

American International Companies®

Name of Insurance Company to which Application is made
(herein called the "Insurer")

NOTICE: THE POLICY PROVIDES THAT THE LIMITS OF LIABILITY AVAILABLE TO PAY JUDGEMENTS OR SETTLEMENTS SHALL BE REDUCED BY AMOUNTS INCURRED FOR LEGAL DEFENSE. FURTHER NOTE THAT AMOUNTS INCURRED FOR LEGAL DEFENSE SHALL BE APPLIED AGAINST THE RETENTION AMOUNT.

**Application for
Investment Management Insurance Indication**

Instructions: Please answer all questions in ink or, if completing electronically, please print a copy and sign in ink. If additional space is needed to fully answer a question, please attach a separate piece of stationery with your response.

Name of Applicant Firm:

Business Address:

City:

County:

State:

Zip:

Email:

Phone:

Fax:

Please provide current values of all discretionary accounts managed.

Please provide current values of all non discretionary accounts managed.

Is the Applicant registered with the SEC as an Investment Advisor? Yes No
Please include copy of your ADV.

SEC File Number:

Does the percentage of financial planning performed for clients exceed 25% of the applicants total business? Yes No

Does the Applicant's investment advice include more than 10% of total investments in "specialty areas" other than commonly traded securities? Yes No
("specialty areas" include commodity futures, real estate options, private placement and unregistered securities, direct placements, oil and gas joint ventures, foreign securities, limited partnerships of any type, less than investment grade bonds, or guaranteed investment contracts.)

Has any claim ever been brought against the applicant or any of its partners, directors, officers, trustees or employees in the capacity as Investment Advisor? Yes No
If yes, please complete a supplemental claim form for each circumstance.

Does Applicant request coverage for the following:

Mutual Fund Management Yes* No
Distributor, Administrator and Transfer Agent Liability Yes* No
Private Client Accounts Yes* No

**If yes, please attach any relative Fund prospectus.*

Desired Limit of Liability: 500,000 \$1,000,000 \$2,000,000

Corporate Deductible: \$25,000 \$50,000 \$75,000

