



Programmer's Technical Reference Manual

Version 3.3

May 2019

A resource for programmatic data transmissions
using the SLTX Online Filing System

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Revised Text: Any additions or modifications to text for this revised edition are marked by orange text.

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Introduction to Programmatic Upload Filing

Information for File Package Construction to be Used Prior to Beta Testing and Deployment of the SLTX Electronic Filing System (EFS)

For surplus lines agencies with high-volume filing needs, the **SLTX Electronic Filing System (EFS)** offers an alternate and specialized file-based data entry process. This submission procedure enables an agency to upload previously created policy data files from their own system to the EFS, by either utilizing the web site for manual uploads or via client-side programming for automated file transfers to the system.

The filing process also allows for the download of any pending files (error items), requiring corrections, and the subsequent re-submission of correction batch files.

Both XML and tab-delimited ASCII file formats are supported for these file submissions. There is no preference given, or performance gain attributed, to the use of one file format over the other. XML files do provide a preliminary validation that checks all data in the package early in the process and can lessen problems with data-content errors.

This reference document provides the resources and record layouts needed for constructing and transmitting these types of file packages to SLTX. Specifications related to upload and download requests, along with references to source materials, are also presented. However, a certain level of programming knowledge is assumed—and instructions for extracting data and writing code to automate these transfer functions will not be found in this text.

The SLTX code files for Coverage Codes, Class Codes, Company Codes, and Syndicate Codes, etc., are available to the programmatic filer as either a .pdf document or in XML and ASCII flat files that can be used to build a cross-reference to agency database codes. These Master Code Files can be accessed via the EFS Help sub-system.

The programmatic-filing approach follows many of the same submission procedures as used by web filers. However, there are marked differences. All manual transaction-entry procedures and some of the web-based Batch Management rules are by-passed. Once Security Profiles and User Profiles are established in the system, programmatic filers will use the web site only minimally to check batch-processing results, download posted transactions and error files, make corrections, and access necessary reports.

The programmatic filer should take the time to become familiar with the differences—and parallels—of the two filing methods, and to also understand the overall EFS Filing Process. This reference manual defines those Batch Management rules that are applicable to file-based submissions and offers a summary of the filing process as it pertains to data transfers.

(See the section on *General EFS Filing Procedures* later in this text.) A more comprehensive look at Batch Management and transaction entry/processing is provided in the [Agent/User Guide](#) (available as the online Help text and in .pdf format).

When starting to file data using the EFS, it will also be necessary for programmatic filers to learn the procedures involved with determining error items in transaction batches, downloading pending transaction files, utilizing the Batch Manager page, accessing available reports, creating new reports, and downloading successfully posted transactions. These tasks are managed through the web site and documentation relating to these issues is found with the [Agent/User Guide](#). This programmatic filing process must be adequately tested within our EFS Test Environment prior to the agent/agency being granted access to the EFS Live Environment.

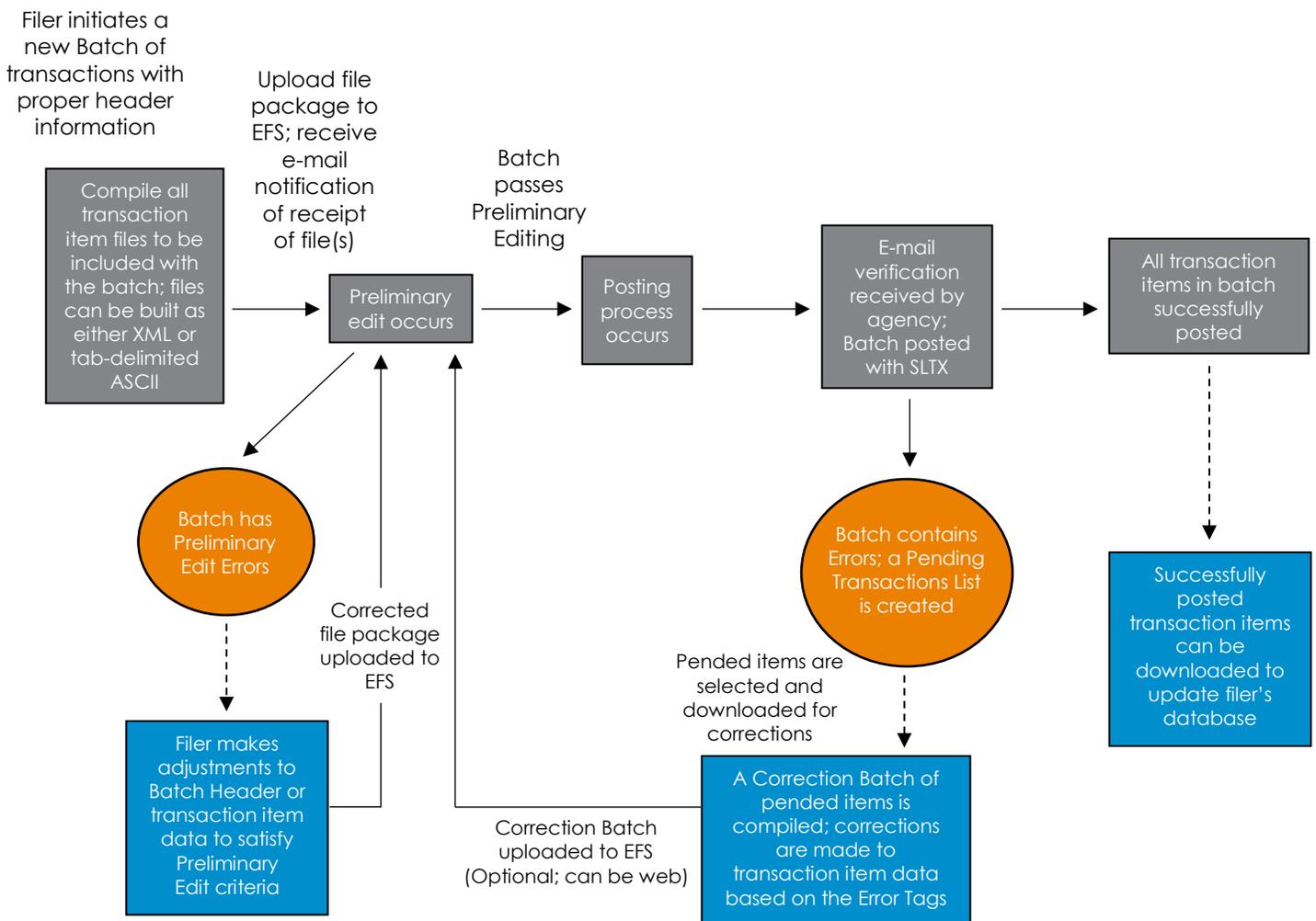
General EFS Filing Procedures

Overview

Whether you are filing data in a web-entry fashion or using the programmatic upload method, the process of submitting policy information to SLTX follows a similar course. However, the procedures will vary due to the mechanisms involved.

Programmatic filers will want to understand the basic flow of information required when submitting data and some of the basics of EFS Batch Management in order to proceed with constructing an application to submit data through the file upload process. The EFS Filing Cycle diagram shown below and the subsequent listing of prerequisites concerning batches and transaction items give a summary of this progression.

EFS Filing Cycle for File Transfers



The following directions on filing fundamentals and general procedures apply to all policy information submitted to SLTX using the programmatic upload method. Additional instructions concerning after-posting procedures and the creation of Correction Batches are available in the [Agent/User Guide](#).

Batch Management

1. All policy data must be grouped into batches. Files may contain more than one batch.
2. Batches are either classified as either:
 - [Normal Batches](#) – consisting of all *new* transactions
 - [Correction Batches](#) – made up of *error* (pending) transactions only
3. Normal Batches cannot contain error transactions, and Correction Batches cannot contain any “new” transactions.
4. There is no limit on the number of transaction items that can be included in a batch—whether this is a regular batch or a Correction Batch.
5. Each Batch will contain specific Header information to identify the group of transactions.
6. Batch Header information includes the Agent's License Number, Total Item Count for the batch, Total Gross of all transactions included in the batch, and an e-mail address of the person filing the batch in order to receive processing event notifications. All item counts and total dollars listed in the Header information must match to the actual transaction counts and total gross data for those items included in the batch. Do NOT include “Other States” or Exempt premiums when calculating the Total Gross.

If an e-mail address is not included with the header information, the system will default to the “primary” agency recipient defined in the Security Profile.

7. Refer to the sections following in this text pertaining to *Programmatic File Transmission Process*, *Transaction Data Rules*, *Data Type Definitions*, and *File Formats* for information necessary to construct the various policy data file packages.

Preliminary Editing Process

1. The receipt of an upload package will trigger the Preliminary Edit process in the EFS. This edit will validate the Batch Header information. If errors are found, the editing process will stop at this point. An e-mail message will be sent to the agency to notify of Preliminary Edit Errors for the batch.

The Preliminary Edit process will check for the most common problems found with a batch:

- Invalid License Number
- Incomplete Header Information presented
- Actual Item Count does not match Header Item Count
- Actual Total Gross does not match Total Gross listed in Header
- Regular Batch cannot include error items
- Correction Batch must be made up of only error items

Note: Do NOT include “Other States” or Exempt premiums when calculating the Total Gross.

Upon receipt of the Preliminary Edit Error notification, the filer will be able to adjust Header information or item data to satisfy edit requirements and resubmit the batch. If no Preliminary Edit errors occur, the batch will move directly into the Posting process.

2. A Log ID Number, Receive Date, Batch Number, and Batch Status will be assigned and added to the Header information by the system for each batch of transactions received. This information is also included on e-mail notifications and batch reports.

3. During the processing of transactions, the status of a batch will be categorized as one of the following. These status designations will appear on e-mail notices and reports for the batch. This information is also reflected on the Batch Management screen.
 - Closed – the batch has been submitted for Posting and is waiting on the preliminary edit process to run.
 - Posted with No Errors – the batch has been successfully posted and no errors were found.
 - Posted Batch has Errors – the batch has been posted and includes one or more transactions with an error.
 - Posted-No Errs (Inelig) – the batch has been successfully posted, however, one or more transactions had an ineligible company or syndicate assigned.
 - Posted with Errs (Inelig) – the batch has been posted and includes one or more transactions with an error, including transaction(s) with an ineligible company or syndicate assigned.
 - Preliminary Edit Errors – information in the Batch Header does not match the actual transaction totals in the batch; the editing process has stopped and the batch is still Open for data to be adjusted.
 - Ready for Post Edit – the batch is in a queue awaiting the Posting process.
 - Posting in Progress – the batch is being processed by the Posting program.
 - Posted Batch Deleted – a previously posted batch was deleted by a subsequent Batch Delete transaction.
 - Manual – an abnormal condition occurred in Posting; Help Desk can resubmit this batch. Contact the Help Desk to request that the batch be resubmitted.
 - 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.”

Posting Process

1. The Posting of a batch should take only a few minutes. Larger file packages may require a slightly longer time and the time of day a submission is made may also affect processing timetables.
2. As the Posting process is completed, an automated e-mail notification will be sent to the agency. The Status of the batch after posting will be noted as either:
 - Posted with No Errors
 - Posted Batch has Errors
 - Posted with No Errors (Inelig)
 - Posted Batch has Errors (Inelig)
3. Upon completion of the Posting process, each batch of transactions submitted will receive a separate “Batch Posted” e-mail notice, even if several batches were sent for processing at the same time.
4. The Batch Posted E-mail Notification will include a link to a special web page where the filer can access any necessary reports concerning the batch. Depending if a batch had errors, there are a total of four (4) separate reports that may be available for 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.
 - **Deletion Report** – Shows any deletions of transactions or batches that were posted.
5. The system also provides a Successfully Posted Transactions List for double-checking those transactions in a batch. Files for all successfully posted items can also be downloaded to update files or for archival purposes in agency databases.

Note: Until a transaction item has been successfully posted to the system and an e-mail verification of successful posting has been received, that transaction has not been filed with SLTX.

Correction Batches

1. The Pending Transaction List (items with errors) is created after the Posting process is completed. Items in the list can be selected and downloaded for use in compiling and preparing a Correction Batch. This listing identifies all transaction items marked with errors. (Information concerning use of the EFS Batch Manager page and the Pending Transactions Listing page in preparing Corrections Batches is available in the [Agent/User Guide](#).)
2. The system also provides a Successfully Posted Transactions List for double-checking those transactions in a batch. Files for all successfully posted items can also be downloaded to update files or for archival purposes in agency databases.
3. Corrections are made to "pended" items based on Error Tags presented. These tags are identified on applicable Reports for the batch and can also be accessed by using the **Tags** button found at the bottom of the individual Transaction Entry pages for these items. Open the Transaction Listing page for the batch, then from the Batch Detail Listing, open the entry page for the specific transaction item.
4. A Correction Batch may be made up of error items from several different batches. There is no limit on the number of transaction items in a Correction Batch.
5. After error items are grouped into a Correction Batch and data is modified to correct any tags noted, the Correction Batch is resubmitted by a new upload transmission.
6. The Preliminary Edit and Posting processes are applied to this new "correction" batch in exactly the same manner as done for the original batch.
7. If errors are detected in items in the Correction Batch, another batch of corrections should be compiled based on this same procedure and resubmitted until all transaction items are successfully posted.

Reports

For detailed information on reports available in the system and on-demand reports that can be requested and run by the agency, see the Reporting section in the [Agent/User Guide](#).

Programmatic File Transmission Process

Overview

The EFS file transfer process uses HTTP/1.1 Protocol as the transport mechanism. This section will help to define the various parameters and data used by the transfer process; however, it is not designed to explain how to use the HTTP/1.1 protocol itself.

