



Programmer's Technical Reference Manual

Version 5.2
April 2025

A resource for programmatic data transmissions
using the SLTX Online Filing System (SMART)

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4.937

4.837

4.737

4.637

4.537

4.437

4.337

4.237

4.138

4.038

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For more information on the SLTX Online Filing System (SMART), please contact:
Surplus Lines Stamping Office of Texas
1601 E Pflugerville Pkwy, suite 3301
Pflugerville, TX 78660
(800) 681-5848 or visit our website at www.SLTX.org

Introduction to Programmatic Upload Filing

For surplus lines agencies with high-volume filing needs, SLTX's **SMART** application offers an alternate bulk filing process. This submission procedure enables an agency to upload previously created policy and transaction data files from their own system to SMART by either utilizing the web site for manual uploads or via client-side programming for automated file transfers to the system.

This reference document provides the resources and record layouts needed for constructing and transmitting these types of file packages to SLTX through the SMART application. A certain level of programming knowledge is assumed: instructions for extracting data and writing code to automate these transfer functions will not be found in this text.

The SLTX code files for Transaction Codes, Action Codes, Coverage Codes, Class Codes, Company Codes, and Syndicate Codes are available to the programmatic filer as API requests. These are programmatic replacements of the existing Master Codes Lists such as the former EFR1005 Report. Additionally, these code listings are available within SMART's Search/Edit module. These codes can be used to build a cross-reference of SLTX codes to agency database codes.

The programmatic-filing approach follows many of the same submission procedures as used by web filers. However, there are marked differences. All manual transaction-entry procedures and some of the web-based Batch Management rules are by-passed. Once Agency Profiles and User Profiles are established in the system, programmatic filers will use the web site to check batch-processing results, download posted transactions and error files, make corrections, and access necessary reports.

Programmatic File Transmission Process

Overview

SMART uses a JSON API with a Swagger UI.

All requests use Basic Authentication with your user ID and password that is shared between SMART and the legacy Electronic Filing System (EFS).

The following URLs are used for SMART:

TEST

- **SMART UI:** <https://test.sltx.org>
- **SMART API Swagger:** <https://api-test.sltx.org>

PRODUCTION

- **SMART UI:** <https://smart.sltx.org>
- **SMART API Swagger:** <https://api.sltx.org>

ALERT! Adequate testing is required within the Test Environment. It is necessary for you to successfully demonstrate (or test) any features, as well as all products (coverage/class) and insurers, that will be automated (or submitted via the API). After sufficient, successful submissions and postings, the SLTX Help Desk will activate your agency in the live production environment. Any entries made in our test environment are for testing purposes only and will not be copied or transferred to the live production environment.

Support

SLTX will provide basic review and advice related to the resolution of obvious data or format related defects.

Unfortunately, at this time, SLTX is unable to provide in-depth support / work for any filer or vendor that elects to fully automate the XML submission as this level of support and/or modification to your existing code base exceeds the licensing, legal liability, and cyber risk threshold that SLTX is currently allowed to operate under. If you are unable to fully automate the XML submission, you may utilize the "Upload API Filings" feature from SMART's filing menu to submit your prepared XML file.

Models

Some API response models are provided here:

Uploads

UploadSucceeded – bool

IsValid – bool

Warnings – List<string>

Errors – List<string>

StatusURL – string

SMART Connector

SMART Connector is a desktop utility that will perform the programmatic filing process for users of Vertafore's AIM.

Installation is available by contacting SLTX.

Once installed, SMART Connector can be executed as often as desired to send transactions to SMART. This process should be done at least once a month to avoid late filing.

The SMART Connector application will guide you through the filing process. You will need a login to your AIM Database, a SMART (or EFS) login, and you need to perform some product and company mapping up front in order to upload.

Product Mapping

A feature that allows the SMART Connector user to pair or map AIM product and company codes to SLTX Coverage/Class or Company codes.

While this feature is referenced within the SMART API Swagger page; this feature is solely used by the SMART Connector.

Transaction Data Rules

The following schedules show all necessary code and data requirements to be used when assembling policy information for each individual type of transaction that you might submit to SLTX. Other information applicable to data preparation concerning special requirements is noted under [Special Situations](#).

New and Renewal Business

New and Renewal Policies or Binders

*Note: Date Extensions should be processed as **Renewals** to check stamping fee and company eligibility*

Codes

New Policy	TransType = "N"	ActionCode = " " (blank)
Renew Policy	TransType = "R"	ActionCode = " " (blank)
New Binder	TransType = "N"	ActionCode = "BN" (Binder)
Renewal Binder	TransType = "R"	ActionCode = "BN" (Binder)

Required fields

TransType, PolicyNumber, Insured, ClassCd, EffectiveDate, ExpirationDate, ZipCode* (risk location zip code, required for all lines of business), CvgCode(s)*, Securities*

Binder Note: If policy number is unknown when the binder is submitted then put the binder number in the policy number field.

Optional fields

ActionCode, WindStormExclusion*, PolicyFee, TotalTax, TotalStampFee, TotalGross, PremiumAllocation* (Exempt, Breakdown of States / Individual States), IssueDate, ContUntilCncl, FedCrUnion, CustomID*, ECP, IndustrialInsured, PurchasingGroup, PolicyLimit, ReEntry

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

New Policy

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-NEW</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <InceptionDate>01/02/2019</InceptionDate>
      <ExpirationDate>01/02/2020</ExpirationDate>
      <IssueDate>01/15/2019</IssueDate>
      <ContUntilCncl>N</ContUntilCncl>
      <FedCrUnion>N</FedCrUnion>
      <CustomID>YourCustomPolicyID</CustomID>
      <ReEntry>N</ReEntry>
    </Policy>
  </Batch>
</smart:Request>
```

```

<WindStormExclusion>N</WindStormExclusion>
<ECP>N</ECP>
<PremiumAllocation>
  <Allocation AllocCode="CA">5000.00</Allocation>
  <Allocation AllocCode="FL">3000.00</Allocation>
  <Allocation AllocCode="BS">8000.00</Allocation>
  <Allocation AllocCode="EX">1500.00</Allocation>
</PremiumAllocation>
<IndustrialInsured>N</IndustrialInsured>
<PurchasingGroup>N</PurchasingGroup>
<Coverages>
  <Coverage CvgCode="9515">5000.00</Coverage>
  <Coverage CvgCode="9334">5005.00</Coverage>
</Coverages>
<Securities>
  <Company CoNumber="80101265">24.500000</Company>
  <Company CoNumber="8012520658">24.500000</Company>
  <Company CoNumber="90102091">51.000000</Company>
  <Syndicate CoNumber="101127"/>
  <Syndicate CoNumber="101132"/>
</Securities>
</Policy>
</Batch>
</smart:Request>

```

Renewal Policy

```

<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-RENEW</PolicyNumber>
      <TransType>R</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <InceptionDate>01/02/2019</InceptionDate>
      <ExpirationDate>01/02/2020</ExpirationDate>
      <IssueDate>01/15/2019</IssueDate>
      <ContUntilCancel>N</ContUntilCancel>
      <FedCrUnion>N</FedCrUnion>
      <CustomID>YourCustomPolicyID</CustomID>
      <ReEntry>N</ReEntry>
      <WindStormExclusion>N</WindStormExclusion>
      <ECP>N</ECP>
      <PremiumAllocation>
        <Allocation AllocCode="CA">5000.00</Allocation>
        <Allocation AllocCode="FL">3000.00</Allocation>
        <Allocation AllocCode="BS">8000.00</Allocation>
        <Allocation AllocCode="EX">1500.00</Allocation>

```

```

</PremiumAllocation>
<IndustrialInsured>N</IndustrialInsured>
<PurchasingGroup>N</PurchasingGroup>
<Coverages>
  <Coverage CvgCode="9515">5000.00</Coverage>
  <Coverage CvgCode="9334">5005.00</Coverage>
</Coverages>
<Securities>
  <Company CoNumber="80101265">24.500000</Company>
  <Company CoNumber="8012520658">24.500000</Company>
  <Company CoNumber="90102091">51.000000</Company>
  <Syndicate CoNumber="101127"/>
  <Syndicate CoNumber="101132"/>
</Securities>
</Policy>
</Batch>
</smart:Request>

```

New Binder

