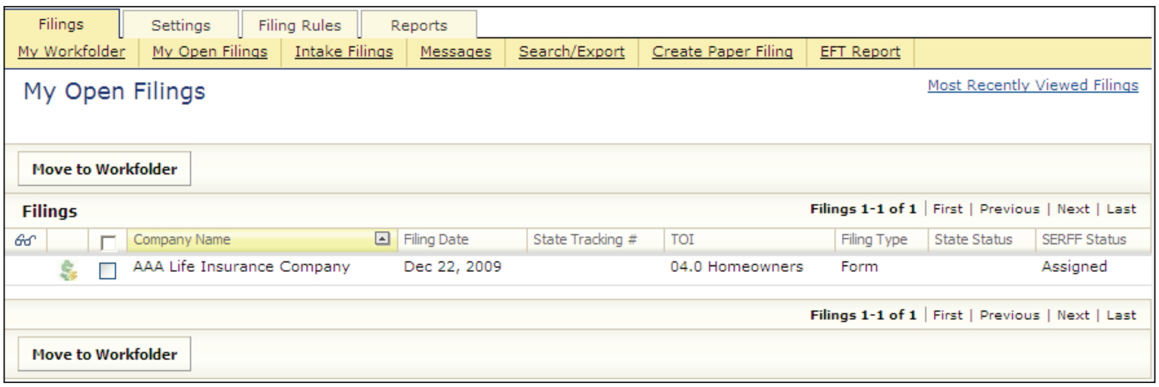
This lesson covers the following topics:

Views

My Open Filings

All open filings to which the user has been assigned will appear under the ‘My Open Filings’ link.

The Reviewer will receive a message in their Message Center informing them that they have been assigned to a filing, provided they have not suppressed this message type. The message will contain a link to the filing or the reviewer may click on the My Open Filings link to see the filings to which they have been assigned.



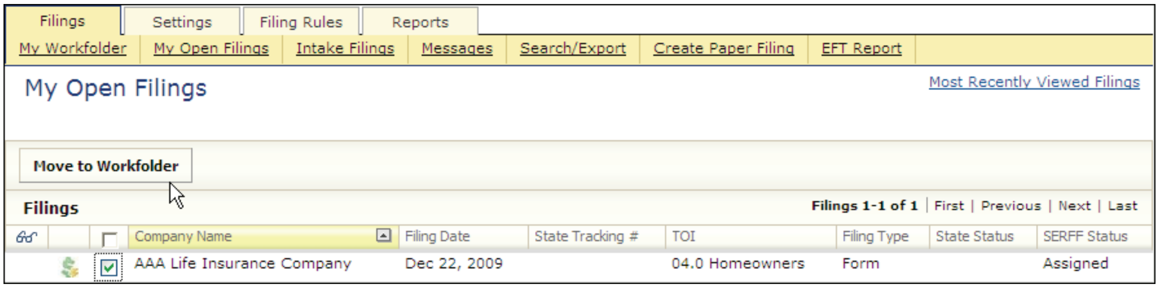
My Workfolder

The Workfolder is a user-customized folder where users can move filings for easy access. The Workfolder may contain Draft filings, Draft Paper filings, Open and Closed filings. Regardless of status, these filings will stay in the user’s Workfolder until the user removes them.

TIME SAVER

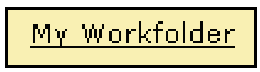
Moving to the Workfolder from the Workspace

1. From the Intake or Open Filings view, place a checkmark next to the filing(s) to be moved to the Workfolder.

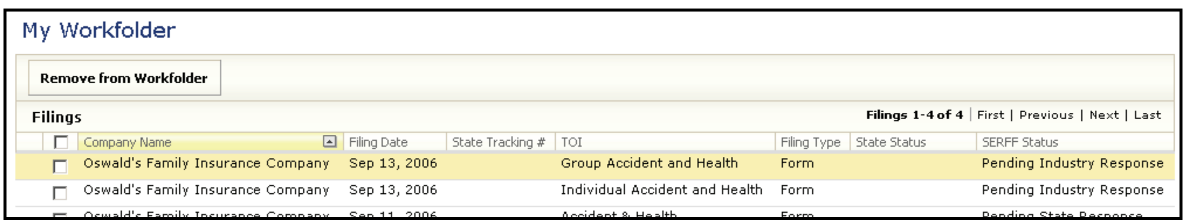


2. Click on the  button.

3. The user is notified that the selected filing has been moved to their Workfolder.

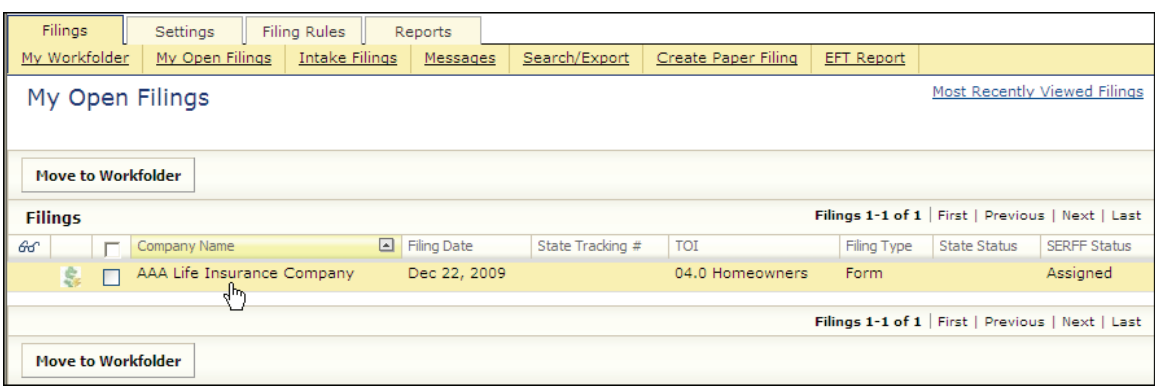
4. Click on the  link to see the filing(s) that have been moved into the Workfolder.

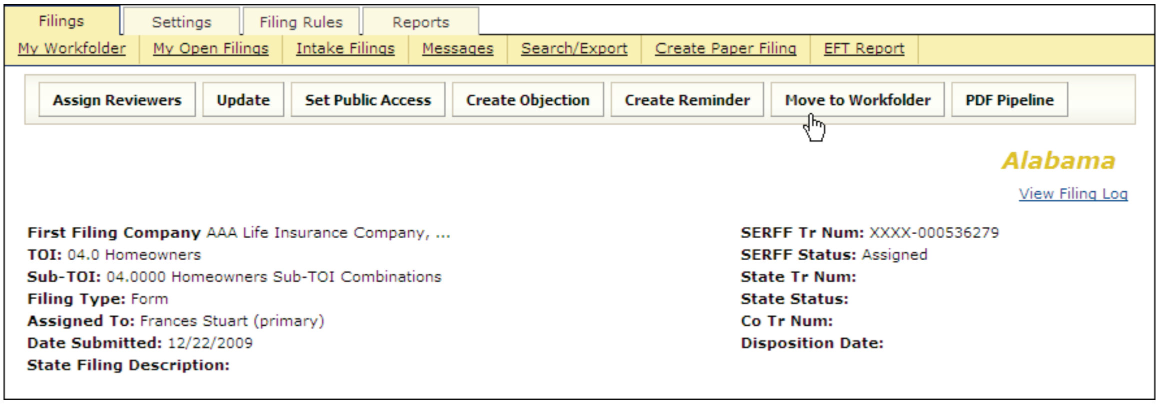
5. Click anywhere on the filing row to access the filing.



Moving to Workfolder from the Filing

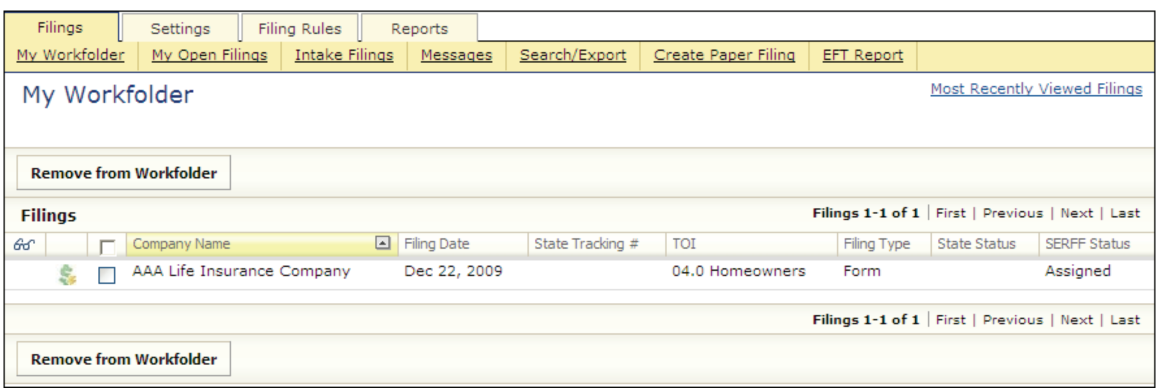
1. From the Intake or Open Filings view, click anywhere on the filing row to access the filing.





2. Click on the **Move to Workfolder** button.
3. The user is notified that the selected filing has been moved to their Workfolder.

4. Click on the My Workfolder link to see the filing(s) that have been moved into the Workfolder.
5. Click anywhere on the filing row to access the filing.



Removing from Workfolder

1. Place a checkmark next to the filing in the Workfolder.

2. Click on the 

button.

Note: *Removing filings from the Workfolder* ***does not*** *remove them from the system. The filings can still be found under the appropriate tab or by searching.*

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 Notes to Reviewer, Notes to Filer and Reviewer Notes will be available to Pipeline.

PDF Pipeline

1. Open the SERFF filing.

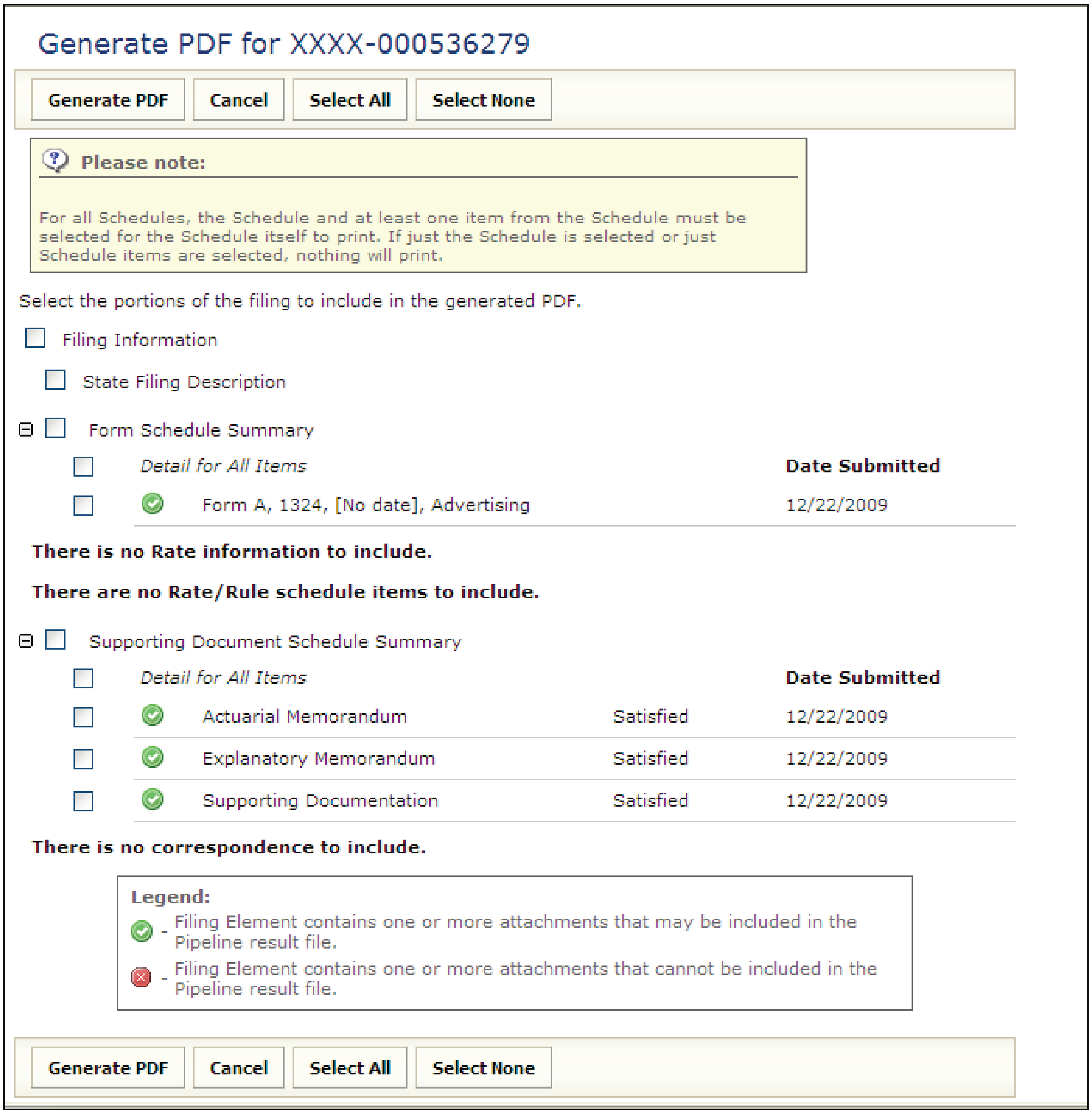
2. Click the 

button.

When selecting the Form, Rate and Supporting Documentation schedule, 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.

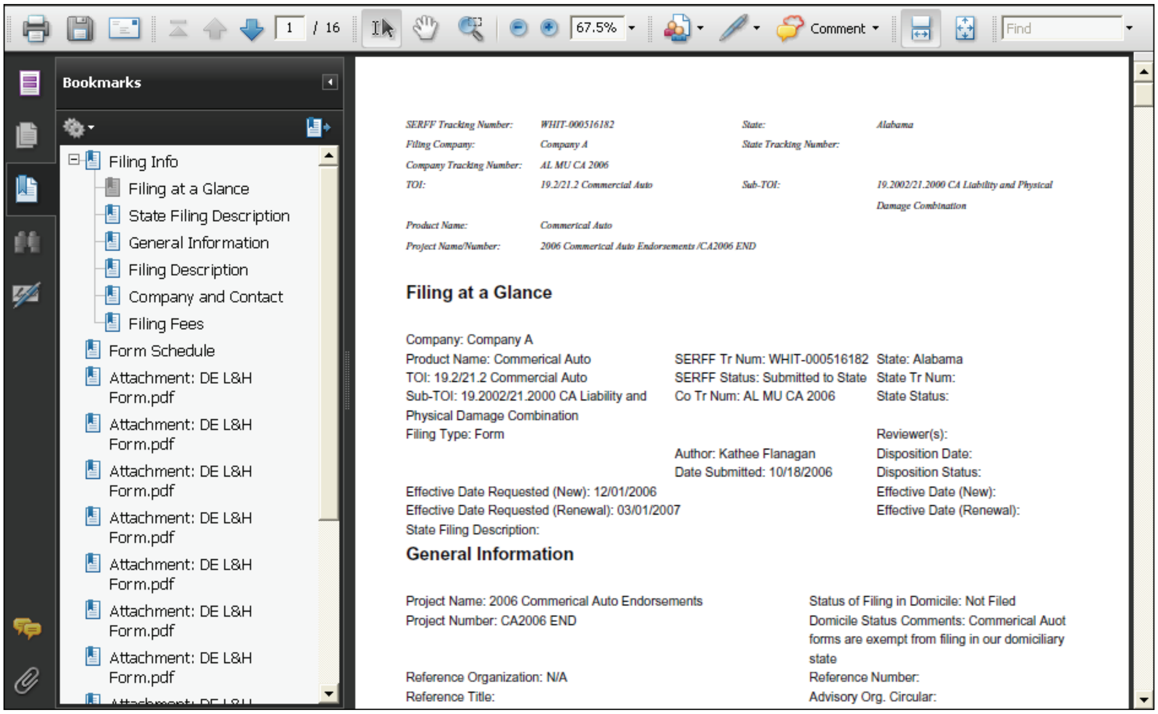


3. Select the individual items or click the **Select All** button.

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.



After clicking on the **Generate PDF** 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 3MB will not work with Pipeline and will not be included in the Pipeline result file.

  A Non-PDF attachment will be displayed with a  symbol.

