Agent/User Guide

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A resource for using the SLTX Online Filing System
Table of Contents

Getting Started with EFS ........................................................................................................................................... 6
  Overview: Getting Started .......................................................................................................................... 6
  Special Features of the EFS ....................................................................................................................... 7
  General Technical Requirements ........................................................................................................... 10
  Web Security ............................................................................................................................................... 11
Getting and Using Help ......................................................................................................................................... 12
  Ways to Get Assistance While You Work ............................................................................................... 12
  Getting Help from the Help Menu .......................................................................................................... 14
  Contacting the EFS Help Desk ............................................................................................................. 16
  EFS Frequently Asked Questions (FAQs) ............................................................................................. 17
  Navigation Panel Overview .................................................................................................................. 18
Security Administration – Agent Sign-On .................................................................................................. 19
  Overview .................................................................................................................................................. 19
  Getting Started / Security Profile Activation ........................................................................................ 20
  Security Profile Maintenance ................................................................................................................. 22
  User Profile Setup .................................................................................................................................. 23
  Changing a User Password (Agency Admin) ...................................................................................... 25
  Review of User Profiles ....................................................................................................................... 26
  To Setup Code Filters (Class) .............................................................................................................. 27
  To Setup Code Filters (Coverage) ....................................................................................................... 28
Security Administration – User (Non-Administrative) ......................................................................................... 29
  Changing your Password ...................................................................................................................... 29
Security Administration – SLTX ...................................................................................................................... 30
  Initial Registration of an Agency in the EFS ....................................................................................... 30
  Security Profile Setup for an Agency .................................................................................................. 31
  Review of Security Profiles ................................................................................................................. 34
  Security Profile Maintenance ............................................................................................................... 36
  Password Override (Changing a user password) ................................................................................ 37
  Agent Emulation ..................................................................................................................................... 38
  User Profile Setup (Used for SLTX Users Only) ................................................................................... 39
  Changing Password (Current User) .................................................................................................... 41
Batch Management ........................................................................................................................................... 42
  Overview: Batch Management ............................................................................................................. 42
  Batch Management Concept ............................................................................................................... 43
  Batch Manager Page ................................................................................................................................ 44
  Batch Manager (Features) .................................................................................................................... 47
  Creating a New Batch ........................................................................................................................... 48
  Editing Existing Header Information .................................................................................................. 49
  How to Enter / File Normal Transactions .......................................................................................... 50
  Batch Transaction Listing Page ........................................................................................................... 52
  Successfully Posted Transactions Listing ......................................................................................... 53
Transaction Entry Procedures .................................................................................................................... 54
  Overview: Filing Policy Data ................................................................................................................ 54
Transaction Entry Categories – Policies ................................................................................................... 56
  New Policy .............................................................................................................................................. 56
  New Binder Policy ................................................................................................................................... 59
  New Policy Replacing a Binder ............................................................................................................ 62
  Renewal Policy ....................................................................................................................................... 66
  Renewal Binder Policy ........................................................................................................................ 69
  Renewal Policy Replacing a Binder .................................................................................................... 72
<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transaction Entry Categories – Deletions</td>
<td>104</td>
</tr>
<tr>
<td>- Expiration Date Change Endorsement</td>
<td>76</td>
</tr>
<tr>
<td>- Inception Date Change Endorsement</td>
<td>76</td>
</tr>
<tr>
<td>- Name Change Endorsement</td>
<td>78</td>
</tr>
<tr>
<td>- Policy Number Change Endorsement</td>
<td>80</td>
</tr>
<tr>
<td>- Premium Endorsement</td>
<td>81</td>
</tr>
<tr>
<td>- Security Change Endorsement</td>
<td>82</td>
</tr>
<tr>
<td>Transaction Entry Categories – Update Policy</td>
<td>102</td>
</tr>
<tr>
<td>Transaction Entry Categories – Reinstatements</td>
<td>96</td>
</tr>
<tr>
<td>- Reinstatement</td>
<td>96</td>
</tr>
<tr>
<td>- Amended Reinstatement</td>
<td>98</td>
</tr>
<tr>
<td>- Reinstatement Fee</td>
<td>100</td>
</tr>
<tr>
<td>Transaction Entry Categories – Reversals</td>
<td>90</td>
</tr>
<tr>
<td>- Cancellation Reversal</td>
<td>90</td>
</tr>
<tr>
<td>- Premium Change Reversal</td>
<td>92</td>
</tr>
<tr>
<td>- New Policy Reversal</td>
<td>93</td>
</tr>
<tr>
<td>- Renewal Policy Reversal</td>
<td>94</td>
</tr>
<tr>
<td>- Reinstatement Reversal</td>
<td>95</td>
</tr>
<tr>
<td>Transaction Entry Categories – Cancellations</td>
<td>86</td>
</tr>
<tr>
<td>- Policy Cancellation</td>
<td>86</td>
</tr>
<tr>
<td>- Cancellation Amendment</td>
<td>88</td>
</tr>
<tr>
<td>Transaction Entry Categories – Reinstatements</td>
<td>96</td>
</tr>
<tr>
<td>- Reinstatement</td>
<td>96</td>
</tr>
<tr>
<td>- Amended Reinstatement</td>
<td>98</td>
</tr>
<tr>
<td>- Reinstatement Fee</td>
<td>100</td>
</tr>
<tr>
<td>Transaction Entry Categories – Update Policy</td>
<td>102</td>
</tr>
<tr>
<td>- Update Policy</td>
<td>102</td>
</tr>
<tr>
<td>Transaction Entry Categories – Deletions</td>
<td>104</td>
</tr>
<tr>
<td>- Cancellation Delete</td>
<td>104</td>
</tr>
<tr>
<td>- Premium Change Delete</td>
<td>105</td>
</tr>
<tr>
<td>- New Policy Delete</td>
<td>106</td>
</tr>
<tr>
<td>- Renewal Policy Delete</td>
<td>107</td>
</tr>
<tr>
<td>- Reinstatement Delete</td>
<td>108</td>
</tr>
<tr>
<td>- Batch Delete</td>
<td>109</td>
</tr>
<tr>
<td>Posting Process</td>
<td>110</td>
</tr>
<tr>
<td>- Selecting Batches for Posting</td>
<td>111</td>
</tr>
<tr>
<td>- Preliminary Edit</td>
<td>112</td>
</tr>
<tr>
<td>- E-Mail Notifications</td>
<td>113</td>
</tr>
<tr>
<td>- Access to Reports</td>
<td>114</td>
</tr>
<tr>
<td>Reporting</td>
<td>115</td>
</tr>
<tr>
<td>- File/Report Categories Overview</td>
<td>116</td>
</tr>
<tr>
<td>- Batch Edits</td>
<td>117</td>
</tr>
<tr>
<td>- EOM (End of Month)/EOY (End of Year) Reports:</td>
<td>119</td>
</tr>
<tr>
<td>- Report Request</td>
<td>120</td>
</tr>
<tr>
<td>Correction Batches and Pending Items</td>
<td>124</td>
</tr>
<tr>
<td>- Creation of Correction Batches</td>
<td>124</td>
</tr>
<tr>
<td>- Finding and Determining Items in Error</td>
<td>125</td>
</tr>
<tr>
<td>- Reviewing Errors in Individual Transactions</td>
<td>126</td>
</tr>
<tr>
<td>- How to Enter / File a Correction Batch</td>
<td>127</td>
</tr>
<tr>
<td>- Making Corrections to Error Items</td>
<td>129</td>
</tr>
<tr>
<td>- Download Pending Transactions for Programmatic Resubmission</td>
<td>130</td>
</tr>
<tr>
<td>- Delete Pending Transactions from the Database</td>
<td>131</td>
</tr>
<tr>
<td>Search Capabilities / Inquiries</td>
<td>132</td>
</tr>
<tr>
<td>- Overview</td>
<td>132</td>
</tr>
<tr>
<td>- Transaction Inquiry</td>
<td>133</td>
</tr>
<tr>
<td>- Batch Inquiry</td>
<td>134</td>
</tr>
<tr>
<td>- Status Categories for Transactions</td>
<td>135</td>
</tr>
<tr>
<td>Topic</td>
<td>Page</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>Transaction History Log</td>
<td>136</td>
</tr>
<tr>
<td>Securities and Security Contracts</td>
<td>137</td>
</tr>
<tr>
<td>Overview</td>
<td>137</td>
</tr>
<tr>
<td>To Setup a New Contract</td>
<td>138</td>
</tr>
<tr>
<td>To Delete an Existing Contract</td>
<td>140</td>
</tr>
<tr>
<td>To Modify an Existing Contract</td>
<td>141</td>
</tr>
<tr>
<td>Contract Maintenance Lloyd’s Syndicates Page</td>
<td>142</td>
</tr>
<tr>
<td>Review of Existing Contracts and Syndicates</td>
<td>143</td>
</tr>
<tr>
<td>Policy Securities Page</td>
<td>144</td>
</tr>
<tr>
<td>Policy Syndicates Page</td>
<td>145</td>
</tr>
<tr>
<td>File Uploads</td>
<td>146</td>
</tr>
<tr>
<td>Overview</td>
<td>146</td>
</tr>
<tr>
<td>Manual Uploads</td>
<td>147</td>
</tr>
<tr>
<td>Programmatic Uploads</td>
<td>148</td>
</tr>
<tr>
<td>Help Resources</td>
<td>149</td>
</tr>
<tr>
<td>Online Problem Entry</td>
<td>149</td>
</tr>
<tr>
<td>Master Code Files</td>
<td>150</td>
</tr>
<tr>
<td>System Status</td>
<td>151</td>
</tr>
<tr>
<td>Global Administration – SLTX Sign-On</td>
<td>152</td>
</tr>
<tr>
<td>Global System Values Maintenance</td>
<td>152</td>
</tr>
<tr>
<td>Global System Status Maintenance</td>
<td>153</td>
</tr>
<tr>
<td>Global Notification</td>
<td>154</td>
</tr>
<tr>
<td>Available Reports Expiration Settings</td>
<td>155</td>
</tr>
<tr>
<td>Appendix</td>
<td>156</td>
</tr>
<tr>
<td>Batch Header Maintenance (Header)</td>
<td>156</td>
</tr>
<tr>
<td>Batch Item Count and Error Count</td>
<td>157</td>
</tr>
<tr>
<td>Batch Log ID (LogID) / Batch Number (Batch)</td>
<td>158</td>
</tr>
<tr>
<td>Batch Selection (Sel.)</td>
<td>159</td>
</tr>
<tr>
<td>Batch Status (Status)</td>
<td>160</td>
</tr>
<tr>
<td>Batch Transaction Listing (Trans.)</td>
<td>161</td>
</tr>
<tr>
<td>Batches (Type of)</td>
<td>162</td>
</tr>
<tr>
<td>Correction Batch – Pending Deletions</td>
<td>163</td>
</tr>
<tr>
<td>Date Extensions</td>
<td>164</td>
</tr>
<tr>
<td>Effective Date</td>
<td>165</td>
</tr>
<tr>
<td>Exempt Commercial Purchaser (ECP)</td>
<td>166</td>
</tr>
<tr>
<td>Expiration Date</td>
<td>167</td>
</tr>
<tr>
<td>File Uploads of Correction Batches</td>
<td>168</td>
</tr>
<tr>
<td>Industrial Insured</td>
<td>169</td>
</tr>
<tr>
<td>Issue Date</td>
<td>170</td>
</tr>
<tr>
<td>Policy/Binder Number</td>
<td>171</td>
</tr>
<tr>
<td>Policy ID</td>
<td>172</td>
</tr>
<tr>
<td>Policy Limit (Highest Agg. Limit)</td>
<td>172</td>
</tr>
<tr>
<td>Premium Allocation (Exempt Premium or Premium for Risks in Other States)</td>
<td>174</td>
</tr>
<tr>
<td>Purchasing Group</td>
<td>176</td>
</tr>
<tr>
<td>Re-Entry Due to Error Correction</td>
<td>177</td>
</tr>
<tr>
<td>Receive Date (RcvDate)</td>
<td>178</td>
</tr>
<tr>
<td>Securities</td>
<td>179</td>
</tr>
<tr>
<td>Total Gross (TtlGross)</td>
<td>180</td>
</tr>
<tr>
<td>User Profile Maintenance</td>
<td>181</td>
</tr>
<tr>
<td>User Profiles (Review of)</td>
<td>182</td>
</tr>
<tr>
<td>Windstorm Exclusion</td>
<td>183</td>
</tr>
<tr>
<td>ZIP Code of Risk Location</td>
<td>184</td>
</tr>
<tr>
<td>Glossary</td>
<td>185</td>
</tr>
<tr>
<td>Index</td>
<td>189</td>
</tr>
</tbody>
</table>
**Getting Started with EFS**

**Welcome to the EFS!**

**Overview: Getting Started**

The SLTX Electronic Filing System (EFS) brings you sophisticated, secure, web-based filing of policy information to help facilitate effective and efficient data reporting to SLTX. Developed with the input of various agents throughout the state, the system offers a comprehensive, yet user-friendly, approach to gathering and submitting necessary data for surplus lines policies. All of the normal and familiar filing tasks—assembling policy records, submitting the information, calculating taxes and fees, reviewing pended items, preparing correction batches, and reviewing reports—are supported by and can be easily be accomplished using electronic filing.

Web security is an integral part of the design of the EFS. Use of the Secure Sockets Layer (SSL) ensures that all data sent between your agency and SLTX is encrypted. No other agent can view or update your transactions, and you will not be able to see or modify another agent’s filings. Also, input and access to filing data is restricted to only those in your agency with user profiles registered on the system.

Whether filing every day or just once each week, agents will find this system to be a time saver—not to mention, a way to save on the stacks of paper you normally collect and mail out. With proper registration in e-filing and only a small amount of training, office personnel can quickly and easily create the agency security setups, start filing policy data through the website, and review and request online reports as batches are processed.

Larger agencies, with high-volume filing needs, can take advantage of the file upload options available in the EFS to automatically extract required policy data from their own agency databases and manually or programmatically submit policy information to SLTX.

Before you begin using the EFS, there are some areas with which you should become more familiar. Getting to know the various work areas and controls that appear in the application lets you move around the system more efficiently. You will also want to learn more about the special features of the system that are designed to make filing policy data easier. The Electronic Filing System offers several easy-to-use Help resources—both online and printable—to help you become oriented to the system rapidly and start working with confidence. SLTX also provides support with technical questions; you can contact the EFS Help Desk by phone, fax, or e-mail on Monday-Friday during normal business hours. See more information in the Help sub-system.
Special Features of the EFS

The EFS incorporates the latest information technology advances for web-based data entry and programmatic file uploads to help agents file transactions with SLTX more efficiently, reduce paper handling and mailing costs, receive real-time notifications regarding submission status, and be able to access reports and statistical information online.

The EFS includes several special features to make the filing process more efficient.

**Security Profiles Control Data Input and Access for Agencies**

Each agency will be assigned a Security Profile that restricts input and access to data filed via the EFS. Upon registration for e-filing with SLTX, each agency must submit eligibility data used to establish their Security Profile on the system. Each agency will also be required to designate an Agency Administrator. This administrator will have complete control over who accesses the EFS for the organization, and can setup or delete additional users as needed. The agency’s principal and/or the Agency Administrator will also be able to monitor all transactions filed electronically via e-mail notifications.

**Login Identification Display**

Many users of the EFS may be assigned more than one level of access to data in the system. Some users may work in situations where they will be filing transactions for more than one agency. To assist in eliminating any confusion for the filer, the EFS will display your User ID information within the title block of the screen each time you login to the system. This information will appear in small type at the top of the page.

Depending on your User Profile, the ID information at the center of the title bar will display your Agency Name and your individual User Name.

**Secured Entry and Review of Policy Data**

All policy data submitted to SLTX is secured through the Secured Sockets Layer (SSL) and review and update access is restricted to the agent originating the submission. No other agent can view or update your transactions, and you will not be able to view or modify another agent’s filings. SLTX will maintain universal inquiry into the data, but will not be able to modify or update your transactions. Texas Department of Insurance (TDI) personnel and Comptroller of Public Accounts (CPA) staff will have access to specific statistical reports via online inquiry screens—but will not have access to raw data.

**Each Transaction Type Has Its Own Entry Page**

Transaction entry is made simple for you, with each type of transaction (e.g. new policies, endorsements, renewals, reversals, etc.) having its own entry screen. Page-level Help for data entry is available with each work screen. You can build batches and submit transactions quickly and easily, whether you file once a week or once each day.

**Code Look-Ups Available on Your Work Screen**

Web filers can utilize the on-screen lookup windows for locating and assigning the most current Class Codes and Coverage Codes needed for the transaction being filed. Available via pop-up windows on the work page, these references make code selection easy, accurate, and fast. A variety of Code Files are also available in the Help sub-system for view/download.
Security Contract Listings at Your Fingertips
Contracts help to define the various securities on a policy or transaction. These sets of predefined companies are compiled from customized listings that are created by each agency.

Web filers can setup necessary security contracts’ data in advance; then when filing transactions, the lengthy contract information is automatically copied and inserted to the transaction entry page with just a keystroke. Lloyd’s of London Syndicate Contract information can also be predefined. The agent/company reference lists are easily modified and updated via the Contracts Maintenance page in Batch Management.

Specialized Search Capabilities
Users can define criteria and search for either batches or individual transactions in the system. A wide variety of available parameters will assist in locating transaction history and other filing information.

Customized E-Mail Notifications at Processing Checkpoints
An online verification message for a successful batch submission will be displayed to the filer when transmitting a batch of transactions. Subsequently, e-mail notices will be sent to the designated recipients, as chosen by the agency, when a batch successfully moves through the Posting process or fails Preliminary Editing. E-mail notifications will include a special link to a web page where corresponding batch reports are available in .pdf format and can be easily viewed and printed.

Fast Inquiry to Processing Results
An agent can view the status of a batch at the transaction level within a short time filing that batch. Pending transactions are identified along with the appropriate error tags, so the user can easily view details on each item, and then, elect to make online corrections to those transactions immediately, or at a later time. Batches can be submitted, processed, reviewed, corrected, and re-filed in the matter of a short time—rather than days or weeks.

Programmatic Submission Available
Agencies have the option to upload policy data either manually or programatically when using the EFS. This option will most likely be utilized by high-volume agencies. Data files can be submitted in either XML or tab-delimited ASCII format, and all instructions for building and transmitting these records are available in the Programmer’s Technical Reference Manual. The EFS also offers a special testing environment to facilitate the development and verification of agent programs and processes.

With programmatic filing, large batches of transactions will be edited and posted in a relatively short amount of time and processing results will be available online via the web component of the EFS. If needed, Correction Batches can then be built by download of pending items, data file modification, and a correction upload, or by entering correction data through the website.

File Upload Capabilities
Agencies have the option to upload policy into the EFS using the File Upload option. This option is available to those agencies that are utilizing XML or ASCII (tab-delimited).

Note: The File Upload is not to be to upload any other format other than XML or ASCII. If a user uploads any other format such as PDF or Microsoft Word Document they will receive Programmatic Filing Error.
Agents Can Request and Access Reports Online
The majority of batch reports and statistical information will be accessible at any time to EFS users. Some types of reports will only be available at specific times of the month, and the EOM reports are available in .pdf format after month-end closing. Filers will also be able to view and print previous months’ reports and uploaded file listings as needed. The Batch Recap and Policy Activity reports are available as needed on the system. These are up-to-date reports, always reflecting the latest source data. Information in report form will always be displayed through the website—not as an attachment to an e-mail—in order to enforce security of policy information.
General Technical Requirements

To access the EFS, agency filers will be required to have a working Internet connection and to use either one of the following web-based browsers:

- Netscape Navigator, v. 6.2, or higher
- Internet Explorer, v. 5.5, or higher

This requirement imposes a minimum hardware configuration of Pentium II or III at 200+ mhz, with a minimum 64 MB RAM.

It will also be necessary to have Adobe Acrobat Reader (v 4.0 or higher) installed on your system in order to open and print the various report files or Help documentation. These documents are presented in .pdf format. The download option for Acrobat Reader is on the EFS Log In page and on the Left Navigation Menu.
**Web Security**

Web communications for the EFS and EFS Test are protected by the Secure Sockets Layer (SSL). This is the industry standard method for providing security on the web and was developed by Netscape Communications Corporation. Virtually all web servers and leading browsers are optimized and ready for SSL. The SSL security protocol provides data encryption, server authentication, message integrity, and optional client authentication for an IP connection.

SSL preserves the integrity of every transaction. Users are assured that no unauthorized entity has intercepted data, such as license numbers, policy numbers, or policy amounts, en route to their intended destination.

Upon login to the EFS, the web browser will generate a unique “session key” to encrypt all communication with the system. A secure session is established and all policy data transmitted to SLTX will be protected. Depending on the type of browser being used, you may see a key icon becoming whole or a padlock closing, indicating that the session is secure.
Getting and Using Help

Ways to Get Assistance While You Work

The SLTX Electronic Filing System (EFS) features a variety of electronic resources to provide immediate on-screen assistance as you need it. The main form of support is the Online Help, which is the EFS Agent/User Guide, separated by the required help topic.

Online Help is accessible from anywhere within the EFS. You can access this Help text by clicking on the Help option in the left-hand navigation pane or by utilizing the button on the bottom of the page.

The Help text provides comprehensive information concerning each task area in the EFS and gives step-by-step instructions on the process of filing and submitting a batch of transactions, shows how to make inquiries, access available reports and run new reports, and offers details on correcting transaction entry errors and resubmitting policy data. The Help text also supports the Security sub-system and offers detailed information for the setup of security functions for the agency and maintaining individual User Profiles.

Page-Level Help – Each work screen in the EFS features help that can be opened by clicking the button on that page. This category of Help provides more in-depth information, showing how to move through the specific data-entry or set-up procedures for that screen, and details why certain information is required.

Context-sensitive Help – Special terminology is also defined on many of these pages and will appear as a link with a corresponding pop-up window in the text. You may also access the complete text for the Agent/User Guide via these Help buttons. After opening the Page-Level Help screen, click on Table of Contents at the top of the window to display the bookmarked text for that category inside the Agent/User Guide.

The EFS Help text also incorporates a detailed Table of Contents, an Index of subject areas to assist you with special questions, Search capabilities for all terms and subjects, and a Glossary of terms applicable to submitting policy data with the EFS. You can access these functions by clicking on the appropriate tab in the left-hand pane of any Help-text window.

Individual Help topic pages can be printed by selecting the button at the top of the Help screen. You may also elect to print or download the entire text for the Agent/User Guide. Select Help > Documentation >Agent/User Guide from the drop-down listing on the Help section.

The Programmer’s Technical Reference Manual of the Help text, available only in .pdf format for view/download, provides specialized information on file structure and record formats for both XML and tab-delimited ASCII files used to transmit policy data by manual or programmatic upload. This text offers resources and support for agency programming personnel involved in the task of creating an application(s) to pull necessary data from their in-house database and automatically deliver a batch of transactions as a transmitted flat file. (The programmer’s Technical Reference Manual can be accessed by selecting Help > Documentation > Technical Reference Guide)

Also for programmatic filers, the various SLTX Master Code Files listings are available for download in either XML or ASCII formats via the Help sub-system toolbar. These files include the
Transaction Action Codes, Coverage Codes, Class Codes, Company Codes, Lloyd’s of London Syndicate Codes, and Error Tag Codes used by SLTX and utilized in the various transaction entry procedures.

The Help component of the EFS also includes a list of Frequently Asked Questions (FAQ’s) to assist e-filers. This is a “must read” for getting answers to the most common questions that can arise as you start to file using the EFS. The FAQ’s are also accessible from the upper toolbar in the Help sub-system.

The Electronic Filing System provides additional forms of user support. Look for these special On-screen Icons that indicate other resources designed and available to assist you while you work.

- **Code Lookups** – these pop-up windows give you the most current Class Codes, Coverage Codes and Company information needed as you file transactions. You can access these codes directly from the Transaction Entry pages by clicking on the “Lookup” icon.

- **Maintenance Activities** – the wrench icon is used to designate various maintenance pages used throughout the EFS. Information on these screens can be easily updated or modified as business situations require.

- **File Downloads** – the disk icon designates either XML or ASCII files available for download to your system.

- **View Files** – the binocular icon indicates report files or code files that can be viewed on-screen.

- **Batch Transaction Listing** – this will display the details on each transaction included with this specific batch. The listing indicates the policy number, transaction type, the effective date of the policy, transaction status, and total gross.
You can access the EFS Help Menu from any work area in the system by clicking on the Help option in the left-hand navigation pane. The Help sub-system includes the following special user-support features:

**Documentation:**

**Agent/User Guide**
With easy-to-understand instructions and comprehensive, how-to resources for using the EFS, this guidebook offers details for the agent/user on all e-filing topics from User Profile setup and Transaction Entry procedures to creating correction batches and running reports for your agency.

You can access the online information by clicking Documentation on the upper toolbar in the Help section, and then selecting Online.

You can also open the online Help text by clicking the button on a specific work page of the EFS. This link will take you to specialized Help information about that particular screen. From this topic window, you are able to open the entire documentation for this chapter by selecting Table of Contents at the top of the Help window. A complete Table of Contents, Index, Search, and Glossary are also available on the top navigation bar of the Help window to assist you in finding additional areas of interest or concern. The information will be displayed in the left menu, then select the item to be displayed.

To access a printable version of the Agent/User Guide, click on Help > Documentation > Agent/User Guide and select from the drop-down menu to view or download a .pdf version of the Agent/User Guide.

**Programmer’s Technical Reference Manual**
This technically oriented manual is for those agencies with programming personnel who are utilizing the file-upload procedures that are available with the EFS. This document provides instructions and specifications for producing and transmitting XML or tab-delimited ASCII file packages of policy data.

To access this reference material, click on Documentation on the Help toolbar, and then select Technical Reference Guide from the drop-down menu to view/download a .pdf file.

**Master Code Files**
This index includes the current listings of various codes used by SLTX in the transaction entry process. These codes are available in a printable form, as well as, in downloadable cross-reference tables (XML and ASCII) for programmers and include the Transaction Action Codes, Coverage Codes, Class Codes, Company Codes, Lloyd’s Syndicate Codes, and Tag Codes. Select Master Codes on the Help toolbar and choose the appropriate version for your needs. The button on each listing page gives specific instructions for accessing these files.

**FAQ’s**
This simple Q&A resource outlines the most common questions from agents when starting to file using the EFS. This is the first place to go when you have a problem. Select FAQ’s from the upper toolbar in Help to display this resource information. The FAQ’s are available in a .pdf format to be easily viewed or downloaded for printout.
**Problem Reporting**

A sub-application of the EFS, this entry page allows agents and other users to report system-level problems online to the EFS Help Desk. Submit the necessary information about the difficulty and you will be notified by e-mail that your problem has been received and logged. A subsequent notification will be sent from the SLTX when the situation has been resolved. You can access this **Problem Reporting** screen by clicking **Support** on the Help toolbar. Specific instructions for entering problem information are provided via the Help button on that page.

**System Status**

SLTX will use this area to display special notices and information concerning the EFS. Check this page on a regular basis to see schedules and timelines for planned maintenance activities and other important technical updates from SLTX.
Contacting the EFS Help Desk

The EFS Help Desk at SLTX is open during normal business hours (8:00 AM to 5:00 PM), Monday-Friday to assist you with any technical questions you have about accessing or using the EFS:

Toll Free:  800-681-5848
Local:     512-531-1880
E-mail:    TechSupport@sltx.org

These phone numbers are for EFS assistance and questions only. Please refer to the SLTX website (www.sltx.org) in order to obtain other phone numbers for contacting the office.

The various Help options provided with the system should be utilized first to assist in solving difficulties. Many common questions and answers can be found in the FAQ’s section and many problems can be resolved simply by first reading the information presented in the Agent/User Guide or the Programmer’s Technical Reference Manual. Any questions or problems not discussed in this documentation should be addressed to the Help Desk.

Technical assistance is available by phone or e-mail. Before contacting the EFS Help Desk, please have the following information available to assist the Technical Support representative in helping you:

- Your agency name, license number and your EFS user ID:

- A brief description of the problem, including the exact text of any error messages received or what you were doing when the problem occurred; including screen titles or names.

- The type of browser version you are using – i.e. Internet Explorer 7, Google Chrome or Netscape.

Problems can also be reported using the EFS Help sub-system’s Online Problem Reporting application as described in the previous topic.
EFS – Getting and Using Help

EFS Frequently Asked Questions (FAQs)

The answer to your question may already be in the EFS Frequently Asked Questions (FAQ) document.

To access the most recent FAQ, sign-on to the EFS site and select Help from the Navigation bar in the left panel, then click on the FAQs menu option at the top of the page.
Navigation Panel Overview

**Batch Management** – Will become your central resource for organizing and managing the transaction items submitted. Batch Management lists all batches submitted to the EFS system. The user is also able to edit batch header information and post any open batches.

**File Upload** – The File Upload option for transaction entry will be utilized by those agencies who wish to submit policy data to SLTX in the form of previously constructed flat files either XML or tab-delimited ASCII. **Note:** That file upload is not to be used in uploading pdf or Microsoft Word documents.

**Transaction Inquiry** – Allows users to search for previously submitted policy data into EFS. The search results will be displayed in a transaction-listing pane. User can access policy information by clicking on the link for the transaction number. **Note:** That policy information cannot be changed or edited from here.

**Reporting** – Displays the current agency’s Uploaded files, batches, and Prelim Edits. Uploaded files are the files that have been submitted in either XML or tab-delimited ASCII. Batches displays the batch reports (Batch Edits and EFS Batch Edit Summary) for batches that have been entered through the EFS website. Prelim Edits displays any preliminary edit errors from previously posted batches.

