

## Fingerprinting and Officer/Director Requirements by Company Type



Send biographical affidavits, Officer and Director Pages and fingerprint receipts to [CLRBioUpdate@tdi.texas.gov](mailto:CLRBioUpdate@tdi.texas.gov) (except HMO changes - see below)

- **Accredited and Trusteed Reinsurers – No Requirements**
- **Captive Insurers – See TAC Ch.6, Subchapter D, Rule 6.303 – No Fingerprints Required**
  - [Biographical Affidavit for Captive Insurance Company](#) (FIN181)
- **Continuing Care Retirement Communities (CCRCs) – President, Secretary, Treasurer, all Directors, Trustees and/or Partners. We DO NOT require biographical affidavits for Vice Presidents or Assistant Officers – No Fingerprints Required**
  - [Biographical Affidavit Checklist for Continuing Care Retirement Communities \(CCRCs\)](#) (FIN352)
  - [CCRC 3 - Officers and Directors Page](#) (FIN384)
  - [CCRC 4 – Biographical Data Form for a For-Profit CCRC](#) (FIN385)
  - [CCRC 4A – CCRC Biographical Affidavit for a Non-Profit CCRC](#) (FIN386)
- **Domestic Companies (Stock and Mutual) - All Directors and only the following officers: Chief Executive Officer, President, Executive Director, Secretary, Treasurer, Chief Financial Officer/Controller, Chief Operating Officer and Medical Director (if applicable). We DO NOT require biographical affidavits for Vice Presidents or Assistant Officers.**
  - [Biographical Affidavit and Fingerprint Requirements for Texas-Domestic Insurers](#) (FIN353)
  - [Biographical Affidavit](#) (NAIC UCAA Form 11)
  - [Biographical Affidavit Update](#) (FIN324)
  - [Officers and Directors Page](#) (FIN306)
- **Foreign Companies (Stock and Mutual) - No biographical affidavits or fingerprints required unless requested by the Department**
- **Health Care Collaboratives (HCC) – Chief Executive Officer, President, Executive Director, Secretary, Treasurer, Chief Financial Officer /Controller, Chief Operating Officer, Clinical Director and Governing Board Members – No Fingerprints Required**
  - [Biographical Affidavit](#) (NAIC UCAA Form 11)
  - [Health Care Collaborative Officers and Directors Page](#) (FIN493)
- **Health Maintenance Organizations (HMOs) - Chief Executive Officer, President, Executive Director, Secretary, Treasurer, Chief Financial Officer/Controller, Chief Operating Officer and Medical Director (if**

applicable). We DO NOT require biographical affidavits for Vice Presidents or Assistant Officers. (\$50 filing fee) – Submit documents via email to [CLRFilings@tdi.texas.gov](mailto:CLRFilings@tdi.texas.gov).

- [Biographical Affidavit and Fingerprint Requirements for Health Maintenance Organizations \(HMO\)](#) (FIN355)
- [Biographical Affidavit](#) (NAIC UCAA Form 11)
- [Officers and Directors Page](#) (FIN306)
- [Company Licensing Fee Transmittal Form](#) (FIN321) – mail with \$50 filing fee
  
- **Multiple Employers Welfare Arrangements (MEWAs)** – President, Secretary, Treasurer, and Directors/Trustees.
  - [Fingerprinting Instructions](#)
  - [Biographical Affidavit](#) (NAIC UCAA Form 11)
  - [MEWA Officers, Directors and Trustees Page](#) (FIN376)
  
- **Premium Finance Companies** – All Officers, Directors, and Owners (> 10% stock) – **No Fingerprints Required**
  - [PF2 – Premium Finance List of Principals](#) (FIN164)
  - [PF4 – Biographical Affidavit – Premium Finance Applicant](#) (FIN166)
  
- **Professional Employer Organization (PEO) Self-Funded Health Plans** - See TAC Ch.13, Subchapter F, Division 3, Rule [13.532](#)
  - [Fingerprinting Instructions](#)
  - [Biographical Affidavit](#) (FIN311)
  
- **Purchasing Groups – No Requirements**
  
- **Reciprocals** – Chief Executive Officer, President, Executive Director, Secretary, Treasurer, Chief Financial Officer/Controller, Chief Operating Officer, and Medical Director (if applicable). We DO NOT require biographical affidavits for Vice Presidents or Assistant Officers. Fingerprinting is required on all except Underwriters and Attorney-in-Fact.
  - [Biographical Affidavit and Fingerprint Requirements for Texas Lloyds and Reciprocals](#) (FIN356)
  - [Biographical Affidavit](#) (NAIC UCAA Form 11) or [Biographical Affidavit Update](#) (FIN324)
  - [Officers and Directors Page](#) (FIN306)
  - [Attorney-in-Fact and Underwriters Page](#) (FIN307)
  
- **Risk Retention Groups – No Requirements**
  
- **Surplus Lines Insurers – No Requirements**

- **Texas Lloyds Companies** – Chief Executive Officer, President, Executive Director, Secretary, Treasurer, Chief Financial Officer/Controller, Chief Operating Officer, and Medical Director (if applicable). We DO NOT require biographical affidavits for Vice Presidents or Assistant Officers. Fingerprinting is required on all except Underwriters and Attorney-in-Fact.
  - [Biographical Affidavit and Fingerprint Requirements for Texas Lloyds and Reciprocals](#) (FIN356)
  - [Biographical Affidavit](#) (NAIC UCAA Form 11) or [Biographical Affidavit Update](#) (FIN324)
  - [Attorney-in-Fact and Underwriters Page](#) (FIN307)
- **Third Party Administrators** - Chief Executive Officer, President, Executive Director, Secretary, Treasurer, Chief Financial Officer/Controller, Chief Operating Officer, Medical Director (if applicable), Directors, Principles, Members/Managers, and Shareholders (> 10%). We DO NOT require biographical affidavits for Vice Presidents or Assistant Officers.
  - [Fingerprinting Instructions](#)
  - [Administrator Biographical Affidavit](#) (FIN484) or [Biographical Affidavit](#) (NAIC UCAA Form 11)
  - [Officers and Directors Page](#) (FIN306)
- **Workers' Compensation Self-Insurance Groups (SIGS)** – All board members and executive officers.
  - [Fingerprinting Instructions](#)
  - [Biographical Affidavit](#) (NAIC UCAA Form 11) or [Biographical Affidavit](#) (FIN311)

## Questions?

Call the Company Licensing and Registration Office at 512-676-6365 or email us at [CompanyLicense@tdi.texas.gov](mailto:CompanyLicense@tdi.texas.gov)