Please refer to the W3C web site for details on the HTTP/1.1 protocol at <http://www.w3.org/Protocols> or see RFC 2616 at <http://www.ietf.org/rfc/rfc2616.txt>.

Additionally, all requests are encrypted via digital certificates, using the Secure Socket Layers (SSL) technology.

Transferring data programmatically with the EFS assumes the programmer is familiar with HTTP/1.1 requests and SSL certificate and session-state handling.

Specifications for Requests

EFS transfer requests are initiated to the server by making secure HTTP requests (HTTPS) to the following URLs:

TEST

- **File Upload URL:** <https://efstest2.slsot.org/efstest/FileUpload>
- **Processed Transaction URL:** <https://efstest2.slsot.org/efstest/TransList>
- **File Download URL (see Appendix B):** <https://efstest2.slsot.org/efstest/Download>

PRODUCTION

- **File Upload URL:** <https://efs.slsot.org/efs/FileUpload>
- **Processed Transaction URL:** <https://efs.slsot.org/efs/TransList>
- **File Download URL (see Appendix B):** <https://efs.slsot.org/efs/Download>

Note: Adequate testing is required within the Test Environment. After sufficient, successful submissions and postings, the Help Desk will activate your agency in the live production environment. Any entries made in our test environment are for testing purposes only and will not be copied or transferred to the live production environment.

The parameters used for the various requests are defined below. The data to be uploaded should be built and ready for transmission and the general procedure for an upload/download request is as follows:

1. Initiate an HTTPS POST **Login** request with the appropriate parameters.
2. Check the result of the login by examining the XML request results. Handle any errors as needed (i.e. Invalid User ID). Store the session identifier, if login was successful. The session ID is required for all subsequent requests.
3. Perform the transfer. This will be either a file upload, a request to download processed transactions, or a file download request (see Appendix B – Monthly and Annual Reports).
4. Optionally, a **Status** request could be used to check on the status of the *upload* transfer process, the logs it created and their status.
5. Perform a **LogOff** request.

Session state is very important for proper operation of the transfer process. The **Login** process will return the session ID, upon successful log in, as a cookie. Please check the HTTP header field called "Set-Cookie" for the session ID. The session ID must be sent by the remaining transmissions by setting the HTTP header field "cookie" to the value returned from the login process.

LogIn File upload URL	
Parameter Name	Parameter Description
requestType	Indicates the type of request. Must be an "L."
userID	The EFS User ID.
password	The EFS Password for the user.
fileName	The name of the file. This value is required for the upload process and will be used to store the information used when using the EFS web site.
fileDesc	An optional file description. The description is limited to 40 characters.

Status File upload URL	
Parameter Name	Parameter Description
requestType	Indicates the type of request. Must be an "S."
fileID	The file ID of the successfully uploaded transmission that is being checked for status. <i>(Only fileID or logID can be sent. Sending both will result in an error.)</i>
logID	The log ID of the batch in a successfully uploaded file that is being checked for status. <i>(Only fileID or logID can be sent. Sending both will result in an error.)</i>

LogOff File upload URL	
Parameter Name	Parameter Description
requestType	Indicates the type of request. Must be an "O."

ProcessedTrans Processed transaction URL	
Parameter Name	Parameter Description
logID	The log ID of the batch processed.
fileType	The file format to be downloaded. Must be an "X" for XML file formats or a "T" for ASCII text file format.
dataType	The type of data to be downloaded. Must be a "P" for pending items. Anything else for successfully processed items.

MultiPartForm File upload URL	
Parameter Name	Parameter Description
requestType	Indicates the type of request. Must be an "M."
fileDesc	An optional file description. The description is limited to 40 characters.

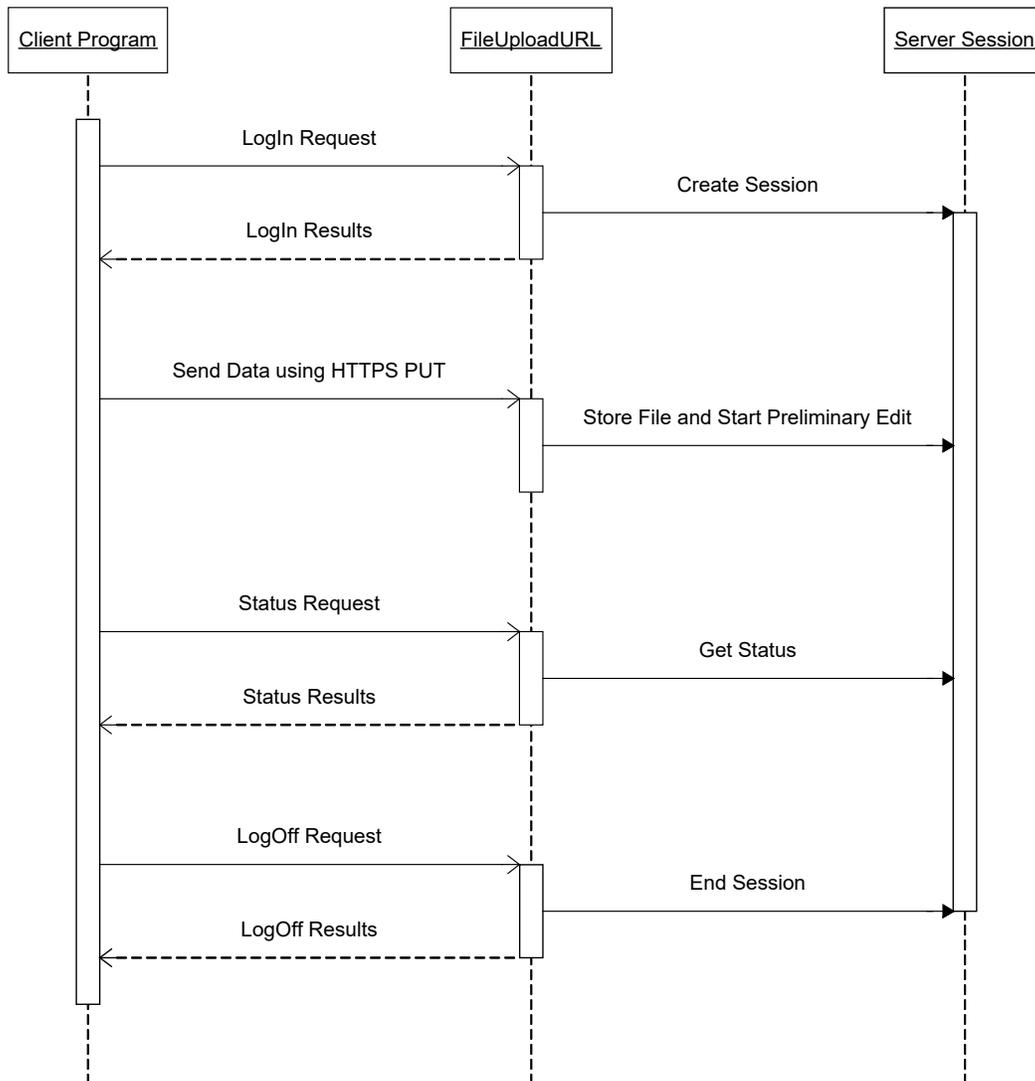
Download		File download URL
Parameter Name	Parameter Description	
requestType	Indicates the type of request. Must be an "E."	
fileName	The file name of the requested file to be downloaded. Check the Report Names section for available reports. If the ASCII tab-delimited version is needed, please add the .txt extension to the filename. The .xml extension will download the XML file version.	

Request Results XML Definitions

<Response> – Programmatic response root element.

Tag	Type	Usage	Description
<ErrNo>	Integer	Required	Error number. Zero indicates success. Non-zero indicates an error occurred.
<ErrMsg>	Char	Required	Error description.
<FileID>	Integer	Optional	The file ID of a successfully uploaded transmission.
<LogResults>	Char	Optional	The status of the log(s) queried by the request.
LogID	Integer	Required, Attribute	The log ID of the batch.
BatchNo	Integer	Required, Attribute	The batch number corresponding to the log ID.
ReportDate	Date	Optional, Attribute	The batch report date.
Status	Char	Required, Attribute	The status code that corresponds to the status description in LogResults.

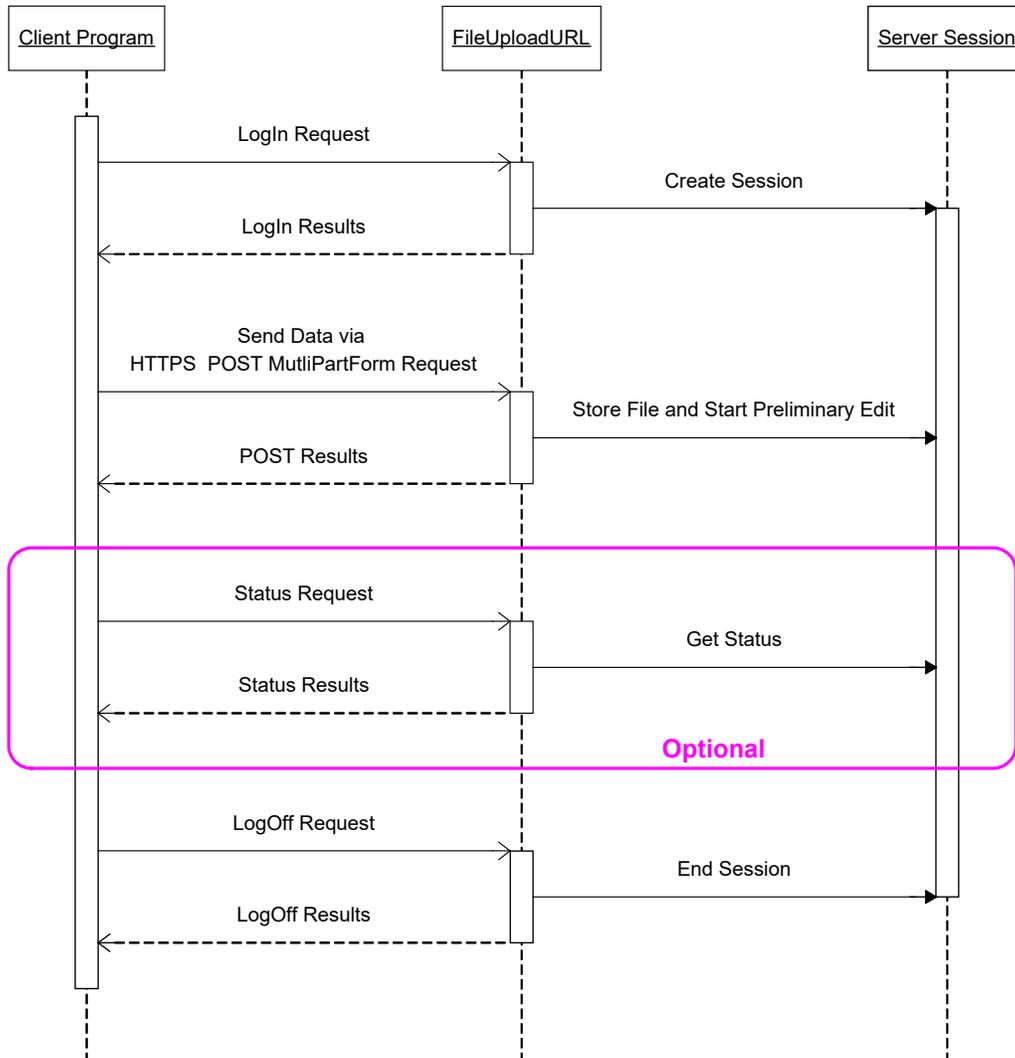
Upload Process Using HTTPS PUT Method



Procedure

1. Initiate an HTTPS POST **LogIn** Request with the appropriate parameters.
2. Check the result of the login by examining the XML request results. Handle any errors as needed (i.e. Invalid User ID). Store the session identifier, if login was successful. The session ID is required for all subsequent requests.
3. Send the data file using an HTTPS PUT Request. This is the simplest way of sending the data file. The file is sent as the body of the PUT request. Since the PUT is a send only function, no response is returned. A **Status** request can be used to see if the transfer was successful.
4. Check the status of the transmission using an HTTPS POST **Status** Request. An XML response (see information above) will be returned that contains the status of the uploaded file and its original file ID. This ID can later be used for additional status requests.
5. Perform a **LogOff** Request to terminate the open session. This will release resources used by the transmission process.