**Pay Invoices** - Allows users to submit stamping fee payments electronically via ACH payment or credit card through a secure online portal.

**Help** – Displays the complete EFS Agent/User Guide.

**Security Administration** – The complete Security Setup and Maintenance task areas are only available to the designated administrative-level user for your group. The administrator will be able update information about your agency, set max login in attempts and password expiration time (90 days max).

**Change Password** – Allows the current user logged in to EFS to change the password.

**Log Off** – Logs the current user out of the EFS system and returns the user to the main login screen.

**Contact EFS Help Desk** – Provides details on how to get in touch with the SLTX Help Desk, along with what information is needed when reaching out.

**SLTX eNews** – Links directly to the SLTX eNews.

**Get Acrobat Reader** – Links to Adobe.com to download Acrobat reader. The reader enables you to view, and print PDF (Portable Document Format) files.

**View SLTX Website** – Links directly to the SLTX website.
Security Administration – Agent Sign-On

Overview

The Security sub-system of the Electronic Filing System (EFS) will facilitate the security administration arrangements for your agency that are needed for accessing information in the EFS and will also provide the access to data entry capabilities necessary for successfully filing insurance transactions with SLTX.

The complete Security Setup and Maintenance task areas are only available to the designated administrative-level user for your group. An Agency Administrator will be assigned for your agency and that person’s name and corresponding password will be part of the initial Security Profile Setup entered by SLTX at the time of registration.
Getting Started / Security Profile Activation

Upon registration of your agency in the Electronic Filing System (EFS), the designated Agency Administrator will be notified of the completion of the initial Security Profile setup by SLTX and will be instructed to log in to the EFS to complete the secondary phase of the Security Profile entries.

**Note:** This follow-up procedure is necessary to change your agency’s user status from “New” to “Active.” Until this opening login has been accomplished and the secondary level of information is added to the Security Profile Maintenance page, no one else from your group will be able to access and use the system.

**Procedure for “Activating” Agent/Agency Profile**

1. Log in to the EFS using your newly registered administrative-level User Name and User Password. Upon successful login, the system will automatically open to the Security Profile Maintenance page for your agency.

2. The Security Profile Maintenance page will show all profile data concerning your agency in the first four fields, as was initially entered by SLTX during registration. (See Security Profile Maintenance)

3. Move down to the fifth field and enter the additional information required to populate the rest of the fields on this page. Descriptions for completing these entries follow below.

   **Secondary E-mail Address**
   Enter a second e-mail address for your agency where automated notifications can be sent during transaction processing. This address serves as a backup to make sure your agency receives all necessary notifications as you file transactions.

   **Note:** Any changes that need to be made to the Primary or Secondary E-mail address are the responsibility of the Agency Administrator.

   **Customizing E-mail Recipients for the Agency:** As batches of transactions are submitted to SLTX, automated e-mail messages are sent to your agency to notify you of SLTX special notifications, Preliminary Edit errors, Error Tag(s) and also upon the completion of the Posting process. The originating filer of the batch can designate his/her e-mail address to be the primary recipient of processing notifications as part of the Batch Header setup. In this scenario, notices will go out to the filer and the “secondary” recipient as designated in this Security Profile field.

   When no e-mail address is included in the Batch Header data for the originating filer, the system will automatically send processing notifications to the “primary” recipient and the “secondary” recipient as defined here in the agency’s Security Profile.

   **Maximum Login Attempts**
   The default setting is **five (5) attempts**, but this can be set to any number from 1–10.

   **Password Expiration Time**
   The default setting is **14 days**. This expiration time can be adjusted to any number between and 1–90 days. We recommend that you set the password expiration time to the maximum of 90 days.
Enable Coverage Code Filter
Limits number of coverage codes that the users can select. We recommend that you leave the Enable Coverage Code Filter Unchecked.

Note: When enabling the Coverage Code Filter be sure to set up your list of coverage codes otherwise No Coverage Codes will be displayed to the users which will prevent entry. (See Code Filters)

Enable Class Code Filter
Limits number of Class codes that the users can select. We recommend that you leave the Enable Class Code Filter Unchecked.

Note: When enabling the Class Code Filter be sure to set up your list of class codes otherwise No Class Codes will be displayed to the users which will prevent entry. (See Code Filters)

5. Click button to submit the completed Security Profile information.

6. If all data is complete, a verification message will appear at the top of the screen to indicate the successful entry of your Security Profile and your user status will be changed to “Active.” An error message will appear in red to indicate if there are any problems with the data entered.

7. Now you are able to access the entire EFS and can start the setup procedures for the other User Profiles needed for your agency. (See User Profile Setup).
Security Profile Maintenance

After the initial Security Profile for your agency has been created and enabled by SLTX, and after the Security Profile becomes “Active”. The Agency Administrator for the organization will become responsible for maintaining the profile information.

As Agency Administrator, you will be able to edit the Security Profile information as required. Clicking on the Security Administration option in the left-hand navigation bar will take you directly to your agency’s Security Profile Maintenance page. All of the initial data entered upon registration of your organization in the EFS and the secondary level of information added at your first login will be displayed on this page. Information concerning agency contacts, phone numbers, and primary/secondary e-mail recipients should be kept current to maintain proper notification capabilities during the transaction and filing processes.

Changes are easily accomplished by deleting the current data in the field and keying in new information as needed. You may use the **Reset** button to clear incorrect information you’ve entered and start over. Click **Enter** button to update the profile.

An error message will appear at the top of the page if new data has not been entered properly. A verification message will display upon the successful modification and update of the Security Profile.
User Profile Setup

Most agencies, depending on company size and filing volume, will appoint one person as their Agency Administrator. The Agency Administrator’s profile will be created during the EFS registration process and this person will be given administrator-level access to the system. Other users in your agency can then be established with normal access to the EFS.

The Agency Administrator will be responsible for setting up the various User Profiles required for other EFS users in the organization. Each person needing to access and utilize the EFS for filing transactions, making inquiries, or producing reports will require an individual User Profile.

**Note:** SLTX recommends that all EFS users have Administrative Authority. This authority simply allows users to reset other user’s passwords and/or create new user IDs. It does not grant any additional responsibility or authority.

**Procedure**

Select Security Administration from the left-hand navigation bar. This will automatically display the Security Profile Maintenance page for your agency. Then select User Profiles > Review on the upper toolbar. The User Profile Listing page will show an inventory of all valid users for your organization with information on User IDs, User Names, User Status, and e-mail addresses for each.

**To Create a New User Profile**

1. Click on User Profiles > Maintain on the top toolbar. You can also click on one of the User ID links in the first column of the User Listing chart. This takes you directly to the User Profile Maintenance page.

2. Then select the New User option from the drop-down listing on the user field.

3. All fields will go to blank for the entry of New User information

4. Enter the necessary data as described below. All fields are **required fields**.

**User ID**

Enter a User ID that is unique to the system. Your selection can be any combination of alpha and numeric characters up to ten (10) characters maximum length.

**Note:** If a User ID is already taken the EFS system will display the message “Entered UserID already exists.” A new User ID will be required. (The User IDs are system wide based not agency based)

**User Password**

The User Password can be any combination of alpha and numeric characters, must have a minimum of five (5) characters, and not exceed a maximum of twenty (20) characters. Passwords are case sensitive. If you setup a password in all capital letters, then you must enter that password in exactly the same form when you log in to the system (i.e. JACKIE). Entering this password in any other format will cause your login attempt to show as invalid, and you will not be able to access the system.
User Name
Enter the user’s full name. The User Name can include hyphens and must not exceed fifty (50) characters in length. Upon completion of the profile, this is the name designation that will appear on the User Profile Listing page.

User E-mail
Enter the appropriate e-mail address for this user. When requesting various types of reports, the system will automatically send the e-mail notifications to this User e-mail address.

Authority Level
This designation indicates the level of access to the EFS for each user in your organization. At the time of registration, SLTX will assign one person from your group to the administrator level. Other personnel who will file transactions and run reports can be designated as normal, or non-administrative, users.

Note: SLTX recommends that all EFS users have Administrative Authority. This authority simply allows users to reset other user’s passwords and/or create new user IDs. It does not grant any additional responsibility or authority.

User Status
All users should initially be set to the “Active” status. The Inactive option is provided should the Agency Administrator need to deactivate a specific user at any time—and for any reason. When switched to Inactive, corresponding User Profile information will not be lost or deleted, and the status can be switched back to Active when needed.

5. Click button to create the New User Profile.
Changing a User Password (Agency Admin)

While the majority of Security tasks are limited to the Agency Administrator, any individual EFS user can modify or change their password as established in their User Profile.

In addition to setting up user profiles your Agency Administrator can also change/reset agency user passwords as requested. As an Agency Administrator you will only have the capability to change/reset passwords within your Agent/Agency.

*Note:* It is recommended that after an Agency Administrator resets any user’s password that the user logs on the EFS system and changes his/her password.

**Procedure**

After successful login to the system by the Agency Administrator click on the Security Administration option in the left-hand navigation pane. This will automatically display the Security Profile Maintenance page for your agency. Then select User Profiles > Review on the upper toolbar. The User Profile Listing page will show an inventory of all valid users for your organization with information on User IDs, User Names, User Status, and e-mail addresses for each.

1. Select the User ID. This will display the User Profile Maintenance for the User ID selected.
2. Select the Change button by the User Password field (by default User Password field is not editable).
3. Enter the New password in the User Password field.
4. Click Enter button to submit the User Password.

A verification message will appear at the top of the screen indicating a successful password change.

It is important to remember that your password is case sensitive. If you setup a password in all capital letters, then you must enter that password in exactly the same format when you log in to the system (i.e. JACKIE). Entering this password in a different case (i.e. “Jackie” or “jackie”) will cause your login attempt to be invalid and you will not be able to gain entry to the system.

*Note:* A user may change their password as often as you want; however, it will be your responsibility to keep track of the alterations in order to maintain a valid User Profile.
Review of User Profiles

To get a quick look at all established EFS users for your agency or organization. After successful login to the system by the Agency Administrator, select Security Administration from the left-hand navigation bar. This will automatically display the Security Profile Maintenance page for your agency. Then select User Profiles > Review on the upper toolbar. The User Profile Listing page will show an inventory of all valid users for your organization with information on User IDs, User Names, User Status, and e-mail addresses for each.

A complete listing of all User Profiles is shown and indicates the User ID, User Status (Sts), User Name, and User E-mail Address (Email). User Status will be categorized as either “A–Active” or “I–Inactive,” depending on each person’s current eligibility to access the EFS.

Clicking on the appropriate User ID link in the first column of the listing will display the User Profile Maintenance page for the selected user.
To Setup Code Filters (Class)

Filter Class Codes

This allows you as the Agency Administrator to restrict or reduce the number of class codes available to your agency’s EFS users.

1. After successful log in to the system by an Agency Administrator, click on the Security Administration option in the left navigation panel. From the Security Profile Maintenance page select Code Filters > Class Codes from the drop-down menu to display the Filter Class Codes.

2. Select the desired class codes from the available Class Codes (left-hand) side. A range of items can be selected by clicking on the first Class Code, then holding the PC Shift key and clicking on the last Class Code in the range. Multiple Class Codes can be selected by holding down the PC Ctrl key and clicking on each selection. To narrow the Available Class Codes shown in the list use one of the following methods:
   - **Using Keyword Filter** – Type in the Keyword the textbox and select the Filter button. This will display all Class Codes that are like the text entered. You may also use partial words (Example: hospital or hos or ho – displays Health Care Facility (Hospital, Clininical)).
     *Note: After the filter function is used, only the filtered Class Codes will be displayed. To return to the complete Class Code listing, select the Show All button.*
   - **Position to Class** – Type in the keyword in the textbox the position of the selection point will move according to what is typed in (Example: If you start typing in auto the selection point will move to the first instance of Auto that is found.).
     *Note: To return to the complete listing of Class Codes select the Show All button or remove the information entered into the Position to Class.*

3. Click on the Add > button to add the items to the Class Codes selected to use (Right-hand) side.

   *Note: Selected items may be removed in the same manner; use the < Remove button to put them back in the available window. The Clear button will remove all Selected Class Codes selected to use.*

4. Click Enter button to set the Filter Class Codes for your agency. The Class Codes will now be available for use for all of you users. A verification message will appear at the top of the screen to indicate the successful change to the Class Codes.

   *Note: If no Class Codes are selected, nothing will be displayed to the user, which will prevent entry.*
To Setup Code Filters (Coverage)

Filter Coverage Codes

This allows you as the Agency Administrator to restrict or reduce the number of coverage codes available to your agency’s EFS users.

1. After successful log in to the system by an Agency Administrator, click on the Security Administration option in the left navigation panel. From the Security Profile Maintenance page select Code Filters > Coverage Codes from the drop-down menu to display the Filter Coverage Codes.

2. Select the desired coverage codes from the Available Coverage Codes (left-hand) side. A range of items can be selected by clicking on the first Coverage Code, then holding the PC Shift key and clicking on the last Coverage Code in the range. Multiple Coverage Codes can be selected by holding down the PC Ctrl key and clicking on each selection. To narrow the Available Coverage Codes shown in the list use one of the following methods:

   - **Keyword Filter** – Type in the Keyword the textbox and select the Filter button. This will display all Coverage Codes that are like the text entered. You may also use partial words (Example: auto or aut or au – displays AUTO – Commercial Liability (9194)).
     
     **Note:** After the filter function is used, only the filtered Coverage Codes will be displayed. To return to the complete Coverage Code listing, select the Show All button.

   - **Position to Coverage** – Type in the keyword in the textbox the position of the selection point will move according to what is typed in (Example: If you start typing in auto the selection point will move to the first instance of Auto that is found.).
     
     **Note:** To return to the complete listing of Coverage Codes select the Show All button or remove the information entered into the Position to Coverage.

3. Click on the Add button to add the items to the Coverage Codes selected to use (Right-hand) side.

   **Note:** Selected items may be removed in the same manner; use the Remove button to put them back in the available window. The Clear button will remove all Selected Coverage Codes selected to use.

4. Select to set the Filter Coverage Codes for your agency. The Coverage Codes will now be available for use for all of you users. A verification message will appear at the top of the screen to indicate the successful change to the Coverage Codes.

   **Note:** If no Coverage Codes are selected, nothing will be displayed to the user, which will prevent entry.
Changing your Password

While the majority of Security tasks are limited to the Agency Administrator, any individual EFS user can modify or change their password as established in their User Profile.

The Agency Administrator for your organization will setup a User Profile for you. Your initial password may be assigned, or you may consult with your administrator to determine a password. After your User Profile is created, you can easily go back and change your password as needed; but you will not be able to change passwords for any other EFS users in your office.

Procedure

After successful login to the system using your established User Password, click on the Change Password option in the left-hand navigation pane. This displays the Change Password page for (your User Name). If you have administrative-level access, you may also open this function from the upper toolbar in the Security sub-system.

1. Type in your existing password (Old Password) in the top field.
2. Enter the New Password in the next field.
3. Repeat the New Password entry in the lower field (Repeat New Password) for confirmation.
4. Click enter button to submit the New Password.

A verification message will appear at the top of the screen indicating a successful password change.

It is important to remember that your password is case sensitive. If you setup a password in all capital letters, then you must enter that password in exactly the same format when you log in to the system (i.e. JACKIE). Entering this password in a different case (i.e. “Jackie” or “jackie”) will cause your login attempt to be invalid and you will not be able to gain entry to the system.

**Note:** You may change your password as often as you want; however, it will be your responsibility to keep track of the alterations in order to maintain a valid User Profile.
Security Administration – SLTX

Initial Registration of an Agency in the EFS

SLTX personnel will be responsible for entering the initial information necessary for an agent/agency to become an active user on the Electronic Filing System (EFS). A listed surplus lines agent will be required to submit the following data to SLTX, in written and documented form, to provide the basis for creating a Security Profile:

- Valid Surplus Lines License Number
- Agent/Agency Name (corresponding to that license number)
- Agency Contact Name
- Agency Phone Number
- Agency E-mail Address
- Designation of an Agency Administrator / Initial User

Upon receipt of an agent’s profile data from the EFS Registration Request and confirmation that the agency is qualified to register for electronic filing, you can begin the Security Profile setup procedure.
Security Profile Setup for an Agency

The fundamental information you enter here will allow a surplus lines agent/agency to initially access the EFS, begin their work to setup their agency users, and then start filing insurance transactions using the electronic method. This initial data will be provided by the agent as part of the EFS enrollment/registration process.

Upon login as an SLTX Help Desk User, the EFS will automatically open to the Security sub-system and a blank Security Profile Setup page will be displayed. Otherwise, select **Security Administration** from the left navigation panel (to open the Security Profile Setup screen). You will populate the fields on this page to create a new profile for an agency.

**Agency Name**
You can select and enter the correct Agency Name by searching for either one of these two data elements:
- Agent’s License Number
- Agency Name

**Procedure**

1. Mark the radio button next to your appropriate search selection, enter the necessary information, and then click on the **Search** button to initiate the inquiry. The **Reset** button can be used to clear all fields on the page and start over.

   If you are searching based on the **Agent’s License Number**, you should type in the complete number. The correct agency name, corresponding to that license number and as licensed with the State of Texas, will appear in the Name field. You will need to confirm that the agent/agency name provided by the system matches the name provided on the registration form. An error message will display if you fail to enter a complete license number.

   If you elect to search by **Agency Name**, you may type in just the first few characters of the agency name. All valid surplus lines agent/agencies in the MIS system will be displayed based on that limited search criteria. Select the appropriate agency name as listed in the drop-down menu and confirm this entry matches the information provided on the application form.

   **Note:** An agent’s license number will not be presented if searching by agency name.

"Other than Agent" Users
The majority of EFS users will be surplus lines agents and/or their office personnel, and will require an access level to the EFS that allows for filing of policy data. However, some EFS clients will be assigned as Texas Department of Insurance (TDI) users or Comptroller of Public Accounts (CPA) users. These clients will only have the limited ability to make inquiries; view compiled filing statistics, and run a limited array of reports. Another level of users would include designated SLTX personnel–either Help Desk Administrative users or standard Help Desk staff.

**Procedure**

1. To setup the Security Profile for a non-agent user, select the **Other than Agent** option in the **Agency Name** drop-down box.
**Access Type**
This field allows you to authorize the level of access to the EFS that each agency or organization may exercise. The type of access determines which work areas a particular user can see and utilize.

**Procedure**

1. Mark the appropriate radio button for one of the three options: Agent, SLTX, or TDI/CPA.
   - **Agent** – Agent/Agency review and entry access. Single Agent/Agency only based License ID.
   - **SLTX** – SLTX employee access to EFS. Allows help desk access (Review Only) only. Help desk access allows SLTX employees to review Agent/Agency transaction for support.
   - **TDI/CPA** – Texas Department of Insurance (TDI) and Comptroller of Public Accounts (CPA) only allows access to summary reports and does not allow individual detail reports for any agency. Also, does not allow access to Transaction Inquiry or Batch Management.

**Agency Contact**
The name of the main contact person for the agency, or organization, should be entered here. This could be the agent, or the person at the agency responsible for filing transactions with SLTX.

**Procedure**

1. Enter in the Name of the main contact person Agent/Agency. This should be the initial requested user from the EFS Registration Request. In the case of an “Other than Agent” selection, the name of the contact person for SLTX or TDI/CPA should be entered in this field.

**Agency Phone Number**
You will key in the main phone number for the agency, or organization. This number is used as the contact number in the event of a problem(s) when filing transactions.

**Procedure**

1. The phone number should be entered in the ten-digit format utilizing hyphens or periods to separate the various segments of the number (e.g. 000-000-0000 or 000.000.0000) from the EFS Registration Request.

**Agency E-mail Address**
This address will serve as the “primary” address for the agency and be used for automated e-mail notifications during the process of filing and posting transactions.

**Procedure**

1. Enter the correct e-mail address for the agency or organization contact person listed above from the EFS Registration Request.

**Initial User ID**
This entry should be a shorthand version of the name provided as the Agency Administrator for the agency or other user group.
**Procedure**

1. This User ID must be **unique** within the entire EFS system, have at least one character, and not exceed ten characters in length. (e.g. johndoe)

   *Note: If a User ID is already taken the EFS system will display the message “Entered UserID already exists.” A new User ID will be required. (The User ID’s are system wide based not agency based)*

**Initial User Name**

This should be the name Agency Administrator for the organization and will be provided as part of the EFS Registration Request information.

**Procedure**

1. Enter the first and last name of Agency Administrator. (This is the initial user in the registration request.)

**Initial Password**

The password can be made of any combination of alpha and numeric characters.

**Procedure**

1. Enter the password (Temporary), it must consist of at least five (5) characters, and not exceed twenty (20) characters.

   *Note: It is recommended that after an Agency Administrator resets any user's password that the user logs on the EFS system and changes his/her password.*

**Profile Entry**

Once all the required information is completed:

**Procedure**

1. Click the **Enter** button to submit the completed Security Profile.

You will receive an immediate prompt if information for one, or more, of the fields has been omitted, or overlooked.

A verification message will be displayed at the upper portion of the screen to indicate the successful creation of a new User Profile. This new profile will also be added to the **Review Profiles** listing page accessed from the upper Security toolbar.

**Secondary Profile Setup**

Completion of the entries on this page by an SLTX staff member represents the first phase of the Security Profile Setup for an agency. Once an agent/agency receives notification of being registered to use the EFS, the designated Agency Administrator for that organization will be required to log in to the system and complete a second phase of information entry (the lower half of the Security Profile page). This additional submission of data will convert the agency’s system status from “New” to “Active.” If the Agency Administrator does not complete this function and “activate” the Security Profile, access to the EFS will be **denied** for that group.
Review of Security Profiles

To obtain a quick overview of all established profiles for all agencies in the EFS, click on the Security Administration option in the left-hand navigation pane. Then select Security Profile on the upper toolbar, and then select Review from the accompanying drop-down menu. This will display the EFS Security Profiles page. A complete listing of all Security Profiles recorded in the EFS will be displaying the Status, Profile Name, and Contact (Name) for each agency.

User status for a specific agent/agency will be displayed as one of the three following categories:

- **A** Active Status—able to access and file using the EFS.
- **N** New Status—initial Security Profile is registered in the system, but has not been completed and activated by the agency administrator.
- **I** Inactive Status—the Security Profile is registered in the system, but is switched to an "inactive" status by the decision of SLTX.

A status designation of “New” (N) means the initial Security Profile setup for that agency has been created and registered by SLTX, but the Agency Administrator has not yet signed onto the system, finalized the entry of the additional data required to complete the Security Profile, and switched that agency, or organization, to an “Active” status in the EFS. Until this secondary portion of Security Profile data is completed, this agency and its users will not be able to access the system or file transactions.

Security Profile Listing Page
The Security Profile listing provides helpful links to the Profile Maintenance pages (person holding the key) and the User Listing pages (people icon) for each of the profiles shown in the list. These selections are described below.

**Security Profile Maintenance Page**
Clicking on the icon in the first column of the Security Profiles listing for a particular agency will take you to the Security Profile Maintenance page for that agency showing all profile data. SLTX personnel will have the ability to view all profile data—but will not be able to make modifications to the information.

**User Listing Page**
Clicking on the icon in the second column of the Security Profiles listing which corresponds to a specific agency profile name will display the User Listing page, showing all of the users currently established in the EFS for that agency or organization.

By clicking on the link associated with a specific User ID, you can display the individual User Profile for that person. This link takes you to the User Profile Maintenance page where you can select a specific user name and display all system information concerning that User Profile (including the number of invalid log in attempts and the date the password expires).

Updates and modifications to this information will be the responsibility of each Agency Administrator.
Clicking on the 🔒 icon in the first column next to the User ID takes you to the Password Override page for this specific user. From here, you can reset an EFS user’s password (if you have received the appropriate request documentation). You can also access this page by using the **Password Override** button on the upper toolbar of the Security subsystem. Learn more about using this override function later in this text.
Security Profile Maintenance

Once the Security Profile for an agency has been created and established in the EFS, the administrative user for the agency will have the responsibility of maintaining the information utilized in the profile. SLTX personnel will have the ability to view all Security Profile data—but cannot make modifications to the information there.

Status Change
Due to stringent surplus lines agent eligibility requirements, SLTX staff may find it necessary to temporarily, or permanently, change an agency profile from Active to Inactive. This modification would disable that agency’s ability to access and file using the EFS.

Procedure
Select the Security Administration option in the left-hand navigation pane. This displays the Security Profile Setup page. From the top navigation select Security Profile then Review. This displays the EFS Security Profiles page.

1. Select the appropriate Agent/Agency by click on the button to open the Security Profile Maintenance page for the appropriate agency.

2. At the bottom of the screen, mark the radio button corresponding to Inactive.

3. Click button to update the profile.

A verification message will display at the top of the screen to indicate a successful modification to the status.
Password Override (Changing a user password)

Frequently, there could be a situation where an agent/agency administrator or user leaves their job unexpectedly, or because of an emergency, is unable to work for an extended time period, or does not remember their password. In this occasion, SLTX personnel have the ability to override a password for an EFS user. A password reset request, signed by agency principal, is required before SLTX personnel will reset an agency user password.

Procedure

Select the Security Administration option in the left-hand navigation pane. This displays the Security Profile Setup page.

Option 1
1. From the top navigation select Security Profile then Review. This displays the EFS Security Profiles page.

2. Select the appropriate Agent/Agency by click on the (Users) icon to open the Users Listing page for the appropriate agency.

3. Locate the appropriate users name and click on the icon to display the User Password Override page.

4. Type in a New Password for this user name.

5. Confirm the new Password by entering the information again in the Repeat New Password.

6. Click button to register this entry in the system. You will receive a verification message at the upper portion of the screen indicating the password was successfully revised.

Option 2
1. From the top navigation select Password Override button on the upper tool bar in the Security work area. The User Password Override page is displayed allowing you the ability to change an already established password for an EFS user in an agency.

2. Select the correct Agency Name from the options provided in the Agency drop-down box. Then select the appropriate User Name from those displayed in the User drop-down menu.

3. Type in a New Password for this user name.

4. Confirm the new Password by entering the information again in the Repeat New Password.

5. Click button to register this entry in the system. You will receive a verification message at the upper portion of the screen indicating the password was successfully revised.

Note: A password can be made of any combination of alpha and numeric characters, must include at least five (5) characters, and not be longer than twenty (20) characters.
Agent Emulation

Frequently, circumstances will arise that will require SLTX personnel to take on the role of a particular agent and be able to “look” at those batches, or specific transaction entry pages, with which an agent may be experiencing difficulties or having filing problems. Agent Emulation is the resource that gives you this ability to review and troubleshoot problems—and is only available to SLTX personnel.

The Agent Emulation mode is best used for addressing problems involving policy-filing procedures and difficulties that agents may have when entering batches and transactions.

Procedure
Select the Security Administration option in the left-hand navigation pane. This displays the Security Profile Setup page. Then click on Agent Emulation in the upper toolbar. This will display Agent Emulation Selection page. The “Current Emulation” status should read “None.”

To assume the role of a specific agent/agency:

1. Enter in the List Search the Agent AlphaSort name (ex: Steves = Myron F Steves & Company).
2. Verify that the Agent/Agency is listed in Agent is correct.
3. Mark the radio button to Assume.
4. Then click Enter button. A verification message will appear in the upper part of the screen and indicates that a user identity for that particular agency has been assumed.

You will also notice that an “Assumed Role” notice appears in the title bar area of the screen. This marker will remain highlighted as long as you are working in this “assumed identity” mode. There will also be new information displayed to indicate the name of the user/agency you are emulating. This “Assumed Role” mode is the same as if you had logged in to the system using that particular user’s ID and password.

From this point, you will be able to move to any of the transaction entry or batch management pages in order to “view” work in progress by this selected agency and assist in diagnosing what entries or areas might be causing a problem. SLTX personnel will not have the ability to modify transactions or policy data for the agent. In rare cases, SLTX administrative-level users will be able to delete a pending (via MIS) transaction to alleviate a problem.

To disable the agent emulation status:

1. Click on Security Administration from the left-navigation panel, and then select Agent Emulation in the upper toolbar.
2. The Emulation Selection page again displays, but now shows the Current Emulation set to the agency name you have been using.
3. Verify that the current agent/agency emulated in Agent is correct.
4. Select Mark the radio button to Clear in Action.
5. Click Enter button to disable the emulation setting.

A verification message appears at the top of the screen stating that “Agent: SLTX HELP DESK identity successfully cleared” and the Current Emulation is set to – None –.
User Profile Setup (Used for SLTX Users Only)

All agencies and other organizations utilizing the EFS must designate a least one person as their Agency Administrator. In some situations, more than one person will be needed to serve as an administrative user. The Agency Administrator’s profile will be created during the initial EFS Registration process by SLTX.

Agency Administrators will be in charge of setting up the various User Profiles for other personnel in their organization. Each person needing to access and utilize the EFS for filing transactions, making inquiries, or producing reports will require an individual User Profile.

Procedure
Upon login as an SLTX administrative user, the EFS will open to the Security sub-system and the Security Profile Setup page will be displayed.

To Create a New User Profile for an SLTX employee

1. Click on Security Administration from the left-navigation panel, and then select User Profiles > Maintain on the top toolbar. The User Profile Maintenance page is displayed.

2. Then, select the New User option from the User drop-down listing in the User field.

3. All fields will go blank for entry of New User information.

4. Enter the necessary data in the fields, as described below, to create a New User Profile.

   **User ID**
   Enter a User ID that is unique to the system. The entry can be any combination of alpha and numeric characters up to ten (10) characters maximum length. **Note:** If a User ID is already taken the EFS system will display the message “Entered UserID already exists.” A new User ID will be required. (The User ID’s are system wide based not agency based)

   **User Password**
   The User Password can be any combination of alpha and numeric characters, must have a minimum of five (5) characters, and not exceed twenty (20) characters.

