

## Surplus Lines, Risk Retention and Purchasing Group Reporting Application User Guide

### User ID and Temporary Password

A User ID and Temporary Password will be mailed to each licensed surplus lines broker or brokerage and to each registered risk retention (RRG) and each purchasing group (PG) using a surplus lines insurer. If you have not received this information contact the Property and Casualty Division at [surplus.lines@insurance.ohio.gov](mailto:surplus.lines@insurance.ohio.gov)

### Accessing the Reporting Application

From the Department's homepage click on the link for "Secured Logon" and enter your User ID and Password in the area provided for Registered Users (Figure 1). **DO NOT attempt to sign in as a new user.** If you do not have a User ID and Password contact the Property and Casualty Division at [surplus.lines@insurance.ohio.gov](mailto:surplus.lines@insurance.ohio.gov)

Welcome to the Ohio Department of Insurance's secured section.

**DO NOT sign up as a NEW USER, if you want to use one of the applications below.**

- ◆ Financial Regulation - Examiner Billing
- ◆ Financial Regulation - Premium Tax Forms (Regulated Companies)
- ◆ IOTA - Interest On Trust Account
- ◆ Life and Health - Actuarial Reserve Analysis Application
- ◆ Life and Health - Annual Report Of Ohio Health Insurance Business
- ◆ Market Conduct - Annual Statement Contact Form
- ◆ Prompt Pay - Reporting Data Call
- ◆ Surplus Lines, RRG or RPG On-Line Reporting

[About SSL Certificates](#)

**NOTE:** You should have received a letter with the UserID and Password from the department. Use that information and sign in as a REGISTERED USER for the above applications.

Registered users	New Users	Help
<p>If you already have an User ID and Password, please logon below.</p> <p>User ID <input type="text"/></p> <p>Password <input type="password"/></p> <p><input type="button" value="Logon"/></p>	<p>If you <b>HAVE NOT</b> :</p> <ul style="list-style-type: none"><li>● Previously registered <b>-OR-</b></li><li>● Received an User ID and Password from ODI</li></ul> <p>please register below.</p> <p>User Type <input type="text" value="Select One"/></p> <p><input type="button" value="Next"/></p>	

Figure 1 Secure Logon Screen

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## Contact Information

Once in the application, the first screen that appears is Contact Information. The first time you enter the application, the screen will be blank. Enter your name, phone number and e-mail address, so that we may contact you if we have any questions. For subsequent logins, the information on this screen remains. If you need to update any information on the screen, make the necessary changes and click “Update”. If no changes are needed, click “Next”.

## Identification Screens

Once logged in surplus lines brokers and brokerages will be asked to input their license number. Surplus lines brokers, brokerages, RRGs and PGs will then be asked to confirm their identity.

## Main Menu

From the Main Menu you have the capability to insert a new record, change an existing record, delete a record and print various lists and reports.



**Figure 2 Main Menu Screen**

## Main Menu Lists

By clicking on the appropriate buttons from the Main Menu you can view the lists that appear in the drop-down boxes on the Insert Screen. The Company List button provides a list of Eligible Surplus Lines Insurers and Registered Risk Retention Groups.

Additional lists are provided for Risk Type, Insurance Type and eligible Reason for Exemption. It is recommended you print the Insurance Types list (Figure 3) as only the code will appear on the reports. You can print these lists by using the print function in your internet browser.

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Code	Description
27	Boiler & Machinery
26	Burglary & Theft
21	Commercial Auto
5	Commercial Multiple Peril or Package
28	Credit
23	Fidelity & Surety
1	Fire and Allied Lines
17	General Liability
9	Inland Marine
18	Liquor Liability
11	Medical Malpractice
36	Professional Liability
99	Other

**Figure 3 Types of Insurance**

On the Main Menu screen you will also find a link to the **Treasurer’s Yearly Report** form that is required to accompany your tax check. This form and your check must be received by March 31<sup>st</sup> each year for the preceding calendar year.

### Insert New Record

From the Main Menu (Figure 2) click on the Insert New Record button. The insert new record screen will appear (Figure 4). You must complete all fields on this screen (Figure 4). For each record a **Unique Item Number** must be assigned by you. This number may be the policy number or some other identifying number. However, the number you choose may only be used **ONCE** during the reporting year.

