General information:

- The web address for the North Dakota Surplus Lines System is https://apps.nd.gov/NDINS/surpluslines/Login
- The Surplus Lines System has replaced the Report of Placement, SFN 59883
- When entering a filing, there are breadcrumbs across the top that allow you to go back and edit prior screens
- If you choose the Save and Finish Later button, the filing will be saved and can be accessed in the Saved Forms area of the home page
- When entering a filing, click the Cancel button to void the filing and return to the home screen
- To search for a filing, click the Advanced Search in the red bar at the top of the page
- To access the filings submitted for a particular tax year, click the Tax Summary link below Tax Liability on the left side of the home page, select the tax year, and click the Show Policies link under Action
- For questions, please email surpluslines@nd.gov

Creating an account:

1. A North Dakota Online Services login must be created first by clicking the applicable button in the grey box on the Surplus Lines System login page
2. Once an email has been received confirming the ND login, return to the Surplus Lines System login page to associate the new Login ID to a licensed surplus lines producer or agency
    a. Registering a producer will require verification of the producer's name, national producer number (NPN), social security number, and date of birth
    b. Registering an agency will require verification of the agency's name, license number, and federal employer identification number (FEIN)
        i. Agency accounts can enter surplus lines filings on behalf of a producer, as long as the producer has associated themselves to the agency using their individual account

Submitting new and renewal policies:

Note – the system does not allow duplicate policy numbers; if a policy keeps the same number for renewals, an identifier such as "-17" (for the year) should be entered at the end of the policy number

1. In the New/Renewal Policy area of the home screen, select the radio button to choose whether the insured is an Individual or Company
2. Type the insured's name in the Name field

Submitting new and renewal policies (cont.):

3. Click the Create button
4. Complete the information requested on the General Details screen and then click the Continue button
    a. If the risk category is not listed in the drop-down, enter the type of insurance and nature of the business in the box provided
5. Complete the Exempt Commercial Purchaser screen
    a. If the insured is an exempt commercial purchaser as defined by N.D.C.C. § 26.1-44-01.1(3), select the radio for Yes and then click Continue
    b. If the insured is not an exempt commercial purchaser:
        i. Click the radio button for No and click the Choose File button to find and upload the completed Surplus Lines Affidavit, SFN 4818, and then click Continue
        ii. If the affidavit is not available yet, click the radio button to select No – Upload affidavit later and then click Continue
            1. This option will not let you submit the policy filing, but will store the information in the Saved Forms area of the home screen
6. Complete the information requested on the Insurer screen, and then click Continue
7. Complete the information requested on the Location of Risk screen, and then click Continue
    a. If the location of risk is the same as the insured's address, click the Use Insured Address link under Action
    b. For more than 10 risk locations, it is allowable to type in "see attached" in the address line and upload a listing with the affidavit
8. On the Review screen, review the information to ensure its accuracy and also verify the form uploaded is the correct signed and notarized affidavit
    a. If changes are needed, click the Edit link next to the incorrect information, or use the breadcrumbs at the top to go back to the applicable screen
9. Click the Submit button to complete the filing
    a. Print the confirmation page for your records
10. Click Continue to go back to the home screen

Submitting endorsements and audits:

Note – an endorsement to extend the policy term has to be entered as a new policy

1. In the View/Update Policy box, enter the policy number and/or insured's name and click the View/Update button
    a. Another option is to click the Advanced Search button and then enter the search criteria in the next screen

Submitting endorsements and audits (cont.):

2. Click View/Update Policy next to a previous filing for the policy being changed
3. Complete the requested information and click the Continue button
4. Enter the effective date of the change and, if necessary, the approval date, and then click Continue
    a. In accordance with N.D.C.C. § 26.1-44-08(1)(b), the approval date is the date the surplus lines "producer obtained knowledge of the change to the initial placement which changes the insurance premium amount"
    b. Written proof of the approval date must be retained. Examples are:
        i. The policy change document that reflects the issue date
        ii. An email received from the insurer stating the change had been made or the policy change document is attached
5. Verify the location of risk and enter the premium and fee adjustments, entering returned amounts as negative numbers, and then click Continue
6. On the Review screen, review the information to ensure its accuracy
    a. If changes are needed, click the Edit link next to the incorrect information, or use the breadcrumbs at the top to go back to the applicable screen
7. Click the Submit button to complete the filing
    a. Print the confirmation page for your records
8. Click Continue to go back to the home screen

Submitting cancellations:

1. In the View/Update Policy box, enter the policy number and/or insured's name and click the View/Update button
    a. Another option is the click the Advanced Search button and enter the search criteria in the next screen
2. Click View/Update Policy next to a previous filing for the policy being cancelled
3. Verify that the selected policy is the one being cancelled, and click the Create Cancellation button
4. Enter the effective date of the cancellation and, if necessary, the approval date
    a. In accordance with N.D.C.C. § 26.1-44-08(1)(b), the approval date is the date the surplus lines "producer obtained knowledge of the change to the initial placement which changes the insurance premium amount"
    b. Written proof of the approval date must be retained. Examples are:
        i. The policy change document that reflects the issue date
        ii. An email received from the insurer stating the change had been made or the policy cancellation is attached
5. Enter the returned premium and fees as negative numbers, and then click the Continue button

Submitting cancellations (cont.):

6. On the Review screen, review the information to ensure its accuracy
    a. If changes are needed, click the Edit link next to the incorrect information, or use the breadcrumbs at the top to go back to the applicable screen
7. Click the Submit button to complete the filing
    a. Print the confirmation page for your records
8. Click Continue to go back to the home screen

Submitting the Annual Tax Statement:

1. From the home screen, click the Tax Summary link below Tax Liability on the left side
2. Select the applicable year and then click the Generate SFN4824 button
3. If an Excel file is needed, click the Download Summary link under Action to generate a CSV file
4. The Surplus Lines Annual Tax Statement, SFN 17419, also needs to be completed and can be found at http://www.nd.gov/eforms/Doc/sfn17419.pdf
5. The Annual Tax Statement, SFN 17419, and the Annual Placement Report, SFN 4824, both need to be submitted to the North Dakota Insurance Department with payment for the tax due. The forms and payment can be submitted online through OPTins, or the paper forms can be mailed with a check to:

    North Dakota Insurance Department
    600 E Boulevard Ave, Dept 401
    Bismarck, ND 58505-0320