   As the administrative user, you will initially enter a password for each new user. After the User Profile is created and working. Each individual user will have the ability to modify, or personalize, his/her password. This is the only level of change a non-administrative user can make to a User Profile.

   **User Name**
   Enter the user’s full name. The User Name can include hyphens and must not exceed fifty (50) characters in length. Upon completion of the profile, this is the name designation that will appear with the listing in the User drop-down menu. For SLTX employees, append –SLTX to each user name.

   **User E-mail**
   Provide the e-mail address for this user. This is the address where automated notifications and correspondence will be sent.
Authority
This designation indicates the level of access for each user in your organization. There can be more than one administrative-level user for a group. (SLTX recommends that there is more than one administrative user.)

User Status
All users should initially be set to the “Active” status. The Inactive option is in place should the Agency Administrator need to deactivate a specific user in the organization at any time—and for any reason. Corresponding profile information will not be lost or deleted and the status can be easily switched back to Active when appropriate.

5. Click Enter button to submit the new profile.
Changing Password (Current User)

While the majority of Security Administration tasks are limited to the administrative user for the agency, any EFS Help Desk user will be able to modify, or change, his/her password at any time.

The Agency Administrator will setup a User Profile for you and for the other people in your group. Once your User Profile is created, you can easily change your password as needed; but you cannot change passwords for any other EFS users in your office.

Procedure
After successful login to the system using your established User Password, click on the Change Password option in the left-hand navigation bar. This displays the Change Password page for (your User Name).

1. Type in your Old Password in the top field.
2. Enter the New Password in the next field.
3. For confirmation, repeat the new password entry in the Repeat New Password.
4. Click on Enter button to register the New Password. A verification message will appear at the top of the screen indicating a successful password change.

Note: All passwords are case sensitive. If you setup a password in all capital letters, then you must enter that password in exactly that same format when you log in to the system (i.e. JACKIE). Entering this password as “Jackie” or “jackie” will cause your login attempt to be invalid and you will not be able to gain access to the system.
Batch Management

Overview: Batch Management

All policy data sent to SLTX must be grouped into batches. Upon successful login to the system by an agency user, the Electronic Filing System (EFS) will automatically open to the Batch Management sub-system, anticipating your need to file policy information or make corrections.

The Batch Manager page will become your central resource for organizing and managing the transaction items submitted.
Batch Management Concept

Our EFS is not a direct connection into our database. Everything is handled in a batch then posting process so we can control the connectivity and data integration into our database, as well as execute multiple validations (such as required fields, calculations, etc.) on the data.

Batch Header

Each batch of policy data being filed with SLTX will require necessary Batch Header information that accompanies the group of transactions. In much the same way as the transmittal sheet has been used with “paper” filing, this header information serves as the identifier for this grouping of transactions and the EFS will utilize this data to automatically assign a Batch Number and Log ID for the new batch. Inaccurate header information will cause the batch to fail preliminary editing in the system and not progress into posting, until batch header information is corrected.

The information used in the Batch Header is also the first portion of data to be validated as the Preliminary Editing and Posting processes are initiated on a batch of transactions. See the section concerning Preliminary Edit for the validation checklist used.
Batch Manager Page

The Batch Manager page provides a general overview of all batches and their status in the system. This information includes the Batch Number and Log ID, User ID of the originator of the batch, the Receive Date (date created), the type of batch, number of items in the batch, and the status of the batch, including the number of errors found after the Posting process is completed.

You will want to become familiar with the various levels of information contained in this chart and how to move from this page to other screens showing even more detailed information about your batches and individual transactions. The categories of information displayed on the Batch Manager page are described below.

Batch Selection (Sel)
The first column of the Batch Manager chart includes the mechanism to assist you in selecting a batch for posting, or another operation. If a batch is Open (has been created with new transactions, but not yet posted) or has Preliminary Edit errors, or is an Open Correction Batch (has pending items needing correction), the first column of the chart will include an open box that can be “checked,” or selected. You can utilize this column to select one, or multiple, completed batches to submit for the posting process.

Note: If a batch has already been posted, the selection box will not be visible. (For more information see Batch Selection (Sel).)

When working with the Batch Manager page to make batch selections, you will find a series of buttons along the bottom of the screen that aid in the various batch management activities. As mentioned above, the Post button initiates the Posting process of selected batches. You can use the All button to select all batches in the listing without having to “check” each individual one; and the Clear button allows you to clear any selections made and start over. The Delete button is used to permanently remove any batch(es) from the listing.

The Refresh button at the top of the page is used to update the page to the most current information in the system. This button can be utilized during the Posting process to help monitor the progress of posting. (See Selecting Batches for Posting for more information on using the Refresh button.)
**Batch Header Maintenance**

Clicking on the “wrench” icon in the Header column of the Batch Manager chart corresponding with a particular batch will take you to the Batch Header Maintenance page for that batch. From this screen, you are able to update, or modify, the header information as needed. Each batch—whether new or correction—will require complete and accurate header information. (For more information see Batch Header Maintenance)

**Batch Transaction Listing**

Clicking on the “people” icon in the Trans column of the Batch Manager chart will display the Batch Transaction Listing page showing details on each transaction included with this specific batch. The listing indicates the policy number, transaction status, transaction type, the effective date of the policy, reference information, and total gross. (See the text concerning the Batch Transaction Listing Page for more details.)

**Batch Log ID / Batch Number**

Part of the standard batch header information, these numbers are automatically assigned by the EFS when you create a new batch of transactions. Use the Batch Number/RecDate and Log ID to keep track of transaction groups for your in-house files. All correspondence and processing e-mail notices concerning a batch will include the LogID number, which is a unique identifier of this grouping of transactions in the system.

**Type of Batches**

Batches are composed of those transactions items being filed with SLTX and are classified as either:

- **Normal Batches** – consisting of all new transactions
- **Correction Batches (COR)** – made up of only error transactions.

*Note: Normal batches cannot include any “error” transactions and conversely, correction batches can only be made up of “error” transactions.*

**Receive Date**

For the web-based filer, this denotes the date when your batch was first created in the system. In some situations, a batch may be compiled on one day, but not sent for posting until a few days later. Even if transactions are added on subsequent days, the batch will still carry the original Receive Date.

For the programmatic upload filer, the Receive Date will indicate the date when the file upload was received by the system.

**Batch Item Count and Error Count**

The Item Count number corresponds to the number of transaction items listed in Batch Header information. The Item Count in your header information and the actual number of items in the batch must always match to avoid receiving an error message when you attempt to post a batch of transactions.

The Error Count number indicates the number of transactions in the batch that contain errors after the posting process has been completed. This number should not be confused with the number of errors in an individual transaction item.

**Total Gross**

This amount represents the sum of all transaction item Total Gross amounts for the batch, as entered in the Batch Header information. As noted with the item count, the Total Gross shown in
the Header must match the sum of the actual Total Gross amounts for those transactions included in the batch. Do not include Multi-State or Exempt premiums when calculating the Total Gross.

**Batch Status**
The status of a batch is categorized as one of the following and this designation is displayed in the far-right column of the Batch Manager page:

1. **Open** – the batch has been created, or is in the process of being compiled, but has not been submitted for posting.
2. **Closed** – the batch has been submitted for posting and is waiting on the preliminary edit process to run; but the posting process is not completed.
3. **Posted with No Errors** – the batch has been successfully posted and no errors were found.
4. **Posted Batch has Errors** – the batch has been posted and includes one or more errors.
5. **Preliminary Edit Errors** – information in the Batch Header does not match the actual transaction totals in the batch or fails other Preliminary Edit criteria; the posting process has stopped and the batch is still Open for data to be adjusted.
6. **Posted–No Errs (Inelig)** – the batch has been successfully posted, however, one or more transactions had an ineligible company or syndicate assigned.
7. **Posted with Errs (Inelig)** – the batch has been posted and includes one or more errors, including transactions(s) with an ineligible company or syndicate assigned.
8. **Ready for Post Edit** – the batch is in a queue awaiting the posting process.
9. **Posting in Progress** – the batch is being processed by the posting program.
10. **Posted Batch Deleted** – a previously posted batch was deleted entirely by a subsequent Batch Delete transaction.
11. **Manual** – an abnormal condition occurred in posting; Help Desk can resubmit this batch.
12. **Validated** – the batch has successfully completed the preliminary edit process without errors and is waiting to be put into the posting queue, where the status will be changed to “Ready for Post Edit.”
**Batch Manager (Features)**

**Sorting**

When working with the Batch Manager page to search for batch selections, you will find a series of options to make your task easier. By selecting on the arrows this will allow you to sort the UserID, Batch (Batch Number), RcvDate (Received Date), and Status in Ascending or Descending order based on your needs. See example below. (Red)

**Previous Month(s) Batches**

The chart on the Batch Manager page displays a listing of all transaction batches created by users in your organization for the current month. By marking the radio button in the upper right portion of the page for **“Previous Month Batches”** you may also view those batches created and posted in the months prior. See example below (Green)

**Procedure**

1. After selecting **Previous Month(s) Batches**

2. Enter the Month (**MM**) and Year (**YYYY**) under the Previous Month Batches Filter selection. Example **Month**: 05 / **Year**: 2013

   *Note*: Once leaving the Batch Manager Screen your Search Criteria will be cleared.
Creating a New Batch

As a reminder all policy data sent to SLTX must be grouped together in “Batches”.

If not already on Batch Manage page select Batch Management from the left-hand navigation bar. This will automatically display the Batch Manager page. The Batch Manager page will provide a general overview of all batches and their status in the system.

Procedure

Select Batches from the upper toolbar, and then choose Create Batch from the drop-down menu to create a new batch. The Batch Header Maintenance page will be displayed. You will enter the following specific information about your current batch in the four open fields on the page.

- **Agent License**: Provide the correct and current license number for your agency.
- **Item Count**: Enter the total number of items (transactions) included in this batch. (There is no maximum on this count.)
- **Total Gross**: Enter the sum of all Total Gross amounts (premium + policy fee + tax + stamping fee) for each transaction in this batch. Do not include Multi-State or Exempt premiums when calculating the Total Gross.
- **Batch E-mail**: Provide your e-mail address, or another e-mail address, where you want filing notifications and report information sent during the posting process for this batch of transactions.

**Note**: The gray fields at the top of the page will automatically be populated by the system as the new header is created. You will not enter any information in these areas.

If data is entered incorrectly, the Refresh button allows you to clear the fields and start over.

Click on Create button to submit the new Batch Header information. A verification message will appear in the upper area of the page upon successful completion of the Batch Header.

After the Batch Header information is successfully submitted, the system will open the Batch Transaction Listing page, for your use in entering policy data for the current open batch. At this point the batch will not contain any items. Move to the Transactions drop-down on the upper toolbar to select the transaction entry category for your first item. Enter information on each item in the batch.

Get step-by-step instructions on preparing and filing a batch of transactions in How to Enter / File Normal Transactions.

See the section on Transaction Entry Procedures for more information about entering various categories of transactions.
Editing Existing Header Information

Portions of the Batch Header information can be easily adjusted. (Once the batch has been “Posted” no adjustments can be made to the Batch Header).

1. From the Batch Manager page, open the Batch Header Maintenance page by clicking on the " for a specific batch. The system displays the fields and information used to originally create this Header.

2. If the batch has not been posted, you can select, and enter/change new data for the fields (Agent License, Item Count, Total Gross and Batch E-mail) listed on the page as needed. Then click on Update button to submit the revised information. If the batch has already posted, the Update button will not be visible and modification cannot be made.

   Note: The Delete button will delete the entire batch.

3. The information provided in the gray panels at the top of the page is locked and cannot be modified.

OR

1. From the Batch Transaction Listing Page click Edit Header button.

   Note: If View Header button is shown the batch has already been posted and no other changes can be made.

2. Since the batch has not been posted, you can select, and enter/change new data for the fields (Agent License, Item Count, Total Gross and Batch E-mail) listed on the page as needed. Then click on Update button to submit the revised information. If the batch has already posted, the Update button will not be visible and modification cannot be made.

   Note: The Delete button will delete the entire batch.

3. The information provided in the gray panels at the top of the page is locked and cannot be modified.
## How to Enter / File Normal Transactions

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>Open the Batch Manager page. (Select <strong>Batch Management</strong> from the Left Navigation panel.)&lt;br&gt;Then, select <strong>Batches</strong> from the upper toolbar.</td>
</tr>
<tr>
<td>Step 2</td>
<td>Choose <strong>Create Batch</strong>.&lt;br&gt;Displayed will be a blank Batch Header Maintenance screen. Enter necessary information to setup a new Batch Header.&lt;br&gt;(Refer to the topic <strong>Batch Header Setup and Maintenance</strong> in the Help text for instructions on creating a new Batch Header.)</td>
</tr>
<tr>
<td>Step 3</td>
<td>When the new Batch Header information is successfully entered, the EFS will display the Batch Transaction Listing page with details on the components of the batch. At this point, there will be no transaction items showing for the new batch.</td>
</tr>
<tr>
<td>Step 4</td>
<td>Begin the entry of data for the first item in your group of transactions by clicking on <strong>Transactions</strong> on the upper toolbar and selecting the applicable category and type of transaction from the drop-down menu.&lt;br&gt;The <strong>Help</strong> button available on each entry page will provide detailed information and procedures on data entry for this particular kind of transaction.</td>
</tr>
<tr>
<td>Step 5</td>
<td>After successful completion and entry of this first transaction item to the batch, enter data on the next item in your group of transactions by repeating Step 4.&lt;br&gt;A blank Transaction Entry page for the same type of transaction you have just completed will appear as you finish an entry. Use that screen or choose the appropriate transaction category for the next item from the drop-down menu and enter the information accordingly.</td>
</tr>
<tr>
<td>Step 6</td>
<td>Enter policy data for each of the items to be included with this batch. Batches must contain at least one item, but there is no limit on the total number of items in a batch.</td>
</tr>
<tr>
<td>Step 7</td>
<td>After entering data on all of the transactions, check batch data against Header information, (i.e. total gross amounts must match and item counts must match). If Header information does not match the total gross amount and item counts select the <strong>Edit Header</strong> button to fix the Header information.&lt;br&gt;The first batch is now completed—but not filed. You can create and build additional batches at this point, if needed.</td>
</tr>
</tbody>
</table>
To submit a completed batch for posting, open the **Batch Manager** page by selecting the **Batch Manager** button on the Left Navigation.

The recently prepared new batch will appear in the listing as an “Open” (not Posted) batch. Select the completed batch(s) by checking the open box in the first column of the chart.

Then click on the **Post** button at the bottom of the screen to submit this batch(s) with SLTX.

E-mail messages will be sent to the filer originating the batch (if this address is included with the Batch Header data), and to the alternate recipients as listed in the Security Profile for your agency, to notify of the various processing events. Any Posting errors will be noted and tagged for necessary corrections. A link to any corresponding Reports for this batch will be included with the e-mail notification.
Batch Transaction Listing Page

This Transaction Listing page presents an item-by-item breakdown of each transaction that makes up a batch.

The top of the screen contains the standard Batch Header information and the offers a helpful link back to the Batch Header Maintenance page, if modifications are required.

**Note:** Once the batch has been “Posted” no adjustments can be made to the Batch Header.

The lower portion of the screen displays details and specifics on each transaction item in the batch and reflects the Status of that item after posting. Clicking on the item number link in the first column of the chart will move you to the original Transaction Entry page for that transaction. Policy data can be modified or updated as required, if the batch is “Open” — has yet to be posted. Click button to submit any changes made to the entry information data.

A transaction with a status of ERR-ILGL is an illegal pending delete transaction that is trying to delete a Delete transaction. This condition can only be caused by a file upload; it cannot be selected in a correction batch. Pending delete transactions created via the Web do not allow this condition.

**Removing an item**

The button can be used to totally delete a selected transaction item from the current batch. To remove an item listed in the Batch Transaction Listing Select the item number link in the first column. Next scroll down to the bottom of the page select button.
Successfully Posted Transactions Listing

This page provides a quick lookup for all successfully posted transactions in a particular batch.

From Batch Management select Batches, and then choose Posted Transactions. Enter the proper LogID Number from details in the Batch Header information (Batch Manager fourth column under LogID or the Batch Posted E-mail Notice), then click Select button to display the Successfully Posted Transactions Listing.

Web-based filers will find this to be a handy resource for their on-screen review, or if needing to print a checklist of successfully posted transactions.

Programmatic filers can utilize this page to select successfully posted items in a batch and download the information to update their in-house database.

To download item data:
Select the various transaction items by placing a check in the open box preceding that item number or use the select All button. Designate the File Type required as ASCII or XML. Then, click Download button to start the transmission. A prompt from your web browser will provide options and instructions on where to save the file(s).
Transaction Entry Procedures

Overview: Filing Policy Data

When logging in to the Electronic Filing System as an agency user, the EFS will automatically open to the Batch Management component of the system, in anticipation of your need to file policy data. The various filing and data-entry tasks are managed in this work area and each of the transaction entry categories can be accessed from the Transactions pull-down on the upper toolbar on the Batch Transaction Listing page.

The different transaction categories you will be using are grouped as follows:

![Transactions]

To help avoid confusion for the user, each transaction category and type of transaction within that category, has a separate entry screen to be used when filing policy information. All necessary data fields and Help resources for the particular transaction type are available on that entry page.

The Transaction drop-down menu on the Batch Transaction Listing page enables you to select the category needed and to open the appropriate entry screen for a specific type of transaction.

Getting Started

The Transaction Entry procedure always starts with the creation of a new batch—whether this is a Regular Batch or a Correction Batch—and then allows for the entry of the various transaction item data needed to build the batch. See more information in the topic, Batch Header Setup and Maintenance.

After the Batch Header information is entered and submitted, the system will open to the Batch Transaction Listing page to display information on the items in this new batch. At this point however, the batch will not contain any transactions.

You can now start entering transactions. Use the Transactions pull-down menu on the top toolbar (as illustrated above) and select the first type of transaction to be included in the batch. Your selection will open the specific entry page for that category/type of transaction. Clicking on the Help button on any transaction entry page will open step-by-step instructions on entering information for that transaction. Continue adding transactions to your batch as needed.
There are no limitations on the number of items that can be included in a batch. This is a change from the manual procedures with SLTX. Transaction items can be grouped, or batched, as needed; and you can vary the item count each time you submit a new batch of transactions.

After the group of transaction items is completed and checked, the batch can be submitted for posting. Please read the instructions in Selecting Batches for Posting and Posting Process before sending a batch to be posted.

Note: If a binder, or “evidence of coverage”, has been filed electronically with SLTX, a policy does not have to be filed, provided that all data on the policy is the same as the original binder data. Any policy information that is revised from that appearing on the binder must be reported. Typically, this means that if any policy information has changed, the user must take the necessary steps for policy reporting the binder.

Refer to the Transaction Entry Categories in the Table of Contents to find step-by-step data entry procedures for each of the various types of insurance transactions to be filed.

These same data entry instructions can also be accessed via the Help button on each individual transaction entry page.
New Policy

Use the following procedure to enter and file data for a New Policy. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The button should be used to clear fields on the page if incorrect data is entered. The button will update to current data in the system.

Note: Premium (if any), amount of tax and amount of Stamping fee is required to be shown on the item per Texas Insurance Code section 981.101(c)(3), and Texas Administrative Code sections 15.21(b)(2), and 15.23(c).

Procedure

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, and then select Policy from the drop-down listing.

3. Choose New from the list of options for policy. This will open the New Policy entry page.

4. Enter the correct ▶ Policy Number for this transaction.

5. Provide the ▶ Insured’s Name in the following field.

6. Enter the ▶ Class Code for this transaction item. Click on the icon to view an alphabetized listing of current Class Codes. Your selection in the Class Code Look-up window will automatically be inserted in the Class Code field on the entry page.

7. Enter the correct ▶ Zip Code of Risk Location.

8. Enter the correct ▶ Policy Limit for the risk.

9. Mark the appropriate radio button to designate if this transaction has Windstorm Exclusion.

10. Enter Premium Distribution information:
    Provide the correct ▶ Coverage Code(s) for this transaction. Click on the icon to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

Multiple Coverage Codes
- The button is used to add extra rows of fields for the insertion of multiple coverage codes.
Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.

- Enter the correct **Premium Amount** for each of the Coverage Codes listed.

11. Enter the correct **Policy Fee**.

12. Enter the **Total Tax**.
   Note: The current/previous Tax rates are available by selecting the Tax table icon.

13. Enter the **Stamping Fee**.
   Note: The current/previous Stamping Fee rates are available by selecting the icon.

14. Enter the **Total Gross** for this transaction.
   Note: Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.

15. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the button to enter premium breakdown information for these categories.

16. Provide the **Effective Date** of the policy.

17. Enter the **Inception Date** for this policy.

18. Enter the **Expiration Date**. If this transaction is written as a “Continuous until Canceled” policy, mark the radio button for “Yes” and leave the Expiration Date field blank.

19. Enter the **Issue Date** for the policy.

20. The **Reference** field is provided for any comment or notation you might need to make about the policy.

21. If applicable, select the appropriate **Security Contract** designation from the customized drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information on preparing these code resource pages.)
   Note: If there is not a Security Contract(s) applicable to this transaction or you have not previously setup your Security Contract(s), leave the default set to “None.” The next screen will require the assignment of the company, or companies, providing coverage on this transaction.

22. Mark the appropriate radio button to flag this transaction if the policy provides coverage for a **Federal Credit Union (FCU)**. (No is the default)
   Note: While FCUs are exempt from the Surplus Lines Taxes, they still maybe subject to Stamping fees.

23. Mark the appropriate radio button to flag this transaction if the policy is an **Exempt Commercial Purchaser**. (No is the default)

24. Mark the appropriate radio button to flag this transaction if the policy is an **Industrial Insured**. (No is the default)
25. Mark the appropriate radio button to flag this transaction if the policy is a **Purchasing Group**. (No is the default)

26. Mark the appropriate radio button to designate if this transaction **Re-Entry Due to Error Correction** (Only use if the original policy was previously posted).

27. After clicking the **Enter** button, the system will open the **New Policy Securities** page. Enter the appropriate **Securities information** for this policy here.
   - Click on the **Company codes used** icon at the top of the entry boxes to open the **Company Look-up** window to see a listing of available (previously used by you agency) companies.
   - Your selection in the Company Look-up window will be automatically inserted on the entry page.
   - If a company is not listed in the Company Look-up window, then click on the **Company codes full list** icon at the bottom of the entry boxes to view the complete list of all companies. Make note of the company number for the one you need. You will enter this company number and its percentage(s) of participation on the entry page.
   - Then, enter the applicable Percentage(s) of Participation, being certain the total is 100%.
   - If applicable, select the appropriate **Security Contract** designation from the **Security Contact** drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information on preparing these code resource pages.). If there is not a Security Contract applicable to this transaction, leave the default set to “None.”
   - Click **Enter** button to submit the information.

28. If one of the companies listed on the **Securities** page is Underwriters at Lloyd’s of London, the **New Policy Syndicates** page will open for you to provide Syndicate details.
   - Click on the **Syndicate codes used** icon at the top of the entry boxes to open the **Lloyd’s Syndicate Lookup** window to see a listing of Syndicate names/numbers previously used by your agency. Your selection in the Syndicate Look-up window will be automatically inserted on the entry page.
   - If a syndicate is not listed in the Lloyd’s Syndicate Look-up window, then click on the **Syndicate codes full list** icon at the bottom of the entry boxes to view the complete list of all syndicates. Make note of the company number for the one you need. You will enter this company number on the entry page. After this batch has been posted, the syndicate will be included in the list of available syndicates in the Syndicate Look-up window.
   - If you need additional rows to enter Syndicate participation, you can add them by clicking on the **Add Row** button at the bottom of the page.

29. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as an items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.
   **Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See **Posting Process** or **How to Enter/File Normal Transactions** for more information.
Transaction Entry – Policies

New Binder Policy

Use the following procedure to enter and file data for a New Binder Policy. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The ▶ Clear button should be used to clear fields on the page if incorrect data is entered. The ▶ Update button will update to current data in the system.

**Note:** Premium (if any), amount of tax and amount of Stamping fee is required to be shown on the item per Texas Insurance Code section 981.101(c)(3), and Texas Administrative Code sections 15.21(b)(2), and 15.23(c).

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See **Create a New Batch** or **Batch Management** for more information.

2. Click on **Transactions** on the upper toolbar, and then select **Policy** from the drop-down listing.

3. Choose **New Binder** from the list of options to open the New Binder Policy entry page.

4. Enter the correct ▶ **Binder Number** for this transaction.

5. Provide the ▶ **Insured’s Name** in the following field.

6. Enter the ▶ **Class Code** for this transaction item. Click on the ▶ **Class codes** icon to view an alphabetized listing of the current Class Codes. Your selection in the Class Code Look-up window will automatically be inserted in the Class Code field on the entry page.

7. Enter the ▶ **Zip Code of Risk Location**.

8. Enter the correct ▶ **Policy Limit** for the risk.

9. Mark the appropriate radio button to designate if this transaction has **Windstorm Exclusion**.

10. Enter Premium Distribution information:

    Provide the correct ▶ **Coverage Code(s)** for this transaction. Click on the ▶ **Coverage codes** icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

    **Multiple Coverage Codes**

    - The ▶ **Add Row** button is used to add extra rows of fields for the insertion of multiple coverage codes.

    **Note:** You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.

    Enter the correct ▶ **Premium Amount** for each of the Coverage Codes listed.
11. Enter the **Policy Fee**.

12. Enter the **Total Tax**.
   *Note:* The current/previous Tax rates are available by selecting the Tax table icon.

13. Enter the **Stamping Fee**.
   *Note:* The current/previous Stamping Fee rates are available by selecting the Stamping Fee icon.

14. Enter the **Total Gross** for this transaction.
   *Note:* Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.

15. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the OS-Exempt button to enter premium breakdown information for these categories.

16. Provide the **Effective Date** of the binder.

17. Enter the **Inception Date** for this policy.

18. Enter the **Expiration Date**. If this transaction is written as a “Continuous until Canceled” policy, you will mark the radio button for “Yes” and leave the Expiration Date field blank.

19. Enter the **Issue Date** for the binder.

20. The **Reference** field is provided for any comment or notation you might need to make about the transaction.

21. If applicable, select the appropriate **Security Contract** designation from the customized drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information)
   *Note:* If there is not a Security Contract(s) applicable to this transaction or you have not previously setup your Security Contract(s), leave the default set to “None.” The next screen will require the assignment of the company, or companies, providing coverage on this transaction.

22. Mark the appropriate radio button to flag this transaction if the policy provides coverage for a **Federal Credit Union (FCU)**. (No is the default)
   *Note:* While FCUs are exempt from the Surplus Lines Taxes, they still maybe subject to Stamping fees.

23. Mark the appropriate radio button to flag this transaction if the policy is an **Exempt Commercial Purchaser**. (No is the default)

24. Mark the appropriate radio button to flag this transaction if the policy is an **Industrial Insured**. (No is the default)

25. Mark the appropriate radio button to flag this transaction if the policy is a **Purchasing Group** (No is the default)
26. Mark the appropriate radio button to designate if this transaction due to correction (Only use if the original binder was previously posted).

27. After clicking the Enter button, the system will open the New Binder Policy Securities page. Enter the appropriate Securities information for this policy here.
   - Click on the Company codes used icon at the top of the entry boxes to open the Company Look-up window to see a listing of available (previously used by you agency) companies.
   - Your selection in the Company Look-up window will be automatically inserted on the entry page.
   - If a company is not listed in the Company Look-up window, then click on the icon at the bottom of the entry boxes to view the complete list of all companies. Make note of the company number for the one you need. You will enter this company number and its percentage(s) of participation on the entry page.
   - Then, enter the applicable Percentage(s) of Participation, being certain the total is 100%.
   - If applicable, select the appropriate Security Contract designation from the Security Contact drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information on preparing these code resource pages.). If there is not a Security Contract applicable to this transaction, leave the default set to “None.”

28. Click Enter button to submit the information.

29. If one of the companies listed on the Securities page is Underwriters at Lloyd’s of London, the New Binder Policy Syndicates page will open for you to provide Syndicate details.
   - Click on the Syndicate codes used icon at the top of the entry boxes to open the Lloyd’s Syndicate Lookup window to see a listing of Syndicate names/numbers previously used by your agency. Your selection in the Syndicate Look-up window will be automatically inserted on the entry page.
   - If a syndicate is not listed in the Lloyd’s Syndicate Look-up window, then click on the Syndicate codes full list icon at the bottom of the entry boxes to view the complete list of all syndicates. Make note of the company number for the one you need. You will enter this company number on the entry page. After this batch has been posted, the syndicate will be included in the list of available syndicates in the Syndicate Look-up window.
   - If you need additional rows to enter Syndicate participation, you can add them by clicking on the Add Row button at the bottom of the page.

30. Click Enter button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
New Policy Replacing a Binder

If a binder, or “evidence of coverage”, has been filed electronically with SLTX, a policy (to replace the binder) does not have to be filed, provided that all data on the policy is the same as the original binder data. Any policy information that is revised from that appearing on the binder must be reported. Typically, this means that if any policy information has changed, the user must take the necessary steps for policy replacing the binder.

Use the following procedure to enter and file data for a New Policy Replacing a Binder. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

An important note to agents about this transaction is that the policy replacing a binder action code, PR will automatically cancel the Binder, which will remove the money, including tax and stamping fee. Then, the money on the transaction sent by the agent will be put on the Policy that replaces the Binder. It is not necessary to submit a cancellation of the Binder, but it is necessary to provide the premium, tax, stamping fee and total gross. A blank, or value of zero, is allowed in these fields only when there is not a premium.

The Required Fields for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The button should be used to clear fields on the page if incorrect data is entered. The button will update to current data in the system.

