



TEXAS DEPARTMENT OF INSURANCE

Financial Regulation Division - Company Licensing and Registration (103-CL)

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Electronic Filing Guidelines

The Company Licensing and Registration Office is requesting that all filings be submitted electronically, either via the NAIC UCAA process or in a pdf format via email, whichever method is applicable.

UCAA Filings (Foreign Companies)

- Expansion Application
- Corporate Amendment Applications

Non-UCAA Filings

Including, but not limited to the following:

- HMO filings
- CCRC filings
- MEWA filings
- WCSIG filings
- TPA/Premium Finance filings
- Registered / Non-admitted company filings (Life Settlement, PG, RRG, Surplus Lines, Accredited Reinsurers...)
- Mergers involving a Texas domestic insurer
- Texas domestic insurer charter amendments
- Incorporation/ Redomestication to Texas (use Primary UCAA application and TX Checklist, but file via email not UCAA process)
- Total and Partial Assumption Reinsurance
- Underwriter Substitution
- Bylaws for County Mutuals, WCSIGs, Local Mutual Aid/ Burial Association, HMO, Joint Underwriting Associations, Multiple Employer Welfare Arrangements, and Fraternal Societies; all other companies do not file amended bylaws.

Submitting UCAA Filings

The NAIC Uniform Certificate of Authority Application (UCAA) process is designed to allow insurers to file copies of the same application for admission in numerous states. Each state that accepts the UCAA is designated as a uniform state. While each uniform state still performs its own independent review of each application, the need to file different applications, in different formats, has been eliminated for all states that accept the uniform application.

The UCAA includes three applications. The Redomestication Application is for use by newly formed companies seeking to re-domesticate to a uniform state. The Expansion Application is for use by companies in good standing in their state of domicile that wish to expand their business into a uniform state. The Corporate Amendments Application is for use by an existing insurer when requesting amendments to its certificate of authority. Go to http://www.naic.org/industry_ucaa_electronic.htm for more information and instructions on filing electronically.

Steps for UCAA Filing Submission

1. Login to the NAIC UCAA Electronic Filing System at <https://ucaa.naic.org/login.html>
2. Submit filing documents to the NAIC UCAA Electronic Filing System in the format outlined in the applicable filing instructions.
3. Send associated filing fees to the Texas Department of Insurance, Attn: Company Licensing and Registration Office MC9999, 333 Guadalupe, Austin, TX 78701. Please attach the following to the filing fee:
 - [Company Licensing Fee Transmittal Form \(FIN321\)](#)
 - Copy of Cover Letter submitted with filing

Submitting Non-UCAA Filings

The Texas Department of Insurance, Company Licensing and Registration Office filings that do not fall under the approved NAIC UCAA filing types are to be submitted via email to CLRFilings@tdi.texas.gov. The required filing documents and checklists can be found at <http://www.tdi.texas.gov/licensing/company/index.html>.

Steps for Non-UCAA Filings

1. Submit filings as a single **bookmarked** pdf via email to CLRFilings@tdi.texas.gov.

Email Requirements

- For an initial filing/application, enter in the subject line of the email the word APPLICATION, then the company name and filing type.
Ex. APPLICATION: ABC COMPANY NAME CHANGE
 - For supplemental filings, enter in the subject line of the email the word SUPPLEMENTAL, then the company name and filing type.
Ex. SUPPLEMENTAL: ABC COMPANY NAME CHANGE
 - To help expedite your filing attach filing documents to the email as a single **bookmarked** PDF.
2. Mail associated filing fees to the Texas Department of Insurance, Attn: Company Licensing and Registration Office MC9999, 333 Guadalupe, Austin, TX 78701. Attach the following to the filing fee:
 - [Company Licensing Fee Transmittal Form \(FIN321\)](#)
 - copy of cover letter that was submitted with filing

Incomplete applications impede timely review by the department. Therefore, it is extremely important that applications are complete.

For questions or more information contact: CompanyLicense@tdi.texas.gov.