



Surplus Lines & Risk Retention Group Reporting Application User Guide

Accessing the Reporting Application

In order to access the application, users must first create a Gateway user account with the Ohio Department of Insurance (ODI). For instructions on how to create a Gateway account and manage affiliations for the surplus lines agents, agencies and/or risk retention groups you will be reporting premium and tax data on behalf of, click [here](#).

NOTE: User IDs that ODI had previously issued, for example SLTAX12345, can no longer be used to access the reporting application.

To begin reporting, log into the Gateway at <https://gateway.insurance.ohio.gov> using your username and password.

A screenshot of the Ohio Department of Insurance Application Gateway login page. The page features the ODI logo and name in the top left corner, and the Ohio.gov logo and "State Agencies | Online Services" in the top right. The main heading is "Application Gateway" with a sub-heading "Welcome to the Ohio Department of Insurance Application Gateway!". Below this, there are two input fields: "User name" and "Password". Under the "User name" field is a link "Can't remember your user name?". Under the "Password" field is a link "Can't remember, or need to reset, your password?". At the bottom of the form area are two buttons: "Sign In" (blue) and "Create an account" (white). Below the buttons is a link "Still having issues? Additional help is available here."

Figure 1

After you log into the Gateway, you will select the Surplus Lines Reporting Application.

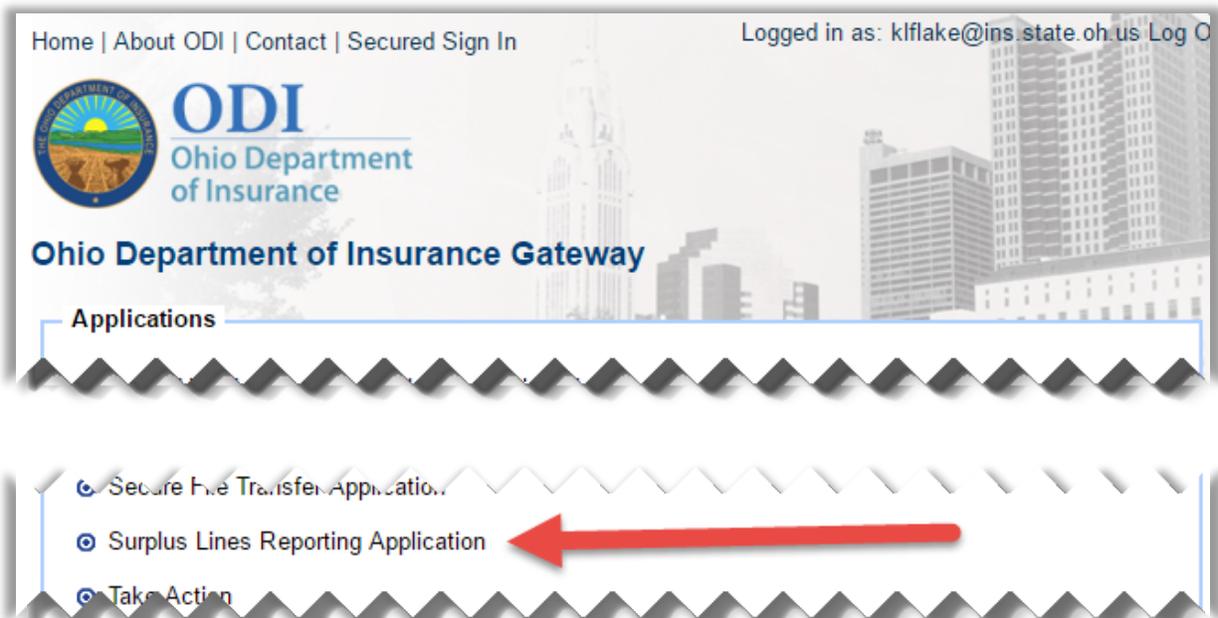


Figure 2

Select the entity affiliation (agent, agency, or risk retention group) for which you are reporting premium and tax data from the list of your currently approved affiliations. The figure below shows a sample screen with entity affiliations. Simply select one and click the Continue button. If you do not see the name of the entity affiliation you wish to report for, you will need to add that entity affiliation (agent, agency, or risk retention group) first. See the instructions [here](#) for managing entity affiliations. **NOTE: Users will not be able to request an affiliation with a risk purchasing group.** When a risk purchasing group uses a surplus lines insurer or risk retention group, the premium and tax data will be reported in the name of the applicable surplus lines agent, agency, or risk retention group.

Ohio.gov | Department of Insurance

ODI Gateway Select Different Entity Log Out

Surplus lines Tax Forms Entity Selection

Below is the list of entities for which you are authorized to report Surplus Lines Business. Please select an entity for reporting.

