



IMPORTANT NOTICE FOR 2023 REPORTING YEAR -- ANY RECORDS ENTERED INTO THE PRIOR REPORTING APPLICATION FOR REPORTING YEAR 2023 MUST BE RE-ENTERED INTO THIS NEW REPORTING APPLICATION SINCE REPORTING YEAR 2023 RECORDS COULD NOT BE TRANSFERRED.

This document serves as the user guide for the Surplus Lines and RRG Reporting Application for Reporting Years 2023 and later.

Note: EACH person who will be reporting and/or submitting the tax payment on behalf of an agent, agency or risk retention group must have an OH|ID profile.

Click on this link [OH|ID Portal Help | Department of Insurance \(ohio.gov\)](#) to get step by step instructions for completing the OH|ID account creation process and requesting access to the Insurance Application Gateway.

With your new OH|ID account and access to the Insurance Application Gateway, you will want to request access to **Surplus Lines and RRG Reporting Application 2023-External**

If you have an OH|ID account and access to the Insurance Application Gateway, but don't yet have access to **Surplus Lines and RRG Reporting Application 2023-External**, click on the Helpful Link titled "How to Request Additional Access" shown below and follow the outlined steps. Requests for assistance in the set-up process can be directed to GatewayAdmin@insurance.ohio.gov

Ohio Department of Insurance Gateway

Applications

- Agent Health Insurance Exchange Registration
- Annual Report of Ohio Health Insurance Business (LHSurvey)
- Financial Regulations Examiner Billing Application
- Medical Liability Data Collection Application 2022
- Medical Liability Data Collection Application - Admin
- Licensing Education Provider Portal
- Life and Health Actuarial Reserve Analysis Application
- ODIIS - CSD
- ODIIS - Enforcement
- ODIIS - Licensing
- ODIIS - Risk Assessment
- ODIIS - Title Review
- Premium Tax Application
- Provider Complaints - Provider Access
- Provider Complaints - Insurance Company Access
- Secure Applications User Administration
- Surplus Lines Reporting Application
- Surplus Lines and RRG Reporting Application 2023 - External**
- Surplus Lines and RRG Reporting Application 2023 - Admin

Helpful Links and Files

- How to Request Additional Access

Once your OH|ID account and access is set up, the user begins with the instructions on page 2 each time.

Using the Reporting Application:

- Go to ohio.ohid.gov
- Log in using your OH|ID user ID and password.
- From the My Apps view, click the Open App button on the Insurance Application Gateway tile.
- Select **Surplus Lines and RRG Reporting Application 2023-External**

Reporting Application Home Screen (*Figure 1*)

All existing entity affiliations are displayed. The entity affiliations are those agents, agencies, and/or risk retention groups that you have previously indicated the intent to report for and/or pay taxes on behalf of.

If you do not see the name of the entity (agent, agency or RRG) you are to report for and/or pay taxes on behalf of, you will need to add an affiliation with that entity (agent, agency, or RRG). Navigate to the bottom of the screen and select **Click here to add affiliation** at the bottom of the screen. (**Note:** New users will have NO entity affiliations until the user adds them)

If you have individual records to report on behalf of an entity that is listed, simply select the reporting entity by clicking the radio button next to the entity name and clicking the **Add Record** button at the bottom of the screen.

Figure 1

Surplus Lines and RRG Reporting Application
ODL Gateway

Add Record Manage Affiliations Manage Records/Create Invoice Payment Help Logged In As: RSPanick@ins.state.oh.us | Log out

Bulk Upload

Surplus Lines and RRG Reporting Application

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

Surplus Lines and RRG Reporting Entity Selection

Entity Name	Entity Type	Entity ID
<input checked="" type="radio"/> AARON CHARLES LANGLEY	Agent	6229093 (NPN)
<input type="radio"/> ACIG INSURANCE AGENCY INC	Agency	963383 (NPN)
<input type="radio"/> ACRIRANGE, LLC	Agency	19258851 (NPN)
<input type="radio"/> Affiliates Insurance Reciprocal, a Risk Retention Group	RRG	13677 (NAIC ID)
<input type="radio"/> American Trucking and Transportation Insurance Company RRG	RRG	11534 (NAIC ID)
<input type="radio"/> A-One Commercial Insurance Risk Retention Group, Inc.	RRG	15597 (NAIC ID)
<input type="radio"/> AUSTIN MATHEW FEENEY	Agent	16592918 (NPN)
<input type="radio"/> FRANK J REBHOLZ	Agent	357793 (NPN)
<input type="radio"/> HMS INSURANCE ASSOCIATES, INC	Agency	1987204 (NPN)
<input type="radio"/> JEANNE Y HYLANT	Agent	2772084 (NPN)
<input type="radio"/> JEFFREY DALE BRUNKEN	Agent	230563 (NPN)
<input type="radio"/> JOHN D SEAGRAVES	Agent	6581456 (NPN)
<input type="radio"/> MATTHEW W ARNOLD	Agent	2341785 (NPN)
<input type="radio"/> MCGOWAN & COMPANY INC	Agency	957577 (NPN)
<input type="radio"/> NAESIP LLC	Agency	9194766 (NPN)
<input type="radio"/> National Home Insurance Company (A Risk Retention Group)	RRG	44016 (NAIC ID)
<input type="radio"/> NORMAN SPENCER AGENCY LLC	Agency	765601 (NPN)
<input type="radio"/> OBIE INSURANCE GROUP, LLC	Agency	20001929 (NPN)
<input type="radio"/> Titan Insurance Company RRG	RRG	11153 (NAIC ID)

Please select an entity first to Create a Record

Add Record

[Click here to add affiliation.](#)

Manage/Add Affiliations

When the user clicks on the **Click here to add affiliation** link the user is redirected to the Surplus Lines and RRG- User Affiliation screen (*See Figure 2 below*).

(**Note:** The user can also directly access *Figure 2* by clicking on **Manage Affiliations** from the Blue Main Menu Bar)

From **Manage Affiliations**, the user can view the names of ALL persons who are affiliated with the entity (agent, agency or RRG) by clicking on the drop-down/expand button to the left of the entity name.

If you no longer need to be affiliated with a particular entity (agent, agency or RRG), click the Remove button next to your user name. If you notice the name of a former user who no longer requires affiliation, click the **Remove** button next to the user name. The affiliation removal is immediate; it does not require Department of Insurance action. (**Note:** One user must remain affiliated with the entity if there are un-paid records)

Figure 2

Surplus Lines Company and RRG User Affiliations

To create or add to the list of person(s) or entity(ies) you are reporting on behalf of, click on the Add Affiliation Button.

Add Affiliation

Entities and Affiliations

Expand All Collapse All

Export to Excel Search Company Name Clear Filter

Entity Name	Entity Type	Entity ID	Unpaid Records?
▶ AARON CHARLES LANGLEY	Agent	6229093	Yes
▶ ACIG INSURANCE AGENCY INC	Agency	963383	Yes
▶ ACRIRANGE, LLC	Agency	19258851	Yes
▶ Affiliates Insurance Reciprocal, a Risk Retention Group	RRG	13677	Yes

To add an entity (agent, agency, or RRG) for the user to report for and/or pay taxes on behalf of click on the **Add Affiliation** button to bring up the **Surplus Lines- Request Additional Affiliations** screen (*see Figure 3 below*).

Enter the requested information on the screen and click on the **Add Affiliation** button. A successful creation message is displayed on the screen if there are no errors. The affiliation is immediate; it does not require Department of Insurance action. If the entered information is incorrect, the user will be prompted to enter the correct information.

(**Note:** If the user only intends to report/pay using the Agency NPN, do NOT enter the Agent NPN and vice versa. Also, not all users report/pay on behalf of RRGs. If not affiliating with a RRG, leave that row blank.)

Figure 3

Surplus Lines Company and RRG User Affiliations

To create or add to the list of person(s) or entity(ies) you are reporting on behalf of, click on the Add Affiliation Button.

Entities and Affiliations

Expand All Collapse All

Export to Excel

Entity Name

- AARON CHARLES LANGLEY
- ACIG INSURANCE AGENCY
- ACRIRANGE, LLC
- Affiliates Insurance Redipro
- American Trucking and Tran
- AUSTIN MATHEW FEENEY
- FRANK J REBHOLZ
- HMS INSURANCE ASSOCIAT
- JEANNE Y HYLANT
- JEFFREY DALE BRUNKEN

Surplus Lines - Request Additional Affiliations

Please enter the requested information in the appropriate boxes below. If entering more than one affiliation request for the same entity type use commas to separate the numbers.

A RPG's Surplus Lines transactions should be reported by the responsible agent or agency

Agent NPN(s)

Agency NPN(s)

RRG NAIC ID(s)

Add Affiliation Cancel

Successfully created Affiliations.

Unpaid Records?

Yes
Yes
Yes
Yes
Yes
Yes
Yes
Yes
Yes
No
No

1 - 10 of 18 Items

Adding a Record

From the Home Screen (see Figure 1 above) or by clicking on the **Add Record** tab in the Blue Main Menu Bar, the user can add individual records for an entity (agent, agency or RRG). For information regarding the bulk upload feature, refer to page 23.

Select the applicable entity (agent, agency or RRG) and click on the **Add Record** button to report policy level data, including premium.

The top of the entry screen (see Figure 4 below) reminds the user which entity (agent, agency or RRG) is selected. In this example, agent Aaron Langley is being reported on behalf of.

All fields must be completed to save the record. For each record a **Unique Item Number** must be assigned by the user. This number is typically the policy number or some other identifying alpha-numeric characters of the user's choice. However, the exact **Unique Item Number** may only be used **ONCE** during the reporting year. For example, the initial policy is entered as ABC123. A cancellation would be entered as ABC123-C or a premium bearing endorsement would be entered as ABC123-E1.

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 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.

The **Reporting Year** field will only display the current year, except during the months of January, February, and March. For these months you will have the option of selecting the prior year or the current year. For example, in January 2024, you could complete adding records for the 2023 reporting year or begin adding records for the 2024 reporting year. However, the database is locked for the prior year on April 1st. For the remainder of the year, you will only be able to insert records for the current year.

Important – Once the database is locked records cannot be inserted for the prior calendar year. Contact surplus.lines@insurance.ohio.gov if you discover you have records from the prior 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 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 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.

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

An amount must be entered in the **Aggregate Limit of Liability** field.

Enter the correct amount in the **Gross Premium** field as a positive dollar amount. (**Note:** Do **NOT** add a minus sign (-) in the field.)

Indicate if the record's gross premium is being charged or returned by selecting the appropriate **Charged** or **Returned** in the **Gross Premium** drop-down. The reporting application will automatically generate the tax amount of 5% of the gross premium entered. (**Note:** the choice of **Returned** will automatically reflect the premium and tax dollar amounts as negative amounts.)

The user will then indicate whether the premium is **Taxable** or **Exempt** from the drop-down next to **Tax Amount** field.

When **Exempt** is selected, an additional field appears prompting the selection of the reason for the exemption. If the user selects Other, an additional text field appears where the user can enter the reason for selecting Other.

(**Note:** The exemptions from surplus lines tax are indicated in Ohio Revised Code 3905.36(C). An exemption from sales tax as a non-profit does NOT necessarily mean the risk is exempt from surplus lines tax. Also, the exemptions from the tax are not applicable to risks written by a risk retention group.)

Once data has been entered in **ALL** fields click the **Save** button to save the record. A Successful message is displayed on the Add Record screen if record is entered successfully. If you forget to click the **Save** button, the record will **NOT** be successfully entered into the database. If you note during the data entry you are reporting for an incorrect entity or need additional information, click on the **Cancel And Return** button.

Figure 4

The screenshot shows the 'Surplus Lines and RRG Reporting Application' interface. At the top, there's a navigation bar with links: 'Add Record', 'Manage Affiliations', 'Manage Records/Create Invoice', 'Payment', and 'Help'. The user is logged in as 'RSPanick@ins.state.oh.us'. The main heading is 'Surplus Lines and RRG Online Reporting'. Below this, it says 'Currently reporting for: AARON CHARLES LANGLEY' and 'Entity ID: 6229093 (NPN)'. The form contains several input fields: 'Unique Item Number', 'Named Insured', 'Insurer Name' (a dropdown menu), 'Reporting Year' (a dropdown menu), 'Type of Risk' (a dropdown menu), 'Policy Effective Date' (a date picker), 'Type of Insurance' (a dropdown menu), 'Policy Expiration Date' (a date picker), 'City of Risk', and 'County of Risk' (a dropdown menu). At the bottom, there are fields for 'Aggregate Limit of Liability \$', 'Gross Premium \$' (a dropdown menu), 'Tax Amount \$' (a dropdown menu), and a calculated field '5% of Gross Premium'. Two buttons are at the bottom: 'Cancel And Return' and 'Save'. The 'Save' button is highlighted with a red rectangle.

Editing an Existing Record

To edit existing records, click on the **Manage Records/Create Invoice** tab in the Blue Main Menu Bar. From the screen (*see Figure 5 below*) select the **Reporting Entity** from the drop-down to display all the records for that entity.

To locate the record that requires editing, use the Reporting Year and Record Status drop-downs, as well as the filters (funnel) at the top of each data column to search for the record. Additionally, clicking on a data column name will order the records alphabetically or numerically by that data column. Click on the **Edit** button next to the record to edit the selected record.

Note: Not all records can be edited. If a record that has been included in an invoice requires editing, delete the invoice from the **Payment** tab, return to the **Manage Records/Create Invoice** tab, edit the record, and then re-create the invoice. If the user needs assistance with deleting an invoice, refer to later instructions. If a record has been paid for or is from a locked reporting year, the **Edit** button will not display.

Figure 5

The screenshot shows the 'Surplus Lines and RRG Reporting Application' interface. At the top, there's a navigation bar with tabs: 'Add Record', 'Manage Affiliations', 'Manage Records/Create Invoice', and 'Payment'. The 'Manage Records/Create Invoice' tab is active. Below the navigation bar, there's a header section with filters for 'Reporting Entity', 'Reporting Year', and 'Record Status'. The main area displays a table of records. The table has columns: 'Unique Item #', 'Insured Name', 'Reporting Entity', 'Reporting Year', 'Tax Amount', 'Status', 'Invoice Number', and actions ('Edit', 'Clone', 'Delete'). The 'Edit' button is highlighted in yellow for the first record.

