

TITLE COMPANIES

COMPANY NAME: _____ NAIC Company Code: _____

Contact: _____ Telephone: _____

REQUIRED FILINGS IN THE STATE OF: **TEXAS** Filings Made During the Year 2020 **Revised 05/01/2020 #**

(1) Checklist	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
I. NAIC FINANCIAL STATEMENTS								
	1	Annual Statement (8 1/2" x 14")	1	EO	xxx	3/1	NAIC	Q, Z, AA
	1.1	Printed Investment Schedule detail (Pages E01-E29)	1	EO	xxx	3/1	NAIC	Q, Z, AA
	2	Quarterly Financial Statement (8 1/2" x 14")	1	EO	xxx	5/15, 8/15, 11/15	NAIC	Q, Z, AA
II. NAIC SUPPLEMENTS								
	11	Actuarial Opinion	1	EO	xxx	3/1	Company	Q, Z
	12	Investment Risk Interrogatories	1	EO	xxx	4/1	NAIC	Q, Z
	13	Management Discussion & Analysis	1	EO	xxx	4/1	Company	Q, Z
	14	Schedule SIS	1	N/A	N/A	3/1	NAIC	P, R
	15	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	P, R
	16	Supplemental Schedule of Business Written by Agency	1	N/A	N/A	4/1	NAIC	P, R
III. ELECTRONIC FILING REQUIREMENTS								
	61	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	O, Z
	62	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	O, Z
	63	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	O, Z
	64	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	O, Z
	65	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	O, Z
	66	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	O, Z
	67	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	O, Z, AD
IV. AUDIT/INTERNAL CONTROL RELATED REPORTS								
	81	Accountants Letter of Qualifications (<i>TIC § 401.013 and 28 TAC § 7.88(l)</i>)	1	EO	N/A	6/1 or 6/30	Company	Q, Z
	82	Audited Financial Reports (<i>TIC Chapter 401 Subchapter A, and 28 TAC §§ 7.18, 7.85 and 7.88</i>)	1	EO	N/A	6/1 or 6/30	Company	Q, Z, AD
	83	Audited Financial Reports Exemption Affidavit for Certain Small Insurers and HMO's (<i>TIC § 401.006</i>)	1	N/A	N/A	6/1 or 6/30	State	R, AG
	84	Communication of Internal Control Related Matters Noted in Audit (<i>28 TAC 7.88(j)</i>)	1	EO	N/A	8/1 or 8/31	Company	P, AX
	85	Independent CPA (change) (<i>Designation of Accountant</i>) (<i>TIC § 401.014</i>)	1	N/A	N/A	12/31	Company	R, AF
	86	Management's Report of Internal Control Over Financial Reporting (<i>28 TAC § 7.88(m) and (n)(2) and (3)</i>)	1	N/A	N/A	8/1 or 8/31	Company	P, AX
	87	Notification of Adverse Financial Condition or Misstatement of Financial Condition (<i>TIC § 401.017</i>)	1	N/A	N/A	<5 th business day after notice received	Company	P, AD
	88	Request for Exemption to File	1	N/A	N/A	8/1 or 8/31	Company	P, AX
	89	Relief from the five-year rotation requirement for lead audit partner (<i>28 TAC § 7.88 (h)(1) and (2)</i>)	1	EO	N/A	3/1	Company	Q, Z, AZ
	90	Relief from the one-year cooling off period for independent CPA (<i>28 TAC § 7.88 (h)(10) and (12)</i>)	1	EO	N/A	3/1	Company	Q, Z, AZ
	91	Relief from the Requirements for Audit Committees (<i>28 TAC § 7.88 (k)(4)</i>)	1	EO	N/A	3/1	Company	Q, Z, AZ
V. STATE REQUIRED FILINGS****								
	101	Registration of Accountant (<i>TIC § 401.014</i>)	1	0	N/A	12/31	Accountant	R, AF
	102	Form B - Annual Holding Company Registration Statement	1	0	N/A	4/30	Company	R, AE
#	103	Biographical Affidavit	1	0	1	As change occurs	State	X
	104	Certificate of Compliance – Advertising	EO	0	EO	3/1	State	
	105	Filings Checklist (with Column 1 completed)	0	0	0		State	U
	106	Premium Taxes – file with the Texas Comptroller of Public Accounts +	1	0	1	Varies	State	D, P, V

(1) Checklist	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
	107	Signed Jurat page - ONLY. Foreign companies are not required to file annual/quarterly statements with TDI but must submit a signed Jurat page. Foreign HMOs - note AA.	xxx	0	1	3/1, 5/15, 8/15, 11/15	NAIC	L, P, AA
	108	State Filing Fees (Annual Statements) – file with the Texas Comptroller of Public Accounts +	1	0	1	Varies	State	P, V
	109	Texas Officers and Directors Page	1	0	N/A	As change occurs	State	P, R, W
	110	Texas Overhead Assessment Exemption Form (PDF) – to be filed by Texas domestic with qualified pension plan contracts and applicable foreign companies	1	0	N/A	3/1	State	P, R
	111	Request for Permitted Accounting Practices	1	0	N/A	As needed	Company	R, AI
	112	Policy Count Exhibit – Form; Instructions (TIC §521.052 (1))	EO	0	EO	3/1	State	N, BD
	113	Form F – Holding Company Enterprise Risk Report **** file with TDI if Texas is the lead state	1	0	N/A	4/30	Company	BB
	114	ORSA (Own Risk and Solvency Assessment) ***** file with TDI if Texas is the lead state	1	0	N/A	Varies	Company	BC

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state. EO (electronic only filing).

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

***For those states that have adopted the NAIC Corporate Governance Annual Disclosure Model Act, an annual disclosure is required of all insurers or insurance groups by June 1. The Corporate Governance Annual Disclosure is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm. (Texas has not yet adopted the Model Act as of 12/28/2018.)

****For those states that have adopted the NAIC updated Holding Company Model Act, a Form F filing is required annually by holding company groups. Consistent with the Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm.

*****For those states that have adopted the NAIC Risk Management and Own Risk and Solvency Assessment Model Act, a summary report is required annually by insurers and insurance groups above a specified premium threshold. The ORSA Summary Report is a state filing only and should not be submitted by the company to the NAIC. Note however that this filing is intended to be submitted to the lead state if filed at the insurance group level. For more information on lead states, see the following NAIC URL: http://www.naic.org/public_lead_state_report.htm.

+ This symbol along with yellow highlighting are provided for emphasis only.

This symbol and the red font color indicate a revision. See line item 103 and note X.

+This symbol along with the yellow highlighting are provided for emphasis only.

		NOTES AND INSTRUCTIONS (A-M APPLY TO ALL FILINGS)	
	A	For questions regarding required filings, contact:	FinancialAnalysis@tdi.texas.gov
	B	Mailing Address: Street Address (carrier delivery, overnight mail, etc.):	Texas Department of Insurance Financial Analysis MC 303-1A PO Box 149104 Austin TX 78714-9104 Texas Department of Insurance Financial Analysis MC 303-1A 333 Guadalupe St Austin, TX 78701
	C	Mailing Address for Annual Statement Filing Fees: Refer to Annual Statement Filing Fee (Item 23) for amounts: http://www.comptroller.texas.gov/forms/25-300.pdf	Texas Comptroller of Public Accounts P.O. Box 149356 Austin, TX 78714-9356 (800) 252-1387 http://www.comptroller.texas.gov/
	D	Mailing Address for Premium Tax Payments: Refer to Texas Insurance Tax Forms at: http://www.comptroller.texas.gov/taxes/insurance/	Texas Comptroller of Public Accounts P.O. Box 149356 Austin, TX 78714-9356 (800) 252-1387 http://www.comptroller.texas.gov/
	E	Delivery Instructions:	Filings must be postmarked by due date. If the due date falls on a weekend or holiday, the due date is extended to the next business day.
	F	Late Filings:	Penalties and fines for late filings are provided for by the Texas Insurance Code.
	G	Original Signatures:	Original signatures are required on all filings from domestic companies. Foreign/Alien insurers may submit a photocopy of the original signed filing.
	H	Signature/Notarization/Certification:	The following officers are required to sign annual/quarterly statements: the President and two principal officers.
	I	Amended Filings: If more than five pages are amended, submit an entire statement including Jurat page with appropriate signatures.	To be submitted with cover letter and Jurat page signed by the President and two principal officers.
	J	Exceptions from normal filings:	None.
	K	Bar Codes (State or NAIC):	NAIC Bar Codes are required and should be generated according to NAIC instructions.
	L	Signed Jurat: Domestic+ : original signatures Foreign/Alien+ : photo-copied signatures are accepted	Signed by the President and two principal officers.
	M	NONE Filings:	"NONE" bar codes are allowed.