Select	Entity Name	Entity Type	Entity ID
<input type="radio"/>	American Risk Retention Group	RRG	12345 (NAIC ID)
<input type="radio"/>	Thomas Smith	Agent	1234567 (NPN)

[Continue](#)

Do you have affiliations to entities that you no longer report for? Please send an email to surplus.lines@insurance.ohio.gov to have them removed from your list.

Do you need additional affiliations? Click the button to the right to submit a request. [Request New Affiliation](#)

Figure 3

Verify this is the entity you wish to report for, by clicking on the “This Entity is Correct” button. If you have selected an incorrect entity, click on the “This Entity is Incorrect” button to return to your list of entity affiliations to correct your selection.

Surplus lines Reporting

Please verify the selected entity.

Entity Name: American Risk Retention Group
 Entity Type: RRG
 Entity ID Number: 12345

[This Entity Is Correct](#) [This Entity Is Incorrect](#)

Figure 4

After you confirm the entity affiliation you intend to report for, the next screen provides a link to the user guides. At this point, you can either print out a copy of the user guides or click the **Proceed to Main Menu** button. **NOTE: From this point forward the name of the surplus lines agent, agency or risk retention group you selected appears at the top of the screen as a reminder.**

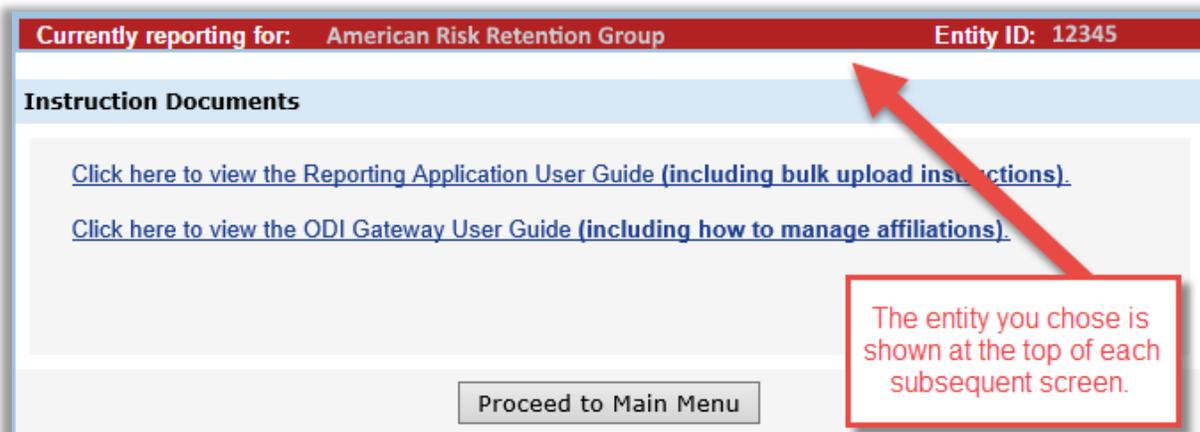


Figure 5

From the Main Menu, you can view most of the lists that appear in the drop-down boxes of the Insert New Record screen—Risk Type List, Insurance Type List & Reason for Exemption List. If desired, you can print these lists out. The Company List button is a link to the current listing of Eligible Surplus Lines Insurers & Risk Retention Groups. Refrain from printing this list since it can change daily.



Figure 6

Inserting A New Record

From the Main Menu screen, click on the **Insert New Record** button to report a policy's premium and tax data. The insert new record screen shown below will appear. You must complete all fields on this screen. The first field to enter is the **Unique Item**

Number. For each record a **Unique Item Number** must be assigned by you. This number may be the policy number or some other identifying alpha-numeric characters of your choice. However, the **Unique Item Number** you choose may only be used **ONCE** during the reporting year.

To report a cancellation, you also click on the **Insert New Record** button. Since the cancellation must also contain a **Unique Item Number**, you are encouraged to use the **Unique Item Number** of the original transaction and add a “C” to the end in order to create the **Unique Item Number** for the cancellation. For example, if your original policy had the **Unique Item Number** of 123, you could insert the cancellation as 123C.

To report premium-bearing policy changes that take place throughout the policy year, you also click on the **Insert New Record** button. Since these changes must also contain a **Unique Item Number**, you are encouraged to use the **Unique Item Number** of the original transaction and add a “-1” or “End1” or similar text to the end of that number to create the **Unique Item Number** for the premium-bearing policy change. For example, if your original policy had the **Unique Item Number** of 123, you could insert the change as 123-1 or 123-End1.

Next enter the name of the **Named Insured**.

