

Electronic Filing Guidelines

All filings should be submitted electronically, either via the NAIC UCAA process or in a pdf format via email to CLRFiling@tdi.texas.gov.

UCAA Filings (Foreign Companies)

- Expansion Application
- Corporate Amendment Applications

Non-UCAA Filings

Including, but not limited to the following:

- Incorporation/ Redomestication to Texas (use Primary UCAA application and TX Checklist, but file via email not UCAA process)
- Mergers involving a Texas domestic insurer
- Texas domestic insurer charter amendments
- Total and Partial Assumption Reinsurance
- Bylaws for County Mutuals, WCSIGs, Local Mutual Aid/Burial Association, HMO, Joint Underwriting Associations, Multiple Employer Welfare Arrangements, and Fraternal Societies; all other companies do not file amended bylaws.
- Underwriter Substitution
- HMO filings
- Continuing Care Provider filings
- Multiple Employer Welfare Arrangement filings
- Workers' Compensation Self-Insurance Group (WCSIG) filings
- Registered / Non-admitted company filings (Purchasing Groups, Risk Retention Groups, Surplus Lines, Accredited, Trusteed or Certified Reinsurers)
- Third Party Administrator filings
- Premium Finance filings

Submitting UCAA Filings

The NAIC Uniform Certificate of Authority Application (UCAA) process is designed to allow insurers to file copies of the same application for admission in numerous states. Each state that accepts the UCAA is designated as a uniform state. While each uniform state still performs its own independent review of each application, the need to file different applications, in different formats, has been eliminated for all states that accept the uniform application. The UCAA includes three applications:

Primary Application - for use by newly formed companies seeking to re-domesticate to a uniform state.

Expansion Application - for use by companies in good standing in their state of domicile that wish to expand their business into a uniform state.

Corporate Amendments Application - for use by an existing insurer when requesting amendments to its charter or certificate of authority.

Go to <https://content.naic.org/industry/ucaa> for more information and instructions on filing electronically and https://www.naic.org/industry_ucaa_electronic.htm for new user login ID and roles.

Steps for UCAA Filing Submission

1. Login to the NAIC UCAA Electronic Filing System at <https://ucaa.naic.org/login.html>
2. Submit filing documents to the NAIC UCAA Electronic Filing System in the format outlined in the applicable filing instructions.
3. Send associated filing fee to TDI with [Company Licensing Fee Transmittal Form \(FIN321\)](#) to the address on the form.

Submitting Non-UCAA Filings

The Texas Department of Insurance, Company Licensing and Registration Office filings that do not fall under the approved NAIC UCAA filing types are to be submitted via email to CLRFilings@tdi.texas.gov. The required filing documents and checklists can be found at <https://www.tdi.texas.gov/insurer/index.html>.

Steps for Non-UCAA Filings

1. Submit filings as a single **bookmarked** pdf via email to CLRFilings@tdi.texas.gov.

Email Requirements

- For an initial filing/application, enter in the subject line of the email the word APPLICATION, then the company name and filing type.
Ex. APPLICATION: ABC COMPANY NAME CHANGE
 - For supplemental filings, enter in the subject line of the email the word SUPPLEMENTAL, then the company name and filing type.
Ex. SUPPLEMENTAL: ABC COMPANY NAME CHANGE
 - To help expedite your filing attach filing documents to the email as a single **bookmarked** PDF.
2. Send associated filing fees to TDI with [Company Licensing Fee Transmittal Form \(FIN321\)](#) to the address on the form.

► Questions?

Email us at CompanyLicense@tdi.texas.gov or call
512-676-6365.