… TABLE OF CONTENTS …

GENERAL INSTRUCTIONS FOR COMPLETING SLB FILING

What You Need:

The minimum configuration requirements are as follows:

386 IBM Compatible PC w/ 16 megabytes RAM
Windows 3.x, Windows 95 or Windows NT
6 Megabytes free Hard Disk Space
3-1/2" 1.44 Megabyte Floppy Drive
Blank Formatted Floppy Diskette

How to Get Started:

You will first need to install the SLB application.
To install, go to www.scc.virginia.gov then type in surplus lines brokers tax filing information in the search box and follow the instructions to download the program and to use the program. *Do not change the subdirectory to another name, or the application may not function properly in the future*.

To execute the SLB application, start SLB16 from the START button or Program Manager.

Who must file:

Every licensed Surplus Lines Broker.

When to file:

The forms should be filed on or before 30 days after the last day of the calendar quarter. Quarterly reports are only required if policies were sold during the quarter. The following is the filing schedule for the Quarterly filings.

Quarter Ending	Quarterly Filing Due Date
March 31	April 30
June 30	July 30
September 30	October 30
December 31	January 30

- **The annual Filing is due March 1 even if no policies were sold.**
- **(Form SLB-8 may be printed from the SLB Reporting System Screen)**

What to file:

Printed, Notarized SLB-3, Quarterly Combined Affidavit by Surplus Lines Broker
Printed, Notarized SLB-7, Quarterly Gross Premium Tax Report
Printed and completed SLB-10, Commercial Insured Waiver (If required)
Diskette Filing ***– This satisfies the SLB-5 (Parts 1,2 and 3) filing requirements***

There are two files created by the SLB Diskette filing application
The files are named SLUPLOAD.TXT and SLUPLOAD.HDR .
To create these files on a diskette for mailing to the Bureau:

Insert a blank diskette into Drive A:.
Click on **Diskette** on the menu bar. *(See **Diskette** under **"Instructions for Completing SLB Reporting System Screen"**) If you do not have a disk drive you may save the files to a CD or to your hard drive and email them.*

Where to file:

<u>Mailing Address for Surplus Lines Filings:</u>

Keith Kelley
Bureau of Insurance
Administrative Tax Unit
P.O. Box 1157
Richmond, VA 23218

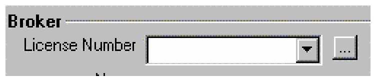
<u>Express and Overnight:</u>

Bureau of Insurance
Administrative Tax Unit
1300 E. Main St.
Richmond, VA 23219

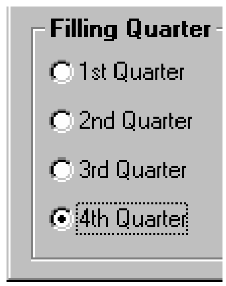
Telephone:	**(804) 371-9399**
FAX:	**(804) 371-9821**

Data Entry Notes

To enter data into any field with a down arrow on the right, e.g.: 

position the mouse pointer over the down arrow and click for a selection or 'drop-down' list. Then click on the desired selection. You may add or modify to any drop–down list, which is followed by an ellipsis, 

e.g.: by clicking on the ellipsis.

"Radio-selection" buttons are circles preceding a selection where only one of the items in the selection lists may be chosen, 

e.g.:

Fields are not case sensitive. You may enter your data in upper and lower case and it will be maintained in your system in that format. At the Bureau, the data will be converted to all upper case for reporting.

All fields for amounts, such as Gross Premiums, are in currency format, e.g. $25 is represented as $25.00.

All dates must be entered in a MM/DD/YYYY format.

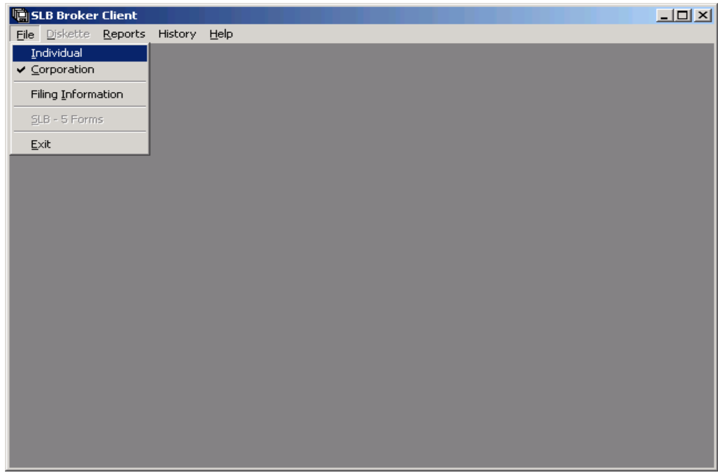
Navigation through a worksheet may be accomplished with the tab keys or by clicking the mouse after positioning the mouse arrow on the desired entry field.

The Broker ID fields should be keyed without the use of hyphens, e.g., 222222222, **not** 222-22-2222.

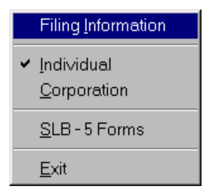
Work Flow Overview

SLB Main Window

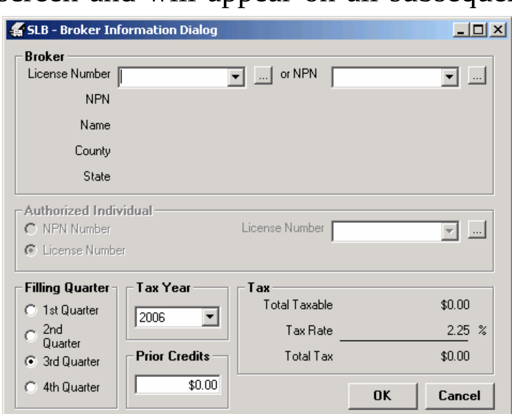
When the SLB application is initiated, an SLB Broker Client Window is presented. This window has a menu bar with the following menu items: **<u>F</u>ile, <u>D</u>iskette, <u>R</u>eports, History** and **<u>H</u>elp**. From the **<u>F</u>ile** menu select "**Individual**" if you are transacting as a licensed individual Broker, or **"Corporation/Partnership"** which will require you to enter a licensed authorized individual.



