

SERFF Tracking Number: CHUB-125868885 State: Arkansas  
Filing Company: Federal Insurance Company State Tracking Number: EFT \$50  
Company Tracking Number: DO AR0045510F01  
TOI: 17.0 Other Liability - Claims Made/Occurrence Sub-TOI: 17.0006 Directors & Officers Liability  
Product Name: Health Care Portfolio  
Project Name/Number: HCP/455

## Filing at a Glance

Company: Federal Insurance Company

Product Name: Health Care Portfolio

TOI: 17.0 Other Liability - Claims

Made/Occurrence

Sub-TOI: 17.0006 Directors & Officers Liability Co Tr Num: DO AR0045510F01

Filing Type: Form

Effective Date Requested (New): On Approval

Effective Date Requested (Renewal): On Approval

State Filing Description:

SERFF Tr Num: CHUB-125868885 State: Arkansas

SERFF Status: Closed

Co Tr Num: DO AR0045510F01

Co Status:

Authors: Donna Daigle, Desirae

Bartlett, Christina Cresenzi

Date Submitted: 10/30/2008

State Tr Num: EFT \$50

State Status: Fees verified and received

Reviewer(s): Betty Montesi, Edith Roberts

Disposition Date: 11/24/2008

Disposition Status: Approved

Effective Date (New):

Effective Date (Renewal):

## General Information

Project Name: HCP

Project Number: 455

Reference Organization: N/A

Reference Title: N/A

Filing Status Changed: 11/24/2008

State Status Changed: 11/24/2008

Corresponding Filing Tracking Number:

Filing Description:

In accordance with the laws of the State of Arkansas, we are filing the enclosed endorsements applicable to the above product. This product was approved by the Department effective September 22, 2004 under our filing designation number DO AR0023110F01.

Status of Filing in Domicile: Pending

Domicile Status Comments:

Reference Number: N/A

Advisory Org. Circular: N/A

Deemer Date:

SERFF Tracking Number: CHUB-125868885 State: Arkansas  
 Filing Company: Federal Insurance Company State Tracking Number: EFT \$50  
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 TOI: 17.0 Other Liability - Claims Made/Occurrence Sub-TOI: 17.0006 Directors & Officers Liability  
 Product Name: Health Care Portfolio  
 Project Name/Number: HCP/455

## Company and Contact

### Filing Contact Information

Donna Daigle, State Filing Analyst ddaigle@chubb.com  
 82 Hopmeadow Street (800) 464-7965 [Phone]  
 Simsbury, CT 06070-7683 (860) 408-2047[FAX]

### Filing Company Information

Federal Insurance Company CoCode: 20281 State of Domicile: Indiana  
 202 Hall's Mill Road Group Code: 38 Company Type:  
 P.O. Box 1650  
 Whitehouse Station, NJ 08889-1650 Group Name: State ID Number:  
 (908) 572-4422 ext. [Phone] FEIN Number: 13-1963496  
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## Filing Fees

Fee Required? Yes  
 Fee Amount: \$50.00  
 Retaliatory? No  
 Fee Explanation: 50.00 flat  
 Per Company: No

COMPANY	AMOUNT	DATE PROCESSED	TRANSACTION #
Federal Insurance Company	\$50.00	10/30/2008	23591338

SERFF Tracking Number: CHUB-125868885 State: Arkansas  
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## Correspondence Summary

### Dispositions

Status	Created By	Created On	Date Submitted
Approved	Edith Roberts	11/24/2008	11/24/2008

SERFF Tracking Number: CHUB-125868885 State: Arkansas  
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Product Name: Health Care Portfolio  
Project Name/Number: HCP/455

## Disposition

Disposition Date: 11/24/2008

Effective Date (New):

Effective Date (Renewal):

Status: Approved

Comment:

Rate data does NOT apply to filing.

SERFF Tracking Number: CHUB-125868885 State: Arkansas  
 Filing Company: Federal Insurance Company State Tracking Number: EFT \$50  
 Company Tracking Number: DO AR0045510F01  
 TOI: 17.0 Other Liability - Claims Made/Occurrence Sub-TOI: 17.0006 Directors & Officers Liability  
 Product Name: Health Care Portfolio  
 Project Name/Number: HCP/455

Item Type	Item Name	Item Status	Public Access
Supporting Document	Uniform Transmittal Document-Property & Casualty	Approved	Yes
Form	Regulatory Coverage (Defense Costs Only) Endorsement	Approved	Yes
Form	Regulatory Claim Coverage (Defense Costs Only) Endorsement	Approved	Yes

SERFF Tracking Number: CHUB-125868885 State: Arkansas  
 Filing Company: Federal Insurance Company State Tracking Number: EFT \$50  
 Company Tracking Number: DO AR0045510F01  
 TOI: 17.0 Other Liability - Claims Made/Occurrence Sub-TOI: 17.0006 Directors & Officers Liability  
 Product Name: Health Care Portfolio  
 Project Name/Number: HCP/455

## Form Schedule

Review Status	Form Name	Form #	Edition Date	Form Type Action	Action Specific Data	Readability	Attachment
Approved	Regulatory Coverage (Defense Costs Only) Endorsement	14-02-12457	04/2007	Endorsement/Amendment/Conditions	New	0.00	14-02-12457.pdf
Approved	Regulatory Claim Coverage (Defense Costs Only) Endorsement	14-02-11508	10/2005	Endorsement/Amendment/Conditions	New	0.00	14-02-11508.pdf

ENDORSEMENT/RIDER

<COVSECT>

Effective date of  
this endorsement/rider: <TRXEFFDATE>

<CARRNAME>

Endorsement/Rider No. <EN>

To be attached to and  
form a part of Policy No. <POLICYNO>

Issued to: <ACCTNAME>

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REGULATORY COVERAGE (DEFENSE COSTS ONLY) ENDORSEMENT

In consideration of the premium charged, it is agreed that:

- (1) The following Insuring Clause is added to the Insuring Clauses of this coverage section:

Regulatory Coverage Insuring Clause 6

6. The Company shall pay, on behalf of the **Insureds**, **Defense Costs** which the **Insureds** become legally obligated to pay on account of any **Regulatory Claim** first made against such **Insureds** during the **Policy Period** or, if exercised, during the Extended Reporting Period, for a **Regulatory Wrongful Act** committed, attempted, or allegedly committed or attempted by such **Insureds** before or during the **Policy Period**, but only if such **Regulatory Claim** is reported to the Company in writing in the manner and within the time provided in Subsection 18 of this coverage section.

- (2) The term **Defense Costs**, as defined in Subsection 6 Definitions of this coverage section, is amended to include the **Defense Costs** that any **Insured** (for purposes of Insuring Clause 6) becomes legally obligated to pay on account of any covered **Regulatory Claim**.

- (3) The term **Wrongful Act**, as defined in Subsection 6 Definitions of this coverage section, is amended to include, when used in reference to the coverage provided by Insuring Clause 6, a **Regulatory Wrongful Act**.

**Regulatory Wrongful Act** means any actual or alleged violation by an **Insured** of the responsibilities, obligations or duties imposed by the Federal False Claims Act or any similar federal, state, or local statutory law or common law anywhere in the world, any federal, state, or local anti-kickback, self-referral or healthcare fraud and abuse law anywhere in the world, or amendments to or regulations promulgated under any such law; provided that **Regulatory Wrongful Act** shall not include any **Employment Practices Wrongful Act** or **Third Party Wrongful Act**.

- (4) Subsection 6 Definitions of this coverage section is amended to add the following term:

**Regulatory Claim** means a **Claim** brought against an **Insured** for a **Regulatory Wrongful Act**.

- (5) Solely with respect to any coverage available under Insuring Clause 6, Exclusion 7(a) of this coverage section is amended to read in its entirety as follows:

(a) based upon, arising from, or in consequence of any fact, circumstance, situation, transaction, event or **Wrongful Act** that, before <PRIORNOTICEDT>, was the subject of any notice given under any policy or coverage section of which this coverage section is a direct or indirect renewal or replacement;

(5) Solely with respect to any coverage available under Insuring Clause 6, Exclusion 7(b) of this coverage section is amended to read in its entirety as follows:

(b) based upon, arising from, or in consequence of any:

(i) demand, suit or other proceeding which was pending against any **Insured**;

(ii) search warrant, subpoena, notice of investigation or contact letter which was pending against any **Insured**; or

(iii) order, decree, or judgment entered for or against any **Insured**;

on or prior to the applicable Pending or Prior Date set forth in Item 7 of the Declarations for this coverage section, or the same or substantially the same fact, circumstance, or situation underlying or alleged therein, including but not limited to any such **Regulatory Claim** which is brought by or on behalf of the original claimant in any matter set forth in (i) or (ii) above or any other claimant.

(6) Exclusion 7(l) of this coverage section shall not apply to **Defense Costs** on account of any **Regulatory Claim** under Insuring Clause 6 of this coverage section.