SERFF - System for Electronic Rate and Form Filing - Microsoft Internet Explorer

Filing Information

Supporting Document Schedule

Property & Casualty Transmittal - Read the Long Description (P)	Bypassed
Letter of Authorization (P)	Satisfied
Filing Memoranda, Exhibits & Documents (P)	Satisfied
Supplemental Rating Information (P)	Bypassed
Manual Pages (P)	Bypassed
Amendatory Endorsements (P)	Bypassed
Policy or Contract (P)	Bypassed
Endorsement/Rider (P)	Bypassed
Declaration Page (P)	Bypassed
Application (P)	Bypassed
Insurer Loss Cost Multiplier and Expense Constant Supplement Filing Form (P)	Bypassed
Supporting Documentation	Satisfied

Form Schedule

HO/Mobile3-2007	032721
HO-END	4545b

Rate Information

Rate/Rule Schedule

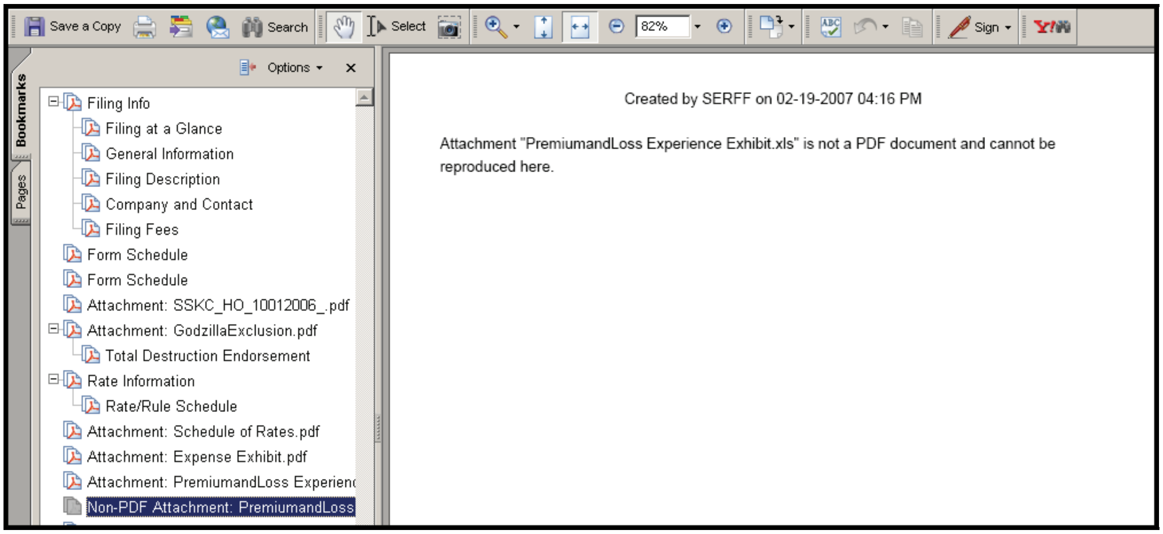
Rates

Expense Exhibit

Experience Exhibit

There is no correspondence to include.

That symbol indicates the attached file is not a PDF document. If the box is checked prior to selecting the **Generate PDF** button, the PDF file will note the attachment is not a PDF attachment on the bookmark in the PDF file. (For example: ‘Non-PDF Attachment:PremiumandLoss Experience Exhibit.xls’). A similar note will be displayed on the corresponding page in the PDF file.

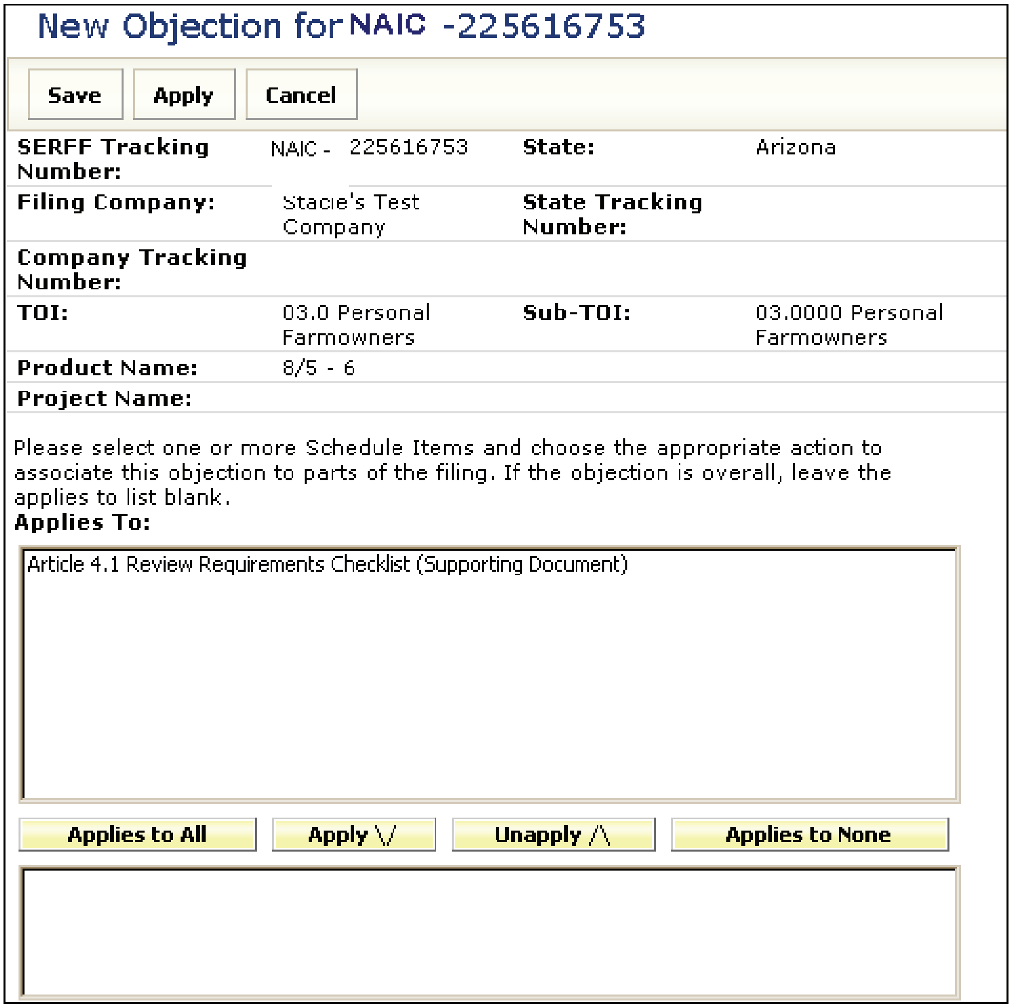


Create Objection

Objections are an electronic means to document issues with a filing. Objections are like electronic sticky notes and can be compiled into an Objection Letter to be submitted to the industry or can remain as Objections for the Reviewer’s use. The state can send industry an Objection Letter containing one to many Objections informing the company of what needs to be amended and resubmitted.

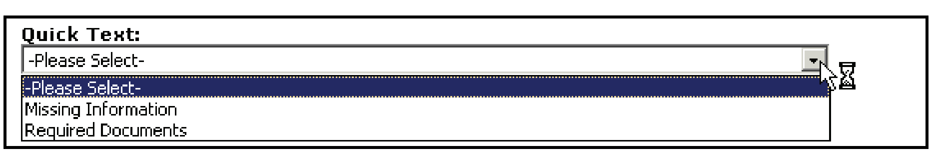
☞ **Creating an Objection**

1. Click the **Create Objection** button which is available in the header from every tab of the filing.



2. If the Objection applies to schedule items, select those Schedule Items(s). Multiple Schedule Items can be selected by holding down Ctrl while clicking on items.
3. Click **Apply \/** or the **Applies to All** button. To remove already added schedule items, the **Unapply /** and **Applies to None** buttons can be used.

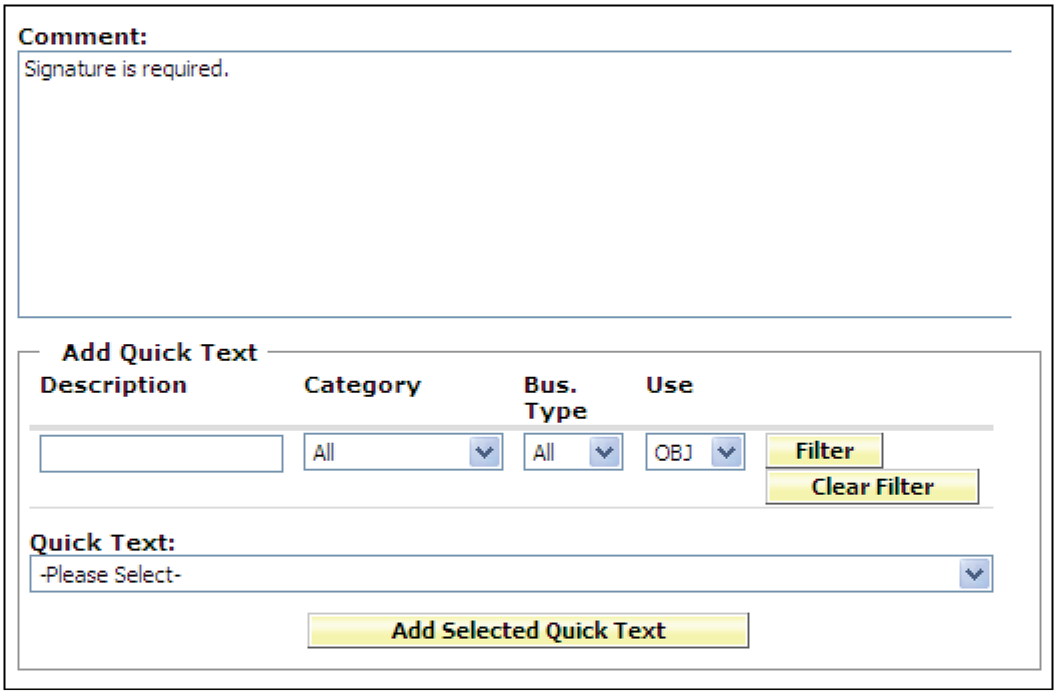
4. If applicable, select a Quick Text entry. (See Lesson 2 of the manual for more information on Quick Text.)



5. Click on the **Add Selected QuickText** button.

☞ The Comment field is a free text field. The user can add more than one Quick Text item, edit the Quick Text comment or add more information for the Objection.

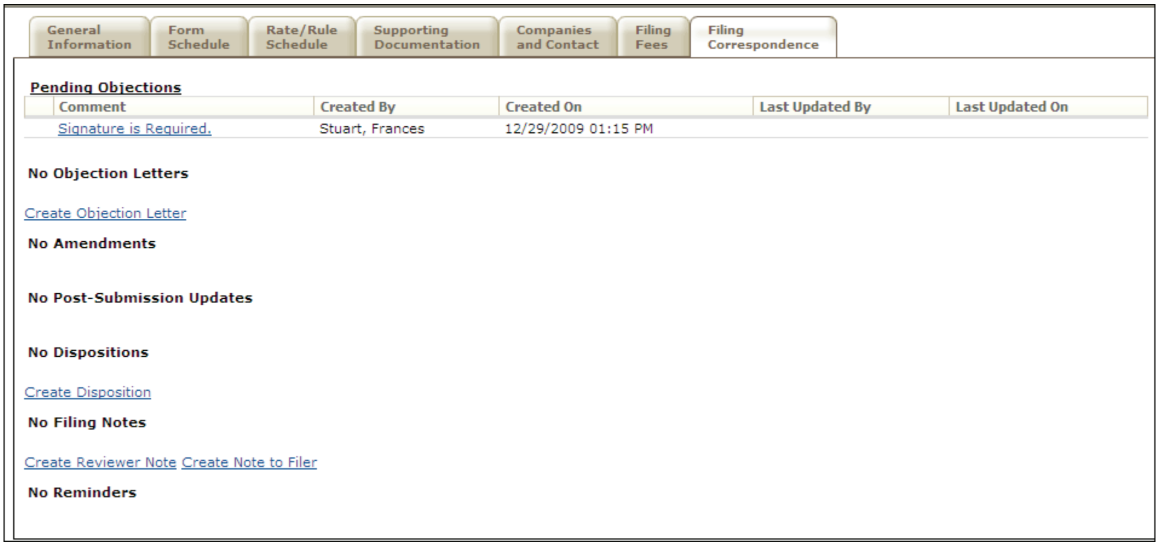
6. If applicable, enter a Comment.



☞ Note: A comment is required on Objections, whether this is typed in manually or entered as Quick Text.

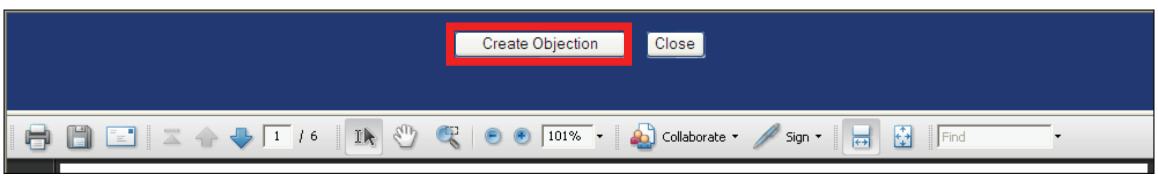
7. Click the **Save** button.

☞ All filing communication, including Objections, Objection Letters, Notes to Filer and Reviewer Notes are located on the Filing Correspondence tab.



Creating Objection from Schedule Item

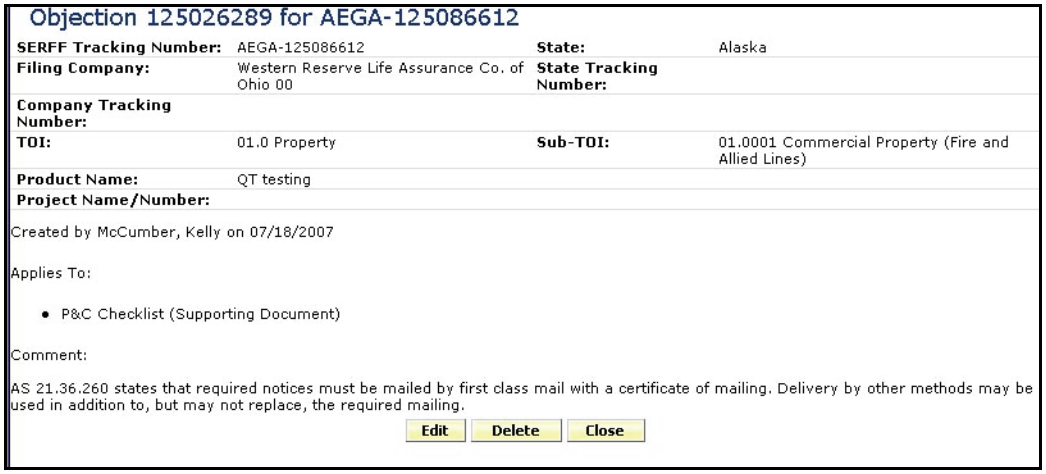
It is possible to create an Objection while in a Schedule Item. When the file is open, click on the 'Create Objection' button at the top of the screen. Once the New Objection window appears, complete as instructed above. See below for location of the 'Create Objection' button.



Edit an Objection

1. Click the Filing Correspondence tab.

2. Click the Objection link.



Objection 125026289 for AEGA-125086612

SERFF Tracking Number:	AEGA-125086612	**State:**	Alaska
Filing Company:	Western Reserve Life Assurance Co. of Ohio 00	**State Tracking Number:**	
Company Tracking Number:			
TOI:	01.0 Property	**Sub-TOI:**	01.0001 Commercial Property (Fire and Allied Lines)
Product Name:	QT testing		
Project Name/Number:			

Created by McCumber, Kelly on 07/18/2007

Applies To:

- P&C Checklist (Supporting Document)

Comment:

AS 21.36.260 states that required notices must be mailed by first class mail with a certificate of mailing. Delivery by other methods may be used in addition to, but may not replace, the required mailing.

Edit Delete Close

Edit	Takes user into Edit mode of the Objection.
Delete	Removes the Objection after a confirmation to the user.
Close	Closes the Objection.

3. Click the **Edit** button.

4. Edit the Objection.

5. Click the **Save** button to update the objection.

Objections can be created throughout the review of a filing. The reviewer can compile some or all of those Objections into one Objection Letter when they are ready to communicate the Objections to Industry.

Create Objection Letter

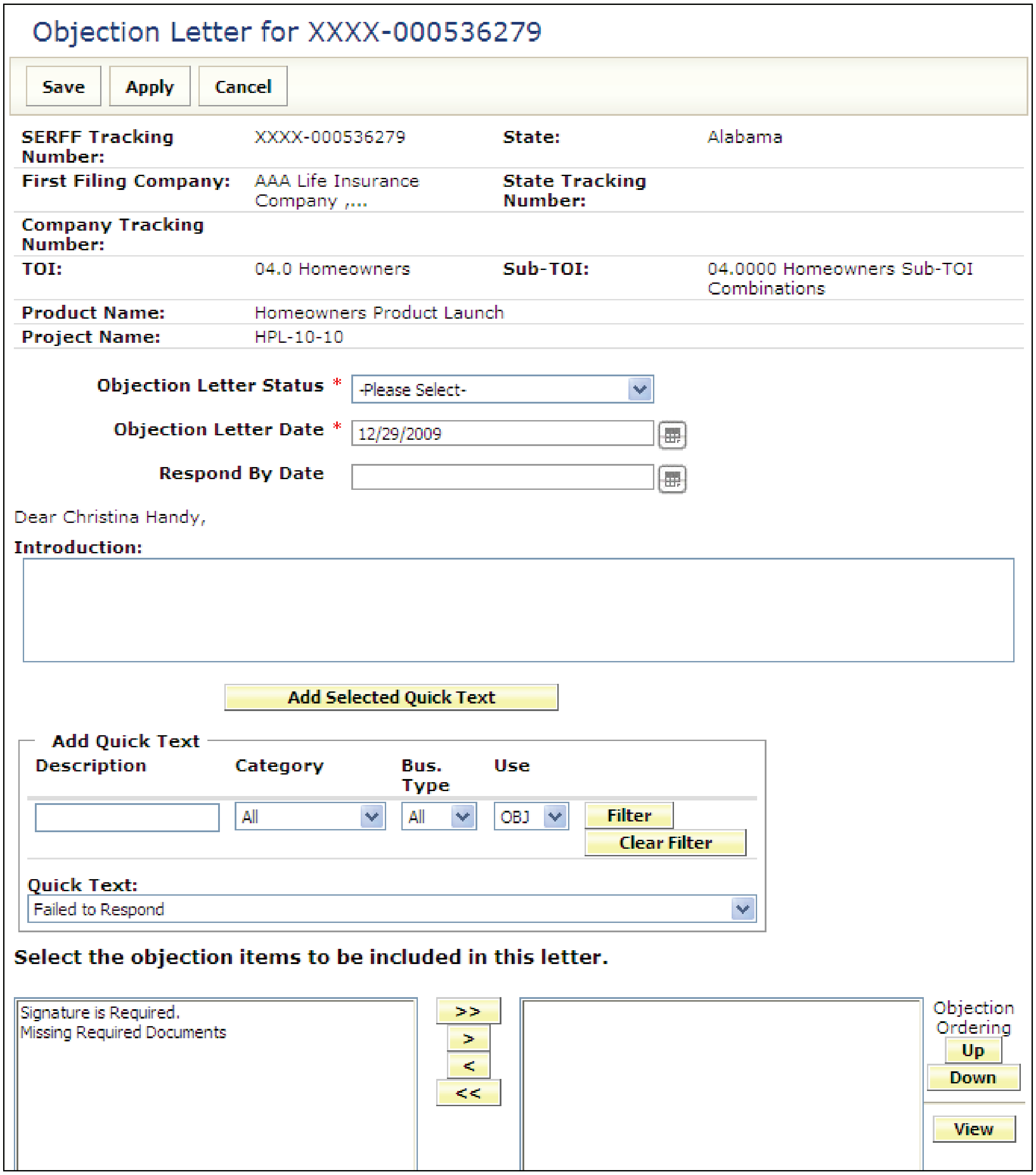
An Objection Letter is an electronic letter that identifies Objection(s) to the filing.

☞ Creating an Objection Letter

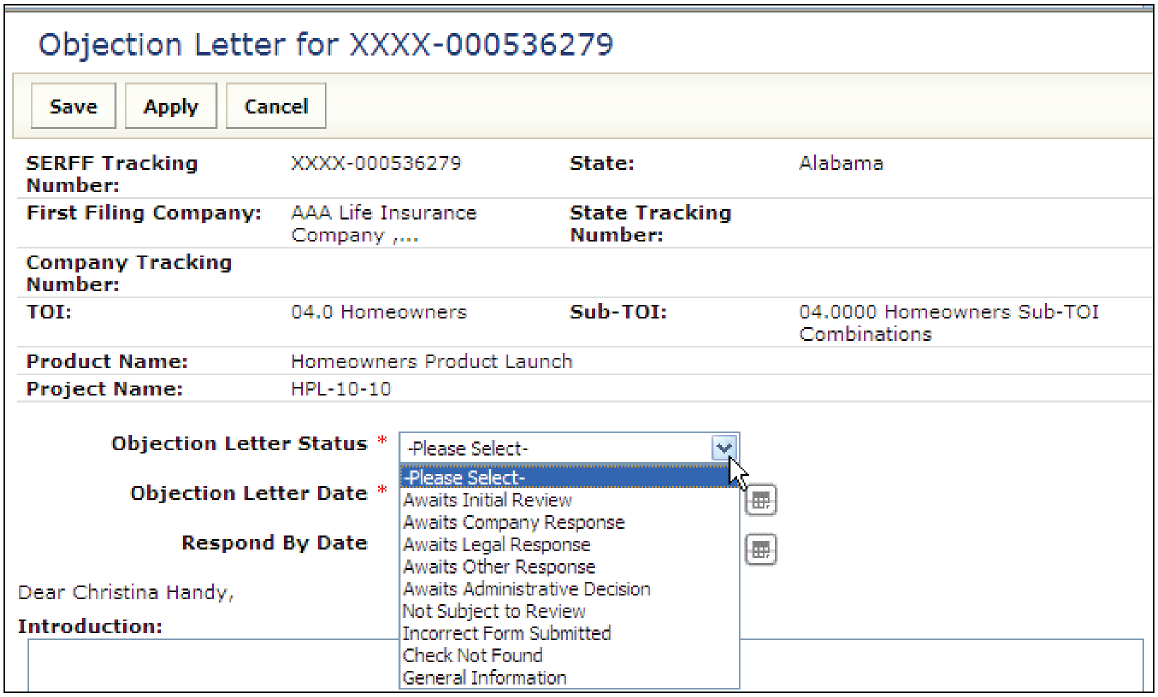
1. Click on the Filing Correspondence tab.

2. Click the Create Objection Letter link.

☞ The Objection Letter contains the standard introduction and closing that has been defined earlier in the Instance Preferences under the Settings tab. (See Lesson 2).



3. Select the Objection Letter status from the dropdown.

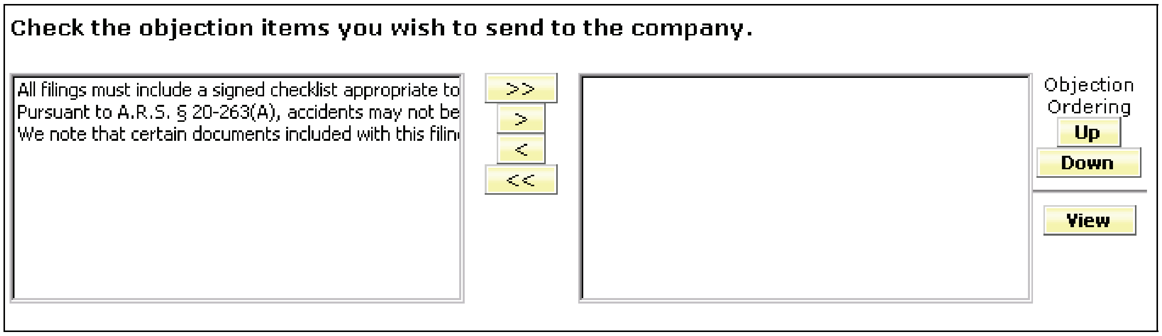


4. The Objection Letter Date is pre-populated with the current date, however; it can be changed by clicking on the calendar button or typing in a date.

5. Enter a Respond By Date to notify the industry of the latest date the state will accept a response to the Objection Letter. The Respond By Date is optional and can be selected by clicking on the calendar button or typing in a date.

6. Select the Objections that should be included on this Objection Letter in the left box and move them over to the right box. Once they are in the right box, the user can put them in the order that they wish them to appear in the Objection Letter by highlighting that Objection and then clicking the Up or Down buttons.

All Objections do not need to be sent in the same Objection Letter. They can be sent in separate Objection Letters, or in the case where a user created an Objection for their own notes, they are not required to be sent at all, however; industry will not see the Objection until they are included in an Objection Letter.

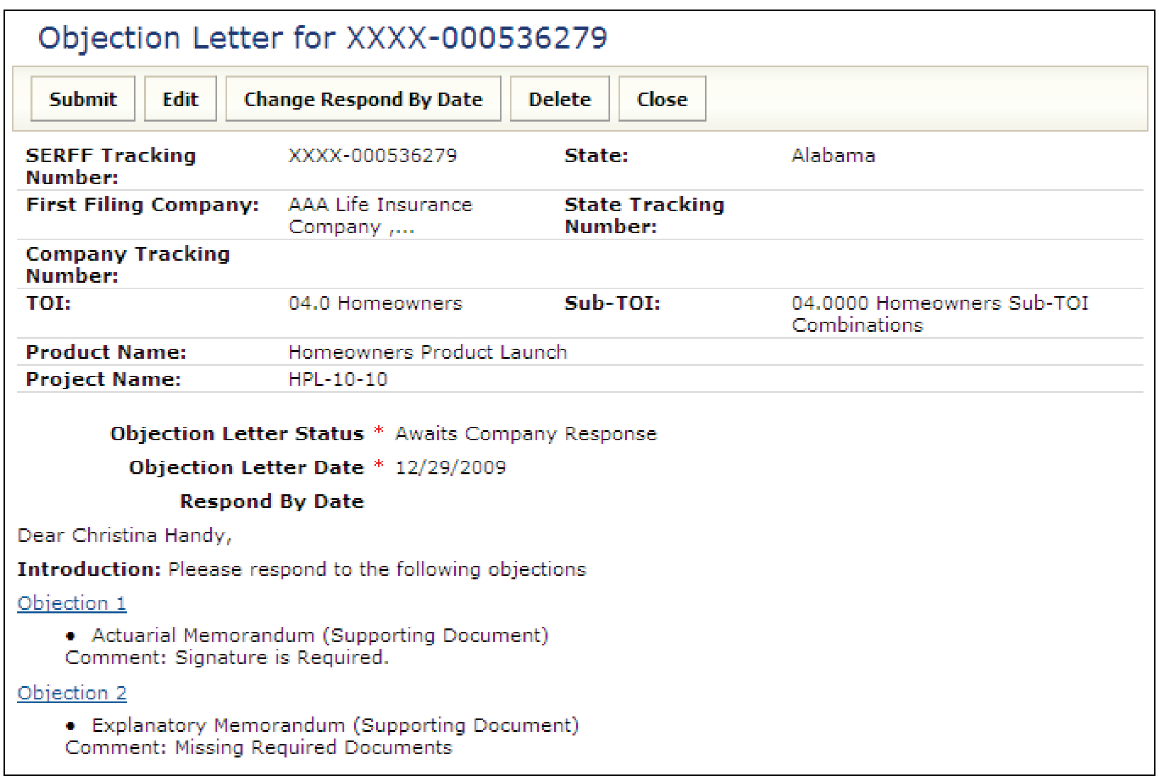


7. Click the **Attach Files** button to attach any files.

Since SERFF creates the letter for you, it is no longer necessary to attach a separate letter regarding issues on the filing.

☞ Something that the user might want to attach would be a marked-up form created using the editing tools in Adobe Acrobat (Lesson 7).

8. Click the **Save** button.



Objection Letter for XXXX-000536279

Submit | Edit | Change Respond By Date | Delete | Close

SERFF Tracking Number:	XXXX-000536279	**State:**	Alabama
First Filing Company:	AAA Life Insurance Company ,...	**State Tracking Number:**	
Company Tracking Number:			
TOI:	04.0 Homeowners	**Sub-TOI:**	04.0000 Homeowners Sub-TOI Combinations
Product Name:	Homeowners Product Launch		
Project Name:	HPL-10-10		

Objection Letter Status * Awaits Company Response
Objection Letter Date * 12/29/2009
Respond By Date

Dear Christina Handy,

Introduction: Pleease respond to the following objections

Objection 1

- Actuarial Memorandum (Supporting Document)
Comment: Signature is Required.

Objection 2

- Explanatory Memorandum (Supporting Document)
Comment: Missing Required Documents

After clicking on the **Save** button the user can Submit, Edit, Delete or Close the letter.

Submit	Edit	Delete	Close

Submit	Submits the Objection Letter to industry.
Change Respond By Date	Lets the user edit the Respond By Date
Edit	Takes user into Edit mode of the Objection Letter.
Delete	Removes the Objection Letter after a confirmation to the user.
Close	Closes Objection Letters that have not yet been submitted and saves them as drafts. If an Objection Letter has been submitted, this just closes the Objection Letter.

9. Click the **Submit** button to send the Objection Letter to the company.

10. A confirmation message appears confirming the action.

11. Click the **OK** button.

12. The Date Submitted under the Filing Correspondence tab indicates the date the Objection was sent to the company.

Objection Letters

Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On
Awaits Company Response	Stuart, Frances	12/29/2009	12/29/2009 01:30 PM			

☞ If you see the Draft Schedule Item Icon to the left of the item, your revisions/additions have not been submitted to the industry.

Objection Letters

	Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On
	Awaits Initial Review	Stuart, Frances	12/29/2009				

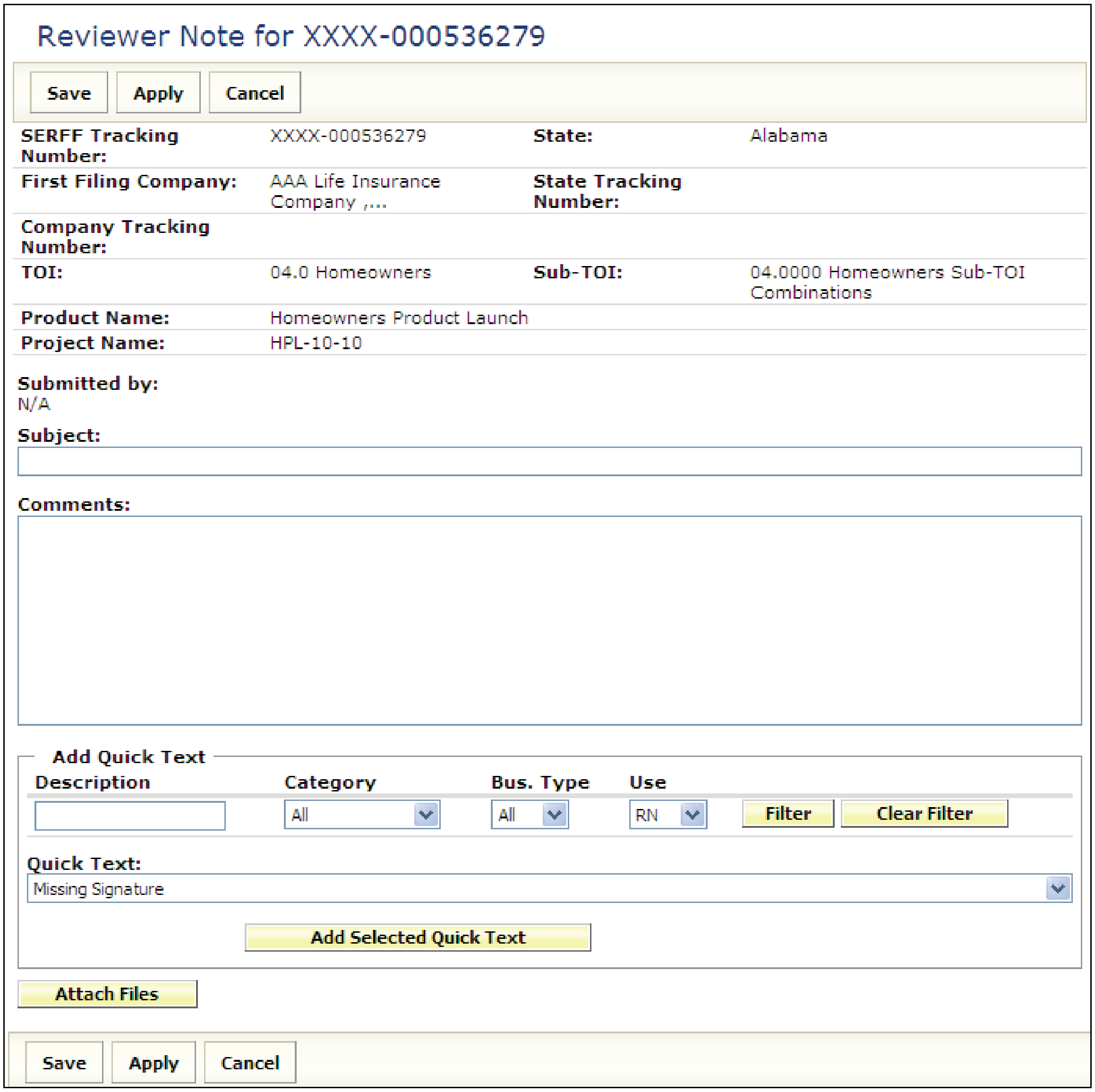
Reviewer Notes

A Reviewer Note is internal communication and is not submitted to industry. Only those state users who have access to the filing will be able to view the Reviewer Note.

