

Private Directors, Officers General Partnership and Corporate Liability Insurance Including Employment Practices Claims Coverage Application

This application is NOT an insurance policy and the insurance company affording coverage reserves the right to reject any application for any reason. If additional space is needed, attach details on a separate sheet of paper. All Applicants must sign the application where indicated.

NOTICE: THIS APPLICATION IS FOR A CLAIMS MADE POLICY WHICH APPLIES ONLY TO "CLAIMS" FIRST MADE DURING THE "POLICY PERIOD" OR ANY DISCOVERY PERIOD AND REPORTED TO THE INSURER PURSUANT TO SECTION VII OF THE POLICY. THE LIMIT OF LIABILITY AVAILABLE TO PAY DAMAGES OR SETTLEMENTS WILL BE REDUCED, AND MAY BE EXHAUSTED, BY "COST OF DEFENSE," AND "COST OF DEFENSE" WILL BE APPLIED AGAINST THE APPLICABLE RETENTION. THE COVERAGE AFFORDED UNDER THIS POLICY DIFFERS IN SOME RESPECTS FROM THAT AFFORDED UNDER OTHER POLICIES. PLEASE READ THE ENTIRE APPLICATION CAREFULLY BEFORE SIGNING.

PRODUCER	APPLICANT
Name: _____	Name: _____
	DBA: _____
Address: _____	Address: _____
Telephone #: _____	Telephone #: _____
Fax #: _____	Fax #: _____
Email Address: _____	Email Address: _____
Web Address: _____	Web Address: _____
PRODUCER NAME: _____	PRIMARY CONTACT NAME: _____

GENERAL INFORMATION

1. State of Formation: _____
2. Date of Formation: _____
3. Applicant is: Partnership LLC Corporation Joint Venture Other (describe) _____
4. Nature of Business: _____
5. Primary CICS Codes(S):: _____
6. Number of Locations: Domestic (within the U.S., Canada and territories): _____ Foreign: _____
7. Name of Parent Corporation (if not Applicant): _____
If not applicable, please check here .

8. Address of Parent Corporation: _____

COMPANY INFORMATION

- 9. a. Total number of partnership units outstanding: ____
- b. Total number of Limited Partners: ____
- c. Ownership Interest of General Partner: ____

Ownership Interest of Limited Partners: ____
- d. Does any equity holder who holds, directly or beneficially, 5% or more of the shares/partnership units/interesting outstanding? Yes No

If "Yes," please designate name and percentage of holdings as an attachment.
- e. Describe any other securities of the Applicant:
- f. Does the Applicant or any of its subsidiary's have a portion of its private company debt purchased by the public? Yes No
If "Yes," please provide the amount: \$ ____
If "Yes," please provide the Debt Rating: ____
- g. Dividend/Distribution history for the last three (3) years
- h. Are funds commingled among other entities managed by the General Partners(s)?

10. Please list all direct and indirect Subsidiaries. If included as an attachment herein, check here .
If not applicable, please check here .

Name	Business or Type of Operation	Percentage of Ownership	Date Acquired or Created	Domestic or Foreign and Country of Incorporation

Are you requesting coverage to be extended to all Subsidiaries? Yes No

If "Yes," include complete list of Directors and Officers of each Subsidiary.
If "No," include complete list of Directors and Officers of each Subsidiary for which coverage is requested.
If included as an attachment herein, check here .

11. Has the Applicant disclosed that it now has under consideration any acquisition, tender offer, merger, divestiture or any type of “roll-up”, “roll-over” transactions or consolidation of or by the Applicant, any of its subsidiaries and operating partnerships or any of its subsidiaries?
 Yes No

If yes, have they been approved by the board of directors or general partners? Yes No Date _____

If so, have they been submitted to the security holders for approval? Yes No Date _____

12. a. Has the Applicant or any of its Subsidiaries had any mergers, acquisitions or consolidations in the past 18 months? Yes No
- b. Are there any plans for a future merger, acquisition or consolidation of or by the Applicant or any of its Subsidiaries in the next 18 months? Yes No

If “Yes,” have these plans been approved by any of the following? Please check all that apply.

