

THIRD PARTY ADMINISTRATOR (TPA) CHECKLIST

I. Contact Information

Telephone: (573) 751-0794

Fax: (573) 526-2092

Email: tpafilings@insurance.mo.gov

Website: www.insurance.mo.gov

TPA Forms: www.insurance.mo.gov/industry/forms/index.php#Third

II. Legal Citations

Statutes: [Sections 376.1075 – 376.1095, RSMo](#)

Regulations: 20 CSR 200-9.500 – 9.800 (sos.mo.gov/adrules/csr/current/20csr/20csr)

III. Fees and Due Dates

Initial Application Fee: \$1,000 due with initial application (§376.1092.2(7), RSMo)

Annual Report Fee: \$250 due March 1 of each calendar year (§376.1093.1, RSMo)

Annual Renewal Fee: \$250 due July 1 of each calendar year (§376.1092.5, RSMo)

IV. Initial Application Process

- A. Contact Courtney Wieberg at Courtney.Wieberg@insurance.mo.gov to set up a secure Box Account in which to upload the Application and Exhibits. Exhibits should be labeled 1-11 in the order listed in section D, below.
- B. Complete the Application, found at <https://insurance.mo.gov/forms/375-1685.pdf>.
- C. Payment may be made electronically by contacting Courtney Wieberg to request an invoice and electronic payment instructions. Otherwise, the \$1,000 application fee should be remitted by check to:

Missouri Department of Commerce and Insurance
PO Box 690
Jefferson City, MO, 65102-0690

PERSONAL CHECKS NOT ACCEPTED. Payment should be accompanied by a copy of the one-page Application only to ensure staff attribute the payment to the correct Application.

- D. At initial registration, the company must upload all of the following required documents to the secure Box Account. Failure to include all required documents or to complete all required documents will postpone disposition of the application until it is complete:
 1. All basic organization documents of the administrator, including, but not limited to, any articles of incorporation, articles of association, partnership agreement, trade name certificate,

trust agreement, shareholder agreement and other applicable documents and all amendments to such documents. (§376.1092.2(1), RSMo)

2. A currently dated Certificate of Good Standing and/or Fictitious Name Registration from the Missouri Secretary of State: www.sos.mo.gov/business. (§376.1092.2(8), RSMo)
 3. The bylaws, rules, and regulations of the administrator. (§376.1092.2(2), RSMo)
 4. [Biographical affidavit](#) for all individuals who are responsible for the conduct of the affairs of the administrator, including all members of the board of directors, board of trustees, executive committee or other governing board or committee; the principal officers in the case of a corporation or the partners or members in the case of a partnership or association; shareholders holding directly or indirectly 10% or more of the voting securities of the administrator; and any other person who exercises control or influence over the affairs of the administration. (§376.1092.2(3), RSMo)
 5. Annual audited financial statements or reports for the two most recent years in accordance with §§375.1025-375.1062, RSMo. (§376.1092.2(4), RSMo and 20 CSR 200-9.600(2))
 6. Plan of operation of the administrator including information on staffing levels and activities in this state and nationwide. (§376.1092.2(5), RSMo)
 7. If the applicant will be managing the solicitation of new or renewal business, proof that it employs or has contracted with an agent licensed by this state for solicitation and taking of applications. Any applicant which intends to directly solicit insurance contracts or to otherwise act as an insurance agent must provide proof that it has a license as an insurance agent or agency in this state. (§376.1092.2(6), RSMo)
 8. Each administrator shall file a \$50,000 surety bond obtained from an insurance company licensed to do business in Missouri. This requirement is waived if the TPA is an affiliate or subsidiary of an insurance company licensed and in good standing with this office. <http://insurance.mo.gov/forms/375-1811.pdf> (§376.1092.7, RSMo)
 9. Notification of Insurer/Trust Agreements: <https://insurance.mo.gov/forms/375-1684.pdf> (§376.1092.2(8), RSMo and 20 CSR 200-9.600(1))
 10. TPA Questionnaire: <https://insurance.mo.gov/forms/375-0083.pdf> (§376.1092.2(8), RSMo and 20 CSR 200-9.600(1))
 11. TPA 376.1092: <https://insurance.mo.gov/industry/forms/documents/TPA3761092.pdf> (§376.1092.2(8), RSMo and 20 CSR 200-9.600(1))
- E. Administrators must demonstrate a positive standalone net worth as part of their initial application and must maintain solvency throughout their period of licensure. (§376.1092.2(4), RSMo)

V. Annual Filing Process

- A. Annual report filings are due March 1st of each calendar year and must be filed by each TPA licensed in Missouri through the TPA Web Portal.

TPA Web Portal: <https://apps.dci.mo.gov/TPA/Pages/Account/Login.aspx>

TPA Web Portal User Guide: In the HELP section of the TPA Web Portal, and on the DCI website at https://insurance.mo.gov/industry/forms/documents/TPA_Portal_User_Guide.pdf

- B. All TPAs will be invoiced the \$250 annual report filing fee that is due at the time of filing the

annual report. Those invoices will include instructions for paying the invoice online.

C. The annual report must include the following documents, which may either be uploaded to or entered directly into the TPA Web Portal:

1. Notification of Insurer/Trust Agreements: <https://insurance.mo.gov/forms/375-1684.pdf> (§376.1093.2, RSMo)
2. TPA Questionnaire: <https://insurance.mo.gov/forms/375-0083.pdf> (§376.1093.3, RSMo)
3. TPA 376.1092: <https://insurance.mo.gov/industry/forms/documents/TPA3761092.pdf> (§§376.1092.5 and 376.1093.1, RSMo)
4. A currently dated Certificate of Good Standing and/or Fictitious Name Registration dated within 90 days of renewal from the Missouri Secretary of State: www.sos.mo.gov/business. (§376.1093.1, RSMo)
5. Annual audited financial statement or report for the previous calendar year. (§376.1093.1, RSMo and 20 CSR 200-9.800)

VI. Annual Renewal Process

- A. Annual renewal of the certificate of authority occurs July 1st of each calendar year. (§376.1092.5, RSMo)
- B. All TPAs will be invoiced the \$250 annual renewal fee. Those invoices will include instructions for paying the invoice online.
- C. Renewal certificates of authority will not be issued except upon request.