



Regulatory Electronic Filing System (REFS) USER GUIDE

This page intentionally left blank.

<Version 2.0, January 23, 2013>

Table of Contents

Getting Started Using REFS	4
Using REFS – An Overview	5
Getting Familiar with the Layout of REFS Screens	6
How to Log On to REFS.....	8
Using the Home Page.....	9
Creating a Filing	10
1. Search for a Company.....	10
2. Select a Company	11
3. Accept the Terms and Conditions.....	12
4. Select a Filing Type and Name the Filing	13
5. Input Contact Data	15
6. Verify Filing Information	16
Completing Filing Components.....	17
Using the Filing Workbench.....	17
The Filing Component List.....	18
NAIC Components.....	19
Document Upload Components	19
Interrogatories	21
Adobe LiveCycle Web Forms	21
Completed Filing Component List.....	22
Submissions	24
1. Review Filing Summary	24
2. Agree on the Filing Certification / Attestation Page.....	25
3. Confirm Submission Details	26
Responses and Amendments.....	27
1. Return to the Filing Workbench and Select the Filing	27
2. Select the Filing Component to Amend.....	28
3. Select the Filing Component to Add a Response.....	30
4. Upload a Response.....	30
Re-Submit a Filing.....	32
1. Verify Component Page.....	32
2. Verify Filing Summary Page	33
3. Agree on the Filing Certification / Attestation Page.....	34
4. Confirm Submission	35
Glossary	36

Getting Started Using REFS

What is “REFS”?

Insurance companies writing policies in Florida and other related entities are subject to regulation by the Florida Office of Insurance Regulation (OIR). One aspect of this regulation is that the companies are required to provide the State with information regarding their financial status and other statutorily required information. The OIR has created a computer-based application that will transfer the majority of reporting activities to an electronic format. REFS (Regulatory Electronic Filing System) is the system which will allow companies to electronically submit their financially-related documentation, requests, and other correspondence to the OIR.

How do I find the REFS web site?

Access the OIR web site by entering the following address into your web browser: <http://www.FLOIR.com>. Select the “Company Filing” tab at the top of the page and choose “Industry Portal”. From the Industry Portal home page, select the Regulatory Electronic Filing System (REFS) link, which routes you to the “Welcome to REFS” log on screen.

What is this document?

This User Guide describes REFS’ functionality; it does not address the other skills necessary to satisfy your financial reporting requirements. The REFS User Guide begins with the assumption that you already know how to access and report your company’s data. It shows you how to use the REFS application as an electronic reporting tool. You should be familiar with using typical Microsoft Windows-based applications in an Internet context.

What kind of notifications will I receive from the REFS system?

During your use of REFS, the system sends e-mail to your I-Portal account e-mail address in association with certain events.

- When you create a new filing, an e-mail is sent to verify the details of that filing. The content of the message will include all of the information shown on the “Filing Summary” screen.
- When you submit a filing, an e-mail is sent to verify the details of your submission. The content of the message will include all of the information shown on the “Confirmation of Submission” screen.

What if I don’t understand some of the terminology in this manual?

A glossary of relevant terms is located at the end of this User Guide.

Who do I contact if I have questions regarding my filing?

- You should contact the analyst assigned to your company. The phone numbers for the two (2) financial oversight business areas are:
 - Life & Health Financial Oversight – (850) 413-3153
 - Property & Casualty Financial Oversight – (850) 413-3148

What are the system requirements?

- REFS requires Internet Explorer version 5.5 or higher, Mozilla Firefox, or Google Chrome.
- REFS requires Adobe Acrobat Reader version 7.0.7 or higher.
- The website is viewed at an optimum screen resolution of at least 1024 x 768.

Using REFS – An Overview

REFS is used to create, work on, track, and submit financial filings. There are 14 basic steps to follow in submitting a new filing and nine when working from an existing filing. Follow these steps to successfully submit a filing:

- 1) Log on to the REFS system using the Industry Portal (I-Portal).
- 2) Choose whether to start a new filing or work on an existing filing.
If starting a new filing...
 - a) Search the OIR database to locate the company for which you are creating the new filing.
 - b) Select the company (typically from a list).
 - c) Read and accept the terms and conditions governing electronic filings.
 - d) Select the type of filing you intend to prepare and submit.
 - e) Indicate your contact information for the filing.
 - f) Verify your choices, and assign a Filing Name and password (optional) for the filing.
If resuming work on an existing filing, select the filing on the Filing Workbench.
- 4) Select a component of the filing you wish to complete.
- 5) Attach any files that have been created to satisfy component requirements. (Some components, such as Interrogatories and NAIC components may reach completion through other means.)
- 6) Review and verify the components before submitting to OIR.
- 7) Print the “Filing Summary” page for your records.
- 8) “Attest” to the accuracy of your filing.
- 9) Print the “Confirmation of Submission” page for your records.

In addition to the basic steps listed above, REFS may be used to:

- Amend a filing after it has been submitted; and,
- Respond to the OIR analyst’s request for additional information related to a filing that has already been submitted.

Getting Familiar with the Layout of REFS Screens

This is the log on screen for the REFS system.



If you do not have an I-Portal account, create one by clicking on the “Sign up now” link below the “log in” button. There is also a “click here” link to access if you have forgotten your password. Be aware of any special notifications that may optionally appear as bulletins below the login area.

Creating a New I-Portal Account

In order to log on to REFS, you must have an I-Portal Account. Any active I-Portal account will work. It doesn't have to be an account that was created specifically for the REFS system. If you already have an I-Portal account, skip this step and continue with "How to Log On to REFS," below. To create an I-Portal account, follow this procedure:

Click "Set up an Account" from the list of Common Tasks.

You will be asked to provide, at a minimum, the following information:

- E-Mail Address
- Password
- Name, First and Last
- Phone Number
- Street Address
- City
- State
- Zip/Postal Code
- Country

Click "Register" and follow the instructions from the confirmation screen. You will be asked to reply to a message sent to the e-mail address you entered during the application process. Access the e-mail sent by the system to your account. Click on the hyperlink displayed in the e-mail (it should look similar to this link: "<http://dfsaspsintd01/iframe/account/activate.asp?txtActivationCode=17939>").

You must do this within seven (7) days or the account will be deleted.

If you do not receive an e-mail in your inbox, check your spam or junk mail folder first, and then contact your assigned OIR analyst or the appropriate Financial Oversight Unit.

How to Log On to REFS

Once you have established your I-Portal account, you may log on by entering your User Name and Password. Your User Name is the e-mail address associated with your I-Portal Account. Type these into the appropriate fields and click the “Log in” button.



Refs

IPortal account
User name

Password

Log in

Don't have an IPortal account? [Sign up now](#) Forgot your password? [Click here](#)

Regulatory Electronic Filing System - [Help](#) - [Contact](#)
© 2013 - Florida Office of Insurance Regulation

Using the Home Page

Upon logging in, you will be directed to the REFS Filing Workbench Page.

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Hello, | [Log off](#)

[Workbench](#) [Help](#) [Contact](#)

Filing Workbench. From here you may create or choose a filing.

