




# Illinois Department of Insurance

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PAT QUINN  
Governor

ANDREW BORON  
Director

TO: ALL LIFE, ACCIDENT AND HEALTH COMPANIES, HEALTH MAINTENANCE ORGANIZATIONS, LIMITED HEALTH SERVICE ORGANIZATIONS, AND VOLUNTARY HEALTH SERVICE PLANS

FROM: ANDREW BORON, DIRECTOR 

DATE: 03/21/2013

RE: BULLETIN #2013-05  
L/A&H UNIVERSAL TRANSMITTAL APPLICATION

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The purpose of this Company bulletin is to announce that the L/A&H Universal Transmittal Application as required by 50 IAC 916 will no longer be required to be submitted with every filing effective April 1, 2013.

The purpose is also to provide guidance and direction on Illinois submission requirements for SERFF filings. The following directions will help filers meet all of the required information needed for Illinois filing submission on SERFF.

- Companies and Contract tab must be completely filled out with correct Company information for the filing company.
- General Information Tab must be completed.

Cover Letters are no longer required and may be substituted by completing the Filing Description field under the General Information Tab in SERFF.

For Policy Form filings, the Filing Description field must describe the intent and use of the form being filed and, if applicable how it will be used with any previously approved form.

For Rate filings the field must generally describe the intent of the rate filing and whether the filing is a new rate, rate revision or justification of an existing rate. It is necessary to provide a listing of the policy form filing company tracking number(s) and company from number(s) to show the association between the rate being filed and those affected by the rate change.

- Supporting Documentation Tab must include:
  1. Applicable Checklist in Adobe PDF format. Here is a link to the checklists: [http://insurance.illinois.gov/LAH\\_HMO\\_IS3\\_Checklists/IS3\\_Checklists.asp](http://insurance.illinois.gov/LAH_HMO_IS3_Checklists/IS3_Checklists.asp)

2. Additional filing material in Adobe PDF Format can also be submitted as supporting documentation under the Supporting Documentations Tab.
  3. Certification of Compliance – Each filing must contain a signed copy of the Certification of Compliance.
- Form Schedule Tab:
    1. Forms submitted for review and approval must be attached under the Form Schedule Tab, with each form having a different form number attached separately.
    2. Form Numbers on the bottom left hand corner of the attached forms must match the Form Numbers listed in the Form Number field under the Form Schedule tab.
    3. The number listed in the bottom left had corner is considered the complete form number.
    4. Form numbers cannot contain brackets.
  - Additional Requirements within the SERFF Filing.

Type of Insurance and Sub-Type of Insurance must be correct on SERFF. If the TOI and Sub-TOI are incorrect on SERFF, the filing will be rejected. This includes Group vs. Individual as well as by product description.

The Filing Type must be correct on SERFF. If the filing type on SERFF is incorrect, the filing will be rejected. The filing type options are **Advertising, Assumption, Form, Form-Withdrawal, Other-Informational** and **Rate**.

Types of filing that fall under Informational Type:

1. Revised variable language,
2. Required Informational Material,
3. Outline of Coverage,
4. Policies issued in other states,
5. Excess/Stop Loss,
6. Expansion of use of forms, ect.

Rate filings must include information under the Rate/Rule Schedule tab. However, in order to maintain confidentiality, the Actuarial Memorandum should be attached in the Supporting Documentation Tab. It should be attached separately from any other attachments. Also, it is necessary to name them as Actuarial Memorandums to assist the DOI in recognizing the type of document that is being attached.

Pursuant to Company Bulletin 2012-03, effective June 1, 2012, Illinois is requiring companies to pay form filing fees by electronic fund transfer (EFT). If your company is not set up for EFT, it is necessary to contact the SERFF Marketing Team to sign up. The link to our Company Bulletin is below. It will provide you with the information necessary to contact SERFF. If you are already set up for EFT with SERFF, it will be necessary to enable EFT. If you have any questions, please let us know.

<http://insurance.illinois.gov/cb/2012/CB2012-03.pdf>

If you have any questions, please contact Cindy Colonius at [cindy.colonius@illinois.gov](mailto:cindy.colonius@illinois.gov).

# Certification of Compliance

I, (Print Name:) \_\_\_\_\_,  
Title: \_\_\_\_\_ HEREBY CERTIFY that I  
have reviewed the applicable filing requirements for this filing, and comply with all applicable  
statutory provisions for the state of Illinois.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_