Only numbers can be entered in the **Aggregate Limit of Liability**, **Gross Premium**, and **Tax Amount** fields. Do not add the minus sign (-) in these fields. The **Gross Premium** and **Tax Amount** fields are to be rounded to the nearest cent.

To report a cancellation a new record must be added and a new **Unique Item Number** must be assigned to the transaction. You are encouraged to use the **Unique Item Number** of the original transaction and add a “C” to the end of the number to create a **Unique Item Number** for cancellations. For example, if your Unique Item Number was 123, you could insert the cancellation as 123C.

For surplus lines brokers, brokerages and purchasing groups using surplus lines insurers a drop down list containing all eligible Surplus Lines Insurers and Risk Retention Groups in Ohio is

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provided. For risk retention groups the Insert Screen will automatically pre-fill the **Insurer Name** field with the name of the reporting RRG.

Figure 4 Insert Record Screen

**Surplus Lines Reporting Form**  
Complete all fields below.

Unique Item Number

Named Insured

Insurer Name  
Choose One

Reporting Year 2006

Type of Risk Choose One

Type of Insurance Choose One

City of Risk , OH

County of Risk Choose One

Aggregate Limit of Liability \$

Policy Effective  (mm/dd/yyyy)

Policy Expiration  (mm/dd/yyyy)

Gross Premium \$ Charged  Returned  \$

Tax Amount \$ Taxable  Exempt  \$   
5% of Gross Premium

Add Record Main Menu

The **Reporting Year** field will only display the current calendar year, except in the month of January. For the months of January through March you will have the option of selecting the prior calendar year or the current calendar year. For example, in January 2007, you could insert records for the reporting year of 2006 or the reporting year 2007. However, this database is locked for the previous calendar year on April 1<sup>st</sup>. For the remainder of the year, you will only be able to insert records for the current calendar year.

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**Important** – Once the database is locked on April 1<sup>st</sup> records cannot be inserted for the previous calendar year.

For multi-city risks enter the city which represents the majority of the Ohio premium in the **City of Risk** field.

Surplus lines brokers, brokerages and PGs using surplus lines insurers will indicate whether a risk is taxable or exempt from the surplus lines tax. When the **Exempt** button is selected an additional field appears prompting you to select the reason for exemption (Figure 5). A risk can only be considered exempt from surplus lines taxes if it meets the requirements of ORC 3905.36. Risks placed with RRGs are not eligible for exemptions.

The screenshot displays a web-based reporting form titled "Surplus Lines, RRG or RPG On-Line Reporting". The main heading is "Surplus Lines Reporting Form" with a sub-instruction "Complete all fields below." The form contains several input fields and dropdown menus:

- Unique Item Number: Text input field.
- Named Insured: Text input field.
- Insurer Name: Dropdown menu with "Choose One" selected.
- Reporting Year: Dropdown menu with "2006" selected.
- Type of Risk: Dropdown menu with "Choose One" selected.
- Type of Insurance: Dropdown menu with "Choose One" selected.
- City of Risk: Text input field followed by ", OH".
- County of Risk: Dropdown menu with "Choose One" selected.
- Aggregate Limit of Liability: Text input field with a dollar sign.
- Policy Effective: Text input field with "(mm/dd/yyyy)" format.
- Policy Expiration: Text input field with "(mm/dd/yyyy)" format.
- Gross Premium: Radio buttons for "Charged" (selected) and "Returned", followed by a dollar sign and text input field.
- Tax Amount: Radio buttons for "Taxable" and "Exempt" (selected), followed by a dollar sign and text input field. Below this, it says "5% of Gross Premium".
- Reason for Exemption: Dropdown menu with "Choose One" selected.

At the bottom of the form are two buttons: "Add Record" and "Main Menu".

**Figure 5 Insert New Record - Exemption Status**

Once data has been entered in **ALL** fields press the **Add Record** button to save the record.

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### Updating Existing Records

From the Main Menu click on the Update Record button. In the next screen enter the **Unique Item Number** of the record you wish to update (Figure 6) and click on the Get Record button.