[Create a filing](#)

Company Name	Authority Category
No items to display	

© 2013 - Florida Office of Insurance Regulation

Creating a Filing

1. Search for a Company

The screenshot shows the REFS (Florida Office of Insurance Regulation) interface. At the top left is the REFS logo. To the right, there is a user greeting 'Hello,' and a 'Log off' link. Below the header are three navigation buttons: 'Workbench', 'Help', and 'Contact'. The main content area is titled 'Create a filing. Use this form to search for and choose a company.' Below this title are three radio buttons for search criteria: 'Anywhere', 'Starts With' (which is selected), and 'Exact Match'. There are five input fields: 'Company Name', 'NAIC Comp. Code', 'NAIC Group Code', 'Company FEIN', and 'FL Comp. Code'. At the bottom of the form are three buttons: 'Cancel', 'Clear', and 'Search'. A copyright notice '© 2013 - Florida Office of Insurance Regulation' is visible at the bottom left of the form area.

To begin a new filing, click on the “Create a filing” button on your workbench. You will then be prompted to locate the company for which you are filing.. All companies regulated by the OIR are listed in the REFS database.

You can find your company by searching in several different ways. You may search using any combination of:

- Company Name
- NAIC Company Code (entire number required for match)
- FEIN (numbers only; entire number required for match)
- Florida Company Code (entire number required for match)
- NAIC Group Code (entire number required for match)

A note on the Anywhere, Starts With, and Exact Match criteria:

- **Anywhere** – Search for criteria using a sequence of letters or numbers that appear *anywhere* in the desired search results (e.g., “state” in Allstate).
- **Starts With** - Search for criteria using a sequence of letters or numbers that appear at the *beginning of* the desired search results (e.g., “all” in Allstate).
- **Exact Match** - Search for criteria using a sequence of letters or numbers that exactly match your search result (e.g., Allstate Insurance Company).

To Search for an existing filing:

1. Enter search criteria.
2. Click “Search.” The results of the search will be displayed on the subsequent page.

2. Select a Company

Refs
FLORIDA OFFICE OF INSURANCE REGULATION

Hello, | Log off

Workbench Help Contact

Create a filing. Use this form to search for and choose a company.

Anywhere
 Starts With
 Exact Match

Company Name

NAIC Comp. Code

NAIC Group Code

Company FEIN

FL Comp. Code

Cancel Clear Search

Company Name	Authority Category	NAIC Company Code	Florida Company Code	Authority Status
ALLSTATE ASSURANCE COMPANY	LIFE AND HEALTH INSURER	70866	05488	ACTIVE
ALLSTATE FIRE AND CASUALTY INSURANCE COMPANY	PROPERTY AND CASUALTY INSURER	29688	09388	ACTIVE
ALLSTATE INDEMNITY COMPANY	PROPERTY AND CASUALTY INSURER	19240	09019	ACTIVE
ALLSTATE INSURANCE COMPANY	PROPERTY AND CASUALTY INSURER	19232	09020	ACTIVE
ALLSTATE LIFE INSURANCE COMPANY	LIFE AND HEALTH INSURER	60186	05037	ACTIVE

1 - 5 of 7 items

© 2013 - Florida Office of Insurance Regulation

The list of results from your search will be displayed on the “Select a Company” page. If you searched using a partial name or an NAIC Group Code, a list of matches will appear. Select the company you are seeking from this list. .

If your company has dual authority categories or statuses shown, it is important that you select the correct company.

To select a company:

Click the desired Company Name in the list of search results.

To return to the Search for a Company Page with your previous criteria preserved:

Click “Search Again”.

To return to the Home page and abandon your search:

Click “Cancel”.

To reset your selection:

Click “Clear”.

3. Accept the Terms and Conditions

The screenshot shows the 'Create a filing' page on the REFS system. At the top, there is a navigation bar with 'Workbench', 'Help', and 'Contact' buttons. Below the navigation bar, the page title is 'Create a filing. Please review the following terms and conditions.' The company information is displayed as follows:

Company Name:	ALLSTATE INSURANCE COMPANY	NAIC Group Code:	0008
NAIC Company Code:	19232	FEIN:	360719665
Florida Company Code:	09020		

The main content area is titled 'Terms and Conditions' and includes the following sections:

- TERMS OF USE:** This program is provided for your convenience. Use of REFS for the purpose of filing financial statements and related documentation constitutes the agreement by the user to the following terms and conditions.
 - Annual and Quarterly Statement filing fees must be remitted in accordance with instructions provided in the filings checklist on the Office of Insurance Regulation's (Office) website.
 - Premium tax payments must be remitted directly to the appropriate state agency in accordance with instructions provided on the Office's Website as applicable.
 - Certain materials submitted to the Office may be subject to the public records laws of Florida.
 - The Office reserves the right to require additional information or documentation to be submitted by the company.
 - Pursuant to Florida law, companies will be fined for late filings. The company's license may be suspended if filings are not received timely.
 - Companies must file amended items within 10 days of the amendment, along with an explanation of the amendments. If there are signature requirements for the original filing, those requirements should also be followed for any and all amendments. For NAIC filers, see the NAIC Annual Statement Instructions for guidance on amended statement filings. This requirement also applies to any other documents that are required to be reviewed and/or approved by the Office (i.e., agreements, financial documents, reinsurance).
- NO WARRANTIES:** The Office makes no representations, covenants or warranties, of any kind, either express or implied, with respect to REFS, including but not limited to, warranties of condition, quality, durability, suitability, merchantability or fitness for a particular purpose, or with respect to any warranty arising by statute or otherwise in law or from a course of dealing or usage of trade. The Office shall not be liable to anyone for any loss or damage, however caused, resulting from use of REFS. The company agrees to indemnify and hold the Office harmless from and against any loss, damage, claim, suit or expense, including reasonable attorneys' fees, arising out of or relating to the use of REFS, improper or otherwise, by company.
- GENERAL:** This agreement shall be construed and enforced in accordance with the laws of the State of Florida. This agreement contains the entire agreement of the parties and may be changed or modified, at the Office's sole discretion, the Office shall add or remove any terms or conditions of these Terms of Use without notice or liability. Any changes to these Terms of Use shall be effective immediately following the posting of such changes on this website.

At the bottom of the page, there are two buttons: 'Do Not Accept' and 'Accept'. The footer indicates '© 2013 - Florida Office of Insurance Regulation'.

After selecting a company, you will be prompted to review the Terms and Conditions under which companies file electronically. If you do not accept the Terms and Conditions, an electronic filing will not be created. Contact the appropriate OIR business unit if you have any questions regarding the Terms and Conditions.

To continue with the filing creation process:

Click "Accept".

To return to the Home page and abandon the filing creation process:

Click "Do Not Accept".

4. Select a Filing Type and Name the Filing

The screenshot shows the REFS web application interface. At the top left is the logo for the Florida Office of Insurance Regulation (REFS). The main heading is "Create a filing. Please select a filing type to create." Below this, company details are listed: Company Name: ALLSTATE INSURANCE COMPANY, NAIC Company Code: 19232, NAIC Group Code: 0008, Florida Company Code: 09020, and FEIN: 360719665. The "Specify Filing Details" section includes a message: "We do not currently have any filings for your company. You may create a Periodic Filing by entering an As of Date below." The "As of Date" field is set to "Dec 31, 2012". A prompt asks the user to "Please assign a name for this filing. The name must be unique across any filings for this company in your Filing Workbench." The "Filing Name" field contains "periodic". At the bottom of the form are three buttons: "Cancel", "Back", and "Next".

