



Wisconsin Office of the  
**COMMISSIONER OF INSURANCE**

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**FINANCIAL REGULATION**

## OCI Financial Filing Portal User Guide

Date Created: 09/21/2020  
Last Updated: 10/11/2020



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## Overview

This user guide is intended for use by staff designated as a Financial Portal Filer within an insurance company or group. The user guide describes how to file documents and forms using the Wisconsin Office of the Commissioner of Insurance (OCI) Financial Filing Portal application.

The following must be completed prior to company staff being able to make an electronic filing to the Division of Financial Regulation using the new OCI Financial Filing Portal:

1. Each company and/or group that will submit filings using the OCI Financial Filing Portal application needs to have a designated Financial Portal Security Administrator who will assign roles for company staff. See the OCI Financial Portal Security Administration for Business Partners User Guide for more information.
2. The Financial Portal Security Administrator and the Financial Portal Filer(s) must have a State of Wisconsin Web Access Management System (WAMS) User ID (see Initial User ID Setup below).
3. Once the Financial Portal Security Administrator has a WAMS User ID they are to contact OCI at [ocifinancial@wisconsin.gov](mailto:ocifinancial@wisconsin.gov) to be assigned the Financial Portal Security Administrator role in the OCI Security Management for Business Partners application for the company or group they will maintain.
4. The designated Financial Portal Security Administrator must then add the company's Financial Portal Filer(s) for the company and/or group. See the OCI Financial Portal Security Administration for Business Partners User Guide for instructions.

We recommend the Google Chrome browser when using the OCI Security Management for Business Partners application.

## Initial User ID Setup

Prior to using the Financial Filing Portal, you will need to have a State of Wisconsin Web Access Management System (WAMS) User ID.

Go to <https://on.wisconsin.gov/WAMS/SelfRegController> to register for a WAMS user account.

After creating a WAMS User ID, you need to be assigned the Financial Portal Filer role for your company or group. If you need to request the Financial Portal Filer role, please contact the Financial Portal Security Administrator at your company or contact OCI at [ocifinancial@wisconsin.gov](mailto:ocifinancial@wisconsin.gov) to identify who the administrator is for your company.



## Accessing the Application

Once you have established a WAMS user account and have been assigned the Financial Portal Filer role, you can access the OCI Financial Filing Portal using the following link: <https://trust.oci.wi.gov/portal>. Notice the login page is part of WAMS. Also, notice the message in red on the screen. **Please do not bookmark this page!**

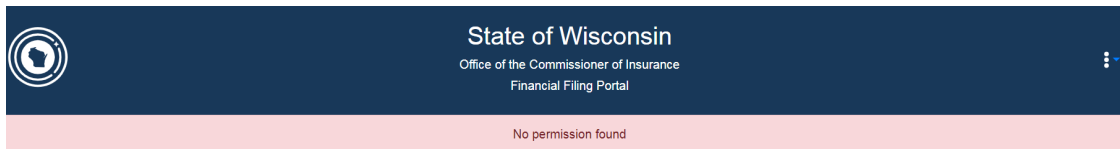
[Forgot your password? Is your account locked?](#)  
[Request a Wisconsin User ID and Password.](#)

You are about to access a State of Wisconsin computer system. This is a restricted computer system for authorized users only. All equipment, systems, services, and software connected to this system are intended only for official business use of the State of Wisconsin, and may contain U.S. Government information. All data contained on this system is owned by the State of Wisconsin. The State of Wisconsin reserves the right to audit, monitor, record and/or disclose all transactions and data sent over this system in a manner consistent with State and federal law. Use of this system by any user, authorized or unauthorized, constitutes consent to monitoring, recording, reading, copying, or capturing and disclosure of data and transactions by authorized personnel. Only software and/or hardware approved, scanned, and licensed for State of Wisconsin use is permitted on this system. Any illegal, unauthorized use or modification of the State of Wisconsin data, equipment, systems, services, or software by any person(s) is prohibited and may be subject to civil or criminal prosecution under state and/or federal laws.

[WAMS Home](#) [Wisconsin Portal Home](#)  
**Please don't bookmark this page.**

Once you log into WAMS using your WAMS ID and password, you will be taken to the OCI Financial Filing Portal. If you would like to bookmark the OCI Financial Filing Portal you can do so now.

