



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 amount due to the state, not to exceed \$15.00. 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 review your paperwork and begin your account setup. We will contact you with any questions and 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.

ACH Credit Accounts: Once your paperwork is submitted, the OPTins team will send you information regarding the ACH Credit Penny Test. This will require you to work with your bank and push a penny from your bank account to OPTins with required addenda information. Once the penny test is a success, we will move onto the next step in the implementation process.

ACH Debit Accounts: Please check with your bank and ensure there is not a debit block on your bank account and make sure your debit threshold is high enough if you plan to submit large payments.

To remove a debit block, please provide your bank with this info:

Company ID (ACH Origination Number): 9870877295

Debiting Bank Account Name: NAIC

Instructions for Completing the OPTins Implementation Forms

- INDUSTRY FINANCIAL CONTACTS
 - Enter the name, address and phone number of the company
 - Select ACH Debit or ACH Credit
 - If selecting ACH Credit:
 - Insert the electronic signature of the person authorized to sign banking information
 - Enter the authorized signer's name and title
 - Enter the name, address and phone number of the company
 - Enter the date
 - Enter internal financial contact's information (these can all be the same contact)
 - Treasury/Bank Account Manager Contact
 - Accounting/Accounts Payable Contact
 - Department Contact
 - Enter the name and email address of a backup contact that can be contacted if there are any issues with a scheduled filing
- USERS & ROLES
 - Enter the contact information for each person who will need a username and password to access the OPTins application (we do not allow sharing of user logins)
 - Users may have all roles, but each role must be assigned to at least one user
- PRODUCER/BUSINESS ENTITY INFORMATION
 - Enter the Business Entity or Producer Name, National Producer Number (NPN), Federal Identification Number (FEIN), and State of Domicile (**DO NOT** include social security numbers)
 - Enter each Business Entity or Producer name in separate columns running horizontally
 - Enter the license numbers of each Business Entity or Producer below the respective names for each OPTins state listed vertically
- Save and submit the form
 - Please send the completed form as an attachment in email to optinsmktg@naic.org

INDUSTRY FINANCIAL CONTACTS

Company Name:

Address:

Phone #:

Please Select Account Type **Credit requires signature*

ACH Debit:

The majority of our companies use ACH Debit. With ACH Debit, you input your banking information and the funds are withdrawn upon submission. Your filing is automatically submitted, and your bank account is debited that night.

***ACH Credit:**

For ACH Credit you will need to work with your bank each time a filing is submitted to initiate the payment with a unique addenda. You cannot use a credit card for this option.

**Signature of the person authorized to sign banking information required below if selecting ACH Credit*

Signature:

Date:

Name:

Title:

Treasury/Bank Account Manager Contact **please list company financial contact – not bank contact*

Name:

Email:

Phone:

Accounting/Accounts Payable Contact

Name:

Email:

Phone:

Department Contact

Name:

Email:

Phone:

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:

USERS & ROLES

Please provide the following information for each person who will need a login to access OPTins. We do not allow sharing of user logins. Please place a check mark in the field next to the required role(s). Each user can have multiple roles.

Contact Information				OPTins Roles		
Name:		Address:		User Admin Request User	Bank Account Manager	Industry Filer (Create Drafts Only)
Email:		City:		Filing Entity Administrator	EFT Report Reviewer	Schedule/Submit Filings
Phone:		State:	Zip:	Read Only	Check here if this user is a Third Party Filer	
Contact Information				OPTins Roles		
Name:		Address:		User Admin Request User	Bank Account Manager	Industry Filer (Create Drafts Only)
Email:		City:		Filing Entity Administrator	EFT Report Reviewer	Schedule/Submit Filings
Phone:		State:	Zip:	Read Only	Check here if this user is a Third Party Filer	
Contact Information				OPTins Roles		
Name:		Address:		User Admin Request User	Bank Account Manager	Industry Filer (Create Drafts Only)
Email:		City:		Filing Entity Administrator	EFT Report Reviewer	Schedule/Submit Filings
Phone:		State:	Zip:	Read Only	Check here if this user is a Third Party Filer	
Contact Information				OPTins Roles		
Name:		Address:		User Admin Request User	Bank Account Manager	Industry Filer (Create Drafts Only)
Email:		City:		Filing Entity Administrator	EFT Report Reviewer	Schedule/Submit Filings
Phone:		State:	Zip:	Read Only	Check here if this user is a Third Party Filer	

*By listing users above, you are requesting that the NAIC give certain access rights/authority to the individuals specified above and affirming these specified individuals are acting on behalf of your organization when accessing OPTins. You agree that once these specified individuals are granted access any actions they take while using the OPTins system shall be attributed to your organization and you assume sole liability for their actions.

Roles and Descriptions

User Admin Request User:	Allows the user to request new users, update current user roles, deactivate users on behalf of their Account, and execute and review User Admin Reports
Filing Entity Administrator:	Allows the user to add new and edit existing filing entities on their account - Must also have one of the following roles: Industry Filer or Industry Read Only
Bank Account Manager:	Allows the user to add, edit and deactivate bank accounts on their OPTins account and associate entities to bank account(s)
EFT Report Reviewer:	Allows the user to execute and review EFT reports
Industry Filer:	Allows the user to create and amend filings
Submit Filings:	Allows the user to submit filings that include ACH payments - Must also have one of the following role: Industry Filer
Read Only:	Allows the industry user read only access - Not needed if user has Industry Filer role

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
Entity Name:					
NPN Number:					
FEIN:					
State of Domicile:					
	State License #'s				
Alabama					
Alaska					
Arizona					
Arkansas					
Connecticut					
Delaware					
District of Columbia					
Hawaii					
Indiana					
Iowa					
Maryland					
Massachusetts					
Michigan					
Montana					
Nebraska					
New Hampshire					
North Dakota					
Oklahoma					
Tennessee					
Virgin Islands					
West Virginia					
Wisconsin					