

Broker Information							
Brokerage Name:							
Brokerage Address:							
Broker Contact Name:							
Broker Contact Phone:					-		
Broker Contact Email:							
	Applica	ant I	nfor	rmation			
Name of Applicant (Include all subsidiaries and DBAs):							
Mailing & Physical Address (If multiple locations, include an attachment with a complete list of locations):							
Website Address:							
Applicant Contact:							
Applicant Phone:					-		
Applicant Email:							
Description of Operations:					-		
Organization Type:		☐ Individual ☐ Partnership ☐ Corporation ☐ Limited Partnership ☐ Limited Liability Company ☐ Other ☐ For Profit ☐ Not for Profit					
Date Established:							
Number of Locations:							
Proposed Effective Date:					-		
General Information Questions							
Question Does the Applicant have tax ex	vemnt status as	Yes	No	Provide Details			
defined by the IRS?	•						
Does the Applicant anticipate of process of a merger, acquisition consolidation?							
Have there been any changes i	in the nature or						



General Information Questions						
size of operations?						
Have there been any chang	es in senior					
leadership?						
Is this entity owned by, asso	ociated with, or					
controlled by any other ent	ity or are you part of					
a franchise?						
		nplete	corre	sponding section of a	application)	
Errors & Omissions / Profe	ssional Liability					
Sexual Misconduct						
Commercial General Liabili	•					
Hired & Non-Owned Au	<u> </u>					
Employee Benefits Liabi	-					
Employment Practices Liab						
Directors & Officers Liability	ty					
Fiduciary Liability						
Crime						
Property						
Cyber						Ш
Errors 8	& Omissions P	rofe	ssio	nal Liability Co	verage	
Errors	& Omissions Profe	ssiona	l Liab	lity Coverage Inform	ation	
Prior Insurance	Coverage Terms			Requested Policy	/ Coverage Ter	ms
Limit (Per Claim):			Lin	nit (Per Claim):		
Limit (Aggregate):			Lin	nit (Aggregate):		
Deductible:			De	ductible:		
Defense Costs:	☐ Inside		De	fense Costs:	☐ Inside	
Batus adding Batas	☐ Outside		-	ton and the Date.	☐ Outside	
Retroactive Date:			ке	troactive Date:		
Errors & Omissions Professional Liability Coverage Rating Information						
Prior	Year			Curre	nt Year	
Gross Revenue:			Gr	oss Revenue:		
Total Assets:			То	tal Assets:		
Number of Employees:			Ni	mber of Employees:		



Errors & Om	issions Pro	fessional L	iability Exposu	re Classifications (No. of Staff)
Number of Professionals	Part Time	Full Time	Independent Contractor (Y/N)	Provide Details
Certified Registered Nursing Anesthetists				
Diagnostic Imaging Technicians				
Aestheticians				
Drug & DNA Testing Technicians				
Home Care & Home Healthcare Professionals				
Hospice & Palliative Care Professionals				
Medical Consultants & Technicians				
Medical Directors & Administrative Staff				
Medical Equipment Providers & Servicers				
Medical Transportation (Non-Emergency)				
Nurses, Nursing Services & Registries				
Nurse Practitioners & Physicians Assistants				
Optometrists				
Pharmacists & Pharmacy Assistants				
Psychiatric & Substance Abuse Counselors				
Social Service Workers & Counselors				
Therapists & Psychologists				
Other Professionals (provide details)				



Errors & Omissions Professional Liability Coverage Questions							
Question	Yes	No	Provide Details				
Does the Applicant have regularly scheduled audits of patient records and follow-up on reported incidents to verify conformity with prescribed protocols?							
Have any complaints ever been filed against the Applicant or have there ever been any formal or informal investigations or inquiries opened with a peer review committee or an ethics committee licensing board?							
Does the Applicant require all professional staff to complete ongoing relevant continuing education courses?							
Does the Applicant require written contracts with all customers?							
Does the Applicant perform criminal background checks on all professional staff prior to hiring?							
Has the Applicant or any employee ever had their license, certification or registration suspended, revoked, or placed on probation by a licensing board?							
Are any services provided within Hospitals, Correctional Facilities, Assisted Living Centers, or Nursing Homes?							
Does the Applicant have a licensed physician that serves in the role of Medical Director or primary Administrator?							
Does the Applicant sell medical equipment, diagnostic equipment, medicines, or life sustaining equipment?							
Does the Applicant maintain patient files that document all patient interactions, medications, complications, consents, incidents and conformity with HIPAA requirements?							
Does the Applicant require all newly hired staff							



