



QUESTIONS FOR COMPACTING STATES

Thank you for completing this survey. The Compact Rulemaking Committee is seeking feedback on the filing process and requirements for companies issuing the following product lines to non-employer groups in your state: group life insurance, group disability insurance and group annuity policies/contracts and certificates in your state. Please complete one survey per Compacting State, if possible.

Survey terminology is intended to be consistent with NAIC Models [100](#) and [565](#).

Requirements for policies/contracts to be issued in other states but providing coverage/certificates for citizens in your state, are generally outside the scope of this survey. If you believe a question is not applicable or needs further clarification for you to answer given your state's process, we would appreciate you providing that explanation in the Additional Comments section. Please use the Additional Comments section to provide additional information that may be useful to the Rulemaking Committee. Please email your completed survey to comments@insurancecompact.org by **Friday, September 4, 2020**.

1. Please provide contact information for Compacting State:

STATE:

PRIMARY CONTACT:

CONTACT E-MAIL:

2. What is the filing and approval process for **group life insurance policy and certificate**?
[Check all that apply]

Prior approval

Use and file

Prior approval with deemer

File and use

Exempt from filing

Other (explain) [Click here to enter text.](#)

Additional Comments:

[Click here to enter text.](#)

3. What is the filing and approval process for **group disability income insurance policy and certificate**? [Check all that apply]

Prior approval

Use and file

Prior approval with deemer

File and use

Exempt from filing

Other (explain) [Click here to enter text.](#)

Additional Comments:

[Click here to enter text.](#)

4. What is the filing and approval process for **group annuity contract and certificate**? [Check all that apply]

Prior approval

Use and file

Prior approval with deemer

File and use

Exempt from filing

Other (explain) [Click here to enter text.](#)

Additional Comments:

[Click here to enter text.](#)

5. Can an insurer make a single filing for approval of a group policy/contract/certificate for use with more than one group type?

Yes

No

If the answer is no, please explain the filing process when an insurer wants to use a group policy/contract/certificate for more than one group type.

[Click here to enter text.](#)

Additional Comments:

[Click here to enter text.](#)

6. Are insurers permitted to issue **group life insurance policies and certificates** to the following group types in your state?

Association Yes No

Credit Union Yes No

Creditor Yes No

Labor Union Yes No

Trust Yes No

Other defined groups (please specify): [Click here to enter text.](#)

If yes, please complete the information below to the extent possible

Group Type	Statutory Definition? If so, provide citation	Require Approval / Filing for the Specific Group? (e.g., AARP, XYZ Credit Union, etc)	How does State Confirm Specific Group is Legitimate?	Please describe complaints or market concerns with group types, if any?
Association				
Credit Union				
Creditor				
Labor Union				
Trust				
Other (please specify)				

Additional Comments: [Click here to enter text.](#)

7. Are insurers permitted to issue **group disability income insurance policies and certificates** to the following group types in your state?

Association Yes No

Credit Union Yes No

Creditor Yes No

Labor Union Yes No

Trust Yes No

Other defined groups (please specify): [Click here to enter text.](#)

If yes, please complete the information below to the extent possible

Group Type	Statutory Definition? If so, provide citation	Require Approval / Filing for the Specific Group? (e.g., AARP, XYZ Credit Union, etc)	How does State Confirm Specific Group is Legitimate?	Please describe complaints or market concerns with group types, if any?
Association				
Credit Union				
Creditor				
Labor Union				
Trust				
Other (please specify)				

Additional Comments: [Click here to enter text.](#)

8. Are insurers permitted to issue **group annuity contracts and certificates** to the following group types in your state?

Association Yes No

Credit Union Yes No

Creditor Yes No

Labor Union Yes No

Trust Yes No

Other defined groups (please specify): [Click here to enter text.](#)

If yes, please complete the information below to the extent possible

Group Type	Statutory Definition? If so, provide citation	Require Approval / Filing for the Specific Group? (e.g., AARP, XYZ Credit Union, etc)	How does State Confirm Specific Group is Legitimate?	Please describe complaints or market concerns with group types, if any?
Association				
Credit Union				
Creditor				
Labor Union				
Trust				
Other (please specify)				

Additional Comments: [Click here to enter text.](#)

9. Does the State have a follow-up process for confirming a specific group is being maintained in the same manner as it was established?

Yes

No

If yes, please describe the process.

[Click here to enter text.](#)

Additional Comments:

[Click here to enter text.](#)

10. Please describe special considerations the Rulemaking Committee should address when considering recommendations for whether and how to expand the application of the group Uniform Standards to accommodate non-employer group types.

Special Considerations.

Additional Comments:

[Click here to enter text.](#)