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Adding a State to a Filing for the Interstate Insurance Product Regulation Commission (IIPRC)

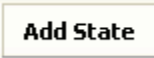
As States become Members of the Interstate Insurance Product Regulation Compact, you may wish to add them to a Product Filing that has already been submitted and, possibly, approved. Or you may have decided to add a state that was not initially selected at the time of filing submission. You may only add a state to either open filings or filings that have been approved.

Below are step-by-step instructions that will assist you with this process as well as reminding you of other steps that you will need to follow to update your filing. Upon the completion of your review, if you should have any additional questions, please feel free to contact the IIPRC Office.

Adding a State to a Closed-Approved Filing

If you are adding a state to a filing that was filed using the so-called “Mix and Match” process:

Step One: Send a Note to Reviewer requesting that the Filing be re-opened so that you may add a state and update the mix and match information accordingly.

Step Two: Once the filing has been re-opened, click on the  button at the top of the filing.

Step Three: Choose the state or states to add to your filing from the drop down menu that appears once you have clicked on the “Add State” button.



Step Four: Select all applicable companies.

Step Five: Pay all applicable State Filing and IIPRC fees. At this time the IIPRC does not charge a fee for adding a state, but please note that this is subject to change. If a fee is required, put a checkmark in the “Fee Required” checkbox. If there are no state fees required, leave this blank.

If you selected that a fee is required, you will be provided with an area to enter the fee information, similar to when you submitted the initial filing.

Step Six: For filings made or approved prior to December 9, 2009, attach an updated List of Forms to the “Statement of Intent and Certification for Non-IIPRC Forms (Mix and Match)” Submission Requirement to reflect any state components that are to be used with this product filing.

For filings made after December 9, 2009, Click on the “Statement of Intent Schedule” and enter your Non-IIPRC Forms (Mix and Match) components that are to be used with this product filing by completing the data fields contained in the SOI Schedule as follows:

- a. In the column titled “State”, select the applicable State from the drop down box.
- b. In the column titled “Form Number”, enter the form number.
- c. In the column titled “Tracking Number”, enter either the SERFF Tracking Number or the State Tracking Number in the appropriate boxes provided. If the filing number is unavailable, or if a filing number was not assigned by the State, select “Not Available”. If the form was exempt from filing, select “Exempt”.
- d. In the column titled “Regulatory Method”, select the applicable filing option from the drop down box provided.
- e. In the column titled “Date Legally Implemented” enter the date the form was placed into use. If unknown, select “prior to 1970”, “Exempt” or “Unavailable” as appropriate.
- f. In the column titled “Document Name/Description”, enter the name or description of the form.
- g. The column titled “Comments” can be used, if needed to provide additional information about the State Product Component.

Step Seven: Click Submit. You have completed adding a state to your approved Compact Filing.

If you are adding a state to a filing that does not use the so-called “Mix and Match” process:

Step One: Click on the  button at the top of the filing.

Step Two: Choose the state or states to add to your filing from the drop down menu that appears once you have clicked on the “Add State” button.

Step Three: Select all applicable companies.

Step Four: Pay all applicable State Filing and IIPRC fees. At this time the IIPRC does not charge a fee for adding a state, but please note that this is subject to change. If a fee is required, put a checkmark in the “Fee Required” checkbox. If there are no state fees required, leave this blank.

If you selected that a fee is required, you will be provided with an area to enter the fee information, similar to when you submitted the initial filing.

Step Five: Click Submit. You have completed adding a state to your approved Compact Filing.

Adding a State to an Open Filing:

Step One: Click on the  button at the top of the filing.

Step Two: Choose the state or states to add to your filing from the drop down menu that appears once you have clicked on the “Add State” button.

Step Three: Select all applicable companies.

Step Four: Pay all applicable State Filing and IIPRC fees. At this time the IIPRC does not charge a fee for adding a state, but please note that this is subject to change. If a fee is required, put a checkmark in the “Fee Required” checkbox. If there are no state fees required, leave this blank.

If you selected that a fee is required, you will be provided with an area to enter the fee information, similar to when you submitted the initial filing.

Step Five: Update the Statement of Intent (SOI) if you are adding a state to a filing that was filed using the so-called “Mix and Match” process. The SOI will need to be updated to reflect any state components that are to be used with this product filing.