

ALABAMA DEPARTMENT OF INSURANCE
SURPLUS LINES (UNAUTHORIZED) INSURANCE COMPANIES
DATA IMPORT INSTRUCTIONS

Surplus Line (Unauthorized) Insurance Companies are required to upload policy information to the Alabama Department of Insurance Surplus Line System. The file must be in a "comma-delimited format" **and** in the required format outlined in the ‘Surplus Lines (Unauthorized) Insurers Formatting Data File Instructions’ [SLUnauthorizedInsurersFormattingDataFileInstructions.pdf \(aldoi.gov\)](https://aldoi.gov/SurplusLineWeb/UnauthCoInfo.aspx) and the ‘Surplus Lines (Unauthorized) Insurance Policy Listing Data’ excel spreadsheet. An example is located on ALDOI website at <https://aldoi.gov/SurplusLineWeb/UnauthCoInfo.aspx>.

➤ **Access Insurer Policy Import**

Surplus Lines (Unauthorized) Insurers are required to electronically import data files into the online system by following the ALDOI link available in OPTins or accessing the system via ALDOI website at <https://aldoi.gov/SurplusLineWeb/UnauthCoInfoImport.aspx>. Complete the online form and captcha. If company information does not auto display, follow instructions to submit a *request to be added* to the surplus lines database.

➤ **Import Data File**

Upload file to ‘**Insurer Policy Import**’ and submit. Files that are submitted ‘successfully’ will receive confirmation. Files ‘unsuccessfully’ imported will receive an error message. A data file that is improperly formatted will not import to the Alabama Department of Insurance Surplus Line System. The insurer is required to recreate the file utilizing the ‘Surplus Lines (Unauthorized) Insurers Formatting Data File Instructions’ [SLUnauthorizedInsurersFormattingDataFileInstructions.pdf \(aldoi.gov\)](https://aldoi.gov/SurplusLineWeb/UnauthCoInfo.aspx) and the ‘Surplus Line (Unauthorized) Insurer’s Policy Data’ excel spreadsheet or comma delimited file. An example is located on the ALDOI website at <https://aldoi.gov/SurplusLineWeb/UnauthCoInfo.aspx>. Once the file has been properly formatted, upload and resubmit. **It is recommended to perform a DATA FILE PRE-IMPORT CHECK prior to submitting data file. ***

DATA FILE PRE-IMPORT CHECK*

1) **Verify file is in correct format.** (View ‘Surplus Line Insurers Formatting Data File Instructions’ at [SLUnauthorizedInsurersFormattingDataFileInstructions.pdf \(aldoi.gov\)](https://aldoi.gov/SurplusLineWeb/UnauthCoInfoImport.aspx). See example of required format below:

	A	B	C	D	E	F	G
1	Policy No	Broker Lic No	Unauth Co NAIC	Net Prem + Fees	Insured Name	Tax Year	Effective Date
2	SY873-49485	999999	83743	38593.71	Jane Doe	2004	05/08/2004
3							

2) **Check for duplicate policy numbers.** The database does not allow duplicate policy numbers. Therefore, please correct the spreadsheet to **one** line per policy number.

3) **Check broker license number to ensure it does not start with the letter “A” (old numbering system) or preceding “0”.**

4) **Check file to ensure it does not contain commas.**

5) **Verify that commas and dollar signs are not included in money fields.** If so, change the format of the column to text.

6) **Verify NAIC number is reported correct.** 5 digits for US Companies and AA- followed by 7 digits for alien companies (dash is included).

7) **Be sure file does not exceed 2500 policies.** If the file contains more than 3000 policies, it must be divided it into separate files, or a timeout error may occur.

➤ **Error Messages**

The following is a list of error explanations with required corrective actions:

Invalid Broker Error: The invalid broker errors may have been caused by license numbers of producers and/or business entities/agencies being entered. The database does not allow license numbers of producers or business entities; they are considered invalid, which does not mean they are not licensed.

CORRECTIVE ACTION: Since surplus lines taxes are only reported under the individual surplus lines broker, contact the agency or producer for the license number of the individual surplus line broker that reported the policies. **A CORRECTED DATA FILE IS REQUIRED TO BE RE-SUBMITTED WITH ONLY THESE POLICIES.**

Invalid Insurer Error: Invalid NAIC number consist within the data file.

CORRECTIVE ACTION: Verify insurer number and update. (5 digits for US Companies and AA- followed by 7 digits for alien companies, dash is included).

Duplicate Policy: Policy number has been identified as duplicate (Duplicate policy numbers are to be corrected prior to import per **DATA FILE PRE-IMPORT CHECK** and therefore have been previously imported)

CORRECTIVE ACTION: Dismiss

➤ **After import**

If the file contained no errors, a successfully submitted confirmation is displayed and no additional action is required.

If the imported file contained errors, go to '**View Error Table**' to view a listing of errors. Select all errors from the table and copy and paste into an excel spreadsheet for corrective action and resubmit. Errors may also be corrected directly from the error table. Once errors have been eliminated, no further action is required.