Note: Premium (if any), amount of tax and amount of Stamping fee is required to be shown on the item per Texas Insurance Code section 981.101(c)(3), and Texas Administrative Code sections 15.21(b)(2), and 15.23(c).

Procedure

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.
2. Click on Transactions on the upper toolbar, and then select Policy from the drop-down listing.
3. Choose New Replace Binder from the list of options for policies. This will open the New Policy Replacing Binder entry page.
4. Enter the ▶ Policy Number for this transaction that replaces the binder.
5. Enter the Binder Number, if the existing binder to be replaced has a different policy number than the one replacing it. The system will search for information under this number.
6. Provide the ▶ Insured’s Name in the next field.
7. Enter the ▶ Class Code for this transaction item. Click on the Class Codes icon to view an alphabetized listing of current Class Codes. Your selection in the Class Code Look-up window will automatically be inserted in the Class Code field on the entry page.
8. Enter the **Zip Code of Risk Location**.
   Note: This is not the zip code of the mailing address, nor the zip code of a PO Box (even if shown as the premises of risk location)

9. Enter the correct **Policy Limit** for the risk.

10. Mark the appropriate radio button to designate if this transaction has **Windstorm Exclusion**.

11. Enter Premium Distribution information:
    Provide the correct **Coverage Code(s)** for this transaction. Click on the **Coverage codes** icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

    **Multiple Coverage Codes**
    - The **Add Covg Row** button is used to add extra rows of fields for the insertion of multiple coverage codes.
    
    Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.

12. Enter the **Policy Fee**.

13. Enter the **Total Tax**.
   
   Note: The current /previous Tax rates are available by selecting the **Tax table** icon.

14. Enter the **Stamping Fee**.
   
   Note: The current/previous Stamping Fee rates are available by selecting the **Stamping Fee** icon.

15. Enter the **Total Gross** for this transaction.
   
   Note: Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.

16. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the **OS Exempt** button to enter premium breakdown information for these categories.

17. Provide the **Effective Date** of the Binder. This is the effective date of the binder that is being replaced.

18. Enter the **Inception Date** for this policy. This is the inception date shown on this Policy replacing the Binder.

19. Enter the **Expiration Date**. If this transaction is written as a “Continuous until Canceled” policy, you will mark the radio button for “Yes” and leave the Expiration Date field blank.

20. Enter the **Issue Date** for the policy. (This is the date that the policy was issued/received to the agency)
21. The **Reference** field is provided for any comment or notation you might need to make about the policy.

22. Provide the **Qualified Policy ID** Number. This field is required only if there have been multiple binders issued prior to this policy, which use the same policy number. The correct parent ID must be shown here.

23. If applicable, select the appropriate **Security Contract** designation from the customized drop-down listing of contracts used for your agency. (See [Securities and Security Contracts](#) for more information)

   *Note*: if there is not a Security Contract(s) applicable to this transaction or you have not previously setup your Security Contract(s), leave the default set to “None.” The next screen will require the assignment of the company, or companies, providing coverage on this transaction.

24. Mark the appropriate radio button to flag this transaction if the policy provides coverage for a **Federal Credit Union** *(FCU)*. *(No is the default)*

   *Note*: While FCUs are exempt from the Surplus Lines Taxes, they still may be subject to Stamping fees.

25. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. *(Example: if the agent/agency of the originating policy was different from the current agent/agency processing current the filing)*

   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** *(Previous Agent License Number)*. If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assistance.

26. Mark the appropriate radio button to flag this transaction if the policy is an **Exempt Commercial Purchaser**. *(No is the default)*

27. Mark the appropriate radio button to flag this transaction if the policy is an **Industrial Insured**. *(No is the default)*

28. Mark the appropriate radio button to flag this transaction if the policy is a **Purchasing Group**. *(No is the default)*

29. Mark the appropriate radio button for **Re-Entry Due to Error Correction** *(Only use if the original transaction was previously posted)*.

30. After clicking the **Enter** button, the system will open the New Policy Replacing Binder Securities page. Enter the appropriate **Securities** information for this policy here.

   - Click on the **Company codes used** icon at the top of the entry boxes to open the Company Look-up window to see a listing of available (previously used by you agency) companies.
   - Your selection in the Company Look-up window will be automatically inserted on the entry page.
   - If a company is not listed in the Company Look-up window, then click on the **Company codes full list** icon at the bottom of the entry boxes to view the complete list of all companies. Make note of the company number for the one you need. You will
enter this company number and its percentage(s) of participation on the entry page. 
• Then, enter the applicable Percentage(s) of Participation, being certain the total is 100%.
• If applicable, select the appropriate **Security Contract** designation from the **Security Contact** drop-down listing of contracts used for your agency. (See **Securities and Security Contracts** for more information on preparing these code resource pages.) If there is not a Security Contract applicable to this transaction, leave the default set to “None.”

31. Click **Enter** button to submit the information.

32. If one of the companies listed on the **Securities** page is Underwriters at Lloyd’s of London, the **New Policy Syndicates** page will open for you to provide Syndicate details.

   • Click on the **Syndicate codes used** icon at the top of the entry boxes to open the Lloyd’s Syndicate Lookup window to see a listing of Syndicate names/numbers previously used by your agency. Your selection in the Syndicate Look-up window will be automatically inserted on the entry page.
   • If a syndicate is not listed in the Lloyd’s Syndicate Look-up window, then click on the **Syndicate codes full list** icon at the bottom of the entry boxes to view the complete list of all syndicates. Make note of the company number for the one you need. You will enter this company number on the entry page. After this batch has been posted, the syndicate will be included in the list of available syndicates in the Syndicate Look-up window.
   • If you need additional rows to enter Syndicate participation, you can add them by clicking on the **Add Row** button at the bottom of the page.

33. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

**Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See **Posting Process** or **How to Enter/File Normal Transactions** for more information.
Transaction Entry – Policies

Renewal Policy

Use the following procedure to enter and file data for a Renewal Policy. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The ➤ Clear button should be used to clear fields on the page if incorrect data is entered. The ➤ Refresh button will update to current data in the system.

Note: Premium (if any), amount of tax and amount of Stamping fee is required to be shown on the item per Texas Insurance Code section 981.101(c)(3), and Texas Administrative Code sections 15.21(b)(2), and 15.23(c).

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, and then select Policy from the drop-down listing.

3. Choose Renew from the list of options for policies. This will open the Renewal Policy entry page.

4. Enter the correct ➤ Policy Number for this transaction.

5. Provide the ➤ Insured’s Name in the following field.

6. Enter the ➤ Class Code for this transaction item. Click on the ➤ Class codes icon to view an alphabetized listing of current Class Codes. Your selection in the Class Code Look-up window will automatically be inserted in the Class Code field on the entry page.

7. Enter the ➤ Zip Code of Risk Location.

8. Enter the correct ➤ Policy Limit for the risk.

9. Mark the appropriate radio button to designate if this transaction has Windstorm Exclusion.

10. Enter Premium Distribution information:
    Provide the correct ➤ Coverage Code(s) for this transaction. Click on the ➤ Coverage codes icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

Multiple Coverage Codes
- The ➤ Add Cov Row button is used to add extra rows of fields for the insertion of multiple coverage codes.

Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.
• Enter the correct Premium Amount for each of the Coverage Codes listed.

11. Enter the correct **Policy Fee**.

12. Enter the **Total Tax**.
   *Note: The current/previous Tax rates are available by selecting the Tax table icon.*

13. Enter the **Stamping Fee**.
   *Note: The current/previous Stamping Fee rates are available by selecting the Stamping Fee icon.*

14. Enter the **Total Gross** for this transaction.
   *Note: Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.*

15. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the button to enter premium breakdown information for these categories.

16. Provide the **Effective Date** of the policy.

17. Enter the **Expiration Date**. If this transaction is written as a “Continuous until Canceled” policy, you will mark the radio button for “Yes” and leave the Expiration Date field blank.

18. Enter the **Issue Date** for the policy.

19. The **Reference** field is provided for any comment or notation you might need to make about the policy.

20. If applicable, select the appropriate **Security Contract** designation from the customized drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information)
   *Note: If there is not a Security Contract(s) applicable to this transaction or you have not previously setup your Security Contract(s), leave the default set to “None.” The next screen will require the assignment of the company, or companies, providing coverage on this transaction.*

21. Mark the appropriate radio button to flag this transaction if the policy provides coverage for a **Federal Credit Union (FCU)**. (No is the default)
   *Note: While FCUs are exempt from the Surplus Lines Taxes, they still maybe subject to Stamping fees.*

22. Mark the appropriate radio button to flag this transaction if the policy is an **Exempt Commercial Purchaser**. (No is the default)

23. Mark the appropriate radio button to flag this transaction if the policy is an **Industrial Insured**. (No is the default)

24. Mark the appropriate radio button to flag this transaction if the policy is a **Purchasing Group** (No is the default)
25. Mark the appropriate radio button to designate if this transaction due to correction (Only use if the original transaction was previously posted)

26. After clicking the **Enter** button, the system will open the **New Policy Securities** page. Enter the appropriate **Securities** information for this policy here.

- Click on the **Company codes used** icon at the top of the entry boxes to open the **Company Look-up** window to see a listing of available (previously used by you agency) companies.
- Your selection in the Company Look-up window will be automatically inserted on the entry page.
- If a company is **not** listed in the Company Look-up window, then click on the **Company codes full list** icon at the bottom of the entry boxes to view the complete list of **all** companies. Make note of the company number for the one you need. You will enter this company number and its percentage(s) of participation on the entry page.
- Then, enter the applicable Percentage(s) of Participation, being certain the total is 100%.

27. If applicable, select the appropriate **Security Contract** designation from the **Security Contract** drop-down listing of contracts used for your agency. (See **Securities and Security Contracts** for more information on preparing these code resource pages.). If there is not a Security Contract applicable to this transaction, leave the default set to “None.”

28. Click **Enter** button to submit the information.

29. If one of the companies listed on the **Securities** page is Underwriters at Lloyd’s of London, the **New Policy Syndicates** page will open for you to provide Syndicate details.

- Click on the **Syndicate codes used** icon at the top of the entry boxes to open the **Lloyd’s Syndicate Lookup** window to see a listing of Syndicate names/numbers previously used by your agency. Your selection in the Syndicate Look-up window will be automatically inserted on the entry page.
- If a syndicate is not listed in the **Lloyd’s Syndicate Look-up** window, then click on the **Syndicate codes full list** icon at the bottom of the entry boxes to view the complete list of all syndicates. Make note of the company number for the one you need. You will enter this company number on the entry page. After this batch has been posted, the syndicate will be included in the list of available syndicates in the Syndicate Look-up window.
- If you need additional rows to enter Syndicate participation, you can add them by clicking on the **Add Row** button at the bottom of the page.

30. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

*Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See **Posting Process** or **How to Enter/File Normal Transactions** for more information.*
Transaction Entry – Policies

Renewal Binder Policy

Use the following procedure to enter and file data for a Renewal Binder Policy. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The  button should be used to clear fields on the page if incorrect data is entered. The  button will update to current data in the system.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, and then select Policy from the drop-down listing.

3. Choose Renew Binder from the list of options for policies. This will open the Renewal Binder Policy entry page.

4. Enter the correct ➤ Binder Number for this transaction.

5. Provide the ➤ Insured’s Name in the following field.

6. Enter the ➤ Class Code for this transaction item. Click on the ➤ icon to view an alphabetized listing of current Class Codes. Your selection in the Class Code Look-up window will automatically be inserted in the Class Code field on the entry page.

7. Enter the ➤ Zip Code of Risk Location.

8. Enter the correct ➤ Policy Limit for the risk.

9. Mark the appropriate radio button to designate if this transaction has Windstorm Exclusion.

10. Enter Premium Distribution information:
    Provide the correct ➤ Coverage Code(s) for this transaction. Click on the ➤ icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

    Multiple Coverage Codes
    • The ➤ button is used to add extra rows of fields for the insertion of multiple coverage codes.

    Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.
    • Enter the correct Premium Amount for each of the Coverage Codes listed.

11. Enter the correct Policy Fee.
Enter the **Total Tax**.
*Note:* The current/previous Tax rates are available by selecting the Tax table icon.

12. Enter the **Stamping Fee**.
*Note:* The current/previous Stamping Fee rates are available by selecting the icon.

13. Enter the **Total Gross** for this transaction.
*Note:* Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.

14. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the button to enter premium breakdown information for these categories.

15. Provide the **Effective Date** of the binder.

16. Enter the **Expiration Date**. If this transaction is written as a “Continuous until Canceled” policy, you will mark the radio button for “Yes” and leave the Expiration Date field blank.

17. Enter the **Issue Date** for the binder.

18. The **Reference** field is provided for any comment or notation you might need to make about the transaction.

19. If applicable, select the appropriate **Security Contract** designation from the customized drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information)
*Note:* If there is not a Security Contract(s) applicable to this transaction or you have not previously setup your Security Contract(s), leave the default set to “None.” The next screen will require the assignment of the company, or companies, providing coverage on this transaction.

20. Mark the appropriate radio button to flag this transaction if the policy provides coverage for a **Federal Credit Union (FCU)**. (No is the default)
*Note:* While FCUs are exempt from the Surplus Lines Taxes, they still maybe subject to Stamping fees.

21. Mark the appropriate radio button to flag this transaction if the policy is an **Exempt Commercial Purchaser**. (No is the default)

22. Mark the appropriate radio button to flag this transaction if the policy is an **Industrial Insured**. (No is the default)

23. Mark the appropriate radio button to flag this transaction if the policy is a **Purchasing Group**. (No is the default)

24. Mark the appropriate radio button to designate if this transaction due to correction (Only use if the original transaction was previously posted).
After clicking the **Enter** button, the system will open the *Renewal Binder Policy Securities* page. Enter the appropriate **Securities** information for this policy here.

- **Click on the icon at the top of the entry boxes to open the Company Look-up window to see a listing of available (previously used by you agency) companies.**
- Your selection in the Company Look-up window will be automatically inserted on the entry page.
- If a company is **not** listed in the Company Look-up window, then click on the **icon at the bottom of the entry boxes to view the complete list of all companies. Make note of the company number for the one you need. You will enter this company number and its percentage(s) of participation on the entry page.**
- Then, enter the applicable Percentage(s) of Participation, being certain the total is 100%.
- If applicable, select the appropriate **Security Contract** designation from the **Security Contact** drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information on preparing these code resource pages.). If there is not a Security Contract applicable to this transaction, leave the default set to "None."

25. Click **Enter** button to submit the information.

26. If one of the companies listed on the **Securities** page is Underwriters at Lloyd’s of London, the **New Policy Syndicates** page will open for you to provide Syndicate details.

- **Click on the **icon at the top of the entry boxes to open the Lloyd’s Syndicate Lookup window to see a listing of Syndicate names/numbers previously used by your agency. Your selection in the Syndicate Look-up window will be automatically inserted on the entry page.**
- If a syndicate is not listed in the Lloyd’s Syndicate Look-up window, then click on the **icon at the bottom of the entry boxes to view the complete list of all syndicates. Make note of the company number for the one you need. You will enter this company number on the entry page. After this batch has been posted, the syndicate will be included in the list of available syndicates in the Syndicate Look-up window.**
- If you need additional rows to enter Syndicate participation, you can add them by clicking on the **Add Row** button at the bottom of the page.

27. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

**Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry – Policies

Renewal Policy Replacing a Binder

If a binder, or “evidence of coverage,” has been filed electronically with SLTX, a policy (to replace the binder) does not have to be filed, provided that all data on the policy is the same as the original binder data. Any policy information that is revised from that appearing on the binder must be reported. Typically, this means that if any policy information has changed, the user must take the necessary steps for policy replacing the binder.

Use the following procedure to enter and file data for a Renewal Policy Replacing a Binder. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

An important note to agents about this transaction is that the policy replacing a binder action code, PR will automatically cancel the Binder, which will remove the money, including tax and stamping fee. Then, the money on the transaction sent by the agent will be put on the Policy that replaces the Binder. It is not necessary to submit a cancellation of the Binder, but it is necessary to provide the premium, tax, stamping fee and total gross. A blank, or value of zero, is allowed in these fields only when there is not a premium.

The Required Fields for this entry are indicated by an arrowhead next to the field name in the text below. The button should be used to clear fields on the page if incorrect data is entered. The button will update to current data in the system.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, and then select Policy from the drop-down listing.

3. Choose Renew Replace Binder from the list of options for policies. This will open the Renewal Policy Replacing Binder entry page.

4. Enter the correct Policy Number for this transaction that replaces the binder.

5. Enter the Binder Number if the existing binder to be replaced has a different policy number than the one replacing it. The system will search for information under this number.

6. Provide the Insured’s Name in the following field.

7. Enter the Class Code for this transaction item. Click on the icon to view an alphabetized listing of current Class Codes. Your selection in the Class Code Look-up window will automatically be inserted in the Class Code field on the entry page.

8. Enter the Zip Code of Risk Location.

9. Enter the correct Policy Limit for the risk.
10. Mark the appropriate radio button to designate if this transaction has [Windstorm Exclusion].

11. Enter Premium Distribution information:
Provide the correct [Coverage Code(s)] for this transaction. Click on the icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

**Multiple Coverage Codes**
- The **Add Entry Row** button is used to add extra rows of fields for the insertion of multiple coverage codes.
  - **Note:** You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.

12. Enter the correct [Policy Fee].

13. Enter the [Stamping Fee].
  - **Note:** The current/previous Stamping Fee rates are available by selecting the icon.

14. Enter the [Total Gross] for this transaction.
  - **Note:** Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.

15. If the policy includes [Exempt Premium or Premium for Risks in Other States], click on the button to enter premium breakdown information for these categories.

16. Provide the [Effective Date] of the Binder. This is the effective date of the binder that is being reported.

17. Enter the [Inception Date] for this policy. This is the inception date shown on the Policy replacing Binder.

18. Enter the [Expiration Date]. If this transaction is written as a “Continuous until Cancelled” policy, you will mark the radio button for “Yes” and leave the Expiration Date field blank.

19. Enter the [Issue Date] for the policy.

20. The [Reference] field is provided for any comment or notation you might need to make about the policy.

21. Provide the [Qualified Policy ID] Number. This field is required only if there have been multiple binders issued prior to this policy, which use the same policy number. The correct parent ID must be shown here.
22. If applicable, select the appropriate **Security Contract** designation from the customized drop-down listing of contracts used for your agency. (See **Securities and Security Contracts** for more information)
   **Note:** If there is not a Security Contract(s) applicable to this transaction or you have not previously setup your Security Contract(s), leave the default set to “None.” The next screen will require the assignment of the company, or companies, providing coverage on this transaction.

23. Mark the appropriate radio button to flag this transaction if the policy provides coverage for a **Federal Credit Union (FCU)**. (**No** is the default)
   **Note:** While FCUs are exempt from the Surplus Lines Taxes, they still maybe subject to Stamping fees.

24. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)
   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assistance.

25. Mark the appropriate radio button to flag this transaction if the policy is an **Exempt Commercial Purchaser**. (**No** is the default)

26. Mark the appropriate radio button to flag this transaction if the policy is an **Industrial Insured**. (**No** is the default)

27. Mark the appropriate radio button to flag this transaction if the policy is a **Purchasing Group**. (**No** is the default)

28. Mark the appropriate radio button for **Re-Entry Due to Error** (Only use if the original transaction was previously posted).

29. After clicking the **Enter** button, the system will open the **New Policy Replacing Binder Securities** page. Enter the appropriate **Securities** information for this policy here.
   - Click on the **Company Look-up** window to open the Company Look-up window to see a listing of available (previously used by you agency) companies.
   - Your selection in the Company Look-up window will be automatically inserted on the entry page.
   - If a company is not listed in the Company Look-up window, then click on the **Company codes full list** icon at the bottom of the entry boxes to view the complete list of all companies. Make note of the company number for the one you need. You will enter this number and its percentage(s) of participation on the entry page.
   - Then, enter the applicable Percentage(s) of Participation, being certain the total is 100%.
   - If applicable, select the appropriate **Security Contract** designation from the **Security Contact** drop-down listing of contracts used for your agency. (See **Securities and Security Contracts** for more information on preparing these code resource pages.). If there is not a Security Contract applicable to this transaction, leave the default set to “None.”
30. Click Enter button to submit the information.

31. If one of the companies listed on the Securities page is Underwriters at Lloyd’s of London, the New Policy Syndicates page will open for you to provide Syndicate details.

- Click on the Syndicate codes used icon at the top of the entry boxes to open the Lloyd’s Syndicate Lookup window to see a listing of Syndicate names/numbers previously used by your agency. Your selection in the Syndicate Look-up window will be automatically inserted on the entry page.
- If a syndicate is not listed in the Lloyd’s Syndicate Look-up window, then click on the Syndicate codes full list icon at the bottom of the entry boxes to view the complete list of all syndicates. Make note of the company number for the one you need. You will enter this company number on the entry page. After this batch has been posted, the syndicate will be included in the list of available syndicates in the Syndicate Look-up window.
- If you need additional rows to enter Syndicate participation, you can add them by clicking on the Add Row button at the bottom of the page.

32. Click Enter button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry Categories – Endorsements

Expiration Date Change Endorsement

Use the following procedure to enter and file data for an Expiration Date Change Endorsement. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The **Clear** button should be used to clear fields on the page if incorrect data is entered. The **Refresh** button will update to current data in the system.

*Note: Date extensions should be processed as Renewals to check stamping fee and company eligibility. See Date extensions for more information*

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on **Transactions** on the upper toolbar, and then select **Endorsements** from the drop-down menu.

3. Select **Expiration Date** to open the Expiration Date Change Endorsement entry page.

4. Enter the ➤ **Policy Number** for the endorsement.

5. Enter the ➤ **Effective Date** of this endorsement.

6. Enter the **New Expiration Date** for this endorsement.

7. Provide the **Issue Date** for this endorsement.

8. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this endorsement. (Where the binder was filed by a different agency)

   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assistance.

9. Enter the **Qualified Policy ID** number. This field is required only if there have been multiple binders/policies issued, which use the same policy number. The correct parent ID must be shown here.

10. The **Reference** field allows for any notes or comments you have about the transaction.

11. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification
**EFS – Transaction Entry Categories – Endorsements**

message will appear at the top of the screen to indicate the successful entry of this item to the batch.

*Note:* The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See [Posting Process](#) or [How to Enter/File Normal Transactions](#) for more information.
**EFS – Transaction Entry Categories – Endorsements**

**Transaction Entry – Endorsements**

**Inception Date Change Endorsement**

Use the following procedure to enter and file data for an Inception Date Change Endorsement. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The ❯ button should be used to clear fields on the page if incorrect data is entered. The ✅ button will update to current data in the system.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then select Endorsements from the dropdown menu.

3. Select Inception Date to open the Inception Date Change Endorsement entry page.

4. Enter the ➤ **Policy Number** for the transaction.

5. Enter the ➤ **Effective Date** of the endorsement.

6. Enter the ➤ **New Inception Date** for the policy.

7. Enter the ➤ **New Expiration Date** for the policy. **Note:** This field is optional. If this number is used, the system will create an Expiration Date Change Endorsement automatically and post it first, then post the Inception Date Change.

8. Enter the **Issue Date**.

9. Mark the appropriate radio button to flag this transaction if a Change Agent of Record has occurred for this endorsement. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)
   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assistance.

10. Enter the **Qualified Policy ID** Number. This field is required only if there have been multiple binders/policies issued, which use the same policy number. The correct parent ID must be shown here.

11. The **Reference** field allows for any notes or comments you have about this transaction.

12. Click ✅ button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification
message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry – Endorsements

Name Change Endorsement

Use the following procedure to enter and file data for a Name Change Endorsement. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The ▶ button should be used to clear fields on the page if incorrect data is entered. The ▶ button will update to current data in the system.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Endorsements from the drop-down menu.

3. Select Name Change to open the Name Change Endorsement entry page.

4. Enter the ▶ Policy Number for the transaction.

5. Enter the ▶ Effective Date of the endorsement.

6. Provide the ▶ New Insured’s Name.

7. Enter the Issue Date of the endorsement.

8. Mark the appropriate radio button to flag this transaction if a Change Agent of Record has occurred for this endorsement. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)

   • If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the Prev AgLicNo (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assistance.

9. Enter the Qualiﬁed Policy ID Number. This ﬁeld is required only if there have been multiple binders/policies issued, which use the same policy number. The correct parent ID must be shown here.

10. The Reference field allows for any notes or comments you have about the endorsement.

11. Click ▶ button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a veriﬁcation message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry – Endorsements

Policy Number Change Endorsement

Use the following procedure to enter and file data for a Policy Number Change Endorsement. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The  button should be used to clear fields on the page if incorrect data is entered. The  button will update to current data in the system.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on **Transactions** on the upper toolbar, and then select **Endorsements** from the drop-down menu. Choose **Policy Number** to open the **Policy Number Change Endorsement** entry page.

3. Enter the original ➤ **Policy Number** for the transaction.

4. Provide the ➤ **Effective Date** for the endorsement.

5. Enter the ➤ **New Policy Number** to be used for this transaction.

6. Provide the **Issue Date**.

7. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this endorsement. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)
   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assistance.

8. Enter the **Qualified Policy ID** Number. This field is required only if there have been multiple binders/policies issued, which use the same policy number. The correct parent ID must be shown here.

9. The **Reference** field allows for any notes or comments you have about the transaction.

10. Click  button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

**Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See **Posting Process** or **How to Enter/File Normal Transactions** for more information.
Transaction Entry – Endorsements

Premium Endorsement

Use the following procedure to enter and file data for a Premium Endorsement. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an arrowhead next to the field name in the text below. The button should be used to clear fields on the page if incorrect data is entered. The button will update to current data in the system.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Endorsements from the drop-down menu. Choose Premium to open the Premium Endorsement entry page.

3. Enter the correct Policy Number for this transaction.

4. Enter the Zip Code of Risk Location for this endorsement.

5. Enter the correct Policy Limit for the risk.

6. Mark the appropriate radio button to designate if this transaction has Windstorm Exclusion (if applicable, when adding property coverage to the policy).

7. Enter Premium Distribution information:
   Provide the correct Coverage Code(s) for this transaction. Click on the icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

   Multiple Coverage Codes
   • The button is used to add extra rows of fields for the insertion of multiple coverage codes.
   Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.
   • Enter the correct Premium Amount for each of the Coverage Codes listed.

8. Enter the correct Policy Fee.

9. Enter the Total Tax.
   Note: The current/previous Tax rates are available by selecting the Tax table icon.

10. Enter the Stamping Fee.
    Note: the current/previous Stamping Fee rates are available by selecting the icon.

11. Enter the Total Gross for this transaction.
**Note:** Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.

12. If the policy includes [Exempt Premium or Premium for Risks in Other States](#), click on the button to enter premium breakdown information for these categories.

13. Provide the Effective Date of the endorsement.

14. Enter the Issue Date for the endorsement.

15. The Reference field is provided for any comment or note you might need to make about the transaction.

16. Mark the appropriate radio button to flag this transaction if a Change Agent of Record has occurred for this endorsement. ((Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)

   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the Prev AgLicNo (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assist.

17. Enter the Qualified Policy ID. This field is required only if there have been multiple binders/policies issued, which use the same policy number. The correct parent ID must be shown here.

18. Click Enter to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

**Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry – Endorsements

Security Change Endorsement

Use the following procedure to enter and file data for a Security Change Endorsement. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The button should be used to clear fields on the page if incorrect data is entered. The button will update to current data in the system.

Procedure

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Endorsements from the drop-down menu. Choose Security Change to open the Security Change Endorsement entry page.

3. Enter the ▶ Policy Number for the transaction.

4. Provide the ▶ Effective Date of the security change.

5. Enter the Issue Date.

6. Mark the appropriate radio button to flag this transaction if a Change Agent of Record has occurred for this endorsement. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)
   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the Prev AgLicNo (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assistance.

7. Enter the Qualified Policy ID. This field is required only if there have been multiple binders/policies issued, which use the same policy number. The correct parent ID must be shown here.

8. The Reference field allows for any notes or comments you have about the transaction.

9. If applicable, select the appropriate Security Contract designation from the customized drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information on preparing these code resource pages.)
   - If there is not a Security Contract applicable to this transaction, leave the default set to “None.” Since you are entering a change to securities, the next screen will require the assignment of the company, or companies, providing coverage on this transaction.
10. After clicking the button, the system will open the **New Policy Securities** page. Enter the appropriate **Securities** information for this policy here.

- Click on the Company codes used icon at the top of the entry boxes to open the Company Look-up window to see a listing of available (previously used by your agency) companies.
- Your selection in the Company Look-up window will be automatically inserted on the entry page.
- If a company is not listed in the Company Look-up window, then click on the icon at the bottom of the entry boxes to view the complete list of all companies. Make note of the company number for the one you need. You will enter this company number and its percentage(s) of participation on the entry page.
- Then, enter the applicable Percentage(s) of Participation, being certain the total is 100%.
- If applicable, select the appropriate **Security Contract** designation from the Security Contact drop-down listing of contracts used for your agency. (See Securities and Security Contracts for more information on preparing these code resource pages.). If there is not a Security Contract applicable to this transaction, leave the default set to "None."

11. Click Enter to submit the information.

12. If one of the companies listed on the **Securities** page is Underwriters at Lloyd’s of London, the **New Policy Syndicates** page will open for you to provide Syndicate details.

- Click on the Syndicate codes used icon at the top of the entry boxes to open the Lloyd’s Syndicate Lookup window to see a listing of Syndicate names/numbers previously used by your agency. Your selection in the Syndicate Look-up window will be automatically inserted on the entry page.
- If a syndicate is not listed in the Lloyd’s Syndicate Look-up window, then click on the Syndicate codes full list icon at the bottom of the entry boxes to view the complete list of all syndicates. Make note of the company number for the one you need. You will enter this company number on the entry page. After this batch has been posted, the syndicate will be included in the list of available syndicates in the Syndicate Look-up window.
- If you need additional rows to enter Syndicate participation, you can add them by clicking on the Add Row button at the bottom of the page.

