

OPTins 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. Surplus Lines transaction fees are 5% of the total tax due not to exceed \$10.00. **If it is a zero filing, the fee to file the zero report in OPTins is \$1.00.**

Once your paperwork is submitted, the OPTins team will schedule an ACH debit penny test. The penny test entails the debit of one penny from your bank account. If your bank has added a debit block onto your bank account, you will need our account information to lift the debit block for NAIC transactions. Please contact the OPTins marketing and implementation team at (816) 783-8787 and we will provide the necessary information to lift the debit block.

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 OPTins marketing and implementation team at (816) 783-8787 or [optinsmktg@naic.org](mailto:optinsmktg@naic.org).

## **Instructions for Completing the OPTins 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 name of the Entity, which will be debited
  - b. Enter the name and address of your financial institution
  - c. Enter your routing number, bank account number and name of your bank account
  - d. Insert the electronic signature of the person authorized to sign banking information
  - e. Enter the authorized signer's name and title
  - f. Enter the name, address and phone number of the company
  - g. Enter the date
3. Page three
  - a. Enter the company name at the top
  - b. Enter **internal financial contact's** information under Treasury/Cash Management/Bank Account Manager Contact, Surplus Lines Department Accounting/Accounts Payable Contact and Surplus Lines Department Contact (this can be the same contact)
4. Page four
  - a. Enter the contact information for each person who will need a username and password to access the OPTins application
  - b. On page five of this form, there is a list of definitions for the various OPTins roles, which provide different areas of access to OPTins. Please refer to the definitions and check the box or boxes for the appropriate roles, which should be assigned to each OPTins user.
5. Page five
  - a. Please enter the name and email address of a backup contact that can be contacted if there any issues with a Scheduled Filing.
6. Page six
  - 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 OPTins state listed vertically.
7. Save and submit the form
  - a. Please send the completed form as an attachment in email to [optinsmktg@naic.org](mailto:optinsmktg@naic.org)



**AUTHORIZATION FOR ELECTRONIC  
DEBIT AND CREDIT ENTRIES**

The National Association of Insurance Commissioners (“NAIC”) is authorized to initiate debit entries and to initiate, if necessary, credit entries and adjustments for the correction of any debit entries in error from or to the account indicated below of \_\_\_\_\_(COMPANY) at the financial institution indicated below:

Name of Financial Institution: \_\_\_\_\_

Address of Financial Institution: \_\_\_\_\_

Routing & Transit No.: \_\_\_\_\_

Account No.: \_\_\_\_\_

Account Name (if applicable): \_\_\_\_\_

The Company authorizes the above-named Financial Institution to honor such requests from the NAIC and to debit or if applicable, to credit, the same to the account indicated above. The debit entries initiated by the NAIC are for the payments due under OPTins Use Agreement.

This authorization shall remain in full force and effect until the above-named Financial Institution as well as the NAIC have received written notice from the Company of termination of authority in such time and manner as to afford the Financial Institution as well as the NAIC a reasonable time to act on said termination. Notwithstanding the foregoing, this authorization shall terminate no later than thirty (30) days after written notice of termination is received by the NAIC.

Signature of Authorizing Party: \_\_\_\_\_

Printed Name: \_\_\_\_\_

Title of Authorized Party: \_\_\_\_\_

Name of Company: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Date: \_\_\_\_\_

**EFT ENROLLMENT FORM**

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Company Name

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Name

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

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Name

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Phone

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Fax

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Email

**Surplus Lines Department Accounting/Accounts Payable Contact**

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Name

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Phone

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Fax

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Email

**Surplus Lines Department Contact**

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Name

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Phone

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Fax

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Email

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](mailto: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
<b>OPTins Roles</b> (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
<b>OPTins Roles</b> (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
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Name	Phone #	Address, City, State	Email Address
<b>OPTins Roles</b> (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

**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
<b>Producer/Agent/ Business Entity Name</b>					
<b>NPN Number</b>					
<b>FEIN</b>					
<b>State of Domicile</b>					
<b>State License #'s</b>					
Alabama					
Arizona					
Connecticut					
Delaware					
District of Columbia					
Idaho					
Indiana					
Iowa					
Massachusetts					
Michigan					
New Hampshire					
New Mexico					
North Dakota					
Oklahoma					
Tennessee					
Virgin Islands					
West Virginia					
W					

**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