



Texas Department of Insurance
Financial, Company Licensing & Registration, Mail Code 305-2C
333 Guadalupe • P. O. Box 149104, Austin, Texas 78714-9104
512-322-3507 telephone • 512-322-3550 fax • www.tdi.state.tx.us

Checklist for Substituting Securities on Deposit

The following documents are required for an insurance company to substitute securities on deposit. Please refer to **Instructions for Completing Securities Deposited Form 120** and **Instructions for Completing Securities Withdrawn Form 121**.

- Securities Deposit Form 120 – Three (3) forms with **original signatures**
- Safekeeping Receipt issued by Bank, prepared on Bank letterhead and containing **original** signature of issuer—only one (1) original needed
- If a Certificate of Deposit is filed, provide a Free of Liens form in addition to the Safekeeping Receipt – only one (1) original needed
- Appropriate Declaration of Trust, signed and notarized by both bank and company – only one (1) original needed
- Securities Withdrawn Form 121 – Three (3) forms with **original signatures**
- \$50.00** Filing Fee
- If the person who has signed Declaration of Trust and Forms 120 and 121 is not listed on the Company's Annual Statement as an officer, please provide a statement that said person is authorized to sign on behalf of the company.
- When submitting all forms please attach a cover letter or a contact person's name and phone number.

NOTE: All documents MUST contain original signatures and notarizations where appropriate.

INCOMPLETE OR INCORRECT FORMS IMPEDE TIMELY REVIEW BY THE DEPARTMENT. THEREFORE, IT IS EXTREMELY IMPORTANT THAT ALL DOCUMENTS ARE COMPLETE.

Submit a complete filing to:

Texas Department of Insurance
Company Licensing & Registration, MC 305-2C
ATTN: TINA M. SAUCEDO
P. O. BOX 149104
Austin, TX 78714-9104

FOR QUESTIONS OR MORE INFORMATION, CALL (512) 322-4124.

Most securities documents are available online on our website at www.tdi.state.tx.us. Click on the FORMS section; then choose Forms – By Program / Division. Click on the "Next Forms Page" links until you get to Financial – Company License.