

Login and General Features

Log into iWorks®

The **iWorks®** platform can be accessed via the following URL:
<https://www.chartisinsurance.com/geportal>

1. Type in the Access AIG User ID and Password.
2. Click the **Login** button. If you are unable to login click on **Forgot Password** link to reset your password.
3. The **Growth Enterprises Portal** (Home) page will be displayed.
4. Click on the **iWorks®** Link. If the link is disabled, contact your **Growth Enterprises eCommerce Manager** to get **iWorks®** access.



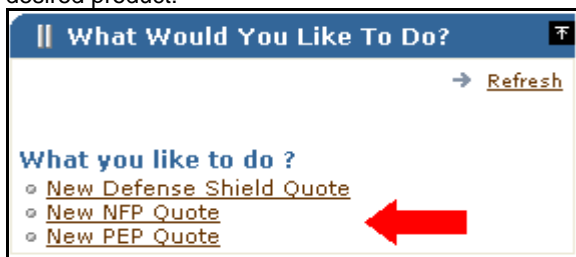
5. The **iWorks®** Home Page will be displayed.



GENERAL FEATURES

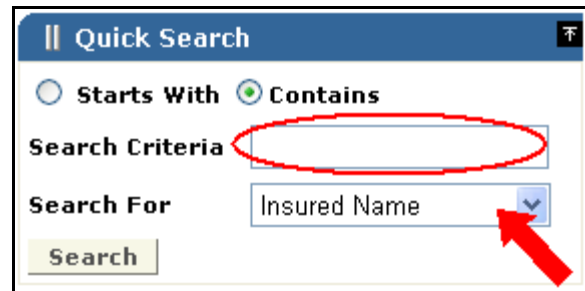
What Would You Like To Do?

iWorks® allows you to initiate quoting accounts directly off the Home page. To start a quote, click the appropriate link for the desired product:



Quick Search

1. Select whether the desired account **Starts With** or **Contains** the search criteria value.
2. Enter the search criteria value in the data entry field.
3. Click the drop-down list for available **Search For** categories.
4. When ready, click the **Search** button.



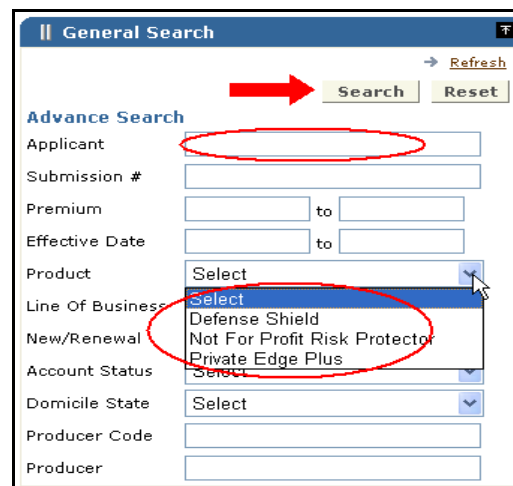
5. Resulting records will be displayed on a new page. Select the **Policy Reference** link to access the desired account.

| Type | Policy Reference | Insured Name | Agent Name |
|--------|-------------------|------------------------------------|-------------------------|
| Binder | 06-DF-017698556-0 | ABEL BISHOP & CLARKE REALTY CO INC | Brown & Brown Metro INC |
| Binder | 17-DF-017698468-0 | EEE PARTS WAREHOUSE INC | BROWN & BROWN INC |
| Binder | 23-DF-017698574-0 | AMERICAN BATTERY CO INC | Brown & Brown Metro INC |
| Binder | 24-DF-017698580-0 | MIDDLESEX COUNTY COLLEGE (INC) | Brown & Brown Metro INC |
| Binder | 24-NR-017698583-0 | ANGELINE RAY INC | Brown & Brown Metro INC |
| Binder | 25-NR-017698585-0 | S A M MANAGEMENT CO (INC) | Brown & Brown Metro INC |
| Binder | 25-NR-017698581-0 | GE-RAY FABRICS INC | Brown & Brown Metro INC |
| Binder | 22-NR-017698582-0 | HYZ FINISHING INC | Brown & Brown Metro INC |
| Binder | 23-NR-017698584-0 | RAY MACKAY, INC | Brown & Brown Metro INC |
| Binder | 23-NR-017698564-0 | BARB & ED MYERS, INC. | Brown & Brown Metro INC |

General Search

iWorks® also allows users to locate records using advanced search options in the **General Search** section.

1. Enter the search criteria values in the data entry fields provided.
2. Select the appropriate search criteria using the drop-down lists if needed.
3. When ready, click the **Search** button.



Login and General Features

4. Resulting records will be displayed on a new page. Select the **Account Name** link to access the desired account.

| Account Name | Submission# | Policy # | Status | N/R | Product | LOR | Effective Date | Expiration Date | Premium | Issued State | Producer Name |
|---------------------------|-------------|-----------|---------------------|-----|---------|----------------|----------------|-----------------|-------------|--------------|-----------------------------|
| 123 Incorporated | 99999999 | 017698310 | Issued | | DF | | 04/29/2008 | 04/29/2009 | ? | NJ | NEWTEK INSURANCE AGENCY LLC |
| 123 Incorporated | 99999999 | 000000509 | Converted to Policy | | DF | | 04/29/2008 | 04/29/2009 | ? | NJ | NEWTEK INSURANCE AGENCY LLC |
| A.A.A. SHUJUM SHAMING INC | 215694536 | 017698515 | Issued | | DF | | 07/17/2008 | 07/17/2009 | ? | FL | BROWN & BROWN INC |
| A.A.A. SHUJUM SHAMING INC | 215694536 | 000000777 | Converted to Policy | | DF | | 07/17/2008 | 07/17/2009 | ? | FL | BROWN & BROWN INC |
| A.A.C. DESK PAULEY CO INC | 443500155 | 017698699 | Issued | N | PP | DO, EH, FL, CR | 02/14/2009 | 02/14/2010 | \$15,472.00 | NJ | Brown & Brown Metro INC |
| A.A.C. DESK PAULEY CO INC | 443500155 | 000001098 | Converted to Policy | N | PP | DO, EH, FL, CR | 02/14/2009 | 02/14/2010 | \$15,472.00 | NJ | Brown & Brown Metro INC |
| AMERICA'S CONSULTANTS INC | 141289984 | 000000876 | Suspended | N | DF | | 11/12/2008 | 11/12/2009 | ? | CT | Brown & Brown Metro INC |

Activity Center

iWorks® provides a summary of Quote and Referral activity. To adjust the timeframe that determines an 'Open' quote or view accounts referred to underwriters:

1. Click the **Setup** link within the Activity Center panel.
2. On the **Setup Activity Center** pop-up screen, modify the Open New Quotes date range or Referred Quotes date range as desired.
3. When finished, click the **OK** button to accept the changes.

Announcements

iWorks® Product Enhancements, System Releases and other noteworthy items may be displayed within the Announcements panel. To change the display timeframe:

1. Click the **Setup** link within the Announcements panel.
2. From the drop-down, select whether to view only the announcements for **Today**, the **Current Week**, **Month**, **Year** or **All**.
3. When finished, click the **OK** button to accept the changes.

FYI

Year-To-Date Metrics are displayed within the FYI panel. To change the metrics display:

1. Click the **Setup** link within the FYI panel.
2. Check/uncheck the available metric values to display.
3. When finished, click the **OK** button to accept the changes.

Recent Records

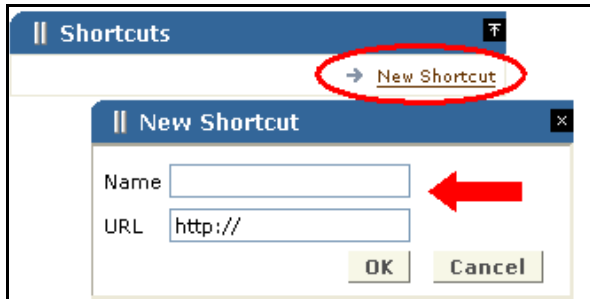
To quickly access an account you recently processed, click the **Policy Reference** link within the Recent Records panel. (Note: iWorks® provides 2 links for each account; 1 for quote and 1 for binder/policy once bound and issued.)

Login and General Features

Shortcuts

iWorks® allows you to add shortcuts (links) to your favorite websites. To add a shortcut:

1. Click on **New Shortcut** within the Shortcuts panel.
2. On the pop-up screen, enter a **Name** for the shortcut and the desired **URL** address. Click the **OK** button when finished.
3. Repeat Steps 1 – 2 to add additional shortcut links.



TRANSACTIONS

New Business

To start quoting new business accounts, click one of the available product links on the **Transactions** tab.



Refer to one of the following Quick Reference Cards for step-by-step instructions on quoting the desired product:

- NFP New Quote Quick Reference Card
- PEP New Quote Quick Reference Card
- Defense Shield New Quote Quick Reference Card

LISTS

iWorks® maintains lists on various account activity including Quotes, Binders, and Policies, including Summary levels. To access any of these lists:

1. Select the **Lists** tab.
2. Click the bulleted link for the desired list.



3. The resulting accounts will be displayed on the next screen. To access a specific account, click the account link provided within each record.

LIBRARY

The iWorks® library contains useful documentation including: Application Forms, Selecting Paper Company, Class Code Qualification Charts. To access those documents:

1. Select the **Library** tab.
2. Select the title link for the desired document to launch the requested .pdf file.

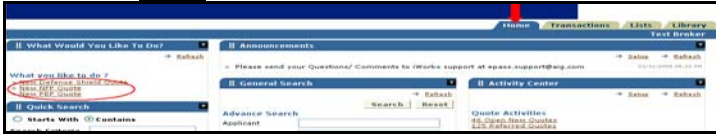


PEP - New Quote

New PEPQuote

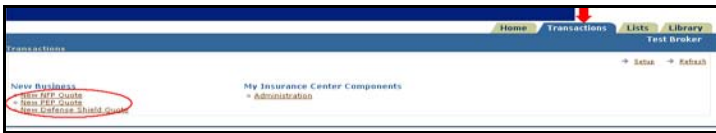
To start quoting accounts, click the **New PEPQuote** link on either:

- the **Home** tab:



OR

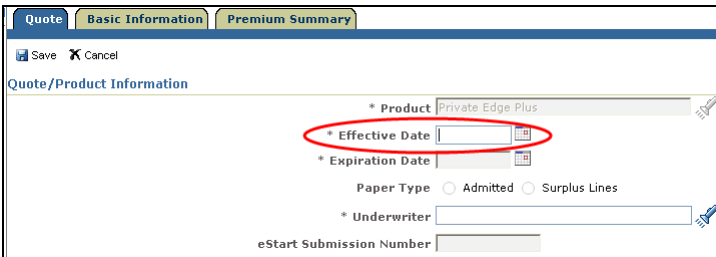
- the **Transactions** tab:



Quote/Product Information

1. The **Product** field will default based on the desired product selected.

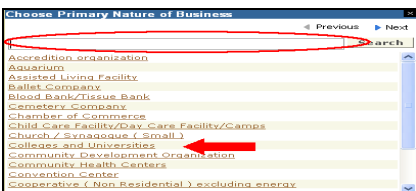
2. Enter the **Effective Date** using the calendar icon (📅). The Expiration Date will default to 1 calendar year from the Effective Date.



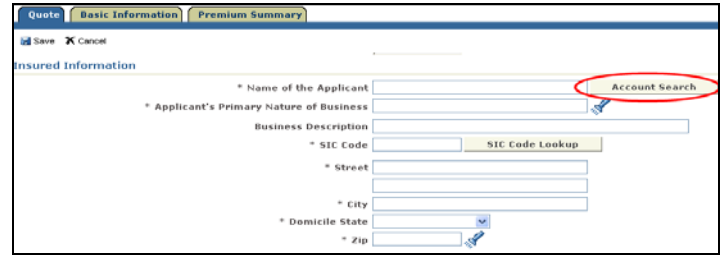
3. **Paper Type** and **eStart Submission Number** will automatically populate once all data has been entered on this screen and then saved.

Insured Information

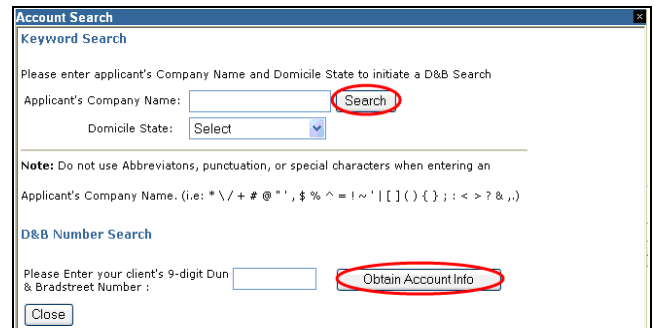
1. Select **Primary Nature of Business** by clicking the flashlight icon (🔦). Use the **Previous / Next** buttons to review the available selections or enter a key word and click the **Search** button to find any available matching values. To select the desired Primary Nature of Business, click the link provided (i.e., title of the Primary Nature of Business):



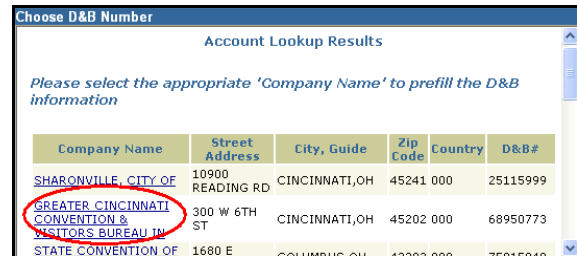
2. Click the **Account Search** button to locate the desired Insured by Name/State combination or by D&B Number.



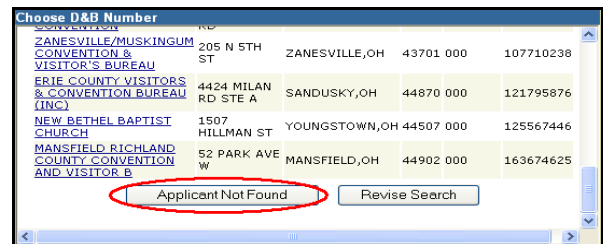
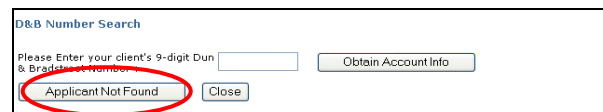
- Search by entering the Applicant's Company Name/State and clicking on **Search** or entering the D&B Number and click on **Obtain Account Info**.



- If the Insured was located, select the **Company Name** for the desired account.



- If the Insured was not located, revise the search or click the **Applicant Not Found** button on the bottom of the search or result screen. You will have to manually enter Insured information for Step 3 below for a temporary reservation.



3. Modify the **Insured Name**, **Street Address**, **City** and **Zip Code** as needed. **Required information is denoted by an asterisk (*)**.

PEP - New Quote

Producer Information

1. **Producer Number, Name** and **Address** information will pre-fill based on your User Name. If your brokerage has more than one location, you can use the flashlight icon (🔦) for Producer Number to select the desired location.

2. Enter the Producer **Contact Name** (First and Last Name) and **Email** address.

3. Add any additional Policy Information that is available. **Required information is denoted by an asterisk (*)**. When finished, click the **Save** button (💾 Save) within the tab.

3a. If required information is not completed properly, error message will be provided.

3b. Complete the fields and click on **Save** to continue. . Refer to **PEP Error Messages Quick Reference Card** for more details.

3c. If on **Save** the account is referred, the below message will be displayed.

3d. Click **OK** to proceed adding a New Quote. Refer to the **PEP Referral Quick Reference Card** to get further information regarding Referrals.

4. The Basic Information screen will now display in the left panel. Refer to the **PEP Basic Information Quick Reference Card** to continue quoting for iWORKS accounts.

PEP - Basic Information

Requested Coverages

1. To select PEP coverages for your account, use the radio buttons to select either **Yes** or **No** for each of the available coverages:

| Coverage | *Applicant applying for coverage? | *Does the Applicant currently have similar insurance? | Continuity Date |
|---|---|---|-----------------|
| Directors and Officers Liability | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |
| Employment Practices Liability | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |
| Pension Trust Liability (Fiduciary Liability) | <input type="radio"/> Yes <input checked="" type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |
| Miscellaneous Professional Liability | <input type="radio"/> Yes <input checked="" type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |
| Crime | <input type="radio"/> Yes <input checked="" type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |

2. Select whether the **Applicant currently has insurance** for each of the coverages.

3. If **Yes** was selected for the applicant having current insurance for one or more of the coverages, use the calendar icon () to select the appropriate **Continuity Date**:

| Coverage | *Applicant applying for coverage? | *Does the Applicant currently have similar insurance? | Continuity Date |
|---|---|---|-----------------|
| Directors and Officers Liability | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |
| Employment Practices Liability | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |
| Pension Trust Liability (Fiduciary Liability) | <input type="radio"/> Yes <input checked="" type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |
| Miscellaneous Professional Liability | <input type="radio"/> Yes <input checked="" type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |
| Crime | <input type="radio"/> Yes <input checked="" type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | 12/08/2010 |

Claims Qualifiers

If D&O or EPLI was elected, select **Yes** or **No** as to Claims Qualifier questions.

* Have there been any Private placements in last 18 months? Yes No

Employee Distribution

If EPLI coverage was elected, the **Employee Distribution** section will display. Enter the number of **Domestic/Union**, **Domestic/Non-Union** or **Foreign** employees based on State. Grids are available for **All States**, and of those; **California Only**, and **District of Columbia, Florida, Michigan** and **Texas Only**.

Example, if there are 20 Domestic/Non-Union employees in California, you would enter 20 employees in the All States grid as well as 20 employees in the California Only grid.

| | Full Time/Part Time | *Domestic/Union | *Domestic/Non Union | *Foreign |
|-----------|--------------------------------|--------------------------------|--------------------------------|--------------------------------|
| Full Time | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> |
| Part Time | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> | <input type="text" value="0"/> |

* Are there any employees located in CA? Yes No

* Are there any employees located in DC, FL, MI & TX? Yes No

Plan Distribution

If Pension Trust (Fiduciary Liability) was elected, the **Plan Distribution** section will display.

1. Enter the **Total Plan Assets**, **Number of Plan Participants** in the row provided. If there are multiple pension plans, click the **Add** button to insert a row for each pension plan for the Applicant.

| *Total Plan Assets | *Number of Plan Participants | *Type of Plan | Please Describe | *Does the Plan Invest in Employer Securities? |
|----------------------|------------------------------|----------------------|----------------------|--|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="radio"/> Yes <input type="radio"/> No |

2. Select the **Type of Plan** from the drop-down list. If **Other** was selected, enter a **Plan Description**.

3. Select **Yes** or **No** as to whether the **Plan Invests in Employer Securities** and **Assets are held in trust by a bank, registered investment company or insurance company**.

Financial Information

If Director and Liability has been elected, enter required Financial Information including **percentage of revenues received from government sources**, **Date of Financial Statements**, **Total Assets**, **Total Liabilities**, **Total Revenues/Contributions**, **Net Income or Net Loss**, **Net Income or Net Loss Amount** and **Cashflow from Operations**. Fund Balance will be calculated for you. **Required information is denoted by an asterisk (*)**.

Please provide the following financial information for the Applicant and its Subsidiaries:

- * Based on Financial Statements Dated
- * Total Assets
- * Total Liabilities
- * Total Revenues/Contributions
- * Net Income or Net Loss Net Income Net Loss
- * Net Income or Net Loss Amount
- * Cashflow from Operations

If Director and Liability has not been elected enter the highlighted fields.

Please provide the following financial information for the Applicant and its Subsidiaries:

- * Based on Financial Statements Dated
- * Total Assets
- * Total Liabilities
- * Total Revenues/Contributions
- * Net Income or Net Loss Net Income Net Loss

Once finished with entering required data on the Basic Information screen, click **Limits and Retentions** on the left panel. **Information will be automatically Saved within iWorks®**.

Note -If any error messages are presented, refer to the PEP Error Messages Quick Reference Card.

Refer to the **PEP Limits and Retentions Quick Reference Card** to continue quoting for PEP accounts.

Refresh Rate Complete Suspend

29-PP-000003418-0

Basic Information

Limits And Retentions (1)

- Option #1
- General Information
- Directors and Officers Liability
- Employment Practices Liability
- Fiduciary Liability Information
- Current Insurance Details (5)

PEP - Limits and Retentions

Limit of Liability and Retention Requested

1. If D&O, EPLI, or Pension coverage was elected, enter the **Limit of Liability** by clicking the flashlight icon (🔦) for each elected coverage.

| * Coverage | * Limit of Liability Requested | * Separate or Shared | * Retention Requested |
|--|--------------------------------|----------------------|-----------------------|
| Directors and Officers Liability | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Employment Practices Liability | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Pension Trust Liability(Fiduciary Liability) | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Miscellaneous Professional Liability | <input type="text"/> | <input type="text"/> | <input type="text"/> |

* Aggregate Limit of Liability for MPL

2. Available **Limits of Liability** will be displayed for each coverage. To select a limit, click the Limit value.

| * Coverage | * Limit of Liability Requested | * Separate or Shared | * Retention Requested |
|--|--------------------------------|----------------------|-----------------------|
| Directors and Officers Liability | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Employment Practices Liability | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Miscellaneous Professional Liability | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Pension Trust Liability(Fiduciary Liability) | <input type="text"/> | <input type="text"/> | <input type="text"/> |

* Aggregate Limit of Liability for MPL

3. If Miscellaneous Professional Liability (MPL) coverage was elected, manually enter the **Limit of Liability** requested. \$-signs and commas are not needed; it will automatically default to currency format.

| * Coverage | * Limit of Liability Requested | * Separate or Shared | * Retention Requested |
|--|--------------------------------|----------------------|-----------------------|
| Directors and Officers Liability | <input type="text"/> | Shared | <input type="text"/> |
| Employment Practices Liability | <input type="text"/> | Shared | <input type="text"/> |
| Miscellaneous Professional Liability | <input type="text"/> | Shared | <input type="text"/> |
| Pension Trust Liability(Fiduciary Liability) | <input type="text"/> | Shared | <input type="text"/> |

* Aggregate Limit of Liability for MPL

4. Select whether the limit is to be **Shared** with other coverages or **Separate**. To select Shared, one or more coverages must be elected on the Basic Information screen.

| * Coverage | * Limit of Liability Requested | * Separate or Shared | * Retention Requested |
|--|--------------------------------|----------------------|-----------------------|
| Directors and Officers Liability | <input type="text"/> | Shared | <input type="text"/> |
| Employment Practices Liability | <input type="text"/> | Shared | <input type="text"/> |
| Miscellaneous Professional Liability | <input type="text"/> | Shared | <input type="text"/> |
| Pension Trust Liability(Fiduciary Liability) | <input type="text"/> | Shared | <input type="text"/> |

* Aggregate Limit of Liability for MPL

5. Enter the **Retention Requested** for each coverage. \$-signs and commas are not needed; it will automatically default to currency format.

| * Coverage | * Limit of Liability Requested | * Separate or Shared | * Retention Requested |
|--|--------------------------------|----------------------|-----------------------|
| Directors and Officers Liability | \$ 1,000,000 | Shared | \$ 5,000 |
| Employment Practices Liability | \$ 1,000,000 | Shared | <input type="text"/> |
| Miscellaneous Professional Liability | \$ 1,000,000 | Shared | <input type="text"/> |
| Pension Trust Liability(Fiduciary Liability) | \$ 1,000,000 | Shared | <input type="text"/> |

* Aggregate Limit of Liability for MPL

Crime Limits of Liability and Deductibles

1. If Crime coverage was elected, enter the **Per Occurrence Limit of Liability**.

| Insuring Agreement | * Per Occurrence Limit of Liability | Includes/Limited To | * Deductible |
|---|-------------------------------------|----------------------|--------------|
| * Employee Theft | <input type="text"/> | | |
| Forgery or Alteration | <input type="text"/> | | |
| Add Credit, Debit or Charge Card Forgery | <input type="text"/> | <input type="text"/> | |
| Inside Premises-Theft of Money & Securities | <input type="text"/> | | |
| Inside Premises-Robbery or Safe Burglary | <input type="text"/> | | |
| Outside the Premises | <input type="text"/> | | |
| Computer Fraud | <input type="text"/> | | |
| Money Orders & Counterfeit Paper Currency | <input type="text"/> | | |
| Funds Transfer Fraud | <input type="text"/> | | |

* Convert to Aggregate Limit of Insurance?

2. Select appropriate dropdown value for **Aggregate Limits of Issuance**.

| Insuring Agreement | * Per Occurrence Limit of Liability | Includes/Limited To | * Deductible |
|---|-------------------------------------|----------------------|--------------|
| * Employee Theft | <input type="text"/> | | |
| Forgery or Alteration | <input type="text"/> | | |
| Add Credit, Debit or Charge Card Forgery | <input type="text"/> | <input type="text"/> | |
| Inside Premises-Theft of Money & Securities | <input type="text"/> | | |
| Inside Premises-Robbery or Safe Burglary | <input type="text"/> | | |
| Outside the Premises | <input type="text"/> | | |
| Computer Fraud | <input type="text"/> | | |
| Money Orders & Counterfeit Paper Currency | <input type="text"/> | | |
| Funds Transfer Fraud | <input type="text"/> | | |

* Convert to Aggregate Limit of Insurance?

PEP - Limits and Retentions

3. When finished click on **Save** or **Save and New** button.

Option #1

Save Save And New

Crime Limits of Liability and Deductibles

| Insuring Agreement | *Per Occurrence Limit of Liability | Includes/Limited To | *Deductible |
|-----------------------|------------------------------------|---------------------|-------------|
| * Employee Theft | | | |
| Forgery or Alteration | | | |

3a. If required information is not completed properly, error message will be provided.

17-NR-000003443-0 Basic Information Premium Summary

Save

PLEASE INPUT VALUE FOR REQUIRED FIELDS MARKED WITH ***

Quote/Product Information

* Product First For Profit Risk Protector

* Effective Date 12/31/2010

3b. Complete the fields and click on **Save** to continue.
 Refer to [PEP Error Messages Quick Reference Card](#) for more details.

4. Selecting **Save And New** will create additional Limits and Retention **Options**. Each option will create individual quotes.

Refresh Rate Complete Suspend

29-PP-000002560-0

- Basic Information
 - Limits And Retentions (2)
 - Option #1
 - Option #2

Refer to the [PEP – General Information Quick Reference Card](#) to continue quoting for PEP accounts.

Refresh Rate Complete Suspend

29-PP-000003418-0

- Basic Information
 - Limits And Retentions (1)
 - Option #1
 - General Information
 - Directors and Officers Liability
 - Employment Practices Liability
 - Fiduciary Liability Information
 - Miscellaneous Professional Liability Information
 - Crime
 - Current Insurance Details (5)
 - Premium Summary

PEP - General Information

General Information

1. Enter the **Applicant's Years in Operation** using the flashlight icon (🔦).

General Information

Save

General Information

* Applicant's Years in Operation 🔦

Type of Business Entity (please check applicable description)

Corporation

Limited Liability Company

Sole Proprietorship

General and Limited Partnership

Joint Ventures

Parent Corporation Yes No

2. Select the **Type of Business Entity** if applicable.

General Information

Save

General Information

* Applicant's Years in Operation 🔦

Type of Business Entity (please check applicable description)

Corporation

Limited Liability Company

Sole Proprietorship

General and Limited Partnership

Joint Ventures

Parent Corporation Yes No

3. Select **Yes** or **No** for **Parent Corporation**.

Company Information

Select **Yes** or **No** where applicable for Company Information questions.

General Information

Save

Company Information

Is the Applicant or any of its Subsidiaries involved in any joint ventures, general partnerships or limited partnerships? Yes No

Has the Applicant or any of its Subsidiaries had any mergers, acquisitions or consolidations in the past 24 months? Yes No

Are there any plans for a future merger, acquisition or consolidation of or by the Applicant or any of its Subsidiaries in the next 12 months? Yes No

Claims Reporting Procedures

1. Select appropriate checkboxes or answer **Yes** or **No** where applicable for Claims Reporting Procedures questions.

General Information

Save

Claims Reporting Procedures

* Has there been any inquiries, investigations, grievance filings or other admin hearing filed during the last 3 years or currently before any local, state or federal agency governing employer responsibility to employee? Yes No

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: (i) any director, officer, trustee, employee, employee benefit plan or entity liability matter, including securities matters and/or employment matters; or (ii) any matter claimed against any person proposed for insurance in his or her capacity under the proposed policy? Please provide answer with regard to:

* D&O and Private Company Liability Yes No

* Employment Practices Liability Yes No

* Fiduciary Liability Yes No

* Miscellaneous Professional Liability Yes No

Does the Applicant, its subsidiaries, or any director, officer, trustee or employee of the Applicant know of any act, error or omission, which could give rise to a claim(s), suit(s) or action(s) under the proposed policy with regard to:

* D&O and Private Company Liability Yes No

* Employment Practices Liability Yes No

* Fiduciary Liability Yes No

* Miscellaneous Professional Liability Yes No

Has the Applicant, any of its Subsidiaries or any director and/or officer:

* a. Been involved in any antitrust, copyright or patent litigation? Yes No

* b. 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

* c. 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

* d. Been involved in any representative actions, class actions, or derivative suits? Yes No

* e. Been charged in any federal or state proceeding citing a violation of anti-harassment or anti-discrimination law? Yes No

* Has any director, officer, partner, manager, employee or agent of the Applicant been the subject of any disciplinary investigation as a result of professional activity? Yes No

* Has there been or is there pending any inquiry or investigation, or any violation of ERISA or any similar common or statutory law of the United States, Canada or any state or other jurisdiction anywhere in the world, to which an Applicant's employee benefit plan is subject? Yes No

* Has any insurance carrier refused, canceled or non-renewed any Directors and Officers, Employment Practices, Miscellaneous Professional or Fiduciary Liability insurance coverage? Yes No

2. When finished, click the **Save** button (Save) within the tab.

2a. If required information is not completed properly, error message will be provided.

PLEASE INPUT VALUE FOR REQUIRED FIELDS MARKED WITH ***

Quote/Product Information

2b. Complete the fields and click on **Save** to continue.

Refer to **PEP Error Messages Quick Reference Card** for more details.

Refer to one of the following Quick Reference Cards to continue quoting PEP accounts:

- **PEP Directors and Officers Liability Quick Reference Card**
- **PEP Employment Practices Quick Reference Card**
- **PEP Fiduciary Liability Quick Reference Card**
- **PEP Crime Quick Reference Card**
- **PEP Miscellaneous Professional Liability Quick Reference Card**

Refresh Rate Complete Suspend

29-PP-000003418-0

Basic Information

Limits And Retentions (1)

Option #1

General Information

Directors and Officers Liability

Employment Practices Liability

Fiduciary Liability Information

Miscellaneous Professional Liability Information

Crime

Current Insurance Details (5)

Premium Summary

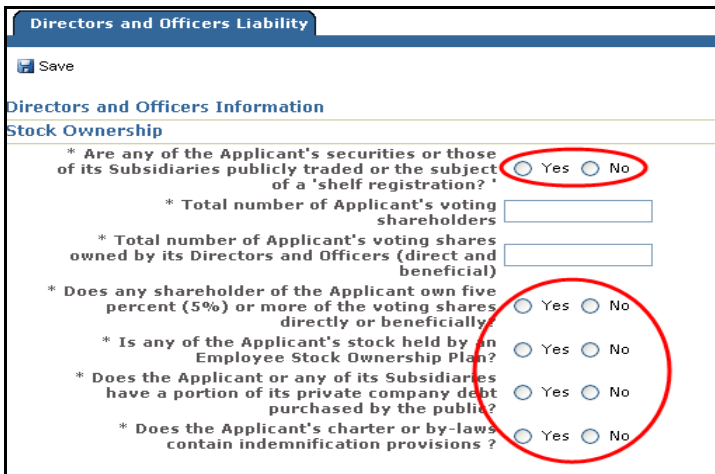
PEP - Directors and Officers Liability

Select **Directors and Officers Liability** in the left panel to access the D&O coverage screen:

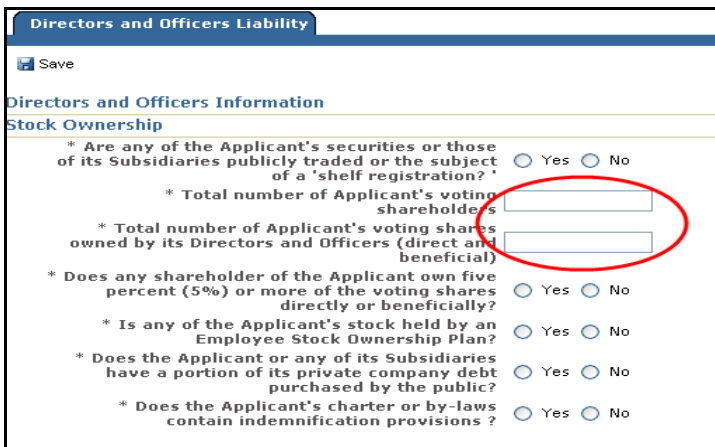


Stock Ownership

1. Select **Yes** or **No** for indicated questions.

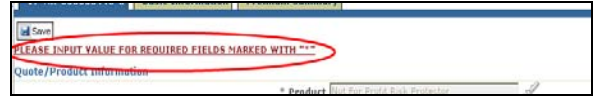


2. Enter the **Total Number of Applicant's voting shareholders** and **number of voting shares owned by its Directors and Officers**.



3. When finished, click the **Save** icon

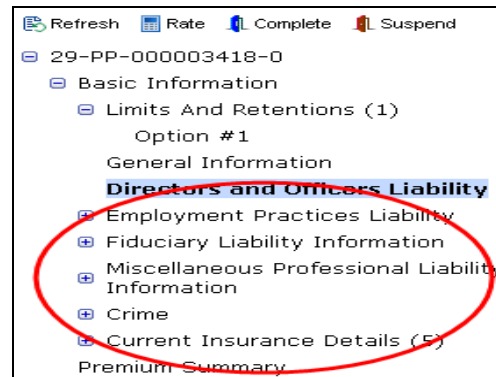
3a. If required information is not completed properly, error message will be provided.



3b. Complete the fields and click on **Save** to continue. Refer to [PEP Error Messages Quick Reference Card](#) for more details.

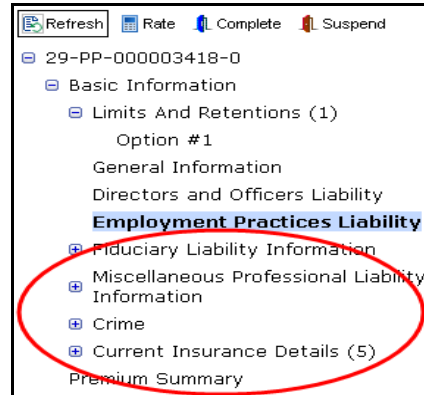
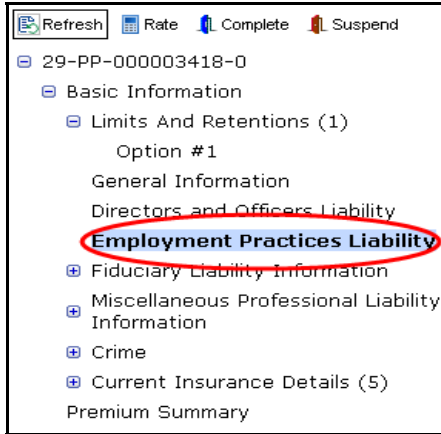
Refer to one of the following Quick Reference Cards to continue quoting PEP accounts:

- [PEP Employment Practices Quick Reference Card](#)
- [PEP Fiduciary Liability Quick Reference Card](#)
- [PEP Miscellaneous Professional Liability Quick Reference Card](#)
- [PEP Crime Quick Reference Card](#)
- [PEP Current Insurance Details Quick Reference Card](#)
- [PEP Premium Summary Quick Reference Card](#)



PEP - Employment Practices Liability

Select **Employment Practices Liability** in the left panel to access the EPLI coverage screen:



Employment Practices Liability

1. Select **Yes** or **No** for the employee distribution question.

Employment Practices Liability

Save

* 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

2. When finished, click the **Save** button (Save) within the tab.

2a. If required information is not completed properly, error message will be provided.



2b. Complete the fields and click on **Save** to continue. Refer to [PEP Error Messages Quick Reference Card](#) for more details.

Refer to one of the following Quick Reference Cards to continue quoting PEP accounts:

- [PEP Directors and Officers Liability Quick Reference Card](#)
- [PEP Fiduciary Liability Quick Reference Card](#)
- [PEP Miscellaneous Professional Liability Quick Reference Card](#)
- [PEP Crime Quick Reference Card](#)
- [PEP Current Insurance Details Quick Reference Card](#)
- [PEP Premium Summary Quick Reference Card](#)

PEP - Fiduciary Liability

Select **Fiduciary Liability Information** in the left panel to access the Fiduciary (Pension Trust) coverage screen:

Refresh Rate Complete Suspend

29-PP-000003418-0

- Basic Information
 - Limits And Retentions (1)
 - Option #1
 - General Information
 - Directors and Officers Liability
 - Employment Practices Liability
 - Fiduciary Liability Information**
 - Miscellaneous Professional Liability Information
 - Crime
 - Current Insurance Details (5)
- Premium Summary

Fiduciary Liability Information

Select **Yes** or **No** for Fiduciary Liability Information questions.

Save

Fiduciary Liability Information

* Are assets managed by an investment manager as defined in ERISA? Yes No

* Is any plan a multiemployer or multiple employer plan? Yes No

* Are there any third party investment, actuarial, legal, administrative and benefits consulting service providers? Yes No

* In the past 24 months has there been, or in the next 12 months is there anticipated, any amendment that has resulted in or is expected to result in any reduction of benefits, including but not limited to, an increase in participant's share of costs? Yes No

* Has any Plan(s) for which coverage is requested, been spun off (sold), or terminated or is any such transaction contemplated? Yes No

Defined Benefit Plans

1. Select **Yes**, **No** or **Unknown** where indicated for Defined Benefit Plans questions.

Defined Benefit Plans

Are all defined benefit plans adequately funded in accordance with ERISA or any applicable similar common or statutory law of the United States, Canada, or any state or other jurisdiction anywhere in the world, as attested to by an actuary? Yes No Unknown

Are there any overdue employer contributions for any plan, or has any plan requested or contemplated filing a request for a waiver of contributions? Yes No Unknown

2. When finished, click the **Save** button (Save) within the tab.

2a. If required information is not completed properly, error message will be provided.



2b. Complete the fields and click on **Save** to continue. Refer to **PEP Error Messages Quick Reference Card** for more details.

Refer to one of the following Quick Reference Cards to continue quoting PEP accounts:

- [PEP Directors and Officers Liability Quick Reference Card](#)
- [PEP Employment Practices Quick Reference Card](#)
- [PEP Miscellaneous Professional Liability Quick Reference Card](#)
- [PEP Crime Quick Reference Card](#)
- [PEP Current Insurance Details Quick Reference Card](#)
- [PEP Premium Summary Quick Reference Card](#)

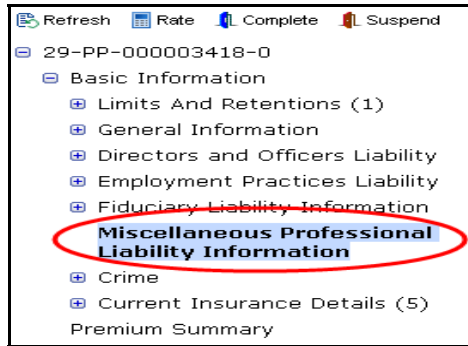
Refresh Rate Complete Suspend

29-PP-000003418-0


- Basic Information
 - Limits And Retentions (1)
 - Option #1
 - General Information
 - Directors and Officers Liability
 - Employment Practices Liability
 - Fiduciary Liability Information**
 - Miscellaneous Professional Liability Information
 - Crime
 - Current Insurance Details (5)
- Premium Summary

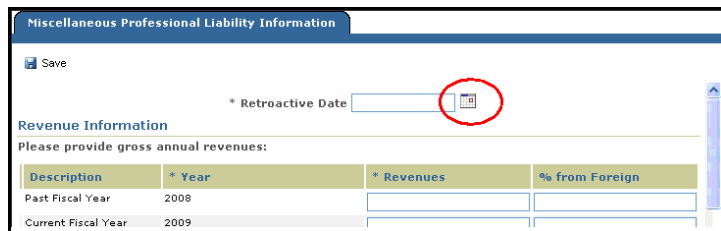
PEP - Miscellaneous Professional Liability

Select **Miscellaneous Professional Liability Information** in the left panel to access the Miscellaneous Professional Liability coverage screen:



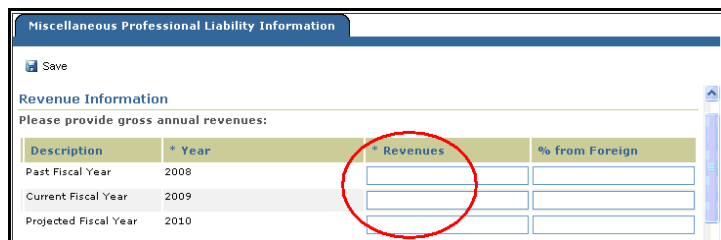
Miscellaneous Professional Liability Information

Use the Calendar icon () to select the appropriate **Retroactive Date**.

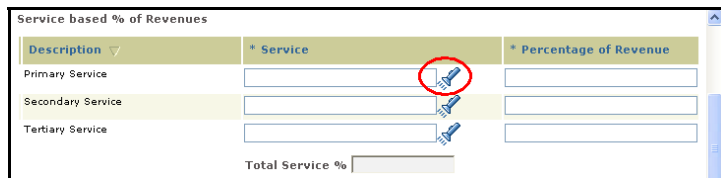


Revenue Information

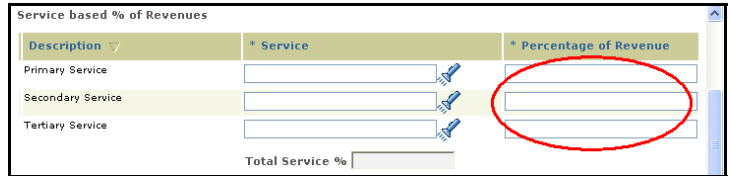
1. Enter the **Gross Annual Revenues** for the Past, Current and Projected Fiscal Years.



2. Use the flashlight icon () to select the **Primary, Secondary** and **Tertiary Services** where applicable.



3. Enter the **% of Revenues** from each level of services as needed.

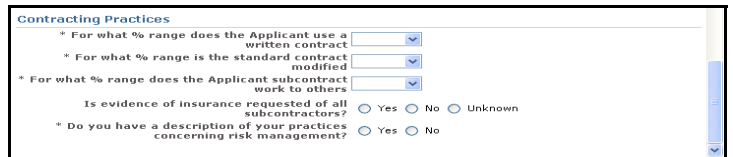



4. If available, enter the **Applicant's 5 Largest Projects** over the past year.



Contracting Practices

1. Use the available drop-down lists or select **Yes, No** or **Unknown** where indicated for Contracting Practices questions.



2. When finished, click the **Save** button ( Save) within the tab.

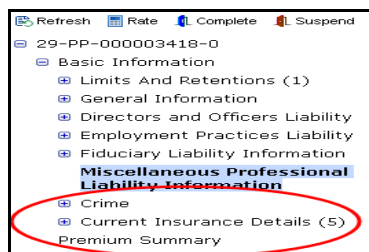
2a. If required information is not completed properly, error message will be provided.



2b. Complete the fields and click on **Save** to continue. Refer to **PEP Error Messages Quick Reference Card** for more details.

Refer to one of the following Quick Reference Cards to continue quoting PEP accounts:

- [PEP Crime Quick Reference Card](#)
- [PEP Directors and Officers Liability Quick Reference Card](#)
- [PEP Employment Practices Quick Reference Card](#)
- [PEP Fiduciary Liability Quick Reference Card](#)
- [PEP Current Insurance Details Quick Reference Card](#)
- [PEP Premium Summary Quick Reference Card](#)



PEP - Crime

Select **Crime** in the left panel to access the Crime coverage screen:

Refresh Rate Complete Suspend

29-PP-000002560-0

- Basic Information
 - Limits And Retentions (2)
 - General Information
 - Directors and Officers Liability
 - Employment Practices Liability
 - Fiduciary Liability Information
 - Miscellaneous Professional Liability Information
 - Crime**
 - Current Insurance Details (5)
- Premium Summary

CRIME Nature of Business

1. Select the **Primary Class of Business, Description of Operation** by clicking the flashlight icon ().

CRIME Nature of Business

* Primary Class of Business

* Description of Operations

* Selected Class Code

2. **Selected Class Code** will be selected and auto-populated along with the Operation Description.

Loss History

1. Select **Yes** or **No** where indicated for **Loss History** questions.

Loss History

Has the Applicant experienced any of the following losses in the past 6 years or, if in business fewer than 6 years, since the date of formation (whether insured or not):

* Employee Theft? Yes No

* Any Other Crime or Fidelity related losses? Yes No

Exposure Information

- If entered in the application, **City** name will be pre-populated in this section. Select the **County** by clicking the flashlight icon
- Enter the **Number of Locations**.

Exposure Information

Location Distribution

| * State | * City | * County | * Number of Locations |
|----------|------------|----------|-----------------------|
| Kentucky | Louisville | | |

Applicant's total number of locations? 0

* Applicant's total number of employees? 250

* US

3. To add more locations, select the **Add** icon, enter the number of additional locations and click on **Go** button.

Crime

Save

Exposure Information

Location Distribution

Delete Add Go

| * State | * City | * County |
|----------|------------|----------|
| Kentucky | Louisville | |

4. To deleted added locations, select checkbox next to the each location and click on the **Delete** icon.

Crime

Save

Exposure Information

Location Distribution

Delete Add

| * State | * City | * County |
|--------------------------|------------|---------------|
| Kentucky | Louisville | |
| <input type="checkbox"/> | New Jersey | Somerset |
| <input type="checkbox"/> | New Jersey | New Brunswick |

5. Complete employee details in the highlighted section

Applicant's total number of locations? 0

* Applicant's total number of employees? 250

+ US

Canadian 0

* Foreign 0

* Of the total employees listed above, how many employees handle, have access to, or maintain records of money, securities, or other property (including, but not limited to, directors, officers, trustees, and any person handling or having access to employee welfare or benefit plan assets?)

6. Select **Yes** or **No** remaining the **Exposure Information** questions

Control Information

1. Select **Yes** or **No** where indicated for **Control Information** questions.

Control Information

* Are all checks countersigned? Yes No

* Are bank accounts reconciled on a monthly basis? Yes No

Are those who reconcile bank statements prohibited from:

* Handling deposits in the accounts they reconcile? Yes No

* Signing checks? Yes No

Audit Information

1. Select **Frequency of audits** from the dropdown and enter information regarding **Who Performs Audits**.

Audit Information

Frequency of audits


Who Performs Audits?

PEP - Crime

Management Information

1. Select **Yes** or **No** for the indicated **Management Information** questions

| Management Information | |
|--|--|
| * Does the Applicant sponsor any employee welfare or retirement plan(s) for its employees? | <input type="radio"/> Yes <input type="radio"/> No |

2. When finished, click the **Save** button ( Save) within the tab.

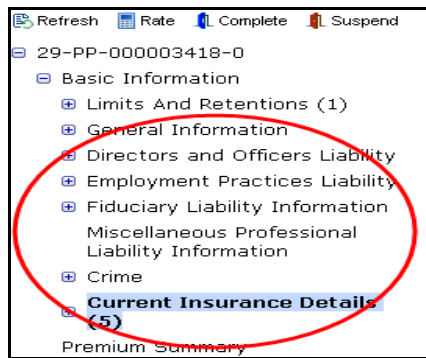
2a. If required information is not completed properly, error message will be provided.



2b. Complete the fields and click on **Save** to continue.
Refer to **PEP Error Messages Quick Reference Card** for more details.

Refer to one of the following Quick Reference Cards to continue quoting PEP accounts:

- **PEP Directors and Officers Liability Quick Reference Card**
- **PEP Employment Practices Quick Reference Card**
- **PEP Current Insurance Details Quick Reference Card**
- **PEP Premium Summary Quick Reference Card**



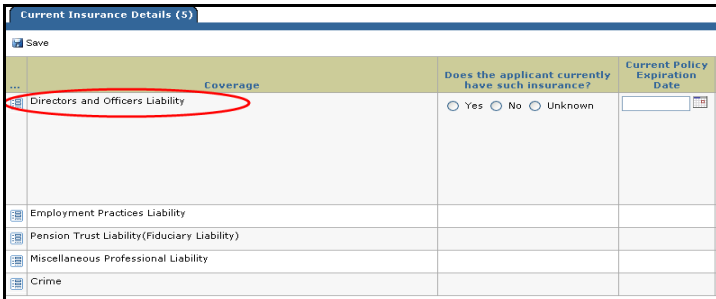
PEP - Current Insurance Details

To enter Current Insurance information, select **Current Insurance Details** on the left panel. The right panel will refresh to display Current Insurance information in a grid format for all selected coverages that you indicated have current insurance.




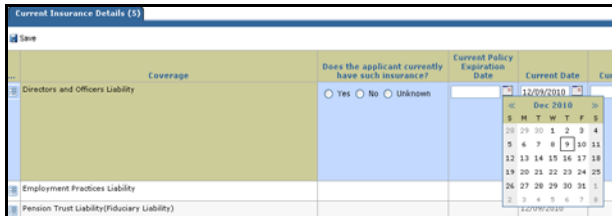
Current Insurance Details

1. To enter **Current Insurance Details**, click the **Coverage** name you would like to edit on the right panel to enable the editable data-entry fields. Fields on the Current Insurance Details screen are optional.



2. For each selected coverage having current insurance:

2a. Use the calendar icon () to enter the **Current Policy Expiration Date**.

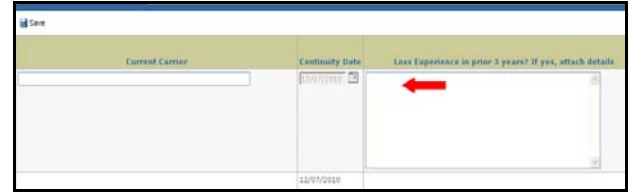



2b. Enter **Current Limit** and **Current Retention** values.

2c. Enter the **Current Carrier** information if available.

2d. To edit the **Continuity Date**, you will need to return to the Basic Information screen.

2e. If there is **Loss Information in the prior 3 years**, enter details if available.



3. When finished, click the Save button ( Save) within the **Current Insurance Details** tab to accept Current Insurance information.