```

<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-BINDER</PolicyNumber>
      <TransType>N</TransType>
      <ActionCode>BN</ActionCode>
      <Insured>Sample Name</Insured>
      <ZipCode>78759</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>875.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <EffectiveDate>01/12/2019</EffectiveDate>
      <ExpirationDate>01/12/2020</ExpirationDate>
      <IssueDate>01/04/2019</IssueDate>
      <WindStormExclusion>N</WindStormExclusion>
      <PremiumAllocation>
        <Allocation AllocCode="EX">750.00</Allocation>
        <Allocation AllocCode="BS">50.00</Allocation>
        <Allocation AllocCode="CA">50.00</Allocation>
      </PremiumAllocation>
      <ECP>N</ECP>
      <Coverages>
        <Coverage CvgCode="9334">4000.00</Coverage>
        <Coverage CvgCode="9515">6000.00</Coverage>
      </Coverages>
      <CustomID>YourBinderCustomID</CustomID>
      <Securities>
        <Company CoNumber="8012520658">100</Company>
      </Securities>
    </Policy>
  </Batch>
</smart:Request>

```

New and Renewal Policy Replacing Binder

Codes

New Policy Replacing Binder	TransType = "N"	ActionCode = "PR" (Policy Replacing Binder)
Renewal Policy Replacing Binder	TransType = "R"	ActionCode = "PR" (Policy Replacing Binder)

An important note to agencies/brokers about this transaction is that the policy replacing a binder action code, PR, will automatically cancel the Binder, which will remove the money, including tax and stamping fee. Then, the money on the transaction sent by the agency/broker will be put on the Policy that replaces the Binder. It is not necessary to submit a cancellation of the Binder, but it is necessary to provide the premium, tax, stamping fee and total gross. A blank, or value of zero, is allowed in these fields only when there is not a premium.

Required fields

TransType, ActionCode, PolicyNumber, Insured, ClassCd, EffectiveDate, ExpirationDate, ZipCode* (risk location zip code, required for all lines of business), CvgCode(s)*, Securities*

Optional fields

Binder, WindStormExclusion*, PolicyFee, TotalTax, TotalStampFee, TotalGross, PremiumAllocation* (Exempt, Breakdown of States / Individual States), InceptionDate, IssueDate, ContUntilCancl, FedCrUnion, CustomID*, ECP, IndustrialInsured, PurchasingGroup, PolicyLimit, ReEntry

Binder

If the Policy Number of the Policy is different than the Binder Number, then put the Binder Number in Binder and Policy Number in PolicyNumber.

If the Policy Number and Binder Number are the same, then only the PolicyNumber field must be provided.

InceptionDate

If the Effective Date on the Policy is different from that of the Binder, then put the Policy's Effective Date in InceptionDate and the Binder's Effective Date in EffectiveDate.

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

New Binder with Policy Replacing Binder

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-BINDER</PolicyNumber>
      <TransType>R</TransType>
      <ActionCode>BN</ActionCode>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/01/2019</EffectiveDate>
      <ExpirationDate>01/01/2020</ExpirationDate>
      <IssueDate>01/15/2019</IssueDate>
      <ContUntilCancl>N</ContUntilCancl>
      <FedCrUnion>N</FedCrUnion>
```

```

<CustomID>YourCustomBinderID</CustomID>
<ReEntry>N</ReEntry>
<WindStormExclusion>N</WindStormExclusion>
<ECP>N</ECP>
<PremiumAllocation>
  <Allocation AllocCode="CA">500.00</Allocation>
  <Allocation AllocCode="FL">300.00</Allocation>
  <Allocation AllocCode="BS">800.00</Allocation>
  <Allocation AllocCode="EX">1500.00</Allocation>
</PremiumAllocation>
<IndustrialInsured>N</IndustrialInsured>
<PurchasingGroup>N</PurchasingGroup>
<Coverages>
  <Coverage CvgCode="9515">5000.00</Coverage>
  <Coverage CvgCode="9334">5005.00</Coverage>
</Coverages>
<Securities>
  <Company CoNumber="80101265">24.500000</Company>
  <Company CoNumber="8012520658">24.500000</Company>
  <Company CoNumber="90102091">51.000000</Company>
  <Syndicate CoNumber="101127"/>
  <Syndicate CoNumber="101132"/>
</Securities>
</Policy>
<Policy>
  <PolicyNumber>SAMPLE-REPLACE</PolicyNumber>
  <Binder>SAMPLE-BINDER</Binder>
  <TransType>R</TransType>
  <ActionCode>PR</ActionCode>
  <Insured>Sample Name</Insured>
  <ZipCode>78704</ZipCode>
  <ClassCd>61215</ClassCd>
  <PolicyFee>870.00</PolicyFee>
  <TotalTax>527.44</TotalTax>
  <TotalStampFee>16.31</TotalStampFee>
  <TotalGross>11418.75</TotalGross>
  <PolicyLimit>1000000</PolicyLimit>
  <EffectiveDate>01/01/2019</EffectiveDate>
  <InceptionDate>01/15/2019</InceptionDate>
  <ExpirationDate>01/15/2020</ExpirationDate>
  <IssueDate>01/27/2019</IssueDate>
  <ContUntilCancel>N</ContUntilCancel>
  <FedCrUnion>N</FedCrUnion>
  <CustomID>YourCustomPRID</CustomID>
  <BinderCustomID>YourCustomBinderID</BinderCustomID>
  <ReEntry>N</ReEntry>
  <WindStormExclusion>N</WindStormExclusion>
  <ECP>N</ECP>
  <PremiumAllocation>
    <Allocation AllocCode="CA">500.00</Allocation>
    <Allocation AllocCode="FL">300.00</Allocation>
    <Allocation AllocCode="BS">800.00</Allocation>
    <Allocation AllocCode="EX">1500.00</Allocation>
  </PremiumAllocation>
  <IndustrialInsured>N</IndustrialInsured>
  <PurchasingGroup>N</PurchasingGroup>
  <Coverages>

```

```

    <Coverage CvgCode="9515">5000.00</Coverage>
    <Coverage CvgCode="9334">5005.00</Coverage>
  </Coverages>
  <Securities>
    <Company CoNumber="80101265">24.500000</Company>
    <Company CoNumber="8012520658">24.500000</Company>
    <Company CoNumber="90102091">51.000000</Company>
    <Syndicate CoNumber="101127"/>
    <Syndicate CoNumber="101132"/>
  </Securities>
</Policy>
</Batch>
</smart:Request>

```

Endorsements

This section covers filings which change the terms of an existing policy or binder. See also: [Cancellations](#) and [Reinstatements](#).

Premium Change

Do not use this to cancel or reinstate a policy. See also: [Cancellations](#) and [Reinstatements](#).

Codes

Premium Change Endorsement TransType = "E" ActionCode = " " (blank)

Required fields

PolicyNumber, TransType, EffectiveDate, CvgCode(s)*

Optional fields

ActionCode, ZipCode*, WindStormExclusion*, PolicyFee, TotalTax, TotalStampFee, TotalGross, PremiumAllocation* (Exempt, Breakdown of States / Individual States), IssueDate, AORFlag, PrevAgLicNo*, CustomID*, ParentCustomID*

*See additional information on these specific fields as noted in [Special Situations](#). The ZipCode and WindStormExclusion fields should be included only if a new location is being added or the risk location/exposure is changing.

Example XML

```

<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-RENEWAL</PolicyNumber>
      <TransType>R</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/02/2019</EffectiveDate>
    </Policy>
  </Batch>
</smart:Request>

```

```

<InceptionDate>01/02/2019</InceptionDate>
<ExpirationDate>12/31/2020</ExpirationDate>
<IssueDate>01/02/2019</IssueDate>
<ContUntilCancel>N</ContUntilCancel>
<FedCrUnion>N</FedCrUnion>
<AORFlag>N</AORFlag>
<CustomID>YourCustomPolicyID</CustomID>
<ReEntry>N</ReEntry>
<WindStormExclusion>N</WindStormExclusion>
<ECP>N</ECP>
<Coverages>
  <Coverage CvgCode="9515">5000.00</Coverage>
  <Coverage CvgCode="9334">5005.00</Coverage>
</Coverages>
<Securities>
  <Company CoNumber="80101265">24.500000</Company>
  <Company CoNumber="8012520658">24.500000</Company>
  <Company CoNumber="90102091">51.000000</Company>
  <Syndicate CoNumber="101127"/>
  <Syndicate CoNumber="101132"/>
</Securities>
</Policy>
<Policy>
  <TransType>E</TransType>
  <PolicyNumber>SAMPLE-RENEWAL</PolicyNumber>
  <ZipCode>78746</ZipCode>
  <PolicyFee>500.00</PolicyFee>
  <TotalTax>48.50</TotalTax>
  <TotalStampFee>1.50</TotalStampFee>
  <TotalGross>1050.00</TotalGross>
  <EffectiveDate>01/02/2019</EffectiveDate>
  <IssueDate>01/02/2019</IssueDate>
  <AORFlag>N</AORFlag>
  <CustomID>YourEndorsementID</CustomID>
  <ParentCustomID>YourCustomPolicyID</ParentCustomID>
  <ReEntry>N</ReEntry>
  <PremiumAllocation>
    <Allocation AllocCode="CA">10.00</Allocation>
    <Allocation AllocCode="FL">20.00</Allocation>
    <Allocation AllocCode="BS">30.00</Allocation>
    <Allocation AllocCode="EX">100.00</Allocation>
  </PremiumAllocation>
  <Coverages>
    <Coverage CvgCode="9334">500.00</Coverage>
  </Coverages>
</Policy>
</Batch>
</smart:Request>

```

Securities Change

Codes

Security Change Endorsement

TransType = "E"

ActionCode = "SC" (Securities)

Required fields

PolicyNumber, TransType,ActionCode,EffectiveDate,Securities*

Optional fields

IssueDate, AORFlag, PrevAgLicNo*, CustomID*, ParentCustomID*

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-BINDER</PolicyNumber>
      <TransType>N</TransType>
      <ActionCode>BN</ActionCode>
      <Insured>Sample name</Insured>
      <ZipCode>78759</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>875.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <EffectiveDate>01/12/2019</EffectiveDate>
      <ExpirationDate>01/12/2020</ExpirationDate>
      <IssueDate>01/03/2019</IssueDate>
      <PremiumAllocation>
        <Allocation AllocCode="EX">1500.00</Allocation>
        <Allocation AllocCode="BS">50.00</Allocation>
        <Allocation AllocCode="CA">50.00</Allocation>
      </PremiumAllocation>
      <WindStormExclusion>N</WindStormExclusion>
    </Policy>
    <Coverages>
      <Coverage CvgCode="9334">4000.00</Coverage>
      <Coverage CvgCode="9515">6000.00</Coverage>
    </Coverages>
    <CustomID>YourBinderCustomID</CustomID>
    <Securities>
      <Company CoNumber="8012520658">100</Company>
    </Securities>
  </Batch>
  <Policy>
    <PolicyNumber>SAMPLE-BINDER</PolicyNumber>
    <TransType>E</TransType>
    <ActionCode>SC</ActionCode>
    <EffectiveDate>02/03/2019</EffectiveDate>
    <IssueDate>02/25/2019</IssueDate>
    <ReEntry>N</ReEntry>
    <Securities>
      <Company CoNumber="90102091">100.000000</Company>
      <Syndicate CoNumber="101127"/>
      <Syndicate CoNumber="101132"/>
    </Securities>
  </Policy>
</Batch>
</smart:Request>
```

Expiration Date Change

Note: Date extensions should be processed as Renewals to check stamping fee and company/insurer eligibility. If you need to change both Inception and Expiration Dates, then you can file just one Inception Date Change.

Codes

Expiration Date

Change Endorsement

TransType = "E"

ActionCode = "ED" (Expiration Date)

Required fields

PolicyNumber, TransType, ActionCode, ExpirationDate (new expiration date)

Optional fields

IssueDate, AORFlag, PrevAgLicNo*, CustomID*, ParentCustomID*

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-NEW</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <ExpirationDate>12/31/2020</ExpirationDate>
      <IssueDate>01/17/2019</IssueDate>
      <ContUntilCancel>N</ContUntilCancel>
      <FedCrUnion>N</FedCrUnion>
      <AORFlag>N</AORFlag>
      <CustomID>YourCustomPolicyID</CustomID>
      <WindStormExclusion>Y</WindStormExclusion>
      <ECP>N</ECP>
      <Coverages>
        <Coverage CvgCode="9515">5000.00</Coverage>
        <Coverage CvgCode="9334">5005.00</Coverage>
      </Coverages>
      <Securities>
        <Company CoNumber="80101265">24.500000</Company>
        <Company CoNumber="8012520658">24.500000</Company>
        <Company CoNumber="90102091">51.000000</Company>
        <Syndicate CoNumber="101127"/>
        <Syndicate CoNumber="101132"/>
      </Securities>
    </Policy>
    <Policy>
      <PolicyNumber>SAMPLE-NEW</PolicyNumber>
      <TransType>E</TransType>
      <ActionCode>ED</ActionCode>
      <EffectiveDate>01/02/2019</EffectiveDate>
```

```

    <ExpirationDate>01/02/2020</ExpirationDate>
    <IssueDate>01/03/2019</IssueDate>
    <ReEntry>N</ReEntry>
  </Policy>
</Batch>
</smart:Request>

```

Inception Date Change

Note: Date extensions should be processed as Renewals to check stamping fee and company/insurer eligibility. If you need to change both Inception and Expiration Dates, then you can file just one Inception Date change.

Codes

Inception Date

Change Endorsement TransType = "E" ActionCode = "ID" (Inception Date)

Required fields

PolicyNumber, TransType, ActionCode, EffectiveDate, InceptionDate (new inception date)

Optional fields

ExpirationDate (new Expiration Date), IssueDate, AORFlag, PrevAgLicNo*, CustomID*, ParentCustomID*

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```

<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-NEW</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <ExpirationDate>12/31/2020</ExpirationDate>
      <IssueDate>01/02/2019</IssueDate>
      <ContUntilCancel>N</ContUntilCancel>
      <CustomID>YourCustomPolicyID</CustomID>
      <WindStormExclusion>N</WindStormExclusion>
    </Policy>
    <Coverages>
      <Coverage CvgCode="9515">5000.00</Coverage>
      <Coverage CvgCode="9334">5005.00</Coverage>
    </Coverages>
    <Securities>
      <Company CoNumber="80101265">24.500000</Company>
      <Company CoNumber="8012520658">24.500000</Company>
      <Company CoNumber="90102091">51.000000</Company>
      <Syndicate CoNumber="101127"/>
      <Syndicate CoNumber="101132"/>
    </Securities>
  </Batch>
</smart:Request>

```

```

</Policy>
<Policy>
  <PolicyNumber>SAMPLE-NEW</PolicyNumber>
  <TransType>E</TransType>
  <ActionCode>ID</ActionCode>
  <EffectiveDate>01/02/2019</EffectiveDate>
  <InceptionDate>01/01/2019</InceptionDate>
  <ExpirationDate>01/01/2020</ExpirationDate>
  <IssueDate>03/15/2019</IssueDate>
  <ContUntilCancel>N</ContUntilCancel>
</Policy>
</Batch>
</smart:Request>

```

Insured Name Change

Codes

Name Change

Endorsement

TransType = "E"

ActionCode = "NC" (Name Change)

Required fields

PolicyNumber, TransType, ActionCode, EffectiveDate, Insured (new Insured)

Optional fields

IssueDate, AORFlag, PrevAgLicNo*, CustomID, ParentCustomID*

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```

<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-NEW</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <ExpirationDate>12/31/2020</ExpirationDate>
      <IssueDate>01/02/2019</IssueDate>
      <ContUntilCancel>N</ContUntilCancel>
      <FedCrUnion>N</FedCrUnion>
      <AORFlag>N</AORFlag>
      <CustomID>YourCustomPolicyID</CustomID>
      <ReEntry>N</ReEntry>
      <WindStormExclusion>N</WindStormExclusion>
      <ECP>N</ECP>
      <PremiumAllocation>
        <Allocation AllocCode="CA">50.00</Allocation>
      </PremiumAllocation>
    </Policy>
  </Batch>
</smart:Request>

```

```

    <Allocation AllocCode="FL">30.00</Allocation>
    <Allocation AllocCode="BS">80.00</Allocation>
    <Allocation AllocCode="EX">1500.00</Allocation>
  </PremiumAllocation>
  <IndustrialInsured>Y</IndustrialInsured>
  <PurchasingGroup>N</PurchasingGroup>
  <Coverages>
    <Coverage CvgCode="9515">5000.00</Coverage>
    <Coverage CvgCode="9334">5005.00</Coverage>
  </Coverages>
  <Securities>
    <Company CoNumber="80101265">24.500000</Company>
    <Company CoNumber="8012520658">24.500000</Company>
    <Company CoNumber="90102091">51.000000</Company>
    <Syndicate CoNumber="101127"/>
    <Syndicate CoNumber="101132"/>
  </Securities>
</Policy>
<Policy>
  <PolicyNumber>SAMPLE-NEW</PolicyNumber>
  <TransType>E</TransType>
  <ActionCode>NC</ActionCode>
  <Insured>Changed Name</Insured>
  <EffectiveDate>03/18/2019</EffectiveDate>
  <IssueDate>04/13/2019</IssueDate>
  <ReEntry>N</ReEntry>
</Policy>
</Batch>
</smart:Request>

```

Policy Number Change

Codes

Policy Number

Change Endorsement

TransType = "E"

ActionCode = "PN" (Policy Number)

Required fields

PolicyNumber, TransType, ActionCode, PolicyNumber (new PolicyNumber), EffectiveDate, ParentCustomID*

Optional fields

IssueDate, AORFlag, PrevAgLicNo*, CustomID

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```

<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-NEW</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
    </Policy>
  </Batch>
</smart:Request>

```

```

<TotalTax>527.44</TotalTax>
<TotalStampFee>16.31</TotalStampFee>
<TotalGross>11418.75</TotalGross>
<PolicyLimit>1000000</PolicyLimit>
<EffectiveDate>01/02/2019</EffectiveDate>
<ExpirationDate>12/31/2020</ExpirationDate>
<IssueDate>01/15/2019</IssueDate>
<ContUntilCancel>N</ContUntilCancel>
<FedCrUnion>N</FedCrUnion>
<AORFlag>N</AORFlag>
<CustomID>YourCustomPolicyID</CustomID>
<ReEntry>N</ReEntry>
<WindStormExclusion>N</WindStormExclusion>
<ECP>N</ECP>
<PremiumAllocation>
  <Allocation AllocCode="CA">5000.00</Allocation>
  <Allocation AllocCode="FL">3000.00</Allocation>
  <Allocation AllocCode="BS">8000.00</Allocation>
  <Allocation AllocCode="EX">150000.00</Allocation>
</PremiumAllocation>
<IndustrialInsured>N</IndustrialInsured>
<PurchasingGroup>N</PurchasingGroup>
<Coverages>
  <Coverage CvgCode="9515">5000.00</Coverage>
  <Coverage CvgCode="9334">5005.00</Coverage>
</Coverages>
<Securities>
  <Company CoNumber="80101265">24.500000</Company>
  <Company CoNumber="8012520658">24.500000</Company>
  <Company CoNumber="90102091">51.000000</Company>
  <Syndicate CoNumber="101127"/>
  <Syndicate CoNumber="101132"/>
</Securities>
</Policy>
<Policy>
  <TransType>E</TransType>
  <ActionCode>PN</ActionCode>
  <PolicyNumber>NEW-POLICY-NO</PolicyNumber>
  <EffectiveDate>02/02/2019</EffectiveDate>
  <IssueDate>02/20/2019</IssueDate>
  <ParentCustomID>YourCustomPolicyID</ParentCustomID>
  <ReEntry>N</ReEntry>
</Policy>
</Batch>
</smart:Request>

```

Cancellations and Reinstatements

Note: The Online Filing System does **not** assume that a cancellation transaction has return premium. *If* the cancellation has return premium, it will be necessary to

Codes

Cancellation	TransType = "C"	ActionCode = " " (blank)
Amended Cancellation	TransType = "C"	ActionCode = "AM" (amended)
Reinstatement	TransType = "I"	ActionCode = " " (blank)
Amended Reinstatement	TransType = "I"	ActionCode = "AM" (amended)
Reinstatement Fee	TransType = "I"	ActionCode = "RF" (Reinstatement Fee)

Required fields

PolicyNumber, TransType, ActionCode, EffectiveDate, CvgCode(s)*

Optional fields

PolicyFee, TotalTax, TotalStampFee, TotalGross, PremiumAllocation* (Exempt, Breakdown of States / Individual States), IssueDate, AORFlag, PrevAgLicNo*, CustomID*, ParentCustomID*

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-NEW</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>12/31/2019</EffectiveDate>
      <ExpirationDate>12/31/2020</ExpirationDate>
      <IssueDate>02/13/2020</IssueDate>
      <ContUntilCancel>N</ContUntilCancel>
      <FedCrUnion>N</FedCrUnion>
      <AORFlag>N</AORFlag>
      <CustomID>YourCustomPolicyID</CustomID>
      <ReEntry>N</ReEntry>
      <WindStormExclusion>N</WindStormExclusion>
      <ECP>N</ECP>
      <PremiumAllocation>
        <Allocation AllocCode="CA">50.00</Allocation>
        <Allocation AllocCode="FL">30.00</Allocation>
        <Allocation AllocCode="BS">80.00</Allocation>
        <Allocation AllocCode="EX">150.00</Allocation>
      </PremiumAllocation>
      <IndustrialInsured>N</IndustrialInsured>
      <PurchasingGroup>N</PurchasingGroup>
      <Coverages>
        <Coverage CvgCode="9515">5000.00</Coverage>
        <Coverage CvgCode="9334">5005.00</Coverage>
      </Coverages>
      <Securities>
        <Company CoNumber="80101265">24.500000</Company>
        <Company CoNumber="8012520658">24.500000</Company>
        <Company CoNumber="90102091">51.000000</Company>
        <Syndicate CoNumber="101127"/>
        <Syndicate CoNumber="101132"/>
      </Securities>
    </Policy>
  </Policy>
  <PolicyNumber>SAMPLE-NEW</PolicyNumber>
```

```

<TransType>C</TransType>
<PolicyFee>-870.00</PolicyFee>
<TotalTax>-527.44</TotalTax>
<TotalStampFee>-16.31</TotalStampFee>
<TotalGross>-11418.75</TotalGross>
<EffectiveDate>03/01/2020</EffectiveDate>
<IssueDate>03/15/2020</IssueDate>
<AORFlag>N</AORFlag>
<ReEntry>N</ReEntry>
<PremiumAllocation>
  <Allocation AllocCode="CA">-50.00</Allocation>
  <Allocation AllocCode="FL">-30.00</Allocation>
  <Allocation AllocCode="BS">-80.00</Allocation>
  <Allocation AllocCode="EX">-150.00</Allocation>
</PremiumAllocation>
<Coverages>
  <Coverage CvgCode="9515">-5000.00</Coverage>
  <Coverage CvgCode="9334">-5005.00</Coverage>
</Coverages>
</Policy>
<Policy>
  <PolicyNumber>SAMPLE-NEW</PolicyNumber>
  <TransType>C</TransType>
  <ActionCode>AM</ActionCode>
  <PolicyFee>50.00</PolicyFee>
  <TotalTax>50.95</TotalTax>
  <TotalStampFee>1.58</TotalStampFee>
  <TotalGross>1103.03</TotalGross>
  <EffectiveDate>03/01/2020</EffectiveDate>
  <IssueDate>03/19/2020</IssueDate>
  <AORFlag>N</AORFlag>
  <CustomID>YourCAmendmentID</CustomID>
  <ReEntry>N</ReEntry>
  <PremiumAllocation>
    <Allocation AllocCode="CA">5.00</Allocation>
    <Allocation AllocCode="FL">10.00</Allocation>
    <Allocation AllocCode="BS">15.00</Allocation>
    <Allocation AllocCode="EX">20.00</Allocation>
  </PremiumAllocation>
  <Coverages>
    <Coverage CvgCode="9515">500.00</Coverage>
    <Coverage CvgCode="9334">500.50</Coverage>
  </Coverages>
</Policy>
<Policy>
  <PolicyNumber>SAMPLE-NEW</PolicyNumber>
  <TransType>I</TransType>
  <PolicyFee>820.00</PolicyFee>
  <TotalTax>476.49</TotalTax>
  <TotalStampFee>14.74</TotalStampFee>
  <TotalGross>10315.73</TotalGross>
  <EffectiveDate>03/01/2020</EffectiveDate>
  <IssueDate>04/01/2020</IssueDate>
  <AORFlag>N</AORFlag>
  <CustomID>YourReinstatementID</CustomID>
  <ReEntry>N</ReEntry>
  <PremiumAllocation>

```

```

    <Allocation AllocCode="CA">45.00</Allocation>
    <Allocation AllocCode="FL">20.00</Allocation>
    <Allocation AllocCode="BS">65.00</Allocation>
    <Allocation AllocCode="EX">130.00</Allocation>
  </PremiumAllocation>
  <Coverages>
    <Coverage CvgCode="9515">4500.00</Coverage>
    <Coverage CvgCode="9334">4504.50</Coverage>
  </Coverages>
</Policy>
<Policy>
  <PolicyNumber>SAMPLE-NEW</PolicyNumber>
  <TransType>I</TransType>
  <ActionCode>AM</ActionCode>
  <PolicyFee>50.00</PolicyFee>
  <TotalTax>50.95</TotalTax>
  <TotalStampFee>1.58</TotalStampFee>
  <TotalGross>1103.03</TotalGross>
  <EffectiveDate>03/01/2020</EffectiveDate>
  <IssueDate>04/17/2020</IssueDate>
  <AORFlag>N</AORFlag>
  <CustomID>YourAmendmentID</CustomID>
  <ReEntry>N</ReEntry>
  <Coverages>
    <Coverage CvgCode="9515">500.00</Coverage>
    <Coverage CvgCode="9334">500.50</Coverage>
  </Coverages>
</Policy>
<Policy>
  <PolicyNumber>SAMPLE-NEW</PolicyNumber>
  <TransType>I</TransType>
  <ActionCode>RF</ActionCode>
  <PolicyFee>200.00</PolicyFee>
  <TotalTax>9.70</TotalTax>
  <TotalStampFee>0.30</TotalStampFee>
  <TotalGross>210.00</TotalGross>
  <EffectiveDate>05/01/2020</EffectiveDate>
  <IssueDate>04/25/2020</IssueDate>
  <AORFlag>N</AORFlag>
  <CustomID>YourNewCustomIRF</CustomID>
</Policy>
</Batch>
</smart:Request>

```

Reversals

This is used to reverse, void, or back-out a previously filing that was submitted without error(s).

Reversal Transactions

Codes

Premium Change Reversal	TransType = "E"	ActionCode = "RX" (Reversal)
New Reversal	TransType = "N"	ActionCode = "RX" (Reversal)
Renewal Reversal	TransType = "R"	ActionCode = "RX" (Reversal)
Cancellation Reversal	TransType = "C"	ActionCode = "RX" (Reversal)
Reinstatement Reversal	TransType = "I"	ActionCode = "RX" (Reversal)

Required fields

TransType, ActionCode, PolicyNumber,

Optional fields

EffectiveDate, TotalGross, ReverseCustomID*, AORFlag, PrevAgLicNo*, CustomID*

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-4-REVERSAL</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <InceptionDate>01/02/2019</InceptionDate>
      <ExpirationDate>12/31/2020</ExpirationDate>
      <IssueDate>01/02/2019</IssueDate>
      <ContUntilCancel>N</ContUntilCancel>
      <CustomID>UniqueID4RX</CustomID>
      <ReEntry>N</ReEntry>
      <IndustrialInsured>N</IndustrialInsured>
      <PurchasingGroup>N</PurchasingGroup>
      <WindStormExclusion>N</WindStormExclusion>
      <Coverages>
        <Coverage CvgCode="9515">5000.00</Coverage>
        <Coverage CvgCode="9334">5005.00</Coverage>
      </Coverages>
      <Securities>
        <Company CoNumber="80101265">100</Company>
      </Securities>
    </Policy>
    <Policy>
      <PolicyNumber>SAMPLE-4-REVERSAL</PolicyNumber>
      <TransType>N</TransType>
      <ActionCode>RX</ActionCode>
      <EffectiveDate>01/02/2019</EffectiveDate>
    </Policy>
  </Batch>
</smart:Request>
```

Alternately, you may use:

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-4-REVERSAL</PolicyNumber>
```

```

<TransType>N</TransType>
<Insured>Sample Name</Insured>
<ZipCode>78704</ZipCode>
<ClassCd>61215</ClassCd>
<PolicyFee>870.00</PolicyFee>
<TotalTax>527.44</TotalTax>
<TotalStampFee>16.31</TotalStampFee>
<TotalGross>11418.75</TotalGross>
<PolicyLimit>1000000</PolicyLimit>
<EffectiveDate>01/02/2019</EffectiveDate>
<InceptionDate>01/02/2019</InceptionDate>
<ExpirationDate>12/31/2020</ExpirationDate>
<IssueDate>01/02/2019</IssueDate>
<ContUntilCancel>N</ContUntilCancel>
<CustomID>UniqueID4RX</CustomID>
<ReEntry>N</ReEntry>
<IndustrialInsured>N</IndustrialInsured>
<PurchasingGroup>N</PurchasingGroup>
<WindStormExclusion>N</WindStormExclusion>
<Coverages>
  <Coverage CvgCode="9515">5000.00</Coverage>
  <Coverage CvgCode="9334">5005.00</Coverage>
</Coverages>
<Securities>
  <Company CoNumber="80101265">100</Company>
</Securities>
</Policy>
<Policy>
  <PolicyNumber>SAMPLE-4-REVERSAL</PolicyNumber>
  <TransType>N</TransType>
  <ActionCode>RX</ActionCode>
  <TotalGross>11418.75</TotalGross>
  <EffectiveDate>01/02/2019</EffectiveDate>
</Policy>
</Batch>
</smart:Request>

```

Alternately, you may use:

```

<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-4-REVERSAL</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <PolicyLimit>1000000</PolicyLimit>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <InceptionDate>01/02/2019</InceptionDate>
      <ExpirationDate>12/31/2020</ExpirationDate>
      <IssueDate>01/02/2019</IssueDate>
    
```

```

<ContUntilCancel>N</ContUntilCancel>
<CustomID>UniqueID4RX</CustomID>
<ReEntry>N</ReEntry>
<IndustrialInsured>N</IndustrialInsured>
<PurchasingGroup>N</PurchasingGroup>
<WindStormExclusion>N</WindStormExclusion>
<Coverages>
  <Coverage CvgCode="9515">5000.00</Coverage>
  <Coverage CvgCode="9334">5005.00</Coverage>
</Coverages>
<Securities>
  <Company CoNumber="80101265">100</Company>
</Securities>
</Policy>
<Policy>
  <TransType>N</TransType>
  <ActionCode>RX</ActionCode>
  <ReverseCustomID>UniqueID4RX</ReverseCustomID>
</Policy>
</Batch>
</smart:Request>

```

Updates

An Update Policy entry is only used to change the following values or fields on a policy. The posting program will change these values on the parent policy, and then on each of the children, where applicable. This gives the effect of changing values on the whole policy.

- Zip Code
- Class Code
- Policy Limit
- Exempt Premium
- Non-Texas Premium / Individual States
- Purchasing Group
- Windstorm Exclusion
- FCU flag - current accounting month only
- Issue Date
- Exempt Commercial Purchaser (ECP)
- Industrial Insured

Codes

Policy Update

TransType = "U"

ActionCode = " " (blank)

Required fields

TransType, PolicyNumber, EffectiveDate, CustomID*

Optional fields

ZipCode*, WindStormExclusion*, ClassCd, FedCrUnion, PolicyLimit, IssueDate, PremiumAllocation* (Exempt, Breakdown of States / Individual States), ECP, IndustrialInsured, PurchasingGroup

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```

<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <PolicyNumber>SAMPLE-4-UPDATE</PolicyNumber>
    <TransType>N</TransType>
    <Insured>Sample Name</Insured>
    <ZipCode>78704</ZipCode>

```

```
<ClassCd>61215</ClassCd>
<PolicyFee>870.00</PolicyFee>
<TotalTax>527.44</TotalTax>
<TotalStampFee>16.31</TotalStampFee>
<TotalGross>11418.75</TotalGross>
<EffectiveDate>01/02/2019</EffectiveDate>
<InceptionDate>01/02/2019</InceptionDate>
<ExpirationDate>12/31/2020</ExpirationDate>
<IssueDate>01/02/2019</IssueDate>
<ContUntilCancel>N</ContUntilCancel>
<CustomID>UniqueID4Update</CustomID>
<ReEntry>N</ReEntry>
<IndustrialInsured>N</IndustrialInsured>
<PurchasingGroup>N</PurchasingGroup>
<WindStormExclusion>N</WindStormExclusion>
<Coverages>
  <Coverage CvgCode="9515">5000.00</Coverage>
  <Coverage CvgCode="9334">5005.00</Coverage>
</Coverages>
<Securities>
  <Company CoNumber="80101265">100</Company>
</Securities>
</Policy>
<Policy>
  <PolicyNumber>SAMPLE-4-UPDATE</PolicyNumber>
  <TransType>U</TransType>
  <CustomID>UniqueID4Update</CustomID>
  <ClassCd>54444</ClassCd>
  <PolicyLimit>2500000</PolicyLimit>
</Policy>
</Batch>
</smart:Request>
```

Deletes

Used to remove a transaction from the SLTX database and are only allowed during the current accounting month.

Delete Transactions

Codes

Premium Change Delete	TransType = "X"	ActionCode = " " (blank)
New Delete	TransType = "X"	ActionCode = " " (blank)
Renewal Delete	TransType = "X"	ActionCode = " " (blank)
Cancellation Delete	TransType = "X"	ActionCode = " " (blank)
Reinstatement Delete	TransType = "X"	ActionCode = " " (blank)

Required fields

TransType, ActionCode, PolicyNumber, EffectiveDate, CustomID*

Optional fields

TotalGross

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
  <Batch>
    <Policy>
      <PolicyNumber>SAMPLE-4-DELETE</PolicyNumber>
      <TransType>N</TransType>
      <Insured>Sample Name</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <InceptionDate>01/02/2019</InceptionDate>
      <ExpirationDate>12/31/2020</ExpirationDate>
      <IssueDate>01/02/2019</IssueDate>
      <ContUntilCancel>N</ContUntilCancel>
      <CustomID>UniqueID4Delete</CustomID>
      <ReEntry>N</ReEntry>
      <IndustrialInsured>N</IndustrialInsured>
      <PurchasingGroup>N</PurchasingGroup>
      <WindStormExclusion>N</WindStormExclusion>
      <Coverages>
        <Coverage CvgCode="9515">5000.00</Coverage>
        <Coverage CvgCode="9334">5005.00</Coverage>
      </Coverages>
      <Securities>
        <Company CoNumber="80101265">100</Company>
      </Securities>
    </Policy>
    <Policy>
      <PolicyNumber>SAMPLE-4-DELETE</PolicyNumber>
      <TransType>X</TransType>
```

```
<CustomID>UniqueID4Delete</CustomID>
<EffectiveDate>01/02/2019</EffectiveDate>
<TotalGross>11418.75</TotalGross>
</Policy>
</Batch>
</smart:Request>
```

Delete Batch

Note: Only allowed when batch solely contains pendings (items with error / tags)

Required fields

DeleteBatch*

*See additional information on these specific fields as noted in [Special Situations](#)

Example XML

```
<?xml version="1.0" encoding="UTF-8"?>
<smart:Request xmlns:smart="https://smart.sltx.org">
<DeleteBatch BatchNo="3239" ReportDate="03/31/2025" />
</smart:Request>
```

Special Situations

<CustomID> / <ReverseCustomID> / <ParentCustomID> / <BinderCustomID>

<CustomID> – It is strongly recommended to always provide a CustomID for every filing. This must be unique; it is suggested to use something meaningful from your filing system such as an invoice id. When processing a Delete transaction, you are required to provide the CustomID of the item that you are deleting.

<ReverseCustomID> – It is strongly recommended for reversals in order to mark which transaction is being reversed. When reversing the ParentCustomID must also correspond to the Policy or Binder. Which means when reversing a Policy or Binder the ReverseCustomID and ParentCustomID will be the same value.

<ParentCustomID> – It is strongly recommended for anything filed against a parent (non-policy or “child transaction”), for example endorsements or cancellations to mark which policy is being modified by the child transaction. When filing a Policy Number change this **must** be provided.

<BinderCustomID> – It is strongly recommended that this be provided when filing a Policy Replacing Binder to point to the original Binder.

<Securities>

<Company> – Securities will consist of at least one company, CoNumber, and ParticipationPct. The total of all the ParticipationPct fields for each company used must equal 100% for a transaction. Each company participation must be in percentage format and can be up to 6 decimal places. Example: “35.156413”, or “100”

<Syndicate> – If one of the companies is Underwriters at Lloyd's London, then at least one Syndicate CoNumber is required.

A company or syndicate must be eligible at the inception date of the policy. If it is not, it will be indicated at posting. See the Status field in the Company and Lloyd's Syndicate transaction information.

<Coverages>

Coverages consist of a coverage code, CvgCode and coverage (premium) amount, CvgAmt. If a coverage code is used, the amount must be provided even if it is 0.00. Noting that the CvgAmt is the premium amount for the Coverage Code, not the policy limit.

SMART can handle more than 5 coverage codes on a policy. However, if this policy is viewed in EFS only 5 will display, and if it is modified in EFS then potentially some coverages will be lost.

<PremiumAllocation>

Exempt Premium (EX) – premiums that are exempt from taxation. Exempt premium is premium on risks, or exposures, that are properly allocated to federal waters, international waters, or that fall under the jurisdiction of a foreign government and are not taxable in Texas as defined in the Comptroller of Public Accounts bulletin 94-142 entitled “Surplus Lines Tax Exemptions/Preemptions”.

“Breakdown of States Summary” Premium (BS) – breakdown of states summary of premium allocated to risks other than Texas (NRRRA – When Texas is the home state, all premium is reported and taxed as Texas, and additionally required is the summary of premium allocated to other states). In addition to the summary of the premium allocated to other states, is the breakdown of the individual states that make up that summary.

State Code – premium allocated to risks other than Texas, break down by individual states (required, in addition to **breakdown of states summary** amount) For example: OK for Oklahoma, NY for New York, OR for Oregon.

<ZipCode>

The ZipCode is a required field on any policy, binder, cover note, or date extension (*regardless of the coverage or line of business*). This must be this zip code of the *risk location* and must be a valid Texas zip code. This is NOT the zip code of the mailing address, nor the zip code of a PO Box (even if shown as the premises of risk location). For multiple locations, use the single risk location zip code for the highest risk or premium. It is not necessary to submit a risk location zip code on an endorsement, unless it is different than the original submission or if a new location is being added.

<WindStormExclusion>

The WindStormExclusion flag works in conjunction with the Zip Code to override the Extended Coverage Territory Code associated with the Zip Code used. If the policy/binder has a Windstorm Exclusion, this flag should reflect Yes. If the Coverage does not require Extended Coverage this field is ignored but can be empty or not provided.

<PrevAgLicNo>

The Previous Agent License Number must be provided when 'Change Agent of Record' flag is marked 'Yes' and when there are Multiple parent policies. If the PrevAgLicNo is not provided when Multiple parent policies exist, the transaction will be tagged, directing the agent to contact the SLTX Help Desk to assist in identification of the matching parent policy.

<ECP>

Exempt Commercial Purchaser (ECP) – This Yes/No flag should indicate if the insured meets the criteria as an Exempt Commercial Purchaser. (A surplus lines agent is not required to meet the Texas diligent effort law if the buyer qualifies as an exempt commercial purchaser under the NRRA.) It will be required that you provide this information if the insured qualifies, and *if* the agency elects to utilize this exemption. Note: *This is not the same as Exempt Premium.*

<IndustrialInsured>

This Yes/No flag should indicate if the insured meets the criteria as an Industrial Insured. (A surplus lines agent is not required to meet the Texas diligent effort law if the buyer qualifies as an industrial insured.) It will be required that you provide this information if the insured qualifies, and *if* the agency elects to utilize this exemption. Note: *This is not the same as Exempt Commercial Purchaser.*

<PurchasingGroup>

This Yes/No flag should indicate if the insured meets the criteria as a Purchasing Group. (A surplus lines agent is required to submit Purchasing Group policies if the member with the highest risk resides in Texas.) It will be required that you provide this information if the insured qualifies.

<PolicyLimit>

This field allows numeric characters and records the highest aggregate limit for the policy. Limits are required to be recorded in accordance with TAC 15.106 for policies effective on or after 12/30/2018.

<ReEntry>

This Yes/No flag indicates this is a re-entry due to correction. SMART uses the CustomID to designate the original filing that is being corrected. This will automatically populate the PolicyID of the original filing on this later re-entry, which will be used for the Monthly and Annual Late Filing Report purposes. NOTE: *this only applies to New or Renewal Policy or Binder transactions.*

Exceptions

1. Duplicate <Batch></Batch> files within a single submission are not allowed.

XML File Formats

XML Basic Concepts

Any XML file used for transmitting data to SMART must follow the W3C XML specifications. The goal of this section is to define the various XML requirements as used by SMART. It is beyond the scope of this manual, however, to explain all XML concepts. For details and technical specifications, please visit the W3C web site at <http://www.w3.org/XML>. This site offers information on specifications but does not provide tutorials or other instructions in preparing XML files.

Escaped Characters

Please note that certain data characters must be escaped when constructing an XML file. For example, the less than symbol (<) and greater than symbol (>) have special meanings in XML—they are utilized to delimit the element tags. When data should contain one of these special characters, the symbol must be encoded using the appropriate predefined entity (see W3C XML specifications):

Greater than (>)	>
Less than (<)	<
Ampersand (&)	&

XML Schema

The XML Schema is available on the Swagger UI. For links, see the [Programmatic File Transmission Process](#) section.

Examples

Example XMLs are provided in their respective section. For example, look at the Premium Change Endorsement section to see how to file a Policy and Premium Change Endorsement to the policy.

XML Tag References

Column Definitions

The following is an explanation of the various column headings utilized in the XML Tag Reference charts:

Tag

The XML tag code for the appropriate XML element.

Type

The representation of the data passed between clients and servers is limited to specific types. The following data types are supported:

Complex Type: Consists of other complex types and/or simple data types.

Simple Type: See descriptions in the Data Type Definitions section of this text.

Usage

Indicates that the tag is Optional or Required. If the word "Multiple" is included, then more than one tag is allowed. Otherwise, only one is permitted. If the word "Attribute" is used, then the tag column indicates an attribute of the last XML element tag defined. The tag column will be indented for readability when attributes are defined.

If the special instruction "See Transaction Rules" appears in the Usage column, please refer to the EFS Transaction Data Rules section in this text for important information on transaction entry specifics.

Description

Provides a brief description of the data element

XML Tags

Note: The EFS Posting application will only recognize a "Y" or "y" for Yes; if this code is not present, "N" (No) is assumed.

<Batch> Batch of Transactions			
Tag	Type	Usage	Description
<Policy>	Complex	Required, Multiple	Contains transaction details.
Email	Char(128)	Optional, Attribute	Optional e-mail notification address. If omitted, the Security Profile's primary contact information is used.
ItemCnt	Integer	Optional, Attribute	The number of transactions in the batch. NOTE: This data point is not validated or used during batch processing.
TotalGross	Money	Optional, Attribute	The total of all Total Gross fields (dollar amount) for all transaction items in the batch. NOTE: This data point is not validated or used during batch processing.

<Policy> Transaction Definition			
Tag	Type	Usage	Description
<PolicyNumber>	Char(40)	See Transaction Rules	The Policy Number of the transaction
<Binder>	Char(20)	See Transaction Rules	The original Binder Number being replaced by this transaction. This is only required on "Policy replacing a binder"
<TransType>	Char(1)	See Transaction Rules	The policy Transaction Type Code. These codes are available for downloading/viewing from swagger, or from SMART Search/Edit>Codes.
<ActionCode>	Char(2)	See Transaction Rules	An optional Action Code. This code is related to the transaction type and only certain TransType / ActionCode combinations are valid. The list of valid codes are available for downloading/viewing from swagger, or from SMART Search/Edit>Codes.
<Insured>	Char(60)	See Transaction Rules	The Insured's Name on the policy. This is only required on certain transactions.
<ZipCode>	Char(10)	See Transaction Rules	The policy's primary risk location Zip Code. Can be either the 5-digit code or the 10-digit version with extender. Must be in the format xxxxx-xxxx.
<ClassCd>	Integer	See Transaction Rules	The Class Code of the transaction
<PolicyFee>	Money	See Transaction Rules	The Policy Fee of the transaction.
<TotalTax>	Money	See Transaction Rules	The Total Tax on the transaction.
<TotalStampFee>	Money	See Transaction Rules	The total Surplus Lines Stamping Fee for the transaction.
<TotalGross>	Money	See Transaction Rules	The Total Gross of the transaction. This is the sum of the policy fee, premiums, tax, and stamping fee on a transaction. (Do NOT include Exempt premiums when calculating the Total Gross.)
<EffectiveDate>	Date	See Transaction Rules	The Effective Date of the transaction.
<InceptionDate>	Date	See Transaction Rules	The Inception Date of the transaction.
<ExpirationDate>	Date	See Transaction Rules	The Expiration Date of the transaction.
<IssueDate>	Date	See Transaction Rules	The Issue Date of the transaction.

<ContUntilCancel>	Flag	See Transaction Rules	A code that indicates if the transaction is a Continuous-until-Canceled transaction. A "Y" code indicates that it is and the expiration date is ignored. A "N" indicates that it is not continuous and the expiration date must be used.
<FedCrUnion>	Flag	See Transaction Rules	A code that indicates if the transaction is a policy issued to a Federal Credit Union, which has a federal pre-emption to surplus lines tax. A "Y" indicates that it is. A "N" indicates No.
<AORFlag>	Flag	See Transaction Rules	A code that indicates a change to the Agent of Record for this transaction and that an Agent of Record letter exists. A "Y" indicates that one exists. A "N" indicates that one does not exist.
<CustomID>	Char(20)	See Transaction Rules	A unique identifier for the user, which is strongly recommended yet not required. The value MUST be unique and will be retained with the transaction. This will be used to help identify a transaction by putting some meaningful from your filing system such as an invoice id.
<ReverseCustomID>	Char(20)	See Transaction Rules	An indicator as to which CustomID is to be reversed. which is strongly recommended yet not required.
<ParentCustomID>	Char(20)	See Transaction Rules	An indicator as to which CustomID that a non-policy (i.e. child transaction) should be placed on. This is strongly recommended yet not required. However, when filing a Policy Number change this MUST be provided.
<BinderCustomID>	Char(20)	See Transaction Rules	An indicator when filing a Policy Replacing Binder is being filed, to point to the original Binder. This is strongly recommended yet not required.
<WindStorm Exclusion>	Char(1)	See Transaction Rules	A code that indicates Windstorm Exclusion on the transaction; either "Y" or "N". NOTE: Is required with certain Property Coverage Codes. Contact Tech Support directly via email for the specific code(s).
<PrevAgLicNo>	Char(9)	See Transaction Rules	License Number of the agent previously on record. Utilized with <AORFlag>.
<ReEntry>	Char(1)	See Transaction Rules	Correction Re-entry flag; either "Y" or "N". Indicates this is a re-entry due to correction. Uses CustomID to designate the original filing that is being corrected.
<ECP>	Char(1)	See Transaction Rules	Exempt Commercial Purchaser flag; either "Y" or "N".
<IndustrialInsured>	Char(1)	See Transaction Rules	Industrial Insured flag; either "Y" or "N".
<PurchasingGroup>	Char(1)	See Transaction Rules	Purchasing Group flag; either "Y" or "N".
<PolicyLimit>	Money	See Transaction Rules	The Highest Aggregate Policy Limit or TIV (per published guidelines). Entered as whole dollar value only (excluding cents).
<Coverages>	Complex	See Transaction Rules	See Transaction Rules.
<Premium Allocation>	Complex	See Transaction Rules	See Transaction Rules.

<Securities>	Complex	See Transaction Rules	See Transaction Rules.
--------------	---------	-----------------------	------------------------

<Coverages> Coverage Code Information			
Tag	Type	Usage	Description
<Coverage>	Money	Required, Multiple	The premium amount for the Coverage Code.
CvgCode	Integer	Required, Attribute	The Coverage Code of the transaction

<PremiumAllocation> Premium Allocation breakdown Information			
Tag	Type	Usage	Description
<Allocation>	Money	Required, Multiple	The premium amount of the Allocation Premium Code.
AllocCode	Char(2)	Required, Attribute	The Premium Allocation Code of the premium (Includes Exempt (EX), and Breakdown of States summary (BS) with Individual State entries). See Transaction Rules.

Key – Premium Allocation Codes	
Code	Description
EX	Exempt Premium
BS	Policies effective on/after 7/21/11 – breakdown of states summary of premium allocated to risks other than Texas (NRRA – When Texas is the home state, all premium is reported and taxed as Texas, and additionally required is the summary of premium allocated to other states)
State Code	Policies effective on/after 7/21/11 – premium allocated to risks other than Texas, break down by individual states or territories (required, in addition to breakdown of states summary amount) For example: OK for Oklahoma, NY for New York, OR for Oregon.

<Securities> Insurer and Lloyd's Syndicate (Security) Information			
Tag	Type	Usage	Description
<Company>	Percent	Required, Multiple	See Transaction Rules
CoNumber	Integer	Required, Attribute	The Company number of the security.
<Syndicate>	Empty	Required, Multiple	See Transaction Rules
CoNumber	Integer	Required, Attribute	The Company number of the syndicate.

<BatchDelete> Deleting a Batch Information (only allowed when batch contains only pending)			
Tag	Type	Usage	Description
<BatchDelete>		Required	See Transaction Rules
BatchNo	Integer (4)	Required, Attribute	Batch Number being deleted
ReportDate	Date	Required, Attribute	Report Date of batch being deleted

Request Batch Status or Details

Once batch posting is complete, a catalogId is returned, which is required to request the batch status or the batch status and individual transaction-level detail/status. From the transaction-level detail, any ineligible insurers and/or syndicates will reflect CoStatus = "I" appended to the CoNumber.