+This symbol along with the yellow highlighting are provided for emphasis only.

	N	Filings new, discontinued or modified materially since last year:	<p>New: All Blanks – Printed Investment Schedule Detail, Schedule DB, Part E (line 1.1)</p> <p>Discontinued: FIN129 – Effective 09/01/2019, TDI will no longer regulate non-profit legal services corporations.; Life – Analysis of Annuity Operations by Lines of Business; Analysis of Increase in Annuity Reserves During the Year, Interest Sensitive Life Insurance Products</p> <p>Modified: Fraternal Entities - Beginning with first quarter, 2019, Fraternal entities will file on Life statements. The Fraternal Blank will be discontinued.</p>
	O	Filed with the NAIC only.	
	P	Filed hard copy with Texas only.	
	Q	Filed with the NAIC and Texas.	
	R	Required of Texas domestic companies only.	
	S	Required of foreign companies only.	
	T	Required of Texas domestic and foreign companies.	
	U	Not required to be filed.	
	V	To be filed with the State of Texas Comptroller of Public Accounts. Questions? Call the Comptroller at 800-252-1387.	<p>Texas Comptroller of Public Accounts P.O. Box 149356 Austin, TX 78714-9356 (512) 463-4600</p> <p>http://www.comptroller.texas.gov/</p>
	W	Texas Officers and Directors TDI form FIN306 (Officers and Directors Page)	Required of Texas domestics when change occurs to an executive officer/director, along with the Biographical Affidavit.
#	X	Biographical Affidavit Biographical affidavits must be submitted when a change occurs to a company's officers or directors. Submit electronically to CLRBIOUPDATE@tdi.texas.gov . For instructions on filing electronically refer to Electronic Filings Guidelines . <ul style="list-style-type: none"> • FIN353 (Biographical Affidavit Instructions and Fingerprint Requirements for Texas-Domestic Insurers) • NAIC UCAA, Form 11 (Biographical Affidavit) 	<p>Domestic insurers are required to submit Biographical Affidavits and fingerprint receipts for the top executive officers, including CEO, President, Secretary, Treasurer, CFO/Controller and COO. TDI does NOT require biographical affidavits for Vice Presidents or Assistant-officers. For general inquiries, contact CompanyLicense@tdi.texas.gov or refer to the Insurer web page.</p> <p>Foreign insurers submit Bios for President, Secretary and Treasurer only when changes occur. Changes post-admission do not require fingerprints.</p>
	Y	Risk-Based Capital Report	Required to be filed with TDI upon request.
	Z	To be filed electronically with the NAIC.	
	AA	Foreign companies	Foreign companies shall file a Signed Jurat page with TDI. Foreign HMOs must file a complete statement.
	AB	Analysis of Surplus	Discontinued (2014)
	AC	Recommended, not required.	
	AD	Audited Financial Statements Companies receiving a Notification of Adverse Financial Condition or a Report of Significant Deficiencies in Internal Control <u>must</u> provide a copy of the notice to the Department not later than the 5 th business day after the date the insurer or HMO receives the notice (TIC § 401.017). Instructions for Filing CPA Audited Financial Report and Related Filings for the Year 2019	<p>Domestic Insurers: File with TDI by June 1 (or June 30 if the insurer and its affiliate insurer(s) conduct business only in Texas). See 28 TAC § 7.88(d)(2).</p> <p>Foreign Insurers: TDI will accept Annual Audited Financial Statements filed with the NAIC in accordance with the NAIC Electronic Filing Submission Directive in lieu of filing a hard copy with TDI. Notification of Adverse Financial Condition or a Report of Significant Deficiencies in Internal Control <u>must</u> be filed with TDI.</p>
	AE	Annual Holding Company Registration Statement (Form B) For Form B and other Holding Company filing fees, refer to Transaction Cash Receipts Transmittal Form .	Applies to all Texas domestic and Commercially domiciled insurers that are subject to the Insurance Holding Company System Regulatory Act (Chapter 823).

