Prototype Requirements Organizer Database Screen Shots

Caveats: These are samples only, for the concept of how it might work. This is not a final design or even the final look and feel.

1. <u>Maintenance Module:</u>

Where you add States, TOIs , Core/Model Requirements
Initially done by NAIC or OEWG

Edit Close

State Record

*** State:** New Hampshire
Do these need to vary based on Line Line? That is are there different answers to items 2 and 3 based on L&H versus P&C?

*** Filing modes available:** Wait for Approval, File for information
*** Checklists Used?** (•) Yes ( ) No

Edit Close

TOI Record

TOI Name: A02G Group Annuities - Deferred Nonvariable
Applies to: (•) Life and Health ( ) P&C
Line type: [x] Group [ ] Individual

Edit Close

SUB TOI Record

*** Sub TOI Name:** A02G.002 Flexible Premium

*** TOI Name:** A02G Group Annuities - Deferred Nonvariable

A Core Filing Requirement example:

Edit Close

Core/Model Requirement Record

Could Apply to Business: ☑ Life and Health ☑ P&C
Could Apply to Lines: ☑ Group ☑ Individual
Type of Requirement: Filing Requirement

Default (model) text: A cover letter is required on Paper filings. Electonically submitted filigns (via SERFF) do not require a cover letter.

Choices made here determine when the requirement will appear as available for selection when states are populating thier requirements or when Industry is doing a query.

A Core Product Requirement Example:

Edit Close

Core/Model Requirement Record

Could Apply to Business: ☑ Life and Health ☑ P&C
Could Apply to Lines: ☑ Group ☑ Individual
Type of Requirement: Product Requirement

Default (model) text: The full corporate name, including city and state of the company shall appear in prominent print on the cover page of the policy. "Prominent print" means, for example, all capital letters, contrasting color, underlined or otherwise differentiated from the rest of the text.

Choices made here determine when the requirement will appear as available for selection when states are populating thier requirements or when Industry is doing a query.

2. State Module:

Where each state will associate its own TOIs with UPCM TOIs (if not already using the UPCM)
Where each state will then build its Filing and Product Requirements based on the core/model requirements available.

Associating a TOI for states not using UCPM

Close | Save & Exit | Save & Another

TOI Association Record

What our state calls it: Group Annuity

TOI it maps to: A02G Group Annuities - Deferred Nonvariable, A02.1G Group Annuities - Deferred Non-, A03G Group Annuities - Deferred Variable, A05G Group Annuities - Immediate Non-, A06G Group Annuities - Immediate Variable, A06.1G Group Annuities - Immediate Non-, A07G Group Annuities, A08G Group Annuities - Unallocated, A10 Annuities - Other

A State's Filing Requirement

Close | Edit | Show/Hide Dev Notes

State Requirement

State: New Hampshire
Applies to: ☑ Life and Health ☐ P&C
Applies to Lines: ☑ Group ☑ Individual
Requirement Type: ◉ Filing Requirement ○ Product Requirement

Requirement: Cover Letter
Standard Description of Requirement: A cover letter is required on Paper filings. Electronically submitted filings (via SERFF) do not require a cover letter.
(any state edits would be highlighted)
States Citation: http://www.law 123, link
Optional Attachment:

Applies to TOI/SubTOI: All TOIS and Sub TOIs

Applies to Filing Types: ☑ Forms ☑ Rates ☑ Rules
Applies Form Types: ☑ Contract ☑ Certificate ☑ Application ☑ Advertisement
Applies to Filing Basis: ☐ Wait for Approval ☐ File for information
Applies to Filing modes: ☐ SERFF ☑ Paper

Internal System ID: 0.337041275654231

A State's Filing Requirement (with development notes)

Close   Edit   Show/Hide Dev Notes

State Requirement

State: New Hampshire
State Name would default in automatically at each state. States would not have to choose each time.

Applies to: ☑ Life and Health ☐ P&C
Could this default in based on instance?

Applies to Lines: ☑ Group ☑ Individual
Would only show if L&H was selected.