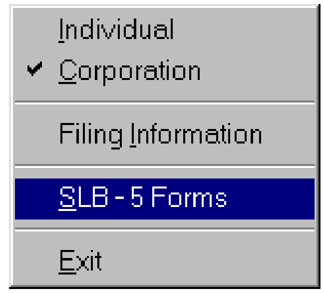
Broker Information Dialog Screen



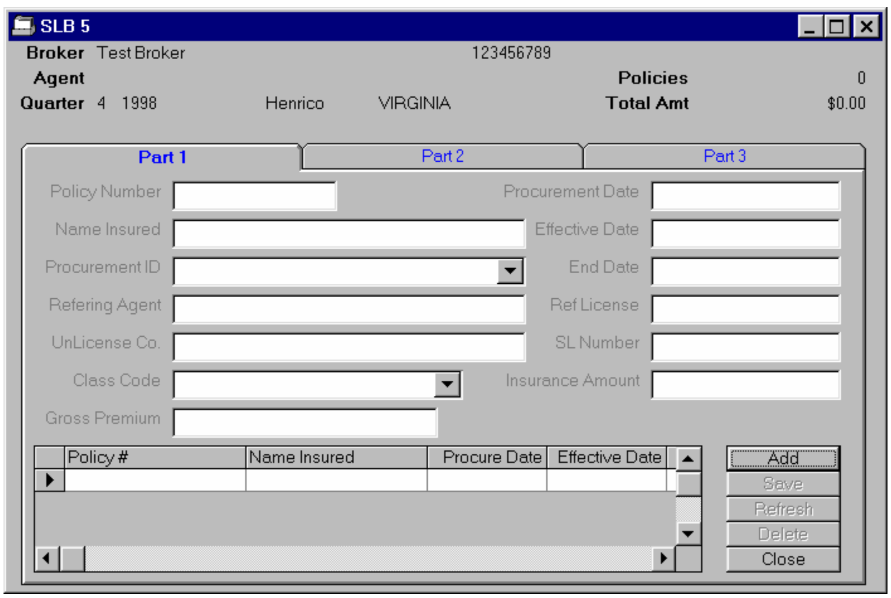
After indicating the Filing Mode, select the Broker Information Dialog screen by choosing **Filing <u>I</u>nformation** from the **<u>F</u>ile Menu**. This dialog screen is used to capture critical identifying information that is used throughout the remainder of the process. The information, such as **Broker Number, Filing Quarter, Tax Year and Prior Credits (**if any**)**, will be keyed only once on this screen and will appear on all subsequent worksheets and forms within the process. This dialog box will **NOT** allow you to proceed until the required items are entered. **Please note the importance of keying this information correctly. Any information keyed in subsequent screens or dialog boxes will be associated with the entered Broker License Number or NPN Number, Filing Quarter, and Tax Year.** Please see Instructions for Completing the Broker Information Dialog Screen for a detailed explanation about the use of this process. After the requested Broker Information is entered, or selected, click "**OK**" to save this information.



SLB-5 Worksheet Forms



After saving the information from the Broker Information Dialog screen, open the worksheet forms by choosing **SLB–5 Forms** from the **File Menu**. You may navigate to any of the three worksheets by clicking on the tab labeled "Part 1", "Part 2", or "Part 3", each of which represents the three parts of the SLB-5. The Broker information, along with the number of policies and total value associated with that Part of the SLB-5, will appear in a display-only mode at the top of the selected Part. The tab labeled "Part 1" takes you to the worksheet for the SLB-5 Part 1, Surplus Lines Quarterly Report - Policy Data. This is where you enter the requested information about policies procured within the filing quarter. Please see Instructions for Completing Form SLB-5 for a detailed explanation about the data captured on this form.



The tab labeled "Part 2" is the SLB-5 Part 2, Surplus Lines Quarterly Report - Additional Premiums. This is where you enter the requested information about additional premiums received within the filing quarter. Please see Instructions for Completing Form SLB-5 for a detailed explanation about the data captured on this form.

The tab labeled "Part 3" is the SLB-5 Part 3, Surplus Lines Quarterly Report - Return Premiums. This is where you enter the requested information about return premiums received within the filing quarter. Please see Instructions for Completing Form SLB-5 for a detailed explanation about the data captured on this form. After the SLB-5 Worksheets have been entered and "**Closed**", you may print and store to diskette all appropriate forms.

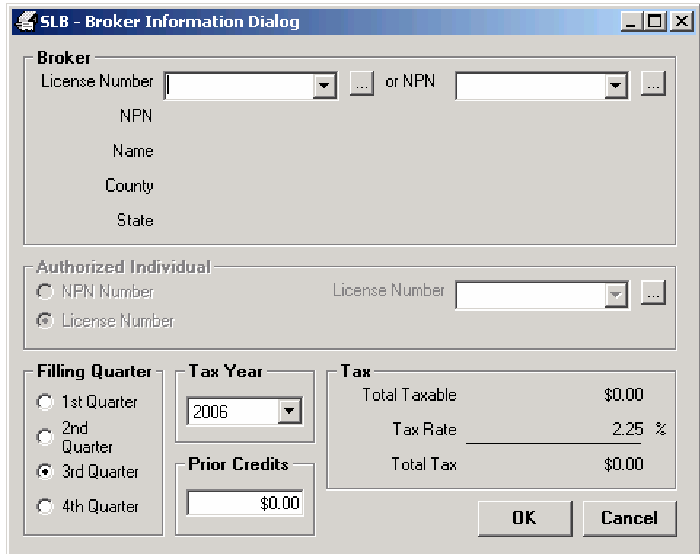
SLB Reports

After the SLB-5 Worksheets have been entered and "**Closed**", select **Reports** from the **File Menu**. You may print blank copies of these forms or copies completed with the identifying broker information and SLB-5 data entered. Detail instructions follow in the section titled "Instructions for Completing SLB Reporting System Screen".

SLB Diskette

The final step in the quarterly filing process is to create a diskette containing the information entered in the previous steps to send to the SCC. Select **Diskettes** from the **File Menu** after all SLB-5 Worksheets have been completed. Detail instructions follow in the section titled "Instructions for Completing SLB Reporting System Screen".

