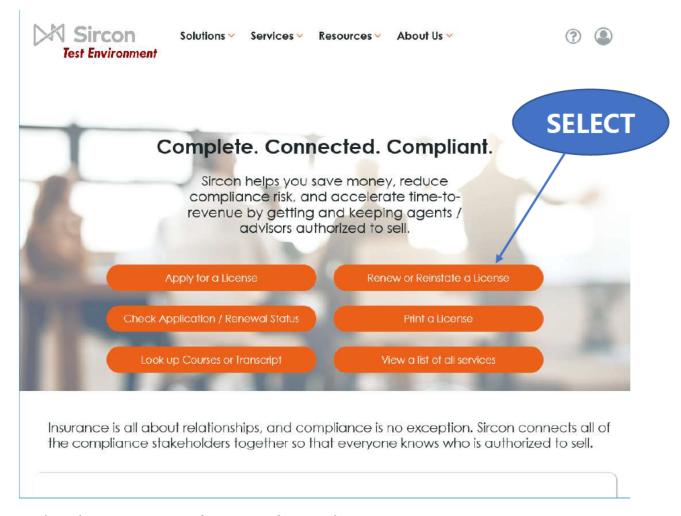
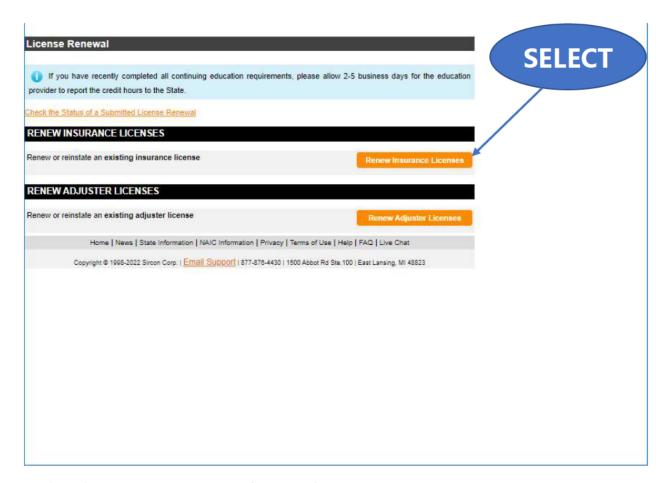
# <u>Use Resident or Non-Resident "License Renewal" Function to</u> <u>submit the TPA Annual Report</u>

License Renewals | Sircon powered by Vertafore



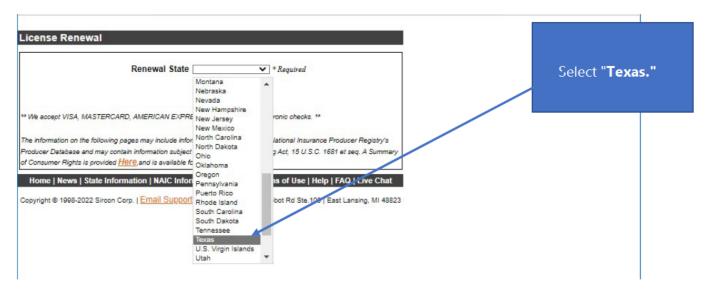
Select the "Renew or Reinstate a License" button.



Select the "Renew Insurance Licenses" button.

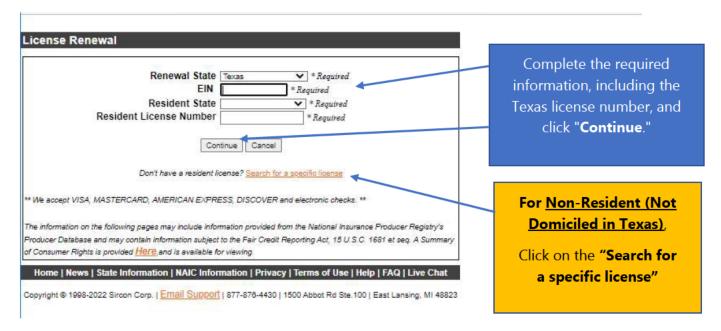


Select the "Firm" and then click "Continue."



