



Getting Started

SERFF is the most cost-effective and efficient way to submit rate and form filings to the states and jurisdictions. Outside of training or the tutorial you will only need an Internet Browser and Adobe Acrobat or a PDF producer to submit filings with SERFF. There are no licensing fees to use SERFF.

To start the licensing process, complete the following pages and send to serffmktg@naic.org. Once the SERFF team receives your completed paperwork, we will contact you to begin the next steps.

In addition to the implementation paperwork, new licensees will need to answer the following questions:

1. Will you attend NAIC SERFF Training or prefer the On-Demand Tutorial?

- We require that new licensees attend either the NAIC Training class or the On-Demand SERFF tutorial. To learn more about the NAIC SERFF training class, [click here](#). If you prefer to use our on-demand web version of the tutorial we will send the login information upon request. Please let us know which one you will attend. *Please note that we **cannot implement** a new licensee until the licensee attends the training or the tutorial.*
- **Training Class** _____ **Date** _____ **or On-Demand Tutorial** _____

2. SERFF now provides a solution that will allow the NAIC to host the filings.

There are a number of benefits of having the NAIC host your company's filings. Data Hosting will provide the retention of all SERFF filings, including those that have been marked for deletion by states using State Data Retention. It is important to note that if your company does not choose to be hosted by the NAIC, your data will be subject to the [State Data Retention](#) requirements and as such, may be deleted based on state requirements.

- If you are interested, please select Yes, and contact sbirequests@naic.org for licensing.
 - o Yes _____
- For more details: https://www.serff.com/serff_data_hosting.htm

3. Will you need to pay your state filing fees electronically using Electronic Funds Transfer(EFT)?

Yes ___ **No** ___

- Companies have the option to use EFT for payment of state filing fees. Nearly half of all states have mandated that their state filing fees be paid via SERFF EFT. What that means is, if you do business in these states and pay a filing fee, **you will be required to license to use EFT via SERFF to pay your state filing fees**. Please note that EFT implementation is done by your Bank Account Manager once your SERFF implementation is complete. You will designate a Bank Account Manager on the Payment Role Authorization page.

4. NAIC Transaction Fees are paid upon submission utilizing EFT. If you have configured EFT for state filing fees, your transaction fees will also be paid at time of submission. If you do not have state filing fees, we will enable your instance for transaction fees to be paid via Credit Card.

5. Licensing Company Type:

Standard Licensee

Third Party Providers (Organizations hired to file on behalf of companies outside of the third party organization)

Rating Organizations, Managing General Agents and Advisory Organizations.

Licensing Company Name:

The SERFF Marketing Team is available to walk you through the licensing process, answer any questions and introduce your company to SERFF. If you have any questions, please contact the SERFF Team at (816) 783-8787 or serffmktg@naic.org.



USERS & ROLES

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

Contact Information					SERFF Roles		
Name:		Address:			User Admin Request User	Bank Account Manager	Industry Record Retention
Email:		City:			Industry Filing Manager	Industry Filer	Industry Configuration Manager
Phone:		State:		Zip:	Read Only	EFT User	Payment Reports
					*Check here if this user is a Third Party Filer		
Contact Information					SERFF Roles		
Name:		Address:			User Admin Request User	Bank Account Manager	Industry Record Retention
Email:		City:			Industry Filing Manager	Industry Filer	Industry Configuration Manager
Phone:		State:		Zip:	Read Only	EFT User	Payment Reports
					*Check here if this user is a Third Party Filer		
Contact Information					SERFF Roles		
Name:		Address:			User Admin Request User	Bank Account Manager	Industry Record Retention
Email:		City:			Industry Filing Manager	Industry Filer	Industry Configuration Manager
Phone:		State:		Zip:	Read Only	EFT User	Payment Reports
					*Check here if this user is a Third Party Filer		
Contact Information					SERFF Roles		
Name:		Address:			User Admin Request User	Bank Account Manager	Industry Record Retention
Email:		City:			Industry Filing Manager	Industry Filer	Industry Configuration Manager
Phone:		State:		Zip:	Read Only	EFT User	Payment Reports
					*Check here if this user is a Third Party Filer		

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

Roles and Descriptions

User Admin Request User:	Allows the user to request new users, update current user roles, deactivate users on behalf of their Account, and execute and review User Admin reports.
Industry Configuration Manager:	The Industry Configuration Manager: Creates/Edits Statuses (company) Creates/Edits New Companies & Contacts. The Industry Configuration Manager DOES NOT automatically have a filing role. You must assign either Industry Filer or Industry Filing Manager role as well. At least one person must have this role.
Bank Account Manager:	Allows the user to add, edit and deactivate bank accounts on their SERFF account and associate entities to bank account(s).
Industry Filers:	Users who can create, submit, and modify filings that they have Authored.
Industry Filing Managers:	Users who can modify any filing in the instance, even those they have not authored. Filing Managers are automatically Industry Filers and do not need this role assigned separately. Assign this role only to those who need to have access to all filings.
Industry Record Retention:	Users with access to the Record Retention tab, indicating filings set for destruction by the state. At least one person must have this role.
Read Only:	Users who can only view filings in the instance.
EFT User:	Allows user to submit transactions with EFT Payments
Payment Reports:	Allows the user to run EFT or Credit Card payment Reports.



Providing flexibility, promoting uniformity

Contact Information
Required Customer Information (Please Print/Type Clearly)

Company Name _____

SERFF Primary Billing Contact

Name: _____

Title: _____

Address: _____

Phone: _____

E-Mail Address: _____

Business Contact (Rate & Form Filing)

(This person is our point of contact if we need to touch base regarding non-billing related questions)

Name: _____

Title: _____

Address: _____

Phone: _____

E-Mail Address: _____