If no permissions have been assigned for your WAMS user account, you will receive the message "No permission found". If this happens, you should contact your company's Financial Filing Portal Security Administrator for assistance.





## Filing

To access the available filings, you first need to provide parameters to define the organization you want to file for, the period, and year. Each parameter is dependent on the one before it. You will only see the next parameter after you have made the current selection.

1. Select your Financial Filing type. There are two Financial Filing types.
  - a. **File by Group** – A group is a set of Wisconsin licensed affiliated companies that have a group number issued by the National Association of Insurance Commissioners (NAIC). When filing by group the set of affiliated companies is limited to companies that are licensed in Wisconsin.
  - b. **File by Company** – Filing by company is limited to companies that are licensed in Wisconsin.

2. Select the Group or Company for whom you are filing.

**TIP:** If the group or company is not in the dropdown, then you do not have a Filer role for them. *Contact the Financial Portal Security Administrator for your company to request the Financial Portal Filer role.*

3. Select the Period. Valid periods are Annual, Quarter 1, Quarter 2, Quarter 3, or Other.

**TIP:** The period "Other", is used for Ad Hoc Documents where the filing is not tied to a quarter or end of year (annual) period. For example, request for extraordinary dividends, surplus notes, Form D's etc.

4. Select the Year of the filing.

After you select the year, the list of available filings for the period are displayed. This list of filings that can be made is called a checklist and is specific to the organization, period, and year selected.

The screenshot shows the State of Wisconsin Financial Filing Portal interface. At the top, it displays the State of Wisconsin logo and the text "State of Wisconsin Office of the Commissioner of Insurance Financial Filing Portal". Below this, there are four dropdown menus for selection: "File by Company" (set to "Security Insurance Company"), "Security Insurance Company" (set to "Security Insurance Company"), "Annual" (set to "Annual"), and "2019" (set to "2019"). Below these dropdowns is a table with columns for "Due Date", "Last Filed", and "Actions". The table lists three items: "Compulsory Surplus Filing" (Due Date: 03/01/2020, Last Filed: 05/11/2020), "CPA Audit Checklist" (Due Date: 06/01/2020), and "CPA Audit Exemption Affidavit" (Due Date: 06/01/2020). Each item has an "Actions" column with a corresponding icon (a document with a checkmark, a document with a plus sign, and a document with a plus sign).

**TIP:** If you receive the error, *"-204: No checklist item found for current selection, try a different option"*, the company or group does not have a checklist for the period/year selected.

For additional information on Annual/Quarterly filings, use the following link:  
<https://oci.wi.gov/Pages/Companies/AnnualQuarterlyFilingInformation.aspx>



## Filing by Group Special Notes

When filing for a group, the displayed list of companies are the companies within the group that are licensed in Wisconsin based on the period/year selected. When filing Annual/Quarterly filings for a group, the submitted filings are applied to all companies listed under Linked Companies. You cannot change the companies or select a subset.


	Due Date	Last Filed	Actions
Holding Co. Registration (Form B and C) - Group	06/01/2020	04/29/2020	
Miscellaneous Confidential Portal Document - Group			
Miscellaneous Portal Document - Group			

