

Company Licensing and Registration Filing Requirements

***** NOTICE *****

Company Licensing and Registration accepts filings via email. UCAA filings are submitted through the [NAIC UCAA Website](#). Non-UCAA filings should be submitted in PDF format to CLRFilings@tdi.texas.gov. All fees and payments associated with the filings will need to be mailed to the Texas Department of Insurance mailing address on the Fee Transmittal Form. A cover letter and the Fee Transmittal Form ([FIN321](#)) should be sent with the fees and payments. For further instructions see [Electronic Filing Guidelines](#).

TYPE OF TRANSACTION	WHO MUST FILE	WHEN DUE	HOW TO FILE	FEE
Admission Package	Foreign Companies Seeking To Do Business In Texas	When a non-domestic company wants to become licensed to do business in Texas	Review the Company Licensing and Registration webpage .	N/A
Affidavit 2.07(b) (P&C) or 3.02a(c) (Life)	Domestic P&C and Domestic Life Companies	Within 90 days of a company issuing authorized but unissued shares of stock	Review the Company Licensing and Registration webpage .	N/A
Agreements with affiliates (TIC 20A.06(b), TAC §11.301(4)(E) & (K), 11.804)	HMOs	Prior to effective date	Company files agreement with Financial Analysis Office.	N/A
Amendments to Articles of Incorporation (TAC §11.301(4)(H))	HMOs	When changes occur	Review the Company Licensing and Registration webpage .	N/A
Amendments to Bylaws (TAC §11.301(4)(I))	HMOs	When changes occur	Review the Company Licensing and Registration webpage .	N/A
Application to Amend Certificate of Authority for a change in lines of business	All Licensed Companies	When a company is adding or deleting a line of business	Review the Company Licensing and Registration webpage .	N/A
Approval (Domestic) or Notification (Foreign) of Merger	All Licensed Companies	When two companies merge or consolidate	Review the Company Licensing and Registration webpage .	N/A
Assumption Reinsurance Agreements - Total	All Licensed Companies	When a company cedes all of its business to another company	Review the Company Licensing and Registration webpage .	N/A
Assumption Reinsurance Agreements - Partial	All Licensed Companies	When a company cedes some of its business to another company	Review the Company Licensing and Registration webpage .	N/A

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Assumption Reinsurance Agreements	HMO	When changes occur	Review the Company Licensing and Registration webpage .	\$100 Total \$50 Partial
Attorney for Service appointment	Foreign licensed companies; domestics with Art. 803 Approval	When a company is required to appoint a Texas resident to accept service of process or a change to a previous appointment	Review the Company Licensing and Registration webpage .	N/A
Biographical Affidavits	All Domestic Companies	When a change occurs in officers or directors, or underwriters or attorneys-in-fact, or with an	Review the Company Licensing and Registration webpage .	N/A
Biographical Affidavits	Foreign Insurers/Surplus Lines Insurers/Risk Retention Groups/Accredited & Truusted Reinsurers	Upon request	Review the Company Licensing and Registration webpage .	N/A
Biographical updates on Officers and Directors (TAC §11.301(5)(A))	HMOs	When changes occur	Review the Company Licensing and Registration webpage .	\$50
By-Laws	Fraternal, County Mutuals, Local Mutual Aids, Local Mutual Burials, SIGs, MEWAs, JUAs, HMOs	When changes occur to by-laws	Review the Company Licensing and Registration webpage .	\$50
Cancellations or Amendments to Fidelity Bonds of the HMO's Officers and Employees (TIC 20A.30, TAC §11.301 (5)(B))	HMOs	When changes occur	Company submits documents to Financial Analysis.	\$50
Cancellations/fidelity bonds of management company (TIC 20A.18(c), TAC §11.301(5)(B))	HMOs	When changes occur	Company submits documents to Financial Analysis.	\$50
Capital Commitment Letters, Stock Subscription Agreements (TAC §11.301 (5)(G), §11.806 (a))	HMOs	When a new HMO is formed or when changes occur	Company submits documents to Financial Analysis.	\$50
Change in Administrative Offices (TAC §11.301 (5)(D))	HMOs	When changes occur	Review the Company Licensing and Registration webpage .	\$50

