

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
Department of Business Regulation

INSURANCE DIVISION

1511 Pontiac Avenue, Bldg. 69-2

Cranston RI 02920

Telephone No. (401) 462-9520

www.dbr.ri.gov

FAX No. (401) 462 9602

TDD No. 711

Surplus Line Brokers

Filing requirements and contact information

Surplus Line Broker Reports:

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

1. 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 fillable form provided in Exhibit B. Once completed, save a copy to your computer and then email the saved copy. Reports must be submitted electronically to DBR.specialreports@dbr.ri.gov. Surplus line brokers with no reportable business are **NOT** required to submit a “zero” report to the Department.

2. 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 fillable form provided in Regulation 11, Exhibit B. Once completed, save a copy to your computer and then email the saved copy. Reports must be submitted electronically to DBR.specialreports@dbr.ri.gov. Surplus line brokers with no reportable business are **NOT** required to submit a “zero” report.

Surplus Line Taxes:

For questions on reporting and payment of surplus line taxes (T-71A), please contact the RI Division of Taxation directly at 401-574-8935 or www.tax.ri.gov. Do NOT send Tax Form T-71A to the Department of Business Regulation-Insurance Division. All tax forms and payments should be mailed to the RI Division of Taxation, One Capitol Hill, Providence, RI 02908.

Miscellaneous:

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

For questions on insurers placed on our approved list of surplus line insurers please contact Jack Kearney at 401-462-9626 or Jack.Kearney@dbr.ri.gov

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 Regulation 11](#) for additional information.

Statutory references: Please see [R.I. Gen. Laws §§ 27-3-38 thru 27-3-41](#), Insurance Regulations [11](#), [101](#) and [103](#), and Insurance Bulletin # [2011-6](#) for additional information.