Unique Item #	Insured Name	Reporting Entity	Reporting Year	Tax Amount	Status	Invoice Number	Edit Record	Clone Record	Remove Record
3458626	Mike L. Smith	NORMAN-SPENCER AGENCY LLC	2022	(-\$50.00)	New		Edit	Clone	Delete
3458617	Mike L. Smith	AARON CHARLES LANGLEY	2022	\$50.00	New		Edit	Clone	Delete
10203555	James Cameron	FRANK J REBHOLZ	2022	\$40.00	New		Edit	Clone	Delete
10203554	James Cameron	HMS INSURANCE ASSOCIATES, INC	2022	\$30.00	New		Edit	Clone	Delete
10203553	James Cameron	AUSTIN MATHEW FEENEY	2022	\$95.00	New		Edit	Clone	Delete
10203552	Mark Wood	ACIG INSURANCE AGENCY INC	2022	\$110.00	New		Edit	Clone	Delete
10203551	Mark Wood	AARON CHARLES LANGLEY	2022	\$110.00	New		Edit	Clone	Delete
10203550	Mark Wood	AARON CHARLES LANGLEY	2022	\$100.00	New		Edit	Clone	Delete
34154	Mark Brown	MCDOWAN & COMPANY INC	2022	\$44.50	New		Edit	Clone	Delete
34153	Worthington Industries	AUSTIN MATHEW FEENEY	2022	\$120.00	New		Edit	Clone	Delete
34152	Allan Border	AARON CHARLES LANGLEY	2022	\$0.00	Exempt		Edit	Clone	Delete

When the user clicks on the **Edit** button, the record will be displayed with all fields being editable. (*see Figure 6 below*) Make the necessary corrections and click the **Save Record** button to save the updates. A successful update message is displayed on the screen. To exit without making any updates to the record, click on the **Cancel and Return** button.

Figure 6

The screenshot shows the 'Surplus Lines and RRG Reporting Application' interface. At the top, there is a blue navigation bar with links: 'Add Record', 'Manage Affiliations', 'Manage Records/Create Invoice', 'Payment', and 'Help'. The user is logged in as 'RSPanick@ins.state.oh.us'. The main form area is titled 'Surplus Lines and RRG Online Reporting' and contains several input fields and dropdown menus. The fields are organized into sections: a top section for 'Unique Item Number' (3456826), 'Named Insured' (Mike L. Smith), and 'Insurer Name' (Admiral Insurance Company); a middle section for 'Reporting Year' (2022), 'Policy Effective Date' (09/01/2022), 'Policy Expiration Date' (09/30/2022), 'Type of Risk' (Construction), 'Type of Insurance' (Credit), 'City of Risk' (Dublin), and 'County of Risk' (Allen); and a bottom section for 'Aggregate Limit of Liability' (2000000.00), 'Gross Premium' (Returned, -1200.00), and 'Tax Amount' (Taxable, -60.00). At the bottom right, there is a note '5% of Gross Premium'. Two buttons are at the bottom: 'Cancel And Return' (red) and 'Save Record' (green).

Deleting an Existing Record

To delete an existing record, click on the **Manage Records/Create Invoice** tab in the Blue Main Menu Bar. From the screen (*see Figure 5 above*) select the **Reporting Entity** from the drop-down to display all the records for that entity.

To locate the record that requires deleting, use the Reporting Year and Record Status drop-downs, as well as the filters (funnel) at the top of each data column to search for the record. Additionally, clicking on a data column name will order the records alphabetically or numerically by that data column.

Click on the **Delete** button next to the record to delete the selected record. A message prompt is displayed on the screen. Once you click **OK** on the message, the record is deleted.

Deleted records are not viewable by the user, but remain in the Department's database, so an identical Unique Item Number cannot be re-used in the same Reporting Year.

Note: Not all records can be deleted. If a record that has been included in an invoice requires deleting, delete the invoice from the **Payment** tab, return to the **Manage Records/Create Invoice** tab, delete the record, and then re-create the invoice. If the user needs assistance with deleting an invoice, refer to later instructions. If a record has been paid for or is from a locked reporting year, the **Delete** button will not display.

Cloning an Existing Record

This optional feature is available to those who may want to save keystrokes in entering policy renewals, cancellations, or premium adjustments due to audit premiums. Some may find it more efficient to add a new record in lieu of searching for & locating an existing record to clone.

To clone existing records, click on the **Manage Records/Create Invoice** tab in the Blue Main Menu Bar. From the screen (*see Figure 7 below*) select the **Reporting Entity** from the drop-down to display all the records for that entity.

To locate the record to clone, use the Reporting Year and Record Status drop-downs, as well as the filters (funnel) at the top of each data column to search for the record. Additionally, clicking on a data column name will order the records alphabetically or numerically by that data column.

Click on the **Clone** button next to the record to clone the selected record. A new window is displayed (*see Figure 8 below*) with some, but not all, fields pre-populated. The **Unique Item Number** field will have to be edited if the existing and cloned record are for the same reporting year. Make the required changes, enter the missing fields, and click on **Save** to add a new record. A **New Filing Created Successfully** message is displayed on the screen.

Click on the **Cancel and Return** button if the user does not want to save the new record.

Figure 7

Surplus Lines and RRG Reporting Application
ODI Gateway

Add Record Manage Affiliations **Manage Records/Create Invoice** Payment Help System Setup ▾ Logged In As: RSPanick@ins.state.oh.us | Log out

Surplus Lines and RRG Records

The Records page displays all records filed on behalf of your affiliated entities. To view records on behalf of a specific entity, please use the drop-down filter to select. You may further filter by reporting year and record status.

Please select the reporting entity you wish to Create Penalty for first. Once you have selected the reporting entity then click "Create Penalty Record" below.

Reporting Entity: **AARON CHARLES L...** Reporting Year: --Select-- Record Status: --Select--

Create Penalty Record

Export to Excel Clear Filter

	Unique Item #	Insured Name	Reporting Entity	Reporting Year	Tax Amount	Status	Invoice Number	Edit Record	Clone Record	Remove Record
<input type="checkbox"/>	3456817	Mike L Smith	AARON CHARLES LANGLEY	2022	\$60.00	New		Edit	Clone	Delete
<input type="checkbox"/>	10203551	Mark wood	AARON CHARLES LANGLEY	2022	\$110.00	New		Edit	Clone	Delete
<input type="checkbox"/>	10203550	Mark wood	AARON CHARLES LANGLEY	2022	\$100.00	New		Edit	Clone	Delete
<input type="checkbox"/>	34152	Allan Border	AARON CHARLES LANGLEY	2022	\$0.00	Exempt		Edit	Clone	Delete
<input type="checkbox"/>	35140	Matthew M Lucke	AARON CHARLES LANGLEY	2022	\$61.70	New		Edit	Clone	Delete

Figure 8

The screenshot shows a web form titled "Surplus Lines and RRG Online Reporting". At the top, it says "Currently reporting for: AARON CHARLES LANGLEY" and "Entity ID: 6229093". The form is divided into several sections. The first section contains "Unique Item Number" (3456817), "Named Insured" (Mike L Smith), and "Insurer Name" (Acceptance Indemnity Insurance Company). The second section contains "Reporting Year" (a dropdown menu), "Type of Risk" (Secondary Education (College)), "Policy Effective Date" (mm/dd/yyyy), "Type of Insurance" (General Liability), "Policy Expiration Date" (mm/dd/yyyy), "City of Risk" (Columbus), and "County of Risk" (Clark). The third section contains "Aggregate Limit of Liability \$" (2500000.00), "Gross Premium \$" (a dropdown menu), "Tax Amount \$" (a dropdown menu), and a "5% of Gross Premium" field. At the bottom, there are two buttons: "Cancel And Return" and "Save".

Creating an Invoice

Creating invoices and making payments early in the reporting period may result in an overpayment of taxes due to cancellations or return premium transactions later in the reporting year which may necessitate a request for a refund at the end of the reporting year.

