



State of Rhode Island
DEPARTMENT OF BUSINESS REGULATION
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Insurance Division

SURPLUS LINE BROKER FILING REQUIREMENTS

Lead Liability Coverage Reports

Due February 1

[230-RICR-20-05-9](#) enumerates the filing requirements. Surplus Line Brokers shall file on an individual licensee basis utilizing the respective fillable form provided in Exhibit B and found in [Insurance Bulletin 2018-11](#). Once completed, save a copy to your computer and then email the saved copy to dbr.specialreports@dbr.ri.gov. Surplus line brokers with no reportable business are NOT required to submit a “zero” report to the Department.

Surplus Line Broker Annual Reports

Due April 1

[R.I. Gen. Laws § 27-3-38 \(d\)](#) and [230-RICR-20-50-1](#) 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 [Insurance Bulletin 2018-9](#). Once completed, save a copy to your computer and then email the saved copy to dbr.specialreports@dbr.ri.gov. Surplus line brokers with no reportable business are NOT required to submit a “zero” report.

OTHER HELPFUL INFORMATION

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 Tax.Corporate@tax.ri.gov. You can also access a copy of the Guide to Tax Filings and Payments for Surplus Lines brokers/licensees by clicking [here](#). **Do not send any tax forms (T-71A) to the Insurance Division.**

For questions on surplus line broker licensing and renewals, please contact the licensing team at the number and email noted above or contact Sandra West at 401-462-9621 or Sandra.West@dbr.ri.gov directly.

For questions on insurers placed on our approved list of surplus line insurers please contact Deb Almeida at 401-462-9542 or Debra.Almeida@dbr.ri.gov.