If reporting for a surplus lines agent or agency, you will select the name of the surplus lines insurer or risk retention group from the **Insurer Name** drop-down list. If reporting for a risk retention group the **Insurer Name** pre-populates with that particular risk retention group’s name.

Currently reporting for: American Risk Retention Group
Entity ID: 12345

Surplus Lines or RRG On-Line Reporting

Surplus Lines Reporting Form
Complete all fields below.

Unique Item Number

Named Insured

Insurer Name

Reporting Year

Type of Risk

Type of Insurance

City of Risk , OH

County of Risk

Aggregate Limit of Liability \$

Policy Effective (mm/dd/yyyy)

Policy Expiration (mm/dd/yyyy)

Gross Premium \$
Charged
Returned

Tax Amount \$
Taxable
Exempt

5% of Gross Premium

Figure 7

The **Reporting Year** field will only display the current calendar year, except during the months of January, February and March. For these months you will have the option of selecting the prior calendar year or the current calendar year. For example, in January 2018, you could insert records for the reporting year of 2017 or the reporting year 2018. However, the database is locked for the previous calendar year on April 1st. For the remainder of the year, you will only be able to insert records for the current calendar year.

Important – Once the database is locked on April 1st records cannot be inserted for the previous calendar year. Contact Felisa Brown at surplus.lines@insurance.ohio.gov if you discover you have records from the previous calendar year that need corrected, deleted or added after the database locks.

Select the **Type of Risk** the insured represents from the drop-down list.

Select the **Type of Insurance** the policy represents from the drop-down list.

Type the name of city where the insured is located. For multi-city risks enter the city which represents the majority of the Ohio premium in the **City of Risk** field.

Select the applicable county for the insured risk's location. For multi-county risks enter the county which represents the majority of the Ohio premium in the **County of Risk** field. If you are unsure of the county in which a city is located, a quick internet search will provide the answer.

Numbers must be entered in the **Aggregate Limit of Liability**.

Enter the **Policy Effective** and **Policy Expiration** date fields using the MM/DD/YYYY format.

Enter the correct amounts in the **Gross Premium** and **Tax Amount** fields. The **Gross Premium** and **Tax Amount** fields are to be rounded to the nearest cent. For cancellations or premium returns, click on the Returned button and insert the two dollar amounts without the minus sign. **Note:** Never add a minus sign (-) in these two fields.

The user will also indicate whether a risk is taxable or exempt from the surplus lines tax. When the **Exempt** button is selected an additional field appears prompting you to select the reason for the exemption. A risk can only be considered exempt from surplus lines tax if it meets the requirements of ORC 3905.36(C). The tax exemptions are not applicable for a risk retention group.

Once data has been entered in **ALL** fields click the **Add Record** button to save the record.

NOTE: If you forget to click the Add Record button, the record will NOT be successfully entered into the database.

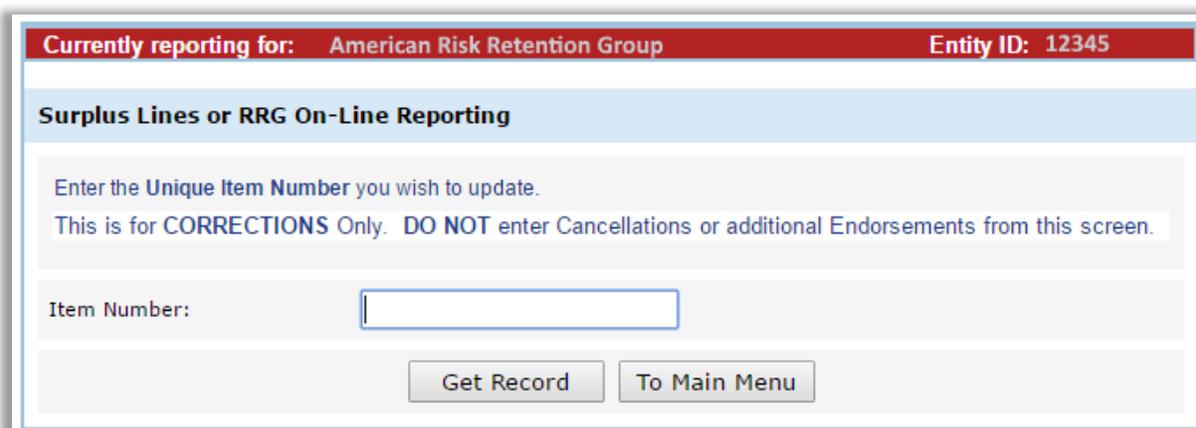
Currently reporting for: American Risk Retention Group		Entity ID: 12345
Surplus Lines or RRG On-Line Reporting		
Surplus Lines Reporting Form		
Complete all fields below.		
Unique Item Number	<input type="text"/>	
Named Insured	<input type="text"/>	
Insurer Name	Columbia National Risk Retention Group Inc ▼	
Reporting Year	2017 ▼	
Type of Risk	Choose One ▼	
Type of Insurance	Choose One ▼	
City of Risk	<input type="text"/> , OH	
County of Risk	Choose One ▼	
Aggregate Limit of Liability \$	<input type="text"/>	
Policy Effective	<input type="text"/> (mm/dd/yyyy)	
Policy Expiration	<input type="text"/> (mm/dd/yyyy)	
Gross Premium \$	Charged <input checked="" type="radio"/> Returned <input type="radio"/>	\$ <input type="text"/>
Tax Amount \$ 5% of Gross Premium	Taxable <input checked="" type="radio"/> Exempt <input type="radio"/>	\$ <input type="text"/>
<input type="button" value="Add Record"/>		<input type="button" value="Main Menu"/>

