

FINANCIAL INTERNET FILING ONLINE USER'S GUIDE

INDUSTRY RESOURCES

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Introduction

Internet Filing (IF) is used to collect the NAIC financial statement in electronic format. **Starting with 2008, hard copy paper statements are no longer required.**

IF handles all statement types (property, life, health, fraternal, and title) and submission types (annual March, April, RBC, Combined, and June as well as quarters 1, 2, and 3).

In addition, the NAIC, in partnership with the New York State Department of Financial Services, is accepting NY Supplement statements via IF.

Access to Internet Filing

An NAIC User Name and password are required to gain access to the filing submission and administrative functions in Internet Filing. The access may be as a Primary or a Secondary IF User.

If you already have an NAIC User Name and password, as a user of another NAIC application the same User Name will apply to IF. If you do not already have an NAIC User Name and password, you will need to procure one.

Primary IF Users

The current Financial Statement Contact, as filed with the Jurat page information of a company's financial statement, must be established as the IF Company Administrator, or Primary IF User. When a new individual takes on the role of current Financial Statement Contact for a company, he/she must contact Financial Data Administration at 816-783-8600 to receive an NAIC User Name and password, if needed, and to be established as the Company Administrator. Once established, the IF Company Administrator is authorized to grant and revoke access for that company to others.

Secondary IF Users

Those individuals who are *not* the current Financial Statement Contact and do not already have an NAIC User Name and password may request one by clicking on the IF Home Page link **Request NAIC User Name and Password**. After submitting the completed on-line form, the NAIC Help Desk will respond within 24 hours.

The Primary IF User must then log into Internet Filing and select **Manage SubAccounts**, supply the Secondary IF User's NAIC User Name, and select to grant privileges as desired.

Logon to Internet Filing

The link on the right-hand side of the **Internet Filing – Home** page takes you to the NAIC Common Logon, where a valid User Name and Password must be entered. Upon successful logon, you will be taken to the **Internet Filing – Home** page.

If you have been established as a Primary or Secondary IF User, your User Information will appear on the right-hand side of the page, along with the Internet Filing Links you are authorized to use.

Submit Filings

All of the companies to which you have been granted privileges will be displayed in the selection list. If you have privileges to more than one company, the first company in the list is selected by default. The selected company's NAIC Cocode and name will appear in the lower portion of the **User Information** on the right-hand side of the page. Use the scroll bar on the right side of the selection window to see all of the companies to which you have been granted privileges.

Step 1: Select the company you want to file for.

Step 2: From these drop-down lists, select the appropriate statement filing year, filing period, and filing type.

In addition, if the company you select is licensed or accredited to do business in the state of New York, you will see a check box option for submitting New York Supplement filings. If the company you select is not licensed or accredited in New York, this check box will not appear. If you do not see the **NY Supplement Filing** check box and the selected company *is* licensed or accredited, you will need to contact the New York State Department of Financial Services and have them update the licensing status for the selected company. Only the NY DOI can update this information.

Step 3: Next, use the **Browse** button to locate the filing you intend to submit. The file you select must be zipped using a PKWare-compatible file compression software.

Step 4: Upon selecting the **Submit** button, a validation process will begin checking your selections against the filename. The filename on your filing must match the NAIC's File Naming Conventions; and the designations within the filename must match up to the selections you made in Step 2. Additional validations

will be checking for valid cocode, version number for filing version, zip version, and separate accounts sequence version. Any validation exceptions detected must be resolved before the selected file will be loaded.

Once the filename has been validated, an upload transmission process will begin. An upload status window will pop up with a progress meter to indicate what is happening. If you should close the upload status window inadvertently, this does NOT stop the upload transmission process. However, if you should close the browser window, this will interrupt the upload process. There is no way to resume the transmission without resubmitting the entire filing.

At completion of the upload, another pop-up window will indicate that the upload has completed. Clicking the **OK** will close this window and take you to the **Filing Submission Status** page.

The **Filing Submission Status** page tells you if your submission was successful or not. After your upload is complete, more validation checks are run on your filing. The first validation tests for a good zip file. If it is not readable, the displayed error will read '**invalid or corrupted zip file**'. You will need to check your filing to be sure it was created correctly using a compatible zip tool.