(7) No coverage will be available under Insuring Clause 6 of this coverage section for **Defense Costs** on account of any **Regulatory Claim** made against any **Insured** based upon, arising from, or in consequence of:

(i) the committing in fact of any dishonest or fraudulent act or omission or any willful violation of any statute or regulation by such **Insured**, if a judgment or other final adjudication establishes such dishonest or fraudulent act or omission or willful violation of any statute or regulation; or

(ii) such **Insured** having gained in fact any profit, remuneration or advantage to which such **Insured** was not legally entitled.

(8) Solely with respect to any coverage available under Insuring Clause 6, Subsection 24 Acquisition/Creation of Another Organization of this coverage section is amended to read in its entirety as follows:

24. If before the **Policy Period** any **Organization**:

(a) acquires securities or rights in another organization or creates another organization, which as a result of such acquisition or creation becomes a **Subsidiary**; or

(b) acquires another organization by merger into or consolidation with an **Organization** such that the **Organization** is the surviving entity,

such other organization and its **Insured Persons** shall be **Insureds** under this coverage section, but only with respect to **Wrongful Acts** committed, attempted, or allegedly committed or attempted after such acquisition or creation unless the Company agrees, after presentation of a complete application and all other appropriate information, to provide coverage by endorsement for **Wrongful Acts** committed, attempted, or allegedly committed or attempted by such **Insureds** before such acquisition

or creation. Notwithstanding the foregoing, no such coverage will be available under this coverage section for the following such acquired or created organizations:

<EXCLUENTITY>

If during the **Policy Period** any **Organization**:

- (a) acquires securities or rights in another organization or creates another organization, which as a result of such acquisition or creation becomes a **Subsidiary**; or
- (b) acquires another organization by merger into or consolidation with an **Organization** such that the **Organization** is the surviving entity,

such other organization and its directors, officers, and employees shall not be **Insureds** under this coverage section and no coverage shall be available to such other organization and its directors, officers, and employees unless the Company agrees, after presentation of a complete application and all other appropriate information, to provide coverage by endorsement for such other organization and its directors, officers, and employees.

- (9) Solely with respect to any coverage available under Insuring Clause 6, if any **Regulatory Claim** is filed under seal, the **Insureds** shall, as a condition precedent to exercising any right to coverage under this coverage section, immediately upon becoming aware of such **Regulatory Claim** petition the applicable court, agency, or entity to allow such sealed information be provided to the Company.
- (10) Solely with respect to any coverage available under Insuring Clause 6, the Company's maximum aggregate liability for all **Defense Costs** on account of all **Regulatory Claims** shall be <SUBLIMIT>, which amount is part of and not in addition to the Company's maximum aggregate Limit of Liability for all **Defense Costs** on account of all **Claims** first made during the **Policy Period** as set forth in Item 2(J) of the Declarations for this coverage section.
- (11) Item 4 Coinsurance Percentage of the Declarations for this coverage section is amended to include the following:
  - (E) **Regulatory Claims** under Insuring Clause 6: <PERCENT>
- (12) Item 5 Retention of the Declarations for this coverage section is amended to include the following:
  - (I) Insuring Clause 6 – Each **Regulatory Claim**: <RETENTION>
- (13) Item 7 Pending or Prior Date of the Declarations for this coverage section is amended to include the following:
  - (E) Insuring Clause 6: <P&PLITDATE>

The title and any headings in this endorsement/rider are solely for convenience and form no part of the terms and conditions of coverage.

All other terms, conditions and limitations of this Policy shall remain unchanged.

<ENDSIG>

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Authorized Representative

## ENDORSEMENT

<COVSECT>

Effective date of  
this endorsement: <TRXEFFDATE>

Company: <CARRNAME>

Endorsement No. <EN>

To be attached to and  
form a part of Policy No. <POLICYNO>

Issued to: <ACCTNAME>

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### REGULATORY CLAIM COVERAGE (DEFENSE COSTS ONLY) ENDORSEMENT

In consideration of the premium charged, it is agreed that:

- (1) The following Insuring Clause is added to the Insuring Clauses of this coverage section:

#### Regulatory Claim Coverage Insuring Clause 6

6. The Company shall pay, on behalf of the **Insureds**, **Defense Costs** which the **Insureds** become legally obligated to pay on account of any **Regulatory Claim** first made against such **Insureds** during the **Policy Period** or, if exercised, during the Extended Reporting Period, for a **Regulatory Wrongful Act** committed, attempted, or allegedly committed or attempted by such **Insureds** before or during the **Policy Period**, but only if such **Regulatory Claim** is reported to the Company in writing in the manner and within the time provided in Subsection 18 of this coverage section.
- (2) The term **Claim**, as defined in Subsection 6 Definitions of this coverage section, is amended to include, when used in reference to the coverage provided by Insuring Clause 6, a **Regulatory Claim**.
- (3) The term **Defense Costs**, as defined in Subsection 6 Definitions of this coverage section, is amended to include the **Defense Costs** that any **Insured** (for purposes of Insuring Clause 6) becomes legally obligated to pay on account of any covered **Regulatory Claim**.
- (4) The term **Wrongful Act**, as defined in Subsection 6 Definitions of this coverage section, is amended to include, when used in reference to the coverage provided by Insuring Clause 6, a **Regulatory Wrongful Act**.
- (5) Subsection 6 Definitions of this coverage section is amended to include the following terms:

#### **Regulatory Claim** means:

- (a) a written demand for monetary damages or non-monetary relief;

- (b) a search warrant, subpoena, notice of investigation, or contact letter;
- (c) a civil proceeding commenced by the service of a complaint or similar pleading;
- (d) a criminal proceeding commenced by the return of an indictment or information;
- (e) a civil administrative or civil regulatory proceeding commenced by the filing of a demand or notice of charges; or
- (f) a qui tam action or a relator lawsuit commenced by the service of a complaint or similar pleading,

brought by or on behalf of a federal, state or local governmental, regulatory or administrative agency or entity against an **Insured** for a **Regulatory Wrongful Act**, including any appeal therefrom.

**Regulatory Claim** shall not include any customary or routine audit or reconciliation involving an **Insured** by any federal, state or local governmental, regulatory or administrative agency or entity.

Except as may otherwise be provided in Subsection 15, Subsection 16(j), or Subsection 18(b) of this coverage section, a **Regulatory Claim** will be deemed to have first been made when, with respect to any civil, criminal, or civil administrative or civil regulatory proceeding or qui tam action or relator lawsuit described in (c) - (f) above, such **Regulatory Claim** is commenced as set forth in this definition or, in the case of any written demand search warrant, subpoena, notice of investigation, or contact letter described in (a) or (b) above, when such demand is first received by an **Insured**.

**Regulatory Wrongful Act** means any actual or alleged violation by an **Insured** of the responsibilities, obligations or duties imposed by the Federal False Claims Act or any similar federal, state, or local statutory law or common law anywhere in the world, any federal, state, or local anti-kickback, self-referral or healthcare fraud and abuse law anywhere in the world, or amendments to or regulations promulgated under any such law; provided that **Regulatory Wrongful Act** shall not include any **Employment Practices Wrongful Act** or **Third Party Wrongful Act**.

- (6) Solely with respect to any coverage available under Insuring Clause 6, Exclusion 7(a) of this coverage section is amended to read in its entirety as follows:
  - (a) based upon, arising from, or in consequence of any fact, circumstance, situation, transaction, event or **Wrongful Act** that, before <PRIORNOTICEDT>, was the subject of any notice given under any policy or coverage section of which this coverage section is a direct or indirect renewal or replacement;
- (7) Solely with respect to any coverage available under Insuring Clause 6, Exclusion 7(b) of this coverage section is amended to read in its entirety as follows:
  - (b) based upon, arising from, or in consequence of any:
    - (i) demand, suit or other proceeding which was pending against any **Insured**;
    - (ii) search warrant, subpoena, notice of investigation or contact letter which was pending against any **Insured**; or

(iii) order, decree, or judgment entered for or against any **Insured**;

on or prior to the applicable Pending or Prior Date set forth in Item 7 of the Declarations for this coverage section, or the same or substantially the same fact, circumstance, or situation underlying or alleged therein, including but not limited to any such **Claim** which is brought by or on behalf of the original claimant in any matter set forth in (i) or (ii) above or any other claimant.

(8) Exclusion 7(l) of this coverage section shall not apply to **Defense Costs** on account of any **Regulatory Claim** under Insuring Clause 6 of this coverage section.

(9) No coverage will be available under Insuring Clause 6 of this coverage section for **Defense Costs** on account of any **Regulatory Claim** made against any **Insured** based upon, arising from, or in consequence of:

- (i) the committing in fact of any dishonest or fraudulent act or omission or any willful violation of any statute or regulation by such **Insured**, if a judgment or other final adjudication establishes such dishonest or fraudulent act or omission or willful violation of any statute or regulation; or
- (ii) such **Insured** having gained in fact any profit, remuneration or advantage to which such **Insured** was not legally entitled.

