SLAS

INNOVATION IN THE REGULATION OF SURPLUS LINES

SD   TN   WY   OK

SLAS
REPORTING ENTITY
MANUAL

2024

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INTRODUCTION

1.1. PURPOSE OF THIS DOCUMENT

The purpose of this document is to provide guidance to policy filers reporting surplus lines policy data to SLAS through the Surplus Lines Information Portal (SLIP). This document is intended to be a working document and will be updated as enhancements are added or removed. Any reproduction, distribution, transmission, publication, or use requires the prior written permission of the Florida Surplus Lines Service Office.

1.2. INTENDED AUDIENCE

The intended audiences for this document are the policy filers reporting policy data for the state members utilizing the system. Those states are currently Oklahoma, South Dakota, Tennessee, and Wyoming.

1.3. SLAS CLEARINGHOUSE STAFF CONTACT INFORMATION

Tiffany Andersen, Product & Business Development Manager
Phone: (877) 267-9855 x113
Emails: tandersen@fslso.com
Website: www.slasclearinghouse.com
Address: 1441 Maclay Commerce Drive, Suite 200, Tallahassee, FL 32312

Rachel Hoffman, Business Systems Coordinator
Phone: (877) 267-9855 x131
Emails: rhoffman@fslso.com
Website: www.slasclearinghouse.com
Address: 1441 Maclay Commerce Drive, Suite 200, Tallahassee, FL 32312

2. ABOUT SLAS CLEARINGHOUSE

The SLAS Clearinghouse is a service of the Florida Surplus Lines Service Office (FSLSO), a non-profit corporation chartered by the Florida State Legislature in 1997. The Surplus Lines Automation Suite (SLAS) was developed by the Florida Surplus Lines Service Office (FSLSO) for the reporting and taxation of surplus lines policies. SLAS is comprised of two main components: a web-based policy filing software for agents, the Surplus Lines Information Portal (SLIP), and the web-based management system for regulators, the Regulatory Administration Platform for Insurance Data (RAPID). SLIP and RAPID are technology solutions that provide user-friendly environments for policy submission, data management, tax calculation and reporting.

SLAS is the filing platform currently used by Oklahoma, Tennessee, South Dakota, and Wyoming to collect policy data, facilitate compliance, invoice, and collect tax payments for their respective states. Agents and policyholders file policy data using the SLIP. Member states use the management system, RAPID, to review and regulate the surplus lines policy data reported by agents.

3. TERMINOLOGY AND DEFINITIONS

3.1. GENERAL DEFINITIONS

1. **Independently Procured Coverage (IPC)** – insurance procured directly by an insured from a non-admitted insurer as permitted by the laws of the Home State.

2. **Premium Tax** – with respect to surplus lines insurance or Independently Procured Coverage, any tax, fee, assessment, or other charge imposed by a government entity directly or indirectly based on any payment made as consideration for an insurance contract for such insurance, including premium deposits, assessments, registration fees, and any other compensation given in consideration for a contract of insurance.

3. **SLAS** – the Surplus Lines Automation Suite (SLAS), comprised of the Surplus Lines Information Portal (SLIP)® and the Regulatory Administration Platform for Insurance Data (RAPID)®, is FSLSO's proprietary system to be used as the exclusive software platform in providing SLAS Clearinghouse services.

4. **Surplus Lines Insurance** – insurance procured by a Surplus Lines Licensee from a Surplus Lines Insurer as permitted under the law of the Home State.

5. **Surplus Lines Licensee** – an individual which is licensed in a state to sell, solicit or negotiate insurance on properties, risks or exposures located or to be performed in a state with non-admitted insurers.

6. **Transaction Fees –** fees to be paid to the Florida Surplus Lines Service Office for providing SLAS Clearinghouse services. The Transaction Fees are payable directly by the insured under Independently Procured Coverage or through a Surplus Lines Licensee on each transaction processed by FSLSO. Transaction Fees are refundable on returned or cancelled premiums.

3.2. SURPLUS LINES INFORMATION PORTAL (SLIP) DEFINITIONS

1. **Additional Premium Endorsement** – premium due to the carrier, over and above the initial premium stated in the declarations. Such premiums are charged for increased exposures, retrospective rate calculations, additional coverage, or premium audit.

2. **Backout** – a transaction used to reverse an erroneous filing.

3. **Cancellation** – termination of an insurance contract typically resulting in a return premium amount due to the insured from the carrier.

4. **Confirmation Number** – a system generated number given when a transaction has been submitted. This number consists of 13 alpha-numeric characters. A confirmation number only indicates the transaction has been submitted, not that the transaction has been accepted.

    a. Accepted transactions begin with the letter "A", and questioned transactions (or TIQs) begin with the letter "Q".

