

## Application for adjuster entity license

**All applicants read the General Information beginning on page 10.**

*This application must be used by an entity to apply for a Texas insurance license. The application must be either typed or printed in ink. All requested information must be submitted with this application. All applications are subject to further review. Any affirmative response to a screening question may extend processing times. Failure to disclose criminal history information may result in denial of license.*

### Part I (to be completed by all applicants)

#### License Types: (check only one per application)

- Public Insurance Adjuster
- Adjuster All Lines
- Adjuster Property & Casualty
- Adjuster Workers' Compensation

**License Fees:** Fees are **\$50.00** per license type. **\$75** fee required for license that has been expired for more than 90 days but less than one year. Make check or money order payable to the Texas Department of Insurance. **All license fees are nonrefundable and nontransferable.**

**Entity Type:** See descriptions on page 11, and check your entity type.

- Corporation
- Partnership
- Depository Institution
- Farm Credit Administration

**Applicant Information:** Read carefully and provide all requested information.

#### 1 Applicant's Full Legal Name

PRINT FULL LEGAL NAME OF ENTITY (THE NAME MUST BE THE SAME AS ON THE OFFICIAL FORMATION DOCUMENT)

#### 2 Applicant's Federal Employer Identification Number (FEIN) assigned by the U.S. Internal Revenue Service and Daytime Phone Number:

This application cannot be processed without this information.

FEIN (NUMBERS ASSIGNED BY THE TEXAS COMPTROLLER WILL NOT BE ACCEPTED)

DAYTIME PHONE NUMBER EXT

#### 3 Official Mailing Address:

This is the address of record with TDI.

STREET, PHYSICAL LOCATION, ROUTE OR P.O. BOX

CITY

STATE

ZIP CODE

#### 4 Business Address:

This address must be your primary office address where the applicant will maintain business records of Texas insurance transactions.

BUSINESS ADDRESS (PHYSICAL LOCATION REQUIRED; P.O. BOX NOT ACCEPTED)

CITY

STATE

ZIP CODE

#### 5 Applicant's E-mail Address (Required):

E-mail will be used as an option when corresponding with TDI.

E-MAIL ADDRESS

6 **Resident Status:**  Texas Entity  Nonresident Entity \_\_\_\_\_

STATE OF RESIDENCE

7 Does the entity currently hold a license in its state of residence that is the same or similar to the license being applied for in this application?  No  Yes

If yes, the department will verify your active resident license status in the National Association of Insurance Commissioner's Producer Database (PDB). If you are not currently listed in the PDB, you must obtain and attach a Certificate of Good Standing from your resident state that is not more than 90 days old.

8 Is the applicant entity affiliated with a financial institution/bank?  No  Yes

*This question is to facilitate requests for information from other regulators.*

## Part II—Biographical Information

Refer to **Part VI-Adjuster Business Entity** prior to completing this part.

### Responsible Individual(s)/Entity(s) and Fingerprint Requirement

Page 3 **MUST** be completed for **responsible individuals** with all applicable information described below. Page 4 must be completed for **responsible entities** with all applicable information described below.

**Responsible Individual(s)/Entity(s):** Identify and provide all required information for all executive officers, directors, or partners who administer the applicant entity's insurance operations in Texas and all individuals and entities "in control" of the applicant entity's insurance operations. See page 12 for the definition of "control" and other related information. At least one officer or active partner **MUST** hold the same license as the entity is applying for in this application. Limited partnerships must list a general partner who holds the same license type as that being applied for by the limited partnership.

**For each individual listed on page 3**, provide the individual's full legal name, title in relation to the applicant entity, complete mailing address, social security number, date of birth, fingerprint information and the Texas license number, if individual holds such license.

**Fingerprints:** Each individual listed on page 3 must provide a copy of a fingerprint receipt from IdentoGo by MorphoTrust USA, evidencing the individual has had his or her fingerprints electronically submitted to the Texas Department of Public Safety. See our [Fingerprint Requirements and Instructions](#) document for detailed information regarding fingerprinting.

