



## HOW TO ADD A STATE TO A COMPACT 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.. 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 to follow to update your filing.

### **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.



The screenshot shows a dialog box with a light yellow background. At the top left is a button labeled "Add State" and at the top right is a button labeled "Cancel". Below these buttons, there is a label "Select state to add \*" followed by a dropdown menu showing "-Please Select-" with a downward arrow. Below the dropdown menu, there is a label "Select companies for selected state \*" followed by a checkbox and the text "Testing adding company".

**Step Three:** Select all applicable companies.

**Step Four:** Pay all applicable fees. For states requiring a filing fee, fees will need to be submitted. 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, check the “Fee Required” box. If there are no state fees required, leave this blank.

If you select “Fee Required”, you will be provided with an area to enter the fee information, similar to when you submitted the initial filing. Enter the required fee here.

**Step Five:** Click Submit. You have completed adding a state to your approved Compact Filing. The Compact Office will then review your request, verify any fees are properly remitted, and acknowledge the added state.

**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 reopened to update 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 Office 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 reopened, 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.



**Step Four:** Select all applicable companies.

**Step Five:**

Pay all applicable fees. States that require a filing fee, fees will need to be submitted. 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, check the “Fee Required” box. If there are no state fees required, leave this blank.

If you select "Fee Required", you will be provided with an area to enter the fee information, similar to when you submitted the initial filing. Enter the required fee here.

**Step Six:** If the SOI needs to be updated, 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 only on filings that previously have not utilized the SOI template. The filer can upload the 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.

The Compact Office will then review your request, verify any fees are properly remitted, the SOI information is submitted properly, and acknowledge the added state.

### **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.

Add State Cancel

Select state to add \* -Please Select-

Select companies for selected state \*  Testing adding company

**Step Three:** Select all applicable companies.

**Step Four:**

Pay all applicable fees. States that require a filing fee, fees will need to be submitted. 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, check the “Fee Required” box. If there are no state fees required, leave this blank.

If you select “Fee Required”, you will be provided with an area to enter the fee information, similar to when you submitted the initial filing. Enter the required fee here.

**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)**.