**Figure 6** Update Screen

Note this screen **IS NOT** to be used for processing cancellations. To enter a cancellation see the instructions under Inserting New Records.

Your record will be displayed with all fields being editable with the exception of the **Unique Item Number**. To save your changes click the Update Record button. To exit without changing the record click on the Main Menu button. If you want to edit the **Unique Item Number**, you must delete the record and insert a new record.

**Important** – Once the database is locked on April 1st no additional changes can be made to a record for the previous calendar year.

### Deleting Existing Records

From the Main Menu click on the Delete Record button. In the next screen enter the **Unique Item Number** of the record you wish to delete and click on the Get Record button.

Your record will be displayed. To delete the record click on the Delete Record button. To exit without deleting the record click on the Main Menu button.

**Important** – Once the database is locked on April 1<sup>st</sup> records cannot be deleted for the previous calendar year.

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## Printing Reports

To print reports of the data you have entered click on the **Print Submitted Records** button found on the Main Menu (see Figure 2). From the next screen (Figure 7) you can choose the type of report you would like to print.



**Figure 7 Report Option Screen**

You can choose to print a report of all records submitted for the current reporting year, records submitted for today or records from a specific range of policy effective dates.

The reports will show the Unique Item Number (Item#), Named Insured, Insurer, Type of Insurance (Ins. Type), Location (Loc), Limit of Liability (Liab Limit), Effective Date (Eff. Date), Expiration Date (Exp. Date), Gross Premium (Gross Prem), Tax Amount (Tax Amt) and Tax Status (T)ax or (E)xempt.

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When printing any report always use the print button located on the application toolbar to the right of the Envelope icon (Figure 8).



Figure 8 Print Report

This opens another window that will print the report in Acrobat.

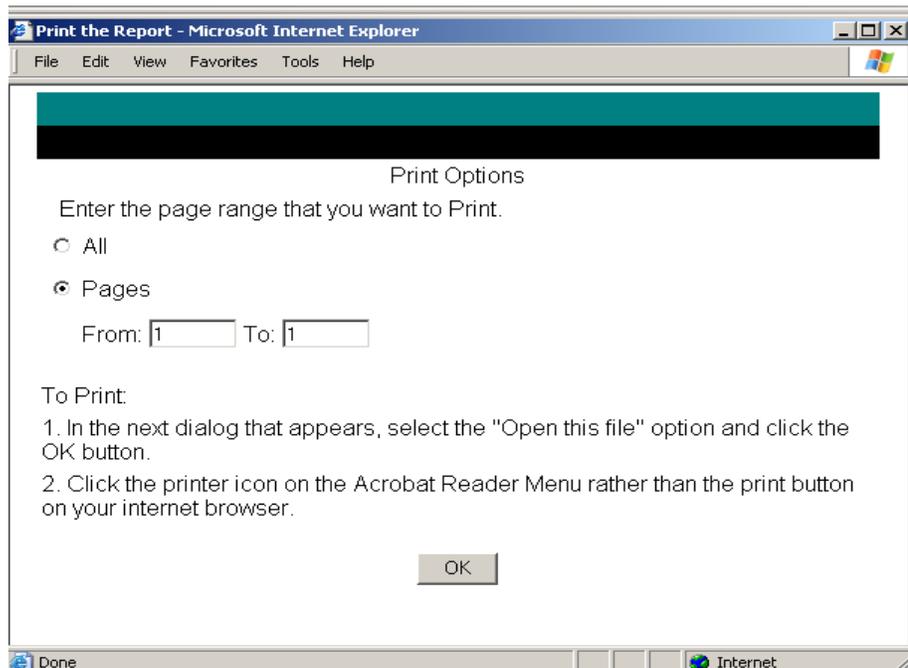
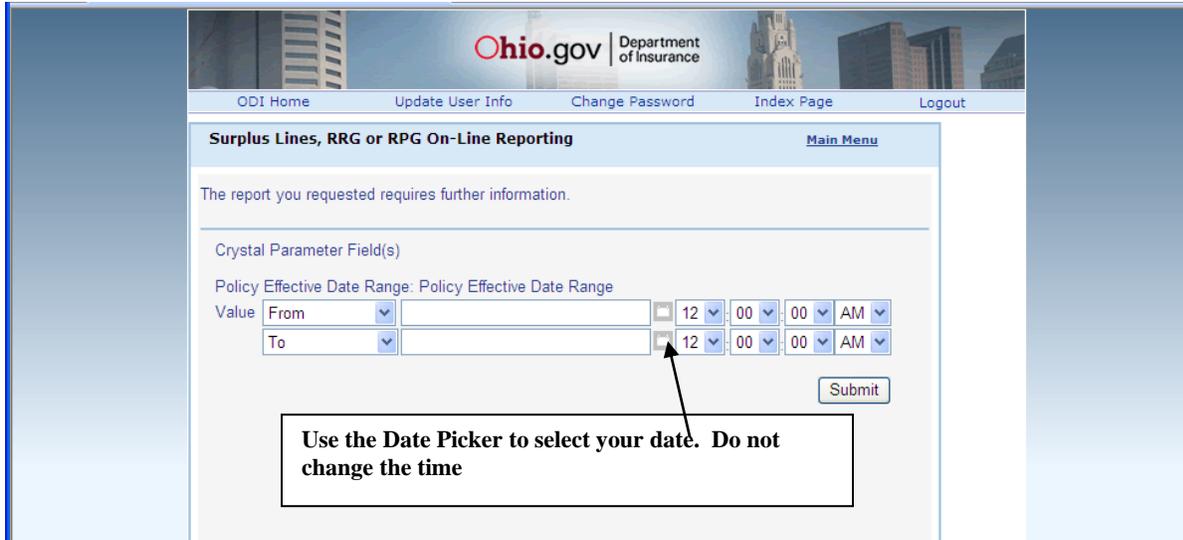


