



## BIOGRAPHICAL AFFIDAVIT AND FINGERPRINT REQUIREMENTS

### TEXAS-DOMESTIC INSURERS

- I. [Biographical Requirements](#)
- II. [Important Tips for Biographical Affidavits](#)
- III. [Fingerprinting Requirements](#)

The Company Licensing & Registration office is given authority to inquire into the competence and fitness of the officers and directors of insurers. Please see:

- Texas Insurance Code, Chapter 801, Subchapter C (Competence, Fitness, or Reputation).
- Texas Administrative Code, Title 28, Part 1, Chapter 1, Subchapter D—Effect of Criminal Conduct.
- Texas Government Code 411.106—Access to Criminal History Record Information: Texas Department of Insurance.

Biographical affidavits are required when a change occurs to a company's officers or directors at any time throughout the year. Fingerprints may need to be run, depending on the circumstances (see Section III. Fingerprinting Requirements).

The forms referenced in each section may be found on our website at <http://www.tdi.texas.gov/forms/form3.html>.

**These instructions are for Texas-Domestic Insurers ONLY (non-HMO).**

#### Section I: BIOGRAPHICAL REQUIREMENTS

Submit an [NAIC Biographical Affidavit UCAA, Form 11](#) for each officer. Make sure the affidavit is correctly completed (see Section II, Important Tips).

Pursuant to Texas Administrative Code, Title 28, Part 1, Chapter 1, Subchapter D, each individual listed in §1.503 (3) and (4) of this subchapter (relating to Application of Fingerprint Requirement), at or near the same time that they submit their biographical information, must also submit fingerprint cards, unless fingerprint requirements have previously been fulfilled. Please see Section III: Fingerprinting Requirements.

Biographical affidavits are required for ALL Directors and **ONLY** the following Officers:

Chief Executive Officer, President, Executive Director, Secretary, Treasurer, Chief Financial Officer/Controller, Chief Operating Officer and Medical Director (if applicable).

**We DO NOT** require biographical affidavits for Vice Presidents or Assistant-officers.

## Section II. IMPORTANT TIPS FOR BIOGRAPHICAL AFFIDAVITS

The Company Licensing & Registration office encounters typical deficiencies, which require correction. Please be sure the affidavits submitted have:

- 1) Company name correctly listed. If the officer/director is elected to the same position for more than one company, make sure all company names are listed. Group names are not acceptable.
- 2) All questions answered. If questions do not apply, please indicate "N/A." If questions are left blank, we must assume they were overlooked, and they will require correction.
- 3) Position correctly listed. We cannot enter a position in our database if it is not listed on the affidavit.
- 4) Applicant MUST sign. In addition, the affidavit must be notarized. We will accept copies as long as they are legible and dated within 3 years (and all other information is still current).
- 5) Holding Company System. If the individual is an officer/director for multiple insurers within a holding company system, please send one biographical affidavit and attach a document listing each affiliated insurer and the appropriate position within that entity.

If a current officer has been elected to a new position, a [Biographical Affidavit Update Form \(FIN324\)](#) reflecting the new position is required.

## Section III. FINGERPRINTING REQUIREMENTS

Commissioner's Bulletin #B-0043-07 dated October 22, 2007, and Commissioner's Bulletin #B-0045-06, issued on December 15, 2006, established fingerprint requirements for officers and directors, effective January 1, 2007.

If an officer has not previously submitted fingerprint cards (for example, in connection with an admission/incorporation or a Form A, or for an insurance agent application), we may require this of you. If you are unsure if the officer has previously fulfilled this fingerprinting requirement, please note so when you submit the biographical affidavit. We can check our records, and notify you when we determine if fingerprints are necessary. Be aware that this will also delay updating our database since we cannot add officers until a background check has been done.

Electronic fingerprinting is available for Texas residents. It is fast and accurate; and in most cases, it will help avoid potential delays in the processing of your submission.