5. **Financial Edit** – financial edit occurs when Transaction Level Data is changed on a transaction that was previously submitted. A Financial Edit results in a backout transaction and a new transaction with the corrected data elements.

6. **New Business** – the origination of an insurance contract resulting in a premium amount due to an insurer from the insured.

7. **Policy Level Data** – data that is stored over the lifetime of the policy and may be edited without creating a Financial Edit. Policy Level Data does not have to be re-entered when filing an endorsement.

8. **Return Premium Endorsement** – excess premium amount due to the insured by the carrier. Examples include cancellation of coverage, a change endorsement resulting in a reduction of coverage in the original premium and an audit disclosing the actual earned premium as being less than the estimated premium.

9. **Renewal** – continuation of an insurance contract upon the expiration of the policy term.

10. **Reinstatement** – allows a previously terminated policy to resume active coverage.

11. **Transaction in Question (TIQ)** – a transaction that has not yet been accepted or invoiced by the SLAS Clearinghouse because it does not meet one or more of the business rules.

12. **Transaction Level Data** – data that is required for each transaction reported in SLAS SLIP or XML Batch. Transaction Level Data includes coverage code, tax status, transaction type, effective date, insurer, premium, and premium allocation (multistate only). Editing Transaction Level Data results in a Financial Edit.

4. POLICY FILER RESPONSIBILITIES

Policy filers utilizing SLAS filing platform must comply with the following responsibilities:

1. The laws of the Home State of the insured determine the regulatory requirements for any surplus lines placement.

2. Oklahoma, South Dakota, Tennessee and Wyoming, single and multistate transactions should be reported to SLAS via SLIP or XML Batch.

3. Remit applicable taxes and SLAS Transaction fees upon quarterly invoicing.

5. SLIP REGISTRATION

Each surplus lines agent or Independently Procured Coverage filer must register with SLAS via the Surplus Lines Information Portal (SLIP) prior to reporting policy data.

5.1. AGENT REGISTRATION

Policy filers will register as an agent if they or the person they represent holds a surplus lines agent license and is responsible for remitting the surplus lines taxes.

To register with SLIP, go to the SLAS Clearinghouse website and click the SLIP Login link or directly access SLAS SLIP. On the SLAS SLIP login page, click *Register*, select the *Agent* radio button, and click the *Register* button to continue. Enter the following information and select the *Register* button upon completion.

Agent Registration Information		
• Username	• National Producer Number	• First and Last Name
• Email Address	• Business Address	• Physical Address
• Phone Number		

Once registration has been completed successfully, the email address entered during registration for the agent will receive an email with the SLAS Clearinghouse SLIP username and a secure link to set the password for the account.

5.2. IPC REGISTRATION

Policy filers will register as an IPC filer if they are the risk manager or policyholder and have directly procured surplus lines insurance.

To register with SLIP, access the SLAS Clearinghouse website and click the SLIP Login link or directly access SLAS SLIP. To complete the IPC registration process, follow the below instructions.

1. On the SLAS SLIP login page, click *Register*, select the *IPC* radio button, and click the *Register* button to continue.

Select either *Individual* or *Company*. This describes the entity in which the user is filing on their behalf. Next, enter the following information and select the *Register* button upon completion.

IPC Registration Information (Individual)		
• Username	• First and Last Name	• Email Address
• Phone Number	• Mailing Address	• Physical Address

IPC Registration Information (Company)		
• Company Name	• FEIN	• Username
• First Name	• Last Name	• Email Address
• Phone Number	• Mailing Address	• Physical Address

Once the registration data is successfully completed, the email address entered during registration will receive an email with the SLAS Clearinghouse SLIP username and a secure link to set the password for the account.

6. SURPLUS LINES INFORMATION PORTAL (SLIP)

The SLAS Clearinghouse uses the Surplus Lines Information Portal (SLIP) to collect policy data and calculate surplus lines taxes and fees on behalf of the member states. SLIP can be accessed by visiting the SLAS Clearinghouse website and clicking on the SLIP Login icon or directly access SLAS SLIP.

6.1. SLIP SETUP

1. ### LOG IN

    To log into SLAS SLIP, enter the SLIP account username and password and click the *Login* button.

    In the event of a forgotten password, the SLAS SLIP login page allows the user to request his or her password be reset by clicking the *Forgot Password* link, entering the email address associated with his or her account, and clicking the *Submit* button. The system will send a new secure link, used to set the account password to the email address associated with that account. Please note, if your email address is associated with more than one SLIP account, you will need to contact the SLAS staff to reset your password.

    The user can also view the SLIP Terms and Conditions on the login page. Upon logging into SLAS SLIP for the first time, all users will have to agree to the Terms and Conditions as well as, complete the Non-Disclosure Agreement.

2. ### SLIP HOME PAGE

    The SLIP Home page is the main screen of SLAS SLIP. The username and policy filer associated with the account is displayed above the menu bar. This is to ensure the user is logged into the correct account. The Home page is updated with pertinent information such as any new enhancements or upcoming events.

3. ### SLIP USER

    The security structure of SLIP allows Surplus Lines Licensees to designate users to report data on their behalf. The Surplus Lines Licensee or a user assigned to the Administrator role may add additional users under the Surplus Lines Licensee account and may designate different security roles for each SLIP user.

    6.1.3.1. ### NEW SLIP USER

    To add a new SLIP user, select the *Users* page found under the *User Settings* tab on the SLIP menu bar.

    1. Click the *Add New User* button and enter the user's information in the required fields.
    2. Select the appropriate security role for the new user from the *Security Info* radio buttons.

a. The *Administrator* role provides access to all areas of SLIP. This role allows the user to add, edit and view all policy data, and add, delete, or edit SLIP user accounts.

b. The *Edit & View* role allows the user to add, edit and view policy data. This role prohibits adding or deleting SLIP user accounts.

c. The *View* role restricts the user's ability to input or edit data.

3. Click the *Save* button. A *Task Accomplished* window will display and you may select *Okay* to proceed. SLIP will send the new user a system generated password to the email address provided. Remember, this password can be changed under the *User Settings* tab after the user's initial log in.

6.1.3.2. UPDATE SLIP USER

Following are the instructions for updating an existing SLIP user:

1. Click the *Edit* button to the left of the username.

2. The *User Details* section displays the selected user's information.

3. Scroll to the bottom of the *Users* page and click *Edit.*

4. Make the necessary modifications and click *Save.*

5. A *Task Accomplished* window will display and select *Okay* to proceed.

6.1.3.3. DELETE SLIP USER

Only SLIP users with the Administrator role can delete a user. Follow the instructions below to delete a SLIP user account.

1. Click the *Edit* button to the left of the username.

2. The *User Details* section displays the selected user's information.

3. Click the *Delete* button and select *OK* on the message warning to successfully delete the user.

4. A *Task Accomplished* window will display and you may select Okay to proceed.

Note: A user with administrative permissions may change any of the information for users associated with the Surplus Lines Licensee account, except for changing user passwords. Only users may change their own passwords. Individual users without the administrator permission can edit their individual contact information without the administrator's

permission, but do not have access to edit data for the administrator or other user accounts.

4. **SETTINGS**

The *Settings* page is used to:

- Manage the insurance companies that will appear in the drop-down menu when reporting a policy,
- Manage the Lloyds Syndicates that will appear in the drop-down menu when reporting a policy where Lloyds of London is the policy insurer for Oklahoma policies,
- Manage Master Policy data when submitting Master Policy certificates for Oklahoma policies,
- Add and edit billing contact information, and
- Change your password.

We recommend setting all these settings prior to making your first filing in SLIP. However, all of them can be updated (except for account password) from the Transaction Details page during submitting a filing.

6.1.4.1. **INSURER ASSIGNMENT**

The *Insurer Assignment* section allows users to manage insurance companies commonly used when reporting policies. Insurance companies on the *Selected Insurers* list will appear in the Insurers drop down box when filing a transaction in SLIP. To add insurers to the *Selected Insurers* list, from the *User Settings* tab select the *Settings* menu item and follow the instructions below.

1. In the *Insurer Assignment* panel, click the *Edit* button.

2. Highlight the insurer(s) in the *Available Insurers* box you wish to use.

3. Move the highlighted companies to the *Selected Insurers* box by clicking the single right pointing arrow. You may move all available insurers by using the double right arrow.

4. Once you have made your selections, click *Save*.

Removing insurers from the *Selected Insurers* list will remove them from the Insurers drop down box when filing a transaction in SLIP. To remove insurers from the *Selected Insurers*

list, click the *Settings* page, found under the *User Settings* tab, and follow the instructions below.

1. In the *Insurer Assignment* panel, click the *Edit* button.

2. Highlight the insurer(s) in the *Selected Insurers* box you wish to remove.

3. Move the highlighted companies to the *Available Insurers* box by clicking the single left pointing arrow. You may remove all selected insurers by using the double right arrow.

4. Once you have made your selections, click *Save*.

Note: If an insurance company does not appear on the *Available Insurers* list, please contact the SLAS staff to request the insurer to be added.