Requirement Type: ◉ Filing Requirement ○ Product Requirement
Based on what is selected here, other fields below will display or not. Filing Reqt triggers filing fields, Product Req't triggers checklist field.

Requirement: Cover Letter
List of requirement choices is specific to data shown above (e.g. only show Filing Requirements or Product Requirements). List owned by OEWG.

Standard Description of Requirement: A cover letter is required on Paper filings. Electronically submitted filings (via SERFF) do not require a cover letter.
The "Model" text as developed by OEWG will default in when the Requirement button is pushed.
(any state edits would be highlighted)

States Citation: http://www.law 123, link
State pastes the link to the cite which explains the item here.

Optional Attachment:
Optional field to attach a required form, bulletin etc.

Applies to TOI/SubTOI: All TOIS and Sub TOIs
Choices based on selections above, e.g. only L&H or P&C, AND an ability to pick either at a very high level, a mid level or individual TOI level.

Applies to Filing Types: ☑ Forms ☑ Rates ☑ Rules

Applies Form Types: ☑ Contract ☑ Certificate ☑ Application ☑ Advertisement
Not necessarily the final list of form types. should coincide with SERFF form types. Additonal research would be needed here.

Applies to Filing Basis: ☐ Wait for Approval ☐ File for information
Only those actually available in that state would appear. If only one basis applies, the field might even be hidden, or it would just default in checked.

Applies to Filing modes: ☐ SERFF ☑ Paper
Should default in to SERFF.

Internal System ID: 0.337041275654231
This ultimately aids when allowing more than one TOI. All requirements would be collected by SERFF, but only unique ones would feed to the requirements list. Duplicates would be dropped.

A State's Product Requirement:

Close   Save & Exit   Save & Another   Show/Hide Dev Notes

State Requirement

State:	New Hampshire
Applies to:	☑ Life and Health ☑ P&C
Applies to Lines:	☑ Group ☑ Individual
Requirement Type:	○ Filing Requirement ◉ Product Requirement
Requirement:	Insurance Company Name
Standard Description of Requirement:	The full corporate name, including city and state of the company shall appear in prominent print on the cover page of the policy. "Prominent print" means, for example, all capital letters, contrasting color, underlined or otherwise differentiated from the rest of the text. **(any state edits would be highlighted)**
States Citation:	
Optional Attachment:	
Applies to TOI/SubTOI:	All Group TOIS and Sub TOIs
Applies to Filing Types:	☑ Forms ☐ Rates ☐ Rules
Applies Form Types:	☑ Contract ☐ Certificate ☐ Application ☐ Advertisement
Text also used Used for:	☑ Checklist Production

Internal System ID: 0.661829556725414

A State's Product Requirement (with Development notes)

Close Save & Exit Save & Another Show/Hide Dev Notes

State Requirement

State: New Hampshire

State Name would default in automatically at each state. States would not have to choose each time.

Applies to: ☑ Life and Health ☑ P&C

Could this default in based on instance?

Applies to Lines: ☑ Group ☑ Individual

Would only show if L&H was selected.

Requirement Type: ○ Filing Requirement ◉ Product Requirement

Based on what is selected here, other fields below will display or not. Filing Reqt triggers filing fields, Product Reqt triggers checklist field.

Requirement: Insurance Company Name

List of requirement choices is specific to data shown above (e.g. only show Filing Requirements or Product Requirements). List owned by OEWG.

Standard Description of Requirement: The full corporate name, including city and state of the company shall appear in prominent print on the cover page of the policy. "Prominent print" means, for example, all capital letters, contrasting color, underlined or otherwise differentiated from the rest of the text.

The 'Model' text as developed by OEWG will default in when the Requirement button is pushed.

(any state edits would be highlighted)

States Citation:

State pastes the link to the cite which explains the item here.

Optional Attachment:

Optional field to attach a required form, bulletin etc.

Applies to TOI/SubTOI: All Group TOIS and Sub TOIs

Choices based on selections above, e.g. only L&H or P&C, AND an ability to pick either at a very high level, a mid level or individual TOI level.