+This symbol along with the yellow highlighting are provided for emphasis only.

AF	CPA Audited Financial Statement – Intent Form . Texas Domestic Companies Only+	Complete this Texas supplemental form (Domestics Only).
AG	CPA Audited Financial Statement – Affidavit for Exemption from Filing CPA Report	Generally, an insurer may qualify for an exemption to file a CPA report if direct written premiums in Texas were less than \$1 million. Insurers that have more than \$1 million in assumed premiums are not exempt (TIC §401.006).
AH	Request to file Consolidated Audited Annual Statement	Refer to TIC §401.016 .
AI	Request for Permitted Accounting Practices, submit to: Shawn Frederick, Assistant Chief Examiner Texas Department of Insurance Financial Regulation MC 113-1F PO Box 149104 Austin TX 78714-9104	Include the requested practice, the referenced SSAP number, the reason for the request, and the financial impact of the request.
AJ	Holding Company Filings	File Holding Company documents with TDI if any insurer in the group is a Texas Domestic or is Commercially Domiciled. Filings (not including Registration Statement) are not required by Commercially Domiciled insurers, if an exemption is in place. Foreign insurers file with their Domestic state.
AK	Actuarial Opinion Summary – Confidential Filing . Submit electronically+ to: ActuarialDivision@tdi.texas.gov	Property and Casualty Actuarial Opinion Summary (28 TAC §7.9). Confidential filing – file separately per Rule.
AL	Regulatory Asset Adequacy Issues Summary – Confidential Filing . Submit electronically+ to: ActuarialDivision@tdi.texas.gov	All Domestic companies that file on the NAIC Life, Accident and Health (LAH) blank or the NAIC Fraternal blank must submit an RAAIS, unless exempt according to 28 TAC §3.9902 . <i>NOTE: Foreign companies must file upon request.</i>
AM	Reasonableness of Assumptions Certification Reasonableness & Consistency of Assumptions Certification	Actuarial certifications required for equity indexed annuities as found in Actuarial Guideline XXXV, Appendix C of the Accounting Practices and Procedures Manual.
AN	<ul style="list-style-type: none"> Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method Reasonableness & Consistency of Assumptions Certification (Updated Average Market Value) Reasonableness & Consistency of Assumptions Certification (Updated Market Value) 	Actuarial certifications required for equity indexed life insurance policies as found in Actuarial Guideline XXXVI, Appendix C of the Accounting Practices and Procedures Manual.
AO	Texas Negotiated Deductible Workers' Compensation Form - Place in separate envelope clearly marked "Confidential – Texas Negotiated Deductible Workers' Comp Form".+	Pursuant to 28 TAC §8.4 . Required upon request , only for companies writing this line of business.
AP	<ul style="list-style-type: none"> Actuarial Certification Related to Annuity Non-forfeiture Compliance Actuarial Opinion on Separate Accounts Funding Actuarial Opinion on Synthetic Guaranteed Investment Contracts Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation 	These filings should be completed in accordance with the NAIC Model Regulations. Required upon request.
AQ	<ul style="list-style-type: none"> Actuarial Opinion on X-Factors 	Actuarial Opinion required by APPM A-830.
AR	<ul style="list-style-type: none"> RBC Certification required under C-3 Phase I RBC Certification required under C-3 Phase II 	Required to be filed with TDI upon request.
AS	Bail Bond Supplement	Only reporting entities writing bail bond coverage are required to complete this supplement. This supplement must be filed with the NAIC by March 1 each year.

+This symbol along with the yellow highlighting are provided for emphasis only.