6.1.4.2. LLOYD'S SYNDICATE ASSIGNMENT (OKLAHOMA ONLY)

The *Lloyd's Syndicate Assignment* section allows users to manage Lloyd's Syndicates commonly used, when reporting Oklahoma policies where Lloyd's of London is the insurer for a policy or a participating insurer on a layered policy. Syndicates on the *Selected Lloyd's Syndicates* list will appear in the Lloyd's Syndicate allocation tool when completing the syndicate allocation, a Lloyd's transaction in SLIP when Oklahoma is the home state. To add syndicates to the *Selected Lloyd's Syndicates* list, from the *User Settings* tab select the *Settings* menu item and follow the instructions below.

5. In the *Lloyd's Syndicate Assignment* panel, click the *Edit* button.

6. Highlight the syndicate(s) in the *Available Lloyd's Syndicate* box you wish to use.

7. Move the highlighted syndicates to the *Selected Lloyd's Syndicates* box by clicking the single right pointing arrow. You may move all available syndicates by using the double right arrow.

8. Once you have made your selections, click *Save*.

Removing syndicates from the *Selected Lloyd's Syndicates* list will remove them from the Syndicate Allocation selection box when filing a transaction in SLIP. To remove syndicates from the *Selected Lloyd's Syndicates* list, click the *Settings* page, found under the *User Settings* tab, and follow the instructions below.

5. In the *Lloyd's Syndicates Assignment* panel, click the *Edit* button.

6. Highlight the syndicate(s) in the *Selected Lloyd's Syndicates* box you wish to use.

7. Move the highlighted companies to the *Available Lloyd's Syndicates* box by clicking the single left pointing arrow. You may remove all selected syndicates by using the double right arrow.

8. Once you have made your selections, click *Save*.

9. **Note**: If a Lloyd's Syndicate does not appear on the *Available Lloyd's Syndicates* list, please contact the SLAS staff to request the syndicate to be added.

6.1.4.3. **BILLING CONTACT**

The *Billing Contact* is the individual who will receive quarterly tax and SLAS Transaction fee invoices from SLAS. To add a billing contact, navigate to the *User Settings* tab, *Settings* page and follow the instructions below.

1. Select the *Edit* button in the *Billing Contact* panel.

2. Next, enter the following information and select the *Save* button upon completion.

Billing Contact Information	
• First and Last Name	• Email Address
• Address	• Phone Number

It is important to ensure the billing contact's email address is kept current as this is the point person our accounting department will contact for invoice or payment issues.

6.2. SUBMITTING A POLICY

To file a policy for Oklahoma, South Dakota, Tennessee, or Wyoming, go to the *Policy* tab, then select *New Policy* from the menu. Follow the instructions below to report a policy.

Note: All single and multistate business for Oklahoma, South Dakota, Tennessee, and Wyoming need to be reported to the SLAS system reporting 100% of the premium to the home state. No allocation required.

POLICY INFORMATION

Policy Level Data is stored and does not have to be re-entered when filing an endorsement. Users also can edit this information. The following fields are required for each new or renewal policy entered in SLIP.

1. Select the state. Currently, only Oklahoma, South Dakota, Tennessee, and Wyoming are utilizing SLAS SLIP to collect policy data.

2. Enter the effective date of the policy.

    a. Oklahoma policies issued or renewed on or after January 1, 2024

    b. South Dakota policies issued or renewed on or after January 1, 2013

    c. Tennessee policies issued or renewed on or after October 1, 2014

    d. Wyoming policies issued or renewed on or after April 1, 2013

3. Enter the policy details applicable to the selected state.

4. Click the *Next* button to proceed to the transaction information.

1. TRANSACTION INFORMATION

Transaction Level Data is entered for all new policies and endorsements. Editing Transaction Level Data results in a Financial Edit (see Definitions 3.2.5). The following fields are required for each single state transaction entered in SLIP.

1. *Coverage Code*

    a. Select the coverage code from the drop-down menu.

        i. SLAS Coverage Codes

2. *Transaction Type*

    a. Select the transaction type from the drop-down menu. The transaction types for new policies are as follows:

        i. Type 1 – New Business

        ii. Type 5 – Renewal

3. *Effective and Expiration Date*

    a. The effective date entered on the previous screen will appear in the effective date field. The expiration date will automatically prefill with a date 365 days from the

effective date. If the policy term for the policy you are entering is shorter or longer than one year, you can change the expiration date.

