

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:

- [My Open Filings](#)
- [My Workfolder](#)
- [PDF Pipeline](#)
- [Create Objection](#)
- [Create Objection Letter](#)
- [Reviewer Notes](#)
- [Note to Filer & Note to Reviewer](#)
- [Post Submission Update](#)
- [Viewing Response Letters](#)
- [Disposition Reports](#)
- [Reminders](#)



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.

The screenshot shows a software interface for managing filings. At the top, there is a navigation bar with tabs: Filings, Settings, Filing Rules, Reports, My Workfolder, My Open Filings (which is highlighted in blue), Intake Filings, Messages, Search/Export, Create Paper Filing, and EFT Report. Below the navigation bar, the title "My Open Filings" is displayed in blue, along with a link to "Most Recently Viewed Filings". A "Move to Workfolder" button is located at the top left of the main content area. The main content area is titled "Filings" and shows a table with one row of data. The columns in the table are: Company Name, Filing Date, State Tracking #, TOI, Filing Type, State Status, and SERFF Status. The data row shows: AAA Life Insurance Company, Dec 22, 2009, 04.0 Homeowners, Form, and Assigned. At the bottom of the table, there is a "Move to Workfolder" button. Above the table, there are links for "Filings 1-1 of 1" and "First | Previous | Next | Last".

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.



☞ 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.

Filings Settings Filing Rules Reports

[My Workfolder](#) [My Open Filings](#) [Intake Filings](#) [Messages](#) [Search/Export](#) [Create Paper Filing](#) [EFT Report](#)

My Open Filings [Most Recently Viewed Filings](#)

Move to Workfolder

Filings						Filings 1-1 of 1 First Previous Next Last		
File #	Check Box	Company Name	Filing Date	State Tracking #	TOI	Filing Type	State Status	SERFF Status
	<input checked="" type="checkbox"/>	AAA Life Insurance Company	Dec 22, 2009		04.0 Homeowners	Form		Assigned

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

My Open Filings 1 filing was moved to your 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.

My Workfolder

Remove from Workfolder

Filings						Filings 1-4 of 4 First Previous Next Last		
File #	Check Box	Company Name	Filing Date	State Tracking #	TOI	Filing Type	State Status	SERFF Status
	<input checked="" type="checkbox"/>	Oswald's Family Insurance Company	Sep 13, 2006		Group Accident and Health	Form		Pending Industry Response
	<input checked="" type="checkbox"/>	Oswald's Family Insurance Company	Sep 13, 2006		Individual Accident and Health	Form		Pending Industry Response
	<input checked="" type="checkbox"/>	Oswald's Family Insurance Company	Sep 11, 2006		Accident & Health	Form		Pending State Response

Moving to Workfolder from the Filing

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

Filings Settings Filing Rules Reports

[My Workfolder](#) [My Open Filings](#) [Intake Filings](#) [Messages](#) [Search/Export](#) [Create Paper Filing](#) [EFT Report](#)

My Open Filings [Most Recently Viewed Filings](#)

Move to Workfolder

Filings

Filings						Filings 1-1 of 1 First Previous Next Last		
File #	Check Box	Company Name	Filing Date	State Tracking #	TOI	Filing Type	State Status	SERFF Status
	<input checked="" type="checkbox"/>	AAA Life Insurance Company	Dec 22, 2009		04.0 Homeowners	Form		Assigned

Move to Workfolder

Filings	Settings	Filing Rules	Reports				
My Workfolder	My Open Filings	Intake Filings	Messages	Search/Export	Create Paper Filing	EFT Report	
<input type="button" value="Assign Reviewers"/> <input type="button" value="Update"/> <input type="button" value="Set Public Access"/> <input type="button" value="Create Objection"/> <input type="button" value="Create Reminder"/> <input type="button" value="Move to Workfolder"/> <input type="button" value="PDF Pipeline"/>							
 View Filing Log							
First Filing Company AAA Life Insurance Company, ...				SERFF Tr Num: XXXX-000536279 SERFF Status: Assigned State Tr Num: State Status: Co Tr Num: Disposition Date:			
TOI: 04.0 Homeowners Sub-TOI: 04.0000 Homeowners Sub-TOI Combinations Filing Type: Form Assigned To: Frances Stuart (primary) Date Submitted: 12/22/2009 State Filing Description:							

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

My Open Filings	1 filing was moved to your Workfolder.
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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.

Filings	Settings	Filing Rules	Reports																						
My Workfolder	My Open Filings	Intake Filings	Messages	Search/Export	Create Paper Filing	EFT Report																			
Most Recently Viewed Filings																									
<h3>My Workfolder</h3>																									
<input type="button" value="Remove from Workfolder"/>																									
Filings Filings 1-1 of 1 First Previous Next Last																									
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20px;"></th> <th style="width: 20px;"><input type="checkbox"/></th> <th>Company Name</th> <th>Filing Date</th> <th>State Tracking #</th> <th>TOI</th> <th>Filing Type</th> <th>State Status</th> <th>SERFF Status</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;"></td> <td><input type="checkbox"/></td> <td>AAA Life Insurance Company</td> <td>Dec 22, 2009</td> <td>04.0 Homeowners</td> <td>Form</td> <td>Assigned</td> <td></td> <td></td> </tr> </tbody> </table>									<input type="checkbox"/>	Company Name	Filing Date	State Tracking #	TOI	Filing Type	State Status	SERFF Status		<input type="checkbox"/>	AAA Life Insurance Company	Dec 22, 2009	04.0 Homeowners	Form	Assigned		
	<input type="checkbox"/>	Company Name	Filing Date	State Tracking #	TOI	Filing Type	State Status	SERFF Status																	
	<input type="checkbox"/>	AAA Life Insurance Company	Dec 22, 2009	04.0 Homeowners	Form	Assigned																			
Filings 1-1 of 1 First Previous Next Last																									
<input type="button" value="Remove from Workfolder"/>																									