Upload Process Using HTTPS Post Method



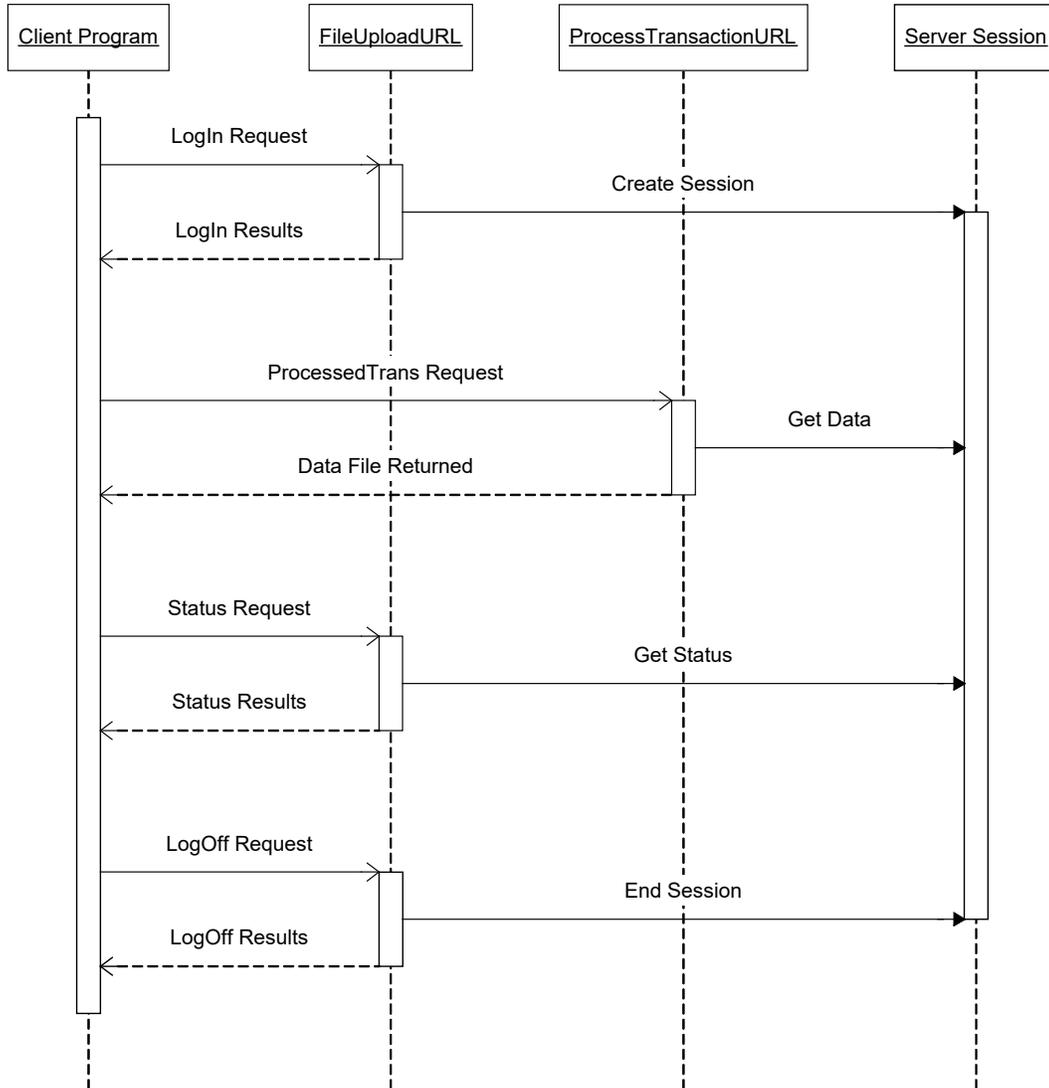
Procedure

1. Initiate an HTTPS POST **Login** Request with the appropriate parameters.
2. Check the result of the login by examining the XML request results. Handle any errors as needed (i.e. Invalid User ID). Store the session identifier, if login was successful. The session ID is required for all subsequent requests.
3. Send the data file using an HTTPS POST **MultiPartForm** Request. This is a more complex way of uploading a file. This process simulates the manual form based submission process located on the EFS web site. The client program must construct a content type of *Multi-part/form-data* as specified in RFC 1867, see <http://www.ietf.org/rfc/rfc1867.txt> for details.

The POST request must be constructed following the RFC 1867 specifications with only one file and the parameter(s) listed in the **MultiPartForm** definition table above.

4. Check the status of the transmission by examining the XML response of the previous step and retrieving the assigned File ID, as this will be required for further status requests.
5. Perform a LogOff Request to terminate the open session. This will release resources used by the transmission process.

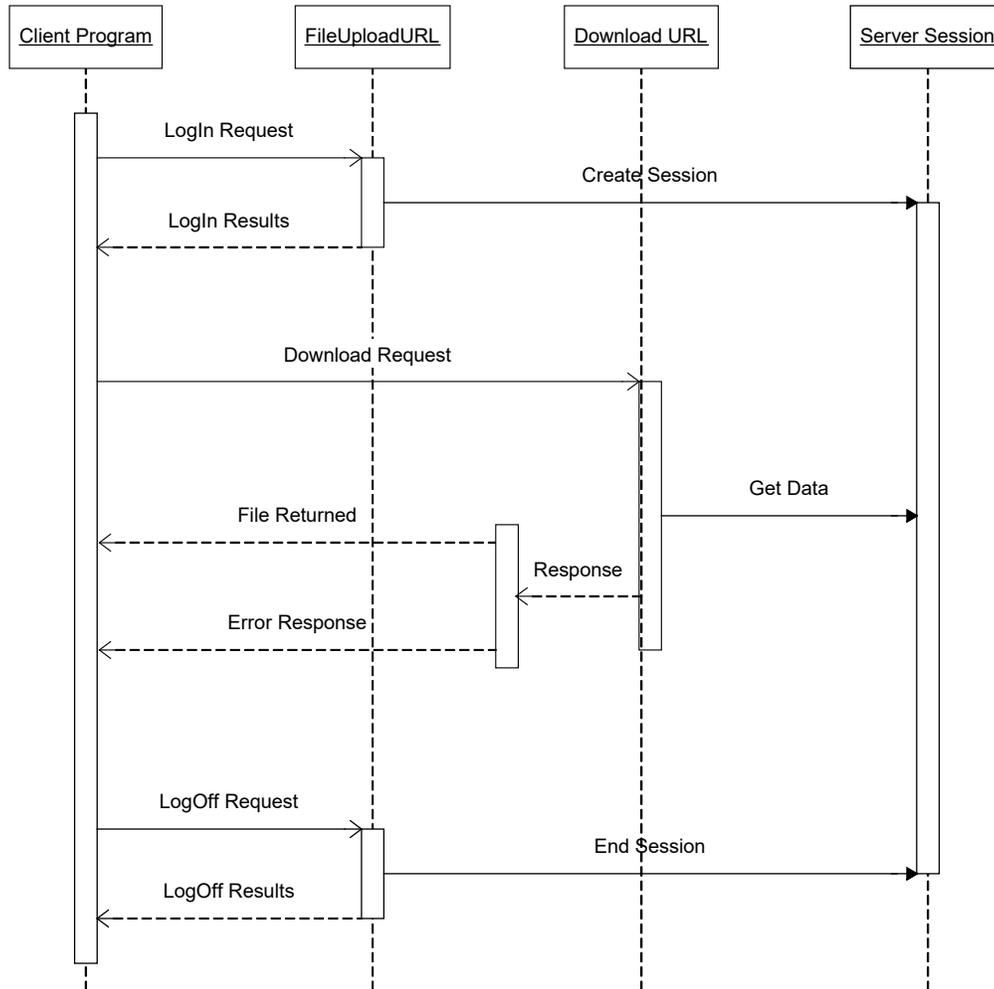
Download Process



Procedure

1. Initiate an HTTPS POST **LogIn** Request with the appropriate parameters.
2. Check the result of the login by examining the XML request results. Handle any errors as needed (i.e. Invalid User ID). Store the session identifier, if login was successful. The session ID is required for all subsequent requests.
3. Initiate the data file download using an HTTPS POST **ProcessedTrans** Request. The response of the POST request will be the file in the requested format. Should an error be encountered, the file returned may be an Error Response. You can check the Response Headers for an EfsResponse header with a value of 'yes.' If this header exists, then the response is an error response, otherwise the response will contain the requested file.
4. Perform a **LogOff** Request to terminate the open session. This will release resources used by the transmission process.

File Download Process



Procedure

1. Initiate an HTTPS POST **Login** Request with the appropriate parameters.
2. Check the result of the login by examining the XML request results. Handle any errors as needed (i.e. Invalid User ID). Store the session identifier, if login was successful. The session ID is required for all subsequent requests.
3. Initiate the report file download using an HTTPS POST Download Request. The response of the POST request will be the file in the requested format. Should an error be encountered, the file returned may be an Error Response. You can check the Response Headers for an EfsResponse header with a value of 'yes'. If this header exists, then the response is an error response, otherwise the response will contain the requested file.
4. Perform a LogOff Request to terminate the open session. This will release resources used by the transmission process.

EFS Transaction Data Rules

The following schedules show all necessary code and data requirements to be used when assembling policy information for each individual type of transaction that you might submit to SLTX. Other information applicable to data preparation concerning special requirements is noted under "Special Situations," as outlined on pages 21-22.

Transaction Categories/Types

New and Renew Policies or Binders

Note: Date Extensions should be processed as Renewals to check stamping fee and company eligibility

Codes

New Policy	TransType = "N"	ActionCode = " " (blank)
Renew Policy	TransType = "R"	ActionCode = " " (blank)
New Binder Policy	TransType = "N"	ActionCode = "BN" (Binder)
Renew Binder Policy	TransType = "R"	ActionCode = "BN" (Binder)

Required fields

TransType, ActionCode, PolicyNumber, Insured, Class, EffectiveDate, ExpirationDate, ZipCode* (risk location zip code, required for all lines of business), CvgCode(s)*, Securities*

Binder Note: If policy number is unknown when the binder is submitted then put the binder number in the policy number field.

Optional fields

ZipCode* (risk location zip code, required for all lines of business), WindStormExclusion*, PolicyFee, TotalTax, TotalStampFee, TotalGross, PremiumAllocation* (Other States, Exempt, Breakdown of States / Individual States), IssueDate, ContUntilCancl, FedCrUnion, CustomID, ECP, IndustrialInsured, PurchasingGroup, PolicyLimit

*See additional information on these specific fields as noted with *Special Situations* on pages 21-22.

New and Renew Policies Replacing a Binder

Codes

New Policy	TransType = "N"	ActionCode = "PR" (policy replace binder)
Renew Policy	TransType = "R"	ActionCode = "PR" (policy replace binder)

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.

Required fields

TransType, ActionCode, PolicyNumber, Insured, Class, EffectiveDate, ExpirationDate, ZipCode* (risk location zip code, required for all lines of business), CvgCode(s)*, Securities*

Optional fields

Binder, ZipCode* (risk location zip code, required for all lines of business), WindStormExclusion*, PolicyFee, TotalTax, TotalStampFee, TotalGross, PremiumAllocation* (Other States, Exempt, Breakdown of States / Individual States), InceptionDate, IssueDate, ContUntilCancl, FedCrUnion, CustomID, ECP, IndustrialInsured, PG, PolicyLimit

*See additional information on these specific fields as noted with *Special Situations* on pages 21-22.

Endorsement – Premium Change

Codes

Premium Change Endorsement	TransType = "E"	ActionCode = " " (blank)
----------------------------	-----------------	--------------------------

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, CvgCode(s)*

Optional fields

ZipCode*, WindStormExclusion*, PolicyFee, TotalTax, TotalStampFee, TotalGross, PremiumAllocation* (Other States, Exempt, Breakdown of States / Individual States), IssueDate, AORFlag, PrevAgLicNo*, DupParentID CustomID

*See additional information on these specific fields as noted with *Special Situations* on pages 21-22. The ZipCode* and WindStormExclusion fields should be included, if the risk location/exposure is changing.

Endorsements – Security Change

Codes

Security Change Endorsement TransType = "E" ActionCode = "SC" (Securities)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, Securities*

Optional fields

IssueDate, AORFlag, PrevAgLicNo*, DupParentID, CustomID

*See additional information on these specific fields as noted with *Special Situations on pages 21-22*.

Endorsements – Expiration Date Change

Note: Date extensions should be processed as Renewals to check stamping fee and company eligibility.

Codes

Expiration Date
Change Endorsment TransType = "E" ActionCode = "ED" (Expiration Date)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, ChgValue

Optional fields

IssueDate, AORFlag, PrevAgLicNo*, DupParentID, CustomID

*See additional information on these specific fields as noted with *Special Situations on pages 21-22*.

Endorsements – Inception Date Change

Codes

Inception Date
Change Endorsement TransType = "E" ActionCode = "ID" (Inception Date)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, ChgValue

Optional fields

ExpirationDate, IssueDate, AORFlag, PrevAgLicNo*, DupParentID, CustomID

*See additional information on these specific fields as noted with *Special Situations on pages 21-22*.

Endorsement – Name Change

Codes

Name Change
Endorsement

TransType = "E" ActionCode = "NC" (Name Change)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, ChgValue

Optional fields

IssueDate, AORFlag, PrevAgLicNo*, DupParentID, CustomID

*See additional information on these specific fields as noted with *Special Situations on pages 21-22.*

Endorsements – Policy Number Change

Codes

Policy Number
Change Endorsement

TransType = "E" ActionCode = "PN" (Policy Number)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, ChgValue

Optional fields

IssueDate, AORFlag, PrevAgLicNo*, DupParentID, CustomID

*See additional information on these specific fields as noted with *Special Situations on pages 21-22.*

Cancellations and Reinstatements

Codes

Cancellation
Amended Cancellation
Reinstatements
Amended Reinstatement
Reinstatement Fee

TransType = "C"	ActionCode = " " (blank)
TransType = "C"	ActionCode = "AM" (amended)
TransType = "I"	ActionCode = " " (blank)
TransType = "I"	ActionCode = "AM" (amended)
TransType = "I"	ActionCode = "RF" (Reinstatement Fee)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, CvgCode(s)*

Optional fields

PolicyFee, TotalTax, TotalStampFee, TotalGross, PremiumAllocation* (Other States, Exempt, Breakdown of States / Individual States), IssueDate, AORFlag, PrevAgLicNo*, DupParentID, CustomID

*See additional information on these specific fields as noted with *Special Situations on pages 21-22.*

Reversals

Codes

Premium Change Reversal	TransType = "E"	ActionCode = "RX" (Reversal)
New Reversal	TransType = "N"	ActionCode = "RX" (Reversal)
Renewal Reversal	TransType = "R"	ActionCode = "RX" (Reversal)
Cancellation Reversal	TransType = "C"	ActionCode = "RX" (Reversal)
Reinstatement Reversal	TransType = "I"	ActionCode = "RX" (Reversal)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate

Optional fields

TotalGross, IssueDate, AORFlag, PrevAgLicNo*, DupParentID, CustomID

*See additional information on these specific fields as noted with *Special Situations on pages 21-22.*

Policy Updates

An Update Policy entry is only used to change the Zip Code, the Class Code, the **Policy Limit, or the Federal Credit Union (FCU) flag (FCU update only allowed in the current accounting month) on a policy. The posting program will change these values on the parent policy, and then on each of the children, where applicable. This gives the effect of changing values on the whole policy.**

Codes

Policy Update	TransType = "U"	ActionCode = " " (blank)
---------------	-----------------	--------------------------

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, DupParentID

Optional fields

Class, FedCrUnion, ZipCode*, **PolicyLimit**, WindStormExclusion*, CustomID

*See additional information on these specific fields as noted with *Special Situations on pages 21-22.*

Delete Transactions

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

Codes

Premium Endorsement Delete	TransType = "E"	ActionCode = "DT" (delete transaction)
New Delete	TransType = "N"	ActionCode = "DT" (delete transaction)
Renew Delete	TransType = "R"	ActionCode = "DT" (delete transaction)
Cancellation Delete	TransType = "C"	ActionCode = "DT" (delete transaction)
Reinstatement Delete	TransType = "I"	ActionCode = "DT" (delete transaction)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, TransID (The transaction ID of the successfully posted transaction you wish to delete. Required in a correction batch. Optional in a normal batch.)