Board of Directors Shareholders

13. a. Has the Applicant or any of its Subsidiaries been involved in any bankruptcy filings in the past 5 years?
 Yes No
- b. Does the Applicant or any of its Subsidiaries anticipate any bankruptcy filings within the next 18 months?
 Yes No

14. Does the Applicant or any of its Subsidiaries anticipate any registration of securities under the Securities Act of 1933 within the next year? Yes No

If “Yes,” attach details and submit any offering materials if available, including the Offering Size and Use of Proceeds.

15. Has the Applicant or any of its Subsidiaries had any private placement or other offering of securities within the last 12 months, or anticipate having any private placements or other offering of securities within the next 12 months?
 Yes No

16. Does the Applicant or any of its Subsidiaries anticipate purchasing the securities of a “publicly traded entity” in a transaction, which would result in such entity becoming an Affiliate or Subsidiary or the Applicant?
 Yes No

If “Yes,” please provide complete details.

17. Has the Applicant adopted, if permitted by law, any provision eliminating or limiting the liabilities of its Insured general Partners? Yes No

If “Yes,” please have the limited partners duly approved such provisions? Yes No

Please provide a copy of the indemnification provisions in the Partnership Agreement and any provision eliminating or limited the Applicant or any Insured (s) liability

18. Has the Applicant adopted any anti-takeover provisions or other provisions dealing with partnership control in their partnership agreement? Yes No

If “Yes,” please have the limited partners duly approved such provisions? Yes No

19. Does the Applicant or Named Insured, including Subsidiaries and Directors and Officers thereof, presently act or plan to act in the capacity of General Partner in any Partnership not intended for insurance through this proposal? Yes No

If “Yes,” please provide details _____

DIRECTORS AND OFFICERS INFORMATION

- 17. Attach a complete list of all Directors of the Applicant by name, affiliation, and date of nomination to the Board.
- 18. Has the Applicant experienced changes to its Board of Directors or to its Key Executives over the past year?
 Yes No
 If "Yes," please attach complete details.
- 19. Does the Applicant have the any of the following Committees? Please check all that apply.
 Audit Compensation Nominating
- 20. Does the Applicant's charter or by-laws contain indemnification provisions? Yes No

FINANCIAL INFORMATION

21. Please provide the following Financial Information for the Applicant and its Subsidiaries.

Based on Financial Statements Dated:	(Year/Month)
Total Assets	\$
Total Liabilities	\$
Total Revenues/Contributions	\$
<input type="checkbox"/> Net Income or <input type="checkbox"/> Net Loss	\$
Cash Flow from Operations	\$

- 22. Has the Applicant or any of its Subsidiaries changed auditors in the past year? Yes No N/A
 If "Yes," please provide complete details.

EMPLOYMENT PRACTICES INFORMATION

Please provide the following information regarding employees including directors and officers of the Applicant and all other entities applying for coverage:

- 23. Enter the TOTAL number of employees (by type) in the boxes below.
Note: Seasonal, Temporary and Leased Employees to be included as Part-Time employees (Non-Union if Domestic)

Number Employees in ALL STATES/JURISDICTIONS:

	Domestic		Foreign
	Union	Non-Union	
Full Time			
Part Time			
Total Number of Independent Contractors			

- 24. Enter the number of employees (by type) in the specified jurisdictions ONLY in the boxes below.
Note: Seasonal, Temporary and Leased Employees to be included as Part-Time employees (Non-Union if Domestic)

Number of Employees located in CALIFORNIA ONLY:

	Domestic	
	Union	Non-Union
Full Time		
Part Time		
Total Number of Independent Contractors		

Number of Employees located in DISTRICT OF COLUMBIA, FLORIDA, MICHIGAN & TEXAS ONLY (collectively):

	Domestic	
	Union	Non-Union
Full Time		
Part Time		
Total Number of Independent Contractors		

25. For the past 3 years, what has been the annual percentage turnover rate of employees and managers (all locations)?

	Year	%	Year	%	Year	%
Employees						
Managers						

HUMAN RESOURCES

26. Does the Applicant have a Human Resources or Personnel Department? Yes No.

If "No," does the Applicant have other designated/qualified staff member(s) serving the equivalent function?
 Yes No

For all "No" answers, how are these issues handled and by whom? Please attach complete details.

