



# Captive Participant Transition Guide

## Producer Team Responsibility

## Captive Team Responsibility

Quoting & Submission

Submit RFP and Documents to RMA

Initial call with Broker team to discuss submission and goals, confirm commission.

Other Quoting

- Third Party Administrator
- Cost Containment Vendors
- Ancillary Lines
- Traditional Stop Loss

Captive Quoting (2-3 weeks)

- Submit case to underwriting
- Review proposal with Producer
- Call with client/prospect

Implementation (1-2 months)

Stop Loss Process

- Disclosure
- Application

Submit signed forms to carrier

Policy Issue

- Final Census
- Signed Plan Document
- 1st Premium Payment

Support as needed

Send Stop Loss Policy

Third Party Administrator

- Welcome call
- Onboarding Paperwork
- Eligibility
- Stop Loss Premium Payment

Fully Insured Conversion Support Services Available

Other vendors

- Application & Paperwork
- Signed Plan Document
- 1st Premium Payment

Joining the Captive  
Each Employer Must:

- Complete Questionnaire
- Sign Subscription Agreement
- Send Collateral

Post Implementation

Day to Day service of client

Captive Reporting

# What To Expect During Implementation

1

## Get Started

Producer – confirm plan set up with TPA, obtain client signature on proposal and disclosure; secure cost containment vendors

Captive – Finalize plan specifications with carrier and obtain stop loss application. Captive will send the stop loss application to the Producer once received.

2

## Installation/Open Enrollment

Producer Team works with TPA to confirm SBC's are accurate and works with HR to conduct open enrollment; obtain final census and SPD from TPA, send to Captive

Captive - fully insured conversion support services available; confirm plan is active and stop loss policy has been issued

3

## Captive Set Up

Captive Manager sends New Era Subscription packet directly to group with collateral invoice; schedule call if needed to review paperwork.

4

## Plan Review

Producer – confirm TPA administrative services invoice is correct

Captive – schedule carrier onboarding call with all parties

5

## Ongoing Support

Producer – day to day support of client; review weekly claims files and monthly reports

Captive – tracks high cost claims; hosts quarterly performance review calls

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**You are now a part of the *New Era* Group Captive Program!**

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