4. *Insurer & Lloyd's Syndicates*

   a. Select the insurer from the drop-down menu. Only insurers added to the *Selected Insurers* list in the *Insurer Assignment* section of the *Settings* tab will display in the drop-down list. If the insurer listed on the policy is not available in the drop-down menu, they may be added by selecting the *Add Insurers* link and following the steps outlined in the Insurer Assignment section of this manual.

   b. If submitting an Oklahoma policy where Lloyd's of London is the insurer, you will be required to submit the Syndicate allocation for the transaction. You will need to click on the + icon to add the needed syndicates. Once you have done that, enter the associated premium and policy fee(s) for each participating syndicate.

5. *Premium*

   a. Enter the premium amount for the transaction. Do not use dollar signs ($) or commas (,). The premium should <u>not</u> include surplus lines taxes, fees, assessments, or the SLAS Transaction fees. These charges will be calculated by SLIP based on the premium amount entered by the user.

6. *Policy Fees*

   a. Oklahoma, South Dakota, Tennessee, and Wyoming all require that policy fees are reported and are considered taxable premium.

7. *Master Policy Data – Oklahoma Only*

   a. Oklahoma requires that the individual certificates are submitted for Master Policies. When doing this, you will need to select that *Yes*, a policy is part of a Master Policy. Then the screen will refresh to display the section where you will need to select the Master Policy Insured Name and Policy Number. If the needed Master Policy is not displaying, you will need to follow the instructions in the Set-Up section of this manual.

2. **REVIEW & COMPLETE**

Prior to filing the policy and transaction information, SLIP will display the *Review & Complete* page. This page allows the user the opportunity to review policy and transaction data for accuracy.

The *Review & Complete* page is comprised of three sections: Submitter Contact Information, Policy Information and Transaction Information. The user may edit incorrect data by selecting *Edit* in the applicable section. When the data has been reviewed and is correct, click the *Submit* button. A *Task Accomplished* window will display, select *Okay* to proceed.

3. **CONFIRMATION OF FILING**

Following the submission of the policy and transaction data, the *Policy Search* screen displays your newly reported policy information and transaction details.

In the *Transaction Details* section, the confirmation number for the new business or renewal transaction is displayed. The confirmation number is proof that the filing was received by SLAS.

The confirmation number indicates whether the transaction has been accepted or questioned. Confirmation numbers that begin with the letter "A" are accepted while those starting with the letter "Q" are questioned because they did not meet one or more system business rules. Confirmation numbers beginning with "Q" denote transactions in question (TIQs). For more information on TIQs, refer to the Transactions in Question section of this manual.

6.3. FILING AN ENDORSEMENT (ADDITIONAL PREMIUM, RETURN PREMIUM, CANCELLATION OR REINSTATEMENT)

To file an endorsement on a new or renewal policy previously reported in SLIP, follow the instructions below:

1. From the *Policy* tab, the user can either select *Policy Search* or *Endorsement/Other*.

2. Either option above will take you to a search feature. You will need to enter the policy number or the insured name to search for the original policy filing.

3. Click *Add Transaction*, select the appropriate coverage code, and click *Next*. You have the option of selecting the same coverage code as the new transaction, or you may select a different coverage code by choosing *Add New Code*.

4. Select the transaction type. The transaction type will determine whether the transaction is a positive premium transaction or a negative premium transaction.

a. Additional Premium – endorsements adding coverage or premium to the policy.

b. Return Premium – endorsements reducing coverage or refunding premium on the policy.

c. Cancellation – the termination of an insurance contract typically resulting in a refund of premium to the insured.

d. Reinstatement – allows a previously terminated policy to resume active coverage.

Note: A reinstatement transaction can only be filed after a policy has been cancelled <u>and</u> there is time out of force. The reinstatement effective date cannot occur on or prior to the cancellation effective date. If the reinstatement effective date is the same as the cancellation effective date and there has been no time out of force, simply edit the expiration date and backout the cancellation transaction.

5. Enter the effective date of the transaction (i.e., endorsement effective date).

6. Select the insurer from the drop-down list.

Note: To enter a layered policy where all layers have the same policy number, complete the transaction information including the first insurer and the premium written by that insurer. Submit the transaction, and then click Add Transaction and repeat the steps for filing an endorsement using the second insurance company and premium written by that insurer. Repeat this process for all insurers on the policy.

*If you report a layered policy for Oklahoma and Lloyd's of London is a participating layer, you will still need to provide the syndicate allocation for that layer.

7. Enter the premium, plus all taxable policy fees, and the premium allocations by state (multistate only).

8. Click the *Submit* button.

9. In the *Task Accomplished* window click *Okay* to proceed.

6.4. FILING A RENEWAL

A renewal occurs when the conditions of a previous policy remain in effect for another specified period. There are multiple ways to submit a renewal transaction in SLIP.

6.4.1.1. RENEWAL WIZARD

The Renewal Wizard can be used for renewal transactions where the policy number has changed or where the policy number remains the same at renewal. The policy must have been previously reported in SLIP to use the Renewal Wizard.

1. From the *Policy* tab, select *Renewal*.

2. Enter the policy number exactly as it was previously submitted.

    a. If you don't know the policy number or are unable to find it, click *Advanced Search* to expand the search criteria. If the policy number has changed at renewal, please update the policy number or any other insured information that has changed since the policy was first reported. If the policy number or insured information has <u>not</u> changed no edits are needed and click *Next.*

3. *Renewal* will default as the transaction type and then complete the effective date of the renewal transaction, insurer, premium and policy fees.

6.4.1.2. POLICY SEARCH/RENEW

To file a renewal for a policy where the policy number remains the same, follow the instructions below.

1. Search for the policy in the *Policy Search* tab.
2. Click the *Edit* icon to the left of the policy number.
3. Click the *Add Transaction* button in the bottom right corner of the *Transaction Details* section.
4. Select the appropriate coverage code and click *Next*.
5. Choose *Renewal* as the transaction type and complete the effective date of the renewal transaction, insurer, premium and policy fees.
6. Click the *Submit* button.
7. In the *Task Accomplished* window click *Okay* to proceed.

6.4.1.3. NEW POLICY

If the policy number for the renewal has never been submitted under the Licensee, the policy can be entered as a *New Policy*. For instructions on how to complete that process, please see *Submitting a Policy*, section 6.2 in this manual.

7. EDITING AND CORRECTING DATA

Since data entry errors can occur, SLAS SLIP allows users to correct policy and transaction information once a transaction has been filed for both multistate and single state.

7.1. EDITING POLICY LEVEL DATA

Follow the instructions below to edit Policy Level Data.

1. Click the *Policy Search* tab.
2. Search for the policy by entering the search criteria or simply click *Search* to view all policies submitted by the Surplus Lines Licensee.
3. Select the *Edit* icon to the left of the policy number.
4. In the *Policy Information* section, click the *Edit* button and make the necessary changes.
5. Click the *Save* button.
6. In the *Task Accomplished* window click *Okay* to proceed.

7.2. CORRECTING TRANSACTION LEVEL DATA

Follow the instructions below to correct Transaction Level Data.

1. Click the *Policy Search* tab.
2. Search for the policy by entering the search criteria or simply click *Search* to view all policies submitted by the Surplus Lines Licensee.
3. Select the *Edit* icon to the left of the policy number.
4. In the *Transaction Details* section, click the *Edit* button for the transaction you want to correct.
5. Next, click the *Edit* button and make the necessary changes.
6. Click the *Submit* button.
7. A *System Warning* window will display noting that backout and correction transactions will be created since Transaction Level Data was edited. Click *Ok* to proceed.
8. In the *Task Accomplished* window click *Okay* to proceed.

    The reversing (backout) and correcting transactions will now be displayed in the *Transaction Details* section of the policy screen. Click the *Exclude Backouts* button at the bottom left of the screen to no longer see the original and backout transaction.

7.3. REMOVING A TRANSACTION (BACKOUT)

Backout Transactions are used to reverse or negate a transaction that was filed erroneously. Follow the instructions below to remove a transaction that was filed in error.

1. Click the *Policy Search* tab.
2. Search for the policy by entering the search criteria or simply click *Search* to view all policies submitted by the Surplus Lines Licensee.
3. Select the *Edit* icon to the left of the policy number.
4. In the *Transaction Details* section, click the *Edit* button for the transaction you want to backout.
5. Next, click the Backout button.
6. In the *Task Accomplished* window click *Okay* to proceed.

Backing out the transaction will create a reverse transaction which is displayed in the *Transaction Details* section of the policy screen. Click the *Exclude Backouts* button at the bottom left of the screen to no longer see the original and backout transactions.

8. XML BATCH FILING

SLAS SLIP provides policy filers with the ability to report a high volume of policies in a single submission. SLIP allows the user to upload multiple policies in batches using an XML based format.

Many agency management systems provide the capability to export the required data elements in a manner that can be easily converted to the SLAS Clearinghouse XML format. For copies of the batch filing manual, schema, and sample files, please contact SLAS Technical Support.

9. TRANSACTION IN QUESTION (TIQS)

A TIQ is defined as a transaction that has not yet been accepted or invoiced by SLAS because it does not meet one or more of the business rules. Questioned transactions denoted with a "Q" at the beginning of the confirmation number, the transaction is highlighted in yellow in SLIP, and there is a question mark tool tip that tells you why the transaction is questioned.

There are five types of TIQs that can occur when submitting a transaction in SLAS SLIP: A Standalone Transaction (SA2), an Unbalanced Return Premium (URP), an Unbalanced Return Policy Fee (URP), Tax Status 7 (TS7), and a Master Policy Transaction (MPT).

9.1. STANDALONE TRANSACTION (SA2)

A *Standalone Transaction (SA2)* TIQ is an additional premium, return premium, or cancellation endorsement that was filed without a preceding new business or renewal transaction. This TIQ can occur either by filing the endorsement without the new business or renewal transaction, or by reversing the new business or renewal transaction without reversing the endorsement.

9.2. UNBALANCED RETURN PREMIUM (URP)

An *Unbalanced Return Premium (URP)* TIQ occurs when a return premium or cancellation transaction is filed with a premium that is greater than the total premium submitted for the policy.

9.3. UNBALANCED RETURN POLICY FEE (URF)

An *Unbalanced Return Policy Fee (URF)* TIQ occurs when a return premium or cancellation transaction is filed with policy fees that are greater than the total policy fees submitted for the policy.

9.4. TAX STATUS 7 (TS7)

A *Tax Status 7 (TS7)* TIQ is a new business or renewal transaction that has been submitted using tax status 7. Tax Status 7 was created for tax exempt insureds. These TIQs can only be accepted by SLAS staff. When a transaction is TIQed as TS7, SLAS staff will reach out to the regulatory state to verify that the insured is exempt and accept the TIQ. There is no action by the agent that needs to be taken to have the TIQ accepted.

9.5. MASTER POLICY TRANSACTION (MPT) – OKLAHOMA ONLY

A *Master Policy Transaction (MPT)* TIQ is a new business or renewal transaction that has been submitted for an Oklahoma policy and is part of a Master Policy. These TIQs can only be accepted by SLAS staff. When a transaction is TIQed as MPT, SLAS staff will reach out to Oklahoma to verify that the Master Policy has been registered with the OID and accept the TIQ. There is no action by the agent that needs to be taken to have the TIQ accepted.

Transactions in Question must be corrected before the transactions can be accepted and invoiced. To view the questioned transactions for the Surplus Lines Licensee, go to the *Policy* tab, and click *Manage TIQs*.

10. SLIP REPORTS

10.1. BILLING REPORT

The Billing Report provides a list of transactions filed and invoiced for the reporting quarter for the Surplus Lines Licensee.

The *Billing Report* displays all transactions filed and invoiced for a selected quarter. The *Billing Report* is the detail for the quarterly tax and SLAS Transaction fee invoices.

Note: Transactions in Question (TIQs) are not invoiced and will not be included on the billing report. To generate a single state *Billing Report*, follow the below instructions.

1. From the *Reports* tab select *SLIP Reports*.
2. Select *Billing Report* from the drop-down menu.
3. Select the quarter, select the state, and report format type.
4. Click *Generate* Report.

The *Billing Report* is divided into four sections.

Tax Invoice

The policy filer's tax invoice is the first page of the *Billing Report*.

Section A: Transactions

The transactions section displays all transactions filed and invoiced for the reporting quarter. This section is sorted by submit date in ascending order.

Section B: Corrections

The corrections section displays all transactions submitted in a prior period that required a change in the tax/assessment amount in the reporting quarter. This section is sorted by submit date in ascending order.

Section C: Current Period Summary Assessment Totals

The current period summary assessment totals section sums the totals of Section A and Section B.

10.2. SLIP TRANSACTIONS REPORT

The *SLIP Transactions Report* provides a list of transactions submitted by the policy filer during a specified submission date range. To generate a *SLIP Transactions Report*, follow the below instructions.

1. From the *Reports* tab select *SLIP Reports*.
2. Select *SLIP Transactions Report* from the drop-down menu.
3. Select the quarter and home state.
4. Enter the submission date range and select the report type.
5. Click *Generate Report*.

The transactions displayed are sorted by submit date in ascending order.

Note: If policies have been transferred between two agents, the transactions will only appear on the SLIP Transactions Report of the agent that is the owner of the policy at the time the report is run.

10.3. AFFIDAVITS

The Affidavit Report is currently available for Oklahoma, Tennessee, and Wyoming only. All Surplus Lines Licensees who transact business in Oklahoma, Tennessee, or Wyoming during a calendar quarter are required to submit a quarterly affidavit electronically in SLIP. To submit the affidavit, follow the below instructions.

