



Texas Department of Insurance

TPA/Premium Finance Mail Code 107-TPA-PF

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512-322-3412 or 512-322-3555 telephones • 512-322-4380 fax www.tdi.state.tx.us

CHECKLIST FOR TPA LICENSE

TPA NAME _____

TPA NUMBER _____

DATE RECEIVED _____

1. FORM 1: NAME APPLICATION (FIN300)
____ RECEIVED
____ NAME MATCHES ARTICLES OF INCORPORATION
____ APPROVED ON _____
(date)
2. FORM 1A: ASSUMED NAME CERTIFICATE (LHL078) *(Required if using any name other than name shown in articles of incorporation)*
____ RECEIVED
3. FORM 2: APPLICATION FOR A CERTIFICATE OF AUTHORITY (LHL079)
____ RECEIVED
4. FORM 3: OFFICERS AND DIRECTORS PAGE (FIN306)
____ RECEIVED
5. FORM 4: BIOGRAPHICAL AFFIDAVIT (LHL081)
____ RECEIVED
6. OWNERSHIP INFORMATION
____ RECEIVED
7. NARRATIVE
____ RECEIVED
8. FINANCIAL STATEMENTS *(3 YEARS REQUIRED)*
____ RECEIVED

9. FIDELITY BOND *(Complete Copy)*

_____RECEIVED

10. FORM 5: SERVICE OF PROCESS (LHL082) *(Foreign Corporations Only)*

_____RECEIVED

11. ARTICLES OF INCORPORATION *(Certified)*

_____RECEIVED

12. PARTNERSHIP AGREEMENT *(If partnership)*

_____RECEIVED

13. BY-LAWS *(Certified)*

_____RECEIVED

14. CERTIFICATE OF GOOD STANDING

_____RECEIVED

15. APPLICATION FEE

_____RECEIVED

16. BACKGROUND CHECK

_____COMPLETED

REVIEW DATE _____

REVIEWED BY _____

COMMENTS: