

Holding Company Regulatory References and Fees

Annual Disclosure Filing	Regulatory Reference	Fee
Form B Registration Statement with Form C Summary and Form F Enterprise Risk Report	TIC Ch. 823 Subch. B; TAC §§ 7.203, 7.210, 7.211, & 7.214	\$0 for annual disclosure filing and interim amendments

Abbr.	Transaction Filing	Regulatory Reference	Form of Approval	Fee
Fm A	Acquisition - Form A	TIC Ch. 823 Subch. D & E; TAC §§ 7.205, 7.209 (b-n & p) (r-x & z); SSAP No. 68	Commissioner's Order	\$0
Fm A Redo	Acquisition with Redomestication – Form A	TIC § 983.053	Language will be added to Company Licensing's Commissioner's Order	\$0
B&R	Books & Records	TIC Ch. 803; TAC §§ 7.25, 11.205(b)(HMOs) TIC 982.255	No Action Letter	\$0
Exempt CD	Commercially Domiciled - Exemption	TIC § 823.015; TAC § 7.202(b)	Official Action	\$0
Dep in Aff Fin Inst	Deposit or Account in Affiliated Financial Institution	TIC 423, Sub B and Sub C TIC §§ 424.061 (P&C), 425.113 (Life), 823.101, 823.103; TAC §§ 7.204(a)(2)(D) and (F), 7.212, 7.86, 11.804 (HMO); SSAP Nos. 2, 20, 25, 70	No Action Letter	\$0
Discl	Disclaimer of Affiliation	TIC § 823.010; TAC § 7.203(m) TAC 7.202(a)(2), (5), TIC 823.151, SSAP Nos. 25(3,4, 5&6) & 97 (3,4, 5&6)	No Action Letter or Disclaimer Consent Order	\$0
Material	Disclosure of Material Transaction	TIC Ch. 402	N/A	\$0
Dives	Divestiture of Control	TIC §§ 823.154, 823.157; TAC §§ 7.205, 7.209 (o&p) (y&z) TIC 823.002 (3-a), (3-b)	Commissioner's Order	\$0
Ext Div	Dividend/Distribution - Extraordinary	TIC § 403.001, §§ 403.051-053, §§ 823.008 and 823.107; TAC §§ 7.204(d) & 7.213; SSAP No. 72(13i); Texas Bus. Org. Code §21.302	Official Action	\$0
Ord Div	Dividend/Distribution - Ordinary	TIC § 403.001, §§ 403.051-053, §§ 823.008, 823.012 & 823.053(b); TAC §§ 7.203(o) & 7.213; SSAP 72(13i)	Acknowledgement	\$0
Exempt	Exemption from Filing Form A	TIC § 823.164(g)&(h)(1),(h)(2), TIC§823.153, TAC§7.205(h)	Commissioner's Order	\$0
Inv Mgmt	HMO Affiliated Investment Management Agreement for Short Term Investments	TIC §§ 823.101, 823.103; TAC §§ 7.204(a)(2)(D), 7.212, TAC§11.804, TAC§11.806; SSAP Nos. 25 & 70	No Action Letter	\$0

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Agent	HMO Non-Affiliated Management & Exclusive Agency Contracts	TIC § 843.105	No Action Letter	\$0
Fid Bond	HMO FYI Filing: Fidelity Bond	TIC §§ 843.105(d-g), 843.402; TAC §§ 11.204(7), 11.204(14)(E), 11.301(5)(C)	Acknowledgement Letter	\$50
HMO	HMO Reinsurance with Affiliate	TIC 843, TIC Ch. 493 .611, TAC§ 7.601-7.627 11.204(15)(A), 11.301; SSAP No. 61	No Action Letter	\$0
HMO	HMO Reinsurance with Non-affiliate	TAC § 11.301	N/A	\$0
Spon Org	HMO-Guarantee from Sponsoring Organization	TIC §§ 823.103(a)(5), 843.002 (27); TAC § 11.810	No Action Letter	\$0
Hypoth	Hypothecation of Assets	TIC Ch. 422, Subch. B; SSAP Nos. 4, 15(19-21), 30(13-17), 52(17,20)	Commissioner's Order	\$0
Inv	Investment in Affiliate	TIC Ch. 424 (P&C) or 425 (Life), TIC §§ 823.101, 823.103, Subch. F, TIC§822.204, TIC §841.054(c)TAC §§ 7.204(a)(2)(A), 7.212, TAC§11.804 11.803 (HMO); SSAP Nos. 4, 25, 40, 48, 97	If § 823.103 or § 823.253 - No Action Letter/ If § 823.256 - Official Action	\$0
Lease	Lease Agreement	TIC §§ 823.101, 823.103; TAC §§ 7.204(a)(2)(D), 7.212; SSAP Nos. 22 & 25	No Action Letter	\$0
Loan	Loans	TIC §§ 823.101, 823.103, Subch. F, TIC Ch. 424(P&C), TIC Ch. 425(Life), TIC Chap 805, Subchapter A, TAC§11.803 TAC §§ 7.204(a)(2)(A), 7.212; SSAP Nos. 4 & 25	If § 823.103 or § 823.253 – No Action Letter/ If § 823.256 - Official Action	\$0
Mgmt/Svc	Management/Service/Cost Allocation Agreements	TIC §§ 823.101, 823.103; TAC §§ 7.204(a)(2)(D), 7.212; SSAP Nos. 25 and 70	No Action Letter	\$0
MGA	Managing General Agent Agreement	TIC Ch. 4053, §§ 823.101, 823.103; TAC §§ 7.204(a)(2)(D), 7.212, §§19.1201-19.1206; SSAP No. 25	No Action Letter	\$0
Mtg Loan	Mortgage Loan Participation Agreements	TIC §§ 823.101, 823.103, Subch. F, TIC§822.204, TIC§841.054(c), TIC Chap. 424 (P&C) Chap. 425 (Life), TIC§§861.258, 862.002 TAC§11.804TAC §§ 7.204(a)(2)(A), 7.212; SSAP No. 25	No Action Letter	\$0
Trans w/O&D	Officer and Director Transactions including Commissions	TIC Ch. 805 Subch. A TIC Chap. 423, Subchapter B, § 841.260; TIC 423	Official Action	\$0
Pool	P&C Investment Pool Management Agreements	TIC Ch. 424 Subch. C, §§ 823.101, 823.103; TAC §§ 7.204 (a)(2)(D)&(G), 7.212 TAC 72.04(a)(2)(G); SSAP Nos. 25 & 70	No Action Letter	\$0
Quasi-Reorg	Quasi-Reorganization	SSAP No. 72	Approval Letter	\$0

