

January 1, 2020

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

The latest edition of Filing Smart – 2019 Annual and 2020 Quarterly Statement Filing Requirements is now available. It was developed to assist our customers in submitting filings to the Financial Regulation Division and the Data Services Office of the Regulatory Policy Division. Filing Smart provides important information regarding filing requirements categorized by company type - what, when, and where to file; amount of applicable fees; applicable reports and associated fees; and contact information for each area. Additionally, the guide lists the Data Call filings required by the Data Services Office and provides answers to commonly asked questions.

**General Filing Instructions:**

- 1. Filings.** Filings must be postmarked or delivered on or before the respective due dates under 28 TAC [§7.68](#). 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 mailing/delivery address listed below. Refer to the filing requirements checklists at: <https://www.tdi.texas.gov/financial/indexfa.html>. **Note:** Foreign companies are only required to submit a completed and signed Jurat page to TDI, but this does not apply to Foreign HMOs.

**Regular Mail:**

Texas Department of Insurance  
Financial Analysis MC 303-1A  
P. O. Box 149104  
Austin, Texas 78714-9104

**Overnight & Delivery Service:**

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

- 2. NAIC electronic filings.** NAIC Electronic filings are not required to be filed with TDI. Check NAIC's Financial Statement Filing [web site](#).
- 3. Texas supplemental forms.** Place the completed [supplemental forms](#) behind the front cover of the 2019 annual statement. **Please do not staple to the Jurat page.**
- 4. Bar codes.** TDI requires that companies follow bar code specifications as described in the NAIC Annual Statement Instructions. It is the responsibility of each company to utilize appropriate bar codes. Please do not staple the pages near the bar code area.

- 5. Filing fees / taxes and assessments.** Annual statement filing fees, premium taxes, maintenance taxes, and miscellaneous assessments must be submitted to:

Texas Comptroller of Public Accounts  
PO Box 149356  
Austin, Texas 78714-9356

Toll-free number: 800-252-1387

Web page: <https://comptroller.texas.gov/>

- 6. Hard copy annual statement – Texas edition.** Specific company types must complete the appropriate annual statement from the links below and submit a hard copy. Refer to [TAC § 7.68](#)(n)-(p), respectively.

- [Farm Mutual](#) (if gross written premium is less than \$6 million)
- [Mutual Associations](#) (to include statewide mutual assessment, local mutual aid, mutual burial, and exempt associations)

- 7. Policyholder Dividend Disbursement Applications.** TDI accepts electronic submissions of the policyholder dividend disbursement application. The application must be signed with the appropriate signatures and emailed to: [FAFilings@tdi.texas.gov](mailto:FAFilings@tdi.texas.gov). You will receive an acknowledgement upon receipt of your email. Allow approximately thirty (30) days after the date of receipt to process your request.

Please email your questions and comments to: [FinancialAnalysis@tdi.texas.gov](mailto:FinancialAnalysis@tdi.texas.gov). We appreciate and welcome your feedback to improve the usefulness of Filing Smart.

Sincerely,

Amy Garcia, CFE  
Chief Analyst – Associate Commissioner  
Financial Analysis Section