Clicking on the “Accept” button displays the “Specify Filing Details” page. This page allows you to choose the type of filing you want to create.

Note:

- Periodic filings are always available and may be created at any time.
- Monthly, Quarterly, and Annual filing options will be available only within the proper filing timeframe. For example, Annual filings will be available for creation beginning the second business day after 12/31 or Fiscal Year End (FYE).

To select a filing type:

1. Select the filing type by clicking the radio button next to the desired filing type.
2. If you selected “Periodic,” enter an “As-Of Date” in the appropriate format; Otherwise skip to step 3.
3. Please enter a filing name. This name is for your benefit and the OIR does not have access to this name.
4. Click “Next”.

You must provide a Filing Name unique to your Workbench in order to proceed with the creation of the filing.

Please note that only the Originator, the person who creates the filing, may submit a filing.

To return to the Terms and Conditions page:

Click “Back”.

To return to the Home page and cancel the filing creation process:

Click “Cancel”.

To reset your selection:

Click "Clear".

** The Office recommends creating the filing as soon as reasonably possible. Once a filing type for a company is selected and a filing is created, this filing type will not be available to another user.

5. Input Contact Data

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Workbench Help Contact

Create a filing. Enter your contact information here.

Filing Contact Information

Company Name: ALLSTATE INSURANCE COMPANY
 NAIC Company Code: 19232 NAIC Group Code: 0008
 Florida Company Code: 09020 FEIN: 360719665

Please provide the filing contact information. If you would like to use your IPORTAL account information, [click here](#). To use contact information from a previously submitted filing, [click here](#).

Contact Name

Professional Designation

Organization

*Contact Email

Street Address

AddressDelivery2

P.O. Box

City

State

Zip Code -

Country United States

Province

Non U.S. Postal Code

Phone Number Ext.

Fax Number Ext.

Toll Free Number Ext.

Cancel Clear Back Next

© 2013 - Florida Office of Insurance Regulation

Filing Contact Information should be provided for the person the OIR should contact if questions arise about the information contained in the filing. This may or may not be a user working to complete or submit the filing.

There are three (3) ways to complete the Filing Contact Information Screen:

1. Copy the information from your I-Portal account by clicking the first click here in the paragraph above the boxes.
2. Copy the information from a previous filing by clicking the second click here link in the paragraph above the boxes. Please note that the “Copy From Previous Filing” option will not be available on the first filing being created for this company.
3. Directly key the information. If using this option, navigate between fields by clicking with your mouse or by using the <TAB> key to advance one field and the <SHIFT-TAB> key combination to go back one field.

Fields marked with a red asterisk * are required for submission of a filing.

The “Clear” button will reset the data.

When finished entering the contact information, click the “Next” button to proceed.

6. Verify Filing Information

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Hello, | Log off

[Workbench](#) [Help](#) [Contact](#)

Create a filing. Verify your filing information here.

Please verify that the options identified below are correct for the type of filing you are submitting to the Office for review. If you have any questions regarding the appropriateness of your choices indicated below, please contact the appropriate business area for your company (see below for contact information) before continuing. Please refer to the Filing Checklist provided by the Office for additional information regarding the documents to be submitted.

Filing Information:

Originator:	
Company Name:	ALLSTATE INSURANCE COMPANY
NAIC Company Code:	19232
NAIC Group Code::	0008
FEIN:	360719665
Florida Company Code:	09020
Authority Category:	PROPERTY AND CASUALTY INSURER
Filing Type:	Periodic
Filing Name:	periodic
Filing Period:	2012P1231
As of Date:	Dec 31, 2012

[Cancel](#) [Back](#) [Create Filing](#)

Property & Casualty Financial Oversight (850) 413-3148
Life & Health Financial Oversight (850) 413-3153

© 2013 - Florida Office of Insurance Regulation

Verify the information listed on your screen and click the “Create Filing” button.

This will take you directly to the filing component listing.

You will receive a confirmation email that you have created a filing.

Completing Filing Components

Using the Filing Workbench

Filing Workbench. From here you may create or choose a filing.

Create a filing

Company Name		Authority Category		
ALLSTATE INSURANCE COMPANY		PROPERTY AND CASUALTY INSURER		
Filing ID	Due Date	Filing Period	Filing Name	Filing Status
F12-000162542		2012P1231	periodic	Draft

1 - 1 of 1 items

© 2013 - Florida Office of Insurance Regulation

After you have created a filing, you will be able to access the Filing Workbench. All of the filings you have created and are currently working on, as well as those filings already submitted to the OIR, will be stored in the Filing Workbench.

By default, the Filing Workbench will automatically display the filing you most recently worked on or created. Basic company information, including the Company Name, Authority Category, etc., is displayed for each company in which you have filings.

If you have multiple filings with one company and authority category, they will appear as line items in the same table. Note that each line item within the table can be sorted using the table's header information (e.g., Filing ID, Filing Type, etc.). For definitions of the column headers, refer to the glossary at the end.

1. Select a Company:

Click on the arrow next to the company name. This will bring up all the filings for the company.

2. Access the Component List for a Particular Filing:

Click the Filing ID. The Filing Component List for this filing will be displayed.

The Filing Component List

REFS
Florida Office of Insurance Regulation

Workbench Help Contact

Filing Component List. Work on a filing.

Company Name: ALLSTATE INSURANCE COMPANY
 NAIC Company Code: 19232 NAIC Group Code: 0008
 Florida Company Code: 09020 FEIN: 360719665
 Filing ID: F12-000162542 Filing Name: periodic

Component	Last Updated Date	Status	Is Amended?
Company Contact Information	Jan 22, 2013	Ready for Submission	No
Reinsurance Summary Statement	Jan 22, 2013	Optional	No
Holding Company Registration Statement	Jan 22, 2013	Optional	No
Request for Exemption to File Audited Financial Statements	Jan 22, 2013	Optional	No
Request to File Consolidated Audited Financial Statements	Jan 22, 2013	Optional	No
Request for Exemption to File Statement of Actuarial Opinion	Jan 22, 2013	Optional	No
Independent CPA/Awareness Letter	Jan 22, 2013	Optional	No
Corrective Action Plan/Risk-Based Capital Plan	Jan 22, 2013	Optional	No
Reinsurance Cover Notes/Agreements	Jan 22, 2013	Optional	No
Premium Growth Report	Jan 22, 2013	Optional	No
Disclosure of Material Transactions	Jan 22, 2013	Optional	No
Plan of Operation	Jan 22, 2013	Optional	No
Exam Report OIR Financial	Jan 22, 2013	Optional	No
Exam Report OIR Market Inv	Jan 22, 2013	Optional	No
Exam Report Other	Jan 22, 2013	Optional	No
Dividend Request	Jan 22, 2013	Optional	No
Custodial Agreement	Jan 22, 2013	Optional	No
Investment Management Agreement	Jan 22, 2013	Optional	No
Managing General Agent Agreement	Jan 22, 2013	Optional	No
Other Agreement	Jan 22, 2013	Optional	No
Miscellaneous Documentation	Jan 22, 2013	Optional	No

Delete Filing Begin Submission Process

© 2013 - Florida Office of Insurance Regulation

Components are the individual elements that make up an individual filing (e.g., contact information, jurat pages, etc.). The Filing Component List shown above is for a Property & Casualty insurer. Each Filing Component List is unique based on a combination of authority category, business area, and origin (domestic, foreign, or alien).