All individuals associated with Public Insurance Adjuster (PIA) applicants are subject to the fingerprint requirements. The fingerprint receipt is waived for all other applicants IF one of the following applies:

- 1 The individual holds an active TDI license and has already submitted fingerprints to TDI with another license application, or
- 2 The individual is a nonresident and meets this requirement by one of the following:
  - a. The individual holds a current similar license in good standing in the individual's home state as reflected on the National Association of Insurance Commissioner's Producer Database, or
  - b. The individual provides with this application criminal history records obtained from the individual's resident state's law enforcement agency, or
  - c. The individual provides with this application a current Certificate of Good Standing for a license similar to the license requested on this application from the individual's resident state's insurance department, or
- 3 The nonresident applicant entity holds an active entity license that is similar to the license requested on this application in the resident state.

All nonresident individuals who do not hold a current insurance license in good standing in their resident state must, through the **law enforcement agency of the state of residence**, submit a copy of the individual's criminal history records. If the resident state will not provide a criminal history record for licensing purposes, the individual must provide a receipt from IdentoGo by MorphoTrust USA, evidencing the individual has had his or her fingerprints electronically submitted to the Texas Department of Public Safety. (Visit our [Fingerprint Requirements and Instructions](#) document for complete fingerprinting instructions).

Individuals associated with PIA applicants must provide an electronic fingerprint receipt, evidencing the individual has had his or her fingerprints electronically submitted to the Texas Department of Public Safety.

**For each responsible entity listed on page 4**, provide the entity's full legal name, complete mailing address, federal employee identification number (FEIN) and an attachment detailing the name and address of all individuals and entities that have controlling relationships affecting the applicant entity up to the ultimate controlling individual or

entity. If an entity is a trust, also give the name and address of the trustee. The attachment may be in the form of an organization chart.

**Responsible Individuals**

**Refer to page 2 for instructions to complete this page.** Feel free to make as many additional copies of this page as necessary.

INDIVIDUAL'S FULL LEGAL NAME	TITLE		
SOCIAL SECURITY NUMBER	DATE OF BIRTH (MM/DD/YYYY)	TDI LICENSE NUMBER	
STREET, PHYSICAL LOCATION, ROUTE OR P O BOX	CITY	STATE	ZIP CODE

Fingerprint receipt from IdenttoGO by MorphoTrust USA is attached (see our [Fingerprint Requirements and Instructions](#) document for complete fingerprinting instructions), or  
 Individual has active TDI License No. \_\_\_\_\_, and previously submitted fingerprints to TDI, or  
 Individual is currently licensed in the individual's resident state with a license similar to the license applied for on this application (not applicable to Public Insurance Adjuster applicants), or  
 Individual is a nonresident and has attached criminal history records from individual's resident **state's law enforcement agency** (not applicable to Public Insurance Adjuster applicants), or  
 Applicant nonresident entity is currently licensed in resident state (not applicable to Public Insurance Adjuster applicants).

INDIVIDUAL'S FULL LEGAL NAME	TITLE		
SOCIAL SECURITY NUMBER	DATE OF BIRTH (MM/DD/YYYY)	TDI LICENSE NUMBER	
STREET, PHYSICAL LOCATION, ROUTE OR P O BOX	CITY	STATE	ZIP CODE

Fingerprint receipt from IdenttoGO by MorphoTrust USA is attached (see our [Fingerprint Requirements and Instructions](#) document for complete fingerprinting instructions), or  
 Individual has active TDI License No. \_\_\_\_\_, and previously submitted fingerprints to TDI, or  
 Individual is currently licensed in the individual's resident state with a license similar to the license applied for on this application (not applicable to Public Insurance Adjuster applicants), or  
 Individual is a nonresident and has attached criminal history records from individual's resident **state's law enforcement agency** (not applicable to Public Insurance Adjuster applicants), or  
 Applicant nonresident entity is currently licensed in resident state (not applicable to Public Insurance Adjuster applicants).

INDIVIDUAL'S FULL LEGAL NAME	TITLE		
SOCIAL SECURITY NUMBER	DATE OF BIRTH (MM/DD/YYYY)	TDI LICENSE NUMBER	
STREET, PHYSICAL LOCATION, ROUTE OR P O BOX	CITY	STATE	ZIP CODE

Fingerprint receipt from IdenttoGO by MorphoTrust USA is attached (see our [Fingerprint Requirements and Instructions](#) document for complete fingerprinting instructions), or  
 Individual has active TDI License No. \_\_\_\_\_, and previously submitted fingerprints to TDI, or  
 Individual is currently licensed in the individual's resident state with a license similar to the license applied for on this application (not applicable to Public Insurance Adjuster applicants), or  
 Individual is a nonresident and has attached criminal history records from individual's resident **state's law enforcement agency** (not applicable to Public Insurance Adjuster applicants), or  
 Applicant nonresident entity is currently licensed in resident state (not applicable to PIA applicants)

**Responsible Entities**

**Refer to page 2 and page 3 for instructions to complete this page.** Feel free to make as many additional copies of this page as necessary.

