



Providing flexibility, promoting uniformity

HOW TO ADD AND VIEW ASSOCIATED FILINGS ON A COMPACT FILING

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.

There is a unique feature 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. **Note: 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)

TOI: H111 Individual Health - Disability Income

Sub-TOI: H111.008 Combined Short Term and Long

Filing Type: Policy Forms, Application, Benefit Features, Rates

Mix & Match: No

Implementation Date Requested: On Approval

SERFF Tr Num: FRFB-129373332

State Tr Num: IC14-00057

Co Tr Num:

Date Submitted: 01/31/2014

Authors: Eric Newman , Benjamin Sperry , David Fenichel

[View Associated Filings](#) [View General Instructions](#) [View Filing Log](#)

SERFF Status: Pending State Action

State Status: Pending State Action

Co Status:

Disposition Date:

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
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 the message “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 can view it by clicking the SERFF tracking number link to the filing. 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. With this, the user may return to the original filing with two clicks: open Associated Filings then the 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”.

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



Viewing Associated Filing for Reviewers

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

Associated Filings			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

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 included on the Compact Filing and an update occurs, the Insurance Compact Reviewers and the State Users will be notified through the message center. (Note; The State User’s message settings must have this message type requested). The State User must manually enable the message types “Filing Association Created” and “Filing Association Deleted” to receive the messages.

Message	Product Name	Date Submitted	User
Exchange Workflow Status of Plan(s) in Binder ROCK-KY15-600000743 have been updated by the State	ROCK-KY15-600000743	Jul 22, 2014	sugandhi shankar
Binder ROCK-KY15-600000743 was submitted to KentuckyH	ROCK-KY15-600000743	Jul 22, 2014	sugandhi shankar
Note To Reviewer Submitted on Binder ROCK-KY15-600000743	ROCK-KY15-600000743	Jul 22, 2014	sugandhi shankar
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	Jul 22, 2014	Badboy Filing - Industry
Filing Association created from CFBC-600000742 to CFBC-600000680 Attn: sugandhi shankar	CFBC-600000742	Jul 21, 2014	sugandhi shankar
Filing Association to CFBC-600000721 deleted from CFBC-600000742 Attn: sugandhi shankar	CFBC-600000742	Jul 21, 2014	sugandhi shankar
Filing Association to CFBC-600000680 deleted from CFBC-600000742 Attn: sugandhi shankar	CFBC-600000742	Jul 21, 2014	sugandhi shankar
Filing Association created from CFBC-600000742 to CFBC-600000721 Attn: sugandhi shankar	CFBC-600000742	Jul 21, 2014	sugandhi shankar
Filing Association created from CFBC-600000742 to CFBC-600000741 Attn: sugandhi shankar	CFBC-600000742	Jul 21, 2014	sugandhi shankar
Filing Association to CFBC-600000742 deleted from CFBC-600000742 Attn: sugandhi shankar	CFBC-600000742	Jul 21, 2014	sugandhi shankar
Filing Association to CFBC-600000742 deleted from CFBC-600000742 Attn: sugandhi shankar	CFBC-600000742	Jul 21, 2014	sugandhi shankar
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	Jul 21, 2014	Badboy Filing - Industry
Certification Received for Binder ROCK-KY14-600000724 from Kentucky Attn: Badboy PM - Industry	ROCK-KY14-600000724	Jul 21, 2014	sugandhi shankar
Amendment Letter Received for Binder ROCK-KY14-600000724 Attn: Donna State	ROCK-KY14-600000724	Jul 21, 2014	sugandhi shankar

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

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

Date of Event	Detail	User
7/22/14 9:20:44 AM	Filing Association to CFBC-600000742 deleted from CFBC-600000742.	sugandhi shankar
7/22/14 8:53:57 AM	Filing Association to CFBC-600000742 deleted from CFBC-600000742.	sugandhi shankar
7/21/14 3:22:58 PM	Filing Association created from CFBC-600000742 to CFBC-600000680.	sugandhi shankar
7/21/14 3:16:58 PM	Filing Association to CFBC-600000742 deleted from CFBC-600000742.	sugandhi shankar
7/21/14 3:16:58 PM	Filing Association to CFBC-600000742 deleted from CFBC-600000742.	sugandhi shankar
7/21/14 2:27:49 PM	Filing Association created from CFBC-600000742 to CFBC-600000721.	sugandhi shankar
7/21/14 8:31:33 AM	Filing Association to CFBC-600000742 deleted from CFBC-600000742.	sugandhi shankar
7/21/14 8:31:33 AM	Filing Association to CFBC-600000742 deleted from CFBC-600000742.	sugandhi shankar
7/21/14 8:31:33 AM	Filing Association created from CFBC-600000742 to CFBC-600000741.	sugandhi shankar
7/21/14 11:11:47 AM	Filing Association created from CFBC-600000742 to CFBC-600000742.	sugandhi shankar

Below the log, the 'Filing Information' section shows details for the selected filing:

- SERFF Tracking Number:** CFBC-600000742
- State:** Interstate Insurance Compact
- Filing Company:** CareFirst BlueChoice, Inc.
- State Tracking Number:** [Blank]
- Company Tracking Number:** [Blank]
- TOI:** L061 Individual Life - Variable
- Sub-TOI:** L061.004 Single Life - Modified Single Premium
- Product Name:** noALMEJN
- Project Name:** [Blank]

The 'Filing Description' section includes:

- Filing Company:** CareFirst BlueChoice, Inc.
- TOI:** L061 Individual Life - Variable
- Sub-TOI:** L061.004 Single Life - Modified Single Premium
- Filing Type:** Policy Forms
- Assigned To:** sugandhi shankar (primary)
- Date Submitted:** 06/26/2014
- Mx & Match:** Yes
- State Filing Description:** [Blank]