



**Company Licensing & Registration Filing Requirements**

Please review the information below carefully to better understand when filing requirements apply to your company. Please note that many filing fees have recently changed.

<b>TYPE OF TRANSACTION</b>	<b>WHO MUST FILE</b>	<b>WHEN DUE</b>	<b>HOW TO FILE</b>	<b>FEE</b>
Admission Package	Foreign Companies Seeking To Do Business In Texas	When a non-domestic company wants to become licensed to do business in Texas	Go to the Company License web site for filing instructions and forms.	\$2,000 or Retaliatory
Affidavit 2.07(b) (P&C) or 3.02a(c) (Life)	Domestic P&C and Domestic Life Companies	Within 90 days of a company issuing authorized but unissued shares of stock	Company sends certificate signed by a majority of the board of directors.	N/A
Agreements with affiliates (TIC 20A.06(b), TAC §11.301(4)(E) & (K), 11.804)	HMOs	Prior to effective date	Company files agreement with Financial Analysis.	N/A
Amendments to Articles of Incorporation (TAC §11.301(4)(H))	HMOs	When changes occur	Go to the Company License website for filing instructions and forms.	\$50
Amendments to Bylaws (TAC §11.301(4)(I))	HMOs	When changes occur	Company files amendment(s) with Company Licensing & Registration.	\$50
Application to Amend Certificate of Authority for a change in lines of business	All Licensed Companies	When a company is adding or deleting a line of business	Company submits documents to Company Licensing & Registration. Go to the Company Licensing website for filing instructions and forms.	\$50
Approval (Domestic) or Notification (Foreign) of Merger	All Licensed Companies	When two companies merge or consolidate	Go to the Company Licensing website for filing instructions and forms.	\$750
Assumption Reinsurance Agreements - Total	All Licensed Companies	When a company cedes all of its business to another company	Go to the Company Licensing website for filing instructions and forms.	\$750
Assumption Reinsurance Agreements - Partial	All Licensed Companies	When a company cedes some of its business to another company	Go to the Company Licensing website for filing instructions and forms.	\$150
Assumption Reinsurance Agreements	HMO	When changes occur	Go to the Company Licensing website for filing instructions and forms.	\$100 Total \$50 Partial

**Company Licensing & Registration Filing Requirements (Continued)**

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Attorney for Service appointment	Foreign licensed companies; domestics with Art. 803 Approval	When a company is required to appoint a Texas resident to accept service of process or a change to a previous appointment	Company completes form and submits completed package to Company Licensing & Registration.	\$25
Biographical Affidavits	All Domestic Companies	When a change occurs in officers or directors, or underwriters or attorneys-in-fact, or with an incorporation application	Company completes and submits biographical affidavit form to Company Licensing & Registration.	N/A
Biographical Affidavits	Foreign Insurers/Surplus Lines Insurers/ Risk Retention Groups/ Accredited & Trusteed Reinsurers	When a change occurs in President, Secretary or Treasurer, or for all officers and directors with initial filing	Company completes and submits biographical affidavit form to Company Licensing & Registration.	N/A
Biographical updates on Officers and Directors (TAC §11.301(5)(A))	HMOs	When changes occur	Company sends completed biographical information to Company Licensing & Registration.	\$50
By-Laws	Fraternal, County Mutuals, Foreign Companies, Local Mutual Aids, Local Mutual Burials, Farm Mutuals, Titles	When changes occur to by-laws	Company files amended by-laws to Company Licensing & Registration.	Retaliatory Only
Cancellations or Amendments to Fidelity Bonds of the HMO's Officers and Employees (TIC 20A.30, TAC §11.301 (5)(B))	HMOs	When changes occur	Company submits documents to Financial Analysis.	\$50
Cancellations/ fidelity bonds of management company (TIC 20A.18(c), TAC §11.301(5)(B))	HMOs	When changes occur	Company submits documents to Financial Analysis.	\$50
Capital Commitment Letters, Stock Subscription Agreements (TAC §11.301 (5)(G), §11.806 (a))	HMOs	When a new HMO is formed or when changes occur	Company submits documents to Financial Analysis.	\$50