Instructions for completing the "Broker Information Dialog Screen"



The Broker Information Dialog is opened by choosing **Filing Information** from the **File** menu. *(If you entered this screen as an "Individual", the Authorized Individual License Number and Name will be grayed out, as it is not applicable.)* The Broker Information Dialog Screen allows you to enter the necessary identifying information about a broker before proceeding through the remainder of the data entry process. This identifying information is used to access the appropriate filing data for the broker.

When keying a broker filing, enter the following items and Click "**OK**". (Note: The "Bold" items are required).

Broker's License Number (or Broker's NPN Number for individual only)
Authorized Individual License Number or NPN Number (except for individual)
Filing Quarter (the default selection is based on the current date. Be sure to select the correct Quarter)
Tax Year
Prior Credits

Please note the importance of keying this critical identifying information correctly. This is the only place that allows for modification of broker identifying information. Any information keyed in subsequent worksheets or dialog boxes will be associated with the Broker License Number (NPN Number if individual), Filing Quarter, and Tax Year entered on this screen. If you modify these fields after you have entered any SLB-5 information, you must re-enter the SLB-5 worksheets to associate it with the correct broker information. *(Any previously entered SLB-5 data will be associated with the original Broker information.)*

Broker

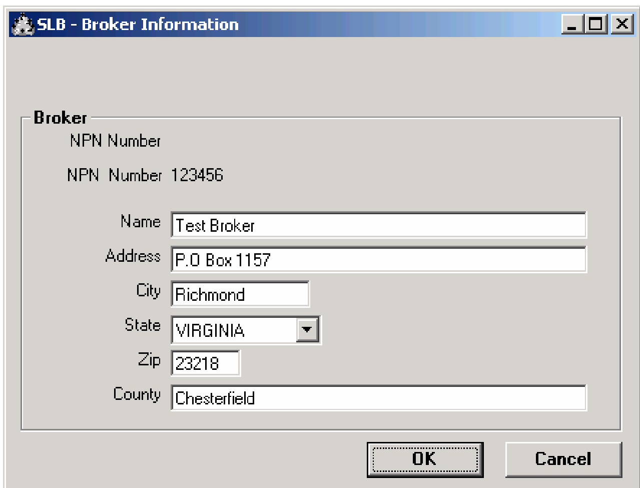
Broker License Number/Name & Authorized Individual License Number/Name

If you are transacting as an individual, you should have selected “Individual” on the previous Filing Mode screen. On the Broker Information Dialog Screen you will be prompted to enter Broker Name and Broker License Number or NPN Number only. This information will be used to complete the proper fields on the printed SLB reports.

If transacting as a “Corporation/Partnership”, you should have selected “Corporation/Partnership” on the previous Filing Mode screen. On the Broker Information Dialog Screen you should select the appropriate Agency license number from the Broker License Number drop down list. Select your License Number or NPN Number from Authorized Individual’s License Number drop down list so your license number and Name appear in the Authorized Individual License Number and Name fields respectively. This information will be used to complete the proper fields on the printed SLB reports.

Adding a Broker or Authorized Individual to the database

If this is the first time you have run this application and entered this screen, there will be no license numbers to select from the drop down list. If the appropriate License number or NPN Number is not listed in the drop down list of valid License or NPN numbers, enter the new License or NPN number and click on the ellipsis button (…). This will invoke a New Broker Dialog screen. After entering all the appropriate information for a new Broker, Click OK to add new license information



NOTE: Brokers and Authorized Individuals must be currently licensed by the Bureau of Insurance.

Modifying Broker or Authorized Individual Information

To modify any existing Broker or Authorized Individual Information (name, address), select the appropriate license or NPN number from the drop-down list and click on the ellipsis button (…). This will invoke a New Broker Dialog screen. After entering all the appropriate information for a new Broker, Click OK to add new license information.

Filing Quarter

Click on the calendar quarter that the SLB-3 covers. The quarter ending dates are as follows:

March 31, 19xx
June 30, 19xx
September 30, 19xx
December 31, 19xx

NOTE: The default selection is based on the current date. Be sure to select the correct quarter for the period you are filing.

Tax Year

Enter the Tax Year that the SLB-3 covers.

Prior Credits:

This field is only applicable to SLB-7. It allows you to enter any prior credits that are being used to reduce this quarters tax payable.

NOTE: Tax credits may not be carried forward from one year to the next year.

Instructions for Completing Form SLB-5
"Surplus Lines Quarterly Report"

Who must file Form SLB - 5

<u>All</u> surplus lines brokers that held a license during all or a portion of the calendar quarter covered by the report**. Note that All parts (1, 2, 3 and 4) of Form SLB-5 must be submitted. Reports are not required if no policies were sold.**

What to report

Report policies that were procured during the calendar quarter and additional and return premiums that were effective during the quarter.

Detailed Instructions For Completing SLB-5 Worksheets (Parts 1, 2, & 3)

You may navigate to any of the three worksheets by clicking on the tab labeled "Part 1", "Part 2", or "Part 3", each of which represents the three worksheet parts of the SLB-5. Clicking on the tabs will bring you to the following reports:
"**Part 1**" is the worksheet for the SLB-5 Part 1, Surplus Lines Quarterly Report- Policy Data.
"**Part 2**" is the SLB-5 Part 2, Surplus Lines Quarterly Report- Additional Premiums
"**Part 3**" is the SLB-5 Part 3, Surplus Lines Quarterly Report- Return Premiums.

The critical Broker identifying Information that was entered in the Broker Dialog Screen**, (Broker's License or NPN Number**, [Authorized Individual Name, Authorized Individual License or NPN Number], **Filing Quarter, Tax Year and Prior Credits),** along with the number of policies and total value associated with that Part of the SLB-5, will appear in a display-only mode at the top of the selected Part. *(This is labeled "header area" on the sample screen included in this documentation.)* Please verify that the identifying information is correct and accurately reflects the information entered in the dialog box. If it is incorrect, click "**Close**" on this worksheet to return to the Broker Information dialog box.

The *Scrolling Policy Record Area* is displayed in the bottom area of each of the three parts of the SLB-5 worksheets. This is a display area for all records (policies) that currently exist for the selected Part of the SLB-5. The total number of policies and total coverage amount is displayed in the header area. By scrolling down through these records you may select a policy to display for modification or deletion.

