

Health Maintenance Organizations

NOTE: Health Maintenance Organizations (HMOs) and Non-profit Health Corporations are subject to the Texas Insurance Holding Company System Regulatory Act (TIC Ch. 823). Refer to [Holding Company Filings](#) for additional filing instructions.

IMPORTANT: Refer also to the NAIC Filing Requirements checklist for [Health Entities](#). Electronic filings should be submitted through the "[Financial Filing Submission Portal](#)."

Health Maintenance Organizations are required to file the following documents:

1. ANNUALLY ON OR BEFORE MARCH 1:

FINANCIAL ANALYSIS Domestic/Foreign file electronically with TDI Portal	NAIC Domestic/Foreign file electronically with NAIC
<ul style="list-style-type: none"> • Actuarial Opinion • All NAIC Annual Supplements due 3/1 • Annual Statement** • Texas HMO Supplement# • Supplemental Compensation Exhibit^ • Texas Overhead Assessment Exemption Form* • Policy Count Exhibit Form; Instructions 	<ul style="list-style-type: none"> • Actuarial Opinion • All NAIC Annual Supplements • Annual Statement

Via Email
 ^ Required of Texas domestic companies only
 * To be filed only by domestic companies that have qualified pension contracts under TIC § 401.151.
 ** Foreign companies only need to submit the signed jurat page and Texas Domestic need to include the whole statement along with their signed jurat page.

2. ANNUALLY ON OR BEFORE APRIL 1:

FINANCIAL ANALYSIS Domestic/Foreign file electronically with TDI Portal	NAIC Domestic/Foreign file electronically with NAIC
<ul style="list-style-type: none"> • Management’s Discussion and Analysis • All NAIC Annual Supplements due 4/1 	<ul style="list-style-type: none"> • Management’s Discussion and Analysis

3. QUARTERLY ON OR BEFORE MAY 15, AUGUST 15 and NOVEMBER 15:

FINANCIAL ANALYSIS Domestic/Foreign file electronically with TDI Portal	NAIC Domestic/Foreign file electronically with NAIC
<ul style="list-style-type: none"> • All NAIC Quarterly Supplements • Texas HMO Supplement # • Quarterly Statement 	<ul style="list-style-type: none"> • All NAIC Quarterly Supplements • Quarterly Statement

Via Email

4. ANNUALLY ON OR BEFORE JUNE 1 (Texas multi-state)* or JUNE 30 (Texas only) **:

FINANCIAL ANALYSIS Domestic file electronically with TDI Portal	NAIC Domestic/Foreign file electronically with NAIC
<ul style="list-style-type: none"> • CPA Audited Financial Report*** • Accountants Letter of Qualifications*** 	<ul style="list-style-type: none"> • CPA Audited Financial Report***

* **June 1 filer (Texas multi-state)** – domesticated in Texas and one of the following applies:

- a) License status as Licensed, Registered, Eligible, Qualified, or Domestic Surplus Lines Insurer other than Texas.
- b) Reinsures business covering risks in at least one other state than Texas.
- c) Is a member of a group with affiliates doing business in another state.

** **June 30 filer (Texas only)** – Both the Company and its affiliates are licensed in and do business only in Texas.

*** **Exemption:** Companies are exempt from filing if they write **both** less than \$1 million in direct Texas premiums and assume less than \$1 million of reinsurance premiums (TIC § [401.006](#)). File the [Affidavit for Exemption form \(FIN 246\)](#) if requesting an exemption from filing audited financial reports.

5. Corporate Governance Annual Disclosure is due annually on or before June 1*

*Refer to TIC § 831.0001 for applicability

6. Liquidity Stress Test is due annually on or before June 30*

*Refer to TIC § 823.0596 for applicability

7. Sponsoring organization’s CPA Audited Financial Report is due within 180 days of the end of the sponsoring organization’s fiscal year.

- 8. a) Certificate of Authority Filings:** All applications for Certificates of Authority (C/A, as well as Amendments to C/A) to act as an HMO, (including Service Area Expansions, changes to organizational documents, changes of officers and directors, and information required pursuant to TIC Ch. 843) should be filed directly with:

Email: CLRFilings@tdi.texas.gov

- b) Company Licensing and Registration guidance for HMO filings:**

<https://www.tdi.texas.gov/insurer/clhmo.html>

Affiliated agreements, proposed dividend payments and amendment to the organizational chart should be filed with:

Email: FinancialAnalysis@tdi.texas.gov

- c) Quality Assurance and Related Filings:**

Refer to: <https://www.tdi.texas.gov/wc/wcnet/index.html>

Phone: (512)676-6400

Email: MCQA@tdi.texas.gov

- d) Fidelity Bond Coverage:** Annual verification of fidelity bond coverage for both HMO Officers and Employees and Officers and Employees of Management Contractor should be submitted to Financial Analysis:

Email to: FinancialAnalysis@tdi.texas.gov

[FIN609](#) – Annual Verification of Fidelity Bond Coverage (HMO Officers and Employees)

[FIN610](#) – Annual Verification of Fidelity Bond Coverage (Officers and Employees of Management Contractor)