Applies to Filing Types: ☑ Forms ☐ Rates ☐ Rules

Applies Form Types: ☑ Contract ☐ Certificate ☐ Application ☐ Advertisement

Not necessarily the final list of form types. should coincide with SERFF form types. Additonal research would be needed here.

Text also used Used for: ☑ Checklist Production

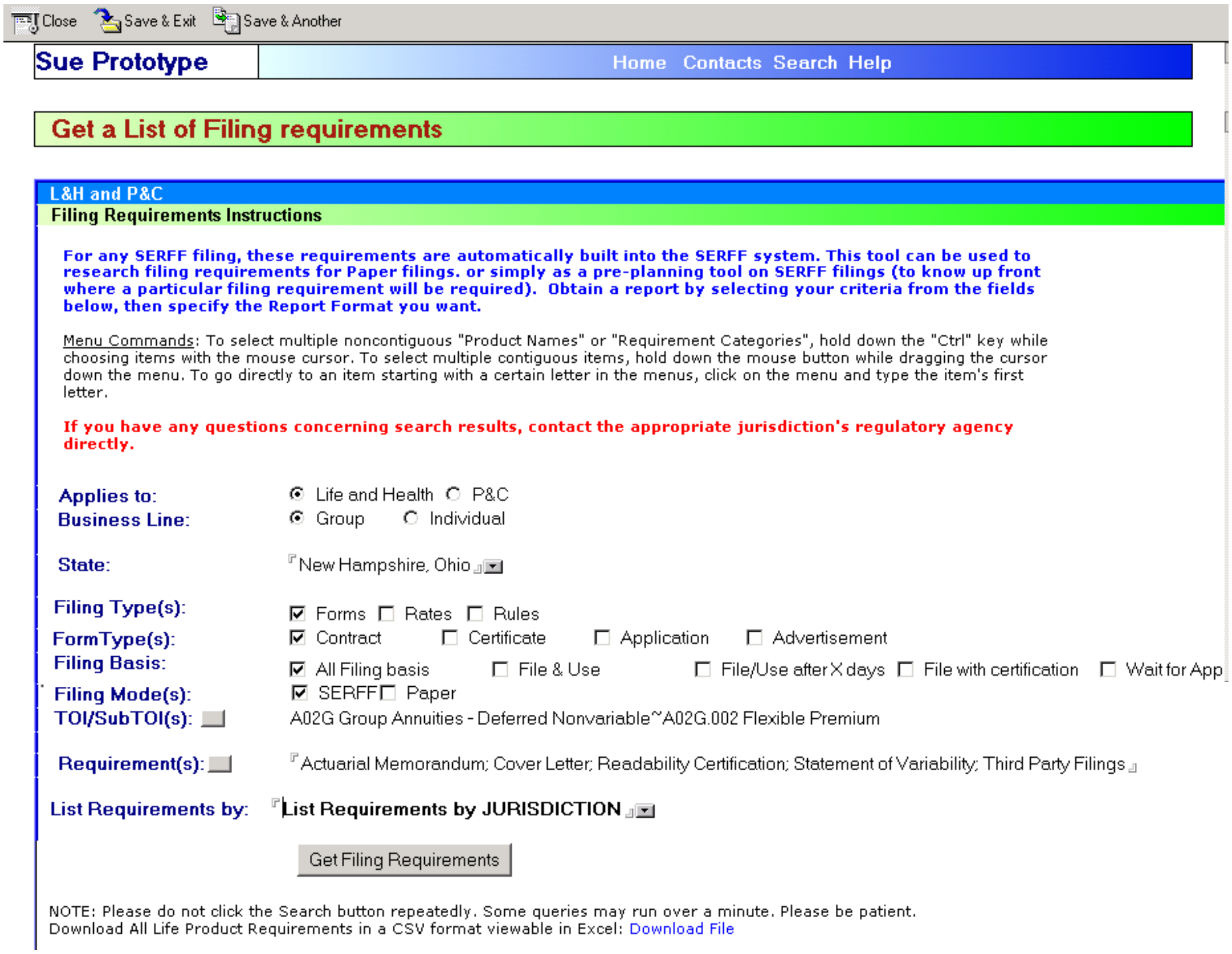
Would only appear for Product Requirements.