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Changes in Affiliate Chart (TAC §11.301 (5)(H))	HMOs	When changes occur	Company submits documents to Financial Analysis.	\$50
Changes in Information to Prospective Group Contract Holders (TAC §11.301 (5)(I))	HMOs	When changes occur	Company sends information to MCQA.	\$50
Changes in Network Configuration (TAC §11.301 (5)(K))	HMOs	When changes occur	Company sends information to MCQA.	\$50
Changes to Emergency Care Procedures (TAC §11.301 (4)(L))	HMOs	When changes occur	Company sends information to MCQA.	N/A
Contracts with Officers and Directors (TAC §11.301 (4)(C))	HMOs	Prior to use	Company submits documents to Financial Analysis.	N/A
Contracts with Providers (TAC §11.301 (5)(F))	HMOs	Prior to use	Company files contracts with MCQA.	\$50
D/B/As, trade or service marks (TAC §11.301 (4)(J))	HMOs	Prior to use	Review the Company Licensing and Registration webpage .	\$100
Declaration of Trust (Statutory Deposit)	All Life and P&C, Title, HMOs	When the need arises, either retaliatory or discretionary	Review the Company Licensing and Registration webpage .	N/A
Dissolutions	All Domestic Companies	When a company wants to dissolve	Review the Company Licensing and Registration webpage .	N/A
Cancellation of Certificate of Authority	HMOs	When a HMO wants to cancel its Certificate of Authority	Review the Company Licensing and Registration webpage .	\$50
Certificate of Authority Changes (Foreign HMO C/A Amendments) (TAC §11.301 (5)(E))	HMOs	After changes occur	Review the Company Licensing and Registration webpage .	\$50
Dividends- Filings not required currently. (Courtesy filing-- TAC §11.301 (4)(F) & 11.807)	HMOs	Prior to distribution	Company files documents with Financial Analysis and Examinations.	N/A
Eligibility for Surplus Lines Insurers	Foreign and Alien Insurers Seeking To Do Surplus Lines Business in Texas	When a non-admitted company wants to become an eligible surplus	Review the Company Licensing and Registration webpage .	N/A
Exclusive Agency Contracts (TIC 20A.18, TAC §11.301 (4)(C))	HMOs	Prior to use	Company files documents with Financial Analysis and Examinations.	N/A

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Exemption from change in control of affiliates (TAC §11.1206)	HMOs	Prior to occurrence	Company submits documents to Financial Analysis.	N/A
Fidelity Bonds of the HMO's Officers and Employees	HMOs	When changes occur or at time of license filing	Company submits documents to Financial Analysis.	\$50
Fidelity Bonds, Employee Dishonesty Bonds, Name Schedule Bonds, Individual Fidelity Bonds, or Blanket Bonds	Local Mutual Aids, Local Mutual Burials, County Mutuals, Group Hospital Service Corporations, Reciprocal, Non-Profit Legal Services Corporations	When a new employee or different employee handles company funds; when new or renewal bond has been issued to company	Company sends the original of any new or renewal bond with Financial Analysis.	N/A
Form A's (TAC §11.1201-§11.1206; §11.301(4)(D))	HMOs	Prior to occurrence	Company files documents with Financial Analysis.	N/A
HMO Certificate of Authority (Initial Filing)	Any Texas corporation or other entity wishing to form an HMO	When an HMO is ready to be formed	Review the Company Licensing and Registration webpage .	\$7,500
Incorporations	Applicant wishing to form a Texas company	When ready to incorporate	Review the Company Licensing and Registration webpage .	N/A
Information to Prospective Group Contract Holders and Enrollees (TAC §11.301 (5)(I), §11.1600)	HMOs	When changes occur or as part of Certificate of Authority filing	Company sends information to MCQA.	\$50
Joint Control Agreement (Statutory Deposit)	Lloyds	When a deposit is put up, amount of Guaranty Fund changes, or Attorney in Fact changes	Company completes and submits form provided by Company Licensing and Registration.	N/A
Loans to Controlled Entities (TAC §11.301 (4)(G))	HMOs	Prior to use	Company files documents with Financial Analysis.	N/A
Management Agreements (TIC 20A.18, TAC §11.301 (4)(C))	HMOs	Filed prior to use or when Certificate of Authority application or Service Area Expansion	Company files documents with Financial Analysis.	N/A
Material Transaction Filings (TIC §21.49-8)	HMOs	Prior to use	Company files documents with Financial Analysis.	N/A

