

Stipulated Premium Companies

Stipulated premium companies must also refer to the [Holding Company Filings](#) link for additional filing instructions.

Stipulated premium companies must file the following documents on or before the dates shown. However, companies issuing coverages under TIC § 884.402 must file on or before March 1.

IMPORTANT: All annual and quarterly statements and NAIC supplements and forms that are filed with TDI must be bar coded in accordance with the instructions contained in the NAIC Annual Statement Instructions manual.

Stipulated premium companies must file the following documents:

1. ANNUALLY ON OR BEFORE APRIL 1:

FINANCIAL ANALYSIS Domestic file paper copy with TDI	NAIC Domestic/Foreign file electronically with NAIC
<ul style="list-style-type: none"> • Actuarial Opinion • NAIC Annual Supplements • Annual Statement • Annual Statement of the Separate Accounts* • Management’s Discussion and Analysis • Supplemental Compensation Exhibit^ • Texas Overhead Assessment Exemption Form% • Policy Count Exhibit (submit electronically) Form; Instructions 	<ul style="list-style-type: none"> • Actuarial Opinion^ • NAIC Annual Supplements • Annual Statement^ • Annual Statement of the Separate Accounts* • Management’s Discussion and Analysis

* If Applicable

^ Required for Texas domestic companies

% To be filed only by domestic companies that have qualified pension contracts under TIC § 401.151.

2. ANNUALLY ON OR BEFORE MAY 1:

ACTUARIAL DIVISION	
<ul style="list-style-type: none"> • Regulatory Asset Adequacy Issues Summary (RAAIS)^ 	<p>Email to: ActuarialDivision@tdi.texas.gov</p> <p>Electronic copy is preferred. You will receive an email acknowledgement of receipt. Or mail directly to:</p> <p>Actuarial Division MC 103-AC Texas Department of Insurance P O Box 149104 Austin, TX 78714-9104</p>

^ This is a confidential filing. Do not include with your Annual Statement.

3. ANNUALLY ON OR BEFORE JUNE 30 (Texas only):**

FINANCIAL ANALYSIS Domestic file paper copy with TDI	NAIC Domestic/Foreign file electronically with NAIC	
<ul style="list-style-type: none"> • CPA Audited Financial Report* 	<ul style="list-style-type: none"> • CPA Audited Financial Report* 	

* **Exemption:** Companies are exempt from filing if they write **both** less than \$1 million in direct Texas premiums and assume less than \$1 million of reinsurance premiums (TIC § [401.006](#)). File the [Affidavit for Exemption form \(FIN 246\)](#) if requesting an exemption from filing audited financial reports.

****June 30 filer (Texas only)** – Both the Company and its affiliates are licensed in and do business only in Texas.

4. QUARTERLY ON OR BEFORE MAY 15, AUGUST 15 AND NOVEMBER 15**

FINANCIAL ANALYSIS Domestic file paper copy with TDI	NAIC Domestic/Foreign file electronically with NAIC
<ul style="list-style-type: none"> • Quarterly Statement** 	<ul style="list-style-type: none"> • Quarterly Statement**

** Exemption from filing quarterly statements with TDI and NAIC if a stipulated premium company meets ALL three of the following conditions:

- Company is authorized to write ONLY LIFE insurance on its Certificate of Authority;
- Company collected premiums in the prior calendar year of less than \$1 million; and
- Company had a profit from operations in the prior 2 calendar years