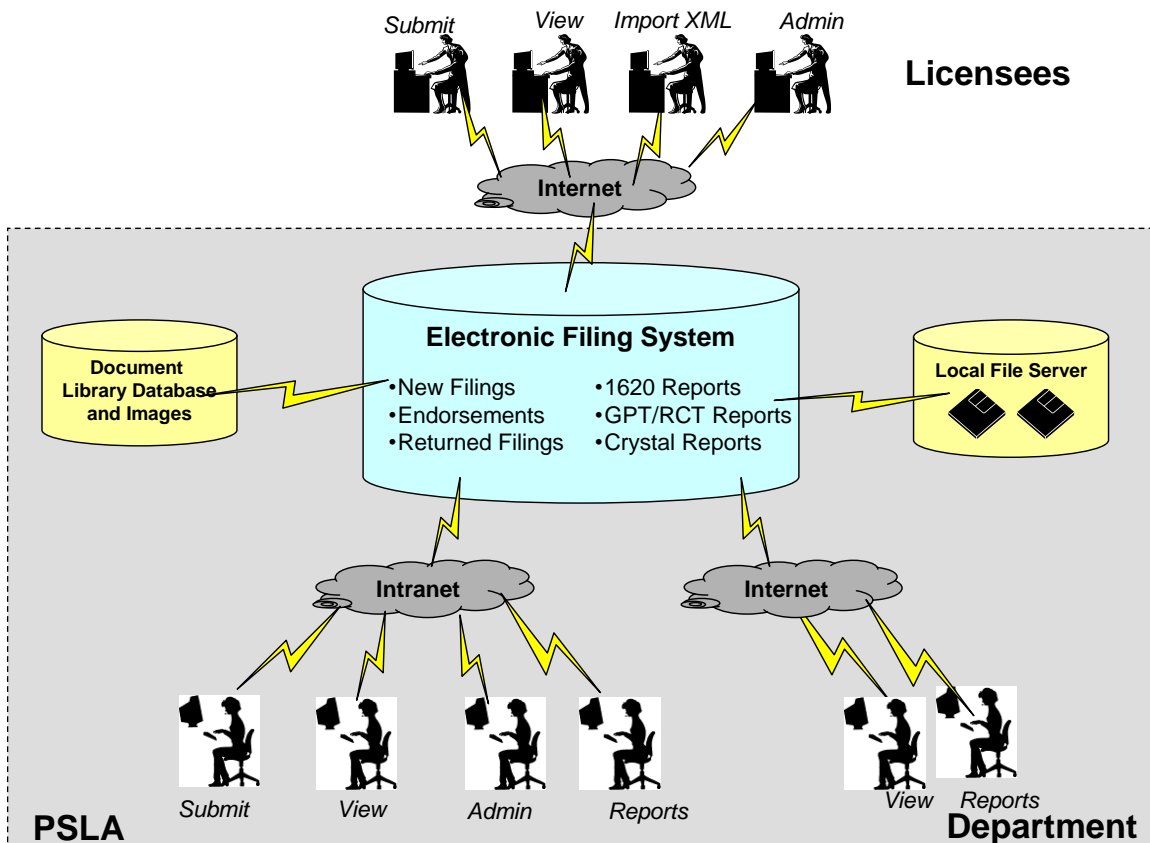# PENNSYLVANIA™
SURPLUS LINES ASSOCIATION

Procedures and Electronic Filing User Manual

EFS Third Generation Release 3.1
1/25/2025

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Table of Contents

1 MANUAL OVERVIEW

1.1 Purpose of This Document

The purpose of this manual is to provide instructions on how to use the Pennsylvania Surplus Lines Association (PSLA) Electronic Filing System to submit information required by the Pennsylvania Insurance Department (PID). The target users of this manual are Surplus Lines Licensees and their designees. This manual contains information they need to:

- Understand the business and operational procedures all Surplus Lines Licensees must follow for compliance with the Pennsylvania Surplus Lines Law.
- Understand and follow procedures for submitting required information via PSLA's Electronic Filing System.

Please refer to the following sections for additional information.

- Surplus Lines History – describes the history of surplus lines
- PSLA History – describes the history of PSLA
- Responsibilities of Surplus Lines Licensees and Producers – describes the responsibilities and requirements of Surplus Lines Licensees and Producers **before a placement is made in the Surplus Lines Market**

The information in this manual will assist Resident and Non-Resident Surplus Lines Licensees to make a placement which will be in compliance with Article XVI, Surplus Lines of the Insurance Company Law, Act of May 17, 1921, P.L. 682, No. 284 as amended (40 P.S. §§991.1601 et seq.) ("Pennsylvania Surplus Lines Law") and Title 31 PA Code, Chapter 124 ("Pennsylvania Surplus Lines Regulation").

1.2 This Document and the Nonadmitted and Reinsurance Reform Act (NRRA)

In preparation for the 7/21/2011 effective date of the Nonadmitted and Reinsurance Reform Act, Senate Bill # 1096, P.N. # 1291 (Act 28 of 2011) and Senate Bill # 1097, P.N. # 1279 (Act 29 of 2011) was signed by Governor Corbett on 6/30/2011, granting the Commonwealth the authority to tax 100% of the premium for a multi-state risk in which Pennsylvania is the "Home State" of the insured.

- For policies with an effective date after 6/30/2011 and Pennsylvania is deemed the "Home State", please follow the procedures contained within this manual.
- For policies with an effective date prior to 7/1/2011 and there is at least one location of risk within the Commonwealth of Pennsylvania, please follow the procedures within this manual.
- For policies with an effective date after 6/30/2011 and another state is deemed the "Home State", please contact the Home State for filing procedures.

1.3 Definition of Home State

The definition of "Home State" is below.

    (1) Except as provided under paragraph (2), with respect to an insured:

        (I) the state in which an insured maintains its principal place of business or, in the case of an individual, the individual's principal residence; or

(II) if one hundred per centum (100%) of the insured risk is located out of the state referred to under SUBPARAGRAPH (I), the state to which the greatest percentage of the insured's taxable premium for that insurance contract is allocated.

(2)   If more than one insured from an affiliated group are named insureds on a single nonadmitted insurance contract, the term means the home state, as determined under PARAGRAPH (1), of the member of the affiliated group that has the largest percentage of premium attributed to it under the insurance contract.

1.4   Document History

EFS Ver.	Date	Summary of New Functions
ThirdGen 2.0	9/27/2024	• Personal Lines Service Fee and Commercial Lines Service Fee were added to the Submit Original Filing description. Refer to the Submit Original Filing - Service Fee section. • Personal Lines Service Fee and Commercial Lines Service Fee added to 1620 Monthly Report. Refer to the Submit 1620 Monthly Report section. • Personal Lines Service Fee and Commercial Lines Service Fee included on Policy History Page. Refer to the Policy History section.
ThirdGen 3.0	11/30/2024	• Location of Risk Street Address was removed • Property Limit and Casualty Limit were removed
	12/22/2024	• Update 1620 Monthly Report Overview – add bullets for Personal Lines Service Fee and Commercial Lines Service Fee
ThirdGen 3.1	1/25/2025	• Update Submit 1620 Monthly Report image after Commercial Lines Service Fee field was moved to before Personal Lines Service Fee field

2   SURPLUS LINES

2.1   Disclaimer

While PSLA will assist Surplus Lines Licensees to comply with the requirements as set forth in Pennsylvania Surplus Lines Law and its supporting Surplus Lines Regulations, **the responsibility to meet these requirements rests with the Surplus Lines Licensee alone**. PSLA is here to assist, but cannot comply on your behalf. It is imperative that your staff understand how, when, and what information must be submitted to PSLA in order to avoid returned filings.

Be aware that the Pennsylvania Surplus Lines Regulation and the procedures contained within this document apply to both Pennsylvania Resident and Non-Resident Surplus Lines Licensees. Non-resident Licensees should know that when a Surplus Lines Placement is made for a Location of Risk in Pennsylvania, the filing process is conducted in accordance with this Manual, based on the Pennsylvania Surplus Lines Regulation, and not on filing procedures applicable in your home state or any other jurisdiction.

Although the revised filing process described in this manual has greatly reduced the level of data collected by PSLA, Surplus Lines Licensees are reminded that the requirements contained in the Pennsylvania Surplus Lines Regulation have not changed. The current Pennsylvania Surplus Lines Law can be found on PSLA's website under https://www.pasla.org/sl_law.htm. A link to the

Pennsylvania Surplus Lines Regulations available on the Pennsylvania Code Website is also available under https://www.pasla.org/sl_regs.htm.

Further, to assist Surplus Lines Licensees and their staff, workshops covering the material contained in this manual are offered to all resident and non-resident Surplus Lines Licensees and their appointed staff via teleconference. Please visit https://www.pasla.org/training_workshops.htm for a complete schedule. PSLA is also available by phone Monday through Friday, 8:30 am to 4:30 pm EST. at 610-594-1340 to address any additional questions.

2.2 Surplus Lines History

What is Surplus Lines Insurance?

Traditional insurance markets, Pennsylvania-licensed ("admitted") companies, are not always available for every risk.

Perhaps the risk is difficult to evaluate and place, like an art collector's priceless Van Gogh. Maybe a business wants more liability insurance (excess) than admitted carriers feel secure in offering. Perhaps admitted companies are uneasy about taking on the risk because of fear of the class of operations (fireworks manufacturer) or regardless of class of operations, fear due to the specific risk's loss experience (an apartment complex which has experienced multiple fires).

The Pennsylvania Surplus Lines Regulation recognizes that these risks are difficult to place by allowing certain non-admitted companies to provide insurance on a "surplus lines" basis. Approximately 160 such companies are eligible in Pennsylvania.

Development of the Surplus Lines Market

As history developed and created new insurance needs, the Surplus Lines Market has responded by providing the appropriate coverage for these needs. Development of the market began with the industrial age of the 1890s and expanded through the progressive development of the 1920s to the great depression of the 1930s, to the needs of World War II in the 1940s, to the great economic growth in our history occurring in the 1950s and finally to the high-tech era of today. As the 1950s evolved, higher limits of property and casualty became a significant need and the insurers responded by creating what came to be known as excess coverage (also known as the Excess Market and later as the Excess and Surplus Lines market or the E&S market).

Today, excess coverage is available in both the admitted and non-admitted markets. Many of the coverage that is viewed today as routine were created in the Surplus Lines Market (e.g. Directors and Officers Liability (D&O), Difference in Conditions (DIC), Products Recall).

2.3 PSLA History

In May of 1982, PSLA was formed by a small group of Surplus Lines Licensees. In 1986, PSLA had developed a meaningful membership interest and in cooperation with PID, development was well underway of a new and up-to-date Pennsylvania Surplus Lines Regulation.

In 1992, the new and updated Pennsylvania Surplus Lines Law was signed into law. The new law, which went into effect in April of 1993, provided PID with the ability to contract with an advisory organization (also known as a stamping office).

PID contracted on April 1, 1996 with PSLA to serve as an advisory organization as provided in Section 1611 of the Pennsylvania Surplus Lines Law. PSLA's responsibilities as set out in both status and contract include:

- Facilitate and encourage compliance with the laws of this Commonwealth and the rules and regulations of the department relative to Surplus Lines insurance.
- Provide review and examination of all Surplus Lines coverage written to determine whether such coverage comply with Pennsylvania Surplus Lines Laws and Surplus Lines Regulation.
- Communicate with organizations of admitted insurers with respect to the proper use of the surplus lines market.
- Receive and disseminate information relative to Surplus Lines insurance.

2.4 Responsibilities of Surplus Lines Licensee (SLL) and Producer

All surplus lines placements for a Location of Risk within the Commonwealth of Pennsylvania must be filed with PSLA. Full filing submission requirements and procedures are described in the Filing Requirements section of this manual. That section describes procedures which must be followed before a filing can be made. These requirements are very important within the Surplus Lines market and for placement information submitted to PSLA.

Obtaining a Pennsylvania Surplus Lines License

A Surplus Lines Licensee is a duly licensed Insurance Producer who also has a separate Surplus Lines license that allows for the solicitation, negotiation and placement of appropriate insurance coverage with Eligible Surplus Lines Insurers. Pennsylvania requires that all entities taking part in a surplus lines transaction be licensed. Therefore, in most cases, a Surplus Lines license is required for both the individual Surplus Lines Licensee and the Agency through which the individual makes insurance placements. If other individuals become licensed within that agency (individually) they are then "linked" to the agency's license.

Some Surplus Lines Licensees, called wholesalers elect to accept business from duly licensed Insurance Producers, called retailers (often referred to as the "retailer/wholesaler" transaction) and some Surplus Lines Licensees serve as both a duly licensed Insurance Producer and a Surplus Lines Licensee in client representation. Either way, Surplus Lines transactions require a duly licensed Producer to represent the insured and a Surplus Lines Licensee who is licensed to access the Surplus Lines market, in order to make the placement.

To obtain a Surplus Lines License for yourself and your agency, you must contact the Pennsylvania Insurance Department Bureau of Licensing and Enforcement. Contact information, as well as licensing information and forms for the Bureau of Licensing and Enforcement can be found on the PID website: https://www.insurance.pa.gov/portal/server.pt/community/insurance_department/4679. Be certain that proper licensing has taken place prior to any solicitation, negotiation or placement of Surplus Lines coverage.

Obtaining your PSLA Customer ID Number

Before any placement information can be submitted to PSLA, the Surplus Lines Licensee must obtain/confirm his or its Customer ID number (a.k.a. Cust ID number). PSLA assigns a Customer ID number to each Agency, Corporation or Partnership (or geographic branch of an Agency). PSLA also assigns Customer ID numbers to individual Sole Proprietorships for individuals or individuals "trading as" a specified agency name. With this arrangement, the individual placements can be filed, tracked and invoiced by agency.

To obtain a Customer ID number, each licensee must complete a [Questionnaire](#). This application is mailed to the residence of each new Surplus Lines Licensee individual after PID has sent notification of the new License to PSLA.

The Diligent Search of Admitted Carriers

Under Section 1604(2)(i) of the Pennsylvania Surplus Lines Law, Surplus Lines insurance may be procured through a Surplus Lines Licensee from non-admitted insurers if a diligent search is made by an Insurance Producer among the admitted insurers who are writing, in this Commonwealth, coverage comparable to the coverage being sought. Pennsylvania, like most states, requires a minimum of three declinations from admitted insurers before a non-admitted insurer can be accessed. The Producer Affidavit (1609-PR) requires the Licensee (Producer) to declare under the penalties of perjury that this search has, in fact, been accomplished and documented.

The Pennsylvania Surplus Lines Licensee may procure coverage from an eligible non-admitted insurer only after this diligent search has been completed (see Pennsylvania Surplus Lines Regulation Chapter 124.5 "Diligent Search of Admitted Insurers"). Exceptions to the Diligent Search requirement are for those placements which qualify for filing types 1609-B, 1610-A and 1610-B. Also excluded from the Diligent Search Process requirements (as well as all Affidavit reporting requirements) are those Types of Coverage or Description of Insured's Operations which are found on the Export List (these placements are submitted to PSLA via the 1604-E reporting form).

For a full description of the Diligent Search requirements, all licensees should review the Pennsylvania Surplus Lines Law Section 1609 "Declarations", and Pennsylvania Surplus Lines Regulation Chapter 124.5 "Diligent Search of Admitted Insurers." Both can be accessed from the PSLA website (https://www.pasla.org).

The Disclosure Statement to the Insured

At the time of presenting a quotation or proposal to the insured, the Surplus Lines Licensee shall present to the Insured or Insured's Producer written notice that the insurance or a portion thereof involves placement with non-admitted insurers. As required by Section 1608 of the Pennsylvania Surplus Lines Law, the notice to the Insured or Insured's Producer must state that:

- The insurer with which the licensee places the insurance is not licensed by PID and is subject to its limited regulation; and
- In the event of insolvency of an eligible surplus lines insurer, losses will not be paid by the Pennsylvania Property and Casualty Insurance Guaranty Association.

In accordance with Section 124.2 of the Pennsylvania Surplus Lines Regulation said notice **shall be prominently printed on the first page of the quotation or proposal using the same size type as the rest of the text.**

After Receiving the Order

No Surplus Lines Licensee shall bind or provide evidence of insurance unless he or she has authority from the eligible surplus lines insurer or other non-admitted insurer to bind the risk or has received information from the insurer in the regular course of business that it has assumed the risk.

Once coverage has been bound, every evidence of insurance (policies, binders, cover notes, confirmations, etc.) negotiated, placed or procured pursuant to the provisions of the Pennsylvania Surplus Lines Law issued by the Surplus Lines Licensee shall bear the name of the Licensee and the following legend in 10-point type:

> *"The insurer which has issued this insurance is not licensed by the Pennsylvania Insurance Department and is subject to limited regulation. This insurance is NOT covered by the Pennsylvania Property and Casualty Insurance Guaranty Association. Placed by: (INSERT your name, partnership or corporation, your street address (not P.O. Box), city, state and zip code.)"*

Pennsylvania Surplus Lines Regulation states that upon placing Surplus Lines insurance, the Surplus Lines Licensee shall deliver to the Insured or the Insured's Producer the contract of insurance. If the contract of insurance is not immediately available (within 15 days of acceptance of quote by the Insured), a cover note, binder or other evidence of insurance shall be delivered by the Surplus Lines Licensee to the Insured or the Insured's Producer and shall at a minimum, show the description and location of the subject of insurance, coverages, including any material limitations other than those in standard forms, the premium and rate charged, taxes to be collected from the insured, stamping fee to be collected from the insured, the name and address of the insured and the eligible surplus lines insurer.

Compliance

As stated earlier within this manual, the responsibility to meet the terms and conditions set forth within the Pennsylvania Surplus Lines Regulation rests with the Surplus Lines Licensee alone. PSLA will assist through training and education, but cannot comply on your behalf. It is in the licensee's best interest to understand the full scope of Pennsylvania Surplus Lines Regulation and its supporting Surplus Lines Regulations as well as how and when information must be submitted to PSLA.

2.5 Stamping Fees

Billing

The services performed by PSLA are funded by a processing fee (stamping fee) assessed for each filing submitted to PSLA. The stamping fee is established by the Board of Governors of PSLA on a yearly basis and approved by PID. The Surplus Lines Licensee must bill and collect the portion of the stamping fee payable by the insured and said fee should be stated on the declaration page of the policy or other evidence of coverage, as a separate item, below the surplus lines tax amount.

Stamping Fee Schedule
- Stamping fees for insurance placements effective on or before December 31, 2001
    - Filings received within 45 days of the original effective date of the placement are subject to a fee equal to 0.5% of the gross premium amount of the placement. The fee is payable by the insured and remitted by the surplus lines licensee to PSLA.
    - Filings received after 45 days of the original effective date of the placement are subject to a fee equal to 0.5% of the gross premium amount of the placement plus $25.00. The portion equal to 0.5% of the gross premium amount is payable by the insured with the remaining $25.00 payable by the surplus lines licensee. The entire fee is to be remitted by the surplus lines licensee to PSLA.
    - Endorsements received are subject to a fee equal to 0.5% of the gross premium amount of the placement. The fee is payable by the insured and remitted by the surplus lines licensee to PSLA.
- Stamping fees for insurance placements effective on or after January 1, 2002 and on or before December 31, 2007

- Stamping fees for filings received within 45 days of the effective date of the placement will remain at the current $15.00 per filing. The fee is payable by the insured and remitted by the surplus lines licensee to PSLA.
- Stamping fees for filings received after 45 days of the effective date of the placement (as specified by the Surplus Lines Regulation) will carry a stamping fee of $40.00 per filing. Fifteen dollars ($15.00) of the fee is to be payable by the insured with the **remaining $25.00 payable by the surplus lines licensee**. The entire fee is to be remitted by the surplus lines licensee to PSLA.

