

The logo for OPTins features the word "OPT" in a bold, blue, sans-serif font, followed by a grey play button icon, and then "ins" in a green, italicized, sans-serif font. The entire logo is centered within a white rectangular box that is itself centered within a series of concentric circles in shades of green and grey, all set against a blue background.

**OPTins**

**Online Premium Tax *for Insurance***

# State User Manual

Version 4.6 - 9/26/2012

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# OPT*ins* User Training Manual - State

## Introduction

OPT*ins*, Online Premium Tax for Insurance, facilitates the submission of premium tax, assessment, surplus lines, Annual Contracted Producer Reports, and other state-specific filings and payments to the states. States can securely collect payments and review the submissions electronically.

In addition, the NAIC has partnered with TriTech, allowing PREMIUM Pro software users the capability of submitting their premium tax forms and payments electronically via OPT*ins*.

## About This Manual

This manual was developed to assist the states receive and audit premium tax, assessments, surplus lines, Annual Contracted Producer Report, and other state-specific filings via OPT*ins*.

This manual was written using OPT*ins* v4.5.

## Using This Manual

We believe that teaching concepts is just as important as teaching procedures. With this in mind each topic is introduced and background information provided. Then details and procedures are presented in easy to absorb segments. All of the topics will walk you through a step by step process. As an additional resource, please view the State OPT*ins* tutorial located [here](#).

## Conventions Used In This Manual

The following special features are included in this manual to assist readers:

**Bold fonts** are used to emphasize an idea or a representation.

➔ The green pointer is used to let you know that there is something you must do.

➔ The red pointer is used to let you know that there is something of importance.

# OPT*ins* User Training Manual - State

## Lesson 1

OPT*ins* is a secure, web-based program accessed through your Internet browser. OPT*ins* is tested on Firefox and Internet Explorer. We do not test and cannot support Apple browsers.

This lesson covers the following topics:

- Browser Configuration

### Browser Configuration

OPT*ins* performs optimally using either Microsoft Internet Explorer or Firefox. System requirements dictate that users must log in through Internet Explorer 7 or higher.

All versions of Firefox are system compliant.

Most NAIC applications are written using JavaScript 1.2 or higher and use cookies. Consequently, these applications perform optimally with browsers configured as follows:

- JavaScript 1.2 or higher enabled
- Cookies accepted
- Pop-up blockers disabled
- SSL 3.0 enabled

# OPTins User Training Manual - State

## Lesson 2

In this lesson we will review logging into OPTins as well as the OPTins Workspace. User Preferences, State Configuration Settings and State Accounts will be discussed as well.

OPTins state users must have an Account in order to access the OPTins application. Initiate the process by contacting the OPTins Marketing Team at [optinsmktg@naic.org](mailto:optinsmktg@naic.org) or 816-783-8787. This lesson assumes that the state has already completed the implementation process.

This lesson covers the following topics:

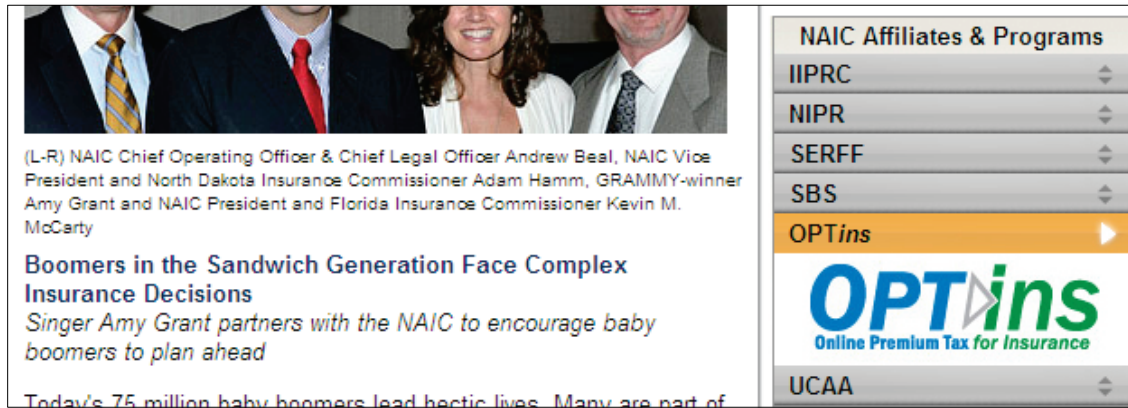
- OPTins Login
- OPTins Workspace
- User Preferences
- User Admin Forms
- State Configuration Settings
  - Filing Periods
  - Payment Types
  - Company Types
  - Filing Period Requirements
- State Account

## OPTins User Training Manual - State

### ➔ OPTins Login

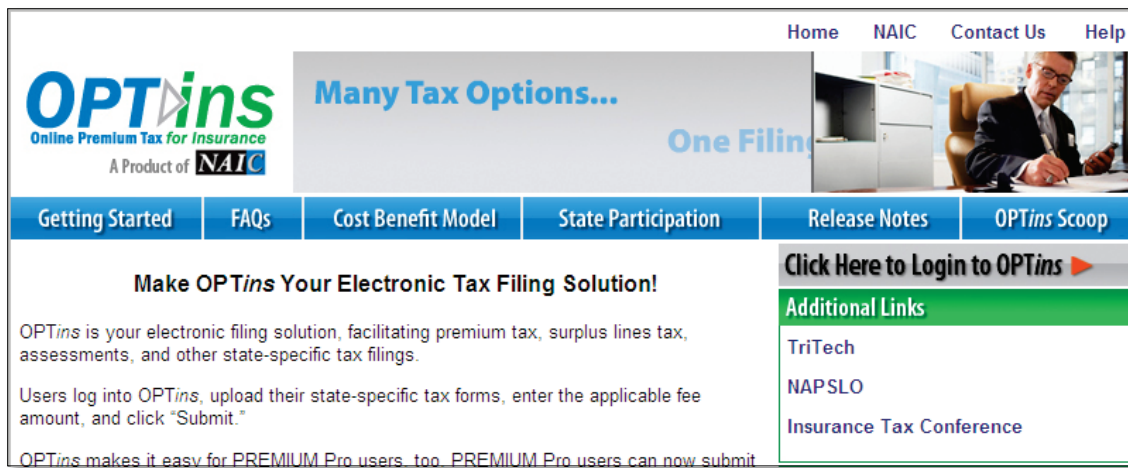
1. Access the OPTins login page either by clicking on the OPTins logo on the NAIC website, [www.naic.org](http://www.naic.org), or from the OPTins website, [www.optins.org](http://www.optins.org).

#### NAIC Website Access ([www.naic.org](http://www.naic.org))



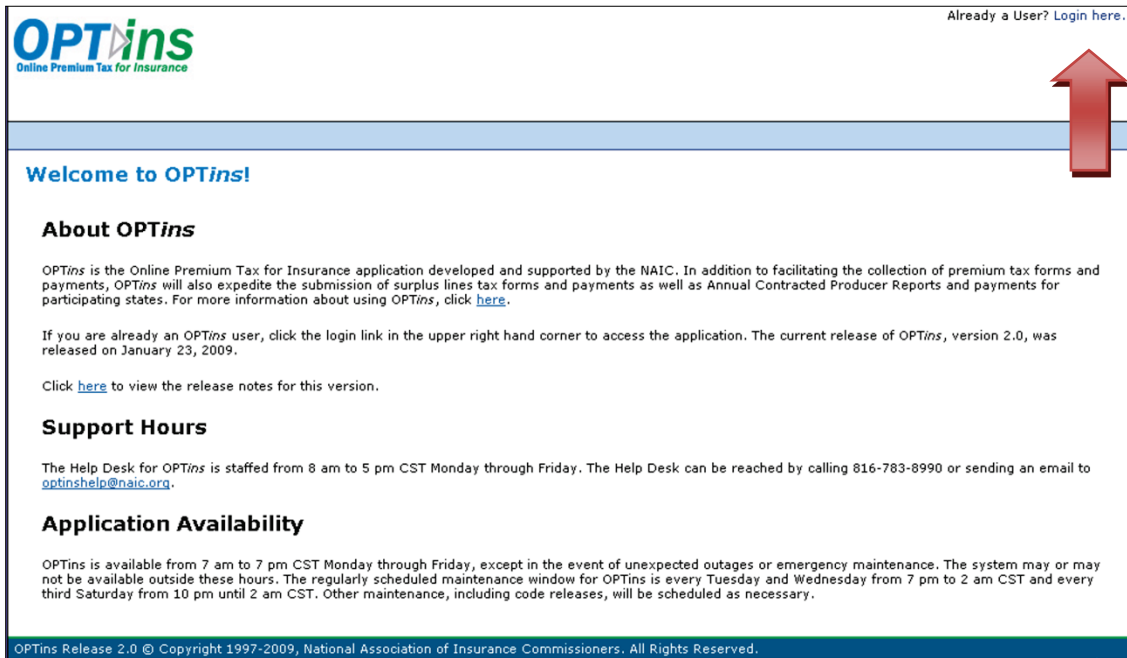
The screenshot shows a portion of the NAIC website. On the left, there is a photo of four people in professional attire. Below the photo is a caption: "(L-R) NAIC Chief Operating Officer & Chief Legal Officer Andrew Beal, NAIC Vice President and North Dakota Insurance Commissioner Adam Hamm, GRAMMY-winner Amy Grant and NAIC President and Florida Insurance Commissioner Kevin M. McCarty". Below the caption is a headline: "Boomers in the Sandwich Generation Face Complex Insurance Decisions" and a sub-headline: "Singer Amy Grant partners with the NAIC to encourage baby boomers to plan ahead". At the bottom of this section, it says "Today's 75 million baby boomers lead hectic lives. Many are part of". On the right side of the screenshot is a vertical navigation menu titled "NAIC Affiliates & Programs". The menu items are: IIPRC, NIPR, SERFF, SBS, OPTins (highlighted in orange with a right-pointing arrow), and UCAA. A large red arrow points from the right towards the OPTins menu item.

#### OPTins Website Access ([www.optins.org](http://www.optins.org))



The screenshot shows the OPTins website. At the top right, there are navigation links: Home, NAIC, Contact Us, and Help. The main header features the OPTins logo (Online Premium Tax for Insurance, A Product of NAIC) and the text "Many Tax Options... One Filing". Below the header is a horizontal navigation menu with buttons for: Getting Started, FAQs, Cost Benefit Model, State Participation, Release Notes, and OPTins Scoop. The main content area has a headline: "Make OPTins Your Electronic Tax Filing Solution!". Below this is a paragraph: "OPTins is your electronic filing solution, facilitating premium tax, surplus lines tax, assessments, and other state-specific tax filings." and another paragraph: "Users log into OPTins, upload their state-specific tax forms, enter the applicable fee amount, and click 'Submit.'" At the bottom of the main content area, it says "OPTins makes it easy for PREMIUM Pro users, too. PREMIUM Pro users can now submit". On the right side of the main content area is a box titled "Click Here to Login to OPTins" with a right-pointing arrow. Below this box is a section titled "Additional Links" with three links: TriTech, NAPSLO, and Insurance Tax Conference. A large red arrow points from the right towards the "Click Here to Login to OPTins" button.

2. If you log in from the NAIC website, you will be directed to the OPTins website ([www.optins.org](http://www.optins.org)). You will then need to click on the button on the right side of the screen to be directed to the OPTins Splash Page.
3. Once on the Splash Page, click on "Login Here" in the upper right-hand corner of the screen to be directed to the application login page.



OPTins  
Online Premium Tax for Insurance

Already a User? [Login here.](#)

## Welcome to OPTins!

### About OPTins

OPTins is the Online Premium Tax for Insurance application developed and supported by the NAIC. In addition to facilitating the collection of premium tax forms and payments, OPTins will also expedite the submission of surplus lines tax forms and payments as well as Annual Contracted Producer Reports and payments for participating states. For more information about using OPTins, click [here](#).

If you are already an OPTins user, click the login link in the upper right hand corner to access the application. The current release of OPTins, version 2.0, was released on January 23, 2009.

Click [here](#) to view the release notes for this version.