13. Click Enter to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

*Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.*
Transaction Entry Categories – Cancellations

Transaction Entry – Cancellations

Policy Cancellation

Use the following procedure to enter and file data for a Policy Cancellation. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an arrowhead next to the field name in the text below. The button should be used to clear fields on the page if incorrect data is entered. The button will update to current data in the system.

Procedure

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Cancellations from the drop-down listing. Choose Cancellation to open the Cancellation entry page.

3. Provide the Policy Number for the transaction.

4. Enter Premium Distribution information:
   - Provide the correct Coverage Code(s) for this transaction. Click on the icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.
   - The button is used to add extra rows of fields for the insertion of multiple coverage codes.
   - Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.
   - Enter the correct Premium Amount for each of the Coverage Codes listed.

5. Enter the correct Policy Fee in the next field.

6. Enter the Total Tax.
   - Note: The current/previous Tax rates are available by selecting the icon.

7. Enter the Stamping Fee.
   - Note: The current/previous Stamping Fee rates are available by selecting the icon.

8. Enter the Total Gross for this transaction.
   - Note: Check your calculations very carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.
9. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the button to enter premium breakdown information for these categories.

10. Provide the ➤ **Effective Date** of the cancellation.

11. Enter the **Issue Date**.

12. The **Reference** field is provided for any comment or note you might need to make about the transaction.

13. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)

   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assist.

14. Enter the **Qualified Policy ID** Number. This field is required only if there have been multiple binders/policies issued, which use the same policy number. The correct parent ID must be shown here.

15. Click **Enter** to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

*Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.*
Transaction Entry – Cancellations

Cancellation Amendment

Use the following procedure to enter and file data for a Cancellation Amendment. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The ▶ button should be used to clear fields on the page if incorrect data is entered. The ▶ button will update to current data in the system.

Procedure

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Cancellations from the drop-down listing. Select Amended Cancel to open the Amended Cancellation entry page.

   Note: As a reminder the State of Texas requires the premium and rate charged, and premium taxes to be collected from the insured to be on the policy according to Sec. 981.101 of the Texas Insurance Code.

3. Provide the ▶ Policy Number for the transaction.

4. Enter Premium Distribution information:
   Provide the correct ▶ Coverage Code(s) for this transaction. Click on the ▶ icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

   Multiple Coverage Codes
   • The ▶ button is used to add extra rows of fields for the insertion of multiple coverage codes.
     Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.
   • Enter the correct Premium Amount for each of the Coverage Codes listed.

5. Enter the correct Policy Fee in the next field.

6. Enter the Total Tax.
   Note: The current/previous Tax rates are available by selecting the ▶ Tax table icon.

7. Enter the Stamping Fee.
   Note: The current/previous Stamping Fee rates are available by selecting the ▶ Stamping Fee icon.

8. Enter the Total Gross for this transaction.
   Note: Check your calculations very carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.
9. If the cancellation amendment includes **Exempt Premium or Premium for Risks in Other States**, click on the button to enter premium breakdown information for these categories.

10. Provide the **Effective Date** for the cancellation.
    
    **Note:** In order for this amendment transaction to post without errors, there must be a Cancellation transaction with the same Effective Date for this policy number.
    You are amending an existing cancellation.

11. Enter the **Issue Date**.

12. The **Reference** field is provided for any comment or note you might need to make about the transaction.

13. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)

   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assist.

14. Enter the **Qualified Policy ID**. This field is required only if there have been multiple binders/policies issued, which use the same policy number. The correct parent ID must be shown here.

15. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

**Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See **Posting Process** or **How to Enter/File Normal Transactions** for more information.
**Transaction Entry Categories – Reversals**

Transaction Entry – Reversals

**Cancellation Reversal**

Use the following procedure to enter and file data for a Cancellation Reversal. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The **Refresh** button should be used to clear fields on the page if incorrect data is entered. The **Refresh** button will update to current data in the system.

**Procedure**

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Reversals from the drop-down menu. Choose Cancellation to open the Cancellation Reversal entry page.

3. Enter the correct ➤ Policy Number for this transaction.

4. Provide the ➤ Effective Date for the reversal in the next field.

5. Enter the **Total Gross**.
   **Note:** The Total Gross amount is used as an additional filter when searching for the policy cancellation to be reversed. If an amount is entered in this field, the system will try to find a cancellation with this Effective Date and Total Gross to reverse. If the actual Reverse Policy ID is entered in the next field, then the Total Gross field will not be used.

6. Provide the **Reverse Policy ID**.
   **Note:** This represents the Policy ID number of the actual transaction to be reversed. If this number is used, the Total Gross will be ignored.

7. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)
   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assist.

8. The **Reference** field is provided for any comment or note you might need to make about the transaction.
9. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

*Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See [Posting Process](#) or [How to Enter/File Normal Transactions](#) for more information.*
**EFS – Transaction Entry Categories – Reversals**

Transaction Entry – Reversals

**Premium Change Reversal**

Use the following procedure to enter and file data for a Premium Change Reversal. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The **Clear** button should be used to clear fields on the page if incorrect data is entered. The **Refresh** button will update to current data in the system.

**Procedure**

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on **Transactions** on the upper toolbar, then select **Reversals** from the drop-down menu. Choose **Premium Change** to open the Premium Change Reversal entry page.

3. Enter the correct ➤ **Policy Number** for this transaction.

4. Provide the ➤ **Effective Date** for the reversal in the next field.

5. Enter the **Total Gross**.

   *Note: The Total Gross amount is used as an additional filter when searching for the premium endorsement to be reversed. If an amount is entered in this field, the system will try to find a transaction with this Effective Date and Total Gross to reverse. If the actual Reverse Policy ID is entered in the next field, then the Total Gross field will not be used.*

6. Provide the **Reverse Policy ID**.

   *Note: This represents the Policy ID number of the actual transaction to be reversed. If this number is used, the Total Gross will be ignored.*

7. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)

   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assist.

8. Click ➔ **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

   *Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.*
**EFS – Transaction Entry Categories – Reversals**

Transaction Entry – Reversals

**New Policy Reversal**

Use the following procedure to enter and file data for a New Policy Reversal. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The **[Clear]** button should be used to clear fields on the page if incorrect data is entered. The **[Refresh]** button will update to current data in the system.

**Procedure**

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See [Create a New Batch] or [Batch Management] for more information.

2. Click on **Transactions** on the upper toolbar, then, select **Reversals** from the drop-down menu. Choose **New Policy** to open the New Policy Reversal entry page.

3. Enter the correct ▶ **Policy Number** for this transaction.

4. Provide the ▶ **Effective Date** for the reversal in the next field.

5. Enter the **Total Gross**.  
**Note:** The Total Gross amount is used as an additional filter when searching for the policy to be reversed. If an amount is entered in this field, the system will try to find a transaction with this Effective Date and Total Gross to reverse. If the actual Reverse Policy ID is entered in the next field, then the Total Gross field will not be used.

6. Provide the **Reverse Policy ID**.  
**Note:** This represents the Policy ID number of the actual transaction to be reversed. If this number is used, the Total Gross will be ignored.

7. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)
   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assist.

8. The **Reference** field is provided for any comment or note you might need to make about the reversal.

9. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

**Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See [Posting Process] or [How to Enter/File Normal Transactions] for more information.
Transaction Entry – Reversals

Renewal Policy Reversal

Use the following procedure to enter and file data for a Renewal Policy Reversal. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The **button** should be used to clear fields on the page if incorrect data is entered. The **Refresh** button will update to current data in the system.

**Procedure**

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See [Create a New Batch](#) or [Batch Management](#) for more information.

2. Click on **Transactions** on the upper toolbar, then, select **Reversals** from the drop-down menu. Choose **Renew Policy** to open the **Renewal Policy Reversal** entry page.

3. Enter the correct ➤ **Policy Number** for this transaction.

4. Enter the **Effective Date** for the reversal in the next field.

5. Enter the **Total Gross**.
   **Note:** The Total Gross amount is used as an additional filter when searching for the renewal policy to be reversed. If an amount is entered in this field, the system will try to find a transaction with this Effective Date and Total Gross to reverse. If the actual Reverse Policy ID is entered in the next field, then the Total Gross field will not be used.

6. Provide the **Reverse Policy ID**.
   **Note:** This represents the Policy ID number of the actual transaction to be reversed. If this number is used, the Total Gross will be ignored.

7. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)
   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the **Prev AgLicNo** (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assist.

8. The **Reference** field is provided for any comment or note you might need to make about the reversal.

9. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

**Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See [Posting Process](#) or [How to Enter/File Normal Transactions](#) for more information.
EFS – Transaction Entry Categories – Reversals

Transaction Entry – Reversals

Reinstatement Reversal

Use the following procedure to enter and file data for a Reinstatement Reversal. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The ➤ button should be used to clear fields on the page if incorrect data is entered. The ➤ button will update to current data in the system.

Procedure

1. Click on Transactions on the upper toolbar, then, select Reversals from the drop-down menu. Choose Reinstatement to open the Reinstatement Reversal entry page.

2. Enter the correct ➤ Policy Number for this transaction.

3. Enter the ➤ Effective Date for the reversal in the next field.

4. Enter the Total Gross.
   Note: The Total Gross amount is used as an additional filter when searching for the reinstatement to be reversed. If an amount is entered in this field, the system will try to find a cancellation with this Effective Date and Total Gross to reverse. If the actual Reverse Policy ID is entered in the next field, then the Total Gross field will not be used.

5. Provide the Reverse Policy ID number.
   Note: This represents the Policy ID number of the actual transaction to be reversed. If this number is used the Total Gross will be ignored.

6. Mark the appropriate radio button to flag this transaction if a Change Agent of Record has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)
   - If the flag is marked ‘Yes’ and when there are multiple parent policies you must provide the Prev AgLicNo (Previous Agent License Number). If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged. The agent should contact the EFS Help Desk to obtain assist.

7. The Reference field is provided for any comment or note you might need to make about the reversal.

8. Click ➤ button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry Categories – Reinstatements

Reinstatement

Use the following procedure to enter and file data for a Reinstatement. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ❯ arrowhead next to the field name in the text below. The Clear button should be used to clear fields on the page if incorrect data is entered. The Refresh button will update to current data in the system.

Procedure

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Reinstatement from the drop-down listing. Select Policy Reinstatement to open the Reinstatement entry page.

3. Provide the Policy Number for the transaction.

4. Enter Premium Distribution information:
   Provide the correct Coverage Code(s) for this transaction. Click on the icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.
   - Multiple Coverage Codes
     - The button is used to add extra rows of fields for the insertion of multiple coverage codes.
     - Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.
     - Enter the correct Premium Amount for each of the Coverage Codes listed.

5. Enter the correct Policy Fee in the next field.

6. Enter the Total Tax
   - Note: The current/previous Tax rates are available by selecting the Tax table icon.

7. Enter the Stamping Fee.
   - Note: The current/previous Stamping Fee rates are available by selecting the Stamping Fee icon.

8. Enter the Total Gross for this transaction.
   - Note: Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.
9. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the button to enter premium breakdown information for these categories.

10. Provide the **Effective Date** for the reinstatement.  
    *Note:* A Reinstatement transaction will check to make sure there is a Cancellation transaction in existence; and the effective date of the Reinstatement must occur on, or after, the effective date of the Cancellation.

11. Enter the **Issue Date**.

12. The **Reference** field is provided for any comment or note you might need to make about the transaction.

13. Mark the appropriate radio button to flag this transaction if a **Change Agent of Record** has occurred for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)

   The Previous Agent License Number should be provided when ‘Change Agent of Record’ flag is marked ‘Yes’ and when there are multiple parent policies. If the **PrevAgLicNo** is not provided when multiple parent policies exist, the transaction will be tagged, directing the agent to contact the EFS Help Desk to assist in identification of the matching parent policy.

14. Enter the **Qualified Policy ID** Number. This field is required only if there have been **multiple binders/policies** issued, which use the same policy number. The correct parent ID must be shown here.

15. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

    *Note:* The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See [Posting Process](#) or [How to Enter/File Normal Transactions](#) for more information.
Transaction Entry – Reinstatements

Amended Reinstatement

Use the following procedure to enter and file data for an Amended Reinstatement. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The button should be used to clear fields on the page if incorrect data is entered. The button will update to current data in the system.

Procedure

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, and then select Reinstatement from the drop-down listing. Choose the Amended (Amended Reinstatement) option to open the Amended Reinstatement entry page.

3. Provide the correct ➤ Policy Number for the transaction.

4. Enter Premium Distribution information:
   - Provide the correct ➤ Coverage Code(s) for this transaction. Click on the icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane. Once selected this data will automatically be inserted in the Coverage Code field(s) on the entry page.

   Multiple Coverage Codes
   - The button is used to add extra rows of fields for the insertion of multiple coverage codes.
     Note: You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.
   - Enter the correct Premium Amount for each of the Coverage Codes listed.

5. Enter the correct Policy Fee in the next field.

6. Enter the Total Tax.
   Note: The current/previous Tax rates are available by selecting the icon.

7. Enter the Stamping Fee.
   Note: The current/previous Stamping Fee rates are available by selecting the icon.

8. Enter the Total Gross for this transaction.
   Note: Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.
9. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the button to enter premium breakdown information for these categories.

10. Provide the **Effective Date** for the amended reinstatement.
   
   *Note: In order for this amendment transaction to post without errors, there must be a matching Reinstatement transaction in existence. You are amending an established Reinstatement.*

11. Enter the **Issue Date**.

12. The **Reference** field is provided for any comment or note you might need to make about the transaction.

13. Mark the appropriate radio button to indicate if the **Change Agent of Record** has changed. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)

   The Previous Agent License Number should be provided when ‘Change Agent of Record' flag is marked ‘Yes' and when there are multiple parent policies. If the **PrevAgLicNo** is not provided when multiple parent policies exist, the transaction will be tagged, directing the agent to contact the EFS Help Desk to assist in identification of the matching parent policy.

14. Enter the **Qualified Policy ID** Number.

15. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

   *Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See **Posting Process** or **How to Enter/File Normal Transactions** for more information.*
**EFS – Transaction Entry Categories – Reinstatements**

Transaction Entry – Reinstatements

**Reinstatement Fee**

Use the following procedure to enter and file data for a Reinstatement Fee. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The `button should be used to clear fields on the page if incorrect data is entered. The `button will update to current data in the system.

**Procedure**

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, and then select Reinstatement from the drop-down listing. Select Reinstatement Fee to open the Reinstatement Fee entry page.

3. Provide the ➤ Policy Number for the transaction.

4. Enter Premium Distribution information:

   Provide the correct ➤ Coverage Code(s) for this transaction. Click on the Coverage codes icon (adjacent to this field) to view the listing of current Coverage Codes. Select the appropriate code(s) in the Look-up pane and this data will automatically be inserted in the Coverage Code field(s) on the entry page.

   **Multiple Coverage Codes**
   - The Add Code’s Row button is used to add extra rows of fields for the insertion of multiple coverage codes.
   - **Note:** You are required to enter the breakdown of the Coverage and Premium as shown on the documentation.
   - Enter the correct Premium Amount for each of the Coverage Codes listed.

5. Enter the correct **Policy Fee** in the next field.

6. Enter the **Total Tax**.

   **Note:** The current/previous Tax rates are available by selecting the Tax table icon.

7. Enter the **Stamping Fee**.

   **Note:** The current/previous Stamping Fee rates are available by selecting the icon.

8. Enter the **Total Gross** for this transaction.

   **Note:** Check your calculations carefully. Your tax, fees, and total gross amounts must match those computed by the system to avoid an error tag. Do not include Multi-State or Exempt premiums when calculating the Total Gross.

8. If the policy includes **Exempt Premium or Premium for Risks in Other States**, click on the OS-Exempt button to enter premium breakdown information for these categories.
9. Provide the Effective Date for the reinstatement fee.  
   *Note: A Reinstatement Fee is posted to the policy without checking to make sure there is a Cancellation transaction in existence.*

10. Enter the Issue Date.

11. The Reference field is provided for any comment or note you may need to make about the transaction.

12. Mark the appropriate radio button to indicate if the Change Agent of Record has changed for this transaction. (Example: If the agent/agency of the originating policy was different from the current agent/agency processing current the filing)

   The Previous Agent License Number should be provided when ‘Change Agent of Record’ flag is marked ‘Yes’ and when there are multiple parent policies. If the PrevAgLicNo is not provided when multiple parent policies exist, the transaction will be tagged, directing the agent to contact the EFS Help Desk to assist in identification of the matching parent policy.

13. Enter the Qualified Policy ID number.

14. Click Enter button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

   *Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.*
Transaction Entry Categories – Update Policy

Update Policy

An Update Policy entry is used only in the current accounting month to change the Zip Code of the Risk Location, the Class Codes, or the Federal Credit Union flag on a policy. The posting program will change these values on the parent policy, and then on each of the children. This gives the effect of changing values on the whole policy.

Use the following procedure to enter and file data for an Update to a Policy. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The ➤ button should be used to clear fields on the page if incorrect data is entered. The ➤ button will update to current data in the system.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Updates from the drop-down listing.

3. Choose Policy from the list of options for policies. This will open the Update Policy entry page.

4. Enter the correct ➤ Policy Number for this transaction.

5. Provide the ➤ Effective Date in the following field.

➤ You must enter information on the field(s) required for update:

6. Enter the new Class Code for this transaction. Click on the ➤ Class codes icon to view a listing of current Class Codes. Your selection in the Class Code look-up window will automatically be inserted in the Class Code field on the entry page.

7. Enter the new Zip Code of the Risk Location.

8. Enter the correct ➤ Policy Limit for the risk.

9. Mark the appropriate radio button to indicate if this transaction has Windstorm Exclusion.

10. Mark the appropriate radio button if this transaction is a Federal Credit Union (FCU) issued policy. 
    Note: While FCUs are exempt from the Surplus Lines Taxes, they still maybe subject to Stamping fees.

11. Enter the ➤ Parent ID to Update. This represents the Policy ID number of the actual transaction to be updated.
12. The **Reference** field allows you to add any reference or note you might need to make about the update.

13. Click **Enter** button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

*Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See [Posting Process](#) or [How to Enter/File Normal Transactions](#) for more information.*
Transaction Entry Categories – Deletions

Cancellation Delete

Use the following procedure to enter and file data for a Cancellation Deletion. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The Clear button should be used to clear fields on the page if incorrect data is entered. The Refresh button will update to current data in the system.

Note: Deletion transactions are only allowed during the current accounting month.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Deletes from the drop-down menu. Choose Cancellation to open the Cancellation Delete entry page.

3. Enter the correct ➤ Policy Number for this transaction.

4. Provide the ➤ Effective Date for the cancellation to be deleted in the next field.

5. Enter the Total Gross.

   Note: The Total Gross amount is used as an additional filter when searching for the policy to be deleted. If an amount is entered in this field, the system will try to find a transaction with this Effective Date and Total Gross to delete.

   If the actual Delete Policy ID is entered in the next field, then the Total Gross field will not be used.

6. Provide the Delete Policy ID number.

   Note: This represents the Policy ID number of the actual transaction to be deleted. If this number is used, the Total Gross will be ignored.

7. The Reference field is provided for any comment or note you might need to make about the transaction.

8. Click Enter to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry – Deletions

Premium Change Delete

Use the following procedure to enter and file data for a Premium Change Deletion. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The Clear button should be used to clear fields on the page if incorrect data is entered. The Refresh button will update to current data in the system.

Note: Deletion transactions are only allowed during the current accounting month.

After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

1. Click on Transactions on the upper toolbar, then, select Deletes from the drop-down menu. Choose Premium Change to open the Premium Change Delete entry page.

2. Enter the correct ➤ Policy Number for this transaction.

3. Provide the ➤ Effective Date for the premium change to be deleted in the next field.

4. Enter the Total Gross.

   Note: The Total Gross amount is used as an additional filter when searching for the policy to be deleted. If an amount is entered in this field, the system will try to find a transaction with this Effective Date and Total Gross to delete.

   If the actual Delete Policy ID is entered in the next field, then the Total Gross field will not be used.

5. Provide the Delete Policy ID number.

   Note: This represents the Policy ID number of the actual transaction to be deleted. If this number is used the Total Gross will be ignored.

6. The Reference field is provided for any comment or note you might need to make about the transaction.

7. Click Enter button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

   Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
EFS – Transaction Entry Categories – Deletions

Transaction Entry – Deletions

New Policy Delete

Use the following procedure to enter and file data for a New Policy Deletion. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The Clear button should be used to clear fields on the page if incorrect data is entered. The Refresh button will update to current data in the system.

Note: Deletion transactions are only allowed during the current accounting month.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Deletes from the drop-down menu. Choose New Policy to open the New Policy Delete entry page.

3. Enter the correct ➤ Policy Number for this transaction.

4. Provide the ➤ Effective Date for the new policy to be deleted in the next field.

5. Enter the Total Gross.

   Note: The Total Gross amount is used as an additional filter when searching for the policy to be deleted. If an amount is entered in this field, the system will try to find a transaction with this Effective Date and Total Gross to delete.

   If the actual Delete Policy ID is entered in the next field, then the Total Gross field will not be used.

6. Provide the Delete Policy ID number.

   Note: This represents the Policy ID number of the actual transaction to be deleted. If this number is used the Total Gross will be ignored.

7. The Reference field is provided for any comment or note you might need to make about the transaction.

8. Click Enter button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry – Deletions

Renewal Policy Delete

Use the following procedure to enter and file data for a Renewal Policy Deletion. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ▷ arrowhead next to the field name in the text below. The ▼ button should be used to clear fields on the page if incorrect data is entered. The ▶ button will update to current data in the system.

Note: Deletion transactions are only allowed during the current accounting month.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Deletes from the drop-down menu. Choose Renew Policy to open the Renewal Policy Delete entry page.

3. Enter the correct ▷ Policy Number for this transaction.

4. Provide the ▷ Effective Date for the renewal policy to be deleted in the next field.

5. Enter the Total Gross.

   Note: The Total Gross amount is used as an additional filter when searching for the policy to be deleted. If an amount is entered in this field, the system will try to find a transaction with this Effective Date and Total Gross to delete.

   If the actual Delete Policy ID is entered in the next field, then the Total Gross field will not be used.

6. Provide the Delete Policy ID number.

   Note: This represents the Policy ID number of the actual transaction to be deleted. If this number is used the Total Gross will be ignored.

7. The Reference field is provided for any comment or note you might need to make about the transaction.

8. Click ▼ button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Transaction Entry – Deletions

Reinstatement Delete

Use the following procedure to enter and file data for a Reinstatement Deletion. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The Required Fields for this entry are indicated by an ▶ arrowhead next to the field name in the text below. The button should be used to clear fields on the page if incorrect data is entered. The button will update to current data in the system.

Note: Deletion transactions are only allowed during the current accounting month.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on Transactions on the upper toolbar, then, select Deletes from the drop-down menu. Choose Reinstatement to open the Reinstatement Delete entry page.

3. Enter the correct ▶ Policy Number for this transaction.

4. Provide the ▶ Effective Date for the reinstatement to be deleted in the next field.

5. Enter the Total Gross.

Note: The Total Gross amount is used as an additional filter when searching for the policy to be deleted. If an amount is entered in this field, the system will try to find a transaction with this Effective Date and Total Gross to delete.

If the actual Delete Policy ID is entered in the next field, then the Total Gross field will not be used.

6. Provide the Delete Policy ID number.

Note: This represents the Policy ID number of the actual transaction to be deleted. If this number is used the Total Gross will be ignored.

7. The Reference field is provided for any comment or note you might need to make about the transaction.

8. Click button to add this completed transaction to your current batch. This transaction will now be listed as one of the items in the Batch Detail and a verification message will appear at the top of the screen to indicate the successful entry of this item to the batch.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
**EFS – Transaction Entry Categories – Deletions**

Transaction Entry – Deletions

**Batch Delete**

Use the following procedure to enter and file data for a Batch Delete. For your convenience, abbreviated Batch Header information is shown at the top of each Transaction Entry page and includes the batch number, batch status, and creation date for the batch.

The **Required Fields** for this entry are indicated by an ➤ arrowhead next to the field name in the text below. The [ ] Field button should be used to clear fields on the page if incorrect data is entered. The [ ] Button button will update to current data in the system.

**Note:**
- Deletion transactions are only allowed during the current accounting month.
- If any transaction in the batch to be deleted is a parent of a transaction in another batch, that batch cannot be deleted.

1. After creating a new batch or selecting/continuing entry in a batch with an “Open” Batch status. See Create a New Batch or Batch Management for more information.

2. Click on **Transactions** on the upper toolbar, then, select **Deletes** from the drop-down menu. Choose **Batch** to open the Batch Delete entry page.

3. Enter the ➤ **Batch Log ID** number to be deleted.

   **Note:** The Log ID number of a batch is automatically assigned by the system when you create a new Batch Header and always appears with the header information. This number will also be included with the information on the Batch Manager page.

4. The **Reference** field is provided for any comment or note you might need to make about the deletion.

5. Click ➤ **Enter** to add this Batch Delete transaction to your current batch. A verification message will appear at the top of the screen to indicate the successful entry of this item.

   **Note:** The batch that was deleted by this action will still appear as a “Posted” batch on the Batch Manager page. You must refer to the EFS Delete Report and the other batch reports for verification of this deletion transaction.

**Note:** The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File Normal Transactions for more information.
Posting Process

After entering all of the items you want to include in your batch, you will want to check the information you originally entered in the Batch Header setup. Make sure all Item Counts match and that the Total Gross amount shown in the header equals the sum of the total gross figures for each transaction included in the batch. This is also a good time to check the other data entered for each transaction against your in-house policy documents. Make sure names and numbers are accurate.

While “paper” filing with SLTX imposed a limit of no more than twenty (20) items in a batch of transactions, the EFS does not enforce a maximum number of items that can be included in a batch. Each agency, and agency user, will need to determine the item count that works best for their filing procedures and volume. Some batch item counts may simply be based on the number of insurance transactions processed each day, or each week. Other organizations may decide on a standard item count. There is not a limit. Transaction items can be grouped, or batched, as needed; and you may vary the item count each time you submit a new batch of transactions.
Selecting Batches for Posting

Once the entry of policy data is completed and the batch is checked for accuracy, you will open the Batch Manager page to actually send, or file, your batch of transactions to SLTX. This posting process registers and validates the various elements of data that are submitted with each transaction. Any batch that has not been posted will be shown as “Open” in the status column of the Batch Manager listing.

Select an Open Batch—or several Open Batches—by checking, or marking, the open box in the first column of the chart. This action denotes the batch(s) you want submit to SLTX. Then, click on the  button to initiate the Posting process.

The  button can be used to select, or check, all of the open boxes on your list. Use the  button to remove checks from the boxes and start over, and the  button will completely eliminate any batch(s) you have checked.

The processing of your batch of transactions should take only a few minutes. Larger submissions may take slightly longer.

Note: Until a transaction item has been posted to the system and you have received e-mail verification of the submission and successful posting, that transaction has NOT been filed with SLTX.

Click on the  button after a short time to update the page to the most current data. The system will display the current status of the batch.

If the posting is still in progress, the status column will show “Posting in Progress.”

If posting is completed, the batch status will be noted as “Posted—No Errors,” if no errors were detected in the batch; or, “Posted—Batch has Errors,” if at least one transaction had an error.
**Preliminary Edit**

A Preliminary Edit of the batch will be performed immediately as the batch is sent for Posting. This early validation of data will check for the most common problems found in preparing a batch and includes:

- Invalid license number
- Incomplete header information presented
- Actual item count does not match the header item count
- Actual total gross does not match total gross in header
- Regular Batch cannot include error transactions
- Correction Batch must consist of only error items

In most cases, you will not even know the Preliminary Edit process is occurring unless your batch has problems. A batch failing to meet any of the above edit criteria will not post and the editing process will stop at this point.

An e-mail notification will be sent to the designated recipients noting “Preliminary Edit Errors Occurred,” with references to the LogID, Batch Number, and Receive Date for the batch. The notice will also detail the errors that were found. (See E-mail Notifications for more information on batch processing notices.)

Use the following procedure to enter and file data for an Update to a Policy.

**Procedure**

1. Select **Batch Manager** from the left-hand navigation.
2. The batch status will be shown as “Preliminary Edit Errors” on the **Batch Manager** page.
3. From the Batch Manager screen, you can open the **Header Maintenance** page for this batch (use the icon) to fix any errors in that information. Or, you may need to go into a specific transaction entry page (use the icon) and adjust data there to resolve problems.
4. After all necessary adjustments are made to the header information (Agent License, Item count, Total Gross, and Batch E-mail) click on the **Update** button. This will take you back to the Batch Manager page. If you need to make additional edits to the transaction data select the Batch by clicking on the icon. Once all necessary corrections are made click on **Post** to resubmit the batch. If there are no longer any Preliminary Edit errors, the batch will move directly into the Posting process.
E-Filing System – Posting Process

E-Mail Notifications

As the Posting process is completed, e-mail notifications will be automatically transmitted to your agency. These notices will be sent to the originator of the batch (provided this e-mail address is included in the Batch Header information) and to the “secondary” recipient in your agency, as designated by the Security Profile for your group. (See Preliminary Edit for more information on batch processing notices.)

The selection of recipients for these notices can be customized as needed for your organization; see more details in Getting Started / Security Profile Activation.

Each batch submitted will receive a separate “Batch Posted E-mail Notice,” even if several batches were selected and sent for posting at the same time.