There are five (5) component types that may appear in the component list:

1. Contact Information
2. NAIC
3. Document Upload
4. Interrogatories
5. Adobe LiveCycle Web Form

Each component type is discussed in detail on the following pages.

To View a Component Detail Screen:

Click the arrow next to each component name in the component list located in the left-hand column.

NAIC Components

This component is available to access documents for review, but no other action is required.

- NAIC Components are only found on filings associated with the Property & Casualty and Life & Health business areas. Only those authority categories that file with the NAIC will have this type of component.
- The status of an NAIC component can be either “Pending from NAIC” or “Received from NAIC.”
 - “Pending from NAIC” means that the NAIC has not yet provided documentation related to the selected component. It will not be possible to submit a filing containing a component with a status of Pending from the NAIC unless the Due Date is after the Filing Due Date.
 - “Received from NAIC” means that NAIC documents related to the selected component have been downloaded from the NAIC and are available for review and submission. If you submit a filing containing an NAIC component that has a Component Due Date after the Filing Due Date, REFS will continue to monitor the NAIC for documents related to that component. When all the components have been received and the status of the component changes to “Received from NAIC,” you will need to resubmit your filing.

Note: Due to the limited processing by the NAIC, it is recommended that companies file their electronic data with the NAIC **at least one (1) day prior to the due date.**

To view an NAIC document in its original format: Click the document’s name.

Note: The screen above shows documents associated with a Received NAIC component. If the status of the NAIC component is **Pending**, no documents would display.

Note: Documents are available for 30 days after the filing has been submitted.

Document Upload Components

The screenshot displays the 'Filing Component List' for 'ALLSTATE INSURANCE COMPANY'. The table below lists various components and their details.

Component	Last Updated Date	Status	Is Amended?
Company Contact Information	Jan 22, 2013	Ready for Submission	No
Reinsurance Summary Statement	Jan 22, 2013	Optional	No
Select the file you wish to include with this filing component. To choose a file, click Browse. Navigate to the location of the file on your computer, and click Open. The document will upload automatically and then you may customize the name of the document by simply clicking on the document title and changing its title.			
Browse...			
Holding Company Registration Statement	Jan 22, 2013	Optional	No
Request for Exemption to File Audited Financial Statements	Jan 22, 2013	Optional	No
Request to File Consolidated Audited Financial Statements	Jan 22, 2013	Optional	No
Request for Exemption to File Statement of Actuarial Opinion	Jan 22, 2013	Optional	No
Independent CPA/Awareness Letter	Jan 22, 2013	Optional	No
Corrective Action Plan/Risk-Based Capital Plan	Jan 22, 2013	Optional	No
Reinsurance Cover Notes/Agreements	Jan 22, 2013	Optional	No
Premium Growth Report	Jan 22, 2013	Optional	No
Disclosure of Material Transactions	Jan 22, 2013	Optional	No
Plan of Operation	Jan 22, 2013	Optional	No
Exam Report OIR Financial	Jan 22, 2013	Optional	No
Exam Report OIR Market Inv	Jan 22, 2013	Optional	No
Exam Report Other	Jan 22, 2013	Optional	No
Dividend Request	Jan 22, 2013	Optional	No
Custodial Agreement	Jan 22, 2013	Optional	No
Investment Management Agreement	Jan 22, 2013	Optional	No
Managing General Agent Agreement	Jan 22, 2013	Optional	No
Other Agreement	Jan 22, 2013	Optional	No
Miscellaneous Documentation	Jan 22, 2013	Optional	No

- Document Upload components are found on filings associated with all business areas.
- The status of a required Document Upload component is either “Incomplete” or “Ready for Submission”.
- The status of an optional Document Upload component is either “optional” or “Ready for Submission”.
- File Types allowed for document upload are: **PDF, DOC, DOCX, TXT, RTF, XLS and XLSX.**
- Documents are allowed a maximum file size limit between **1K and 10 MB.**

To Upload a Document:

- 1 Click “Browse,” and select the file you wish to upload. Users of newer browsers such as Mozilla Firefox, Google Chrome or Internet Explorer 10 may also drag and drop the file(s) on to the component to initiate an upload.
- 2 The document appears in the List of Documents Uploaded.

To Rename a Document:

- 1 Click on the name of the document. The document name will become a text box that will allow you to edit the document name.
- 2 To save the new document name, either press the “Tab” key on your keyboard or click outside of the text box with your mouse.

To View a Document:

Click on a document name to view the document in its original format.

To Delete an uploaded document:

- 1 You can only delete documents that have not yet been submitted (no information listed in the “submitted date” column.)
- 2 Click on the “Delete” button next to the document you wish to delete.

To proceed to the next component, click on the arrow by the component name and follow the above instructions.

Interrogatories

Some entities will be required to fill out Interrogatories, which are a series of questions that may trigger the creation of new components, require a free form text response, or both. Clicking on a component labeled Interrogatories will display an Interrogatories page.

- The status of an Interrogatories component is either “Incomplete” or “Ready for Submission.” Interrogatories are considered incomplete until all questions have been addressed and the list of Interrogatories is saved.
- CAUTION: A list of Interrogatories cannot be edited after it has been saved.

To Complete an Interrogatories Component:

- 1 Respond to each question in the format displayed. This format could be either Yes, No, N/A, or a free form text field, which will allow you to provide a short response to the question. A response is required for all text fields in order to save the information.
- 2 Additional free form text responses may appear in the list of Interrogatories as a result of your answer to a particular question. Again, a response is required in all text fields in order to save the information.
- 3 Click “Save” to save responses to the Interrogatories. Note that additional components may have been added based on the answer to a particular question. Once the Interrogatories list is saved, the status of the Interrogatories will become “Ready for Submission”. You will not be able to edit the Interrogatories component after it has been submitted.

Adobe LiveCycle Web Forms

The screenshot shows a web browser window with the address bar displaying 'http://158.229.200.81/pdfform/DIR-A3-492.pdf'. The form content includes:

- Company Name: My HWA Company
- Period Ending: June 30, 2006
- STATEMENT**
- Instruction: "You can notarize this form electronically by entering the Notary Public, Commission Number and Expiration Date on the form prior to submitting QR if you choose not to notarize electronically then print this page, complete and notarize, and mail it separately to the Office of Insurance Regulation."
- Form fields:
 - Company Name: My HWA Company
 - Company FEIN: 12-3456789
 - Florida Company Code: 70123
 - State and Date of Incorporation/Organization: (State/Prov): _____ (Date): _____
 - Date Licensed by the Office of Insurance Regulation: _____ (Date): _____
 - Date Commenced Business: _____ (Date): _____
 - Address of Home Office:
 - Street: _____
 - City: _____ State/Prov: _____ Zip/Postal Code: _____
 - Phone: _____ Ext: _____ Fax: _____

Adobe LiveCycle Web Form components are only found on filings associated with certain authority categories¹. To access an Adobe LiveCycle Web Form, select it from the component list.