Removing from Workfolder

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

My Workfolder					
Remove from Workfolder					
Filings					
<input type="checkbox"/>	Company Name	<input type="checkbox"/>	Filing Date	State Tracking #	TOI
<input checked="" type="checkbox"/>	Oswald's Family Insurance Company	<input type="checkbox"/>	Sep 13, 2006	Group Accident and Health	Form
<input type="checkbox"/>	Oswald's Family Insurance Company	<input type="checkbox"/>	Sep 13, 2006	Individual Accident and Health	Form
<input type="checkbox"/>	Oswald's Family Insurance Company	<input type="checkbox"/>	Sep 11, 2006	Accident & Health	Form

2. Click on the **Remove from Workfolder** button.

Filings	Settings	Filing Rules	Reports
My Workfolder	My Open Filings	Intake Filings	Messages
My Workfolder	Search/Export	Create Paper Filing	EFT Report

 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 **PDF Pipeline** button.

Assign Reviewers	Update	Set Public Access	Create Objection	Create Reminder	Move to Workfolder	PDF Pipeline
 Alabama View Filing Log						
First Filing Company AAA Life Insurance Company, ... TOI: 04.0 Homeowners Sub-TOI: 04.0000 Homeowners Sub-TOI Combinations Filing Type: Form Assigned To: Frances Stuart (primary) Date Submitted: 12/22/2009 State Filing Description:				SERFF Tr Num: XXXX-000536279 SERFF Status: Assigned State Tr Num: State Status: Co Tr Num: Disposition Date:		

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.

Generate PDF for XXXX-000536279

Generate PDF

Cancel

Select All

Select None

Please note:

For all Schedules, the Schedule and at least one item from the Schedule must be selected for the Schedule itself to print. If just the Schedule is selected or just Schedule items are selected, nothing will print.

Select the portions of the filing to include in the generated PDF.

Filing Information

State Filing Description

Form Schedule Summary

Detail for All Items

Date Submitted

Form A, 1324, [No date], Advertising

12/22/2009

There is no Rate information to include.

There are no Rate/Rule schedule items to include.

Supporting Document Schedule Summary

Detail for All Items

Date Submitted

Actuarial Memorandum

Satisfied

12/22/2009

Explanatory Memorandum

Satisfied

12/22/2009

Supporting Documentation

Satisfied

12/22/2009

There is no correspondence to include.

Legend:

 - Filing Element contains one or more attachments that may be included in the Pipeline result file.

 - Filing Element contains one or more attachments that cannot be included in the Pipeline result file.

Generate PDF

Cancel

Select All

Select None

Select All

button.

3. Select the individual items or click the button.

Select None

4. Click the button to deselect all the items.

Cancel

5. Click the button to cancel the action.

Generate PDF

6. Click the button to create the PDF.

The screenshot shows the SERFF system's filing interface. On the left, a sidebar titled "Bookmarks" contains a tree view of filing info, including sections like Filing at a Glance, State Filing Description, General Information, Filing Description, Company and Contact, Filing Fees, Form Schedule, and several attachments for DE L&H Form.pdf. The main panel displays filing details: SERFF Tracking Number (WHIT-000516182), Filing Company (Company A), Company Tracking Number (AL MU CA 2006), TOI (19.2/21.2 Commercial Auto), Sub-TOI (19.2002/21.2000 CA Liability and Physical Damage Combination), Product Name (Commercial Auto), and Project Name/Number (2006 Commercial Auto Endorsements /CA2006 END). Below this, the "Filing at a Glance" section provides a summary of the filing, including the company name, product name, and various dates. The "General Information" section includes project name, reference organization, and status information.

Generate 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

Select the portions of the filing to include in the generated PDF

Filing Information

Supporting Document Schedule

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

Form Schedule

<input type="checkbox"/>	<input checked="" type="checkbox"/>	HO/Mobile3-2007	032721
<input type="checkbox"/>	<input checked="" type="checkbox"/>	HO-END	4545b

Rate Information

Rate/Rule Schedule

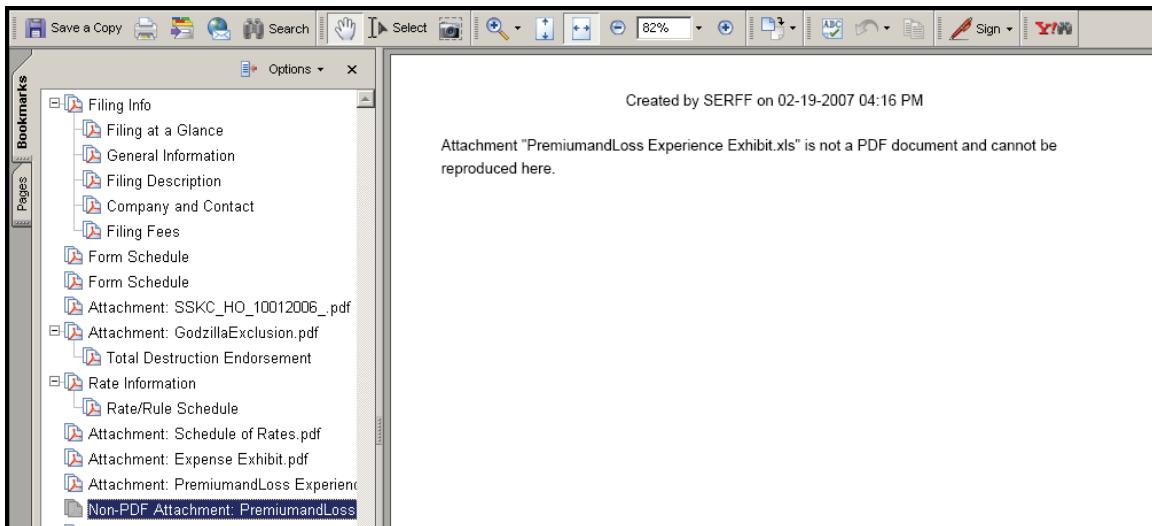
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Rates
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Expense Exhibit
<input type="checkbox"/>	<input checked="" type="checkbox"/>	Experience Exhibit