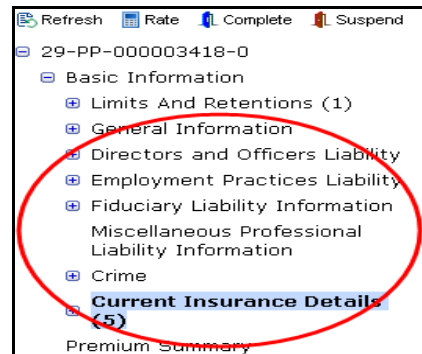
3a. If required information is not completed properly, error message will be provided.



3b. Complete the fields and click on **Save** to continue. Refer to **PEP Error Messages Quick Reference Card** for more details.

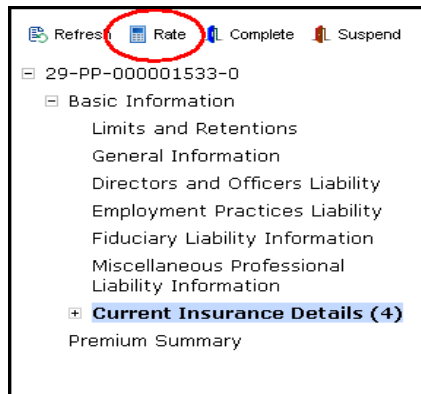
Refer to one of the following Quick Reference Cards to continue quoting PEP accounts:

- **PEP Directors and Officers Liability Quick Reference Card**
- **PEP Employment Practices Quick Reference Card**
- **PEP Fiduciary Liability Quick Reference Card**
- **PEP Miscellaneous Professional Liability Quick Reference Card**
- **PEP Crime Quick Reference Card**
- **PEP Premium Summary Quick Reference Card**

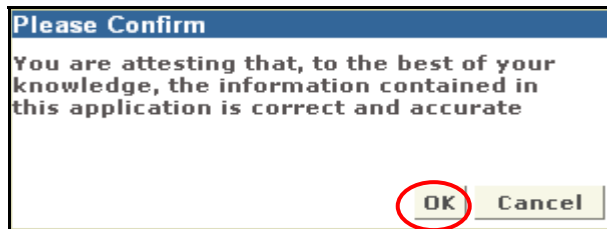


PEP - Premium Summary

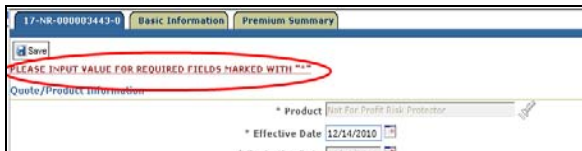
The Private Edge Plus **Premium Summary** screen will automatically display once rating is complete, i.e., following clicking the **Rate** button (Rate) after inputting final coverage details.



1. Upon clicking the **Rate** button a confirmation pop-up will be displayed. Click **OK** to continue.



1a. If required information is not completed properly, error message will be provided.



1b. Complete the fields and click on **Rate** to continue. Refer to [PEP Error Messages Quick Reference Card](#) for more details.

1c. If the account is referred, the below message will be displayed.



1d. Click **OK** to proceed adding a New Quote. Refer to the [PEP Referral Quick Reference Card](#) to get further information regarding Referrals.

2. **Premium Summary** screen will be displayed if the application is complete and the account did not get referred

Premium Summary

Premium information will be displayed at the **Policy Level Summary** and indicates the premium included for Terrorism coverage and Surcharges.

| Private Edge Plus Premium Summary | | |
|---|---|----------------|
| Policy Level Summary - Revision 000 | | |
| Aggregate Limit | | \$1,000,000.00 |
| Aggregate Limit for all coverage sections, other than Crime and K&R | | \$1,000,000.00 |
| Grand Total Premium (including TRIA) | | \$6,939.00 |
| D&O Premium | | \$2,677.00 |
| EPLI Premium | | \$3,343.00 |
| FLI Premium | | \$919.00 |
| Total TRIA Premium | | \$69.00 |
| Surcharges | | \$0.00 |
| Company Paper | National Union Fire Insurance Company of Pittsburgh, PA | |

Premium Details

1. To view premium at a detailed level, click on the **Details** link to expand the Premium Details section:

| Details | | | | |
|---|----------------|-------|------|----------------------|
| Surcharges Information | | | | |
| Surcharge Name | Surcharge Type | State | City | Amount |
| No surcharges | | | | |
| Directors and Officers Liability | | | | |
| Limit of Liability | | | | \$1,000,000.00 |
| Limit Type | | | | Shared with - EM, FL |
| Retention | | | | \$5,000.00 |
| Final Rated Premium | | | | \$2,650.00 |
| TRIA Premium | | | | \$27.00 |
| Non-TRIA Premium | | | | \$0.00 |
| Final Total Premium (including Terrorism Premium) | | | | \$2,677.00 |
| Employment Practices Liability | | | | |
| Limit of Liability | | | | \$1,000,000.00 |
| Limit Type | | | | Shared with - DO, FL |
| Retention | | | | \$5,000.00 |

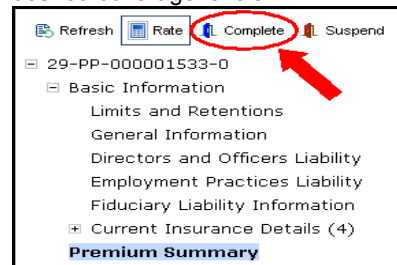
Premium Details includes Limit amounts, Limit Type, Retentions, Terrorism and Surcharge information per coverage.

2. To hide/collapse the Premium Details, click the **Details** link again.

3. When finished, click the **Complete** button (Complete) to continue to the Quote Dashboard screen

- OR -

Click on any of the previous screens in the left panel to adjust your desired coverage levels.



Refer to the [PEP Quote Letter Quick Reference Card](#) to retrieve the quote letter.

PEP - Quote Letter

The PEP **Quote Dashboard** screen will be available following successful rating of the PEP product.

1a. From the **Premium Summary** screen, click the **Complete** button (Complete) to access this screen.

-OR-

1b. Use the **Quick Search** feature on the **Home** tab to link to the desired account.

-OR-

1c. Use the **General Search** feature on the **Home** tab to link to the desired account.

Quote Dashboard

Summary level information will display in the **General Information**, **Producer Information**, and **Insured Information** sections.

NOTE: To be able to retrieve the Quote Letter, the Dashboard Status must reach **Quoted** status.

Notes

iWORKS offers a section on the Quote Dashboard where users can add commentary/notes about the account. To add a new note:

1. Click on the **New Note** button within the **Notes** tab.

2. Enter a **Title** for the Note.

3. Select a **Type** from the drop-down list.

4. Enter the details of the note in the **Memo** section.

5. Check the **Follow up?** flag if desired.

6. Click the **OK** button when complete.

7. The note will then be posted on the **Notes** tab.

PEP - Quote Letter

8. To post a reply to an existing note, select the radio button for the note the reply is for, then click the **Post Reply** button.

| History Select | Title | Type | Last Modified By | Last Modified On | Due On | Complete | Completed By | Completed On | Last Memo |
|-----------------------|----------------------------------|---------------------|------------------|------------------|--------|----------|--------------|--------------|---|
| <input type="radio"/> | Please add exclusion endorsement | Endorsement Request | Test Broker | 04/01/2009 14:40 | N/A | | | | Please add an exclusion endorsement for Pension Trust Coverage. |

9. Enter the reply notes in the **Memo** field and click the **OK** button when finished.

Note

Title: Please add exclusion endorsement
Type: Endorsement Request

Follow up?

Memo

Last Memo: Please add an exclusion endorsement for Pension Trust Coverage.

10. The response will be posted on the **Notes** tab with the prior note indented under the reply.

| History Select | Title | Type | Last Modified By | Last Modified On | Due On | Complete | Completed By | Completed On | Last Memo |
|-----------------------|---|---------------------|------------------|------------------|--------|----------|--------------|--------------|---|
| <input type="radio"/> | Please add exclusion endorsement | Endorsement Request | Test Broker | 04/01/2009 14:42 | N/A | | | | Will add an exclusion #12345 for Pension Trust. |
| Note History | | | | | | | | | |
| | Previous Memo | | User Created | Date Created | | | | | |
| | Please add an exclusion endorsement for Pension Trust Coverage. | | Test Broker | 04/01/2009 14:40 | | | | | |

Files

iWorks provides a section on the Quote Dashboard where users can upload attachments to the account. To upload an attachment:

1. Click on the **Attach** button within the **Files** tab.

| Attached File | Size | Document Type | Last Modified | User | Remove |
|---------------|------|---------------|---------------|------|--------|
| | | | | | |

2. On the **File Upload** popup screen, enter a **File Name**.

3. Click the **Browse** button next to the **Select File** field.

File Name:

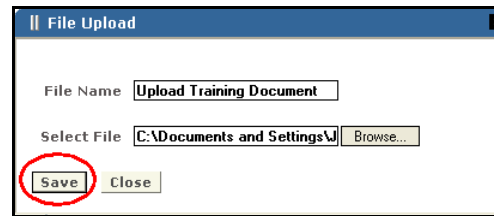
Select File: **Browse...**

Save Close

4. Select the desired document to upload and click **Open**.



5. Click the **Save** button.



6. The file will then be attached to the account in iWORKS.

| Attached File | Size | Document Type | Last Modified | User | Remove |
|--------------------------|----------|---------------|------------------|-------------|--------|
| Upload Training Document | 324.5 KB | MS Word | 04/01/2009 14:49 | Test Broker | Remove |

7. To remove the attachment, click the **Remove** link for the desired file on the Files tab.

| Attached File | Size | Document Type | Last Modified | User | Remove |
|--------------------------|----------|---------------|------------------|-------------|--------|
| Upload Training Document | 324.5 KB | MS Word | 04/01/2009 14:49 | Test Broker | Remove |

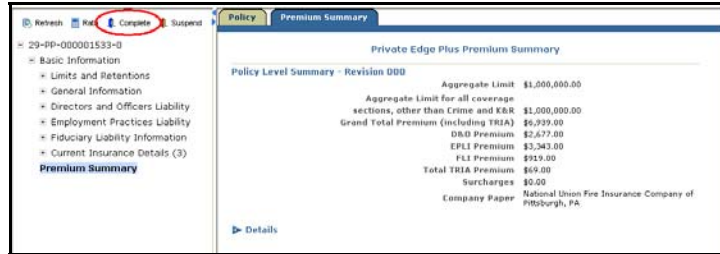
Commissions

Commission information is located on the **Commissions** tab on the Quote Dashboard.

| Producer | Plan Name | Plan Type | Plan Amount | Overridden Amount | Calculated Amount | Net Amount | Last Modified by | Last Modified on |
|----------------------------|-------------|------------|-------------|-------------------|-------------------|------------|------------------|------------------|
| Brown and Brown Metro, Inc | Broker View | Commission | 17.5% | % | \$917.35 | \$917.35 | System | 04/01/2009 02:03 |

PEP - Quote Letter

5. Review the **Premium Summary** and if correct, click the **Complete** icon to continue. Else, repeat Step 4 to continue modifying quote information.



Refer to one of the following Quick Reference Cards to continue quoting PEP accounts:

- [PEP Add a Quote Option Quick Reference Card](#)
- [PEP Binder Letter and Policy Quick Reference Card](#)

PEP - Add a Quote Option

Add a Quote Option

1. On the Quote Dashboard screen, click the drop-down next to the **Bind** button.
2. Click **Add a Quote Option**.

3. Review the **Policy Information** and make any updates as needed. When finished, click the **Save** icon.

4. Click **Basic Information** or any of the Coverage screens in the left panel to review each **Coverage** quote information.
5. Make any updates as needed and when finished, click the **Rate** button.

| Coverage | * Applicant applying for coverage? | * Does the Applicant currently have similar insurance? | Continuity Date |
|--|------------------------------------|--|-----------------|
| Directors and Officers Liability | Yes No | Yes No | 04/30/2009 |
| Employment Practices Liability | Yes No | Yes No | 04/30/2009 |
| Business Trust Liability (Fiduciary Liability) | Yes No | Yes No | 04/30/2009 |
| Miscellaneous Professional Liability | Yes No | Yes No | 04/30/2009 |

6. Review the **Premium Summary**. The next Option (Revision #) will be noted below the prior Option (Revision #). If correct, click the **Complete** icon to continue. Else, repeat Step 4 to continue modifying the Coverage selections.

Single Option Quote Letter

1. To display single options on one quote letter, click the **Quote Documents** tab on the Quote Dashboard screen for the desired Revision #.

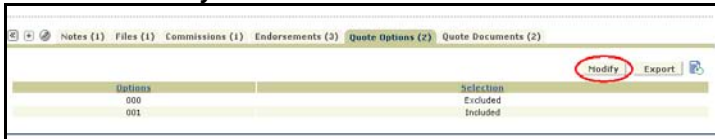
2. Select the radio button for **PEP Quote Documents** and click the **Current Revision** button. The PEP quote letter will launch as a .pdf file for the revision # you are currently working on. Save/print/email the quote letter as needed. Close the quote letter window when finished.

Multi-Option Quote Letter

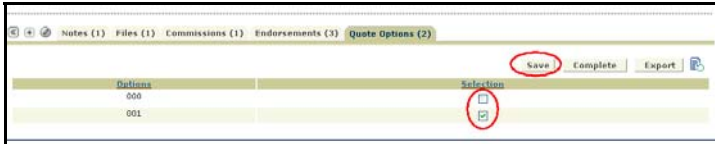
1. After **Add a Quote Option**, to include one or more of the multiple options (revisions) on the quote letter, click the **Quote Options** tab on the Quote Dashboard screen.

PEP - Add a Quote Option

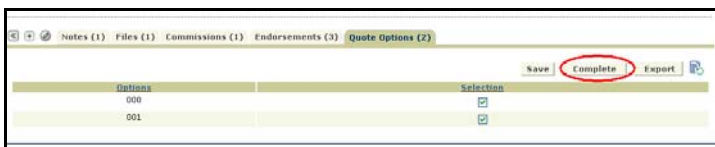
2. Click the **Modify** button.



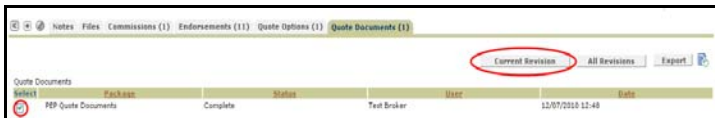
3. Check the revision number(s) of the Option(s) to be included and then click the **Save** button.



4. Click the **Complete** button when finished modifying the Quote.



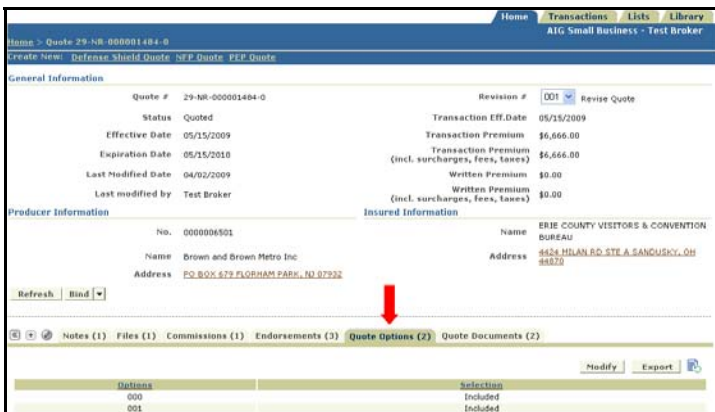
5. Once the status reaches **Quoted**, click the **Quote Documents** tab, select the checkbox for **PEP Quote Documents** then select the **Current Revision** button.



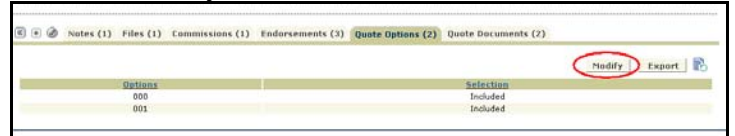
The PEP quote letter will launch as a .pdf file and will display the multiple options that were selected for inclusion on one letter. Save/print/email the quote letter as needed. Close the quote letter window when finished.

Remove Options from a Multi-Option Quote Letter

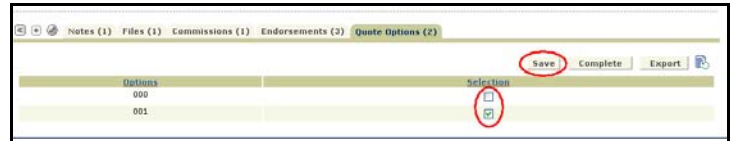
1. To remove one or more of the multiple options (revisions) on the single quote letter, click the **Quote Options** tab on the Quote Dashboard screen.



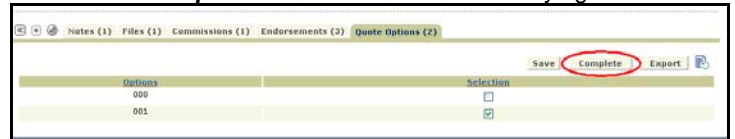
2. Click the **Modify** button.



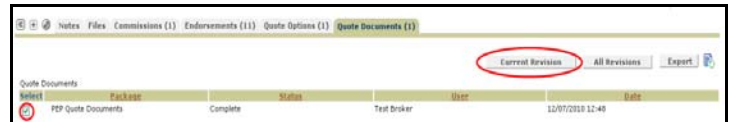
3. Uncheck the revision number(s) of the Option(s) to be excluded and then click the **Save** button.



4. Click the **Complete** button when finished modifying the Quote.



5. Once the status reaches **Quoted**, click the **Quote Documents** tab, select the checkbox for **PEP Quote Documents** then select the **Current Revision** button.



The PEP quote letter will launch as a .pdf file and will display only the options that were selected for inclusion on one letter. Save/print/email the quote letter as needed. Close the quote letter window when finished.

Refer to the [PEP Binder Letter and Policy Quick Reference Card](#) to continue binding the PEP quote.

PEP - Binder Letter and Policy

The **Bind** feature is available on the **Quote Dashboard** screen once the account is **Quoted** (Refer to the [PEP Quote Letter Quick Reference Card](#)). To get to the **Quote Dashboard** screen:

1a. From the **Premium Summary** screen, click the **Complete**

button (Complete) to access this screen.

Home > Quote New PEP Quote

Refresh Rate **Complete** Suspend

29-PP-000001533-0

- Basic Information
 - Limits and Retentions
 - General Information
 - Directors and Officers Liability
 - Employment Practices Liability
 - Fiduciary Liability Information
- Current Insurance Details (4)
 - Premium Summary**

Policy Premium Summary

Details

Surcharges Information

| Surcharge Name | Surcharge Ty |
|----------------|--------------|
| No surcharges | |

Directors and Officers Liability

-OR-

1b. Use the **Quick Search** feature on the **Home** tab to link to the desired account.

Quick Search

Starts With Contains

Search for

Insured Name

Search

-OR-

1c. Use the **General Search** feature on the **Home** tab to link to the desired account.

General Search

Refresh Search Reset

Advance Search

Applicant

Submission #

Premium to

Effective Date to

Product Select

Line Of Business Select

New/Renewal

Account Status

Domicile State

Producer Code

Producer

2. On the Quote Dashboard, click the **Bind** button.

Home Transactions Lists Library

AIG Small Business - Test Broker

Quote # 29-PP-000001533-0 Revision # 001 Revise Quote

Status Quoted Transaction Eff.Date 04/30/2009

Effective Date 04/30/2009 Transaction Premium \$9,040.00

Expiration Date 04/30/2010 Transaction Premium (incl. surcharges, fees, taxes) \$9,040.00

Last Modified Date 04/06/2009 Written Premium \$0.00

Last modified by Test Broker Written Premium (incl. surcharges, fees, taxes) \$0.00

Producer Information Insured Information

No. 000000501 Name COMMERCIAL TIRE CO, INC

Name Brown and Brown Metro Inc Address 5790 WASHINGTON BLVD ELK RIDGE, MD 21075

Address PO BOX 673 FLORENCE PARK, NJ 07032

Refresh **Bind**

Notes Files Commissions (1) Endorsements Quote Options Quote Documents

New Note Post Reply Delete Export

| History Select | Title | Type | Last Modified By | Last Modified On | Due On | Complete | Completed By | Completed On | Last Memo |
|----------------|-------|------|------------------|------------------|--------|----------|--------------|--------------|-----------|
|----------------|-------|------|------------------|------------------|--------|----------|--------------|--------------|-----------|

3. On the Policy tab, modify the following fields as needed:

- Policy Effective Date
- Binder Expiration Date
- Insured Name and Address (*State cannot be modified*)

4. When finished, click the **Save** icon: Save

Policy

Save Cancel

Quote Product Information

* Product Private Edge

* Effective Date 04/30/2009

* Expiration Date 04/30/2010

Paper Type Admitted

* Binder Expiration Date 05/30/2009

eStart Submission Number 05092834

Insured Information

D&B Number 53947479 Account Search

* Name of the Applicant COMMERCIAL TIRE CO, INC

Doing Business As

Bind Questions

1. Click on the Bind Questions on the left panel.

Refresh Rate Complete Suspend

29-PP-017699641-0

Bind Questions

Basic Information

Premium Summary

2. Enter the **Number of Locations**

Bind Questions

Save

Number of Locations

Domestic (within U.S., Canada and territories)

Foreign

Claims Reporting Procedures

Within the Applicant and its Subsidiaries, where or to whom are lawsuits, administrative changes and demand letters reported?

