

Surety Company Association Upload Specification

Overview

This document describes the XML specification for Association upload files used by Surety Companies for creating Associations in NMLS in batch. The document assumes familiarity with the Surety Company functionality in NMLS and a basic understanding of XML files.

Sample File

This sample represents an upload file requesting a single Association with all elements present:

```
<SuretyAssociationUpload xmlns="http://www.finra.org/Nmls">
  <AssociationList>
    <Association>
      <HasExecutionAuthority>true</HasExecutionAuthority>
      <Underwriter>
        <NaicId>99999</NaicId>
        <Name>Sample Underwriting Company</Name>
      </Underwriter>
      <SuretyBondProducer>
        <Npn>900000000</Npn>
        <Name>Sample Surety Bond Producer</Name>
      </SuretyBondProducer>
      <StateList>
        <State>
          <Code>AL</Code>
          <BondLimit>500000</BondLimit>
        </State>
      </StateList>
      <RepresentativeList>
        <Representative>
          <Npn>900000001</Npn>
          <Name>Smith, John</Name>
          <BondLimit>500000</BondLimit>
        </Representative>
      </RepresentativeList>
    </Association>
  </AssociationList>
</SuretyAssociationUpload>
```

Tag Definitions

Tag Name	Required	Format / Allowed Values	Description
SuretyAssociationUpload	Y	-	Root element
AssociationList	Y	-	Container for list of associations
Association	Y	-	Container for a single association

HasExecutionAuthority	Y	true/false	Determines whether or not the Surety Bond Producer is authorized to execute a bond on behalf of the Surety Company.
Underwriter	Y	-	Container for Underwriting/Surety company information.
NaicId	Y	String(20)	The NAIC ID of the Underwriting Company belonging to the logged in Surety Company that is being added to the association. If the association is directly with the Surety Company this will contain the NAIC ID of the logged in Surety Company.
Name	N	String(100)	The Name of the Underwriting Company belonging to the logged in Surety Company that is being added to the association. This field is not used by upload processing but is made available to enhance the readability of the file when dealing with large amounts of data.
SuretyBondProducer	Y	-	Container for Surety Bond Producer information
Npn	Y	String(20)	The NPN of the Surety Bond Producer added to the association.
Name	N	String(100)	The Name of the Surety Bond Producer added to the association. This field is not used by upload processing but is made available to enhance the readability of the file when dealing with large amounts of data.
StateList	Y	-	Container for state list being set for the association.
State	Y	-	Container for a single state.
Code	Y	Valid state abbreviation	The two letter abbreviation for a state being added to the association.
BondLimit	Y	Integer	The bond limit for the state.
RepresentativeList	N	-	Providing representatives for an association is not required but if they are provided, the Npn And BondLimit elements are required.
Representative	Y	-	Container for a single representative.
Npn	Y	String(20)	The NPN of the representative being added to the association.
Name	N	String(100)	The Name of the representative being added to the association. This field is not used by upload processing but is made available to enhance the readability of the file when dealing with large amounts of data.
BondLimit	Y	Integer	The bond limit applied to the representative.

Validations

This section lists the validation messages you may encounter when using the Association Upload functionality. These are divided between “Level 1” and “Level 2” validation as defined here:

Level 1

Level 1 validations are checked when the file is first uploaded. If any Level 1 validations fail, the file is not uploaded. When the file fails schema validation the system will return all the schema errors that are generated

by the Microsoft XML functionality. Those specific schema failure messages are not listed below but will be included along with the Schema Failure message.

Level 2

Second Level validations are checked once the file is processed and are returned via a copy of the upload file made available in NMLS once the system had completed processing the file. Each association in the file with a failure will have one or more errors messages listed in an **ErrorList** section added to the XML.

Messages

Level	Validation Rule	Message
1	The uploaded file must match the XML schema.	FILE NOT UPLOADED - Your file does not conform to a valid Surety Association Upload schema. Please check your file against the Surety Association XML Specification available on the NMLS Resource Center.
1	The file must have a “.xml” extension.	FILE NOT UPLOADED - file must be in XML format with a .xml file extension.
1	The length of the file name (including the extension) must not be over 50 characters.	FILE NOT UPLOADED - file name exceeds the maximum length.
1	The size of the file must not be greater than 8 mb.	FILE NOT UPLOADED - The file exceeds 8 MB size limit.
1	The file must not contain a virus.	FILE NOT UPLOADED - a virus was detected.
2	A State supplied for the association must be approved in NMLS for both the Underwriting Company and the Surety Bond Producer.	<statecode> is not a common approved state code for the Underwriter and Surety Bond Producer.
2	The NAIC ID supplied for the Underwriter must be unique for all Underwriting Companies belonging to the Surety Company (including the Surety Company’s NAIC).	The NAIC ID is not unique for the Surety Company and its Underwriting Companies.
2	The NAIC ID supplied for the Underwriter must belong to the Surety Company or one of its Underwriting Companies	The NAIC ID is not valid as either the Surety Company or an Underwriting Company.
2	Must be a valid Surety Bond Producers in NMLS.	The NPN is not a valid Surety Bond Producer.
2	Must be unique for Surety Bond Producers in NMLS.	The NPN is not unique.
2	The requested association must not already exist in a Requested or Approved status.	An active association for the Underwriter and Surety Bond Producer exists.
2	The NPN supplied for a representative must correspond to an active representative belonging to the Surety Bond Producer.	Representative with NPN <Npn> does not belong to an active representative for the Surety Bond Producer
2	The NPN supplied for a representative must be unique for active representatives belonging to the Surety Bond Producer.	Representative NPN <Npn> is not unique among active representatives of the Surety Bond Producer.