

Biographical Affidavit and Fingerprinting Requirements For Foreign Insurers

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The Texas Department of Insurance is given authority to inquire into the competence and fitness of the officers and directors of insurers. References:

- Texas Insurance Code, Chapter 801, Subchapter C (Competence, Fitness, or Reputation).
- Texas Administrative Code, Title 28, Part 1, Chapter 1, Subchapter D—Effect of Criminal Conduct.
- Texas Government Code 411.106—Access to Criminal History Record Information: Texas Department of Insurance.

Biographical affidavits are required when submitting a UCAA admission or expansion application. TDI no longer requires biographicals or fingerprinting when there are changes to officers of non-Texas (foreign) Insurers unless TDI specifically requests it.

The forms referenced in each section may be found on our website at <https://www.tdi.texas.gov/forms/form3.html>.

These instructions are for Foreign Insurers ONLY.

Section I: Biographical requirements

Submit [NAIC Biographical Affidavit UCAA, Form 11](#) for each officer (President, Secretary and Treasurer). Make sure the affidavit is correctly completed (see Section II, Important Tips).

Biographical affidavits are required for ONLY the President, Secretary and Treasurer, or similar positions. We DO NOT require biographical affidavits for Vice Presidents or Assistant-officers.

Section II. Important tips for biographical affidavits

To avoid deficiencies requiring correction, note the following:

- Insurers name correctly listed. If the officer is elected to the same position for more than one company, make sure all company names are listed. Group names are not acceptable.
- All questions answered. If questions do not apply, indicate "N/A." If questions are left blank, we must assume they were overlooked, and will require correction.
- Position correctly listed. We cannot enter a position in our database if it is not listed on the affidavit.
- Affidavit MUST be signed by the officer and signature must be notarized. We accept copies as long as they are legible and dated within 3 years (and all other information is still current).
- Holding Company System. If the individual is an officer/director for multiple insurers within a holding company system, please send one biographical affidavit and attach a document listing each affiliated insurer and the appropriate position held for each.

If a current officer is elected to a new position, a [Biographical Affidavit Update Form \(FIN324\)](#) reflecting the new position is required.

Section III. Fingerprinting requirements

Commissioner's Bulletin #B-0043-07 dated October 22, 2007, and Commissioner's Bulletin #B-0045-06, dated December 15, 2006, established fingerprint requirements for officers and directors, effective January 1, 2007. Fingerprints are used to check criminal history records of the Texas Department of Public Safety (DPS) and the Federal Bureau of Investigation (FBI).

TDI no longer requires fingerprinting from officers of non-Texas (foreign) Insurers accept on request. We reserve the right to request fingerprinting if during the review process of the application or biographical we find cause to do so. If fingerprinting is requested, follow these instructions:

[Fingerprint requirements and instructions](#)

Upload biographical affidavits, Officer and Director Page and fingerprint receipts with admission filing via UCAA. Email all other officer updates during the year to CLRBioUpdate@tdi.texas.gov.

► Questions?

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