### Support Hours

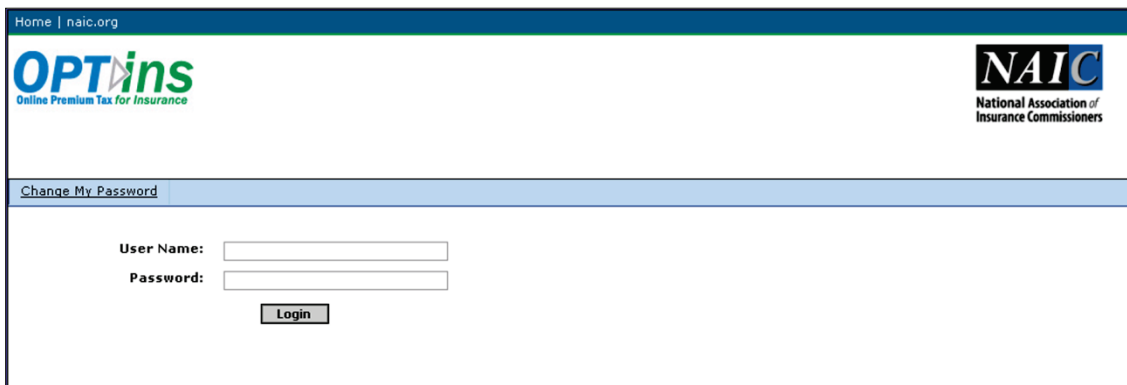
The Help Desk for OPTins is staffed from 8 am to 5 pm CST Monday through Friday. The Help Desk can be reached by calling 816-783-8990 or sending an email to [optinshelp@naic.org](mailto:optinshelp@naic.org).

### Application Availability

OPTins is available from 7 am to 7 pm CST Monday through Friday, except in the event of unexpected outages or emergency maintenance. The system may or may not be available outside these hours. The regularly scheduled maintenance window for OPTins is every Tuesday and Wednesday from 7 pm to 2 am CST and every third Saturday from 10 pm until 2 am CST. Other maintenance, including code releases, will be scheduled as necessary.

OPTins Release 2.0 © Copyright 1997-2009, National Association of Insurance Commissioners. All Rights Reserved.

4. Type in your username (provided by the NAIC) in the User Name box.
5. Type in your temporary password (provided by the NAIC) in the Password box.
6. Click the  button.



Home | [naic.org](http://naic.org)

OPTins  
Online Premium Tax for Insurance

NAIC  
National Association of  
Insurance Commissioners


[Change My Password](#)

User Name:

Password:

When you initially login, you will be prompted to change your password. *Please note that passwords are set to expire every 90 days.*

The screenshot shows the 'Change Password' interface. At the top left is the OPTins logo (Online Premium Tax for Insurance) and at the top right is the NAIC logo (National Association of Insurance Commissioners). The main area contains four input fields: 'User Name', 'Existing Password', 'New Password', and 'Confirm New Password'. Below these fields are two buttons: 'Change Password' and 'Cancel'. To the right of the input fields is a 'Password Requirements' sidebar with a question mark icon. The requirements listed are: Passwords are case sensitive; Minimum seven characters; Maximum thirty characters; Must contain at least one numeric character; Must contain at least one lowercase letter; Permitted special characters: @%.\$!^~\*\_#; and Cannot reuse old passwords.

1. Enter your username (assigned by the NAIC) in the User Name box.
2. Enter your current password (assigned by the NAIC) in the Existing Password box.
3. Enter a new, personalized password in the first New Password box. Please note the password rules:
  - Passwords must be at least seven characters with a maximum of thirty characters;
  - Passwords must contain at least one number and one lowercase letter;
  - Certain characters are permitted: @%.\$!^~\*\_#;
  - You cannot reuse previous passwords.
4. Re-type your new personalized password in the second New Password box for confirmation.
5. Click on the  button.



## ➔ OPTins Workspace

The OPTins Workspace offers states the ability to search for filings, run EFT reports, manage their User Preferences and State Configuration Settings, as well as access to the i-Site and State Based Systems (SBS) applications. *\*You must be an SBS state in order to view the SBS link.*

Welcome, Laura Jackson  
Delaware Surplus Line  
Logo

Filings Settings Transactions  
Search Filings Create Filing Financial Reports i-site.naic.org SBS

**Search** ?

Entity Name : \_\_\_\_\_ Tracking Number: \_\_\_\_\_ Fiscal Year: \_\_\_\_\_

Entity Identifier :  
ID : NAIC Company Code \_\_\_\_\_  
\_\_\_\_\_

Date Submitted :  
Start Date : \_\_\_\_\_  
End Date : \_\_\_\_\_

Filing Period Type : \_\_\_\_\_  
Filing Period :  
not applicable

Company Type : \_\_\_\_\_ State Status : \_\_\_\_\_  
State Of Domicile : \_\_\_\_\_ Assignee : \_\_\_\_\_

Search Quick Export Complete Export Clear


Search Results  
Batch Update ?

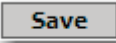
The OPTins Workspace contains two tabs with corresponding links. State users with either of the State Transaction roles will also see a third tab – Transactions. (Transactions will be covered later in the manual.):

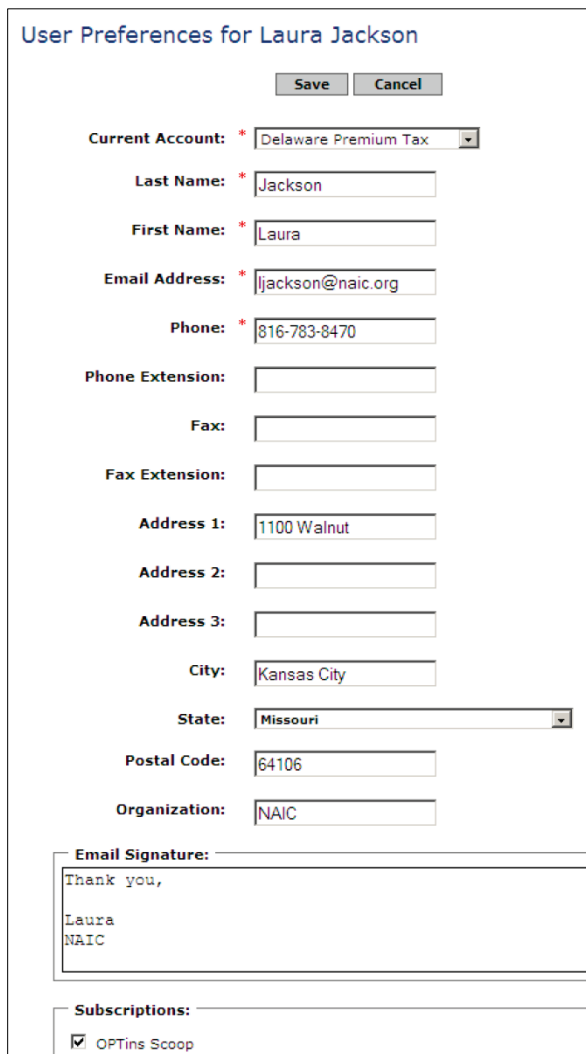
- Filings: All filings are managed on the Filings tab.
  - Search Filings: This is the initial view upon login. States can search for filings based on a variety of criteria.
  - EFT Reports: This link allows states to balance the fees received on filings against their bank statements by running an EFT report.
  - i-Site Link: This link will take states directly to the NAIC's i-Site system so they can research annual state data.
  - SBS Link: This link will be active for all states using SBS and can be set up to direct to a specific SBS service.
- Settings:
  - User Preferences: All user contact information is managed on the User Preferences tab.
  - State Configuration: The states can enter and manage their State Configuration settings; including which Filing Periods they will accept, Payment Types, Company Types for which they will accept filings, and Filing Configurations link the filing periods, payment types and company types to the individual state forms. . State Configuration must be coordinated with the OPTins staff.
  - State Account: The State Account is created by OPTins staff and cannot be edited.
  - User Admin Links: Users with the User Admin role will see three additional links: "Request New User," "Request User Update," and "Request User Deactivate."

## OPTins User Training Manual - State

### ➔ User Preferences

When you initially log into OPTins, you should choose the Settings tab and enter the balance of your contact information. (The NAIC will enter your first and last name, email address and phone number during initial set-up.) After your contact information has been entered, you can edit the data at any time by simply clicking the  button.

1. Click on the “Settings” tab.
2. If your state has multiple Accounts, i.e. an Account for Premium Tax and a separate Account for Surplus Lines taxes, you can toggle between the Accounts to review the filings, if you have the appropriate access to do so. Select the Current Account from the drop down menu to switch Accounts.
3. Enter all of your contact information, including fax number and mailing address.
4. Enter your state and/or department in the Organization field.
5. Enter an Email Signature to include when emailing comments to filers through the Update Filing option.
6. Maintain your subscription to the OPTins Scoop by checking or unchecking the selection check box.
7. Click on the  button.



The screenshot shows a web form titled "User Preferences for Laura Jackson". At the top right are "Save" and "Cancel" buttons. The form contains the following fields:

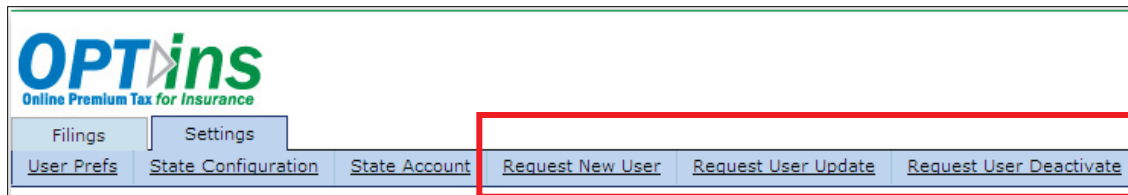
- Current Account:** \* Delaware Premium Tax (dropdown menu)
- Last Name:** \* Jackson
- First Name:** \* Laura
- Email Address:** \* ljackson@naic.org
- Phone:** \* 816-783-8470
- Phone Extension:**
- Fax:**
- Fax Extension:**
- Address 1:** 1100 Walnut
- Address 2:**
- Address 3:**
- City:** Kansas City
- State:** Missouri (dropdown menu)
- Postal Code:** 64106
- Organization:** NAIC

**Email Signature:** Thank you,  
Laura  
NAIC

**Subscriptions:**  OPTins Scoop

### ➔ User Admin Forms

To make changes to the users who have access to OPTins or to add a new user to an OPTins account, a User Admin request must be submitted to the Help Desk using the User Admin Forms in OPTins. Current users who have the “User Admin” role will see the following User Admin links across the top of the Settings tab: “Request New User,” “Request User Update,” and “Request User Deactivate.” All User Admin requests will be directed to the Help Desk for processing. The User will be notified once the request has been completed.



### ➔ Request a New User

1. Click on the “Request New User” link.
2. The e-mail address of the User submitting the request will automatically populate.
3. Fill in all fields. Note that any field with a red asterisks is a required field.
4. Check the radio box next to all of the roles to be assigned to the new User.
5. Confirm the selection check box next to the OPTins Scoop Subscription is checked.
6. Provide any applicable additional information in the Additional Information field.
7. Click “Submit.”
8. The new User will receive a confidential e-mail from the Help Desk containing their Username and Password.

# OPTins User Training Manual - State

**New User Request** ?

**Requestor E-mail:** \*

**New User's First Name:** \*

**New User's Last Name:** \*

**New User's E-Mail:** \*

**New User's Phone:** \*

**New User's Extension:**

**Available User Roles:** \*

- State Regulator** - Allows the user to review submitted filings, amend filings, and create paper filings.
- State Configuration Manager** - Allows the user to maintain state configuration settings including: Filing Periods, Payment Types, Company Types, and the Filing Requirements part of Filing Configurations.
- EFT Report Reviewer** - Allows the user to execute and review EFT reports.
- Filing Entity Administrator** - Allows the user to add new and edit existing filing entities on their Account.
- User Admin Request User** - Allows the user to request new users, update current user roles, and deactivate users on behalf of their Account.
- Enhanced Export** - Allows the user to request a complete export to be transformed from the standard XML to another output style.
- State Payment Report Reviewer** - Allows the state user to execute and review Payment reports.
- State Transaction Maintainer** - Allows the user to view and maintain the payment balance totals of filing entities that have filed to their state account.
- State Transaction Viewer** - Allows the user to ONLY VIEW the payment balance totals of filing entities that have filed to their state account.
- State Specific Field Administrator** - Allows the state user to maintain state specific fields.

**Available Subscriptions:**  OPTins Scoop

**Additional Information:**

## OPT<sup>ins</sup> User Training Manual - State

### ➔ Request User Update

1. Click on the “Request User Update” link.
2. Choose the User to update from the “User” drop-down.
3. Select the updated roles to be assigned to the User. Note, if there are roles assigned that should be removed, please de-select the role and put a note in the Additional Information explaining your request.
4. Click “Submit.”

