



INSTRUCTIONS FOR FILING THE THIRD PARTY ADMINISTRATORS ANNUAL REPORT

Per Tex. Ins. Code § 4151.205, all TPAs licensed in Texas as of December 31 are required to file an annual report on or before June 30. **THERE IS NO STATUTORY PROVISION PERMITTING TDI TO EXTEND THIS DEADLINE.** If you are not doing business in Texas, but are still licensed as of the end of the year, you are required to file an annual report indicating no plans and no Texas participants. The same requirement applies to the maintenance tax filing. Even if you did not do business in Texas, you are still required to file a zero return with the Texas Comptroller. If you need to cancel the license, please submit a request for cancellation with your TPA annual report.

A complete annual report submission requires either form FIN486 (for third party administrators) or form FIN487 (for insurance companies/HMOs registered as TPAs); form FIN488 (Exhibits A-E); a copy of your financial statement (including FIN490, if applicable); and the \$200 filing fee, which can be submitted with fee transmittal form FIN321. All forms are available at <http://www.tdi.texas.gov/forms/form5tpa.html>. All forms can be sent via email, save the FIN321 with filing fee.

FOR TPAs FILING FIN486:

- Complete the TPA annual report workbook, but do not complete tab FIN487. The workbook can be accessed from the forms page, or linked to directly here: <http://www.tdi.texas.gov/forms/fincolicense/tpaanlrptwkb.xlsx>
 - Make sure you transfer the totals from the exhibits to Section 5 of tab FIN486.
 - Be sure to date and sign the form electronically. (Please note PDF versions of FIN486 remain available on the forms page, but this form is already included in the workbook.)
- Email the completed workbook, and a copy of your current financial statement (including [FIN490](#), if applicable) to CLRFilings@tdi.texas.gov. (TDI recommends electronic submissions, but accepts paper mailings as necessary.)
- Mail the \$200.00 filing fee to the address below with TDI form [FIN321](#) attached.

FOR INSURERS/HMOs FILING FIN487:

- Complete the TPA annual report workbook, but do not complete tab FIN486. The workbook can be accessed from the forms page, or linked to directly here: <http://www.tdi.texas.gov/forms/fincolicense/tpaanlrptwkb.xlsx>
 - Make sure you transfer the totals from the exhibits to Section 4 of tab FIN487.
 - Be sure to date and sign the form electronically. (Please note PDF versions of FIN487 remain available on the forms page, but this form is already included in the workbook.)
- Email the completed workbook to CLRFilings@tdi.texas.gov. (TDI recommends electronic submissions, but accepts paper mailings as necessary.)
- Mail the \$200.00 filing fee to the address below with TDI form [FIN321](#) attached.

SUBMITTING THE TDI FORM FIN321 AND \$200 FILING FEE:

The filing fee (and the report itself, if technical issues preclude electronic submission), can be sent regular mail to P.O. Box 149104, Austin, Texas 78714-9104, or mailed overnight to:

TEXAS DEPARTMENT OF INSURANCE
COMPANY LICENSING AND REGISTRATION – MC9999
333 Guadalupe
Austin, TX 78701

TPA ANNUAL REPORT FAQ

Can we get an extension of the June 30 deadline?

Texas Insurance Code section 4151.205 requires licensed TPAs to file an annual report on or before June 30 of each year. Compliance with this date is determined by the date the report information is emailed, and the postmark on the \$200 filing fee. (The fee can only be accepted by mail; future enhancements to this process will permit electronic payments to satisfy the filing fee.) There is no statutory provision for extensions to this deadline.

How do I complete my maintenance taxes with the Texas Comptroller?

The forms can be downloaded from <http://comptroller.texas.gov/taxinfo/taxforms/25-102.pdf>. The maintenance tax filing is still due March 1 of each year. Administrators should report compensation for Texas business on Line 12 of the form. These forms must be submitted to the Comptroller; TDI does not require a copy of these reports.

Do our officers need to complete biographical affidavits?

Principal officers and directors must have biographical affidavits on file at TDI, as well as undergo fingerprint background checks. These include the President, Secretary, Treasurer, Chief Financial Officer/Comptroller, Chairman of the Board, Directors, and Shareholders with 10% or more ownership. It is not necessary to submit a biographical affidavit on Vice Presidents unless they also serve in one of the above capacities. If there have been officer/director changes in the past calendar year, please submit biographical affidavits for each. TDI accepts either [TDI Form FIN484](#) or [UCA Form 11](#). Fingerprint processing receipts are required with the biographical affidavits for an individual who has not previously filed a biographical affidavit with TDI.

How do we submit fingerprint cards for background checks?

DO NOT SUBMIT FINGERPRINT CARDS DIRECTLY TO TDI. A third party vendor handles fingerprint processing, and any cards submitted to TDI will be returned. Fingerprinting requirements, forms, and instructions can be downloaded from <http://www.tdi.texas.gov/licensing/company/documents/clrfingerprint.pdf>.

We have not contracted with any groups/plans in Texas but have clients that have Texas residents receiving benefits. Do we need the TPA license to pay claims or collect premiums?

The Texas TPA statute requires the administrator to be licensed if you pay claims or collect premiums for Texas residents regardless of where the plan is issued/located.

We have had this license for some time but currently have no accounts in Texas. Do we need to file a report?

Yes. All licensed administrators are required to file a report and maintain current information on file with the Department, including ownership, officers & directors, organizational information, as well as a current contact person and address.

We are administering hundreds of individual policies on behalf of several insurance companies. Do I need to list each one on Exhibit A?

No. Please list the carriers and enter "various" under policy no. and policy effective date.

Exhibit A, Column (K), requests "TOTAL NO. CLAIMS PAID - LAST 12 MO" – do you want dollar amounts?

No. Please enter the total number of claims paid. That number should include those claims that were adjudicated but no check was issued.

Exhibit C no longer shows self-funded ERISA plans. Does the department no longer collect this data?

That is correct. We no longer collect data on self-funded ERISA plans.

Questions may be directed to: CompanyLicense@tdi.texas.gov