



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.

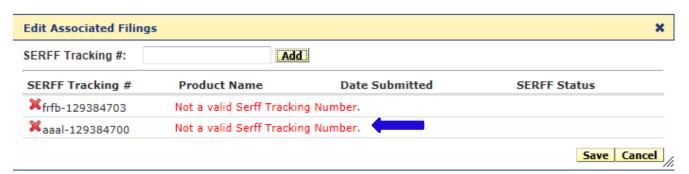
Getting Started

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".

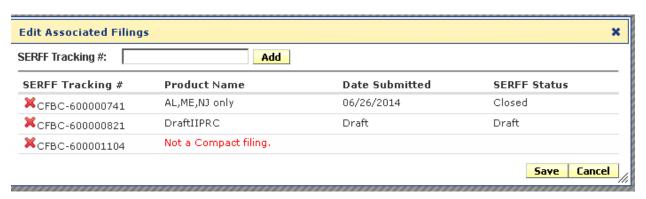




When adding an associated filing the User must enter a valid SERFF Tracking Number for a Compact filing. If the user does not enter a valid SERFF Tracking Number for a Compact filing an error message will be presented which identifies the SERFF Tracking Number as not valid.



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

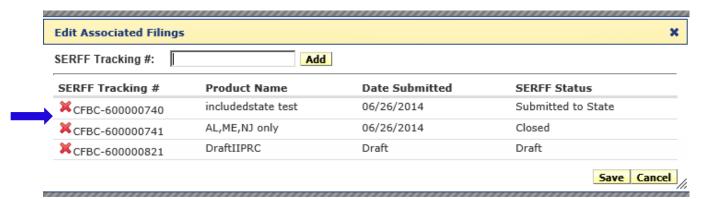


Once the user has associated a filing the user has the ability to view it by clicking the link to the filing the user wishes to view. The associated filing links work in both directions; that is, if the user clicks a link in the original filing to view an associated filing, the original filing will then 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).

Associated Filings	Edit List		CLOSE WINDOW	
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	
FRFB-129373332	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".



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.

Associated Filings			
Product Name	Date Submitted	SERFF Status	
SINGLE PREMIUM IMMEDIATE ANNUITY CONTRACT	02/20/2014	Pending Industry Response	
Accelerated Death Benefit for Long-Term Care Services	04/04/2012	Reopened	
Accidental Death and Dismemberment Benefit Rider (AD&D)	01/31/2014	Pending State Action	
	SINGLE PREMIUM IMMEDIATE ANNUITY CONTRACT Accelerated Death Benefit for Long-Term Care Services Accidental Death and Dismemberment Benefit	Submitted SINGLE PREMIUM IMMEDIATE ANNUITY 02/20/2014 CONTRACT Accelerated Death Benefit for Long-Term Care 04/04/2012 Services Accidental Death and Dismemberment Benefit 01/31/2014	

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



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.



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