Internal System ID: 0.661829556725414

This ultimately aids when allowing more than one TOI. All requirements would be collected by SERFF, but only unique ones would feed to the requirements list. Duplicates would be dropped.

3. Industry Module (might look and feel like the current PRL):

Where companies can go to research Filing Requirements and Product Requirements or generate checklist.
All Filing Requirement and Checklist generation would occur automatically within SERFF as well


Close Save & Exit Save & Another

Sue Prototype

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Get a List of Filing requirements

L&H and P&C

Filing Requirements Instructions

For any SERFF filing, these requirements are automatically built into the SERFF system. This tool can be used to research filing requirements for Paper filings. or simply as a pre-planning tool on SERFF filings (to know up front where a particular filing requirement will be required). Obtain a report by selecting your criteria from the fields below, then specify the Report Format you want.

Menu Commands: To select multiple noncontiguous "Product Names" or "Requirement Categories", hold down the "Ctrl" key while choosing items with the mouse cursor. To select multiple contiguous items, hold down the mouse button while dragging the cursor down the menu. To go directly to an item starting with a certain letter in the menus, click on the menu and type the item's first letter.

If you have any questions concerning search results, contact the appropriate jurisdiction's regulatory agency directly.

Applies to: Life and Health P&C

Business Line: Group Individual

State: New Hampshire, Ohio

Filing Type(s): Forms Rates Rules

FormType(s): Contract Certificate Application Advertisement

Filing Basis: All Filing basis File & Use File/Use after X days File with certification Wait for App

Filing Mode(s): SERFF Paper

TOI/SubTOI(s): A02G Group Annuities - Deferred Nonvariable~A02G.002 Flexible Premium

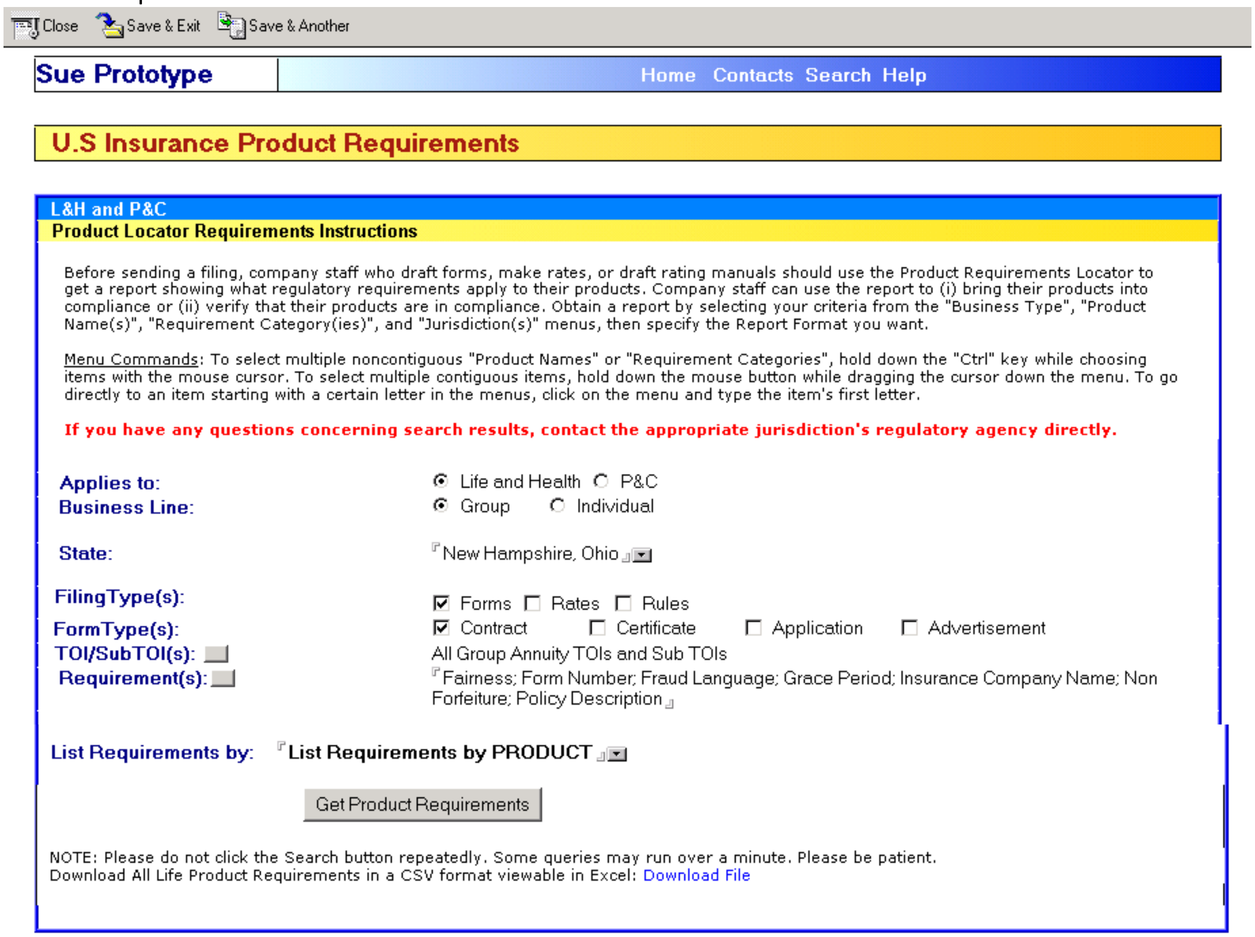
Requirement(s): Actuarial Memorandum; Cover Letter; Readability Certification; Statement of Variability; Third Party Filings