- The status of a *required* Adobe LiveCycle Web Form component is either “Incomplete” or “Ready for Submission”. The status of a required form must be complete for the filing to be submitted, unless the component due date is after the filing due date.

¹ Residual Markets, Multiple Employee Welfare Arrangement, Prepaid Health Clinics, Prepaid Limited Health Service Organizations.

- The status of an *optional* Adobe LiveCycle Web Form component is either (empty) “-- ----” (means that the optional form is not present) or “Included”.

To complete an Adobe LiveCycle Web Form:

- 1 Click the link that opens the Adobe LiveCycle Web Form in Adobe Reader. (Adobe Reader Version 7.0.7 or higher is required).
- 2 Complete all required fields. Note that calculations and validations occur automatically within Adobe LiveCycle Web Forms.
- 3 Scroll to the last page of the form. To return to work on the form later, click the “Save, Finish Later” button to return to work on the form later. To submit data, click the “Submit Final” button. If you click “Submit Final”, the data within the form will automatically be validated according to business rules established within the form. If you click “Save, Finish Later” the form will save your changes and repopulate itself with your data upon your return.

Please note:

- After you click on “Submit Final” the form cannot be edited.
- Adobe Reader 7.0.7 or higher is required to use Adobe LiveCycle Web Forms.
- Any validation that returns an error will provide a message about the allowed information for that field.
- You must save or submit Adobe LiveCycle Web Form data prior to the expiration date listed at the top of the form or you will lose the information entered.
- Adobe LiveCycle Web Forms cannot be downloaded or saved to your desktop. These forms *must* be completed on-line.
- If another user attempts to edit a web form component that is already open on another user’s machine, the second user will receive a warning. If the second user proceeds to access the form, the existing user’s data will be lost.

Completed Filing Component List

Refs
FLORIDA OFFICE OF INSURANCE REGULATION

Workbench Help Contact

Filing Component List: Work on a filing.

Company Name: ALLSTATE INSURANCE COMPANY
 NAIC Company Code: 19232 NAIC Group Code: 0008
 Florida Company Code: 09020 FEIN: 360719665
 Filing ID: F12-000162542 Filing Name: periodic

Component	Last Updated Date	Status	Is Amended?
Company Contact Information	Jan 22, 2013	Ready for Submission	No
Reinsurance Summary Statement	Jan 23, 2013	Ready for Submission	No
Holding Company Registration Statement	Jan 22, 2013	Optional	No
Request for Exemption to File Audited Financial Statements	Jan 22, 2013	Optional	No
Request to File Consolidated Audited Financial Statements	Jan 22, 2013	Optional	No
Request for Exemption to File Statement of Actuarial Opinion	Jan 22, 2013	Optional	No
Independent CPA/Awareness Letter	Jan 22, 2013	Optional	No
Corrective Action Plan/Risk-Based Capital Plan	Jan 22, 2013	Optional	No
Reinsurance Cover Notes/Agreements	Jan 22, 2013	Optional	No
Premium Growth Report	Jan 22, 2013	Optional	No
Disclosure of Material Transactions	Jan 22, 2013	Optional	No
Plan of Operation	Jan 22, 2013	Optional	No
Exam Report OIR Financial	Jan 22, 2013	Optional	No
Exam Report OIR Market Inv	Jan 22, 2013	Optional	No
Exam Report Other	Jan 22, 2013	Optional	No
Dividend Request	Jan 22, 2013	Optional	No
Custodial Agreement	Jan 22, 2013	Optional	No
Investment Management Agreement	Jan 22, 2013	Optional	No
Managing General Agent Agreement	Jan 22, 2013	Optional	No
Other Agreement	Jan 22, 2013	Optional	No
Miscellaneous Documentation	Jan 22, 2013	Optional	No

Delete Filing Begin Submission Process

© 2013 - Florida Office of Insurance Regulation

In order to submit a filing to the OIR, each *required* filing component must have a status of either “Ready for Submission” or “Received from NAIC.” However, there is one exception to this rule: if a component’s Due Date is after the Filing Due Date, the component’s status may be “Incomplete” or “Pending from NAIC” at the time of submission. The Next button will be enabled only after all components meet the criteria required for submission.

The status of optional components, those with “optional” or “ready for submission” in the status column, does not restrict the user’s ability to submit a filing.

After you have verified that all information is accurate and completed in full, click the “Begin Submission Process” button to proceed with the submission of your filing.

Submissions

1. Review Filing Summary

Refs
FLORIDA OFFICE OF INSURANCE REGULATION

Submit a filing. Review the following information for errors.
Please review the following information for errors. If the information is correct, then click "Next" to proceed.

Filing Id: F12-000162542
Company Name: ALLSTATE INSURANCE COMPANY
NAIC Company Code: 19232
FEIN: 360719665
Florida Company Code: 09020
Authority Category: PROPERTY AND CASUALTY INSURER
Filing Type: Periodic
Filing Name: periodic
Date Created: Jan 22, 2013
Filing Period: 2012P1231
As of Date: Dec 31, 2012

Filing Contact Information
Name:
Title:
Department:
Email:
Address:
Phone:
Fax:
Toll Free:

Document Name	Component	Amended	Date Submitted
Reinsurance Summary Statement	Reinsurance Summary Statement	NO	

Return to Component List Next

© 2013 - Florida Office of Insurance Regulation

Clicking the “Begin Submission Process” button will display the Filing Summary page shown above. This page presents a summary of the filing’s demographic information (e.g., Company Name, FEIN, etc.), the filing originator information (e.g., contact name, title), and the filing contact information (e.g., contact name, title). It also displays all documents that will be submitted, and the name of the component associated with each document. Notice that filing components not yet submitted will have an Amended Status of “No” and will not have a Date Submitted.

To begin the submission process:

1. Review the Filing Information.
2. Print a copy of this screen for your records.
3. Click “Next” to continue.

To change the component information being displayed on this page, click on the “Return to Component List” button. Make the necessary corrections or modifications to the filing.

2. Agree on the Filing Certification / Attestation Page

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Hello, | Log off

Workbench Help Contact

Submit a filing. Agree or Disagree to the following.

Filing Certification/Attestation

Company Name:	ALLSTATE INSURANCE COMPANY		
NAIC Company Code:	19232	NAIC Group Code:	0008
Florida Company Code:	09020	FEIN:	360719665
Filing ID:	F12-000162542	Filing Name:	periodic

By clicking "I Agree," you are attesting that:

1. The information contained in this filing is true and accurate.
2. You are duly authorized to submit information on behalf of the company show above; and
3. The Office reserves the right to require additional information and/or documentation.

I Disagree I Agree

© 2013 - Florida Office of Insurance Regulation

Clicking the “Next” button from the Filing Summary page displays the Filing Certification/Attestation page. Carefully read the terms of agreement before proceeding with your submission.