There is no correspondence to include.

That symbol indicates the attached file is not a PDF document. If the box is checked

Generate PDF

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.

New Objection for NAIC -225616753

Save

Apply

Cancel

SERFF Tracking Number: NAIC - 225616753 **State:** Arizona

Filing Company: Stacie's Test Company **State Tracking Number:**

Company Tracking Number:

TOI: 03.0 Personal Farmowners **Sub-TOI:** 03.0000 Personal Farmowners

Product Name: 8/5 - 6

Project Name:

Please select one or more Schedule Items and choose the appropriate action to associate this objection to parts of the filing. If the objection is overall, leave the applies to list blank.

Applies To:

Article 4.1 Review Requirements Checklist (Supporting Document)

Applies to All

**Apply **

Unapply /

Applies to None



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.)

Quick Text:

-Please Select-

-Please Select-

Missing Information

Required Documents

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.

The screenshot shows a user interface for adding quick text. At the top, there is a text input field labeled "Comment:" containing the placeholder "Signature is required.". Below this is a section titled "Add Quick Text" with four filter dropdowns: "Description" (empty), "Category" (All), "Bus. Type" (All), and "Use" (OBJ). There are two buttons: "Filter" and "Clear Filter". Underneath the filters is a section titled "Quick Text:" with a dropdown menu showing "-Please Select-". At the bottom is a yellow "Add Selected QuickText" button.

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

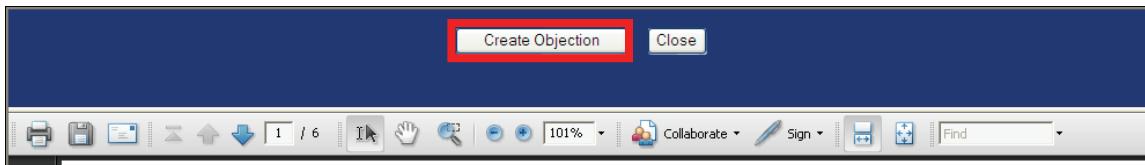
7. Click the **Save** button.

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

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence					
<p>Pending Objections</p> <table border="1"> <tr> <td>Comment Signature is Required.</td> <td>Created By Stuart, Frances</td> <td>Created On 12/29/2009 01:15 PM</td> <td>Last Updated By</td> <td>Last Updated On</td> </tr> </table> <p>No Objection Letters</p> <p>Create Objection Letter</p> <p>No Amendments</p> <p>No Post-Submission Updates</p> <p>No Dispositions</p> <p>Create Disposition</p> <p>No Filing Notes</p> <p>Create Reviewer Note Create Note to Filer</p> <p>No Reminders</p>							Comment Signature is Required.	Created By Stuart, Frances	Created On 12/29/2009 01:15 PM	Last Updated By	Last Updated On
Comment Signature is Required.	Created By Stuart, Frances	Created On 12/29/2009 01:15 PM	Last Updated By	Last Updated On							

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.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence			
<p>Pending Objections</p> <table border="1"> <tr> <td>Comment Signature is Required.</td> <td>Created By utpc 01, State</td> <td>Created On 02-22-2007</td> </tr> </table> <p> No Objection Letters Created</p> <p>Create Objection Letter</p> <p>No Amendments Created</p> <p>No Dispositions Created</p> <p>Create Disposition</p> <p>No Filing Notes Available</p> <p>Create Reviewer Note Create Note to Filer</p>							Comment Signature is Required.	Created By utpc 01, State	Created On 02-22-2007
Comment Signature is Required.	Created By utpc 01, State	Created On 02-22-2007							

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:			
<ul style="list-style-type: none">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.			
<input type="button" value="Edit"/>		<input type="button" value="Delete"/>	<input type="button" value="Close"/>

 Takes user into Edit mode of the Objection.

 Removes the Objection after a confirmation to the user.

 Closes the Objection.

