THE INFORMATION BEING REQUESTED IS FOR A CLAIMS-MADE POLICY. IT IS IMPORTANT THAT YOU READ ALL OF THE PROVISIONS OF YOUR POLICY CAREFULLY.

DEFENSE EXPENSES ARE INCLUDED WITHIN THE LIMITS OF COVERAGE AND RETENTION, AND SUCH LIMITS MAY BE COMPLETELY EXHAUSTED BY THE PAYMENT OF DEFENSE EXPENSES. THE COMPANY WILL NOT BE LIABLE FOR DEFENSE EXPENSES OR THE AMOUNT OF ANY JUDGMENT OR SETTLEMENT AFTER EXHAUSTION OF THE LIMITS OF COVERAGE.

Complete one form for each claim, suit, or incident.

Answer each question on behalf of all entities seeking insurance coverage, unless specifically requested otherwise.

An Additional Information section is provided at the end of this document for any information that exceeds the space provided.

### GENERAL INFORMATION

<table>
<thead>
<tr>
<th>Proposed First Named Insured &amp; Other Named Insured(s):</th>
<th>Today's Date:</th>
</tr>
</thead>
<tbody>
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<table>
<thead>
<tr>
<th>Proposed Effective Date (mm/dd/yyyy):</th>
<th>Proposed Expiration Date (mm/dd/yyyy):</th>
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<tbody>
<tr>
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</table>

### CLAIM / INCIDENT INFORMATION

1. Name of individual(s) involved in the claim or incident: ____________________________________________

2. Name of claimant: ____________________________________________

3. This matter is currently a/an:  
   - [ ] Pending demand, claim, or suit  
   - [ ] Incident  
   - [ ] Closed matter

4. Name of insurer to whom this matter has been reported: ____________________________________________

5. Indicate the date reported to insurer: ____________________________________________

6. Indicate the date of alleged error: ____________________________________________

7. Indicate the date of claim: ____________________________________________

8. Indicate the type of professional services provided: ____________________________________________

9. Provide a description of the case and events or the alleged act, error, or omission upon which the claimant bases claim: ____________________________________________

10. Provide a description of the type and extent of injury or damage allegedly sustained: ____________________________________________
11. Were there any additional defendants? 

☐ Yes  ☐ No

12. Indicate the claimant's settlement demand: $__________________

13. Indicate the defendant's offer for settlement: $__________________

14. Indicate the Insurer's loss reserve: $__________________

15. Indicate the cost of defense paid to date: $__________________

16. Is claim in suit? 

☐ Yes  ☐ No

17. If claim is in suit, what was the amount asked in summons? $__________________

RISK MANAGEMENT INFORMATION

18. Please provide a description of the corrective measures taken, if any, to mitigate future claims: ______________________________

________________________________________________________________________

________________________________________________________________________

FRAUD STATEMENTS – Attention Applicants in the Following Jurisdictions:

ALABAMA, ARKANSAS, DISTRICT OF COLUMBIA, MARYLAND, NEW MEXICO, AND RHODE ISLAND: 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 and 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: 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 of the third degree.

KENTUCKY, NEW JERSEY, NEW YORK, OHIO AND PENNSYLVANIA: Any person who knowingly and with intent to defraud any insurance company or other person files an application 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 subjects such person to criminal and civil 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.)

LOUISIANA, MAINE, TENNESSEE, VIRGINIA AND 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 include imprisonment, fines, and denial of insurance benefits.

PUERTO RICO: Any person who knowingly and with the intention of defrauding presents false information in an insurance application, or presents, helps, or causes the presentation of a fraudulent claim for the payment of a loss or any other benefit, or presents more than one claim for the same damage or loss, shall incur a felony and, upon conviction, shall be sanctioned for each violation with the penalty of a fine of not less than five thousand dollars ($5,000) and not more than ten thousand dollars ($10,000), or a fixed term of imprisonment for three (3) years, or both penalties. Should aggravating circumstances be present, the penalty thus established may be increased to a maximum of five (5) years; if extenuating circumstances are present, it may be reduced to a minimum of two (2) years.
I acknowledge that this document is to be read in conjunction with the core application and that all notices contained therein are deemed fully incorporated herein. I also affirm that any declarations made in the core application regarding the information contained therein also apply to the information contained herein, including any material submitted herewith.

Authorized Representative Signature:*  
(Chairman, President or CEO)  

X  
Title  

Authorized Representative Name - Printed:  

Date:  

*If you are electronically submitting this application to Travelers, apply your electronic signature to this form by checking the Electronic Signature and Acceptance box below. By doing so, you hereby consent and agree that your use of a key pad, mouse, or other device to check the Electronic Signature and Acceptance box constitutes your signature, acceptance, and agreement as if actually signed by you in writing and has the same force and effect as a signature affixed by hand.

Electronic Signature and Acceptance – Authorized Representative

PRODUCER INFORMATION (ONLY REQUIRED IN FLORIDA, IOWA, AND NEW HAMPSHIRE)

Producer Signature: *  

X  
Producer Name - Printed:  

Agency Name:  

Agency Code:  

License Number:  

ADDITIONAL INFORMATION

This area may be used to provide additional information to any question. Please reference the question number.