List Requirements by: List Requirements by JURISDICTION

Get Filing Requirements

NOTE: Please do not click the Search button repeatedly. Some queries may run over a minute. Please be patient.
Download All Life Product Requirements in a CSV format viewable in Excel: Download File

Product requirement search:



Close Save & Exit Save & Another

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U.S Insurance Product Requirements

L&H and P&C

Product Locator Requirements Instructions

Before sending a filing, company staff who draft forms, make rates, or draft rating manuals should use the Product Requirements Locator to get a report showing what regulatory requirements apply to their products. Company staff can use the report to (i) bring their products into compliance or (ii) verify that their products are in compliance. Obtain a report by selecting your criteria from the "Business Type", "Product Name(s)", "Requirement Category(ies)", and "Jurisdiction(s)" menus, then specify the Report Format you want.

Menu Commands: To select multiple noncontiguous "Product Names" or "Requirement Categories", hold down the "Ctrl" key while choosing items with the mouse cursor. To select multiple contiguous items, hold down the mouse button while dragging the cursor down the menu. To go directly to an item starting with a certain letter in the menus, click on the menu and type the item's first letter.

If you have any questions concerning search results, contact the appropriate jurisdiction's regulatory agency directly.

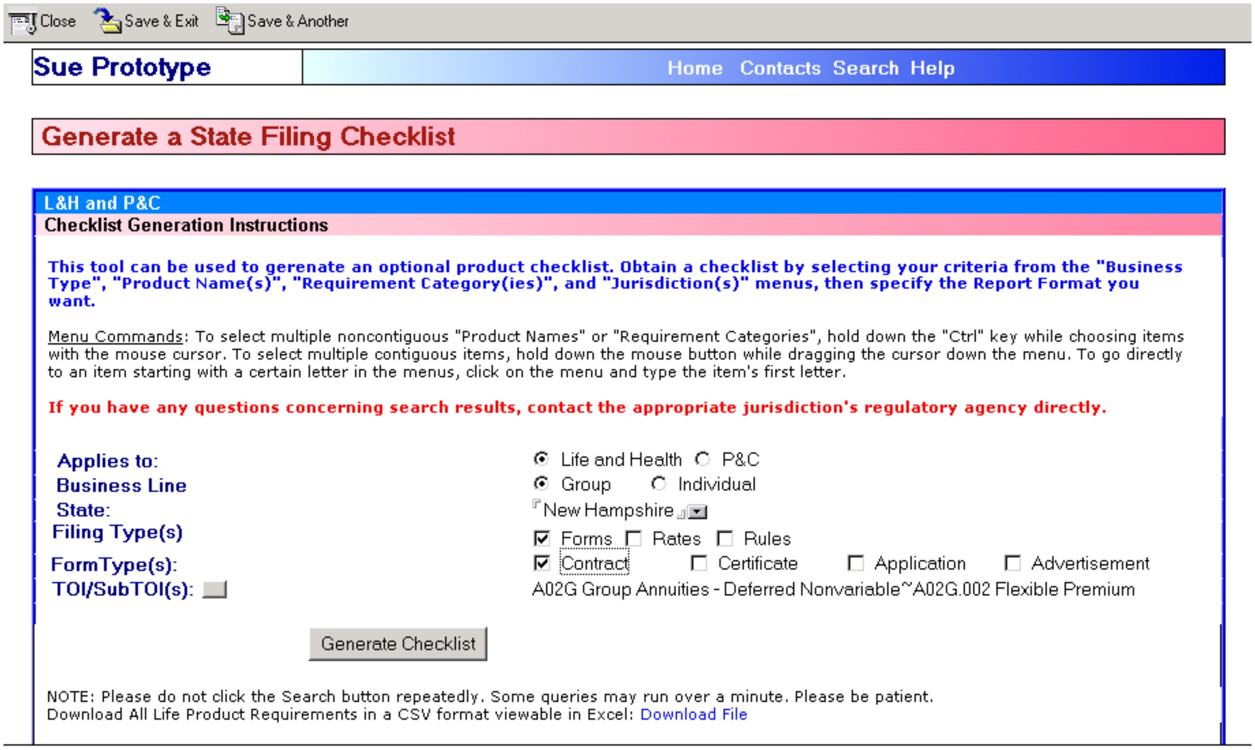
Applies to:	(•) Life and Health ( ) P&C
Business Line:	(•) Group ( ) Individual
State:	New Hampshire, Ohio
FilingType(s):	[x] Forms [ ] Rates [ ] Rules
FormType(s):	[x] Contract [ ] Certificate [ ] Application [ ] Advertisement
TOI/SubTOI(s):	All Group Annuity TOIs and Sub TOIs
Requirement(s):	Fairness; Form Number; Fraud Language; Grace Period; Insurance Company Name; Non Forfeiture; Policy Description

