



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

**DUE DATE: March 31, 2009**  
(except as noted)

1. A complete **2008 NAIC Property and Casualty Annual Statement** originally signed and notarized. The statement must include: a) **Page 14 for Texas**, b) **Actuarial Opinion**, and c) **Management's Discussion and Analysis of Operations**.
2. A **Certified Copy of the Current License or Certificate of Authority (C of A)** (current within 3 years) from the insurer's state of domicile. 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 C of A on file provide written statement.***
3. A **Current List of Texas Surplus Lines Agents** procuring business for the insurer. In addition, indicate agents with agency agreements, binding authority and claims paying authority. Any changes in the contracts (i.e., cancellation of contract, removal of binding authority or claims paying authority) must be submitted during the year. **(This listing must include the complete name of agent/agency and the Texas Surplus Lines Agent License number only - Do not submit policy listings by agents)**
4. Provide a **Three-Year Business Plan** using the enclosed Guidelines to include Texas surplus lines business. Also, describe the method the insurer uses to procure Texas business. **Business Plans with financial projections for years prior to the year 2006 must be updated.**
5. **Biographical Affidavits** (current within 3 years) on the officers, directors and management of the insurer, including underwriters primarily responsible for underwriting Texas risks. If underwriting is managed or performed by a separate company or agency, submit the name, address and phone number of such entity. ***Replace biographical affidavits for President, Secretary and Treasurer if originals were filed prior to the year 2006.***
6. A copy of the **NAIC IRIS Ratio Results** and the insurer's response to any ratio outside the usual range. If the NAIC reports are not available by the due date, so indicate and provide an internally generated set of the twelve IRIS ratios. **Insurer's written explanation to any IRIS ratio failures must be included.**
7. 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.**
8. A copy of the audited **GAAP/SAP Financial Statement**, including the auditor's most recent "Management Letter" and management's response. If not required by state of domicile, provide evidence of exemption. **DUE DATE: June 1, 2009.**
9. If publicly traded, provide a copy of the **S.E.C. 10K Report**, as well as any other S.E.C. filing relating to a material event. **DUE DATE: June 1, 2009.**
10. All foreign insurers are required to file NAIC Property and Casualty Quarterly Statements within 45 days following the close of the quarter. *(Due dates falling on a weekend must be received the next business day)* ***Eligible Surplus Lines Insurers wishing to maintain eligibility are not required to file a hard copy of the NAIC Quarterly Statement but must file an affidavit that the statement has been timely filed with NAIC and copy of the signed Jurat Page. If the Quarterly Statement is not filed insurer must file written explanation.***

1st Quarter ending March 31, 2009  
2nd Quarter ending June 30, 2009  
3rd Quarter ending Sept. 30, 2009

Due May 15, 2009  
Due August 15, 2009  
Due November 15, 2009

**NOTE: COPIES OF ALL EVIDENCE MUST BE FILED WITH THE SURPLUS LINES STAMPING  
OFFICE OF TEXAS**



## CHECKLIST

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

\_\_\_\_\_  
 Name of Company

\_\_\_\_\_  
 Contact Person for Evidence Filings (Name, Phone # and e-mail address)

- 1. **2008 NAIC Form 2 Annual Statement** \_\_\_\_\_
  - a) **Page 14 for Texas** \_\_\_\_\_
  - b) **Actuarial Opinion** \_\_\_\_\_
  - c) **Management's Discussion and Analysis of Operations** \_\_\_\_\_
- 2. **Certified Copy of the Current License or Certificate of Authority** \_\_\_\_\_
- 3. **\*Current List of Surplus Lines Agents** *(Include agent/agency name and Texas Surplus Lines License Number ONLY)* \_\_\_\_\_
- 4. **\*Three Year Business Plan** \_\_\_\_\_
- 5. **Biographical Affidavits** *(must update if filed prior to year 2006)* \_\_\_\_\_
- 6. **\*NAIC IRIS Ratio Results** *(written explanation of failures must be included)* \_\_\_\_\_
- 7. **Examination Report** \_\_\_\_\_
- 8. **GAAP/SAP Financial Statement (DUE DATE: June 1, 2009)** \_\_\_\_\_
- 9. **\*S.E.C. 10K Report (DUE DATE: June 1, 2009)** \_\_\_\_\_
- 10. **\*NAIC Quarterly Financial Statements** *(See instructions for due dates)* \_\_\_\_\_

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

**\*These items if available in electronic format may be transmitted via e-mail to both TDI and Stamping Office if filing to maintain eligibility. All evidence for new submissions must be filed in hard copy to both offices.**

COMMENTS \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_