

## 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 3.3.](#)

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 3.4\(b\)\(3\)](#).

#### **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

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

Individual     Group

Use the drop-down menu to select the appropriate section from [Texas Insurance Code \(TIC\) Chapter 1131](#) for Life Groups or [TIC Chapter 1251](#) section for Accident and Health Groups.

If you submit a filing for a group policy, contract, or certificate, you must submit a separate policy and certificate. It must have a unique identifying form number for each group type that the filing will be issued to. See [28 TAC Section 3.6\(c\)\(1\)\(2\)](#).

Chapter 1131 Life and Annuity

Section \_\_\_\_\_

Chapter 1251 Accident and Health

Section \_\_\_\_\_

**Section 2: Select a filing type**

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

- Review & Approval [TIC Section 1701.054](#)
- File & Use [TIC Section 1701.052](#) and [28 TAC Section 3.6\(a\)\(2\)](#)
- Exempt [TIC Section 1701.055](#) , [28 TAC Section 3.4001-3.4020](#), [28 TAC Section 3.5\(a\)\(3\)](#) and [28 TAC Section 3.6\(a\)\(9\)](#)
- Informational [28 TAC Section 3.5\(b\)\(1\)](#)
- Credit Life, Accident and Health [TIC Chapters 1151](#), and [1153](#)
- Life Settlement [TIC Chapter 1111A](#) and [28 TAC Section 3.1740\(f\)\(1\)](#)

**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: List form numbers in this submission**

List all form numbers you submitted with this filing. Use a separate page if needed. Please refer to [28 TAC Section 3.2](#) and [Section 3.1740\(d\)\(3\)-\(6\)](#).

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

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

**Section 4: Select a certification type**

If you chose "Review & Approval" or "File & Use" as the filing type, select the certification types that apply. If your filing is Informational, skip to Section 5.

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

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

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

[28 TAC Section 3.5\(b\)\(6\)](#) or [28 TAC Section 3.1740\(h\)\(7\)](#) and [28 TAC Section 3.6\(a\)\(6\)](#)

**B. Exact Copy - previous filing information:**

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

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

[28 TAC Section 3.5\(b\)\(3\)](#) or [28 TAC Section 3.1740\(h\)\(4\)](#) and [28 TAC Section 3.6\(a\)\(3\)](#)

**C. Substitution:**

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

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

[28 TAC Section 3.5\(b\)\(4\)](#) or [28 TAC Section 3.1740\(h\)\(5\)](#) and [28 TAC Section 3.6\(a\)\(4\)](#)

**D. Substantially similar to a previously approved form:**

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

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

[28 TAC Section 3.5\(b\)\(2\)](#) or [28 TAC Section 3.1740\(h\)\(3\)](#) and [28 TAC Section 3.6\(a\)\(3\)](#)

**E. Insert pages:**

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

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

[28 TAC Section 3.4\(g\)](#) or [28 TAC Section 3.6\(a\)\(8\)](#)

**F. Matrix**

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

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

[28 TAC Section 3.4\(f\)](#) and [28 TAC Section 3.6\(a\)\(8\)](#)

**G. Supplemental coverage**

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

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

[28 TAC Section 3.3080](#) and [28 TAC Section 3.6\(a\)\(7\)](#)

**Section 5: Read the general certification and sign**

The person who signs this transmittal form must confirm that:

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

See [28 TAC Section 3.6 \(a\)\(1\)\(B\)](#) for more information.

Signature \_\_\_\_\_ Title \_\_\_\_\_

Name \_\_\_\_\_ Date \_\_\_\_\_