Optional fields

TotalGross, CustomID

Batch Deletions

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

Codes

Delete a Batch	TransType = "X"	ActionCode = "BT" (batch)
----------------	-----------------	---------------------------

Required fields

ChgValue

Optional fields

CustomID

Delete Pending Transactions

Codes

Pending Delete	TransType = "P"	ActionCode = "DT" (delete transaction)
----------------	-----------------	--

Required fields

TransType, ActionCode, PolicyNumber, TransID (The transaction ID of the pending transaction you wish to delete.)

Optional fields

CustomID

Note: You cannot use a 'delete pending' transaction to delete pending delete transactions, pending batch deletions or pending update transactions. Also, the 'delete pending' transaction can only be submitted in a correction batch. It is not allowed in a normal batch.

Special Situations

Securities

Company – Securities will consist of at least one company, CoNumber, and ParticipationPct. The total of all the ParticipationPct fields for each company used must equal 100% for a transaction.

Syndicate – If one of the companies is Underwriters at Lloyd's London, then at least one Syndicate CoNumber 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. See the Status field in the Company and Lloyd's Syndicate transaction information.

Coverages

Coverages consist of a coverage code, CvgCode and coverage amount, CvgAmt. If a coverage code is used, the amount must be provided even if it is 0.00.

PremiumAllocation

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.

ZipCode

The ZipCode is a required field on any policy, binder, cover note, or date extension (*regardless of the coverage or line of business*). This must be this zip code of the *risk location*, and must be a valid Texas zip code. 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.

WindStormExclusion

The WindStormExclusion flag works in conjunction with the Zip Code to override the Extended Coverage Territory Code associated with the Zip Code used. If the policy/binder has a Windstorm Exclusion, this flag should reflect Yes.

PrevAgLicNo

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.

ECP

Exempt Commercial Purchaser (ECP) – This Yes/No flag 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 NRRRA.) 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.*

CorrectionReEntry / CorrectionReEntryPolicyID

A Yes flag and "Policy ID" combination indicates this policy submission is a "correction" or re-entry of an original filing. 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). 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.

IndustrialInsured

Industrial Insured – This Yes/No flag 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 industrial insured.) 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.*

PG

PG – This Yes/No flag should indicate if the insured meets the criteria as a Purchasing Group. (A surplus lines agent is required to submit Purchasing Group policies if the member with the highest risk resides in Texas.) It will be required that you provide this information if the insured qualifies.

Policy Limit

Policy Limit – This field allows numeric characters and records the highest aggregate limit for the policy. Limits are required to be recorded in accordance with TAC 15.106 for policies effective on or after 12/30/2018.

Common Data Type Definitions

Note: This section of Common Data Type Definitions applies to ASCII and XML.

Representation of the data passed between clients and servers is limited to specific types. The following types are supported:

Empty

Marks a tag that contains no data. Usually indicates that a tag has an attribute only.

Flag

Unless otherwise specified, indicates a Yes/No value. Consists of a Char(1) field that must contain either a "Y" for yes, or a "N" for no.

Character

Represents character data. A character field is indicated by the word "Char" and a number that indicates the maximum length is shown within parenthesis. For example, **Char(10)** defines a character field with a maximum length of 10. If a number is not present, then there is no maximum length. If data is sent that is longer than specified here, some data loss may occur.

Note: The length of each character is dependent upon the type of encoding. UTF-8 encoding uses two bytes per character where ISO Latin-1 uses one byte per character.

Additionally, for XML files, special characters are represented with several bytes. For example, the less than symbol (<) is represented by "<" so that the string "A < B" will encode to "A < B".

Integer

Represents numeric data that must not contain any fractional values. The data consists of an optional leading minus sign (-) and the characters 0-9. Decimal points are not allowed. If a leading minus sign is present, the number is negative. Otherwise, the number is considered positive.

Money

Numeric data that represents a currency amount. The field consists of an optional leading minus sign (-), numeric characters (0-9), and a period. Decimal amounts are valid and must be no more than 2 decimal positions. Negative numbers are indicated by a leading minus sign (-).

Date

Represents data that indicates a date. Consists of a field in the format of MM/DD/YYYY where MM is a two-digit month between 01-12, DD is the day of the month between 01-31, and a four-digit year. The length of a date field must always be 10.

ASCII File Formats

Uploads

Files that are uploaded to the EFS contain transactions to be processed by the system. Upload files can consist of more than one batch of transactions. There is no limit on the number of transaction items that can be included with an individual batch.

A batch begins with an "H" record (Header) and is followed by the various transaction item records.

A transaction record consists of a "P" record (Policy) along with an the optional "C" (Company) or "L" (Lloyds) security records. The "Policy" record contains the main policy information such as number and name. The "Company" record includes the security participation percentage information and is only needed based on there being a corresponding "P" record transaction type of New, Renew, or Security Change transaction. The "L" record, containing Lloyds Syndicate information, is only needed when a corresponding "C" record includes a Lloyds Underwriter company designation.

The "T" (Tag Code) and "D" (Duplicate Parent) records are only used during the download of pending items and are ignored by the file upload process.

Downloads

Files that are downloaded from the EFS will only contain transaction information.

A transaction record consists of a "P" (Policy) record and the optional "C", "L", "T", or "D" records as needed. The "P" record will carry the main data about the policy.

If the downloaded files are transactions that need to be corrected, the "T" (Tag Code) record will be present and contains information about the required correction. The "D" (Duplicate) record will be present only when a transaction can be applied to more than one parent transaction, and the appropriate parent must be designated in order to process the transaction.

You have the ability to download successfully posted transactions or transactions that need to be corrected. However, not all transactions with errors are eligible for deletion. Please contact the Help Desk for further explanation.

Data Record Layouts

The following is an explanation of the various column headings utilized with the file record layouts below:

SEQ NO

This identifies the Sequence Number of the field and designates the location of the corresponding data. If no data is required, then an "empty" field must be included. An empty field is indicated by two consecutive tab delimiters.

NAME

Provides the Name of the field. This is to aid in identification of the field content. *(See the Description column for more details.)*

TYPE

Indicates the kind, or type, of data to be included in this field. *(See the Data Type Definitions section for more details on this column.)*

DESCRIPTION

A narrative explanation of the data contained in the field.

The tables shown below represent the proper data layouts required for each type of information category described:

Note: The EFS Posting application will only recognize a "Y" or "y" for Yes; if this code is not present, "N" (No) is assumed.

Version Information			
Seq. No.	Name	Type	Description
1	RecID	Char(7)	"F" for File Version format.
2	VersionNo	Char(3)	"2.1" for Version 2.1

Note: Agencies transitioning to programmatic filing after 11/1/13 will be required to utilize version 2.1 in order to accommodate the NRRRA data requirements set forth by the Texas Department of Insurance and Texas Comptroller. Lower versions will no longer be accepted for newly filing agencies.

Header Information			
Seq. No.	Name	Type	Description
1	RecID	Char(1)	"H" for Batch Header format.
2	AgLicNo	Char(9)	Shows the Agent License number.
3	BatchType	Char(1)	"N" for normal batches; "C" for Correction Batches.
4	Email	Char(128)	Optional e-mail notification address. If omitted, the Security Profile's primary recipient information will be used.
5	ItemCnt	Integer	The number of transactions in the batch.
6	TotalGross	Money	The total of all Total Gross fields (dollar amount) for all transaction items in the batch. (Do NOT include "Other States" or Exempt premiums when calculating the Total Gross.)

Policy Transaction Information			
Seq. No.	Name	Type	Description
1	RecID	Char(1)	"P" for Policy Transaction format.
2	TransID	Integer	An optional Transaction ID that is generated by the system. This is used for creating Correction batches from the downloaded error transactions. Normal batches will not have this field. Correction batches must have this field from the corresponding pending transaction that was downloaded.
3	PolicyNumber	Char(20)	The Policy Number of the transaction.
4	Binder	Char(20)	The original Binder Number being replaced by this transaction. This is only required on "Policy Replacing Binder" transactions.
5	TransType	Char(1)	The policy Transaction Type Code. These codes can be downloaded/viewed from the web site.
6	ActionCode	Char(2)	An optional Action Code. This code is related to the transaction type and only certain TransType / ActionCode combinations are valid. The list of valid codes are available for downloading/ viewing from the web site.
7	Insured	Char(60)	The Insured's Name on the policy. This is only required on certain transactions.
8	ZipCode	Char(10)	The policy Zip Code. Can be either the 5-digit code or the 10-digit version with extender. Must be in the format xxxxx-xxxx.
9	ClassCd	Integer	The Class Code of the transaction.
10	PolicyFee	Money	The Policy Fee of the transaction.
11	TotalTax	Money	The Total Tax on the transaction.
12	TotalStampFee	Money	The total Surplus Lines Stamping Fee of the transaction.
13	TotalGross	Money	The Total Gross of the transaction. This is the sum of the policy fee, premiums, tax, and stamping fee on a transaction. (Do NOT include "Other States" or Exempt premiums when calculating the Total Gross.)
14	EffectiveDate	Date	The Effective Date of the transaction.
15	InceptionDate	Date	The Inception Date of the transaction.
16	ExpirationDate	Date	The Expiration Date of the transaction.
17	IssueDate	Date	The Issue Date of the transaction.
18	ContUntilCancel	Char(1)	A code that indicates if the transaction is a Continuous-until-Canceled transaction. A "Y" code indicates that it is and the expiration date is ignored. A "N" indicates that it is not continuous and the expiration date must be used.
19	FedCrUnion	Char(1)	A code that indicates if the transaction is a Federal Credit Union issued policy. A "Y" indicates that it is. An "N" code indicates No.

20	ChgValue	Char(60)	The changed value of the transaction. The actual information changed is based upon the TransType/ActionCode combination. This is used for Name Change Endorsements, Inception Date Change Endorsements, and Insured Name Change Endorsements.
21	AORFlag	Char(1)	A code that indicates a change to the Agent of Record for this transaction and that an Agent of Record letter exists. A "Y" indicates that one exists. A "N" indicates that one does not exist.
22	DupParentID	Integer	An internal ID for Duplicated Parent tags to indicate which parent to use. This is only used for Correction Batches.
23	CustomID	Char(20)	An optional identifier for the users. This can contain any value and will be retained with the transaction. This can be used to help identify a transaction by putting some unique meaningful information.
24	WindStormExclusion	Char(1)	A code that indicates Windstorm Exclusion on the transaction; either "Y" or "N."
25	PrevAgLicNo	Char(9)	The License Number of the agent previously on record.
26	PolicyIneligibleCo	Char(1)	A flag that reflects if one or more of the transactions assigned securities is ineligible at the inception date of the policy. Only used by download, as the Posting process sets this flag. A placeholder is needed for the upload.
27	CorrectionReEntry	Char(1)	A code that indicates this policy is a Re-Entry of an Error Correction; either "Y" or "N".
28	CorrectionReEntry PolicyID	Integer	The Policy ID of the original policy that is being corrected with this policy entry.
29	ECP	Char(1)	A code that indicates the insured is an Exempt Commercial Purchaser; either "Y" or "N".
30	TransPolicyID	Integer	An internal ID used to uniquely identify the specific transaction.
31	IndustrialInsured	Char(1)	A code that indicates the insured is an Industrial Insured; either "Y" or "N".
32	PG	Char(1)	A code that indicates the insured is a Purchasing Group; either "Y" or "N"
33	PolicyLimit	Money	The Highest Aggregate Policy Limit. Entered as a whole dollar value only (excluding cents).

Coverage Transaction Information			
Seq. No.	Name	Type	Description
1	ReclID	Char(1)	"V" for coverage information format
2	CvgCode	Integer	The Coverage Code on the transaction.
3	CvgAmt	Money	The premium amount for the coverage code.

Premium Allocation Transaction Information			
Seq. No.	Name	Type	Description
1	RecID	Char(1)	"A" for premium allocation information format. (Includes Exempt (EX), Other States (OS), Breakdown of States summary (BS), and individual states.)
2	Code	Char(2)	A code that indicates the premium allocation code.
3	Premium	Money	The premium amount for the premium allocation code.

