

INTERSTATE INSURANCE
PRODUCT REGULATION COMMISSION



States, Strength & Speed Aligned

FILING INFORMATION NOTICE 2008-5

DATE: November 25, 2008

FROM: Frances Arricale
IIPRC Executive Director

RE: **Amended Filings**

Statutory References: Articles 2.11, 4.6, 7.1 and 10.2 of *Interstate Compact Statute* as adopted by Member States.

Operating Procedure References: Sections 103, 105, 106, and 110 of the *Operating Procedure for the Filing and Approval of Product Filings*.

BACKGROUND:

Business, operational or compliance issues necessitate the amendment of Product Filings made to the Interstate Insurance Product Regulation Commission (IIPRC). This most commonly occurs when insurers are correcting or updating a “product”, as defined in Article 2 of the *Compact Statute* as adopted by Member States; or correcting and/or updating information required to support approval of products submitted for approval (see IIPRC Filing Rules in SERFF). All products and amended products require approval. Corrected or updated supporting documents may not require approval.

The purpose of this notice is to establish filing guidelines to facilitate the amendment of filings which have been closed after review and final disposition. Filing situations, not addressed herein should be brought to the attention of the IIPRC Office.

FILING PROCEDURE:

Amendments to Product Filings may be submitted to the IIPRC utilizing the following processes.

- **Amending Closed Product Filings**

Amendments to filings that have been closed, for not more than 60 days, with a filing disposition of “approved” may be submitted with a “Note to the Reviewer” requesting that the particular filing be re-opened. Amended “products” will require additional filing

review to determine if approval is warranted. Updated or corrected supporting documentation will be reviewed to determine if continued approval is justified. At this time, there are no additional Filing Fees required.

Any amendment that results in a change to a Rider, Endorsement or Application associated with a Policy Form in the “approved” Product Filing, will not be accepted. A new filing will need to be submitted with all relevant Filing Fees.

- **Amending “Rejected” / “Disapproved” Product Filings.**

Amendments to Product Filings closed with a filing disposition of “rejected” or “disapproved” will not be accepted. Insurers who wish to amend a filing which has been “rejected” or “disapproved” should re-file the Product Filing and submit all relevant Filing Fees.

- **Amending Filings with regard to “Mix and Match”**

All filings amended due to updated State Product Component information on a *Statement of Intent and Certification (SOI)* for Product Filings using the “Mix and Match” or “Reverse Mix and Match” process, must follow the IIPRC *Operating Procedure for the Filing and Approval of Product Filings* or “Product Filing Rule” Section 106 and [IIPRC Filing Information Notice 2008-1](#)). Additional filing fees do not apply.

APPLICABLE IIPRC FORMS:

None.

Adoption and Effective Date.

This Filing Information Notice is effective immediately.

CONTACT INFORMATION:

Questions regarding this Notice should be directed to:

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