Avoid this situation by reporting throughout the year, but just creating ONE invoice per entity (agent, agency or RRG) per reporting year and submitting ONE payment per entity (agent, agency or RRG) per reporting year.

To create an invoice, click on the [Manage Records/Create Invoice](#) tab in the Blue Main Menu Bar. Select the **Reporting Entity** from the drop-down to display all the records for that entity (agent, agency or RRG). Select the appropriate **Reporting Year**.

To easily create an invoice that includes ALL records for the entity and reporting year click the box to the left of the heading labeled **Unique Item #**.

Alternatively, the user can individually check the boxes next to the records that require invoicing.

Any record that is grayed out or does not have a box next to the record for selection is a record for a different reporting year or a record that has been previously invoiced or paid for. (*see Figure 9 below*)

Note: If a record is exempt from surplus lines tax, the tax amount will display as zero. However, ALL exempt records MUST be included in an invoice. Of course, these records have no impact on the taxes owed to Ohio.

Click on the **Create Invoice** button.

Figure 9

The screenshot shows the 'Surplus Lines and RRG Records' interface. At the top, there are filters for 'Reporting Entity' (AARON CHARLES L.), 'Reporting Year' (2022), and 'Record Status' (New). Below the filters is a table of records. The table has columns: Unique Item No., Name, Reporting Entity, Reporting Year, Tax Amount, Status, and Action. The 'Create Invoice' button is located at the bottom left of the table.

Unique Item No.	Name	Reporting Entity	Reporting Year	Tax Amount	Status	Action
3457865c	Mark wood	AARON CHARLES L.	2022	\$0.00	New	Clone, Delete
3457865	Mark wood	AARON CHARLES L.	2022	\$110.00	New	Clone, Delete
3456861	Mark wood	AARON CHARLES L.	2022	\$110.00	New	Clone, Delete
35151	Mark wood	AARON CHARLES L.	2022	\$0.00	Exempt	Clone, Delete

When the **Create Invoice** button is clicked, a **Create Invoice - Review** screen is displayed with the details of the records selected and the total tax amount owed for the selected records included in the specific invoice. (see Figure 10 below)

Note: If the total tax amount owed is a negative amount, also refer to the section in the user guide titled Requesting a Refund.

Click on the **Next** button to add Payee Contact Information. When finished Click on the **Done** button to create an invoice for the selected records. If you change your mind about creating an invoice, click the **Cancel & Close** button. (see Figure 11 below)

Figure 10

The screenshot shows the 'Create Invoice - Review' screen. It has two main sections: 'Review Selected' and 'Payee Contact'. The 'Review Selected' section contains a table of selected records. The 'Payee Contact' section is currently empty. At the bottom, there is a 'Sub-Total' of \$110.00 and a 'Next' button highlighted with a red box.

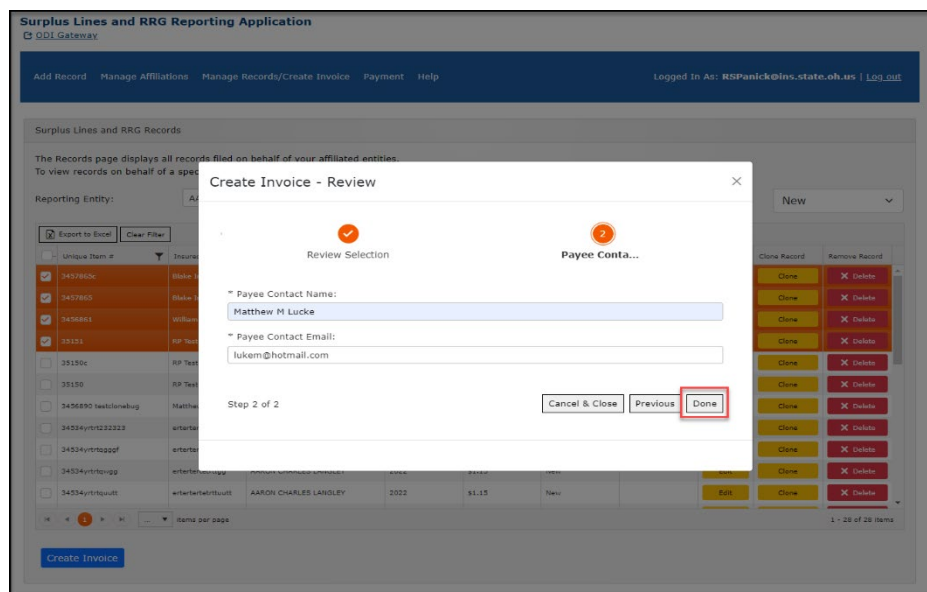
Unique Item No.	Gross Prem. Type	Tax Type	Tax Amount
3457865c	CHRG	EXMP	\$0.00
3457865	CHRG	TAX	\$80.00
3456861	RTH	TAX	(\$-60.00)
35151	CHRG	TAX	\$90.00

Sub-Total: \$110.00

Step 1 of 2

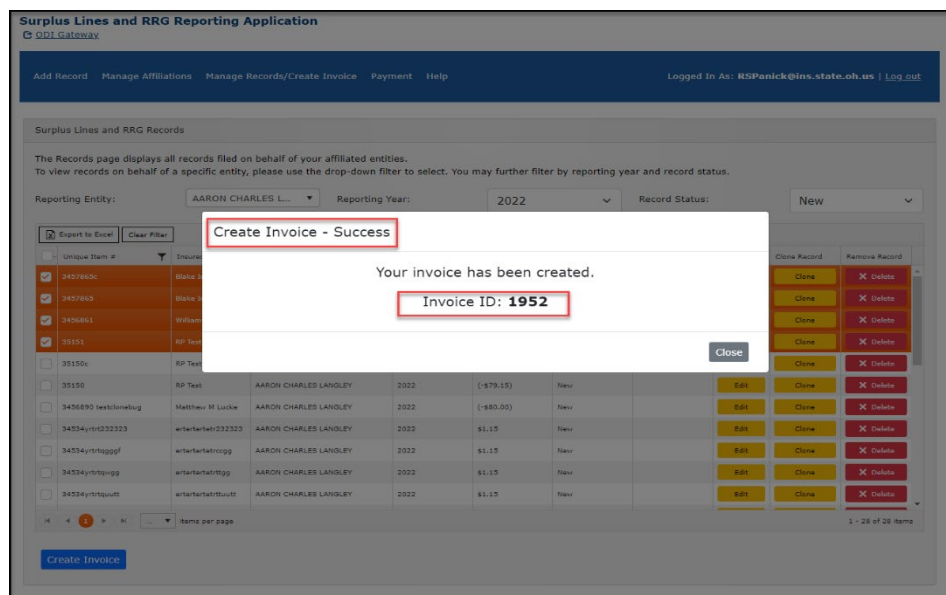
Cancel & Close Next

Figure 11



When the **Done** button is clicked, a successful creation message is displayed on the screen along with a Unique Invoice ID Number. (see *Figure 12 below*)

Figure 12



Note: When you click on the **Manage Records/Create Invoice** tab in the Blue Main Menu Bar, the status of the invoiced records has changed from New to Invoice Created.