**DO NOT SEND PAPER FINGERPRINT CARDS TO THE TEXAS DEPARTMENT OF INSURANCE. If we receive fingerprint cards, we will shred them or return them to you at your expense.**

The general process for obtaining Electronic Fingerprints is as follows:

- 1) Schedule an appointment to be fingerprinted. MorphoTrust USA has 80+ Texas fingerprint locations. Schedule at <http://www.identogo.com> or call toll-free 1-888-467-2080 (8 am-5 pm CST)
  - a. Internet based scheduling is the quickest and most convenient way to obtain a fingerprint appointment.
    - i. You may begin the process by simply clicking on the following link: [Identogo – appointment link for the Texas Department of Insurance \(11G6QF\)](#).
    - ii. Click "Schedule an Appointment" and complete all required fields.

- b. If you prefer to schedule over the telephone, you must:
  - i. First download the [Identogo Texas Fingerprint Service Code Form](#).
  - ii. Then call 1-888-467-2080.
  - iii. MorphoTrust USA / Identogo will then prompt you for the service code (11G6QF) located on the [Identogo Texas Fingerprint Service Code Form](#).
- 2) Arrive at your scheduled appointment with your photo identification and fee.
- 3) At the conclusion of your appointment, the MorphoTrust USA enrollment agent will give you an Identogo receipt stating that you were fingerprinted.
- 4) Attach your fingerprint receipt to your application. You will be sending the receipt to us instead of sending a paper fingerprint card.

#### When Electronic Fingerprinting is not an option.

When electronic fingerprinting is not an option and fingerprint cards must be used, applicants and registrants should follow the steps below.

- 1) Pre-enroll with MorphoTrust USA to submit fingerprint cards.
  - a. Internet based pre-enrollment is the quickest and most efficient way to submit fingerprint cards.
    - i. You may begin the process by simply clicking on the following link: [Identogo – appointment link for the Texas Department of Insurance \(11G6QF\)](#).
    - ii. Click “Submit A Fingerprint Card by Mail”
    - iii. On the next screen, click the “Continue” button and complete all required fields on the following pages.
    - iv. Complete payment screen.
    - v. Print the confirmation page, sign the waiver section and complete the contact information section.
    - vi. Mail the confirmation page with your fingerprint cards. Mailing directions are below.
  - b. If you prefer to pre-enroll over the telephone, you must:
    - i. First download the [Identogo Texas Fingerprint Service Code Form](#).
    - ii. Then call 1-888-467-2080.
    - iii. MorphoTrust USA / Identogo will then prompt you for the service code (11G6QF) located on the [Identogo Texas Fingerprint Service Code Form](#).
    - iv. Inform the MorphoTrust USA representative of your wish to pre-enroll for a “hard card submission”.
    - v. Once payment is completed, a confirmation page will be emailed to you.
    - vi. Print the confirmation page, sign the waiver section and complete the contact information section.
    - vii. Mail the confirmation page with your fingerprint cards. Mailing directions are below.
- 2) Obtain a copy of your fingerprints on an original FBI fingerprint card that includes the Texas Department of Insurance ORI TX920540Z. All requested information must be provided on the fingerprint card, and you and the official taking the fingerprints must sign the card. TDI strongly recommends all residents of Texas, utilize fingerprinting through approved vendors of DPS. Blank cards may be obtained from TDI by calling 512-676-6500 or email request to the Agent and Adjuster Licensing Office at [License@tdi.texas.gov](mailto:License@tdi.texas.gov).
- 3) Once you have obtained your fingerprint cards, follow the mailing instructions found on the MorphoTrust USA Pre-Enrollment confirmation page that you printed and signed.
- 4) Wait for a receipt from MorphoTrust USA.

Attach the receipt to your completed application or filing at the time it is sent to TDI. The receipt allows TDI to locate criminal history information. (NOTE: Should your fingerprints be unacceptable, you will receive a rejection notice from MorphoTrust USA Enrollment Services.)

For questions or more information, please contact our Admitted Team at (512) 676-6385 or by e-mail at [CompanyLicense@tdi.texas.gov](mailto:CompanyLicense@tdi.texas.gov).

Submit completed documents to:

Texas Department of Insurance  
Company Licensing & Registration, Mail Code 103-CL  
PO Box 149104  
Austin, TX 78714-9104

Physical address:  
333 Guadalupe Street  
Austin, TX 78701