



## Texas Department of Insurance

Financial Regulation Division - Company Licensing and Registration Office, Mail Code 305-2C

333 Guadalupe • P. O. Box 149104, Austin, Texas 78714-9104

512-322-3535 telephone • 512-490-1035 fax • www.tdi.texas.gov

### FOREIGN (U.S.) SURPLUS LINES INSURERS

DUE DATE: as noted

1. A complete **NAIC Property and Casualty Annual Statement** should be filed with the National Association of Insurance Commissioners (NAIC) by stated due dates, as follows: the statement must include: a) Statutory statement page 14 for Texas (due 3/1), b) Actuarial Opinion (due 3/1), c) Management's Discussion and Analysis of Operations (due 4/1), and d) CPA Report (due 6/1). Annual statements are NOT required to be submitted to the department or stamping office and are considered appropriately and timely filed when submitted within the stated timelines.
2. A **Certified Copy of the Current License or Certificate of Authority** from the insurer's state of domicile. Scanned electronic copies are acceptable. This license or certificate of authority must indicate the kind and class of business the company is authorized to write. *If no change has been made to the current Certificate of Authority on file regarding insurer status, name, home office, or lines of authority, no filing is required.*
3. **Projections of 3 years of writings in Texas** by line of business (filed upon initial eligibility only)
4. A copy of the most current **Examination Report**, from the examining state, if not previously filed. Provide an explanation, response, or description of corrective actions taken regarding exam comments or recommendations.
5. All foreign insurers are required to file the **NAIC Property and Casualty Quarterly Financial Statement** within 45 days following the close of the quarter with the NAIC. *Eligible Surplus Lines Insurers wishing to maintain eligibility are not required to file Quarterly Statements with the department or stamping office, but must file with the NAIC by the due dates below or otherwise indicate why they are not filing in a timely manner and request an extension.*

1st Quarter ending March 31st

Due May 15th

2nd Quarter ending June 30th

Due August 15th

3rd Quarter ending Sept. 30th

Due November 15th

**NOTE: COPIES OF CERTAIN EVIDENCE MUST BE FILED WITH THE STAMPING OFFICE. FINANCIAL STATEMENTS FILED WITH THE NAIC DO NOT NEED TO BE SUBMITTED EITHER IN HARD COPY OR ELECTRONICALLY TO EITHER THE DEPARTMENT OR STAMPING OFFICE.**

**E-MAIL SUBMISSIONS TO THE DEPARTMENT AT: [REGISTRATIONTEAM@TDI.TEXAS.GOV](mailto:REGISTRATIONTEAM@TDI.TEXAS.GOV)**

**E-MAIL SUBMISSIONS TO THE STAMPING OFFICE AT: [EVIDENCE@SLSOT.ORG](mailto:EVIDENCE@SLSOT.ORG)**



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### CHECKLIST

### FOREIGN (U.S.) SURPLUS LINES INSURERS

Name of Company

Contact Person for Evidence Filings

(Name, Phone # and e-mail address)

In order to determine compliance with minimum Capital and Surplus requirements, the following items must be filed with our office in a timely manner:

1. NAIC Annual Statement (filed with NAIC only) *\*See note below.*
  - a) Page 14 for Texas (due 3/1)
  - b) Actuarial Opinion (due 3/1)
  - c) Management's Discussion and Analysis of Operations (due 4/1)
  - d) CPA Report (due 6/1)
2. Certified Copy of the Current License or Certificate of Authority (as amended; filed with the department and stamping office)
3. Projections of 3 years of Texas writings by line (initial eligibility only)
4. Current Examination Report (filed with the department and stamping office)
5. NAIC Quarterly Financial Statements (filed with NAIC only)

***\*Note:** For new submissions/initial filings, evidence must be filed with both offices either electronically or hard copy. The department considers information filed with NAIC to be filed with the department and stamping office, therefore this information must not be directly provided.*

**If items listed above are not submitted by the due date, provide an explanation below and indicate the date evidence will be filed.**

COMMENTS