



Providing flexibility, promoting uniformity

## Getting Started

SERFF is the most cost-effective and efficient way to submit rate and form filings to the states and jurisdictions. Skeptical? [Download the Cost-Benefit Model](#), input your company data and see for yourself!

Outside of training or the tutorial and the possibility of using a data hoster, 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 applicable electronic forms located on the License Agreements page and send to [serffmktg@naic.org](mailto: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

While there isn't a licensing fee to use SERFF, there 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.

[Click here for the SERFF Pricing Structure](#). Please indicate which pricing model is right for you.

2. Will you attend the SERFF training or the SERFF Tutorial? Training  Tutorial

Date: \_\_\_\_\_

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

3. Will you work with a DataHoster? Yes  No

We partner with two data hosters. [Click here](#) to learn more.

If you would like to take advantage of the data hoster services, please let us know.

4. 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](#) for more details.

Nearly half of all states have mandated that state filing fees must 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.**

5. Please provide the name, title and email address of an officer of your company that can accept binding contracts for our electronic license agreement process.

Name

Title

Email Address

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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](mailto:serffmktg@naic.org).



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**EXHIBIT C**  
**Authorized SERFF Companies**

Licensed Company: \_\_\_\_\_

	Company Name	Contact for SERFF	Phone	NAIC Code	FEIN
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					
11.					
12.					
13.					
14.					
15.					

Indicate if these are additional companies: Yes  No

**OR**

a complete revision of affiliates list: Yes  No



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

**\*\*PLEASE NOTE: By listing users above, you are requesting that the NAIC give certain 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
<b>Industry Configuration Manager</b>	The Industry Configuration Manager: Creates/Edits Statuses (company) Creates/Edits New Companies & Contacts. The Industry Configuration Manager <b>DOES NOT</b> 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.
<b>Industry Filers</b>	Users who can create, submit, and modify filings that they have Authored.
<b>Industry Filing Managers</b>	Users who can modify <b>any</b> 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.
<b>Industry Read-Only</b>	Users who can only view filings in the instance.
<b>User Admin Role</b>	Users with authority to activate and inactivate users as well as change roles for other users on the instance.
<b>Industry Record Retention</b>	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: \_\_\_\_\_