

# MONTANA SURPLUS LINES SUBMISSION FORM (Excludes Independently Procured Policies)

NOTICE: Complete entire submission form. Do not leave any blanks. Write "NA" if any question is "not applicable." Incomplete submission forms will be returned.

Is this a multi-state risk?  Yes  No      Is Montana the Home State?  Yes  No  
 If Montana is not the Home State, is 100% of the risk located in Montana (entire premium)?  Yes  No  
 If Montana is the Home State, is 100% of the risk located in another state or foreign country (entire premium)?  Yes  No  
 If Montana is not the Home State, the entire risk is out of Montana, or less than 100% of the risk is located in Montana, no filing is required. If Montana is the Home State or if 100% of the risk (entire premium) is located in Montana, the entire premium must be filed with the Montana Commissioner of Insurance.

INSURED: \_\_\_\_\_ POLICY NUMBER: \_\_\_\_\_  
 MT ADDRESS: \_\_\_\_\_ ← MT RISK LOCATION ONLY  
 \_\_\_\_\_ ← MT RISK LOCATION ONLY

<b>IS THIS FILED ON A BINDER?</b> YES <input type="checkbox"/> NO <input type="checkbox"/>
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## Part 1: Affirmation of Producing Insurance Producer Section

The undersigned hereby affirms that the insurance, which is subject to this affirmation, is in accordance with Title 33, Section 33-2-301 et seq., MCA, the Surplus Lines Insurance Law of the State of Montana. The insurance which is the subject of this affirmation was not procured for: 1) The purpose of securing advantages as to the terms of the insurance contract and; 2) the purpose of obtaining a lower premium rate than would be accepted by the authorized insurer except as provided in MCA 33-2-302 (1) (d) (i) and (2). Furthermore: 1) The insurance which is the subject of this affirmation is a line of insurance which appears on the most recent Approved Risk List (ARL) issued by the Commissioner of Insurance; or 2) Immediately before requesting from an unauthorized insurer the insurance which is the subject of this affirmation, I endeavored diligently and unsuccessfully to secure equivalent coverage from authorized insurers holding certificates of authority to transact this line or the full amount of the line of insurance in the State of Montana. and; 3) I am aware that prior to placing the insurance that the surplus lines insurer with whom the insurance is placed is not authorized in this state and is not subject to the same supervision as an authorized insurer; and in the event of the insolvency of the surplus lines insurer, the property and casualty guaranty fund of the state will not pay losses under the surplus lines coverage

Is the risk included on the most recent Approved Risk List?  YES or  NO    If so, in which category? (Ex: GL-01) \_\_\_\_\_

If not included on the most recent ARL describe:      1) Type of Risk \_\_\_\_\_

1a) EXPLAIN in detail why insurance for this risk is unavailable from an authorized insurer: (COMPLETE SENTENCE) \_\_\_\_\_

2) Indicate prior insurer: \_\_\_\_\_ 2a) Explain why the prior insurer, if an authorized insurer, did not renew: \_\_\_\_\_

2b) If a renewal was offered, what was the renewal quote? \_\_\_\_\_ (IF NONE PUT "NONE")

3) Are you filing using the 10% AND \$1500 exception? (33-2-302(1)(d)(i) and (2) MCA) (Y or N) \_\_\_\_\_ (DILIGENT EFFORT IS REQUIRED)

If YES, the financial stability rating system used was \_\_\_\_\_ and the rating was \_\_\_\_\_ as of \_\_\_\_\_ (effective date).

**For Office Use Only:**  
Verified rating

(If YES, you are affirming: 1. I have provided the insured with the disclosure information on the form approved by the Commissioner. 2. The unauthorized market quote was placed with a surplus lines company that is "A" rated or better. 3. The authorized market quote(s) that were used were the lowest premium from the diligent effort. 4. The difference between the authorized market quote(s) and the unauthorized market quote(s) meet both the 10% AND the \$1500 requirements. 5. I listed the lowest quotes obtained from the authorized market search in #4 below.)

4) Is the insured an Exempt Commercial Purchaser?  YES  NO, If "No" List a minimum of **three** authorized insurers you contacted for your diligent efforts to place this insurance,:

A. \_\_\_\_\_ B. \_\_\_\_\_ C. \_\_\_\_\_  
 \$ \_\_\_\_\_ \$ \_\_\_\_\_ \$ \_\_\_\_\_

I, \_\_\_\_\_, I am one and the same person whose name is subscribed below; that I have read the same and know the contents thereof; and that the statement of facts contained herein are true.

Agency Name X	Address of Producing Insurance Producer
Signature of Producing Insurance Producer	Date
	Montana Producer/Agency License #

## PART 2: Montana Surplus Lines Insurance Producer Section

I, \_\_\_\_\_, affirm that: 1) I am the producer that placed this risk with the unauthorized insurer; 2) this line of insurance appears on the most recent Approved Risk List (ARL) issued by the Commissioner of Insurance or that I have, to the best of my ability, attempted to place this line of insurance through an authorized insurer and am unaware of any authorized insurer transacting this line or the full amount of this line of insurance in Montana; and 3) I have complied with MCA 33-2-302.

Printed SL Agency Name or Independently Procured Insured Name X	Address of SL Agency
Signature of SL Lines insurance producer	# _____
Date	MT Surplus Lines License #

## PART 3: Premium / Tax / Fee Information Section- Montana is the Home State – no filing required if MT is not the home state

Name of Unauthorized Insurer(s): \_\_\_\_\_ Loyds Syndicate # \_\_\_\_\_  
 Policy Period From: \_\_\_\_\_ To: \_\_\_\_\_ Limits of Coverage: \$ \_\_\_\_\_  
 If this policy is a multi-year policy with the policy term greater than 12 months, this form is to be completed only in the initial year of the policy. For all Subsequent years report policy premium on the Montana Surplus Lines Multi-Year Policy Premium Form

Policy Premium: \$ \_\_\_\_\_ Fire Premium\*: \$ \_\_\_\_\_  
 Premium Tax: (2.75%) \$ \_\_\_\_\_ Fire Tax (2.50%): \$ \_\_\_\_\_  
 Stamping Fee is 0% if filed electronically:      Inspection Fee: \$ \_\_\_\_\_  
 Personal Lines Surplus Lines Agent fee: \$ \_\_\_\_\_ Commercial Lines Surplus Agents Fee \$ \_\_\_\_\_

**FOR OFFICE USE ONLY:**  
  
ACCEPTED STAMP ONLY

**NOTICE: Effective on July 1, 2015, Montana law allows the surplus lines agent to charge up to a \$50 tax free fee for personal lines and up to a \$100 tax free fee for commercial lines for new and renewal business. Inspection fees for the actual cost of inspecting the risk to be reported on the line above.**

IF FILING ON PAPER SEND: THE ORIGINAL SUBMISSION PLUS 1 COPY AND 1 COPY OF DECLARATION PAGES AND/OR 1 COPY OF THE BINDER. SEND TO: COMMISSIONER OF SECURITIES AND INSURANCE AT 840 HELENA AVENUE, HELENA, MT 59601