Your e-mail notification will indicate the Status of the batch after posting and these results will be categorized as either:

- Posted – No Errors
- Posted – Batch has Errors

Note:
- An error on one item in a batch will not prevent the other items from successfully posting to the database. However, the batch will still be flagged as “Batch has Errors.”
- Transactions with errors will remain “pended” until these items are compiled into a Correction Batch, corrections are made, and the items are re-submitted.
**EFS – Posting Process**

**Access to Reports**

The Batch Posted E-mail Notice will also include a special link to a web page where you will be able to access any reports concerning a batch of transactions. These Batch Reports are referred to as On-Demand, or ad hoc, reports and will be available in the form of .pdf files. You may review and print each as needed.

You can access these same reports by selecting the **Reporting** option on the left-hand navigation pane and choosing a Report’s option from the menu there. *(For more details, see Reporting: Files and Reports)*

Depending if your batch contained errors or deletions, there are a total of four (4) separate reports that may be available for your review and use after the Posting process is completed.

- **Batch Edit Report** – This report is always provided for each batch that is posted (with or without errors) and shows details on each transaction in the batch.

- **Batch Edit Summary Report** – Provides an abbreviated review of the batch with a one-line entry concerning each transaction involved.

- **Batch Error Report** – Gives detailed information on only those items in the batch that have errors and indicates the error tags for each. *(A complete listing of error tags is available in the Master Code Files available in the Help sub-system.)*

- **Deletion Report** – Shows any deletions of transactions or batches that were posted.
The Reporting sub-system of the EFS will automatically open to the Files and Reports page, with the Current Month Reports Batches Edits as the default active matrix.

**Reporting** will offer you the ability to select available reports and files in the system, by category, as designated by the various radio buttons at the upper portion of the screen and by using Listings and Report Requests from the top tool bar. The default listing displayed represents all Batch Edit reports that have been created for the current month.

As you select from the different categories, the matrix (item listing) in the center of the page will change to display the appropriate inventory of reports or files. The following reports are available for you to access from Reporting:

- Uploaded Files (see the Technical Reference Guide)
- Batch Reports
- EOM/EOY Reports
- EOM/EOY Files
- Special Reports (Ad Hoc Reports)

*Note: If your agency requires complete archives of all transactions filed with SLTX or specific reports, you will want to print out or download the necessary files to your system prior to their expiration date in the EFS. Expiration dates for each report or file are displayed at the right side of the matrix except for Batch Edits they are kept for a period of 1 (one) year.*

For all categories, Reports are presented as pdf documents and files are either XML or ASCII.

- Use the icon to View the .pdf file and print from the Adobe Acrobat window.
- Use the icon to Download the file to your system for archiving.

The procedures for accessing reports and files are listed below:
### File/Report Categories Overview

<table>
<thead>
<tr>
<th>Batch Reports</th>
<th>This category will display a listing of the four possible Reports generated during batch posting.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>- <strong>Batch Edit Report</strong> (produced by Posting process)</td>
</tr>
<tr>
<td></td>
<td>- <strong>Batch Edit Summary</strong> (produced by Posting process)</td>
</tr>
<tr>
<td></td>
<td>- <strong>Batch Error Report</strong> (produced if errors found in the batch)</td>
</tr>
<tr>
<td></td>
<td>- <strong>Outstanding Ineligible Report</strong> (produced by Posting process)</td>
</tr>
<tr>
<td></td>
<td>- <strong>Duplicate Policy Report</strong> (produced by Posting process)</td>
</tr>
<tr>
<td></td>
<td>- <strong>Deletion Report</strong> (produced only if deletions are posted)</td>
</tr>
<tr>
<td></td>
<td>For more details on each of these reports, see <a href="#">Batch Edits</a> later in this text.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>EOM (End-of-Month)/EOY (End-of-Year) Reports</th>
<th>This selection will provide a choice of the five standard EOM Reports available for the agent.</th>
</tr>
</thead>
<tbody>
<tr>
<td>EOM</td>
<td>- <strong>Detail Policy Activity Report</strong></td>
</tr>
<tr>
<td>EOM</td>
<td>- <strong>Policy Transaction Activity Report</strong></td>
</tr>
<tr>
<td>EOM</td>
<td>- <strong>Invoice and Remittance Report</strong></td>
</tr>
<tr>
<td>EOM</td>
<td>- <strong>Outstanding Ineligible Report</strong></td>
</tr>
<tr>
<td>EOM</td>
<td>- <strong>Duplicate Policy Report</strong></td>
</tr>
<tr>
<td>EOY</td>
<td>- <strong>Annual Premium Summary</strong></td>
</tr>
<tr>
<td>EOY</td>
<td>- <strong>Annual Tax Report</strong></td>
</tr>
<tr>
<td>EOY</td>
<td>For more details on each of these reports, see <a href="#">EOM Reports</a> later in this text.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Report Request</th>
<th>These live “on demand” or reports request include the following types:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Report Request</td>
<td>- <strong>Open Batches by Agent Report</strong></td>
</tr>
<tr>
<td>Report Request</td>
<td>- <strong>Batch Recap by Agents</strong></td>
</tr>
<tr>
<td>Report Request</td>
<td>- <strong>Special Reports (Ad-Hoc Reports)</strong></td>
</tr>
<tr>
<td>Report Request</td>
<td>- <strong>Suspense Listing By Agent</strong></td>
</tr>
<tr>
<td>Report Request</td>
<td>- <strong>Individual Policy Transaction with Securities Listing Report</strong></td>
</tr>
<tr>
<td>Report Request</td>
<td>- <strong>Individual Policy Transaction with Coverage Listing Report</strong></td>
</tr>
<tr>
<td>Report Request</td>
<td>For more details and descriptions on these reports, see <a href="#">Report Request</a>.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Uploaded Files List</th>
<th>This category will show all Uploaded Files sent to the system.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Uploaded Files List</td>
<td>This registry of Uploaded Files allows programmatic filers to select and review any, or all, submitted files and use the information for troubleshooting purposes.</td>
</tr>
<tr>
<td>Uploaded Files List</td>
<td>You can either elect to <img src="#" alt="Open PDF" /> the .pdf file or <img src="#" alt="Upload Data" /> the data to your system.</td>
</tr>
<tr>
<td>Uploaded Files List</td>
<td>For more details and descriptions on these reports, see <a href="#">Uploaded Files</a>.</td>
</tr>
</tbody>
</table>
Batch Edits

Batch Edits are reports that are created during the posting to the EFS system that have not reached their expiration date in the system. The following report/file listed below are possible reports available for Batch Edits:

1. **Batch Edit Report** – Produced by the posting process. A comprehensive report on a posted batch with data on all transactions included. Shows errors detected and provides final totals on premiums, taxes, fees, and total gross amounts for the entire batch.

2. **Batch Edit Summary Report** – Produced by the posting process. This report is a summary of all transactions posted in the current batch. This listing includes STS (Status), Type (Transaction Type), Policy Number, Policy ID (System Assigned), Effective date, and Ref (Reference inputted by the agent).

3. **Batch Error Report** – Produced by the posting process. This report details each transaction item in a specific batch that has errors, indicates those items that are not posted, and identifies each error with a written description of the problem. Also includes all system data concerning policy numbers, effective/expiration dates, premium amounts, coverage types, class types, and company/syndicate breakdowns.

4. **Outstanding Ineligible Report** – Produced by the posting process. This report lists all ineligible securities used on transactions. These violations are broken down by a current month’s listing, the previous month’s list, over 60 days list, and items corrected that had been previously reported to TDI.

5. **Duplicate Policy Report** – Produced by the posting process. This report shows any policy or binder that has been flagged as a duplicate of a previously submitted transaction. The listing includes the policy number, insured’s name, policy type, effective/expiration dates, and total gross for the transaction to aid in your cross checking of entries.

6. **Deletion Report** – This is an inventory listing those individual transaction items that were deleted from a batch, with the corresponding policy number, insured’s name, dates, and total gross.

**Current Month Batch Edits**

**Procedure**

1. Select **Reporting** from the left-hand navigation.

7. Then select the appropriate report/file name from the listing displayed by clicking on the icon.

3. This will take you to the **Batch Reports** page.

4. Select the Batch report from the listed options.

5. Then select either **View** to review the report or **Download** to save the report.

6. To print any of the .pdf files, use the print icon in the Adobe Acrobat window to initiate printing.
Previous Month Batch Edits:

Procedure

1. Select Reporting from the left-hand navigation. Then select Previous Month(s) Reports from the radio buttons listed at the top of the page.

2. In the Previous Month Batches Filter enter in the two digits Month (MM) and four digits Year (YYYY). Then select Search.

Note: Batch Edits are only kept for 1 (one) year.

8. Then select the appropriate report/file name from the listing displayed by clicking on the icon.

9. This will take you to the Batch Reports page.

10. Select the Batch report the following listed below are the possible reports available:

11. Then select either View to review the report or Download to save the report.

12. To print any of the .pdf files, use the print icon in the Adobe Acrobat window to initiate printing.

Uploaded Files:

Uploaded Files displays all/any programmatic file(s) uploaded to the EFS system that have not reached their expiration date in the system. This allows programmatic filers to select and review any, or all files submitted to the EFS.

Current Months Uploaded Files:

Procedure

1. Select Reporting from the left-hand navigation. Then select Uploaded Files from the radio buttons listed at the top of the page. This will display the current months uploaded files.

2. Then select the appropriate report/file name from the listing displayed, then select the icon to View File or icon to Download the report/file(s).

Previous Month Uploaded Files:

Procedure

1. Select Reporting from the left-hand navigation. Then select Uploaded Files and then select Previous Month(s) Reports from the radio buttons listed at the top of the page.

2. Then select the appropriate report/file name from the listing displayed, then select the icon to View File or icon to Download the report/file(s).
**EOM (End of Month)/EOY (End of Year) Reports:**

EOM (End of Month) Reports

EOM/EOY reports displays the End of Month and End of Year reports generated by SLTX to the EFS system that have not reached their expiration date in the system.

**Procedure**

1. Select **Reporting** from the left-hand navigation. Then Files and Reports page will be displayed.

2. Select **Listings** from the top navigation, and then select **EOM/EOY Reports**. This will display the End of Month/End of Year Reports page. EOM reports that have not reached their expiration date in the system will be displayed.

3. Select the Batch report the following listed below are the possible reports available:

   - **Detail Policy Activity Report** – A standard EOM report from SLTX, this listing shows the detail of all transactions posted during the month, sorted by insurance company, with totals for gross premium, surplus lines tax, and stamping fees. (i.e. Posted means with no errors or is not currently pending for the month in question).

   - **Policy Transaction Activity Report** – A detailed listing of transaction activity for the agency showing data on the policy number, insured’s name, policy type, effective/expiration dates, gross premium, tax, stamping fee, and insurance company for each item filed sorted by policy number. This report is a summary of transactions filed unless multiple carriers/companies are listed with a single transaction.

   - **Invoice and Remittance Report** – This is the regular invoice and remittance page usually received by the agency via mail. The invoice shows the Stamping Fee charges for the month, broken down by premium, surplus lines tax, and stamping fees. The report also indicates any past due balances for the agency. **Note:** This is the stamping fee invoice only.

   - **Outstanding Ineligible Report** – This report is listing of all single transaction that has posted to the EFS system with an ineligible company/carrier or Lloyd’s Syndicate. These violations are broken down by a current month’s listing, the previous month’s list, over 60 days list, and items corrected that had been previously reported to TDI.

   - **Duplicate Policy Report** – This report is a listing of all transactions that are flagged as a duplicate of a previously submitted transaction. The listing includes the policy number, insured’s name, policy type, effective/expiration dates, and total gross for the transaction to aid in your cross checking of entries.
**EOY (End of Year) Reports:**

EOY reports display the End of Month and End of Year reports generated by SLTX to the EFS system that have not reached their expiration date in the system.

**Procedure**

1. Select **Reporting** from the left-hand navigation. Then Files and Reports page will be displayed.

2. Select **Listings** from the top navigation, and then select **EOM/EOY Reports**. This will display the End of Month/End of Year Reports page with EOM (End of Month) displayed as the default.

3. Select the **EOY Reports** radio button listed at the top of the page.

4. Select the Batch report the following listed below are the possible reports available:
   - **Annual Premium Summary (EOY)** – This report is a listing of annual premium reported and posted to the EFS broken down by month. This listing includes Premium, State Tax, Surcharge, Other States, Exempt, and States Summary (BS).
   - **Annual Tax Report (EOY)** – This report us a listing for annual tax broken down by company/carrier. The report includes company/carrier name and number, tax rate, Gross Premium, and Surplus Tax.

5. Select the appropriate report/file name from the listing displayed, then select the **View File** or **Download** icon to download the report/file(s).

**Report Request**

**Open Batches by Agent Report:**

This report identifies all "open" (not posted) batches in the system, by the agent, and includes the standard batch header data entered for that batch. The summary also notes the open status and filing source (web or file).

**Procedure**

1. Select **Reporting** from the left-hand navigation. Then Files and Reports page will be displayed.

2. Select **Report Request** from the top navigation, and then select **Open Batches**. This will display the Open Batch Listing By Agent page.

3. In the **Date Range** enter the **Start date** in the first field and **End date** in the second field. Example below: 05/12/2013 to 01/01/2014.

4. **Report Type** select the radio button for either **Detail** or **Summary**.
5. Then select either Enter to review the report or Reset to save the report.

**To Review report**

6. Select Listings from the top navigation, and then select Special Reports. This will display the User Requested Reports.

7. Then select the appropriate report/file name from the listing displayed, then select the icon to View File or icon to download the report/file(s).

**Batch Recap by Agent Report:**

A review of all batches filed by an agency and posted in the EFS, with a breakdown by individual user names. This summary of posted batches includes the batch number, receive and report dates, item count of the batch, total gross, and batch status. The report will also identify the source of the batch as either submitted through the web site (web) or through file transfer (file).

**Procedure**

1. Select Reporting from the left-hand navigation. Then Files and Reports page will be displayed.

2. Select Report Request from the top navigation, and then select Batch Recap. This will display the Open Batch Listing By Agent page.

3. In the Date Range enter the Start date in the First field and End date in the second field. Example below: 05/12/2013 to 01/01/2014.

4. Breakout Individual Users select the radio button for either Yes or No.

5. Then select either Enter to review the report or Reset to save the report.

**To Review report**

6. Select Listings from the top navigation, and then select Special Reports. This will display the User Requested Reports.

7. Then select the appropriate report/file name from the listing displayed, then select the icon to View File or icon to download the report/file(s).
Special Reports:

These specialized reports are associated with the various EFS user groups. An evolving list of reports pertinent to your user access level (Agent, TDI/CPA, other, etc.) will be displayed in the options area for your selection and use.

Procedure

1. Select Reporting from the left-hand navigation. Then Files and Reports page will be displayed.

2. Select Special Reports from the top navigation. This will display the Ad-Hoc Reports page.

3. Select the desired report category in the list and click on \( \text{Select} \) to open the Report Parameter Entry page. Detail of the Ad-Hoc reports are listed below:

   - **Suspense Listing By Agent** – This report lists all transactions that have been tagged. The Suspense Listing displays the last 5 years of transactions that have been tagged. This report shows policy number, insured name, effective/expirations dates gross premium, suspense date, aging days old, tag codes, and category code.

   Procedure

   1. Please enter the Aging Days for the report requested. The recommend Aging Day to enter is 0, so all tags can be displayed.

   2. To select just one Tag Code enter the tag, otherwise leave blank to display all tag codes.

   3. To select on Tag Category Code enter, otherwise leave blank to display all Tag Category Codes.

   4. Select the radio button if you want to print No Follow Up Tags, system default is No.

   5. Select the radio button for Show EFS Tags only, system default is No.

   6. If you would like to request more than one Suspense Listing click the \( \text{Add1 Request} \) button.

   7. Click Enter button to submit the Ad-Hoc report request. A verification message will appear at the top of the page to indicate a successful submission. Once the report is completed you will also receive an email with a link to the report you.

To Review report

8. Select Listings from the top navigation, and then select Special Reports. This will display the User Requested Reports.

9. Then select the appropriate report/file name from the listing displayed, then select the \( \text{View File} \) or \( \text{icon} \) to download the report/file(s)
• **Individual Policy Transaction Listing Report** – A detailed report centering securities listing on an individual policy number. This shows all history and activity pertaining to that policy with information on securities for the parent transaction, types of transactions in subsequent activities, and all recorded data for premiums, fees, taxes, and effective/expiration dates.

**Procedure**

1. Enter the **Policy Number** of the transaction.
2. Enter the **Policy Period** (i.e. 05/01/2013 to 05/01/2014).
3. If you would like to request more than one Suspense Listing click the **Add1 Request** button.
4. Click **Enter** button to submit the Ad-Hoc report request. A verification message will appear at the top of the page to indicate a successful submission. Once the report is completed you will also receive an email with a link to the report you.

**To Review report**

5. Select **Listings** from the top navigation, and then select **Special Reports**. This will display the **User Requested Reports**.
6. Then select the appropriate report/file name from the listing displayed, then select the **View File** or **icon to download the report/file(s).**

• **Individual Policy Transaction Listing Report** – A detailed report centering coverage listing on an individual policy number. This shows all history and activity pertaining to that policy with information on coverage for the parent transaction, types of transactions in subsequent activities, and all recorded data for premiums, fees, taxes, and effective/expiration dates.

**Procedure**

1. Enter the **Policy Number** of the transaction.
2. Enter the **Policy Period** (i.e. 05/01/2013 to 05/01/2014).
3. If you would like to request more than one Suspense Listing, click the **button.
4. Click **Enter** button to submit the Ad-Hoc report request. A verification message will appear at the top of the page to indicate a successful submission. Once the report is completed you will also receive an email with a link to the report.

**To Review report**

5. Select **Listings** from the top navigation, and then select **Special Reports**. This will display the **User Requested Reports**.
6. Then select the appropriate report/file name from the listing displayed, then select the **View File** or **icon to download the report/file(s).**
**Correction Batches and Pending Items**

**Creation of Correction Batches**

A **Correction Batch** is prepared in much the same manner as a normal batch of transactions—however, this time you will only include items from a previous batch, or batches, that have been pended because of errors. This batch of error items will have adjustments made to the data and then be resubmitted for posting.

A batch of corrections can only consist of transaction items that have been posted and tagged with errors. A Correction Batch may consist of error items from several different batches; but, Correction Batches must not contain any new items.

First, you will want to review your recently Posted Batch(s) to see what type of errors occurred during posting.
Finding and Determining Items in Error

After submitting a normal batch of transactions and receiving the proper e-mail notification that this batch of items has completed the Posting process, you will use various resources in the system to see which transaction items were posted (filed) successfully and which were pended (contained errors).

First, the **Batch Posted E-mail Notification** you receive will indicate the status of the posted batch as one of the following categories:

- Posted – No Errors
- Posted – Batch has Errors

Secondly, checking the **Batch Manager** page after the Posting process is completed, will also show the Batch Status column marked for either one of these two options. (Remember: an “Open” status indicates the batch has not been posted; and a “Posted” status means the batch has been filed, but there may be items with errors in the batch.

Thirdly, the **Batch Error Report** (the link for accessing this report is provided on the e-mail notice) will also provide the same information, along with additional details on the Error Tags for each item pended.
Reviewing Errors in Individual Transactions

You can utilize the Batch Error Report, or work from the Batch Manager page as described below:

1. Open the Batch Manager page. Locate any batch(s) that includes errors (Posted Batch has Errors) by reviewing the Status column on the far right.

   *Note: You can sort the status by selecting button in the right hand side of the Status column.*

2. Click on the icon corresponding to a specific batch to open the Batch Transaction Listing page and view details on each of the individual items in the batch. Any item with errors will be flagged with an ERR in the Status column.

3. Using the item number link in the first column, open each original Transaction Entry page that is flagged with ERR, and review the problems for that transaction. Click on the Tags button in the lower portion of the screen to view all Error Tags for the transaction. The information shown here will directly correspond to the error descriptions presented on the Batch Error Report.

4. Once all errors have been identified, it’s time to prepare a Correction Batch, make adjustments to the items in error, and resubmit these transactions.
How to Enter / File a Correction Batch

The following step-by-step method should be used when creating and filing a batch of correction items.

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Open the Batch Manager page. (Select Batch Management from the Left Navigation panel.) Then, select Batches from the upper toolbar.</td>
</tr>
<tr>
<td>2</td>
<td>Choose Corrections &gt; Create to open the Correction Batch Creation screen. The Pending Transactions Listing page will be displayed and show all items, from the various batches posted, which have been tagged with errors. These are known as “pending” items.</td>
</tr>
<tr>
<td>3</td>
<td>Select each transaction you want to include in the Correction Batch by placing a check in the open box corresponding to that item. There is no limit on the number of items that can be included in a Correction Batch. You may also combine error items from several different batches into one Correction Batch.</td>
</tr>
<tr>
<td>4</td>
<td>Click on Create to assemble the Correction Batch.</td>
</tr>
<tr>
<td>5</td>
<td>A new Batch Transactions Listing page will display with new Batch Header and Batch Detail information for this Correction Batch. The batch header data will now designate this new batch as a “Correction Batch: Open” — ready for corrections to be made.</td>
</tr>
<tr>
<td>6</td>
<td>This new Correction Batch (designated by COR) will now be included in the list of batches on the Batch Manager page.</td>
</tr>
<tr>
<td>7</td>
<td>The items in the Correction Batch are listed as 1-? (depending on the number you include in the grouping). Starting with the first transaction, click on the item number link in the first column to open the Transaction Entry page for that transaction. You will make corrections and adjustments to the data on the original entry screen based on the Error Tags generated in the Posting process. In some cases, you might elect to “Delete” a transaction to accomplish a correction. (For more details, see Making Corrections to Error Items and Using the Pending Transactions Listing Page.)</td>
</tr>
</tbody>
</table>
### EFS – Correction Batches and Pending Items

<table>
<thead>
<tr>
<th>Step</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>Move through each item in the Correction Batch and make alterations as required to clear the Error Tags. After an item has been adjusted, you will see the Status of the transaction change to MOD (Modified) when you return to the Batch Transaction Listing page.</td>
</tr>
<tr>
<td>9</td>
<td>Use the <strong>Edit Header</strong> button to open the Batch Header Maintenance page in order to modify the data presented. Enter the correct Item Count and Total Gross to match with the items you have included in the batch. Click on <strong>Update</strong> to submit the revised header information.</td>
</tr>
<tr>
<td>10</td>
<td>After all corrections are accomplished and the Batch Header has been updated, the Correction Batch is now ready to be submitted. Check actual batch data closely against Header information again, in order to avoid additional errors.</td>
</tr>
<tr>
<td>11</td>
<td>If additional corrections are need from the Batch Manager page, click on the <strong>Batch Manager</strong> icon to open the Batch Transaction Listing page. From this page you can review the individual transactions and make necessary corrections to each item in the batch.</td>
</tr>
<tr>
<td>12</td>
<td>Go back to the Batch Manager page and select this Correction Batch by placing a check mark in the open box corresponding to the batch. Click on <strong>Post</strong> to submit the batch for posting.</td>
</tr>
<tr>
<td>13</td>
<td>Upon completion of the Posting process, an e-mail message will be sent to the filer originating the batch to notify of the various processing events. Any errors will be noted and tagged for corrections. A link to all appropriate Batch Reports concerning this Correction Batch will be included on the e-mail message.</td>
</tr>
<tr>
<td>14</td>
<td>If Error Tags are still present after this posting sequence, repeat the process by building another Correction Batch, making the necessary changes to the policy data to correct any errors noted, and resubmitting a new Correction Batch.</td>
</tr>
</tbody>
</table>
Making Corrections to Error Items

After reviewing and selecting those pending items that will make up the Correction Batch, you will need to address each transaction in the batch and the Error Tags associated with each item.

1. Select Batch Management from the left-navigation panel. This will display the Batch Manager page.
2. Locate the batch for correction (Status:Posted Batch has Errors). Then open the Batch Transaction Listing page for the Correction Batch by clicking on the icon for that batch number. This page will show the Batch Detail information for the individual transactions.

3. Those items which have been flagged as having errors during the Posting process (pended items) will be indicated by an ERR in the Status column. This information will correspond directly to the errors outlined on the Batch Error Report. Items in the batch, which were posted without errors, will be marked by POST in the Status column.

4. Determine the changes required or the correct data needed to resolve the errors.

5. Click on the link for the item number in the first column (No.) of the Batch Detail Listing to open the actual Transaction Entry page for that item.

6. Correct the data in the particular fields on the entry page. As long as the batch is Open, or Pending (made up of error items), you will be able to make modifications to the fields. Use the button at the bottom of the screen to view error tags associated with the pended transaction.

   **Note:** This information will correspond directly to the items and errors noted on the Batch Error Report.

7. Repeat the correction process for all items in the Correction Batch, so that each entry on the Transaction Listing page now shows a MOD (Modified) in the Status column.

8. In some cases, making a minor change to the data will not be sufficient to accomplish a correction. It may be necessary to void that transaction and start over. In the Correction Batch mode, each of the transaction entry pages now displays special buttons along the bottom of the page to assist with this task.

   Use the button to remove a transaction from the Correction Batch (this action will still keep the item in the staging area database and the transaction will still show up as a pending item when you check the original Batch Detail Listing).

   Use the button to completely eliminate the original transaction from the list of pending items and also from the Correction Batch. This will require you to start over and enter this transaction as a completely new transaction in a new batch.
EFS – Correction Batches and Pending Items

Download Pending Transactions for Programmatic Resubmission

This page allows you to manage those transaction items in a posted batch that were marked as “pending”—not successfully posted due to errors. From the Pending Transactions Listing page you have the ability to choose from various options to resolve the problems concerning these items. A detailed discussion follows with each.

**Procedure**

The Correction Batch Creation page can also be used by programmatic filers to select pending items for download and subsequent corrections to data.

**Procedure**

1. Mark your selection(s) on the listing by placing a check mark in the open box in front of the transaction item.

2. At the bottom of the matrix select the format required (XML or ASCII) for your application

3. Click the **Download** button.

4. A prompt for transferring the specified files to your system will be displayed. Modifications can be made to the data to correct Error Tags and corrected files can be resubmitted in a Correction Batch upload.
Delete Pending Transactions from the Database

In some situations, it might be best, or necessary, to delete a pending transaction rather than trying to correct and resubmit the policy data. The EFS provides a mechanism to allow you to delete or remove a transaction item even though this has already been entered to the database (shown as “pended” or having errors). Use the following procedure below to delete a pending transaction.

Procedure:

1. Select **Batch Management** from the left-navigation bar and then select Batches from the upper toolbar.

2. Choose **Corrections** and then **Create Batch** from the upper navigation bar. This opens the Correction Batch Creation page.

3. Start the process of preparing a Correction Batch. By selecting the transaction item to be deleted along with any other items that you will correct and resubmit. *(Refer to How to Enter/File a Correction Batch for step-by-step instructions on this process.)*

4. Select the **Create** button to create the Correction Batch. The **Batch Transaction Listing** page will be displayed.

5. Open the transaction items by click on the item number link in the first column to open the **Transaction Entry** page for that transaction.

6. Rather than making modifications, click on the **Delete** button in the lower portion of the screen. This action will convert this transaction item from its original transaction type “P” (pending) in the staging area database to a transaction designated as type “P” with a “DT” action code, signifying a Deleted transaction.

7. Move through each item in the Correction Batch and make alterations as required to clear the Error Tags. After an item has been adjusted, you will see the Status of the transaction change to **MOD** (Modified) when you return to the **Batch Transaction Listing** page.

8. Use the **Edit Header** button to open the **Batch Header Maintenance** page in order to modify the data presented. Enter the correct Item Count and Total Gross to match with the items you have included in the batch. Click on **Update** to submit the revised header information.

9. After all corrections are made and the Batch Header has been updated the Correction Batch is ready to be submitted.

10. Go back to the **Batch Manager** page and select this Correction Batch by placing a **check mark** in the open box corresponding to the batch. Click on **Post** to submit the batch for posting.
Search Capabilities / Inquiries

Overview

The Electronic Filing System (EFS) allows you to search for specific batches and also, for individual transaction items, entered in the system. You may access the search capabilities function directly by clicking on the Transaction Inquiry on the left-hand navigation bar.

Various criteria can be submitted for your use in finding a particular batch of items.

Along with the ability to search based on the Receive Date of the batch, inquiries can be delineated based on the following categories:

- Open Batches
- Closed Batches
- Batches with No Preliminary Edit Errors
- Batches Posted with No Errors
- Batches Posted with Errors
- Batches Ready for Posting
- Validated Batches

Batches can also be categorized and searched based on the person in your agency who originated the batch submission. All agency user names are displayed for selection in this type of inquiry.

Inquiries concerning a particular transaction within a batch are made based on policy number and/or the insured’s name.
Transaction Inquiry

1. Select **Transaction Inquiry** from the left-navigation bar. This will open the Transaction Inquiry page.

2. Enter the complete **Policy Number** for the transaction item in question. If the complete policy number is not available a partial policy number can be entered however your results will be based on that information entered.

   **Note:** Using the Policy Number is recommended for searching.

3. Enter the Insured’s Name. (Optional)

   **Note:** It is not required to enter information in each field to obtain a valid search. You must, however, enter data in at least one field to initiate an inquiry.

4. Check the **Pending Only** box to narrow the search to only pending transactions. If this box is left unmarked, the search will pull up all items—both posted and pending.

   **Note:** If you want to see only pending items you can select Pending Items Only and a complete listing will be displayed.

5. Click **Enter** to initiate the search.

The search results will be displayed in a transaction-listing pane in the lower portion of the screen. Clicking on the link for the transaction number in the first column of the matrix will open the actual Transaction Entry page for that item. Edits and modifications can be made to these fields only if the batch is still in an **Open** status.
EFS – Search Capabilities / Inquires

Batch Inquiry

1. Select Transaction Inquiry from the left-navigation bar. This will open the Transaction Inquiry page.
2. From the upper toolbar select Search and then select Batches. This will display Batch Inquiry page.