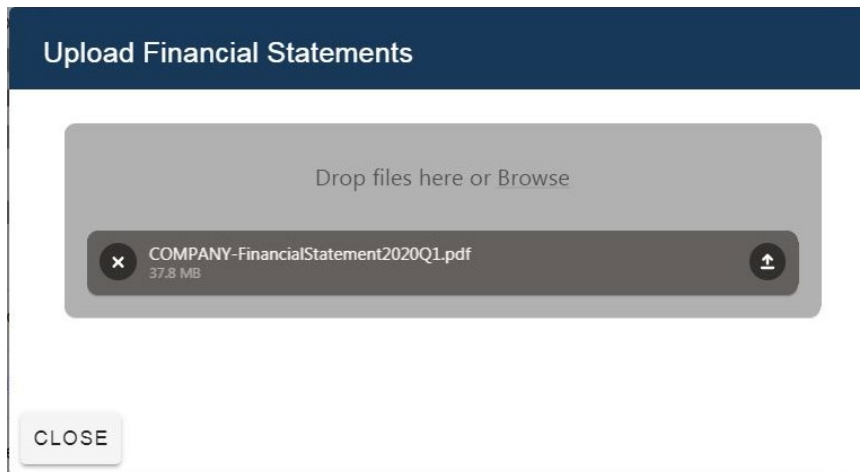
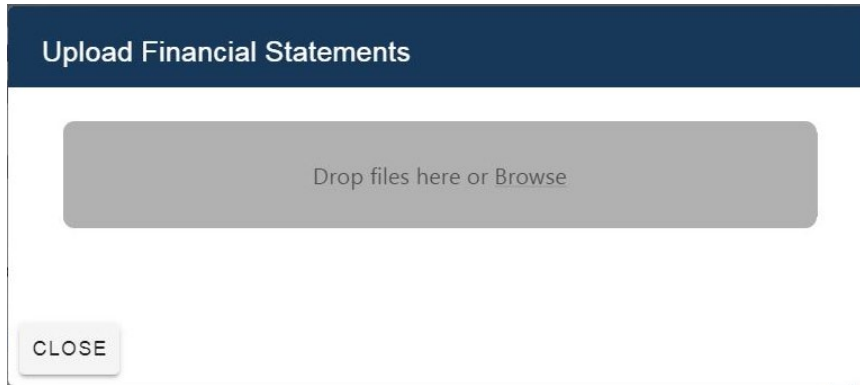
When filing for a group using the period "Other", you can select all or a subset of companies to file for by using the checkboxes. The checkbox on the header row will select/deselect all companies. If you want to file for only some companies, use the checkbox for the company(s) you wish to submit filings for.

Select one or more companies		Actions
<input type="checkbox"/>	Jubilee Insurance Company	
<input type="checkbox"/>	Jubilee National Insurance Company	
<input type="checkbox"/>	Carnation Mutual Insurance Company	
		Miscellaneous

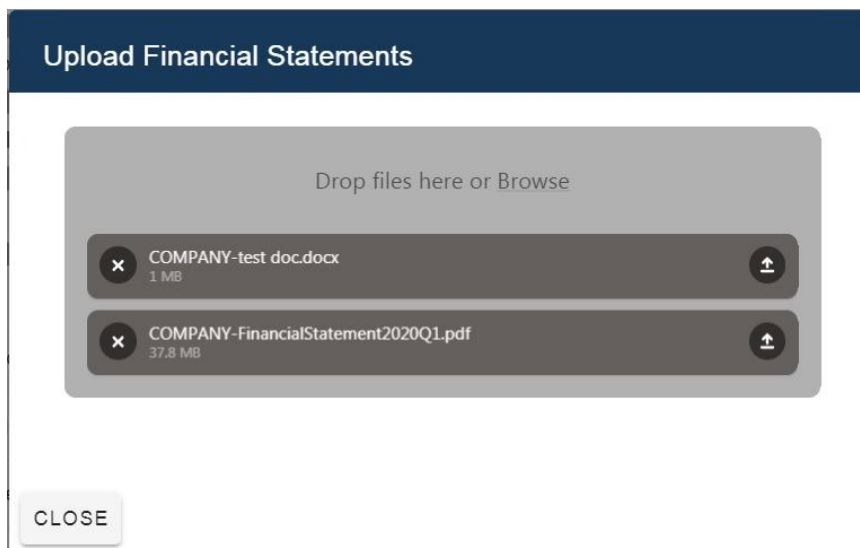


## Making a Filing


To make a filing, click on the action icon for the filing you want to make. The action icon  indicates the filing is made by uploading a document. When you click on this action icon you will receive a popup where you can drag or browse to add one or more files.