Figure 9 Print Window

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**Figure 10 Policy Effective Date Range Screen**

When selecting the Policy Effective Date Range Report **DO NOT** change the Value drop-down or the time indicators. Use the Date Picker to select your date.

The Date Picker will open to today's date. You can then select a different month or year by using the arrows at the top of the screen. When you have chosen the correct month and year click on the day to add the date to the range indicator.



**Figure 11 Date Picker Screen**

You may also export the report file to other program formats **providing** you have that program on **your** computer. To export a report file click on the Envelope icon located on the application toolbar next to the Printer icon (Figure 8). This will open a new window (Figure 12).

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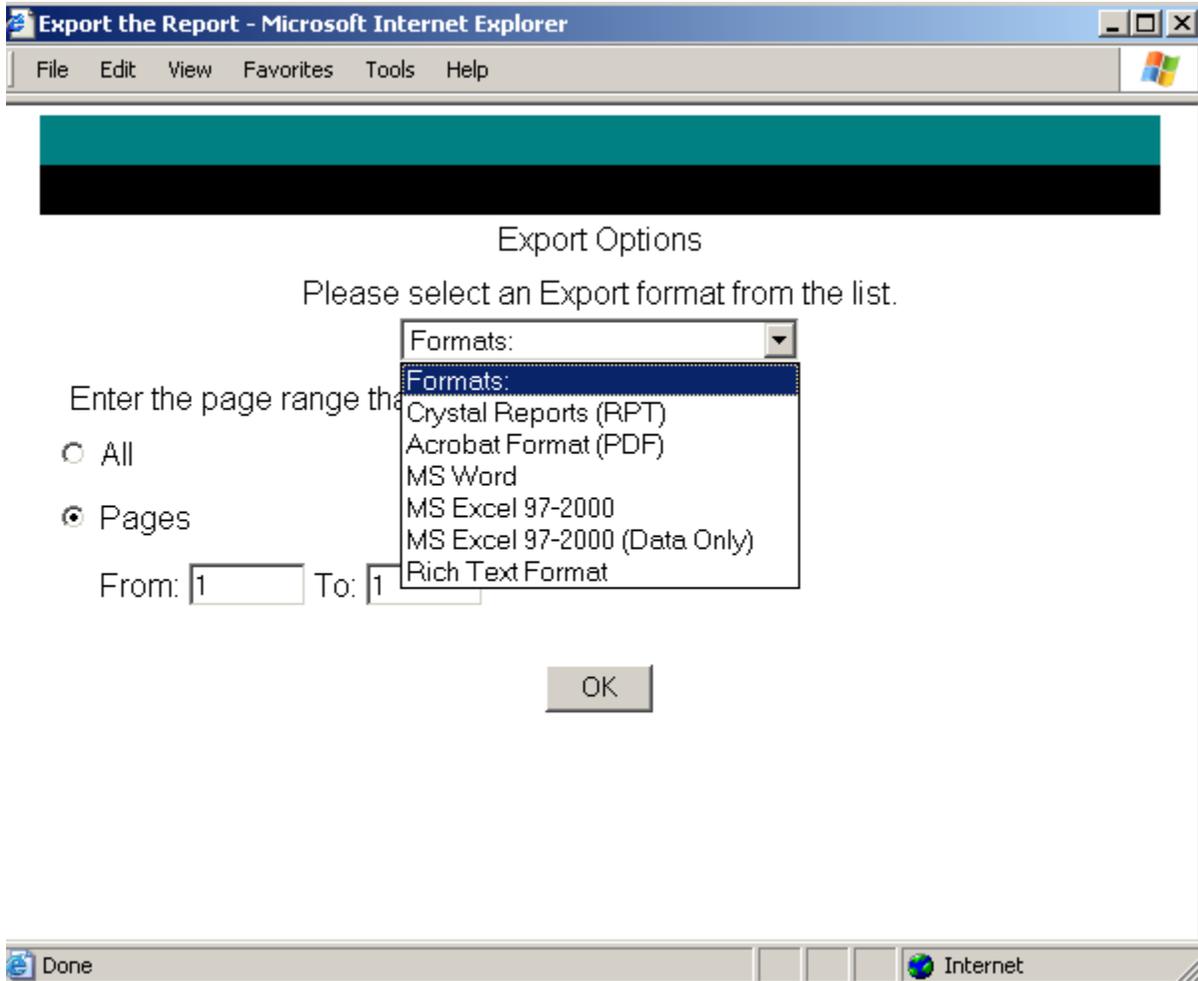


Figure 12 Export Window

You can then select the appropriate format and click OK. **It is recommended you use the MS Excel 97-2000 (Data Only) format to export the report to an Excel workbook.** Use the program's SAVE AS function to change the file name and save the file to your hard drive.

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## Bulk Uploading

Users have the option of bulk uploading their records using a CSV file. Once the file is created from the Main Menu (see Figure 2) click the Submit Bulk Upload button. In the next screen you will browse for the file.