AT	<p>Required by Actuarial Guideline XLIII</p> <ul style="list-style-type: none"> Actuarial Certification Related to Hedging Actuarial Certification Related to Reserves Financial Officer Certification Related to Clearly Defined Hedging Strategy Management Certification that the Valuation Reflects Management's Intent 	Certifications required for variable annuities as found in Actuarial Guideline XLIII, Appendix C of the Accounting Practices and Procedures Manual.
AU	Supplemental Annuity Exhibits	Only reporting entities writing annuity products are required to complete these exhibits.
AV	Supplemental Health Care Exhibits	Only reporting entities writing comprehensive major medical insurance business for large group employer, small group employer, and individual, are required to complete these exhibits.
AW	Director and Officer Supplement	Only reporting entities providing director and officer (D&O) liability coverage in a monoline policy or as part of a commercial multiple peril (CMP) policy are required to complete this supplement.
AX	Communication of Internal Control Matters Noted in Audit and Report of Internal Control over Financial Reporting	Required to be filed no later than the 60 th day after the date of the audited financial report is filed (28 TAC § 7.88(j)(1) and (m)(1)).
AY	Actuarial Certification Related to the Use of the 2001 Preferred Class Mortality Tables	For all reporting entities that use the 2001 Preferred Class Mortality Tables permitted by 28 TAC §§ 3.9401-3.9404 . This certification is required by § 3.9404 (a) and (b).
AZ	Relief from Rotation, Cooling-Off, and Audit Committee Requirements	Also see the Model Audit Rule Implementation Guide in the NAIC's Accounting Practices and Procedures Manual - Appendix G (adopted by reference in 28 TAC § 7.18).
BA	<p>Actuarial Memorandum Related to Universal Life with Secondary Guarantee Policies required by Actuarial Guideline XXXVIII – Section 8D – Confidential Filing. Requirements and guidance are found in AG38 Section 8D(c) Documentation and Reporting.</p> <p>Submit electronically+ to: ActuarialDivision@tdi.texas.gov</p>	Applies to Texas domestic companies that have ULSG business subject to AG38 Section 8D.
BB	Enterprise Risk Report – Form F	File if insurer meets the requirements of TIC §823.0595 and if Texas is the Lead State Regulator of the holding company group (see Lead State Report located at http://www.naic.org/public_lead_state_report.htm).
BC	Own Risk and Solvency Assessment (ORSA)	Insurers or insurance groups subject to TIC Chapter 830 must file with the lead state commissioner an ORSA Summary Report unless qualifying for an exemption pursuant to § 830.006 .
BD	Policy Count Exhibit – Form Submittal Instructions and Definitions	Annual filing used to determine complaint ratios. Due date coincides with the annual statement filing. Read the instructions thoroughly before completing the Policy Count Exhibit form. Foreign Risk Retention Groups are not required to submit this form.
BE	<p>Principles Based Reserves (PBR) Filings – – Confidential Filing.</p> <p>Submit electronically+ to: ActuarialDivision@tdi.texas.gov</p>	This filing is not required for those companies that do not have business subject to VM-21 and have elected to defer Life PBR during the 3-year transition period (1/1/2017 to 12/31/2019) as permitted in VM Sec. II, Subsection 1.C. No filing is anticipated for such companies until 2020.

**General Instructions
For Companies to Use Checklist**

Please Note: This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will not be sending their own checklist this year.

Electronic filing is intended to be filing(s) submitted to the NAIC via the NAIC Internet Filing Site which eliminates the need for a company to submit diskettes or CD-ROM to the NAIC. Companies are not required to file hard copy filings with the NAIC.

Column (1) Checklist

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when submitting information to the state.

Column (2) Line #

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

Column (3) Required Filings

Name of item or form to be filed.

The **Annual Statement Electronic Filing** includes the annual statement data and all supplements due March 1, per the *Annual Statement Instructions*. This includes all detail investment schedules and other supplements for which the *Annual Statement Instructions* exempt printed detail.

The **March.PDF Filing** is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1.

The **Supplemental Electronic Filing** includes all supplements due April 1, per the *Annual Statement Instructions*.

The **Supplemental.PDF Filing** is the .pdf file for all supplements due April 1.

The **Quarterly Electronic Filing** includes the quarterly statement data.

The **Quarterly.PDF Filing** is the .pdf for quarterly statement data.

The **June.PDF Filing** is the .pdf file for the Audited Financial Statements and Accountants Letter of Qualifications.

Column (4) Number of Copies

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (EX) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail. If such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

Column (5) Due Date

Indicates the date on which the company must file the form.

Column (6) Form Source

This column contains one of three words: "NAIC," "State," or "Company," If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions (generally, on its web site). If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

Column (7) Applicable Notes

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.