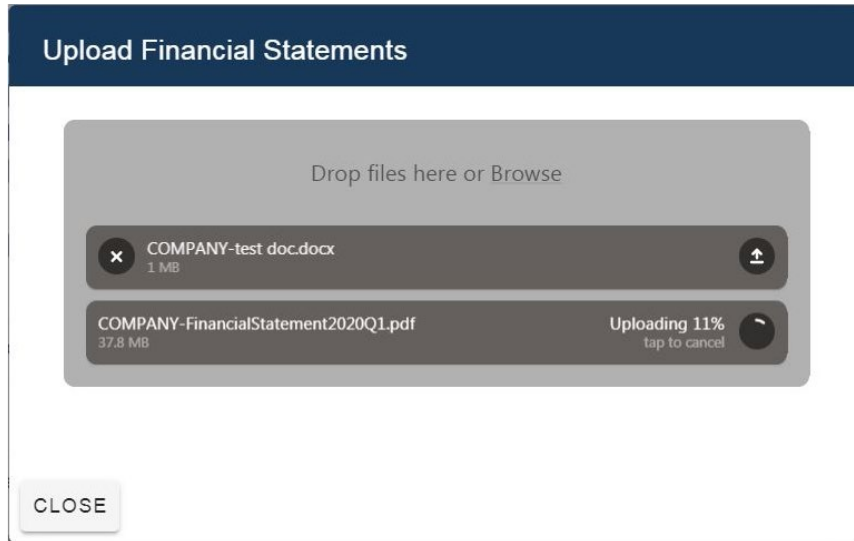


To upload more than one file, you can simply add another file.






Once you have the file(s) you want to upload, click the upload icon  to submit your file(s). This needs to be done for each file.

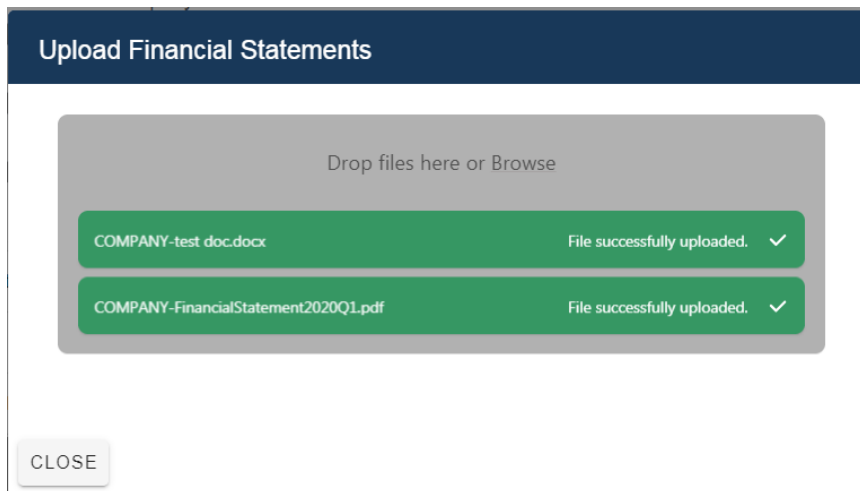


**Please note**, ZIP files are not allowed.



The status “- 312: Unable to determine file type” means you tried to submit an unsupported file format. You will need to click the  and select another file.

Once the file(s) are successfully uploaded you can click the CLOSE button or select more files.






**WARNING:** If you click the CLOSE button before all files are successfully loaded, those files will not be uploaded.






After a successful upload, there will now be a check mark next to the item on the checklist. This will assist you in knowing what uploads you have made during a session.

	Due Date	Last Filed	Actions
 Financial Statements 		03/01/2020	

**Please note**, the Last Filed date is displayed only for the Annual/Quarterly filings (i.e. is not displayed for the period "Other") and will not be updated to reflect your submission until the document has been processed by the system and you refresh your screen. This may take 5 - 10 minutes and during times of peak volume or off-hours maintenance, could possibly take an hour or more.

The action icon  indicates that the filing will be made using the legacy OCI Financial Online Filing application. The Last Filed date for filings made using the legacy application may take several days to be updated.

You will receive an e-mail summarizing the uploaded filings each day. You will not receive an e-mail summarizing filings made using the legacy application.

## Other Options

Additional options within the application can be accessed by clicking on the three dots in the header.

### Filing History

Displays all filings submitted through the OCI Financial Filing Portal application for companies and groups that the person logged in has rights to make filings for.

- Each filing year with a submission made thru the portal will have its own tab
- The filing history can be filtered by partially entering the following:
  - User ID
  - Group Name
  - Company Name used for a group filing or company filing

### Help

This option will include helpful links and OCI contact information.

### Sign Out

Use this to sign out of the OCI Financial Filing Portal application when filings have been completed.

## Contact Us

Please contact us at [ocifinancial@wisconsin.gov](mailto:ocifinancial@wisconsin.gov) or (608) 266-3585; Option #3 for questions on:

- Obtaining a WAMS User ID
- Getting access to the OCI Security Management for Business Partners application
- Getting access to the OCI Financial Portal application