Explanation of control buttons in the bottom right-hand corner of each of the worksheets:

Add: Click this button prior to entering information for a new policy. It will create a blank record for entry of detailed items on SLB5- Part 1, 2 or 3, depending on which Tab was selected.

Save: Click this button after successful entry or modification of policy information to update record.

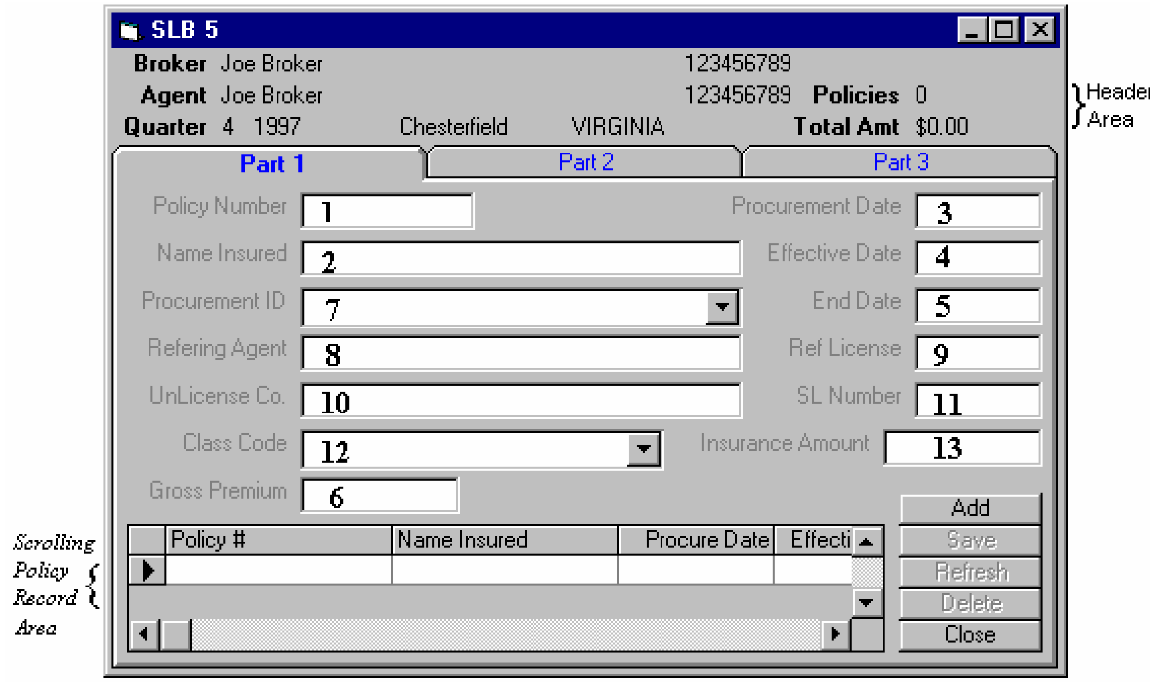
Refresh: Click this button to restore the previously saved detail items for the currently displayed policy record.

Delete: Click this button to delete the currently displayed policy record.

NOTE: You can double-click in Field 1 of Part1, Part 2 or Part 3 to bring up a search screen that will allow you to find a policy by typing all or part of a policy number in the search text box.

Entering Policy Information - SLB-5 Part 1

Sample Screen for SLB-5 Part 1 Worksheet:



SLB-5 Part 1 reports any new policies for the specified tax quarter. If a policy is written by multiple carriers, i.e. more than one unlicensed company, add a new policy record for each carrier. After clicking "Add" to create a new policy record, or after selecting a policy record to modify from the bottom scrolling area of the worksheet, complete the detailed items on the worksheet as indicated. The following instructions correspond to the numbered blanks on the Form SLB-5 that follows this section:

NOTE: The numbers in the different fields also represent the tab order for the fields. For example, if you are keying data in FIELD 3 and press TAB, you will be move to FIELD 4.

Item 1: Report the policy number for the policy being reported. If no policy number has been assigned when the policy is reported then enter **NONE**.

Item 2: Report the name of the insured.

Item 3: Report the procurement date of the policy in the following format: MM/DD/YYYY.

Item 4: Report the policy effective date in the following format: MM/DD/YYYY

Item 5: Report the policy ending date in the following format: MM/DD/YYYY.

Item 6: Report the gross premium including policy fees in Item 6. **<u>Do not show policy fees separate from the gross premiums. Do not include the surplus lines tax in the gross premium.</u>**

Item 7: Select **<u>one</u>** of the following procurement codes for each policy listed on part 1 from the drop down list:
Commercial Insured (If Commercial Insured is selected, form SLB – 10 is required)
Broker Direct Business
Referred From a Licensed Property & Casualty Agent

Item 8: Report the name of the referring licensed property and casualty agent if the procurement type code is "Referred From a Licensed Property & Casualty Agent". If the procurement type code is "Commercial Insured" or "Broker Direct Business" do not complete this blank. Enter as last name, first name, e.g., Doe, John.

Item 9: Report the Virginia property and casualty license or NPN number of the referring property and casualty agent. Do not use hyphens in this number.

Item 10: Report the name of the unlicensed company as it appears on the list of approved surplus line carriers produced by the Bureau. **<u>If a policy is written by multiple carriers, fully complete a separate policy record for each carrier.</u>**

Item 11: Report the unlicensed company's SL number as a number from 1-999.

Item 12: Select **<u>one</u>** of the following classes of insurance codes from the drop-down list in item 6 that best fits the policy being reported:

Aircraft Liability	General Liability	Excess Auto
Auto Physical Damage	Inland Marine	Excess General Liability
Crime	Medical Malpractice	Other
Fire & Miscellaneous	Professional Liability	

Item 13: Enter the aggregate amount of coverage provided by the policy being reported. **<u>Note that this is not the premium for the policy</u>**.

Click "**Save**" once you have entered all the items for the policy. If there are additional policies to report, Click "**Add**" to create another blank screen on which to enter the information for an additional policy.