General Counsel Human Resources Risk Management Other

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

PEP - Binder Letter and Policy

4. Complete the **Claims Reporting Procedures** section

4. When finished, click the **Save** icon: Save

Basic Information

1. Click on **Basic Information** the left panel.

2. Review **Terrorism Coverage** on the **Basic Information** screen and update selection as needed.

3. Click the **Complete** button () when finished. You will then be directed to the **Binder Dashboard** screen.

Binder Letter

1. On the **Binder Dashboard** screen, click the **Documents** tab. (Status must reach 'Issued' for tab to be available.)
2. Select the radio button for **PEP Binder Documents**.
3. Click the **All Revisions** button.

4. The PEP binder letter will launch as a .pdf file. Save/print/email the binder letter as needed. Close the binder letter window when finished.

PEP Policy

The PEP Policy is available on the **Binder Dashboard** screen. To get to that screen:

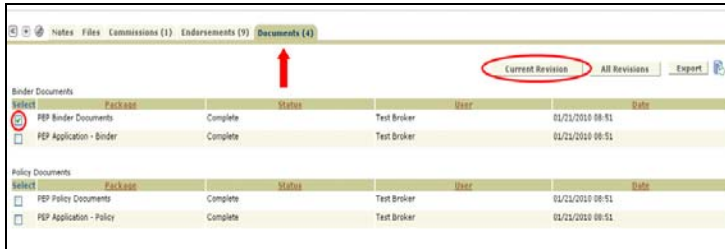
1. Use the **General Search** or the **Quick Search** feature on the **Home** tab to link to the desired account.

2. Select the Account Name or Policy Reference link for the **Policy** record.

(Note: iWorks® provides 2 dashboards screens, 1 for quote, 1 for binder/policy)

PEP - Binder Letter and Policy

3. You will then be directed to the **Binder Dashboard**. To retrieve the Policy, click on the **Documents** tab.
4. Select the checkbox for **PEP Policy Documents**.
5. Click the **Current Revision** button.

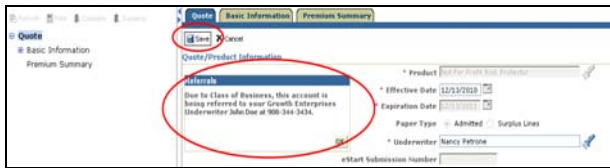


6. The PEP policy will launch as a .pdf file. Save/print/email the policy as needed. Close the policy window when finished.

PEP - Referrals

Automatic Referrals

1. An account can be referred due to selected **Classes of Business**.
 - 1a. Click on **New PEP Quote** from **Home** or **Transactions** tab
 - 1b. Select a **Class of Business**
 - 1c. Complete the remaining sections
 - 1d. Click on **Save** and if the account is referred, a **Referral** message will be displayed



- 1e. Click on **OK** to proceed. [To add a new Quote, refer to the PEP New Quote Quick Reference Card.](#)
- 1f. A notification E-mail will be sent to the **Growth Enterprise eCommerce Manager** and **Regional Underwriter Manager**

2. Additionally an account can get referred based on underwriter guidelines, parameters and application information.

- 2a. Complete the application.
- 2b. Click on **Rate** button and if the account is referred, a **Referral** message will be displayed.

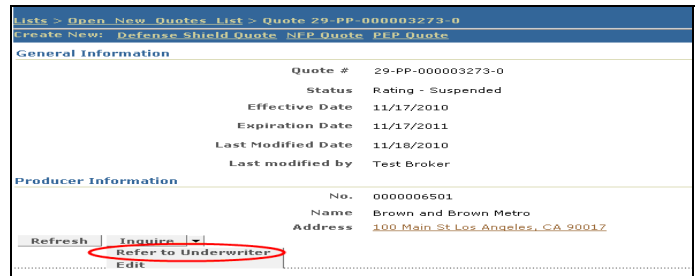


- 2c. Click **OK** to proceed. [To add a new Quote, refer to the PEP New Quote Quick Reference Card.](#)
- 2d. A notification E-mail will be sent to the **Growth Enterprise eCommerce Manager** and **Regional Underwriter Manager**

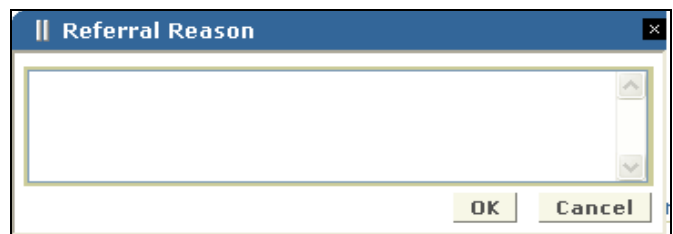
Manual Referrals

Quoted accounts can be manually referred to a Growth Enterprises Underwriter from the **Quote Dashboard**

1. The PEP **Quote Dashboard** screen will be available following successful rating of the PEP product.
 - 1a. From the **Premium Summary** screen, click the **Complete** button to access this screen.
 - 1b. Use the **Quick Search** or **General Search** feature on the **Home** tab to search your account.
2. Select the **Refer to Underwriter** option from the dropdown on the **Quote Dashboard** as shown.



1. A referral pop-up should appear as shown below. Enter a **Referral Reason**



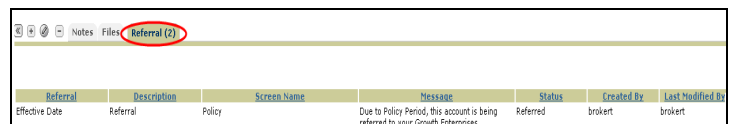
2. Click on **OK** and the below **Referral** message will be display.



3. Click **OK** to complete the referral. The account status will change to Referral and a **Referral** tab would appear.

Referral Tab

1. **Referral Tab** appears on the Quote Dashboard after an account has been referred.



2. Reasons for referral are listed under this tab.



Searching Referrals


1. Use the **Quick Search** or **General Search** feature on the **Home** tab to link to the desired referred account.

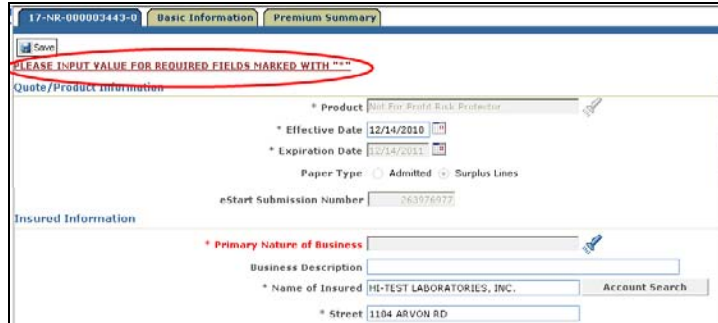
[Refer to the PEP Login & General Feature Quick Reference Card.](#)

Error Messages

Required fields (marked with an *) have not been completed, error message will appear on clicking **Save** or **Rate** buttons or when navigating out of the page.

On Save

1. If required information has not been completed, Error message will be displayed on clicking **Save** () button.



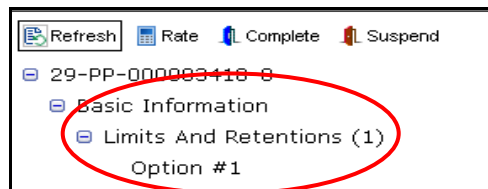
2. Click on the **Error Message** link
3. The cursor will point to the field requiring attention.
4. The field with input is highlighted in red.



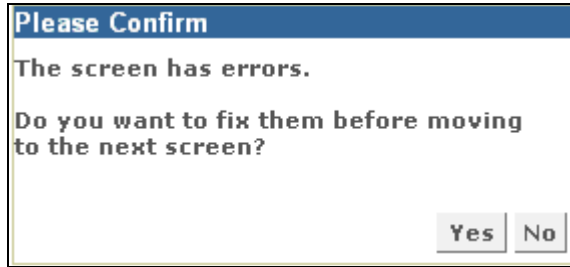
5. Enter required input in the field and click on **Save** to continue.
6. Steps 2 through 4 will be repeated for any remaining required fields that require your attention

Navigating Between Screens

1. After completing a Screen click on the left panel links to navigate to a different Screen




2. When the required fields have not been completed then below message will be displayed.



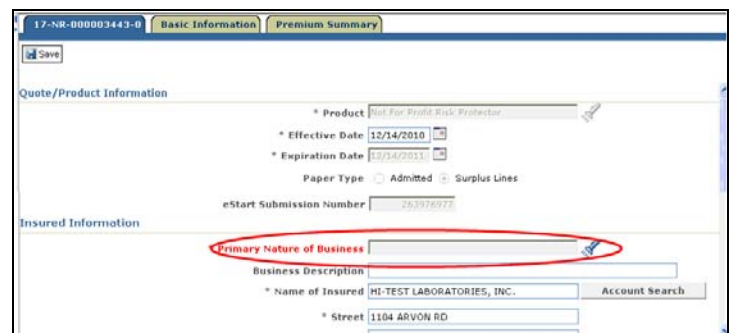
3. Click on the **Yes** button to stay on the current screen or **No** button to continue.
4. If **Yes** button was clicked, complete the required fields and **Save** before navigating away from the screen.
5. If **No** button was clicked, information entered on the current screen will be saved. Error message will appear again at **Rate** to complete the required fields.

On Clicking Rate Button

1. If required information has not been completed, Error message will be displayed on clicking **Rate** () button.



2. Click on the **Error Message** link
3. The screen with errors will be presented and the cursor will point to the field requiring attention.
4. The field with input is highlighted in red.



5. Enter required input in the field and click on **Rate** to continue.
6. Steps 2 through 5 will be repeated for any remaining required fields that require your attention.