The screenshot shows a web form titled "Update Existing User Request" with a help icon. At the top are "Submit" and "Reset" buttons. The form contains the following fields:

- Requestor E-mail:** A text input field containing "currentstateuser@naic.org".
- User:** A dropdown menu with "-- Please Select --" selected.
- Available User Roles:** A list of roles, each with an unchecked checkbox and a description:
  - State Regulator** - Allows the user to review submitted filings, amend filings, and create paper filings.
  - State Configuration Manager** - Allows the user to maintain state configuration settings including: Company Types, Payment Types, Filing Periods, and Filing Period Requirements.
  - EFT Report Reviewer** - Allows the user to execute and review EFT reports.
  - Filing Entity Administrator** - Allows the user to add new and edit existing filing entities on their Account.
  - User Admin Request User** - Allows the user to request new users, update current user roles, and deactivate users on behalf of their Account.
  - Enhanced Export** - Allows the user to request a complete export to be transformed from the standard XML to another output style.
  - State Payment Report Reviewer** - Allows the state user to execute and review Payment reports.
  - State Transaction Maintainer** - Allows the user to view and maintain the payment balance totals of filing entities that have filed to their state account.
  - State Transaction Viewer** - Allows the user to ONLY VIEW the payment balance totals of filing entities that have filed to their state account.

### ➔ Request User Deactivate

1. Click on the “Request User Deactivate” link.
2. The e-mail address of the User submitting the request will automatically populate.
3. Choose the User to be deactivated from the “User” drop-down.
4. If there is any additional information that the Help Desk would need to know, enter the data in the “Additional Information” field.
5. Click “Submit.”

The screenshot shows a web form titled "Deactivate User Request" with a help icon. At the top are "Submit" and "Reset" buttons. The form contains the following fields:

- Requestor E-mail:** A text input field containing "stateuser@state.org".
- User:** A dropdown menu with "-- Please Select --" selected.
- Additional Information:** A large, empty text area for providing extra details.

\* indicates a required field.

## OPTins User Training Manual - State

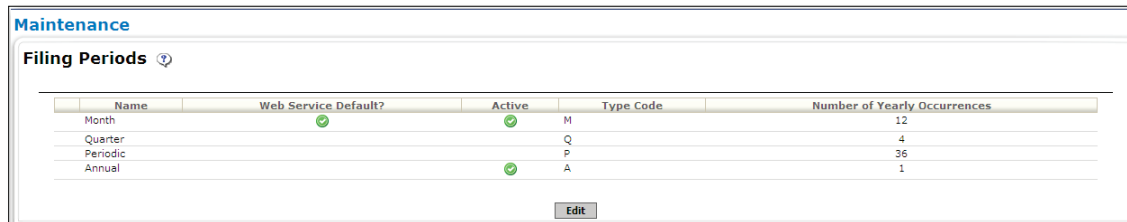
### → State Configuration Settings

Before your state can receive and review filings, the State Configuration Settings must be created. These settings will guide the user through the filing process by communicating the required forms, Filing Periods accepted, Payment Types accepted and Company Types accepted. To access the State Configuration Settings, you should choose the Settings tab.


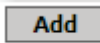

**\*\*NOTE: State Configuration will be administered, with state guidance, by the OPTins staff.**

### → Filing Periods

Communicate which Filing Periods are accepted by your state by adding your state-specific Filing Periods. OPTins automatically allows for Annual Filing Periods, but states can also activate Interim Periods. In the example below, we've used the Interim Period "Quarter," but you have the flexibility of naming the Interim Period based on your state-specific requirements (Installment, Payment Vouchers, etc.).




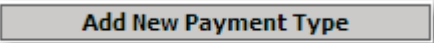

| Name     | Web Service Default?                | Active                              | Type Code | Number of Yearly Occurrences |
|----------|-------------------------------------|-------------------------------------|-----------|------------------------------|
| Month    | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | M         | 12                           |
| Quarter  |                                     | <input checked="" type="checkbox"/> | Q         | 4                            |
| Periodic |                                     | <input type="checkbox"/>            | P         | 36                           |
| Annual   |                                     | <input checked="" type="checkbox"/> | A         | 1                            |

1. Select the  button in the Filing Periods box.
2. Click on the  button to add a new field for an Interim Filing Period.
3. Enter the Interim Period name, assign a Type Code and enter the number of Yearly Occurrences.
4. Select the "Active" box next to each Filing Period to activate the specific Filing Period. If there is no check mark next to the Filing Period, it will not be activated and the user will not be able to submit filings for that specific Filing Period.
5. Select the  button to save your entry.

➔ **Payment Types**

State-specific payment types must be created in order to accept fee payments via OPTins. States are offered the flexibility of naming the specific Payment Types accepted. For example: Taxes, Fees, Penalty, ACP, etc. **\*\*NOTE: States must contact the OPTins staff when changing or adding Payment Types.**

| Sort | Active                              | Default                          | Name              | Code | Description |
|------|-------------------------------------|----------------------------------|-------------------|------|-------------|
| ↕    | <input checked="" type="checkbox"/> | <input checked="" type="radio"/> | Surplus Lines Tax | SLT  |             |
| ↕    | <input checked="" type="checkbox"/> | <input type="radio"/>            | Premium           |      | Premium Tax |
| ↕    | <input type="checkbox"/>            | <input type="radio"/>            | New Tax           |      |             |
| ↕    | <input type="checkbox"/>            | <input type="radio"/>            |                   |      |             |

1. Select the  button in the Payment Types box.
2. Select the  button.
3. Enter the Payment Type name in the “Name” field.
4. Enter the Payment Type Code in the “Code” field. This code can be anything the states want, but must be unique. The Payment Type Code must be entered when a new Payment Type is added. This field is not editable after the new Payment Type has been saved.
5. Enter the Payment Type description in the “Description” field. This field is for internal description only. The description cannot be viewed by industry users.
6. Change the order of the Payment Types by hovering over the arrows in the Sort column until highlighted blue. Drag the Payment Type to the desired location in the Payment Types list. Please note, the default Payment Type will always be the top option in the Payment Types list.
7. Repeat this process for each Payment Type. When finished, select the  button.
8. A Payment Type can be deactivated at any time by removing the checkmark from the “Active” box next to the Payment Type. Payment Types cannot be deleted. **\*\*NOTE: Any changes to Payment Types must be coordinated with OPTins staff.**

➔ **Company Types**

OPTins offers states the flexibility of creating state-specific Company Types for all filings. The Company Type Name and Special Instructions are free-form fields. The Company Types will link up with the Filing Requirements to guide the user to the necessary forms. There is no limit to the number of Company Types your state can create.

| Company Type Name | Special Instructions                                    |
|-------------------|---|
| Domestic Life     |   |
| Domestic P&C      |   |
| Foreign Life      |   |
| Foreign P&C       |   |
| Insurance Company |   |
| Title             |   |
| Warranty          | Enter specific company type instructions in this field. |

**Add Company Type**   **Save**   **Cancel**

1. Select the **Edit** button in the Company Types box.
2. Select the **Add Company Type** button to generate the field.
3. Enter the Company Type Name. Use sentence capitalization as OPTins will create the Company Type Name exactly as entered.
4. Enter details regarding the Company Type in the Special Instructions field. This data will appear as “Additional Instructions” in the State Instructions for Submission section. This is an optional field, but a good resource to communicate instructions critical to the company preparing their filings.
5. Repeat this process for each Company Type.
6. When finished, click on the **Save** button.



➔ **Filing Configurations**

States may have different Filing Requirements, Vendor Requirements and field Requirements for each Filing Period accepted. Any forms related to the Filing Requirements should be an interactive PDF, or in some cases a Microsoft Excel form. The users are required to download the form to their network, complete the form, and upload and submit the completed form to the state along with their taxes or fees. The forms are created for states by OPTins staff, which helps to ensure an accurate tax form is submitted as data fields can be parsed, flagged as required and all calculations are built into the form. Additionally, the interactive forms allow the states to extract the data, assisting with their auditing and reporting.

**Please note, to edit or add a new Filing Configuration please contact the OPTins Marketing Team at [optinsmktg.org](http://optinsmktg.org).**

To view your current Filing Configurations:

1. If 'Open' is not yet expanded, click the arrow to the left of 'Open' to expand the section.
2. Select 'View' to the right of the Filing Configuration you wish to view.
3. Then, the Filing Configuration will open showing you an expanded view of what is displayed on the previous screen. This new screen will also display any Vendor Requirements and Field Requirements that were set up by the OPTins staff.



| Name                | Filing Period | Company Types  | Begin Year | End Year | Forms   | Actions              |
|---------------------|---------------|--|------------|----------|---|----------------------|
| DE_Captive_Annual   | Annual        | Captive  | 2011       |          | Captive Instructions.pdf<br>Captive-11-OPTins-Final.pdf<br>SponsorCellCaptive-11-OPTins-Final.pdf<br>Notary Affidavit.pdf | <a href="#">View</a> |
| DE_Domestic_Annual  | Annual        | Domestic L & H<br>Domestic P & C                       | 2011       |          | Domestic Instructions.pdf<br>Domestic-11-OPTins-Final-2.pdf<br>Notary Affidavit.pdf                                       | <a href="#">View</a> |
| DE_DPO_Annual       | Annual        | DPO-HMO-HSC  | 2011       |          | DPO-HMO-HSC-11-OPTins-Final.pdf<br>Notary Affidavit.pdf   | <a href="#">View</a> |
| DE_Foreign_Annual   | Annual        | Alien<br>Foreign L & H<br>Foreign P & C<br>Foreign RRC | 2011       |          | Foreign Instructions.pdf<br>Notary Affidavit.pdf<br>Foreign-11-OPTins-Final.pdf   | <a href="#">View</a> |
| DE_Fraternal_Annual | Annual        | Fraternal  | 2011       |          | Fraternal Instructions.pdf<br>Fraternal-11-OPTins-Final.pdf<br>Notary Affidavit.pdf                                       | <a href="#">View</a> |

## OPTins User Training Manual - State

**Maintain Filing Configuration** \* Asterisk image denotes required field.

Configure Filing Period:

Filing Configuration Name: \* DE\_Captive\_Annual

Begin Year: \* 2011

End Year:

---

**Filing Requirements**

| Forms: | File Name  | Form Name             | Required? | Parsed? |
|--------|--|-----------------------|-----------|---------|
|        | <a href="#">Captive Instructions.pdf</a>               | Captive Instructions  |           |         |
|        | <a href="#">Captive-11-OPTins-Final.pdf</a>            | Captive-11            |           | ✔       |
|        | <a href="#">SponsorCellCaptive-11-OPTins-Final.pdf</a> | SponsorCellCaptive-11 |           | ✔       |
|        | <a href="#">Notary Affidavit.pdf</a>                   | Notary Affidavit      | ✔         |         |

**Additional Info:** The documents in OPTins do need to be completed and uploaded as the electronic version of the tax form. To download click on the download icon (see legend at the bottom of the screen), once the document opens, click on File and then Save As, locate a place on your computer to save the file and rename it to what you would like. Once the file is saved close the electronic version and locate the file on your computer to complete the document. Once the form is complete then click Upload from OPTins and locate the completed document. The OPTins Notary Affidavit does need to be printed, signed, notarized and then scanned back into OPTins.

---

**Vendor Requirements**

Vendor Company Types:


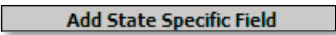
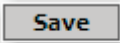
---

**Field Requirements**

### → State Specific Field Definitions

State Specific Fields gives you the ability to track state specific data elements. Once a State Specific Field is defined it will display in the OPTins filing as well as the Maintain State Specific Field Data page. *Please note: You must have the State Specific Field Administrator role to have access to maintain these fields.*

To add a State Specific Field:

1. Select the  button under the State Specific Fields Definition section.
2. Select the  button to begin adding a new field.
3. Enter a State Specific Field Label in the Label field.
4. Select the field type from the Type drop-down. The different field type options are Date, Memo, Money, Numeric, Text, or True/False.
5. Select the 'Show On Filing' box to indicate a State Specific Field will display on the filing view screen. Deselect the 'Show On Filing' box to indicate a state specific field will not display on the filing view screen.
6. Select the 'Active' box to indicate a state specific field is active. Deselect the 'Active' box to indicate a state specific field is inactive. Please note: Only active fields can be updated.
7. Change the order of the State Specific Fields by hovering over the arrows in the Sort column until highlighted blue. Drag the State Specific Field to the desired location in the State Specific Fields list.
8. Click  to add the new State Specific Field.

**State Specific Field Definitions** ?

| Sort | Label         | Type | Show On Filing                      | Active                              |
|------|---------------|------|-------------------------------------|-------------------------------------|
| ↑    | Date Reviewed | Date | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |

### **State Account**

The State Account is created by OPT*ins* staff. States can have multiple accounts, based on the different filing types accepted. Example: Premium Tax, Surplus Lines, Assessments, etc.

Each of the State Accounts will populate when the industry creates their filing, prompting them to choose the correct account based on the type of filing being submitted.

The State Account will also link the state's bank account information to the account with the UNID. This number is specific to each state and directs the EFT funds to the correct bank account.

## OPT*ins* User Training Manual - State

### Lesson 3

In this lesson, we will review how to audit a filing within OPT*ins*. This lesson assumes that the state has already updated their State Configuration Settings and User Preferences.