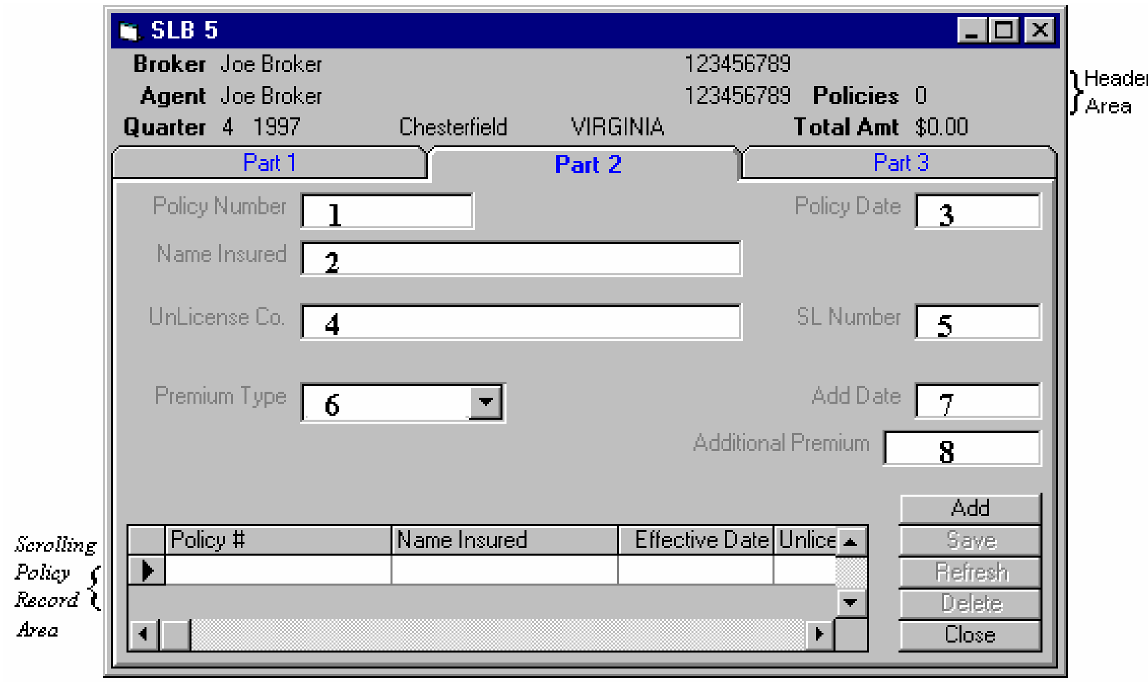
Before you Leave SLB-5 Part 1

Please note that the Total Gross Premium figure at the top of the spreadsheet reflects the sum of the Gross Premiums entered. The Total # of Policies reflects the number of policy records entered.

If there are no additional policies to report, you may proceed to other parts of the SLB-5 by clicking on the appropriate tab, or you may click "**Close**" at any time you are finished entering all SLB-5 information.

Entering Additional Premiums - SLB-5 Part 2

Sample Screen for SLB-5 Part 2 Worksheet:



Item 1: Report the policy number for the policy being reported. The policy number must match exactly the policy number filed in SLB-5 Part 1.

Item 2: Report the name of the insured.

Item 3: Report the policy effective date in MM/DD/YYYY format.

Item 4: Report the name of the unlicensed company as it appears on the list of approved surplus line carriers produced by the Bureau in Item 4. <u>**If a policy is written by multiple carriers, fully complete a separate policy record for each carrier.**</u>

Item 5: Report the unlicensed company's SL number as a number from 1-999.

Item 6: For additional premiums or policies previously reported indicate whether the additional premium is due to **Endorsement**, **Installment** or **Audit** by selecting the appropriate type from the drop-down selection list.

Item 7: Report the effective date of the additional premium in MM/DD/YYYY format.

Item 8: Report the amount of the additional premium.

Click “**Save**” once you have entered all the items for the policy additional premiums. If there are additional policies to report, Click “**Add**” to create another blank screen on which to enter the information for another policy.

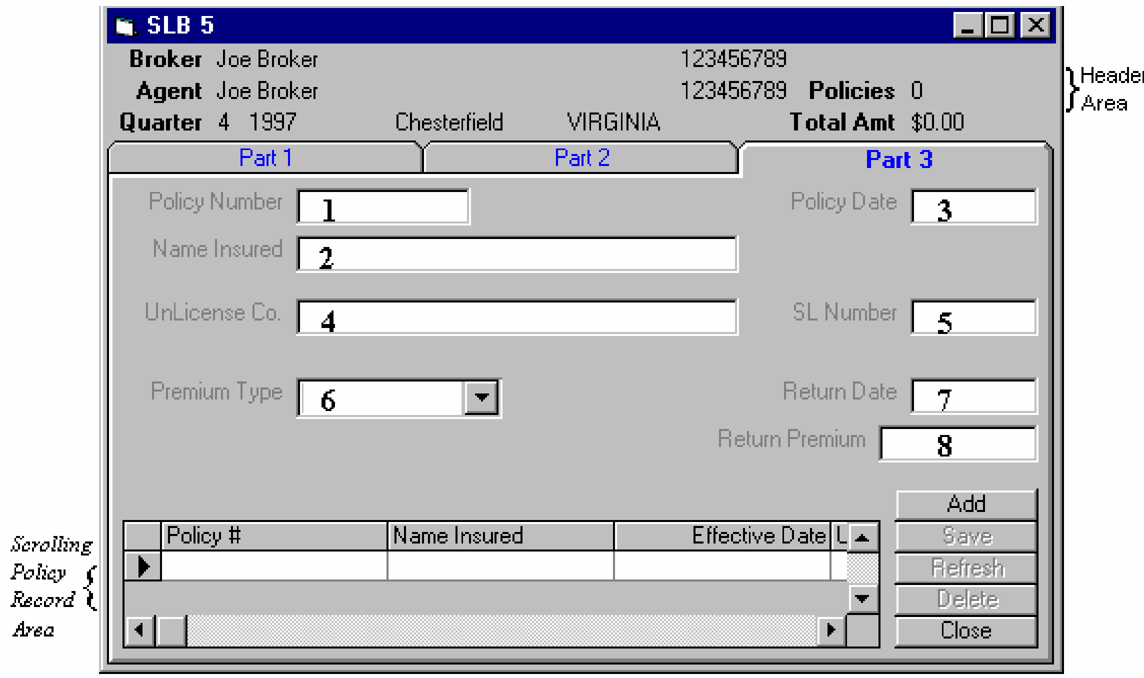
Before you Leave SLB-5 Part 2

Please note that the Total Gross Additional Premium figure at the top of the spreadsheet reflects the sum of the Additional Premiums entered. The Total # of Policies reflects the number of records entered.

