

LOUISIANA DEPARTMENT OF INSURANCE

1702 North 3rd Street (70802)
 P O Box 94214
 Baton Rouge, LA 70804-9214
 (225) 342-1226 - Telephone / (225) 342-7401 - Fax

LIFE & ANNUITY TRANSMITTAL DOCUMENT

| DEPARTMENT USE ONLY | | |
|----------------------------|---------------------------|---------|
| LA DOI Filing # | | |
| Received Date: | | |
| EIC: | | |
| Close Date: | | |
| Disposition Code: | | |
| Disapproval Reason: | | |
| | | |
| Filing Fee Amount Due - \$ | Batch & Classification #s | |
| Refund Amount - \$ | Issue Date: | Check # |

| 1 | INSURER NAME & ADDRESS | |
|---|------------------------|--------------|
| | | Domicile: |
| | | NAIC Group # |
| | | NAIC # |
| | | FEIN # |

| 2 | FILER / CONTACT NAME, TITLE & ADDRESS | |
|---|---------------------------------------|----------------|
| | | E-Mail Address |
| | | Phone # |
| | | Fax # |

| | | | |
|---|---------------------------------|-----------------------|----|
| 3 | FILING METHOD | a) Paper | |
| | | b) Electronic / SERFF | |
| | | → Tracking # | |
| 4 | COMPANY TRACKING # | | |
| 5 | FILING SUBMISSION DATE | | |
| 6 | FILING FEE AMOUNT PAID (if any) | Check # | \$ |
| 7 | DATE of DOMICILIARY APPROVAL | | |
| 8 | LA DOI PRODUCT CODE | | |

| 9 | TYPE OF REVIEW | Indicate (x) Below |
|---|--------------------------------|--------------------|
| | a) Compliance Review | |
| | b) Certification of Compliance | |
| | c) Informational | |

| FILING SUBMISSION TYPE | | Indicate (x) Below |
|------------------------|--|--------------------|
| 10 | a) New Insurance Product | |
| | b) Exception (Partial Filing) | |
| | c) Resubmission - Revised Forms Previously Approved | |
| | → Date Previously Approved: | LA DOI Filing # |
| | d) Resubmission - Revised Forms Previously Disapproved | |
| | → Date Previously Disapproved: | LA DOI Filing # |
| | e) Amendment of Form Previously Approved | |
| | → Date Previously Approved: | LA DOI Filing # |
| | → Will Product Continue to be Marketed? | |
| | f) Permanent Withdrawal of Previously Approved Product | |
| | → Date Previously Approved: | LA DOI Filing # |
| | → Will existing business continue to be renewed? | |

| 11 | FILING DESCRIPTION |
|----|--------------------|
| | |

| 12 | SUBMITTED DOCUMENTS | | Indicate (x) Below |
|----|---|--------------------|--------------------|
| | a) Filing Fee | (If applicable) | |
| | b) Statement of Compliance | (If applicable) | |
| | c) Certification of Compliance | (If applicable) | |
| | d) Affidavit of Compliance | (If applicable) | |
| | e) Policy (Group or Individual) | (duplicate copies) | |
| | f) Certificate of Coverage | (duplicate copies) | |
| | g) Application (Group or Individual) | (duplicate copies) | |
| | h) Enrollment Form | (duplicate copies) | |
| | i) Rider / Endorsement / Amendment | (duplicate copies) | |
| | j) Actuarial Memorandum | (duplicate copies) | |
| | k) Life Illustrations | (If applicable) | |
| | l) Stamped, self addressed envelope | (If applicable) | |
| | m) Association Constitution, By-laws, Membership Application, Membership Agreement, and Brochure of Membership Benefits other than insurance. | (Group Assn Plan) | |
| | n) Trust Agreement, Articles of Incorporation or other instrument creating the Trust, and Member Adoption Agreement. | (Group Trust Plan) | |
| | o) Other: | | |

| 13 | METHOD OF MARKETING | | Indicate (x) Below |
|----|--|--|--------------------|
| | Independent Agents / Producers | | |
| | Captive Agents / Producers | | |
| | Telephone, E-mail or Direct Mail Solicitation | | |
| | Internet Advertisements | | |
| | Group or Organization Sponsor | | |
| | Third Party Administrator | | |
| | Association | | |
| | Trust | | |
| | Other (Describe on Line 11 - Filing Description) | | |

LIFE & ANNUITY POLICY FORM / ADVERTISING FILING ATTACHMENTS

| 14 | Company Tracking # | | | LA DOI Filing # |
|----|--------------------|-------------|---|---------------------------|
| | Document Name | Form Number | Form Status | Revised / Replaced Form # |
| | Description | | | Previous LA DOI Filing # |
| a) | | | [] - Initial [] - Revised [] - Approved [] - Other | |
| | | | | |
| b) | | | [] - Initial [] - Revised [] - Approved [] - Other | |
| | | | | |
| c) | | | [] - Initial [] - Revised [] - Approved [] - Other | |
| | | | | |
| d) | | | [] - Initial [] - Revised [] - Approved [] - Other | |
| | | | | |
| e) | | | [] - Initial [] - Revised [] - Approved [] - Other | |
| | | | | |
| f) | | | [] - Initial [] - Revised [] - Approved [] - Other | |
| | | | | |
| g) | | | [] - Initial [] - Revised [] - Approved [] - Other | |
| | | | | |
| h) | | | [] - Initial [] - Revised [] - Approved [] - Other | |
| | | | | |

LIFE & ANNUITY RATE FILING ATTACHMENTS

| | | | | |
|-----------|------------------------------------|-----------------------------|--|---------------------------------|
| 15 | Company Tracking # | | LA DOI Filing # | |
| | | | | |
| | Document Name / Description | Affected Form Number | Rate Status | Previous LA DOI Filing # |
| a) | | | Initial Revised: + ___ % Revised: - ___ % Other | |
| b) | | | Initial Revised: + ___ % Revised: - ___ % Other | |
| c) | | | Initial Revised: + ___ % Revised: - ___ % Other | |
| d) | | | Initial Revised: + ___ % Revised: - ___ % Other | |
| e) | | | Initial Revised: + ___ % Revised: - ___ % Other | |
| f) | | | Initial Revised: + ___ % Revised: - ___ % Other | |
| g) | | | Initial Revised: + ___ % Revised: - ___ % Other | |
| h) | | | Initial Revised: + ___ % Revised: - ___ % Other | |