1. From the *Reports* tab select *Affidavits*.
2. Select the state and year and quarter from the drop-down menus. The year and quarter selection are for the reporting period for the affidavit.
3. The affidavit screen will populate with the legal language for the selected state and the name of the Surplus Lines Licensee. Check the *I acknowledge and agree to the above terms and conditions* box.
4. Click *Submit*.

   The page will display in blue font *"You have successfully submitted your affidavit"*. To print your submitted affidavit, click the *Print* button. A subsequent browser window will display the affidavit where the user can print to their network printer. Previously submitted affidavits are available for print at any time.

11. INVOICING AND PAYMENTS

11.1. INVOICING INFORMATION

1. **QUARTERLY INVOICING SCHEDULE**

Taxes and the SLAS Transaction fees are invoiced quarterly on the following schedule:

Tennessee Tax, South Dakota Tax, Wyoming Tax, and SLAS Transaction Fee:

Filings Received During	Invoices Issued	Payments Due
January 1 - March 31	April	May 15th
April 1 - June 30	July	August 15th
July 1 - September 30	October	November 15th
October 1 - December 31	January	February 15th

Oklahoma Tax:

Filings Received During	Invoices Issued	Payments Due
January 1 - March 31	April	April 30th
April 1 - June 30	July	July 31st
July 1 - September 30	October	October 31st
October 1 - December 31	January	January 31st

QUARTERLY INVOICING TYPE AND LOCATION

Each quarter, utilizing the invoicing schedule above, SLAS issues invoices for taxes and SLAS Transaction fees. These invoices are made available to customers in the following locations:

Invoice Type	Invoice Location
State Tax	The invoice is the first page of the Billing Report, this report is delivered to the SLIP Inbox
SLAS Transaction Fee	Delivered to the SLIP Inbox

Billing Reports are delivered to the SLIP Inbox or can be found under the *Reports* tab after quarterly invoices are issued.

11.2. PAYMENT INFORMATION

1. **TAX PAYMENTS**

    Taxes for Oklahoma, South Dakota, Tennessee, and Wyoming must be paid via ACH transaction in SLAS SLIP. Please provide your bank with the ACH Company IDs listed below prior to submitting the payment online. Failure to do so may result in returned payments. ACH payments may take up to 48 business hours to post to your account.

    To make a payment via ACH in SLAS SLIP, go to the *Invoicing* tab and select *Pay Invoices*. Click the *Select to Pay* check box next to the applicable invoice(s), select an existing bank account or enter new bank account information, and click *Pay*.

    The ACH information for single state tax payments is listed below:

State	Invoice Type	Payment Type	ACH Company ID
Oklahoma	Taxes	ACH Only	Coming Soon!
South Dakota	Taxes	ACH Only	Company ID: 1466000334 Company Name: SD DLR-DIV OF INS
Tennessee	Taxes	ACH Only	Company ID: V626001445 Company Name: Tennessee DCI
Wyoming	Taxes	ACH Only	Company ID: A830208667 Company Name: Wyoming Insurance Department

2. **SLAS TRANSACTION FEE PAYMENTS**

    SLAS Transaction fees can be paid via ACH transaction in SLAS SLIP or by check. **If you are paying by ACH in SLIP, please provide your bank with the ACH Company IDs listed below *prior* to submitting the payment online. Failure to do so may result in returned payments.** ACH payments may take up to 48 business hours to post to your account.

    To make a payment via ACH in SLIP, click the *Pay Invoices* button on the SLIP home page. Click the *Select to Pay* check box next to the applicable invoice(s), select an existing bank account or enter new bank account information, and click *Pay*.

The ACH information and check payment information for multistate tax and SLAS Transaction fee payments are listed below:

Invoice Type	ACH Payment ID	Check Payment	Overnight Check Payment
SLAS Transaction Fee	Company Name: FLORIDASP Company ID: 1593501857	Florida Surplus Lines Service Office, Inc. P.O. Box 532301 Atlanta, GA 30353-2301	BMO Lockbox - #532301 100 Southcrest Dr. Stockbridge, GA 30281

11.3. TAX AND SLAS TRANSACTION FEE CREDITS

Credit memos issued may only be offset by future invoices for the same taxes. For example, a credit memo for South Dakota Tax may only be applied against another South Dakota Tax invoice. Outstanding credits should be rolled forward one quarter prior to being refunded.

For SLAS Transaction fee credits the SLAS accounting staff will apply credits and email a statement to the Surplus Lines Licensee's billing contact with the remaining balance due, if applicable.

To apply credits or request a refund of taxes or the SLAS Transaction fee, please contact the SLAS staff at 877.267.9855, option 4, or by email at accounting@slasclearinghouse.com.