- Stamping fees for insurance placements effective on or after January 1, 2008
  - Stamping fees for filings received within 45 days of the effective date of the placement will carry a stamping fee of $25.00 per filing. The fee is payable by the insured and remitted by the surplus lines licensee to PSLA.
  - Stamping fees for filings received after 45 days of the effective date of the placement (as specified by the Surplus Lines Regulation) will carry a stamping fee of $50.00 per filing. Twenty-five dollars ($25.00) of the fee is to be payable by the insured with the **remaining $25.00 payable by the surplus lines licensee**. The entire fee is to be remitted by the surplus lines licensee to PSLA.
  - A 1609-SLL Affidavit filed without the Producer Affidavit (1609-PR) will carry a non-refundable stamping fee of $50.00 per filing in addition to the usual $25.00 stamping fee and the additional $25.00 late stamping fee (when applicable). This fee is payable by the surplus lines licensee and not the insured.

- Stamping fees for insurance placements effective on or after January 1, 2017
  - Stamping fees for filings received within 45 days of the effective date of the placement will carry a stamping fee of $20.00 per filing. The fee is payable by the insured and remitted by the surplus lines licensee to PSLA.
  - Stamping fees for filings received after 45 days of the effective date of the placement (as specified by the Surplus Lines Regulation) will carry a stamping fee of $50.00 per filing. Twenty-five dollars ($25.00) of the fee is to be payable by the insured with the **remaining $25.00 payable by the surplus lines licensee**. The entire fee is to be remitted by the surplus lines licensee to PSLA.
  - A 1609-SLL Affidavit filed without the Producer Affidavit (1609-PR) will carry a non-refundable stamping fee of $50.00 per filing in addition to the usual $25.00 stamping fee and the additional $25.00 late stamping fee (when applicable). This fee is payable by the surplus lines licensee and not the insured.

Stamping Fee Rules

- **The stamping fee is non-refundable**.   If you cancel or inactivate a placement you will not receive a credit on your statement for the cancellation. Please make sure that a placement is, in fact, a placement and not an offer or quote to provide coverage. We recommend all Surplus Lines Licensees notify the insured of this at the time of quotation or proposal.

- Because of the tremendous volume of small premium placements, PSLA utilizes an open item accounting system. This is why an item appearing on your current statement will continue to appear on each subsequent month's statement(s) until the fee is paid.

- PSLA's arrangement with PID is that we only earn a stamping fee when the record is entered in the database. Therefore, we ask that all Surplus Lines Licensees DO NOT PREPAY stamping fees. PSLA will send you a statement.

- As you collect the stamping fees, hold them in escrow and remit them to PSLA as each monthly statement arrives reflecting the entered records for the period shown. This is not unlike the procedure you should be following for the 3% surplus lines premium TAX. The difference being that we are asking you to remit FEES monthly as you enter your production on-line for that month's activity, rather than once a year as required by the Pennsylvania Department of Revenue.

Method of Payment

PSLA will send an email to the BL contact (individual responsible for the Monthly Statement of Account as designated in PSLA's Electronic Filing System) for each Surplus Lines Agency by Customer ID number on a monthly basis for business processed by the agency that month. The fee will be due and payable **in full** no later than the 25th of the following month for the fees due on that statement. If no filings were entered in the Electronic Filing System no email will be generated. **Do not pre-pay fees**.

Example: An email will be generated for filings processed during January by February 7th. Please include a copy of the statement of account with your remittance. **Checks are to be made payable to: Pennsylvania Surplus Lines Association.**

Email Example:

> From: Accounting
> Posted To: Accounting-SOA
> Conversation: PSLA Monthly Statement CUST ID 0753
> Subject: PSLA Monthly Statement CUST ID 0753
>
> TO: Statement of Account Contact
> EMAIL: pasla.org
> CUST ID: 0753
>
> Your January 2009 Statement of Account is available on-line at https://www.pasla.org/efs. Please log into PSLA's Electronic Filing System to view it.
>
>   Stamping Fee Balance: $150.00
>   Payment Received After Statement Close: $.00
>   Balance Due: $150.00
>
> Checks are made payable to the "Pennsylvania Surplus Lines Association" and are due no later than the 25th of this month. Please print and attach a copy of your Statement of Account to your remittance.
>
> Accounts Receivables
> Accounting Department
> Pennsylvania Surplus Lines Association
> 180 Sheree Blvd., Suite 3100
> Exton, PA 19341
>
> TEL: 610-594-1340
> EMAIL: Accounting@pasla.org

Refer to the View Statement of Account procedure for a description of how to view the statement.

3   ELECTRONIC FILING SYSTEM OVERVIEW

Once a licensee has obtained a Pennsylvania Surplus Lines License and begins procuring coverage within the Surplus Lines market, there are six basic steps the Licensee must follow in order to adhere to the Filing Requirements. These six steps are listed below. Refer to Sections 4 through 7 and Sections 8 and nine for a detailed description.

- Submit the Original Filing through EFS
- Submit the Required Endorsements to the original filing as changes take place during the policy period through EFS
- Adhere to Filing Return Guidelines
- Remit Stamping Fees after reviewing your online monthly statement
- Submit your 1620 Monthly Report (due within 30 days following the end of each month) through EFS

- Submit a Copy of Your RCT-123 Annual Tax Form (due by January 31st at the end of each calendar year) through EFS. Original due to the Pennsylvania Department of Revenue by January 31st as well.

3.1 Overview

PSLA's Electronic Filing System (EFS) enables you to enter and submit Original Filings, Endorsements, 1620 Monthly Reports, and copies of the RCT-123 Annual Tax Form over the Internet. In addition, the XML Import function enables computer systems to programmatically submit Original Filings via an XML file.

The purpose of this User Manual section is to describe how to use the Electronic Filing System. There is also context-sensitive help embedded within each of the displays in the Electronic Filing System (click on blue underlined text).

The Electronic Filing System provides the following functions. Each function is described in more detail in a later section.

- Submit Original Filing – create and submit an original filing
- Revise a Filing – correct errors in the original filing
- Submit Endorsement – submit changes to the original filing
- Fix a Filing Return Error – either a filing was successfully submitted to the Electronic Filing System but PSLA found errors in the attached 1609-PR image or a paper filing was mailed to PSLA but it contained errors or omissions that should be corrected electronically
- Submit 1620 Monthly Report – upload an image of the 1620 Monthly Report and enter summary data
- Submit GPT/RCT-123 Annual Tax Report – upload an image of the RCT-123 Tax Form and enter summary data

3.2 Target Audience and Using This Manual

This manual was written for external Agency Users. The Electronic Filing System selectively hides/displays fields dependent on the user role.

This manual utilizes hyperlinks to navigate between sections. Holding down the "CTRL" key while clicking blue underlined text will jump to either another portion of this User Manual or open the referenced document in a new window. The "Forward" and "Back" keys in Microsoft Word enable you to jump back and forth between sections. The Forward/Back keys are on Word's web tool bar. In Microsoft Word, please click on **View**/**Toolbars**/**Web** to display the web toolbar.

Microsoft Word's Web Tool Bar
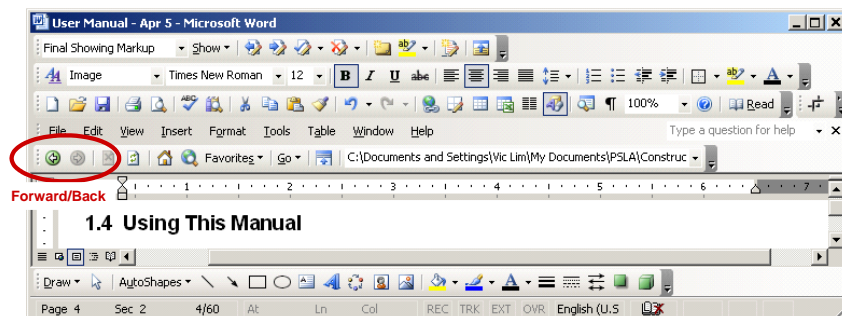
3.3 System Requirements, Tips, and Help

System Requirements

The following system settings are required to utilize Electronic Filing System (EFS).
- Supported Internet Browsers
  - Mozilla Firefox
  - Google Chrome
  - Microsoft Edge
- Browser Settings
  - Tools/Pop-up Blocker – turned off

Web Page Tips

Below are tips on how to use Electronic Filing System forms and fields.
- **PSLA Icon**: clicking the PSLA icon at the top left corner of each page will call up the Home Page.
- **Tab**: pressing the Tab Key will advance you to the next editable field.
- **Shift-Tab:** holding down the Shift Key while pressing the Tab Key will move the cursor to the previous editable field.
- **Lists:** if a field has a drop-down list of items, pressing a letter key once will go to the first item that starts with that letter. Pressing the same letter key a second time will go to the next item that starts with that letter. Example: the "Type of Coverage" list contains "Law Enforcement Liability", "Lead Abatement Liability", and "Lead Liability"…
  - Press "L" once calls up "Law Enforcement Liability"
  - Press "L" a second time calls up "Lead Abatement Liability"
  - Press "L" a third time calls up "Lead Liability"
- **Down-Arrow:** if a field has a drop-down list of items, pressing the down-arrow key will scroll to the next item on the list.
- **Up-Arrow:** if a field has a drop-down list of items, pressing the up-arrow key will scroll to the previous item on the list.
- **Enter:** pressing the Enter key is equivalent to clicking a Submit or OK button.

Context-sensitive Help

Each Form contains context-sensitive help for the item in blue-underlined font.

#	Context-sensitive Help
1	Clicking an item in blue-underlined font opens a new small window with the help for that item. Clicking on a second item will display help text for that item in the help window.
2	Clicking "complete help text" opens a new large window with the table of contents for help. Clicking on the table of contents calls up the appropriate help section.

Keyboard Shortcuts

The date fields in the filing and endorsement pages support the following keyboard shortcuts.

- "t" - enter today's date
- "e" - enter the Policy Effective Date (if applicable)
- "y" - enter 1 calendar after the Policy Effective Date (if applicable)
- "x" - enter the Policy Expiration Date if applicable)

Log-in Page

New Agency Users will receive an email from their Agency Administrator that contains the Login ID, Password, and a link to the Electronic Filing System. Clicking on the link to Electronic Filing System will call up the log-in page.

#	Login
1	**Login ID:** enter the Login ID supplied by email.
2	**Password**: enter the temporary password supplied by email. Passwords are case-sensitive (e.g., a lower case "a" is different than an upper case "A").
3	**Click Here to Reset Your Password:** EFS will send a temporary password to the email address listed in your User Profile.
4	**EFS Message Box:** news flash or message to EFS Users.
5	After log-in the End User Terms and Conditions page will be displayed. The user must accept the Terms and Condition to continue. After the page is accepted, the user will be prompted to change the system-generated temporary password.
6	**Current Password**: enter the Current Password (the password supplied in the email).
7	**New Password:** enter a new password that complies with the password criteria described in the New User Email or Password Reset Email. The new password cannot be the same as the old password
8	Re-enter the new password to confirm and then click the "Change Password" button. The home page will appear.

User Home Page

The home page is partitioned into four categories.

- My Filings – submit new filings, revise submitted filings, submit endorsements, search for filings, cancel filings, inactivate filings, and fix returned filings.
- My 1620s – submit, search, or revise 1620 monthly reports.
- My RCT-123s – submit, search, or revise RCT-123 annual reports.
- Administration – edit user profile, edit Customer ID contact information, edit existing users, create new users, and edit customer contact information.

Electronic Filing System

#	Login – Home Page
1	The logged in user is displayed in the center of the description.
2	Each page has a description bar. Clicking the "Home" link will call up the Home Page.
3	A help link describes the page.
4	On the home page, a message displays if there are Returned Filings, Returned 1620 Reports, or Returned RCT-123 Reports for the assigned Customer IDs.
5	Functions and links are enabled and displayed based on the permissions set in the User Profile. Click "Edit My Profile to view them". The Agency Administrator for a Customer ID may modify permissions for Agency Users assigned to that Customer ID. The PSLA Administrator may modify permissions for any Agency User and any PSLA User The permission for "Affidavit" must be "Read" or "Read/Write to enable these links.
6	The permission for "Filing Return" must be "Read" or "Read/Write" to enable this link. • *Tip!* A user with Filing Return permission should also have Affidavit Read permission to enable View and Search links.
7	The permission for "1620 Report" must be "Read" or "Read/Write" to enable these links.
8	The permission for "RCT Report" must be "Read" or "Read/Write" to enable these links.
9	The "Edit My Profile" and "Sign Out" links are always enabled.

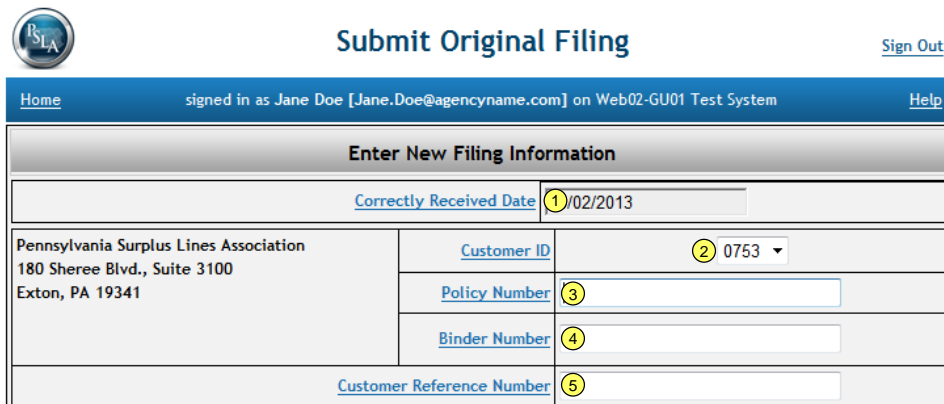| #	Login – Home Page
10	The "View/Edit an Existing User" and "Create New User" links are enabled if the user role is "Agency Administrator".
11	The permission for "Edit Customer Information" must be "Read" or "Read/Write" to enable this link.
12	The permission for "View Statement of Account" must be On to enable this link.
13	Click on this link to call up the Procedures and Electronic Filing User Manual.

4 SUBMIT ORIGINAL FILING

4.1 Affidavit Filing Overview

The Affidavit Filing Form is used to submit an original SLL Affidavit/Declaration filing. It contains fields for all filing types and attachments and will selectively hide/show information depending on your selections. The single Form covers the following filing types and attachments.

- 1609-SLL/1609-PR
- 1609-B
- 1610-A
- 1610-B
- 1604-E
- BOR
- Attachment 1606-A for Ineligible Insurers
- Attachment 1609/1610-SH for Multiple Carriers or Insurers
- Upload 1609-PR Image file (for 1609-SLL/1609-PR filing type)

4.2 Filing Information

#	Submit Original Filing – Filing Information
1	**Correctly Received Date:** the date the original filing was correctly submitted. If a filing is submitted by an Agency User directly into EFS, the Correctly Received Date will be set to the Entry Date.

#	Submit Original Filing – Filing Information
2	**Customer ID:** the four digit number assigned to the individual Surplus Lines Licensee's Agency by PSLA. The list of assigned IDs is identified in the User Profile for Agency Administrators and Agency Users. If a user is assigned to a single Customer ID then the Customer ID field will be automatically filled.
3	**Policy Number:** the Policy Number must be unique within a Customer ID and Effective Year. If the Policy Number is not known when the Original Filing is submitted than a Binder Number must be entered. • Valid characters are: a-z, A-Z, 0-9, &, and – (hyphen). • ***WARNING! When using characters in policy numbers remember to be consistent, otherwise you could create a duplicate filing.*** For example, Policy Number ABC123 is not the same as Policy Number ABC-123 even though all the remaining policy information may be identical. • ***WARNING! All placements including duplicate placements are subject to a flat, non-refundable, stamping fee.*** Do not use the following characters. * ? + % " " ~ ! @ # $, ^ ( ) _ = [ ] { } \ ; : ' < > /. • ***Tip!*** If you submit a filing using a Binder number, you must update the filing with the policy number once it becomes available. Use the "Revise Filing" or "Submit Endorsement" function to update the Policy Number. • ***Tip!*** The Electronic Filing System does not require you to append the effective year to the Policy Number **but paper filings entered by PSLA in 2006 and 2007 may have the effective year appended to it**. • ***Tip!*** For Filing Type 1610-B, provide the participating member's unique Certificate number in the Policy number field, NOT the Master Policy number.
4	**Binder Number:** enter a Binder Number if a Policy Number is not available. • Valid characters are: a-z, A-Z, 0-9, &, and – (hyphen). • ***WARNING! When using characters in policy numbers remember to be consistent, otherwise you could create a duplicate filing.*** For example, Policy Number ABC123 is not the same as Policy Number ABC-123 even though all the remaining policy information may be identical. • ***WARNING! All placements including duplicate placements are subject to a flat, non-refundable, stamping fee.*** Do not use the following characters. * ? + % " " ~ ! @ # $, ^ ( ) _ = [ ] { } \ ; : ' < > /. • ***Tip!*** For Filing Type 1610-B, please provide the participating member's unique Certificate number in the Binder number field, NOT the Master Policy number. • ***Tip!*** If you submit a filing using a Binder number, you must provide PSLA with the Policy number once it becomes available.
5	**Customer Reference Number:** an optional text field that an Agency may use to cross-reference the filing to PSLA with another number.

4.3 Filing Type and Declaration

#	Submit Original Filing – Filing Type and Declarations
1	**Filing Type:** Select one of the following Filing Types. Click on a type for a description. • 1609 SLL/1609-PR • 1609-B • 1610-A • 1610-B • 1604-E (Export) • BOR If Filing Type 1610-B is selected, also enter or select the Name of the Purchasing Group. • *Tip!* The drop-down is a list of active Purchasing Group Names. If the Purchasing Group Name is not on the list, please confirm that the Purchasing Group is active. • *Tip!* If this is a new Purchasing Group that is not on the drop-down list, please contact PSLA to request an update to the Purchasing Group list. Use the "**Save Draf**t" function to save the filing until PSLA updates the list.
2	**Insured Name:** enter the Insured Name as you would like it to appear on your monthly Statement of Account from PSLA (Stamping Fee Statement). Please limit the insured name to 60 characters. Do not use the following characters. * ? + % " " ~ ! @ # $, ^ ( ) _ = [ ] { } \ ; : ' < > /.
3	**Location of Risk**: the physical city and zip code for the insured location in Pennsylvania. If more than one location exists for the specified policy, please provide the address for the location with the most exposure that is in Pennsylvania. • *Tip!* Entering a zip code will select the city if possible. If multiple cities have the same zip code then the available cities will appear in a drop-down list. Use the Up/Down arrows to select the city. • *Tip!* If your city is not on the drop-down list, type in the name of the city.
4	**Type of Coverage - Lookup:** the type of insurance required to be reported in the annual statement which must be filed with the department by admitted insurers. Refer to the List of Types of Coverage for available options. This field looks up the Type as you enter the first few letters. • *Tip!* Type of Coverage was previously called "Kinds".