Key – Premium Allocation Codes	
Code	Description
EX	Exempt Premium
OS	Policies effective prior to 7/21/11 – premiums allocated to risks in states other than Texas
BS	Policies effective on/after 7/21/11 –breakdown of states summary of premium allocated to risks other than Texas (NRRRA – 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)
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.

Company Transaction Information			
Seq. No.	Name	Type	Description
1	RecID	Char(1)	"C" for company information format
2	CoNumber	Integer	The Company number of the security.
3	ParticipationPct	Percentage	The Participation Percentage for the security.
4	Status	Char(1)	Flag to reflect company's ineligible status. "I" ineligible; blank (not present) eligible.

Lloyd's Syndicate Transaction Information			
Seq. No.	Name	Type	Description
1	RecID	Char(1)	"L" for Lloyds Syndicate information format
2	CoNumber	Integer	The Company number of the syndicate.
3	Status	Char(1)	Flag to reflect Syndicate's ineligible status. "I" ineligible; blank (not present) eligible.

Tag Code Transaction Information (Applies only to downloaded corrections)			
Seq. No.	Name	Type	Description
1	RecID	Char(1)	"T" for Tag Code information format
2	TagCode	Char(2)	The Tag Code
3	TagText	Char(430)	The Tag Code description.

Duplicate Parent Transaction Information (Applies only to downloaded corrections)			
Seq. No.	Name	Type	Description
1	RecID	Char(1)	"D" for duplicate parent information format.
2	PolicyID	Integer	The unique Policy ID of the parent transaction.
3	PolicyNumber	Char(20)	The Policy Number of the parent transaction.
4	ReportDate	Date	The Report Date of the parent transaction.
5	TransType	Char(1)	The Transaction Type of the parent transaction.
6	ActionCode	Char(2)	The Action Code of the parent transaction.
7	TotalGross	Money	The Total Gross of the parent transaction.

Sample ASCII Upload File

Example Policy Scenario #1 (policies effective prior to NRRA Change 7/21/11):

New Policy # XYZ789 for Bob's Window Washing, Bob Smith DBA, effective 07/22/2010-07/22/2011 with commercial property coverage for \$3685 and commercial general liability coverage for \$6315, where the main property risk is located in the Austin, TX zip code 78746 and there is no windstorm exclusion. This insured is not a federal credit union, the policy was issued on 07/26/2010, and there is no agent of record change. This policy is a re-entry of an error correction for the transaction whose original policy id is 123456789, and this insured is not an exempt commercial purchaser. The carrier is Underwriters at Lloyd's London with four syndicates. – This is a Multi-state policy with premium of: Texas \$10,000, Louisiana \$2,500 and Oklahoma \$1,000. Because only Texas premium is taxable prior to 07/21/2011, \$10,000 is submitted as Texas and the \$3500 in other states premium will be submitted as Other States (OS) Premium.

Note: Tabs are represented by vertical bars ("|"). Highlighted areas indicate the data should all be on one line. This information was wrapped to more than one line due to page layout constraints.

Line 1: "F"|"2.1"

Line 2: "H"|AGENT1|"N"|"user@anywhere.com"|1|10491.00

Line 3: "P"|"XYZ789"|"N"|"Bob's Window Washing, Bob Smith DBA"|"78746"|47366|0.00|485.00|6.00|10491.00|"07/22/2010"|"07/22/2010"|"07/22/2011"|"07/26/2010"|"N"|"N"|"N"|"Y|123456789|N|N|1500000

Line 4: "V"|9334|6315.00

Line 5: "V"|9015|3685.00

Line 6: "A"|"OS"|3500.00

Line 7: "C"|90102091|100

Line 8: "L"|9058971

Line 9: "L"|9052231

Line 10: "L"|9058984

Line 11: "L"|101229

Example Policy Scenario #2 (policies effective on/after 7/21/11 NRRRA changes):

Renewal Policy # ABC123 for Bob's Window Washing, Bob Smith DBA, effective 07/22/2011-07/22/2012 with commercial property coverage for \$4275 and commercial general liability coverage for \$9225, where the main property risk is located in the Austin, TX zip code 78746 and there is no windstorm exclusion. This insured is not a federal credit union, the policy was issued on 07/27/2011, and there is no agent of record change. This policy is a re-entry of an error correction for the transaction whose original policy id is 123456789, and this insured is not an exempt commercial purchaser. The carrier is Underwriters at Lloyd's London with four syndicates – This is a Multi-state policy where Texas is the **home state** with premium of: Texas \$10,000, Louisiana \$2,500 and Oklahoma \$1,000. Because Texas is the **home state**, all premium is reported and taxed as Texas premium – \$13,500 is submitted as Texas and the \$3500 in other states premium will be submitted as a Breakdown of States summary (BS) amount and by individual states to clarify the amount of the premium is allocated to non-Texas locations.

Note: Tabs are represented by vertical bars (" | "). Highlighted areas indicate the data should all be on one line. This information was wrapped to more than one line due to page layout constraints.

Line 1: "F"|"2.1"

Line 2: "H"|AGENT1|"N"|"user@anywhere.com"|1|14162.85

Line 3: "P"|"ABC123"|"R"|"Bob's Window Washing, Bob Smith DBA"|"78746"|47366|0.00|654.75|8.10|14162.85|"07/22/2011"|"07/22/2011"|"07/22/2012"|"07/27/2011"|"N"|"N"|"N"|"Y"|123456789|N|N|1500000

Line 4: "V"|9334|9225.00

Line 5: "V"|9015|4275.00

Line 6: "A"|"BS"|3500.00

Line 7: "A"|"LA"|2500.00

Line 8: "A"|"OK"|1000.00

Line 9: "C"|90102091|100

Line 10: "L"|9058971

Line 11: "L"|9052231

Line 12: "L"|9058984

Line 13: "L"|101229

Sample ASCII Download File

Note: Tabs are represented by vertical bars ("|"). Highlighted areas indicate the data should all be on one line. This information was wrapped to more than one line due to page layout constraints.

Line 1: "P"|453|"123456"|"|"|"N"|"|"|"JOHN DOE PLUMBING"|"78557"|94444|
400.00|262.77|3.25|4955.47|||"10/11/2013"|"|"|"10/11/2014"|"10/11/2013"|"N"|"N"|"|"|"N"|"|"|"|"N"|"|||N|0|12345678|

Line 2: "V"| 9212 | 5018.00

Line 3: "C"|90102091|100|

Line 4: "L"|101229|

Line 5: "T"|S2|Computed gross premium does not match gross premium on transaction.

Line 6: "P"|457|"ABCDEF"|"|"|"E"|"|"|"|"78746"||0.00|30.31|0.38|655.69|||
"08/15/2011"|"|"|"|"09/01/2011"|"|"|"|"|"N"|"|"END#1"|"N"|"

Line 7: "V"| 9334 | 275.00

Line 8: "V"| 9015 | 350.00

Line 9: "T"|EH|Duplicate Parent found.

Line 10: "D"|111111|ABCDEF|10/25/2011|597|N|BN|17635.78

Line 11: "D"|222222|ABCDEF|10/25/2011|655|R||17635.78

Line 12: "D"|333333|ABCDEF|11/08/2011|750|R||17635.78

XML File Formats

XML Basic Concepts

Any XML files used for transmitting data to the Electronic Filing System (EFS) will follow the W3C XML specifications. The goal of this section is to define the various XML requirements as used by the EFS. It is beyond the scope of this manual, however, to explain all XML concepts. For details and technical specifications, please visit the W3C web site at <http://www.w3.org/XML>. This site offers information on specifications, but does not provide tutorials or other instructions in preparing XML files.

Naming Convention

Escaped Characters

Please note that certain data characters must be escaped when constructing an XML file. For example, the less than symbol (<) and greater than symbol (>) have special meanings in XML—they are utilized to delimit the element tags. When data should contain one of these special characters, the symbol must be encoded using the appropriate predefined entity (see W3C XML specifications):

Greater than (>)	>
Less than (<)	<

Name Space Definitions

The EFS XML elements exist within a defined namespace. For more details on XML namespace concepts, please refer to the W3C Namespace documentation at <http://www.w3.org/TR/REC-xml-names>.

A root element must be fully qualified and defines the namespace identification to be used. In the example below, "efs" is used as the namespace identifier and must be specified as an attribute on the root element as shown:

- Namespace attribute: xmlns:efs="<http://www.slsot.org/efs>"
- Example root element tag with namespace definition:

```
<efs:Request xmlns:efs="http://www.slsot.org/efs">  
... XML element tags with data ...  
</efs:Request>
```

Schema Definitions

The Electronic Filing System uses a specific schema for the EFS XML validation process. **It is highly recommended that you validate an XML document you have generated before transmitting it to SLTX.** This will prevent various data-content-related errors from occurring.

The following EFS XML schema must be used to validate an XML file and the schema definition can be downloaded at this URL: "<http://efs.slsot.org/efs/xsd/SlsotEfsSchema2-1.xsd>."

Please refer to W3C XML schema specifications for details at <http://www.w3.org/XML/Schema>.

To use this schema, the following attributes must be specified on the root XML element:

- The schema definition namespace:
xmlns:xsi= "<http://www.w3.org/2001/XMLSchema-instance>"
- The EFS schema location:
xsi:schemaLocation= "<http://efs.slsot.org/efs/xsd/SlsotEfsSchema2-1.xsd>"
- Example root element tag with namespace and schema definition:

```
<efs:Request xmlns:efs= "http://www.slsot.org/efs"  
  
xmlns:xsi= "http://www.w3.org/2001/XMLSchema-instance"  
xsi:schemaLocation= http://efs.slsot.org/efs/xsd/SlsotEfsSchema2-1.xsd>  
... XML element tags with data ...  
</efs:Request>
```

Note: Test environment schema:

xsi:schemaLocation= <http://efstest2.slsot.org/efstest/xsd/SlsotEfsSchema2-1.xsd>

Elements

Elements are the mechanisms that allow XML files to structure the data. Elements are associated with a "tag" that is between a less than (" $<$ ") and greater than (" $>$ ") symbol. See the W3C XML Specifications documentation for more details on elements.

A well-formed XML document starts with a "root element." This is the top-level element in the XML structure that contains all of the other elements. See the W3C XML Specifications for a more extensive discussion on a "well formed" document.

The EFS XML format allows for two root elements. One is for the Batch Upload format and the other is for the Pending/Processed Transactions Download format.

The following are the root elements used by EFS:

- $<$ Request $>$ The root element for Batch Uploads.
- $<$ Transactions $>$ The root element for the Pending/Processed Transactions Download.

The XML format is the same for these transactions, but different selection criteria are used when the request for download is processed.

Attributes

Elements can optionally include attributes. The attribute of an element is contained between the delimiters of the tag. Attributes consist of a name followed by an equal sign (=), then the data value of the attribute appears in double quotes. See the W3C XML Specifications for further details on including attributes.

The following is an example of an attribute used with the <Batch> tag:

- <Batch AgLicNo="12345" BatchType="N" ItemCnt="5" TotalGross="500.00">
... XML element tags with data ...
</Batch>

Note that all numeric data is still enclosed between the double quotes.

XML Tag References

Column Definitions

The following is an explanation of the various column headings utilized in the XML Tag Reference charts:

Tag

The XML tag code for the appropriate XML element.

Type

The representation of the data passed between clients and servers is limited to specific types. The following data types are supported:

Complex Type: Consists of other complex types and/or simple data types.

Simple Type: See descriptions in the *Data Type Definitions* section of this text.

Usage

Indicates that the tag is Optional or Required. If the word "Multiple" is included, then more than one tag is allowed. Otherwise, only one is permitted. If the word "Attribute" is used, then the tag column indicates an attribute of the last XML element tag defined. The tag column will be indented for readability when attributes are defined.

If the special instruction "See Transaction Rules" appears in the Usage column, please refer to the *EFS Transaction Data Rules* section in this text for important information on transaction entry specifics.

Description

Provides a brief description of the data element

XML Tags

Note: The EFS Posting application will only recognize a "Y" or "y" for Yes; if this code is not present, "N" (No) is assumed.

<Request> Upload Request (Root element for file uploads)			
Tag	Type	Usage	Description
<EfsVersion>	Char	Required	Version identifier. Must be "2.1".
<Batch>	Complex	Required, Multiple	A batch of transactions to be uploaded.

Note: Agencies transitioning to programmatic filing after 11/1/13 will be required to utilize version 2.1 in order to accommodate the NRRRA data requirements set forth by the Texas Department of Insurance and Texas Comptroller. Lower versions will no longer be accepted for newly filing agencies.

<Batch> Batch of Transactions			
Tag	Type	Usage	Description
<EFSPolicy>	Complex	Required, Multiple	Contains transaction details.
AgLicNo	Char(9)	Required, Attribute	The agent's license number.
BatchType	Char(1)	Required, Attribute	The type of batch. An "N" code indicates a normal Batch. A "C" indicates a Correction Batch.
Email	Char(128)	Optional, Attribute	Optional e-mail notification address. If omitted, the Security Profile's primary contact information is used.
ItemCnt	Integer	Required, Attribute	The number of transactions in the batch.
TotalGross	Money	Required, Attribute	The total of all Total Gross fields (dollar amount) for all transaction items in the batch.

<EFSPolicy> Transaction Definition			
Tag	Type	Usage	Description
<TransID>	Integer	See Transaction Rules	The transaction ID for Correction Batches only.
<PolicyNumber>	Char(20)	See Transaction Rules	The Policy Number of the transaction
<Binder>	Char(20)	See Transaction Rules	The original Binder Number being replaced by this transaction. This is only required on "Policy replacing a binder"
<TransType>	Char(1)	See Transaction Rules	The policy Transaction Type Code. These codes can be downloaded/ viewed from the web site.
<ActionCode>	Char(2)	See Transaction Rules	An optional Action Code. This code is related to the transaction type and only certain TransType / ActionCode combinations are valid. The list of valid codes are available for downloading/ viewing from the web site.
<Insured>	Char(60)	See Transaction Rules	The Insured's Name on the policy. This is only required on certain transactions.