27. Does the Applicant have an Employee Handbook? Yes No

If "Yes," is the Employment Handbook distributed to all employees or maintained on an Internet location informing employees of their employment rights? Yes No

28. Does the Employee Handbook address the following issues?

- Prohibiting Discrimination Yes No
- Prohibiting Sexual Harassment Yes No
- Compliance with the Americans with Disabilities Act Yes No
- Compliance with the 1991 Civil Rights Act Yes No
- Compliance with the Family Medical Leave Act Yes No
- Employee disciplinary actions Yes No
- Terminations and layoffs Yes No
- Employee appraisals / reviews Yes No
- Formal "at will" statement Yes No

29. Does the Applicant and any of its Subsidiaries conduct employee training with regards to discrimination and harassment? Yes No;

Management Training? Yes No

30. Is there a formalized process in place for reporting complaints/ harassment? Yes No

If "Yes," do employees know this action will not result in a retaliatory action? Yes No

- 31. Has Legal Counsel reviewed the Employee Handbook? Yes No
- 32. Does the Applicant post its policies and procedures? Yes No
- 33. Are employment issues relating to terminations, discriminations, sexual harassment, layoffs, transfers, or promotions handled by the Human Resources Department, Outside Counsel and/or the Legal Department? Yes No

If "Yes," please provide complete details.

If "No," please provide complete details on how these issues are handled.

- 34. Is the Applicant or any of its Subsidiaries currently undergoing or does the Applicant or any of its Subsidiaries contemplate undergoing during the next 12 months any employee layoffs or early retirements (including ones resulting from any type of company restructuring or office, plant or store closing)? Yes No

If "Yes", please attach complete details.

- a. Have there been any structured layoffs in the past 24 months? Yes No
If "Yes," how many layoffs occurred _____ and what percentage of employees was affected? _____%
- b. Are there any structured layoffs currently in progress or anticipated within the next 24 months? Yes No
If "Yes," what percentage of employees will be affected? _____%
- c. Did the Applicant or any of its Subsidiaries use Outside Counsel during the layoff procedure? Yes No
- d. Were severance packages offered in exchange for releases not to sue and will they be offered for future layoffs? Yes No

If "No", please attach complete details

- e. Does the Applicant or any of its Subsidiaries have procedures in place to assist terminated or laid off employees find work? Yes No

CLAIM REPORTING PROCEDURES

- 35. Within the Applicant and its Subsidiary's, where or to whom are lawsuits, administrative charges and demand letters reported?
General Counsel: ____ Human Resources: ____ Risk Management: ____ Other: ____
- 36. Does the Applicant have a mechanism in place for its operating companies to immediately report lawsuits, administrative charges and demand letter to a corporate office of General Counsel, Human Resources or Risk Management? Yes No
- 37. Name of Risk Manager and/or General Counsel (or equivalent position) and number of years in current position:

Name: _____ Title: _____ Years in Current Position: _____

Email Address: _____ Phone Number: _____

CLAIMS HISTORY INFORMATION (RENEWAL APPLICANTS SHOULD SKIP QUESTIONS 38 - 42)

38. Please provide on a separate attachment full details on all inquiries, investigations, grievance filings or other administrative hearings previously filed against the Applicant during the last five years or currently before any local, state or federal agency governing employer responsibility to employees. (If none, check here)
39. Please provide on a separate attachment full details on all customer/client lawsuits previously filed against the applicant during the last three years. (If none, check here)
40. Has there been, or is there now pending any claim(s), suit(s), investigation(s) or action(s) against the Applicant, its Subsidiaries, or any individual or other entity proposed for insurance arising out of: (1) any director, officer, general partner employee or entity liability matter, including securities matters and/or employment matters; or (2) any matter claimed against any person proposed for insurance in his or her capacity under the proposed policy?

