



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. How will you pay for your SERFF transaction fees? Pay as You Go Filing Block

SERFF has no licensing fees. The only fee is a per-filing transaction fee. Paying for your SERFF transactions is simple. You have the option of "Pay as You Go" or purchasing a block of filings.

2. When will you complete SERFF training? Date: Training Class Tutorial On-Demand

We require that new licensees attend either the NAIC Training class or the SERFF tutorial. To learn more about the NAIC SERFF training class, [click here](#). To see a list of upcoming tutorial dates, please [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.

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. [Click here](#) to access the EFT Agreement that applies to your company. Please complete the agreement and send to: serffmktg@naic.org

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 can take up to two weeks to implement, therefore please don't delay.

4. 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

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.



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Permission is hereby granted to NAIC to use the names of the Licensee in any listing of insurance industry participants in SERFF.

Licensee

By:

Printed Name:

Title:

Date:



Product Exhibit for Companies

NAIC reserves the right to change or modify the Product Exhibit upon thirty (30) days written notice to Licensee.

SERFF SYSTEM

The System for Electronic Rate and Form Filing (“SERFF”) is designed to provide efficiency and improve effectiveness of the rate and form filing and approval process by allowing companies to access filing requirements, prepare and submit a filing and allowing state insurance departments to review a filing and create dispositions.

Industry Application

Companies and third-party administrators (referred to collectively as “Industry Users”) will be provided with access to the SERFF System through the Internet. Industry Users are responsible for all tools used to access or use SERFF. Industry Users will be given access to the Industry Application of the SERFF System, which will include, among others, the following functions: create a filing, amend a filing, review filing requirements and checklist, review filing tracking information, submit filing to a state.

Industry Data Hosting

Industry Users have the option to use the services of a Data Host. The Data Host provides Industry Users with services such as Disaster Recovery, Reporting and Paper Tracking. NAIC can provide a list of third party vendors providing remote hosting services.

SERFF HELP DESK

NAIC will provide a SERFF Help Desk which will be accessible on all business days between the hours of 8 a.m. – 5 p.m. Central Standard Time.

SERFF USER TRAINING

Each Licensee is responsible for training its Users on the SERFF System. NAIC strongly recommends a User be trained prior to using the SERFF System in order to maximize the efficiency and effectiveness of transactions and the SERFF System. SERFF User Training is provided at authorized training centers pursuant to applicable charges. NAIC can provide a list of authorized training centers. The training course assumes the User has basic PC skills, a general understanding of the Internet and is comfortable in a Windows environment. The NAIC is not responsible for providing training through the Help Desk.



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Schedule of Fees

Check here if you choose to Pay as you Go:

Check here if you choose to purchase a Filing Block:

The current version of the SERFF Company Schedule of Standard Fees is posted on the NAIC website at http://www.serff.com/documents/get_started_company_pricing_structure.pdf.

Unused transactions within filing blocks expire 24 months from the date the block is posted to your account as available for usage.

UNUSED AMOUNTS IN EXPIRING FILING BLOCKS ARE NON-REFUNDABLE.

Total Payment, Filing Block Fee: \$

Licensee:

Please send check for your filing block, payable to NAIC SERFF, with copy of this Schedule of Fees completed to:

NAIC SERFF
P.O. Box 875976
Kansas City, MO 64187-5976

The NAIC Federal ID number is 31-1674580.

Authorized Signature:

Date:

Print Name:



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Customer and Subsidiaries/Affiliates Identification

Licensee:

Pursuant to Section 2 of the Agreement, this document identifies Licensee's customers and its subsidiaries and affiliates that will have filings submitted through Licensee.

	Company Name	Contact for SERFF	Phone	NAIC Code
1.				
2.				
3.				
4.				
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6.				
7.				
8.				
9.				
10.				
11.				
12.				
13.				
14.				
15.				
16.				
17.				

Signature

Title

Printed Name

Date



SERFF User Profile / Information Form

Please provide the following information for each user that will be using SERFF. SERFF Role refers to the function that a user will perform. Please click the corresponding box for each appropriate role that each user should have.

The definition of each SERFF role is provided on the second page of this form.

1	Name	Email	Title	Address (Street, City, St, Zip)	Phone
SERFF Role(s) (A User Can have multiple roles)					
<input type="checkbox"/> Industry Configuration Manager <input type="checkbox"/> Industry Filer <input type="checkbox"/> Industry Filing Manager <input type="checkbox"/> Industry Read-Only <input type="checkbox"/> User Admin <input type="checkbox"/> Industry Record Retention					
2	Name	Email	Title	Address (Street, City, St, Zip)	Phone
SERFF Role (A User Can have multiple roles)					
<input type="checkbox"/> Industry Configuration Manager <input type="checkbox"/> Industry Filer <input type="checkbox"/> Industry Filing Manager <input type="checkbox"/> Industry Read-Only <input type="checkbox"/> User Admin <input type="checkbox"/> Industry Record Retention					
3	Name	Email	Title	Address (Street, City, St, Zip)	Phone
SERFF Role (A User Can have multiple roles)					
<input type="checkbox"/> Industry Configuration Manager <input type="checkbox"/> Industry Filer <input type="checkbox"/> Industry Filing Manager <input type="checkbox"/> Industry Read-Only <input type="checkbox"/> User Admin <input type="checkbox"/> Industry Record Retention					
4	Name	Email	Title	Address (Street, City, St, Zip)	Phone
SERFF Role (A User Can have multiple roles)					
<input type="checkbox"/> Industry Configuration Manager <input type="checkbox"/> Industry Filer <input type="checkbox"/> Industry Filing Manager <input type="checkbox"/> Industry Read-Only <input type="checkbox"/> User Admin <input type="checkbox"/> Industry Record Retention					

**** PLEASE NOTE: By listing users above, you are requesting that the NAIC give certain access rights/authority to the individuals specified above and you are affirming these specified individuals are acting on behalf of your organization when accessing the SERFF system. 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.**



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Definition of Roles

****NOTE- One person can have multiple roles****

Industry - Roles	Description
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.
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 Read-Only	Users who can only view filings in the instance.
User Admin Role	Users with authority to activate and deactivate users as well as change roles for other users on the instance.
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.



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Contact Information

REQUIRED Customer Information (Please Print/Type Clearly)

Company Name

SERFF Primary Billing Contact
(This person will receive access to invoices for review)

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:

SERFF Account Manager Contact
(This person can review AND pay invoices electronically through the NAIC Account Manager system)

Name:

Title:

Address:

Phone:

E-Mail Address: