

State of California

# Surplus Line and/or Special Lines' Surplus Line Certification

LIC-050 (Rev 01/2021)

Department of Insurance  
P.O. Box 1139  
Sacramento, CA 95812-1139

Prior to the issuance or changing the status of your Surplus Line (SL) and/or Special Lines' Surplus Line Broker (SP) license(s), the following certification is required to complete your application or for making a change in the status of your SL/SP license:

I \_\_\_\_\_, hereby certify under penalty of perjury that I have read, understand and will comply with Insurance Code Sections 1765-1765.3 and Sections 1662 and 1663 pertaining to surplus line and/or special lines' surplus line brokers. An applicant for a surplus line and/or special lines' surplus line broker's license shall, as part of the application and condition of the issuance of the license, file a bond to the people of the State of California in the sum of fifty thousand dollars (\$50,000) and/or ten thousand dollars (\$10,000). A surplus line and/or special lines' surplus line broker bond is not required for an individual licensed as a surplus line and/or special lines' surplus line broker who transacts on behalf of a licensed surplus line and/or special lines' surplus line broker business entity.

I understand that if I fail to maintain (i.e. cancel or non-renew) a (SL) \$50,000 and/or (SP) \$10,000 bond or fail to maintain an endorsement with a licensed surplus line and/or special lines surplus line broker business entity that my authority to transact surplus line and/or special lines surplus line broker business in the State of California will automatically terminate.

I certify that I will file a bond in the amount of \$50,000 and/or \$10,000 as required in Sections 1662 and 1663. The bond(s) must be submitted prior to the issuance or making the change in your status for the surplus line and/or special lines' surplus line broker license.

List names of all insurers not admitted to California with whom arrangements have been made to accept or who are considering the acceptance of surplus line business offered by you: \_\_\_\_\_

### And/Or

\* I certify that I will transact on behalf of a licensed surplus line and/or special lines' surplus line broker business entity.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed name

\_\_\_\_\_  
License number, if applicable

\_\_\_\_\_  
Name of Business Entity that you will transact for, if applicable

\_\_\_\_\_  
Business Entity license number, if applicable

\* Business Entity Endorsement form # LIC 411-8A will need to be filed **before** the license is issued. The completed endorsement and endorsement fee of \$32 must be sent to the following address: California Department of Insurance, Surplus Line Endorsements, P.O. Box 311, Sacramento CA 95812-0957 for processing to issue this license.

\* It is permissible to conduct surplus business as an individual and an endorsee as long as appropriate bond(s) and business entity endorsement(s) are on file.

Please return this form via mail or fax to:  
California Department of Insurance  
Producer Licensing Bureau  
Attention: SL and/or SP Licensing/Endorsements  
320 Capitol Mall Sacramento, CA 95814-4309  
(800) 967-9331  
Fax (916) 327-6907