The XML Schema is available on the Swagger UI. For links, see the [Programmatic File Transmission Process](#) section.

The individual transaction-level detail will be provided in the same manner as the above noted XML submission structure with the following exceptions highlighted within the below sample response:

```
<GetBatchStatusQueryResponse xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
xmlns:xsd="http://www.w3.org/2001/XMLSchema" >
  <BatchNumber>4365</BatchNumber>
  <BatchStatus>Q</BatchStatus>
  <BatchStatusDescription>Finished posting, with errors</BatchStatusDescription>
  <PolicyDetail>
    <Policy>
      <RecordStatus>P</RecordStatus>
      <PolicyNumber>SAMPLE-NEW</PolicyNumber>
      <Binder />
      <TransType>N</TransType>
      <ActionCode />
      <Insured>SAMPLE NAME</Insured>
      <ZipCode>78704</ZipCode>
      <ClassCd>61215</ClassCd>
      <PolicyFee>870.00</PolicyFee>
      <TotalTax>527.44</TotalTax>
      <TotalStampFee>16.31</TotalStampFee>
      <TotalGross>11418.75</TotalGross>
      <EffectiveDate>01/02/2019</EffectiveDate>
      <InceptionDate>01/02/2019</InceptionDate>
      <ExpirationDate>01/02/2020</ExpirationDate>
      <IssueDate>01/15/2019</IssueDate>
      <ContUntilCancel>N</ContUntilCancel>
      <FedCrUnion>N</FedCrUnion>
      <AORFlag />
      <PrevAgLicNo />
      <WindStormExclusion>N</WindStormExclusion>
      <ECP>N</ECP>
      <ReEntry>N</ReEntry>
      <IndustrialInsured>N</IndustrialInsured>
      <PurchasingGroup>N</PurchasingGroup>
      <PolicyLimit>1000000</PolicyLimit>
      <Coverages>
        <Coverage CvgCode="9015">5000.00</Coverage>
        <Coverage CvgCode="9334">5005.00</Coverage>
      </Coverages>
      <Securities>
        <Syndicate CoNumber="101127" CoStatus="I"/>
        <Syndicate CoNumber="101132" CoStatus="I"/>
        <Company CoNumber=" 900189" CoStatus="I">24.500000</Company>
        <Company CoNumber="8012520658">24.500000</Company>
        <Company CoNumber="90102091">51.000000</Company>
      </Securities>
      <PremiumAllocation>
```

```

    <Allocation AllocCode="CA">5000.00</Allocation>
    <Allocation AllocCode="FL">3000.00</Allocation>
    <Allocation AllocCode="BS">8000.00</Allocation>
    <Allocation AllocCode="EX">1500.00</Allocation>
  </PremiumAllocation>
  <CustomId>YourCustomPolicyID</CustomId>
  <ParentCustomId />
  <ReverseCustomId />
  <BinderCustomId />
</Policy>
</PolicyDetail>
</GetBatchStatusQueryResponse>

```

Key – BatchStatus	
Code	Description
O	Open – batch posting has not started
R	Ready for Post Edit – batch is in queue awaiting posting process; batch not yet accepted
W	Posting in Progress – batch is being (actively) processed
Q	Finished posting, with error – batch is successfully posted, but items contain one or more errors
P	Posted (No Errors) – batch is successfully posted, and items contain no errors
E	Preliminary Errors – XML failed to parse; batch not accepted <i>Preliminary Edit Errors (historical usage) - information in batch header does not match actual transaction totals in batch; posting has stopped and batch not accepted</i>
M	Manual – an abnormal condition occurred in posting; batch not accepted (contact techsupport)
Historical codes, no longer used by SMART, but may be returned if requesting legacy filings	
C	Closed – batch has been submitted and awaiting Preliminary Edit Process; batch not accepted
R	Ready for Post Edit – batch is in queue awaiting posting process; batch not yet accepted
V	Validated – batch successfully completed preliminary edit phase and is waiting to be put into posting; batch not accepted
D	Deleted – successfully posted batch has been deleted

Key – RecordStatus	
Code	Description
Blank	Submitted transaction has posted without error
P	Submitted transaction has one or more error / tags assigned and has been pended. As a result, is NOT considered "filed".
If you choose to re-request the transaction-level detail after one or more error / tags have been resolved via SMART's direct user interface (UI):	
C	Errored / Tagged item has been corrected in a separate batch
D	Error / Tag has been deleted / Item was not corrected

Document Changes

This section details changes in the documentation between versions.

5.2

- Documentation added about Batch Deletes (only containing pendings)

5.1

- Update length of policy number field from 20 to 40 characters
- Update to show additional examples XML escaped characters
- Update Special Situations
 - <ReEntry> to clarify usage for only parent policies
 - Exceptions - Duplicate <Batch></Batch> files within a single submission are not allowed

5.0

- Update Batch Status code(s) to move "Manual" to existing status
- Update showBatchDetail to include CoStatus for ineligible insurers / syndicates

4.9

- Add key for Batch Status code(s)
- Add Uploads Response model

4.8

- Add support limitation related to fully automated API submission
- Add clarification on "adequate testing" requirement
- Add request Batch Status and showBatchDetail features

4.7

- Update description of CvgAmt for clarity

4.6

- Update XML samples for clarity

4.5

- Update XML <Batch> attributes for more clarity on usage and remove "AgLicNo" as an available attribute
- Remove outdated <Tags> XML tag reference from within <Policy>
- Clarify ReEntry features and purpose within "Special Situations"

4.4

- Update XML samples for clarity: Expiration Date Change Endorsement, Inception Date Change Endorsement, Policy Number Change Endorsement

4.3

- Documentation added about "Delete" transactions
- Clarify Product Mapping relationship with SMART Connector

4.2

- CustomID is no longer required for all transactions: it is still required for some and recommended for all
- Added Policy Number verification for when CustomIDs are found as duplicates

- Added Binder and BinderCustomID for Policy – Replacing Binder to allow for changing of Policy Number for those types of transactions

4.1

- Added example XMLs

4.0

First documentation release for SMART. This section details changes from EFS to SMART.

Log In / Log Off are protocol are streamlined, and protocol can be found on the Swagger UI. For links, see the Programmatic File Transmission Process section.

Simplified complex batch submission process, including the removal of preliminary review to determine accuracy of item count, total gross, and license information prior to batch processing. First release only includes the batch submission process. No download or status information is being returned with this phase. Further polling will occur to determine true need and requirements for a secondary (download) phase, as necessary.

Batch Reports are not part of the initial API release and will be included as part of a later release. However, additional status features have been added to SMART to immediately facilitate review and analysis of posted items.

ASCII (or tab delimited) batch filing is not included within the first release. Further polling will occur to determine need and/or requirements for a secondary or tertiary phase.

The primary change is now CustomID can be provided and used as a unique identifier from Agents rather than TransID being allowed as a matching element.

Automated or programmatic "Correction Batches" are removed. Any "Correction" to a pending or errored transaction should be handled via the web application. (NOTE: no existing EFS broker utilized "programmatic filing" to correct errors).

Transactions effective prior to 07/21/2011 (NRRRA implementation) are no longer supported through the API. These transactions must be manually entered through the SMART system.

Removed Batch Delete capability as this activity is not performed by automated filers and is instead solely used via "web entry".

XML Schema changed:

- Now uses namespace called SMART
- Removed EfsVersion element
- Tightened XML validation for zipcodes to allow only specific 5 or 5-4 formats
- Removed batch attributes requirements for Item Count, Total Gross, and Agent License Number
 - These fields may still be provided, but are no longer required
- EFSPolicy renamed to Policy
- PG renamed to PurchasingGroup
- Removed ChgValue
 - Since CustomID is the identifier the original field names are used for changes. For example, Insured Name change has a ParentCustomID which must match the Policy's CustomID and the InsuredName element will be the new Insured Name.
- DupParentID removed: use ParentCustomID
- CorrectionReEntry and CorrectionReEntryPolicyID removed. Use ReEntry flag to re-enter policies and use the same CustomID to ensure uniqueness. This simplified process will act in the same manner when specifically relating to the Monthly and Annual Late Filing Report.
- Companies and Syndicates no longer have a Status attribute

- Coverages are no longer limited by 5
 - While SMART has no limit, if this policy must be viewed or modified in EFS then EFS will still limit to 5.
- Removed Tags and DupParents because Correction Batches are removed
- Download features not included; to not include the following from this release:
 - TransID
 - TransPolicyID
 - PolicyIneligibleCo