



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 - for Premium Tax and state-specific submissions, \$15.00 per filing; for Surplus Lines, 5% of tax due not to exceed \$15.00.

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](mailto: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 (Required Fields in Red)**

- INDUSTRY FINANCIAL CONTACTS
  - Enter the name, address and phone number of the company
  - Select ACH Debit or ACH Credit
    - Insert the electronic signature of the person authorized to sign banking information
    - Enter the authorized signer's name and title
    - Enter the date
  - Enter the 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 AND 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 multiple roles, but each role must be assigned to at least one user
  - At least one user must be listed
- BUSINESS ENTITY/COMPANY INFORMATION
  - Enter the Business Entity name, NAIC number (if applicable), Group number (if applicable) and Federal Identification Number (FEIN)
  - Click the drop down on the Annual Statement Blank Type and choose the appropriate type
  - Enter the state of domicile (required)
  - If you are a TriTech customer, enter your account number under TriTech Account #
- Save and submit the form
  - Please send the completed form as an attachment in email to [optinsmktg@naic.org](mailto:optinsmktg@naic.org).

## INDUSTRY FINANCIAL CONTACTS

Company Name:

Address:

Phone #:

### Please Select Account Type

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 addendum. You cannot use a credit card for this option.

Signature:

Date:

Name:

Title:

### Treasury/Bank Account Manager Contact *\*please list company financial contact, not a 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 and Roles

Please provide the following information for each person who will need a login to access OPTins. **User logins should not be shared.** Please select all roles required for each user; a user can have multiple roles. Multiple users can have the same role(s). The following roles must be accounted for **by at least one user**:

User Admin Request User      Filing Entity Administrator      Bank Account Manager      EFT REport Reviewer      Industry Filer      Schedule/Submit Filings

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	

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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

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

**BUSINESS ENTITY/COMPANY INFORMATION**

List the Companies for which you submit IID Annual Filings and/or Applications. Please complete **all fields**.

Company Name	Alien ID #	Annual Statement Blank Type	Country of Domicile