Figure 8

Updating An Existing Record

From the Main Menu click on the **Update Record** button. From the screen shown below enter the **Unique Item Number** of the record you wish to update and click on the **Get Record** button. The **Unique Item Number** must be entered EXACTLY as it was entered on the original record in order to successfully retrieve the record for updating.

NOTE: The Update Record button IS NOT to be used for processing cancellations or premium-bearing policy changes such as adding an endorsement. To enter a cancellation or a policy change, see the instructions for Inserting A New Record.



Currently reporting for: American Risk Retention Group Entity ID: 12345

Surplus Lines or RRG On-Line Reporting

Enter the **Unique Item Number** you wish to update.
This is for **CORRECTIONS** Only. **DO NOT** enter Cancellations or additional Endorsements from this screen.

Item Number:

Get Record To Main Menu

Figure 9

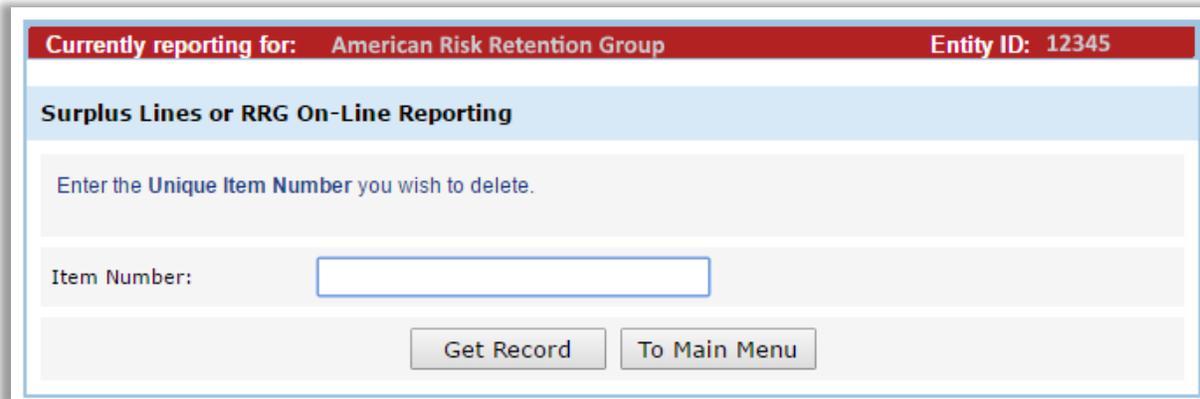
Your record will be displayed with all fields being editable with the exception of the **Unique Item Number**. Make the necessary corrections and click the **Update Record** button to save those updates. To exit without making any updates to the record, click on the Main Menu button. If you want to edit the **Unique Item Number**, you must delete the record and insert a new record.

NOTE: If more than one Gateway account holder is affiliated with the same entity (agent, agency or risk retention group), only the account holder that entered the original record or uploaded the original record is able to update that record.

Important – Once the database is locked on April 1st records cannot be updated from the previous calendar year. Contact Felisa Brown at surplus.lines@insurance.ohio.gov if you discover you have records from the previous calendar year that need corrected after the database locks.

Deleting Existing Records

From the Main Menu click on the **Delete Record** button. From the screen shown below enter the **Unique Item Number** of the record you wish to delete and click on the **Get Record** button.



Currently reporting for: American Risk Retention Group Entity ID: 12345

Surplus Lines or RRG On-Line Reporting

Enter the Unique Item Number you wish to delete.

Item Number:

Get Record To Main Menu

Figure 10

Your record will be displayed. To delete the record click on the **Delete Record** button. To exit without deleting the record click on the **To Main Menu** button.