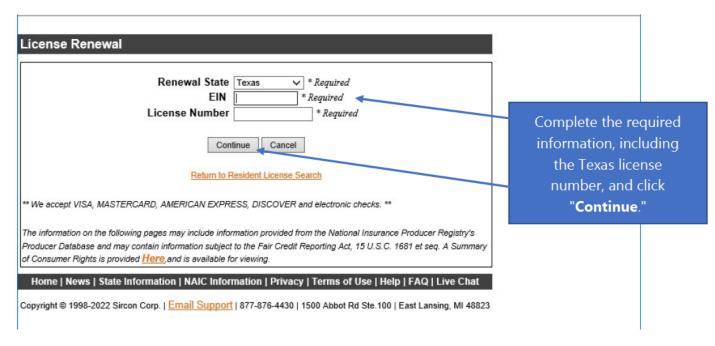
Select "Texas" from the Renewal State drop down menu.

### For Resident (Texas Domiciled) License Renewals:

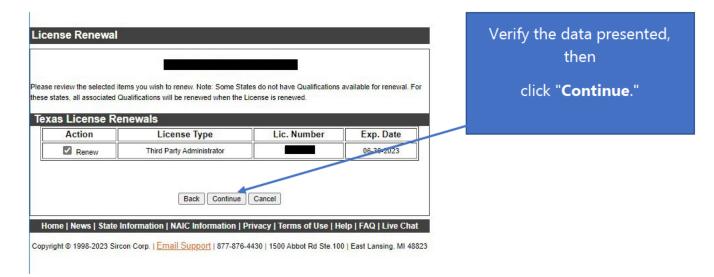


Fill out the required data, including the **Texas license number** being renewed.

### For Non-Resident (Not Domiciled in Texas) License Renewals:



Fill out the required data, including the **Texas license number** being renewed.



Verify data presented, then click "Continue".



NOTE: The expiration date shown is the **TPA Annual Report due date** for Texas Third Party Administrator licenses.

#### Texas Third Party Administrator Renewal Questions

\* All questions are required.

### Question 1

NOTE: For Questions 1a, 1b, and 1c "Convicted" includes, but is not limited to, having been found guilty by verdict of a judge or jury, having entered a plea of guilty or nolo contendere or no contest, or having been given probation, a suspended sentence or a fine.

If you answer yes to any of these questions, you must attach to this application:

- a) a written statement identifying all parties involved (including their percentage of ownership, if any) and explaining the circumstances of each incident.
- b) a copy of the charging document,
- c) a copy of the official document, which demonstrates the resolution of the charges or any final judgment.

#### Question 1A

Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, been convicted of, or is currently charged with, committing a misdemeanor or had a judgment withheld or deferred for a misdemeanor which has not been previously reported to this insurance department?

You may exclude the following misdemeanor convictions or pending misdemeanor charges: traffic citations, driving under the influence (DUI) or driving while intoxicated (DWI), driving without a license, reckless driving, or driving with a suspended or revoked license.

You may also exclude juvenile adjudications (offenses where you were adjudicated delinquent in juvenile court.)

O No

O Yes

#### Question 1B

Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, ever been convicted of, or is currently charged with committing a felony or had a judgment withheld or deferred for a felony which has not been previously reported to this insurance department?

You may exclude juvenile adjudications (offenses where you were adjudicated delinquent in a juvenile court.)

O No

O Yes

#### Question 1B1

If you have a felony conviction involving dishonesty or breach of trust, have you applied for written consent to engage in the business of insurance in your home state as required by 18 USC 1033?

O No

O Yes

O Not Applicable

#### Question 1B2

If so, was consent granted? (Attach copy of 1033 consent approved by home state.)

O No

O Yes

O Not Applicable

Answer all questions carefully.

Attach any required documentation to this application AFTER you submit the application.