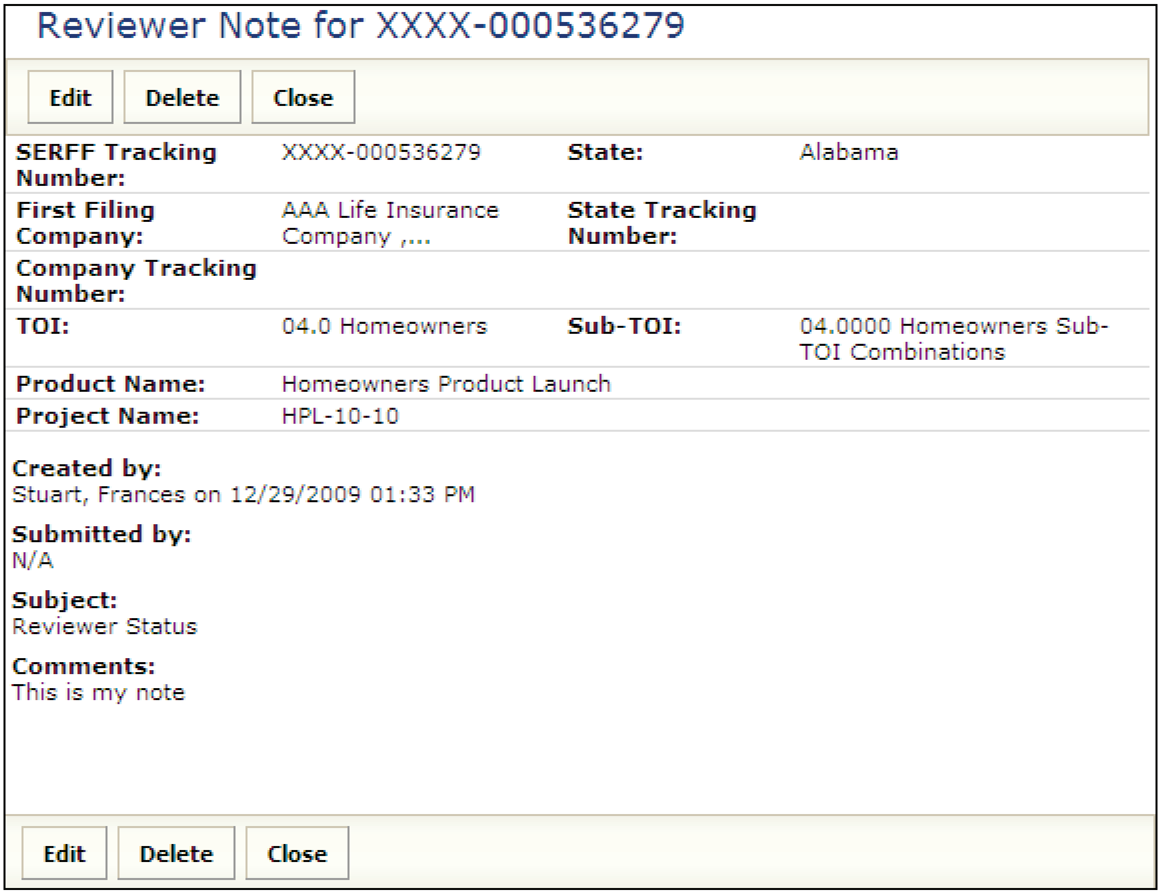
☞ Creating a Reviewer Note

1. Click the Filing Correspondence tab.

2. Click the Create Reviewer Note link.



3. Type a subject in the Subject Field.
4. Type a comment in the comments field. (The comments can contain up to 4000 characters). Or, use Quick Text to enter a previously created “canned” comment.
5. If necessary, click the **Attach Files** button to attach any files.
6. Click the **Save** button to save the Reviewer Note.

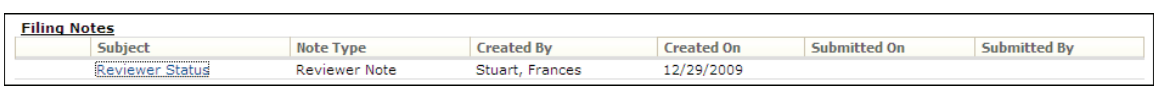


Edit Takes the user to an area where they can edit the Reviewer Note.

Delete Removes the Reviewer Note from the filing.

Close Closes the Reviewer Note and returns the user to the Filing Correspondence tab.

All Reviewer Notes are located under the Filing Correspondence tab in the filing. The Filing Notes section lists all notes, including Note to Reviewer, Note to Filer or Reviewer Note.



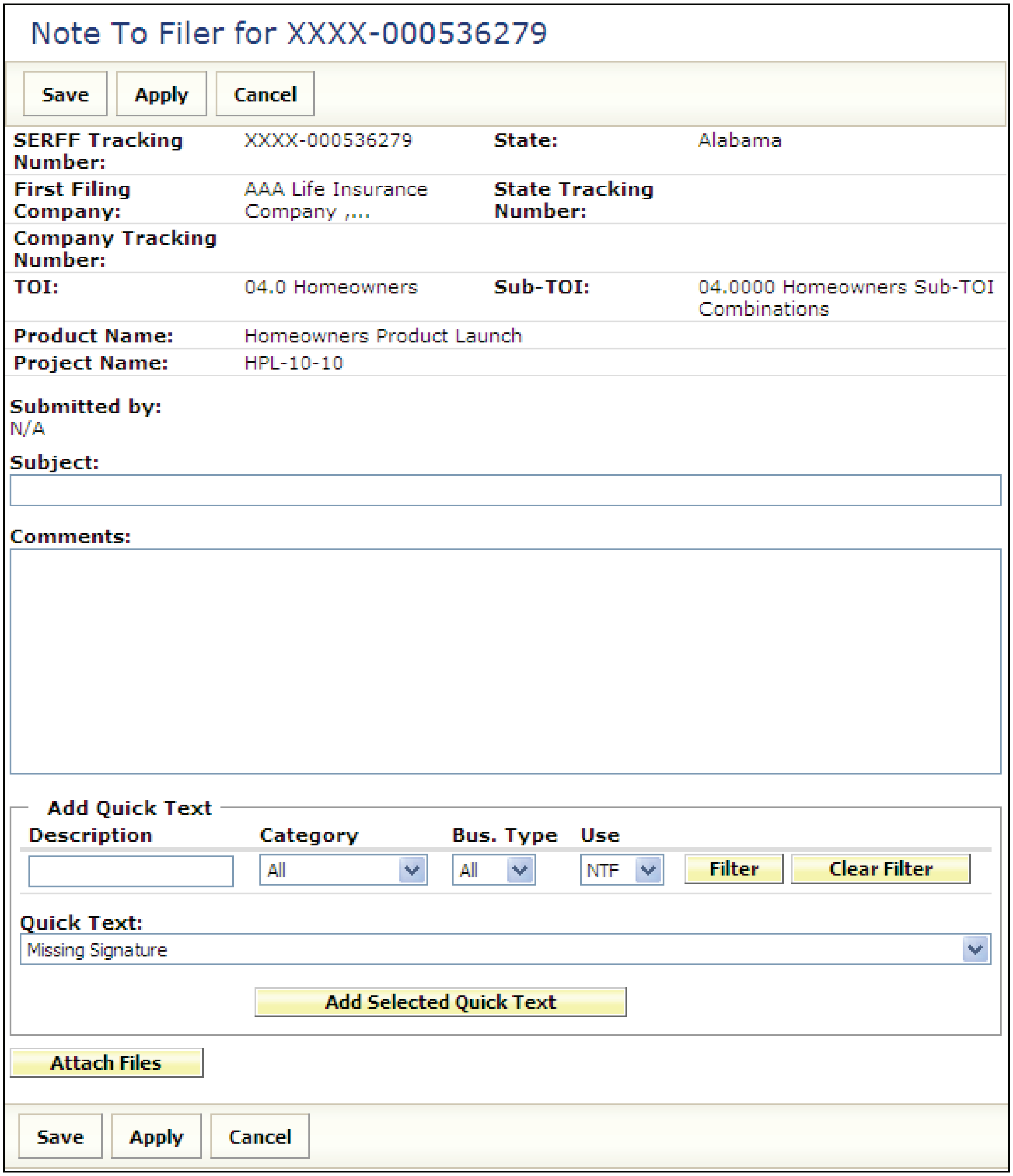
Note to Filer

A Note to Filer is sent from a state user to the filer.

☞ Creating a Note to Filer

1. Click the Filing Correspondence tab.

2. Click the Create Note to Filer link.

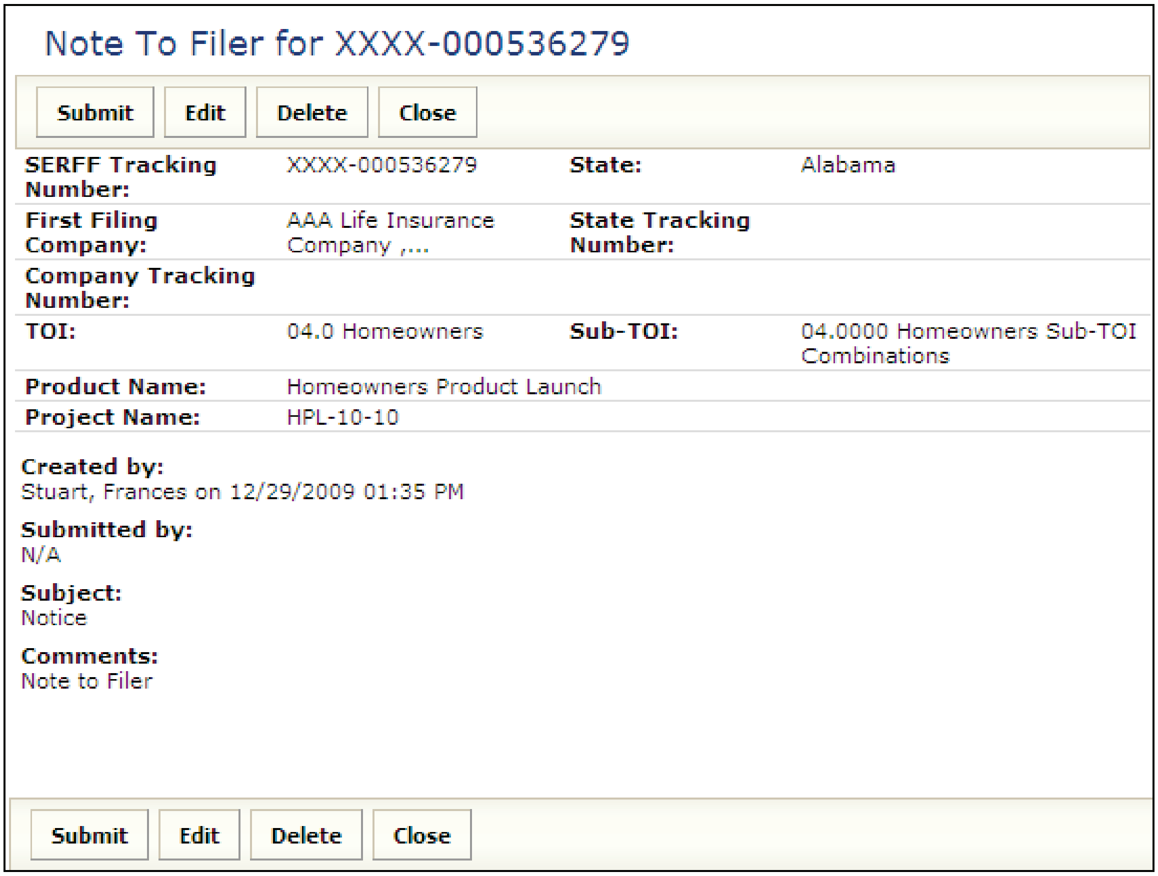


3. Type a subject in the Subject field.
4. Type a comment in the Comments field. The comments can contain up to 4000 characters. Quick Text can be used to enter a previously created “canned” comment.
5. If necessary, click the 

button to attach related files.

6. Click the **Save** button to save the Note to Filer.

After clicking on the **Save** button, a preview of the note is displayed. The user can Submit, Edit, Delete or Close the Note to Filer.



☞ Note: A Note to Filer should ***not*** be used to communicate Objections on a filing. Use the Objections and Objection Letter to communicate issues.

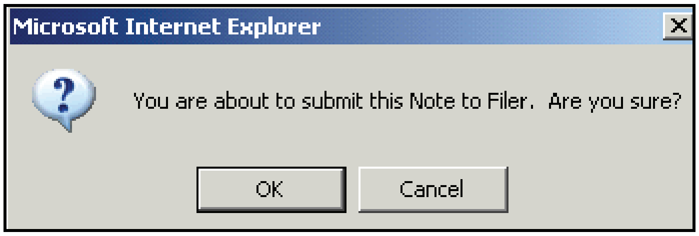
Edit Takes the user to an area where they can edit the Note to Filer.

Delete Removes the Note to Filer from the filing.

Close Closes the Note to Filer and returns the user to the Filing Correspondence tab.

6. Click the **Submit** button to send the Note to Filer.

7. A confirmation message appears confirming the action.



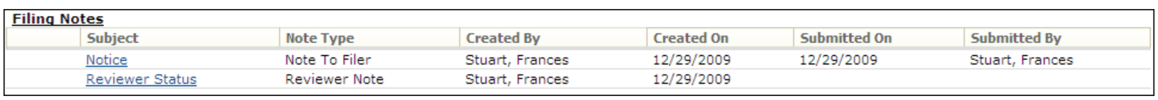
8. Click the 

button.

9. Click the 

button.

10. The date 'Submitted On' under the Filing Correspondence tab indicates the date the Note to Filer was submitted.



Filing Notes

	Subject	Note Type	Created By	Created On	Submitted On	Submitted By
	Notice	Note To Filer	Stuart, Frances	12/29/2009	12/29/2009	Stuart, Frances
	Reviewer Status	Reviewer Note	Stuart, Frances	12/29/2009		

If you see the Draft Schedule Item Icon  to the left of the item, your revisions/additions have not been submitted to the industry.

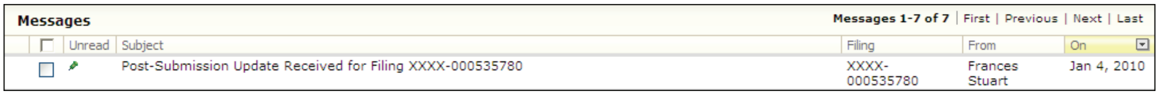
Post Submission Update

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. Contact the SERFF help desk by calling (816) 783-8990 or emailing serffhelp@naic.org to setup post submission updates for your instance.

Viewing Post-Submission Update

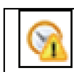
The reviewer will receive a message in their message center with notification that the industry has submitted a post-submission update.



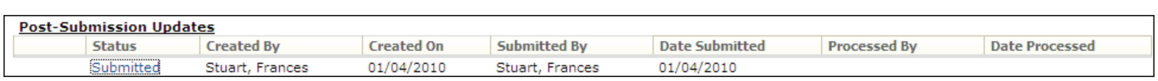
1. Click on the row to view the message.

2. Click the SERFF tracking number to view the filing.

The icons in the top left hand corner of the filing indicate if a submission has been submitted or if one has been approved.