Deleting An Un-Paid Invoice

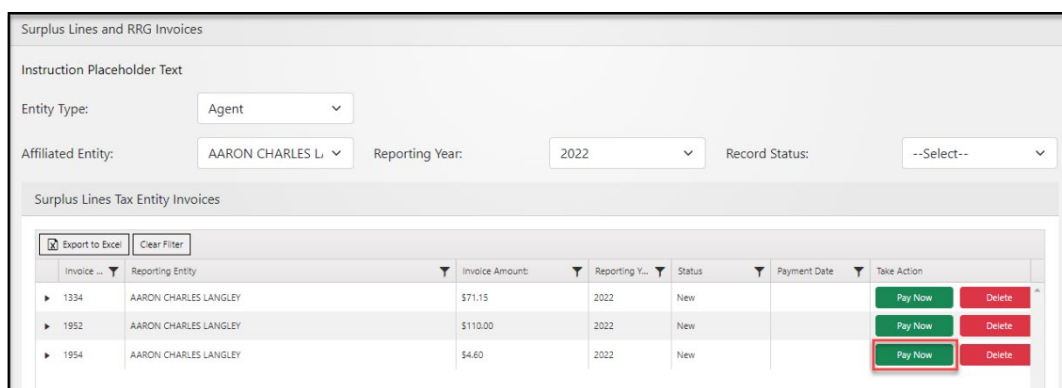
A user may find the need to edit records that are included in an un-paid invoice or perhaps add additional records to an un-paid invoice.

To edit the records or add additional records, the original un-paid invoice must be deleted.

To delete an un-paid invoice, click the **Payment** tab on the Blue Main Menu Bar.

Select the **Entity Type**, **Affiliated Entity** and **Reporting Year**

Figure 13



The screenshot shows the 'Surplus Lines and RRG Invoices' interface. At the top, there are filters for 'Entity Type' (set to 'Agent'), 'Affiliated Entity' (set to 'AARON CHARLES L'), 'Reporting Year' (set to '2022'), and 'Record Status' (set to '--Select--'). Below these filters is a table titled 'Surplus Lines Tax Entity Invoices'. The table has columns for 'Invoice #', 'Reporting Entity', 'Invoice Amount', 'Reporting Y.', 'Status', 'Payment Date', and 'Take Action'. There are three rows of data, all for 'AARON CHARLES LANGLEY' in '2022' with a status of 'New'. The 'Take Action' column for each row contains a green 'Pay Now' button and a red 'Delete' button. The 'Delete' button for the third row (Invoice # 1954) is highlighted with a red box.

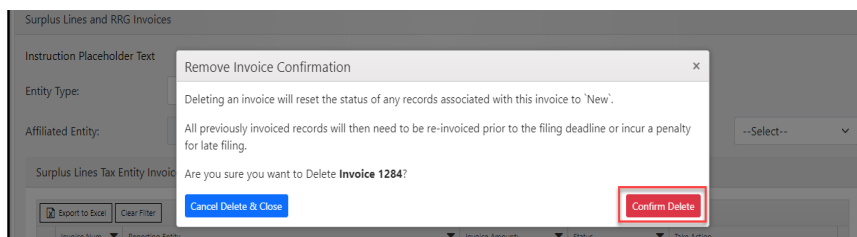
Invoice #	Reporting Entity	Invoice Amount	Reporting Y.	Status	Payment Date	Take Action
1334	AARON CHARLES LANGLEY	\$71.15	2022	New		<button>Pay Now</button> <button>Delete</button>
1952	AARON CHARLES LANGLEY	\$110.00	2022	New		<button>Pay Now</button> <button>Delete</button>
1954	AARON CHARLES LANGLEY	\$4.60	2022	New		<button>Pay Now</button> <button>Delete</button>

The user clicks on the **Delete** button to delete the invoice. (see *Figure 13 above*) A Remove Invoice Confirmation pop-up is displayed when the **Delete** button is clicked. (see *Figure 14 below*)

If the **Confirm Delete** button is clicked, the invoice is deleted and all records return to a status of New. The user can return to the **Manage Records/Create Invoice** tab in the Blue Main Menu Bar to edit or delete the records and/or create an invoice to include all records that remain un-invoiced or un-paid.

The user can select the **Cancel Delete & Close** button if clicking the **Delete** button was done in error.

Figure 14



The screenshot shows the 'Remove Invoice Confirmation' pop-up dialog box. The dialog box has a title bar with a close button (X). The main text reads: 'Deleting an invoice will reset the status of any records associated with this invoice to 'New'. All previously invoiced records will then need to be re-invoiced prior to the filing deadline or incur a penalty for late filing. Are you sure you want to Delete Invoice 1284?'. At the bottom of the dialog box, there are two buttons: a blue 'Cancel Delete & Close' button and a red 'Confirm Delete' button. The 'Confirm Delete' button is highlighted with a red box.

Paying An Invoice

All tax payments must be submitted electronically. Taxes are no longer paid via a paper check.

The person who performs the task of paying an invoice must have access to the checking or savings account information of the entity (agent, agency or RRG). Credit card payments are not permitted.

If the entity (agent, agency or RRG) does not want all persons affiliated with the entity to have access to checking or savings account information, the reporting application accommodates this security need.

The checking or savings account information is **NOT** stored by the reporting application after payment, so other users affiliated with the entity (agent, agency or RRG) will **NOT** have access to checking or savings account information.

To pay an invoice, click the **Payment** tab on the Blue Main Menu Bar.

The invoice screen appears. (see *Figure 17 below*) Select the **Entity Type**, **Affiliated Entity** and **Reporting Year** using the drop-downs.

Figure 17

Surplus Lines and RRG Invoices

Instruction Placeholder Text

Entity Type: Agent

Affiliated Entity: AARON CHARLES L... Reporting Year: 2022 Record Status: --Select--

Surplus Lines Tax Entity Invoices

Export to Excel Clear Filter

Invoice ...	Reporting Entity	Invoice Amount	Reporting Y...	Status	Payment Date	Take Action
▶ 1334	AARON CHARLES LANGLEY	\$71.15	2022	New		<button>Pay Now</button> <button>Delete</button>
▶ 1952	AARON CHARLES LANGLEY	\$110.00	2022	New		<button>Pay Now</button> <button>Delete</button>
▶ 1954	AARON CHARLES LANGLEY	\$4.60	2022	New		<button>Pay Now</button> <button>Delete</button>

1 - 3 of 3 items

If desired, the user can click on the drop-down/expand arrow to the left of the invoice number to display the invoice details. If desired, the details can be exported by clicking on the **Export to Excel** button. (see [Figure 18 below](#))

[Figure 18](#)

Surplus Lines and RRG Invoices

Instruction Placeholder Text

Entity Type: Agent

Affiliated Entity: AARON CHARLES L. Reporting Year: --Select-- Record Status: --Select--

Surplus Lines Tax Entity Invoices

Export to Excel Clear Filter

Invoice Num...	Reporting Entity	Invoice Amount	Status	Take Action
1141	AARON CHARLES LANGLEY	\$270.00	New	Pay Now Delete
1145	AARON CHARLES LANGLEY	\$4.60	New	Pay Now Delete

Invoice: 1145 Details

Unique Item	Entity NPN/NAIC ID	Record Reporting Year	Tax Amount
34534yrttquutt	6229093	2022	\$1.15
34534yrttqugg	6229093	2022	\$1.15
34534yrttqgggf	6229093	2022	\$1.15
34534yrtttttre	6229093	2022	\$1.15

1 - 5 of 5 items

An unpaid invoice will have a status of New. Click on the **Pay Now** button of the unpaid invoice. Click on the **Pay Electronically** button. (see [Figure 19 below](#))

[Figure 19](#)

Surplus Lines and RRG Invoices

Instruction Placeholder Text

Entity Type: Agent

Affiliated Entity: AARON CHARLES L. Reporting Year: --Select-- Record Status: --Select--

Surplus Lines Tax Entity Invoices

Export to Excel Clear Filter

Invoice	Reporting Entity	Invoice Amount	Reporting Y.	Status	Payment Date	Take Action
1334	AARON CHARLES LANGLEY	\$71.15	2022	New		Pay Now Delete
1952	AARON CHARLES LANGLEY	\$110.00	2022	New		Pay Now Delete
1954	AARON CHARLES LANGLEY	\$4.60	2022	New		Pay Now Delete

Payment Options

Invoice ID: 1954

Payment Amount: \$4.60

Pay Electronically

Enter the information for the checking or savings account from which the tax payment will be paid (see [Figure 20 below](#)) and click the **Submit** button; otherwise click the **Cancel** button if the user reached this screen in error.

