



Instructions for Making a Compact Annual Registration Fee Filing

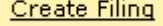
Please be advised that the Interstate Insurance Product Regulation Commission (Insurance Compact) requires a filing company to have an active Annual Registration before the Insurance Compact will accept product filings or updates to previously-approved product filings. The Annual Registration Fee must be paid for the calendar year in which the company wishes to file. The SERFF role is disabled for the year(s) in which a company has not registered. This document provides detailed instructions for making an Insurance Compact Annual Registration Fee filing

The Insurance Compact requires that all fees be paid via EFT. For the Annual Registration Fee filing, SERFF is the payee. For product filing submissions after the Annual Registration Fee is paid, the Insurance Compact is the payee. Please ensure that the filing company has identified the Insurance Compact as an authorized payee with its accounts payable department and, if necessary, financial institution. If the Insurance Compact is not listed as an authorized payee, the fees will not be properly submitted to the Insurance Compact and will need to be paid via paper check. If you have any questions about this particular step, please contact the Insurance Compact Office.

The Annual Registration Fee varies by company and is determined by the premium volume as reported on Schedule T Part 2 of the Annual Financial Statement submitted to the NAIC. Due to the timing of the Annual Financial Statement filing and the timing of the Compact's financial calendar, the Insurance Compact Office uses the data filed a full calendar year earlier. For example, in 2019, the Compact used the 2017 data reported in 2018. The Schedule of Fees, on the Insurer Resources page of the Insurance Compact website, specifies the exact payment required per premium volume category.

Please contact the Insurance Compact Office should you have any questions regarding the Schedule of Fees or the proper amount due for the Annual Registration Fee. Please contact the SERFF Help Desk for technical assistance with completing the Compact Annual Registration Fee filing. Please note the Insurance Compact Office does not provide refunds for overpayments.

Making a Compact Annual Registration Fee Filing through SERFF's Filing Wizard

1. After logging into SERFF, click . (*NOTE: Do NOT click Create Compact Filing!*)

2. Complete Step 1 of the Filing Wizard. Select “Life, Accident/Health, Annuity, Credit” as the Business Type.
3. On Step 2, select “Interstate Insurance Compact”.
4. On Step 3, select “Registration Fee” as the Type of Insurance.
5. On Step 4, select the Sub Type of Insurance for the year for which you are registering.
6. Choose the Filing Type “Fee Payment”.
7. On Step 7, select ONLY the companies that you want to register with the Insurance Compact. Remember that there is a fee for EACH company you select, and only those companies may make Insurance Compact filings.
8. Complete Steps 8 & 9.
9. Click “Finish” on Step 10.

Completing the Filing

General Info tab – No special requirements. Filling out these fields is not necessary.

Form Schedule & Rate/Rule Schedule – DO NOT put any information on these tabs or your registration may be delayed. Product filings may not be made in conjunction with Compact Annual Registration Fee filings and will not be accepted for review by the Insurance Compact. Compact product filings must be made separately from the Annual Registration Fee filing. Please see the [Insurance Compact website](#) for instructions on [Creating a Compact Filing](#).

Supporting Documentation Schedule – Complete the Submission Requirement for User Set Up. The purpose of this submission requirement is to provide alternate company contact information and to serve as a reminder for filers that there is a separate process for indicating who is authorized to submit filings to the Insurance Compact on behalf of the company(ies) being registered.

1. Select “Satisfy.”

Submit User Update Request Form

Description

1. This requirement should be satisfied by providing a list of contacts and email addresses of users who will work on Interstate Compact filings; no attachments are required.
2. IMPORTANT: After submitting the registration filing, an individual with the User Admin Requester role must navigate to Settings, Request User Update and submit requests to add the 'Industry Compact Filer' role to appropriate users.

Bypass

Satisfy

2. In the Comment field, provide current contact information for at least one person OTHER THAN the person identified in the Filing Contact Information on the Companies and Contacts tab.

3. Click “No Attachment Required” and note that you have or will complete appropriate user admin request forms after your submission has been made.

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Comment

Joe Smith - joe@company.com
Sally Green - sally@company.com
John Thomas - john@company.com

No Attachment Required

Attach Files

Reset

4. Complete the Submission Requirement for Insurance Compact Payee. This is to serve as a reminder that the Insurance Compact needs to be an authorized payee for your EFT account for filings made after the Annual Registration Fee filing. You may either “satisfy” or “bypass” this submission requirement and additional documents do not need to be attached. If you have any questions about this step, please contact the Insurance Compact Office.

Companies & Contacts – Only the companies being registered at this time should be listed here.

Filing Fees – The annual registration fee should be entered here. In the EFT section, enter the appropriate fee for each company. For your reference, please refer to Section 104 of the [IIPRC Terms and Procedures for IIPRC Filing Fees](#) and the current *Insurance Compact Filing Fee Schedule*, located on the [Insurer Resources](#) page of the Insurance Compact website.

Correspondence – The Insurance Compact will enter a Closed-Approved disposition to confirm that the fees have been verified and registration is complete. Please allow 1-2 business days for the disposition to be created. If the fees submitted are incorrect, the Insurance Compact Office will inform the filer via objection letter.

Completing the User Update Request Form

This step is completed in SERFF settings after the Annual Registration Fee filing has been submitted. This step is necessary for all new users, and optional for existing users. All existing users should review the information to make sure it is current to reflect all active users.

Users with the “User Admin Requestor” role will access the “User Update Request Form” by accessing the “Settings” tab and selecting “Request User Update”.

Once the request has been made for additional users to have access to the Compact submission platform, the SERFF Help Desk will finalize the request and provide the users with the necessary roles as requested.

