

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS

Department of Business Regulation

INSURANCE DIVISION

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TDD No. 711

Surplus Line Broker Reports: The following reports are required to be submitted by Surplus Line Broker licensees in RI:

Lead Liability Coverage Reports Due February 1

[Insurance Regulation 101](#), Section 10 enumerates the filing requirements. Surplus Line Brokers shall file on an individual licensee basis utilizing the respective form provided in Exhibit B. Surplus line brokers with no reportable business are required to submit a “zero” report to the Department. The reports shall be sent to the attention of Candace Casala, Senior Insurance Rate Analyst who may be reached at 401-462-9607. The reports may be e-mailed to Ms. Casala at ychts@dbr.state.ri.us or via regular mail at the address noted above.

Surplus Line Broker Annual Reports Due April 1

[R.I. Gen. Laws § 27-3-38](#) (d) and [Insurance Regulation 11](#), Section 7 requires every licensed surplus line broker to report the total number of policies and premium issued in the preceding calendar year utilizing the form provided in Regulation 11, Exhibit C. Please insert licensee name and number to the form when submitting the report. Surplus line brokers with no reportable business are required to submit a “zero” report to the Department. Please submit reports to the attention of Teresa P. DeLuca, Licensing Aide who may be reached at 401-462-9610. The reports may be e-mailed to Ms. DeLuca at dddd@dbr.state.ri.us or via regular mail at the address noted above.

Miscellaneous:

Affidavit by broker forms are NO longer required to be filed with the Department. The surplus line broker is required to maintain the completed affidavit in his/her office. Please see [Insurance Bulletin # 2008-8](#) for additional information.

For questions on surplus line broker licensing and renewals, please contact Lee-Ann Desilets at 401-462-9611 or ldesilets@dbr.state.ri.us

For questions on insurers placed on our approved list of surplus line insurers please contact Matthew DiMaio at 401-462-9612 or cmpny@dbr.state.ri.us

For questions on reporting and payment of surplus line taxes (T-71), please contact the RI Division of Taxation at 401-574-8935 or www.tax.ri.gov

Statutory references: Please see [R.I. Gen. Laws §§ 27-3-38 thru 27-3-41](#), Insurance Regulations 11, 101 and [103](#), and Insurance Bulletin # 2008-8 for additional information.