3. Click the  button.

4. Edit the Objection.

5. Click the  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.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence															
<p>Pending Objections</p> <table border="1"> <thead> <tr> <th>Comment</th> <th>Created By</th> <th>Created On</th> <th>Last Updated By</th> <th>Last Updated On</th> </tr> </thead> <tbody> <tr> <td>Signature is Required.</td> <td>Stuart, Frances</td> <td>12/29/2009 01:15 PM</td> <td></td> <td></td> </tr> <tr> <td>Missing Required Documents</td> <td>Stuart, Frances</td> <td>12/29/2009 01:19 PM</td> <td>Stuart, Frances</td> <td>12/29/2009 01:19 PM</td> </tr> </tbody> </table> <p>No Objection Letters</p> <p>Create Objection Letter</p> <p>No Amendments</p> <p>No Post-Submission Updates</p> <p>No Dispositions</p> <p>Create Disposition</p> <p>No Filing Notes</p> <p>Create Reviewer Note Create Note to Filer</p> <p>No Reminders</p>							Comment	Created By	Created On	Last Updated By	Last Updated On	Signature is Required.	Stuart, Frances	12/29/2009 01:15 PM			Missing Required Documents	Stuart, Frances	12/29/2009 01:19 PM	Stuart, Frances	12/29/2009 01:19 PM
Comment	Created By	Created On	Last Updated By	Last Updated On																	
Signature is Required.	Stuart, Frances	12/29/2009 01:15 PM																			
Missing Required Documents	Stuart, Frances	12/29/2009 01:19 PM	Stuart, Frances	12/29/2009 01:19 PM																	

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).

Objection Letter 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	Sub-TOI:	04.0000 Homeowners Sub-TOI Combinations
Project Name:	HPL-10-10		

Objection Letter Status *

Objection Letter Date *

Respond By Date

Dear Christina Handy,

Introduction:

Add Quick Text

Description	Category	Bus. Type	Use
<input type="text"/>	All	All	OBJ
			<input type="button" value="Filter"/>
			<input type="button" value="Clear Filter"/>

Quick Text:

Select the objection items to be included in this letter.

Signature is Required. Missing Required Documents	<input type="button" value=">>"/> <input type="button" value=">"/> <input type="button" value="<"/> <input type="button" value="<<"/>	<input type="button" value="View"/>
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3. Select the Objection Letter status from the dropdown.

Objection Letter for XXXX-000536279

Save	Apply	Cancel
<p>SERFF Tracking Number: XXXX-000536279 State: Alabama</p> <p>First Filing Company: AAA Life Insurance Company ,... State Tracking Number:</p> <p>Company Tracking Number:</p> <p>TOI: 04.0 Homeowners Sub-TOI: 04.0000 Homeowners Sub-TOI Combinations</p> <p>Product Name: Homeowners Product Launch</p> <p>Project Name: HPL-10-10</p>		
<p>Objection Letter Status * <input type="button" value="Please Select-"/> <input type="button" value="Please Select-"/> <input type="button" value="Calendar"/></p> <p>Objection Letter Date * <input type="button" value="Please Select-"/> <input type="button" value="Calendar"/></p> <p>Respond By Date <input type="button" value="Calendar"/></p> <p>Dear Christina Handy,</p> <p>Introduction: <input type="text"/></p>		

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 or 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.

Check the objection items you wish to send to the company.

All filings must include a signed checklist appropriate to Pursuant to A.R.S. § 20-263(A), accidents may not be We note that certain documents included with this filin

>>
>
<
<<

--

Objection
Ordering
Up
Down
View

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: Please 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

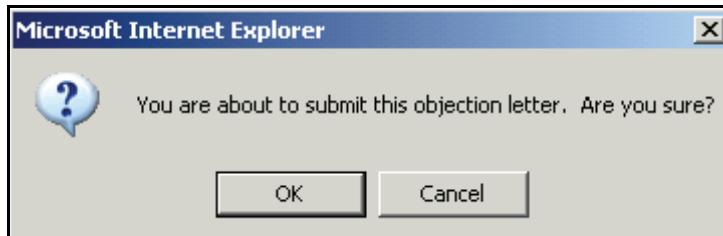
After clicking on the  button the user can Submit, Edit, Delete or Close the letter.

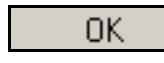
Submit	Edit	Delete	Close
------------------------	----------------------	------------------------	-----------------------

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  button to send the Objection Letter to the company.

10. A confirmation message appears confirming the action.



11. Click the  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.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
No Pending Objections						
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			
Create Objection Letter						
No Amendments						
No Post-Submission Updates						
No Dispositions						
Create Disposition						
No Filing Notes						
Create Reviewer Note Create Note to Filer						
No Reminders						

2. Click the [Create Reviewer Note](#) link.

Reviewer Note for XXXX-000536279

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		
Submitted by:	N/A		
Subject:	<input type="text"/>		
Comments:	<input type="text"/>		
Add Quick Text			
Description	Category	Bus. Type	Use
<input type="text"/>	All	All	RN
Filter Clear Filter			
Quick Text:			
<input type="text"/> Missing Signature <input type="button" value="▼"/>			
<input type="button" value="Add Selected Quick Text"/>			
<input type="button" value="Attach Files"/>			
Save	Apply	Cancel	

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.

Reviewer Note for XXXX-000536279

[Edit](#) [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		
Created by:			
Stuart, Frances on 12/29/2009 01:33 PM			
Submitted by:			
N/A			
Subject:			
Reviewer Status			
Comments:			
This is my note			

[Edit](#) [Delete](#) [Close](#)

[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.

Filing Notes					
Subject	Note Type	Created By	Created On	Submitted On	Submitted By
Reviewer Status	Reviewer Note	Stuart, Frances	12/29/2009		

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.

