

These forms can be completed electronically. Please follow the steps below.

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. 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 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. If you have any questions, please contact the OPTins marketing and implementation team at (816) 783-8787 or 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
 - d. Click Save
2. Page two
 - a. Insert digital signature of person authorizing ACH Credit. Or you may print document and sign with ink.
 - b. Enter signer's name and title
 - c. Enter company name
 - d. Enter 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, Premium Tax Department Accounting/Accounts Payable Contact and Premium Tax Department Contact. (this can be same contact for all three).
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.
 - c. Users may have all roles, but each role must be assigned to at least one user.
5. Page six
 - 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 #.
 - e. Please enter the name and email address of a backup contact that can be contacted if there are any issues with a scheduled filing.
7. 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



AUTHORIZATION FOR ACH CREDIT

The Company below authorizes the setup of an OPTins account with the ACH Credit payment method.

Signature of Authorizing Party: _____

Printed Name: _____

Title of Authorized Party: _____

Name of Company: _____

Date: _____

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

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 816-460-0191.

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)	☐ Schedule/Submit Filings	☐ Filing Entity Administrator
	☐ EFT Report	☐ User Admin Request	☐ 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)	☐ Schedule/Submit Filings	☐ Filing Entity Administrator
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	☐ EFT Report	☐ User Admin Request	☐ Read Only

*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.

OPT *ins* REGISTRATION FORM

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 'Industry Filer' or 'Schedule / Submit Filings' roles. This role allows the user to make changes and additions to all Filing Entities (Business Entities / Companies).
EFT Report	This role allows users to run the EFT Report in OPT <i>ins</i> . The EFT report can be used to reconcile OPT <i>ins</i> 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 OPT <i>ins</i> , including adding new users, deactivating users, and changing User Roles. This role can be held in conjunction with other roles or held alone.



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

Tritech Customers: If your company uses the Premium Pro software, please provide your Tritech Account Number: _____

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 OPT *ins* user, but would have a vested interest in whether a Scheduled Filing was unsuccessful.

Name	Email Address