Figure 20

The screenshot shows a modal window titled "Enter New Account" with a "BETA" label in the top right corner. The form contains the following fields and options:

- Name: Aaron Charles Langley
- Account Number: 00110150
- Branch: 74123
- Account Type: 74123
- Payment Method: ☒ Checking ☐ Savings
- Buttons: Cancel, Submit

The background shows a blurred view of the "Surplus Lines and RRG Invoices" interface.

Click on **Confirm Payment** button. (see Figure 21 below)

Figure 21

The screenshot shows a "Payment Options" dialog box overlaid on the "Surplus Lines and RRG Invoices" interface. The dialog box contains the following information:

- Invoice ID: 1954
- Payment Amount: \$4.60
- Buttons: Confirm Payment Checking ... 4123

The background shows the "Surplus Lines and RRG Invoices" interface with a table of invoices.

A printable Payment Receipt is generated (see Figure 22 below) along with a message indicating the payment was successful. The status of the invoice and associated records will change from New to Paid.

Figure 22

The screenshot shows a "Payment Receipt" modal window with a "Successful" status. The receipt includes the following details:

- TransactionNumber: 86
- InvoiceNumber: 1954
- ReportingEntity: AARON CHARLES LANGLEY
- Amount: \$4.60
- Name: Aaron Charles Langley
- PaymentType: checking

The background shows the "Surplus Lines and RRG Reporting Application" interface.

Requesting A Refund

If the user creates an invoice where the amount is negative, a refund may eventually be owed to the entity (agent, agency or RRG). When applicable, a warrant (check) must be issued and mailed by the State of Ohio.

To view created invoices, click the **Payment** tab on the Blue Main Menu Bar. The invoice screen appears. Select the **Entity Type**, **Affiliated Entity** and **Reporting Year** using the drop-downs.

When an invoice results in a negative amount the **Request Refund** button is displayed. (*see Figure 23 below*)

Figure 23

The screenshot displays the 'Surplus Lines and RRG Reporting Application' interface. At the top, there is a blue navigation bar with links: 'Add Record', 'Manage Affiliations', 'Manage Records/Create Invoice', 'Payment', and 'Help'. The user is logged in as 'RSPanick@ins.state.oh.us'. Below the navigation bar, the main content area is titled 'Surplus Lines and RRG Invoices'. It includes an 'Instruction Placeholder Text' section with filters for 'Entity Type' (set to 'Agency'), 'Affiliated Entity' (set to 'NAESIP LLC'), 'Reporting Year' (set to '2021'), and 'Record Status' (set to '--Select--'). Below these filters, there is a table titled 'Surplus Lines Tax Entity Invoices'. The table has columns: 'Invoice ...', 'Reporting Entity', 'Invoice Amount:', 'Reporting Y...', 'Status', 'Payment Date', and 'Take Action'. A single row is visible with '1170' as the invoice number, 'NAESIP LLC' as the reporting entity, and an invoice amount of '(-\$60.00)'. The status is 'New'. In the 'Take Action' column, there are two buttons: 'Request Refund' (highlighted with a red box) and 'Delete'.

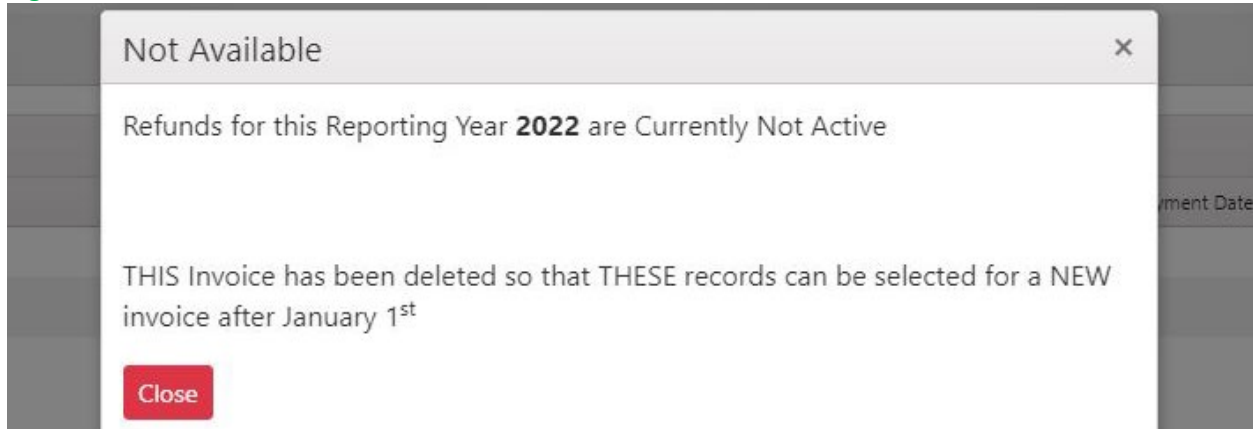
If the user realizes ALL reporting for the entity (agent, agency, or RRG) has **NOT** been completed for the reporting year, click on the **Delete** button. The invoice will be deleted, and all records associated with the invoice will return to a status of New. An invoice can be created later that includes ALL records once reporting has been completed.

If the user realizes un-paid invoices or un-invoiced records for the entity (agent, agency, or RRG) for the identical reporting year exist, click on the **Delete** button for all un-paid invoices. The invoices will be deleted, and all records associated with the invoices will return to a status of New. One invoice can be created that includes ALL records once reporting has been completed.

When the user clicks on the **Request Refund** button, one of three things will happen.

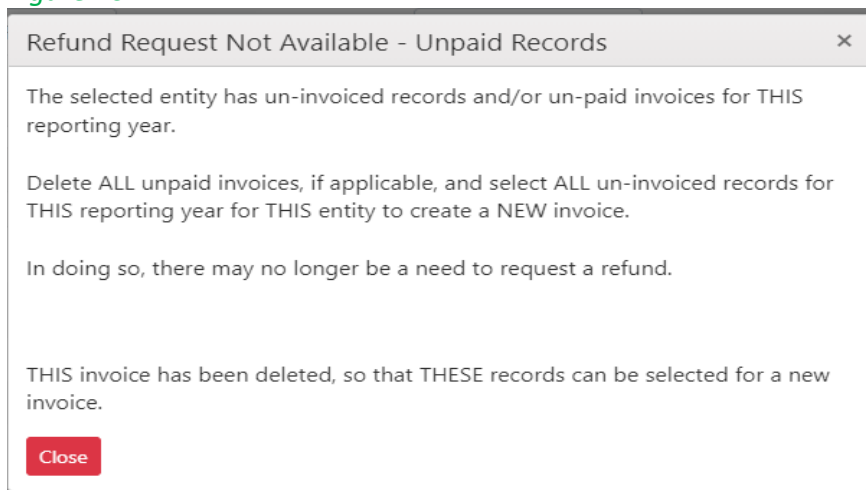
- (1) If the reporting year and calendar year are identical, a message appears (*see Figure 24 below*) indicating such request cannot be processed. The invoice will be deleted and the records will return to a status of New. An invoice can be created after January 1st once it is certain that ALL reporting for the entity (agent, agency or RRG) has been completed for the reporting year.