5	**Type of Coverage** (Kinds)**:** This field displays the selected Type of Coverage.
	• *Tip!* Clicking the down-arrow at the right will display the list of Types.
6	**Description of Insured's Operation – Lookup:** refer to the <u>List of Descriptions of Insured's Operations</u> for available options. This field looks up the Type as you enter the first few letters.
	• *Tip!* Description of Insured's Operation was previously called "Classes".
7	**Description of Insured's Operation** (Classes)**:** this field displays the selected Description.
	• *Tip!* Clicking the down-arrow at the right will display the list of Descriptions.
8	**Effective Date**: enter the policy effective date of coverage in MMDDYY format.
	• *Tip!* For a BOR Form, enter the Broker of Record effective date.
9	**Expiration Date**: enter the policy expiration date of coverage in MMDDYY format.
	• *Tip!* For a BOR Form, enter the original policy expiration date.

Description of Filing Types

As outlined in Sections 1609 and 1610 of Pennsylvania Surplus Lines Law, there is a selection of Affidavit/Declaration types available to the Surplus Lines Licensee. As of April of 2005, PSLA has consolidated four physical Affidavits into one Affidavit Document. For each filing made, the Surplus Lines Licensee must indicate the Filing Type. The Filing Type selected is governed by specific characteristics of the placement. The Surplus Lines Licensee Filing Types outlined below are due to PSLA within 45 days of the effective date of coverage. Copies of the declaration page, cover note, and binder or filing copy of the policy are not required for the four filing types described below.

Filing Type 1609-SLL/1609-PR

Filing Type 1609-SLL/1609-PR is the most commonly used filing type, as it must be used when the criteria for use of all other filing types is not met. **The SLL Affidavit filing must be accompanied by an image file of a completed and signed Producer Affidavit 1609-PR**. The Surplus Lines Licensee is obligated to file both the SLL Affidavit (with 1609-SLL/1609-PR selected) and the 1609-PR affidavit within 45 days of the effective date of the policy.

1609-PR Form

The 1609-PR form must be filled out by the producer, who represents the insured within 30 days after the Surplus Lines Licensee has placed insurance with an Eligible Surplus Lines Insurer. The Producer must forward this form to the Surplus Lines Licensee and the licensee **must upload an image of the 1609-PR form** when submitting Filing Type 1609-SLL/1609-PR. The 1609-PR image must be legible and the insured name must match the insured name listed on the electronic SLL Affidavit form or else the filing will be rejected by PSLA and returned. Refer to the section on <u>Producer Declaration/Affidavit (1609-PR)</u> for additional information.

Filing Type 1609-B

Filing Type 1609-B may be used when the same coverage, as described, has been placed continuously with an eligible surplus lines carrier for a period of **at least three consecutive years immediately preceding the current placement.** This form recognizes that this is, in fact, a Surplus Lines placement, precludes the diligent search requirement and no longer requires a Producer declaration/affidavit 1609-PR. It should be noted that the insured need not be with the same Eligible Surplus Lines Carrier over the said minimum 3-year period.

Filing Type 1610-A – Policy Effective Date after 6/30/2011

Filing Type 1610-A is for an exempt commercial purchaser. The diligent search requirements of section 1604(2), the reporting requirements of section 1609(a) and the twenty five per centum (25%) limitation of section 1606 shall not apply to placements of insurance with nonadmitted insurers for an exempt commercial purchaser if:

(1) the surplus lines licensee procuring or placing the surplus lines insurance has disclosed to the exempt commercial purchaser that the insurance may be available from the admitted market that may provide greater protection with more regulatory oversight; and

(2) the exempt commercial purchaser has subsequently requested in writing the surplus lines licensee to procure or place the insurance from a nonadmitted insurer.

An "Exempt commercial purchaser" is defined as any person purchasing commercial insurance that, at the time of placement, meets the following requirements:

(1) The person employs or retains a qualified risk manager `to negotiate insurance coverage.`

(2) The person has paid aggregate nationwide commercial property and casualty insurance premiums in excess of one hundred thousand ($100,000) dollars in the immediately preceding `twelve (12) months.`

(3) (i) The person meets at least one of the following `criteria:`

(A) The person possesses a net worth in excess of twenty million ($20,000,000) dollars, as adjusted under subparagraph (ii).

(B) The person generates annual revenues in excess of fifty million ($50,000,000) dollars, as adjusted under subparagraph (ii).

(C) The person employs more than five hundred (500) full-time or full-time equivalent employees per individual insured or is a member of an affiliated group employing more than one thousand (1,000) employees in the aggregate.

(D) The person is a not-for-profit organization or public entity generating annual budgeted expenditures of at least thirty million ($30,000,000) dollars, as adjusted under subparagraph (ii).

(E) The person is a municipality with a population in excess of fifty thousand (50,000) persons.

A "Qualified risk manager" is defined as a person who meets all of the following requirements with respect to a policyholder of commercial insurance.

(1) The person is an employee of, or third-party consultant retained by, the commercial policyholder.

(2) The person provides skilled services in loss prevention, loss reduction or risk and insurance coverage analysis and purchase of insurance.

(3) The person:

(i) (A) has a bachelor's degree or higher from an accredited college or university in risk management, business administration, finance, economics or any other field determined by the commissioner to demonstrate minimum competence in risk management; and

(B) (I) has three (3) years of experience in risk financing, claims administration, loss prevention, risk and insurance analysis or purchasing commercial lines of insurance; `or`

(II) has:

(a) a designation as a Chartered Property and Casualty Underwriter issued by the American Institute for Chartered Property and Casualty Underwriter/Insurance Institute of America;

(b) a designation as an Associate in Risk Management issued by the American Institute for Chartered Property and Casualty Underwriter/Insurance Institute of America;

(c) a designation as Certified Risk Manager issued by the National Alliance for Insurance Education & Research;

(d) a designation as a RIMS Fellow issued by the Global Risk Management Institute; or

(e) any other designation, certification or license determined by the commissioner to demonstrate minimum competency in risk management;

(ii) (A) has at least seven (7) years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis or purchasing commercial lines of insurance; and

(B) has any one of the designations specified under clauses (a), (b), (c), (d) and (e);

(iii) has at least ten (10) years of experience in risk financing, claims administration, loss prevention, risk and insurance coverage analysis or purchasing commercial lines of insurance; or

(iv) has a graduate degree from an accredited college or university in risk management, business administration, finance, economics or any other field determined by the commissioner to demonstrate minimum competence in risk management.

Filing Type 1610-A – Policy Effective Date before 7/1/2011

Filing Type 1610-A is designed for the large corporate account. This filing type may be used when the insured is able to satisfy at least 3 of the 6 requirements defined by Section 1610-A of the Pennsylvania Surplus Lines Law. These requirements include:

- The insured employs a full-time risk manager or contracts for services from a qualified risk management service.

- The insured has gross sales in excess of one hundred million ($100,000,000) dollars.

- The insured regularly employs in excess of two hundred and fifty (250) full-time employees.

- The insured has assets in excess of one hundred million ($100,000,000) dollars.

- The insured has insurance premiums for property and casualty insurance, excluding employee benefits, in excess of two hundred and fifty thousand ($250,000) dollars.

- The insured is seeking insurance for risks resident, located or to be performed in one or more states other than Pennsylvania and the portion of the total risk ascribable to states other than Pennsylvania exceeds fifty percent (50%).

If the Surplus Lines Licensee is able to declare under penalties provided for perjury that the described risk satisfies **at least three** of these requirements, filing type 1610-A may be used. Use of filing type 1610-A precludes the diligent search requirement and therefore, the Producer declaration/affidavit 1609-PR is not needed.

Filing Type 1610-B

Filing Type 1610-B is used by Surplus Lines Licensees who administer a Purchasing Groups(s). Submission of this filing type **is required** for placements for **each Pennsylvania member** of a Purchasing Group created under the Risk Retention Act amendments of 1986 regardless of the Purchasing Group's state of domicile. Use of filing type 1610-B precludes the diligent search requirement and therefore, the Producer declaration/affidavit 1609-PR is not needed.

Form 1604-E (Export)

Form 1604-E is intended for use when reporting a placement of a Type of Coverage or a Description of Insured's Operation found on the Export List. Under Section 1604(2)(ii) of the

Pennsylvania Surplus Lines Law, the Insurance Commissioner may declare specific Kinds of insurance coverage or Classes of Operations to be generally unavailable in the authorized market at present, and thus exportable. These types of placements are currently "affidavit free." Accordingly, for those insurance coverages which are included on the Export List, a diligent search among insurers admitted to do business in this Commonwealth is not required before placement of the coverage in the Surplus Lines market.

Form BOR

💡*CAUTION!* Form BOR should only be used to report a mid-term Broker of Record transaction. In most cases a transfer takes place at the expiration/renewal date of a policy and the "new" Licensee simply submits a new filing to PSLA with their Customer ID number. However, in the event the transfer takes place before the policy has expired, the new Licensee should submit the Broker of Record form in the Electronic Filing System. A stamping fee is not applied to the BOR form since a stamping fee was already charged on the original filing by the "former" Licensee. At the policy expiration/renewal date the "new" Licensee should submit a new filing to the Electronic Filing System.

- On the BOR Form use the Broker of Record effective date as the Policy Effective Date.
- On the BOR Form use the original policy expiration date as the Policy Expiration Date.

4.4 Single Eligible Insurer

#	Submit Original Filing – Single Eligible Insurer
1	**Multi-state Risk:** select Yes if the policy covers risks in the Commonwealth of Pennsylvania plus one or more other state or territory and select No if the policy only covers risks in the Commonwealth of Pennsylvania.
2	**Eligible Insurer Number**: enter the Key Number of the Eligible Surplus Lines carrier providing coverage for the policy. Please check the Pennsylvania Insurance Department website for a list of Eligible Surplus Lines Insurers. **Eligible Insurer:** the name of the Eligible Insurer will appear if the number is valid.
3	**PA Premium**: provide the full gross premium amount for: • The portion of the risk located in the Commonwealth of Pennsylvania for the Eligible Insurer. • The full term of the policy period being reported (do NOT provide the monthly or quarterly billing transaction amount).

#	Submit Original Filing – Single Eligible Insurer
4	**Policy Premium:** provide the full gross premium amount for the policy (covering all locations of risks including those located in the Commonwealth of Pennsylvania). - If the policy covers risks outside of the United States, only enter the premium associated with the risks within the United States and territories. - If the Multi-state Risk field is set to **No**, the PA Premium is automatically copied to Policy Premium and the field is read-only. - If the Multi-state Risk field is set to **Yes**, the Policy Premium must be greater than PA Premium.
5	**Reporting-only**: if a filing has $0 Total Premium, the Reporting-only box must be checked before submittal.
6	**Omissions:** check the box if the filing is being submitted or revised in accordance to the 2/22/2010 Bulletin. Please refer to the Frequently Asked Questions for additional information. The Pennsylvania Insurance Department has temporarily waived the late fee between 3/1/2010 and 12/31/2010 to encourage licensees to update their records. The box is only valid for filings with a Policy Effective Date prior to 1/1/2010 and it cannot be used with existing filings that already have a late fee. **The Omissions option is no longer available!**

4.5 Multiple Eligible Insurers (Replaces Schedule 1609/1610 SH Attachment)

If a filing has multiple Eligible Insurers, click on the "Add Another Insurer" button to add another Eligible Insurer. A filing may have up to ten Eligible Insurers.

#	Submit Original Filing - Multiple Eligible Insurers (Multiple Carriers)
1	**Add/Remove Insurer**: click the "Add Another Insurer" button if multiple Insurers are providing coverage under the same policy number (i.e., all subscribing carriers participating on one cover note). The maximum number of Insurers is ten. Click "Remove Last Insurer" if you added too many.
2	**Total from Eligible Insurers**: the Total PA Premium and Total Policy Premium from all Eligible Insurers are calculated.

4.6 Revenue Recognition Date, Tax, and Stamping Fee

#	Submit Original Filing - Validate
1	**Revenue Recognition Date:** Revenue Recognition Date is the date that surplus lines premium tax will be reported on a 1620 Monthly Report and recognized from a surplus lines tax reporting perspective. Contact your agency tax accountant for more information. • *Tip!* Surplus lines premium from new filings, endorsements, and cancellations that will be reported on the 1620 Monthly Report should have a Revenue Recognition Date within the same month. • *Tip!* Surplus lines premium from new filings, endorsements, and cancellations that will be reported on the Gross Premium Tax report for a calendar year should have a Revenue Recognition Date within the same year.
2	**Tax:** The calculated surplus lines premium tax per Surplus Lines Law Section 1621.
3	**Stamping Fee:** The standard stamping fee is based on the stamping fee schedule outlined in the 10/26/2007 Bulletin.
4	**Missing PR Stamping Fee:** The $50.00 non-refundable Missing PR Stamping Fee is applied if the "Unable to Obtain PR Form" was ever checked on this filing. Note that if the box is checked in the original filing and later the box is unchecked in a revision, the Missing PR Stamping Fee still applies since it is non-refundable. Refer to the 10/13/2010 Bulletin for more information.
5	**Total Stamping Fee:** The Total Stamping Fee is the sum of the standard Stamping Fee and the Missing PR Stamping Fee.

4.7 Service Fees

#	Service Fees
1	**Personal Lines Service Fee:** Per Act 45 of 2024 that became effective on 9/6/2024, a surplus lines licensee may charge an insured a service fee for the placement of a personal lines insurance policy. This is an optional field.
2	**Commercial Lines Service Fee:** a surplus lines licensee may charge an insured a service fee for the placement of a commercial lines insurance policy. This is an optional field.

4.8 Form 1606-A for Ineligible Insurers

#	Submit Original Filing - Ineligible Insurers
1	**Form 1606-A**: required on those (rare) occasions, when due to specific circumstances, a portion of said risk (not exceeding 25%) is forced to be placed with unapproved non-admitted insurance carriers which do not appear on the list of Eligible Surplus Lines Insurers published by PID. Attachment 1606-A must be completed and included with the completed Surplus Lines Affidavit (applicable to all filing types). Check this field only if a portion of the reported risks (not exceeding 25%) was placed with a non-admitted insurer which does not appear on the Pennsylvania Insurance Department website for Eligible Surplus Lines Insurers. **Note**: Filing Type 1610-B should not have Ineligible Insurers. Ineligible Insurers used with Filing Type 1610-B will be reported to PID.
2	**Ineligible Insurer**: enter the name of the Ineligible Insurer and the associated portion of PA Premium and Policy Premium. - If the policy covers risks outside of the United States, only enter the premium associated with the risks within the United States and territories. - If the Multi-state Risk field is set to **No**, the PA Premium is automatically copied to Policy Premium and the field is read-only. - If the Multi-state Risk field is set to **Yes**, the Policy Premium entered must be greater than PA Premium.
3	**Ineligible Insurer**: enter the name, PA Premium, and Policy Premium for a second Ineligible Insurer if there is more than one.
4	**Total from Eligible and Ineligible Insurers**: totals are automatically calculated.
5	**Full Explanation:** provide a description of why the risk was placed with an Ineligible Insurer(s).

4.9 1609-PR Information

#	Submit Original Filing - 1609-PR Information (Internal-only)
1	**Surplus Lines Individual Licensee:** The list of available Surplus Lines Licensees is based on the Customer ID. The Surplus Lines Agency Name for the Customer ID is displayed to the right of the licensee.
2	**Unable to obtain 1609-PR form:** check this box if the 1609-PR form is not available. • **Warning! Effective January 1, 2011 there is a $50.00 non-refundable Missing PR Stamping Fee if this box is checked.** **Producer Name**: if the box is checked, enter the Producer Name. **Producer Address**: if the box is checked, enter the Producer Address.

3	**Browse**: Filing Type 1609-SLL/1609-PR requires a scanned image of the completed and signed 1609-PR form is attached to the electronic submittal. Click on the Browse button to locate the file. The file should be attached just prior to submittal
	  • **Warning!** The file size must be less than 20,000 Kbytes and stored on your local hard drive. An error may occur if the file is stored on a shared network drive.
	  • **PDF file format is preferred** but JPG is also supported. Please contact PSLA if you have questions on the file type.
	  • **Warning! Compressed TIF images are not supported.**
	  • The Save as Draft function does not upload a selected image. Use the Browse function to select the image when you are ready to submit the filing.
	  • *Tip!* The requirement to attach an image of a 1609-PR form is from PID. Please contact them if you have questions on the requirement.
	The remaining filing types do not require an image of the 1609-PR form so the Browse button is hidden.

4.10 Validate and Submit

#	Submit Original Filing - Validate
1	Re-type in the Policy or Binder Number for confirmation. The Policy or Binder number entered at the top of the form must match the number entered at the bottom of the form.
2	**Validate The Policy**: this will check all entries and validate them for consistency. The list of validation errors are listed in the Appendix. Refer to the section on Validation for additional information. • If there are no errors, the text "**Click the Submit Filing button to save the filing!**" will be displayed at the top of the filing form. At the bottom of the form a "**Submit**" button will be displayed and clicking it will submit the filing. EFS will set the Filing Status to "Submitted/Approved. • If there are only warning errors, the text "**Please review the warning error(s) and then click the Submit Filing button to save the filing.**" will be displayed at the top of the filing form. At the bottom of the form a "**Submit**" button will be displayed and clicking it will submit the filing. EFS will set the Filing Status to "Submitted/Approved. • If there are critical errors, the text "**Please review the error(s) below before submitting**" will be displayed at the top of the filing form. At the bottom of the form, the "Validate" button will be displayed. Correct the error and click Validate to check the correction. • *Caution!* Clicking the Validate button does not enter the information into EFS. **You must click the Submit button** to enter and save information to EFS.
3	**Save As A Draft:** saves entered data so it can be completed at a future date. The Save As A Draft will save a filing with validation errors as long as it has a Customer ID. Draft filings are retrieved by using the Search Display, setting the "Filing Status" criteria to "Save/Draft", selecting the draft filing, and clicking "View/Revise" filing button. • Note: the Save as a Draft function does not save an attached PR image.
4	**Exit**: exits the form without saving data.
	Submit The Policy: this button appears after the filing has been validated without any critical errors. Clicking the Submit button saves the filing to EFS.

After a policy is submitted, filing information (Policy Number, Effective Date, Expiration Date, Insured Name, Premium, and Stamping Fee) will appear on the Agency's next monthly Statement of Account.

Validation Errors

Validation checking is divided into two parts. Validation rules that are independent of prior data is processed first (i.e. missing policy effective date) and validation rules that are dependent on other data is processed second (i.e. missing purchasing group since it is only appropriate for filing type 1610-B).   All critical independent validation errors must be cleared before dependent validation errors are checked. For example, if a filing was missing both the policy effective date and the purchasing group, the missing purchasing group error will not be flagged until there is a policy effective date.

There are two types of validation errors.   The complete list of validation errors is in the Appendix.
- Critical Errors must be corrected prior to submittal.
- Warning Errors should be corrected prior to submittal but EFS will accept a filing with warning errors.

#	Submit Original Filing – Validation Warning Errors
1	**Filing with Warning Errors**: if the filing has only warning errors, the message at the top will state "**Please review the warning error(s) and then click the Submit Filing button to save the filing.**". Clicking the **Submit** button will submit the filing.
2	**Validation Errors**: fields with warning errors are highlighted in **Yellow** fill color.
3	**Validation Error Description**: moving the cursor to the field will display the error text.

#	Submit Original Filing – Validation Critical Errors
4	**Filing with Critical Errors**: if a filing has critical errors the message at the top will state "**Please review the error(s) below before submitting**".
5	**Validation Error:** fields with validation errors are highlighted in **Red** fill color.
6	**Validate Error Window:** putting the cursor in the field with the error will display a window describing the error.

4.11 Filing Status

Each Filing has a "status" that defines the allowable actions on the filing. Filing Status is one of the Search Display's criteria for searching.