NOTE: If more than one Gateway account holder is affiliated with the same entity (agent, agency or risk retention group), only the account holder that entered the original record or uploaded the original record is able to delete that record.

Important – Once the database is locked on April 1st records cannot be deleted for the previous calendar year. Contact Felisa Brown at surplus.lines@insurance.ohio.gov if you discover you have records from the previous calendar year that need deleted after the database locks.

Printing Reports

To generate reports of the records entered click on the **Print Submitted Records** button found on the Main Menu screen. The following screen appears.



The screenshot displays a web interface for generating reports. At the top, a red header bar contains the text "Currently reporting for: American Risk Retention Group" on the left and "Entity ID: 12345" on the right. Below this is a light blue bar with the title "SURPLUS LINES AND RISK RETENTION GROUPS REPORT FORM". The main content area is white and contains the instruction "Please select a reporting period option: Current Reporting Year, Previous Reporting Year, or Today." in blue text. Three buttons are stacked vertically in the center: "Current Reporting Year", "Previous Reporting Year", and "Today". A "To Main Menu" button is positioned in the bottom right corner of the form area.

Figure 11

You have three report options. You can choose a report of all records submitted for the current reporting year, records submitted for the previous reporting year or records submitted today.

The report option of the effective date range no longer exists and has been replaced by the previous reporting year option.

NOTE: The reports display ALL records submitted for a specific entity (surplus lines agent, surplus lines agency, or risk retention group) regardless of which Gateway account holder submitted the record.

All report options display the following fields: Unique Item Number, Named Insured, Insurer, Type of Insurance, City of Risk, Aggregate Limit of Liability, Effective Date, Expiration Date, Gross Premium, Tax Amount and Tax Status (T)ax or (E)xempt. Returned amounts of premium and taxes will be displayed with parentheses around the dollar amounts.

As shown below, the generated results of the Current Reporting Year and the Previous Reporting Year options are dependent on the time of year the report is requested.

From April 1st through December 31st, clicking on the Current Reporting Year button generates a report of the current calendar year's records and clicking on the Previous

Reporting Year button generates a historical report of the previous calendar year's records.

For example, on June 1, 2019 by clicking on the Current Reporting Year button, the report generates the records entered thus far for the 2019 reporting year that are due on March 31, 2020. By clicking on the Previous Reporting Year button, a historical report generates the records that were reported for the 2018 reporting year prior to the March 31, 2019 due date.

For the months of January, February and March, the focus of a Gateway account holder is to finish the task of inserting and editing the records of the previous calendar year that must be reported to the Department by March 31st. Thus, clicking on the Current Reporting Year button generates a report of the prior calendar year's records and clicking on the Previous Reporting Year button generates a historical report of the records entered for the calendar year prior to that.

For example, in January of 2019, the account holder is focusing on entering all the 2018 calendar year data for the 2018 reporting year before the March 31, 2019 deadline. By clicking on the Current Reporting Year button, a report generates the records entered thus far for the 2018 reporting year. By clicking on the Previous Reporting Year button, a historical report generates the records that were reported for the 2017 reporting year prior to the March 31, 2018 due date.

The screenshot shows a web interface for reporting. At the top, it says 'Currently reporting for: American Risk Retention Group' and 'Entity ID: 12345'. Below that is the title 'SURPLUS LINES AND RISK RETENTION GROUPS REPORT FORM'. A prompt asks the user to 'Please select a reporting period option: Current Reporting Year, Previous Reporting Year, or Today.' There are three buttons: 'Current Reporting Year', 'Previous Reporting Year', and 'Today'. A 'To Main Menu' button is at the bottom right. Five red callout boxes provide details: 1. 'All reports show records for the selected entity regardless of who entered the records.' 2. 'Current Reporting Year will create a report with records entered for this year if created after March 31. It will show records for the previous year if run between Jan 1 and March 31.' 3. 'Previous Reporting Year will show records for last year if after March 31. Or, two years ago if it is run between Jan 1 and March 31.' 4. 'Today will show records that have been entered today for the selected entity.' 5. 'There is no longer a date range report.'

Figure 12

See the image below on how to print or export the generated report.



Figure 13



Figure 14

Select the appropriate format and click OK.

NOTE: It is recommended that you use the Microsoft Excel 97-2003 (Data Only) format to export the report to an Excel workbook.

Use the program's SAVE AS function to change the file name and save the file to your hard drive.

Surplus Lines Premium Tax Summary Form (INS4001)

On the Main Menu screen you will also find a link to the Surplus Lines Premium Tax Summary Form that is required to accompany the tax payment. This form and your check must be received by March 31st each year for the preceding calendar year. Each year, print the most recent form from the Main Menu or the Department of Insurance website. Do **NOT** use older editions of the form.

NOTE: The form is to be mailed to the State of Ohio Treasurer’s Office. Forms and checks misdirected to the Ohio Department of Insurance may result in late receipt by the Treasurer and thus subject to the late penalty of 25%.

Changing Reporting Entity/Log Out

If you are responsible for reporting for multiple surplus lines agents, agencies, or risk retention groups, you can change the reporting entity without logging out. From any screen, you can click on the **Select Different Entity** link. You will then be returned to the affiliation screen to choose the next applicable entity for reporting. (See Figure 3 for a sample of the affiliation screen)



Figure 15

1. Click the “ODI Gateway” link to return to your list of ODI Gateway applications.
2. Click the “Select Different Entity” link to return to your list of approved affiliations when you are ready to report for a different entity.
3. Click the “Log Out” link when you are finished reporting and ready to log out of the ODI Gateway.

Bulk Upload

Users that have hundreds of records to insert at any one time may want to consider using the bulk upload option. To use the bulk upload option, it is necessary to create a CSV file of the records you intend to upload. The details of how to create the CSV file are located at the end of this User Guide as an Appendix.

NOTE: Before you click on the **Submit Bulk Upload** button you should have already created the **CSV** file you intend to upload.

From the Main Menu screen, click the **Submit Bulk Upload** button. From the screen displayed below, you will click on the Browse button to locate the file you intend to upload. Once you have located the CSV file you intend to upload, highlight the applicable file name and click on the Open button.

The screenshot shows a web application interface. At the top, a red header bar contains the text "Currently reporting for: American Risk Retention Group" on the left and "Entity ID: 12345" on the right. Below this is a light blue title bar with the text "Surplus Lines and Risk Retention Groups Data Upload Form". The main content area has a grey header with the text "Select the location of file to upload:". Below this is a text input field that is currently empty, followed by a "Browse..." button. Below the input field is an "Upload File" button. At the bottom of the main content area, there is a blue italicized note: "**NOTE Please click the upload button once and wait for the upload success message. Clicking the button twice causes duplicate filings to be uploaded.**". Below the note is a "Main Menu" button.

Figure 16

The file name will now appear beside the Browse button as shown below.

This screenshot is identical to Figure 16, but the text input field now contains the file path "C:\Users\klflake\Documents\MarySmith20170410.csv". The "Browse..." button remains to the right of the input field. The "Upload File" button and the blue italicized note are also present, along with the "Main Menu" button at the bottom.

Figure 17

Click on the **Upload File** button. If the upload is successful you will get a message telling you it was successful and how many records were transferred.

If the file had errors in it, the message will identify the errors. You should then correct the errors that exist in the CSV file and attempt to upload the entire file again following the user guide's instructions.

NOTE: A failed upload will reject ALL records of the file, not just the records that contained an error.

Once you receive the message the file was transferred successfully the records are available to view, edit or delete. Click on the **Main Menu** button. Reports can be generated or individual records can be edited or deleted using the buttons on the Main Menu and following the instructions provided earlier for inserting, editing and deleting records.

As explained in the Appendix, the CSV file can contain the records of one or more surplus lines agents, agencies or risk retention groups (entities, collectively). To perform the bulk upload when multiple entities are included in the CSV file, you can select any of your affiliations to be the entity you are reporting for and follow the steps for the bulk upload process. Once you receive the message the file was transferred successfully the records of the entity displayed at the top of the screen are immediately available to view, edit or delete. To view, edit or delete records uploaded through bulk upload or inserted for any other entity, you must click on the **Select Different Entity** link at the top of the screen and choose the applicable entity from your list of affiliations (see Figure 13 and Figure 3).

QUESTIONS REGARDING THE USE OF THIS REPORTING APPLICATION CAN BE DIRECTED TO:

surplus.lines@insurance.ohio.gov



CAUTION: Any deviation from the layout or any errors in the data fields will result in the entire CSV file being rejected.

Instead of inserting records one at a time into the Surplus Lines & Risk Retention Group Reporting Application, users have the option to upload transactions for surplus lines agents, agencies and/or risk retention groups using the bulk upload option. Bulk upload is advantageous to those users that have hundreds of records to insert at one time. If the user only has a few records to enter at any one time, refer to the Inserting New Record section of the Surplus Lines & Risk Retention Group Reporting Application User Guide for instruction.

File type: To use the bulk upload option, users create a comma separated values (CSV) file following the rules and file layout provided below. Users must follow this layout precisely. The file **must** be a CSV file. To create a CSV file, insert the records (see below for the structure) into Excel (or other spreadsheet application). When you save the file, select a file type of CSV.

File name: Please name your file using your Ohio Department of Insurance (ODI) Gateway account (without punctuation), an underscore, and then the date the file is created in YYYYMMDD format. For example, a file created on June 10, 2017 by John.Smith1@odi would be named **johnsmith1_20170610.csv**. This will help you identify the file if you need it in the future, and it will help us identify the file should you need to send it to ODI for any reason.

File contents: The CSV file can contain the records of one or more surplus lines agents, agencies, and/or risk retention groups (entities, collectively). **However**, your Gateway account must have an affiliation to each entity in your CSV file. If necessary, see the [Managing Affiliations User Guide](#) to confirm your list of affiliations or to add to your list of affiliations.

Data Field Rules and Edits

(Not all columns are represented in this section)

Important note: **Do not use commas in your field data!** A CSV file uses commas to separate data fields. Additional commas in the data will cause the structure of the file to be corrupt. Do not put a comma between the insured's last and first names; do not put a comma in the numeric data (a million dollars would be represented as 1000000.00); do not put commas in any other field data. If you were to view your file in Notepad, the only commas you see should separate the data fields.

If leaving any of the optional data fields empty (no data), there will be commas to keep the place of the blank data fields.

ITEM_NUM: The item number field (ITEM_NUM) is an alpha-numeric field and it must contain unique data over the course of the reporting year. If the item number is an exact duplicate of an item number already in the database for the same reporting year, the upload will fail and the **entire file will be rejected. TIP:** Many use the policy number as the item number for the original transaction. For example: OH12345. If later in the reporting year, a premium bearing endorsement is added to the policy, the item number for the additional record could be OH12345End1. If that same policy is later cancelled, the item number for the cancellation record could be OH12345C.

SL_CO_CD: ODI maintains a list of eligible Surplus Lines Insurers and Risk Retention Groups on its website. This list includes a unique ODI ID code number that has been assigned by ODI for each of these eligible insuring entities. This unique ODI ID code number, **not the insurer's NAIC number**, is to be inserted in the SL_CO_CD data field.

Important Note: Many of the entity identification numbers were recently updated. Please refer to the most recent list by clicking [here](#) to ensure you are using the correct ODI ID code number.

DATA_YR: The reporting year (DATA_YR) field **must** contain the current calendar year except for the months of January, February, and March. During these three months, the system will accept either a reporting year of the current calendar year or the previous calendar year. An example would be files submitted in January 2018 can include reporting year of 2017 or 2018.

TERM_DT: The policy expiration date (TERM_DT) must be equal to or greater than the policy effective date (POL_DT) or the **entire file will be rejected.**

Important Note: All dollar amount fields; LIMIT_LIABILITY, GROSS_PREMIUM, and TAX_AMOUNT; **must** only contain numbers. Minus signs (-), dollar signs (\$), and commas will cause the **entire file to be rejected.**

GROSS_PREMIUM_TYPE: The premium type (GROSS_PREMIUM_TYPE) must be either the characters CHRG for new premium/debit or the characters RTN for cancellations/credit.

TAX_AMT: The tax amount (TAX_AMT) must be 5% of the data in the gross premium field (GROSS_PREMIUM) **rounded to the nearest cent** or the **entire file will be rejected.**

TAX_TYPE: The tax type (TAX_TYPE) must be either the characters TAX or EXMP. If the record is tax exempt the tax type (TAX_TYPE) will be EXMP. If the tax type is exempt the exemption code must be entered in the (SL_EXEMPTION_CD) field. If the exemption code is 99 a reason for the exemption must be entered in the

(SL_OTH_EXEMPT) field. Any deviation from this will result in the **entire file being rejected**.

ENTITY_NUM: The entity number represents the entity that sold the insurance; either a surplus lines agent, agency, or a risk retention group. Agents and agencies will enter their NPN number in this column and RRGs will use their NAIC number in this column.

ENTITY_TYPE: This column represents the type of entity identified by the number in the ENTITY_NUM column. The characters Agent, Agency, or RRG are the only valid names that can be entered for this field.

CSV File Data Elements

The table below is organized to show you the Excel columns (A through S as you go left to right) and the data that should be in that column. Items in red have a table below containing valid values for that field. Items in blue have a file on the ODI website that is updated daily. Please see the list [here](#).