(10) Solely with respect to any coverage available under Insuring Clause 6, Subsection 24 Acquisition/Creation of Another Organization of this coverage section is amended to read in its entirety as follows:

24. If before the **Policy Period** any **Organization**:

- (a) acquires securities or rights in another organization or creates another organization, which as a result of such acquisition or creation becomes a **Subsidiary**; or
- (b) acquires another organization by merger into or consolidation with an **Organization** such that the **Organization** is the surviving entity,

such other organization and its **Insured Persons** shall be **Insureds** under this coverage section, but only with respect to **Wrongful Acts** committed, attempted, or allegedly committed or attempted after such acquisition or creation unless the Company agrees, after presentation of a complete application and all other appropriate information, to provide coverage by endorsement for **Wrongful Acts** committed, attempted, or allegedly committed or attempted by such **Insureds** before such acquisition or creation. Notwithstanding the foregoing, no such coverage will be available under this coverage section for the following such acquired or created organizations:

<EXCLUENTITY>

If during the **Policy Period** any **Organization**:

- (a) acquires securities or rights in another organization or creates another organization, which as a result of such acquisition or creation becomes a **Subsidiary**; or
- (b) acquires another organization by merger into or consolidation with an **Organization** such that the **Organization** is the surviving entity,

such other organization and its directors, officers, and employees shall not be **Insureds** under this coverage section and no coverage shall be available to such other organization and its directors, officers, and employees unless the Company agrees, after presentation of a complete application and all other appropriate information, to provide coverage by endorsement for such other organization and its directors, officers, and employees.

- (11) If any **Regulatory Claim** is filed under seal, the **Insureds** shall, as a condition precedent to exercising any right to coverage under this coverage section, immediately upon becoming aware of such **Regulatory Claim** petition the applicable court, agency, or entity to allow such sealed information be provided to the Company.
- (12) The Company's maximum aggregate liability for all **Defense Costs** on account of all **Regulatory Claims** shall be <SUBLIMIT>, which amount is part of and not in addition to the Company's maximum aggregate Limit of Liability for all **Defense Costs** on account of all **Claims** first made during the **Policy Period** as set forth in Item 2(J) of the Declarations for this coverage section.
- (13) Item 4 Coinsurance Percentage of the Declarations for this coverage section is amended to include the following:
  - (E) **Regulatory Claims** under Insuring Clause 6: <PERCENT>
- (14) Item 5 Retention of the Declarations for this coverage section is amended to include the following:
  - (I) Insuring Clause 6 – Each **Regulatory Claim**: <RETENTION>
- (15) Item 7 Pending or Prior Date of the Declarations for this coverage section is amended to include the following:
  - (E) Insuring Clause 6: <P&PLITDATE>

The title and any headings in this endorsement are solely for convenience and form no part of the terms and conditions of coverage.

All other terms, conditions and limitations of this policy shall remain unchanged.

<ENDSIG>

\_\_\_\_\_  
Authorized Representative

*SERFF Tracking Number:* CHUB-125868885      *State:* Arkansas  
*Filing Company:* Federal Insurance Company      *State Tracking Number:* EFT \$50  
*Company Tracking Number:* DO AR0045510F01  
*TOI:* 17.0 Other Liability - Claims Made/Occurrence      *Sub-TOI:* 17.0006 Directors & Officers Liability  
*Product Name:* Health Care Portfolio  
*Project Name/Number:* HCP/455

## **Rate Information**

Rate data does NOT apply to filing.

SERFF Tracking Number: CHUB-125868885 State: Arkansas  
Filing Company: Federal Insurance Company State Tracking Number: EFT \$50  
Company Tracking Number: DO AR0045510F01  
TOI: 17.0 Other Liability - Claims Made/Occurrence Sub-TOI: 17.0006 Directors & Officers Liability  
Product Name: Health Care Portfolio  
Project Name/Number: HCP/455