\_\_\_\_\_  
ENTITY'S FULL LEGAL NAME FEIN

\_\_\_\_\_  
STREET, PHYSICAL LOCATION, ROUTE OR PO BOX CITY STATE ZIP CODE

Summary of control relationships affecting the applicant entity, including full names with mailing addresses is attached.

\_\_\_\_\_  
ENTITY'S FULL LEGAL NAME FEIN

\_\_\_\_\_  
STREET, PHYSICAL LOCATION, ROUTE OR PO BOX CITY STATE ZIP CODE

Summary of control relationships affecting the applicant entity, including full names with mailing addresses is attached.

\_\_\_\_\_  
ENTITY'S FULL LEGAL NAME FEIN

\_\_\_\_\_  
STREET, PHYSICAL LOCATION, ROUTE OR PO BOX CITY STATE ZIP CODE

Summary of control relationships affecting the applicant entity, including full names with mailing addresses is attached.

\_\_\_\_\_  
ENTITY'S FULL LEGAL NAME FEIN

\_\_\_\_\_  
STREET, PHYSICAL LOCATION, ROUTE OR PO BOX CITY STATE ZIP CODE

Summary of control relationships affecting the applicant entity, including full names with mailing addresses is attached.

### Part III–Texas Authorizations and Financial Responsibility

- 1 Business Authority:** Entity applicants must be organized under the laws of Texas or of another state prior to obtaining an insurance license.
- All resident and nonresident corporations, limited liability companies, limited partnerships, limited liability partnerships, and agricultural cooperatives must provide a copy of their Charter, Certificate of Formation, or registration that was obtained from the Texas Secretary of State's office or other state's authorizing department (if nonresident entity). If the applicant entity was organized in a state other than Texas, then provide a copy of documentation that demonstrates the entity was organized under the laws of another state. Resident and nonresident entities may be required to register with the Texas Secretary of State. You may contact the Texas Secretary of State's office at [www.sos.state.tx.us](http://www.sos.state.tx.us) or call 512-463-5701.
  - All banks and farm credit administration entities must provide a copy of the document issued by a federal or Texas state agency authorizing the entity to do business in Texas.  
Have you attached a copy of your document, as required in **a** or **b**, that demonstrates the applicant entity is organized under the laws of this state or another state?  
 No, not applicable (i.e. general partnership)       Yes
- 2** In your organization documents, is the entity authorized to engage in the business of insurance as an agent, OR as an adjuster, OR generally authorized to engage in any lawful business under a general business purpose clause?       No       Yes
- 3 Franchise Tax:** Entities are not required to provide the department a current Texas Franchise Tax Certificate of Good Standing or a copy of the No Nexus Letter the entity received from the Texas Comptroller to obtain an agency license. However, your entity may still be a taxable entity subject to applicable Texas franchise tax. To determine if your entity is subject to Texas franchise tax, contact the Texas Comptroller of Public Accounts at [www.cpa.state.tx.us](http://www.cpa.state.tx.us) or call 512-463-4865 or 1-800-252-1386.  
I understand it is the entity's responsibility to contact the Texas Comptroller of Public Accounts to determine if it is a taxable entity and subject to Texas franchise tax.       No       Yes
- 4 Financial Responsibility:** Proof of Financial Responsibility is required of public insurance adjusters. Public Insurance Adjuster applicants must provide a surety bond in the amount of not less than \$10,000.

All bonds must be payable to the Texas Department of Insurance. Bond form [Public Insurance Adjuster Bond](#) (TDI Form FIN509), is located on our [Agent/Adjuster Forms](#) web page at <http://www.tdi.texas.gov/forms/form11apps.html>.

**Adjuster Business Entity applicants are not required to provide financial responsibility.**

- PIA Bond is attached       Adjuster Business entity not required

## Part IV—Screening Questions

- 1** Has the applicant entity or any owner, partner, officer, director, or employee, ever applied for a letter of consent, as required under 18 U.S.C. 1033(e), from any insurance regulatory official from Texas or any other State?  No  Yes

Any individual who has been convicted of any criminal felony involving dishonesty or breach of trust, or who has been convicted of an offense under 18 U.S.C. 1033, must obtain written consent of any insurance regulatory official authorized to regulate the insurer in order to engage or participate in the business of insurance.

