



P.O. Box 650 • 57 Parker Rd. • Barre, VT 05641 • 800-548-4301 • www.neee.com

PROFESSIONAL LIABILITY APPLICATION FORM

THE ANSWERS TO THESE QUESTIONS FORM PART OF AN APPLICATION FOR INSURANCE ONLY. NOTHING IN THIS APPLICATION SHALL BE DEEMED AN AGREEMENT TO PROVIDE INSURANCE AND UNDERWRITERS MAY DECLINE TO OFFER COVERAGE OR OFFER COVERAGE ON TERMS THAT DIFFER FROM THE COVERAGE SOUGHT BY THE APPLICANT.

ELIGIBILITY QUESTIONS

1. Please enter your gross revenue for the last full calendar year (If start up enter an estimate for the first year of operation): _____
2. Please describe your Intermediary class: _____
3. If applicable, confirm that the Applicant licensed to perform the services for which coverage is being sought and that they have never had their license revoked or suspended, been fined/disciplined or been subject to any investigation by any regulator. N/A Yes No
4. Does the Applicant always use a written contract or letter of engagement with their client? Yes No
5. Does the Applicant have any affiliation with another firm or engaged in any other profession or business? Yes No
6. Does the Applicant have authority to authorize payments or transfer client monies/any financial assets? Yes No
7. During the past 5 years have any Claims, Suits or Demands for Arbitration been brought by or against the Applicant (including all predecessors in business, owners, officers and directors)? Yes No
8. Is the Applicant aware of any circumstance, allegation, incident, act, error or omission which may lead to a claim? Yes No

GENERAL DETAILS

Name and Mailing Address of Applicant _____
_____ State _____ Zip code _____

Name and Address of Retail Broker: _____
_____ State _____ Zip code _____

CONTACT DETAILS

Contact Name _____
Telephone _____ Email _____

COVERAGE DETAILS

- 1. Requested Effective Date:
- 2. Is Cyber coverage Required? Yes No
If yes, please complete questions 3-6
- 3. Has the applicant had any computer or information security incidents during the past three years? Yes No
- 4. Has the applicant given written notice under the provisions of any prior or current cyber risk, media or network security policy of specific facts or circumstances which may give or have given rise to a Claim being made against any proposed Insured? Yes No
- 5. Has the applicant failed to encrypt all protected health information and credit card data stored digitally?: Yes No Not Applicable
- 6. Has the applicant failed to maintain computer virus, firewall and secure backup protection? Yes No
- 7. Is Commercial General Liability (separate head of cover) coverage required? Yes No
If yes, please complete question 8
- 8. Does your business provide any one of the following: Construction, Installation, Maintenance, Treatment, Cleaning or Security? Yes No
- 9. Is Hired and Non Owned Auto coverage required? Yes No
If yes, please complete question 10 – 12
- 10. Are any of your employees who use their vehicle for company business under 21, driving on company business more than 2 hours a day or beyond a 75 mile radius from your office? Yes No
- 11. Do employees transport any passengers on business use? Yes No
- 12. How many employees use their personal vehicles on business use?
- 13. Is TRIPRA coverage required? Yes No
- 14. Professional Liability each claim/aggregate limit required: \$500,000/\$500,000 ~~/\$1,000,000/\$1,000,000~~ \$1,000,000/\$2,000,000
- 15. Professional Liability each claim deductible required: \$0 \$1,000 ~~/\$2,500~~ \$5,000 \$10,000
- 16. If Professional Liability insurance is currently in force, what is the current retroactive date of the policy:

DECLARATION

THE ANSWERS GIVEN IN THIS APPLICATION ARE CORRECT TO THE BEST OF MY KNOWLEDGE. I UNDERSTAND THAT THESE ANSWERS WILL FORM PART OF A POLICY THAT IS SUBSEQUENTLY OFFERED. I ALSO UNDERSTAND THAT ANY FALSE STATEMENT MAY VOID THE INSURANCE IN ITS ENTIRETY OR RESULT IN A CLAIM BEING DENIED.

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 THE PERSON TO CRIMINAL AND (NY: SUBSTANTIAL) CIVIL PENALTIES. (NOT APPLICABLE IN CO, HI, NE, OH, OK, OR, VT FOR WHICH SEE ATTACHED). IN DC, LA, ME, TN AND VA, INSURANCE BENEFITS MAY ALSO BE DENIED.

If the insurance for which the applicant is applying is available and purchased with Underwriters, the "Retroactive Date" will be defaulted as the inception date of the earliest insurance policy, of the same type, that the applicant has purchased with Underwriters and that the applicant has continuously maintained with no lapse or interruption in coverage. If this may be the applicant's first insurance policy with Underwriters, the "Retroactive Date" will be defaulted as the inception date of the insurance for which the applicant is applying.

However, if the applicant previously purchased insurance on a "Claims Made" insurance form with another insurer, and the applicant has continued to be insured with no lapse or interruption in coverage, we will honor the Retroactive Date specified on the applicant's previously purchased insurance for no additional premium. When we are notified of a Claim, potential Claim or circumstance, the applicant will be required as a condition precedent to coverage under Underwriters' insurance policy to provide us with evidence of such previous insurance specifying the Retroactive Date.

Retroactive Date (MM/DD/YYYY) _____

Applicant's Signature _____ Retail Broker's Signature _____
 Date _____ Date _____