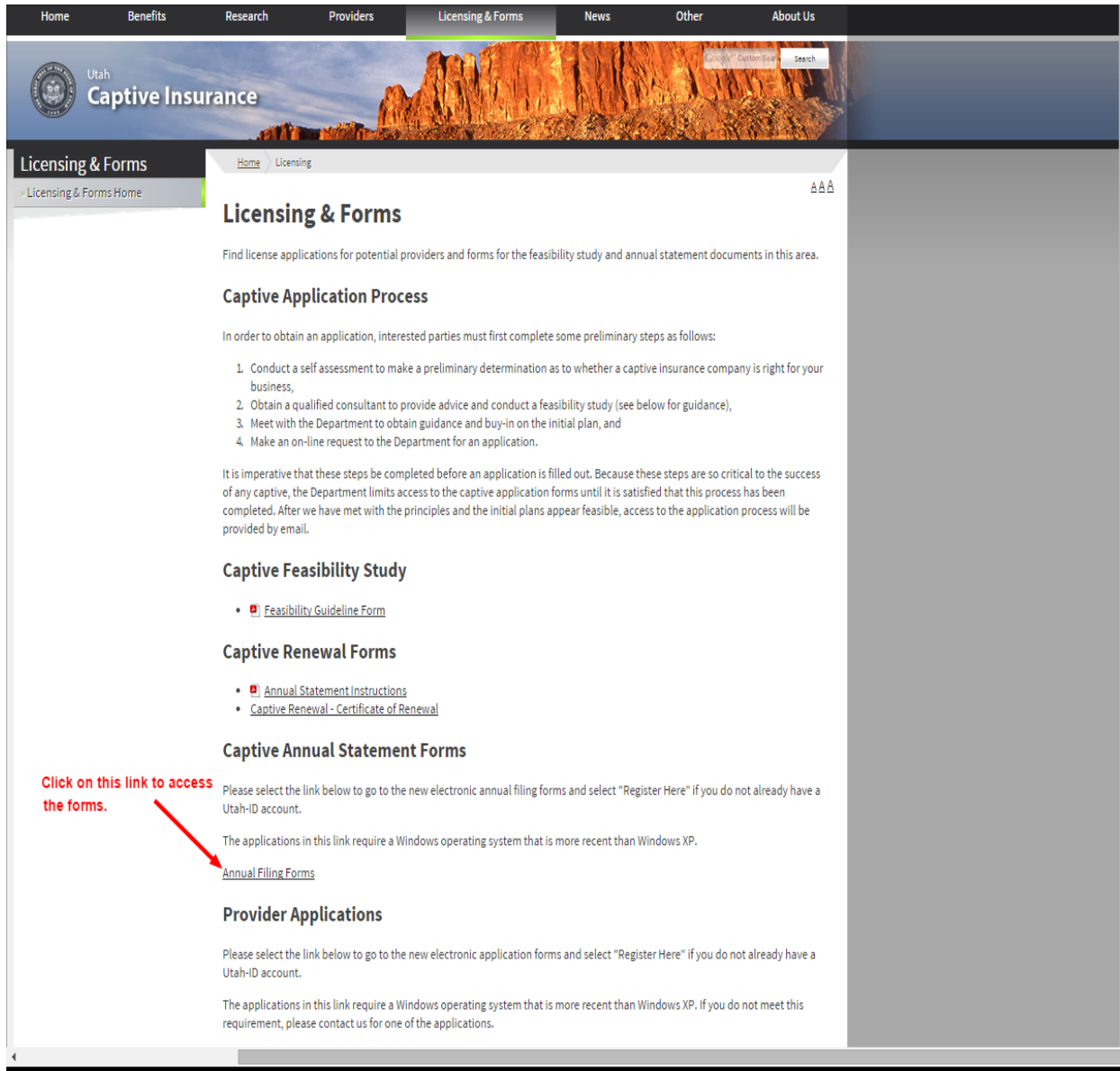


Instructions for completing the new captive company online annual filings forms

To access the forms go to the UID Captive website at <http://captive.utah.gov/>. From this main page navigate to the “Licensing & Forms” tab located on the ribbon at the top of the page (or you may go there directly with this link <http://captive.utah.gov/licensing/index.php>). Once there, scroll down to the “Captive Annual Statement Forms” section and click on the “Annual Filing Forms” link.



Home Benefits Research Providers **Licensing & Forms** News Other About Us

Utah Captive Insurance

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Home Licensing

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Find license applications for potential providers and forms for the feasibility study and annual statement documents in this area.