Yes No

If "Yes," attach complete details.

41. Does the Applicant, its Subsidiaries, or any general partner, director, officer or employee of the Applicant know of any act, error or omission, which might give rise to a claim(s) under the proposed policy? Yes No

If "Yes," attach complete details.

42. Has anyone for whom this insurance is intended given notice under the provisions of any other previous or current similar insurance policy of any facts or circumstances which may give rise to a claim being made against the Applicant, Additional Partnership(s) and or General Partner(s)? Yes No
43. Has the Applicant or any Subsidiary currently or has it been in any material breach of any of its debt covenants, loan agreements, contractual obligation or does the Applicant anticipate any breach occurring during the proposed Policy Period?
44. Have outside auditors stated there any material weaknesses in the Applicant's system of internal controls?
45. Has the Applicant in the last 3 years:
- 1) Changed independent auditors; Yes No
 - 2) Restated their financials; Yes No
 - 3) Had any change in Board of Directors/Managers/General Partner or senior management? Yes No

46. Has the Applicant, any of its Subsidiaries or any director ,officer or general partner:
- Been involved in any antitrust, copyright or patent litigation? Yes No
- Been charged in any civil or criminal action or administrative proceeding with a violation of any federal or state antitrust or fair trade law? Yes No
- Been charged in any civil or criminal action or administrative proceeding with a violation of any federal or state securities law or regulation? Yes No
- Been involved in any representative actions, class actions, or derivative suits? Yes No
- Been charged in any federal or state proceeding citing a violation of anti-harassment or anti-discrimination law? Yes No

IF ANY OF THE ANSWERS TO QUESTIONS 42- 46 ARE "YES," ATTACH COMPLETE DETAILS

IT IS AGREED THAT WITH RESPECT TO QUESTIONS 38 THROUGH 46, IF SUCH CLAIM(S), SUIT(S), INVESTIGATION(S), ACTION(S), PROCEEDING(S), INQUIRY, VIOLATION, KNOWLEDGE, INFORMATION OR INVOLVEMENT EXISTS, THEN SUCH CLAIM(S), SUIT(S), INVESTIGATION(S), ACTION(S), PROCEEDING(S) OR INQUIRY AND ANY CLAIM, ACTION, SUIT, INVESTIGATIONS, PROCEEDING OR INQUIRY ARISING THEREFROM OR ARISING FROM SUCH VIOLATION, KNOWLEDGE, INFORMATION OR INVOLVEMENT IS EXCLUDED FROM THE PROPOSED COVERAGE.

CURRENT COVERAGE

47. Current insurance (if none, most recent). If included as an attachment herein check here (Attached).

	D&O/GPL Insurance	EPL Insurance	Fiduciary Insurance
(a) Name of insurance company	_____	_____	_____
(b) Limit of Liability	_____	_____	_____
(c) Self-insured retention	_____	_____	_____
(d) Policy expiration date	_____	_____	_____
(e) Premium (indicate one year or more)	_____	_____	_____
(f) Continuity Date	_____	_____	_____

48. Has any insurance carrier refused, canceled or non-renewed any Directors, Officer or Employment Practices insurance coverage*? Yes No ***MISSOURI APPLICANTS NEED NOT REPLY**
 If "Yes," attach complete details including when and reason(s).

