

NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES

PERSONAL LINES PROPERTY INSURANCE FORM FILING COMPLIANCE QUESTIONNAIRE

PAGE 1 OF

COMPANY

Co. File No.

Company Contact:

Phone Number:

E-Mail Address:

Instructions: All applicable items must be answered. Responses in the shaded area indicate non-compliance with Articles 31, 34 and 54 of the Insurance Law. Form, page and paragraph references that bring the submission into compliance must be included. Failure to complete all items, or responses in the shaded area, will result in this filing being returned without further review.

I. All Policies

- | | | | |
|--|------------------------------|------------------------------|-----------------------------|
| a. Policy complies with §3404 (complete 3404 checklist) | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| b. Policy complies with §3425 (complete 3425 checklist) | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| c. Policy contains provisions that violate §3105 or §3102 NYIL | | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| d. Are there any provisions that are unfairly discriminatory or misleading? | | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| e. Declaration Page contains all rating information (location, construction, class, etc.) | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| f. Does the policy contain the name of an unlicensed company? | | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| g. Are there any blank forms? | | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| h. Are all forms numbered? | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| i. Does the policy contain a liberalization clause? | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| j. Does the policy comply with §3407(b)? | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| k. If the filing provides coverage for personal liability, | | | |
| (i) Does the duty to defend end with the payment of the limit of liability, even though there has not been final judgment or settlement? | NO <input type="checkbox"/> | YES <input type="checkbox"/> | |
| (ii) Does the policy provide defense for existing claims although the policy limit may be exhausted? | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |

II. N.Y.P.I.U.A. Policies

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|---|------------------------------|-----------------------------|
| a. In addition to the requirements of Section 1, does the filing comply with Article 54 of the Insurance Law? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
|---|------------------------------|-----------------------------|

NOTE: All citations in Brackets are to the applicable sections of Article 31, 34 and 54 and of the Insurance Law.