- **Saved/Draft:** information was entered into the Affidavit Form but the Original Filing was not submitted to the Electronic Filing System. The **Save as a Draft** function enables a user to complete an Original Filing at a later date.
  - The filing must have a Customer ID before saving.
  - The filing may contain blank fields and errors.
  - The filing may be opened and saved as a draft multiple times.
  - On the Home page, a link to "**Complete Draft Filings**" will display Saved/Draft filings for a Customer ID.
  - The Save as a Draft function is only available to Original Filings. It is not available for Revisions and Endorsements.

- **Submitted/Approved**: the Original Filing or Revised Filing was successfully submitted to the Electronic Filing System (EFS). Filings with warning errors may be successfully submitted but errors may be reported to PID.
  - **Filing Types 1609-B, 1610-A, 1610-B, and 1604-E**: when the Submit Filing button is clicked, the status is set to Submitted/Approved.
  - **Filing Type 1609-SLL/1609-PR:** when the Submit Filing button is clicked, the status is set to Submitted/Approved if it doesn't have an attached image. If it has an image, the status is set to Pending Filing Review since PSLA must review the image and enter PR information. An Original 1609-SLL/1609 Filing must have an image to pass validation. A Revision may, or may not have an image.
- **Filing Review Pending:** the filing requires review by a PSLA User.
  - Filing Type 1609-SLL/1609-PR originally submitted by an Agency User: the attached 1609-PR image must be reviewed by PSLA.
  - .
  - Note: an endorsement cannot be submitted on a filing that is pending review.
  - Note: an Agency User cannot revise a filing that is pending review.
- **Filing Return Sent:** the filing needs to be corrected by the Agency User.
  - Filing Type 1609-SLL/1609-PR originally submitted by an Agency User: the attached image contained an error(s) that must be corrected. The Agency User should use the Revise Filing function to attach a corrected image and resubmit it. Errors that result in a returned filing are: illegible image, mismatch between the Named Insured on the image and the Named Insured entered on the Affidavit Form, missing Producer signature, and missing Producer Name/Address.
  - Note: an endorsement cannot be submitted on a returned filing.
  - Note: an Agency User must have "Filing Return" read/write permission to correct a returned filing.
  - See section on Fix Filing Return Errors.
- **Cancelled**: the filing was cancelled. The policy number is retained so it may not be reused.
- **Inactive**: the filing was inactivated. The policy number was removed so it may be reused.

4.12 Filing Returned

If an Agency submits an original filing to PSLA's Electronic Filing System the filing was validated for errors prior to submittal. Filing Type 1609-SLL/1609-PR requires an attached image of the 1609-PR form that PSLA will review. If there are warning errors with the image PSLA will accept the filing and not return it to the Agency. If there are critical errors with the image, PSLA will return the filing to the Agency and the Agency must upload a corrected image and re-submit the filing using the "Revise Filing" function. Below is the list of potential errors with a 1609-PR image.

- Error 14 – Missing Producer Information   critical
- Error 18 – Missing Declining Company   warning
- Error 20 – Invalid Individual Producer License   warning
- Error 21 – Missing or Illegible Individual Producer Name critical
- Error 25 – Missing or Invalid NAIC Number   warning
- Error 30 – Missing Producer Signature   critical
- Error 32 – Missing 1609-PR Image   critical
- Error 33 – Illegible 1609-PR Image   critical
- Error 34 – Mismatch on Named Insured   critical

Filing Returned Notification

If a submitted filing is returned, an email is sent to the Filing Return contact and a message in red background is displayed on the Home page for all users assigned to the Customer ID on the returned filing.

List of Filings Returned

Click on the "**Fix A Returned Filing**" link to display the list of returned filings (note: the user must have "Filing Return" permission in the User Profile to enable the link.

Returned Filing Email

Select the filing to correct and click on the **View or Revise Filing** button.

The top of the page has a link to display a copy of the returned email that describes the reasons for the return.

5 SEARCH FOR AFFIDAVIT AND POLICY HISTORY

5.1 Search Filing Display

The Search Display enables a user to search for a policy based on optional search criteria. Once a policy is found and selected, several other functions may be initiated from the Search Display.

- **View or Revise Policy**: displays current policy information on the Affidavit Form and enables a user with read/write permission to revise information.
- **View History**: displays a summary of current policy information and each transaction to-date starting with the original filing.
- **Submit Endorsement**: displays current policy information on the Endorsement Form and enables a user to change selected information (e.g. increase limits and add premium or decrease limits and return premium).
- **Create 1609-PR Form:** populates a 1609-PR form with the selected filing information so it can be printed and sent to the producer.
- **Save Results**: saves search results into an Excel-compatible format.
- **Inactivate Policy**: displays current policy information and enables a user to inactive a policy and reuse the policy number.
- **Cancel Policy**: displays current policy information and enables a user to set the Effective Date of Cancellation and the Returned Premium.
- **Reinstate Policy**: displays current policy information and enables a user to reinstate a cancelled policy by setting the Effective Date of Reinstatement and the Additional Premium.
- **Submit Original Filing**: calls up a new affidavit form.

#	Search for Affidavit
all	If a field or search criteria is blank, the search function will ignore the search criteria. Each search criteria is optional. • **Note**! The search function always restricts its search based on the Customer IDs assigned to the user. • **Tip**! The time to display search results is dependent on the breadth of the search. A search that has narrow search criteria (e.g. only a few results) will display results faster than a broad search.
1	**Customer ID**: if a user is assigned a single Customer ID then the Customer ID is automatically populated. If a user is assigned multiple Customer IDs then a drop-down list of assigned IDs is provided. If blank, the search function restricts its search based on the Customer IDs assigned to the user.

#	Search for Affidavit
2	**Policy No., Binder No., Customer Reference No., and Insured Name**: the Search function will look for policies starting with the entered characters. Enter the first few characters.
3	**Tax Status**: find Tax-exempt or Taxable (not tax-exempt) filings.
4	**PSLA ID**.: find a specific filing by the unique PSLA ID number.
5	**Multi-state Risk:** find filings with Multi-state Risks.
6	**Resident State:** find filings where the surplus lines licensee is resident, non-resident, or in a specific state.
7	**Late Filings:** find filings with a late filing fee.
8	**Omissions:** find filings that had Omissions checked and the late fee waived. These filings are made available to the Pennsylvania Insurance Department.
9	**Entry, Effective, and Expiration Dates**: enter date ranges in MMDDYY format. If only the "from" date is entered, today's date is set as the "to" date.
10	**SL Individual Licensee:** find filings for a SL Licensee.
11	**Producer License No**.: find filings by producer.
12	**Type of Coverage**: find filings by Type of Coverage. Note that this was previously called "Kinds".
13	**Insured's Operation:** find filings by the Description of Insured's Operation. Note that this was previously called "Class".
14	**Unable to Obtain PR**: find filings with a Missing PR Stamping Fee
15	**Filing Status**. Typically used to find filings in the "Filing Return Sent" or "Saved/Draft" status. Agency Users should set status to "Filing Return Sent" to identify filings to be fixed or set the status to "Save/draft" to find draft filings. The links on the User Home Page for "Fix Filing Return" and "Complete Draft Filing" call up the Search Display with a predefined Filing Status.
16	**Filing Type:** find filings by type. 1609-X filings are made available the Pennsylvania Insurance Department.
17	**Rev. Rec. Date Range:** find filings by Revenue Recognition Date.
18	**Search for Policy:** click this to search for filings based on the selected criteria.
19	**New Search:** click this to clear the search criteria fields and start a new search.

Search Results

#	Search Results
1	**Policy No.:** the list of policies that pass the search criteria is displayed beneath the "Search for Policy" button. Select a policy by clicking the radio button on the far left.

#	Search Results
2	Click a button to perform an action on the selected policy; • [View or Revise Filing](#) • [View Policy History](#) • [Submit After Cancel Adjustment](#) • [Submit Endorsement](#) • [Submit Original Filing](#) • [Inactivate Policy](#) • [Cancel Policy](#) • [Reinstate Policy](#) (if the filing status is Cancelled) • [Renew Filing](#) • [View Renewal](#) • [Create 1609-PR Form](#) (if the filing type is 1609-SLL/1609-PR • Delete Draft
3	**Export Results**: will export the results of the search into an Excel 2003 compatible spreadsheet.

5.2 Policy History

① Current Policy Information

PSLA ID	2504608	Filing Type	1609-SLL/1609-PR
Customer ID & Name	0753 - PSLA ThirdGen Test.	Insured Name	JOHN SMITH
Policy Number	POLICYABCD	Binder Number	
Policy Effective Date	11/05/2024	Policy Expiration Date	11/05/2025
Location of Risk - City	Philadelphia	Location of Risk - State & Zip	PA 19140
Type of Coverage	BOP/SMP - PROP/CAS	Stamping Fee	$20.00
PA Premium	$1,111.11	Multi-state Risk	Yes
Policy Premium	$2,222.22	Tax	$66.67
Correctly Received Date	11/05/2024	Revenue Recognition Date	11/18/2024
Personal Lines Service Fee	$1.00	Commercial Lines Service Fee	$0.00

CSV | Excel | PDF

Trans ID ②	EN No	Entry Date	Type ④	Policy No	Eff. Date	Exp. Date	PA Prem.	Policy Prem.	AS ⑤	Sent to Acct. ⑥	⑦ User ID	Doc ⑧
47100③		11-05-24	NW	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00	SN	11-05-24	agencyuser	📄
47101③		11-18-24	RT	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
47101③		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			Jane.Doe@agencyname.com	📄
47101③		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
47101③		11-18-24	EN	POLICYABCD	11-05-24	11-05-25	1,111.11	2,222.22	RS		Jane.Doe@agencyname.com	N/A

#	Policy History
1	**Current Policy Information:** The top of the Policy History page displays current policy information. Current policy information is the cumulative result of the original filing, revisions/corrections to the filing, and endorsements to the filing. The Correctly Received Date is displayed at the bottom of the current policy information.

#	Policy History
2	**Transaction History:** Each row at the bottom of the display represents a transaction. The values displayed in the Premium columns are the filing's value at the end of the transaction. For example, if a new filing is submitted with a Policy Premium of $4,500 than the amount on the first row will show 4,500. If an endorsement is submitted that increases the Policy Premium by $1,000, from $4,500 to $5,500, the amount shown on the History Display on the Endorsement row is $5,500.
3	**Transaction Hyperlink:** Clicking on the hyperlink displays the transaction.
4	**Type**: is the "type of transaction" that occurred. • NW – New: new original filing was submitted. • CO – Correction/revision: "Revise Filing" was used to fix the filing. • EN – Endorsement: "Submit Endorsement" was used to change the filing. • RV – Pending Filing Review: the filing either has a 1609-PR image that needs to be reviewed by PSLA or a paper affidavit was mailed to PSLA and it has errors that need to be reviewed within PSLA. • RT – Filing Return Sent: the filing either needs a corrected 1609-PR image or errors that need to be fixed by the agency. • CN – Cancelled: The policy was cancelled. • RI – Reinstate: A cancelled policy was reinstated. • IN – Inactive: The policy was inactivated.
5	**AS – Accounting Status:** Sent to Accounting identifies whether filing information was exported to PSLA's accounting system. • NR – Not ready for export. The filing has critical errors that must be corrected. • RS – Ready-to-send: the information is ready to be exported. • SN – Sent: the information was exported to PSLA's accounting system.
6	**Sent to Acct:** If filing information was exported from EFS to PSLA's accounting system, the sent-to-accounting date is displayed.
7	**User ID:** the user that submitted the transaction.
8	**Doc**: If there is an image associated with the transaction, clicking on the paper icon will display the image. • If an agency user submitted a 1609-SLL/1609-PR filing and uploaded the PR image, clicking on the paper icon will display the PR image. • If an agency sent a paper filing or endorsement to PSLA, the paper was scanned into PSLA's document management system and clicking on the icon will display the scanned image.

5.3 Create 1609-PR Form

The purpose of this function is to utilize data entered in the 1609-SLL/1609-PR filing to pre-populate a 1609-PR Form. The pre-populated 1609-PR form may be printed and sent to the Producer to be completed and signed. The surplus lines agency must upload an image of the signed and dated 1609-PR form received from the producer representing the insured to complete the 1609-SLL/1609-PR filing.

COMMONWEALTH OF PENNSYLVANIA INSURANCE DEPARTMENT

1609-PR (REV. 08/12)
(Must be included with the electronic SLL Affidavit type 1609-SLL/1609-PR)

Customer ID #	0753
Policy #	POLICYABCD
Binder #	

Report of transactions with unlicensed insurer(s) in accordance with Section 1609 of Article XVI, Surplus Lines of the Insurance Company Law, Act of May 17, 1921, P.L. 682, No. 284, as amended

DECLARATION BY PRODUCER

Insured Name   JOHN SMITH

Location of Risk - City*
Philadelphia   State PA   Zip 19140

Type of Coverage   Description of Insured's Operation
BOP/SMP - PROP/CAS   Camps/Camp Grounds

Effective Dates (term) of Coverage   FROM 11/05/2024   TO 11/05/2025

*If more than one location of risk, then give address with most exposure

I declare under the penalties provided for perjury, that I have made a diligent effort to procure the insurance coverage described above from licensed insurers which are authorized to transact the kind of insurance involved and which provide, in the usual course of business, coverage comparable to the coverage being sought and have been unable to procure said insurance. I have documented a declination of coverage from at least three admitted insurers.

I further declare under the penalties provided for perjury, that at the time of presenting a quotation to the insured, the insured was given notice in writing, either directly or through the producer, that:

The insurer with whom the insurance is to be placed is not admitted to transact business in this Commonwealth and is subject to limited regulation by the Department; and in the event of the insolvency of the insurer, losses will not be paid by the Pennsylvania Property and Casualty Insurance Guaranty Association.

ALL applicable provisions of ARTICLE XVI of the Insurance Company Law (40 P.S. §991.1601 et seq.) and Title 31 PA Code, Chapter 124 have been or will be complied with.

Name of   License # of
Producer   Producer
Agency: Agency:
Name of   License # of
Producer: Producer:

Signature of Producer: _____   Date: _____
(Signature of Producer)

5.4 Export Results

The Export Results function converts the data shown in "Search Results" to an Excel spreadsheet. Search Results can contain up to 1000 items. Once the data is in an Excel spreadsheet, standard Excel functions may be used to sort or add information.

See below for an example.

	A	B	C	D	E	F	G	H	I	J	K	L
1	Policy No.	PSLA ID	Filing Status	Entry Date	Customer ID	Customer Name	Insured Name	Eff. Date	Exp. Date	PA Premium	Policy Premium	Rev. Rec. Date
2	TEST-NOV4-EN	2504607	CN	11/04/2024	0753	PSLA ThirdGen Test AGENCY	TEST EXPORT FILE EN	11/04/2024	11/04/2025	200.22	200.22	11/05/2024
3	POLICYABCD	2504608	EN	11/05/2024	0753	PSLA ThirdGen Test AGENCY	JOHN SMITH	11/05/2024	11/05/2025	1,111.11	2,222.22	11/18/2024
4	POLICYXYZ	2504609	EN	11/05/2024	0753	PSLA ThirdGen Test AGENCY	JOHN SMITH	11/05/2024	11/05/2025	1,111.11	2,222.22	11/18/2024
5	NOV6-BOR	2504725	EN	11/06/2024	0753	PSLA ThirdGen Test AGENCY	TEST BOR	11/06/2024	11/06/2025	-10.00	-10.00	11/06/2025
6	NOV6-E	2504726	NW	11/06/2024	0753	PSLA ThirdGen Test AGENCY	TEST	11/06/2024	11/06/2025	1,000.00	1,000.00	11/06/2024
7	R3-FEES	2504727	NW	11/08/2024	0753	PSLA ThirdGen Test AGENCY	FEES	11/08/2024	11/08/2025	1,000.00	1,000.00	11/08/2024

6 REVISION, ENDORSEMENT, CANCELLATION, ADJUSTMENT, INACTIVATION, AND RENEWAL

6.1 Revise Filing

A submitted filing cannot be edited. If a submitting filing contains an error, the Revise Filing function allows the user to submit a revised version of the filing to correct the error. Electronic Filing System stores data from the Original Filing and data from Revised Filings.

The Revise Filing function uses the Affidavit Filing Form. All fields are editable. A common example is adding a Policy Number to a filing after it was submitted with a Binder Number.

Refer to the section on Submit Original Filing for directions on completing the Affidavit Filing Form.

The Affidavit Filing Form is automatically populated with the current policy information. If the Original Filing was previously revised, the Form will display the current revised information, not the original information.

Re-submit PR Image File

A PR image file must be uploaded when a 1609-SLL/1609-PR filing is revised. The Revise Filing page has options to either "Upload" a revised PR image file or "Re-submit" the most recent PR image file.

- **Upload**: select this option to upload a revised PR image file.
- **Re-submit:** select this option to have EFS automatically upload the most recent PR image file if there are no changes to the PR image.

If Re-submit is selected, the "Browse" button will be hidden since a file does not need to be selected..

After clicking the "**Validate The Policy**" button, a hyperlink to the "uploaded" or "re-submitted" image file becomes visible and clicking the hyperlink, "**Click Here To View The 1609-PR Image**" will display the image.

1609-PR Image
Click Here To View The 1609PR Image
Upload a revised 1609-PR image or resubmit the current 1609-PR image?   ○ Upload ● Re-submit
Select the 1609-PR image from your system   [ ] Browse...
Submit Filing   Exit

Reminder: click the "**Submit Filing"** button to save the revised filing.

6.2 Submit Endorsement

Once an Original Filing has been submitted to PSLA, Surplus Lines Licensees must report two primary types of changes made to that Original Filing to PSLA. These include:

- The replacement of a Binder number with a Policy number. If an Original Filing is made using a Binder number, it is critical that Surplus Lines Licensees later provide the Policy number which replaces the Binder number. This is to assist the Licensee in proper record keeping, reconciling, and reporting, as the Policy number creates the unique number used to lookup and track all filings, as required by PID.

- Premium bearing endorsements to a policy (as well as specific non-premium bearing changes indicated below).

A New Endorsement should be submitted when any one of the following changes to a policy (the original placement) has occurred:

- A change in Policy Premium (additional or returned)
- A change in Named Insured
- A change to the Location of Risk (for placements with multiple locations in Pennsylvania, the change endorsement should indicate if the location with the most exposure has been changed)
- A change or revision to the Policy Number (other than a policy rewrite)
- A change to the Policy Period

The following items must also be included on a New Endorsement.

- Effective Date of Change (stated separately from any date of endorsement preparation)
- Specify Additional or Returned Premium (in the case of there being no premium involved, clearly indicate what change is being put into effect, and specify that there is no change to the Policy's Premium). If you are listing multiple Additional and Return premiums on the same endorsement, calculate the total net A/P or R/P and clearly list it on the endorsement. Additional Premium is entered as a positive number and Returned Premium is entered as a negative number.
- Sequential Endorsement Number (please make sure your endorsements to each policy are numbered sequentially)

An endorsement submission must be unique to one policy number and the policy for which you are issuing the endorsement must already have been filed with PSLA (i.e. you cannot submit an endorsement before the original filing).

From the Home Page click on the Search or View a Filing link to find the filing. Select the filing and click the **Submit Endorsement** button. The Policy History information is displayed to confirm the correct filing is selected.