MATERIALS REQUESTED

49. Attach copies of the following for the Applicant and, to the extent available, each of its Subsidiaries:
- o Copy of any offering memorandum, prospectus, registration statement completed within the last 18 months or contemplated within the next 12 months (if available) and formative agreement (e.g. limited or general partnership agreement, operating agreement, articles of incorporation, by-laws, indemnification provisions, etc. for the Applicant, Additional Partners and all operating partnerships for which coverage is requested)
 - o Most recent annual report and interim financial statement for the Applicant and all Additional Partnerships, with all notes and schedules.
 - o Latest interim financial statements available for the Applicant, Additional Partnership and all operating partnerships
 - o List of Directors, Officers, Managers and or General Partners with biographies and affiliation with other entities
 - o EEO-1 Report if applicable
 - o Latest CPA management letter along with the Applicant's responses to any recommendations made therein.

NOTICE TO APPLICANT – PLEASE READ CAREFULLY.

FOR THE PURPOSES OF THIS APPLICATION, THE UNDERSIGNED AUTHORIZED AGENT OF THE PERSON(S) AND ENTITY(IES) PROPOSED FOR THIS INSURANCE DECLARES THAT TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF, AFTER REASONABLE INQUIRY, THE STATEMENTS IN THIS APPLICATION, AND IN ANY ATTACHMENTS, ARE TRUE AND COMPLETE. THE UNDERWRITER IS AUTHORIZED TO MAKE ANY INQUIRY IN CONNECTION WITH THIS APPLICATION. ACCEPTING THIS APPLICATION DOES NOT BIND THE UNDERWRITER TO COMPLETE, OR THE **APPLICANT** TO PURCHASE, THE INSURANCE.

THE INFORMATION CONTAINED IN AND SUBMITTED WITH THIS APPLICATION IS ON FILE WITH THE UNDERWRITER AND ALONG WITH THE APPLICATION IS CONSIDERED PHYSICALLY ATTACHED TO THE POLICY AND WILL BECOME PART OF IT. THE UNDERWRITER WILL HAVE RELIED UPON THIS APPLICATION AND ATTACHMENTS IN ISSUING ANY POLICY. THIS APPLICATION WILL BECOME A PART OF SUCH POLICY IF ISSUED.

IF THE INFORMATION IN THIS APPLICATION OR IN ANY ATTACHMENT MATERIALLY CHANGES BETWEEN THE DATE OF THIS APPLICATION AND THE POLICY EFFECTIVE DATE, THE **APPLICANT** WILL NOTIFY THE UNDERWRITER, WHO MAY MODIFY OR WITHDRAW ANY QUOTATION OR AGREEMENT TO BIND INSURANCE.

THE UNDERSIGNED DECLARES THAT THE PERSON(S) AND ENTITY(IES) PROPOSED FOR THIS INSURANCE UNDERSTAND THAT:

- (I) THE POLICY FOR WHICH THIS APPLICATION IS MADE APPLIES ONLY TO "CLAIMS" FIRST MADE OR DEEMED MADE DURING THE "POLICY PERIOD," OR ANY DISCOVERY PERIOD;
- (II) THE LIMIT OF LIABILITY AVAILABLE TO PAY DAMAGES OR SETTLEMENTS WILL BE REDUCED, AND MAY BE EXHAUSTED, BY **COSTS OF DEFENSE**, AND, IN SUCH EVENT, THE UNDERWRITER WILL NOT BE RESPONSIBLE FOR THE CONTINUED **COSTS OF DEFENSE** OR FOR THE AMOUNT OF ANY JUDGMENT OR SETTLEMENT TO THE EXTENT THAT ANY OF THE FOREGOING EXCEED ANY APPLICABLE LIMIT OF LIABILITY; AND
- (III) **COSTS OF DEFENSE** WILL BE APPLIED AGAINST THE RETENTION.

NOTICE TO APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR ANOTHER PERSON FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM CONTAINING ANY MATERIALLY FALSE INFORMATION, OR CONCEALS FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO, COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME AND SUBJECTS THE PERSON TO CRIMINAL PENALTIES.

NOTICE TO ARKANSAS, NEW MEXICO AND WEST VIRGINIA APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT, OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES AND CONFINEMENT IN PRISON.