**Company Licensing & Registration Filing Requirements (Continued)**

<b>TYPE OF TRANSACTION</b>	<b>WHO MUST FILE</b>	<b>WHEN DUE</b>	<b>HOW TO FILE</b>	<b>FEE</b>
Change in Administrative Offices (TAC §11.301 (5)(D))	HMOs	When changes occur	Company submits documents to Company Licensing & Registration.	\$50
Changes in Affiliate Chart (TAC §11.301 (5)(H))	HMOs	When changes occur	Company submits documents to Financial Analysis.	\$50
Changes in Information to Prospective Group Contract Holders (TAC §11.301 (5)(I))	HMOs	When changes occur	Company sends information to HMO Unit.	\$50
Changes in Network Configuration (TAC §11.301 (5)(K))	HMOs	When changes occur	Company sends information to HMO Unit.	\$50
Changes to Emergency Care Procedures (TAC §11.301 (4)(L))	HMOs	When changes occur	Company sends information to HMO Unit.	N/A
Contracts with Officers and Directors (TAC §11.301 (4)(C))	HMOs	Prior to use	Company submits documents to Financial Analysis.	N/A
Contracts with Providers (TAC §11.301 (5)(F))	HMOs	Prior to use	Company files contracts with HMO Unit.	\$50
D/B/As, trade or service marks (TAC §11.301 (4)(J))	HMOs	Prior to use	Go to the Company Licensing website for filing instructions and forms.	N/A
Declaration of Trust	All Life and P&C, Title, HMOs	When the need arises, either retaliatory or discretionary	Company completes and submits form provided by Company Licensing & Registration.	\$50
Dissolutions	All Domestic Companies	When a company wants to dissolve	Go to the Company Licensing website for filing instructions and forms.	\$25
Cancellation of Certificate of Authority	HMOs	When a HMO wants to cancel its Certificate of Authority	Go to the Company Licensing website for filing instructions and forms.	\$50
Dividends- Filings not required currently. (Courtesy filing-- TAC §11.301 (4)(F) & 11.807)	HMOs	Prior to distribution	Company files documents with Financial Analysis & Examinations.	N/A
Eligibility for Surplus Lines Insurers	Foreign and Alien Insurers Seeking To Do Surplus Lines Business in Texas	When a non-admitted company wants to become an eligible surplus lines insurer in Texas	Go to Company Licensing & Registration website for filing instructions and forms.	N/A

**Company Licensing & Registration Filing Requirements (Continued)**

<b>TYPE OF TRANSACTION</b>	<b>WHO MUST FILE</b>	<b>WHEN DUE</b>	<b>HOW TO FILE</b>	<b>FEE</b>
Exclusive Agency Contracts(TIC 20A.18, TAC §11.301 (4)(C))	HMOs	Prior to use	Company files documents with Financial Analysis & Examinations.	N/A
Exemption from change in control of affiliates (TAC §11.1206)	HMOs	Prior to occurrence	Company submits documents to Financial Analysis.	N/A
Fidelity Bonds of the HMO's Officers and Employees	HMOs	When changes occur or at time of license filing	Company submits documents to Financial Analysis.	\$50
Fidelity Bonds, Employee Dishonesty Bonds, Name Schedule Bonds, Individual Fidelity Bonds, or Blanket Bonds	Local Mutual Aids, Local Mutual Burials, County Mutuels, Group Hospital Service Corporations, Reciprocal, Non-Profit Legal Services Corporations	When a new employee or different employee handles company funds; when new or renewal bond has been issued to company	Company sends the original of any new or renewal bond.	N/A
Foreign HMO C/A amendments, including change in registered office (TAC §11.301 (5)(E))	HMOs	After changes occur	Go to the Company Licensing & Registration website for filing instructions and forms.	\$50
Form A's (TAC §11.1201- §11.1206; §11.301(4)(D))	HMOs	Prior to occurrence	Company files documents with Financial Analysis.	N/A
HMO Certificate of Authority (Initial Filing)	Any Texas corporation or other entity wishing to form an HMO	When an HMO is ready to be formed	Go to the Company Licensing & Registration website for filing instructions and forms.	\$7,500
Incorporations	Applicant wishing to form a Texas company	When ready to incorporate	Go to the Company Licensing & Registration website for filing instructions and forms.	\$1,500
Information to Prospective Group Contract Holders and Enrollees (TAC §11.301 (5)(I), §11.1600)	HMOs	When changes occur or as part of Certificate of Authority filing	Company sends information to HMO Unit.	\$50
Joint Control Agreement	Lloyds	When a deposit is put up, amount of Guaranty Fund changes, or Attorney in Fact changes	Company completes and submits form provided by Company Licensing & Registration.	\$50
Loans to Controlled Entities (TAC §11.301 (4)(G))	HMOs	Prior to use	Company files documents with Financial Analysis.	N/A

