TDI | Texas Department of Insurance

Advertising Transmittal Checklist and Certification Form

Advertising companies must fill out and submit this form with all advertising SERFF filings.

28 Texas Administrative Code (TAC) §21.120

TAC = Texas Administrative Code   TIC = Texas Insurance Code

Instructions:

Use the following pages to (1) provide information about the advertisements to be reviewed, (2) select a filing option, (3) indicate required certifications, and (4) read the general certifications and sign this form.

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

- In SERFF, you must attach a letter of authorization designating the third party as its contact person.
- The authorization letter must be signed by a person with authority to bind the company.

28 TAC §3.4(b)

Required File for Review: Medicare Supplement, Medicare Select, and Long Term Care
Required File for Information: Life Settlement
All other lines of insurance may be filed for information, but are not required to be filed
Insurance agents must file their advertisements with the insurance company for written approval prior to use
Company logo filings will be closed as informational

For required advertising filings, list each form number of the approved policy being advertised. For non-required advertising filings, leave blank.

28 TAC §21.120(a)(3)

Form Number and SERFF Filing Number [   ]

Form Number and SERFF Filing Number [   ]

Form Number and SERFF Filing Number [   ]

Form Number and SERFF Filing Number [   ]

Form Number and SERFF Filing Number [   ]

1. Advertisements to be reviewed

Include each advertisement's form number, the type of advertisement, and the delivery method. The form number must appear in the lower left corner of the advertisement.

Form number		Form number	
Type of Advertisement		Type of Advertisement	
Delivery Method		Delivery Method	
Form number		Form number	
Type of Advertisement		Type of Advertisement	
Delivery Method		Delivery Method	
Form number		Form number	
Type of Advertisement		Type of Advertisement	
Delivery Method		Delivery Method	

2. Filing options

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

☐ **New Filing**

☐ **Revised version of a previously reviewed advertisement**
Indicate the previous SERFF file number. Explain the changes made to the advertisement by attaching redline versions under the Supporting Documentation tab.

Form Number and SERFF Filing Number _____

Form Number and SERFF Filing Number _____

Form Number and SERFF Filing Number _____

☐ **Resubmission in response to objections**

Indicate the previous closed SERFF file number, and attach an explanation, under the Supporting Documentation tab, indicating how the objections have been answered in these new versions. Attaching redline versions of the advertisements, under the Supporting Documents tab, will speed-up the review.

SERFF Filing Number [   ]

☐ **Substantially similar to a previously reviewed advertisement**

If the advertisement is the same or substantially similar to a previously reviewed advertisement, it may be referenced by providing the form number, reviewed date and SERFF filing number. Explain the changes made to the advertisement by attaching redline versions under the Supporting Documentation tab.

28 TAC §21.120

Form Number and SERFF Filing Number [   ]

Additional information to attach

Hyperlinks:

Attach a note under the Supporting Documentation tab explaining the destination of any hyperlinks appearing on the advertisements. The destination list must include the advertisement's form number, the name of the hyperlink, and the form number and SERFF file number of the destination.

28 TAC §21.120(a)(5)

Kits:

Attach a note under the Supporting Documentation tab explaining which advertisements will always be used together. If other additional material will be used with an advertisement, list the form number of the additional material along with its SERFF file number.

28 TAC §21.120(a)(5)

Variability:

Attach a statement of variability for the advertisements under the Supporting Documentation tab. The variable content must be identified with brackets on the advertisements.

28 TAC §21.120(a)(5)

☐ **Use of Statistics and Citations** Any source that is more than five years old is certified to be the most recent available. 28 TAC §21.108(b)

☐ **Paid Endorsement(s)** I hereby certify that no person has been compensated, directly or indirectly, for making a testimonial, endorsement, or appraisal in this advertisement(s). 28 TAC §21.107(g)

☐ **Premium or Rate Change** If "Invitation to Contract" advertisements contain specific or estimated costs of the coverage, the company must certify those costs will not change before the renewal of the policy.

28 TAC §21.106(f)

4. Read general certification and sign

The person who signs this transmittal checklist and certification 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.

28 TAC §3.6 (a)(1)(B)

Signature

Name

Title

Date