

v. The information shall be displayed as follows:

NAME: (for example, ABC Life Ins. Co.)  
 NAIC NO: NNNNN  
 TYPE: (for example, L/H)  
 YEAR OF DATA: YY  
 DATE MAILED: MM/DD/YY  
 DISK: 1 of 1  
 VSN: (for example, 2364-07E1);

2. A cover letter that provides the same information as on the external labels;

3. A signed affidavit by the insurer which shall accompany all transmissions attesting to the accuracy of the diskette(s); and

4. The diskette(s) may be delivered or mailed but shall be received by the Department by March 1 at the following address:

New Jersey Department of Insurance  
 FEMS—General Ledger System Project  
 20 West State Street  
 CN 325  
 Trenton, New Jersey 08625-0325

New Rule, R.1994 d.104, effective February 22, 1994.  
 See: 25 N.J.R. 2820(b), 26 N.J.R. 1100(b).

**11:19-2.6 through 11:19-2.8 (Reserved)**

**11:19-2.9 Penalties**

Failure to comply with the provisions of this subchapter shall subject the insurer to penalties as provided in N.J.S.A. 17:23-2 and 17B:21-2.

**APPENDIX A**

**Exhibit 1**

**Header Record Layout**

Field No.	Field Name	Start Pos	Field Type & Length	Comments
1	Record Type	1	X(1)	Must fill w/“1”
2	Custodian Code	2	X(5)	DOI assigned custodian code
3	Insurance Company Code	7	X(5)	NAIC Code
4	Year Ended	12	X(4)	Format CCYY; CC = the century, YY = the year
5	Filler	16	<u>X(135)</u> <u>150</u>	Space fill

Note:  
 X denotes alphanumeric  
 Alphanumeric fields containing numeric values should be right adjusted and zero filled to the left with the sign in the left most character (specific instructions for each field are documented in the comment section).

**APPENDIX A**

**Exhibit 2**

**Header Record Layout Description**

Field No.	Field Name	Comments
1	Record Type	This field must contain the number “1” for this record type.
2	Custodian Code	This field must contain the custodian’s code assigned by the DOI.
3	Insurance Company Code	This field must contain the Insurance company’s NAIC company code.
4	Year Ended	This field must contain the year of the period for which the data applies.
5	Filler	Spaces

**APPENDIX A**

**Exhibit 3**

**Detail Record Layout**

Field No.	Field Name	Start Pos	Field Type & Length	Comments
1	Record Type	1	X(1)	Must fill w/“2”
2	Custodian Code	2	X(5)	DOI Custodian Code
3	Insurance Company Code	7	X(5)	NAIC Code
4	CUSIP/PPN/CINS Number	12	X(9)	If no assigned number, fill w/nine zeroes. This number must be unique. There may not be two records with the same CUSIP. The first 8 digits must be unique (e.g. 123456789—1 through 8 must be unique).
5	Issuer	21	X(30)	
6	Description	51	X(30)	
7	Stock/Bond Indicator	81	X(1)	S or B
8	Quantity	82	X(15)	Total Par Value or Number of Shares—12 digits to left of implied decimal point. 3 digits to right—sign is NOT included since this value should always be positive.
9	Market Value	97	X(12)	Market Value Per Security 8 digits to left of implied decimal point. 3 digits to right, the sign ( - . ) should be in the first character
10	Market Price Source	109	X(20)	Source of Price (e.g. Wall Street Journal)
11	Filler	139	<u>X(22)</u> <u>150</u>	Space fill

Note:  
 X denotes alphanumeric  
 Alphanumeric fields containing numeric values should be right adjusted and zero filled to the left with the sign in the left most character (specific instructions for each field are documented in the comment section).

**APPENDIX A**

**Exhibit 4**

**Detail Record Layout Description**

Field No.	Field Name	Comments
1	Record Type	This field must contain the number “2” for this record type.
2	Custodian Code	This field must contain the custodian’s code which was assigned by the DOI.
3	Insurance Company Code	This field must contain the Insurance company’s NAIC company code.
4	CUSIP/PPN/CINS Number	Must contain approved CUSIP, PPN, or CINS Number or (foreign issues) Agency number as assigned by Standard & Poor’s Corporation. This number must be unique. There may be no duplicate CUSIP. It is the first 8 digits of the CUSIP that must be unique. For example, 222222212 and 222222222 are unique CUSIPs. However, the following are duplicate CUSIPs: 22222222 and 222222221. Therefore,