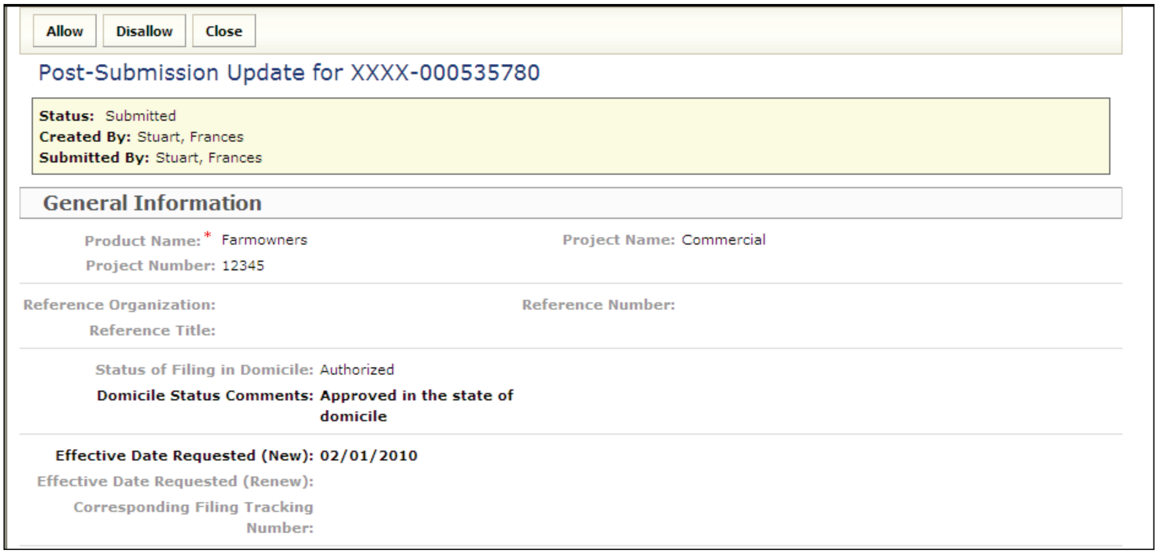
	Pending post submission
	Approved post submission

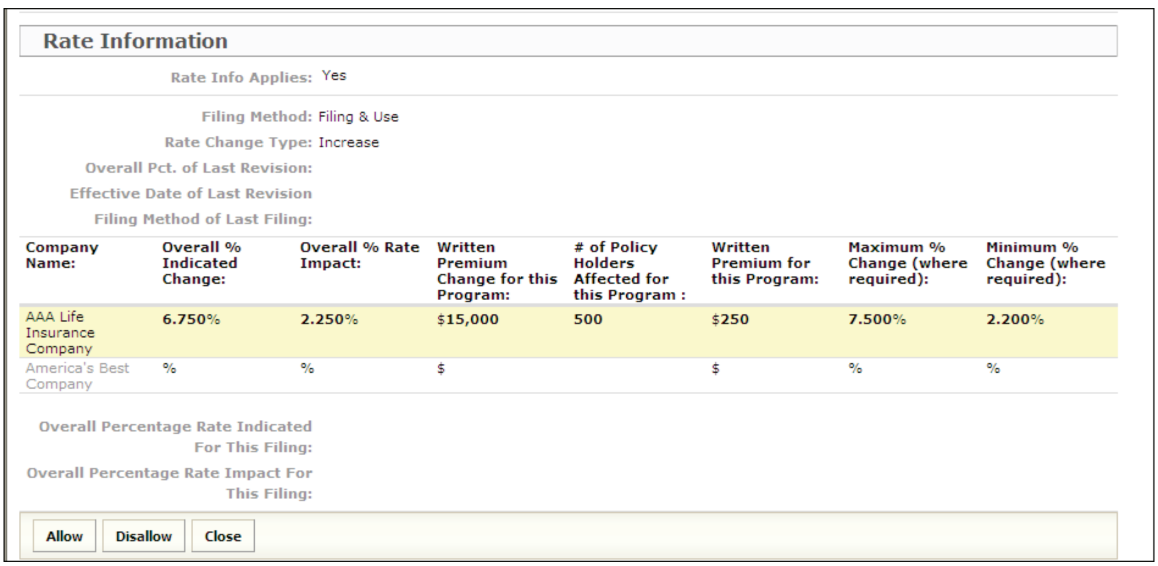
3. Click on the Filing Correspondence tab.



4. Click on the Post Submission link.

The Post Submission Update will show the fields that have changed in bold. The state has the option to allow or disallow a pending Post Submission Update.

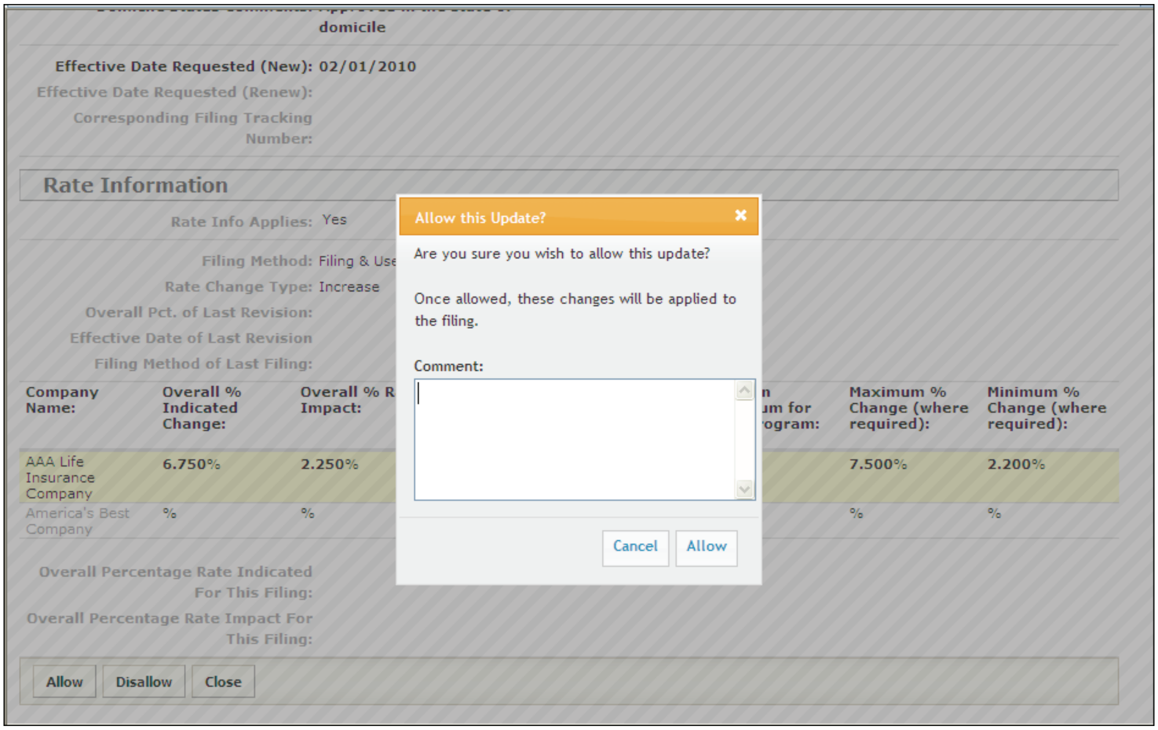




5. After reviewing the request the state can either allow or disallow the request by clicking on the button.

Allow	Allow the Post Submission request
Disallow	Disallow the Post Submission request

When the state takes action on a Post Submission Update request, they are prompted to confirm the action and allowed to enter a comment. These comments will be available to the industry. This is the same whether approving or disapproving the request.



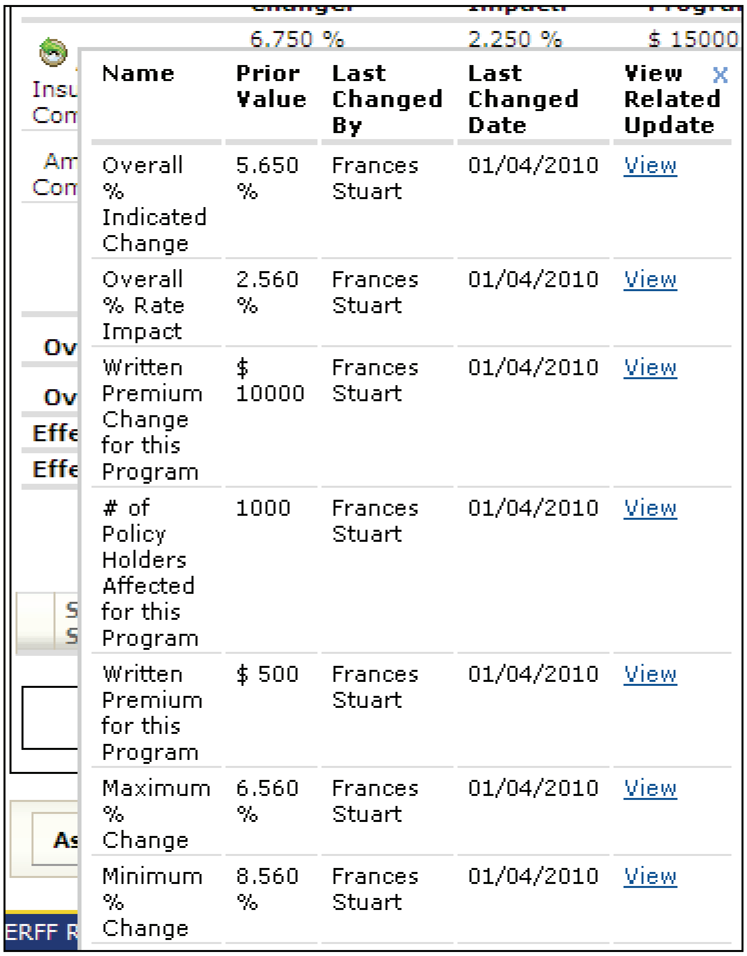
6.   Type in a comment and then click the button.

After approval, 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.

Post-Submission Updates

Status	Created By	Created On	Submitted By	Date Submitted	Processed By	Date Processed
Allowed	Stuart, Frances	01/04/2010	Stuart, Frances	01/04/2010	Stuart, Frances	01/04/2010

When a request is approved, the applicable fields on the filing are updated. Fields that have been changed through post submission will have an icon next to them representing changed data. This icon does not appear if the change was not approved. Clicking the icon for a field with the changes will trigger the display of the history of changes for that field, including prior values and the date the field was changed. The user can click the View link to be taken to the Post Submission Update for that change.



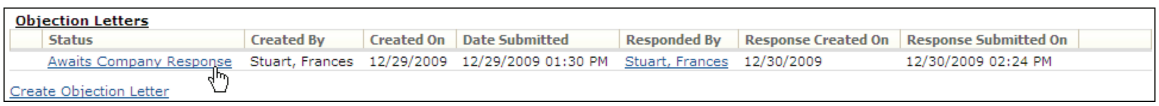
Name	Prior Value	Last Changed By	Last Changed Date	View Related Update
Overall % Indicated Change	5.650 %	Frances Stuart	01/04/2010	View
Overall % Rate Impact	2.560 %	Frances Stuart	01/04/2010	View
Written Premium Change for this Program	$ 10000	Frances Stuart	01/04/2010	View
# of Policy Holders Affected for this Program	1000	Frances Stuart	01/04/2010	View
Written Premium for this Program	$ 500	Frances Stuart	01/04/2010	View
Maximum % Change	6.560 %	Frances Stuart	01/04/2010	View
Minimum % Change	8.560 %	Frances Stuart	01/04/2010	View

Viewing Response Letters

☞ Viewing Response Letters through the Objection Letter

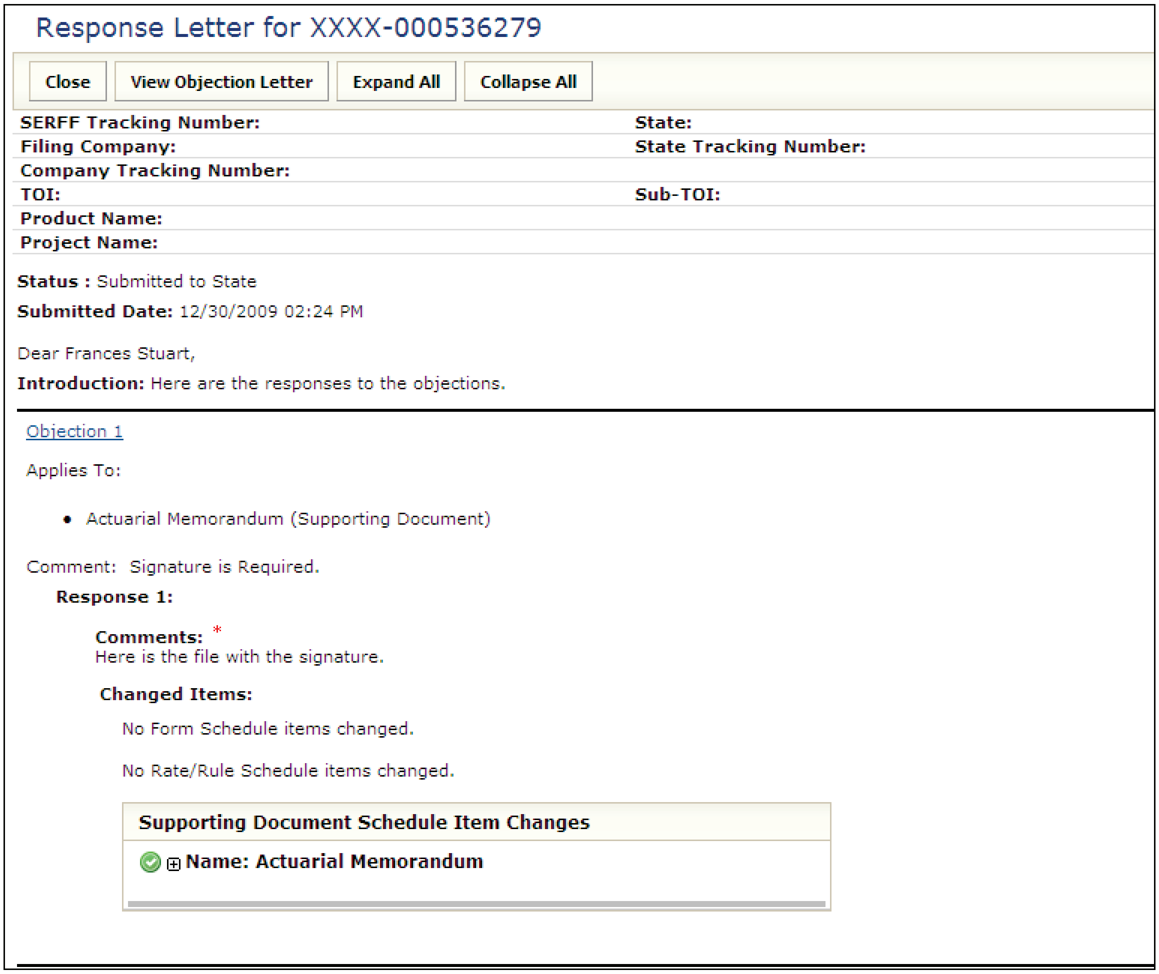
1. Click the Filing Correspondence tab.

2. Click on the link to the Objection Letter.



3. The Reviewer will see the letter that they sent to the company. The Reviewer can click on the **View Response Letter** button and see the company's response.

4. Click the **View Response Letter** button.



The industry response to the Objection Letter will open. The Reviewer can complete their review process and proceed to creating a Disposition.

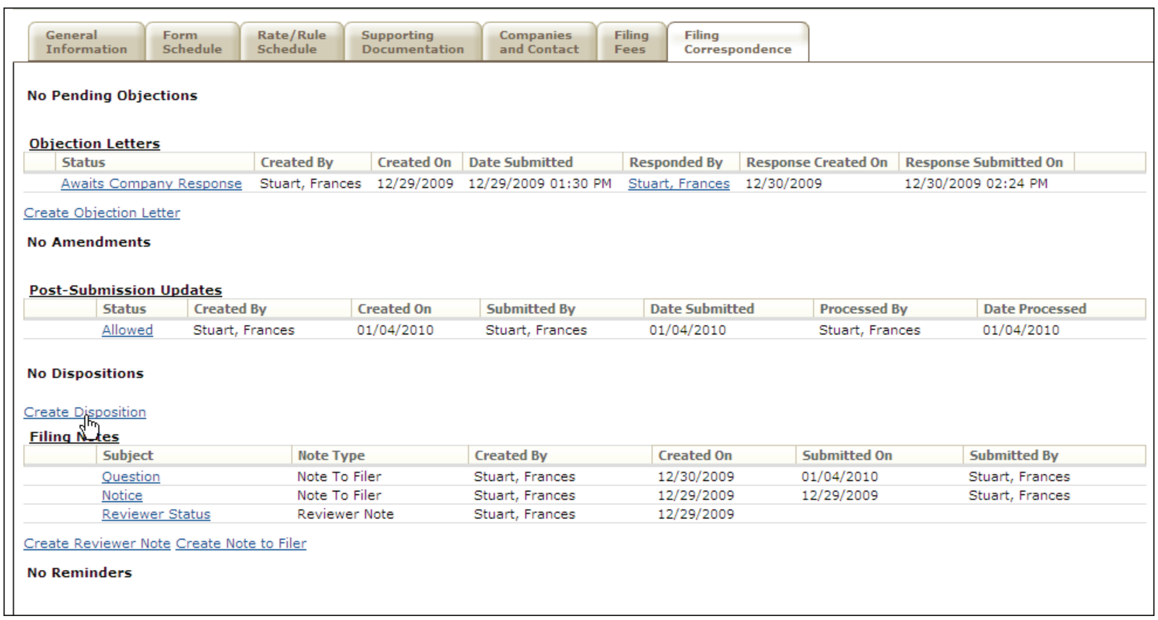
Dispositions

A Disposition is the result of the review of the filing.   When a Disposition is created, the status of the filing is changed to ‘Closed’.

