



Texas Department of Insurance

**Financial, Financial Analysis**, Mail Code 303-1A

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## ***Filing Smart***

### ***Surplus Lines Insurers***

**PLEASE NOTE THAT TWO SETS OF DOCUMENTS MUST BE PREPARED.**

**DO NOT USE UCAA FILINGS**

**ALL foreign and alien surplus lines insurers must file the following documents:**

**ANNUALLY ON OR BEFORE MARCH 31:**

- Certified copy of license or Certificate of Authority from domiciliary state or country indicating the kind and class of business
- Current list of surplus lines agents representing the insurer that have agency agreements, binding authority and claims paying authority
- Three year business plan or update of a previously filed plan showing:
  1. lines of business and premium volume to be written in Texas
  2. intent to enter any new lines or cease writing any line of business in Texas
  3. description of method the insurer uses to procure Texas business
- Report of any Texas lawsuits where a trial bond was posted and the amount of the bond
- Biographical Affidavit (current within 3 years) for each officer, director, management and underwriter primarily responsible for underwriting Texas risks
- Name, address and telephone number of each entity that manages or performs underwriting for the company

***NOTE: Alien Surplus Lines Insurers are NOT required to file Consolidated statement. Also, refer to the Alien Surplus Lines Insurers (page 44) for additional filing requirements. Foreign Surplus Lines Insurers refer to the Foreign Surplus Lines Insurers page for additional filing requirements***

**Send documents to:   Company Licensing & Registration MC 305-2C  
Texas Department of Insurance  
P.O. Box 149104  
Austin, Texas 78714-9104**

**Send copies of the above documents to:**

**Surplus Lines Stamping Office of Texas  
805 Las Cimas Parkway, Suite 150  
Austin, Texas 78746-5493**

**Or**

**P. O. Box 160170, Austin Texas 78716-0170**

***PLEASE CALL (512) 322-3535 IF YOU HAVE ANY QUESTIONS***