Applicants must obtain a letter of consent prior to an application being processed.

If you answer **“Yes”**, the application will not be processed until you provide full details of the outcome of that proceeding and all supporting documents to the department.

If you answer **“No”**, and the applicant entity or any owner, partner, officer, director, or employee, have been convicted of any criminal felony involving dishonesty or breach of trust, or an offense under 18 U.S.C. 1033, the application will not be processed until a signed and notarized request for written consent with all supporting documentation is submitted to the department.

- 2** Has the applicant entity or any owner, partner, officer or director ever been convicted of, or is the applicant entity or any owner, partner, officer or director currently charged with, committing a crime, whether or not adjudication was withheld?  No  Yes

“Crime” includes a misdemeanor, felony or a military offense. You may exclude misdemeanor traffic citations and juvenile offenses.

“Convicted” includes, but is not limited to, having been found guilty by verdict of a judge or jury, having entered a plea of guilty or nolo contendere, or having been given probation, a suspended sentence or a fine.

If you answer **“Yes”**, you must attach to this application:

- a. a written statement explaining the circumstances of each incident,
- b. a copy of the charging document, and
- c. a copy of the official document obtained from the court where you were charged which demonstrates the resolution of the charges or any final judgment.

- 3** Has the applicant entity or any owner, partner, officer or director ever been the subject of an administrative or legal action filed by Texas or any other insurance department, or financial regulatory agency, or of an action filed on behalf of Texas or any other state, or by the federal government based on alleged violations of state or federal insurance, securities or financial regulatory laws, or been involved in an administrative proceeding regarding any professional or occupational license?  No  Yes

“Involved” means having a license censured, suspended, revoked, canceled, terminated or being assessed a fine, placed on probation or surrendering a license to resolve an administrative action. “Involved” also means being named as a party to an administrative or arbitration proceeding which is related to a professional or occupational license. “Involved” also means having a license application denied or the act of withdrawing an application to avoid a denial. You may exclude terminations due solely to noncompliance with continuing education requirements or failure to pay a renewal fee.

If you answer **“Yes”**, you must attach to this application:

- a. full details of the administrative or legal action,
- b. a written statement identifying the type of license, if any, and explaining the circumstances of each incident,
- c. a copy of the Notice of Hearing or other document that states the charges and allegations, and
- d. a copy of the official document which demonstrates the resolution of the charges or any final judgment.

- 4** Has the applicant entity or any owner, partner, officer or director ever been notified by any jurisdiction of any delinquent tax obligation that is not the subject of a repayment agreement?  No  Yes

If you answer **“Yes”**, identify the jurisdiction(s): \_\_\_\_\_

- 5** Is the applicant entity or any owner, partner, officer or director a party to, or ever been found liable in any lawsuit or arbitration proceeding involving allegations of fraud, misappropriation or conversion of funds, misrepresentation or breach of fiduciary duty?  No  Yes

If you answer **“Yes”**, you must attach to this application:

- a. a written statement summarizing the details of each incident,

- b. a copy of the Petition, Complaint or other document that commenced the lawsuit or arbitration, and
  - c. a copy of the official document which demonstrates the resolution of the charges or any final judgment.
- 6 Has the applicant entity or any owner, partner, officer or director ever had an insurance agency contract or any other business relationship with an insurance company terminated for any alleged misconduct?  No  Yes
- If you answer “Yes”, you must attach to this application:
- a. a written statement summarizing the details of each incident and explaining why you feel this incident should not prevent you from receiving an insurance license, and
  - b. copies of all relevant documents.

### Part V—Public Insurance Adjusters (PIAs)

PIA entity applicants MUST complete this part.

