



CCRC Form #6a

CONTINUING CARE RETIREMENT COMMUNITY (CCRC)

Instructions for Preparation of CCRC Disclosure Statement for filing with TDI

- TEXAS DEPARTMENT OF INSURANCE RULES.** Before preparing a disclosure statement, refer to the CCRC rules, 28 TAC §§33.301-33.308 for substantive requirements.
- CCRC FORM #6--FORMAT FOR DISCLOSURE STATEMENT (FIN388).** Use this format for preparation of the disclosure statement. Repeat the text of each subsection of the form and then provide the response. A response may be supplied by reference to a specific named attachment. If any item is inapplicable or the response is in the negative, an appropriate statement to that effect shall be made in the place for the response.
- PAPER SIZE.** The disclosure statement and any attachments, including standard contracts, should be prepared on paper 8 ½ x 11" in size.
- COVER PAGE.** The cover page must state, in a prominent location and in boldfaced type, the date of the disclosure statement, and must include a statement that the delivery of the disclosure statement to a contracting party before the execution of a contract for the provision of continuing care is required by the Act but that the disclosure statement has not been approved by any government agency or representative to ensure accuracy of the enclosed information. See cover page of CCRC Form #6 (FIN388) for illustration.
- DATE OF STATEMENT.** For proper dating of the disclosure statement, refer to §33.305 of the CCRC rules.
- INDEX.** The disclosure statement must include an index, reference page, or table of contents as illustrated in CCRC Form #6 (FIN388).
- PAGE NUMBERING.** Each page must be numbered at the bottom. If a page on file is replaced during the commissioner's review of the statement for completeness or any other time, the new page must have the same number and show a revision date. If two or more pages replace one page, use sub numbers of the original page number. Example: former page 4 replaced by new pages 4.1, 4.2, 4.3, etc.
- FILINGS.** Email a copy of the disclosure statement, a copy of the check, and a copy of the fee transmittal form in PDF format to FAFilings@tdi.texas.gov. Maximum email size is 35MB (35000 KB). Include a Table of Contents with each section of the Disclosure Statement contained in separate PDF files. Please ensure the name of the electronic file conforms to the following standard:

CompanyType-DocType-FilingYear-CompanyName.pdf

(example: CCRC-DS-2016-ABC Life Ins Co.pdf)

Doc Types: DS=Disclosure Statement, AR=Actuarial Review, Corr=Cover Letter, etc.

FilingYear is the Statement Filing Year (not the calendar year in which the document is filed).

9. **ORIGINAL SIGNATURES.** All signatures on material included in or attached to the original disclosure statement must be original signatures. This includes signatures of certified public accountants or qualified actuaries on certified financial statements or other certified reports. The signatures on copies of the disclosure statement need not be original.
10. **FINANCIAL STATEMENTS.** Each page of a financial statement included in the disclosure statement shall note in boldfaced type whether it is audited or not. Refer to §33.306 for substantive requirements concerning financial statements, studies, or forecasts and §33.505(e) relating to the type of financial statements to be included. Each financial document must be submitted electronically, in PDF format.
11. **PROMOTIONAL MATERIAL.** If a provider wishes to include any material of a promotional nature that is not specifically required to be in the disclosure statement, this material must be positioned at the end of the required material but before any attachments or exhibits.

THESE GUIDELINES ARE GENERAL IN NATURE AND DO NOT SUPERCEDE STATUTE OR REGULATION. THEY ARE NOT INTENDED TO BE ALL INCLUSIVE AND ADDITIONAL DOCUMENTATION MAY BE REQUESTED.