2. Enter the necessary criteria to define a particular batch of transactions.
   - **Batch State** – Select from the several status options in the drop-down menu.
   - **Entered by User** – Choose from the list of user names for your agency to locate a batch originated by a certain person in your organization.
   - **Receive Date** – Enter the date range for when the batch was created. (i.e. 05/01/2013 To 05/12/2013)
     
     *Note:* At least one of the fields must contain information in order to obtain valid search results. The more criteria provided, the more refined and accurate the search will be.

3. Click **Enter** to initiate the search.

Inquiry results will be displayed in a batch-management style chart showing only those batches meeting the search criteria.

Transaction details for individual items in the batch can be viewed by clicking on the icon in the Details column of the listing.

You can also use the icon in the Maintenance column of the listing to make adjustments to Batch Header information, if the batch is still “Open.” If the batch has been Posted, you can view the information, but not make changes to the Header data.

You can utilize the Item Number link in the first column of the Batch Detail Listing to open the specific entry page for that transaction.
**Status Categories for Transactions**

When using the inquiry process, the following designations may appear in the Transaction Detail Listings to describe the status of a transaction in the system.

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>(blank)</td>
<td>This transaction can still be updated; which indicates the transaction could be part of a normal batch that has not been submitted for posting, or it could be included in a Correction Batch that has not been sent for posting.</td>
</tr>
<tr>
<td>POST</td>
<td>The transaction has been successfully posted to the database.</td>
</tr>
<tr>
<td>ERR</td>
<td>This transaction included errors when it was posted; also called a “pended” transaction.</td>
</tr>
<tr>
<td>COR</td>
<td>This indicates another transaction has been created to correct this transaction. When a pending transaction is added to a Correction Batch, the pending transaction is replaced with a “corrected” transaction.</td>
</tr>
<tr>
<td>MOD</td>
<td>This is a corrected transaction that has been modified; the item has had alterations made to the data to correct error tags.</td>
</tr>
</tbody>
</table>
Transaction History Log

The Transaction Details Listing, which displays in conjunction with a Transaction Inquiry, provides an opportunity for you to look at the history of a particular transaction.

Procedure

1. Select **Transaction Inquiry** from the left-navigation bar. This will open the **Transaction Inquiry** page.

2. Enter the complete **Policy Number** for the transaction item in question. If the complete policy number is not available a partial policy number can be entered however your results will be based on that information entered.

   **Or/And**

   Enter the **Insured's Name**. (Optional)

3. Results are displayed in the matrix on the **Transaction Inquiry** page. (Example below)

4. Click on the icon in the **Hist** (History) column, to open the **Transaction History Listing** for the designated transaction item. This summary will show the life and details of the selected transaction, from first entry through any corrections.
**EFS – Securities and Security Contracts**

**Securities and Security Contracts**

**Overview**

The Electronic Filing System (EFS) offers a special **Security Contracts Setup feature** to help expedite your work when filing transactions where the same securities arrangement is involved on multiple policies.

With a simple data entry procedure, you can predefine a Contract ID/Name for each of the different underwriter groups you normally use and then specify their individual company code numbers and company participation percentages for that Contract. Also, when Underwriters at Lloyd’s of London is included as one of the participating companies in the contract, this initial setup process will allow you to designate the Syndicate name and code numbers involved when detailing this level of policy data.

Once the customized Contracts, or templates, have been established in the system, you simply select the appropriate Contract ID as you enter transaction data, and all of the necessary details about the Securities and/or Syndicates will be automatically copied to the transaction entry page for you.
To Setup a New Contract

Procedure

1. Select **Batch Management** option in the left-hand navigation bar.

2. From the **Batch Management** page select **Contracts > Maintain** from the drop-down menu to display the **Contract Maintenance** page.

3. Select **New Contract** from the **Contracts** drop-down in the first field. All other fields will go blank to allow for entry of New Contract information.

   *Note: All previously established contracts for your agency will be listed in this drop-down menu.*

4. Enter a name or number for the New Contract in the **Contract ID** field.

5. Provide any needed descriptive information regarding this Contract in the **Description** field.

6. Enter the date of the Contract in the **Date** field. (This is the date the contract was originated.)

7. Mark the Status of the Contract as **Active** by checking the corresponding box. An unmarked box will designate the Contract as **Inactive**, and it will not be useable for data entry. The status of any Contract may be switched from Active to Inactive as required.

8. Click on the **Company codes used** icon at the top of the page to select the Company name(s) and corresponding Company number(s) for creating the new Contract. If you do not find the appropriate company in this selection, a full listing is available by selecting **Company codes full list** icon at the bottom of the page. Make note of the company number for the one you need. You will enter this company number on the entry page. Upon selection of the names/numbers using the Lookup window, the system will automatically insert this data into the Number and Name fields on the transaction entry page.

   You may also simply key in the appropriate Company number from memory or by referring to a listing of these codes kept at your workstation. The **Master Code Files** are available in the EFS **Help** Sub-system in .pdf format.

9. Provide the percentage of participation for each of the companies involved; these percentages must total 100%. (If only one company makes up the Contract, the percentage of participation should be shown as 100%.)

10. Click **Enter** to submit the Company data. If one of the participating companies is Underwriters at Lloyd’s of London, the **Contract Maintenance Lloyd’s Syndicates** page will display for your entry of additional information on Syndicate names/numbers for this participant. Use the Syndicate **Syndicate codes used** icon at the top of the screen to select the appropriate syndicate names/numbers from the list of options. If you do not find the appropriate syndicate(s) in this selection a full listing is available by selecting **Syndicate codes full list** icon at the bottom of the page. Make note of the syndicate number for the one you need. You will enter this company number on the entry page. Your selection(s) in the Lookup window will be automatically inserted to the appropriate fields on the **Syndicates Maintenance** page.
Note: If you are adding Syndicates from the Master List or from the Syndicate codes full list, you must key in these Syndicate's company number(s). The Master Code Files are available in the Help sub-system in .pdf format for your use.

The Reset button is used to clear the fields and start over, if you enter data incorrectly. The Add Row button allows you to insert additional rows of fields on the page as needed.

11. Click Enter again to submit the completed Contract data. A verification message will appear at the top of the page to indicate the successful creation of the Contract.

12. Now, select Contracts > Review from the drop-down on the upper toolbar to display the Syndicates/Companies by Contract page. This new Contract should have been added to the listing of established security contracts for your organization.
To Delete an Existing Contract

Procedure

1. Select **Batch Management** option in the left-hand navigation bar.

2. Select **Contracts > Review** on the upper toolbar to display the Syndicates/Companies by Contract page.

3. Identify the Contract to be deleted and click on the **contract icon** associated with that specific Contract ID. This will open the **Contract Maintenance** page for the Contract.

4. Click on the **Delete** button at the bottom of the page to completely remove the Contract. All information concerning this Contract setup will be deleted.

   *Note: Switching the status of a Contract to Inactive will keep the Contract as part of your listing, but mark it as not usable for transaction entry.*

Or

1. Select **Contracts > Maintain** on the upper toolbar to display the Syndicates/Companies by Contract page.

2. Select the Contract from the **Contracts** drop-down menu. Verify that is the correct contract for deletion.

3. Click on the **Delete** button at the bottom of the page to completely remove the Contract. All information concerning this Contract setup will be deleted.
To Modify an Existing Contract

Procedure

1. Select **Batch Management** option in the left-hand navigation bar.

2. Select **Contracts > Review** on the upper toolbar to display the **Syndicates/Companies by Contract** page.

3. Click on the **Edit** icon associated with the specific Contract ID to be modified. This will open the **Contract Maintenance** page for this contract.

4. Any company numbers, descriptions, and participation percentage information can be easily modified as required. Click **Enter** to update the Contract.

Or

1. Select **Contracts > Maintain** on the upper toolbar to display the **Syndicates/Companies by Contract** page.

2. Select the Contract from the **Contracts** drop-down menu. Verify that is the correct contract for modification.

3. Any company numbers, descriptions, and participation percentage information can be easily modified as required. Click **Enter** to update the Contract.

The **Reset** button can be used to clear fields on the page and restore the original data as shown when you opened the page. The **Delete** button is used to eliminate an entire contract. The **Add Row** button will allow you to add extra rows of fields on the screen for more Company names.

**Note:** A Contract serves as a template to allow you to easily copy the predefined Security/Syndicate information to your transaction entry page when needed. Should you need to modify an established Contract, you may want to make your changes to the data and also revise the date of the Contract. This will create a new Contract with a new date, but also preserve the integrity of the original version of the Contract. This earlier version can be switched to “Inactive,” if this version is no longer being used, but it is necessary to archive the data used in this Contract.

If there is no need to maintain the information set up in the earlier version of the Contract, make the changes to the data and submit the updated information. The revised data will now be registered for this Contract ID.
Contract Maintenance Lloyd’s Syndicates Page

The Contract Maintenance Lloyd’s Syndicates page will open and require entry of information only when one of the participating companies designated in a Contract is Underwriters at Lloyd’s of London.

Procedure

1. Select **Batch Management** option in the left-hand navigation bar.

2. From the **Batch Management** page select **Contracts > Maintain** from the drop-down menu to display the **Contract Maintenance** page.

3. Select **New Contract** from the **Contracts** drop-down in the first field. All other fields will go blank to allow for entry of New Contract information.
   
   *Note: All previously established contracts for your agency will be listed in this menu.*

4. Enter a name or number for the New Contract in the **Contract ID** field.

5. Provide any needed descriptive information regarding this Contract in the **Description** field.

6. Enter the date of the Contract in the **Date** field. (This is the date the contract was originated.)

7. Mark the Status of the Contract as **Active** by checking the corresponding box. An unmarked box will designate the Contract as **Inactive**, and it will not be useable for data entry. The status of any Contract may be switched from Active to Inactive as required.

8. Select **UNDERWRITERS AT LLOYD’S LONDON** from the icon at the top of the page to select the Company name(s) and corresponding Company number(s) for creating the new Contract. If you do not find Underwriters at Lloyd’s London in this selection, a full listing is available by selecting the icon at the bottom of the page.

9. Once all the company(s) and percentages have been entered select the **button.**

10. The **Contract Maintenance Lloyd’s Syndicates** page, should be displayed click on the icon at the top of the screen to open the Lloyd’s Syndicates **Lookup** window. If you do not find the appropriate syndicate(s) in this selection a full listing is available by selecting icon at the bottom of the page. Make note of the syndicate number for the one you need. You will enter this company number on the entry page. Your selection(s) in the Lookup window will be automatically inserted to the appropriate fields on the Syndicates Maintenance page.

11. Select one or more Syndicate names/numbers from the list of available options as applies to your Contract. Click on **Add** to move these to the “Selection” pane. Then select the **button, the system will automatically insert these selections to the fields on the Contract Maintenance Lloyd’s Syndicates page.

12. Click the enter button. A verification message will appear at the top of the screen indicating a successful added/updated.

*Note: Participation percentages of individual Syndicates are not recorded: only the Syndicate names and numbers.*
Review of Existing Contracts and Syndicates

The Contracts Review function is used to obtain a quick summary of all Contracts being utilized by your agency and to see a breakdown of corresponding company names and percentages.

Procedure

1. From Batch Management select Contracts > Review from the drop-down box on the upper toolbar to open the Syndicates/Companies by Contract page. This screen will display a listing of the various Contracts your agency utilizes on various lines of business. The listing shows the Contract ID (Name), Contract Date, and a description of each security arrangement.

2. Click on the link in the Contract ID column to display specific data concerning that individual Contract. This information will provide the Company Name, Number, and that Company’s percentage of participation in the arrangement.

3. The icon next to a Company name indicates the inclusion of an Underwriters at Lloyd’s of London Syndicate as part of these securities. Click on this icon to display a breakdown of the Syndicate names/numbers used on this contract.

4. Click on the icon to open the Contract Maintenance page for any particular Contract ID.

Maintenance procedures are described in Modifying an Existing Contract.
Policy Securities Page

The Securities information for a policy is entered on this page. If this is a new or renewal transaction, clicking on the icon (Company Codes Used) at the top of the page will allow you to see a listing of available companies. Your selection from this Company Look-up window will be automatically inserted on the entry page. Then, enter the applicable Percentage(s) of Participation, being certain the total is 100%. If you need additional rows to distribute the participation, you can add them by clicking on the button at the bottom of the page.

If a company is not listed in the Company Look-up window, then click on the icon (Company Codes Full List) at the bottom of the page to view the complete list of all companies. Make note of the company number for the one you need. You will enter this company number and its percentage(s) of participation on the entry page. After this batch has been posted, the company will be included in the list of available companies in the Company Look-up window.

You can also select a Security Contract from this screen. Click on the drop-down menu at the upper left of the screen to select a previously entered Security Contract, and then click on the Select button beside the menu. The Contract information will be entered for you. (See Securities and Security Contracts for more information on preparing these code resource pages.) If there is not a Security Contract applicable to this transaction, leave the default set to “—None—” When done, click the button to submit the information.

If one of the companies listed on the Policy Securities page is Underwriters at Lloyd’s of London, the appropriate Policy Syndicates page will open for you to provide Syndicate details.

Note: After posting, there may be an asterisk (*) beside the Company number. This indicates that this company is ineligible as of the inception date of the policy.
**Policy Syndicates Page**

If one of the companies listed on the Policy Securities page is Underwriters at Lloyd’s of London, the Policy Syndicates page will open for you to provide Syndicate details. The appropriate Syndicate information for a policy is entered on this page. If this is a new or renewal transaction, clicking on the icon (Syndicate Codes Used) at the top of the page will allow you to see a listing of available Syndicates. Your selection from this Syndicate Look-up window will be automatically inserted on the entry page. If you need additional rows to enter Syndicate participation, you can add them by clicking on the button at the bottom of the page. When done, click to submit the information.

If a syndicate is not listed in the Syndicate Look-up window, then click on the icon (Syndicate Codes Full List) at the bottom of the page to view the complete list of all syndicates. Make note of the company number for the one you need. You will enter this company number on the entry page. After this batch has been posted, the syndicate will be included in the list of available syndicates in the Syndicate Look-up window.

*Note:* After posting there may be an asterisk (*) beside the Syndicate number. This indicates that this syndicate is ineligible as of the inception date of the policy.
**EFS – File Uploads**

**File Uploads**

**Overview**

The File Upload option for transaction entry will be utilized by those agencies who wish to submit policy data to SLTX in the form of previously constructed flat files (either XML or tab-delimited ASCII) and to transmit these files to the EFS, by either a manual upload using the website or by a programmatic submission.

General information and resources for extracting necessary policy data and assembling these types of files can be found in the *Programmer's Technical Reference Manual*. A .pdf version of this text is available in the Help sub-system and includes details on file formats and tags needed to construct records for the various transaction types to be filed.

As with web-based filing, all policy data must be grouped into batches. More than one batch may be included in a file and there are no limits on the number of transaction items that can be grouped into a batch.
Manual Uploads

1. Prepare file packages as per formatting information described in the *Programmer’s Technical Reference Manual*.

2. Open the Manual File Upload page by selecting the File Upload option on the left-hand navigation bar.

3. Enter the appropriate file name(s); or browse your directories and select the file names to be transmitted. All files should already include the necessary Header information.

4. Enter a brief description of the file(s) to identify the submission.

5. Click on to transmit the file(s). This action will initiate the Preliminary Edit and Posting processes.

6. E-mail verification for receipt of the file package will be sent to the e-mail address used in the Header information. If no address is included here, the system will default to the “primary” agency recipient indicated in the Security Profile.

7. Standard Preliminary Edit rules will apply to the batches submitted (see Posting Process). If no edit errors are detected in the file(s), the items will move directly into the Posting process.

8. If Preliminary Edit errors occur, processing of the files will stop. Each batch will be marked with an “Open” status on the Batch Manager page. An e-mail notice will be sent to the recipient designated in the Header information to detail the errors for each batch submitted. Data for the Header totals or individual transaction data should be corrected to satisfy the Preliminary Edit rules. (For more information, see the section on Preliminary Editing Process.)

9. Upload the files again to resubmit the adjusted file(s).

10. Upon successful completion of the Posting process, a Batch Posted E-Mail Notification will be sent for each batch submitted. A link will be provided on the e-mail notice for accessing appropriate Reports for each batch. The Batch Manager page will display results of the posting. Items with errors will be shown on the Pended Transaction Listing page.

11. Pended, or error, items from the various batches should be compiled into a Correction Batch and changes needed to correct individual transaction data records should be made. (See Creation of Correction Batches for more information on downloading pending transactions and making subsequent Correction Batch uploads.)
Programmatic Uploads

Refer to the discussions concerning file packaging and EFS transfer requests in the Programmatic File Transmission Process section of the *Programmer's Technical Reference Manual*.

1. Construct files and transfer data programmatically using the File Upload URL provided.

2. E-mail verification for receipt of the file package will be sent to the e-mail address used in the Header information of the batch(s). If no address is included here, the system will default to the “primary” agency recipient assigned in the Security Profile.

3. Standard Preliminary Edit rules will apply to the batches submitted (see Preliminary Edit process). If no Preliminary Edit errors are detected in the file(s), the items will move directly into the Posting process.

4. If Preliminary Edit errors occur, processing of the files will stop. Each batch will be marked with an “Open” status on the Batch Manager page and an e-mail notice will be sent to the recipient designated in the Header information to detail the errors. Data for the Header totals or individual transaction data should be corrected to satisfy the Preliminary Edit rules. Upload the modified file(s).

5. Upon successful completion of the Posting process, a Batch Posted E-Mail Notification will be sent for each batch submitted. A link will be provided on the e-mail notice for accessing appropriate Reports for each batch. The Batch Manager page will display results of the posting and items with errors will be shown on the Pended Transactions Listing page on the website.

6. Pended, or error, items from the various batches should be compiled into a Correction Batch and changes needed to correct individual transaction data records should be made. (See Creation of Correction Batches for more information on Downloading pending transactions and making subsequent Correction Batch uploads.)
Help Resources

Online Problem Entry

Should you encounter a system-level problem while working in the website and submitting data, the EFS incorporates a special Help feature to allow you to report the situation directly to the EFS Help Desk. Use the following procedure for your online problem reporting:

1. Open the Help System main page by selecting Help in the left-hand navigation pane.

2. Select Support > Problem Reporting from the upper toolbar to open the HelpDesk Problem Entry page. You will provide information in these fields to help describe and target the problem you have encountered.

3. Enter an e-mail address and phone number where an EFS Help Desk representative can contact you.

4. Select the appropriate Sub-system Identification from the drop-down listing to best describe the point in the filing process where the problem occurred.

5. Provide a screen/page title where the problem was noticed. Titles are normally displayed at the top of each page in centered and bold type. If no title is found or does not pertain to the immediate problem, simply enter N/A.

6. Write a brief description about the problem (what happened, what error message was displayed, were you able to complete your task, etc.)

7. Click to submit the Problem Report.

8. You will receive an on-screen verification message to indicate that the problem has been registered with the Help Desk and a problem identification number will be displayed. You will want to record this number for future reference should you need to contact the Help Desk and reference this problem report.

Note: If you need immediate help please contact the EFS Help Desk.
Master Code Files

The Master Codes represent the listings of current SLTX code files used by SLTX in the transaction entry process and are available in .pdf format, or as downloadable ASCII or XML files for the programmatic filer. These files include:

- Available Coverage Codes
- Available Class Codes
- Available Transaction Codes
- Available Company Codes
- Available Syndicate Codes
- Available Tag (Error) Codes

PDF Files

For the web-based filer, these listings can serve as handy reference tools while you enter policy information. Use the .pdf files to view and print the listings you need.

You will also find the Coverage Codes, Class Codes, Company, Codes and Syndicate Codes available via the Lookup windows on the individual transaction entry pages requiring this type of data.

To access the .pdf files, click on Master Codes > PDF Report on the Help toolbar to see the inventory of files. Click on the to View the lists or on the to Download out each list as needed.

Download Files

Programmatic filers can select and download either ASCII files or XML files of all of the codes necessary for preparing transaction entry data files. Choose the file format to work best with your programming needs.

On the Help toolbar, click on Master Codes > Download Files to see the inventory of files available.

Click on for the appropriate file type to initiate the download to your system.
**System Status**

SLTX will use this page to display special notices and other pertinent information concerning the Electronic Filing System. Check this page on a regular basis to see schedules and information for planned maintenance activities and important technical updates from SLTX.
Global Administration – SLTX Sign-On

Global System Values Maintenance

This maintenance page allows for the setup and subsequent modification of various global values settings that are used by the entire system.

Mail server / Mail from address
These fields should specify the domain name and server name for outgoing e-mail from the system. The return address line will be the server name for incoming mail.

Help Desk E-mail address
This field should indicate the proper e-mail address for the EFS Help Desk.

Minimum Password Length
SLTX personnel can set the minimum character length of passwords to any value by making adjustments to this field. Currently, the default setting for a minimum number of characters is five (5), with a maximum length of 20 characters. This setting is enforced system wide.

Password Expiration – Maximum Days
This setting establishes the maximum password expiration time that agent administrators can specify when creating and maintaining User Profiles in the Security sub-system. The EFS maximum day for Password Expiration is 90 days.

Open Batch Maximum Days
Any batch of transactions that does not complete the posting process is shown as an “Open” batch. This could include a batch entered and never submitted, a batch returned with errors that has not been subsequently corrected, or a Correction Batch that has not been resubmitted for posting.

SLTX personnel can adjust the number of days that any batch may remain in an open status. At the end of this time period, the agent/agency will receive an automated e-mail notice of “open batches” in the system. The current default setting is 14 days and this time period can be changed to any number of days as determined by SLTX.
Global System Status Maintenance

The System Status Maintenance page provides the code input area to prepare the messages regarding system status that appear on the System Status screen in the Help sub-system opener page.

New information should be entered in an .html format. Then, click on Enter to submit and change the message in the system.

Most often this message will indicate whether the EFS is “up and running” or “down” for some specific reason. This area may also be utilized for noting times for scheduled maintenance activities for the system.
**Global Notification**

The **Global Notification** page this input area to prepare the messages regarding system status for emergencies or system outages. This message will be emailed to basic on the selected recipients based on the selection in the **To** and **Notify** section.

**Procedure**

1. Open the **Global Administration** main page by selecting **Global Administration** in the left-hand navigation pane.
2. Select the **To** recipients using the check boxes.
3. Select the **Notify** either **Primary** or **Secondary** or Check both.
   
   **Note:** If you are notifying EFS users, selecting both **Primary** and **Secondary** is recommend.

4. Insert your **Subject** (i.e. EFS Outage on 4/12/11)
5. Insert the **Message** you want the recipients to receive after completing message be sure to insert your signature.
   
   **Note:** Your signature should include your name, email, SLTX contact information.

6. Review notification to ensure accuracy and click the **Enter** button to send notification.
Available Reports Expiration Settings

SLTX personnel will no longer be able to change the report expiration times in EFS. This process is now being handled within MIS. For each of the Categories specify the file retention time span by entering in the days/months. To access the report expiration settings in MIS select Maintenance > File Category Expiration Settings or Reports > Administration.
Appendix

Batch Header Maintenance (Header)

Clicking on the “wrench” icon in the Header column of the Batch Manager chart corresponding with a particular batch will take you to the Batch Header Maintenance page for that batch. From this screen, you are able to update, or modify, the header information as needed. Each batch—whether new or correction—will require complete and accurate header information. (For more information see Creating a New Batch Header or Editing Existing Header Information.)
Batch Item Count and Error Count

The **Item Count (Items)** number corresponds to the number of transaction items listed in Batch Header information. The Item Count in your header information and the **actual** number of items in the batch must *always match* to avoid receiving an error message when you attempt to post a batch of transactions.

The **Error Count (Errors)** number indicates the number of transactions in the batch that contain errors after the posting process has been completed. This number should not be confused with the number of errors in an individual transaction item.
Batch Log ID (LogID) / Batch Number (Batch)

Part of the standard batch header information, these numbers are automatically assigned by the EFS when you create a new batch of transactions. Use the Batch Number/RecDate and Log ID to keep track of transaction groups for your in-house files. All correspondence and processing e-mail notices and correspondence concerning a batch will include the LogID number, which is a unique identifier of this grouping of transactions in the system.
Batch Selection (Sel.)

The first column of the Batch Manager chart includes the mechanism to assist you in selecting a batch for posting, or another operation. If a batch is Open (has been created with new transactions, but not yet posted) or has Preliminary Edit errors, or is an Open Correction Batch (has pending items needing correction), the first column of the chart will include an open box that can be “checked,” or selected. You can utilize this column to select one, or multiple, completed batches to submit for the posting process.

**Note:** If a batch has already been posted, the selection box will not be visible.

When working with the Batch Manager page to make batch selections, you will find a series of buttons along the bottom of the screen that aid in the various batch management activities. As mentioned above, the **Post** button initiates the Posting process of selected batches. You can use the **All** button to select all batches in the listing without having to “check” each individual one; and the **Clear** button allows you to clear any selections made and start over. The **Delete** button is used to permanently remove any batch(es) from the listing.

The **Refresh** button at the top of the page is used to update the page to the most current information in the system. This button can be utilized during the Posting process to help monitor the progress of posting. (See **Selecting Batches for Posting** for more information on using the Refresh button.)
Batch Status (Status)

The status of a batch is categorized as one of the following and this designation is displayed in the far-right column of the Batch Manager page:

1. Open – the batch has been created, or is in the process of being compiled, but has not been submitted for posting.

2. Closed – the batch has been submitted for posting and is waiting on the preliminary edit process to run; but the posting process is not completed.

3. Posted with No Errors – the batch has been successfully posted and no errors were found.

4. Posted-Batch has Errors – the batch has been posted and includes one or more errors.

5. Preliminary Edit Errors – information in the Batch Header does not match the actual transaction totals in the batch; the posting process has stopped and the batch is still Open for data to be adjusted.

6. Posted-No Errs (Inelig) – the batch has been successfully posted, however, one or more transactions had an ineligible company or syndicate assigned.

7. Posted with Errs (Inelig) – the batch has been posted and includes one or more errors, including transaction(s) with an ineligible company or syndicate assigned.

8. Ready for Post Edit – the batch is in a queue awaiting the posting process.

9. Posting in Progress – the batch is being processed by the posting program.

10. Posted Batch Deleted – a previously posted batch was deleted entirely by a subsequent Batch Delete transaction.

11. Manual – an abnormal condition occurred in Posting; Help Desk can resubmit this batch.

12. Validated – the batch has successfully completed the preliminary edit process without errors and is waiting to be put into the posting queue, where the status will be changed to “Ready for Post Edit.”
Batch Transaction Listing (Trans.)

Clicking on the “people” icon in the Trans column of the Batch Manager chart will display the Batch Transaction Listing page showing details on each transaction included with this specific batch. The listing indicates the policy number, transaction type, the effective date of the policy, transaction status, and total gross. (For more information see Batch Transaction Listing Page.)
Batches (Type of)

Batches are composed of those transactions items being filed with SLTX and are classified as either:

- **Normal Batches** – consisting of all new transactions.
  [Note: Normal Batches blank under Type]

- **Correction Batches (COR)** – made up of only error transactions.

[Note: Normal batches cannot include any “error” transactions and conversely, correction batches can only be made up of “error” transactions.]
Correction Batch – Pending Deletions

This transaction is designed to delete a pending transaction rather than trying to correct and resubmit the policy data.

For your convenience, abbreviated Batch Header Information is shown at the top of each Transaction Entry page, and includes the batch number, batch status, and creation date for the batch.

The fields on this transaction cannot be modified because they contain specific data related to the pending transaction to be deleted, derived from a previous transaction that contained errors.

Use the Remove button to remove a transaction from the Correction Batch (this action will still keep the item in the staging area database and the transaction will show up as a pending item when you check the original Batch Detail Listing).

Use the Delete button at the bottom of the screen to view error tags associated with the pended transaction. Again, this information will correspond directly to the items and errors noted on the see Batch Editing for more information.

Note: The completion of this entry does not mean the transaction (or batch) has been posted, or filed, with SLTX—only that you have successfully added a transaction to the batch you are building. See Posting Process or How to Enter/File a Correction Batch for more information.
Date Extensions

A Date Extension endorsement is to be reported to SLTX as Renewal. This allows our office to check the company eligibility (as of the date of the extension) as well as apply the appropriate tax and stamping fee rates. The procedure allows our office to comply with the sections of the Texas Insurance Code and Texas Administrative Code that pertain to “an extension of an insurance contract beyond its original expiration date”. This applies to any premium bearing and/or non-premium date extensions.

*Note: This is not the same as Extended Reporting Period.*
Effective Date

Effective Date can be entered in a 6-digit format (MMDDYY), with or without separators between and the system will reconfigure the data to be shown as 00/00/0000. The year can be entered in either a 2-digit or 4-digit format.

*Note: Texas law states policies must be filed with SLTX within 60 days of issuance or the effective date, whichever is later. 28 TAC 15.23 and Texas Insurance Code Sec. 981.105(a) both state this requirement.*
Exempt Commercial Purchaser (ECP)

Exempt Commercial Purchaser (ECP) – This **Yes or No** button should indicate if the insured meets the criteria as an Exempt Commercial Purchaser. (A surplus lines agent is not required to meet the Texas diligent effort law if the buyer qualifies as an exempt commercial purchaser under the NRRA.) It will be required that you provide this information if the insured qualifies, and if the agency elects to utilize this exemption.