Question 1C	
Has the business entity or any owner, partner, officer or director of the business entity, or member or manager of a limited liability company, ever been convicted of or is currently charged with a military offense which has not been previously reported to this insurance department?  No Yes	Answer all questions carefully.
Has the business entity or any owner, partner, officer or director of the business entity, or manager or member of a limited liability company, been named or involved as a party in an administrative proceeding, including a FINRA sanction or arbitration proceeding regarding any professional or occupational license, or registration, which has not been previously reported to this insurance department?  "Involved" means having a license censured, suspended, revoked, canceled, terminated; or, being assessed a fine, placed on probation, sanctioned or surrendering a license to resolve an administrative action. "Involved" also means being named as a party to an administrative or arbitration proceeding which is related to a professional or occupational license. "Involved" also means having a license application denied or the act of withdrawing an application to avoid a denial. You may exclude terminations due solely to	Attach any required documentation to this application after you submit the application.
If you answer yes, you must attach to this application: a) a written statement identifying the type of license; identifying all parties involved (including their percentage of ownership, if any) and explaining the circumstances of each incident, b) a copy of the Notice of Hearing or other document that states the charges and allegations, and c) a copy of the official document which demonstrates the resolution of the charges or any final judgment.  No Yes	
Please enter the Third Party Administrator's primary contact business email address below: The TPA's record will be updated to reflect the primary business email contact listed below.	_
Question 4  An email address of a member of the public that is provided for the purpose of communicating electronically	_
with a governmental body is confidential and not subject to disclosure. Tex. Gov't Code §552.137(a). However, a member of the public's email address may be released if the member of the public affirmatively consents to disclosure of the email address. Tex. Gov't Code §552.137(b).  Does this Third Party Administrator grant consent to public disclosure of their primary contact email address?  O No	
○ Yes	

Is this Third Party Administrator claiming an Exemption from filing an Audited Financial Report with the Annual Report?	ir
O No	
O Yes	
Question 5A	
Has the Third Party Administrator received less than \$10 million in compensation for providing administrative services in Texas during the preceding calendar year?	
O No	
O Yes	
O Not Applicable	
Question 5B	
Will a copy of a current Financial Statement be attached to this transaction?	
O No	
○ Yes	
O Not Applicable	
Question 5C	
Will a copy of a Completed, Notarized, Certification of Financial Statement for Administrators FIN490, that is verified by an officer or other comparable responsible person of the administrator, I attached to this transaction?	
○ No ○ Yes	
Not Applicable	
Тогарричино	
Question 6	
Will a copy of an Audited financial Statement be attached to this transaction?	
Will a copy of an Audited financial Statement be attached to this transaction?  No	
O No O Yes	
○ No ○ Yes	
O No O Yes	
○ No ○ Yes  Question 7  Will a copy of the completed TPA Annual Report Workbook (Microsoft Excel file), or Annual Report for Administrators, TDI Form FIN486 and Annual Report Exhibits A-E, TDI Form FIN488 be submitted.	
○ No ○ Yes  Question 7  Will a copy of the completed TPA Annual Report Workbook (Microsoft Excel file), or Annual Report for Administrators, TDI Form FIN486 and Annual Report Exhibits A-E, TDI Form FIN488 be submitt this transaction?  *** Exclude the Tab FIN487 on the TPA Annual Report Workbook***	
○ No ○ Yes  Question 7  Will a copy of the completed TPA Annual Report Workbook (Microsoft Excel file), or Annual Report for Administrators, TDI Form FIN486 and Annual Report Exhibits A-E, TDI Form FIN488 be submitt this transaction?	
○ No ○ Yes  Question 7  Will a copy of the completed TPA Annual Report Workbook (Microsoft Excel file), or Annual Report for Administrators, TDI Form FIN486 and Annual Report Exhibits A-E, TDI Form FIN488 be submitt this transaction?  **** Exclude the Tab FIN487 on the TPA Annual Report Workbook***  ○ No ○ Yes	
O No O Yes  Question 7  Will a copy of the completed TPA Annual Report Workbook (Microsoft Excel file), or Annual Report for Administrators, TDI Form FIN486 and Annual Report Exhibits A-E, TDI Form FIN488 be submitt this transaction?  **** Exclude the Tab FIN487 on the TPA Annual Report Workbook***  O No O Yes  Question 8	
○ No ○ Yes  Question 7  Will a copy of the completed TPA Annual Report Workbook (Microsoft Excel file), or Annual Report for Administrators, TDI Form FIN486 and Annual Report Exhibits A-E, TDI Form FIN488 be submitt this transaction?  **** Exclude the Tab FIN487 on the TPA Annual Report Workbook***  ○ No ○ Yes	
○ No ○ Yes  Question 7  Will a copy of the completed TPA Annual Report Workbook (Microsoft Excel file), or Annual Report for Administrators, TDI Form FIN486 and Annual Report Exhibits A-E, TDI Form FIN488 be submitt this transaction?  **** Exclude the Tab FIN487 on the TPA Annual Report Workbook***  ○ No ○ Yes  Question 8  Will a certification page on Company letterhead, signed by an Officer, Partner, or Sole Proprietor, be	
○ No ○ Yes  Question 7  Will a copy of the completed TPA Annual Report Workbook (Microsoft Excel file), or Annual Report for Administrators, TDI Form FIN486 and Annual Report Exhibits A-E, TDI Form FIN488 be submitt this transaction?  **** Exclude the Tab FIN487 on the TPA Annual Report Workbook***  ○ No ○ Yes  Question 8  Will a certification page on Company letterhead, signed by an Officer, Partner, or Sole Proprietor, be attached to this transaction attesting that the information provided is true, and correct?	

