

**FORMATTING DATA FILES AND EXCEL SPREADSHEETS FOR SURPLUS LINE PROGRAM**  
**(Surplus Lines Brokers)**

**IMPORTANT INFORMATION**

**PLEASE NOTE THAT THE FORMATTING INSTRUCTIONS YOU ARE VIEWING ARE BEING DISPLAYED IN A NEW WINDOW (THE PAGE YOU WERE VIEWING PRIOR TO THIS ONE IS STILL OPEN IN THE BACKGROUND). WE HAVE PRESENTED INFORMATION ABOUT HOW TO FORMAT YOUR DATA FILES IN THIS MANNER SO THAT YOU CAN MINIMIZE THIS WINDOW TO MAKE IT AVAILABLE FOR REFERENCE WHILE YOU ARE FORMATTING YOUR SURPLUS LINE DATA FILES.**

**SIMPLY CLICK THE MINIMIZE ( - ) BUTTON IN THE UPPER RIGHT HAND CORNER OF THE MENU OR TITLE BAR TO MINIMIZE THIS DOCUMENT WINDOW TO A BUTTON ON YOUR TASKBAR. YOU WILL THEN SEE THE PAGE WHERE YOU MAY BEGIN THE ONLINE FILING OF YOUR SURPLUS LINE TAX INFORMATION. IF YOU WISH TO CLOSE THIS WINDOW, CLICK THE CLOSE ( X ) BUTTON IN THE UPPER RIGHT HAND CORNER OF THE MENU OR TITLE BAR.**

**Formatting Instructions**

In order to successfully upload Surplus Line policy information to the Alabama Department of Insurance Surplus Line System, the file must be in a "comma-delimited format". This means that all data elements on each line must be separated from each other by a comma. The file must also have a .txt (text) or .csv (comma-separated value) extension (for example, BrokerID12.txt or BrokerID12.csv). As you prepare your .txt or .csv file, the commas separating the data elements may not be visible if you view your data in a spreadsheet format. However, if you review your file in a text editor (such as Notepad), the commas will display. Both of these file types can be created directly from a Microsoft Excel spreadsheet.

If your accounting software is other than Microsoft Excel (i.e., PeachTree, QuickBooks, Great Plains or Platinum), but will create a .csv or .txt file, that is acceptable. Another possibility is to “export” or “cut and paste” Surplus Lines policy data to Excel and use that to create a .csv or .txt file. If none of these options will work with your software, you will not be able to use the upload feature. You can still use the online Surplus Lines System to file your ID-12s or policy data, but all policy information would have to be entered manually. Manually entering a large number of policies is time-consuming.

**Required fields and file formatting for uploading Surplus Lines Broker ID-12 data to the Surplus Line System. Do not use commas in any of the fields (including money fields) :**

<b>Column Heading***</b>	<b>Field Size/Format</b>	<b>Data entry required/optional</b>
Policy Number	up to 25 characters	required entry
Policy Effective Date	MM/DD/YYYY	required entry
Policy Term (in months)	enter 6, 9, 12, etc.	required entry
Insurance Amount	format is 9999.99	optional entry*
Premium/Return Premium	format is 9999.99	required entry
Fees	format is 9999.99	required entry
Tax (Prem + Fees x 6%)	format is 9999.99	required entry
Coverage Code	4 digit code located on broker main login page	required entry
Broker License Number	up to 6 numbers	required entry
Insurer Company Number (NAIC)	up to 15 characters	required entry
Referral Agent License Number	up to 6 numbers	optional entry*
Diligent Efforts Made	up to 500 characters	required entry
Insured Name	up to 200 characters	required entry
Property Address 1	up to 50 characters	required entry

Property Address 2	up to 50 characters	optional entry*
Insured City	up to 25 characters	required entry
Insured State	2-letter abbreviation	required entry
Insured Zip	up to 10 characters	required entry
Comments (notes)	up to 500 characters	optional entry*
Service of Process Agent Name	up to 75 characters	required entry
Service of Process Address 1	up to 50 characters	required entry
Service of Process Address 2	up to 50 characters	optional entry*
Service of Process City	up to 25 characters	required entry
Service of Process State	2-letter abbreviation	required entry
Service of Process Zip	up to 10 characters	required entry
Transaction Type	must be one of the following: New Policy, Renewal, Endorsement, Cancellation, Monthly Premium, Audit Premium, or Reinstatement	required entry****
Transaction Number	must be a sequential self-assigned number 1-99 for Endorsements, Cancellations, and Monthly Premiums only	required entry**

