Late Filing

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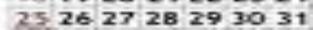
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Veronica Bohannon

Data Services Supervisor

Surplus Lines Stamping Office of Texas



Late Filers Report Changes Through the Years

This report identified New and Renewal transactions appearing to be filed 180 days or more past the policy effective or issue date.

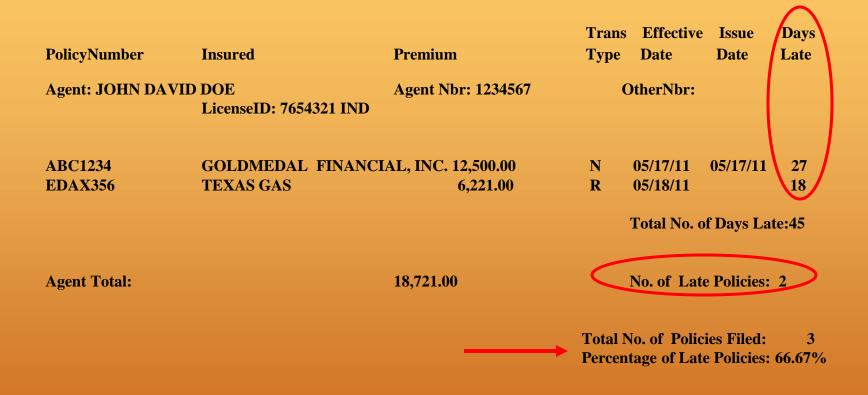
- 2007 Re-entry of reversed transactions were on the report 180 days or more past the policy effective or issue date
- 2008 Re-entry of a reversed transaction was eliminated from the report if there was a match:
 - Agent Policy Number Policy dates (effective & expiration) Total gross amount
- 2009 Same as 2008 report, we changed the match on the premium from total gross amount to premium + policy fee
- 2010 Removed the match on the expiration date. We eliminated transactions that were re-entered after a reversal to correct entries where there were endorsements

2011 Filings

- We excluded re-entered policies by eliminating the expiration date from the "reversal to re-entry" comparison.
- We eliminated any false/positive "late filings" that might be caused by a policy period change endorsement or by unresolved duplicate policy filings.
- We have modified the EFS data base to allow agents to manually enter a Policy ID on reversed transactions for policies with a different:

policy number effective date premium

Surplus Lines Stamping Office of Texas Late Filing Report Policies Processed more than 60 Day(s) after Effective Date/Issue Date Reporting Date - From 08/01/2011 To 08/31/2011



Printed: 09/02/11

SLRP93Mo

SB 1806

Key Provision Permits "Late Filing Fees"

Varying fee amounts depending on: Number of days late and Percentage of total late filings in previous calendar year

Please make sure your Surplus Lines Contacts are up to date with the Stamping Office.



RECONCILE your reports and look for errors.

Do not forget to enter the ISSUE DATE.

Make corrections as SOON AS POSSIBLE. DO NOT WAIT. If you file by paper, notify us of any errors as quickly as possible. AGAIN... DO NOT WAIT.

Have procedures in your own offices pertaining to your agency management system.

ISSUE DATES

1) the issue date shown on the policy or binder

2) the date the policy or binder was received by your office via email, mail, or other electronic transmission. It is a 'provable date' that the policy or binder was issued/received by your office, not the report date.

The issue date is essential if it becomes necessary to show compliance with the 60 day filing

requirement





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Texas Insurance Code

Sec. 15.13 Correct Execution Required for Filing

No report required to be filed under the Texas Insurance Code or these sections relating to surplus lines insurance shall be deemed filed with the department or the Stamping Office unless the documents submitted are *correctly* completed and signed.

Corrections to Monthly Late Filing Report

If you discover transactions listed on the monthly late filing report that you believe appear in error, **please contact us at once**.





Surplus Lines Stamping Office of Texas

MONTHLY LATE FILING REQUEST FOR ADJUSTMENT

Name on Surplus Lines License:	
Surplus Lines License ID#	
Contact Name:	
Contact E-Mail Address:	
Phone Number:	

For Stamping Office Enter Your Items Below: Use Only

Accepted	Not Accepted	Month/Year Late Report	Policy Number	Named Insured

SLSOT Instructions:

- 1. Fill in all information on this form using Microsoft®Word.
- 2. Save form as a Word file, version 2003 or later.
- E-mail completed Word form with supporting documentation to vbohannon@slsot.org. Note: We will only accept this form as an e-mail. Please do not mail or fax.

Need Help? Phone: 800-449-6394 ext. 217

Please e-mail a copy of the completed form (in Word format) & supporting documentation to: <u>whohannon@slsot.org</u>

SLSOT-MoLateFilingAdjustment rev 9-2011

Examples of items that might be "ADJUSTED"

- Date extensions
- Annual installments on multi-year policies
- Re-entry with different policy number, effective date, premium
- Re-entry because of EFS data validation request

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- We cannot make revisions to the number of days late
- We cannot re-run the report
- We do not give written confirmation to the Texas Department of Insurance
 - No "adjustments" will be made because the agent failed to enter an Issue Date



Email Monthly Late Filing Adjustment form and documentation to:

vbohannon@slsot.org

A list of all SLSOT filing forms are located at:

http://www.slsot.org/slsot/agentinformation/filingforms.html

Quick Link to Adjustment Form:

MonthlyLateFilingAdjustmentForm.doc

SLSOT Bulletins can be found at:

www.slsot.org/SLSOT/.../SLSOTBulletins/bulletinshome.html

Contact us 512-346-3274 or Toll free at 800-449-6394 www.slsot.org