This lesson covers the following topics:

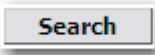
- Locate New Filings
- Assign Filings
  - Batch Update
  - Within a Filing
- View SBS Licensing Data
- Update Filings
  - Request Additional Taxes or Fees
  - Assess a Penalty
  - Update the State Status
    - Batch Update
    - Within a Filing
- Filing Revisions
  - Amend Filing
  - Reallocate Funds
- Create Paper Filing

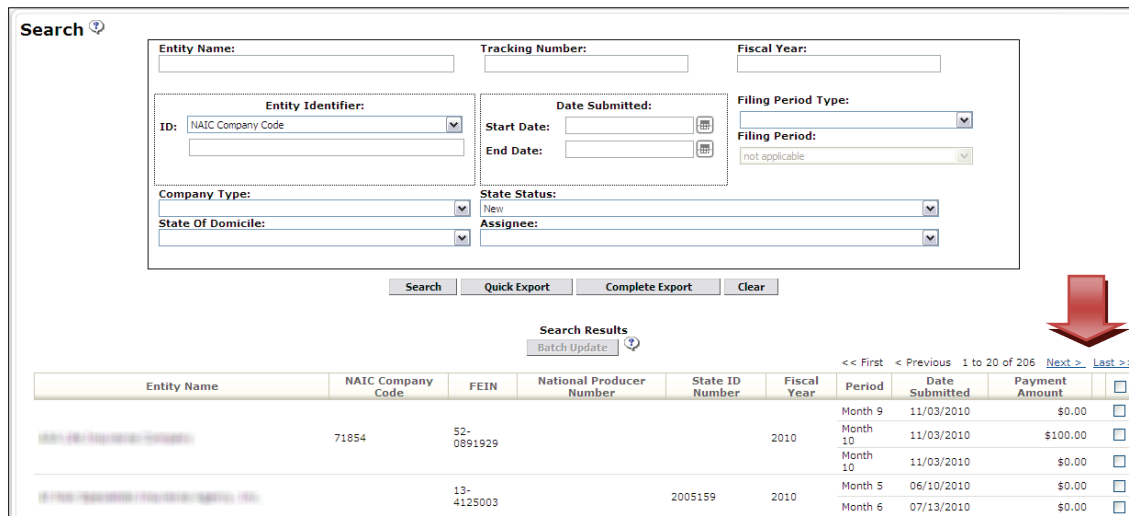
## OPTins User Training Manual - State

### ➔ Locate New Filings


Each time you log into OPTins, you will be directed to the Search screen. Any new filings that have been submitted since you last logged into OPTins will automatically populate in Search Results. This includes filings that have been amended by the industry.

If you've been logged in for a period of time, new filing submissions will not automatically generate. You will need to use the Search tool to locate new filings that were submitted to the state after you logged into a current OPTins session. Make sure the Search Status is "New."

Click on the  button.



| Entity Name | NAIC Company Code | FEIN       | National Producer Number | State ID Number | Fiscal Year | Period   | Date Submitted | Payment Amount |                          |
|-------------|-------------------|------------|--------------------------|-----------------|-------------|----------|----------------|----------------|--------------------------|
|             | 71854             | 52-0891929 |                          |                 | 2010        | Month 9  | 11/03/2010     | \$0.00         | <input type="checkbox"/> |
|             |                   |            |                          |                 |             | Month 10 | 11/03/2010     | \$100.00       | <input type="checkbox"/> |
|             |                   |            |                          |                 |             | Month 10 | 11/03/2010     | \$0.00         | <input type="checkbox"/> |
|             |                   | 13-4125003 |                          | 2005159         | 2010        | Month 5  | 06/10/2010     | \$0.00         | <input type="checkbox"/> |
|             |                   |            |                          |                 |             | Month 6  | 07/13/2010     | \$0.00         | <input type="checkbox"/> |

The Search Results will update, listing any companies containing a new or amended filing submission. Amendments will be indicated with an icon -  next to the Filing Period.

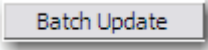


Hover your mouse over the filing on the Search Results field. If you mouse to the left, by the Entity Name, you can view all filings for that company for a fiscal year. If you mouse to the right, by the Period, you can choose the specific Filing Period for that company. The field will turn a light shade of grey. Click to select the desired filing view and open the filing.

OPTins will display twenty (20) Entities at a time in the Search results. Users can page through the results by clicking on the "Next" link or "Last" link found at the top or bottom of the Search results.

➔ **Assign Filings**

There are two ways to assign filings to a specific reviewer or reviewers: Batch Update or Assign from within a filing.

➔ **Batch Update**



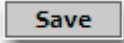
1. From the Search screen, select the box to the far right of each filing to be assigned to a specific reviewer.
2. Click on the  button.
3. When the Batch Filing Update box appears, choose the name of the reviewer, and click on the right arrow  button to select them. Click “Save.”
4. Once a filing has been assigned, the  icon will appear next to the filing in the Search results.

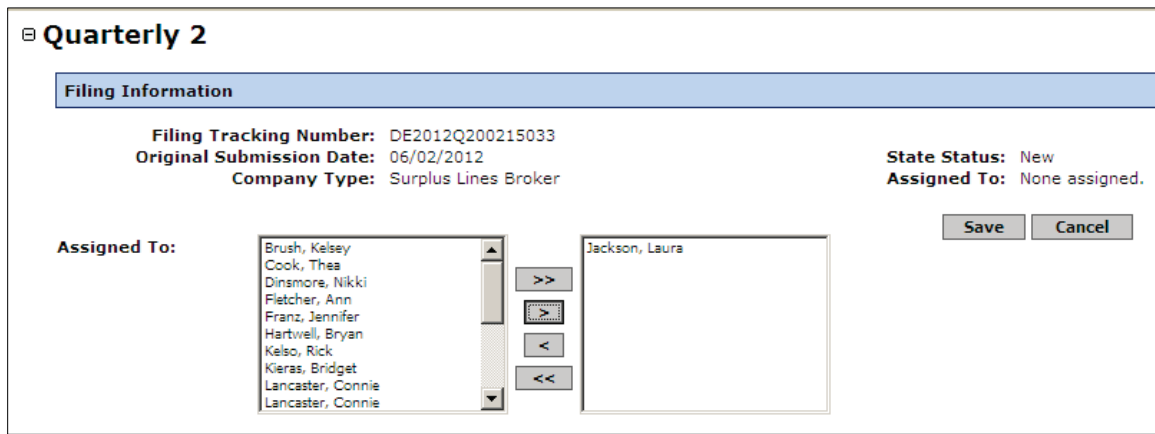
Search Results  
Batch Update

| Entity Name   | NAIC Company Code | FEIN       | National Prod. Number | State ID Number | Fiscal Year | Period        | Date Submitted | Payment Amount |  | <input type="checkbox"/> |
|---------------|-------------------|------------|-----------------------|-----------------|-------------|---------------|----------------|----------------|--|--------------------------|
| [Entity Name] | 61182             | 95-4441930 |                       |                 | 2011        | Semi-Annual 1 | 01/03/2011     | \$3,487.00     |  | <input type="checkbox"/> |
|               |                   |            |                       |                 |             | Annually 1    | 03/22/2011     | \$15,020.00    |  | <input type="checkbox"/> |
|               |                   |            |                       |                 |             | Annually 1    | 03/10/2011     | \$1,500.00     |  | <input type="checkbox"/> |
| [Entity Name] |                   | 44-0641314 |                       |                 | 2010        | Quarterly 1   | 01/04/2011     | \$5,855.00     |  | <input type="checkbox"/> |
|               |                   |            |                       |                 |             | Quarterly 2   | 01/05/2011     | \$951.00       |  | <input type="checkbox"/> |
|               |                   |            |                       |                 |             | Quarterly 3   | 03/10/2011     | \$15,020.00    |  | <input type="checkbox"/> |
| [Entity Name] | 23582             | 41-0417250 |                       |                 | 2011        | Quarterly 1   | 03/24/2011     | \$500.00       |  | <input type="checkbox"/> |
| [Entity Name] | 10060             | 31-1411772 |                       |                 | 2011        | Annually 1    | 03/24/2011     | \$85,481.00    |  | <input type="checkbox"/> |
|               |                   |            |                       |                 |             | Annually 1    | 03/22/2011     | \$45,100.00    |  | <input type="checkbox"/> |
| [Entity Name] | 64327             | 23-1580983 |                       |                 | 2010        | Quarterly 1   | 03/22/2011     | \$8,561.00     |  | <input type="checkbox"/> |
|               |                   |            |                       |                 |             | Quarterly 2   | 03/22/2011     | \$854.00       |  | <input type="checkbox"/> |
| [Entity Name] | 10674             | 23-2864924 |                       |                 | 2011        | Quarterly 1   | 03/24/2011     | \$89,924.00    |  | <input type="checkbox"/> |
| [Entity Name] |                   |            |                       |                 | 2010        | Annually 1    | 03/22/2011     | \$15,000.00    |  | <input type="checkbox"/> |
|               |                   |            |                       |                 |             | Quarterly 1   | 03/22/2011     | \$5,200.00     |  | <input type="checkbox"/> |

## OPTins User Training Manual - State

### ➔ Within a Filing

1. With the filing open select the  button to assign the filing for review.
2. A list of active reviewers will populate in the left box. Select the name(s) and then the right arrow button  to move the reviewer(s) into the right (active) box.
3. Select the  button.



**Quarterly 2**

**Filing Information**

**Filing Tracking Number:** DE2012Q200215033  
**Original Submission Date:** 06/02/2012  
**Company Type:** Surplus Lines Broker


**State Status:** New  
**Assigned To:** None assigned.

**Assigned To:**

Brush, Kelsey  
Cook, Thea  
Dinsmore, Nikki  
Fletcher, Ann  
Franz, Jennifer  
Hartwell, Bryan  
Kelso, Rick  
Kieras, Bridget  
Lancaster, Connie  
Lancaster, Connie


Jackson, Laura

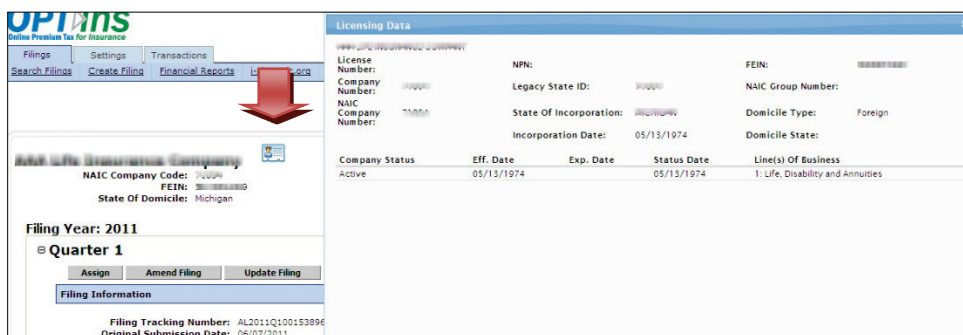
Save Cancel

Once the filing has been assigned, an  icon will appear next to the filing in the Search Results.

### ➔ View SBS Licensing Data

OPTins allows states using State Based Systems (SBS) to view licensing data for Entities from within a filing.

Once you've selected a filing from the Search screen, look for the View Licensing Data icon  next to the Entity name. Click on the icon to open up the Licensing Data details and confirm their licensing status.



**Licensing Data**

License Number: [REDACTED] NPN: [REDACTED] FEIN: [REDACTED]  
Company Number: [REDACTED] Legacy State ID: [REDACTED] NAIC Group Number: [REDACTED]  
NAIC Company Number: [REDACTED] State Of Incorporation: [REDACTED] Domicile Type: Foreign  
Incorporation Date: 05/13/1974 Domicile State: [REDACTED]

| Company Status | Eff. Date  | Exp. Date | Status Date | Line(s) Of Business               |
|----------------|------------|-----------|-------------|-----------------------------------|
| Active         | 05/13/1974 | Exp. Date | 05/13/1974  | 1: Life, Disability and Annuities |

**Quarterly 1**

**Filing Information**

**Filing Tracking Number:** AL2011Q100153096  
**Original Submission Date:** 06/07/2011

## OPTins User Training Manual - State

### ➔ Review Filings

Once you are within a filing you can begin the filing review process.