Field No.	Field Name	Comments
		each record must be a unique CUSIP according to the first 8 digits. The "first 8" refers to the first eight digits, starting from the left.
5	Issuer	Must contain name of company issuing security.
6	Description	Must contain shortened CUSIP security description.
7	Stock/Bond Indicator	Must contain an S to indicate security quantity is reported as number of shares or a B to indicate security quantity is reported as par value.
8	Quantity	Must contain total number of shares of stocks held or total par value of bonds (where the value of bonds owned are adjusted for repayment of principal).
9	Market Value	Must contain market value per security. For stocks this field should contain market value per share. For bonds this field should contain market value per unit.
10	Market Price Source	Must contain the source of pricing for example, Wall Street Journal, Dow Jones, etc.
11	Filler	Spaces

Field No.	Field Name	Comments
2	Custodian Code	This field must contain the custodian's code assigned by the DOI.
3	Insurance Company Code	This field must contain the Insurance company's NAIC company code.
4	Total Records	Total number of detail records submitted.
5	Total Quantity	Cash total of total shares/par value (total of quantity field for all detail records).
6	Filler	Spaces

**APPENDIX B**

Exhibit 1

General Ledger Account Detail Record Layout

**APPENDIX A**  
Exhibit 5  
Trailer Record Layout

Field No.	Field Name	Start Pos	Field Type & Length	Comments
1	Record Type	1	X(1)	Must fill w/"3"
2	Custodian Code	2	X(5)	DOI Custodian Code
3	Insurance Company Code	7	X(5)	NAIC Code
4	Total Records	12	X(8)	Exclude header & trailer
5	Total Quantity	20	X(18)	15 digits to the left of the implied decimal point, 3 digits to the right, no sign should be included, this should be a total of the quantity field for every detail record.
6	Filler	38	<u>X(113)</u> <u>150</u>	Space fill

Note:  
X denotes alphanumeric  
Alphanumeric fields containing numeric values should be right adjusted and zero filled to the left with the sign in the left most character (specific instructions for each field are documented in the comment section).

Field Number	Field Name	Start Pos	Field Type and Length	Comments
1	General Ledger Account Number	1	X(12)	General Ledger account number including sub-accounts.
2	Adjustment Number	13	9(5)	Must be "0", right justified.
3	Account Description	18	X(45)	Description of the account.
4	Annual Statement Page Number	63	X(2)	The page number of the annual statement where the account is reported.
5	Annual Statement Line Number	65	X(6)	The line number on the page where the account is reported.
6	Annual Statement Page Number	71	X(1)	The column number on the page where the account is reported.
7	Amount	72	9(16)	The amount of the year-end, pre-closing account balance.
			<u>87</u>	

Note:  
X = denotes alphanumeric  
9 = denotes numeric

New Rule, R.1994 d.104, effective February 22, 1994.  
See: 25 N.J.R. 2820(b), 26 N.J.R. 1100(b).

**APPENDIX A**  
Exhibit 6  
Trailer Record Layout Description

Field No.	Field Name	Comments
1	Record Type	This field must contain the number "3" for this record type.

APPENDIX B

Exhibit 2

General Ledger Account Detail Record Layout Description

Field Number	Field Name	Comments
1	General Ledger Account Number	General ledger account number (alphanumeric, left justified, up to 12 positions). Sub-accounts are to be combined with account number, up to 12 positions.
2	Adjustment Number	A zero for the adjustment number (numeric, right justified) indicates this is an account and not an adjustment.
3	Account Description	Description of the account (the first 45 positions, left justified).
4	Annual Statement Page Number	The page number of the annual statement for P/C companies which corresponds to Liabilities Surplus and Other Funds, Underwriting and Investment Exhibit—Statement of Income and Exhibit 1—Analysis of Assets. The page number of the Annual Statement for L/H companies which corresponds to Liabilities Surplus and Other Funds, Summary of Operations and Exhibit 13—Assets. (for 1993 data this must be 03, 04, or 12 for P&C companies or 03, 04, or 20 for L/H companies).
5	Annual Statement Line Number	The line number on the page where the account is reported (left justified, with a leading zero for numbers less than 10, that is, 02.2).
6	Annual Statement Column Number	The column number on the page where the account is reported (1 for pages 03 and 04; 1, 2, or 3 for page 12 or page 20).
7	Amount	The amount field will be the year-end pre-closing account balance (positive for debit balance and negative for credit balance). The decimal point is to be contained in the field. A leading minus (“-”), placed directly before the first number, is used to indicate negative numbers. Leading zeros are not to be used, but trailing zeros are to be used for the decimal places. The total field width (16) includes all numbers, the minus sign and the decimal point. For example, a negative \$304,020 and 20 cents would appear as _____-304020.20, where the underscore represents spaces.

New Rule, R.1994 d.104, effective February 22, 1994.