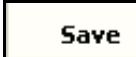
General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
No Pending Objections						
Objection Letters						
Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On
Awaits Company Response	Stuart, Frances	12/29/2009	12/29/2009 01:30 PM			
Create Objection Letter						
No Amendments						
No Post-Submission Updates						
No Dispositions						
Create Disposition						
Filing Notes						
Subject	Note Type	Created By	Created On	Submitted On	Submitted By	
Reviewer Status	Reviewer Note	Stuart, Frances	12/29/2009			
Create Reviewer Note Create Note to Filer 						
No Reminders						
Assign Reviewers	Update	Set Public Access	Create Objection	Create Reminder	Move to Workfolder	PDF Pipeline

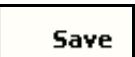
2. Click the [Create Note to Filer](#) link.

Note To Filer for XXXX-000536279

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		
Submitted by:	N/A		
Subject:	<input type="text"/>		
Comments:	<input type="text"/>		
Add Quick Text			
Description	Category	Bus. Type	Use
<input type="text"/>	All	All	NTF
<input type="button" value="Filter"/> <input type="button" value="Clear Filter"/>			
Quick Text:	<input type="text"/> <input type="button" value="Add Selected Quick Text"/>		
<input type="button" value="Attach Files"/>			
<input type="button" value="Save"/>	<input type="button" value="Apply"/>	<input type="button" value="Cancel"/>	

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 **Attach Files** button to attach related files.

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

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

Note To Filer for XXXX-000536279

Submit	Edit	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		
Created by:	Stuart, Frances on 12/29/2009 01:35 PM		
Submitted by:	N/A		
Subject:	Notice		
Comments:	Note to Filer		
Submit	Edit	Delete	Close

 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.

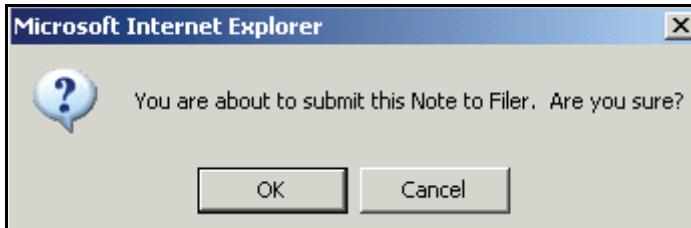
 **Close**

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

 **Submit**

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

7. A confirmation message appears confirming the action.



8. Click the **OK** button.

9. Click the **Close** 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.

Messages			Messages 1-7 of 7 First Previous Next Last		
	Unread	Subject	Filing	From	On
		Post-Submission Update Received for Filing XXXX-000535780	XXXX-000535780	Frances Stuart	Jan 4, 2010

1. Click on the row to view the message.

Remove Message	Move to Workfolder
Post-Submission Update Received for Filing XXXX-000535780	
SERFF Tr Num: XXXX-000535780	Product Name: Farmowners
Co Tr Num:	Type Of Insurance: 03.0 Farmowners
State Tr Num:	Sub-Type Of Insurance: 03.0001 Commercial Farmowners
	Filing Type: Form
Company: AAA Life Insurance Company, America's Best Company	From: Frances Stuart
Contact: Christina Handy	Message Received: 01/04/2010 08:07 AM
State: Alabama	
Event Detail: Post-Submission Update(125000080) for Filing XXXX-000535780 was SUBMITTED	

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

Assign Reviewers	Update	Set Public Access	Create Objection	Create Reminder	Move to Workfolder	PDF Pipeline
 This filing has post submission updates with pending post submission updates.			Alabama View Filing Log			
First Filing Company AAA Life Insurance Company, ... TO: 03.0 Farmowners Sub-TOI: 03.0001 Commercial Farmowners Filing Type: Form Assigned To: Date Submitted: 12/07/2009 State Filing Description:			SERFF Tr Num: XXXX-000535780 SERFF Status: Submitted to State State Tr Num: State Status: Co Tr Num: Disposition Date:			

3. Click on the Filing Correspondence tab.

Post-Submission Updates						
Status	Created By	Created On	Submitted By	Date Submitted	Processed By	Date Processed
Submitted	Stuart, Frances	01/04/2010	Stuart, Frances	01/04/2010		

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.