If there are no additional policies to report, you may proceed to Part 3 of SLB-5 by clicking on the Part 3 tab, or you may click “**Close**” at any time you are finished entering all SLB-5 information.

Entering Return Premiums - SLB-5 Part 3

Sample Screen for SLB-5 Part 2 Worksheet:



Item 1: Report the policy number for the policy being reported. The policy number must match exactly the policy number filed in SLB-5 Part 1 before credit is allowed.

Item 2: Report the name of the insured.

Item 3: Report the policy effective date in MM/DD/YYYY format.

Item 4: Report the name of the unlicensed company as it appears on the list of approved surplus line carriers produced by the Bureau in Item 4. **<u>If a policy is written by multiple carriers, fully complete a separate line on the report for each carrier.</u>**

Item 5: Report the unlicensed company's SL number as a number from 1-999.

Item 6: For return premiums on policies previously reported, indicate whether the return premium is due to **Audit**, **Endorsement** or **Cancellation** by clicking on the down arrow and selecting from the drop-down list.

Item 7: Report the effective date of the return premium in MM/DD/YYYY format.

Item 8: Report the amount of the return premium.

Click "**Save**" once you have entered all the items for the policy return premiums. If there are return premiums for other policies to report, Click "**Add**" to create another blank screen on which to enter the information for another policy.

Before you Leave SLB-5 Part 3

Please note that the Total Return Premium figure at the top of the worksheet reflects the sum of the Return Premiums entered. The Total # of Policies reflects the number of policy records entered.

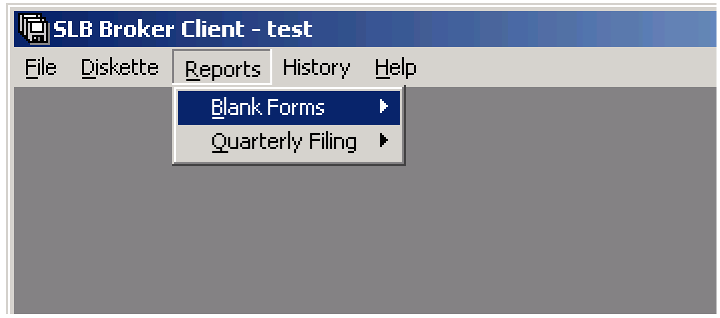
If there are no additional return premiums to report, you may click "**Close**" at any time you are finished entering all SLB-5 information.

Note that if an amendment is made to Form SLB-5 for a particular quarter, an amended form SLB-3 and Form SLB-7 should be submitted.

Instructions for Completing SLB Reporting System Screen

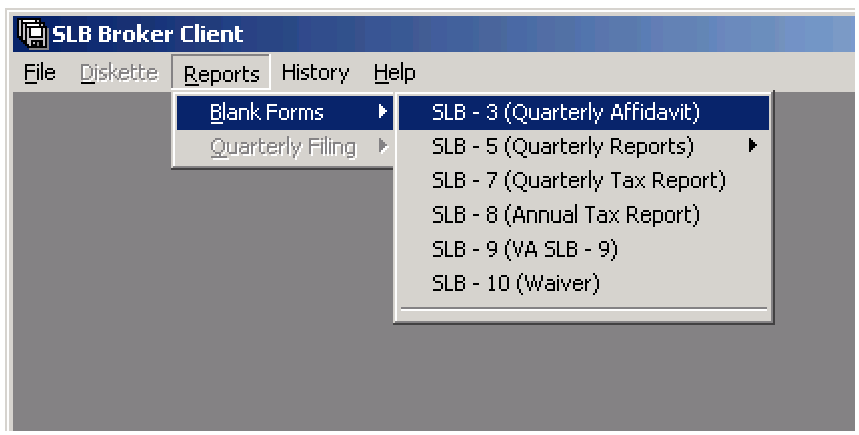
After the SLB-5 Worksheets have been entered and "**Closed**", select **Reports** from the **File** menu. This menu allows you to print blank forms which you may fill in manually or the Quarterly Filing reports.

See the appendix for a list of all reports and examples.



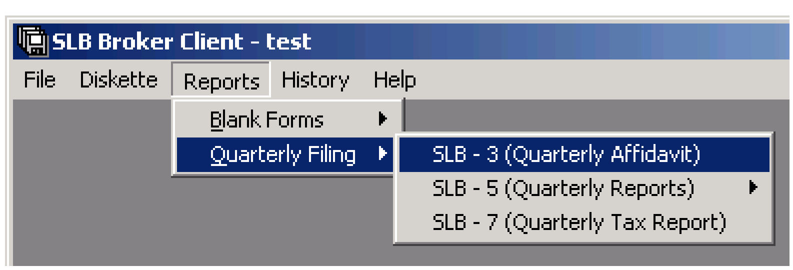
Blank Forms

Click the report to be printed to print a blank copy of the report. You may use this function if you wish to print blank copies of the reports to use as worksheets or to file manually, and you may select any number of SLB report forms to print.



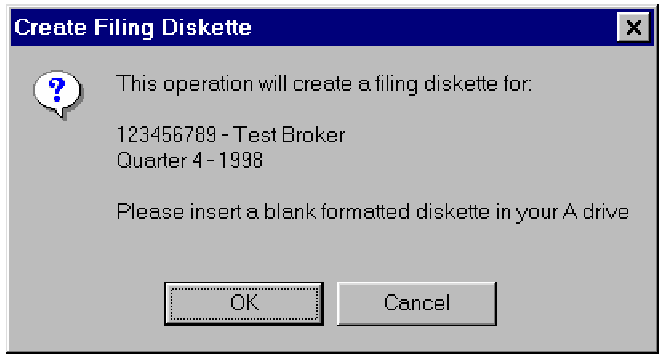
Quarterly Filing

Click the report to print a copy of the selected report with the information automatically filled in by the computer. ***The only reports that may be printed with this function are SLB-3, SLB-5 (Parts 1,2 and 3) and SLB-7.***



Diskette

Click **Diskette** on the menu bar to initiate the diskette filing process and open the **Create Filing Diskette** dialog. Select the Drive to save the files. Click “**OK**” to save the files to the selected drive.