List Requirements by: **List Requirements by PRODUCT**

Get Product Requirements

NOTE: Please do not click the Search button repeatedly. Some queries may run over a minute. Please be patient.
Download All Life Product Requirements in a CSV format viewable in Excel: Download File

Generating a checklist:
Any items flagged by the state while building its requirements as being applicable to the selected TOI and form type(s) would automatically be generated in a format that the company can download and fill out electronically (e.g. an Excel file).Within SERFF, this would occur automatically if a requirement for checklist(s) applied.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Generate a State Filing Checklist

L&H and P&C

Checklist Generation Instructions

This tool can be used to gerenate an optional product checklist. Obtain a checklist by selecting your criteria from the "Business Type", "Product Name(s)", "Requirement Category(ies)", and "Jurisdiction(s)" menus, then specify the Report Format you want.

Menu Commands: To select multiple noncontiguous "Product Names" or "Requirement Categories", hold down the "Ctrl" key while choosing items with the mouse cursor. To select multiple contiguous items, hold down the mouse button while dragging the cursor down the menu. To go directly to an item starting with a certain letter in the menus, click on the menu and type the item's first letter.

If you have any questions concerning search results, contact the appropriate jurisdiction's regulatory agency directly.

Applies to: Life and Health P&C
Business Line: Group Individual
State: New Hampshire
Filing Type(s): Forms Rates Rules
FormType(s): Contract Certificate Application Advertisement
TOI/SubTOI(s): A02G Group Annuities - Deferred Nonvariable~A02G.002 Flexible Premium

Generate Checklist

NOTE: Please do not click the Search button repeatedly. Some queries may run over a minute. Please be patient.
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