

**ALABAMA DEPARTMENT OF INSURANCE
SURPLUS LINES (UNAUTHORIZED) INSURANCE COMPANIES
FILING REQUIREMENTS**

The Items below are due by March 1st of each year:

FEE:

Effective October 1, 2021, as set forth by the Alabama Department of Insurance, all Surplus Lines Insurers are required to submit an **Annual Audit and Examination Fee (Form PR)** in the amount of **\$1,200**. All filings and payments should be remitted electronically through OPTins at <http://www.optins.org/>. **HAND DELIVERY IS NOT ACCEPTABLE.**

FILING:

- **Annual Audit and Examination Statement (Form PR)** is required to be filed along with remittance of payment via OPTins,
- **Surplus Lines (Unauthorized) Insurer Policy Listing** is required to be imported into the online ALDOI Surplus Line System. The system can be accessed via the ALDOI link available in OPTins or ALDOI website at <https://aldoi.gov/SurplusLineWeb/UnauthCoInfoImport.aspx>. **IMPORTANT: DO NOT UPLOAD OR ATTACH WITH THE PR FORM. A zero confirmation may be attached in OPTins as supporting documentation to the Audit and Examination Fee (Form PR).**

INSTRUCTIONS:

The Surplus Lines (Unauthorized) Insurer formatting instructions and excel spreadsheet templates are available in OPTins. An example is located on ALDOI website at <https://aldoi.gov/SurplusLineWeb/UnauthCoInfo.aspx>.

- Surplus Lines (Unauthorized) Insurers Formatting Data File Instructions
[SLUnauthorizedInsurersFormattingDataFileInstructions.pdf \(aldoi.gov\)](#)
- Surplus Lines (Unauthorized) Insurer Policy Listing Data' excel spreadsheet
[UnauthCoInfo - Surplus Lines \(aldoi.gov\)](#)

NOTE: The broker license number field should contain the Alabama licensee number for the **INDIVIDUAL SURPLUS LINE BROKER (not the agency)** that reported and paid taxes to the Alabama Department of Insurance. The letter "A" or preceding "0" is no longer required - license numbers can be up to 12 numbers. -NO DUPLICATE POLICY NUMBERS.

CONTACT PERSONS

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