



AGENCY CUSTOMER ID: \_\_\_\_\_

**DIRECTORS & OFFICERS LIABILITY SECTION**

DATE (MM/DD/YYYY)

AGENCY	APPLICANT/FIRST NAMED INSURED	
POLICY NUMBER	CARRIER	NAIC CODE
REQUESTED EFFECTIVE DATE:	EXPIRATION DATE:	

**COVERAGES**

COVERAGE	PRIMARY	EXCESS	REQUESTED LIMITS	CURRENT LIMITS	RETENTION	
A - DIRECTORS & OFFICERS	<input type="checkbox"/>	<input type="checkbox"/>	PER CLAIM: \$	PER CLAIM: \$	REQ: \$	
			AGGR: \$	AGGR: \$	CURR: \$	
B - COMPANY REIMBURSEMENT	<input type="checkbox"/>	<input type="checkbox"/>	PER CLAIM: \$	PER CLAIM: \$	REQ: \$	
			AGGR: \$	AGGR: \$	CURR: \$	
C - COMPANY / ENTITY LIABILITY	<input type="checkbox"/>	<input type="checkbox"/>	PER CLAIM: \$	PER CLAIM: \$	REQ: \$	
			AGGR: \$	AGGR: \$	CURR: \$	
	<input type="checkbox"/>	<input type="checkbox"/>	PER CLAIM: \$	PER CLAIM: \$	REQ: \$	
	<input type="checkbox"/>	<input type="checkbox"/>	AGGR: \$	AGGR: \$	CURR: \$	
	<input type="checkbox"/>	<input type="checkbox"/>	PER CLAIM: \$	PER CLAIM: \$	REQ: \$	
	<input type="checkbox"/>	<input type="checkbox"/>	AGGR: \$	AGGR: \$	CURR: \$	
SEPARATE DEFENSE COSTS LIMIT (If Available)				DEFENSE LIMIT INSIDE	OUTSIDE	PENDING & PRIOR LITIGATION DATE
<input type="checkbox"/> (Y / N) \$				<input type="checkbox"/>	<input type="checkbox"/>	

SHARED LIMITS	(Y / N)	ADDITIONAL COVERAGES ATTACHED	(Y / N)
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**INDICATE SECTIONS INCLUDED**

<input type="checkbox"/> D&O LIABILITY	<input type="checkbox"/> CRIME
<input type="checkbox"/> EPLI	<input type="checkbox"/> FIDUCIARY
<input type="checkbox"/> PROF LIABILITY	

**ENDORSEMENTS**

	FORM NUMBER (For Insurer Use Only)	TITLE	EDITION DATE
<input type="checkbox"/> WORLD WIDE COVERAGE			
<input type="checkbox"/> DULY CONSTITUTED COMMITTEE CHARGE			
<input type="checkbox"/> OD - NON PROFIT			
<input type="checkbox"/> OD - FOR PROFIT			
<input type="checkbox"/> PROFESSIONAL SERVICES COVERAGE			

**FINANCIAL STATEMENT INFORMATION**

DATE OF FINANCIAL INFORMATION	OUTSIDE AUDITOR (Y / N)	IF "YES", PLEASE ANSWER THE FOLLOWING:		Y/N			
PERIOD OF FINANCIAL INFORMATION FROM: TO:	<input type="checkbox"/>	1. ANY CHANGES TO THE OUTSIDE FINANCIAL AUDITOR IN THE LAST THREE (3) YEARS? 2. HAS ANY AUDITOR ISSUED A "GOING CONCERN" OPINION FOR THE APPLICANTS OR ANY OF ITS SUBSIDIARIES FINANCIAL STATEMENTS?		<input type="checkbox"/>			
CURRENT YEAR:							
TOTAL ASSETS	CURRENT ASSETS	INVENTORY	CASH	CURRENT LIABILITIES	TOTAL LIABILITIES	TOTAL REVENUE	NET INCOME / LOSS
\$	\$	\$	\$	\$	\$	\$	\$
PRIOR YEAR:							
TOTAL ASSETS	CURRENT ASSETS	INVENTORY	CASH	CURRENT LIABILITIES	TOTAL LIABILITIES	TOTAL REVENUE	NET INCOME / LOSS
\$	\$	\$	\$	\$	\$	\$	\$

**NOT FOR PROFIT**

CURRENT YEAR FUND BALANCE (NET ASSETS)	PRIOR YEAR FUND BALANCE (NET ASSETS)	ORGANIZATION TAX EXEMPT? (Y / N)
\$	\$	<input type="checkbox"/>

**PRIVATE**

PARENT COMPANY / ORGANIZATION (if applicable)	# OWNERS	# VOTING SHARES OUTSTANDING	TOTAL # VOTING SHARES	# VOTING SHARES OWNED BY DIRECTORS	# VOTING SHARES OWNED BY OFFICERS

**OWNERSHIP / ORGANIZATION STRUCTURE**

AGENCY CUSTOMER ID: \_\_\_\_\_

LIST ALL DIRECTORS AND OFFICERS OF THE POLICYHOLDER (Attach additional sheets if more space is required)

NAME	AFFILIATION WITH OTHER ORGANIZATIONS

LIST ALL OTHER PROPOSED INSURED INDIVIDUALS (Attach additional sheets if more space is required)