As stated in Lesson 1, the Configuration Manager can dictate whether any assigned Reviewer can create a Disposition or if only the Primary Reviewer has the ability to create a Disposition.

Creating a New Disposition

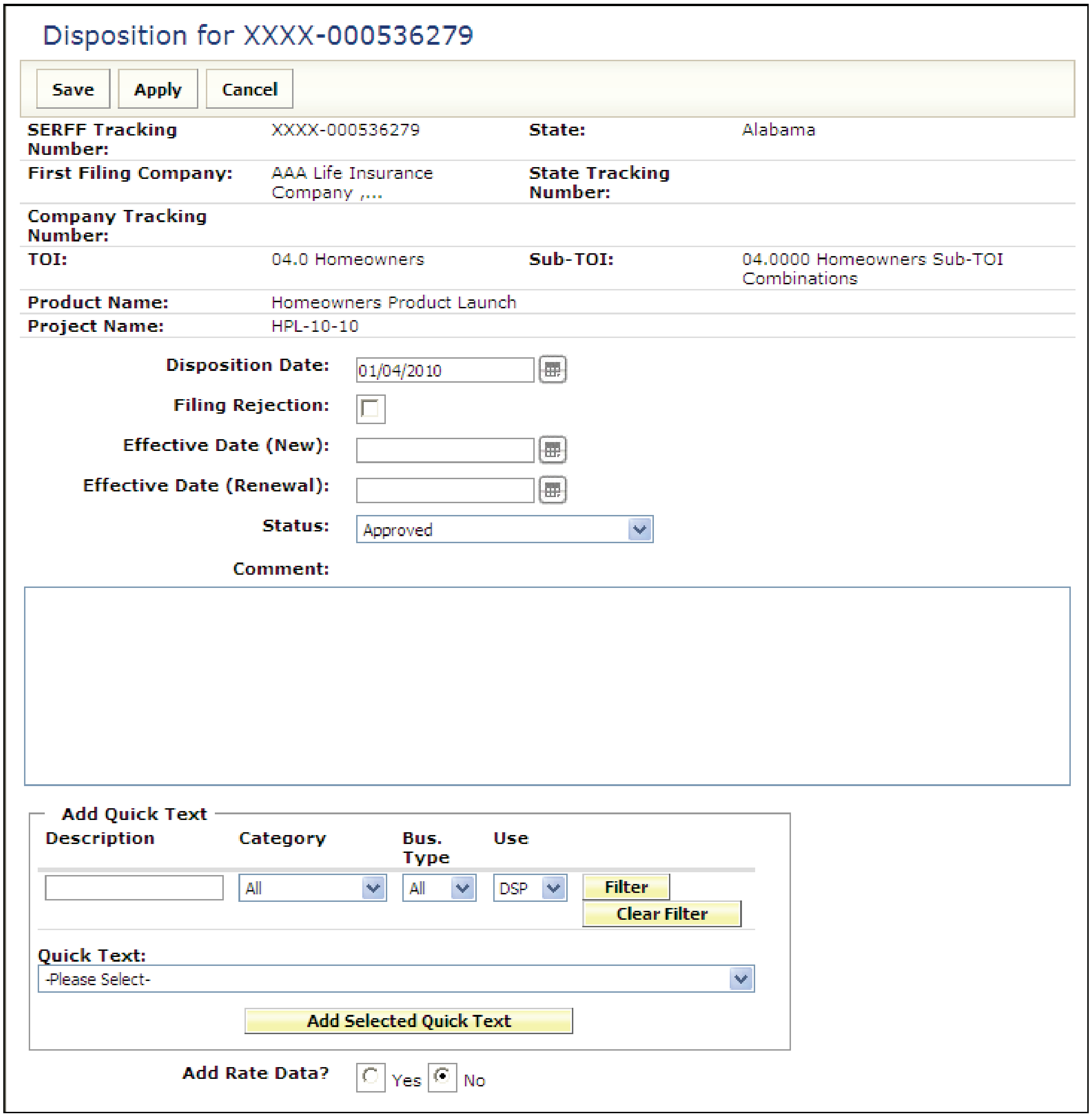
1. Click the Filing Correspondence tab.



2. Click the 

link.

Note: This screen shot might look different depending on the type of filing being reviewed.



Disposition for XXXX-000536279

Save | Apply | Cancel

SERFF Tracking Number:	XXXX-000536279	**State:**	Alabama
First Filing Company:	AAA Life Insurance Company ,...	**State Tracking Number:**	
Company Tracking Number:			
TOI:	04.0 Homeowners	**Sub-TOI:**	04.0000 Homeowners Sub-TOI Combinations
Product Name:	Homeowners Product Launch		
Project Name:	HPL-10-10		

Disposition Date: 01/04/2010

Filing Rejection:

Effective Date (New):

Effective Date (Renewal):

Status: Approved

Comment:

Add Quick Text

Description	Category	Bus. Type	Use
	All	All	DSP

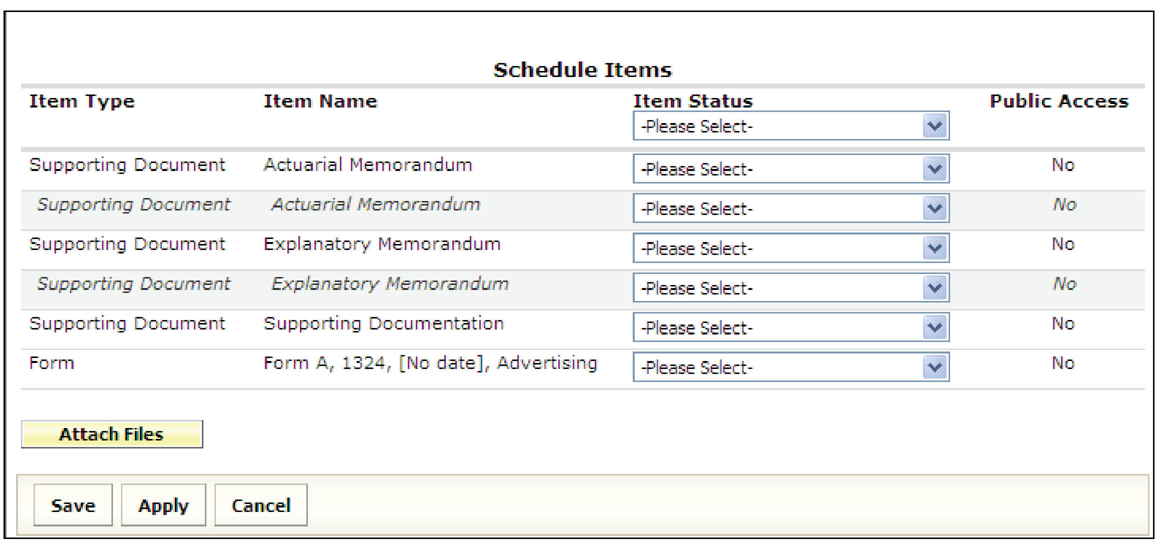
Filter

Clear Filter

Quick Text: -Please Select-

Add Selected Quick Text

Add Rate Data? Yes No



Schedule Items

Item Type	Item Name	Item Status	Public Access
		-Please Select-	
Supporting Document	Actuarial Memorandum	-Please Select-	No
Supporting Document	*Actuarial Memorandum*	-Please Select-	*No*
Supporting Document	Explanatory Memorandum	-Please Select-	No
Supporting Document	*Explanatory Memorandum*	-Please Select-	*No*
Supporting Document	Supporting Documentation	-Please Select-	No
Form	Form A, 1324, [No date], Advertising	-Please Select-	No

Attach Files

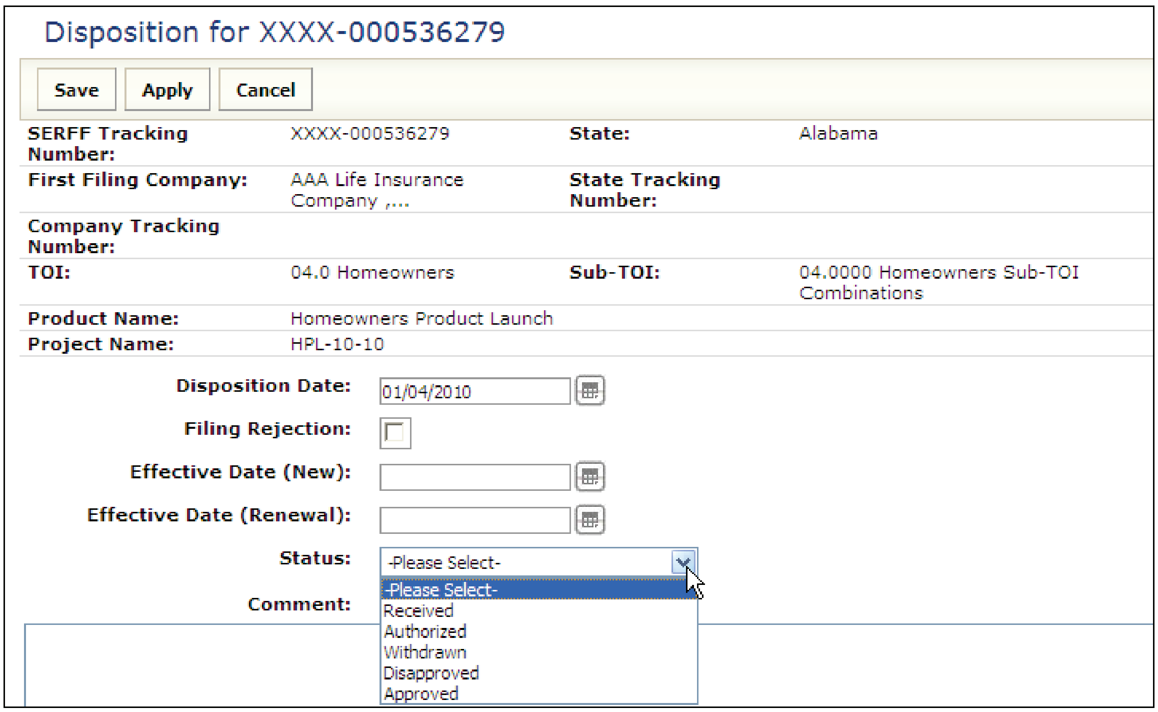
Save | Apply | Cancel

3. The Disposition Date will be auto populated, however; it can be changed by clicking on the calendar button or by typing in a date.

4. Place a checkmark in the 'Filing Rejection' box, if necessary.

5. Enter the Effective/Implementation Date(s) by clicking on the calendar button or by typing in a date.

6. Click the drop down arrow and select the Status.



Disposition for XXXX-000536279

Save | Apply | Cancel

SERFF Tracking Number:	XXXX-000536279	**State:**	Alabama
First Filing Company:	AAA Life Insurance Company ,...	**State Tracking Number:**	
Company Tracking Number:			
TOI:	04.0 Homeowners	**Sub-TOI:**	04.0000 Homeowners Sub-TOI Combinations
Product Name:	Homeowners Product Launch		
Project Name:	HPL-10-10		

Disposition Date: 01/04/2010

Filing Rejection:

Effective Date (New):

Effective Date (Renewal):

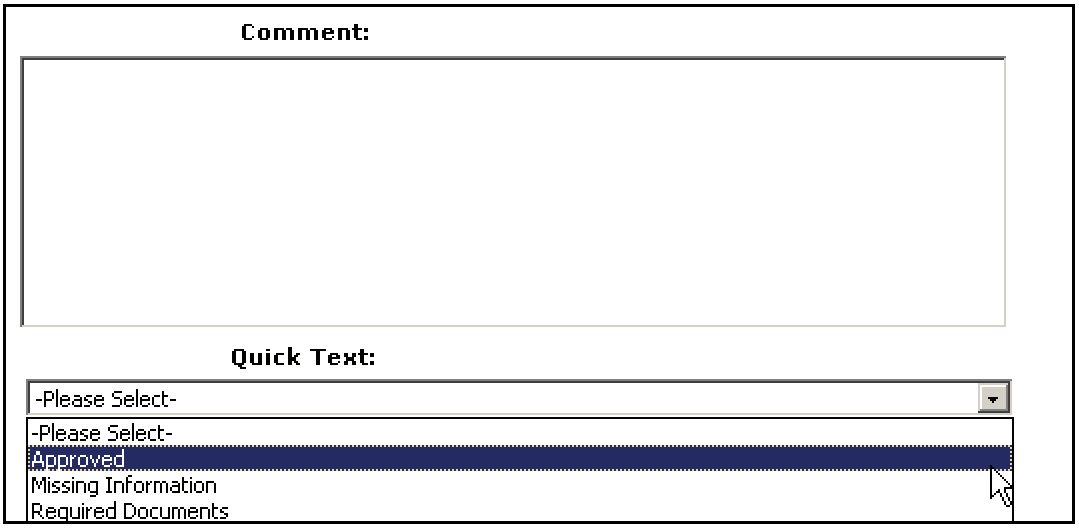
Status: -Please Select-

-Please Select-
Received
Authorized
Withdrawn
Disapproved
Approved

Comment:

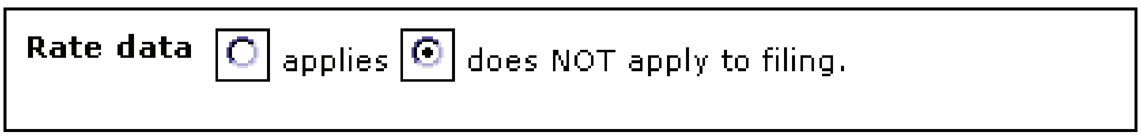
7. Click the drop down arrow and select the Quick Text and/or enter comments, if necessary.

☞ The Comment field is a free text field. The user can use more than one Quick Text item, edit the Quick Text comment or add more information for the Objection.

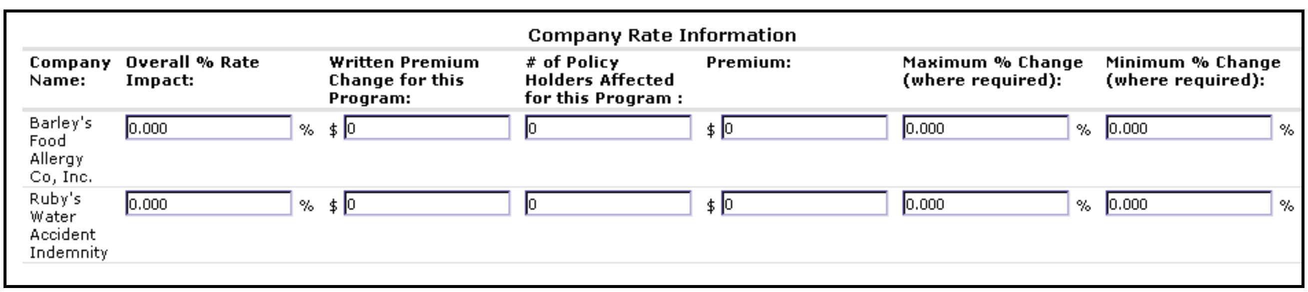


8. Click the **Add Selected QuickText** button.

9. If applicable, change the flag for whether Rate Data applies on the filing.

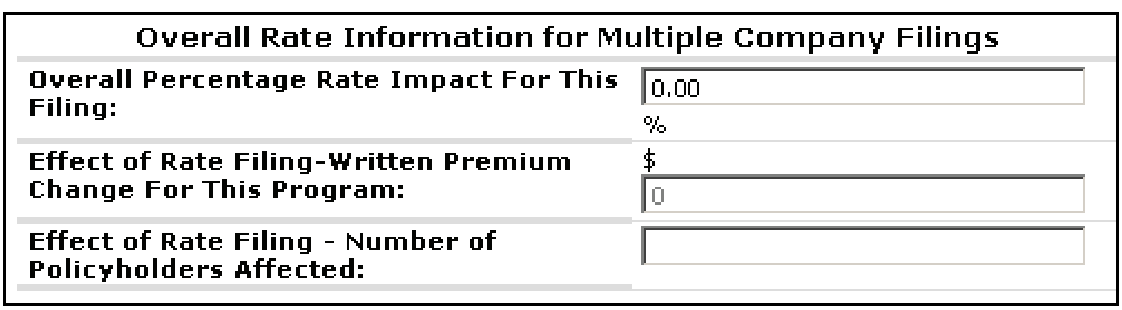


10. Enter the Rate Data, as applicable, into the fields.



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):
Barley's Food Allergy Co, Inc.	0.000 %	$ 0	0	$ 0	0.000 %	0.000 %
Ruby's Water Accident Indemnity	0.000 %	$ 0	0	$ 0	0.000 %	0.000 %



Overall Rate Information for Multiple Company Filings

Overall Percentage Rate Impact For This Filing:	0.00 %
Effect of Rate Filing-Written Premium Change For This Program:	$ 0
Effect of Rate Filing - Number of Policyholders Affected:	

11. Complete the Item Status for all schedule items.

Click the first drop down arrow to change all schedule items or select them individually.

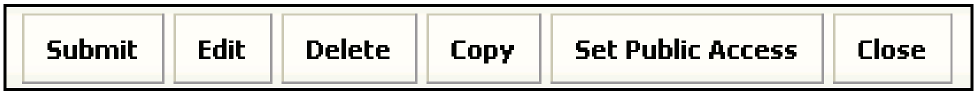
Schedule Items

Item Type	Item Name	Item Status (01) Please Select	Public Access
Supporting Document	P&C Cover Letter	(01) Please Select	No
Supporting Document	P&C Transmittal Document	(01) Please Select	No
Supporting Document	*P&C NH Retalitory Fee Summary Page*	(01) Please Select	*No*
Supporting Document	P&C NH Retalitory Fee Summary Page	(01) Please Select	No
Supporting Document	P&C Microfiche form required for NH Ins. Dept. to fiche	(01) Please Select	No
Supporting Document	P & C Form to be reviewed, only one per component	(01) Please Select	No
Form	Homeowners	(01) Please Select	No
Rate	Fee Summary	(01) Please Select	No

Attach Files

12. Click the **Attach Files** button to attach any files. Since SERFF creates the letter for you, an expectation of an attached file would be a marked-up form created using the editing tools in Adobe Acrobat (Lesson 7).
13. Click **Save**.

The following buttons are now available:



Submits the Disposition to the filer.

Takes the user to an area where they can edit the Disposition (prior to submission).

Removes the Disposition from the filing.

Takes the user to an area where they can control the Public Access settings for this filing.

Closes the Disposition and returns the user to the Filing Correspondence tab.

14. If Public Access needs to be set on the filing, skip to step one of the next section before submitting.

15. Click 

.

16. Click 

.

A closed filing will be removed from My Open Filings. Use the Advanced Search feature to find any closed filings.

Public Access

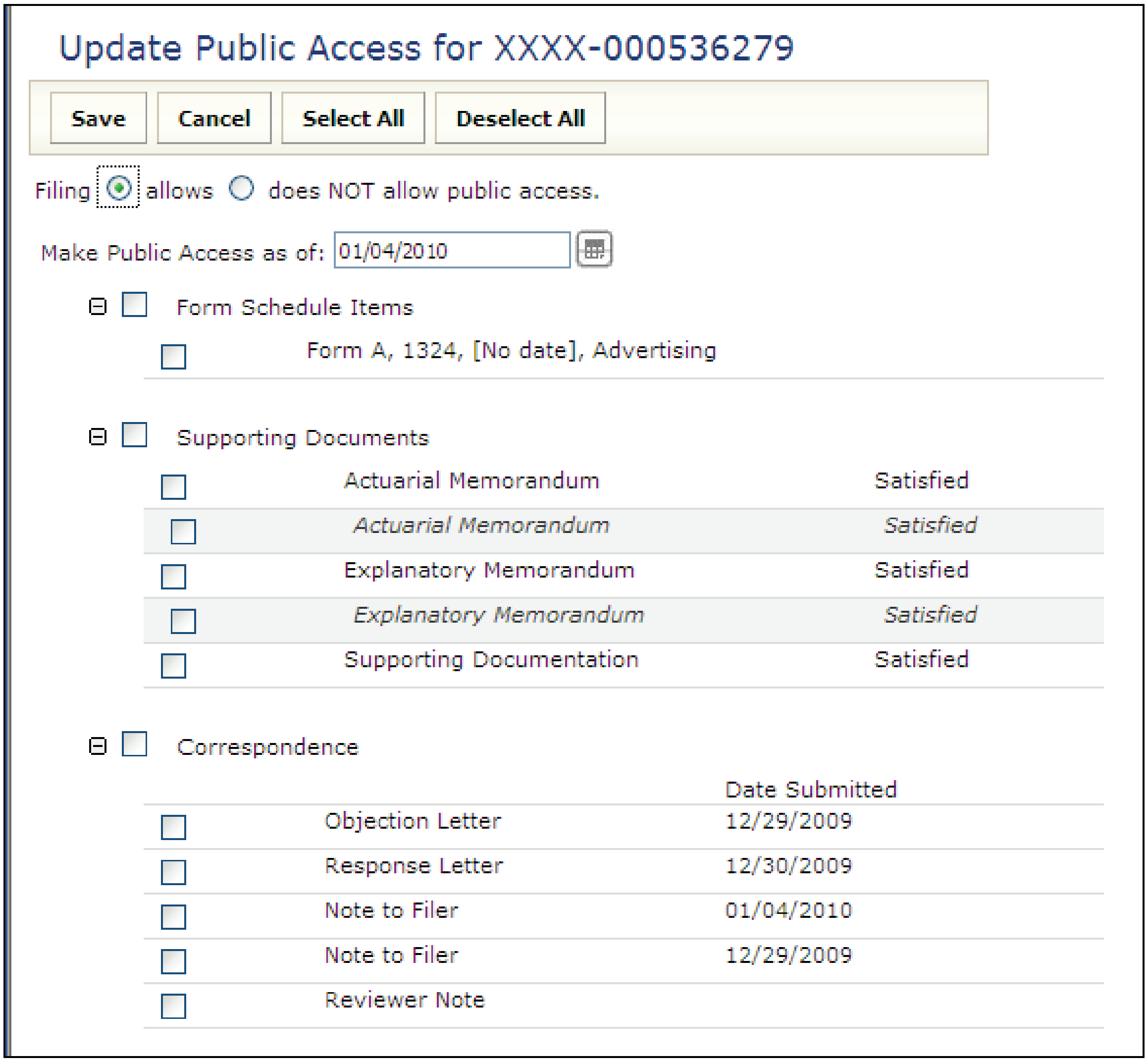
The industry has the ability to request certain pieces of the filing be marked 'confidential'. The State Configuration Manager will indicate your state's Public Access position, citing any statutes, in the settings. If an industry user requests parts of/the entire filing be marked confidential yet your state statutes will not accommodate their request, the State Reviewer can override their request and update Public Access.

1. Click the 

button.

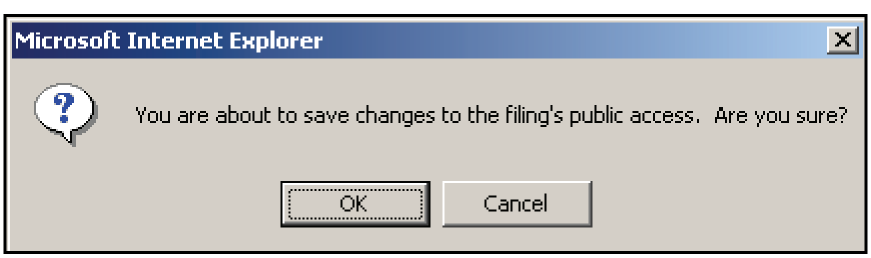
2. Click the ' allows' or ' does not allow public access' radio button (depending on your state statutes).
3. Place a check mark next to items available for Public Access.

☞ Selecting the main schedule items will select all sub-schedule items, but the sub-schedule items can be subsequently deselected.



4. Set the date that the filing is available for public access.
5. Click the 

button.
6. A confirmation message appears confirming this action.



7. Click the 

button.

☞ Once the filing has been marked for Public Access, an 'eyeglasses' icon appears on the filing.

☞ If parts of the filing are marked confidential, the 'eyeglasses' icon will appear with a red mark through it.

8. Click 

.

.

9. Click 

.

☞ When the Disposition Report has been submitted to the Author, the 'Submitted On' date field will be populated with the Date Submitted.


Dispositions

Status	Created By	Created On	Date Submitted
Approved	Stuart, Frances	01/04/2010	01/04/2010 08:47 AM

☞ A closed filing will be removed from My Open Filings. Use the Advanced Search feature to find any closed filings.

Copy Disposition

Users can copy existing Dispositions if a filing has been reopened. Only Dispositions that have been submitted may be copied. This is useful when a filing has been reopened, the user is ready to close it again, and there aren't many changes to the Disposition.

1. Click on the Filing Correspondence tab.

No Pending Objections Available

Objection Letters

	Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On
	5 Day Response	MayorgaMgr, Courtney	09-13-2006	09-13-2006			
	10 Day Response	MayorgaMgr, Courtney	09-13-2006	09-13-2006			

Create Objection Letter

No Amendments Created

Disposition Reports

	Status	Created By	Created On	Date Submitted
	Approved	MayorgaMgr, Courtney	09-19-2006	09-19-2006
	Approved	MayorgaMgr, Courtney	09-19-2006	09-19-2006
	Approved	MayorgaMgr, Courtney	09-19-2006	09-19-2006
	Approved	MayorgaMgr, Courtney	09-19-2006	09-19-2006
	Approved	MayorgaMgr, Courtney	09-19-2006	09-19-2006
	Approved	MayorgaMgr, Courtney	09-19-2006	09-19-2006
	Approved	MayorgaMgr, Courtney	09-19-2006	09-19-2006
	File and Use	MayorgaMgr, Courtney	09-19-2006	09-19-2006

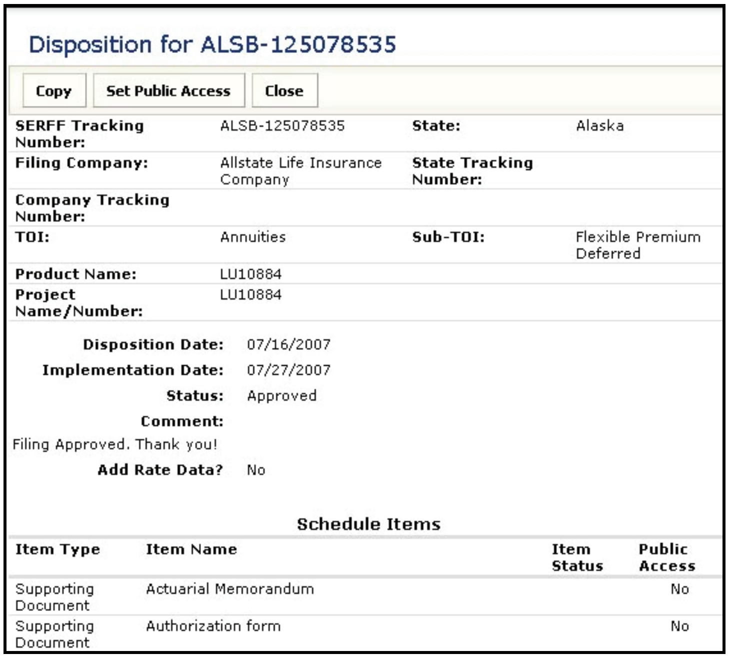
Create Disposition Report

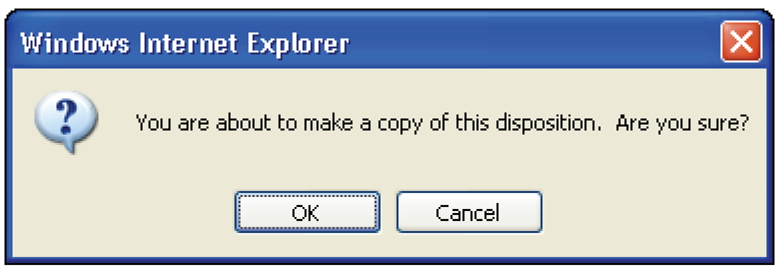
2. Click on the Status of the Disposition that you want to copy (ex. Approved).

Disposition Reports

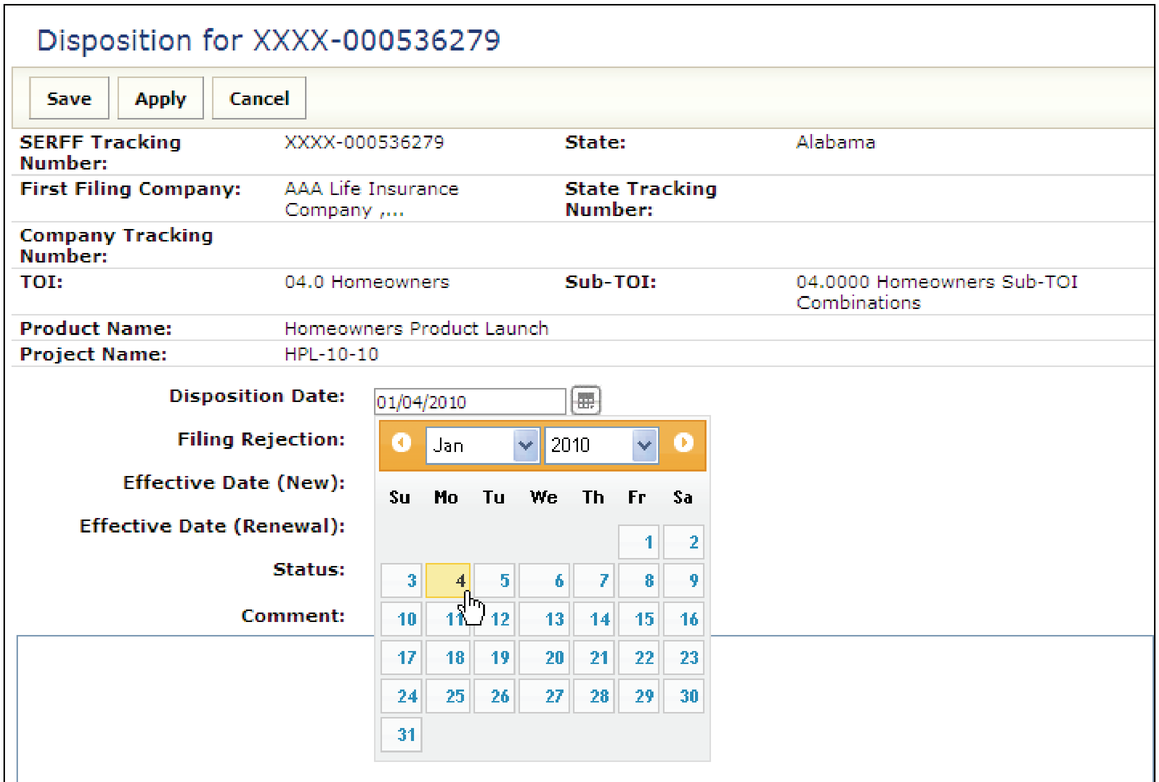
	Status	Created By	Created On	Date Submitted
	Approved	MayorgaMgr, Courtney	09-19-2006	09-19-2006

3. The Disposition will open in a new window. Click on Copy.





4. A copy of the Disposition chosen will populate on the screen and will be in edit mode.
5. Update any data as necessary.