This process creates two files on the selected drive. The files are named SLUPLOAD.TXT and SLUPLOAD.HDR which can be mailed or emailed to the Bureau of Insurance.

To create these files without using this application, see Appendix II for file layouts and instructions.

Appendix I – VA Forms SLB 3 through SLB-10

This appendix lists the SLB-3 through SLB-10 forms for your reference.

SLB-3   Quarterly Combined Affidavit by Surplus Lines Broker
All licensed surplus lines brokers must file this form even if no business was procured during the calendar quarter. Also, any broker that held a license for a portion of the calendar quarter must file this form.

SLB-5, Part 1 Surplus Lines Quarterly Report
SLB-5, Part 2 Additional Premiums – Surplus Lines Policies Quarterly Report
SLB-5, Part 3 Return Premiums – Surplus Lines Policies Quarterly Report
The SLB-5 may be filed via diskette, cd, or email by following the instructions in this manual.

SLB-7   Quarterly Gross Premiums Tax Report

SLB-8   Annual Gross Premiums Tax Report

SLB-9   Notice to Insured

SLB-10   Commercial Insured Waiver

Appendix II – File Layouts

If you choose to use another method to generate the SLB diskette filing information, the file layouts are included on the following pages for your reference. Use only upper-case alpha-numeric characters. Also all dollar amounts are 15 characters, 0 filled with no decimal point. If the amount is negative, use 15 zeros, i.e., 000000000000000

You must comply with the following naming convention:

- There are 2 files created on the mailing diskette when you click on the DISK command button in the Print Dialog Screen; a header file and a text file. The files are named SLUPLOAD.TXT and SLUPLOAD.HDR .

- The text file contains 4 record types :
  SLB-5 Part 1 Record(s)
  SLB-5 Part 2 Record(s)
  SLB-5 Part 3 Record(s)
  SLB-57 Record

- The header file contains 1 record:
  Header Record

- There should be one record for each policy specified in SLB – 5, Parts 1,2 and 3. If there are **no** records for any of these parts a blank record with the first 5 fields should be written to the file.

- There is only one record written for SLB – 57.

- The records are appended one after the other in the text file

The record layouts are as follows:

SLB – 5 (Part1) Records

Position	Data Type	Description	Example	Comments
1	A4	Filing Year	1997	YYYY
5	A1	“Q”	Q	Always the letter “Q”
6	A1	Filing Quarter	1	1,2,3 or 4
7	A5	Record Type	SLB51	Always “SLB51”
12	A9	Broker License Number	001234567	9 numeric digits
21	A15	Policy Number	ABC1234567890XX	
36	A40	Name Insured	THE NAME CO., INC.	
76	A8	Procurement Date	19970214	YYYYMMDD
84	A8	Effective Date	19970214	YYYYMMDD
92	A8	End Date	19970214	YYYYMMDD
100	A15	Gross Amount	000000000001199	$ 11.99
115	A1	Procurement Type	C	C,B or R
116	A40	Referring Agent Name	MR. JOHN AGENT	
156	A9	Referring Agent ID	001234567	
165	A40	Unlicensed Company	THE NAME CO., INC.	
205	A5	SL Number	SL123	SL and 3 numeric digits
210	A1	Filler		Blank Space
211	A3	Class Code ID	OTH	See list in user’s guide
214	A15	Premium Amount	000000000001199	$ 11.99
229	A3	Broker Type	001	3 Numeric digit: Agent=001 , Agency=002
232	A10	Broker NPN number	1234560008 or 1234	10 or less numeric digits, no leading zeros.

SLB – 5 (Part2) Records

Position	Data Type	Description	Example	Comments
1	A4	Filing Year	1997	YYYY
5	A1	“Q”	Q	Always the letter “Q”
6	A1	Filing Quarter	1	1,2,3 or 4
7	A5	Record Type	SLB52	Always “SLB52”
12	A9	Broker License Number	001234567	9 numeric digits
21	A15	Policy Number	ABC1234567890XX	
36	A40	Name Insured	THE NAME CO., INC.	
76	A8	Effective Date	19970214	YYYYMMDD
84	A40	Unlicensed Company	THE NAME CO., INC.	
124	A5	SL Number	SL123	SL and 3 numeric digits
129	A1	Filler		Blank Space
130	A1	APT ID	A	E,I or A
131	A8	Add Date	19970214	YYYYMMDD
139	A15	Additional Amount	000000000001159	$ 11.59
154	A75	Filler		Blank Spaces
229	A3	Broker type	001	3 Numeric digit: Agent=001 , Agency=002
232	A10	Broker NPN number	1234560002 or 1234	10 or less numeric digits, no leading zeros.