<ZipCode>	Char(10)	See Transaction Rules	The policy Zip Code. Can be either the 5-digit code or the 10-digit version with extender. Must be in the format xxxx-xxxx.
<ClassCd>	Integer	See Transaction Rules	The Class Code of the transaction
<PolicyFee>	Money	See Transaction Rules	The Policy Fee of the transaction.
<TotalTax>	Money	See Transaction Rules	The Total Tax on the transaction.
<TotalStampFee>	Money	See Transaction Rules	The total Surplus Lines Stamping Fee for the transaction.
<TotalGross>	Money	See Transaction Rules	The Total Gross of the transaction. This is the sum of the policy fee, premiums, tax, and stamping fee on a transaction. (Do NOT include "Other States" or Exempt premiums when calculating the Total Gross.)
<EffectiveDate>	Date	See Transaction Rules	The Effective Date of the transaction.
<InceptionDate>	Date	See Transaction Rules	The Inception Date of the transaction.
<ExpirationDate>	Date	See Transaction Rules	The Expiration Date of the transaction.
<IssueDate>	Date	See Transaction Rules	The Issue Date of the transaction.
<ContUntilCancl>	Flag	See Transaction Rules	A code that indicates if the transaction is a Continuous-until-Canceled transaction. A "Y" code indicates that it is and the expiration date is ignored. A "N" indicates that it is not continuous and the expiration date must be used.
<FedCrUnion>	Flag	See Transaction Rules	A code that indicates if the transaction is a Federal Credit Union issued policy. A "Y" indicates that it is. A "N" indicates No.
<ChgValue>	Char(60)	See Transaction Rules	The changed value of the transaction. The actual information changed is based upon the Trans Type / Action Code combination. This is used for Name Change Endorsements, Inception Date Change Endorsements, and Insured Name Change Endorsements.
<AORFlag>	Flag	See Transaction Rules	A code that indicates a change to the Agent of Record for this transaction and that an Agent of Record letter exists. A "Y" indicates that one exists. A "N" indicates that one does not exist.
<DupParentID>	Integer	See Transaction Rules	An internal ID for Duplicated Parent tags to indicate which parent to use. This is only used for Correction Batches.
<CustomID>	Char(20)	See Transaction Rules	An optional identifier for the user. This can contain any value and will be retained with the transaction. This can be used to help identify a transaction by putting some unique meaningful information.

<WindStorm Exclusion>	Char(1)	See Transaction Rules	A code that indicates Windstorm Exclusion on the transaction; either "Y" or "N".
<PrevAgLicNo>	Char(9)	See Transaction Rules	License Number of the agent previously on record.
<Policy IneligibleCo>	Char(1)	See Transaction Rules	Ineligible flag. The assigned Company is ineligible as of the Policy Inception date.
<Correction ReEntry>	Char(1)	See Transaction Rules	Correction Re-entry flag; either "Y" or "N".
<Correction ReEntryPolicyID>	Complex	See Transaction Rules	Policy ID of Correction Re-entry.
<ECP>	Char(1)	See Transaction Rules	Exempt Commercial Purchaser flag; either "Y" or "N".
<IndustrialInsured>	Char(1)	See Transaction Rules	Industrial Insured flag; either "Y" or "N".
<PG>	Char(1)	See Transaction Rules	Purchasing Group flag; either "Y" or "N".
<PolicyLimit>	Money	See Transaction Rules	The Highest Aggregate Policy Limit. Entered as whole dollar value only (excluding cents).
TransPolicyID	Integer	Optional	An internal ID that is used to uniquely identify the transaction.
<Coverages>	Complex	See Transaction Rules	See Transaction Rules.
<Premium Allocation>	Complex	See Transaction Rules	See Transaction Rules.
<Securities>	Complex	See Transaction Rules	See Transaction Rules.
<Tags>	Complex	See Transaction Rules	See Transaction Rules.
<DupParents>	Complex	See Transaction Rules	See Transaction Rules.

<Coverages> Coverage Codes information			
Tag	Type	Usage	Description
<Coverage>	Money	Required, Multiple	The premium amount for the Coverage Code.
CvgCode	Integer	Required, Attribute	The Coverage Code of the transaction

<PremiumAllocation> Allocation Premium breakdown information			
Tag	Type	Usage	Description
<Allocation>	Money	Required, Multiple	The premium amount of the Allocation Premium Code.
AllocCode	Char(2)	Required, Attribute	The Premium Allocation Code of the premium (Includes Exempt (EX), Other States (OS), and Breakdown of States summary (BS), or Individual State entries). See Transaction Rules.

Key – Premium Allocation Codes	
Code	Description
EX	Exempt Premium
OS	Policies effective prior to 7/21/11 – premiums allocated to risks in states other than Texas
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)
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.

<DupParents> Duplicate parent policy list			
Tag	Type	Usage	Description
<DupParent>	Complex	Required, Multiple	See Transaction Rules

<DupParents> Duplicate parent policy detail information			
Tag	Type	Usage	Description
<PolicyID>	Integer	Required	The unique Policy ID of the parent transaction.
<PolicyNumber>	Char(20)	Required	The Policy Number of the parent transaction.
<ReportDate>	Date	Required	The Report Date of the parent transaction.
<TransType>	Char(1)	Required	The Transaction Type of the parent transaction.
<ActionCode>	Char(2)	Optional	The Action Code of the parent transaction.
<TotalGross>	Money	Required	The Total Gross of the parent transaction.

<Securities> Company and Lloyd's Syndicate Security information			
Tag	Type	Usage	Description
<Company>	Percent	Required, Multiple	See Transaction Rules
CoNumber	Integer	Required, Attribute	The Company number of the security.
Status	Char(1)	Optional, Attribute	Flag to reflect Company's ineligible status.
<Syndicate>	Empty	Required, Multiple	See Transaction Rules
CoNumber	Integer	Required, Attribute	The Company number of the syndicate.
Status	Char(1)	Optional, Attribute	Flag to reflect Company's ineligible status.

<Transactions> Processed Transactions (Root element for downloads)			
Tag	Type	Usage	Description
<EfsVersion>	Char	Optional	Version identifier. Must be "2.1".
<EFSPolicy>	Complex	Required, Multiple	Contains transaction details.

Sample XML Upload File

Example Policy Scenario #1 (policies effective prior to NRRA Change 7/21/11):

New Policy # XYZ789 for Bob's Window Washing, Bob Smith DBA, effective 07/22/2010-07/22/2011 with commercial property coverage for \$3685 and commercial general liability coverage for \$6315, where the main property risk is located in the Austin, TX zip code 78746 and there is no windstorm exclusion. This insured is not a federal credit union and the policy was issued on 07/26/2010. This policy is a re-entry of an error correction for the transaction whose original policy id is 123456789, and this insured is not an exempt commercial purchaser. The carrier is Underwriters at Lloyd's London with four syndicates. – This is a Multi-state policy with premium of: Texas \$10,000, Louisiana \$2,500 and Oklahoma \$1,000. Because only Texas premium is taxable prior to 07/21/2011, \$10,000 is submitted as Texas and the \$3500 in other states premium will be submitted as Other States (OS) Premium.

```
<?xml version="1.0" encoding="UTF-8"?>
<efs:Request xmlns:efs="http://www.slsot.org/efs"
  xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xsi:schemaLocation="http://www.slsot.org/efs
    http://efs.slsot.org/efs/xsd/SlsotEfsSchema2-1.xsd">
  <EfsVersion>2.1</EfsVersion>
  <Batch AgLicNo="AGENT1" BatchType="N" Email="user@anywhere.com" ItemCnt="1"
    TotalGross="10491.00">
    <EFSPolicy>
      <PolicyNumber>XYZ789</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Bob's Window Washing, Bob Smith DBA</Insured>
      <ZipCode>78746</ZipCode>
      <ClassCd>47366</ClassCd>
      <PolicyFee>0.00</PolicyFee>
      <TotalTax>485.00</TotalTax>
      <TotalStampFee>6.00</TotalStampFee>
      <TotalGross>10491.00</TotalGross>
      <EffectiveDate>07/22/2010</EffectiveDate>
      <InceptionDate>07/22/2010</InceptionDate>
      <ExpirationDate>07/22/2011</ExpirationDate>
      <WindStormExclusion>N</WindStormExclusion>
      <IssueDate>07/26/2010</IssueDate>
      <FedCrUnion>N</FedCrUnion>
      <CorrectionReEntry>Y</CorrectionReEntry>
      <CorrectionReEntryPolicyID>123456789</CorrectionReEntryPolicyID>
      <ECP>N</ECP>
      <Coverages>
        <Coverage CvgCode="9334">6315.00</Coverage>
        <Coverage CvgCode="9015">3685.00</Coverage>
      </Coverages>
      <PremiumAllocation>
        <Allocation AllocCode="OS">3500.00</Allocation>
      </PremiumAllocation>
      <Securities>
        <Company CoNumber="90102091">100</Company>
        <Syndicate CoNumber="9058971"/>
        <Syndicate CoNumber="9052231"/>
        <Syndicate CoNumber="9058984"/>
        <Syndicate CoNumber="101229"/>
      </Securities>
    </EFSPolicy>
  </Batch>
</efs:Request>
```

Example Policy Scenario #2 (policies effective on/after 7/21/11 NRRA changes):

Renewal Policy # ABC123 for Bob's Window Washing, Bob Smith DBA, effective 07/22/2011-07/22/2012 with commercial property coverage for \$4275 and commercial general liability coverage for \$9225, where the main property risk is located in the Austin, TX zip code 78746 and there is no windstorm exclusion. This insured is not a federal credit union and the policy was issued on 07/27/2011. This policy is a re-entry of an error correction for the transaction whose original policy id is 123456789, and this insured is not an exempt commercial purchaser, industrial insured, or purchasing group. The carrier is Underwriters at Lloyd's London with four syndicates. – This is a Multi-state policy where Texas is the home state with premium of: Texas \$10,000, Louisiana \$2,500 and Oklahoma \$1,000. Because Texas is the home state, all premium is reported and taxed as Texas premium – \$13,500 is submitted as Texas and the \$3500 in other states premium will be submitted as a Breakdown of States summary (BS) amount and by individual states to clarify the amount of the premium is allocated to non-Texas locations.

```
<?xml version="1.0" encoding="UTF-8"?>
<efs:Request xmlns:efs=http://www.slsot.org/efs
xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xsi:schemaLocation="http://www.slsot.org/efs
http://efs.slsot.org/efs/xsd/SlsotEfsSchema2-1.xsd">
<EfsVersion>2.1</EfsVersion>
<Batch AgLicNo="AGENT1" BatchType="N" Email="user@anywhere.com" ItemCnt="1"
TotalGross="14162.85">
<EFSPolicy>
<PolicyNumber>ABC123</PolicyNumber>
<TransType>R</TransType>
<Insured>Bob's Window Washing, Bob Smith</Insured>
<ZipCode>78746</ZipCode>
<ClassCd>47366</ClassCd>
<PolicyFee>0.00</PolicyFee>
<TotalTax>654.75</TotalTax>
<TotalStampFee>8.10</TotalStampFee>
<TotalGross>14162.85</TotalGross>
<EffectiveDate>07/22/2011</EffectiveDate>
<InceptionDate>07/22/2011</InceptionDate>
<ExpirationDate>07/22/2012</ExpirationDate>
<IssueDate>07/27/2011</IssueDate>
<FedCrUnion>N</FedCrUnion>
<WindStormExclusion>N</WindStormExclusion>
<CorrectionReEntry>Y</CorrectionReEntry>
<CorrectionReEntryPolicyID>123456789</CorrectionReEntryPolicyID>
<ECP>N</ECP>
<IndustrialInsured>N</IndustrialInsured>
<PG>N</PG>
<PolicyLimit>1500000</PolicyLimit>
<Coverages>
<Coverage CvgCode="9334">9225.00</Coverage>
<Coverage CvgCode="9015">4275.00</Coverage>
</Coverages>
<PremiumAllocation>
<Allocation AllocCode="BS">3500.00</Allocation>
<Allocation AllocCode="LA">2500.00</Allocation>
<Allocation AllocCode="OK">1000.00</Allocation>
</PremiumAllocation>
<Securities>
<Company CoNumber="90102091">100</Company>
<Syndicate CoNumber="9058971"/>
<Syndicate CoNumber="9052231"/>
<Syndicate CoNumber="9058984"/>
<Syndicate CoNumber="101229"/>