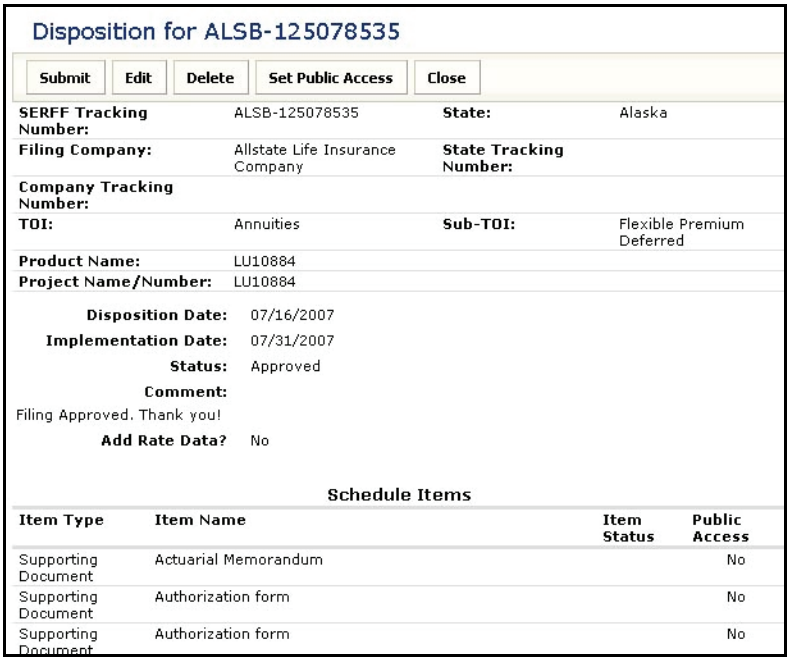


6. Click **Save**.

The following buttons are now available:

Submit **Edit** **Delete** **Copy** **Set Public Access** **Close**

Submit	Submits the Disposition to industry.
Edit	Takes the user to an area where they can edit the Disposition (prior to submission).
Delete	Removes the Disposition from the filing.
Set Public Access	Takes the user to an area where they can control the Public Access settings for this filing.
Close	Closes the Note to Filer and returns the user to the Filing Correspondence tab.



Disposition for ALSB-125078535

Submit | Edit | Delete | Set Public Access | Close

SERFF Tracking Number:	ALSB-125078535	**State:**	Alaska
Filing Company:	Allstate Life Insurance Company	**State Tracking Number:**	
Company Tracking Number:			
TOI:	Annuities	**Sub-TOI:**	Flexible Premium Deferred
Product Name:	LU10884		
Project Name/Number:	LU10884		

Disposition Date: 07/16/2007
Implementation Date: 07/31/2007
Status: Approved
Comment:
Filing Approved. Thank you!
Add Rate Data? No

Schedule Items

Item Type	Item Name	Item Status	Public Access
Supporting Document	Actuarial Memorandum		No
Supporting Document	Authorization form		No
Supporting Document	Authorization form		No

7. If Public Access needs to be set on the filing, skip to step one of the Public Access section above before submitting.
8. Click 

.

9. Click 

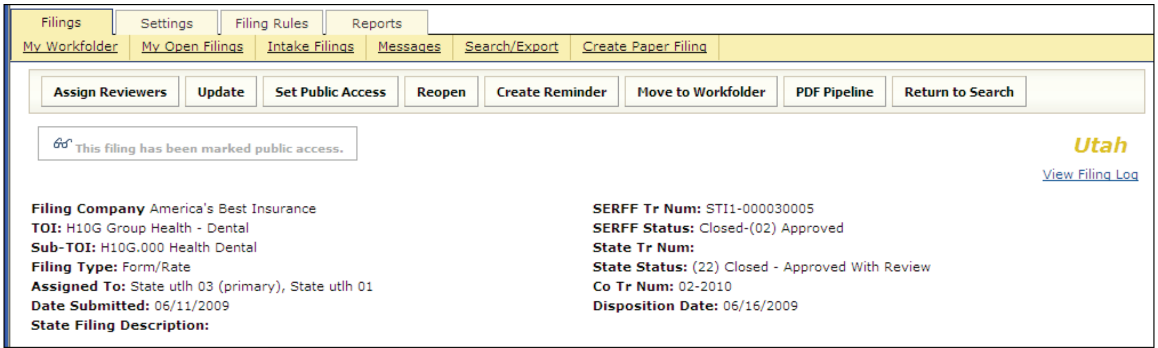
.

A closed Filing will be removed from My Open Filings. Use the Advanced Search feature to find any closed filings.

Reopening a Filing

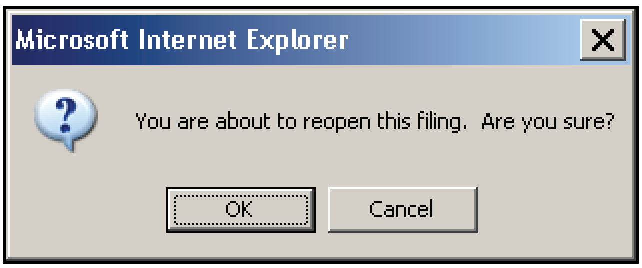
Filings which have been closed with a Disposition can be reopened as many times as the state user deems necessary.

1. Using Search or Advanced Search, locate the filing to be Reopened.
2. Select the filing.



3. Click the 

button.



4. Click the 

button.
5. The filing is now reopened and will now be accessible in 'My Open Filings'.

☞ *Changing Effective/Implementation Date*

SERFF allows state users to change the effective date on a submitted Disposition without reopening the filing.

1. Using either Search or Advanced Search, locate and select the filing for which Effective/Implementation Date should be changed.
2. Click on the Filing Correspondence tab.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	State Specific	Companies and Contact	Filing Fees	Filing Correspondence

Pending Objections

Comment	Created By	Created On	Last Updated By	Last Updated On
The readability requirements of Section 2441 must be met.	utlh 01, State	06/11/2009 11:30 AM		

Objection Letters

Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On
(02) Awaits Company Response	utlh 01, State	06/11/2009	06/11/2009 11:39 AM	Stuart, Frances	06/11/2009	06/11/2009 12:16 PM

No Amendments

No Post-Submission Updates

Dispositions

Status	Created By	Created On	Date Submitted
(02) Approved	utlh 03, State	06/16/2009	06/16/2009 12:26 PM

Filing Notes

Subject	Note Type	Created By	Created On	Submitted On	Submitted By
Form Status	Reviewer Note	utlh 03, State	06/16/2009		

Create Reviewer Note Create Note to Filer

No Reminders

3. Click on the Status of the most current Disposition to open the Disposition.

Dispositions

Status	Created By	Created On	Date Submitted
(02) Approved	utlh 03, State	06/16/2009	06/16/2009 12:26 PM

Disposition for ALSB-125078535

Change Effective Dates | Set Public Access | Close

SERFF Tracking Number:	ALSB-125078535	**State:**	Alaska
Filing Company:	Allstate Life Insurance Company	**State Tracking Number:**	
Company Tracking Number:			
TOI:	Annuities	**Sub-TOI:**	Flexible Premium Deferred
Product Name:	LU10884		
Project Name/Number:	LU10884		

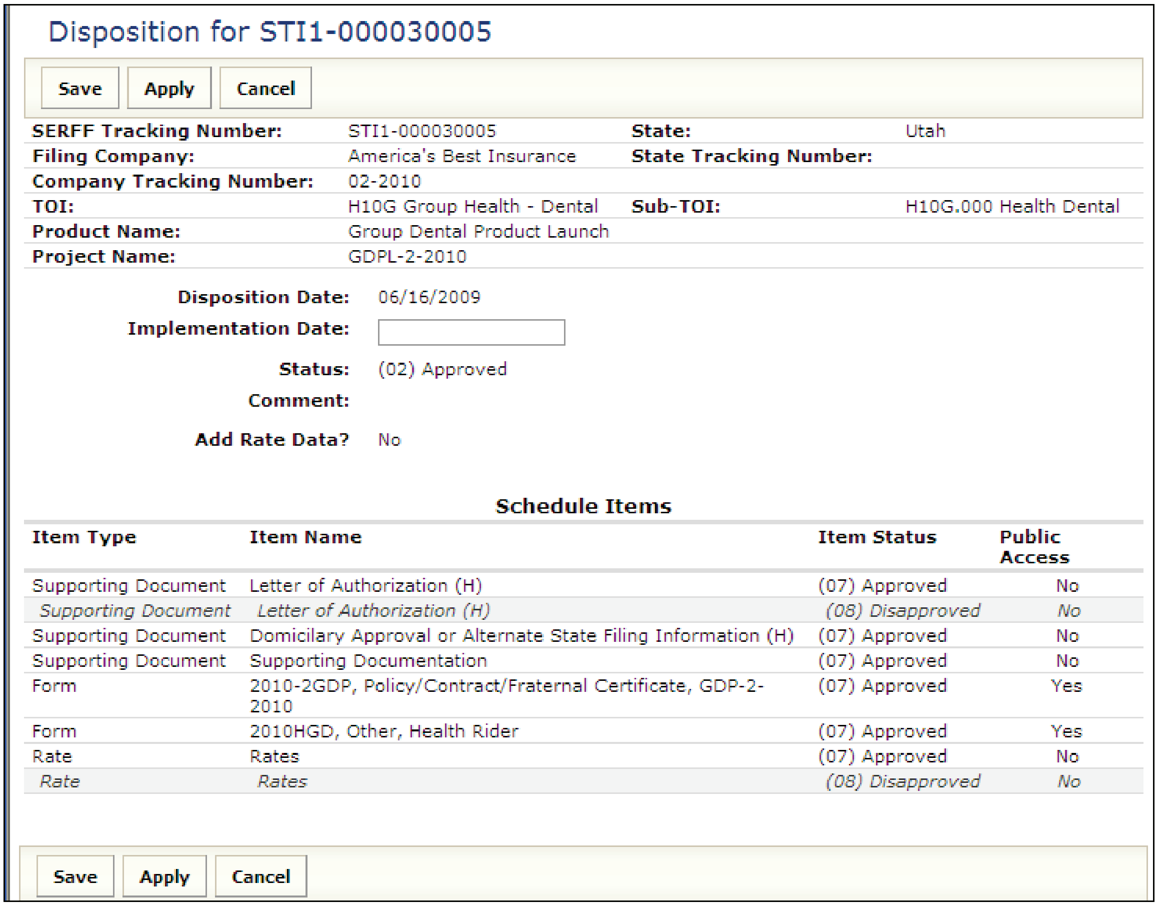
Disposition Date: 07/16/2007
Implementation Date: 07/31/2007
Status: Approved
Comment:
Filing Approved. Thank you!
Add Rate Data? No

Schedule Items

Item Type	Item Name	Item Status	Public Access
Supporting Document	Actuarial Memorandum		No

4. Click **Change Effective Dates**.

The Disposition will now display in a limited edit mode, only allowing changes to the Effective/Implementation Date(s).



Disposition for STI1-000030005

Save | Apply | Cancel

SERFF Tracking Number:	STI1-000030005	**State:**	Utah
Filing Company:	America's Best Insurance	**State Tracking Number:**	
Company Tracking Number:	02-2010		
TOI:	H10G Group Health - Dental	**Sub-TOI:**	H10G.000 Health Dental
Product Name:	Group Dental Product Launch		
Project Name:	GDPL-2-2010		

Disposition Date: 06/16/2009

Implementation Date:

Status: (02) Approved

Comment:

Add Rate Data? No

Schedule Items

Item Type	Item Name	Item Status	Public Access
Supporting Document	Letter of Authorization (H)	(07) Approved	No
Supporting Document	*Letter of Authorization (H)*	*(08) Disapproved*	*No*
Supporting Document	Domicilary Approval or Alternate State Filing Information (H)	(07) Approved	No
Supporting Document	Supporting Documentation	(07) Approved	No
Form	2010-2GDP, Policy/Contract/Fraternal Certificate, GDP-2-2010	(07) Approved	Yes
Form	2010HGD, Other, Health Rider	(07) Approved	Yes
Rate	Rates	(07) Approved	No
Rate	*Rates*	*(08) Disapproved*	*No*

Save | Apply | Cancel

5. Enter new Effective/Implementation Date(s).
6. Click the **Save** button.

The Disposition will refresh and will now display a message stating that the Effective/Implementation Date has changed.

Disposition for STI1-000030005

Change Effective Dates | Set Public Access | Close

SERFF Tracking Number:	STI1-000030005	**State:**	Utah
Filing Company:	America's Best Insurance	**State Tracking Number:**	
Company Tracking Number:	02-2010		
TOI:	H10G Group Health - Dental	**Sub-TOI:**	H10G.000 Health Dental
Product Name:	Group Dental Product Launch		
Project Name:	GDPL-2-2010		

Disposition Date: 06/16/2009

Implementation Date: 02/01/2010

Implementation Date changed from NULL to 02/01/2010 by utpc 01, State on 01/04/2010.

Status: (02) Approved

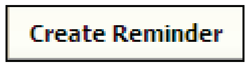
Comment:

Add Rate Data? No

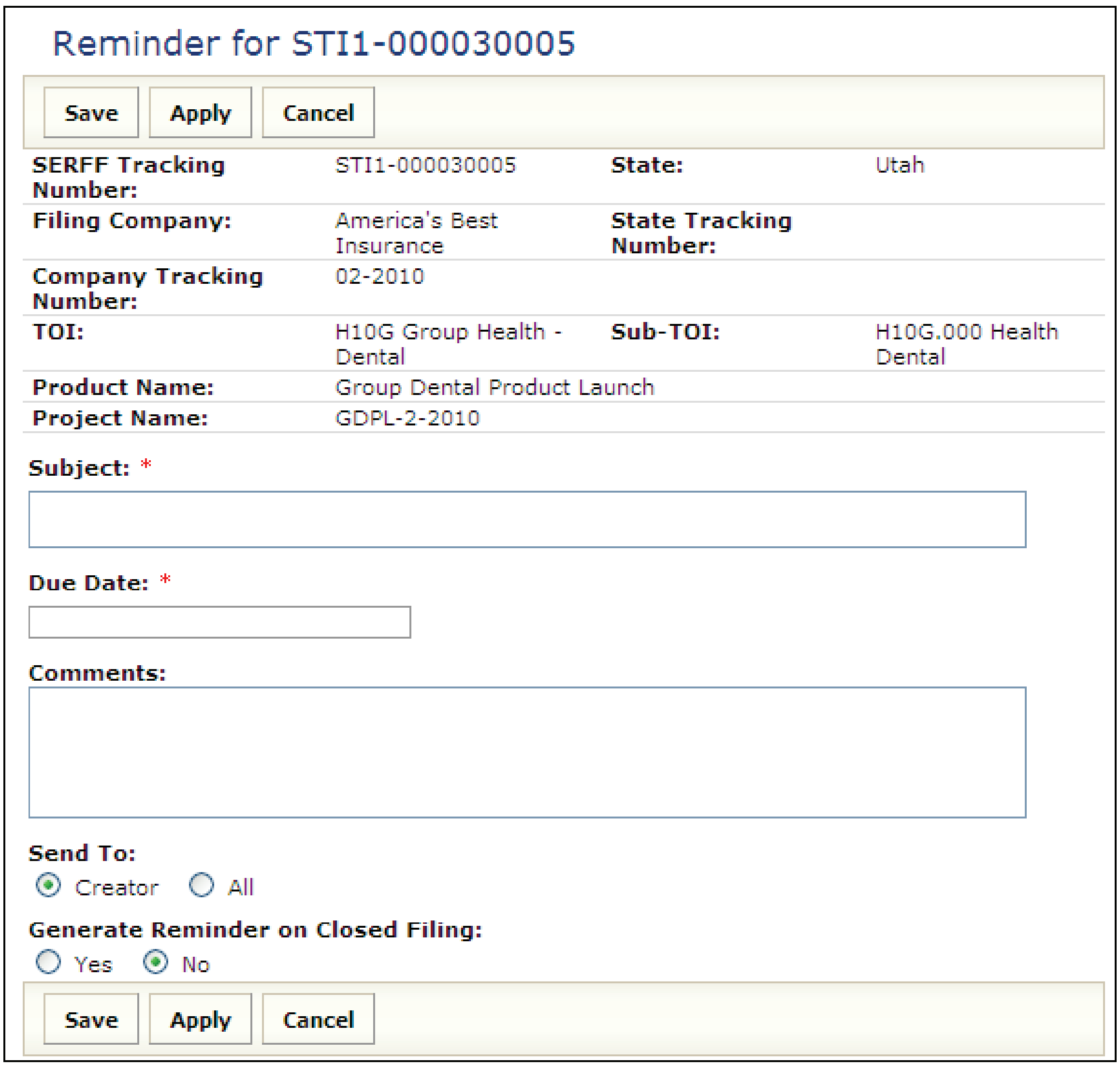
Reminders

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

Create a reminder

1. Open the filing, click the 

button.



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

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 

button.
5. The reminder will be displayed under the filing correspondence tab.