## Supporting Document Schedules

**Satisfied -Name:** Uniform Transmittal Document-  
Property & Casualty

**Review Status:** Approved 11/24/2008

**Comments:**

**Attachments:**

AR P&C 455.pdf

AR schedule 455.pdf

## Property & Casualty Transmittal Document

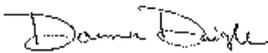
<b>1. Reserved for Insurance Dept. Use Only</b>	<b>2. Insurance Department Use only</b> a. Date the filing is received: b. Analyst: c. Disposition: d. Date of disposition of the filing: e. Effective date of filing: <table style="width: 100%; border: none;"> <tr> <td style="width: 50%; border: none;">New Business</td> <td style="border: none;"></td> </tr> <tr> <td style="border: none;">Renewal Business</td> <td style="border: none;"></td> </tr> </table> f. State Filing #: g. SERFF Filing #: h. Subject Codes	New Business		Renewal Business	
New Business					
Renewal Business					

<b>3. Group Name</b>	<b>Group NAIC #</b>
Chubb Group of Insurance Companies	0038

4. Company Name(s)	Domicile	NAIC #	FEIN #	State #
Federal Insurance Company	IN	20281	13-1963496	

<b>5. Company Tracking Number</b>	DO AR0045510F01
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**Contact Info of Filer(s) or Corporate Officer(s)** [include toll-free number]

6.	Name and address	Title	Telephone #s	FAX #	e-mail
	Donna M. Daigle 82 Hopmeadow St., P.O. Box 2002 Simsbury CT 06070-7683	State Filing Analyst	800-464-7965	860-408-2047	ddaigle@chubb.com
<b>7.</b>	Signature of authorized filer				
<b>8.</b>	Please print name of authorized filer		Donna M. Daigle		

**Filing Information** (see General Instructions for descriptions of these fields)

9.	Type of Insurance (TOI)	17.1
10.	Sub-Type of Insurance (Sub-TOI)	17.1006
11.	State Specific Product code(s) (if applicable) [See State Specific Requirements]	N/A
12.	Company Program Title (Marketing Title)	Health Care Portfolio
13.	Filing Type	<input type="checkbox"/> Rate/Loss Cost <input type="checkbox"/> Rules <input type="checkbox"/> Rates/Rules <input checked="" type="checkbox"/> x Forms <input type="checkbox"/> Combination Rates/Rules/Forms <input type="checkbox"/> Withdrawal <input type="checkbox"/> Other (give description)
14.	Effective Date(s) Requested	New:    Upon approval    Renewal:
15.	Reference Filing?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
16.	Reference Organization (if applicable)	N/A
17.	Reference Organization # & Title	N/A
18.	Company's Date of Filing	10/30/08
19.	Status of filing in domicile	<input type="checkbox"/> Not Filed <input checked="" type="checkbox"/> Pending <input type="checkbox"/> Authorized <input type="checkbox"/> Disapproved

## Property & Casualty Transmittal Document

<b>20.</b>	<b>This filing transmittal is part of Company Tracking #</b>	DO AR0045510F01
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<b>21.</b>	<b>Filing Description</b> [This area can be used in lieu of a cover letter or filing memorandum and is free-form text]
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In accordance with the laws of the State of Arkansas, we are filing the enclosed optional endorsements applicable to the above product. This product was approved by the Department effective September 22, 2004 under our filing designation number DO AR0023110F01.

<b>22.</b>	<b>Filing Fees</b> (Filer must provide check # and fee amount if applicable.) [If a state requires you to show how you calculated your filing fees, place that calculation below]
	<b>Check #:</b> EFT <b>Amount:</b> 50.00
	<b>Refer to each state's checklist for additional state specific requirements or instructions on calculating fees.</b>

\*\*\*Refer to each state's checklist for additional state specific requirements (i.e. # of additional copies required, other state specific forms, etc.)

## FORM FILING SCHEDULE

(This form must be provided ONLY when making a filing that includes forms)  
 (Do not refer to the body of the filing for the forms listing, unless allowed by state.)

<b>1.</b>	<b>This filing transmittal is part of Company Tracking #</b>	DO AR0045510F01
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<b>2.</b>	<b>This filing corresponds to rate/rule filing number</b> (Company tracking number of rate/rule filing, if applicable)	N/A
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3.	Form Name /Description/Synopsis	Form # Include edition date	Replacement Or Withdrawn?	If replacement, give form # it replaces	Previous state filing number, if required by state
01	Regulatory Coverage (Defense Costs only) Endorsement	14-02-12457 (04/2007)	<input checked="" type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
02	Regulatory Coverage (Defense Costs Only) Endorsement	14-02-11508 (10/2005)	<input checked="" type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
03			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
04			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
05			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
06			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
07			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
08			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
09			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
10			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		
11			<input type="checkbox"/> New <input type="checkbox"/> Replacement <input type="checkbox"/> Withdrawn		