Allow	Disallow	Close																																																																																								
Post-Submission Update for XXXX-000535780																																																																																										
Status: Submitted Created By: Stuart, Frances Submitted By: Stuart, Frances																																																																																										
General Information <table border="0"> <tr> <td style="width: 50%;">Product Name: * Farmowners</td> <td style="width: 50%;">Project Name: Commercial</td> </tr> <tr> <td>Project Number: 12345</td> <td></td> </tr> <tr> <td>Reference Organization:</td> <td>Reference Number:</td> </tr> <tr> <td>Reference Title:</td> <td></td> </tr> <tr> <td colspan="2">Status of Filing in Domicile: Authorized</td> </tr> <tr> <td colspan="2">Domicile Status Comments: Approved in the state of domicile</td> </tr> <tr> <td colspan="2">Effective Date Requested (New): 02/01/2010</td> </tr> <tr> <td colspan="2">Effective Date Requested (Renew):</td> </tr> <tr> <td colspan="2">Corresponding Filing Tracking Number:</td> </tr> </table>			Product Name: * Farmowners	Project Name: Commercial	Project Number: 12345		Reference Organization:	Reference Number:	Reference Title:		Status of Filing in Domicile: Authorized		Domicile Status Comments: Approved in the state of domicile		Effective Date Requested (New): 02/01/2010		Effective Date Requested (Renew):		Corresponding Filing Tracking Number:																																																																							
Product Name: * Farmowners	Project Name: Commercial																																																																																									
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Rate Information <table border="0"> <tr> <td colspan="8">Rate Info Applies: Yes</td> </tr> <tr> <td>Filing Method:</td> <td colspan="7">Filing & Use</td> </tr> <tr> <td>Rate Change Type:</td> <td colspan="7">Increase</td> </tr> <tr> <td>Overall Pct. of Last Revision:</td> <td colspan="7"></td> </tr> <tr> <td>Effective Date of Last Revision</td> <td colspan="7"></td> </tr> <tr> <td>Filing Method of Last Filing:</td> <td colspan="7"></td> </tr> <tr> <td>Company Name:</td> <td>Overall % Indicated Change:</td> <td>Overall % Rate Impact:</td> <td>Written Premium Change for this Program:</td> <td># of Policy Holders Affected for this Program :</td> <td>Written Premium for this Program:</td> <td>Maximum % Change (where required):</td> <td>Minimum % Change (where required):</td> </tr> <tr> <td>AAA Life Insurance Company</td> <td>6.750%</td> <td>2.250%</td> <td>\$15,000</td> <td>500</td> <td>\$250</td> <td>7.500%</td> <td>2.200%</td> </tr> <tr> <td>America's Best Company</td> <td>%</td> <td>%</td> <td>\$</td> <td></td> <td>\$</td> <td>%</td> <td>%</td> </tr> <tr> <td colspan="8">Overall Percentage Rate Indicated For This Filing:</td> </tr> <tr> <td colspan="8">Overall Percentage Rate Impact For This Filing:</td> </tr> </table>			Rate Info Applies: Yes								Filing Method:	Filing & Use							Rate Change Type:	Increase							Overall Pct. of Last Revision:								Effective Date of Last Revision								Filing Method of Last Filing:								Company Name:	Overall % Indicated Change:	Overall % Rate Impact:	Written Premium Change for this Program:	# of Policy Holders Affected for this Program :	Written Premium for this Program:	Maximum % Change (where required):	Minimum % Change (where required):	AAA Life Insurance Company	6.750%	2.250%	\$15,000	500	\$250	7.500%	2.200%	America's Best Company	%	%	\$		\$	%	%	Overall Percentage Rate Indicated For This Filing:								Overall Percentage Rate Impact For This Filing:							
Rate Info Applies: Yes																																																																																										
Filing Method:	Filing & Use																																																																																									
Rate Change Type:	Increase																																																																																									
Overall Pct. of Last Revision:																																																																																										
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Company Name:	Overall % Indicated Change:	Overall % Rate Impact:	Written Premium Change for this Program:	# of Policy Holders Affected for this Program :	Written Premium for this Program:	Maximum % Change (where required):	Minimum % Change (where required):																																																																																			
AAA Life Insurance Company	6.750%	2.250%	\$15,000	500	\$250	7.500%	2.200%																																																																																			
America's Best Company	%	%	\$		\$	%	%																																																																																			
Overall Percentage Rate Indicated For This Filing:																																																																																										
Overall Percentage Rate Impact For This Filing:																																																																																										
Allow	Disallow	Close																																																																																								

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.

The screenshot shows a software application window with a 'Rate Information' section on the left and a modal dialog box titled 'Allow this Update?' on the right.

Rate Information Section (Left):

- Effective Date Requested (New): 02/01/2010
- Effective Date Requested (Renew):
- Corresponding Filing Tracking Number:
- Allow this Update? Dialog (Right):**

 - Question: Are you sure you wish to allow this update?
 - Note: Once allowed, these changes will be applied to the filing.
 - Comment: [Empty text area]
 - Buttons: Cancel, Allow

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	X
Am Con	Overall % Indicated Change	5.650 %	Frances Stuart	01/04/2010	View	
Ov	Overall % Rate Impact	2.560 %	Frances Stuart	01/04/2010	View	
Ov	Written Premium Change for this Program	\$ 10000	Frances Stuart	01/04/2010	View	
Effe	# of Policy Holders Affected for this Program	1000	Frances Stuart	01/04/2010	View	
S	Written Premium for this Program	\$ 500	Frances Stuart	01/04/2010	View	
A	Maximum % Change	6.560 %	Frances Stuart	01/04/2010	View	
As	Minimum % Change	8.560 %	Frances Stuart	01/04/2010	View	
ERFF R						

Viewing Response Letters

Viewing Response Letters through the Objection Letter

1. Click the Filing Correspondence tab.

Assign Reviewers	Update	Set Public Access	Create Objection	Create Reminder	Move to Workfolder	PDF Pipeline
Alabama View Filing Log						
First Filing Company AAA Life Insurance Company, ... TOI: 04.0 Homeowners Sub-TOI: 04.0000 Homeowners Sub-TOI Combinations Filing Type: Form Assigned To: Frances Stuart (primary) Date Submitted: 12/22/2009 State Filing Description:				SERFF Tr Num: XXXX-000536279 SERFF Status: Pending State Action State Tr Num: State Status: Co Tr Num: Disposition Date:		
General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence

2. Click on the link to the Objection Letter.

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	Stuart, Frances	12/30/2009	12/30/2009 02:24 PM

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.

Response Letter for XXXX-000536279

[Close](#) [View Objection Letter](#) [Expand All](#) [Collapse All](#)

SERFF Tracking Number:

State:

Filing Company:

State Tracking Number:

Company Tracking Number:

TOI:

Sub-TOI:

Product Name:

Project Name:

Status : Submitted to State

Submitted Date: 12/30/2009 02:24 PM

Dear Frances Stuart,

Introduction: Here are the responses to the objections.

Objection 1

Applies To:

- Actuarial Memorandum (Supporting Document)

Comment: Signature is Required.

Response 1:

Comments: *

Here is the file with the signature.

Changed Items:

No Form Schedule items changed.

No Rate/Rule Schedule items changed.

Supporting Document Schedule Item Changes

Name: Actuarial Memorandum

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.

General Information	Form Schedule	Rate/Rule Schedule	Supporting Documentation	Companies and Contact	Filing Fees	Filing Correspondence
No Pending Objections						
Objection Letters						
Status	Created By	Created On	Date Submitted	Responded By	Response Created On	Response Submitted On
Await Company Response	Stuart, Frances	12/29/2009	12/29/2009 01:30 PM	Stuart, Frances	12/30/2009	12/30/2009 02:24 PM
Create Objection Letter						
No Amendments						
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
No Dispositions						
Create Disposition						
Filing Notes						
Subject	Note Type	Created By	Created On	Submitted On	Submitted By	
Question	Note To Filer	Stuart, Frances	12/30/2009	01/04/2010	Stuart, Frances	
Notice	Note To Filer	Stuart, Frances	12/29/2009	12/29/2009	Stuart, Frances	
Reviewer Status	Reviewer Note	Stuart, Frances	12/29/2009			
Create Reviewer Note Create Note to Filer						
No Reminders						

2. Click the [Create Disposition](#) link.

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

Disposition for XXXX-000536279

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 <input type="button" value="Calendar"/>		
Filing Rejection:	<input type="checkbox"/>		
Effective Date (New):	<input type="text"/> <input type="button" value="Calendar"/>		
Effective Date (Renewal):	<input type="text"/> <input type="button" value="Calendar"/>		
Status:	<input type="button" value="Approved"/>		

Comment:

Add Quick Text

Description	Category	Bus. Type	Use
<input type="text"/>	All <input type="button" value="▼"/>	All <input type="button" value="▼"/>	DSP <input type="button" value="▼"/>
<input type="button" value="Filter"/> <input type="button" value="Clear Filter"/>			

Quick Text:

-Please Select-

Add Rate Data? Yes No

Schedule Items

Item Type	Item Name	Item Status	Public Access
Supporting Document	Actuarial Memorandum	<input type="text"/> -Please Select- <input type="button" value="▼"/>	No
Supporting Document	Actuarial Memorandum	<input type="text"/> -Please Select- <input type="button" value="▼"/>	No
Supporting Document	Explanatory Memorandum	<input type="text"/> -Please Select- <input type="button" value="▼"/>	No
Supporting Document	Explanatory Memorandum	<input type="text"/> -Please Select- <input type="button" value="▼"/>	No
Supporting Document	Supporting Documentation	<input type="text"/> -Please Select- <input type="button" value="▼"/>	No
Form	Form A, 1324, [No date], Advertising	<input type="text"/> -Please Select- <input type="button" value="▼"/>	No

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:	<input type="checkbox"/>			
Effective Date (New):				
Effective Date (Renewal):				
Status:	<input type="button" value="Please Select-"/> <input checked="" type="button" value="Please Select-"/> Received			
Comment:	<input type="text"/> Received Authorized Withdrawn Disapproved Approved			

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.

Comment:

Quick Text:

-Please Select-	<input type="button" value="▼"/>
-Please Select-	
Approved	
Missing Information	
Required Documents	

8. Click the **Add Selected QuickText** button.
9. If applicable, change the flag for whether Rate Data applies on the filing.

Rate data applies does NOT apply to 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	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 Retaliatory Fee Summary Page	(01) Please Select	No
Supporting Document	P&C NH Retaliatory Fee Summary Page	(01) Please Select	No
Supporting Document	P&C Microfiche form required for NH Ins. Dept. to file	(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:



- | | |
|--------------------------|--|
| Submit | Submits the Disposition to the filer. |
| 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 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 **Submit**.



16. Click **OK**.

-  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 **Set Public Access** button.

Update Public Access for XXXX-000536279

Save **Cancel** **Select All** **Deselect All**

Filing allows does NOT allow public access.

Save **Cancel** **Select All** **Deselect All**

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.

Update Public Access for XXXX-000536279

Filing allows does NOT allow public access.

Make Public Access as of:

Form Schedule Items

Form A, 1324, [No date], Advertising

Supporting Documents

<input type="checkbox"/>	Actuarial Memorandum	Satisfied
<input type="checkbox"/>	Actuarial Memorandum	Satisfied
<input type="checkbox"/>	Explanatory Memorandum	Satisfied
<input type="checkbox"/>	Explanatory Memorandum	Satisfied
<input type="checkbox"/>	Supporting Documentation	Satisfied

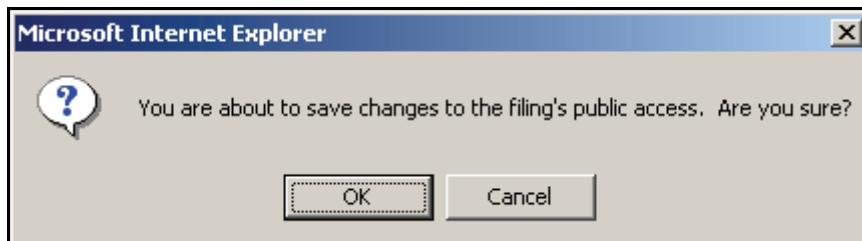
Correspondence

	Date Submitted
<input type="checkbox"/>	Objection Letter 12/29/2009
<input type="checkbox"/>	Response Letter 12/30/2009
<input type="checkbox"/>	Note to Filer 01/04/2010
<input type="checkbox"/>	Note to Filer 12/29/2009
<input type="checkbox"/>	Reviewer Note

- Set the date that the filing is available for public access.

- Click the button.

- A confirmation message appears confirming this action.



- Click the button.

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

This screenshot shows a filing record for Western Reserve Life Assurance Co. of Ohio. A message box at the top left says "This filing has been marked public access." On the right, there's a "Alaska" logo and links to "View Filing Log". The filing details include:

Filing Company: Western Reserve Life Assurance Co. of Ohio 00
TOI: 01.0 Property
Sub-TOI: 01.0001 Commercial Property (Fire and Allied Lines)
Filing Type: Form
Assigned To: Kelly McCumber (primary)
Date Submitted: 07/17/2007
State Description:

On the right side, there are status fields:

SERFF Tr Num: AEGA-125086612
SERFF Status: Assigned
State Tr Num:
State Status:
Co Tr Num:
Disposition Date:

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

This screenshot shows a filing record for Product 1. A message box at the top left says "This filing has been marked confidential." On the right, there's a "Mississippi" logo and links to "View General Instructions" and "View Filing Log". The filing details include:

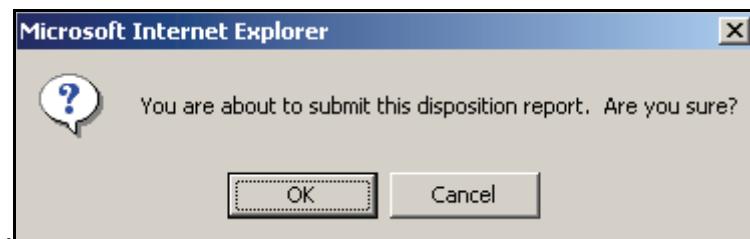
Product Name: * Product 1
TOI: 19.0 Personal Auto
Sub-TOI: 19.0001 Private Passenger Auto (PPA)
Filing Type: Form
Effective Date Requested (New):

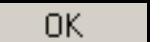
On the right side, there are status fields:

SERFF Tr Num: FABF-125086126
State Tr Num:
Co Tr Num:
Date Submitted: Not Submitted
Effective Date Requested (Renewal):

Below the filing details is a navigation bar with tabs: General Information, Form Schedule, Rate/Rule Schedule, Supporting Documentation, State Specific, Companies and Contact, Filing Fees, and Filing Correspondence.

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
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 

Disposition for ALSB-125078535

Copy	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: 07/27/2007			
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	



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

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):			Su Mo Tu We Th Fr Sa		
Effective Date (Renewal):			1		
Status:			2		
Comment:			3	4	5
			6	7	8
			9	10	11
			12	13	14
			15	16	17
			18	19	20
			21	22	23
			24	25	26
			27	28	29
			30	31	

6. Click **Save**.

The following buttons are now available:

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

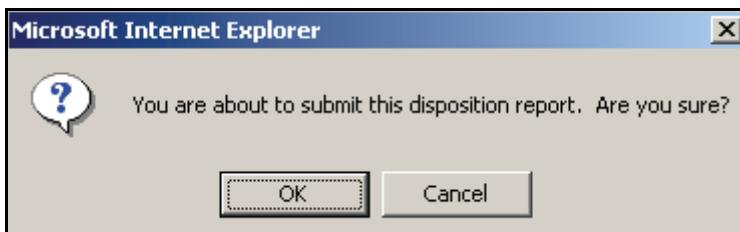
Closes the Note to Filer and returns the user to the Filing Correspondence tab.

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 **Submit**.



9. Click **OK**.

- ☞ 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.

This filing has been marked public access.

Filing Company: America's Best Insurance
TOI: H10G Group Health - Dental
Sub-TOI: H10G.000 Health Dental
Filing Type: Form/Rate
Assigned To: State utlh 03 (primary), State utlh 01
Date Submitted: 06/11/2009
State Filing Description:

SERFF Tr Num: STI1-000030005
SERFF Status: Closed-(02) Approved
State Tr Num:
State Status: (22) Closed - Approved With Review
Co Tr Num: 02-2010
Disposition Date: 06/16/2009

Utah
[View Filing Log](#)

3. Click the **Reopen** button.



4. Click the **OK** 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 The readability requirements of Section 2441 must be met.		Created By	Created On	Last Updated By	Last Updated On		
Status Created By Created On Date Submitted Responded By Response Created On Response Submitted On (02) Awaits Company Response uth 01, State 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  (02) Approved		Created By	Created On	Date Submitted			
66 (02) Approved uth 03, State 06/16/2009 06/16/2009 12:26 PM							
Filing Notes							
Subject Note Type Form Status Reviewer Note		Created By	Created On	Submitted On	Submitted By		
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	uth 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

[Change Effective Dates](#)

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

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	Domiciliary 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

5. Enter new Effective/Implementation Date(s).

6. Click the button.

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

Disposition for STI1-000030005

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

Add Authors	Update	Change Schedule Items	Set Confidentiality	Create Reminder	Move to Workfolder	PDF Pipeline	
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1. Open the filing, click the **Create Reminder** button.

Reminder for STI1-000030005

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		
Subject: *			
<input type="text"/>			
Due Date: *			
<input type="text"/>			
Comments:			
<input type="text"/>			
Send To:			
<input checked="" type="radio"/> Creator <input type="radio"/> All			
Generate Reminder on Closed Filing:			
<input type="radio"/> Yes <input checked="" type="radio"/> No			
Save	Apply	Cancel	

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

Send To:
<input checked="" type="radio"/> Creator
<input type="radio"/> All

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.