



**State of Utah**

GARY R. HERBERT

*Governor*

GREG BELL

*Lieutenant Governor*

NEAL T. GOOCH

*Insurance Commissioner*

# Insurance Department

## **BULLETIN: 2012-4**

**TO:** Surplus Lines Agents/Brokers and Independently Procured Coverage (IPC) Filers

**FROM:** Neal T. Gooch, Utah Insurance Commissioner

**DATE:** June 20, 2012

**SUBJECT: Filing Changes On Multi-State Risk Policies For Surplus Lines Clearinghouse**

The purpose of this bulletin is to provide guidance regarding the filing of multi-state surplus lines policies after the Surplus Lines Clearinghouse has become operational. This bulletin is specific to policies in which a Nonadmitted Insurance Multi-state Agreement (NIMA) participating state is deemed the "Home State" under the provisions of the Nonadmitted and Reinsurance Reform Act (NRRRA). The policy includes premium for an exposure in one or more states/territories, regardless of their NIMA participation status.

All multi-state policies issued or renewed on or after July 1, 2012, and any subsequent endorsements to those policies, in which a NIMA-participating state is deemed the "Home State" should be filed with the Surplus Lines Clearinghouse. Brokers and IPC filers may begin filing transactions with the Clearinghouse on July 1, 2012. Endorsements on multi-state policies with an effective date prior to July 1, 2012 should continue to be filed with the Home State in accordance with the laws in effect at the time the policy became effective.

Furthermore, brokers and IPC filers should be aware of the policy data elements that will be required to make these filings with the Surplus Lines Clearinghouse as they may differ from the information currently required to be collected for each policy. A listing of the required policy data elements is posted at [www.slclearinghouse.com](http://www.slclearinghouse.com).

Additionally, licensed brokers will be required to provide their National Producer Number (NPN) upon registration with the Surplus Lines Clearinghouse. This number is assigned by the National Association of Insurance Commissioners National Insurance Producer Registry and is unique to each producing entity. To find your NPN number, please visit: <https://pdb.nipr.com/html/PacNpnSearch.html>.

As authorized by the NIMA Agreement, brokers will be required to collect a transaction fee from the insured to be remitted to the Clearinghouse. This fee is payable by the

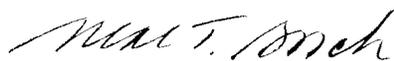
insured directly or through brokers on each transaction processed through the Clearinghouse to cover the cost of its operations. A web-based **Multi-State Tax Calculator** to assist brokers in estimating the taxes due for transactions submitted to the Clearinghouse is available on the Clearinghouse website at <http://www.slclearinghouse.com>. The calculator will provide brokers and policyholders estimates for all applicable surplus lines taxes, surplus line stamping fee, assessments, and the Clearinghouse transaction fees due for a multi-state placement for which the home state is a NIMA participating state.

Brokers can submit policy data to the Clearinghouse using two different methods: SLIP or XML Batch Filing. XML Batch Filing allows brokers to submit multiple transactions in a single upload through XML. Brokers may now download the XML Batch Filing Schema and Documentation from the Surplus Lines Clearinghouse website at <http://www.slclearinghouse.com/xml/xml.batch.schema.v1.0.xsd> and <http://www.slclearinghouse.com/xml1/xml.batch.manual.v1.0.pdf>.

The Clearinghouse offers a means for brokers to submit policy data in a single upload through XML Batch Filing. Brokers may now download the XML Batch Filing Schema and Documentation from the Surplus Lines Clearinghouse website at <http://www.slclearinghouse.com/xml/xml.batch.schema.v1.0.xsd> and <http://www.slclearinghouse.com/xml/xml.batch.manual.v1.0.pdf>.

Additional information will be provided regarding the Clearinghouse implementation, educational tools and training opportunities for Clearinghouse customers as that information becomes available. Please contact the **Utah Surplus Lines Association** at **801 944-0114** if you have additional questions.

DATED this 20<sup>th</sup> Day of June 2012,



---

Neal T. Gooch  
Commissioner of Insurance