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NAIC SERFF

SERFF PSC MEETING

February 26, 2025

NAIC NATIONAL ASSOCIATION OF INSURANCE COMMISSIONERS

Welcome!

Webex meeting recording:

https://naic.webex.com/naic/ldr.php?RCID=b58e10bc606610ba7f46bed6e7999730

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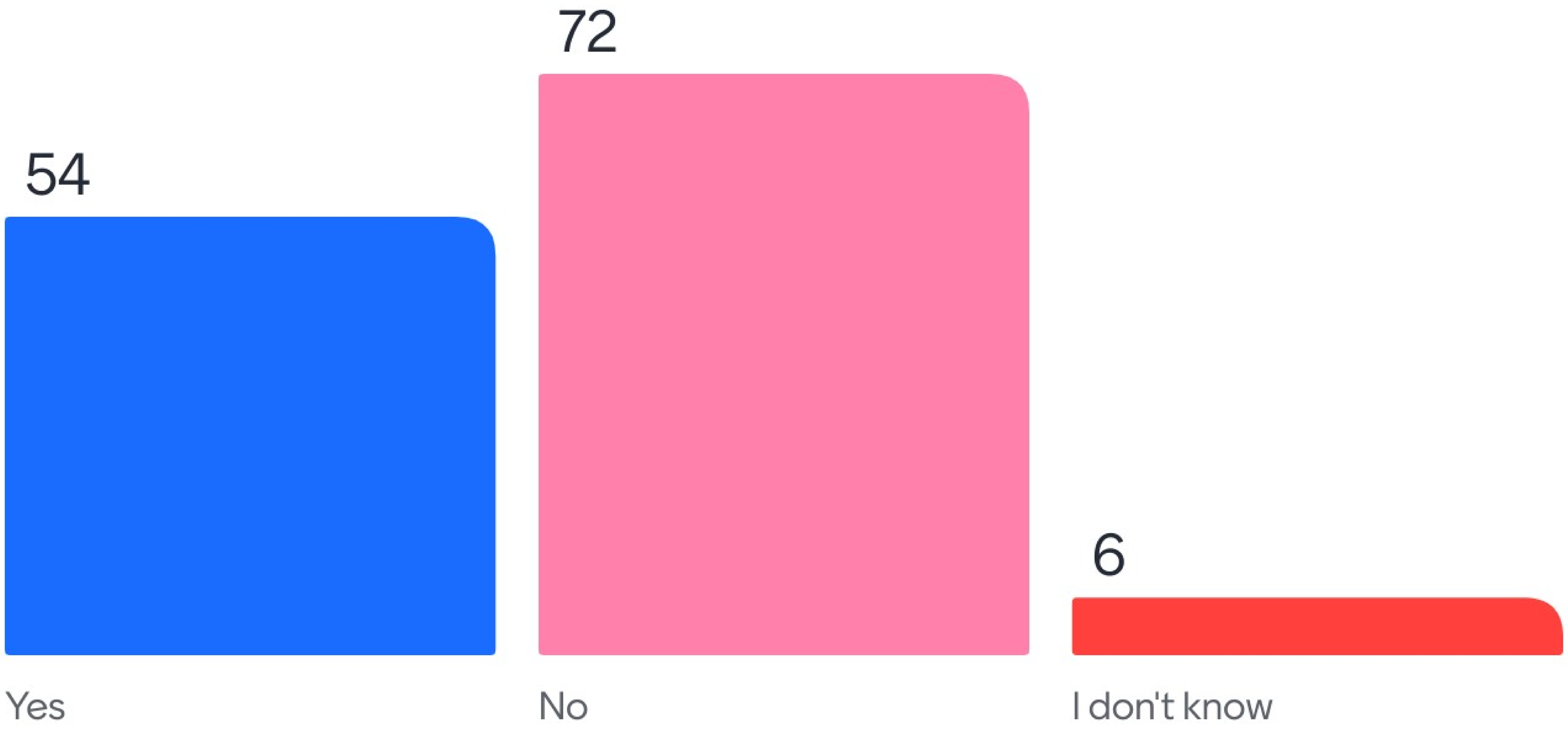
Do you submit or view filings made to the Insurance Compact?