NAME	TITLE	RESPONSIBILITY	AFFILIATION WITH OTHER ORGANIZATIONS

LIST ALL SUBSIDIARIES, FOUNDATIONS AND CHARITABLE TRUSTS (Attach additional sheets if more space is required)

NAME	NATURE OF BUSINESS	DATE ACQUIRED/CREATED	% OWNERSHIP BY PARENT

LIST ALL SHAREHOLDERS DIRECTLY OR BENEFICIALLY HOLDING 5% (OR MORE) OF COMMON STOCK (Attach additional sheets if more space is required)

NAME	BOARD MEMBER (Y/N)	PERCENT OWNED

DO ALL SHAREHOLDERS THAT OWN 5% OR MORE OF THE VOTING SHARES, EITHER DIRECTLY OR BENEFICIALLY; HAVE A REPRESENTATIVE ON THE BOARD OF DIRECTORS? (Y/N)

IF NO SHAREHOLDERS OWN MORE THAN 5% OR MORE, PLEASE INITIAL HERE: \_\_\_\_\_ INITIALS

IF THE PROPOSED POLICYHOLDER IS OWNED BY A PARENT COMPANY, LIST THE NAME OF THE PARENT: \_\_\_\_\_

**GENERAL INFORMATION**

EXPLAIN ALL "YES" RESPONSES	Y / N
1. DURING THE LAST FIVE (5) YEARS HAS THE APPLICANT OR ANY DIRECTOR, OFFICER, MEMBERS OF THE BOARD OF MANAGERS OR ANY OTHER PROPOSED INSURED BEEN INVOLVED IN ANY CLAIMS, LAWSUITS OR ADMINISTRATIVE PROCEEDINGS?	<input type="checkbox"/>
2. ANY CHANGES IN THE BOARD OF DIRECTORS OR SENIOR MANAGEMENT IN THE LAST THREE (3) YEARS?	<input type="checkbox"/>
3. DURING THE LAST THREE (3) YEARS, HAS THE APPLICANT COMPLETED OR AGREED TO, OR IS CONTEMPLATING WITHIN THE NEXT 12 MONTHS; A MERGER, ACQUISITION OR CONSOLIDATION WITH ANOTHER ENTITY? (If "YES", please provide details and a financial statement from the other entity)	<input type="checkbox"/>
4. DURING THE THE LAST THREE (3) YEARS, HAS THE APPLICANT COMPLETED OR AGREED TO, OR IS CONTEMPLATING WITHIN THE NEXT 12 MONTHS; ANY REGISTRATION FOR A PUBLIC OFFERING OR ANY PRIVATE PLACEMENT OF SECURITIES?	<input type="checkbox"/>
5. DURING THE LAST THREE (3) YEARS, HAS THE APPLICANT COMPLETED OR AGREED TO, OR IS CONTEMPLATING WITHIN THE NEXT 12 MONTHS; A REORGANIZATION OR ARRANGEMENT WITH CREDITORS UNDER FEDERAL OR STATE LAW?	<input type="checkbox"/>
6. DOES THE APPLICANT OR ANY OF ITS SUBSIDIARIES ACT AS A GENERAL PARTNER IN ANY PARTNERSHIP OR ARE INVOLVED IN ANY JOINT VENTURES?	<input type="checkbox"/>

**GENERAL INFORMATION (continued)**

**AGENCY CUSTOMER ID:** \_\_\_\_\_

EXPLAIN ALL "YES" RESPONSES	Y / N
7. ARE ANY PERSONS OR ENTITIES PROPOSED FOR THIS INSURANCE, AWARE OF ANY FACT, CIRCUMSTANCE, ACT, ERROR, OMISSION, OR SITUATION WHICH MAY GIVE RISE TO A CLAIM THAT WOULD FALL WITHIN THE SCOPE OF THE PROPOSED INSURANCE? (If "YES", has the policyholder or any insured individual, given written notice under the provisions of any prior or current insurance policy?)	<input type="checkbox"/> <input type="checkbox"/>
8. HAS ANY INSURER REFUSED, CANCELLED, NON-RENEWED, OR STATED AN INTENT TO NON-RENEW YOUR D&O INSURANCE? (Not applicable in Missouri)	<input type="checkbox"/>
9. ARE ANY OF THE APPLICANTS' SECURITIES OR THOSE OF ITS SUBSIDIARIES, PUBLICLY TRADED OR SUBJECT TO PUBLIC REPORTING UNDER THE SECURITIES EXCHANGE COMMISSION ACT OF 1934?	<input type="checkbox"/>
10. HAS THE APPLICANT HAD A BREACH OF DEBT COVENANT OR LOAN AGREEMENT?	<input type="checkbox"/>
11. DOES THE APPLICANT PROVIDE ANY CONSULTING AND/OR PROFESSIONAL SERVICES?	<input type="checkbox"/>

**ATTACHMENTS**

RESUME(S)	REGISTRATION STATEMENT(S)	SCHEDULE OF SHAREHOLDERS	
WARRANTY(IES)	PRIVATE PLACEMENT MEMORANDA		

**REMARKS**

**SIGNATURE**

APPLICANT'S NAME (PLEASE PRINT OR TYPE)		APPLICANT'S TITLE	
APPLICANT'S SIGNATURE	DATE	PRODUCER'S SIGNATURE	NATIONAL PRODUCER NUMBER