To finalize the submission process:

Click “OK/I Agree” to submit the filing. Note that clicking this button is the final step in sending your filing to the OIR. A confirmation e-mail will be sent to the e-mail address used to create the I-Portal account.

Note:

Clicking “I Disagree” will return you to the Filing Workbench and will effectively cancel the submission. However, all work on the filing will be saved.

3. Confirm Submission Details

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Hello, | Log off

Workbench Help Contact

Filing submitted. You have successfully submitted this filing.

Originator: F12-000162542
Filing Id: F12-000162542
Confirmation Number: 49795
Date Submitted: Jan 23, 2013
Company Name: ALLSTATE INSURANCE COMPANY
NAIC Company Code: 19232
FEIN: 360719665
Florida Company Code: 09020
Authority Category: PROPERTY AND CASUALTY INSURER
Filing Type: Periodic
Filing Name: periodic
Date Created: Jan 22, 2013
Filing Period: 2012P1231
As of Date: Dec 31, 2012

Print this page Return to Workbench

© 2013 - Florida Office of Insurance Regulation

The Confirmation of Submission page is pictured above.

To print this page for your records:

Click “Print This Page”.

To exit the submission process:

Click the “Return to Workbench” button if you need to complete another submission. Otherwise, click the “Log off” button in the upper right-hand corner.

This ends the submission process.

Responses and Amendments

1. Return to the Filing Workbench and Select the Filing

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Hello, | Log off

Workbench Help Contact

Filing Workbench. From here you may create or choose a filing.

Create a filing

Company Name		Authority Category		
ALLSTATE INSURANCE COMPANY		PROPERTY AND CASUALTY INSURER		
Filing ID	Due Date	Filing Period	Filing Name	Filing Status
F12-000162542		2012P1231	periodic	Filed

1 - 1 of 1 items

© 2013 - Florida Office of Insurance Regulation

After a filing has been submitted, you may amend a previously submitted component or add a response component to the filing. The filing status must be either “Filed” or “Filed Incomplete.”

NAIC components may not be amended by a user; however the OIR will receive the amended documents from the NAIC.

A response component should be added to the filing when the company is providing additional information and/or documentation at the request of the OIR.

To make an amendment, select the filing by clicking the filing ID.

2. Select the Filing Component to Amend

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Hello, | Log off

Workbench Help Contact

Filing Component List. Work on a filing.

Company Name: ALLSTATE INSURANCE COMPANY
 NAIC Company Code: 19232 NAIC Group Code: 0008
 Florida Company Code: 09020 FEIN: 360719665
 Filing ID: F12-000162542 Filing Name: periodic

Component	Last Updated Date	Status	Is Amended?
▶ Company Contact Information	Jan 23, 2013	Complete	No
▶ Reinsurance Summary Statement	Jan 23, 2013	Optional	No
▶ Holding Company Registration Statement	Jan 22, 2013	Optional	No
▶ Request for Exemption to File Audited Financial Statements	Jan 22, 2013	Optional	No
▶ Request to File Consolidated Audited Financial Statements	Jan 22, 2013	Optional	No
▶ Request for Exemption to File Statement of Actuarial Opinion	Jan 22, 2013	Optional	No
▶ Independent CPA/Awareness Letter	Jan 22, 2013	Optional	No
▶ Corrective Action Plan/Risk-Based Capital Plan	Jan 22, 2013	Optional	No
▶ Reinsurance Cover Notes/Agreements	Jan 22, 2013	Optional	No
▶ Premium Growth Report	Jan 22, 2013	Optional	No
▶ Disclosure of Material Transactions	Jan 22, 2013	Optional	No
▶ Plan of Operation	Jan 22, 2013	Optional	No
▶ Exam Report OIR Financial	Jan 22, 2013	Optional	No
▶ Exam Report OIR Market Inv	Jan 22, 2013	Optional	No
▶ Exam Report Other	Jan 22, 2013	Optional	No
▶ Dividend Request	Jan 22, 2013	Optional	No
▶ Custodial Agreement	Jan 22, 2013	Optional	No
▶ Investment Management Agreement	Jan 22, 2013	Optional	No
▶ Managing General Agent Agreement	Jan 22, 2013	Optional	No
▶ Other Agreement	Jan 22, 2013	Optional	No
▶ Miscellaneous Documentation	Jan 22, 2013	Optional	No

You may select the Company Contact Information Component, or any Document Upload or Adobe LiveCycle Web Form type of component to amend. You may not amend an Interrogatories component. If you have inadvertently submitted an incorrect Interrogatory response, please provide an explanation by uploading a miscellaneous document.

To amend an NAIC component, file the amendment with the NAIC in a timely manner. The OIR will receive the amended document(s) from the NAIC.

An amended filing may be submitted until any of the following has occurred:

- 1 When amending a Quarterly filing, the appropriate timeframe for submitting the next Quarter's filing has arrived.
- 2 When amending a Quarterly filing, the appropriate timeframe for submitting the end-of-year (Annual) filing has arrived.
- 3 When amending an Annual filing, once the current year's Annual filing has been submitted, only the current and prior years' filings can be amended.

Select a component to amend by clicking the component name.

If you download a Web Form that has already been submitted to make an amendment, a new copy of the form will be attached. This copy will contain the data present on the previously submitted form.

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Company Name: ALLSTATE INSURANCE COMPANY
 NAIC Company Code: 19232 NAIC Group Code: 0008
 Florida Company Code: 09020 FEIN: 360719665
 Filing ID: F12-000162542 Filing Name: periodic

Filing Component List. Work on a filing.

Component	Last Updated Date	Status	Is Amended?
Company Contact Information	Jan 23, 2013	Complete	No
Reinsurance Summary Statement	Jan 23, 2013	Optional	No
Select the file you wish to include with this filing component. To choose a file, click Browse. Navigate to the location of the file on your computer, and click Open. The document will upload automatically and then you may customize the name of the document by simply clicking on the document title and changing its title. <input type="button" value="Browse..."/>			
Document Name	Last Updated Date	Submitted Date	Is Amended?
Reinsurance Summary Statement	Jan 23, 2013	Jan 23, 2013	No <input type="button" value="View"/>
Reinsurance Summary Statement 1	Jan 23, 2013	Jan 23, 2013	No <input type="button" value="View"/>
Holding Company Registration Statement	Jan 22, 2013	Optional	No
Request for Exemption to File Audited Financial Statements	Jan 22, 2013	Optional	No
Request to File Consolidated Audited Financial Statements	Jan 22, 2013	Optional	No
Request for Exemption to File Statement of Actuarial Opinion	Jan 22, 2013	Optional	No
Independent CPA/Awareness Letter	Jan 22, 2013	Optional	No
Corrective Action Plan/Risk-Based Capital Plan	Jan 22, 2013	Optional	No
Reinsurance Cover Notes/Agreements	Jan 22, 2013	Optional	No
Premium Growth Report	Jan 22, 2013	Optional	No
Disclosure of Material Transactions	Jan 22, 2013	Optional	No
Plan of Operation	Jan 22, 2013	Optional	No

You may attach one or multiple amendments to a document upload component of a submitted filing. Repeat the same procedure you used to complete the component for the initial submission.