Review of Policy History Before Creating Endorsement

Home   Signed in as Jane Doe [Jane.Doe@agencyname.com] on SysTest3. Last successful login was 11/18/2024 2:55 PM   Help

Current Policy Information

PSLA ID	2504608	Filing Type	1609-SLL/1609-PR
Customer ID & Name	0753 - PSLA ThirdGen Test	Insured Name	JOHN SMITH
Policy Number	POLICYABCD	Binder Number	
Policy Effective Date	11/05/2024	Policy Expiration Date	11/05/2025
Location of Risk - City	Philadelphia	Location of Risk - State & Zip	PA 19140
Type of Coverage	BOP/SMP - PROP/CAS	Stamping Fee	$20.00
PA Premium	$1,111.11	Multi-state Risk	Yes
Policy Premium	$2,222.22	Tax	$66.67
Correctly Received Date	11/05/2024	Revenue Recognition Date	11/18/2024
Personal Lines Service Fee	$1.00	Commercial Lines Service Fee	$0.00

CSV Excel PDF

Trans ID	EN No	Entry Date	Type	Policy No	Eff. Date	Exp. Date	PA Prem.	Policy Prem.	AS	Sent to Acct.	User ID	Doc
4710003		11-05-24	NW	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00	SN	11-05-24	agencyuser	📄
4710146		11-18-24	RT	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
4710149		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			Jane.Doe@agencyname.com	📄
4710150		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
4710151	1	11-18-24	EN	POLICYABCD	11-05-24	11-05-25	1,111.11	2,222.22	RS		Jane.Doe@agencyname.com	N/A

Exit   Create Endorsement

Click on the "Create Endorsement" button to create an endorsement.

#	**Submit Endorsement**
1	**Endorsement Number**: an optional alphanumeric field to help track endorsements.
2	**Effective Date of Change**: a <u>mandatory</u> field that identifies the date when the Endorsement becomes effective.
3	**Multi-state Risk**: identifies if the policy covers risks in the Commonwealth of Pennsylvania plus one or more other state or territory.
	• If Multi-state Risk was "No", it may be changed to "Yes" to indicate that a new location outside of the Commonwealth of Pennsylvania was added to the policy. Please review the Change in Policy Premium to ensure it is correct.
	• If Multi-state Risk is already "Yes", it cannot be changed to "No" on an Endorsement because the change may impact the original tax calculation. The "Revise Filing" function may be used to change the value to "No".
	• If the original filing was entered prior to 6/25/2011 (EFS Version 3.0), the Multi-state Risk field is blank. It cannot be selected on an Endorsement because the selection may impact the original tax calculation. The "Revise Filing" function may be used to set the value.
4	**Revenue Recognition Date:** enter the date the endorsement premium will be recognized from a tax reporting perspective.

#	Submit Endorsement
5	The policy's current information is initially displayed but they may be changed as part of the Endorsement. • Note: if the policy covers multiple locations, the Location of Risk should reflect the address of the location with the most exposure that is in Pennsylvania.
6	**Current**: the policy's current PA Premium, Policy Premium, and Tax are displayed as read-only fields.
7	**Change**: enter a positive number to increase the PA Premium or Policy Premium and enter a negative number to decrease it. Use the "-" key to indicate a negative number (i.e. -5 will reduce the current value by 5). The change in tax is automatically calculated based on the Policy Effective Date and the change in premium (PA Premium if the Policy Effective date is before 7/1/2011 or Policy Premium if the Policy Effective Date is after 6/30/2011).
8	**New**: the Current Value plus the Change for each Eligible Insurer
9	**New Total**: the Current Value plus the Change for all Eligible Insurers.
10	**Comment:** this is an optional text field for comments. Comments entered on the Endorsement page will also be displayed on the Cancel and After Cancel Adjustment pages.
11	**Validate**: EFS will first validate the changes and then ask you to reconfirm submittal before it saves the data to EFS.
12	**Exit the Endorsement:** exit without saving the Endorsement.

An Endorsement that was previously submitted may be reviewed. Use the "Search" function to find the filing, select the filing, and click on "View History".

Current Policy Information

PSLA ID	2504608	Filing Type	1609-SLL/1609-PR
Customer ID & Name	0753 - PSLA ThirdGen Test.	Insured Name	JOHN SMITH
Policy Number	POLICYABCD	Binder Number	
Policy Effective Date	11/05/2024	Policy Expiration Date	11/05/2025
Location of Risk - City	Philadelphia	Location of Risk - State & Zip	PA 19140
Type of Coverage	BOP/SMP - PROP/CAS	Stamping Fee	$20.00
PA Premium	$1,000.00	Multi-state Risk	Yes
Policy Premium	$2,000.00	Tax	$60.00
Correctly Received Date	11/05/2024	Revenue Recognition Date	11/18/2024
Personal Lines Service Fee	$1.00	Commercial Lines Service Fee	$0.00

CSV | Excel | PDF

Trans ID	EN No	Entry Date	Type	Policy No	Eff. Date	Exp. Date	PA Prem.	Policy Prem.	AS	Sent to Acct.	User ID	Doc
4710003		11-05-24	NW	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00	SN	11-05-24	agencyuser	📄
4710146		11-18-24	RT	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
4710149		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			Jane.Doe@agencyname.com	📄
4710150		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
4710151	1	11-18-24	EN	POLICYABCD	11-05-24	11-05-25	1,111.11	2,222.22	RS		Jane.Doe@agencyname.com	N/A

The Trans ID for an Endorsement has a hyperlink. Clicking the hyperlink (in this example it is Trans ID 2150179) will call up a read-only display of the Endorsement that was submitted.

Endorsement Information for Transaction #4710151

Endorsement No	1	Effective Date of Change	11/18/2024
Multistate Risk	○ Yes ○ No	Revenue Recognition Date	11/18/2024
Customer ID & Name	0753 - PSLA ThirdGen Test AGENC	Insured Name	JOHN SMITH
Policy Number	POLICYABCD	Binder Number	
Policy Effective Date	11/05/2024	Policy Expiration Date	11/05/2025

Location of Risk — City   State   Zip
Philadelphia   PA   19140

Type of Coverage   ☐ Tax Exempt (if checked)
BOP/SMP - PROP/CAS   Change in Stamping Fee   0.00

Upload Image of endorsement or supporting documentation
Choose File No file chosen

ELIGIBLE INSURERS

Eligible Insurer Number 22416   Eligible Insurer 22416 - LLOYD'S, LONDO|

	PA Premium	Policy Premium	Tax
Current	$ 1,000.00	$ 2,000.00	$ 60.00
Change	$ 111.11	$ 222.22	$ 6.67
New	$ 1,111.11	$ 2,222.22	$ 66.67
New Total from Eligible Insurers	$ 1,111.11	$ 2,222.22	$ 66.67

Comment
Optional

6.3 Cancel Policy

The Cancel Policy function allows an Agency to change the state of a filing to "Cancelled". The policy number of a cancelled policy cannot be reused and endorsements cannot be submitted against a cancelled policy. Use the Search Display to find the policy to be cancelled. After selecting the filing to be cancelled and clicking the Cancel button, the Current Policy Information is displayed.

After clicking the "Create Cancel" button, the Cancel Policy page is displayed.

#	Cancel Policy
1	**Reference No**: an optional alphanumeric field of up to 30 characters.
2	**Cancellation Date**: the date the policy was cancelled. The Cancellation Effective Date must be before the Policy Expiration Date (e.g. cannot cancel a policy after it expires).
3	**Revenue Recognition Date:** the date the returned premium will be recognized from a

	tax reporting perspective.
4	**Returned PA Premium**: the amount of PA Premium returned. Enter a positive number. The amount of Returned PA Premium must be less than the current PA Premium.
5	**Returned Policy Premium**: the amount of Policy Premium returned. If this is a single state policy than the Returned PA Premium will automatically be displayed in the Returned Policy Premium field. If this is a multi-state policy enter a positive number for the Returned Policy Premium. The amount of Returned Policy Premium must be less than the Current Policy Premium.
6	**Returned Tax**: a read-only field that calculates the amount of tax to be returned based on the returned premium (PA Premium if the Policy Effective Date is before 7/1/2011 and Policy Premium if the Policy Effective Date is after 6/30/2011).
7	**Comment:** an optional text field for comments. Comments entered on the Endorsement page will initially be displayed on the Cancel page. The comment may be deleted, left as-is, modified, or appended.
8	**Validate Cancel Policy:** click the button to validate the entries.

The Cancel Policy page can be viewed at a later date. Use the "Search" function to find the filing, select the filing, click on "View History", and then click on the Trans ID for the cancellation.

6.4 After Cancel Adjustment

The After Cancel Adjustment function should be used when a change needs to be made to a filing that has already been cancelled. It is very similar to an Endorsement except for the following:

- The After Cancel Adjustment function is only enabled on a cancelled filing. It will not work on non-cancelled filings.
- On the Search Filing page, the filing status remains cancelled after the adjustment is submitted and the 2-character indicator on the Search Filing page remains "CN".
- On the Policy History page the two character abbreviation for After Cancel is "AC".
- The title of the page is "After Cancel Adjustment".

From the Home Page click on the Search or View a Filing link to find a cancelled filing.

Select a cancelled filing and click the **After CN** button. The Policy History information is displayed to confirm the correct filing is selected.

Current Policy Information

PSLA ID	2504608	Filing Type	1609-SLL/1609-PR
Customer ID & Name	0753 - PSLA ThirdGen Test	Insured Name	JOHN SMITH
Policy Number	POLICYABCD	Binder Number	
Policy Effective Date	11/05/2024	Policy Expiration Date	11/05/2025
Location of Risk – City	Philadelphia	Location of Risk – State & Zip	PA 19140
Type of Coverage	BOP/SMP - PROP/CAS	Stamping Fee	$20.00
PA Premium	$900.00	Multi-state Risk	Yes
Policy Premium	$1,800.00	Tax	$54.00
Correctly Received Date	11/05/2024	Revenue Recognition Date	11/18/2024
Personal Lines Service Fee	$1.00	Commercial Lines Service Fee	$0.00

CSV Excel PDF

Trans ID	EN No	Entry Date	Type	Policy No	Eff. Date	Exp. Date	PA Prem.	Policy Prem.	AS	Sent to Acct.	User ID	Doc
4710003		11-05-24	NW	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00	SN	11-05-24	agencyuser	🗎
4710146		11-18-24	RT	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
4710149		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			Jane.Doe@agencyname.com	🗎
4710150		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
4710151	1	11-18-24	EN	POLICYABCD	11-05-24	11-05-25	1,111.11	2,222.22	RS		Jane.Doe@agencyname.com	N/A
4710152	1	11-18-24	EN	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00	RS		Jane.Doe@agencyname.com	N/A
4710156	Can...	11-20-24	CN	POLICYABCD	11-05-24	11-05-25	900.00	1,800.00	RS		Jane.Doe@agencyname.com	N/A

Exit   Create Adjustment

Click on the "**Create Adjustment**" button to create an After Cancel Adjustment.

After Cancel Adjustment

Sign Out

Home Signed in as Jane Doe [Jane.Doe@agencyname.com] on SysTest3. Last successful login was 11/19/2024 10:23 AM Help

Enter After Cancel Adjustment Changes

Endorsement No ①
Effective Date of Change ②

Multistate Risk ③ ○Yes ○No
Revenue Recognition Date ④

Customer ID & Name 0753 - PSLA ThirdGen Test AGENC
Insured Name ⑤ HN SMITH

Policy Number ⑤ OLICYABCD
Binder Number ⑤

Policy Effective Date ⑤ /05/2024
Policy Expiration Date ⑤ /05/2025

Location of Risk — City
State Zip

Philadelphia ⑤
PA 19140 ⑤

Type of Coverage
⑤ Tax Exempt (if checked)

BOP/SMP - PROP/CAS ⑤

BOP/SMP - PROP/CAS ∨
Change in Stamping Fee   0.00

Upload Image of endorsement or supporting documentation
Choose File | No file chosen

ELIGIBLE INSURERS   Add Another Insurer Remove Last Insurer

Eligible Insurer Number 22416 - LLOYD'S, LONDON (UNDERWRITERS AT)

	PA Premium	Policy Premium	Tax
Current	$ ⑥ 900.00	$ ⑥ 1,800.00	$ ⑥ 54.00
Change	$ ⑦	$ ⑦	$ ⑦ 0.00
New	$ ⑧ 900.00	$ ⑧ 1,800.00	$ ⑧ 54.00
New Total from Eligible Insurers	$ ⑨ 900.00	$ ⑨ 1,800.00	$ ⑨ 54.00

Comment This is an optional comment field. ⑩
Optional

Validate Adjustment ⑪
Exit The Adjustment ⑫

#	After Cancel Adjustment
1	**Endorsement Number**: an optional alphanumeric field to help track endorsements.
2	**Effective Date of Change**: a mandatory field that identifies the date when the Adjustment becomes effective. • *Tip!* The Effective Date of Change must be between the Policy Effective Date and the Policy Expiration Date.
3	**Multi-state Risk**: identifies if the policy covers risks in the Commonwealth of Pennsylvania plus one or more other state or territory. • If Multi-state Risk was "No", it may be changed to "Yes" to indicate that a new location outside of the Commonwealth of Pennsylvania was added to the policy. Please review the Change in Policy Premium to ensure it is correct. • If Multi-state Risk is already "Yes", it cannot be changed to "No" on an Adjustment because the change may impact the original tax calculation. The "Revise Filing" function may be used to change the value to "No". • If the original filing was entered prior to 6/25/2011 (EFS Version 3.0), the Multi-state Risk field is blank. It cannot be selected on an Adjustment because the selection may impact the original tax calculation. The "Revise Filing" function may be used to set the value.

#	After Cancel Adjustment
4	**Revenue Recognition Date:** enter the date the additional or return premium will be recognized from a surplus lines premium tax reporting perspective. The premium should be reported on a 1620 Monthly Report and the Revenue Recognition Date should be within that same month.
5	The policy's current information is initially displayed but they may be changed as part of the Adjustment. • Note: if the policy covers multiple locations, the Location of Risk should reflect the address of the location with the most exposure that is in Pennsylvania.
6	**Current**: the policy's current PA Premium, Policy Premium, and Tax are displayed as read-only fields.
7	**Change**: enter a positive number for Additional Premium and a negative number for Returned Premium. Use the "-" key to indicate a negative number (i.e. -5 will reduce the current value by 5). The change in tax is automatically calculated based on the Policy Effective Date and the change in premium (PA Premium if the Policy Effective date is before 7/1/2011 or Policy Premium if the Policy Effective Date is after 6/30/2011).
8	**New**: the Current Value plus the Change for each Eligible Insurer
9	**New Total**: the Current Value plus the Change for all Eligible Insurers.
10	**Comment:** this is an optional text field for comments. Comments entered on the Endorsement or Cancel pages will initially be displayed on the After Cancel Adjustment page. The comment may be deleted, left as-is, modified, or appended.
11	**Validate**: EFS will first validate the changes and then ask you to reconfirm submittal before it saves the data to EFS.
12	**Exit Adjustment:** exit without saving the Adjustment.

An After Cancel Adjustment that was previously submitted may be viewed. Use the "Search" function to find the filing.

Search for Affidavit/Endorsement

Home Signed in as Jane Doe [Jane.Doe@agencyname.com] on SysTest3. Last successful login was 11/19/2024 10:23 AM Help

Enter Search Information

Customer ID	0753	Entry Date Range	11/01/2024 to 11/05/2024
Policy No		Eff. Date Range	to
Binder No.		Exp. Date Range	to
Cust Ref. No.		SL Indiv. Lic. No.	Select the Individual Licensee
Insured Name		Producer Lic. No.	
Tax Status	Select a Tax Status	Type of Coverage	Select the Type of Coverage
PSLA ID		Insured's Operation	Select the Insured's Operation
Multi-state Risk	☐ Multi-state Risk	Unable to Obtain PR	☐ Filings with Missing PR Fee
Resident State	Select a Resident State	Filing Status	Select a Filing Status
Late Filings	☐ Filings with Late Fees	Filing Type	Select a Filing Type
Omissions	☐ Filings with Omissions	Rev. Rec. Date Range	to

Search For Policy   **New Search**

CSV XLSX PDF
Show 10 ∨ entries   Search: [   ]

	Policy No.	PSLA ID	FS	Entry Date	Insured Name	Eff. Date	Exp. Date	PA Premium
○	TEST-NOV4-EN	2504607	CN	11-04-24	TEST EXPORT FILE EN	11-04-24	11-04-25	200.22
○	POLICYABCD	2504608	CN	11-05-24	JOHN SMITH	11-05-24	11-05-25	900.00
○	POLICYXYZ	2504609	EN	11-05-24	JOHN SMITH	11-05-24	11-05-25	1,111.11

Showing 1 to 3 of 3 entries   Previous 1 Next

Revise Filing	History	After CN	Submit Endorsement	Submit Original Filing
Inactivate	Cancel	Reinstate	Renew	View Renewa	Delete DR	Create PR	Export Result

The filing status remains "Cancelled" after submitting the After Cancel Adjustment. Select the filing and click the "**History**" button to display the Policy History.

Current Policy Information

PSLA ID	2504608	Filing Type	1609-SLL/1609-PR
Customer ID & Name	0753 - PSLA ThirdGen Test /	Insured Name	JOHN SMITH
Policy Number	POLICYABCD	Binder Number	
Policy Effective Date	11/05/2024	Policy Expiration Date	11/05/2025
Location of Risk – City	Philadelphia	Location of Risk – State & Zip	PA 19140
Type of Coverage	BOP/SMP - PROP/CAS	Stamping Fee	$20.00
PA Premium	$999.99	Multi-state Risk	Yes
Policy Premium	$1,999.99	Tax	$60.00
Correctly Received Date	11/05/2024	Revenue Recognition Date	11/20/2024
Personal Lines Service Fee	$1.00	Commercial Lines Service Fee	$0.00

CSV Excel PDF

Trans ID	EN No	Entry Date	Type	Policy No	Eff. Date	Exp. Date	PA Prem.	Policy Prem.	AS	Sent to Acct.	User ID	Doc
4710003		11-05-24	NW	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00	SN	11-05-24	agencyuser	📄
4710146		11-18-24	RT	NOV5-PR	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
4710149		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			Jane.Doe@agencyname.com	📄
4710150		11-18-24	CO	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00			PSLAUser	N/A
4710151	1	11-18-24	EN	POLICYABCD	11-05-24	11-05-25	1,111.11	2,222.22	RS		Jane.Doe@agencyname.com	N/A
4710152	1	11-18-24	EN	POLICYABCD	11-05-24	11-05-25	1,000.00	2,000.00	RS		Jane.Doe@agencyname.com	N/A
4710156	Can...	11-20-24	CN	POLICYABCD	11-05-24	11-05-25	900.00	1,800.00	RS		Jane.Doe@agencyname.com	N/A
4710157		11-20-24	AC	POLICYABCD	11-05-24	11-05-25	999.99	1,999.99	RS		Jane.Doe@agencyname.com	N/A

The Trans ID for an After Cancel Adjustment (Type = AC) has a hyperlink. Clicking the hyperlink will call up a read-only display of the After Cancel Adjustment that was submitted.

6.5 Inactivate Policy

The Inactivate Policy function allows an Agency to inactivate a filing that was mistakenly submitted. The policy number of an inactivated policy will be deleted and may be reused on another policy.

