

## Checklist for Name Change or Merger of Securities on Deposit

**This checklist is for a name change only - where no securities will be released or substituted.**

Mergers may also be processed as a "name change", if the Texas merger order or approval allows for transfer of securities from one insurer to the other. Submit completed documents in the order listed below.

**Important note:** for name changes or mergers involving custodian changes use [Checklist for Custodian Change for Securities on Deposit \(FIN454\)](#).

### ► Requirements

- 1. [Statutory Deposit Transaction Form \(FIN407\)](#).** For a name change, provide the new company name and the previous name. For a merger, provide the entity name that is merging into surviving entity. If the deposit is held under Texas Insurance Code, Chapter 481, as a voluntary deposit for a Texas domestic insurer or held on behalf of another state or jurisdiction, indicate whether the deposit is for the benefit of all policyholders; policyholders and creditors; or policyholders or creditors on the FIN407 form.
- 2. [Safekeeping Receipt](#).** The receipt should include the new company name or surviving entity name where applicable. Documents should be prepared on bank letterhead and contain signature of issuer. The receipt must give a detailed description of the security (CUSIP/identification number, rate, maturity date, par value/amount) and indicate that it is pledged to the Commissioner of Insurance or Texas Department of Insurance.
- 3. [Form Establishing Pledged Deposit](#).** Lloyds companies use [Joint Control Agreement for Lloyds \(FIN450\)](#). Other insurers, use [Declaration of Trust \(FIN453\)](#). These forms must be executed by all parties and notarized where appropriate. Indicate the statutory reason for your deposit.
- 4. [Merger documentation](#).** Where applicable, include a copy of the Texas Department of Insurance name change or merger approval – this does not need to be certified.
- 5. [A cover letter on company letterhead explaining the transaction being submitted](#).** Include the company and custodian contact information (name, telephone number and email).
- 6. [Email the complete filing to \[SDFilings@tdi.texas.gov\]\(mailto:SDFilings@tdi.texas.gov\)](#).**

### ► Questions?

Email us at [SDFilings@tdi.texas.gov](mailto:SDFilings@tdi.texas.gov) or call the Company Licensing and Registration Office at 512-676-6365.