NOTICE TO COLORADO APPLICANTS: IT IS UNLAWFUL TO KNOWINGLY PROVIDE FALSE, INCOMPLETE OR MISLEADING FACTS OR INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING OR ATTEMPTING TO DEFRAUD THE COMPANY. PENALTIES MAY INCLUDE IMPRISONMENT, FINES, DENIAL OF INSURANCE AND CIVIL DAMAGES. ANY INSURANCE COMPANY OR AGENT OF AN INSURANCE COMPANY WHO KNOWINGLY PROVIDES FALSE, INCOMPLETE OR MISLEADING FACTS OR INFORMATION TO A POLICYHOLDER OR CLAIMANT FOR THE PURPOSE OF DEFRAUDING OR ATTEMPTING TO DEFRAUD THE POLICYHOLDER OR CLAIMANT WITH REGARD TO A SETTLEMENT OR AWARD PAYABLE FROM INSURANCE PROCEEDS SHALL BE REPORTED TO THE COLORADO DIVISION OF INSURANCE WITHIN THE DEPARTMENT OF REGULATORY AUHTORITIES.

NOTICE TO DISTRICT OF COLUMBIA APPLICANTS: WARNING: IT IS A CRIME TO PROVIDE FALSE OR MISLEADING INFORMATION TO AN INSURER FOR THE PURPOSE OF DEFRAUDING THE INSURER OR ANY OTHER PERSON, PENALTIES INCLUDE IMPRISONMENT AND/OR FINES. IN ADDITION, AN INSURER MAY DENY INSURANCE BENEFITS IF FALSE INFORMATION MATERIALLY RELATED TO A CLAIM WAS PROVIDED BY THE APPLICANT.

NOTICE TO FLORIDA APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO INJURE, DEFRAUD, OR DECEIVE ANY INSURER FILES A STATEMENT OF CLAIM OR AN APPLICATION CONTAINING ANY FALSE, INCOMPLETE OR MISLEADING INFORMATION IS GUILTY OF A FELONY OF THE THIRD DEGREE.

NOTICE TO KANSAS APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR ANOTHER PERSON FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM OR ANY WRITTEN STATEMENT CONTAINING ANY MATERIALLY FALSE INFORMATION, OR CONCEALS FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO, COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME AND SUBJECTS THE PERSON TO CRIMINAL PENALTIES.

NOTICE TO KENTUCKY APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR ANOTHER PERSON, FILES A STATEMENT OF CLAIM CONTAINING ANY MATERIALLY

FALSE INFORMATION, OR CONCEALS FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT, MATERIAL THERETO, COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME, SUBJECT TO CRIMINAL PROSECUTION AND CIVIL PENALTIES.

NOTICE TO LOUISIANA APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES AND CONFINEMENT IN PRISON.

NOTICE TO MAINE APPLICANTS: IT IS A CRIME TO KNOWINGLY PROVIDE FALSE, INCOMPLETE OR MISLEADING INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING THE COMPANY. PENALTIES MAY INCLUDE IMPRISONMENT, FINES OR A DENIAL OF INSURANCE BENEFITS.

NOTICE TO NEW JERSEY APPLICANTS: ANY PERSON WHO INCLUDES ANY FALSE AND MISLEADING INFORMATION ON AN APPLICATION FOR AN INSURANCE POLICY IS SUBJECT TO CRIMINAL AND CIVIL PENALTIES.

NOTICE TO NEW YORK APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE CONTAINING ANY MATERIALLY FALSE INFORMATION, OR CONCEALS FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO, COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME, AND SHALL ALSO BE SUBJECT TO A CIVIL PENALTY NOT TO EXCEED FIVE THOUSAND DOLLARS (\$5,000) AND THE STATED VALUE OF THE CLAIM FOR EACH SUCH VIOLATION.

