

**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: <http://www.dfs.ny.gov/is-file.htm>

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.
- 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 AIR (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Lines Property Insurance Form Filing Compliance Questionnaire CLP (3/03) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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 B&M (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Lines Property Insurance Form Filing Compliance Questionnaire CLP (3/03) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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 CA (9/10) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Auto Declarations Page Form Filing Compliance Questionnaire CAPD (10/09) Commercial Auto Liability and Physical Damage Coverages Form Filing Compliance Questionnaire CALPD (10/09) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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"/>

REVIEW STANDARD CHECKLISTS	COMPLIANCE QUESTIONNAIRE	ATTACHED
Commercial Inland Marine Review Standards Checklist CIM (08/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Lines Property Insurance Form Filing Compliance Questionnaire CLP (3/03) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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 CL (10/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Claims Made Policies Form Filing Compliance Questionnaire CLMADE (3/03) Defense-Within-Limits Form Filing Compliance Questionnaire DWL (3/03) Legal Services Insurance Form Filing Compliance Questionnaire LEGAL (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Commercial Multi-Peril Review Standards Checklist CMP (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Commercial Lines Property Insurance Form Filing Compliance Questionnaire CLP (3/03) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Claims Made Policies Form Filing Compliance Questionnaire CLMADE (3/03) Defense-Within-Limits Form Filing Compliance Questionnaire DWL (3/03) Standard Fire Policy Form Filing Compliance Questionnaire (NYIL §3404) FIRE (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Commercial Property Review Standards Checklist CP (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Lines Property Insurance Form Filing Compliance Questionnaire CLP (3/03) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Standard Fire Policy Form Filing Compliance Questionnaire (NYIL §3404) FIRE (3/03) Forced Fire Insurance Filing Compliance Questionnaire FFIRE (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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 CC (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Lines Property Insurance Form Filing Compliance Questionnaire CLP (3/03) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Credit Card, Debit Card or Checking Account Group Policies Form Filing Compliance Questionnaire CRDCGRP (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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 CrP (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Lines Property Insurance Form Filing Compliance Questionnaire CLP (3/03) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Credit Property Insurance Form Filing Compliance Questionnaire CRDPRP (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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 CR (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Lines Property Insurance Form Filing Compliance Questionnaire CLP (3/03) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Directors & Officers Review Standards Checklist DO (10/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Claims Made Policies Form Filing Compliance Questionnaire CLMADE (3/03) Defense-Within-Limits Form Filing Compliance Questionnaire DWL (3/03) Legal Services Insurance Form Filing Compliance Questionnaire LEGAL (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Excess (Commercial) Umbrella /Liability Review Standards Checklist CU (10/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Claims Made Policies Form Filing Compliance Questionnaire CLMADE (3/03) Defense-Within-Limits Form Filing Compliance Questionnaire DWL (3/03) Legal Services Insurance Form Filing Compliance Questionnaire LEGAL (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Excess Workers' Compensation Review Standards Checklist EWC (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Excess Workers' Compensation Filing Compliance Questionnaire WC-E (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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"/>

REVIEW STANDARD CHECKLISTS	COMPLIANCE QUESTIONNAIRE	ATTACHED
Fidelity Review Standards Checklist FID (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Financial Guaranty Review Standards Checklist FG (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Financial Guaranty Form Filing Compliance Questionnaire FINGUAR (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Homeowners Review Standards Checklist HO (9/10) YES <input type="checkbox"/> NO <input type="checkbox"/>	Personal Lines Property Insurance Form Filing Compliance Questionnaire PLP (3/03) Personal Liability and Umbrella Insurance Form Filing Compliance Questionnaire PLLAU (10/09) Personal Lines (other than auto) Cancellation and Nonrenewal Form Filing Compliance Questionnaire (NYIL §3425 PLCNR (8/00)) Standard Fire Policy Form Filing Compliance Questionnaire (NYIL §3404) FIRE (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Medical Malpractice Review Standards Checklist MM (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Claims Made Policies Form Filing Compliance Questionnaire CLMADE (3/03) Defense-Within-Limits Form Filing Compliance Questionnaire DWL (3/03) Legal Services Insurance Form Filing Compliance Questionnaire LEGAL (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Mortgage Guaranty Review Standards Checklist MG (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Mortgage Guaranty Form and Supplemental Rate Filing Compliance Questionnaire MORTGUAR (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Personal Inland Marine Review Standards Checklist PIM (8/10) YES <input type="checkbox"/> NO <input type="checkbox"/>	Personal Lines Property Insurance Form Filing Compliance Questionnaire PLP (3/03) Personal Lines (other than auto) Cancellation and Nonrenewal Form Filing Compliance Questionnaire PLCNR (4/04) Rate Filing Sequence Checklist NEWRATE (3/09)	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 PLU (10/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Personal Liability and Umbrella Insurance Form Filing Compliance Questionnaire PLLAU (10/09) Personal Lines (other than auto) Cancellation and Nonrenewal Form Filing Compliance Questionnaire PLCNR (4/04) Legal Services Insurance Form Filing Compliance Questionnaire LEGAL (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	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 PA (9/10) YES <input type="checkbox"/> NO <input type="checkbox"/>	Personal Auto Liability and Physical Damage Coverage Form Filing Compliance Questionnaire PALPD (10/09) Personal Auto Declarations Page Form Filing Compliance Questionnaire PADP (10/09) Personal Auto Cancellation and Nonrenewal Form Filing Compliance Questionnaire PACNR (3/03) Personal Auto Multi-Tier Filing Compliance Questionnaire PAMTIER (5/11) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Products Liability Review Standards Checklist PR (10/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Claims Made Policies Form Filing Compliance Questionnaire CLMADE (3/03) Defense-Within-Limits Form Filing Compliance Questionnaire DWL (3/03) Legal Services Insurance Form Filing Compliance Questionnaire LEGAL (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Professional Liability and Errors & Omissions Review Standards Checklist PL (10/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Commercial Lines Cancellation and Nonrenewal Form Filing Compliance Questionnaire CLCNR (3/03) Claims Made Policies Form Filing Compliance Questionnaire CLMADE (3/03) Defense-Within-Limits Form Filing Compliance Questionnaire DWL (3/03) Legal Services Insurance Form Filing Compliance Questionnaire LEGAL (3/03) Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/>
Surety Review Standards Checklist SU (3/09) YES <input type="checkbox"/> NO <input type="checkbox"/>	Rate Filing Sequence Checklist NEWRATE (3/09)	YES <input type="checkbox"/> NO <input type="checkbox"/>

REVIEW STANDARD CHECKLISTS	COMPLIANCE QUESTIONNAIRE	ATTACHED
Workers' Compensation Review Standards Checklist WC (5/11) YES <input type="checkbox"/> NO <input type="checkbox"/>	Commercial Liability Insurance Form Filing Compliance Questionnaire CLL (10/09) Workers' Compensation Managed Care Premium Credit Programs Filing Compliance Questionnaire WC-MCPC (3/03)	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 (3/03) Product or System Group Policies Filing Compliance Questionnaire ( <i>Regulation 167</i> ) PSGRP (3/03) Supplementary Form Information FORMSUPP (8/00) Supplementary Rating Information RATESUPP (8/00)	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: