Checklist for Name Change/Merger of Securities on Deposit

This checklist is for a name change only, in which no securities will be released or substituted at the same time. Mergers may also be considered “name changes,” provided that the Texas Merger Order allows for transfer of securities from one insurer to the other. For name changes/mergers which involve custodian changes, do not use this checklist, rather refer to the Custodian Change Checklist.

- A cover letter on company letterhead explaining the transaction being submitted. Include the company and custodian contact information (name, telephone number and email).

- **Statutory Deposit Transaction Form (FIN407).** For a name change, provide the new company name and the formerly known as name. For a merger, provide the entity name that is merging into surviving entity name.

- Safekeeping Receipt. The receipt should include the new company name/surviving entity where applicable. Documents should be prepared on bank letterhead and contain the signature of issuer. The receipt must give a detailed description of the security (CUSIP/Identification no., rate, maturity date, par value/amount) and indicate that it is pledged to the Texas Department of Insurance.

- **Form Establishing Pledged Deposit.** Lloyd’s use Joint Control Agreement (FIN450). Other insurers, use Declaration of Trust (FIN453). These forms must be executed by all parties and notarized where appropriate. Indicate the statutory reason for your deposit.

  If the deposit is held under Texas Insurance Code Ch. 481 as a voluntary deposit for a Texas domestic insurer or held on behalf of another state/jurisdiction, attach an addendum or document setting forth (1) name of the state(s)/jurisdiction(s) relying upon the voluntary deposit, and (2) note whether it is for all policyholders, creditors, policyholders and creditors, or policyholders or creditors.

- Merger documentation. Where applicable, include a copy of the Texas Department of Insurance name change or merger approval – this does not need to be certified.

- $50.00 filing fee. Include “Name Change” and company name on the check’s description line. Submit the **Statutory Deposit Transmittal Form (FIN406)** with the check.

**Submit a complete filing to:** SDFilings@tdi.texas.gov & mail check with statutory deposit fee transmittal form to:

Texas Department of Insurance  
Company Licensing and Registration MC103-CL  
333 Guadalupe, Austin, TX 78701