APPENDIX B

Exhibit 3

Adjusting Ledger Detail Record Layout

Field Number	Field Name	Start Pos	Field Type and Length	Comments
1	General Ledger Account Number	1	X(12)	General ledger account number to be adjusted.
2	Adjustment Number	13	9(5)	The adjustment number.
3	Adjustment Description	18	X(45)	Description of the adjustment.
4	Annual Statement Page Number	63	X(2)	The page number of the annual statement where the adjustment is reported.

  

Field Number	Field Name	Start Pos	Field Type and Length	Comments
5	Annual Statement Line Number	65	X(6)	The line number on the page where the adjustment is reported.
6	Annual Statement Column Number	71	X(1)	The column number on the page where the adjustment is reported.
7	Amount	72	9(16)	The year-end closing adjustment amount.

Note:  
X = denotes alphanumeric  
9 = denotes numeric

New Rule, R.1994 d.104, effective February 22, 1994.  
See: 25 N.J.R. 2820(b), 26 N.J.R. 1100(b).

APPENDIX B  
Exhibit 4  
Adjusting Entry Detail Record Layout Description

Field Number	Field Name	Comments
1	General Ledger Account Number	General ledger account number to be adjusted (alphanumeric, left justified, up to 12 positions). If there is no account number for Surplus (page 03, line 25B for P&C companies and page 03, line 34 for L/H companies), account number 999 is to be used.
2	Adjustment Number	The same adjustment number should be used for all off-setting entries. All adjustment numbers shall be less than 90,000.
3	Adjustment Description	Description of the adjustment (The first 45 positions, left justified).
4	Annual Statement Page Number	The page number of the annual statement for P/C companies which corresponds to Liabilities Surplus and Other Funds, Underwriting and Investment Exhibit—Statement of Income and Exhibit 1—Analysis of Assets. The page number of the Annual Statement for L/H companies which corresponds to Liabilities Surplus and Other Funds, Summary of Operations and Exhibit 13—Assets. (for 1993 data this must be 03, 04, or 12 for P&C companies or 03, 04, or 20 for L/H companies).
5	Annual Statement Line Number	The line number on the page where the adjustment is reported (left justified, with a leading zero for numbers less than 10, that is, 02.2).
6	Annual Statement Column Number	The column number on the page where the adjustment is reported (1 for pages 03 and 04; 1, 2 or 3 for page 12 or page 20).
7	Amount	The amount field will be the year-end closing adjustment amount (positive for debit balance and negative for credit balance). The decimal point is to be contained in the field. A leading minus (“-”), placed directly before the first number, is used to indicate negative numbers. Leading zeros are not to be used, but trailing zeros are to be used for the decimal places. The total field width (16) includes all numbers, the minus sign and the decimal point. For example, a negative \$304,020 and 20 cents would appear as _____304020.20, where the underscore represents spaces.

New Rule, R.1994 d.104, effective February 22, 1994.  
See: 25 N.J.R. 2820(b), 26 N.J.R. 1100(b).

**SUBCHAPTER 3. DATA SUBMISSION  
REQUIREMENTS FOR ALL LICENSED  
PRODUCERS WITH SURPLUS LINES  
AUTHORITY AND ELIGIBLE SURPLUS  
LINES INSURERS**

**Subchapter Historical Note**

Subchapter 3, Data Submission Requirements for all Licensed Producers with Surplus Lines Authority and Eligible Surplus Lines Insurers, became effective May 17, 1993 as R.1993 d.232. See: 24 N.J.R. 3003(a), 25 N.J.R. 1972(b).

**11:19-3.1 Purpose and scope**

(a) The purpose of this subchapter is to set forth the filing and reporting requirements and procedures for the submission of:

1. All eligible surplus lines insurers' quarterly net written premiums for the State of New Jersey; and
2. Tax and surcharge filings for all licensed surplus lines producers.

(b) These rules apply to all licensed producers with surplus lines authority and all insurers eligible to transact surplus lines insurance business in New Jersey in accordance with N.J.S.A. 17:22-6.40 et seq. and 17:22-6.70 et seq.

**11:19-3.2 Definitions**

The following words and terms, as used in this subchapter, shall have the following meanings, unless the context clearly indicates otherwise:

“Alien insurer” means an insurer formed under the laws of any country other than the United States of America, its states, districts, territories, commonwealths or possessions.

“Commissioner” means the Commissioner of the New Jersey Department of Insurance.

“Department” means the Department of Insurance.

“Due date” means a date prior to or on which a submission shall be received by the Department.

“EBCDIC” means the Extended Binary Coded Decimal Interchange Code which is a computer code for representing data. This code is used in all IBM mainframe systems.

“Foreign insurer” means an insurer formed under the laws of a jurisdiction of the United States of America, other than the State of New Jersey.

“Insurer” or “insurance company” means an entity authorized or eligible to transact the business of insurance in New Jersey.