Captive Application Process

In order to obtain an application, interested parties must first complete some preliminary steps as follows:

1. Conduct a self assessment to make a preliminary determination as to whether a captive insurance company is right for your business,
2. Obtain a qualified consultant to provide advice and conduct a feasibility study (see below for guidance),
3. Meet with the Department to obtain guidance and buy-in on the initial plan, and
4. Make an on-line request to the Department for an application.

It is imperative that these steps be completed before an application is filled out. Because these steps are so critical to the success of any captive, the Department limits access to the captive application forms until it is satisfied that this process has been completed. After we have met with the principles and the initial plans appear feasible, access to the application process will be provided by email.

Captive Feasibility Study

- [Feasibility Guideline Form](#)

Captive Renewal Forms

- [Annual Statement Instructions](#)
- [Captive Renewal - Certificate of Renewal](#)

Captive Annual Statement Forms

Please select the link below to go to the new electronic annual filing forms and select "Register Here" if you do not already have a Utah-ID account.

The applications in this link require a Windows operating system that is more recent than Windows XP.

[Annual Filing Forms](#)

Provider Applications

Please select the link below to go to the new electronic application forms and select "Register Here" if you do not already have a Utah-ID account.

The applications in this link require a Windows operating system that is more recent than Windows XP. If you do not meet this requirement, please contact us for one of the applications.

Click on this link to access the forms.

At this point, a screen will appear requiring you to log into your UMD account to access the forms page. If you haven't already created a UMD account it will take you through the process of creating one before you may access the forms. Once done you'll be able to access the forms and may then select either the Statement of Economic Benefit or Annual Statement. Once you select a statement you'll then be taken to that applicable statements dashboard, from here you'll have the option to “Add New”, or “View”, “Update” or “Delete” an existing form.

Once you begin a form it is critical to note that the most important identifier for our use is the company's "Organizational ID" ("Org. ID#") number. This is a 5-6 digit number and can be found on the upper left hand corner of the company's Certificate of Authority (CA Number). It is NOT the company's Tax ID number, at no time on any form do we ask for the company's Tax ID number. If you're having trouble locating the company's Org. ID# then please contact a member of the captive division to assist you in obtaining the correct number.

Statement of Economic Benefit (SEB) instructions:

The SEB form is designed to be completed in a single sitting, at this point, there is no save and complete later capability. So please prepare appropriately. The SEB form is very nearly exactly the same as the FormDocs version. To be submitted it will not be necessary that it be signed by an officer of the company. The Captive Manager, or authorized representative, may electronically sign the form with their name by following the "CERTIFICATION" instructions at the bottom of the form and clicking "SUBMIT". The subsequent PDF that is generated will be date stamped with the "SUBMIT" date.

Once you click "SUBMIT" a PDF version of the form will automatically be emailed to your email (that you logged in with) and the Captive Division's email (captive@utah.gov). You can also retrieve a PDF version of the completed form by returning to the SEB dashboard. The SEB form is "locked" for editing once submitted.

Annual Statement (AS) instructions:

There are multiple pages of the AS form that you will need to navigate through and complete. You may save the data on this form and return to it at any time for completion by clicking the green button at the bottom of each page. However, you will need to complete certain data on the first page before you can save a progress to another page.

Once completed, you can click on the green "Sign Form" button on the left or the green button at the bottom of the last page to progress to the "CERTIFICATION" page. Here the captive manager or authorized representative will certify the information with their signature by entering their name and clicking the "SUBMIT ELECTRONIC SIGNATURES" button. The certification, name, and date stamp will then appear on the first page of the subsequently generated PDF. Once submitted, PDF version of the AS will automatically email to your email (that you logged in with) and the Captive Division's email (captive@utah.gov). Please do not sign and submit until you are satisfied that all information is correct. Once submitted the form is locked and can't be "Updated" unless the Captive Division is notified so we can un-lock the form.

Additionally, the first page (Jurat) will contain some language for two officers to attest to with their signatures (very similar to the FormDocs version). We had hoped to incorporate this process electronically, but were unable to develop that feature in time in a way that would adequately fulfill this Code requirement. Therefore, similar to the FormDocs version, you will need to forward a copy to the company officers for signing (minimum of two) and then forward a copy of the signed Jurat page to the Captive Division (captive@utah.gov). It's only necessary that the signed Jurat page be forwarded.

“Prior Year” data:

You will notice on the AS form that the “Prior Year” column reads “N/A”, and is grayed out and un-editable. This is because the new system is designed to retain the data from year to year, so that in the future once you enter the Company’s “Org. ID#” and progress to the next page the system will automatically upload the Prior Year’s reported numbers into the form. Since this is the first year of utilization there is, of course, no prior year data to upload (this will also be the case for any new captive’s first year of filing). As such, for this year there is nothing you need to do on your end. We will simply retrieve the Company’s prior year AS submission from our files for comparison during our review of the current year.