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# Adding Associated Filings to a Compact Filing & How to View Associated Filings

Filers who submit riders, endorsements, amendments, and/or applications separate from a policy or a contract are required to identify which forms will be used with which policies or contracts. Section 103(d) of the [Operating Procedure for the Filing and Approval of Product Filings](#) requires that at “the time a Product Filing is made, the Product Filer shall identify whether the Product Filing will be used with a Commission Product Component previously approved by or pending with the Commission.” If the filing is a mix and match submission, the Statement of Intent is completed to provide the additional information for state-approved forms.

Now there is a new enhancement for Compact filing associations – Associated Filings. Associated Filings is a feature that allows the industry user to add and view associated Compact-only filings via a simple hyperlink. The filing must be documented using the Associated Filings enhancement to satisfy the Submission Requirement. A filing can be associated to other Compact filings by entering the information through the “View Associated Filings” link in the upper right hand corner of the Filing at a Glance section. Please note that this feature is for associated Compact filings only and that completion of the Statement of Intent schedule is still required for mix and match submissions. States included on the filing will be able to view associated filings related to a Compact Filing provided the state is also included on the associated filing.


## Getting Started

Industry Users submit the associated filings for Compact Filings by clicking on “View Associated Filings” link on the right of the page. The User will then click “Edit List”. Once in the edit mode, Associated Filings may be added by clicking “Add”.

**Interstate Insurance Compact**

Product Name: * Accidental Death and Dismemberment Benefit Rider (AD&D)	SERFF Tr Num: FRFB-129373332	<a href="#">View Associated Filings</a> <a href="#">View General Instructions</a> <a href="#">View Filing Log</a>
TOI: H111 Individual Health - Disability Income	State Tr Num: IC14-00057	SERFF Status: Pending State Action
Sub-TOI: H111.008 Combined Short Term and Long	Co Tr Num:	State Status: Pending State Action
Filing Type: Policy Forms, Application, Benefit Features, Rates	Date Submitted: 01/31/2014	Co Status:
Mix & Match: No		Disposition Date:
Implementation Date Requested: On Approval	Authors: Eric Newman , Benjamin Sperry , David Fenichel	

General Information | Form Schedule | Rate/Rule Schedule | Supporting Documentation | Statement of Intent | Companies and Contact | Filing Fees | Filing Correspondence

**Associated Filings** Edit List  [CLOSE WINDOW](#)

SERFF Tracking #	Product Name	Date Submitted	SERFF Status
No results found.			

**Edit Associated Filings** ✕

SERFF Tracking #:  Add


SERFF Tracking #	Product Name	Date Submitted	SERFF Status
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Save Cancel

When adding an associated filing the User must enter a valid SERFF Tracking Number for a Compact filing. If the user does not enter a valid SERFF Tracking Number for a Compact filing an error message will be presented which identifies the SERFF Tracking Number as not valid.

**Edit Associated Filings** ✕

SERFF Tracking #:  Add

SERFF Tracking #	Product Name	Date Submitted	SERFF Status
✕ frfb-129384703	Not a valid Serff Tracking Number.		
✕ aaal-129384700	Not a valid Serff Tracking Number. 		

Save Cancel

If the user tries to associate a filing that is not a Compact filing the user will receive “Not a Compact filing”.

**Edit Associated Filings** ✕

SERFF Tracking #:  Add

SERFF Tracking #	Product Name	Date Submitted	SERFF Status
✕ CFBC-600000741	AL,ME,NJ only	06/26/2014	Closed
✕ CFBC-600000821	DraftIIPRC	Draft	Draft
✕ CFBC-600001104	Not a Compact filing.		

Save Cancel

Once the user has associated a filing the user has the ability to view it by clicking the link to the filing the user wishes to view. The associated filing links work in both directions; that is, if the user clicks a link in the original filing to view an associated filing, the original filing will then appear as an associated filing in the second filing so the user may return to the original filing with two clicks (open Associated Filings then click SERFF Tracking Number for the desired filing).

<b>Associated Filings</b> <a href="#">Edit List</a> <a href="#">CLOSE WINDOW</a>			
SERFF Tracking #	Product Name	Date Submitted	SERFF Status
AAAL-129422075	SINGLE PREMIUM IMMEDIATE ANNUITY CONTRACT	02/20/2014	Pending Industry Response
ELAS-128232100	Accelerated Death Benefit for Long-Term Care Services	04/04/2012	Reopened
<a href="#">FRFB-129373332</a>	Accidental Death and Dismemberment Benefit Rider (AD&D)	01/31/2014	Pending State Action

### Delete Associated Filing

The user can delete an associated filing by clicking on the “X”.

<b>Edit Associated Filings</b> <a href="#">X</a>			
SERFF Tracking #:	<input type="text"/>	<a href="#">Add</a>	
SERFF Tracking #	Product Name	Date Submitted	SERFF Status
<a href="#">X</a> CFBC-600000740	includedstate test	06/26/2014	Submitted to State
<a href="#">X</a> CFBC-600000741	AL,ME,NJ only	06/26/2014	Closed
<a href="#">X</a> CFBC-600000821	DraftIIPRC	Draft	Draft
			<a href="#">Save</a> <a href="#">Cancel</a>

### Viewing Associated Filing for Reviewers

The Insurance Compact Reviewers and the State Users can view associated filings for Compact Filings. By clicking on the “View Associated Filings” link on the right of the page the user can view filings that are associated to the Compact Filing. The State User will be able to view the associated filings only if the state is included on the Compact Filing.

<b>Associated Filings</b> <a href="#">CLOSE WINDOW</a>			
SERFF Tracking #	Product Name	Date Submitted	SERFF Status
<a href="#">AAAL-129422075</a>	SINGLE PREMIUM IMMEDIATE ANNUITY CONTRACT	02/20/2014	Pending Industry Response
<a href="#">ELAS-128232100</a>	Accelerated Death Benefit for Long-Term Care Services	04/04/2012	Reopened
<a href="#">FRFB-129373332</a>	Accidental Death and Dismemberment Benefit Rider (AD&D)	01/31/2014	Pending State Action

If the state is not included in the Compact Filing there will be no associated filings to view.

## Associated Filings

[CLOSE WINDOW](#)

SERFF Tracking #	Product Name	Date Submitted	SERFF Status
No results found.			

## Messages

If the state is part of a Compact Filing and a change occurs, the Insurance Compact Reviewers and the State Users will be notified through the message center. The State User must manually enable the message types “Filing Association Created” and “Filing Association Deleted” in order to receive the messages.

Message	Tracking Number	Author	Date
Exchange Workflow Status of Plan(s) in Binder ROCK-KY15-600000743 have been updated by the State	ROCK-KY15-600000743	sugandhi shankar	Jul 22, 2014
Binder ROCK-KY15-600000743 was submitted to KentuckyH	ROCK-KY15-600000743	sugandhi shankar	Jul 22, 2014
Note To Reviewer Submitted on Binder ROCK-KY15-600000743	ROCK-KY15-600000743	sugandhi shankar	Jul 22, 2014
New LTC05-21 Individual Adult Day Care Policy Forms-Self Certification (for stand alone filing of eligible forms) Filing ROCK-600001100 Received from Plaza Insurance Company.	ROCK-600001100	Badboy Filing - Industry	Jul 22, 2014
Filing Association created from CFBC-600000742 to CFBC-60000680 Attn: sugandhi shankar	CFBC-600000742	sugandhi shankar	Jul 21, 2014
Filing Association to CFBC-600000721 deleted from CFBC-600000742 Attn: sugandhi shankar	CFBC-600000742	sugandhi shankar	Jul 21, 2014
Filing Association to CFBC-600000680 deleted from CFBC-600000742 Attn: sugandhi shankar	CFBC-600000742	sugandhi shankar	Jul 21, 2014
Filing Association created from CFBC-600000742 to CFBC-600000721 Attn: sugandhi shankar	CFBC-600000742	sugandhi shankar	Jul 21, 2014
Filing Association created from CFBC-600000742 to CFBC-600000741 Attn: sugandhi shankar	CFBC-600000742	sugandhi shankar	Jul 21, 2014
Filing Association to CFBC-600000742 deleted from CFBC-600000742 Attn: sugandhi shankar	CFBC-600000742	sugandhi shankar	Jul 21, 2014
Filing Association to CFBC-600000742 deleted from CFBC-600000742 Attn: sugandhi shankar	CFBC-600000742	sugandhi shankar	Jul 21, 2014
New LTC05-21 Individual Adult Day Care Policy Forms-Self Certification (for stand alone filing of eligible forms) Filing ROCK-600001080 Received from Plaza Insurance Company.	ROCK-600001080	Badboy Filing - Industry	Jul 21, 2014
Certification Received for Binder ROCK-KY14-600000724 from Kentucky Attn: Badboy PM - Industry	ROCK-KY14-600000724	sugandhi shankar	Jul 21, 2014
Amendment Letter Received for Binder ROCK-KY14-600000724 Attn: Donna State	ROCK-KY14-600000724	sugandhi shankar	Jul 21, 2014

All state and industry users may view the changes by using the “View Filing Log” link.

The screenshot displays the SERFF System for Electronic Rate and Form Filing interface. The main window shows a "Filing Event Log" for tracking number CFBC-600000742. The log includes the following entries:

- 7/22/14 9:20:44 AM: Filing Association to CFBC-600000742 deleted from CFBC-600000742. User: sugandhi shankar
- 7/22/14 8:53:57 AM: Filing Association to CFBC-600000742 deleted from CFBC-600000742. User: sugandhi shankar
- 7/21/14 3:22:58 PM: Filing Association created from CFBC-600000742 to CFBC-60000680. User: sugandhi shankar
- 7/21/14 3:16:58 PM: Filing Association to CFBC-600000742 deleted from CFBC-600000742. User: sugandhi shankar
- 7/21/14 3:16:58 PM: Filing Association to CFBC-600000742 deleted from CFBC-600000742. User: sugandhi shankar
- 7/21/14 2:27:49 PM: Filing Association created from CFBC-600000742 to CFBC-600000721. User: sugandhi shankar
- 7/21/14 8:31:33 AM: Filing Association to CFBC-600000742 deleted from CFBC-600000742. User: sugandhi shankar
- 7/21/14 8:31:33 AM: Filing Association to CFBC-600000742 deleted from CFBC-600000742. User: sugandhi shankar
- 7/21/14 8:31:33 AM: Filing Association created from CFBC-600000742 to CFBC-600000741. User: sugandhi shankar
- 7/21/14 11:11:49 AM: Filing Association created from CFBC-600000742 to CFBC-600000742. User: sugandhi shankar

The interface also shows a sidebar with navigation options like "Filings", "Plan Management", "Messages", "Settings", and "Filing Rules". The main content area displays filing details for "Interstate Insurance Compact", including the filing company (CareFirst BlueChoice, Inc.), product name (L061 Individual Life - Variable), and submission date (06/27/2014).