



CHARTER AMENDMENT CHECKLIST FOR A LLOYDS PLAN

NAME OF COMPANY

FILING FEES:	Change in Attorney in Fact:	\$500.00
	Amendment to the	
	Articles of Agreement:	\$125.00
	Increase In Guaranty Fund:	\$125.00
	Increase in Surplus Contribution:	\$125.00

Make check payable to the Texas Department of Insurance.

I. UNDERWRITER SUBSTITUTION - ITEMS REQUIRED

1. Original 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. Original 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, with original signature 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, with original signature(s).
5. Copy of the resignation letter from each outgoing underwriter.
6. New Biographical Data form for each new underwriter, with original signature(s).
7. New Attorney In Fact And Underwriters Page form indicating all new underwriters, with original signature(s).
8. Completed Form A-211 package.
9. Appropriate filing fee.

NOTE: Once all documents are received, reviewed and are acceptable, continue with the process. The captioned transaction requires a Memo to File (unless the amendment also involves a change in any part of the Certificate of Authority, for example, Attorney-in-Fact change, company name change or home office change, you will include the underwriter substitution in that order).

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

1. Original 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. Original 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, with original signature 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 new Attorney in Fact, with original signature(s).
6. New Attorney In Fact And Underwriters Page form indicating all new underwriters, with original signature(s).
7. Completed Form A-211 package.
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. Appropriate filing fee.

(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 TEX. INS. CODE, ART. 21.49-1. THEREFORE, A FORM "A" FILING MUST BE MADE WITH THE FINANCIAL MONITORING SECTION OF THIS AGENCY, ALONG WITH A \$500.00 FILING FEE. PAYMENT OF REQUIRED FILING FEES SHOULD BE MADE BY SEPARATE CHECKS.

NOTE: The captioned transaction requires a Commissioner's Order. Once all documents are received, reviewed and deemed acceptable, a Commissioner's Order and amended certificate of authority will be prepared.

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. Original 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. Original 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, with original signature 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 Form A-211 package.
6. Current Certificate of Authority must be surrendered.
7. Appropriate filing fee.

NOTE: The captioned transaction requires a Commissioner's Order. Once all documents are received, reviewed and deemed acceptable, a Commissioner's Order and amended certificate of authority will be prepared.

IV. HOME OFFICE CHANGE - ITEMS REQUIRED

1. Original 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, with original signature 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 Form A-211 package.
4. Current Certificate of Authority must be surrendered.
5. Appropriate filing fee.

NOTE: The captioned transaction requires a Commissioner's Order. Once all documents are received, reviewed and deemed acceptable, a Commissioner's Order and amended certificate of authority will be prepared.

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, with original signature(s).
2. Original 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.
4. Appropriate filing fee.

NOTE: A Commissioner's Order will not required for this transaction. However, once all the required documents have been received, reviewed and deemed acceptable, the Insurance Specialist will prepare a memo to file citing the amount of the change and the new contributions/surplus amounts. Further, the Insurance Specialist will prepare a letter to the Lloyds confirming that the agency records have been updated.

INCOMPLETE APPLICATIONS IMPEDE TIMELY REVIEW BY THE DEPARTMENT, THEREFORE, IT IS EXTREMELY IMPORTANT THAT APPLICATIONS ARE COMPLETE. SUBMIT A COMPLETE FILING TO THE TEXAS DEPARTMENT OF INSURANCE, COMPANY LICENSING & REGISTRATION DIVISION, MC 305-2C, P. O. BOX 149104, AUSTIN, TX 78714-9104. FOR QUESTIONS OR MORE INFORMATION, CALL (512) 322-4370.

THESE GUIDELINES ARE GENERAL IN NATURE AND DO NOT SUPERCEDE STATUTE OR REGULATION. THEY ARE NOT INTENDED TO BE ALL INCLUSIVE AND ADDITIONAL DOCUMENTATION MAY BE REQUESTED.