- **Note:** a submitted filing cannot be deleted. It can only be inactivated.
- **Note:** the PA Premium, Policy Premium, and Tax will be set to $0 and the information will be included on the PSLA monthly Statement of Account.
- **Warning: the stamping fee is non-refundable and is not returned if a policy is inactivated.**

Inactivate Policy   Sign Out

Home Signed in as Jane Doe [Jane.Doe@agencyname.com] on SysTest3. Last successful login was 11/20/2024 10:23 AM Help

Current Policy Information

PSLA ID	2504609 ①	Filing Type	1609-B
Customer ID & Name	0753 - PSLA ThirdGen Test /	Insured Name	JOHN SMITH
Policy Number	POLICYXYZ	Binder Number	
Policy Effective Date	11/05/2024	Policy Expiration Date	11/05/2025
Location of Risk - City	PHILADELPHIA	Location of Risk - State & Zip	PA 19136
Type of Coverage	Boiler And Machinery - PROP	Stamping Fee	$20.00
PA Premium	$1,111.11	Multi-state Risk	Yes
Policy Premium	$2,222.22	Tax	$66.67
Correctly Received Date	11/05/2024	Revenue Recognition Date	11/18/2024
Personal Lines Service Fee	$0.00	Commercial Lines Service Fee	$111.00

CSV Excel PDF

Trans ID	EN No	Entry Date	Type	Policy No	Eff. Date	Exp. Date	PA Prem.	Policy Prem.	AS	Sent to Acct.	User ID	Doc
4710006		11-05-24	NW	NOV5-B	11-05-24	11-05-25	1,000.00	2,000.00	SN	11-05-24	agencyuser	N/A
4710147		11-18-24	CO	POLICYXYZ	11-05-24	11-05-25	1,000.00	2,000.00			Jane.Doe@agencyname.com	N/A
4710148	1	11-18-24	EN	POLICYXYZ	11-05-24	11-05-25	1,111.11	2,222.22	RS		Jane.Doe@agencyname.com	N/A

Reference No.   ②   Policy Effective Date   ③
Revenue Recognition Date 11/18/2024 ④
⑤ Don't Inactivate Policy   ⑥ Validate Inactivate Policy

#	Inactivate Policy
1	These fields are read-only and are the selected policy's current values.
2	**Reference No:** an optional alphanumeric field of up to 30 characters.
3	**Policy Effective Date**: the Policy Effective Date is the effective date of change for the inactivation.
4	**Revenue Recognition Date:** inactivating a policy sets the premium to $0. Enter the date the change in premium will be recognized from a tax reporting perspective. Typically the date used is the Policy Effective Date.
5	**Don't Inactivate Policy**: exit the page without inactivating the policy.
6	**Validate Inactivate Policy**: check data prior to inactivating the policy.

The Inactivate page can be viewed at a later date. Use the "Search" function to find the filing, select the filing, click on "View History", and then click on the Trans ID for the inactivation.

Inactive Information

Reference No.	
	Policy Effective Date 11/05/2024
Revenue Recognition Date 11/05/2024	

Close Window

6.6 Reinstate Policy

A cancelled or inactivated policy cannot be revised and an endorsement cannot be added to it. The Reinstate Policy function allows an Agency to change the state of a filing from "Cancelled" to "Reinstated" and from "Inactivated" to "Reinstated". Reinstated policies may be revised and endorsements may be submitted. Use the Search Display with Filing Status set to "Cancelled" or

"Inactivated" to find the policy to be reinstated and then click the "Reinstate" button to display the Current Policy Information.

- Note: submit an Endorsement after the filing is reinstated if any additional information is changed with the reinstatement.

After the "Create Reinstatement" button is clicked, the Reinstate Filing page is displayed.

#	Reinstate Policy
1	**Reference No:** an optional alphanumeric field of up to 30 characters.
2	**Reinstatement Date**: the effective date of change for the reinstatement.
3	**Revenue Recognition Date:** Enter the date the change in premium will be recognized

	from a 1620 reporting perspective. .
4	**Reinstatement PA Premium**: the amount of PA Premium reinstated. The default is to add back the premium that was returned in the Cancel transaction but the default may be revised. Enter a positive number to add back PA Premium.
5	**Reinstatement Policy Premium**: the amount of Policy Premium reinstated. The default is to add back the premium that was returned in the Cancel transaction. If this is a single state policy than the Reinstatement PA Premium will automatically be displayed in the Reinstatement Policy Premium field and the field is read-only. If this is a multi-state policy than the default may be revised. Enter a positive number to add back Policy Premium.
6	**Reinstatement Premium Tax**: a read-only field that calculates the amount of tax to be added back based on the Reinstatement Policy Premium
7	**Comment:** an optional text field for comments. Comments entered on the Endorsement page will initially be displayed on the Cancel page. The comment may be deleted, left as-is, modified, or appended.

The Reinstatement page can be viewed at a later date. Use the "Search" function to find the filing, select the filing, click on "View History", and then click on the Trans ID for the reinstatement.
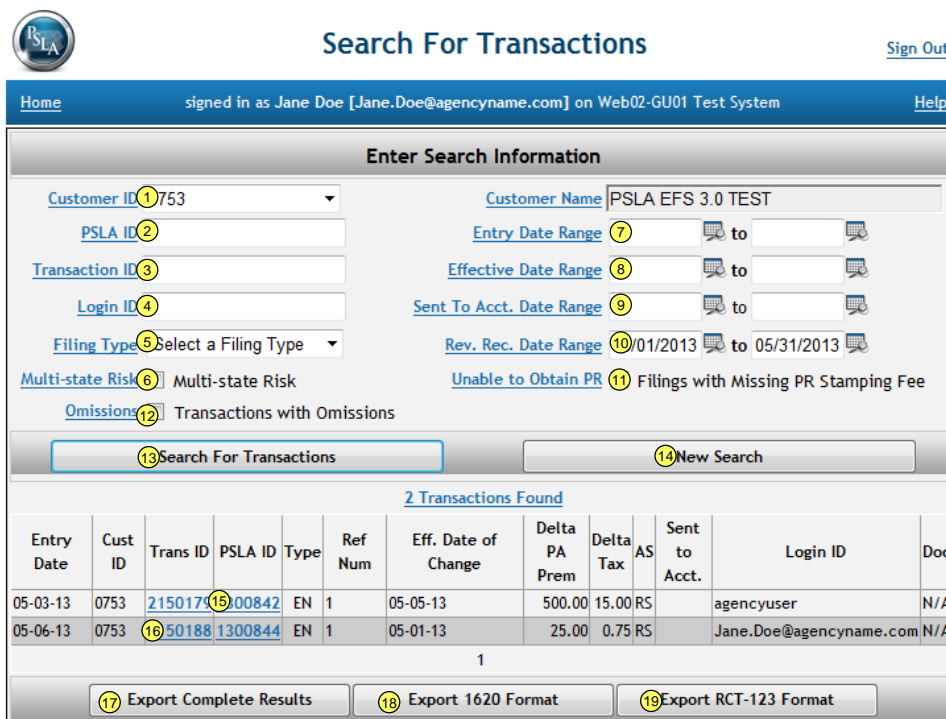

6.7 Search for Transaction

The Search for Transaction display searches for individual transactions that match the search criteria. It is similar to the Search Filing page except the Search Filing page returns complete filings that match the search criteria.

The results of the Search for Transactions may be used as input for a 1620 Monthly Report or an RCT-123 Annual Tax Report. Example:

- A new filing is entered in EFS on 5/6/2013 with a Policy Effective Date of 4/1/2013 and a Revenue Recognition Date of 4/1/2013. The PA Premium is $100.
- An endorsement is entered later on 5/6/2013 with an Endorsement Effective Date of Change of 5/1/2013 and a Revenue Recognition Date of 5/1/2013. The change in PA Premium is an additional $25.
- Using Search Filing with a Revenue Recognition date range of 4/1/2013 to 4/30/2013 will find the filing. Clicking on Policy History will show the new transaction was entered on 5/6/2013 and the endorsement was entered on 5/6/2013.

- Using Search Filing with a Revenue Recognition date range of 5/1/2013 to 5/30/2013 will not find the filing.
- Using Search for Transaction with a Revenue Recognition date range from 4/1/2013 to 4/30/2013 will find the new transaction but not the endorsement. Exporting the results to Excel will show the $100 premium for the new filing. Assuming all premium related activity is entered into EFS with the appropriate Revenue Recognition Date, the results may be used as the data for the April 2013 1620 Monthly Report.
- Using Search for Transaction with a Revenue Recognition date range of 5/1/2013 to 5/31/2013 will find the endorsement but not the original new transaction. Exporting the results to Excel will show the $25 additional premium for the endorsement. Assuming all premium related activity is entered into EFS with the appropriate Revenue Recognition Date, the results may be used as the data for the May 2013 1620 Monthly Report.

#	Search for Transactions
all	If a field or search criteria is blank, the search function will ignore the search criteria. Each search criteria is optional. • **Note**! The search function always restricts its search based on the Customer IDs assigned to the user. • **Tip**! The time to display search results is dependent on the breadth of the search. A search that has narrow search criteria (e.g. only a few results) will display results faster than a broad search.
1	**Customer ID**: if a user is assigned a single Customer ID then the Customer ID is automatically populated. If a user is assigned multiple Customer IDs then a drop-down list of assigned IDs is provided. If blank, the search function restricts its search based on the Customer IDs assigned to the user.
2	**PSLA ID**: this is the unique identifier in EFS assigned to each filing. It is typically used to find a filing to submit a Revision or Endorsement.

#	Search for Transactions
3	**Transaction ID:** this is the unique identifier in EFS assigned to each transaction. It is displayed on the Policy History page.
4	**Login ID:** The Login ID is a unique identifier for a user within the Electronic Filing System. Typically a user's email address is used as the Login ID since it is unique but any unique text may be used as the Login ID.
5	**Filing Type:** the type of filing (1609-SLL/1609-PR, 1609-B, 1610-A, 1610-B, 1604-E, or 1609-X)
6	**Multi-state Risk:** find transactions with Multi-state Risks.
7	**Entry Date Range:** the date the transaction was entered into EFS
8	**Effective Date Range:** the policy effective date range for a new filing and the effective date of change for an endorsement, cancellations or inactivation.
9	**Sent To Acct. Date Range:** the date the transaction data was exported to PSLA's accounting system.
10	**Revenue Recognition Date Range:** the date the premium is recognized from a tax reporting perspective.
11	**Unable to Obtain PR:** find transactions with a Missing PR Stamping Fee.
12	**Omissions:** filings that have the Omissions box checked and the late fee waived. These filings are made available to the Pennsylvania Insurance Department.
13	**Search for Transaction:** click this button to search based on the completed search criteria.
14	**New Search:** click this button to clear the search criteria and start a new search.
15	**PSLA ID Hyperlink:** click the PSLA ID to call up the Policy History page for the filing.
16	**Trans ID Hyperlink:** click the Trans ID to call up the View Endorsement, View Cancellation, or View Inactivation page
17	**Export Complete Results:** export the search results to an Excel file. This contains many fields for each transaction.
18	**Export 1620 Format:** export the search results to an Excel file that includes those fields needed for a 1620 Monthly Report. • **Note!** The Customer Reference Number, Reference Number, and Revenue Recognition Date columns are provided for the agency's benefit. Those columns are not required on the 1620 Report.
19	**Export RCT-123 Format:** export the search results to an Excel file that includes those fields needed for an RCT-123 Annual Tax Report. • **Note!** The Customer Reference Number and Revenue Recognition Date columns are provided for the agency's benefit. Those columns are not required on the RCT-123 Report.

6.8 Renew Filing

The Renew Filing function allows an agency to create a new filing based on data from a selected filing. Data on the new filing may be edited before validating and submitting the new filing.

Use the Search Display to find the policy that needs to be renewed and select it.

Click on the **Renew** button to create a new filing based on data from the selected filing.

Submit a Renewal for an Existing Filing   Sign Out

Home   Signed in as Jane Doe [Jane.Doe@agencyname.com] on SysTest3. Last successful login was 11/20/2024 3:53 PM   Help

Enter Updated Filing Information

Correctly Received Date | 11/20/2024

Pennsylvania Surplus Lines Association
180 Sheree Blvd., Suite 3100
Exton, PA 19341

Customer ID | 0753 | PSLA ThirdGen Test AGENCY
Policy Number | POLICYABCD
Binder Number |
Customer Reference Number |

Type of Filing (please select one):
1609-SLL/1609-PR | must be used where other filing types do not apply

REPORT OF TRANSACTION WITH UNLICENSED INSURER(S) IN ACCORDANCE WITH SECTIONS 1604, 1606, 1608 AND 1609 OF ARTICLE XVI. SURPLUS LINES. OF THE INSURANCE COMPANY LAW, ACT OF MAY 17, 1921, P.L. 682, NO. 284, AS AMENDED

DECLARATION BY SURPLUS LINES LICENSEE

Insured Name | JOHN SMITH

Location of Risk Zip | Location of Risk City | State
19140 | Philadelphia | PA

Type of Coverage | Description of Insured's Operation
BOP/SMP - PROP/CAS | Camps/Camp Grounds
BOP/SMP - PROP/CAS | Camps/Camp Grounds

Effective Dates (term) of Coverage
Effective Date(mm/dd/yyyy) | Expiration Date(mm/dd/yyyy)
11/05/2025 | 11/05/2026

A new filing appears with data copied from the selected filing with the following exceptions:

- The **Policy Effective Date** of the new filing is set to the Policy Expiration Date of the selected filing.
- The **Policy Expiration Date** of the new filing is set to one calendar year after the Policy Effective Date of the new filing.
- The **PA Premium** and **Policy Premium** fields are left blank because premium frequently changes on a renewal.
- The **Revenue Recognition Date** is left blank because it should be set based on the agency's surplus lines premium tax process.
- The **1609-PR image file** is left blank on a 1609-SLL/1609-PR filing because a new 1609-PR image must be uploaded with each new filing.

All of the fields may be edited and the description and validation rules for each field are described in the Submit Original Filing section.

- EFS will check for errors after the "**Validate The Policy**" button is clicked.
- Reminder! Don't forget to click the "**Submit Filing**" button to submit the filing to EFS.

The View Renewal function displays the renewal history for a selected filing if it was renewed using the EFS "Renew Filing" function. Go to the Search Display to find a renewed filing, select it, and click the **View Renewal** button to display the renewal history for the selected filing.

Affidavit Renewal History

CSV | XLSX | PDF
Show 10 ∨ entries   Search: [   ]

Policy No.	Filing Type	PSLA ID	Type of Coverage	Insured Name	Eff. Date	Exp. Date
POLICYABCD	1609-SLL/1609-PR	2504608	BOP/SMP - PROP/CAS	JOHN SMITH	11-05-24	11-05-25
POLICYABCD	1609-SLL/1609-PR	2504735	BOP/SMP - PROP/CAS	JOHN SMITH	11-05-25	11-05-26

Showing 1 to 2 of 2 entries   Previous 1 Next

The renewal history displays the original selected filing and the renewed filing. Clicking on the PSLA ID hyperlink will display the Policy History for the filing.

If a policy is renewed for multiple successive years using the EFS Renew Filing function, selecting any one of the filings and clicking "View Renewal" will display all of the filings in the renewal history.

7   1620 MONTHLY REPORT

As required by Section 1620 of the Pennsylvania Surplus Lines Law, within thirty (30) days following the end of each month, each Surplus Lines Licensee (by Agency Customer ID) shall file with PSLA, on Form 1620, a signed verified report of all Pennsylvania surplus lines insurance premium activity with a revenue recognition date during the said month. The total "Taxable Premium" amount reported on the 1620 Monthly Reports during a year should match the "Gross Premium Taxable" amount reported on the annual Gross Premium Tax form for the same year ("Gross Premium Taxable" is defined as Gross Premium less Returned Premium less Tax Exempt Premium).

The 1620 Monthly Report must describe all premium related activity (including audit endorsements) and contain the following information.

- Insured Name
- Location of Risk
- Policy Number
- Revenue Recognition Date
- Effective Date (policy effective date for new/renewal/rewrite activity and effective date of change for additional/return premium activity)
- Expiration Date
- Kind of Insurance (also known as Type of Coverage)
- Non-taxable Premium
- Taxable Premium
- Total Tax
- Commercial Lines Service Fee
- Personal Lines Service Fee

Individual Surplus Lines Licensees part of the same agency, who share the same PSLA Customer ID number must consolidate their business activity on the same report. For example, if three separate Individual Pennsylvania Surplus Lines Licensees are all licensed under the "Ajax Insurance Agency" (with a Customer ID of 5555), they should submit one 1620 Monthly Report each month.

PSLA requires a 1620 Monthly Report every month from each Customer ID number, resident and non-resident, to coincide with filings, endorsements and audits that were entered in EFS for said month. If there was no premium activity in a given month PSLA still recommends a report be submitted with $0 entered for Premium and Tax. This ensures that you have accurate records to reconcile with the annual tax filing (RCT-123.

Should you find an adjustment is required to a 1620 Monthly Report which you already submitted to the Electronic Filing System, please create and submit a "revised" report for that reporting month. The revised report will completely replace the original report.

*Agencies with other branch offices must have a separate Cust ID number for each branch and must file separate 1620 Monthly Reports to track with the filings recorded for said branch office.

7.1 Submit 1620 Monthly Report

The following steps are part of the 1620 Monthly Report electronic process.

- An Agency User submits a 1620 Monthly Report that includes an uploaded report image. After the report is submitted, the status is "**Report Review Pending**".

- PSLA reviews the uploaded report image to confirm it is legible and matches the information submitted.
  - If the image is legible and matches the submitted information, PSLA approves the report and the report status changes to "**Submitted/Approved**".
  - If the image is either not legible or does not match the submitted information, PSLA returns the report, an email describing the return reasons is sent to the 1620 contact and the Business contact, and the report status changes to "**Report Returned**".

- The header on the home page informs Agency Users if there are returned reports. An Agency User should revise the Report and upload a corrected image. After the revision is submitted, the report status is changed back to "**Report Review Pending**".

Below are the steps to submit a 1620 Monthly Report.

#	Submit 1620 Monthly Report
1	**Report Type**: a read-only field. It will display "Original" if this is the original report and "Revised" if this is a revised report.
2	**Entry Date:** a read-only field displaying the date the report was entered.

3	**Customer ID**: enter the Customer ID.
4	**Month**: select the reporting month
5	**Year**: the reporting year.
6	**Non-taxable Premium**: the total premium for the month that was tax-exempt.
7	**Taxable Premium**: the total premium for the month that was taxable.
8	**Total Tax:** the total tax for the month.
9	**Commercial Lines Service Fee**: the total commercial line service fees for the month.
10	**Personal Lines Service Fee:** the total personal lines service fees for the month.
11	**Browse:** search and attach the scanned image of the 1620 Report to the form. PDF file format is preferred but JPG and underlined uncompressed TIF file formats are also supported. • **Warning - Compressed TIF format is not supported!**
12	**Surplus Lines Individual Licensee:** select the individual surplus lines licensee that signed the 1620 Report.
13	**Surplus Lines Agency Name:** the name will automatically populate based on the Customer ID

7.2 Search for 1620 Monthly Report

#	Search for 1620 Monthly Report
all	If a field or search criteria is blank, the search function will ignore the search criteria. Each search criteria is optional. • **Note**! The search function always restricts its search based on the Customer IDs assigned to the user. • **Tip**! The time to display search results is dependent on the breadth of the search. A search that has narrow search criteria (e.g. only a few results) will display results faster than a broad search.
1	**Customer ID**: select your customer ID if you have multiple customer IDs.
2	**Report Year:** select the report year if you are searching for a specific year.
3	**Report ID:** select the specific report ID
4	**Report Month:** select the reporting month
5	**Report Status:** select the status • Submitted/Approved

	• Report Review Pending	
	• Report Returned	
6	**Search for Report:** click button to search	

#	Search Results
7	Select a report.
8	Display the uploaded report image.
9	**Revise Report:** display the selected report and allow you to revise it. **A revised report replaces the current report**.
10	**View Report**: display the selected report.
11	**New Report:** call up a page to create and submit a new report. Each month may only have a single report.
12	**Export Results:** export search results to an Excel file format where data for each report is a row.

7.3 1620 Report Returned

1620 Report Returned Notification

If a submitted filing is returned, an email is sent to the 1620 contact and a message in red background is displayed on the Home page for all users assigned to the Customer ID on the returned filing.

1620 Reports Returned

Click on the "**Fix A Returned 1620 Report**" link to display the list of returned reports (note: the user must have "1620" permission in the User Profile to enable the link.

1620 Report Returned Email

Select the report to correct and click on the **Revise Report** button.

Enter Revised 1620 Report Information	
This report is in Filing Return. Click here to view the return email	

Report Type Revised
Orig. Entry Date 03/16/2017

Customer ID 0753 - PSLA ThirdGen Test AGENCY
Month January (01)
Year 2017

Non Taxable Premium	1.00
Taxable Premium	2.00
Total Tax	3.00
Commercial Lines Service Fee	4,000.00
Personal Lines Service Fee	500.00
Image Uploaded	Browse... No file selected.
Surplus Lines Individual Licensee		
Surplus Lines Agency Name	PSLA ThirdGen Test AGENCY

Validate Report	Exit

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The top of the page has a link to display a copy of the returned email that describes the reasons for the return.

8   GPT/RCT-123 ANNUAL TAX REPORT

The surplus lines tax levied by the Commonwealth of Pennsylvania is three percent (3%) of taxable gross premiums charged less any return premium for insurance placed with either an eligible surplus lines insurer or other non-admitted insurer for the calendar year. **A Gross Premium Tax Report (RCT-123) with your tax payment must be filed with the Pennsylvania Department of Revenue on or before January 31 of each year for the completed preceding calendar year whether or not any surplus lines business was produced in the preceding calendar year.**

IMPORTANT NOTE; A signed copy of all three pages of the RCT-123 tax report and the 1620 Monthly Reports must be filed electronically in the PSLA Electronic Filing System.

Per Surplus Lines Law Section 1621(c), "A surplus lines licensee that is a business entity licensee which files the annual premium tax return with the department of revenue shall include in its return the premium taxes generated during the year subject to reporting by all licensees associated with said business entity during reporting periods." For example, if three separate Individual Pennsylvania Surplus Lines Licensees are all associated with the "Ajax Insurance Agency" (with a Customer ID of 5555) the agency should submit one Gross Premium Tax Report and include premium taxes generated by the individuals.

Please note: the process for completion of the Gross Premium Tax Report (RCT-123) as well as the process for remittance and/or return of premium tax funds are controlled exclusively by the Pennsylvania Department of Revenue. PSLA cannot assist with or answer any questions regarding the tax remittance process. These types of questions should be directed to the Pennsylvania Department of Revenue (www.revenue.state.pa.us).

8.1 Submit GPT/RCT-123 Annual Tax Report

The following steps are part of the RCT-123 Annual Tax Report electronic filing process.

- An Agency User submits a copy of the RCT-123 Annual Tax Report to PSLA that includes an uploaded report image. After the report is submitted, the status is "**Report Review Pending**".
- PSLA reviews the uploaded report image to confirm it is legible and matches the information submitted.
  - If the image is legible and matches the submitted information, PSLA approves the report and the report status changes to "**Submitted/Approved**".
  - If the image is either not legible or does not match the submitted information, PSLA returns the report, an email describing the return reasons is sent to the RCT contact and the Business contact, and the report status changes to "**Report Returned**".
- The header on the home page informs Agency Users if there are returned reports. An Agency User should revise the Report and upload a corrected image. After the revision is submitted, the report status is changed back to "**Report Review Pending**".

Below are the steps to submit a copy of the RCT-123 Annual Tax Report to PSLA.

#	Submit RCT-123 Annual Tax Form
1	**Report Type**: a read-only field. It will display "Original" if this is the original report and "Revised" if this is a revised report.
2	**Entry Date**: a read-only field displaying the date the report was submitted.
3	**Customer ID**: enter the customer ID.
4	**Year**: the reporting year.
5	**Total of Gross Premium**: the total premium for the year (includes taxable, tax-exempt, and returned premium).
6	**Total of Returned Premium**: the total returned premium for the year.
7	**Tax-exempt Premium**: the total tax-exempt premium for the year.
8	**Gross Premium Taxable**: Total Gross Premium less Total Returned Premium less Tax-

	exempt Premium.
9	**Tax**: total tax paid for the year.
10	**Browse:** search and attach the scanned image of the RCT report to the form. Supported formats include the following. Contact PSLA if there are questions. • TIF • JPG • PDF

8.2 Search for GPT/RCT-123 Annual Report

#	Search for GPT/RCT-123 Annual Report
all	If a field or search criteria is blank, the search function will ignore the search criteria. Each search criteria is optional. • **Note**! The search function always restricts its search based on the Customer IDs assigned to the user. • **Tip**! The time to display search results is dependent on the breadth of the search. A search that has narrow search criteria (e.g. only a few results) will display results faster than a broad search.
1	**Customer ID**: select your customer ID if you have multiple customer IDs.
2	**Report Year:** select the report year if you are searching for a specific year.
3	**Report Status:** select the status • Submitted/Approved • Report Review Pending • Report Returned

#	Search Results
4	Select a record.
5	Click on the paper icon to display the uploaded report image. • Starting with the 2012 RCT-123 Report, only the Login ID that submitted the RCT-123 may view the RCT image. In addition, the Login ID must have "RCT-123 Image" permission set to **On**. • The "lock" icon in the bottom-right corner of the image indicates that the logged in user does not have permission to view the RCT-123 image. • For tax reports for 2011 and prior, Login IDs that have permission to view RCT-123 data also have permission to view RCT-123 images.
6	**New Report:** display a blank report.
7	**Revise Report:** display the selected record and allow you to revise data on it. **The revised report will overwrite the original report**.
8	**View Report**: display the selected record.
9	**Save Results:** convert search results to an Excel file format.

8.3 RCT-123 Report Returned

RCT-123 Report Returned Notification

If a submitted filing is returned, an email is sent to the RCT-123 contact and a message in red background is displayed on the Home page for all users assigned to the Customer ID on the returned filing.

Electronic Filing System

Home   signed in as Jane Doe [Jane.Doe@agencyname.com] on Web02-GU01 Test System   Help

You have [1] Filing Returned, [1] 1620 Report Returned, [1] RCT-123 Report Returned

My Filings	My 1620s
Submit An Original Filing	Submit A 1620 Report
Complete A Draft Filing [2]	Search or View A 1620 Report
Search or View A Filing	Revise A 1620 Report
Search for Transactions	Fix A Returned 1620 Report[1]
Fix A Returned Filing [1]	

My RCT-123s	Administration
New RCT-123 Report	Edit My Profile
Search or View RCT-123 Report	View/Edit an Existing User...
Revise RCT-123 Report	Create New User...
Fix A Returned RCT-123 Report [1]	Edit Customer Information
	View Statement of Account

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RCT-123 Reports Returned

Click on the "**Fix A Returned RCT-123 Report**" link to display the list of returned reports (note: the user must have "RCT" permission in the User Profile to enable the link.

RCT-123 Returned Email

Select the report to correct and click on the **Revise Report** button.

The top of the page has a link to display a copy of the returned email that describes the reasons for the return.

9 USER PROFILE, CUSTOMER EDIT, AND STATEMENT OF ACCOUNT

User Profile Overview

The User Profile defines Login ID information (roles), Customer Assignments, and Permissions. The combination of the three provides the foundation for data security. The objective for data security is to ensure data is only available to those authorized to view and change it.

The Role identifies who can create and manage Login IDs. Roles include:
- PSLA Administrator
  - Create and manage PSLA User Login IDs
- PSLA User
  - Create and manage Agency Administrator IDs
  - Assign Customer IDs to each Agency Administrator
  - Review 1609-SLL/1609-PR filings
  - Review 1620 Monthly Reports
  - Review RCT-123 Annual Tax Reports
- Agency Administrator (created by a PSLA based on the "Responsibility for E-filing Authority" signed by the licensee)
  - Create and manage Agency Login IDs
  - Assign Customer IDs and Permissions to each Agency User
- Agency User (created by the Agency Administrator)
  - Read/write data based on the assigned Customer IDs and Permissions

The Customer Assignment section identifies the assigned Customer IDs. A user can only view or edit information from a Customer ID that is on the assigned list.

Within the assigned Customer IDs, permissions determine the categories of information a user may view or change. Permission types include "none", "read-only", and "read/write". Permission categories include:
- New Affidavit Filings and Endorsements
- Correcting errors on Returned Filings
- XML Import
- 1620 Reports
- GPT/RCT-123 Reports

The combination of Role, Customer Assignment, and Permissions provide data security.
- "Role" defines who has access to the Electronic Filing System.
- "Customer Assignment" defines the Customer IDs assigned to the user.
- Permissions define the information within the assigned Customer IDs available.

Login and Customer Assignment

Below are images of a User Profile for an Agency User and a description of each field. It contains three sections – Login and contact information (Role), Customer Assignment, and Permissions.

#	Create New User – Login and Contact Information
1	**Role**: An Agency User is the only role an Agency Administrator can select so it appears as the default selection.
2	**Account Status:** The status is either "Active", "Disabled", or "New". Accounts with a status of "Inactive" cannot log into EFS. If an Agency User account is "Disabled" the Agency Administrator may enable it by calling up the User Profile page and clicking the Enable button.
3	**Password Expires:** The date the Login Password expires. The user will be prompted to change the password if the user logs in after the expiration date.
4	**Login ID**: The Login ID is a unique identifier for a user within the Electronic Filing System. Typically a user's email address is used as the Login ID since it is unique but any unique text may be used as the Login ID. The Login ID must be less than 64 characters and not include special characters such as "space", "*", "%", "!", "/", and "\".
5	**Email Address:** Enter the user's email address.
6	**Telephone:** PSLA personnel will use either email or telephone to contact a user.
7	**Name:** first, middle initial, and last name
8	**Security Question:** This is an optional field where the user can enter a personalized security question. An Administrator may ask a remote user the Security Question to help identify the user. **Security Answer:** This is an optional field where the user can enter the answer to the security question.

#	Create New User – Login and Contact Information
9	**Available Customers:** the list of Customer IDs assigned to the Agency Administrator by PSLA according to "Responsibility for E-filing Authority". Typically each Customer ID will have its own Agency Administrator so there will only be one item on the "Available Customers" list. Some agencies, however, have multiple Customer IDs and may authorize a single person to administrate multiple Customer IDs.
10	**Assigned Customers:** the list of Customer IDs assigned to the Agency User. The Agency User will only be able to access data from Customer IDs on this list.
11	**Assign:** select a Customer ID from the list of Available Customers and click this button to assign it to the user.
12	**Remove:** select a Customer ID from the list of Assigned Customer and click this button to remove it.

Permissions

#	User Profile – Permissions
all	**Permissions**: within the assigned Customer IDs, permissions define the information that is available to the user. There are three types of permissions. • None: cannot access the data • Read: can view data but cannot change data • R/W: can read and write data
13	**Affidavit**: includes the following functions • Submit Original Filing • View or Revise Filing • Submit Endorsement • Cancel, Reinstate, and Inactivate a Policy • Search for Filing
14	**Filing Return**: enables the "Fix Filing Return Error" link that displays the list of returned filings and enables a user to view/revise a filing in the "Filing Return Sent" status. • *Tip!* A user with Filing Return permission must also have Affidavit Read permission to enable the View and Search links.
15	**XML Import:** determines who can submit an XML file for import into EFS.

#	User Profile – Permissions
16	**1620 Report**: determines who can submit monthly 1620 reports.
17	**RCT-123 Report**: determines who can submit annual GPT/RCT-123 reports.
18	**RCT-123 Image:** determines if the person who originally uploaded the RCT-123 image can view it if the tax year is 2012 or later.
19	**Customer Edit:** determines who can view or edit customer contact information.
20	**View Statement of Account:** determines who can view Statement of Accounts and Payment History.
21	**Agency Report:** determines who can view the Agency Report. The Agency Report lists all individual surplus lines licensees that are affiliated with an agency surplus lines license. The Agency Report may include individual licensees from multiple Customer IDs.
22	**Save**: this saves the new user profile. EFS will email the password to the new user.
23	**Change Password:** The Agency Administrator may change the password of an existing Agency User.
24	**Exit:** leave the page without saving the new user profile.

9.1 New Agency User Login

#	Login
1	**Login ID**: enter the Login ID supplied by email.
2	**Password**: enter the temporary password supplied by email. Passwords are case-sensitive (e.g., a lower case "a" is different than an upper case "A").
3	**Click Here to Reset Your Password:** EFS will send a temporary password to the email address listed in your User Profile.
4	**EFS Message Box:** messages to EFS Users.
5	**Accept or Decline: t**he user must accept the End User License Agreement to log into PSLA's Electronic Filing System. After the Agreement is accepted, the user will be prompted to change the system-generated password.
6	**Current Password**: enter the Current Password (the one supplied in the email). • *Tip!* Passwords are case sensitive (i.e., a lower case "a" is different than an upper case "A").
7	**New Password**: enter a new password that complies with the password criteria described in the New User Email or the Password Reset Email. • *Tip!* The new password cannot be the same as the old password.
8	**Re-enter new password**: confirm and then click the "Change Password" button. The home page will appear.

9.2 Login Security

Automatically Disable Login Account after Five Unsuccessful Attempts

EFS will automatically disable a Login ID if an incorrect password was entered on five continuous attempts.
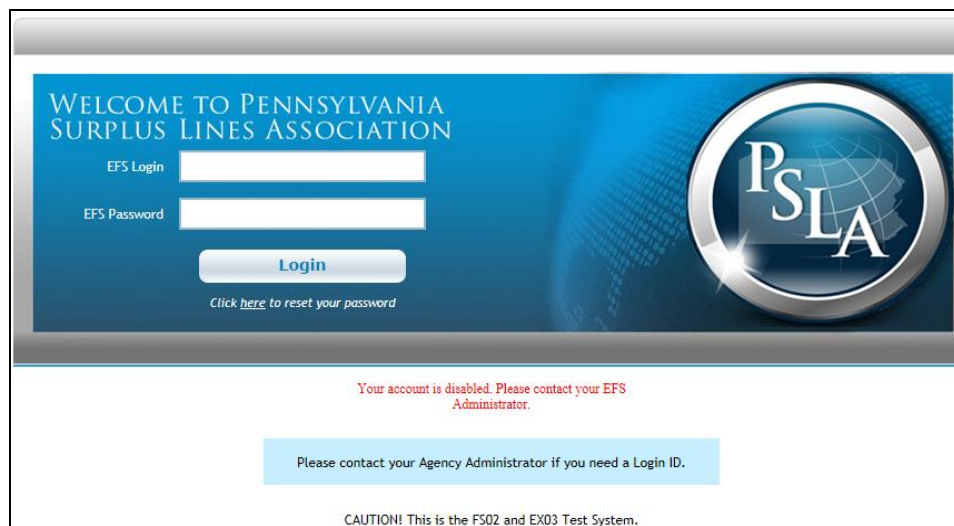
Manually Enable or Disable a Login Account

If a Login Account is disabled, the Agency Administrator may re-enable the account by calling up the User Profile page for the account.   Below is the login page for a disabled account.

The Login Account Status is displayed at the top of the User Profile page (**Active** or **Disabled**).

The Agency Administrator may manually **Enable** or **Disable** account by clicking the button at the bottom of the page.

The Agency Administrator may also manually change the password for the Login ID.

Automated Prompt to Change Password

EFS will automatically prompt users to change their password every 365 days. If a user has not changed their password within 365 days, the system will allow the user to login with the old password and immediately prompt the user to change the password. The password expiration date is displayed in the User Profile page.

9.3 Customer Contact Information

An agency may designate a single person to be the contact to PSLA for all communication or it may designate up to six different people based on the following categories.

- Business Administration (BA) contact (this is the primary contact person for the agency)
- Surplus Lines Filing Return (FR) contact
- 1620 Monthly Report (MR) contact
- GPT/RCT-123 annual tax report (TR) contact
- Monthly Statement of Account (BL) contact
- General mailing (ML) contact for bulletins, updates, notice of change…
- Monthly Statement of Account (BL2) optional 2nd contact

- General mailing (ML2) optional 2nd contact

The Customer Information page enables agencies to modify their own contact information with the exception of the Business (BA) Contact. Only PSLA may edit information for the BA Contact since it is typically the Surplus Lines Licensee associated with the Customer ID. Please contact EFSHelp@pasla.org if you need to change the contact information for the Surplus Lines Licensee.

9.4 View Statement of Account

The View Statement of Account displays a list of monthly statements if you have permission to view them. The default view will list all statements and payments for Customer IDs assigned to you in descending order (the most recent statement first). The view may be modified by changing the search criteria.

#	View Statement of Account
1	**Customer**: if you are assigned to multiple Customer IDs, you may select a specific Customer ID with this drop-down list.
2	**Month**: select month if you wish to find a Statement of Account for a specific month.
3	**Year**: select year if you wish to find a Statement of Account for a specific month.

#	View Statement of Account
4	**Cust ID:** the Customer ID for the Statement of Account or Payment.
5	**Payment:** the amount of payment received.
6	**SOA Mo/Year:** the month and year for the Statement of Account
7	**SOA Balance:** the balance due for the Statement of Account.
8	**Date:** the date a payment was received or the date a Statement was generated.
9	**Last Viewed:** the date a Statement of Account was last viewed by an Agency User.
10	**Last Viewed By:** the Login ID of the Agency User who last viewed the Statement of Account.
11	**Document:** icons for Statement of Account in PDF format and data-only .CSV file. Click on an icon to view/save the file.

10 APPENDIX

10.1 Producer Declaration/Affidavit (1609-PR)

Within 30 days after the Surplus Lines Licensee has placed insurance with an Eligible Surplus Lines Insurer, the **Producer, who represents the insured, must execute and forward to the Surplus Lines Licensee** a declaration/affidavit declaring that:

A diligent effort was made to procure the desired coverage from the appropriate admitted insurers, (review Section 124.5 of the Pennsylvania Surplus Lines Regulation) and the insured was expressly **advised in writing prior to placement of the insurance that**:

> ***"The insurer with whom this insurance is to be placed is not admitted to transact business in this Commonwealth and is subject to limited regulation by the department; and in the event of insolvency of the insurer, losses will not be paid by the Pennsylvania Property and Casualty Insurance Guaranty Association."***

The Producer must send a completed, signed and dated 1609-PR to the Surplus Lines Licensee within 30 days. The Producer should maintain a copy of the completed affidavit for their records. The **Surplus Lines Licensee must upload a legible image of the signed 1609-PR to the Electronic Filing System** when submitting a 1609-SLL filing.

The **Surplus Lines Licensee must validate all information on the 1609-PR image matches the information entered in EFS on the 1609-SLL filing form.**

10.2 Additional Comments on Affidavits

Here are important considerations all Surplus Lines Licensees should keep in mind when providing the required information on an Affidavit:

1. The Agency name, Agency License number, Individual Licensee name, Individual Licensee License number and original signature of Licensee are required for all Affidavits.
   - By signing the application for Electronic Filing, a Licensee acknowledges that submitting a filing on EFS is the electronic equivalent of an original signature.
   - **Tip!** - Surplus Lines License numbers are required on the SLL Affidavit (regardless of filing type) and Producer License numbers are required on the 1609-PR Affidavit.