```

```

        </Securities>
    </EFSPolicy>
</Batch>
</efs:Request>

```

Sample XML Download File

```

<?xml version="1.0" encoding="UTF-8"?>
<efs:Transactions xmlns:efs="http://www.slsot.org/efs"
    xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
    xsi:schemaLocation="http://www.slsot.org/efs
http://efstest.slsot.org/efstest/xsd/SlsotEfsSchema2.xsd">
<EfsVersion>2.0</EfsVersion>
    <EFSPolicy>
        <TransID>453</TransID>
        <PolicyNumber>123456</PolicyNumber>
        <TransType>N</TransType>
        <ZipCode>78557</ZipCode>
        <ClassCd>94444</ClassCd>
        <PolicyFee>400.00</PolicyFee>
        <TotalTax>262.77</TotalTax>
        <TotalStampFee>3.25</TotalStampFee>
        <TotalGross>4955.47</TotalGross>
        <EffectiveDate>10/11/2013</EffectiveDate>
        <ExpirationDate>10/11/2014</ExpirationDate>
        <AORFlag>N</AORFlag>
        <WindStormExclusion>N</WindStormExclsuion>
        <Coverages>
            <Coverage CvgCode="9212">5018.00</Coverage>
        </Coverages>
        <Securities>
            <Company CoNumber="90102091">100</Company>
            <Syndicate CoNumber="101229" Status="I"/>
        </Securities>
        <Tags>
            <Tag TagCode="S2">Computed gross premium does not match gross premium on
transaction.</Tag>
        </Tags>
    </EFSPolicy>
<EFSPolicy>
    <TransID>355668</TransID>
    <PolicyNumber>ABCDEF</PolicyNumber>
    <TransType>E</TransType>
    <ZipCode>78746</ZipCode>
    <PolicyFee>0.00</PolicyFee>
    <TotalTax>30.31</TotalTax>
    <TotalStampFee>.38</TotalStampFee>
    <TotalGross>65569.00</TotalGross>
    <EffectiveDate>08/15/2011</EffectiveDate>
    <IssueDate>09/01/2011</IssueDate>
    <AORFlag>N</AORFlag>
    ><CustomID>end#1</CustomID>
    <WindStormExclusion>N</WindStormExclusion>
    <TransPolicyID>10926466</TransPolicyID>
    <Coverages>
        <Coverage CvgCode="9334">275.00</Coverage>
        <Coverage CvgCode="9015">350.00</Coverage>
    </Coverages>
    <Tags>

```

```
        <Tag TagCode="EH">Duplicate Parent found.</Tag>
</Tags>
<DupParents>
  <DupParent>
    <PolicyID>111111</PolicyID>
    <PolicyNumber>ABCDEF</PolicyNumber>
    <ReportDate>11/11/2013</ReportDate>
    <BatchNo>7263</BatchNo>
    <TransType>N</TransType>
    <TotalGross>14162.85</TotalGross>
  </DupParent>
  <DupParent>
    <PolicyID>222222</PolicyID>
    <PolicyNumber>ABCDEF</PolicyNumber>
    <ReportDate>11/11/2013</ReportDate>
    <BatchNo>7263</BatchNo>
    <TransType>N</TransType>
    <TotalGross>14162.85</TotalGross>
  </DupParent>
</DupParents>
</EFSPolicy>
</efs:Transactions>
```

Appendix A: SLTX Master Code File Layout Descriptions

The Master Code Files are available to agency programmers and are provided in both tab-delimited ASCII and XML formats. These files can be accessed and downloaded by using the drop-down menu on the upper toolbar of the Help sub-system. The following is an explanation of the layouts developed for the various files you will be using.

ASCII File Format

Column Headings

SEQ NO

This identifies the Sequence Number of the field and designates the location of the corresponding data. If no data is required, then an "empty" field will be included. An empty field is indicated by two consecutive tab delimiters.

NAME

Provides the Name of the field. This is to aid in identification of the field content. (See the Description column for more details.)

TYPE

Indicates the kind, or type, of data included in this field. (See the Data Type Definitions section of this manual for more details on this column.)

DESCRIPTION

A narrative explanation of the data contained in the field.

The tables shown below specify the data layouts used for each Master Code record described:

Class Code Record			
Seq. No.	Name	Type	Description
1	Code	Integer	Class Code
2	Name	Char(70)	Class Code Name

Coverage Code Record			
Seq. No.	Name	Type	Description
1	Code	Integer	Coverage Code
2	Description	Char(30)	Coverage Code Description
3	ZipReq	Char(1)	Coverage Code requires a Policy Zip Code ('Y'es/'N'o')

Company Record			
Seq. No.	Name	Type	Description
1	Number	Integer	Company Number
2	Name	Char(35)	Company Name

Lloyd's Syndicate Record			
Seq. No.	Name	Type	Description
1	Number	Integer	Syndicate Number
2	Name	Char(35)	Syndicate Name

Tag Code Record			
Seq. No.	Name	Type	Description
1	Code	Char(2)	Tag Code
2	Description	Char(420)	Tag Description

Transaction-Action Code Record			
Seq. No.	Name	Type	Description
1	Trans Type	Char(1)	Transaction Type Code
2	ActionCode	Char(2)	Action Code
3	Description	Char(40)	Transaction Action Code Description

XML File Formats

The tables below show the tag references used for each Master Code record noted:

<ClassCodes> Class Code Records			
Tag	Type	Usage	Description
<Class>	Complex	Multiple	Contains Class Code information.

<Class> Class Code Record			
Tag	Type	Usage	Description
<Code>	Integer	Required	Class Code.
<Description>	Char(70)	Required	Class Code Description.

<Coverages> Coverage Code Records			
Tag	Type	Usage	Description
<Coverage>	Complex	Multiple	Contains Coverage Code information.

<Coverage> Coverage Code Record			
Tag	Type	Usage	Description
<Code>	Integer	Required	Coverage Code.
<Description>	Char(30)	Required	Coverage Description.
<ZipReq>	Char(1)	Required	Policy Zip Code Required (Y/N)

<Companies> Company Records			
Tag	Type	Usage	Description
<Company>	Complex	Multiple	Contains Company information.

<Company> Company Record			
Tag	Type	Usage	Description
<Code>	Integer	Required	Company Number
<Name>	Char(35)	Required	Company Name

<Syndicates> Lloyds Syndicate Records			
Tag	Type	Usage	Description
<Syndicate>	Complex	Multiple	Contains Lloyds Syndicate information.

<Syndicate> Lloyd Syndicate Record			
Tag	Type	Usage	Description
<Code>	Integer	Required	Syndicate Number
<Name>	Char(35)	Required	Syndicate Name

<Tags> Tag Code Records			
Tag	Type	Usage	Description
<Tag>	Complex	Multiple	Contains Tag Code information.

<Tag> Tag Code Record			
Tag	Type	Usage	Description
<Code>	Char(2)	Required	Tag Code
<BriefText>	Char(50)	Required	Brief Tag Description
<FullText>	Char(420)	Required	Full Tag Description

<TransActionCodes> Transaction Action Code Records			
Tag	Type	Usage	Description
<TransAction>	Complex	Multiple	Contains Transaction Action Code information.

<TransAction> Transaction Action Code Record			
Tag	Type	Usage	Description
<TranType>	Char(1)	Required	Transaction Type Code
<ActionCode>	Char(2)	Optional	Action Code
<Description>	Char(40)	Required	Description

Appendix B: Monthly and Annual Report File Requests

Each month-end and year-end, certain reports are produced in a format accessible to Programmatic Filers and made available for download.

The reports that are produced are:

Monthly

- SLRP51 – Detail Policy Activity
- SLRP55 – Invoices
- SLRP58 – Policy Transaction Activity

Annual

- **All Monthly reports**
- SLRP53 – Agent's Annual Report
- SLRP60 – Agent's Annual Premium Summary

The electronic version of each report contains all data elements for each report, including dates, names, transaction types (where noted) and dollar amounts. The information is captured at the detail line level, as well as subtotaled and totaled elements, in the fashion of the report. It is the responsibility of each filer to extract and arrange the data elements in a manner suitable for the business requirements of the filer. See the following sections for the data record layouts for each report.

Both XML and tab-delimited ASCII file formats are available for these downloads. There is no preference or performance gain attributed to the use of one file format over the other.

Report names

Report names are composed of four elements; the report cycle, the date of the report, the report code, and the format type.

Report Cycle

- EOM for end-of-month
- EOY for end-of-year

Report Date

- End-of-month report dates consist of the year and month in the form *yyymm*. For example, 0407 is the April 2004 date.
- End-of-year report dates consist of the century and year, i.e. 2004.

Report Code

- RPT51 – Detail Policy Activity
- RPT55 – Invoices
- RPT58 – Policy Transaction Activity
- RPT53 – Agent's Annual Report
- RPT60 – Agent's Annual Premium Summary

Format Type

- .txt – ASCII tab-delimited
- .xml – XML format

For example:

- **EOM0401RPT51.txt** is the name of the Detail Policy Activity processed month-end January 2004, delivered in the ASCII tab-delimited format.
- **EOY2004RPT60.xml** is the name of the Agent's Annual Premium Summary processed year-end 2004, delivered in the XML protocol.

Report Record Layouts

File Formats

Column headings utilized with the report record layouts below:

SEQ NO

This identifies the Sequence Number of the field and designates the relative location of the corresponding data. An empty field is indicated by two consecutive tab delimiters.

NAME

Provides the Name of the field. This is to aid in identification of the field content. (See the Description column for more details.)

TYPE

Indicates the kind, or type, of data to be included in this field. (See the Data Type Definitions section for more details on this column.)

DESCRIPTION

A narrative explanation of the data contained in the field.

SLRP51 – Detail Policy Activity													
Seq. No.	Name	Type	Description										
1	FromDate	Date	The report date "from" range in form yyyy-mm-dd.										
2	ToDate	Date	The report date "to" range in form yyyy-mm-dd.										
3	AgentName	Char(35)	The Agent name. <i>If there were no transactions for this Agent in this report period, for the ASCII report this field will contain the legend "No records this period."</i>										
4	AgentStatus	Char(10)	Contains either "Expires" or "Cancelled."										
5	AgentStatusEffDate	Date	Agent status expiration or cancellation date in yyyy-mm-dd.										
6	PolicyNo	Char(20)	The policy number.										
7	InsuredName	Char(60)	Contains the Insured name for a detail line. Will contain " Company Totals: " if the record is a Company subtotal; " Agent Totals: " if the record is an Agency total.										
8	CompanyName	Char(35)	The Company name.										
9	TransType	Char(1)	<table border="0"> <tr> <td>'N' = New Policy</td> <td>'I' = Reinstatement</td> </tr> <tr> <td>'R' = Renewal Policy</td> <td>'D' = Document</td> </tr> <tr> <td>'E' = Endorsement</td> <td>'S' = Installment</td> </tr> <tr> <td>'C' = Cancellation</td> <td>'A' = Audit</td> </tr> <tr> <td>'P' = Pending</td> <td></td> </tr> </table>	'N' = New Policy	'I' = Reinstatement	'R' = Renewal Policy	'D' = Document	'E' = Endorsement	'S' = Installment	'C' = Cancellation	'A' = Audit	'P' = Pending	
'N' = New Policy	'I' = Reinstatement												
'R' = Renewal Policy	'D' = Document												
'E' = Endorsement	'S' = Installment												
'C' = Cancellation	'A' = Audit												
'P' = Pending													
10	EffectiveDate	Date	Effective Date in form yyyy-mm-dd.										
11	ExpirationDate	Date	Expiration Date in form yyyy-mm-dd.										
12	EfsFlag	Char(1)	Contains an asterisk (*) if the transaction was entered through the Electronic Filing System.										
13	GrossPremium	Money	Contains gross premium detail amount, or Company or Agent subtotaled or totaled gross premium amount. See InsuredName above.										

14	SurplusTax	Money	Contains Surplus tax detail amount, or Company or Agent subtotaled or totaled Surplus tax amount. See InsuredName above.
15	SurTax	Money	Contains Surtax detail amount, or Company or Agent subtotaled or totaled Surtax amount. See InsuredName above.
16	StampingFee	Money	Contains Stamping fee detail amount, or Company or Agent subtotaled or totaled Stamping fee amount. See InsuredName above.
17	OtherStatesPrem	Money	Other States Premium (OS) for Agent; last record only.
18	ExemptPremium	Money	Exempt Premium (EX) for Agent; last record only.
19	BreakdownStatesPrem	Money	Breakdown of States Premium (BS) for Agent; last record only.
20	AgentLicNo	Char(9)	Agent License Number
21	AgentOther	Char(9)	Agent Other ID
22	Agent License ID	Char(9)	Agent License ID

SLRP55 –Invoice and Past Due			
Seq. No.	Name	Type	Description
1	ReportDate	Integer	The report date in form mmddyy.
2	AgentName	Char(35)	The Agent name. <i>If there were no transactions for this Agent in this report period, for the ASCII report this field will contain the legend "No records this period."</i>
3	AgentContact	Char(35)	The name of the contact person at the Agency
4	AgentAddr1	Char(35)	1 st line of the Agency address
5	AgentAddr2	Char(35)	2 nd line of the Agency address
6	AgentAddr3	Char(35)	3 rd line of the Agency address
7	AgentLicNo	Char(9)	Agent License Number
8	AgentLicId	Char(9)	Agent License ID
9	AgentLicIdTyp	Char(1)	Agent License Id Type: 'C' = Corporate, 'I' = Individual
10	InvoiceYear	Integer(4)	Year Invoice issued in format 2004
11	InvoiceMonth	Integer(2)	Month Invoice issued in numeric format
12	TaxablePremium	Money	Taxable Premium (contains a value in 1 st transaction record only)
13	SurplusTax	Money	Surplus Tax (contains a value in 1 st transaction record only)
14	SurTax	Money	Sur Tax (contains a value in 1 st transaction record only)
15	StampingFee	Money	Stamping Fee (contains a value in 1 st transaction record only)
16	TotalAmountDue	Money	Total Amount Due (contains a value in final transaction record only)
17	PastDueInvoiceDate	Integer(6)	Past Due Invoice Date (contains a value only if there are past due amounts). May be Multiple records.
18	PastDueMonthName	Char(10)	Past Due month name (contains a value only if there are past due amounts). May be Multiple records.
19	PastDueAmount	Money	Past Due Amount for that month (contains a value only if there are past due amounts). May be Multiple records.