Figure 24



- (2) If there are unpaid records or unpaid invoices for the identical reporting year, a message appears (*see Figure 25 below*) indicating such request cannot be processed. The invoice will be deleted and the records associated with that invoice will return to a status of New. The user should click the **Delete** button for all un-paid invoices for the entity (agent, agency, or RRG) for the identical reporting year. All records associated with the invoices will return to a status of New. One invoice can then be created that includes ALL records for the reporting year for the reporting entity (agent, agency, or RRG). If the invoice results in monies owed, refer to the user guide section labeled Paying An Invoice.

Figure 25



- (3) If there are no unpaid records and no unpaid invoices for the identical reporting year for the entity (agent, agency, or RRG) and the reporting year and the calendar year are not identical, the user can proceed to request a refund. Click on the **Submit Request** button (see Figure 26 below) to provide the required information on the next two screens and click the **Done** button. (see Figures 27 and 28 below)

Figure 26

The screenshot shows a web application interface with a modal dialog box titled "2021 Refund Request". The dialog box contains the following text: "You may submit this as a refund request for", "Invoice Number: 1170", "Invoice Refund Amount: -60.00", and "Please select the 'Submit Request' Button below to start processing your refund request." At the bottom of the dialog box, there are two buttons: "Cancel & Close" and "Submit Request". The background shows a sidebar with "Surplus Lines and RRG Invoices" and "Surplus Lines Tax Entity Invoices" sections, and a main content area with a table of invoices.

Figure 27

The screenshot shows a web application interface with a modal dialog box titled "Refund Request - Contact Details". The dialog box is divided into two steps: "1 Refund Contact ..." and "2 Refund Address I...". The first step is active and contains the following fields: "* Refund Contact Name:" with the value "Matthew M Lucke", "* Refund Contact Email:" with the value "lukem@hotmail.com", and "* Refund Contact Phone:" with the value "876-567-4567". At the bottom of the dialog box, there are three buttons: "Cancel & Close", "Previous", and "Next". The "Next" button is highlighted with a red border. The background shows a sidebar with "Add Record" and "Manage Affiliations" sections, and a main content area with a table of invoices.

Figure 28

The screenshot shows a web application interface with a modal window titled "Refund Request - Contact Details". The modal is divided into two main sections: "Refund Contact Information" (marked with a checkmark icon) and "Refund Address Information" (marked with a "2" icon). The "Refund Contact Information" section includes a field for "MAKE REFUND CHECK PAYABLE TO:" with the value "Mathew M Luke". The "Refund Address Information" section includes fields for "MAIL REFUND CHECK TO:" with the following values: "Address Line 1: 456 Morris lane", "Address Line 2: Address 2", "Address Line 3: Address 3", "ATTN: Mathew Luke", "City: columbus", "State: OH", and "Zip Code: 43235". At the bottom of the modal, it says "Step 2 of 2" and has buttons for "Cancel & Close", "Previous", and "Done". The background shows a sidebar with "Surplus Lines and RRG Invoices" and a table with columns for "Invoice", "Reporting Entity", and "Take Action".

Once the request is submitted, a successful refund request submission message is displayed. (see Figure 29 below)

Figure 29

The screenshot shows a web application interface with a modal window titled "Refund Request Submission Completed". The modal contains the text "Your Refund Request has been created succesfully." and a "Close" button. The background shows the same sidebar and table as Figure 28.

The status of the records and invoice will update from New to Refund Request Under Review. Once the refund request has been reviewed and approved by the Department, the status on the payment screen will change to Refund Approved. Once the warrant (check) is issued by Treasurer of State and mailed, the status is changed to Refund Issued. **Note: Refunds are issued after all auditing is complete, NOT immediately following approval.**

Generating/Printing Reports:

Throughout the reporting application, there is an **Export to Excel** button that can be used.

For example, from the [Manage Records/Create Invoice](#) tab, the user can select from the drop-downs and filters to achieve the desired output and then click the **Export to Excel** button on the screen. Click Open File on the download to display the report in Excel. From Excel, the user can choose to print or save the results.

(see [Figures 30, 31, and 32 below](#))

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.

Figure 30

Surplus Lines and RRG Reporting Application
ODI Gateway

Add Record Manage Affiliations Manage Records/Create Invoice Payment Help

Logged In As: RSPanick@ins.state.oh.us | Log out

Surplus Lines and RRG Records

The Records page displays all records filed on behalf of your affiliated entities.
To view records on behalf of a specific entity, please use the drop-down filter to select. You may further filter by reporting year and record status.

Reporting Entity: AARON CHARLES L... Reporting Year: 2022 Record Status: New

Export to Excel Clear Filter

Unique Item #	Insured Name	Reporting Entity	Reporting Year	Tax Amount	Status	Invoice Number	Edit Record	Clone Record	Remove Record
35140	Matthew M Lucke	AARON CHARLES LANGLEY	2022	\$61.70	New		Edit	Clone	Delete
34534yrttrccv	erttertertccv	AARON CHARLES LANGLEY	2022	\$1.15	New		Edit	Clone	Delete
34534yrttrcc	ertterterttrcc	AARON CHARLES LANGLEY	2022	\$1.15	New		Edit	Clone	Delete
34534yrttrvv	ertterterttrvv	AARON CHARLES LANGLEY	2022	\$1.15	New		Edit	Clone	Delete
34534yrttrqww	ertterterttrqww	AARON CHARLES LANGLEY	2022	\$1.15	New		Edit	Clone	Delete
35131	William Abanto	AARON CHARLES LANGLEY	2022	\$0.00	New		Edit	Clone	Delete
351101	Gordon Greensridge	AARON CHARLES LANGLEY	2022	\$79.15	New		Edit	Clone	Delete
345677	William Abanto	AARON CHARLES LANGLEY	2022	(-\$39.00)	New		Edit	Clone	Delete

Figure 31

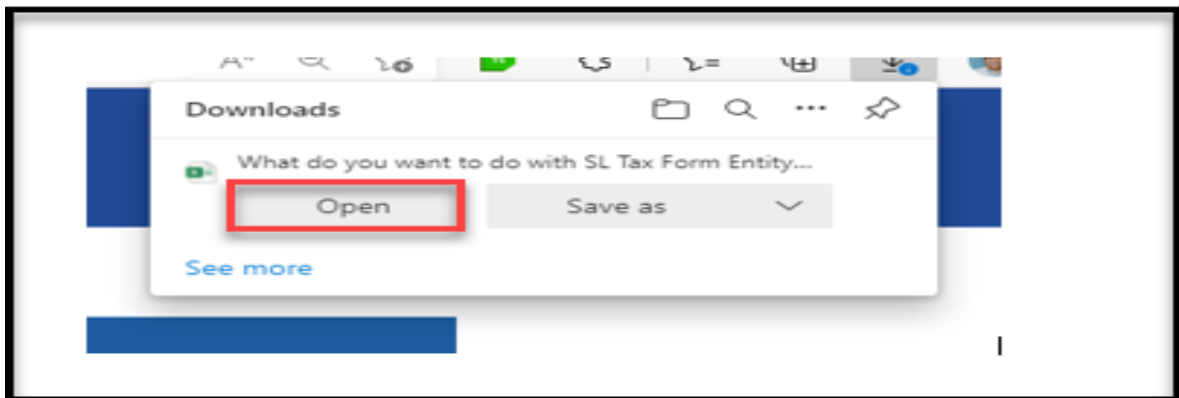


Figure 32

AutoSave | **File** | **Home** | **Insert** | **Draw** | **Page Layout** | **Formulas** | **Data** | **Review** | **View** | **Help** | **Acrobat**

Protected View | Be careful—files from the Internet can contain viruses. Unless you need to edit, it's safer to stay in Protected View. | **Enable Editing**

Unique Item #

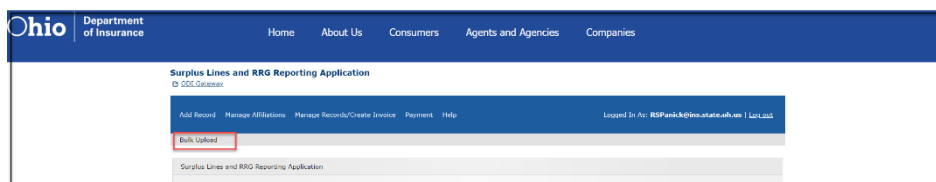
A	B	C	D	E	F	G	H	I	J
Unique Item #	Insured Name	Reporting Entity	Reporting Year	Tax Amount	Status	Invoice Number			
35140	Matthew M Lucke	AARON CHARLES LANGLEY	2022	61.7 New					
34534yrttrccv	ertertertrccv	AARON CHARLES LANGLEY	2022	1.15 New					
34534yrttrcc	ertertertrcc	AARON CHARLES LANGLEY	2022	3.15 New					
34534yrttrtv	ertertertrtv	AARON CHARLES LANGLEY	2022	1.15 New					
34534yrttrqvw	ertertertrqvw	AARON CHARLES LANGLEY	2022	1.15 New					
35131	William Abanto	AARON CHARLES LANGLEY	2022	0 New					
351301	Gordon Greenridge	AARON CHARLES LANGLEY	2022	79.15 New					
345677	William Abanto	AARON CHARLES LANGLEY	2022	-39 New					
3456800	Matthew M Lucke	AARON CHARLES LANGLEY	2022	05 New					
345692	Matthew M Lucke	AARON CHARLES LANGLEY	2022	74.65 New					
34534yrttrttt	ertertertrttt	AARON CHARLES LANGLEY	2022	-1.15 New					
3456814c	Aaron Charles Langley	AARON CHARLES LANGLEY	2022	44.85 New					
3456890	Matthew M Lucke	AARON CHARLES LANGLEY	2022	125000 New					
ACL_0001_CHRG_TAX	Sam Test	AARON CHARLES LANGLEY	2022	250 New					

Sheet1 | **Ready** | **Display Settings** | **100%**

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, click on the [Add Record](#) in the Blue Main Menu Bar. The **Bulk Upload** button will appear right below [Add Record](#). (see [Figure 33 below](#))

Figure 33



Click on the **Bulk Upload** button.

From this screen, (see [Figure 34 below](#)) the user can access the Bulk Upload Help Guide and the various tables (Company List, Insurance Types, Risk Types, Exemption Reasons and Ohio County Codes) that should be referenced as the user creates the CSV file to upload. The user can print out the Bulk Upload Help Guide. The user can also export to excel the various tables.

If the user clicks on the Bulk Upload Help Guide, follow the steps shown above as [Figure 33](#) to return to the [Figure 34](#) screen (or use the browser's back arrow).

This is the screen from where the user downloads the template to create the CSV file.
(**Note:** The file format does differ from the prior reporting application. Use this template.)

Figure 34

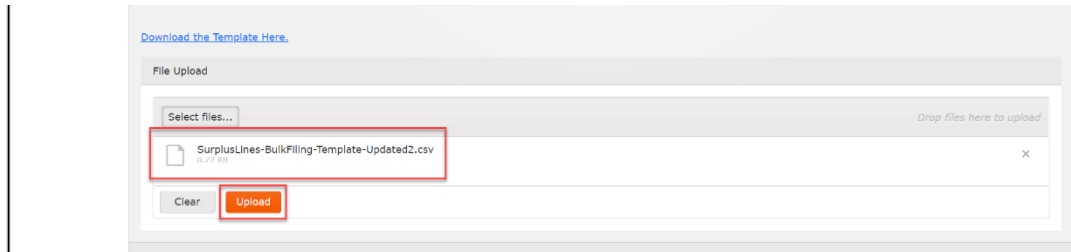
A screenshot of the 'Surplus Lines and RRG Bulk Upload Form'. The top navigation bar is blue with links: Bulk Upload, Company List, Insurance Types, Risk Types, Exemption Reasons, Ohio County Codes, and Bulk Upload Help Guide. The 'Bulk Upload Help Guide' link is highlighted. Below the navigation bar, the page title 'Surplus Lines and RRG Bulk Upload Form' is displayed. The main content area contains instructions: 'Please utilize the Bulk Upload Template Sheet for submitting a Bulk Filing Upload. Ensure the Header Row is untouched and Insert your first record on line 2 of the worksheet. When you are finished populating the template with your data for submission. Select the "Select Files" Button Below and Browse to your template file for upload. Your data will be validated during upload and a response will be displayed on the screen.' Below this, a section titled 'If any validation errors occur:' lists three bullet points: 'Ensure the Header Row from the template is untouched and Insert your first record on line 2 of the worksheet. Failure to do so will result in errors processing your upload', 'No data will be committed to the Application until the data errors are corrected.', and 'If no errors are detected you will be displayed a running total for the entire upload with either a Balanced Owed or Balance Due Status and the Determined Amount'. A link 'Download the Template Here.' is provided. At the bottom, there is a 'File Upload' section with a 'Select files...' button and a 'Drop files here to upload' area.

Prepare the CSV file following the displayed guidance, as well as the Bulk Upload Help Guide. It is recommended that the file not exceed 500 records in a single upload to prevent errors during upload. There is no prescribed naming convention for the saved CSV file.

When the CSV file is ready to upload, navigate to the upload area by following the steps outlined above with [Figures 33 and 34](#).

Click on the **Select files...** button to locate the CSV file you intend to upload. Once the file has been selected and visible on the screen, click the **Upload** button. Click on the **Clear** button to remove the file if the user has selected an incorrect file. ([see Figure 35 below](#))

[Figure 35](#)



If the upload is successful, a message will indicate such, as well as the number of records and the tax amount due for the uploaded file.

If the file has errors in it, a message will list the errors and potential file location. Refer to the **Bulk Upload Help Guide** file creation guidance and data error resolution support. Correct the errors that exist in the CSV file and attempt to upload the ENTIRE file again. **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 uploaded successfully, click on the [Manage Records/Create Invoice](#) tab in the Blue Main Menu Bar and the records are immediately available to view, edit, delete, or invoice for the selected reporting entity (agent, agency or RRG).

Note: The CSV file can contain the records of one of more surplus lines agents, agencies, or risk retention groups (entities, collectively) that the user is affiliated with. To perform the bulk upload when multiple entities are included in the CSV file, select any of your affiliations to be the entity you are reporting for and follow the steps for the bulk upload process.

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

surplus.lines@insurance.ohio.gov