

Checklist for Charter Amendment for Texas Lloyds

Name of Lloyds Company

I. UNDERWRITER SUBSTITUTION - ITEMS REQUIRED

1. Signed copy of the Articles of Agreement signed by the Attorney in Fact and all underwriters. The minimum number of underwriters for a Lloyds is ten (10).
2. Signed copy of Power of Attorney signed by the new underwriter(s) in compliance with Board Order No. 46132, dated January 29, 1985.
3. Statement signed by the Attorney-in-Fact, and notarized, stating the amount of the guaranty fund and that the facts set forth in the application and amendment are true and correct.
4. New Trust Agreement on funding investment or an accounting of the funding, filed on behalf of each new underwriter.
5. Copy of the resignation letter from each outgoing underwriter.
6. New Biographical Data form for each new underwriter (NAIC UCAA Form 11).
7. New Attorney-In-Fact and Underwriters Page form indicating all new underwriters (FIN307).
8. Completed Application Form (FIN369 Form A-211).

II. ATTORNEY-IN-FACT CHANGE (SUBSTITUTION OR ADDING) - ITEMS REQUIRED

1. Signed copy of the Articles of Agreement signed by the Attorney-in-Fact and all underwriters. The minimum number of underwriters for a Lloyds is ten (10).
2. Signed copy of Power of Attorney signed by the new underwriter(s) in compliance with Board Order No. 46132, dated January 29, 1985.
3. Statement signed by the Attorney-in-Fact, and notarized, stating the amount of the guaranty fund and that the facts set forth in the application and amendment are true and correct.
4. Copy of the resignation letter from the outgoing Attorney-in-Fact.
5. New Biographical Data form for each new underwriter (NAIC UCAA Form 11).
6. New Attorney-In-Fact and Underwriters Page form indicating all new underwriters (FIN307).

7. Completed Application Form (FIN369 Form A-211).
8. If new Attorney in Fact is a corporation, certified copy of the Amended Articles of Incorporation as approved by the Secretary of State AND an affidavit with a copy of the Board of Directors Resolution of the corporate Attorney in Fact designating who may sign on behalf of the corporate Attorney in Fact.
9. Completed Joint Control Agreement, Securities Withdrawal Forms and Security Deposit Form.
10. Current Certificate of Authority must be surrendered.
11. Certification from the Secretary of State evidencing the registration of the new Attorney-in-Fact.

(In the event that a corporate Attorney-in-Fact is changing its name, the amended Articles of Agreement must still be submitted but some items listed above will be waived.)

NOTE: Change of an Attorney-in-Fact constitutes a change of control pursuant to Texas Insurance Code, Section 823.151. Therefore, a "Form A filing" must be made with the Financial Analysis office of this agency.

III. NAME CHANGE - ITEMS REQUIRED

1. Completed Name Application and appropriate fee; name should be eligible for use in Texas prior to submitting amended documents.
2. Signed copy of the Articles of Agreement signed by the Attorney-in-Fact and all underwriters. The minimum number of underwriters for a Lloyds is ten (10).
3. Signed copy of Power of Attorney signed by the new underwriter(s) in compliance with Board Order No. 46132, dated January 29, 1985.
4. Statement signed by the Attorney-in-Fact, and notarized, stating the amount of the guaranty fund and that the facts set forth in the application and amendment are true and correct.
5. Completed Application Form (FIN369 Form A-211).

IV. HOME OFFICE CHANGE - ITEMS REQUIRED

1. Signed copy of the Articles of Agreement signed by the Attorney-in-Fact and all underwriters. The minimum number of underwriters for a Lloyds is ten (10).
2. Statement signed by the Attorney-in-Fact, and notarized, stating the amount of the guaranty fund and that the facts set forth in the application and amendment are true and correct.
3. Completed Application Form (FIN369 Form A-211).

V. INCREASE IN GUARANTY FUND OR SURPLUS CONTRIBUTION - ITEMS REQUIRED

1. Amended Trust Agreement showing, amount of increase and effective date, filed on behalf of each underwriter.
2. Signed Board of Directors Resolution adopting the change signed by all underwriters. The minimum number of underwriters for a Lloyds is ten (10).
3. Schedule showing guaranty fund amount, free surplus and total for each underwriter accompanied by balance sheet reflecting change.

📧 Email filings to CLRFilings@tdi.texas.gov

► Questions?

Email us at CompanyLicense@tdi.texas.gov or call 512-676-6365.