



Adding a State to an Insurance Compact Product Filing

As states become Members of the Interstate Insurance Product Regulation Compact (Insurance 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. Please note it is the responsibility of the company to ensure they are properly licensed in the added state, as this is not verified by the Insurance Compact. Companies wishing to add a state to a filing submission must have a current Annual Registration.

Below are step-by-step instructions that will assist you with this process, as well as remind 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 Insurance Compact Office.

Adding a State to a filing without Mix and Match Filing (CLOSED)

If you are adding a state to a closed filing that was not filed using the “Mix and Match” process:

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

Step Two: Choose the state to add to your filing from the drop-down menu that appears once you have clicked on the “Add State” button. You may only add one state at a time. This step will need to be repeated for each state you wish to add to the filing.

A screenshot of a web-based dialog box for adding a state. At the top, there are two buttons: "Add State" and "Cancel". Below the buttons, the text "Select state to add *" is followed by a blue drop-down menu currently showing "-Please Select-". Underneath, the text "Select companies for selected state *" is followed by a checkbox labeled "Testing adding company".

Step Three: Select all applicable companies.



Step Four: Pay all applicable fees. States that require a filing fee will need to be paid. More information regarding the state filing fees may be found on the [Insurer Resources](#) page of the Insurance Compact website. (NOTE: At this time the Insurance Compact does not charge a separate fee for adding a state, but this is subject to change). If a state filing 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 a Mix and Match Filing (CLOSED)

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

Step One: Send a Note to Reviewer to address one of the following:

1. If state-specific forms will be used, then the Statement of Intent (SOI) needs to be updated. The company filer must submit a Note to Reviewer requesting that the filing be re-opened for the purpose of updating the SOI to reflect the state-approved forms being used.
2. If state-specific forms are not being used, then the SOI does not need to be updated. The filer must send a Note to Reviewer indicating that the SOI does not need to be updated, as the company will not be utilizing Mix and Match of state forms with the Compact-approved forms.

Clarification is required via a Note to Reviewer as it is assumed Mix and Match will be used for the newly added state(s).



The state(s) will not be acknowledged by the Insurance Compact on a Mix and Match filing submission until the information pertaining to the SOI is provided. Failing to provide this information will delay acknowledgement of the added state(s) on previously-approved filings.

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

Step Three: Choose the state to add to your filing from the drop-down menu that appears once you have clicked on the “Add State” button. You may only add one state at a time. This step will need to be repeated for each state you wish to add to the filing.

A screenshot of a web-based dialog box titled "Add State". At the top left, there are two buttons: "Add State" and "Cancel". Below the buttons, there are two main sections. The first section is labeled "Select state to add *" and contains a blue drop-down menu with the text "-Please Select-". The second section is labeled "Select companies for selected state *" and contains a checkbox labeled "Testing adding company".

Step Four: Select all applicable companies.

Step Five: Pay all applicable fees. States that require a filing fee will need to be paid. More information regarding the state filing fees may be found on the [Insurer Resources](#) page of the Insurance Compact website. (NOTE: At this time the Insurance Compact does not charge a separate fee for adding a state, but this is subject to change). If a state filing 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: If the filing includes a “Statement of Intent and Certification for Non-IIPRC Forms (Mix and Match) the following step must be completed.

For filings made or approved prior to December 9, 2009, attach an updated List of Forms to the “Statement of Intent (SOI) 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, there are two options available to filers. The first is to click on the “Statement of Intent” tab and click on “Change Schedule Items” to enter Revise mode. Enter the state-specific product 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.

The second option available is to upload an updated template with the information for the new state. The template may be found on the Insurer Resources page of the Insurance Compact website.



Directions for completing the template may also be found on the Insurer Resources page.

Step Seven: Click Save. Submit your SOI changes to the Compact via an Amendment Letter.

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 to add to your filing from the drop-down menu that appears once you have clicked on the “Add State” button. You may only add one state at a time. This step will need to be repeated for each state you wish to include in the filing.

A screenshot of a web form for adding a state. At the top, there are two buttons: "Add State" and "Cancel". Below the buttons, there is a label "Select state to add" followed by a red asterisk and a dropdown menu currently showing "-Please Select-". Below that, there is a label "Select companies for selected state" followed by a red asterisk and a checkbox labeled "Testing adding company".

Step Three: Select all applicable companies.

Step Four: Pay all applicable fees. States that require a filing fee will need to be paid. More information regarding the state filing fees may be found on the [Insurer Resources](#) page of the Insurance Compact website. (NOTE: At this time the Insurance Compact does not charge a separate fee for adding a state, but this is subject to change). If a state filing 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 SOI, if you are adding a state to a filing that was filed using the “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. Follow the step-by-step instructions from [Step Six](#) of **Adding a State to a Mix and Match Filing (CLOSED)**.