2. By submitting any of the Affidavits, the Surplus Lines Licensee is declaring (among other things) that, under the penalties provided for perjury, "all applicable provisions of Article XVI, the Surplus Lines Law, of the Insurance Company Law (40 P.S. §991.1601 et seq.) and Title 31 Pa. Code, Chapter 124 have been or will be complied with." As stated earlier within this manual, the responsibility to meet the terms and conditions set forth within the Pennsylvania Surplus Lines Law rests with the Surplus Lines Licensee alone.

3. Based on specific criteria pertaining to the coverage procured by the Surplus Lines Licensee, there may be additional information and/or supplemental forms required for each placement. Review the "Additional Filing Attachments and Forms" section of this manual to make sure each filing submitted to PSLA is done accurately and completely as required. Failure to do so can result in the return of the full filing to the Licensee for correction. (See the "Filing Return Guidelines" section of this manual for more information.)

4. With respect to filing type "1609-SLL/1609-PR", Surplus Lines Licensees (called Wholesalers) who accept business from other Producers (called Retailers) must collect the appropriate Producer Affidavit (1609-PR) within 30 days of the effective date. Surplus Lines Licensees are reminded that when the Producer Affidavit has not been received in time for the 45-day filing requirement (to PSLA), the Surplus Lines Licensee must indicate the Name and Address of the Producer in question, rather than allow the filing to be late. See the section on [submitting a 1609-SLL filing but unable to obtain 1609-PR image](#).

5. Should an element of the placement (e.g. premium, limit, carrier, etc.) change after the filing is submitted to PSLA the Licensee should revise the filing via EFS. See the section on [Revise Filing](#).

10.3 Special Filing Circumstances

Multi-year Placements

The premium reported on an annual filing must be for the full coverage period being reported regardless of the collection arrangement (e.g. monthly or quarterly installments). In the case of placements covering two or more years that are not prepaid, PSLA uses the process below to maintain reporting integrity.

If you are submitting a placement with a coverage period of two or more years paid in annual installments (e.g. a three year policy with annual premium installments) you should:

- Submit the appropriate Affidavit(s) or reporting form reporting the full coverage period (3 years) and the first year's premium amount into EFS.
- Submit an endorsement to PSLA at the one-year anniversary of the policy (recognizing the second year's premium amount).
- Submit an endorsement to PSLA at the two-year anniversary of the policy (recognizing the third year's premium amount).

No placement may be submitted to PSLA with a policy period beyond three years unless the premium is fully prepaid.

Extending Policy Periods

Placements for fewer than 12 months:

With many short-term risks, the policy period is usually 3 months or 6 months and is often extended or renewed by an endorsement or renewal certificate.

In these cases, submit the usual filing by utilizing the appropriate declaration/affidavit(s) and include the 3 or 6-month premium. Submit an endorsement against that original filing when it is extended.

If said placement reaches the end of the usual 12 months, then a new filing using updated effective and expiration dates is required. You then again submit the appropriate declaration/affidavit(s) in the following year(s). PSLA is not able to accept placements without an expiration date, (i.e., "until cancelled" or "continuous".)

Single event situations where coverage is provided for one day, one week, one month, etc., simply require the usual filing.

In cases where the insured returns requesting coverage for a further single event which requires a separate policy, the Surplus Lines Licensee should treat this event as a separate filing with the appropriate paperwork and a new Policy number. This will preclude any confusion on stamping fee statements, data entry operations and data record keeping.

Annual Placements:

PSLA recognizes that Surplus Lines Licensees receive requests to extend policy periods for a variety of reasons. PSLA will accept endorsements extending any policy period as an adjustment to the original placement provided said extension is less than 12 months. Otherwise, it becomes a new placement and is subject to a new filing and stamping fee.

10.4 Tax Exempt

Certain classes of business are exempt from the 3% surplus lines premium tax. The Department of Revenue has determined that premiums charged the commonwealth and its political subdivisions (counties, municipalities, school districts, etc.) are exempt from the tax.

This determination is made by the Department of Revenue and not the Insurance Department, and certainly not PSLA. For clarification or additional information regarding the tax exempt status of a particular placement, the Insured or the Insured's representative should obtain a determination from the Department of Revenue, preferably in writing.

Once the placement is deemed tax exempt, then indicate "Tax Exempt" on the filing form.

Note: This is not a concern with regard to the stamping fee as all filings are subject to the stamping fee.

10.5 Master Policies (other than Purchasing Groups)

Master Policies typically fall into two different categories – Insurable Interest Rests with the Master Policy Member and Insurable Interest Rests with the Named Insured.

Category A – Insurable Interest Rests with the Master Policy Member

Many master policies are created for associations or groups where the named insured does not have an insurable interest, but rather, the member does. The example is a group or association of individuals or businesses in the same field of endeavor who have a common coverage need to solve an availability or cost problem. For situations where the insurable interest rests with the member covered by the Master Policy:

- As each member chooses to engage in the master policy, file individual placement(s)/declaration(s) for each member's policy or certificate issued as part of the master policy. Be sure to list the member's unique policy or certificate number as the "Policy No." on the filing paperwork. This will ensure the filing is unique within our database (and will not be returned as a duplicate filing).
  - Example: Master Policy with 10 members = 10 filings (Important! – each filing must have a unique policy or certificate number).
- All A/P and R/P activity is to be reported by way of filing copies of endorsements using the individual member's policy or certificate number.

Category B – Insurable Interest Rests with the Named Insured

There are other master policies where the named insured does have the insurable interest. Typically these are written for banks, finance companies, auto and trucking fleets, etc. These placements are filed in a standard fashion as follows:

- Submit the usual declaration(s)/affidavits(s) pertaining to limits, coverage and premiums.
- As activity on the policy takes place, submit monthly reporting endorsements (referencing the policy number submitted on the original filing).
- The monthly reporting endorsement should include a listing of name(s), address(es), effective date(s), expiration date(s), premium(s), (pro-rated when applicable) and limit(s). The limit(s) and premium(s) must be totaled using a net additional or return amount(s). These transactions must be retained by the surplus lines licensee

We have noticed over the years that many master policies are issued with an effective date with no expiration date (stating instead "continuous" or "until canceled"). This is unacceptable; an expiration date must be provided or else the filing will be returned for correction.

Master Policies which are "continuous" for the Surplus Lines Licensee should be submitted to PSLA with a one year Effective Date range of coverage (e.g. 12/01/2004 to 12/01/2005). The Surplus Lines Licensee should refile as a renewal said placement at each annual anniversary.

10.6 List of Validation Errors

No.	Error Name	Description
1	Invalid Individual SL License	The individual Surplus Lines license number is not valid. A license is considered valid as long as its status is active on or before 30 days after the inception date of the policy. This is a warning error. The Electronic Filing System will accept submittal but the error will be reported to PID.
2	Invalid Individual Name for SL Agency	The individual is not associated with the selected Customer ID. This is a critical error that must be corrected prior to submittal
3	Missing or Illegible Individual SLL Name or Signature	The name or signature is not readable or is missing. This error is caused when an Internal User does not check the "SLL Individual Signature Provided" box.
4	Missing Expiration Date	The expiration date is missing and must be filled in prior to submittal.
5	Missing Location of Risk	The Location of Risk is missing and it must be filled in prior to submittal.
6	Invalid Proposed Policy Expiration Date	A proposed Policy Expiration Date (using the Endorsement or Revise Filing function) must be less than 12 months from the original Policy Expiration Date. For example, if the Policy Expiration Date on the original filing is 6/1/2006 than it can only be extended to 5/31/2007. It cannot be extended to 6/1/2007.
7	Missing Premium	The Premium amount must be entered prior to submittal. If Premium is intentionally left at $0 the "Non-reporting" box must be checked before the filing is submitted to avoid a validation error.
8	Out of Sequence Endorsement	Endorsement numbers do not need to be continuous but they do need to be sequential from low to high. For example Endorsement Number 4 may be entered directly after Endorsement Number 2 but can not be entered after Endorsement Number 6.
9	Missing Policy Effective Date	The policy effective date is missing and must be filled in prior to submittal.
10	Invalid SL Agency License Number	The agency Surplus Lines license number is not valid. A license is considered valid as long as its status is active on or before 30 days after the inception date of the policy. This is a warning error. The Electronic Filing System will accept submittal but the error will be reported to PID.
11	Duplicate Policy Number	A Policy Number with the same Effective Year under the same Customer ID was previously submitted to PSLA. Please review the Policy that was previously submitted.
12	Missing 1606-A: Explanation of Non-admitted Coverage	An explanation of why Non-admitted Insurers were used must be filled in prior to submittal.
13	The Coverage from Ineligible Insurers Exceeds 25% of the Total	This error was disabled in Release 3.0.

No.	Error Name	Description
14	Missing Producer Information	The Individual Producer Name and the Individual Producer License Number is required for the 1609-PR form. Please enter the number and the system will look up the name. This is a warning error. The Electronic Filing System will accept submittal but the error will be reported to PID.
15	Missing Eligible Insurer Information	The Multiple Carrier box was checked but no additional carriers were added. Either uncheck the Multiple Carrier field or add additional carriers.
16	Missing Ineligible Insurer	The box for 1606-A was checked but no ineligible insurers were entered. Either uncheck the 1606-A box or enter ineligible insurers.
17	Missing or Invalid Description of Insured's Operation	A valid Description of Insureds Operation is required prior to submittal.
18	Missing Declining Companies	Three declining companies are required. This is a warning error. The Electronic Filing System will accept submittal but the error will be reported to PID.
19	Missing Policy and Binder Number	A new filing must have either a Policy or a Binder Number. The filing may be submitted with just a Binder Number as long as the Policy Number is added later via an Endorsement.
20	Invalid Individual Producer License	The Individual Producer License Number entered was invalid as of the Policy Effective Date. This is a warning error. The Electronic Filing System will accept submittal but the error will be reported to PID.
21	Missing or Illegible Individual Producer Name	The "unable to obtain the 1609-PR form" checked but the Individual Producer Name or Address is missing or illegible. This is a critical error that must be corrected prior to submittal.
22	Carrier ineligible on effective date of policy	The Carrier is not on the eligible list at the time of the filing. This is a critical error that must be corrected prior to submittal.
23	Missing or Invalid Eligible Insurer Number	The Key Carrier Number is missing. This is a critical error that must be corrected prior to submittal.
24	Missing or Incorrect Type of Coverage	The Type of Coverage is missing. This must be selected prior to submittal.
25	Invalid NAIC Number	This means an NAIC number is wrong (enter NAIC number and Company Name field displays "Invalid NAIC Number"). This is a warning error.
26	Missing Name of Insured	The Name of Insured must be entered prior to submittal.
27	Neither Type nor Description is on the Export List	Filing Type 1604-E was selected but neither the Type of Coverage nor the Description of Insured's Operation are on the Export List. Filing Type 1604-E (Export) should only be selected if either the Type of Coverage or the Description of Insured's Operation is on the Export List. Please review the List of Type of Coverage and the List of Description of Insured's Operation and either select one from the Export List or change the filing type. This must be corrected prior to submittal.

No.	Error Name	Description
28	Missing or Invalid Purchasing Group	Filing Type 1610-B requires the name of the Purchasing Group. The name of the Purchasing Group must be selected prior to submittal.
29	Missing Individual SLL Signature	The Affidavit paperwork is missing the individual SLL signature or it is illegible. The Agency User should email a a signed, legible image of the Affidavit to filingreturn@pasla.org.
30	Missing PR Form, Missing Signature, or Illegible PR Image	If Producer paperwork is missing the Producer signature then leave the Signature Provided box unchecked. An unchecked box causes this error.
31	The Sum of Carrier Limits/Premium Does Not Equal Total	The Sum of Carriers Equals Totals box is not checked. The sum of all Carrier Limits/Premiums listed on the Multiple Carrier paperwork should equal the Total Policy Limits/Carriers listed on the Affidavit paperwork and the box should be checked.
32	Missing 1609-PR Image	Filing Type 1609-SLL/1609-PR requires a legible image of a signed 1609-PR form. Please use the Upload function to store a signed image with the filing.
33	Missing or Illegible 1609-PR Image	Filing Type 1609-SLL/1609-PR requires a legible image of a signed 1609-PR form. PSLA reviewed the image and determined it is either: illegible, missing the producer number/name/address, missing the producer signature, or the Insured Name doesn't match. A corrected image must be uploaded before the submittal is approved.
34	Mismatch on Named Insured Between 1609-PR Image and SLL Affidavit	Filing Type 1609-SLL/1609-PR requires a legible image of a signed 1609-PR form. PSLA reviewed the image and determined the Named Insured on the image does not match the Named Insured provided in the filing.
35	Unable to Obtain PR Form	This is a Warning Error. The Electronic Filing System will accept submittal but the error will be reported to PID.
36	Missing Effective Date of Change	The Effective Date of Change is missing.
37	Policy Number cannot contain special characters	The policy number may consist of letters, numbers, or hyphens (-). This must be corrected before submittal.
38	Insured Name cannot contain special characters	The insured name must consist of letters, numbers, or hyphens (-). This must be corrected before submittal.
39	Endorsement Number cannot contain special characters	The endorsement number must consist of letters, numbers, or hyphens (-). This must be corrected before submittal.

No.	Error Name	Description
40	Invalid Policy Expiration Date	The Policy Expiration Date Must Be After the Policy Effective Date.
41	Potential Invalid Location of Risk	This error was disabled in Release 3.0.
42	Invalid Endorsement Effective Date of Change	The Endorsement Effective Date must be between the current Policy Effective and Expiration Dates
43	Invalid Endorsement Effective Date of Change	The Endorsement Effective Date of Change must be between the proposed Policy Effective and Expiration Dates.
44	Not a valid Pennsylvania Zip Code	The Location of Risk must be in Pennsylvania but the entered zip code is not a Pennsylvania zip code.
45	Missing Endorsement Effective Date of Change	The Endorsement is missing the effective date of change.
46	Invalid Change in Property Limit	This error was disabled in Release 3.0.
47	Invalid Change in Casualty Limit	This error was disabled in Release 3.0.
48	Invalid Change in Premium	The reduction in Premium cannot exceed the Current Premium since the new total cannot be less than zero.
49	Invalid Policy Expiration Date	The proposed Policy Expiration Date must be after the Effective Date of Change for all prior Endorsements. For example, if there is a prior endorsement with an Endorsement Effective Date of Change of 3/1/2006, the new Policy Expiration date must be after 3/1/2006.
50	Ineligible Insurers Should Not Be Used with Filing Type 1610-B	Ineligible Insurers should not be used with Filing Type 1610-B. This is a Warning Error. The Electronic Filing System will accept submittal but the error will be reported to PID.
51	An Ineligible Insurer was entered but Form 1606-A was not given.	An ineligible carrier can not be used at all for this type of filing.
52	Duplicate Declining NAIC Numbers	In the 1609-PR section each of the declining companies should be unique. This is a Warning Error. The Electronic Filing System will accept submittal but the error will be reported to PID.

No.	Error Name	Description
53	Agency/Agent Name Must Match Paperwork	The agency/agent name must match the name on paperwork.
54	Missing Endorsement Number	The endorsement number is missing.
55	Missing Received Date	The received date is missing.
56	Missing Customer Id	The customer id is missing.
57	Missing Filing Type	The filing type is missing.
58	Invalid Returned Premium	Returned Premium is a required field and the amount cannot exceed the current premium.
59	Invalid Returned Stamping Fee	The returned stamping fee must be less than or equal to the current fee
60	Invalid Cancellation Date	The effective date of cancellation must be between the Policy Effective Date and Policy Expiration Date
61	Missing Property or Casualty Limit	This error was disabled in Release 3.0.
63	The Returned Fee Field Should Not be Blank	The returned stamping fee for policies with an effective date prior to 1/1/2002 is 0.5% of the returned premium. Enter $0 in the Returned Fee if the Returned Premium is $0.
64	User cannot file for this customer	The user submitting the filing is not authorized to file for this customer id.
66	This Filing is Late	This will be a late filing since the Paper Received Date is more than 45 days after the Policy Effective Date. Please recheck the Paper Received Date and Policy Effective Date before submitting or saving. This is a Warning Error.
67	Omissions	The Omissions box is no longer available since the moratorium ended on 12/31/2010. This is a critical error.
68	Missing Description	The Omissions box is checked indicating this filing is a result of reconciliation and examination discrepancies and the late fee will be waived. A brief description of the discrepancy is required since it will be made available to the Pennsylvania Insurance Department.
69	Invalid Policy Effective Date for Omissions	The Omissions box is checked but the Policy Effective Date is after the moratorium period when agencies can submit a filing and have the late fee waived as a result of reconciliation and examination discrepancies.
70	Cannot Select Omissions if Filing was Already Late	The filing was previously submitted and was late. The Omissions box cannot be used to waive the late fee on a filing that was already late. This is a critical error.

No.	Error Name	Description
71	1609-X Should Only Be Used To Report Discrepancies	The moratorium ended on 12/31/2010 so the 1609-X is no longer available for general use. Please contact PSLA if you have questions.
72	Cannot Submit 1609-X Via XML	A 1609-X filing can only be submitted via the Submit Original Filing web page. It cannot be submitted via XML Import.
73	Omissions are invalid via XML	Omissions are invalid via XML Import. Please log into the EFS website to enter a filing with Omissions. This is a critical error.
74	Missing Home State	The Home State for a Multi-state Risk is required. Please click on the help link for additional information.
75	Invalid Total Multi-state Policy Premium	The Total Multi-state Policy Premium is the total premium for all locations and it must be greater than the premium for the portion of risk located in the Commonwealth of Pennsylvania.
76	Missing Multi-state Risk Information	Please select whether the policy covers risks in multiple states.
77	Invalid Filing Type for No PR Available	The no_pr_available field was set to TRUE in the XML file but the filing type is not 1609-SLL/1609-PR. The no_pr_available field should only be set to TRUE if the filing type is 1609-SLL/1609-PR and the 1609-PR image is not available.
78	Invalid Policy Premium	For multi-state risks, the Policy Premium must be greater than PA Premium (the allocated premium for the PA Location of Risk) for each insurer.
79	Missing Date	Revenue Recognition Date is a required field. Please enter the date in mm/dd/yyyy format. Please consult with your tax department if you have questions on the date.
80	Invalid Returned Policy Premium	Returned Policy Premium is a required field and the amount cannot exceed the current policy premium.
81	Invalid Change In Policy Premium	The reduction in Policy Premium cannot exceed the Current Policy Premium since the new total cannot be less than zero.
82	Missing Policy Premium	Policy Premium is a required field.
83	Invalid Premium	This filing is for PA only. The PA Premium must equal the Policy Premium.
84	Missing Property or Casualty Limit	This error was disabled in Release 3.0.
85	Missing Premium	An ineligible insurer was entered but the premium is missing. If Premium is intentionally left at $0 the reporting-only box must be checked before the filing is submitted to avoid a validation error.

No.	Error Name	Description
86	Invalid Casualty Limit	This error was disabled in Release 3.0.
87	Invalid Property Limit	This error was disabled in Release 3.0.
88	Invalid Property or Casualty Limit	This error was disabled in Release 3.0.
89	The Type of Coverage is Inactive	The Type of Coverage selected is no longer marked as active.
90	The Description of Insured's Operation is Inactive	The Description of Insured's Operation is no longer marked as active.
91	Invalid Change in Premium	The Total Policy Premium must be greater than or equal to the Total PA Premium for a multi-state risk.