

NEW YORK STATE DEPARTMENT OF
FINANCIAL SERVICES - PROPERTY BUREAU

**MASTER LIST OF REVIEW STANDARDS CHECKLISTS
AND COMPLIANCE QUESTIONNAIRES**

When completing review standards checklists and compliance questionnaires, please ensure that you are using the latest edition of that checklist and questionnaire. The latest versions of the review standards checklists, compliance questionnaires, and additional filing instructions, including instructions on the Speed to Market procedure, are available at:

https://www.dfs.ny.gov/apps_and_licensing/property_insurers/rate_form_filings

1. **Name of Insurer(s):**
2. **Insurer File No.:**
3. **Was this filing, or a similar filing on the same subject, submitted previously by your company or group affiliate for the Department's review?**
 No
 Yes (Please provide the following additional information)

Previous Insurer File No.
Previous Department File No.
Previously submitted on a Speed to Market basis?
 Yes No
4. **Total No. of Review Standards Checklists and Compliance Questionnaires Submitted:** _____
5. **If the filing contains forms, have you submitted a Policy Form Compliance Certification?** Yes No
6. **If the filing contains rates/rating plan(s), have you submitted a Rate and/or Rating Plan Compliance Certification?** Yes No

INSTRUCTIONS

- This form is **mandatory** for, and should only be used with, filings submitted on a **Speed to Market** basis.
- For form filings, an **applicable** set of review standards checklists should be submitted for each coverage part included in the filing. An **applicable** set of compliance questionnaires may be required if the contents of the filing refers or should refer to a specific requirement standard listed in the review standards checklists.
- For rate filings, a completed Rate Filing Sequence Checklist must be submitted. Rate filings for Personal Automobile, Public Automobile, Workers Compensation and Physicians' & Surgeons' Medical Malpractice cannot be submitted on a Speed to Market basis.
- Complete items 1, 2, 3, 5 and 6.
- In the first column below, check the appropriate review standards checklist included with this filing.
- In the third column below, check the appropriate compliance questionnaires and checklists.
- For paper files, once this form has been appropriately completed, place it **on top** of the filing to facilitate processing of the filing on a Speed to Market basis.

| REVIEW STANDARD CHECKLISTS | COMPLIANCE QUESTIONNAIRE | ATTACHED |
|---|---|--|
| Aircraft Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Boiler & Machinery Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Commercial Automobile Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Auto Declarations Page Form Filing Compliance Questionnaire (08/18) Commercial Auto Liability and Physical Damage Coverages Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Commercial Inland Marine Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Commercial Liability Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Claims Made Policies Form Filing Compliance Questionnaire (08/18) Defense-Within-Limits Form Filing Compliance Questionnaire (08/18) Legal Services Insurance Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Commercial Multi-Peril Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Claims Made Policies Form Filing Compliance Questionnaire (08/18) Defense-Within-Limits Form Filing Compliance Questionnaire (08/18) Standard Fire Policy Form Filing Compliance Questionnaire (NYIL §3404) (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Commercial Property Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Standard Fire Policy Form Filing Compliance Questionnaire (NYIL §3404) (08/18) Forced Fire Insurance Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Credit Card, Debit Card or Checking Account Group Policies Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Credit Card, Debit Card or Checking Account Group Policies Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Credit Property Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Forced Fire Insurance Filing Compliance Questionnaire (08/18) <i>(applicable only to filings for TOI 28.2001 Creditor-Placed Home)</i> Credit Property Insurance Form Filing Compliance Questionnaire (08/18) Standard Fire Policy Form Filing Compliance Questionnaire (NYIL §3404) (08/18) <i>(applicable only to filings for TOI 28.2001 Creditor-Placed Home)</i> Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Crime(Burglary & Theft) Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |

| REVIEW STANDARD CHECKLISTS | COMPLIANCE QUESTIONNAIRE | ATTACHED |
|--|--|--|
| Directors & Officers Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Claims Made Policies Form Filing Compliance Questionnaire (08/18) Defense-Within-Limits Form Filing Compliance Questionnaire (08/18) Legal Services Insurance Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Excess (Commercial) Umbrella /Liability Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Claims Made Policies Form Filing Compliance Questionnaire (08/18) Defense-Within-Limits Form Filing Compliance Questionnaire (08/18) Legal Services Insurance Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Excess Workers' Compensation Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Excess Workers' Compensation Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Fidelity Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Financial Guaranty Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Financial Guaranty Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Homeowners Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Personal Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Personal Liability and Umbrella Insurance Form Filing Compliance Questionnaire (08/18) Forced Fire Insurance Filing Compliance Questionnaire (08/18) Personal Lines (other than auto) Cancellation and Nonrenewal Form Filing Compliance Questionnaire (NYIL §3425 (08/18)) Standard Fire Policy Form Filing Compliance Questionnaire (NYIL §3404) (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Medical Malpractice Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Claims Made Policies Form Filing Compliance Questionnaire (08/18) Defense-Within-Limits Form Filing Compliance Questionnaire (08/18) Legal Services Insurance Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Mortgage Guaranty Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Mortgage Guaranty Form and Supplemental Rate Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Personal Inland Marine Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Personal Lines Property Insurance Form Filing Compliance Questionnaire (08/18) Personal Lines (other than auto) Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Personal Liability and Umbrella Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Personal Liability and Umbrella Insurance Form Filing Compliance Questionnaire (08/18) Personal Lines (other than auto) Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Legal Services Insurance Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Private Passenger Automobile Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Personal Auto Liability and Physical Damage Coverage Form Filing Compliance Questionnaire (08/18) Personal Auto Declarations Page Form Filing Compliance Questionnaire (08/18) Personal Auto Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Personal Auto Multi-Tier Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |

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|---|---|--|
| Products Liability Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Claims Made Policies Form Filing Compliance Questionnaire (08/18) Defense-Within-Limits Form Filing Compliance Questionnaire (08/18) Legal Services Insurance Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Professional Liability and Errors & Omissions Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire (08/18) Claims Made Policies Form Filing Compliance Questionnaire (08/18) Defense-Within-Limits Form Filing Compliance Questionnaire (08/18) Legal Services Insurance Form Filing Compliance Questionnaire (08/18) Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Surety Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Rate Filing Sequence Checklist (9/2020) | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Workers' Compensation Review Standards Checklist (09/2020) YES <input type="checkbox"/> NO <input type="checkbox"/> | Commercial Liability Insurance Form Filing Compliance Questionnaire (08/18) Workers' Compensation Managed Care Premium Credit Programs Filing Compliance Questionnaire (08/18) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |
| Miscellaneous Forms YES <input type="checkbox"/> NO <input type="checkbox"/> | Gap Insurance Filing Compliance Questionnaire GAP (08/18) Product or System Group Policies Filing Compliance Questionnaire (Regulation 167) (08/18) Supplementary Form Information (08/18) Supplementary Rating Information (08/18) | YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> |

COMMENTS: