

SURPLUS LINES AFFIDAVIT

AFFIDAVIT CONTROL NO.

1. Name and Address of Surplus Lines Broker

2. Producing Agent (not agency)		CT Lic. No.	3. Name/Location of Risk
4. Does the undersigned broker have on file evidence of declination by three licensed insurers and ineligibility for any residual market mechanism per 38a-741 C.G.S.? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Exportable List			5. Surplus Lines insurer(s) and associated representative accepting this risk. (1)
6. Kind of Insurance	Limits	Risk Description	Insurer (2)
7. Premium	<input type="checkbox"/> Term Premium <input type="checkbox"/> Installment <input type="checkbox"/> Subject to audit	Policy Period	Insurer _____ Associated Representative

AFFIDAVIT BY INSURED

I/We, the named insured, state that on _____ 20____ I/We directed the licensed producing agent named on this Surplus Lines Affidavit to obtain insurance coverage described herein; that I/We were informed by said producing agent that he made a diligent effort to place this risk with licensed insurers authorized to transact the class of insurance involved and which accept in the usual course of business, insurance on risks of the same class as the risk described herein; and that said companies accepted only part of or no part of the required insurance.

I/We were further informed by said producing agent that the amount of insurance indicated herein could be obtained from certain insurers not licensed to transact business in the State of Connecticut. I/We therefore directed the producing agent named herein to obtain said insurance through the office of the licensed Surplus Lines Broker named herein. I/We have been advised by the producing agent named herein that such insurance represents only the excess over the amounts procurable from licensed insurers or the Connecticut residual market. I/We have been advised that, in addition to commissions, I/We will be charged a service fee as set out in 8a and 8b below.

8a. Broker Service Fee

8b. Producer Service Fee

Signature of Insured

State of _____
County of _____ SS _____ 20____

Personally appeared before me (insured) _____ and made oath that the above affidavit signed by him/her is true to the best of his/her knowledge and belief.

Notary Public

AFFIDAVIT BY SURPLUS LINES BROKER

I, as a licensed Surplus Lines Broker, authorized to transact insurance with the surplus lines insurer(s) named on this Surplus Lines Affidavit, being duly sworn, depose and declare under the penalties provided for false affidavit that a diligent effort has been made to procure said insurance coverage from licensed insurers which are authorized to transact the class of insurance involved and which accept in the usual course of business, insurance on risks of the same class described herein. This insurance has been procured with the surplus lines insurer(s) named on this Surplus Lines Affidavit, which insurance is only the excess over amounts procurable from licensed insurers.

Signature of Surplus Lines Broker

State of _____
County of _____ SS _____ 20____

Personally appeared before me (broker) _____ and made oath that the above affidavit signed by him/her is true to the best of his/her knowledge and belief.

Notary Public



STATE OF CONNECTICUT

INSURANCE DEPARTMENT

INSTRUCTIONS FOR COMPLETING THE SURPLUS LINES AFFIDAVIT

1. Refer to the licensed Surplus Lines Firm that will submit the affidavit to the Insurance Department.
2. Refer to the producing agent and his/her Connecticut license number.
3. Indicate the name and location of the risk.
4. If the risk is an exportable item, C.G.S. 38a-741 does not apply. Check "no" and "exportable". Otherwise, check "yes". The three declinations must be kept in your files and only submitted to this Department upon request.
5. Identify the "White List" insurer through which the business is written. The White List is available on our web site at www.ct.gov/cid.
6. Enter the type of insurance, limits, and "Risk Description". "Risk Description" should identify the type of operation or risk; i.e. manufacturer, vacant building, etc.
7. Indicate the premium and the type of payment. The policy period must show specific effective and expiration dates. Indicating "one year" or "six months" is not acceptable.
8. Indicate the amount of the broker service fee assessed in box 8a. Indicate the amount of the producer service fee assessed in box 8b.

Affidavit control number must be assigned by the surplus lines broker in numerical sequence, beginning with no. 1, followed by a hyphen and the last two digits of the year of the effective date of the policy.

The affidavit must bear the notarized signatures of the insured and the broker. Once completed, each affidavit must be filed with the Insurance Department within 45 days of the inception date of the policy, as per Section 38a-741(b) C.G.S. Failure to adhere to filing deadlines may result in administrative action.

www.ct.gov/cid

P.O. Box 816 Hartford, CT 06142-0816
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