**Company Licensing & Registration Filing Requirements (Continued)**

<b>TYPE OF TRANSACTION</b>	<b>WHO MUST FILE</b>	<b>WHEN DUE</b>	<b>HOW TO FILE</b>	<b>FEE</b>
Management Agreements (TIC 20A.18, TAC §11.301 (4)(C))	HMOs	Filed prior to use or when Certificate of Authority application or Service Area Expansion	Company files documents with Financial Analysis.	N/A
Material Transaction Filings (TIC §21.49-8)	HMOs	Prior to use	Company files documents with Financial Analysis.	N/A
Mergers (TAC Subchapter M; §11.301 (4)(D))	HMOs	Prior to occurrence	Call Company Licensing & Registration for Check List	\$750
Method/Calculation of Rates (TAC §11.301 (5)(C))	HMOs	Filed prior to use or when Certificate of Authority application or Service Area Expansion	Company sends information to HMO Unit.	\$50
Minutes of Annual or Special Meeting of Board of Directors	Statewide Mutual Assessment Companies, Local Mutual Burials, Local Mutual Aids, County Mutuels	When annual or special meeting of board of directors is held	Company files after meeting has been held to Company Licensing & Registration.	N/A
Modification of Compensation Arrangements (TAC §11.301 (5)(J))	HMOs	When changes occur	Company files documents with Financial Analysis.	\$50
Name Application	All Licensed Companies And All Companies Applying For Licensing	When a company is proposing to change its name or a new company is proposing to operate under a particular name	Go to the Company Licensing website for filing instructions and forms.	\$100
Notification of license suspension, revocation or penalties levied by other regulatory authorities	All Licensed Companies	When a company's license is suspended or revoked or a fine is levied by another regulatory authority	Company sends copy of notification of suspension, revocation or fine and proof of payment to Company Licensing & Registration.	N/A
Officers and Directors Page	Domestic Companies	Form required annually or when numerous changes occur	Company completes form and submits to Company Licensing & Registration.	N/A
Parental Guarantees (TIC 20A.02(o), 20A.13(f), TAC §11.301 (5)(G), §11.806 (a)(3))	HMOs	When changes occur	Company files documents with Financial Analysis.	\$50

**Company Licensing & Registration Filing Requirements (Continued)**

<b>TYPE OF TRANSACTION</b>	<b>WHO MUST FILE</b>	<b>WHEN DUE</b>	<b>HOW TO FILE</b>	<b>FEE</b>
Port of Entry Application Package	Alien Companies Seeking To Do Business In Texas	When an alien company wants to become licensed to do business in the U.S.	Go to the Company Licensing website for filing instructions and forms.	\$2,000 or Retaliatory
Purchasing Group Registration	Domestic and Foreign Purchasing Groups	When a Purchasing Group wishes to solicit memberships and register in Texas	Go to the Company Licensing & Registration website for filing instructions and forms.	\$50.00 (Initial Registration Fee Only)
Redomestication Package	All Licensed Companies	When a company changes state of domicile	Go to the Company Licensing website for filing instructions and forms.	\$250 (Restated Articles)
Reduction of Deposit (TIC 20A.13(d)-(e), TAC §11.802(d))	HMOs	When changes occur	Company files documents with Company Licensing & Registration	\$50
Relocation of Books and Records Forms TDI/BR-93 or TDI/BR-93-NP or TDI/SOP or TDI/SOP-CP, as applicable	All Domestic And Commercially Domiciled Insurers and HMOs	Application for approval must be made 30 days prior to relocating some or all of a domestic or commercially domiciled insurer's books and records out of state.	Filed with Financial Analysis	\$150
Amendments to Articles of Incorporation: •name change •home office change •increase in capital •directors liability •purpose clause	All Licensed Companies	When a company is proposing to amend articles of incorporation or charter	Go to the Company Licensing website for filing instructions and forms.	\$125 for Amended Articles or \$250 for Restated Articles or Retaliatory
Risk Retention Registration	Foreign Risk Retention Groups	When a Risk Retention Group domiciled in another State wishes to solicit Texas members	Go to the Company Licensing & Registration web site for filing instructions and forms.	\$250.00 (Initial fee only) \$250.00 Annual Statement Filing Fee
Service Area Description and Map filed in connection with the EOC (TAC §11.301 (4)(A)-(B))	HMOs	Filed in connection with Certificate of Authority application	Company sends information to HMO Unit.	Call for fee (dependent upon contracts of Service Area Expansion and forms)
Service Area Expansions (TAC §11.301 (4)(B), §11.302)	HMOs	Whenever an HMO wants to expand its service area	Go to the Company Licensing website for filing instructions and forms.	Fee based on forms
Statutory Deposit	All Life and P&C, Title, HMOs	When the need arises, either retaliatory or discretionary	Company sends either cash or negotiable security to Company Licensing & Registration for safekeeping by State Treasury.	\$100

**Company Licensing & Registration Filing Requirements (Continued)**

<b>TYPE OF TRANSACTION</b>	<b>WHO MUST FILE</b>	<b>WHEN DUE</b>	<b>HOW TO FILE</b>	<b>FEE</b>
Stop-loss or Reinsurance (TAC §11.204 (15), §11.301 (5)(G))	HMOs	Prior to use	Company files documents with Company Licensing & Registration.	\$50
Surplus Debenture Filings - affiliate and non affiliate (TIC 1.39, TAC §7.7)	HMOs	Prior to use	Company files documents with Financial Analysis.	N/A
Waiver of Deposit (TIC 20A.13(f), TAC §11.802 (e))	HMOs	Prior to use	Company files documents with Company Licensing & Registration.	\$50
Withdrawal Plan	All Licensed Companies	When a company proposes to cease doing a particular line of business either by non-renewal or deletion from C/A which would reduce Texas premiums by 75%	Go to the Company Licensing website for filing instructions and forms.	Final Statement Filing Fee Only (check with Comptroller's Office)