- 1 **Criminal History Records:** Each nonresident responsible individual listed in Part II, must file with this application an original criminal history record of the individual obtained from the state law enforcement agency of the applicant’s state of residence. Original criminal history records for each nonresident individual listed in Part II, is attached.  No  Yes
- 2 **Fingerprints:** Each resident and nonresident responsible individual listed with your entity in Part II must provide a fingerprint receipt from Identigo by MorphoTrust USA, evidencing the individual has had his or her fingerprints electronically submitted to the Texas Department of Public Safety. A fingerprint receipt for each individual listed in Part II, is attached?  No  Yes
- 3 **PIA Contract Requirements – Effective January 1, 2014, contract requirements under amended Texas Administrative Code (TAC) §19.701, §19.708 and §19.713 apply to all applicants for a PIA license. The contract you propose to use must be submitted with the original PIA license application. Review your contract to ensure compliance with all contract requirements as outlined in the TAC. The [Public Insurance Adjuster Contract \(TDI Form FIN535\)](#) contains the required standard contract language. This form can be accessed from the [Agent / Adjuster Forms](#) web page at <http://www.tdi.texas.gov/forms/form11apps.html>.**
- The failure by a PIA to use a properly authorized and approved contract may result in suspension, nonrenewal, revocation of the Public Insurance Adjuster’s license, or other administrative penalty (ref. TAC §19.708(f)).
- a. I have reviewed TDI form FIN535 and I will be using that contract form with my clients once licensed.  No (If “No”, answer 3b below.)  Yes
  - b. I have developed my own contract form that meets all requirements as outlined in TAC §19.701 and §19.708. I have attached a copy of my proposed contract form for TDI’s review and approval.  No  Yes

Note: Your application for a PIA license cannot be approved until you have registered an approved contract with the department.

- 4 **Agent for Service of Process:** All nonresident applicants for a PIA license must provide the name and address of their agent for service of process in the state of Texas as required in TIC §4102.107.

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PRINT NAME OF TEXAS AGENT FOR SERVICE OF PROCESS

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PRINT TEXAS ADDRESS OF AGENT FOR SERVICE OF PROCESS (INCLUDING CITY, STATE, AND ZIP CODE)

**Part VI—Adjuster Business Entities Only**

Adjuster business entity applicants must complete this part. (Texas Insurance Code, §4101.053 (C))

**TEXAS ADJUSTER BUSINESS ENTITY LICENSE:**

All applicants for a Texas adjuster business entity license must have at least one designated qualifying individual Texas licensed resident adjuster **OR** at least one Designated Home State Texas licensed nonresident adjuster; that holds the same license authority as the applicant entity is requesting on this application.

**RECIPROCAL NONRESIDENT ADJUSTER BUSINESS ENTITY LICENSE:**

All nonresident applicants for an adjuster business entity license by **reciprocity** must have at least one designated qualifying individual Texas **nonresident** licensed adjuster **OR** a designated qualifying individual Texas **resident** licensed adjuster, **OR** a designated qualifying individual Texas licensed **Designated Home State** adjuster; that holds the same license authority as the applicant entity is requesting on this application. A Letter of Certification is required from the applicant entity's home state, certifying that the entity is currently licensed as a resident in that state.

**FOR BOTH OF THE ABOVE DESCRIBED ADJUSTER BUSINESS ENTITY LICENSE APPLICANTS:**

- 1 I have completed **Part II-Biographical Information (which starts on page 2)** by providing the required information for **all** executive officers, directors, or partners who administer the applicant entity's adjuster operations in Texas, **at least one** designated qualifying individual **who is a Texas licensed adjuster**, and all individuals and entities "in control" of the applicant entity's adjuster operations.  
 No     Yes
- 2 TIC §4101.053 requires that in order to qualify for a license under Chapter 4101, a business entity must present evidence satisfactory to the department that the applicant has designated a **Texas** licensed adjuster responsible for the business entity's compliance with the insurance laws of this state. The adjuster business entity applicant understands that it must notify the department, and the department must approve of any change to the designated qualifying **Texas** licensed adjuster.  
 No     Yes

**Part VII—Certification**

I hereby certify that I have personally and completely answered each of the questions herein and that the answers are true and correct to the best of my knowledge and belief, and that I have attached to this application all information requested. I further certify that I am aware of the provisions of the Texas Insurance Code and the rules and regulations promulgated by the Texas Department of Insurance, which relate to the issuance of the license for which I am applying and the grounds under which such license may be denied, suspended, revoked or nonrenewed.

I understand that fingerprints provided for this application will be used to check criminal history records of the Texas Department of Public Safety and the Federal Bureau of Investigation in accordance with applicable statutes and I have advised all individuals submitting fingerprints for this application of this use.

I acknowledge and understand that the applicant has the duty to inform the commissioner of insurance within thirty (30) days of any disciplinary action taken against it or any individual associated with the entity who is required to file biographical information with the department.