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Abbr.	Transaction Filing	Regulatory Reference	Form of Approval	Fee
Allocation	Reinsurance - Allocation of Premiums & Losses	TIC § 823.103; TAC § 7.204; SSAP No. 62	No Action Letter	\$0
Assumption	Reinsurance - Assumption	TIC Ch. 492 or 493, § 823.103; TAC §§ 7.204, 7.604; SSAP Nos. 61 or 62	Filed with Co. Licensing, Total Assumption requires Commissioner's Order	Contact Co. Licensing
Cat	Reinsurance - Catastrophe Reinsurance Agreement	TIC Ch. 493, § 823.103; TAC §§ 7.204, 7.611-614; SSAP No. 62	No Action Letter	\$0
XOL	Reinsurance - Excess of Loss (i.e. Stop-Loss, Aggregate Excess, etc.)	TIC Ch. 493, § 823.103; TAC §§ 7.204, 7.611-614; SSAP No. 62	No Action Letter	\$0
Facultative	Reinsurance - Facultative	TIC Ch. 493, § 823.103; TAC §§ 7.204, 7.611-614; SSAP No. 62	No Action Letter	\$0
Pooling	Reinsurance - Pooling arrangements	TIC Ch. 493, § 823.103; TAC §§ 7.204, 7.611-614; SSAP No. 62	No Action Letter	\$0
Proportional	Reinsurance - Proportional Reinsurance	TIC Ch. 492 & 493, § 823.103; TAC §§ 7.204, 7.611-614; SSAP Nos. 61 & 62	No Action Letter	\$0
RPP	Reinsurance - Reinstatement Premium Protection	TIC § 823.103; TAC § 7.204; SSAP No. 62	No Action Letter	\$0
Intermediary	Reinsurance - Reinsurance Intermediary Agreement	TIC Ch. 4152, § 823.103; TAC § 7.204	No Action Letter	\$0
Retroactive	Reinsurance - Retroactive Reinsurance Agreement	TIC Ch. 493, § 823.103; TAC §§ 7.204, 7.611-614; SSAP No. 62	No Action Letter	\$0
Canc	Reinsurance - Termination, Recapture, Commutation	TIC Ch. 492 & 493, § 823.103; TAC §§ 7.204, 7.611-614; SSAP Nos. 61 & 62	No Action Letter	\$0
Sale/Purch Asset	Sale/Purchase of Assets	TIC Ch. 424 (P&C) or 425 (Life), TIC §§ 823.101, 823.103; TAC §§ 7.204(a)(2)(A), 7.212, 11.804 (HMO); SSAP Nos. 4, 25, 40	No Action Letter	\$0
Purch Trs Stck	Treasury Stock	TIC §§ 822.206, 822.207 & 822.208 (P&C) FYI & \$0 fee if TIC § 841.203 (Legal Reserve Life) SSAP No. 72	Official Action	\$250 or \$0
Surp Deb	Surplus Debenture - Issuance	TIC Ch. 427; TAC § 7.7; SSAP Nos. 41 & 72 TIC Ch. 823 Subch C (if parties affiliated)	Commissioner's Order	\$0
Pmt Surp Deb	Surplus Debenture - Payments	TIC § 427.055(a)(2); TAC § 7.7(e)(1)(B); TIC § 912.309(b) (County Mutual), TIC § 942.158(b) (Reciprocal or Inter-insurance Exchange)	No Action Letter or Official Action	\$0

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Tax	Consolidated Tax Agreement	TIC §§ 823.101, 823.103; TAC §§ 7.204(a)(2)(D)&(E), 7.212; SSAP Nos. 25 & 101(16)	No Action Letter	\$0
Val	Change in Valuation Basis of Subsidiary	TIC Ch. 823 Subch. G; SSAP No. 97	Official Action	\$0