SLB – 5 (Part3) Records

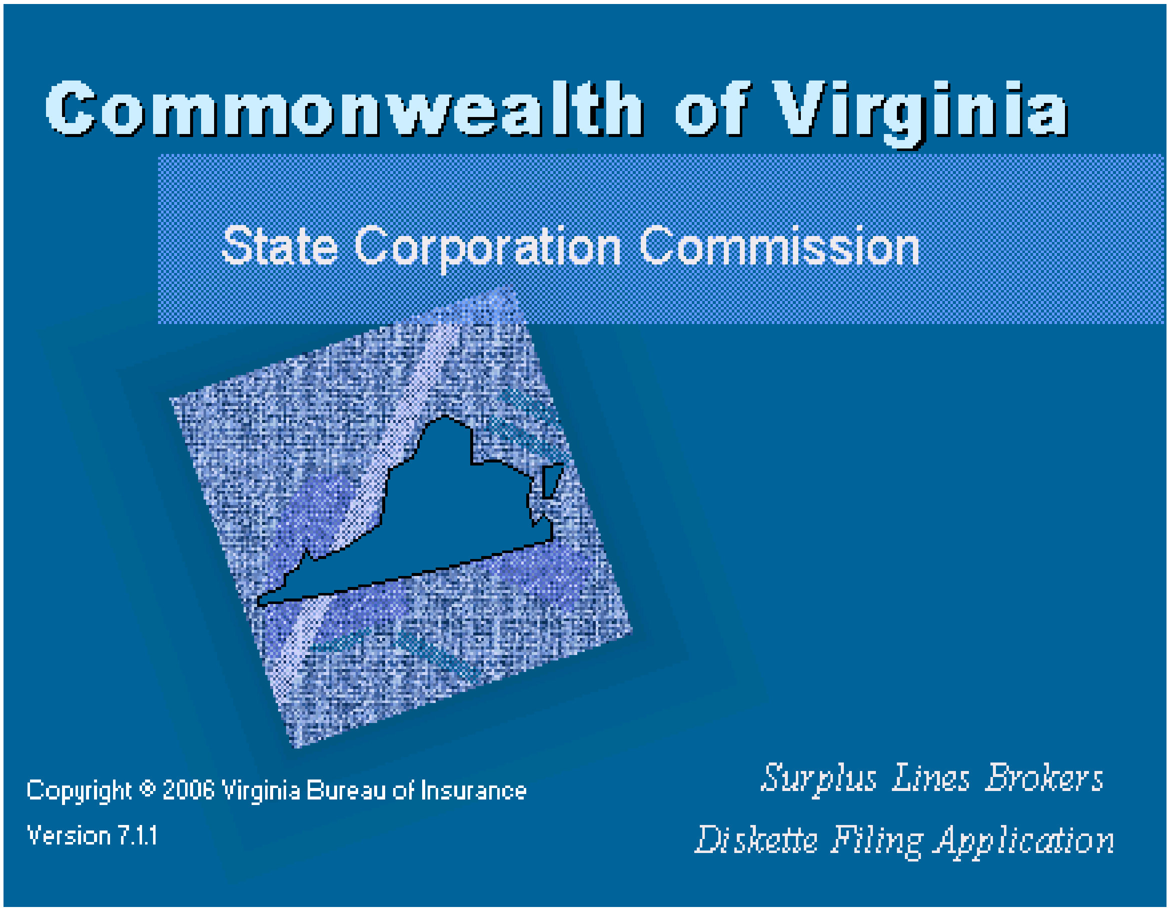
Position	Data Type	Description	Example	Comments
1	A4	Filing Year	1997	YYYY
5	A1	“Q”	Q	Always the letter “Q”
6	A1	Filing Quarter	1	1,2,3 or 4
7	A5	Record Type	SLB53	
12	A9	Broker License Number	001234567	9 numeric digits
21	A15	Policy Number	ABC1234567890XX	
36	A40	Name Insured	THE NAME CO., INC.	
76	A8	Effective Date	19970214	YYYYMMDD
84	A40	Unlicensed Company	THE NAME CO., INC.	
124	A5	SL Number	SL123	SL and 3 numeric digits
129	A1	Filler		Blank Space
130	A1	RPT ID	A	A,E or C
131	A8	Return Date	19970214	YYYYMMDD
139	A15	Return Amount	000000000001159	$ 11.59
154	A75	Filler		Blank Spaces
229	A3	Broker type	001	3 Numeric digit: Agent=001 , Agency=002
232	A10	Broker NPN number	1234560009 or 1234	10 or less numeric digits, no leading zeros.

SLB – 57 Records

Position	Data Type	Description	Example	Comments
1	A4	Filing Year	1997	YYYY
5	A1	“Q”	Q	Always the letter “Q”
6	A1	Filing Quarter	1	1,2,3 or 4
7	A5	Record Type	SLB57	Always “SLB57”
12	A9	Broker License Number	001234567	9 numeric digits
21	A15	SLB 51 Total	000000000001199	$ 11.99
36	A15	SLB 52 Total	000000000001199	$ 11.99
51	A15	SLB 53 Total	000000000001199	$ 11.99
66	A15	TPI	000000000001199	$ 11.99
81	A15	Total Taxable	000000000001199	$ 11.99
96	A15	Prior Credits	000000000001199	$ 11.99
111	A15	Total Tax	000000000001199	$ 11.99
126	A40	Broker Name	MR. JOHN AGENT	
166	A8	PPR Date	19970214	YYYYMMDD
174	A8	APR Date	19970214	YYYYMMDD
182	A8	RPR Date	19970214	YYYYMMDD
190	A8	QTR Date	19970214	YYYYMMDD
198	A8	CA Date	19970214	YYYYMMDD
206	A20	County	CHESTERFIELD	
227	A2	State	VA	
229	A3	Broker Type	001	3 Numeric digit: Agent=001 , Agency=002
232	A10	Broker NPN number	1234560008 or 1234	10 or less numeric digits, no leading zeros.

Header Record

Position	Data Type	Description	Example	Comments
1	A2	State Abbreviation	VA	
3	A15	County	Henrico	
18	A40	Broker Name	MR. JOHN BROKER	
58	A40	Authorized Agent Name	MS. JANE BROKER	
98	A9	Broker License Number	001234567	9 numeric digits
107	A9	Authorized Agent License Number	001234567	9 numeric digits
116	A4	Filing Year	1997	YYYY
120	A4	Quarter End Date	0331	MMDD
124	A2	Quarter	Q1	
126	A15	SLB 51 Total	000000000001199	$ 11.99
141	A15	Total Taxable	000000000001199	$ 11.99
156	A15	SLB 52 Total	000000000001199	$ 11.99
171	A15	SLB 53 Total	000000000001199	$ 11.99
186	A15	TPI	000000000001199	$ 11.99
201	A15	Prior Credits	000000000001199	$ 11.99
216	A15	Total Tax	000000000001199	$ 11.99
231	A10	PPR Date	02/14/1997	MM/DD/YYYY
241	A10	APR Date	02/14/1997	MM/DD/YYYY
251	A10	RPR Date	02/14/1997	MM/DD/YYYY
261	A10	QTR Date	02/14/1997	MM/DD/YYYY
271	A10	CA Date	02/14/1997	MM/DD/YYYY
281	A3	Broker Type	001	Numeric only : Agent=001 , Agency=002
284	A10	Broker NPN	1234560003 or 1234	10 or less numeric digits, no leading zeros.
294	A10	Authorized Agent NPN number	1234560003 or 1234	10 or less numeric digits, no leading zeros.



GENERAL INSTRUCTIONS
FOR
ELECTRONIC FILING OF SLB REPORTS

October, 2006