



TEXAS DEPARTMENT OF INSURANCE

Financial Regulation Division - Company Licensing and Registration (103-CL)

333 Guadalupe, Austin, Texas 78701 * PO Box 149104, Austin, Texas 78714-9104

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Fingerprinting and Officer/Director Requirements by Company Type

Submit Biographical Affidavits, Officer and Director Pages and Fingerprint Receipts to CLRBioUpdate@tdi.texas.gov.

- **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 Assistants – **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 Assistants.
 - [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)** - President, Secretary, and Treasurer, ONLY
 - [Biographical Affidavit and Fingerprint Requirements for Foreign Insurers](#) (FIN354)
 - [Biographical Affidavit](#) (NAIC UCAA Form 11)
 - [Biographical Affidavit Update](#) (FIN324)
 - [Officers and Directors Page](#) (FIN306)
- **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 Assistants. (\$50 filing fee) – Submit documents via email to 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

- **Life Settlements** – All Officers, Directors, Shareholders (>10%), and Key Employees
 - [Fingerprinting Instructions](#)
 - [Biographical Affidavit for Life Settlement Providers and Brokers](#) (FIN434)

- **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 Assistants. Fingerprinting is required with the exception of Underwriters and Attorney-in-Fact.
 - [Biographical Affidavit and Fingerprint Requirements for Texas Lloyds and Reciprocals](#) (FIN356)
 - [Biographical Affidavit](#) (NAIC UCAA Form 11)
 - [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 Assistants. Fingerprinting is required with the exception of Underwriters and Attorney-in-Fact.
 - [Biographical Affidavit and Fingerprint Requirements for Texas Lloyds and Reciprocal](#) (FIN356)
 - [Biographical Affidavit](#) (NAIC UCAA Form 11)
 - [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, Principle Members/Managers, and Shareholders (> 10%). We DO NOT require biographical affidavits for Vice Presidents or Assistants.
 - [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)

For questions or more information contact: CompanyLicense@tdi.texas.gov.