

# SURPLUS LINES (UNAUTHORIZED) INSURANCE COMPANIES

## Filing Requirements

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The Items below are due by March 1<sup>st</sup> of each year:

- Annual Statement – A hardcopy is no longer required to be filed with the Department provided that an electronic copy is filed with the NAIC.

- Surplus Line Broker Policy listing – E-mail to [surpluslines@insurance.alabama.gov](mailto:surpluslines@insurance.alabama.gov)

-Please refer to the ‘Instructions for formatting the Excel Spreadsheet’

<https://aldoi.gov/SurplusLineWeb/PDF/FormattingExcelSpreadsheetInsurer.pdf> and the ‘Surplus Line Unauthorized Insurance Policy Data’ excel spreadsheet example located under

<https://aldoi.gov/SurplusLineWeb/UnauthCoInfo.aspx>.

\*Note-The broker license number field should contain the Alabama licensee number for the individual surplus line broker (**not the agency**) who reported and paid the taxes to the Department. The letter “A” is no longer required - license numbers can be up to 12 numbers.

-NO DUPLICATE POLICY NUMBERS.

## FEES

As set forth in the Insurance Department Bulletin of October 1, 2012, all insurers are required to submit an annual audit and examination fee of **\$950, accompanied by form PR**, to the address below. *Form PR can be found under Companies/Filing Requirements/Annual Audit and Exam Transmittal Form PR.*

### POSTAL SERVICE

Alabama Department of Insurance  
c/o Compass Bank  
P.O. Box 830707  
Birmingham, AL 35283-0707

### COURIER OR EXPRESS SERVICE

Alabama Department of Insurance  
c/o Compass Bank  
701 South 32<sup>nd</sup> Street  
Birmingham, AL 35233

ALL FILINGS WITH THE ALABAMA DEPARTMENT OF INSURANCE MUST BE MAILED BY THE U.S. POSTAL SERVICE OR COURIER. HAND DELIVERY IS NOT ACCEPTABLE.

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## CONTACT PERSONS

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