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Release Scope

- Launch of new platform
- Insurance Compact filing submission & review
- Self-service User Management

Legacy Impact

- URL & Credentials unchanged
- State Filings unchanged
- Industry Config functions support both systems
- User admin request form continue for now
- Compact filings become read only

Accessing New Platform

- Different URL & Log in credentials (Okta)
- Access provided to users who work with Compact filings
- Compact filing instances receiving information through their "Key Contact"

Communication

- Compact filer key contacts
- Regulators – liaisons
- All other – alerts and emails

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Release Weekend

- Legacy system taken offline Friday, February 28 at 5 pm CT
- Offline all weekend
- Both systems available for use by Monday, March 3 at 7 am CT
- Weekend activities include data migration, code deployment and verification
- Notifications will sent Sunday evening to advise of status

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Questions

- When will the training materials be available?
- What is the impact to current SERFF APIs?
- How can non-Compact filers get a preview of the new platform?
- How does the Okta credentialing work?
- Will filings submitted via the new platform be accessible to the public via the current SERFF Filing Access system?

SERFF Product Steering Committee Q&A:

February 26, 2026

Can you explain what Insurance Compact is?

- The Compact is a voluntary multi-state filing platform for Life, Annuity, Long Term Care, and Disability Income products. The Compact's FAQ section has some great resources for industry filers who may have questions about getting started, the cost of filing, review timeframe, etc. https://www.insurancecompact.org/about/faq

If an associate is out on leave during the okta registration phase, will they be able to join upon their return?

- Yes, users who do not complete their okta registration during the 7-day period can contact serffmodernizationquestions@naic.org for support.

Will we have 2 separate logins, one for compact and one for legacy?

- Yes, that is correct.

DO "read only" SERFF users get the same email to set up Okta account?

- Yes. All SERFF users will receive OKTA communication.

Are there any potential delays with Legacy SERFF coming back up at 7 am on Monday?

- We do not anticipate any delays with the legacy platform during release weekend.

When will info go to the User Advocates so that they know what they need to do on Monday?

- Additional communication will be sent to User Advocates over the weekend. At the latest, you will have this in your inbox on Monday morning.

Is the reason the Compare Document tool is down in Alaska related to the upgrade?

- This is not related to the Modernization project; however, we will ask our internal teams to look at the Alaska Document compare issue.

Will the new Compact SFA contain historic filings?

- Yes, historical filings will appear in the new Compact SERFF Filing Access portal once the platform is live.

Do non-compact state user need to set up their Okta accounts at this time or do we wait until the new SERFF for Life and Annuities is ready to go live?

- All SERFF users will receive communication regarding OKTA and will need to take any actions as indicated in the email; even if you do not view Compact filings.

Will we still be able to use the current template for the Statement of Intent?

- The SOI Template is not supported in the first release.

When we add a new form through an amendment will the Compact (product component) and state filing fees (those states that charge a fee) be adjusted to reflect the addition of a form?

- In the first release of the platform, additional forms are not automatically calculated.

If we are a P&C user who got an Okta email, should we create our account now since we aren't transitioning until later this year?

- Yes. All users that receive the OKTA e-mail must complete necessary set-up steps.

When responding to a Note to Filer do we add a comment or create a NTR to respond?

- Communication with the regulatory body will take place via a Note to Reviewer. When a regulatory body submits a Note to Filer, you can respond with a comment to keep the conversation threaded.

Will filers have the ability to submit a post-sub update to change the data entered in the filing header? Will states have the ability amend?

- Post-Submission updates are now referred to as Amendments. Filers can submit an amendment to change filing fields. States cannot amend Compact filings.

I do not submit compact filings. I have not received the Activate Okta Account email yet. Should I be concerned?

- As of the date of today's Product Steering Committee meeting, the OKTA registration e-mail has not been sent. E-mail swill be sent later this week.

Any updates on when new SERFF for Life and Annuities will go live?

- An update will be provided at the Spring 2025 National Meeting in March. We will update the Product Steering Committee in the following month (April).

How will the EFT report be impacted, if at all? Right now, LH, PC, and IC instances are all shown in the same report. will accessing IC filing fee reconciliation be in different places?

- Yes, users that pull EFT reports where Compact filings are included will need to pull 1 report in legacy and 1 report in the new platform.

Will user management be on the new platform or the legacy platform? I am hearing conflicting messages.

- A self-service user management module is new in the modernized platform. However, state and non-compact filers will continue to add, remove, and manage users via the current process in legacy with the form.

How would a TOI, sub -TOI or filing type be changed once a filing is submitted?

- This functionality is not present in the first release of the platform.

When should we expect the use of the SOI spreadsheet?

- This functionality is being reviewed by our team and we will provide updates at future PSC meetings.

If a compact filing is closed now, and needs to be re-opened for a correction, will that process be similar to the current SERFF ?

- Yes. Filers should communicate with the regulatory body requesting the filing to be re-opened.

Between 7 and 8 a.m. EST Monday, will legacy SERFF be unavailable?

- Yes – Legacy SERFF will be offline until 7AM CT (8AM EST).

Thank you!

If you have further questions, Please contact us at:

SERFFModernizationQuestions@naic.org