

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. 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 provide you with addenda information necessary to initiate an ACH credit of one penny. 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
 - d. 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.
 - c. Users may have all roles, but each role must be assigned to at least one 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, National Producer Number (NPN), Federal Identification Number (FEIN), and State of Domicile; or Producer name, NPN, and State of Domicile.
 - b. Enter each Business Entity or Producer name in separate columns running horizontally.
 - c. Enter the license numbers of each Business Entity or Producer below the respective names for each OPT *ins* state listed vertically.
6. Save and submit the form
 - a. Scroll back to the top and in the top left, click "File" and "Save"
 - b. Click "Submit Form"
 - c. Choose the appropriate email client
 - d. Press OK and Send
 - e. If you are unable to submit this form please e-mail 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

Surplus Lines Department Accounting/Accounts Payable Contact

Name

Phone

Fax

Email

Surplus Lines Department Contact

Name

Phone

Fax

Email



OPTins REGISTRATION FORM – SURPLUS LINES

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

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



OPTins REGISTRATION FORM – SURPLUS LINES

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.

PRODUCER/BUSINESS ENTITY INFORMATION

List each Product, Agent, or Business Entity's that you will be submitting Surplus Lines Filings on behalf of.
Please complete all applicable fields. **State of Domicile is a required field.
 Please use each vertical column to list each individual state license number for each state licensed to do business.

	Entity #1	Entity #2	Entity #3	Entity #4	Entity #5
Producer/Agent/ Business Entity Name					
NPN Number					
FEIN					
State of Domicile					
State License #'s					
Alabama					
Arizona					
Connecticut					
Delaware					
District of Columbia					
Idaho					
Indiana					
Iowa					
Massachusetts					
Michigan					
New Hampshire					
New Mexico					
North Dakota					
Oklahoma					
Tennessee					
Virgin Islands					
West Virginia					
Wyoming					

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