To Attach a Document Upload Amendment:

- 1 Click "Browse", and select the file you wish to upload.
- 2 For miscellaneous and response documents, the system will automatically name the document as it was saved on your computer. You may change this name by following the above instructions. To change the title, click on the name and type in the title you wish to assign to the document by using the Document Name field.
- 3 The document appears in the List of Documents Uploaded.

To View a Document Upload Amendment:

Click on a Document Name to view an amendment in its original format.

To Delete a Document Upload Amendment:

Check the box next to the Document Name and click the "Delete" button. You may not delete a document or amendment that has been submitted. The check box next to the Document Name in this case will not be enabled.

Note: After submission, the amended status for the component has changed to "YES."

3. Select the Filing Component to Add a Response

Filing Component List. Work on a filing.

Company Name: ALLSTATE INSURANCE COMPANY
 NAIC Company Code: 19232 NAIC Group Code: 0008
 Florida Company Code: 09020 FEIN: 360719665
 Filing ID: F12-000162542 Filing Name: periodic

Component	Last Updated Date	Status	Is Amended?
▶ Company Contact Information	Jan 23, 2013	Complete	No
▶ Reinsurance Summary Statement	Jan 23, 2013	Optional	No
▶ Holding Company Registration Statement	Jan 22, 2013	Optional	No
▶ Request for Exemption to File Audited Financial Statements	Jan 22, 2013	Optional	No
▶ Request to File Consolidated Audited Financial Statements	Jan 22, 2013	Optional	No
▶ Request for Exemption to File Statement of Actuarial Opinion	Jan 22, 2013	Optional	No
▶ Independent CPA/Awareness Letter	Jan 22, 2013	Optional	No
▶ Corrective Action Plan/Risk-Based Capital Plan	Jan 22, 2013	Optional	No
▶ Reinsurance Cover Notes/Agreements	Jan 22, 2013	Optional	No
▶ Premium Growth Report	Jan 22, 2013	Optional	No
▶ Disclosure of Material Transactions	Jan 22, 2013	Optional	No
▶ Plan of Operation	Jan 22, 2013	Optional	No
▶ Exam Report OIR Financial	Jan 22, 2013	Optional	No
▶ Exam Report OIR Market Inv	Jan 22, 2013	Optional	No
▶ Exam Report Other	Jan 22, 2013	Optional	No
▶ Dividend Request	Jan 22, 2013	Optional	No
▶ Custodial Agreement	Jan 22, 2013	Optional	No
▶ Investment Management Agreement	Jan 22, 2013	Optional	No
▶ Managing General Agent Agreement	Jan 22, 2013	Optional	No
▶ Other Agreement	Jan 22, 2013	Optional	No
▶ Miscellaneous Documentation	Jan 22, 2013	Optional	No
▶ Response01			

© 2013 - Florida Office of Insurance Regulation

You may add a response to a submitted filing by clicking the “Add Response” button.

The screenshot above shows the Component List after the “Add Response” button has been clicked. Notice that a new Response component has been added with the name “Response01”. When you upload a document, the name will change to the document name you assigned to it when you saved the document. If you wish to change the name, please click on the document name after you upload it and change it.

Click the “Add Response” button.

4. Upload a Response

Click on the arrow next to the response component. You may attach one or more documents to a Response component. Repeat the same procedure used to complete any Document Upload-type component.

To Attach a Document:

- 1 Click “Browse” and select the file from your computer that you want to upload.
- 2 To change the title, click on the name and type in the title you wish to assign to the document by using the Document Name field. For miscellaneous and response documents, the system will automatically name the document as it was saved on your computer. You may change this name by following the above instructions.
- 3 The document appears in the List of Documents Uploaded.

To View an Uploaded Document:

Click on a Document Name to view a document in its original format.

To Delete an Uploaded Document:

Check the box next to the Document Name and click the “Delete Response” button. You may not delete a document that has been submitted. The check box next to the Document Name in this case will be disabled.

Click “Return to Component List” to return to the Component List.

Filing Component List. Work on a filing.				
Company Name:		ALLSTATE INSURANCE COMPANY		
NAIC Company Code:	19232	NAIC Group Code:	0008	
Florida Company Code:	09020	FEIN:	360719665	
Filing ID:	F12-000162542	Filing Name:	periodic	
Component	Last Updated Date	Status	Is Amended?	
▶ Company Contact Information	Jan 23, 2013	Complete	No	
▶ Reinsurance Summary Statement	Jan 23, 2013	Optional	No	
▶ Holding Company Registration Statement	Jan 22, 2013	Optional	No	
▶ Request for Exemption to File Audited Financial Statements	Jan 22, 2013	Optional	No	
▶ Request to File Consolidated Audited Financial Statements	Jan 22, 2013	Optional	No	
▶ Request for Exemption to File Statement of Actuarial Opinion	Jan 22, 2013	Optional	No	
▶ Independent CPA/Awareness Letter	Jan 22, 2013	Optional	No	
▶ Corrective Action Plan/Risk-Based Capital Plan	Jan 22, 2013	Optional	No	
▶ Reinsurance Cover Notes/Agreements	Jan 22, 2013	Optional	No	
▶ Premium Growth Report	Jan 22, 2013	Optional	No	
▶ Disclosure of Material Transactions	Jan 22, 2013	Optional	No	
▶ Plan of Operation	Jan 22, 2013	Optional	No	
▶ Exam Report OIR Financial	Jan 22, 2013	Optional	No	
▶ Exam Report OIR Market Inv	Jan 22, 2013	Optional	No	
▶ Exam Report Other	Jan 22, 2013	Optional	No	
▶ Dividend Request	Jan 22, 2013	Optional	No	
▶ Custodial Agreement	Jan 22, 2013	Optional	No	
▶ Investment Management Agreement	Jan 22, 2013	Optional	No	
▶ Managing General Agent Agreement	Jan 22, 2013	Optional	No	
▶ Other Agreement	Jan 22, 2013	Optional	No	
▶ Miscellaneous Documentation	Jan 22, 2013	Optional	No	
▶ Response 01	Jan 23, 2013	Ready for Submission	No	

Note that the status of the Response01 component is now complete, since at least one document was uploaded.

Click the “Begin Submission Process” button to display the Verify Component Screen and begin the Resubmission process.

Re-Submit a Filing

1. Verify Component Page

Submit a filing. Choose the components you wish to submit.

Please check the components you wish to submit at this time.

Component Name	Last Updated	Due Date	Is Amended?
<input checked="" type="checkbox"/> Response 01	Jan 23, 2013		No

Return to Component List Next

© 2013 - Florida Office of Insurance Regulation

Use this screen to indicate which added or amended components you are choosing to submit at this time. You may uncheck a component that you do not wish to submit.

Click the “Next” button to proceed or click “Return to Component List” to return that page

2. Verify Filing Summary Page

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Hello. [I Log off](#)

[Workbench](#) [Help](#) [Contact](#)

Submit a filing. Review the following information for errors.
Please review the following information for errors. If the information is correct, then click "Next" to proceed.