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Mergers	All Licensed Companies	Prior to occurrence	Domestic companies review the Company Licensing and Registration	N/A
Mergers (TAC Subchapter M; §11.301 (4)(D))	HMOs	Prior to occurrence	Review the Company Licensing and Registration	\$750
Method/Calculation of Rates (TAC §11.301 (5)(C))	HMOs	Filed prior to use or when Certificate of Authority application or Service Area Expansion	Company sends information to MCQA.	\$50
Minutes of Annual or Special Meeting of Board of Directors	Statewide Mutual Assessment Companies, Local Mutual Burials, Local Mutual Aids,	When annual or special meeting of board of directors is held	Company files with Company Licensing and Registration after meeting is held.	N/A
Modification of Compensation Arrangements (TAC §11.301 (5)(J))	HMOs	When changes occur	Company files documents with Financial Analysis.	\$50
Name Application	All Licensed Companies And All Companies Applying For Licensing	When a company is proposing to change its name or a new company is proposing to operate under a particular name	Review the Company Licensing and Registration webpage .	N/A
Notification of license suspension, revocation or penalties levied by other regulatory authorities	All Licensed Companies	When a company's license is suspended or revoked or a fine is levied by another regulatory authority	Company sends copy of notification of suspension, revocation or fine and proof of payment to Company Licensing and Registration.	N/A
Officers and Directors Page	Domestic Companies	Form required annually or when numerous changes occur	Review the Company Licensing and Registration webpage .	N/A
Parental Guarantees (TIC 20A.02(o), 20A.13(f), TAC §11.301 (5)(G), §11.806 (a)(3))	HMOs	When changes occur	Company files documents with Financial Analysis.	\$50
Port of Entry Application Package	Alien Companies Seeking To Do Business In Texas	When an alien company wants to become licensed to do business in the U.S.	Review the Company Licensing and Registration webpage .	N/A
Purchasing Group Registration	Domestic and Foreign Purchasing Groups	When a Purchasing Group wishes to solicit memberships and register in Texas	Review the Company Licensing and Registration webpage .	\$50.00 (Initial Registration Fee Only)

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Redomestication Package	All Licensed Companies	When a company changes state of domicile	Review the Company Licensing and Registration webpage .	N/A
Reduction of Deposit (TIC 20A.13(d)-(e), TAC §11.802(d))	HMOs	When changes occur	Review the Company Licensing and Registration webpage .	\$50
Relocation of Books and Records Forms TDI/BR-93 or TDI/BR-93-NP or TDI/SOP or TDI/SOP-CP, as applicable	All Domestic And Commercially Domiciled Insurers and HMOs	Application for approval must be made 30 days prior to relocating some or all of a domestic or commercially domiciled insurer's books and records out of state.	Filed with Financial Analysis	\$150
Amendments to Articles of Incorporation: •name change •home office change •increase in capital •purpose clause	All Licensed Companies	When a company is proposing to amend articles of incorporation or charter	Review the Company Licensing and Registration webpage .	N/A
Risk Retention Registration	Foreign Risk Retention Groups	When a Risk Retention Group domiciled in another State wishes to solicit Texas members	Review the Company Licensing and Registration webpage .	\$250.00 Initial registration fee \$250.00 Annual Statement Filing Fee
Service Area Description and Map filed in connection with the EOC (TAC §11.301 (4)(A)-(B))	HMOs	Filed in connection with certificate of authority application	Company sends information to MCQA.	Call for fee (dependent upon contracts of Service Area Expansion and forms)
Service Area Expansions (TAC §11.301 (4)(B), §11.302)	HMOs	Whenever an HMO wants to expand its service area	Review the Company Licensing and Registration webpage .	Fee based on forms
Statutory Deposit	All Life and P&C, Title, HMOs	When the need arises, either retaliatory or discretionary	Company sends either cash or negotiable security to Company Licensing and Registration for safekeeping by State Treasury.	N/A
Stop-loss or Reinsurance (TAC §11.204 (15), §11.301 (5)(G))	HMOs	Prior to use	Review the Company Licensing and Registration webpage .	\$50
Surplus Debenture Filings - affiliate and non-affiliate (TIC 1.39, TAC §7.7)	HMOs	Prior to use	Company files documents with Financial Analysis.	N/A

TYPE OF TRANSACTION	WHO MUST FILE	WHEN DUE	HOW TO FILE	FEE
Waiver of Deposit (TIC 20A.13(f), TAC §11.802 (e))	HMOs	Prior to use	Company files documents with Company Licensing and Registration.	\$50
Withdrawal Plan	All Licensed Companies	When a company proposes to cease doing a particular line of business either by non-renewal or deletion from C/A which would reduce Texas premiums by 75%	Review the Company Licensing and Registration webpage .	Final Statement Filing Fee Only (check with Comptroller's Office)