OPT*ins* is a simple three-step process which facilitates the electronic submission of premium taxes, surplus lines taxes, assessments and other state-specific filings. Fees are transmitted via ACH debit or ACH credit, to assure that your funds will be received by the state in a timely and secure manner. There is no special software to purchase or licensing fees - only a transaction fee of $10.00 per filing.

Once your paperwork is submitted, the OPT*ins* team will send you the required information for an ACH Credit penny test.

Once the penny test is a success, we will move onto the next step in the implementation process. If you have any questions, please contact the OPT*ins* marketing and implementation team at (816) 783-8787 or optinsmktg@naic.org.

Instructions for Completing the OPT*ins* Implementation Forms

1. Save this form to your computer
   a. Click File
   b. Click Save As
   c. Enter a name for the file and click "Save."
2. Page two
   a. Enter the company name at the top
   b. Enter ***internal financial contact's*** information under Treasury/Cash Management/Bank Account Manager Contact, Premium Tax Department Accounting/Accounts Payable Contact and Premium Tax Department Contact (this can be the same contact)
3. Page three
   a. Enter the contact information for each person who will need a username and password to access the OPT*ins* application
   b. On page five of this form, there is a list of definitions for the various OPT*ins* roles, which provide different areas of access to OPT*ins*. Please refer to the definitions and check the box or boxes for the appropriate roles, which should be assigned to each OPT*ins* user.
4. Page four
   a. Please enter the name and email address of a backup contact that can be contacted if there any issues with a Scheduled Filing.
5. Page five
   a. Enter the Business Entity name, NAIC number, Group number (if applicable) and Federal Identification Number (FEIN).
   b. Click the drop down on the Annual Statement Blank Type and choose the appropriate type.
   c. Enter the state of domicile.
   d. If you are a TriTech customer, enter your account number under TriTech Account #.
6. Save and submit the form
   a. Please send the completed form as an attachment in email to optinsmktg@naic.org

INDUSTRY EXHIBIT B

EFT ENROLLMENT FORM

Company Name

Bank Account Name

Treasury/Cash Management/Bank Account Manager Contact ***(Please list your internal financial contact – not the bank contact)***

Name

Phone

Fax

Email

Premium Tax Department Accounting/Accounts Payable Contact

Name

Phone

Fax

Email

Premium Tax Department Contact

Name

Phone

Fax

Email

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The following information is required, along with EFT Exhibits A & B. Please complete these forms and the EFT Exhibits and email or fax to the OPTins Marketing Team – optinsmktg@naic.org or 816-460-7575.

CONTACTS/USERS: Please provide the following information for each person who will be submitting filings. **Refer to Page 2 for Explanation of Roles.** Please place a checkmark in the field next to the required role(s).

Name	Phone #	Address, City, State	Email Address
OPTins Roles (Can have multiple roles. See page 2 for explanation of roles.)	☐ Industry Filer (Create Drafts Only) ☐ EFT Report	☐ Schedule/Submit Filings ☐ User Admin Request	☐ Filing Entity Administrator ☐ Read Only
Name	**Phone #**	**Address, City, State**	**Email Address**
OPTins Roles (Can have multiple roles. See page 2 for explanation of roles.)	☐ Industry Filer (Create Drafts Only) ☐ EFT Report	☐ Schedule/Submit Filings ☐ User Admin Request	☐ Filing Entity Administrator ☐ Read Only
Name	**Phone #**	**Address, City, State**	**Email Address**
OPTins Roles (Can have multiple roles. See page 2 for explanation of roles.)	☐ Industry Filer (Create Drafts Only) ☐ EFT Report	☐ Schedule/Submit Filings ☐ User Admin Request	☐ Filing Entity Administrator ☐ Read Only
Name	**Phone #**	**Address, City, State**	**Email Address**
OPTins Roles (Can have multiple roles. See page 2 for explanation of roles.)	☐ Industry Filer (Create Drafts Only) ☐ EFT Report	☐ Schedule/Submit Filings ☐ User Admin Request	☐ Filing Entity Administrator ☐ Read Only

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EXPLANATION OF ROLES

User Role	Explanation
Industry Filer	This user can create a filing and save the filing as a Draft for the Schedule/Submit Filings user to submit at a later date. They can also edit Draft filings. This user will not have access to EFT or be able to submit a filing.
Schedule / Submit Filings	This user can create a filing and save the filing as a Draft, but they also have the ability to Schedule a filing to be submitted at a later date or Submit a filing on the date created. This user has access to EFT.
Filing Entity Administrator	This role can be combined with either the 'Create Draft Filings' or 'Schedule / Submit Filings & EFT' roles. This role allows the user to make changes and additions to all Filing Entities (Business Entities / Producers).
EFT Report	This role allows users to run the EFT Report in OPTins. The EFT report can be used to reconcile OPTins transactions versus your bank statement. This role must be combined with another role.
User Admin Request	This role allows user to make all user admin requests in OPTins, including adding new users, deactivating users, and changing User Roles. This role can be held in conjunction with other roles or held alone.
Read Only	This role allows users to only view filings in OPTins.

Backup Email Contact: As an added layer of protection, the system will generate an email message to the user who created the filing, as well as a Backup Contact in the event a Scheduled Filing is unsuccessful. The Backup Contact doesn't necessarily have to be an OPTins user, but would have a vested interest in whether a Scheduled Filing was unsuccessful.

Name	Email Address

OPT*ins* REGISTRATION FORM

BUSINESS ENTITY / COMPANY INFORMATION

List the Company, Agency, or other Business Entity for which you submit Premium Tax and other state-specific filings. Please complete ***all applicable fields***. *****State of Domicile is a required field.***

Business Entity Name	NAIC #	Group #	FEIN	Annual Statement Blank Type	State of Domicile
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	
				Choose One	

TriTech Customers: If your company uses the PREMIUM Pro software, please provide your TriTech Account Number.

TriTech Account #