

Specialty Lines

UNDERWRITERS

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FIDUCIARY ACTIVITIES ERRORS & OMISSIONS SUPPLEMENTAL APPLICATION

INSTRUCTIONS:

1. Complete the following information if, within the past two (2) years, any owner, partner, shareholder, principal, officer or employee has received, disbursed, or controlled client funds and/or assets in any capacity.
2. Complete one form for each client (copy if necessary).
3. Please type or print using black ink. DO NOT USE PENCIL.

1. Name of Applicant: _____
2. Legal Name of firm: _____
3. Client's Name: _____
4. Relationship to firm: _____
5. Describe the services rendered for the client listed in #2 above: _____

6. a. Complete the following for all individuals who have authority to transact business or handle funds and/or assets for this client:

NAME	CAPACITY	MEMBER OF THE APPLICANT FIRM?
		<input type="checkbox"/> No <input type="checkbox"/> Yes
		<input type="checkbox"/> No <input type="checkbox"/> Yes
		<input type="checkbox"/> No <input type="checkbox"/> Yes

- b. Is the individual(s) listed in 6a. bonded for handling client funds and/or assets? No Yes
If "YES," please attach a copy of the bond.

7. What funds and/or assets does the individual(s) listed in 6a. above have access to? (Please list type and maximum value at any given time):

Cash \$ _____ Real Estate \$ _____ Trust Accounts \$ _____
Bank Accounts \$ _____ Securities \$ _____ Other: _____ \$ _____

8. Is the client's signature required on all checks and/or transactions? No Yes

If "YES," please explain: _____

9. Does the individual(s) listed in 6a. above have the authority to make investment decisions on behalf of the client? No Yes

If "YES," please explain: _____

10. What risk controls are in place to monitor the handling of client funds and/or assets? _____

I declare that the information submitted herein is true to the best of my knowledge and becomes a part of my Professional Liability Application. I understand that an incorrect or incomplete statement could void my protection.

Signature of Applicant
(must be signed by a principal, partner or officer of the firm)

Title

Date