Column	Field Name	Data Type	Data Length and/or Format	Required	Field Description
A	ITEM_NUM	Character	25	Yes	This should be a unique number for this organization
B	NAMED_INSRD	Character	75	Yes	This is the insured name
C	SL_CO_CD	Number	5	Yes	This is the surplus lines company ODI Code # (from the ODI website)
D	DATA_YR	Number	4	Yes	Year for which the data is being reported
E	INS_TYPE_CD	Number	2	Yes	Code indicating the type of insurance
F	LOC_RISK_CTY	Character	25	Yes	City of location of risk
G	LIMIT_LIABILITY	Number	13,2	Yes	Liability amount
H	POL_DT	Date	MM/DD/YYYY	Yes	Start date of the policy
I	TERM_DT	Date	MM/DD/YYYY	Yes	End date of the policy
J	GROSS_PREM	Number	13,2	Yes	Gross premium charged
K	GROSS_PREM_TYPE	Character	4	Yes	Gross premium type charged
L	TAX_TYPE	Character	4	Yes	Indicator of tax status
M	TAX_AMT	Number	13,2	Yes	This is the amount of tax reported
N	OH_COUNTY_CD	Number	2	Yes	Ohio county code of the location of risk
O	RISK_TYPE_CD	Number	2	Yes	Code indicating the risk type
P	SL_EXEMPTION_CD	Number	2	No	Code indicating the exemption type
Q	SL_OTH_EXEMPT	Character	75	No	Description of other exemption
R	ENTITY_NUM	Number	N/A	Yes	Agent/agency NPN or RRG NAIC ID
S	ENTITY_TYPE	Character	15	Yes	The type of entity listed in ENTITY_NUM

Codes Reference Tables

Column E: INS_TYPE_CD

Code	Description
1	Fire and Allied Lines
5	Commercial Multiple Peril or Package
9	Inland Marine
11	Medical Malpractice
17	General Liability
18	Liquor Liability
23	Fidelity & Surety
21	Commercial Auto
26	Burglary & Theft
27	Boiler & Machinery
28	Credit
36	Professional Liability
99	Other

Column K: GROSS_PREM_TYPE

Code	Description
CHRG	Premium Has Been Charged to Insured
RTN	Premium Has Been Returned to Insured

Column L: TAX_TYPE

Code	Description
TAX	Taxable Risk Type
EXMP	Exempt RiskType

Column N: OH_COUNTY

Code	County	Code	County	Code	County	Code	County
1	Adams	23	Fairfield	45	Licking	67	Portage
2	Allen	24	Fayette	46	Logan	68	Preble
3	Ashland	25	Franklin	47	Lorain	69	Putnam
4	Ashtabula	26	Fulton	48	Lucas	70	Richland
5	Athens	27	Gallia	49	Madison	71	Ross
6	Auglaize	28	Geauga	50	Mahoning	72	Sandusky
7	Belmont	29	Greene	51	Marion	73	Scioto
8	Brown	30	Guernsey	52	Medina	74	Seneca
9	Butler	31	Hamilton	53	Meigs	75	Shelby
10	Carroll	32	Hancock	54	Mercer	76	Stark
11	Champaign	33	Hardin	55	Miami	77	Summit
12	Clark	34	Harrison	56	Monroe	78	Trumbull
13	Clermont	35	Henry	57	Montgomery	79	Tuscarawas
14	Clinton	36	Highland	58	Morgan	80	Union
15	Columbiana	37	Hocking	59	Morrow	81	Van Wert
16	Coshocton	38	Holmes	60	Muskingum	82	Vinton
17	Crawford	39	Huron	61	Noble	83	Warren
18	Cuyahoga	40	Jackson	62	Ottawa	84	Washington
19	Darke	41	Jefferson	63	Paulding	85	Wayne
20	Defiance	42	Knox	64	Perry	86	Williams
21	Delaware	43	Lake	65	Pickaway	87	Wood
22	Erie	44	Lawrence	66	Pike	88	Wyandot

Column O: RISK_TYPE_CD

Code	Description
1	Construction
2	Entertainment
3	Governmental Entity
4	Hospital, Clinic, Surgery Center, Etc.
5	Hotel/Motel
6	Manufacturing
7	Medical Professional (Physician, Dentist, Nurse, Etc.)
8	Non-medical professional (Architect, Consultant, Lawyer, Etc.)
9	Nursing Home, Long Term Care Facility, Etc.
10	Primary Education (K-12), Daycare
16	Restaurants, Bars, Night Clubs, Etc.
11	Retail
12	Secondary Education (College/University)
13	Trucking

14	Utilities
99	Other

Column P: SL_EXEMPTION_CD

Code	Description
1	Captive
2	Professional or Medical Liability Insurance for Hospital
99	Other

Column S: ENTITY_TYPE

Code	Description
Agent	Reporting Entity is a Surplus Lines Agent
Agency	Reporting Entity is a Surplus Lines Agency
RRG	Reporting Entity is a Risk Retention Group

If you have questions after reviewing the instructions, contact ODI at surplus.lines@insurance.ohio.gov.