I further acknowledge that the applicant has the duty to update the information contained on this application including a change in address, and that failure to do so may constitute grounds for revocation, or suspension of its insurance license(s).

I further certify that each listed or named individual has to the best of my knowledge and belief, received a true and correct copy of the disclosure entitled **Notice About Certain Information Laws and Practices (see page 10)**.

I understand all applications are subject to further review. Any affirmative response to a screening question may extend processing times. **Failure to disclose criminal history information may result in denial of license.**

The entity hereby designates the commissioner of insurance as the agent for service of process in the manner provided by Section 804.201 of The Texas Insurance Code in a legal proceeding against a nonresident agent licensed to transact business in this state if: **1)** the nonresident agent fails to appoint or maintain an agent for service in this state; **2)** an agent for service is appointed but cannot with reasonable diligence be found; or **3)** the license of the nonresident agent is revoked.

\_\_\_\_\_  
SIGNATURE OF OFFICER, OR PARTNER NAMED IN PART II

\_\_\_\_\_  
PRINT FULL LEGAL NAME OF OFFICER, OR PARTNER

The State of \_\_\_\_\_, County of \_\_\_\_\_,

Before me \_\_\_\_\_, on this day personally appeared  
(PRINTED NOTARY'S NAME)

\_\_\_\_\_, known to me (or proved to me  
(PRINT NAME OF SIGNING INDIVIDUAL)

on the oath of \_\_\_\_\_ or through \_\_\_\_\_ )  
(PRINTED NAME OF WITNESS KNOWN TO NOTARY PUBLIC) (DESCRIPTION OF IDENTITY CARD OR OTHER DOCUMENT)

to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he or she executed the same for the purposes and consideration therein expressed.

Given under my hand and seal of office this \_\_\_ day of \_\_\_\_\_, A.D., \_\_\_\_\_.

**(Notary Seal)**

Notary public signature \_\_\_\_\_

Notary Public, State of \_\_\_\_\_

**General Information**

LICENSE TYPE	PART I	PART II	PART III	PART IV	PART V	PART VI	PART VII
Public Insurance Adjuster (Chapter 4102)	•	•	•	•	•		•
Adjuster (Chapter 4101)	•	•	•	•		•	•

- Required parts

Detailed license type information can be accessed from our [License Types Information and Descriptions](http://www.tdi.texas.gov/licensing/agent/aglityp.html) web page at [www.tdi.texas.gov/licensing/agent/aglityp.html](http://www.tdi.texas.gov/licensing/agent/aglityp.html).

This application, with fee and required attachments, must be mailed to:

**Texas Department of Insurance  
 Agent and Adjuster Licensing Office  
 Mail Code 107-1A  
 P.O. Box 12069  
 Austin TX 78711-2069**

**NOTICE ABOUT CERTAIN INFORMATION LAWS AND PRACTICES**

*With few exceptions, you are entitled to be informed about the information that the Texas Department of Insurance (TDI) collects about you. Under sections 552.021 and 552.023 of the Texas Government Code, you have a right to review or receive copies of information about yourself, including private information. However, TDI may withhold information for reasons other than to protect your right to privacy. Under section 559.004 of the Texas Government Code, you are entitled to request that TDI correct information that TDI has about you that is incorrect. For more information about the procedure and costs for obtaining information from TDI or about the procedure for correcting information kept by TDI, please contact the Agency Counsel Section of TDI's General Counsel Division at (512) 676-6551 or visit the Corrections Procedure section of TDI's website at [www.tdi.texas.gov](http://www.tdi.texas.gov).*

**Descriptions of Entity Types:**

**Corporation** means a legal entity that is organized under the business corporation laws or limited liability company laws of Texas, another state, or a territory of the United States and that has as one of its purposes the authority to act as an insurance agent. Agricultural cooperatives organized under Chapter 51 or 52 of the Agricultural Code are also considered corporations.

**Depository Institution** means:

- a. a bank or savings association as defined by 12 U.S.C. Section 1813, as amended;
- b. a foreign bank that maintains a branch, agency, or commercial lending company in the United States;
- c. a federal or state credit union as defined by 12 U.S.C. Section 1752, as amended;
- d. a bank branch; or
- e. a bank subsidiary, as defined by state or federal law.

**Partnership** means an association of two or more persons organized under the partnership laws or limited liability partnership laws of Texas, another state, or a territory of the United States. The term includes a general partnership, limited partnership, limited liability partnership, and limited liability limited partnership.

**Farm Credit Administration** means an entity chartered by the Federal Farm Credit Administration under the farm credit system established under 12 U.S.C. Section 2001 et seq., as amended.

**Fees:** 28 Texas Administrative Code §§ 19.801-19.802: All **\$50** application fees are nonrefundable and nontransferable as authorized by the Texas Insurance Code. Make check or money order payable to the Texas Department of Insurance.

**Names:** Applicants must apply for license in their full legal name as authorized on their official formation documents. If the applicant will be doing business under a name other than their "legal name", a [Registration of Assumed Name/Branch Locations/Entity Name Change Form](#) (TDI Form FIN528), aka LDTL form with the required **\$50** fee must be filed with TDI. The LDTL form can be accessed from our [Information Update Forms](#) page at <http://www.tdi.texas.gov/forms/form11update.html>.

A completed LDTL form (FIN528) must also be submitted to notify TDI of a legal name change of the entity.

**Addresses:** The official mailing address provided in Part I must be the entity's permanent mailing address and is the address of record to which licenses, official correspondence, forms, notices and other information will be sent. Address changes must be reported to TDI as required in TIC §4001.254. If the official mailing address changes, an officer or partner of the entity must notify TDI, in writing, either by fax to **512-490-1029** or by mail to:

**Texas Department of Insurance**  
**Agent and Adjuster Licensing Office**  
**Mail Code 107-1A**  
**P.O. Box 149104**  
**Austin TX 78711-9104**

You may obtain the [Licensee Name/Address Change Request Form](#) (TDI Form FIN533) from our [Information Update Forms](#) web page at <http://www.tdi.texas.gov/forms/form11update.html>. All address change requests must be dated and signed by an authorized officer or partner of the licensed entity.

**Executive Officers, Directors, Partners and Individuals In Control:** In Part II all executive officers, directors or partners who administer the applicant entity's insurance operations in Texas and all individuals in control of 10 percent or more of the entity's voting stock must be identified. The social security number, date of birth, complete mailing address and fingerprint information must be provided for each individual listed.

**Control** means the power to direct or cause the direction of the management and policies of a license holder, whether directly or indirectly. A person is considered to control:

- a. a corporate license holder if the person, individually or acting with others, directly or indirectly, holds with the power to vote, owns, or controls, or holds proxies representing, at least 10 percent of the voting stock or voting rights of the corporate license holder; or
- b. a partnership, if the person through a right to vote, or through any other right or power exercises rights in the management, direction, or conduct of the business of the partnership.

At least one officer or one active partner of the applicant entity must be individually licensed by the Texas Department of Insurance to act as an agent under the applicant entity. In the case of a limited partnership, an active partner must be a licensed general partner.

Once licensed, the entity must notify TDI not later than the 30th day after the date of the addition or removal of an officer, director, partner, member or manager by submitting a completed [Biographical Form and Certification of License Qualification Following a Change of Control form](#) (TDI Form FIN531). This form can be accessed from our [Information Update Forms](#) web page at <http://www.tdi.texas.gov/forms/form11update.html>.

**Fingerprinting:** The fingerprint requirement is authorized in Texas Insurance Code §801.056 and amended 28 TAC §1.501 and §§1.503–1.509.

TDI strongly encourages all resident applicants to utilize electronic fingerprinting through approved vendors as authorized under the rule. Electronic fingerprinting is fast and accurate, and in most cases will avoid potential delays in the processing of your submission.

Detailed information about fee requirements and [Fingerprint Requirements and Instructions](#) is located on our web site at <http://www.tdi.texas.gov/licensing/agent/documents/fingerprintrequirementsinstructions.pdf>.

TDI cannot complete processing an application until it receives a criminal history report from DPS and FBI for applicants required to provide a fingerprint receipt.

Fingerprints provided for this application shall be used to check criminal history records of the Texas Department of Public Safety and the Federal Bureau of Investigation in accordance with the applicable statutes.

**References:** You may view the [Texas Insurance Code](#) at <http://www.statutes.legis.state.tx.us/?link=IN> and the [Texas Administrative Code](#) at [https://texreg.sos.state.tx.us/public/readtac\\$ext.ViewTAC?tac\\_view=3&ti=28&pt=1](https://texreg.sos.state.tx.us/public/readtac$ext.ViewTAC?tac_view=3&ti=28&pt=1)