Filing Id: F12-000162542
Company Name: ALLSTATE INSURANCE COMPANY
NAIC Company Code: 19232
FEIN: 360719665
Florida Company Code: 09020
Authority Category: PROPERTY AND CASUALTY INSURER
Filing Type: Periodic
Filing Name: periodic
Date Created: Jan 22, 2013
Filing Period: 2012P1231
As of Date: Dec 31, 2012

Filing Contact Information
Name:
Title:
Department:
Email:
Address:
Phone:
Fax:
Toll Free:

Document Name	Component	Amended	Date Submitted
Approval Letter	Response 01	NO	

[Return to Component List](#) [Next](#)

© 2013 - Florida Office of Insurance Regulation

Note the revised Amended statuses and additional documents listed. At this point, the filing has not yet been resubmitted.

Click the "Next" button to proceed or click "Return to Component List" to return to that page

3. Agree on the Filing Certification / Attestation Page

Refs
FLORIDA OFFICE OF
INSURANCE REGULATION

Hello, | [Log off](#)

[Workbench](#) [Help](#) [Contact](#)

Submit a filing. Agree or Disagree to the following.

Filing Certification/Attestation

Company Name:	ALLSTATE INSURANCE COMPANY		
NAIC Company Code:	19232	NAIC Group Code:	0008
Florida Company Code:	09020	FEIN:	360719665
Filing ID:	F12-000162542	Filing Name:	periodic

By clicking "I Agree," you are attesting that:

1. The information contained in this filing is true and accurate.
2. You are duly authorized to submit information on behalf of the company show above; and
3. The Office reserves the right to require additional information and/or documentation.

[I Disagree](#) [I Agree](#)

© 2013 - Florida Office of Insurance Regulation

Select the “OK/I Agree” button to resubmit the filing, or Click the “I Disagree” button to return to the Filing Workbench. If you click “I Disagree”, the filing is not submitted, but the amendments or responses you added are preserved. You may chose to submit them at a later date.

Click “OK/I Agree” to proceed with the submission.

4. Confirm Submission



The screenshot displays the REFS (Florida Office of Insurance Regulation) interface. At the top left is the REFS logo with the text "FLORIDA OFFICE OF INSURANCE REGULATION". To the right of the logo is a navigation bar with buttons for "Workbench", "Help", and "Contact". In the top right corner, there is a "Hello," greeting and a "Log off" link. The main content area features a confirmation message: "Filing submitted. You have successfully submitted this filing." Below this message is a list of filing details:

Originator:	F12-000162542
Filing Id:	F12-000162542
Confirmation Number:	49797
Date Submitted:	Jan 23, 2013
Company Name:	ALLSTATE INSURANCE COMPANY
NAIC Company Code:	19232
FEIN:	360719665
Florida Company Code:	09020
Authority Category:	PROPERTY AND CASUALTY INSURER
Filing Type:	Periodic
Filing Name:	periodic
Date Created:	Jan 22, 2013
Filing Period:	2012P1231
As of Date:	Dec 31, 2012

At the bottom of the confirmation area, there are two buttons: "Print this page" and "Return to Workbench". The footer of the page contains the copyright notice: "© 2013 - Florida Office of Insurance Regulation".

Print this screen for your records. A confirmation e-mail will also be sent to the e-mail address associated with your I-Portal account.

Click the "Return to Workbench" button to return to the Filing Workbench.

Click on the "Log out" button prior to exiting the I-Portal application.

Glossary

Authority Category

An authority category is a classification of the kind of approval granted to a company to conduct insurance-related business.

Component

A component is an item within a filing used to create the filing, such as a set of Interrogatories, a signed jurat page, etc. Each item on the filings checklists issued by the OIR in addition to other required filings, are considered components.

Component Status

The following Component Types may have the following statuses:

1. Contact Information: The status is always “Complete” since this information was supplied during creation of the filing.
2. NAIC: The status is either “Pending from NAIC” or “Received from NAIC”.
3. Document Upload: If it is a required component, the status is either “Incomplete” or “Ready for Submission”. If it is an optional component, the status is either “Optional” or “Ready for Submission”.
4. Interrogatories: The status is either “Incomplete” or “Ready for Submission”.
5. Adobe LiveCycle Web Form: If it is a required component, the status is either “Incomplete” or “Ready for Submission”. If it is an optional component, the status is either “Optional” or “Ready for Submission”.

Component Types

There are five component types that may appear in the component list, depending on a combination of the filing’s authority category and business area:

1. Contact Information
2. NAIC
3. Document Upload
4. Interrogatories
5. Adobe LiveCycle Web Form

The component type determines the functionality of the system and the completion requirements for the user.

Due Date

The filing date on which a component is due within REFS.

Last Updated Date

- Filing Component List - Denotes the date the component was last updated by using the latest date shown on the component detail screen.
- Component Detail Screen - Denotes the date a specific document was uploaded for that component.

Filing ID

The system generated number associated with a specific filing. This number is generated after clicking “Create Filing”. The Filing ID is a unique number; companies will use this as a reference when contacting the OIR.

Filing Name

The user created name associated with a specific filing. Users are required to assign a name for their filing during the filing submission process. The filing name must be unique for each user's Filing Workbench.

Filing Period

The Filing Period shown on the Filing Workbench is related to the As-Of Date and the Filing Type for the filing. For example, an Annual filing based on an As-Of Date of 12/31/2005 would, for a calendar-year filer, have a Filing Period of "2005A". A Quarterly filing based on an As-Of Date of 6/30/2005 would, for a calendar-year filer, have a Filing Period of 2005Q2. A Monthly filing based on an As-Of Date of 1/31/2005 would have a Filing Period of 2005M01.

Filing Status

The current status of the filing within the Filing Workbench, based on the status of the components within the filing. There are three filing statuses:

- Draft.
- Filed Incomplete – The filing has been submitted, and all required components whose due date is before the filing due date were Complete or Received by NAIC at the time of submission. Components exist whose due date is after the filing due date and those were not yet Complete or Received by the NAIC.
- Filed – Submitted (ALL required components complete no matter what the component due date in relation to the filing due date – whether before or after).

Filing Type

Indicates whether the period covered is annual, quarterly, monthly, or periodic. Periodic filings are to be used for the submission of agreements, dividend requests, reinsurance information, holding company registration statements, as well as other correspondence.

Filing Workbench

The central location where the majority of work is performed on a filing. All of the filings created and currently available for completion, as well as those filings already submitted to the OIR, are stored in the Filing Workbench.

Interrogatories

This component type is a series of questions that may trigger the creation of new components or require a free form text response, or both, depending on the answers given to the questions.

Is Amended?

- Denotes whether a filing component has been changed since it was first submitted.
- When used within the Filing Workbench denotes whether the filing has been amended by the user.

NAIC

National Association of Insurance Commissioners. Applies only to certain Life and Health and Property and Casualty authority categories.

Originator

The Originator is the user who initially created a filing. A user logged into REFS may submit any filing for which he or she is the Originator. Only the Originator may submit a filing.

Submit Date

Date the submission process was completed. The submit date is shown in the table at the bottom of the Filing Summary screen.