From within each filing record, an overview of each Filing Period will be displayed, including any prior filings submitted via OPTins on behalf of the company. To hide Filing details for a Filing Period that is *not* currently being reviewed, select the “-” sign next to the Filing Period. The “-” symbol will change to a “+.” To display the Filing details for a Filing Period that has been hidden, select the “+” symbol next to the Filing Period. The “+” symbol will change to a “-” and the Filing details will be displayed. *NOTE: If there has been no filing for a particular period, the message “No OPTins Submission Made” will list underneath the Filing Period. There will not be a “-” or “+” symbol to select.*

1. Filing Information provides an overview of the filing information. This section lists Filing Tracking Number, Original Submission Date, Company Type, State Status, and the state reviewer that the filing is Assigned To.
2. The State Notes are available to keep notes throughout the review. These notes cannot be seen by the industry. If there are prior notes for the entity they will be shown in the banner area with the current State Notes.
3. Scroll down to the “Payment Information” header for an overview of payments submitted. All funds are submitted via EFT from the user bank account to the state bank account on the *business day after* the filing submission. You can run an EFT Report to confirm the fees remitted by the industry (*See EFT Reports.*).
4. Scroll down to the “Filing Summary” header for an overview of Filing Information, and to review any forms or attachments submitted. Click on the blue hyperlink (form name) under Filing Attachments to open the form.
5. While the form is open on your screen, complete the audit process. If you need to save the form to your network follow these steps:
  - a. Click on the “Save” button on the Adobe Acrobat toolbar.
  - b. Choose the area on your network or hard drive to save the form.
  - c. Confirm the name of the form is correct, and click “Save.”


If you need to make changes to a form and/or the submitter information fields, see Amend Filing.

6. Review the information included in the “Additional Info” field. *Note: Updating the “Additional Info” field is optional for the industry, so there may not be any information to review.*
7. *OPTIONAL:* State users can retrieve the Schedule T and State Pages for companies that have filed an NAIC Annual Statement. *This option will be available for annual premium tax filings only.* If there is no Annual Statement Data available, the “Available NAIC Annual Statements” field will indicate so. If there is data available, the links directly to the forms will be populated.

### ➔ Update Filings


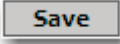
Update Filings and Amend Filings are two separate processes. Update Filings includes the initial audit process. Amend Filings will allow state users to make changes to forms after their original submission.

To Update Filings:

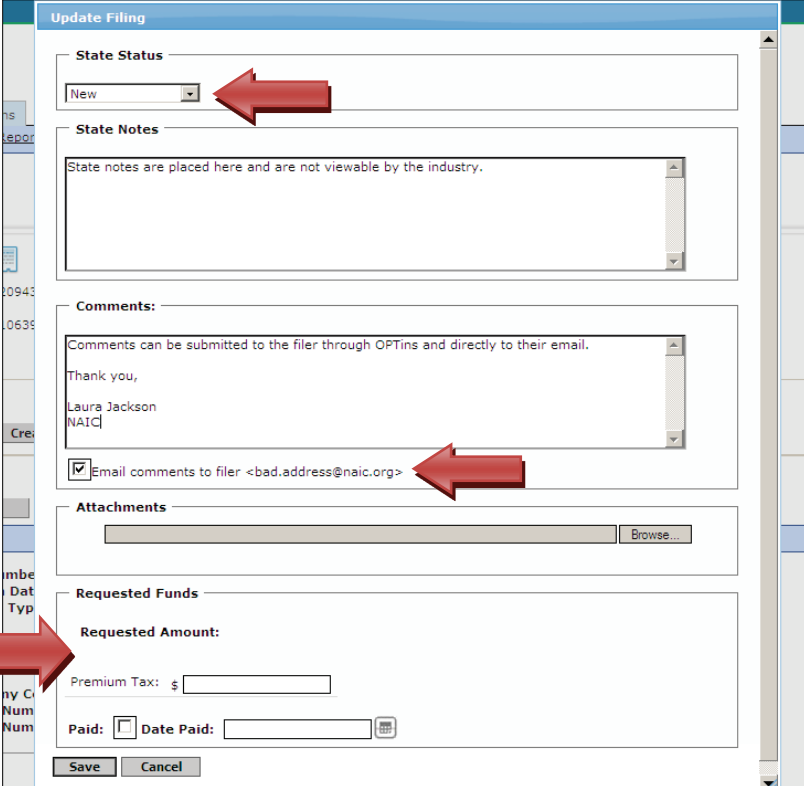
1. Once you have reviewed the filing and its attachments select the  button to initiate the review process.



## OPTins User Training Manual - State

- An Update Filing pop-up opens to begin the process.
- The State Status is a drop down field offering several options: "Complete," "Pending Industry," and "Under Review." Change the State Status from "New" to "Under Review."
  - Under Review – select this option when you are reviewing a filing for audit (*See Audit New Filings.*)
  - Pending Industry – select this option if you've requested additional information, an amended form, additional taxes or penalty fees (*See Requesting Additional Taxes or Fees.*)
  - Complete – select this option if the audit process is complete (*See Audit New Filings, Requesting Additional Taxes or Fees, Assessing a Penalty, or Amending Forms.*)
- The State Notes field is available to keep notes throughout the review. These notes cannot be seen by the industry.
- The Comments field allows you to send information directly to the filer. If you'd like to e-mail these comments to the filer, select the box next to "Email comments..." OPTins has incorporated a one-way email tool, allowing the states to email the user. The industry cannot reply to this email. By selecting the box next to "Email comments..." your signature from your User Preferences will be inserted into the Comments field.
- Add any attachments you wish to send to the filer by selecting the  button.
- The Requested Funds section will allow you to either Request Additional Taxes/Fees or Assess a Penalty (*see below for instructions on how to process either*).
- Once you have completed all necessary fields click on the  button.

Once you click "Save," your email is sent to the user notifying them of the requested revisions so they can then take necessary action (if you chose to email the comments).



The screenshot shows the 'Update Filing' form with the following sections and highlighted elements:

- State Status:** A dropdown menu currently set to 'New'. A red arrow points to this dropdown.
- State Notes:** A text area with the placeholder text: "State notes are placed here and are not viewable by the industry."
- Comments:** A text area containing the text: "Comments can be submitted to the filer through OPTins and directly to their email. Thank you, Laura Jackson NAIC". Below the text area is a checkbox labeled "Email comments to filer <bad.address@naic.org>" which is checked. A red arrow points to this checkbox.
- Attachments:** A section with a "Browse..." button.
- Requested Funds:** A section with a "Requested Amount:" label. Below it is a "Premium Tax: \$" field. A red arrow points to this field. Below the premium tax field is a "Paid:" checkbox and a "Date Paid:" field.
- Buttons:** "Save" and "Cancel" buttons are located at the bottom of the form.

## OPT<sup>ins</sup> User Training Manual - State

### ➔ Request Additional Taxes or Fees

1. Change the Status to “Pending Industry.”
2. Enter details in the Comments box. The comments should explain what the filer needs to correct. In this example, the request IS NOT an assessment of penalties, but a request for additional taxes. The reasoning behind the request should be included.
3. Click the box next to “Email comments to filer...” This will also populate your Signature you created in your User Preferences.
4. In the applicable Requested Amount Type box, enter the amount due.

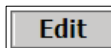
Or

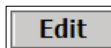
### ➔ Assess a Penalty

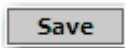
The steps for assessing a penalty are the same as above, except the details entered in the Comments box should reflect the reason for the penalty.

Once the industry has submitted the additional payment or fee due, you should be notified by either a phone call or an email (whichever you requested in your comments). From that point, you should Search for and update the filing.

1. Run an EFT Report confirming receipt of the funds. (*See EFT Reports*).



2. Click on the  button in the original Filing Revision.
3. Change the filing Status to “Complete.”
4. Mark the box next to the “Paid” field.
5. Enter the date the payment was received in the “Date Paid” field. Enter in mm/dd/yyyy format or use the calendar drop down button.



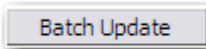
6. Click on the  button.

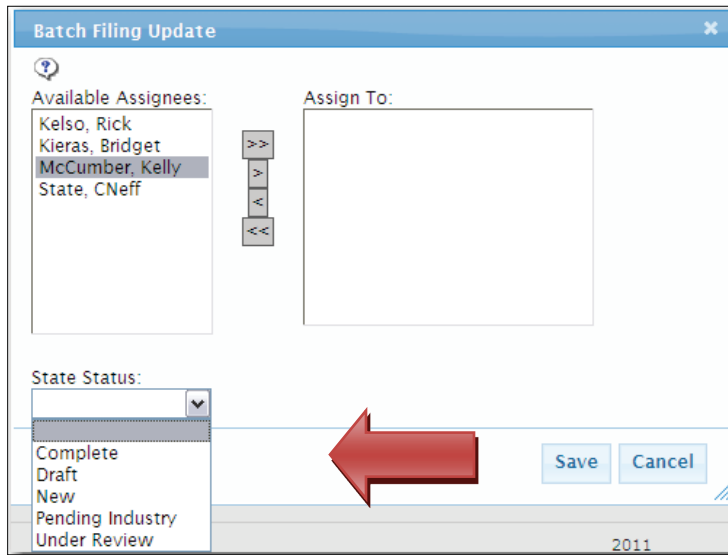
### ➔ Update the State Status

While the OPT<sup>ins</sup> Status automatically changes based on specific changes in status (only viewable by the Industry), states are responsible for keeping the State Status field updated. Status is a searchable field, so keeping the status correctly updated will assist in narrowing down your search range.

There are two ways to update the State Status, through a Batch Update, or from within the filing post-audit.

### ➔ Batch Update

1. From the Search screen, select the box to the far right of each filing to be updated.
2. Click on the  button.
3. When the Batch Filing Update box appears, choose the Filing Status from the State Status drop down menu. Click “Save.”



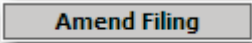
## ➔ Filing Revisions

OPTins allows states the flexibility amend previously submitted forms and to reallocate funds. All revisions are incorporated in the original filing, maintaining the integrity of the filing.

### ➔ Amend Filing

OPTins allows the state the flexibility to request or make changes to forms after the original submission. States can either amend the form themselves, or request the industry filer amend the form and resubmit the amendment to the state via OPTins.

Steps for a state to amend a form:

1. While viewing the Filing Details, select the  button.
2. If you need to update the Submitter data, change the information in the applicable fields. Completing this information enables you to utilize the one-way OPTins e-mail system to communicate to the filer, if necessary.
3. Several fields will appear, including a listing of all of the forms provided by the state and those originally submitted by the filer. The "State Provided" forms will be on the left, the industry filed forms will be on the right.

**Upload Form(s)**

**State Provided Forms**

|  |                          |   |
|--|--------------------------|---|
|  | Filing Instructions.pdf  | <a href="#">Upload</a>                            |
|  |                          | OPTins Quarterly Tax Payment 2010.pdf             |
|  | OPTins Quarterly Tax.pdf | <a href="#">Remove</a><br><a href="#">Replace</a> |

**Supporting Documents**

[Upload](#)

**Legend**

- Required    - Download Form

- You will need to save the form to your network or hard drive in order to make changes to the form, and then upload the amended form. To initiate the process, click on the paperclip icon - - next to the form submitted by the industry.
- The form will open up in Adobe Acrobat or Microsoft Excel (if the document is in Excel format). Click the Save button on the toolbar to save the form to your network or hard drive. Save the form with a similar, but different name, indicating an amendment. For example: *Amended OPTins Quarterly form.pdf*.
- Make the necessary amendments to the form and resave the document to your network or hard drive.
- Once the amendments are complete, you'll need to click on the button again, scroll to the "Upload Form" section, and click on the "Replace" link. This will replace the form originally submitted by the industry with the form you just amended.
- Upload the amended form into the filing by selecting the button, then choose the amended form from your network or hard drive, and select "Open" to add the form to the filing.

**Submitter Information:**

Name:  Phone #:

Email:  Submission Date:

**Upload Form(s)**

**State Provided Forms**

|  |  |                             |  |                             |   |
|--|--|-----------------------------|--|-----------------------------|---|
|  |  | SL-1917-11-OPTins-Final.pdf |  | SL-1917-11-OPTins-Final.pdf | <a href="#">Remove</a><br><a href="#">Replace</a> |
|--|--|-----------------------------|--|-----------------------------|---|

**Supporting Documents**


[Upload](#)





**Legend**

- Required    - Download Form

- You have the option of entering comments regarding the amended form in the "Provide Additional Information" field.
- Click on the button to save your changes.

## OPTins User Training Manual - State

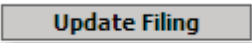
An overview of the Current Amendment and Original Submission will appear under the Filing Summary. The amendment icon  will appear, indicating an amendment to the filing.

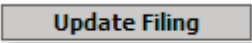
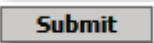
**Filing Summary**  
**Current Amendment**    
**Filer Information:** Kelly McCumber  
(816)231-2200  
[kmccumbe@naic.org](mailto:kmccumbe@naic.org)  
**Date Created:** 01/25/2010  
**Created By:** Kelly McCumber  
**Filing Attachments:**  [Amended- OPTins Quarterly Tax.pdf](#)   
**Additional Information:** No Additional Information  
**Original Submission**  
**Filer Information:** Kelly McCumber  
(816)231-2200  
[kmccumbe@naic.org](mailto:kmccumbe@naic.org)  
**Submission Date:** 01/25/2010  
**Filing Attachments:** [OPTins Quarterly Tax.pdf](#)  
**Additional Information:** No Additional Information

Once you've amended the filing, the Filing Status will default to "Complete." (See *Update the Filing Status*).

