



Texas Department of Insurance  
**Financial, Financial Analysis**, Mail Code 303-1A  
333 Guadalupe St., Austin, Texas 78701 www.tdi.state.tx.us

DATE: FEBRUARY 9, 2011

TO: ALL INSURERS LICENSED TO TRANSACT BUSINESS IN TEXAS  
ATTN: PRESIDENTS AND CHIEF EXECUTIVE OFFICERS

FROM: DOUG SLAPE, CFE, CISA  
CHIEF ANALYST - FINANCIAL ANALYSIS

RE: **2010 ANNUAL/ 2011 QUARTERLY STATEMENT FILING INSTRUCTIONS**

**GENERAL FILING INSTRUCTIONS:**

**1. Filings:**

*Must be postmarked or delivered* on or before the respective due dates as provided in proposed rule 28 TAC §7.67. If the due date falls on a weekend or federal holiday, filings must be postmarked or delivered the following business day. Submit Annual and Quarterly statements and Texas Supplemental filings to the following mailing/delivery address. Foreign companies are only required to submit a completed and signed Jurat page to TDI. Please refer to proposed 28 TAC §7.67 or the NAIC checklists for filing requirements located at this website :

<http://www.tdi.state.tx.us/forms/form4checklists.html>

**Regular Mail & Delivery Service:**

Texas Department of Insurance -

Texas Department of Insurance  
Financial Analysis MC 303-1A  
333 Guadalupe St, Bldg. 3, 3rd Floor  
Austin, Texas 78701

National Association of  
Insurance Commissioners  
(816) 842-3600

National Association of Insurance Commissioners  
2301 McGee, Suite 800  
Kansas City, MO 64108-2604

**2. NAIC Electronic Filings:**

Check NAIC's web site at [www.naic.org](http://www.naic.org) . NAIC Electronic filings are not required to be filed with the Department.

**3. Texas Supplemental Forms:**

These forms are now available via the Internet at the following link. Scroll down the page until you find your type of company.

<http://www.tdi.state.tx.us/forms/form4.html>

**4. Supplemental Documents:**

These should be filed inside the front cover of the 2010 annual statement. *Please do not staple pages to the Jurat.*

**5. Foreign Exam Reports:**

If you choose to submit your Foreign Exam Reports electronically, please send them to the following address: [FAFilings@tdi.state.tx.us](mailto:FAFilings@tdi.state.tx.us)

**6. Bar Codes:**

The Department requires that companies follow bar code specifications as described in NAIC Annual Statement Instructions. It is the responsibility of each company to utilize appropriate bar codes. *Please do not staple documents in the area of the bar code.*

**7. Filing Fees:**

Premium taxes, maintenance taxes, Annual Statement Filing Fees, and miscellaneous assessments must be submitted to:

Comptroller of Public Accounts  
111 East 17th Street  
Austin, Texas 78774-0100  
1-800-252-1387 or (512) 463-4600

**8. Hard Copy Financial Statement Blanks:**

Companies that file with the NAIC can use their vendor software to generate the printed copy of the NAIC financial statement.

We do however have a limited number of blank printed copies available. Companies domiciled in Texas may receive hard copies of 2010 Annual and 2011 Quarterly statement blanks by sending an e-mail request to: [kristine.ehrlich@tdi.state.tx.us](mailto:kristine.ehrlich@tdi.state.tx.us) or call her at (512) 322-5030.

**9. Filing Smart- publication:**

The current edition of *Filing Smart, A Guide to Financial Program & Property and Casualty Division-Data Services Filings for Insurers and Other Insurance Entities Doing Business in Texas*, was developed to assist you in submitting information to the Financial Program and Data Services. It is available via the Department's home page at:

<http://www.tdi.state.tx.us/financial/indexsmart.html>

**10. Financial Statement and Supplemental Filings Requirements**

Domestic and foreign insurers should check the specific filing requirements listed in the [NAIC/Texas Filing checklists](#) located at this internet address. Scroll down the page until you find your company type.

Note: Foreign insurers are not required to file the hard copy of the financial statement in Texas if the hard copy is filed with the state of domicile and the NAIC, and if the data is filed electronically with the NAIC. This does not apply to foreign HMO's.

If you have any questions regarding any of the above items, please contact Kristine Ehrlich at [kristine.ehrlich@tdi.state.tx.us](mailto:kristine.ehrlich@tdi.state.tx.us), (512) 322-5030; or fax 512-322-5082.