NOTICE TO OHIO APPLICANTS: ANY PERSON WHO, WITH INTENT TO DEFRAUD OR KNOWING THAT HE/SHE IS FACILITATING A FRAUD AGAINST AN INSURER, SUBMITS AN APPLICATION OR FILES A CLAIM CONTAINING A FALSE OR DECEPTIVE STATEMENT IS GUILTY OF INSURANCE FRAUD.

NOTICE TO OKLAHOMA APPLICANTS - WARNING: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO INJURE, DEFRAUD OR DECEIVE ANY INSURER, MAKES ANY CLAIM FOR THE PROCEEDS OF AN INSURANCE POLICY CONTAINING ANY FALSE, INCOMPLETE OR MISLEADING INFORMATION IS GUILTY OF A FELONY (365:15-10, 36 §3613.1).

NOTICE TO OREGON APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO INJURE, DEFRAUD, OR DECEIVE ANY INSURER FILES A STATEMENT OF CLAIM OR AN APPLICATION CONTAINING ANY MATERIALLY FALSE, INCOMPLETE, OR MISLEADING INFORMATION MAY BE GUILTY OF A CRIME.

NOTICE TO PENNSYLVANIA APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR ANOTHER PERSON, FILES A STATEMENT OF CLAIM CONTAINING ANY MATERIALLY FALSE INFORMATION, OR CONCEALS FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT, MATERIAL THERETO, COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME, SUBJECT TO CRIMINAL PROSECUTION AND CIVIL PENALTIES.

NOTICE TO TENNESSEE, VIRGINIA AND WASHINGTON APPLICANTS: IT IS A CRIME TO KNOWINGLY PROVIDE FALSE, INCOMPLETE OR MISLEADING INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING THE COMPANY. PENALTIES INCLUDE IMPRISONMENT, FINES AND DENIAL OF INSURANCE BENEFITS.

NOTICE TO VERMONT APPLICANT: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM CONTAINING ANY MATERIALLY FALSE INFORMATION OR, CONCEALS, FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO, COMMITS A FRAUDULENT ACT, WHICH MAY BE A CRIME AND MAY SUBJECT SUCH PERSON TO CRIMINAL AND CIVIL PENALTIES.

NOTE: A POLICY CANNOT BE ISSUED UNLESS THE APPLICATION IS PROPERLY SIGNED BY THE CHAIRMAN OF THE BOARD AND PRESIDENT AND DATED. IF THE CHAIRMAN OF THE BOARD AND PRESIDENT ARE THE SAME INDIVIDUAL, PLEASE HAVE THE APPLICATION SIGNED BY THE CHIEF FINANCIAL OFFICER, CHIEF OPERATING OFFICER OR GENERAL COUNSEL IN LIEU OF THE PRESIDENT.



NOTE: ANY PERSON SIGNING THIS APPLICATION ACKNOWLEDGES, IS AWARE AND AGREES THAT THE LIMIT OF LIABILITY CONTAINED IN THE POLICY SHALL BE REDUCED, AND MAY BE COMPLETELY EXHAUSTED, BY COSTS OF DEFENSE AND, TO THE EXTENT THAT THE LIMIT OF LIABILITY OF THE POLICY IS EXCEEDED THE INSURER SHALL NOT BE LIABLE FOR COSTS OF DEFENSE, THE AMOUNT OF ANY JUDGMENT OR SETTLEMENT, AND THAT COSTS OF DEFENSE SHALL BE APPLIED AGAINST THE APPLICABLE RETENTION.

APPLICANT:		
BY: (President, Chairman, or CEO:)	TITLE:	DATE:

REQUIRED INFORMATION

PRODUCED BY (Insurance Agent or Broker:) Please print and sign name
--

FIRM NAME:	
TAXPAYER ID OR SOCIAL SECURITY NO.:	PRODUCER LICENSE NO.:
ADDRESS (No., Street, City, State, and Zip:)	
EMAIL ADDRESS:	

SUBMITTED BY (Firm):	TAXPAYER ID OR SOCIAL SECURITY NO.:	PRODUCER LICENSE NO.:
ADDRESS (No., Street, City, State, and Zip:)		