Sexual Misconduct Coverage

Sexual Misconduct Coverage Information Prior Insurance Coverage Terms Requested Policy Coverage Term Limit (Per Claim): Limit (Per Claim):	ıs
Limit (Per Claim):	NS .
Limit (Aggregate):	
Deductible: Deductible:	
Retroactive Date: Retroactive Date:	
Sexual Misconduct Coverage Questions	
Question Yes No Provide Details	
Has the Applicant or any employee ever been	
accused of sexual misconduct or any professional impropriety?	
Does the Applicant have a formal written policy	
that includes procedures designed to prevent acts of sexual misconduct?	
Does the Applicant require all staff to attend	
sexual misconduct training upon hiring and annually thereafter?	
annually thereafter:	
General Liability Coverage	
, .	
General Liability Coverage Information	
Requested Policy Coverage Terms	
Coverage Form: Claims Made - Retroactive Date: Occurrence	
General Aggregate	
Products & Completed Operations Aggregate	
Personal & Advertising Injury	
· c.com. a. m. c. along injury	
Each Occurrence	
Each Occurrence	



Employee Benefits Retroactive	ve Date							
Deductible	ve Date							
Deductible								
	General Liability	Cover	age R	ating Information				
Total Number of Employees:			Ar	nual Revenue:				
	General Liab	ility C	overa	ge Questions				
Question		Yes	No	Provi	de Details			
Does the Applicant have regulaudits and follow-up on reporterity conformity with prescri	ted incidents to							
Have any complaints ever been filed against the Applicant or have there ever been any formal or informal investigations or inquiries opened?								
Does the Applicant require written contracts with all clients?								
Does the Applicant perform criminal background checks on all staff prior to hiring?								
Does the Applicant require all newly hired staff to attend orientation/training?								
Hired	l & Non-Owr	ned	Auto	Excess Cover	age			
Hire	ed & Non-Owned A	Auto E	xcess	Coverage Informatio	n			
Prior Insurance Co	verage Terms			Requested Policy	/ Coverage Terms			
Limit (Per Claim):			Lir	nit (Per Claim):				
Limit (Aggregate):			Lir	nit (Aggregate):				
Deductible:			De	ductible:				
116	and C Non Owned	Auto	Evene	s Coverage Overtions				
Question	ed & Non-Owned	Yes	No	s Coverage Questions Provi	de Details			
Does the Applicant have Motiverified for all employee drive of such reports on file?	•			1101	20 2 3 4 10			
Does the Applicant require th drivers have a valid driver's lid								



ŀ	lired & Non-Owned	Auto	Exces	s Coverage Question	S					
Does the Applicant require	that all drivers carry		П							
personal auto liability of at	least \$25,000?									
Are employees allowed to d										
and is written permission re	equired?									
Eω	Employment Practices Liability Coverage									
EII	ipioyinent Pra	1011C	.es L	lability Covera	ge					
I	Employment Practic	es Lial	bility	Coverage Information	n					
Prior Insurance	Coverage Terms			Requested Polic	y Coverage Terms					
Limit (Per Claim):			Li	mit (Per Claim):						
Limit (Aggregate):			Li	mit (Aggregate):						
Deductible:			D	eductible:						
Defense Costs:	☐ Inside ☐ Outside		D	efense Costs:	☐ Inside ☐ Outside					
Retroactive Date:	Outside		R	etroactive Date:	□ Outside					
F	Jarmant Duasticas I	iahilia		avere Detine Informe	.tion					
Emp	loyment Practices L	labilit	y Cov	erage Rating Informa	ition					
	Num	nber of	Empl	oyees						
Full Time:			V	olunteers:						
Part Time:			В	orrowed or Leased:						
	Employment Practi	ces Lia	ability	Coverage Questions						
Risk Control	Factor	Yes	No	Prov	ide Details					
Are all prospective employe	ees required to									
complete a uniform employ	ment application									
prior to hire?										
Does the Applicant have wr	•									
procedures for dealing with	•		_							
the general public, customers, clients, vendors,										
or other third parties for issues involving										
harassment or discrimination										
Does the Applicant have an Employee										
Handbook that contains an "Employment at Will" statement and is distributed to all										
employees?	ibuted to all									
Does the Applicant conduct	annual training for		1							
employees on issues of disc	_									
other workplace harassmer										



Directors & Officers Liability Coverage

Directors & Officers Liability Coverage Information

Prior Insurance Coverage Terms				Requested Policy Coverage Terms			
Limit (Per Claim):				Lin	nit (Per Claim):		
Limit (Aggregate):				Lin	nit (Aggregate):		
Deductible:				De	ductible:		
Defense Costs:	☐ Inside ☐ Outside			De	fense Costs:	☐ Inside ☐ Outside	
Retroactive Date:				Re	troactive Date:		
Dir	ectors & Officers Lia	ability	Co	over	age Rating Information	on	
Prior	Year				Currer	nt Year	
Total Revenue:				То	tal Revenue:		
Total Assets:				То	tal Assets:		
Total Liabilities:				То	tal Liabilities:		
Net Income:				Ne	t Income:		
		•					
	Directors & Office	rs Lial	bili	ty C	overage Questions		
Questio	n	Yes	1	No	Provi	de Details	
Does the Applicant anticipa process of a private debt or securities?			١				
Does the Applicant anticipal process of a bankruptcy p	oceeding, nent with creditors						
Does the Applicant anticipa process of crowdfunding as JOBS Act of 2012?			ı				
Does the Applicant anticipa process of closing facilities							



Prior Insurance Coverage Terms

Allied Healthcare Entity/Group Insurance Application New Business

Fiduciary Liability Coverage

Fiduciary Liability Coverage Information

Requested Policy Coverage Terms

Limit:			T	Li	mit:			
Voluntary Com Costs:	pliance				oluntary Compliance osts:			
Deductible:				D	eductible:			
Defense Costs:		☐ Inside ☐ Outside		D	efense Costs:	☐ Inside ☐ Outside		
Retroactive Da	te:			R	etroactive Date:			
				ı				
		Fiduciary Liability	Cove	rage	Rating Information			
Plan Type	Name of P	lan		Tota	al Assets	Total Plan Participants		
*Plan Types: Defin	ed Benefit (DI	B); Defined Contribution	(DC); W	Velfare	Benefit Plan (W); Other (C)) – Attach Explanation		
	Fiduciary Liability Coverage Questions							
	Questio	n	Yes	No	No Provide Details			
Do all plans for which coverage is requested conform with the standards of eligibility, participation, vesting and other provisions of the Employee Retirement Income Security Act of 1974 (ERISA) as amended or similar laws?								
During the past 24 months or during the next 12 months has (will) any plan been (be) terminated, suspended, merged, dissolved or converted to a cash balance?								
In the past 3 years has there been any amendment to a plan that has resulted in a reduction of benefits, or are there any reductions currently contemplated?								
Has any plan been the subject of an investigation by the Department of Labor (DOL), Internal Revenue Service (IRS) or any other domestic or foreign agency?								
Are there any contributions?	outstanding o Or are any p	or delinquent plan lan loans, leases or						



Fic	duciary Lial	bility C	Covera	ige Questior	าร		
default?							
Has there been any assessment of fees, fines or penalties under a voluntary compliance resolution program or similar voluntary settlement program administered by the IRS, DOL or other government authority against any plan?							
Crime Coverage							
	Crime C	overa	ge Info	ormation			
				rage Terms			
Coverage Form: ☐ Discovery ☐	Loss Sustai	ned					
Coverage Part	<u>Limit</u>				Deductib	<u>le</u>	
Employee Theft							
Forgery or Alteration							
Inside the Premises – Theft of							
Money and Securities							
Inside the Premises – Robbery or Safe Burglary of Other Property							
Outside the Premises							
Computer and Funds Transfer Fraud							
Fraudulent Impersonation							
Money Orders and Counterfeit							
Money Inside the Premises – Robbery of a							
Custodian or Safe Burglary of							
Money and Securities							
Crime Coverage Rating Information							
Total Number of Employees:			То	tal Revenue:			
	Crime (`overa	ισε Οι	ıestions			
Question	- Crimic (Yes	No		Provid	de Details	
Is countersignature required on all ch	ecks						
signed by any employee of the Applic							



Crime Coverage Questions						
Are bank accounts reconciled by someone not authorized to sign checks, deposit or withdrawal from the Applicant's bank accounts?						
Does the Applicant conduct pre-employment screening for criminal history?						
Does the Applicant separate purchasing duties so that one individual may not initial a purchase request, prepare a check voucher and sign and mail payments?						
Does the Applicant maintain a list of authorized vendors?						



Property Coverage

Property Coverage Information							
*If Building Co	overage is requested, please s		rd 140 application				
	Requested Limits:	. 					
Your Business Personal Property:	Current Limits:						
Personal Property of Others:							
	Property Coverage F	Rating Information					
Class of Business:		Construction Type:					
Year of Construction:		Sprinklered Percenta	ge:				
Protection Class:		Coinsurance Percent	age:				
		Valuation:					
		Deductible (All Other	r Perils):				
	Property Endorse	ment Requests					
			Limit				
Business Income Coverage							
Extra Expense	Without Extra Expense						
Discharge from Sewer, Drai							
Discharge Limit – Prope							
Discharge Limit – Busin							
Equipment Breakdown Cov		No 🗆					
Outdoor Signs Coverage (Ex	rpanded) Yes 🗆	No 🗆					
Ordinance or Law Coverage							
Coverage A Cov	verage B Coverage C	Post Loss					
		of a war a tila in					
Additional Information/Cor	Additional Ir	itormation					
radicional informacion, con	innenes.						



