

Frequently Asked Questions

1. What documents can be submitted through the portal?

Financial Statement Filings	Due Date
CPA Audited Financial Report	06/01 or 06/30
Accountant's Letter of Qualifications	06/01 or 06/30
CPA Communication of Internal Control Related Matters Noted in Audit	08/01 or 08/31
Management's Report of Internal Control Over Financial Reporting	08/01 or 08/31
CPA Registration of Accountant (Awareness Letter)	12/31
CPA Intent Form	12/31

2. How do I submit these documents?

Log into the portal. Look for a table at the bottom of the page listing items that are eligible for submission. Click the **Submit** button and it will prompt you to search for a file saved on your computer. Upload the appropriate file.

3. How will I know the documents were submitted and received by TDI?

The document status will change and you will see a confirmation indicating the document was sent. TDI staff will retrieve the file when the status changes.

4. Can I submit an address change through the Portal?

Currently only the PIN Contact name and address can be updated.

5. Who should I designate as my PIN Contact?

Typically, the person who is the regulatory liaison, compliance officer, or the person responsible for the financial, annual, or renewal filings.

6. Can filings be made by persons other than the designated PIN Contact?

Yes, the company may allow multiple people to share the PIN.

7. What if I lose my PIN?

TDI does not have access to the PIN once distributed. A reset is required. Send an email to FinancialAnalysis@tdi.texas.gov to initiate a reset and wait for a new PIN to be issued. Be sure to save the PIN in a central location in case the designated PIN Contact is unavailable.

8. Why can't I see the documents when I log in?

The submissions will typically be available 30 days in advance of the due date. However, allow yourself enough time to mail your filing if the **Submit** button is still not available.

9. What if my file is too big?

The portal can only take one attachment at a time and is limited to 4MB. Scanning all pages into one PDF or using Adobe Acrobat Pro to combine multiple pages is an option. To reduce file size, scan in black and white, not grayscale, and set document to a lower resolution.

For additional questions, send an email to FinancialAnalysis@tdi.texas.gov.