SLRP58 –Policy Transaction Activity			
Seq. No.	Name	Type	Description
1	FromDate	Date	The report date "from" range in form yyyy-mm-dd.
2	ToDate	Date	The report date "to" range in form yyyy-mm-dd.
3	AgentName	Char(35)	The Agent name. <i>If there were no transactions for this Agent in this report period, for the ASCII report this field will contain the legend "No records this period."</i>
4	AgentStatus	Char(10)	Contains either "Expires" or "Cancelled."
5	AgentStatusEffDate	Date	Agent status expiration or cancellation date in yyyy-mm-dd.
6	PolicyNo	Char(20)	The policy number.
7	InsuredName	Char(60)	Contains the Insured name for a detail line.
8	CompanyName	Char(35)	The Company name. Will contain the legend " Policy Totals: " if the record is a Policy subtotal; " Agent Totals: " if the record is an Agency total.
9	TransType	Char(1)	'N' = New Policy 'I' = Reinstatement 'R' = Renewal Policy 'D' = Document 'E' = Endorsement 'S' = Installment 'C' = Cancellation 'A' = Audit 'P' = Pending
10	EffectiveDate	Date	Effective Date in form yyyy-mm-dd.
11	ExpirationDate	Date	Expiration Date in form yyyy-mm-dd.
12	EfsFlag	Char(1)	Contains an asterisk (*) if the transaction was entered through the Electronic Filing System.
13	GrossPremium	Money	Contains gross premium detail amount, or Policy or Agent subtotaled or totaled gross premium amount. See CompanyName above.
14	SurplusTax	Money	Contains Surplus tax detail amount, or Policy or Agent subtotaled or totaled Surplus tax amount. See CompanyName above.
15	SurTax	Money	Contains Surtax detail amount, or Policy or Agent subtotaled or totaled Surtax amount. See CompanyName above.
16	StampingFee	Money	Contains Stamping fee detail amount, or Policy or Agent subtotaled or totaled Stamping fee amount. See CompanyName above.
17	OtherStatesPrem	Money	Other States Premium (OS) for Agent; last record only.
18	ExemptPremium	Money	Exempt Premium (EX) for Agent; last record only.
19	BreakdownStatesPrem	Money	Breakdown of States Premium (BS) for Agent; last record only.
20	AgentLicNo	Char(9)	Agent License Number
21	AgentOther	Char(9)	Agent Other ID
22	Agent License ID	Char(9)	Agent License ID

SLRP53 – Agent’s Annual Report

Seq. No.	Name	Type	Description
1	FromDate	Date	The report date “from” range in form yyyy-mm-dd.
2	ToDate	Date	The report date “to” range in form yyyy-mm-dd.
3	AgentName	Char(35)	The Agent name. <i>If there were no transactions for this Agent in this report period, for the ASCII report this field will contain the legend “No Records this period.”</i>
4	DBAName	Char(35)	Agent DBA name.
5	AgentLicNo	Char(9)	Agent License Number.
6	AgentOtherNo	Char(9)	Agent Other Number.
7	AgentLicId	Char(9)	Agent License ID.
8	AgentFEINo	Char(15)	Agent FEI Number.
9	CompanyName	Char(35)	Company Name.
10	CompanyNo	Integer	Company Number.
11	CompanyType	Char(1)	Company Type (A, F, I, L, U).
12	CompanyAdr3	Char(35)	Company Additional Address.
13	CompanyAddnlPremRate1	Money	Additional Premium at rate 1.
14	CompanyAddnlTaxRate1	Money	Additional Tax at rate 1.
15	CompanyAddnlSurTaxRate1	Money	Additional Surtax at rate 1.
16	CompanyReturnPremRate1	Money	Return Premium at rate 1.
17	CompanyReturnTaxRate1	Money	Return Tax at rate 1.
18	CompanyReturnSurTaxRate1	Money	Return Surtax at rate 1.
19	CompanyAddnlPremRate2	Money	Additional Premium at rate 2.
20	CompanyAddnlTaxRate2	Money	Additional Tax at rate 2.
21	CompanyAddnlSurTaxRate2	Money	Additional Surtax at rate 2.
22	CompanyReturnPremRate2	Money	Return Premium at rate 2.
23	CompanyReturnTaxRate2	Money	Return Tax at rate 2.
24	CompanyReturnSurTaxRate2	Money	Return Surtax at rate 2.
25	CompanyNetPrem	Money	Company Net Premium.
26	CompanyNetTax	Money	Company Net Tax.
27	CompanyNetSurTax	Money	Company Net Surtax.
28	AgentAddnlPrem	Money	Agent Additional Premium.
29	AgentAddnlTax	Money	Agent Additional Tax
30	AgentAddnlSurTax	Money	Agent Additional Surtax.
31	AgentReturnPrem	Money	Agent Return Premium.
32	AgentReturnTax	Money	Agent Return Tax.
33	AgentReturnSurTax	Money	Agent Return Surtax.
34	AgentNetPrem	Money	Agent Net Premium.
35	AgentNetTax	Money	Agent Net Tax.
36	AgentNetSurTax	Money	Agent Net Surtax.
37	OtherStatesPrem	Money	Agent Other States Premium (OS).
38	ExemptPrem	Money	Agent Exempt Premium (EX).
39	BreakdownStatesPrem	Money	Agent Breakdown of States Premium (BS).

SLRP60 – Agent’s Annual Premium Summary

Seq. No.	Name	Type	Description
1	ReportDate	Integer	The report date in form mmddyy.
2	AgentName	Char(35)	The Agent name. <i>If there were no transactions for this Agent in this report period, for the ASCII report this field will contain the legend “No Records this period.”</i>
3	AgentLicNo	Char(9)	Agent License Number.
4	AgentLicId	Char(9)	Agent License Id.
5	ReportYear	Integer	The year covered by the report.
6	Month01Name	Char(10)	Month 01 Name.
7	Month01Prem	Money	Month 01 Premium.
8	Month01StateTax	Money	Month 01 State Tax.
9	Month01SurTax	Money	Month 01 Surtax.
10	Month01OtherStates	Money	Month 01 Other States premium (OS).
11	Month01Exempt	Money	Month 01 Exempt premium (EX).
12	Month01BreakdownStates	Money	Month 01 Breakdown of States premium (BS).
13	Month02Name	Char(10)	Month 02 Name.
14	Month02Prem	Money	Month 02 Premium.
15	Month02StateTax	Money	Month 02 State Tax.
16	Month02SurTax	Money	Month 02 Surtax.
17	Month02OtherStates	Money	Month 02 Other States premium (OS).
18	Month02Exempt	Money	Month 02 Exempt premium (EX).
19	Month02BreakdownStates	Money	Month 02 Breakdown of States premium (BS).
20	Month03Name	Char(10)	Month 03 Name.
21	Month03Prem	Money	Month 03 Premium.
22	Month03StateTax	Money	Month 03 State Tax.
23	Month03SurTax	Money	Month 03 Surtax.
24	Month03OtherStates	Money	Month 03 Other States premium (OS).
25	Month03Exempt	Money	Month 03 Exempt premium (EX).
26	Month03BreakdownStates	Money	Month 03 Breakdown of States premium (BS).
27	Month04Name	Char(10)	Month 04 Name.
28	Month04Prem	Money	Month 04 Premium.
29	Month04StateTax	Money	Month 04 State Tax.
30	Month04SurTax	Money	Month 04 Surtax.
31	Month04OtherStates	Money	Month 04 Other States premium (OS).
32	Month04Exempt	Money	Month 04 Exempt premium (EX).
33	Month04BreakdownStates	Money	Month 04 Breakdown of States premium (BS).
34	Month05Name	Char(10)	Month 05 Name.
35	Month05Prem	Money	Month 05 Premium.
36	Month05StateTax	Money	Month 05 State Tax.
37	Month05SurTax	Money	Month 05 Surtax.
38	Month05OtherStates	Money	Month 05 Other States premium (OS).
39	Month05Exempt	Money	Month 05 Exempt premium (EX).
40	Month05BreakdownStates	Money	Month 05 Breakdown of States premium (BS).

41	Month06Name	Char(10)	Month 06 Name.
42	Month06Prem	Money	Month 06 Premium.
43	Month06StateTax	Money	Month 06 State Tax.
44	Month06SurTax	Money	Month 06 Surtax.
45	Month06OtherStates	Money	Month 06 Other States premium (OS).
46	Month06Exempt	Money	Month 06 Exempt premium (EX).
47	Month06BreakdownStates	Money	Month 06 Breakdown of States premium (BS).
48	Month07Name	Char(10)	Month 07 Name.
49	Month07Prem	Money	Month 07 Premium.
50	Month07StateTax	Money	Month 07 State Tax.
51	Month07SurTax	Money	Month 07 Surtax.
52	Month07OtherStates	Money	Month 07 Other States premium (OS).
53	Month07Exempt	Money	Month 07 Exempt premium (EX).
54	Month07BreakdownStates	Money	Month 07 Breakdown of States premium (BS).
55	Month08Name	Char(10)	Month 08 Name.
56	Month08Prem	Money	Month 08 Premium.
57	Month08StateTax	Money	Month 08 State Tax.
58	Month08SurTax	Money	Month 08 Surtax.
59	Month08OtherStates	Money	Month 08 Other States premium (OS).
60	Month08Exempt	Money	Month 08 Exempt premium (EX).
61	Month08BreakdownStates	Money	Month 08 Breakdown of States premium (BS).
62	Month09Name	Char(10)	Month 09 Name.
63	Month09Prem	Money	Month 09 Premium.
64	Month09StateTax	Money	Month 09 State Tax.
65	Month09SurTax	Money	Month 09 Surtax.
66	Month09OtherStates	Money	Month 09 Other States premium (OS).
67	Month09Exempt	Money	Month 09 Exempt premium (EX).
68	Month09BreakdownStates	Money	Month 09 Breakdown of States premium (BS).
69	Month10Name	Char(10)	Month 10 Name.
70	Month10Prem	Money	Month 10 Premium.
71	Month10StateTax	Money	Month 10 State Tax.
72	Month10SurTax	Money	Month 10 Surtax.
73	Month10OtherStates	Money	Month 10 Other States premium (OS).
74	Month10Exempt	Money	Month 10 Exempt premium (EX).
75	Month10BreakdownStates	Money	Month 10 Breakdown of States premium (BS).
76	Month11Name	Char(10)	Month 11 Name.
77	Month11Prem	Money	Month 11 Premium.
78	Month11StateTax	Money	Month 11 State Tax.
79	Month11SurTax	Money	Month 11 Surtax.
80	Month11OtherStates	Money	Month 11 Other States premium (OS).
81	Month11Exempt	Money	Month 11 Exempt premium (EX).
82	Month11BreakdownStates	Money	Month 11 Breakdown of States premium (BS).
83	Month12Name	Char(10)	Month 12 Name.
84	Month12Prem	Money	Month 12 Premium.
85	Month12StateTax	Money	Month 12 State Tax.

86	Month12SurTax	Money	Month 12 Surtax.
87	Month12OtherStates	Money	Month 12 Other States premium (OS).
88	Month12Exempt	Money	Month 12 Exempt premium (EX).
89	Month12BreakdownStates	Money	Month 12 Breakdown of States premium (BS).
90	TotalPrem	Money	Total Premium.
91	TotalStateTax	Money	Total State Tax.
92	Total SurTax	Money	Total Surtax.
93	TotalOtherStates	Money	Total Other States (OS).
94	TotalExempt	Money	Total Exempt Premium (EX).
95	TotalBreakdownStates	Money	Total Breakdown of States Premium (BS).

Sample ASCII SLRP51 Report File

Note: Tabs are represented by vertical bars (" | "). This information was wrapped to Multiple lines and trailing blanks were truncated due to page width constraints.

```
"2005-01-01" | "2005-01-31" | "SURPLUS LINES AGENT" | "Expires" | "2005-12-31" | "POL12345" | "NAMED  
BUSINESS" | "LONDON ASSOCIATES" | "E" | "2005-01-25" | "2006-02-01" | "*" | 22.50 | 1.09 | .00 | .06 | .00 |  
.00 | .00 | " 6 786786" | " S6786786" | " 876876"
```

Sample XML SLRP51 Report File

```
<?xml version="1.0" encoding="UTF-8" ?>  
<SQLResult>  
  <EFDPAXMLW>  
    <FromDate>2005-01-01</FromDate>  
    <ToDate>2005-01-31</ToDate>  
    <AgentName>SURPLUS LINES AGENT</AgentName>  
    <AgentStatus>Expires</AgentStatus>  
    <AgentStatusEffDate>2005-12-31</AgentStatusEffDate>  
    <PolicyNo>POL12345</PolicyNo>  
    <InsuredName> NAMED BUSINESS</InsuredName>  
    <CompanyName> LONDON ASSOCIATES </CompanyName>  
    <TransType>E</TransType>  
    <EffectiveDate>2005-01-25</EffectiveDate>  
    <ExpirationDate>2006-02-01</ExpirationDate>  
    <EfsFlag>*</EfsFlag>  
    <GrossPremium>22.50</GrossPremium>  
    <SurplusTax>1.09</SurplusTax>  
    <SurTax>0.00</SurTax>  
    <StampingFee>0.06</StampingFee>  
    <OtherStatePrem>0.00</ OtherStatePrem>  
    <ExemptPrem>0.00</ExemptPrem>  
    <BreakdownStatesPrem>0.00</ BreakdownStatesPrem>  
    <AgentLicNo>6786786</AgentLicNo>  
    <AgentOther>S6786786</AgentOther>  
    <AgentLicID>876876</AgentLicID>  
  </EFDPAXMLW>
```

In the event there are no transactions for the reporting period, an "empty" XML file will only contain:

```
<?xml version="1.0" encoding="UTF-8" ?>  
<SQLResult />
```