

Life and Health Transmittal Form

Instructions

Use this form if you are filing a form or rate for life or health insurance. Complete the form and upload it to the SERFF Supporting Documents tab transmittal placeholder for all life, annuity, health, credit, life settlement, and rate filings. For more information, see [28 Texas Administrative Code \(TAC\) Section 3.11](#).

Contact person _____

Phone number _____

Email _____

If the contact person for this filing is not an employee of the company:

- Attach a letter of authorization in SERFF designating the third party as the contact person.
- A person with authority to bind the company must sign the authorization letter, according to [28 TAC Section 3.12](#).

Filing information

Section 1: Check the correct market type for this filing or rate change

Individual Group

If applicable, enter the appropriate section from [Texas Insurance Code \(TIC\) Chapter 1131](#) for Life Groups or [TIC Chapter 1251](#) section for Accident and Health Groups.

Chapter 1131 Life and Annuity

Section _____

Chapter 1251 Accident and Health

Section _____

Section 2: Rate submission

If applicable, check the box that describes your rate submission:

Rate filing: Initial Subsequent Annual Informational

Form and SERFF tracking number _____

Form and SERFF tracking number _____

Form and SERFF tracking number _____

Form and SERFF tracking number _____

Section 3: Select a certification type

If you chose "Review & Approval" or "File & Use" as the Submission Type under the General Information tab in SERFF, then you may check the box for the applicable certification.

- If your filing is "Informational," **skip to Section 4**
- If none of the following certifications apply to your filing, **skip to Section 4**

A. Resubmission of a previously disapproved filing:

The forms in this submission were previously disapproved under:

Form number _____

SERFF filing number _____

- The issuer certifies that the forms in the new submission do not contain any provisions that fail to comply with corrections requested by the department under the same or another form number.
- The issuer certifies that the forms in the new submission have not been previously disapproved (including withdrawal of approval or failed audit) by the department under the same or another form number, or the prior disapproval has been specifically disclosed in this filing.
- The issuer certifies that no changes have been made to the forms other than those identified in the redlined copy.

[28 TAC Section 3.11\(d\)](#) or [28 TAC Section 3.1740\(h\)\(7\)](#) and [28 TAC Section 3.16\(b\)](#)

B. Exact copy:

The forms in this submission are an exact copy of the forms that were previously approved under:

Form number _____

SERFF filing number _____

- The issuer certifies that it has reviewed the forms to ensure it complies with any new requirements that were established after the date the previous form was approved.
- The issuer certifies that no changes have been made to the forms other than those identified in the redlined copy.
- The issuer certifies the forms meet the definition of an exact copy in [28 TAC Section 3.2\(8\)](#).

[28 TAC Section 3.11\(d\)](#) or [28 TAC Section 3.1740\(h\)\(4\)](#) and [28 TAC Section 3.16\(b\)](#)

C. Substitution:

The forms in this submission will replace the forms that were previously approved or exempted under:

Form number _____

SERFF filing number _____

Note: The form numbers of the new version of the form must be the same as the original version.

- The issuer certifies that it has reviewed the forms to ensure it complies with any new requirements that were established after the date the previous form was approved.
- The issuer certifies that no changes have been made to the forms other than those identified in the redlined copy.
- The issuer certifies that the original version of the form has not been issued or otherwise used in Texas and will not be issued or used in Texas at any time.

[28 TAC Section 3.11\(d\)](#) or [28 TAC Section 3.1740\(h\)\(5\)](#) and [28 TAC Section 3.16\(b\)](#)

D. Substantially similar to a previously approved form:

Form number _____

SERFF filing number _____

Note: A filing cannot be considered Substantially Similar if the prior versions of the forms were closed "Exempt."

- The issuer certifies that it has reviewed the forms to ensure it complies with any new requirements that were established after the date the previous form was approved.
- The issuer certifies that no changes have been made to the forms other than those identified in the redlined copy.

[28 TAC Section 3.11\(d\)](#) or [28 TAC Section 3.1740\(h\)\(3\)](#) and [28 TAC Section 3.16\(b\)](#)

E. Insert pages:

The filing must meet the definition of insert page in [28 TAC Section 3.2\(17\)](#) and the issuer must designate "Insert Page" as the Filing Type in SERFF.

- The issuer certifies that the final product created and issued using the individual provisions will comply with all applicable requirements.

[28 TAC Section 3.19](#) or [28 TAC Section 3.16\(b\)](#)

If the issuer is replacing an existing Insert Page form, provide information of the previously approved or exempted form(s) you are replacing:

Form number _____

SERFF filing number _____

F. Matrix:

The filing must meet the definition of insert page in [28 TAC Section 3.2\(20\)](#) and the issuer must designate "Matrix" as the Filing Type in SERFF.

- The issuer certifies that the final product created and issued using the forms will comply with all applicable requirements.

[28 TAC Section 3.19](#) and [28 TAC Section 3.16\(b\)](#)

If the issuer is replacing an existing Matrix provision, provide information of the previously approved or exempted Matrix provision(s) you are replacing:

Form number _____

SERFF filing number _____

G. Supplemental coverage

The issuer must file forms under the applicable Similar Supplemental Type of Insurance (TOI) in SERFF.

- The issuer certifies that the forms will be marketed only as supplemental to existing group coverage.

[28 TAC Section 3.3080](#) and [28 TAC Section 3.16\(b\)](#)

H. Exempt

The issuer certifies:

- The form does not contain any provision that fail to comply with corrections requested by the department under the same or another form number.
- The form has not been previously disapproved (including by withdrawal of approval or failed audit) by the department under the same or another form number, or the prior disapproval has been specifically disclosed in the filing.
- The form filed qualifies to be filed exempt consistent with [28 TAC Section 3.4004](#).
- The form filed complies with the criteria for exempt forms specified in [28 TAC Section 3.4005](#).
- The form filed does not contain any new, uncommon, or unusual provisions, conditions, or concepts as provided in [28 TAC Section 3.4006](#).
- The insurer submitting the form has had a certificate of authority to do business in Texas for a period not less than two years that are required in [28 TAC Section 3.4007](#).
- The use of the form filed will be discontinued in the event o future changes in laws or rules that would prohibit the use of such forms.

[28 TAC Sections 3.4004-3.4007](#) and [28 TAC Section 3.16\(b\)](#)

I. File and use

The issuer certifies:

- The form does not contain any provision that fail to comply with corrections requested by the department under the same or another form number.
- The form has not been previously disapproved (including by withdrawal of approval or failed audit) by the department under the same or another form number, or the prior disapproval has been specifically disclosed in the filing.

[28 TAC Section 3.10](#) and [28 TAC Section 3.16\(b\)](#)

Section 4: Read the general certification and sign

The person who signs this transmittal form must confirm that:

- The certification is on behalf of the issuer.
- The issuer is bound by the certification.
- The issuer is familiar with all statutes and regulations of this state and the United States that are applicable to the filing and certifies that to the issuer's best knowledge, information, and belief, the filing complies with those statutes and regulations.
- The individual making the certification has reviewed the filing and information in the filing is true and correct in SERFF.
- The form filed is not deceptive or misleading.

- If applicable, the Flesch score of each form is accurately reflected and meets the requirements of [28 TAC Section 3.20](#) or [28 TAC Section 3.602](#) of this title (relating to Plain Language and Readability Requirements).
- The information in this form and in SERFF is correct.

See [28 TAC Section 3.16\(b\)](#) for more information.

Signature _____ Title _____

Name _____ Date _____