

**Stipulated Premium Companies**

Stipulated premium companies must also refer to the [Holding Company Filings](#) link for additional filing instructions.

Stipulated premium companies must file the following documents on or before the dates shown. However, companies issuing coverages under TIC § 884.402 must file on or before March 1.

**Stipulated premium companies must file the following documents:**

**1. ANNUALLY ON OR BEFORE APRIL 1:**

<p style="text-align: center;"><b>FINANCIAL ANALYSIS Domestic file electronically with TDI</b></p>	<p style="text-align: center;"><b>NAIC Domestic/Foreign file electronically with NAIC</b></p>
<ul style="list-style-type: none"> <li>• Actuarial Opinion</li> <li>• NAIC Annual Supplements</li> <li>• Annual Statement</li> <li>• Annual Statement of the Separate Accounts*</li> <li>• Management’s Discussion and Analysis</li> <li>• Supplemental Compensation Exhibit^</li> <li>• <a href="#">Texas Overhead Assessment Exemption Form</a></li> <li>• Policy Count Exhibit (submit electronically) <a href="#">Form</a>; <a href="#">Instructions</a></li> </ul>	<ul style="list-style-type: none"> <li>• Actuarial Opinion^</li> <li>• NAIC Annual Supplements</li> <li>• Annual Statement^</li> <li>• Annual Statement of the Separate Accounts*</li> <li>• Management’s Discussion and Analysis</li> </ul>

\* If Applicable  
 ^ Required for Texas domestic companies  
 % To be filed only by domestic companies that have qualified pension contracts under TIC § 401.151.

**2. ANNUALLY ON OR BEFORE MAY 1:**

<p style="text-align: center;"><b>ACTUARIAL DIVISION</b></p>	
<ul style="list-style-type: none"> <li>• Regulatory Asset Adequacy Issues Summary (RAAIS)^</li> </ul>	<p>Email to: <a href="mailto:ActuarialDivision@tdi.texas.gov">ActuarialDivision@tdi.texas.gov</a></p>

^ This is a confidential filing. Do not include with your Annual Statement.

**3. ANNUALLY ON OR BEFORE JUNE 30 (Texas only)\*\*:**

<b>FINANCIAL ANALYSIS</b> Domestic file electronically with TDI	<b>NAIC</b> Domestic/Foreign file electronically with NAIC
<ul style="list-style-type: none"> <li>• CPA Audited Financial Report*</li> </ul>	<ul style="list-style-type: none"> <li>• CPA Audited Financial Report*</li> </ul>

\* **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.

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

**4. QUARTERLY ON OR BEFORE MAY 15, AUGUST 15 AND NOVEMBER 15\*\***

<b>FINANCIAL ANALYSIS</b> Domestic file electronically with TDI	<b>NAIC</b> Domestic/Foreign file electronically with NAIC
<ul style="list-style-type: none"> <li>• Quarterly Statement**</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly Statement**</li> </ul>

\*\* Exemption from filing quarterly statements with TDI and NAIC if a stipulated premium company meets ALL three of the following conditions:

- Company is authorized to write ONLY LIFE insurance on its Certificate of Authority;
- Company collected premiums in the prior calendar year of less than \$1 million; and
- Company had a profit from operations in the prior 2 calendar years

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

\*Refer to TIC § 831.0001 for applicability