**Note:** This is **not** the same as Exempt Premium.

**Is the Buyer an “Exempt Commercial Purchaser?”**

A surplus lines agent is not required to meet the Texas diligent effort law if the buyer qualifies as an ECP under the federal Non-admitted & Reinsurance Reform Act (NRRA) and follows the “streamlined application” procedures permitted under the NRRA. Those procedures require the agent first to disclose to a purchaser who meets the NRRA definition of an ECP that coverage “may or may not be available from the admitted market that may provide greater protection with more regulatory oversight.” After receiving this disclosure, the exempt commercial purchaser must request in writing that the agent procure the coverage in the surplus lines market. The NRRA defines an ECP as a buyer who meets the following requirements:

1. Employs or retains a qualified risk manager.
2. Pays aggregate nationwide commercial property and casualty insurance premium in excess of $100,000 in the immediately preceding 12 months.
3. Satisfies at least one of the following:
   a. Possess a net worth in excess of $20 million;
   b. Generate annual revenues in excess of $50 million;
   c. Employ more than 500 full-time employees per individual insured or be a member of an affiliated group employing more than 1,000 employees in the aggregate;
   d. Be a not-for-profit organization or public entity generating annual expenses of at least $30 million; or
   e. Be a municipality with a population in excess of 50,000 persons.

**For more information about ECP go to:**
Expiration Date

Expiration Date can be entered in a 6-digit format (MMDDYY), with or without separators between and the system will reconfigure the data to be shown as 00/00/0000. The year can be entered in either a 2-digit or 4-digit format.
File Uploads of Correction Batches

Use the instructions for Creating Correction Batches, targeted to web-entry filers in this online Help text, along with the resources and information in the Programmer’s Technical Reference Manual concerning proper formats and file construction, to learn how to organize and compile pending items into a Correction Batch.

After the files are built, the Correction Batch can be uploaded to the EFS in the same manner as a normal batch of transactions.
Industrial Insured

Industrial Insured – This Yes or No button should indicate if the insured meets the criteria as an Industrial Insured. (A surplus lines agent is not required to meet the Texas diligent effort law if the buyer qualifies as an exempt commercial purchaser under the NRRA.) It will be required that you provide this information if the insured qualifies, and if the agency elects to utilize this exemption. **Note: This is not the same as Exempt Commercial Purchaser (ECP).**

**Is the Buyer an “Industrial Insured?”**

A surplus lines agent is not required to meet the Texas diligent effort law if the buyer qualifies as an Industrial Insured under the federal Non-admitted & Reinsurance Reform Act (NRRA). An Industrial Insured is considered a diligent effort exemption for a new class of insureds was signed into law by the governor on Tuesday, May 23, 2017. The new law defines “industrial insured” as a person who purchases commercial insurance, employs a qualified risk manager, and meets either of the following requirements:

1. Has paid more than $25,000 in property and casualty insurance premiums over the preceding 12 months, or
2. Employs at least 25 full-time employees

For more information about Industrial Insured go to: [http://www.statutes.legis.state.tx.us/Docs/IN/htm/IN.981.htm#981.0033](http://www.statutes.legis.state.tx.us/Docs/IN/htm/IN.981.htm#981.0033)

To better demonstrate the difference between the Exempt Commercial Purchaser (ECP) and Industrial Insured requirements, please see the chart below that outlines the high-level requirements of each.

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Exempt Commercial Purchaser</th>
<th>Industrial Insured</th>
</tr>
</thead>
<tbody>
<tr>
<td>Texas Insurance Code section</td>
<td>981.0031</td>
<td>981.0033</td>
</tr>
<tr>
<td>Effective on</td>
<td>1/1/2015</td>
<td>9/1/17 (for policies delivered, issued for delivery, or renewed on or after January 1, 2018)</td>
</tr>
<tr>
<td>Specific disclosure required between insured/broker</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Insured employs/retains Risk Manager (required)</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Insured paid aggregate P&amp;C premiums in preceding 12 months (required)</td>
<td>$100,000 or more</td>
<td>$25,000 or more OR employs at least 25 full-time employees</td>
</tr>
<tr>
<td>Surplus lines insurer financial strength rating (required)</td>
<td>N/A</td>
<td>A – or better (from AM Best Company)</td>
</tr>
<tr>
<td>Meets at least one of the following criteria (required):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Net worth</td>
<td>More than $20 million</td>
<td>N/A</td>
</tr>
<tr>
<td>Generates annual revenue</td>
<td>More than $50 million</td>
<td>N/A</td>
</tr>
<tr>
<td>Employs full-time employees</td>
<td>500 (or member of affiliated group employing more than 1000)</td>
<td>See above</td>
</tr>
<tr>
<td>Nonprofit or public entity annual budget expenditures</td>
<td>At least $30 million</td>
<td>N/A</td>
</tr>
<tr>
<td>Municipality with population of</td>
<td>More than 50,000</td>
<td>N/A</td>
</tr>
</tbody>
</table>
EFS – Appendix

Issue Date

Although the issue date is not mandatory, the issue date is very important when trying to prove compliance with the 60-day filing requirement. Texas law states policies must be filed with SLTX within 60 days of issuance or the effective date, whichever is later. 28 TAC 15.23 and Texas Insurance Code Sec. 981.105(a) both state this requirement.

An issue date is:

1. The issue date is usually shown on the policy or binder.

2. It is the date the policy or binder was received by your office via email, mail, or other electronic transmission. It is a ‘provable date’ that the policy or binder was issued/received by your office. Not the Report Date.

3. A date stamp showing the actual date the policy was received in the agent’s/agency office will also be picked up when there is no issue date shown.
**Policy/Binder Number**

The policy number must be entered accurately. **Do not** enter dashes, slashes, spaces, etc. Please check all information you key for this field to make sure the correct number is being submitted. The policy number must be the same on all endorsements, cancellations, etc. as it was shown on the policy. If the policy has additional numbers, symbols, prefixes, or suffix numbers such as -0 or -1 at the end, whether it is immediately following the other numbers or if it is separated by a blank space, we consider this to be part of the policy number.

**Examples:**

<table>
<thead>
<tr>
<th>Original Policy Number</th>
<th>Correctly Entered into the EFS</th>
<th>Incorrectly Entered into the EFS</th>
</tr>
</thead>
<tbody>
<tr>
<td>TEST123654-08</td>
<td>TEST12365408</td>
<td>TEST12354-08</td>
</tr>
<tr>
<td>PLX432879/01</td>
<td>PLX43287901</td>
<td>PLX432879/01</td>
</tr>
<tr>
<td>TX56789 001</td>
<td>TX56789001</td>
<td>TX56789-001</td>
</tr>
<tr>
<td>TX0002356 3</td>
<td>TX00023563</td>
<td>TX2356-3</td>
</tr>
</tbody>
</table>
Policy ID

SLTX assigns a unique “policy ID” to each individual transaction that is submitted to our office. This unique “policy ID” is already being returned to you during the status/processed transactions download process. There are multiple ways available within the EFS to acquire the Policy ID if required.

Procedure

Transaction Inquiry
1. Select Transaction Inquiry option in the left-hand navigation bar. This will display the Transaction Inquiry entry page.
2. Enter the Policy Number in question (example USATEST1234)
3. Click button.
4. The Transactions for the Policy Number requested are displayed below.
5. Select the corresponding No. to the transaction in question.
6. The Policy ID will be located at the top of the screen on the left-hand side under the button. (see example below)

OR

Batch Edit (Report)
1. Select Reporting from the left-hand navigation bar. This will display Files and Reports page.
2. Find the Batch number by looking under the Batch column.
3. Click on the icon to access the reports available for the selected batch.
4. Click on Batch Edit and select the button.
5. Locate the Policy Number.
6. The ID is the Policy ID for the Policy Number. (see example below)

OR
AD HOC Reports
1. Select Reporting from the left-hand navigation bar. This will display Files and Reports page.
2. From the top navigation select Report Request then select Special Reports. This will display the Ad-Hoc Reports page.
3. Select Individual Policy Transactions with Securities Listing (SLRP57_MOD). This will display the Report Parameter Entry Page.
4. In the Please Key in the Policy Number field enter the policy number.
5. Click on the button to submit the AD HOC Report request.

Accessing the AD HOC Report
1. Select Reporting from the left-hand navigation bar. This will display Files and Reports page.
2. From the top navigation select Listings then select Special Reports. This will display the User Requested Reports page.
3. Your requested report should be listed either select the icon to save the report to the computer or select icon to view the report in a pdf format.
4. When opening the Individual Policy Transactions with Securities Listing (SLRP57_MOD). The Policy ID will be listed next to the batch. (see example below)

For more information please contact the SLTX Help Desk.
**Policy Limit (Highest Agg. Limit)**

Title 28 of the Texas Administrative Code, Section 15.106, requires policy limits to be filed with SLTX for any policies effective 12/30/2018 or later. The requirement for compliance is to provide the highest aggregate limit on the policy.

This requirement is for new and renewal transactions. The Policy Limit field is also available on binders and premium endorsements.

Update transactions are available to record a change to the limit that does not affect premium or to add a limit to an existing policy.

Policy limits must be entered rounded to the nearest whole dollar.
Premium Allocation (Exempt Premium or Premium for Risks in Other States)

Exempt Premium (EX)
Premiums that are exempt from taxation. Exempt premium is premium on risks, or exposures, that are properly allocated to federal waters, international waters, or that fall under the jurisdiction of a foreign government and are not taxable in Texas as defined in the Comptroller of Public Accounts bulletin 94-142 entitled “Surplus Lines Tax Exemptions/Preemptions”.

“Other States” Premium (OS)
Policies effective prior to 7/21/11 – premiums allocated to risks in states other than Texas. Defined as any premium allocated to states other than Texas (where the policy is effective prior to 7/21/11) will continue to be submitted separately from the Texas premium, and is not subject to Texas tax or stamping fee. The premium for states other than Texas on policies (and their subsequent endorsements) effective prior to 7/21/11 will be considered code “OS” in order to differentiate this type of premium.

“Breakdown of States Summary” Premium (BS)
Policies effective on/after 7/21/11 – Breakdown of States summary of premium allocated to risks other than Texas (NRRA – When Texas is the home state, all premium is reported and taxed as Texas, and additionally required is the summary of premium allocated to other states). In addition to the summary of the premium allocated to other states, is the breakdown of the individual states that make up that summary.

State Code
Policies effective on/after 7/21/11 – premium allocated to risks other than Texas, break down by individual states (required, in addition to Breakdown of States summary amount) For example: OK for Oklahoma, NY for New York, OR for Oregon.
Purchasing Group

Purchasing Group – This Yes or No button should indicate if the insured meets the criteria as a Purchasing Group. It will be required that you provide this information if the insured qualifies and the home state of the Purchasing Group member with the highest amount of risk is Texas.

Is the Buyer a Purchasing Group?
A surplus lines agent is required to stamp “purchasing group” on all surplus lines insurance contracts sold to purchasing group members.

Under the newly adopted regulation, Texas surplus lines agents who procure surplus lines policies for purchasing groups must file the policies with the Surplus Lines Stamping Office of Texas (SLTX) and pay required stamping fees.

The regulation, Title 28 TAC §15.115, took effect on December 30, 2018, and states:

(a) A purchasing group is any group that:
   (1) has as one of its purposes the purchase of liability insurance on a group basis;
   (2) purchases liability insurance only for its group members and only to cover their similar or related liability exposure;
   (3) is composed of members whose businesses or activities are similar or related with respect to the liability to which members are exposed by any related, similar, or common business, trade, product, service, premise, or operation; and
   (4) is domiciled in any state.

(b) When a registered purchasing group purchases insurance through a surplus lines agent, the surplus lines agent must submit the filings required under Insurance Code §981.105 and stamping fees directly to the stamping office.

(c) A surplus lines agent must stamp or write the words “Purchasing Group” conspicuously on every policy, contract, or other detailed evidence of coverage issued to a purchasing group or its members through the surplus lines agent.

(d) A surplus lines agent may not sell insurance to a purchasing group that is not registered with TDI. Registration may be verified on TDI’s website.

For more information about Purchasing Groups go to:
https://statutes.capitol.texas.gov/Docs/IN/htm/IN.2201.htm
Re-Entry Due to Error Correction

If marked Yes then the “Original transaction” Policy ID is required. SLTX assigns a unique “policy ID” to each individual transaction that is submitted to our office. This unique “policy ID” is already being returned to you during the status/processed transactions download process. You should submit the “Policy ID” for the original policy transaction when making a correction/re-entry. This allows us to tie the correction/re-entry back to the original filing, which will prevent “false-positive” late filings (due to correction or re-entry) from being reported to the Texas Department of Insurance (TDI). If the Re-Entry Due to Error Correction is marked Yes and the correct Policy ID is entered correctly. This combination indicates this policy submission is a “correction” or re-entry of an original filing. Because late filings are subject to assessments of fees, it is crucial that this information be provided to allow SLTX to obtain and report more accurate information regarding late filings. Providing this information will benefit the agency by reducing the number of “false-positive” late filings that are identified for each agency.
Receive Date (RcvDate)

For the web-based filer, this denotes the date when your batch was first created in the system. (In some situations, a batch may be compiled on one day, but not sent for posting until a few days later.)

For the programmatic upload filer, the Receive Date will indicate the date when the file upload was received by the system.
Securities

Company
Securities will consist of at least one company and the total participation percentage. All companies listed must have percentages that equal 100% for a transaction.

Syndicate
If, one of the companies is Underwriters at Lloyd’s London, then at least one Syndicate number is required. A company or syndicate must be eligible at the inception date of the policy. If it is not, it will be indicated at posting.
Total Gross (TtlGross)

This amount represents the sum of all transaction item Total Gross amounts for the batch, as entered in the Batch Header information. As noted with the item count, the Total Gross shown in the Header must match the sum of the actual Total Gross amounts for those transactions included in the batch.

*Note: Do not include Multi-State or Exempt premiums when calculating the Total Gross.*
User Profile Maintenance

The User Profile Listing page also provides a useful link to the User Profile Maintenance page. Clicking on the link for the User ID will move you to the User Profile Maintenance page which displays all system information concerning that user.

As the Agency Administrator for your organization, you will be able to edit and adjust the information on any of these profiles as required for an established user – or create new user profiles when needed. Regular agency users will not be able to modify profiles.
User Profiles (Review of)

To get a quick look at all established users for your organization, click on User Profiles > Review on the upper toolbar. A complete listing of all User Profiles is shown and indicates the User Name, User ID, User E-mail address, and User Status for each person.

User Status will be noted as either A–Active or I–Inactive, depending on each person’s current eligibility to access the EFS.
Windstorm Exclusion

The Windstorm Exclusion Yes or No radio buttons work in conjunction with the Zip Code of the Risk Location. When property coverage is written in one of the fourteen counties along the Texas coast, this coverage is eligible to be written through the Texas Windstorm Insurance Association. Other companies can write in this area also. If they do write property coverage in one of these counties, they can receive credit for the premiums – unless windstorm exclusion is attached to the policy. If the policy/binder has a Windstorm Exclusion, then the Windstorm Exclusion radio button selection should be Yes.
ZIP Code of Risk Location

The Zip Code is required field on any policy, binder, cover note, or date extension (regardless of the coverage or line of business) filed on/after 01/01/14. This must be this zip code of the risk location, and must be a valid Texas zip code, if the effective date of the policy is post NRRA (on/after 07/21/11). This is NOT the zip code of the mailing address, nor the zip code of a PO Box (even if shown as the premises of risk location). For multiple locations, use the single risk location zip code for the highest risk or premium. It is not necessary to submit a risk location zip code on an endorsement, unless it is different than the original submission or if a new location is being added.
Glossary

**Agency Administrator:** The individual assigned by each agency to serve as manager of Electronic Filing System tasks and security for that agency. Their duties include Security Profile administration, individual User Profile setups and maintenance, and filing procedures supervision.

**Agent of Record:** The Texas-licensed, surplus lines agent who places a policy with an eligible surplus lines insurer; or the Texas-licensed surplus lines agent who transacts business directly with an out-of-state agent, not licensed by Texas as a surplus lines agent, to obtain coverage with an eligible surplus lines insurer. The agent in these situations is the Agent of Record (AOR) for that agent's portion of the premium for the policy placement.

**Alien Insurer:** An insurer domiciled and licensed in a country other than the U.S. or its possessions.

**Batch:** A group of surplus lines transaction items submitted to SLTX for processing and filing. For traditional filing, the number of items in a batch is limited to twenty (20). For web-based filing and programmatic upload filing, there are not any limits to the number of items in a batch.

**Batch Edit Report:** A computer-generated report from SLTX listing all of the various data entered and processed from the items contained in a batch.

**Batch Error Report:** One of the standard batch reports, this listing gives detailed information on those transaction items in a batch that have errors and indicates the various errors tags for each.

**Batch Number:** Used in conjunction with the Log ID and the Receive Date in the Batch Header data, this is the unique identifier for a batch of transactions. This identifier appears in the header information as you create a batch and all correspondence and reports concerning a batch will include these numbers.

**Binder:** A document issued by an agent, or company, to an individual serving as a temporary, legally binding agreement to insure, and is effective until an actual policy, or other evidence of coverage, is issued. A binder must contain the details of the insurance coverage.

**Child (of a policy):** The subsequent transactions (endorsements, reversals, amendments, etc.) that are based on an original policy or transaction. Each of these succeeding transactions are tied to the earliest transaction which is referred to as the "parent."

**Class of business:** Categories used to describe the type of risk being insured. In the event of multiple classes on a single policy, data on the predominant, or main class of business, is captured by SLTX.

**Continuous-until-cancelled:** Another option for defining the expiration date on a policy, or other transaction. The Continuous-until-cancelled designation provides no ending date for the policy and automatically renews each year until the policy is cancelled.
Contract: A set of pre-defined companies, with required percentages of participation, which underwrite a policy.

Correction Batch: A group of transaction items, originally tagged as having errors, which have been corrected and are subsequently resubmitted to SLTX.

Coverage Code: Designation used to identify the risk insured against; also referred to as the "line of business" or the type of policy written.

Effective Date: Date of change; sometimes used interchangeably with inception date when applied to the entire policy.

Eligible Insurer: An insurer who meets both the criteria of Article 1.14-2, Section 8, and TAC 28, Sections 15.8 and 15.9, and is also listed on the Surplus Lines Insurers List. Simply stated, this is an insurer who is designated on the Surplus Lines Insurers List and you, as the surplus lines agent, have made a reasonable effort to ascertain the financial condition and business practices of that insurer.

Error Tag: A computer generated notice that either requests additional information about a transaction, or notifies you of an error or problem concerning data submitted for a transaction item. Tags include a written description of the problem and the code used for data entry.

Exempt Premium: Premiums on risks, or exposures, that are properly allocated to federal waters, international waters, or that fall under the jurisdiction of a foreign government are not taxable in Texas.

Expiration Date: The date on which an insurance policy terminates, or ceases to provide coverage.

Federal Credit Union designation: Policies issued to federally chartered credit unions have a federal exemption from the surplus lines tax. The stamping fee, however, remains applicable.

Foreign Insurer: An insurer not licensed, or domiciled, to transact business in Texas; but is domiciled in a different state within the U.S. or its possessions.

Inception Date: The date coverage begins; commencement of coverage.

Ineligible Insurer: An insurer that is unlicensed and has not met the surplus line eligibility requirements of Article 1.14-2, Section 8, as of the effective date of the policy. An ineligible surplus lines insurer is an unauthorized insurer, and subject to the penalty provisions as stated in Chapter 101 of the TIC, rather than Article 1.14-2.

Insurance Contract: An insurance policy, cover note, certificate, or any other document detailing evidence of coverage. These may include policy jackets, endorsements, audits, evidence of cancellation, and coverage parts.

Issue Date: The date a policy, endorsement, cancellation, etc. is issued, or prepared, for distribution. This may be different from the effective date.
**EFS – Glossary**

**Item:** An insurance transaction to be filed with SLTX—this can be a policy, binder, endorsement, cancellation, reversal, etc.

**Item Count:** The number of transactions contained in a batch. The item count you note in the Batch Header information must match the actual number of items you submit in that batch.

**Late Tag:** A follow-up notice that the original error on a transaction, previously tagged, has not been resolved.

**Multi-state Premium:** Refers to the premiums on risks, or exposures, that can be allocated to states other than Texas.

**On-request report:** Sometimes referred to as an "on-demand" or ad hoc report, this type of information is compiled and run on an as-needed basis.

**Open Batch:** A batch of transaction items that are not completed; these have not been submitted or posted.

**Parent (of a policy):** The originating, or initial, policy on which other successive transactions are based.

**Pending (pended) transaction:** An item in a batch that has not completed the posting process due to errors in the data submitted.

**Percentage of participation:** When there are multiple underwriters on a policy, the percentage of participation identifies each participant’s portion of the total premium. The various percentages must total to 100% of the premium being reported to SLTX.

**Policy Fee:** An amount sometimes charged by the agent, in addition to the initial policy premium, for issuing the policy.

**Posting process:** The actual procedure where a batch of transaction items are submitted and entered in the database of SLTX; a batch can be posted without any errors found or can be posted with errors flagged. The latter would require a submission of corrected data to complete the posting of the transaction.

**Preliminary Edit process:** The initial data validation of a batch that occurs when posting is begun. The system will check for several common errors at this stage and the batch will either pass this first edit and move into posting or be flagged with Preliminary Edit errors and stopped.

**Programmatic filing:** The submission of policy information to SLTX by utilizing the file upload of data option (either manual or programmatic) available with the Electronic Filing System.
**Receive Date:** For web-based filers, this is the date a batch of transactions items is created in the EFS. (A batch may be posted, or filed, at another date.) For programmatic filers, this represents the date when files are received by the system.

**Scheduled Report:** A specific report, or group of reports, that are programmed to be compiled and available on a certain date (i.e. end-of-month reports). These reports are saved in their presentation format in a permanent storage area and can be accessed and printed any time after completion.

**Securities:** The insurers or insurance companies providing coverage on a particular risk.

**Security Profile:** The set of data describing an agency, or other organization, that has been registered with SLTX. This information is recorded in the system and used for authorization and validation to enter the EFS.

**Stamping Fee:** A charge on each surplus lines policy written in Texas, supporting the cost of processing the transaction at SLTX.

**Stamping Office:** Surplus Lines Stamping Office of Texas or SLTX

**Surplus Lines Agent of Record:** (See Agent of Record)

**Surplus Lines Insurers List:** A listing of eligible surplus lines insurers, maintained by the Texas Department of Insurance, indicating all licensed insurers in the state, meeting the requirements of Article 1.14-2, Section 8. Updates to this list are provided monthly under cover of SLTX bulletins.

**Surplus Lines Tax:** The state tax applied to each surplus lines policy written; the current tax rate is 4.85% of gross premiums, effective 9/1/89.

**Syndicate:** A source of underwriting capacity at Lloyd’s of London used for obtaining coverage on a risk.

**Tag/Tag Code:** (See Error Tag)

**Total Gross:** The sum of the total premiums, the policy fee, surplus lines tax, and the stamping fee applied on an insurance transaction.

**User Profile:** The set of information used to identify a registered user on the EFS. A user cannot successfully log in to the system without an established profile.

**Web-based filing:** The submission of policy information to SLTX by data entry and submission using the EFS website.
## EFS – Index

### Index

| A | Access to Reports | 114 |
| AD HOC Reports | 173 |
| Agent Emulation | 38 |
| Amended Reinstatement | 98 |
| Appendix | 156 |
| Available Reports Expiration Settings | 155 |
| B | Batch Delete | 109 |
| Batch Edits (Report) | 172 |
| Batch Edits | 117 |
| Batch Header | 43 |
| Batch Header Maintenance (Header) | 156 |
| Batch Inquiry Page | 134 |
| Batch Item Count and Error Count | 157 |
| Batch Log ID (LogID) / Batch Number | 158 |
| Batch Management | 42 |
| Batch Management Concept | 43 |
| Batch Manager (Features) | 47 |
| Batch Manager Page | 44 |
| Batch Recap by Agent Report | 121 |
| Batch Selection (Sel) | 44, 159 |
| Batch Status | 46, 160 |
| Batch Transaction Listing (Trans) | 161 |
| Batch Transaction Listing Page | 52 |
| Batches (Type of) | 162 |
| “Breakdown of States Summary” Premium | 175 |
| (BS) | |
| C | Cancellation Amendment | 88 |
| Cancellation Delete | 104 |
| Cancellation Reversal | 90 |
| Changing a User Password (Agency Admin) | 25 |
| Changing Password (Current User) | 41 |
| Changing Your Password | 29 |
| Contacting the EFS Help Desk | 16 |
| Contract Maintenance Lloyd’s Syndicates Page | 142 |
| Correction Batch – Pending Deletions | 163 |
| Correction Batches and Pending Items | 124 |
| Creating a New Batch | 48 |
| Creation of Correction Batches | 124 |
| Date Extensions | 164 |
| Delete Pending Transactions from the Database | 131 |
| Download Pending Transactions for Programmatic Resubmission | 130 |
| E | Editing Existing Header Information | 49 |
| Effective Date | 165 |
| EFS Frequently Asked Questions (FAQs) | 17 |
| E-Mail Notifications | 113 |
| EOM (End of Month) Reports | 119 |
| EOY (End of Year) Reports | 120 |
| Exempt Commercial Purchaser (ECP) | 166 |
| Exempt Premium (EX) | 175 |
| Expiration Date | 167 |
| Expiration Date Change Endorsement | 76 |
| F | File Uploads | 146 |
| File Uploads of Correction Batches | 168 |
| Finding and Determining Items in Error | 125 |
| G | General Technical Requirements | 10 |
| Getting and Using Help | 12 |
| Getting Help from the Help Menu | 14 |
| Getting Started / Security Profile Activation | |
| Global Administration – SLTX Sign-On | 152 |
| Global Notification | 154 |
| Global System Status Maintenance | 153 |
| Global System Values Maintenance | 152 |
| H | Help Resources | 149 |
| How to Enter / File a Correction Batch | 127 |
| How to Enter / File Normal Transactions | 50 |
| I | Inception Date Change Endorsement | 78 |
| Individual Policy Transaction Listing Report | 123 |
| Industrial Insured | 169 |
| Initial Enrollment of an Agency in the EFS | 30 |
| Inquiry (Batch Inquiry) | 134 |
| Issue Date | 170 |
| M | Making Corrections to Error Items | 129 |
| Master Code Files | 150 |
| N | Name Change Endorsement | 80 |
| Navigation Panel Overview | 18 |
| New Binder Policy | 59 |
| New Policy | 56 |
| New Policy Delete | 106 |
| New Policy Replacing a Binder | 62 |
| New Policy Reversal | 93 |
| O | Online Problem Entry | 149 |

189
Open Batches by Agent Report ............. 120
"Other States" Premium (OS).............. 175
Overview: Filing Policy Data.............. 54
Overview: Getting Started ............... 6

P
Password Override (Changing a User
Password) .................................. 37
Policy Cancellation .......................... 86
Policy ID ........................................... 172
Policy Number Change Endorsement ..... 81
Policy Securities Page ..................... 144
Policy Syndicates Page ................... 145
Policy/Binder Number ....................... 171
Policy Limit (Highest Agg. Limit) ........ 174
Posting Process ............................. 110
Preliminary Edit .............................. 112
Premium Change Delete ..................... 105
Premium Change Reversal .................. 92
Premium Endorsement .................... 82
Previous Month Batch Edits ............. 118
Previous Month Uploaded Files .......... 118
Previous Month(s) Batches ............... 47
Programmatic Uploads .................... 148
Purchasing Groups ......................... 176

R
Receive Date (RcvDate) .................... 178
Re-Entry Due to Error Correction .......... 177
Reinstatement .............................. 96
Reinstatement Delete ...................... 108
Reinstatement Fee ......................... 100
Reinstatement Reversal .................... 95
Renewal Binder Policy .................... 69
Renewal Policy .............................. 66
Renewal Policy Delete ..................... 107
Renewal Policy Replacing a Binder ..... 72
Renewal Policy Reversal .................. 94
Report Request ............................ 120
Reporting ...................................... 115
Review of Existing Contracts and Syndicates ........................................ 143
Review of Security Profiles ............... 34
Review of User Profiles ................... 26
Reviewing Errors in Individual Transactions ........................................ 126

S
Search Capabilities – Batch Inquiry ...... 134
Search Capabilities / Inquiries .......... 132
Securities ....................................... 179

Securities and Security Contracts ........ 137
Security Administration – Agent Sign-On 19
Security Administration – User
(Non-Administrative) ....................... 29
Security Change Endorsement .......... 84
Security Profile Maintenance ............ 22, 36
Security Profile Setup for an Agency .... 31
Selecting Batches for Posting .......... 111
Special Features of the EFS .............. 7
Special Reports ............................. 122
Successfully Posted Transactions Listing 53
Suspense Listing By Agent ............... 122
System Status .............................. 151

T
To Create a New User Profile ............ 23, 39
To Delete an Existing Contract .......... 140
To Download Item Data ................... 53
To Modify an Existing Contract .......... 141
To Setup a New Contract ................. 138
To Setup Code Filters (Class) .......... 27
To Setup Code Filters (Coverage) ....... 28
Total Gross (TtlGross) ................. 180
Transaction Entry Categories
Cancellations ............................. 86
Deletions ................................. 104
Endorsements ........................... 76
Policies ................................ 56
Reinstatements ............................ 96
Reversals ................................ 90
Update Policy ............................ 102
Transaction Entry Procedures ........... 54
Transaction History Log ................. 136
Transaction Inquiry ....................... 133
Transaction – Status Categories ........ 135

U
Update Policy ............................. 102
User Profile Maintenance ............... 181
User Profile Setup ......................... 23
User Profile Setup (Used for SLTX Users Only) ........................................ 39

W
Ways to Get Assistance While You Work .......... 12
Web Security ............................ 11
Windstorm Exclusion .................... 183

Z
ZIP Code of Risk Location .............. 184