Answer all questions carefully.

Attach any required documentation to this application after you submit the application.

#### Attestation for Texas

By renewing online, you affirm that you have reported to the Department any administrative action and/or any criminal history, including convictions, deferred adjudications, probations or pending charges. You may report such information by scanning and electronically attaching the required documentation directly to your renewal application from the confirmation page. Federal law (18 USC 1033), prohibits an individual from engaging in the business of insurance if they have been convicted of a crime involving dishonesty or breach of trust without express written consent of a commissioner of insurance.

I certify that all the information provided with this transaction are true and correct.

#### In Addition, for Life Settlement Broker or Providers

I certify that the account status issued by the Texas Comptroller of Public Accounts reflects that the licensee is in good standing or temporary good standing

I certify that the licensee is not subject to the Texas Tax Code Chapter 171; and if a life settlement broker.

I certify that the life settlement broker and each owner, partner, director, member, officer, and designated employee named in the application or in any supplement to the application, who perform acts of a life settlement broker under Insurance Code §1111A.002(2), has completed training equivalent to that required of individual brokers under §3.1723 of this title (relating to Course and Training Requirements for Brokers), unless the individual is exempted under §3.1723(c) of this title or has been associated with the license holder for less than two years.

#### For SFMO Renewals Only:

In applying for a renewal of an SFMO industry certificate of registration, I certify that I am familiar with and will of with the Texas Insurance Code and the Texas Administrative Code applicable to the certificate being renewed hereby authorize the Texas State Fire Marshal or his representative to enter, examine, and inspect any premises, building, room, or establishment used by my firm while engaged in the business the firm is licensed for, to etermine compliance with the provisions of the Texas Insurance Code and the Texas Administrative Code applicable to the certificate being renewed.

#### For Public Insurance Adjuster renewals only:

I will attach a copy of my public insurance adjuster contract and proof of financial responsibility with this submission.

#### For Utilization Review Agents (URA and URAREG)

I have read and understood the URA application and attachments and that the answers are true and correct. I furtile attest that I am familiar and compliant with the Texas statutes and rules that relate to the type of utilization review the applicant is performing in Texas (Texas Insurance Code, Chapters 4201 and 1305, TDI rules, Texas Labor Code provisions, and DWC rules).

I attest that the applicant has written policies and procedures that comply with all URA statutes and rules understand that TDI may request, at any time, copies of all written policies and procedures that were not submitted with this renewal application.

#### For Independent Review Organizations (IRO)

I have read and understood the IRO application and attachments and that the answers are true and correct. I further attest that I am familiar and compliant with the Texas statutes and rules that relate to the indegendent review that the applicant is performing in Texas (Texas Insurance Code, Chapters 4202, TDI rules, Texas Labor Code provisions, and DWC rules including 28 TAC 133.308).