If the zip is readable and valid, a listing of the elements in the zip file is generated and displayed on the submission status page. Any elements that do not match up to what was expected will be highlighted, and an error message will describe the mismatch. If there are mismatches, we discard the filing, *and you will need to correct the mismatches and resubmit*. Because we did not process the filing, you can simply correct and resubmit the same file. No need to do a refile or amended filing.

If there were no mismatch errors, the **Filing Submission Status** page will state the upload was a successful transmission. You can return to Internet Filing at any time to check the status of your filing in the **Recent Submissions** near the bottom of the **Submit Filings** page.

This status window will display a list of filings that have been submitted recently for the selected company. If you select a different company from the company selection box, the information will refresh to show information for that company. If no filings have been submitted for the selected company, the status window will display '**-none-**'.

To see additional details of on the recent submissions, just click on the entry you want to know about, and you will be taken to a confirmation detail page. This detail page is the same **Filing Submission Status** page shown after a successful upload of a filing and can be used as an official record of a filing submission.

Submission File Preparation

To ensure efficiency and accuracy, the NAIC is expecting your filing submissions to meet a specific format. When creating your filing submission, you must use one of several automated statement generation software tools available. These tools are capable of hooking into financial data sources and constructing the necessary components that make up a filing submission. The tools will also perform the zip compression for you.

Setting mismatch or upload errors? Please check in with your filing preparation software vendor first to help you diagnose the problem. You can also contact our Help Desk for assistance.

RIS Results

Viewing IRIS results for your authorized list of companies

Upon logging in to IF, you will be able to view up to the last five years of IRIS results data for any of the companies you are authorized to access.

To get the IRIS data, click on the **IRIS Results** link, select the desired year and NAIC cocode, then click **submit**.

Update Account

Keeping your account information up-to-date will help guarantee that we can reach you should we detect problems with your upload transmissions. The personal information stored (your email address, phone, fax) as part of IF is used only to correspond about your Internet Filing account.

Every 90 days, you will be diverted here from the login. We would like you to review the displayed information and make sure it is accurate and current.

Change Password

You may change your password at any time by selecting this link and completing the displayed on-line form. Your password will expire every 90 days; when that happens, you will be prompted to go to this form and change your password.

NOTE: If you are unsure of your password, be aware that three unsuccessful attempts will cause you to be locked out IF (and any other programs you use which are accessed with the same NAIC User Name and password). It is best to change to a new password before that happens. If you do get locked out, you will need to contact the NAIC Help Desk at 816-783-8500 or help@naic.org and request your password be reset.

Manage SubAccounts

Granting Privileges – Allowing Others to Submit for You

The current Financial Statement Contact for a company, as the Primary IF User, may grant another user - a SubAccount - access to submit financial statement filings for that company.

After logging in to the IF site, select the **Manage SubAccounts** option from the right-hand side of the page. In the center of the **Manage SubAccounts** page, you will see displayed a list of companies for which you are the Primary IF User.

If you are granting privileges to a new user, enter that person's NAIC User Name in the box indicated, click the check box beside **Grant** next to the appropriate cocode(s), then click on SUBMIT. The next page will display the message of whether the grant was successful.

The next time you visit the **Manage SubAccounts** page, you will see your SubAccount's NAIC User Name displayed above the line. When you click on the name, the list below the line will display which company(s) that individual has privileges to.

Any time you see an existing name next to **Sub Accounts:** you may click on the name to grant privileges to additional companies.

Revoking Privileges – Taking Away Others' Ability to Submit for You

Likewise, only the Primary IF User for a company may revoke another user's access.

After logging in to the IF site, select the **Manage SubAccounts** option from the right-hand side of the page. In the center of the **Manage SubAccounts** page, you will see displayed a list of companies for which you are the Primary IF User. In the upper third of the page any SubAccounts with privileges to *any* of the companies listed will display above the line.

To revoke privileges, first click on the desired name in the list above the line. The company list will refresh with the information of which company(s) that person currently has privileges for. Click the check box beside **Revoke** next to the appropriate cocode(s), then click on SUBMIT. The next page will display the message of whether the revoke was successful.