

## HMO Transmittal Form

### Instructions

HMO companies must fill out and submit this form with all HMO SERFF filings. HMO companies must also submit a cover letter. [28 Texas Administrative Code \(TAC\) Section 11.301\(3\)\(A\)-\(C\)](#) and [28 TAC Section 3.11](#). TAC = Texas Administrative Code and TIC = Texas Insurance Code.

Contact person \_\_\_\_\_

Phone number \_\_\_\_\_

Email address \_\_\_\_\_

### 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](#).

### If your form must follow reading score requirements, you must certify that:

- The forms meet or exceed a Flesch reading ease score of 40.
- The correct Flesch reading ease score was recorded in SERFF.

To see if you must follow the requirements, see [28 TAC Section 3.601\(b\)](#) and [28 TAC Section 3.602\(b\)](#).

### Filing information

To file this checklist and certification form (1) select market type, (2) select filing type, (3) provide a list of the form in this submission; (4) select the certification type, read the general certifications, and sign this form.

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

Individual     Group [28 TAC Section 11.301](#) and [28 TAC Section 11.501](#).

#### Section 2: Select a filing type

Check a box below to select one of the following filing type options

- a.  Review and Approval - filing form(s) for approval.

**Next step:** If applicable, select a certification in the next section of this form.

[TIC Section 843.080](#) or [Section 1271.101](#); [28 TAC Section 11.301\(4\)](#), [Section 11.501](#), or [Section 11.1607](#).

- b.  Informational - filing for information.    [28 TAC Section 11.301\(5\)](#).

**Next step:** Go to the general certification and signature section at the end of this form. You do not need to select a certification. [28 TAC Section 3.10](#) and [28 TAC Section 3.16](#).

**Section 3: 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 4: List form numbers in this submission**

List all form numbers submitted with this filing. Use a separate page if needed. Please refer to

[28 TAC Section 11.301](#) and [28 TAC Section 3.11\(c\)\(6\)](#).

Form number \_\_\_\_\_ Form number \_\_\_\_\_

Form number \_\_\_\_\_ Form number \_\_\_\_\_

Form number \_\_\_\_\_ Form number \_\_\_\_\_

Form number \_\_\_\_\_ Form number \_\_\_\_\_

**Section 5: Select a certification type**

**a.  Resubmission of a previously disapproved form**

**Response to disapproval**

- Attach a cover letter that includes a response to each objection provided in the disapproved filing.
- Attach a summary of the differences between the previously disapproved form and the new form, including a description of deleted text.

**By signing at the end of this form, I certify that:**

- This filing contains corrections to a form that was previously disapproved by TDI.
- No changes have been made to this form other than those identified in the summary of changes and redlined version of the form. See [28 TAC Section 11.301](#), [28 TAC Section 3.11\(d\)](#), and [TIC Section 1271.104](#) for more information.

Form number of the previously disapproved form \_\_\_\_\_

SERFF filing number \_\_\_\_\_

**b.  Substitution**

To show us what changed from the previously approved form, attach a summary of the differences between the previously approved form and the new form, including a description of deleted text.

**By signing at the end of this form, I certify that:**

- The original version of the form:
  1. has not been issued or otherwise used in Texas, and
  2. will not be issued or used in Texas at any time.

- No changes have been made to this form other than those identified in the summary of changes and redlined version of the form. See [28 TAC Section 11.301](#).

**Previous filing information**

Form number must be the same as previous \_\_\_\_\_

SERFF filing number \_\_\_\_\_

**c.  Substantially similar to a previously approved form**

To show us what changed from the previously approved form, attach a summary of the differences between the previously approved form and the new form, including a description of deleted text.

**By signing at the end of this form, I certify that:**

- The form(s) in this filing is substantially similar to a form(s) that was previously approved.
- No changes have been made to this form other than those identified in the summary of changes and redlined version of the form. See [28 TAC Section 11.301\(2\)\(B\)](#) and [28 TAC Section 3.11\(d\)](#).

**Previous filing information**

Form number must be the same as previous \_\_\_\_\_

SERFF filing number \_\_\_\_\_

**d.  Insert pages**

The company is submitting an insert page(s) filing. The company can:

- Use the insert page to replace a previously approved page. The new insert page must have a unique form number.
- Use the same insert page filed under one form number for all products if the language applies to each product type. Any changes in the language to comply with the requirements for each product type will require a unique form number.

**By signing at the end of this form, I certify that:**

The evidence(s) of coverage created using the forms in this filing will comply with all applicable laws and regulations in Texas and the United States. See [28 TAC Section 11.505\(h\)](#).

**e.  Matrix**

The company is submitting a matrix filing, which consists of individual provisions and clauses. When submitting a Matrix filing:

- Give each provision / clause a unique form number.
- Place the unique form number in the lower left-hand corner of the provision / clause.

**By signing at the end of this form, I certify that:**

The evidence(s) of coverage created using the forms in this filing will comply with all applicable laws and regulations in Texas and the United States. See [28 TAC Section 11.505\(g\)](#).

**Section 6: Certification**

Read the general certification and sign. The person who signs this transmittal form confirms that:

- They are authorized to sign on behalf of the company.
- The company is bound by this certification.
- The company reviewed the filing.
- The filing complies with the applicable statutes and regulations.
- The company has reviewed the filing and the information entered in SERFF.
- The information in this form and the information entered in SERFF is correct.

See [28 TAC Section 3.602\(b\)](#) for more information.

Signature \_\_\_\_\_

Title \_\_\_\_\_

Name \_\_\_\_\_

Date \_\_\_\_\_