I attest that under penalty of applicable law that the applicant is not a subsidiary of, or in my way owned or controlled by, a payor or a trade or professional association of payors. I further state that I understand this to be a condition of licensure and any violation of this prohibition will result in forfeiture of certification as a Independent Review Organization and other administrative penalties are possible.

Agree \* Required

#### **Submitter Information**

Producer O Authorized Submitter

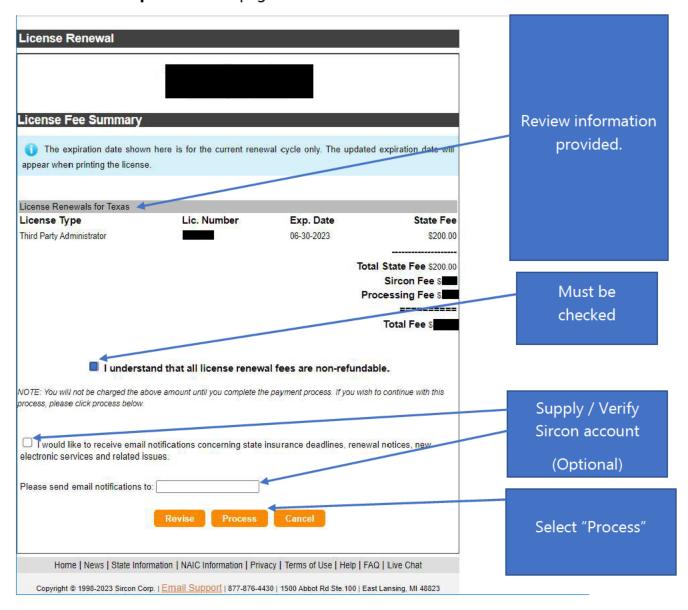
Back Continue

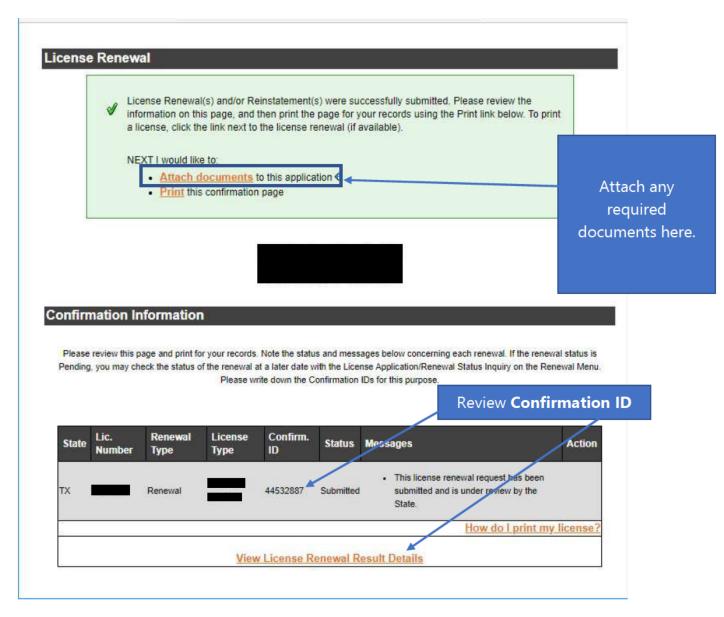
Cancel

### Read Attestation carefully,

Select "Agree" then Click Continue

Below is an **example** of the fee page associated with the transaction.





Review the **Additional State Requirements** Section along with the information which will be submitted with this Renewal application.

Select "Done" to submit this renewal application to the state.

## What's next?

Once staff review and process your filing, the expiration date will change to the next annual report year due date. **No new license will be sent** – the annual report filing does not change any information on your current certificate of authority/license. Need a copy of the existing certificate? Send an email to <a href="CLRRequests@tdi.texas.gov">CLRRequests@tdi.texas.gov</a>. If you need a certified copy of the Certificate of Authority send your check for \$11.00 along with <a href="TDI Form 321">TDI Form 321</a> to the address on the form.