Figure 13 File Upload Screen

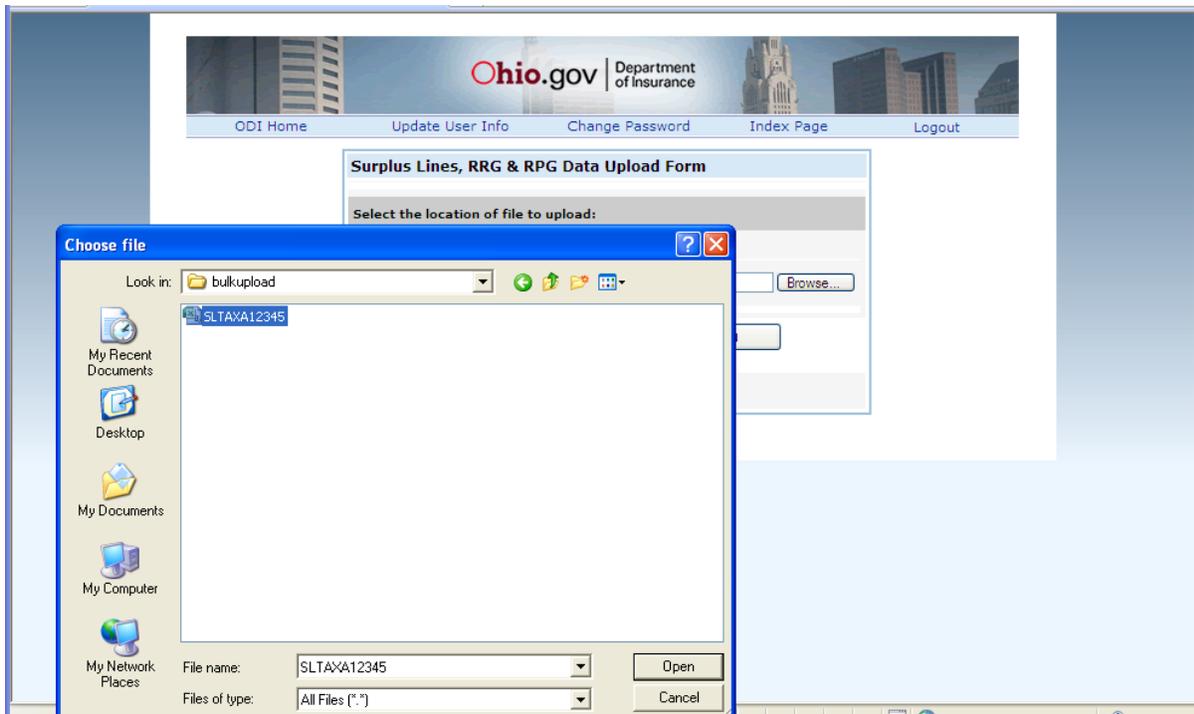


Figure 14 Browse for File

Once you have found your file, highlight it and click the open button.

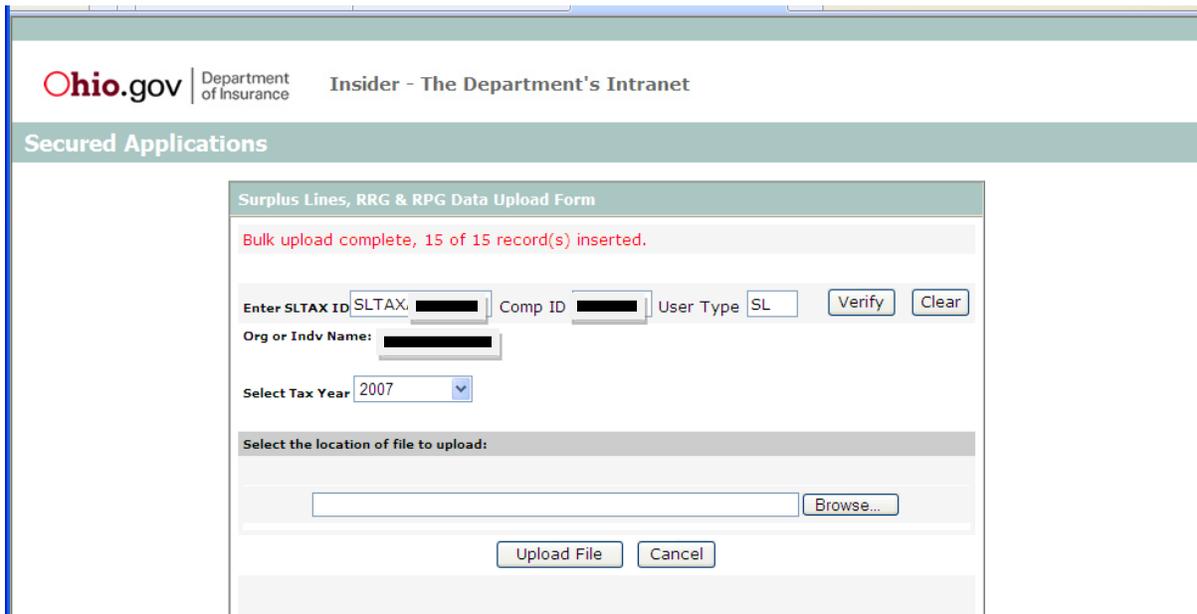
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Your file name will appear beside the Browse button.



**Figure 15 Upload File**

Click on the Upload File button. If the transfer is successful you will get a message telling you it was successful and how many records were transferred. If your file had errors in it, the message will identify the first error. Once you receive the message the file was transferred successfully the records will be available for your use. Reports can be generated or individual records can be edited or deleted using the buttons on the Main Menu.



**Figure 16 Upload Successful**

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Questions on this Application

Contact [surplus.lines@insurance.ohio.gov](mailto:surplus.lines@insurance.ohio.gov)

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