

STATE OF CONNECTICUT  
INSURANCE DEPARTMENT

**INSTRUCTIONS FOR COMPLETING THE SURPLUS LINES STATEMENT (Form SL-8)**

1. Refers to the licensed surplus lines broker and its' Connecticut license number.
2. Refers to the producing agent and his/her Connecticut license number.
3. Refers to the producing agency and its' Connecticut license number.
4. Indicate the name and location of the risk.
5. Identify the "White List" insurer/s through which the business is written. The White list is available on our web site at [www.ct.gov/cid](http://www.ct.gov/cid). You will find surplus lines insurers among the "List of Licensed Companies, [Approved Reinsurers and Surplus Lines Insurers](#) (pdf 283 kb)". A "k" in the type column will indicate the company is a surplus lines insurer. This list is compiled and maintained by the Financial Regulation Division.
6. Enter the kind of insurance, limits (6a), and Risk Description (6b). "Risk Description" should identify the type of operation or risk (i.e. manufacturer, complex, etc.)
7. Select new or renewal business. Indicate reason for placement (7b) (i.e. coastal homeowner, vacant.)
8. Indicate the premium and the type of payment (8a). The policy period must show specific effective and expiration dates (b). Indicating "one year" or "six months" is not acceptable.
9. In response to question, select yes, no or exportable list. Indicate the amount of the broker service fee assessed in box 9a. Indicate the amount of the producer service fee assessed in box 9b.

Control number must be assigned by the surplus lines broker in numerical sequence, beginning with no. 1, followed by a hyphen and the last two digits of the year of the effective date of the policy. The statement must bear the signatures of the insured and the broker. Failure to adhere to filing deadlines may result in administrative action.

All statements are to be filed with the Quarterly Tax Returns on February 15<sup>th</sup>, May 15<sup>th</sup>, August 15<sup>th</sup> and November 15<sup>th</sup>.

Control No.

### Surplus Lines Statement (Form SL-8)

State of Connecticut  
Insurance Department (Rev. 07/2013)

1. Name and Address of Surplus Lines Broker		
2. Producing Agent (not agency)	2a. CT License No.	
3. Agency Represented	3a. CT License No.	
4. Name and Location on Risk		
5a. Surplus Lines Insurer(s) and NAIC No.		
5b. Surplus Lines Insurer(s) and NAIC No.		
6. Kind of Insurance	6a. Limits	6b. Risk Description
7. Type of Policy _____ New Business or _____ Renewal		7b. Reason for Placement
8. Premium	8a. _____ Term Premium _____ Installment _____ Subject to Audit	8b. Policy Period
9. Does the undersigned broker have on file evidence of declination by three licensed insurers and ineligibility for any residual market mechanism per 38a-741 C.S.G?      ___ Yes    ___ No    ___ Exportable List		
9a. Broker Service Fee		9b. Producer Service Fee

#### STATEMENT BY INSURED

I/We, the named insured, state that on \_\_\_\_\_, I/We directed the licensed producing agent named on this Surplus Lines Statement to obtain insurance coverage described herein; that I/We were informed by said producing agent that he/she made a diligent effort to place this risk with licensed insurers authorized to transact the class of insurance involved and which accept in the usual course of business, insurance on risks of the same class as the risk described herein; and that said companies accepted only part of or no part of the required insurance.

I/We, were further informed by said producing agent that the amount of insurance indicated herein could be obtained from certain insurers not licensed to transact business in the State of Connecticut. I/We therefore directed the producing agent named herein to obtain said insurance through the office of the licensed Surplus Lines Broker named herein. I/We have been advised by the producing agent named herein that such insurance represents only the excess over the amounts procurable from licensed insurers or the Connecticut residual market. I/We have been advised that, in addition to commissions, I/We will be charged a service fee as set out in 9a and 9b.

\_\_\_\_\_  
Signature of Insured

#### STATEMENT BY SURPLUS LINES BROKER

I, as a licensed Surplus Lines Broker, authorized to transact insurance with the surplus lines insurer(s) named on this Surplus Lines Statement, depose and declare under the penalties provided for false statements that the diligent effort has been made to procure said insurance coverage from licensed insurers which are authorized to transact the class of insurance involved and which accept in the usual course of business, insurance on risks of the same class described herein. This insurance has been procured with the surplus lines insurer(s) named on this Surplus Lines Statement, which insurance is only the excess over amounts procurable from licensed insurers.

\_\_\_\_\_  
Signature of Surplus Lines Broker

## Statement of Diligent Effort

Name of Agency: \_\_\_\_\_  
(Full Name of Agency Required)

Has sought to obtain the following type of coverage (include all lines of coverage):

\_\_\_\_\_

For Named Insured: \_\_\_\_\_

From the following authorized insurers currently writing this type of coverage in the state of:

\_\_\_\_\_

1. Authorized Insurer: \_\_\_\_\_ NAIC #: \_\_\_\_\_

a. Person Contacted: \_\_\_\_\_

b. Telephone Number: \_\_\_\_\_ Date of Contact: \_\_\_\_\_

c. The reasons for declination by the insurer were as follows:

\_\_\_\_\_

2. Authorized Insurer: \_\_\_\_\_ NAIC #: \_\_\_\_\_

a. Person Contacted: \_\_\_\_\_

b. Telephone Number: \_\_\_\_\_ Date of Contact: \_\_\_\_\_

c. The reasons for declination by the insurer were as follows:

\_\_\_\_\_

3. Authorized Insurer: \_\_\_\_\_ NAIC #: \_\_\_\_\_

a. Person Contacted: \_\_\_\_\_

b. Telephone Number: \_\_\_\_\_ Date of Contact: \_\_\_\_\_

a. The reasons for declination by the insurer were as follows:

\_\_\_\_\_

***\*Please note the NAIC # is required for the following states: Indiana and Tennessee.***

Signature of Producing Agent: \_\_\_\_\_

Printed Name of Producing Agent: \_\_\_\_\_

License # of Producing Agent: \_\_\_\_\_ State: \_\_\_\_\_