Representations & Warranty Statements

Prior Claims & Notices of Circumstances Questions							
Claim Notice Question	Yes	No	If "Yes", provide details				
Within the last 5 years has any claim or suit ever been brought against the Applicant?							
Is the Applicant aware of any incident or existing circumstances that might reasonably lead to a claim or suit?							
Has the Applicant ever been refused coverage for insurance or has insurance ever been cancelled or declined for renewal (non-renewed)?							
During the past 5 years has any officer, manager or director ever been convicted of a felony?							

Fraud Notice Statements

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 SUBJECTS THAT PERSON TO CRIMINAL AND CIVIL PENALTIES (IN OREGON, THE AFOREMENTIONED ACTIONS MAY CONSTITUTE A FRAUDULENT INSURANCE ACT WHICH MAY BE A CRIME AND MAY SUBJECT THE PERSON TO PENALTIES). (IN NEW YORK, THE CIVIL PENALTY IS NOT TO EXCEED FIVE THOUSAND DOLLARS (\$5,000) AND THE STATED VALUE OF THE CLAIM FOR EACH SUCH VIOLATION).

ALABAMA, ARKANSAS, ARIZONA, LOUISIANA, MARYLAND, NEW MEXICO, RHODE ISLAND, WASHINGTON D.C. & WEST VIRGINIA: ANY PERSON WHO KNOWINGLY (OR WILLFULLY IN MD) PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR WHO KNOWINGLY (OR WILLFULLY IN MD) PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES OR CONFINEMENT IN PRISON.

COLORADO: 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 AGENCIES.

FLORIDA & OKLAHOMA: 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 (IN FL, A PERSON IS GUILTY OF A FELONY OF THE THIRD DEGREE).

KANSAS: AN ACT COMMITTED BY ANY PERSON WHO, KNOWINGLY AND WITH INTENT TO DEFRAUD, PRESENTS, CAUSES TO BE PRESENTED OR PREPARES WITH KNOWLEDGE OR BELIEF THAT IT WILL BE PRESENTED TO OR BY AN INSURER, PURPORTED INSURER, BROKER OR ANY AGENT THEREOF, ANY WRITTEN, ELECTRONIC, ELECTRONIC IMPULSE, FACSIMILE,



Fraud Notice Statements

MAGNETIC, ORAL, OR TELEPHONIC COMMUNICATION OR STATEMENT AS PART OF, OR IN SUPPORT OF, AN APPLICATION FOR THE ISSUANCE OF, OR THE RATING OF AN INSURANCE POLICY FOR PERSONAL OR COMMERCIAL INSURANCE, OR A CLAIM FOR PAYMENT OR OTHER BENEFIT PURSUANT TO AN INSURANCE POLICY FOR COMMERCIAL OR PERSONAL INSURANCE WHICH SUCH PERSON KNOWS TO CONTAIN MATERIALLY FALSE INFORMATION CONCERNING ANY FACT MATERIAL THERETO; OR CONCEALS, FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO.

KENTUCKY: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSONS FILES AN APPLICATION FOR INSURANCE CONTAINING ANY MATERIALLY FALSE INFORMATION OR CONCEALS, FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY MATERIAL THERETO COMMITS A FRAUDLENT INSURANCE ACT, WHICH IS A CRIME.

MAINE, TENNESSEE, VIRGINIA & WASHINGTON: 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.

NEW YORK: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSON FILES AN APPLICATOIN 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 SHALL BE SUBJECT TO A CIVIL PENALTY NOT TO EXCEED FIVE THOUSAND DOLLARS AND THE STATE VALUE OF THE CLAIM FOR EACH SUCH VIOLATION.

Authorized Signature

Acknowledgments

The undersigned declares that to the best of his or her knowledge, the statements set forth herein are true and correct and that reasonable efforts have been made to obtain sufficient information from each and every proposed Insured to facilitate the proper and accurate completion of this Application. The signing of the Application does not bind the insurance company to complete the insurance, but it is agreed that this Application and any additional documents submitted therewith are the representations of the Insured and are material and shall be the basis of the contract should a policy be issued. It is further agreed that any incorrect or incomplete statement in the Application could void the protection should a policy be issued.

The undersigned further agrees that if any significant adverse change in the condition of the Applicant is discovered between the date of completion of this Application and the date that coverage was bound with the Insuring Company, and such change renders this Application inaccurate or incomplete, notice of such change will be reported in writing to Wyvern Underwriters immediately.

This Application shall be considered attached to and part of the Policy. Any material submitted with the Application shall be maintained on file with the Insurer and shall be deemed to be attached hereto as if physically attached.

Signature:		Date:	
Printed Name:		Title:	