

Policy Checklist

Surplus Lines Stamping Office of Texas
805 Las Cimas Parkway, Suite 300
Austin, TX 78746

Form No. 3.1

TIC = Texas Insurance Code
TAC = Texas Administrative Code
TDI = Texas Department of Insurance

Each insurance contract (policy, binder, cover note, renewal certificate, etc.) must include the following, per [28 TAC §15.106](#):

- Declaration Page
- List of all participating insurers on the policy, insurer name, or Lloyd's syndicate name that matches the Approved Insurers List
- All coverage parts and schedules, including limits
- Extended coverage endorsements and exclusions
- All premium bearing documents
- Consistent policy number (including prefix/suffix), per [28 TAC §15.109](#)
- Insured name, per [TIC §981.101\(c\)\(4\)\(A\)](#)
- Effective date and expiration date, per [TIC §981.101\(c\)\(2\)](#)
- Premium, policy fees (broker/agent, inspection, etc.), taxes and stamping fee (shown separately, per [TIC §981.101\(c\)\(3\)](#) and [TIC §225.001\(5\)](#))
- Issue date (if applicable), relates to [TIC §981.105\(a\)](#)
- Zip code of Texas risk location (PO boxes are not accepted), per [TIC §981.101\(c\)\(1\)](#)
- Agent/agency name and address, as listed on the agency license, per [TIC §981.101\(c\)\(4\)\(C\)](#) (Review [TDI Agent Lookup](#))
- Guaranty Fund Non-Participation Notice showing appropriate tax rate, per [TIC §981.101\(b\)](#)
- Texas Complaint Notice, per [28 TAC §1.601](#)

Additionally, verify and provide the following information with submission:

- Account for percentage of participation for each insurer/syndicate, to total 100%; per [28 TAC §15.106\(b\)\(2\)](#); [TIC §981.101\(c\)\(5\)](#)
- If applicable, complete the [Allocation Form](#) for Other States or Exempt Premium
- Declaration page premiums must match the attached coverages parts / schedules, endorsements, and limits, per [28 TAC §15.106\(b\)\(3\)](#)
- Policy List Form must be completely filled out, per [28 TAC §15.106\(b\)\(7\)](#), to include:
 1. Surplus Lines agent/agency name
 2. Surplus Lines agent license no.
 3. Contact name and phone number

* Handwritten changes to policy documents are not acceptable