\* **Data entry for these fields is optional. However, if no data is to be entered into these fields, then their respective columns must be left blank in the spreadsheet in order to successfully import the data file.**

\*\* **Transaction Number is required only for Endorsements, Cancellations, and Monthly Premium transaction types. Column can be left blank for other transaction types.**

\*\*\* **Very important! Column Headings should take up the first row in the Excel spreadsheet. Your first record of policy information should be on the second row.**

\*\*\*\* **Transaction types must be spelled out completely as indicated above. No abbreviations.**

*Hint:* If you must make any changes or corrections to the file, make them in the *original* document and then resave the file as .csv or .txt over the previous incorrect file.

**Examples** (when viewed in a text editor):

1. PD7361-9843, 3/12/2004, 12, 948754.23, 1383.90, 478.39, 111.74, 4000, 999999, C837843, 988888, diligent efforts made comments, Robinson Motor Trucking Inc., 838 Blue Rd., Suite 37C, Atlanta, GA, 75438-3943, Any additional comments, The ABC Agency, 374 Green St., Suite 83D, Birmingham, AL, 37538-3939, Endorsement, 2
2. LS83428-82184K, 5/6/2004, 9, 753921.94, 1094.94, 425.50, 91.23, 4000, 999999, C123456, , diligent efforts made comments, Samsong Corporation, 938 Hickory Rd., , Montgomery, AL, 36117, Any additional comments, Green Agency, 394 Roosevelt Drive, , Tuscaloosa, AL, 35149, New Policy, (example with some optional field columns left blank)

These instructions show how to create:

- [a comma-separated file \(.csv\) using Microsoft Excel](#) *recommended method*

**How to create a comma-separated file (.csv) using Microsoft Excel.**

Step 1. Open or create the Broker ID-12 file using Excel. See Figure 1 below.

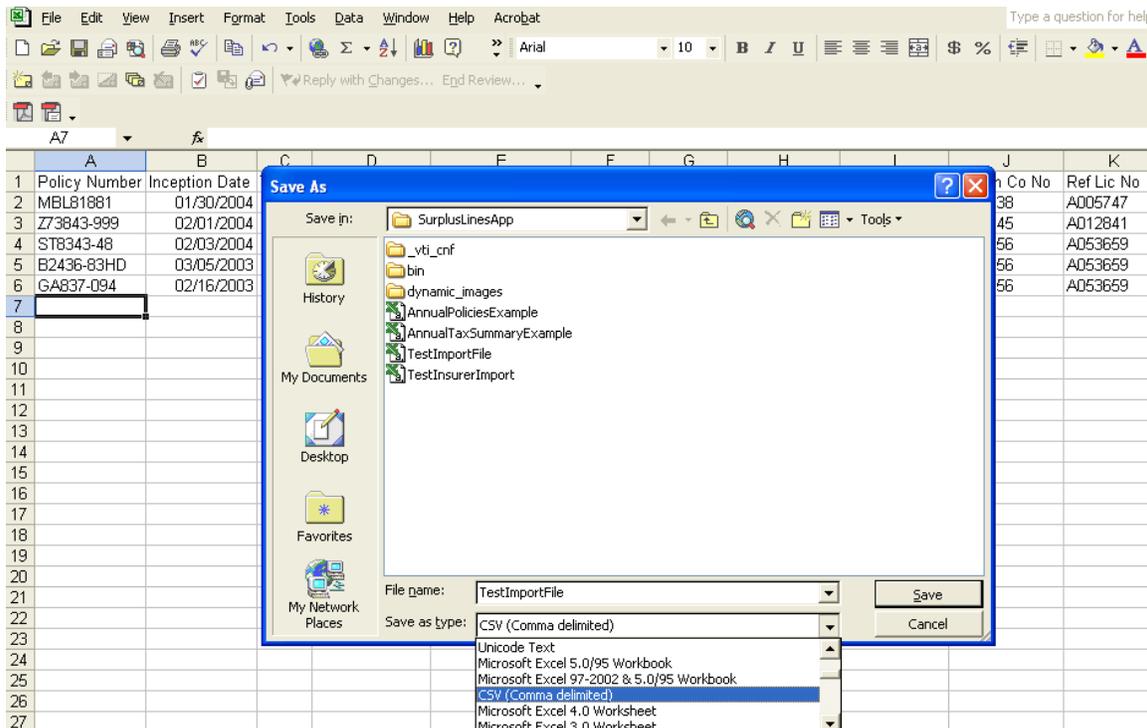
Tip: **Do not** format any of the money columns with dollar signs or commas; **do** enter a decimal point and cents; use text format. **Do not** allow blank lines between records or after the last record.

	A	B	C	D	E	F	G	H	I	J	K	
1	Policy Number	Inception Date	Term	Insurance Amt	Prem/Return	Prem	Fees	Tax	Coverage Type	Broker Lic No	Unauth Co No	Ref Lic No
2	MBL81881	01/30/2004	7	287846	63948.37	838	3887.18	physical damage	A053659	C272838	A005747	
3	Z73843-999	02/01/2004	8	1000000	10928.43	344.36	5456.75	liability	A053659	TB12345	A012841	
4	ST8343-48	02/03/2004	6	1837937.5	6357.43	4453.96	648.68	physical damage	A012841	C123456	A053659	
5	B2436-83HD	03/05/2003	7	73473.39	7483.39	263.39	322.87	liability	A012841	C123456	A053659	
6	GA837-094	02/16/2003	7	8374.93	12839.93	374.93	3436.9	liability	A005747	C123456	A053659	
7												
8												
9												
10												

**Figure 1.**

Step 2.

Open the menu item File-Save As. Select CSV from the “Save As Type” list box. See Figure 2 below.



**Figure 2.**

Step 3.

After you click Save, Excel may prompt you with a message box stating “The selected File type does not support workbooks that contain multiple sheets. To save only the active sheet, click OK.” This is what you want. The program will upload only the sheet displayed. Click OK.

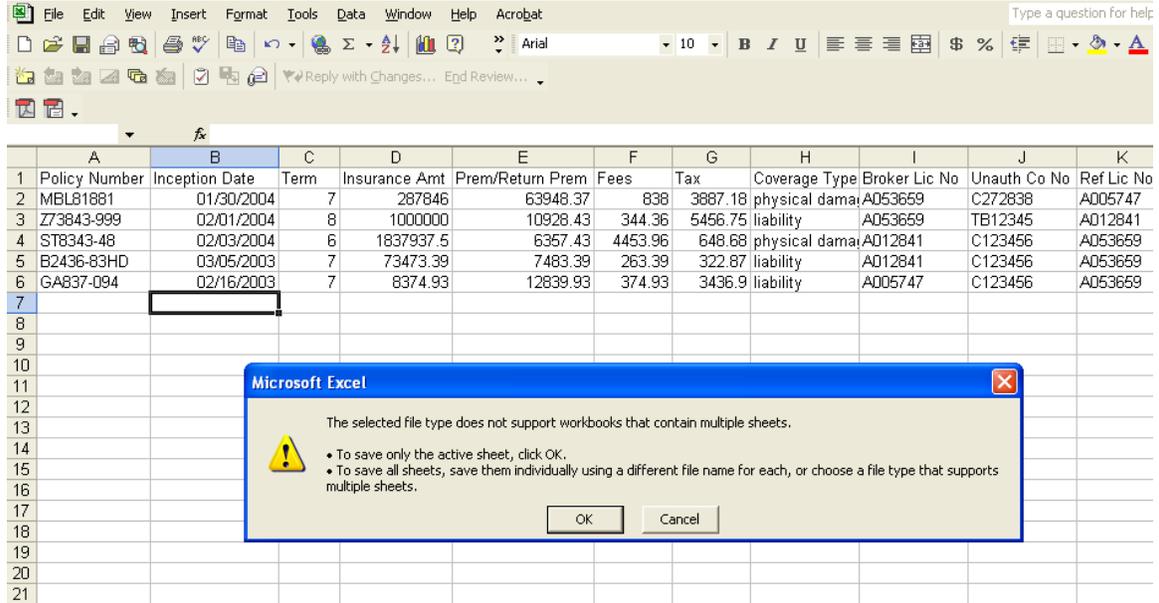


Figure 3.

The file should now be saved as a .csv file. Your file is ready to be uploaded into the Surplus Line System.