Unless changes are minimal, in most cases the industry will be amending the form. Following are steps to request that the industry amend a form:

1. Confirm that the filing Status is marked "Pending Industry."



2. Select the  button.
3. Scroll down to Comments field and enter your request. Be as detailed as possible with your request.
4. Select the box next to "Email comments to filer..." Make sure your email address is included in your signature if you want confirmation once the form has been amended and submitted via OPTins.
5. Click the  button to save your changes.

➔ **Reallocate Funds**

If the user submitted fees, but allocated them to the wrong Payment Type, states can reallocate the funds.

1. Under the Payment Information header, select the **Reallocate** button.
2. The “Payment Reallocation” box will appear. Enter the fee amount in the correct Payment Type field. For example, if fees were submitted as Annual, but were actually Installment fees; delete the fees in the Annual field and type the amount in the Installment field.
3. Confirm the amount in the “Total” field is correct.
4. Click the **Save** button.

**\*\* NOTE:** Reallocation is for the audit of the filing and for the state to document what the monies are for. Reallocation has no impact on EFT and does not transfer funds between bank accounts.

**Payment Information**

**Filing Payments:**

**09/29/2009**

|                               |               |
|-------------------------------|---------------|
| 3% Premium Tax                | \$126.00      |
| 1% Additional Premium Tax     | \$25.00       |
| 1% Annuity Tax                | \$56.00       |
| WV Fire & Casualty Surcharge  | \$173.00      |
| Workers' Comp. Debt Reduction | \$174.00      |
| Workers' Comp. Surcharge      | \$183.00      |
| <b>Total:</b>                 | <b>737.00</b> |

**Filing Summary**

**Filing Information**

**Filer Information:** Thea (816) tcook

**Submission Date:** 09/29

**Filing Attachments:**

**Payment Reallocation** ✕

|                                 |                                     |
|---------------------------------|-------------------------------------|
| 3% Premium Tax:                 | <input type="text" value="126.00"/> |
| 1% Additional Premium Tax:      | <input type="text" value="25.00"/>  |
| 1% Annuity Tax:                 | <input type="text" value="56.00"/>  |
| WV Fire & Casualty Surcharge:   | <input type="text" value="173.00"/> |
| Workers' Comp. Debt Reduction : | <input type="text" value="174.00"/> |
| Workers' Comp. Surcharge:       | <input type="text" value="183.00"/> |
| <b>Total:</b>                   | <input type="text" value="737.00"/> |

➔ **Create Paper Filing**

States may choose to use OPTins for all tracking and reporting of the accepted types of filings, even those filings not submitted via OPTins, thus creating a “paper filing” in OPTins. For example, a company may submit an interim filing to the state via paper because they had not yet implemented OPTins. This means the state user will take the filing originally submitted in paper and re-create in OPTins. This will allow states the ability to store and search for all of their filings in one location – OPTins. It will also allow states to combine paper filings to electronically submitted filings (see *Combine Paper and Electronic Filings*).

**\*\*NOTE – OPTins staff will load all entities for states upon initial implementation of paper filings. The following process explains how to enter individual entities should it be necessary.**

Before states can create a paper filing, the company, or Entity, must be entered into OPTins. Only users with a specific role are allowed to enter Entities into OPTins. To have this role added to a user please submit a Request User Update through OPTins.

## OPTins User Training Manual - State

### ➔ Add the “Paper Entity” into OPTins

1. Click on the “Settings” tab and the “State Account” link.
2. Click on the **Add Entity** button.
3. The “Filing Entity Maintenance” screen will appear. Choose whether your Entity is a Company or Individual, Confirm the check box next to Active is selected and then fill in all of the company information. A red asterisk denotes a required field.

**Filing Entity Maintenance** ?

**Entity Type:**  Company  Individual

**Active:**

**Name: \***

**NAIC Company Code:**

**NAIC Group Code:**

**FEIN:**

**National Producer Number:**

**Annual Statement Blank Type: \***

**State Of Domicile:**

Add State Licenses below:

| State    | State ID Number                   |
|----------|-----------------------------------|
| Delaware | <input type="text" value="8787"/> |

**Add State**

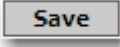
**Save** **Cancel**

4. Enter the company’s State ID number for your state and click on the **Add State** button. OPTins will automatically populate your state name. If you are adding an individual such as a surplus lines broker, the agent’s license number should be entered in the State ID Number field.
5. Click on **Save**.




## OPTins User Training Manual - State

### ➔ Edit the Entity data


1. Hover your mouse over the data until the line turns grey, then click to select.
2. Make the necessary changes. **\*\*NOTE: The NAIC Company Code cannot be edited.**
3. Click  .


Once you've entered your "Paper Entities" into OPTins, you can then create a "Paper Filing."

1. From the "Filings" tab, click on the "Create Filing" link.
2. "Create Filing: Select Entity" will appear. This step will allow you to search for the Entity to create a paper filing. You can enter data into one or all of the fields, but the least amount of data entered will return the broadest search. Once you've entered the data, click on the Search button.
3. *Please note: search fields are exact match. To widen your search results add an asterisk at either the beginning and/or end of your search criteria.*

**Create Filing: Select Entity**   

|                    |                      |                           |                      |
|--------------------|----------------------|---------------------------|----------------------|
| NAIC Company Code: | <input type="text"/> | National Producer Number: | <input type="text"/> |
| FEIN:              | <input type="text"/> | Entity Name:              | <input type="text"/> |
| State ID Number:   | <input type="text"/> |                           |                      |

4. The Entity Search Results will appear at the bottom of the screen. This is a list of companies that have submitted electronic OPTins filings, as well as the company that your state has entered as a "Paper Entity."
5. The Paper Entities are denoted by the paper icon  . If the search results return both a Paper Entity and an electronic entity, please choose the electronic entity to create your filing. This will ensure that the data generated by the industry will match the state Paper Filing data.

| Entity Search Results   |                   |            |                          |                              |                 |
|---|-------------------|------------|--------------------------|------------------------------|-----------------|
| Click to select the correct filing entity.  |                   |            |                          |                              |                 |
|   | NAIC Company Code | FEIN       | National Producer Number | Entity Name                  | State ID Number |
|  | 72052             | 23-2999999 |                          | KMc Health Insurance Company | 12355           |
|   | 72052             | 23-2999999 |                          | KMc Health Insurance Company |                 |

6. The "Create Filing" screen will appear. Filing Year, State and Filing Entity will be pre-populated on the Create Filing Wizard.
7. Make changes to the Filing Year, if necessary.
8. Choose the Company Type from the drop-down menu.
9. Choose from the available Filing Period Types in the drop-down menu.
10. Choose from the available Filing Periods and then click "Next."
11. The "State Instructions for Submission" and "Submission Steps" fields will appear.

## OPTins User Training Manual - State

- Under "Submitter Information," enter the name, phone number and e-mail address of the industry filer. If you do not have all of the information, enter as much as possible. Entering this data will allow the state to utilize the one-way e-mail system in OPTins to communicate with the industry.
- Choose the date the filing was originally submitted from the "Submission Date" calendar picker.

**Submitter Information:**

Name:  Phone #:

Email:  Submission Date:

**Upload Form(s)**

**State Provided Forms**

- Quarterly Prepayment Form

**Supporting Documents**

**Legend**

- Required
- Download Form

- A list of State Provided Forms will appear under the "Upload Form(s)" field. Choose the paperclip icon  next to the form to download the document, save it to your PC, and complete.
- Once the form has been completed and re-saved, upload it back into OPTins.
- To upload the document, click on the "Upload" link next to the form name.

**Upload Form(s)**

**State Provided Forms**

- Filing Instructions.pdf [Upload](#)
- OPTins 2009 Annual Tax Payment.pdf [Upload](#)

**Supporting Documents**

- [Upload](#)

**Legend**

- Required
- Download Form

- The "Upload Form" field will appear. Click on the  button to search for the form. When you locate the form on your network or hard drive, select the form, then click "Open" to add the form to the OPTins filing.
- Once the form has been uploaded, it will appear next to the "State Provided" form.

**Upload Form(s)**

**State Provided Forms**

- Filing Instructions.pdf [Upload](#)
- OPTins Quarterly Tax Payment 2010.pdf  Amended- OPTins Quarterly Tax.pdf [Remove](#) [Replace](#)

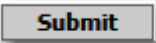
**Supporting Documents**

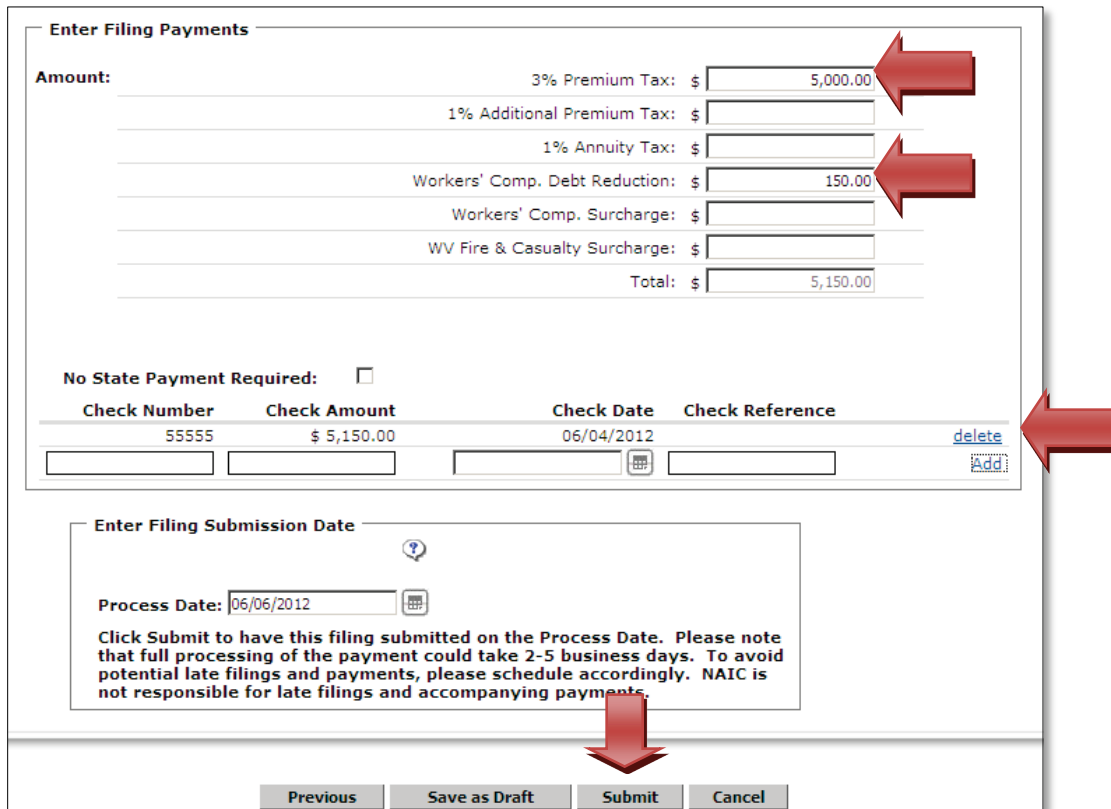
- [Upload](#)

**Legend**

- Required
- Download Form

## OPTins User Training Manual - State

19. OPTIONAL: Enter data into the "Provide Additional Information" Field.
20. Click "Next" to go to the payment information screen.
21. Enter "Filing Payments" received in the correct fields. If no payment was required, select the radio button.  
OPTins will automatically total the fees in the "Total" field.
22. After entering the Filing Payments, you can enter the check payment information for the paper filing. Enter the Check Number, Check Amount, Check Date and Reference Number then click Add.
23. Click on the  button to complete the process.



The screenshot shows the "Enter Filing Payments" form. It includes a table for tax and fee amounts, a table for check payment details, and a section for the filing submission date. Red arrows point to the input fields for "3% Premium Tax", "Workers' Comp. Debt Reduction", the "Add" button, and the "Submit" button.

| Amount:                        |                    |
|--------------------------------|--------------------|
| 3% Premium Tax:                | \$ 5,000.00        |
| 1% Additional Premium Tax:     | \$                 |
| 1% Annuity Tax:                | \$                 |
| Workers' Comp. Debt Reduction: | \$ 150.00          |
| Workers' Comp. Surcharge:      | \$                 |
| WV Fire & Casualty Surcharge:  | \$                 |
| <b>Total:</b>                  | <b>\$ 5,150.00</b> |

| Check Number         | Check Amount         | Check Date           | Check Reference      |
|----------------------|----------------------|----------------------|----------------------|
| 55555                | \$ 5,150.00          | 06/04/2012           |                      |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

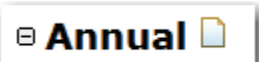
  

| Enter Filing Submission Date |            |
|------------------------------|------------|
| Process Date:                | 06/06/2012 |

Click Submit to have this filing submitted on the Process Date. Please note that full processing of the payment could take 2-5 business days. To avoid potential late filings and payments, please schedule accordingly. NAIC is not responsible for late filings and accompanying payments.

Buttons: Previous, Save as Draft, **Submit**, Cancel

A message will appear at the top of the screen, confirming that you've submitted the paper filing. An icon will appear next to the Filing Detail confirming that it is a Paper Filing.



From this point, you should assign the filing and update the status as you would an electronically submitted OPTins filing (see *Assign Filings and Update the Filing Status*).

## OPT*ins* User Training Manual - State

### Lesson 4

This lesson will review the Search and Export functionality and EFT Reports available in OPT*ins*.

This lesson covers the following topics:

- Search
- Quick Export and Complete Export
- EFT Reports
- Transaction Reports

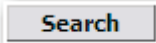
#### ➔ Search

Each time you log into OPT*ins*, a list of filings with the state status of 'New' will automatically display in the Search Results field.

States can search for filings on several sets of criteria, including: Entity Name, Company Type, Fiscal Year, Status, ID (NAIC Company Code, FEIN, National Producer Number, and State ID Number), State of Domicile, Filing Period, Tracking Number, Assignee and Date Submitted. You can search on any of these criteria individually, or a combination of the criteria. If you are unsure of the exact information you are searching for, add an asterisk to the search criteria to include all results. The more criteria used in your search, the narrower the results provided by OPT*ins*.




Search

Once you've entered the search criteria, click on the  button. Each filing that matches the search criteria will display in the Search Results.

OPT*ins* will list a summary of each filing, including the Entity Name (company/individual) submitted on behalf of, NAIC Company Code, FEIN, National Producer Number, State ID Number, Fiscal Year, Period, Date Submitted, and Payment Amount. To view the Filing, move your mouse over the Filing on the Search Result field. The field will turn a light shade of grey. You can choose to view the entire filing record from a filing entity, or a specific Filing Period. Click to select the Filing.

OPT*ins* will display twenty (20) Entities at a time in the Search results. Users can page through the results by clicking on the "Next" link or "Last" link found at the top or bottom of the Search results.

**Search** 

Entity Name:  Tracking Number:  Fiscal Year:


**Entity Identifier:** ID:  NAIC Company Code:

**Date Submitted:** Start Date:  End Date:

**Filing Period Type:**  Filing Period:


Company Type:  State Status:  New:  Assignee:

State Of Domicile:

**Search Results** 

<< First < Previous 1 to 20 of 206 [Next >](#) [Last >>](#)

| Entity Name                             | NAIC Company Code | FEIN       | National Producer Number | State ID Number | Fiscal Year | Period   | Date Submitted | Payment Amount | <input type="checkbox"/> |
|---|-------------------|------------|--------------------------|-----------------|-------------|----------|----------------|----------------|--------------------------|
| <a href="#">13-00000000000000000000</a> | 71854             | 52-0891929 |                          |                 | 2010        | Month 9  | 11/03/2010     | \$0.00         | <input type="checkbox"/> |
|   |                   |            |                          |                 |             | Month 10 | 11/03/2010     | \$100.00       | <input type="checkbox"/> |
|   |                   |            |                          |                 |             | Month 10 | 11/03/2010     | \$0.00         | <input type="checkbox"/> |
| <a href="#">13-00000000000000000000</a> |                   | 13-4125003 |                          | 2005159         | 2010        | Month 5  | 06/10/2010     | \$0.00         | <input type="checkbox"/> |
|   |                   |            |                          |                 |             | Month 6  | 07/13/2010     | \$0.00         | <input type="checkbox"/> |

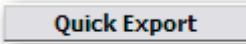


➔ **Quick Export and Complete Export**

Quick Export provides a subset of data useful in creating custom reports. Complete Export provides a report in several formats based on the states preference. The Complete Export’s default is an XML file; a standard file format which can be used to import data into a legacy system. The Complete Export results include all data elements from the selected filings and tax forms. The data elements in the Complete Export will be populated with the filer’s form data if the premium tax filing was submitted via TriTech or if the form was marked as parsed.

➔ **Quick Export**


Once you’ve completed the search and are prepared to export data and create a personalized report, if desired, from the list of static fields that are returned:

1. Select the  button.
2. The Windows confirmation box will appear, requesting that you either “Open” or “Save” the data download.
3. Select “Save” to save the document to your network. The document will export in Microsoft Excel format.
4. The Quick Export will return the same information in every export but once the document is in Microsoft Excel format, you can personalize the display of the data to serve your needs.

➔ **Complete Export**

The Complete Export is typically run in an XML format. For states that prefer their data be exported in a .txt format or format other than XML, our staff will work with each state to gather their reporting business requirements. **\*\*Note:** States must contact the OPTins Marketing Team in order to implement an export format other than XML.

For states that wish to export data in an XML format, once the search criteria has been chosen:


1. Select the  button.
2. The Windows confirmation box will appear, requesting that you either “Open” or “Save” the data download.
3. Select “Save” to save the document to your network. The document will export in XML format.

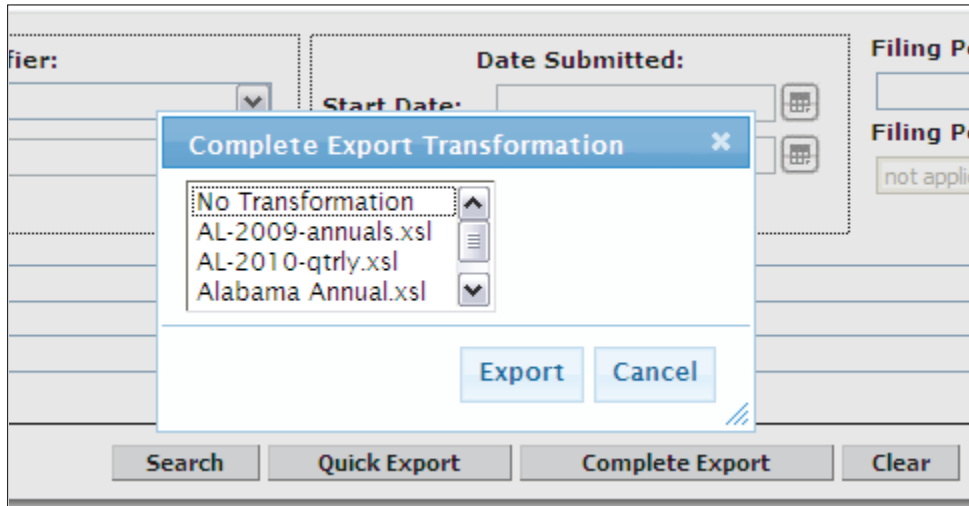
The Complete Export is essentially the same for states that have provided the OPTins team with their business requirements and chosen to modify their report options to export data in either an XML or a .txt format. There will be  
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## OPTins User Training Manual - State

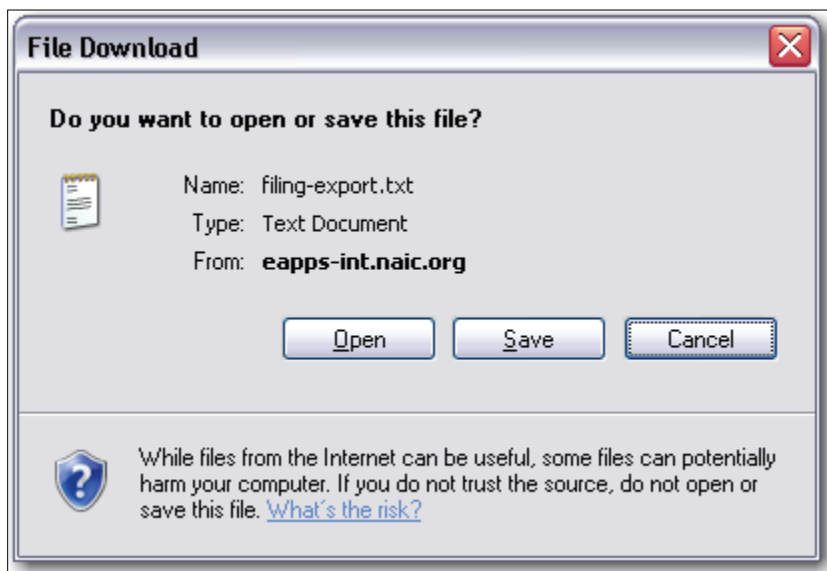
additional options once the “Complete Export” button is clicked. If you are interested in utilizing this functionality please contact the OPTins Marketing Team.

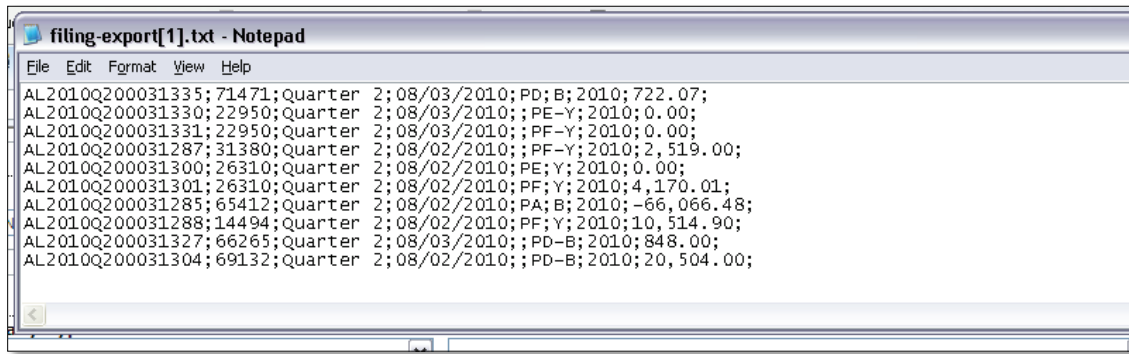
Once you’ve completed your search and are prepared to export the data:

1. Select the  button.
2. The Complete Export Transformation box will appear. Choose from the pre-determined formats created by the OPTins team to be included in the export and then click “Export.” By selecting “No Transformation” the export will deliver an XML file.



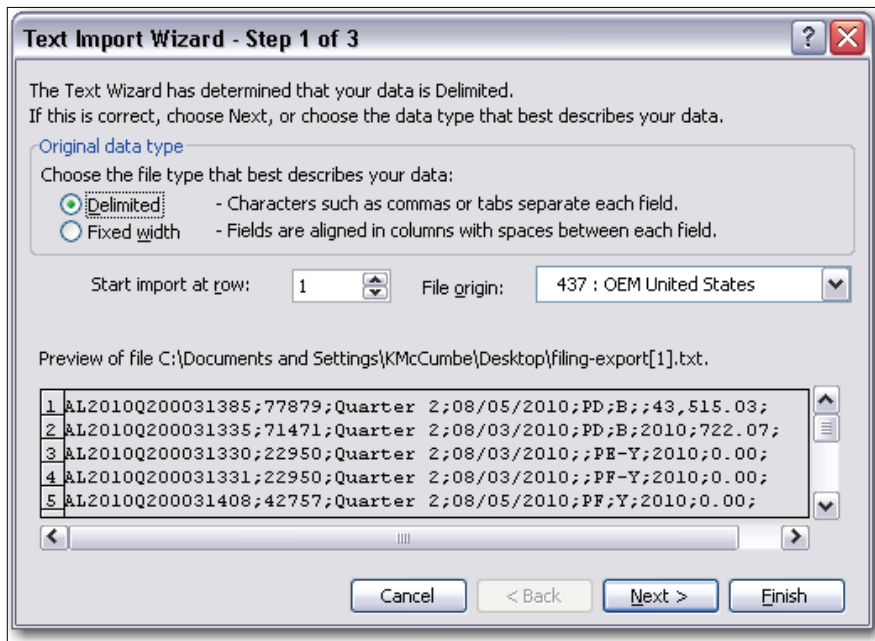
3. The File Download box will then appear. Choose to either open the .txt file in Notepad, or save it to your network to convert to a Microsoft Excel format.



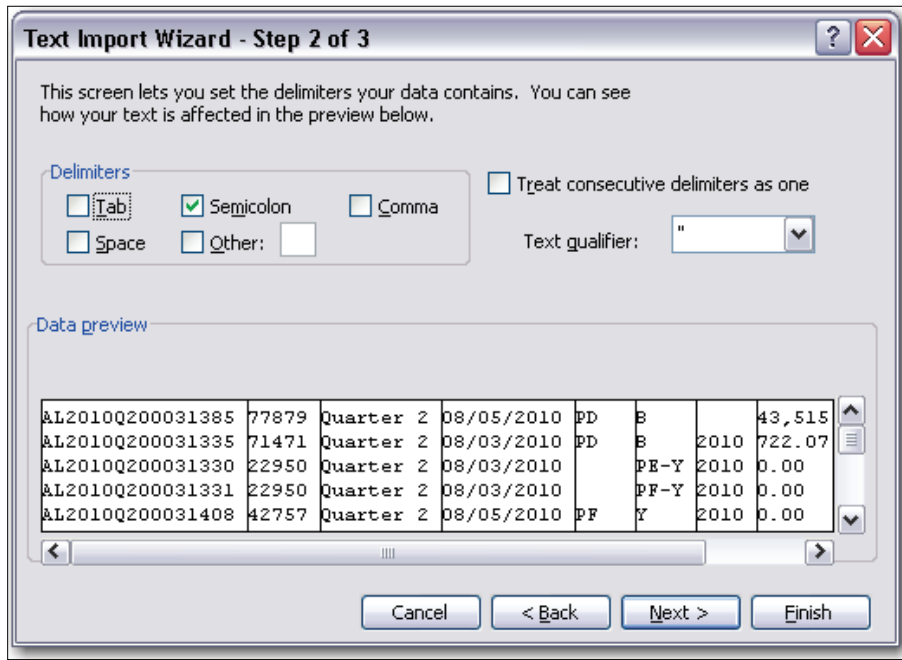


Data exported into Notepad

4. In order to import the data into a Microsoft Excel spreadsheet, save it to your network, then open up a blank Excel spreadsheet.
5. Choose “File,” then “Open,” and then search for the .txt file. When the file is chosen, it will open the Text Import Wizard box. Choose the “Delimited” option if it is not already selected, then click “Next.”



6. Depending on your state’s business requirements and implementation choices, choose either “Tab” Delimiter or “Semicolon” Delimiter, then click “Next,” and then click “Finish.” The data will automatically import into the Excel spreadsheet.



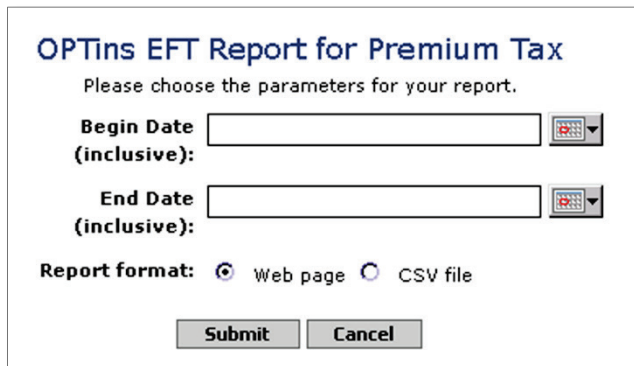
➔ **EFT Reports**

OPTins users have two Financial Reports which can be viewed in two formats: The EFT Report can be viewed as a Web Page or a CSV File, which can be converted to a Microsoft Excel document and the Payment Report can be viewed as an SBS Revenue Report or a Raw XML file. States can use the EFT report and Payment Report to confirm receipt of payments and reconcile their bank statements. Only states with the SBS Company Module can run the Payment Report. Both reports can be run at any time and will show all transactions issued to the state.

To run an EFT Report:

1. Select the "Financial Reports" link from the main OPTins Workspace.
2. Select "EFT Reports"
3. Enter the Begin Date in mm/dd/yyyy format, or choose the date from the calendar button option.
4. Enter the End Date in mm/dd/yyyy format, or choose the date from the calendar button option.
5. Choose the Report Format.

6. Click on the  button.







## OPTins User Training Manual - State

An EFT report is generated, providing all of the transaction details for the period requested. The EFT report will also display the total number of transactions for each day that a fee was received, as well as the total amount of fees received for that day.

To run a Payment Report:

1. Select the “Financial Reports” link from the main OPTins Workspace.
2. Select “Payment Reports”
3. Enter the Begin Date in mm/dd/yyyy format, or choose the date from the calendar button option.
4. Enter the End Date in mm/dd/yyyy format, or choose the date from the calendar button option.
5. Choose the Report Format.
6. Click on the  button.

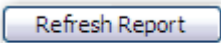


The screenshot shows a web form titled "OPTins Payment Report for Delaware Surplus Lines". Below the title is the instruction "Please choose the parameters for your report." The form contains three main sections: "Begin Date (inclusive):" with a text input field and a calendar icon; "End Date (inclusive):" with a text input field and a calendar icon; and "Report format:" with two radio button options: "SBS Revenue Report" (which is selected) and "Raw XML". At the bottom of the form are two buttons: "Submit" and "Close".

### ➔ Transaction Reports

There are two Transaction Reports in OPTins which will assist states in their audit process: State Transaction Balance Report and Entity Transaction Balance. Only users with the State Transaction Maintainer or State Transaction Viewer role(s) will see the Transaction tab and have access to the Transaction Reports. ***If you would like to implement this report function, please contact the OPTins Marketing Team at [optinsmktg.org](http://optinsmktg.org).***

### ➔ State Transaction Balance Report

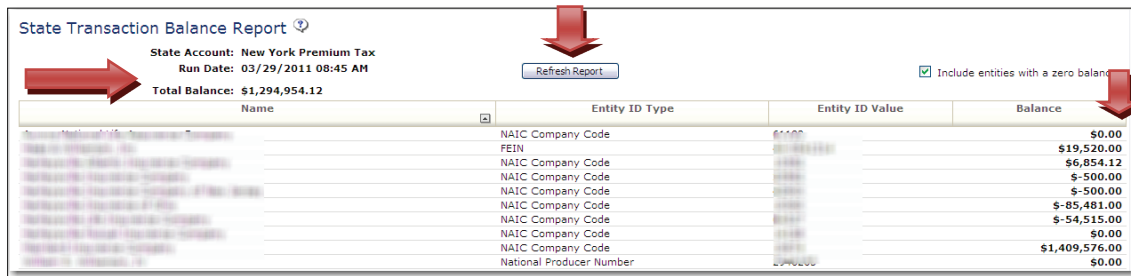
The State Transaction Balance Report is an overview, or snapshot, of current balances for all Entities that have filed to your state account. When you first click on the “State Report” link, the list of Entities which have submitted filings with payments will appear, “real time.” Click on the  button to retrieve the most recent filing data. Check the “Include entities with a zero balance” box for a listing of all Entities that have submitted filings, regardless of whether there was a payment toward tax liability included.

The “Total Balance” represents the overall tax liability due to the state account. This figure is the sum of all payments itemized below and will include offsets or adjustments entered by the state on the Entity Balance page.

## OPT<sup>ins</sup> User Training Manual - State

Negative figures, indicated with a “-” sign represent payments submitted by the Entity toward their overall tax liability. The figure will show as a negative until the state has entered an offset or adjustment showing the total tax liability due from the Entity. The offset or adjustment will need to be entered by the state on the Entity Balance page.

To view Entity details, hover the mouse over the name. A dialogue box appears, listing the Entity name, NAIC Company Code, FEIN, National Producer Number, State of Domicile, State ID, and NAIC Group Code.




| Name                     | Entity ID Type           | Entity ID Value | Balance        |
|--------------------------|--------------------------|-----------------|----------------|
| NAIC Company Code        | NAIC Company Code        | 61000           | \$0.00         |
| FEIN                     | FEIN                     | 61000           | \$19,520.00    |
| NAIC Company Code        | NAIC Company Code        | 61000           | \$6,854.12     |
| NAIC Company Code        | NAIC Company Code        | 61000           | \$-500.00      |
| NAIC Company Code        | NAIC Company Code        | 61000           | \$-500.00      |
| NAIC Company Code        | NAIC Company Code        | 61000           | \$-85,481.00   |
| NAIC Company Code        | NAIC Company Code        | 61000           | \$-54,515.00   |
| NAIC Company Code        | NAIC Company Code        | 61000           | \$0.00         |
| NAIC Company Code        | NAIC Company Code        | 61000           | \$1,409,576.00 |
| National Producer Number | National Producer Number | 61000           | \$0.00         |

### → Entity Transaction Balance

This page allows you to view the current balance for any Entity that has filed to your state. You may also view the transactions that have led up to that balance within a date range.

To view the Transaction Balance for an Entity:

1. From the Transactions tab, click on the “Entity Balance” link.
2. Select the Entity from the “Select Filing Entity” dropdown.
3. Select the Transaction Date range.
4. Click the  button.

In addition to viewing the Entity Transaction Balance as described above, users can view the Transaction Balance from within a filing by clicking on the “View Entity Transaction Balance” link located in the upper right-hand corner.



View Entity Transaction Balance

NAIC Company Code: 42900  
Group Code: 0253  
FEIN: 23-2253669  
State Of Domicile: New Jersey

Filing Year: 2010  
Annually 1


Assign Amend Filing Update Filing

Filing Information

All of the transactions submitted by the Entity to the state will list under “Entity Details.” To see the details of a particular transaction, simply click on that transaction in the table.

- Transaction Date: Date and time the filing/transaction was submitted to the state.
- Transaction Description: If the transaction is system generated (a filing submitted by the industry) the description will be filing information related to the transaction, i.e. year, filing period and filing type. If the transaction was entered by the state (an offset or adjustment) the detail will be whatever data was entered by the state user.


## OPT<sup>ins</sup> User Training Manual - State

- Transaction Performed by: If the transaction was system generated (a filing submitted by the industry) “OPT<sup>ins</sup>” will appear. If the transaction was entered by a state user (an offset or adjustment) the name of the state user will appear.
- Transaction Amount: The amount of the specific transaction. The negative figure indicates payment toward the overall tax liability.
- Entity Balance: The sum of all of the transactions submitted within the chosen date range. The figure will show as negative, indicating payment toward the total tax liability, until the state enters an offset or adjustment.
- Transaction Notes: State users can enter notes on each transaction to keep track of the audit process. When there is a note on a transaction, the  icon will appear. All users with the State Transaction Maintainer role can add/edit/delete notes, regardless of who originally added the note.

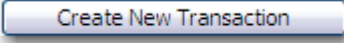
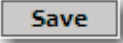
### ➔ Entering an Offset or Adjustment

All transactions submitted will show as a negative, indicating payment toward the Entity’s tax liability due, until the state completes their audit and enters an offset or adjustment. Users with the State Transaction Maintainer role can enter an offset or adjustment.

To enter an offset or adjustment:

1. Select the Entity from the “Select Filing Entity” dropdown.
2. Select the Transaction Date range.
3. Click on the  button.

All of the transactions submitted by the Entity to the state will list under “Entity Details.”

4. Click on the  button. The Entity name (based on the Entity chosen in Step 1) and time/date stamp automatically populate.
5. Enter the Transaction Description, or why you are entering the Transaction. For example: “Adjustment,” “Credit,” “Tax Liability Due,” etc.
6. Enter the Transaction Amount. This could be an overpayment due to the Entity or the total tax liability due based on the audit, among other reasons.
7. Enter detailed information about the transaction in the Transaction Notes field.
8. Click  .

The screenshot shows a window titled "Transaction Info" with a sub-header "Entity Transaction Information". The form contains the following fields:

- Entity Name: [Redacted]
- Transaction Date: 06/06/2012 02:54 PM
- Transaction Description: \* Tax Liability
- Transaction Performed By: Laura Jackson
- Transaction Amount: \* \$ 10000.00
- Transaction Notes: Tax liability due by entity.

At the bottom of the window are "Save" and "Cancel" buttons.

The Transaction entered by the state user will list under "Entity Details" and will offset any payments submitted by the Entity. The Entity Balance and Balance Due will reflect the transaction entered by the state, indicating an overall figure still due to the state by the Entity. **\*\*NOTE: Once a Transaction has been entered, it CANNOT be edited or deleted. If a mistake was made, a separate Transaction must be entered to correct the entry.**

The screenshot shows the "Entity Details" section with a table of transactions and a summary of the current balance. A red arrow points to the "Amount" column, and another red arrow points to the "Entity Balance Amount" summary.

|                     |                                    |                |               | Entity Balance Amount: \$4,519.00 |       |
|---------------------|------------------------------------|----------------|---------------|-----------------------------------|-------|
| Date                | Transaction Detail                 | User Performed | Amount        | Balance                           | Notes |
| 03/29/2011 10:56 AM | Total Tax Liability                | Kelly McCumber |               | \$ 4,519.00                       |       |
| 03/24/2011 08:52 AM | 2011 Annually 1 Filing and Payment | OPTins         | \$ -85,481.00 | \$ -85,481.00                     |       |

Below the table is a "Create New Transaction" button.