



Directors' & Officers' Insurance

Personal Data Protection

The interested party is hereby informed that any personal data, including all data provided in this document and all subsequent data provided related to the fulfillment of the insurance contract, will be included in a data file controlled by HCC International Insurance Company PLC. The data will be processed for the purpose of fulfilling the insurance contract, and to enable HCC International Insurance Company PLC to send information on its products and services. The Insured hereby provides its express consent for the data to be transferred to other entities for co-insurance, reinsurance, portfolio assignment or management or for the adoption of anti-fraud measures. The Insured also provides its express consent for the data to be transferred to other companies belonging to the same group as HCC Global Financial Products SL and HCC International Insurance Company PLC. located in countries outside the European Union, with the exclusive purpose that these may provide data processing services. The Insured may at any time exercise its right to access, rectify, cancel or object to its data being held, by notifying HCC International Insurance Company PLC, Walsingham House, 35 Seething Lane, London EC3N 4AH, United Kingdom, pursuant to the provisions of the Data Protection Act 1998.

Should the Insured provide HCC International Insurance Company PLC with information related to the Insured, any damaged parties or any third person, the Insured hereby declares that all the data related to the Insured, the damaged parties or any third person given to the Insurer have been provided by them, and that the Insured, the damaged parties or any third person have provided their consent for their data to be transferred by the Insured to the Insurer for the fulfillment of the insurance contract in the terms established in this clause.

NOTICE: This is a proposal for a claims-made policy. The policy for which this proposal is made, subject to its terms & conditions, is limited to liability for acts for which claims are first made during the period of insurance and duly purchased discovery period.

1) Name/s of Company/Organisation (The Proposers):

Name of Company/Organisation (Proposer):	
Registered Address:	
Date Commenced Trading:	
Number of Employees:	
Registration Number:	
VAT Number:	

Email Address:	
Website Address:	

- 2) If any Proposer is a subsidiary of another company, please state the name and address of the holding company:

- 3) Type of company/organisation (e.g. public, private, charity, trust, not-for-profit mutual, limited by guarantee):

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- 4) Is any Proposer:

- (a) Listed on any stock exchange?

YES NO

If YES, please identify the company/ies and date listing obtained:

Stock Exchange (e.g. London Stock Exchange/AIM)	Date Listing Obtained

- (b) Listed on unlisted securities market?

YES NO

- (c) Traded in any other way?

YES NO

If YES, please provide details:

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5) Nature of operations:

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6) Has any member of the board of directors ever been disqualified from acting as a director?

Name	Reason for Disqualification	Date of Disqualification

7) (a) How many shareholders does the Proposer have?

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(b) Are there any shareholders (including directors) who own, directly or beneficially, 10% or more of the shares?

<input type="checkbox"/> YES	<input type="checkbox"/>	<input type="checkbox"/> NO	<input type="checkbox"/>
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If YES, please identify the shareholders and % owned:

Name	% Owned	Is he/she a director of the Proposer?

(c) Is cover to include all subsidiaries of the Proposer?

<input type="checkbox"/> YES	<input type="checkbox"/>	<input type="checkbox"/> NO	<input type="checkbox"/>
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If YES, please provide details:

Name of subsidiary	Business	Territory	% Owned

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8) Do the Proposer's directors or officers hold any appointments to outside companies at the behest of the Proposer for which cover is desired?

YES NO

If YES, please provide details:

Name of Organisation	Name of director/officer	Territory

9) (a) Has the name of any Proposer changed within the past three years?

YES NO

(b) Has any Proposer got any acquisition, tender offer or merger pending or under consideration?

YES NO

(c) Is any Proposer aware of any proposal relating to its acquisition by another organisation?

YES NO

(d) Is any Proposer intending a new public offering of securities within the next year in the UK or elsewhere?

YES NO

(e) Has any subsidiary been acquired or sold within the past year?

YES NO

(f) Is any Proposer in breach of or has been in breach of any loan agreements, debts or covenants?

YES NO

If YES to any of the above, please provide details:

10) (a) Are any assets of the organisation located in the USA or Canada?

YES NO

If YES, please state total gross assets:

(b) Does any Proposer or any subsidiary have any stock, shares or debentures, debt instruments or commercial paper in the USA or Canada?

YES NO

(c) Does any Proposer or any subsidiary have any other operations in the USA/Canada?

YES NO

If YES to any of the above, please provide details:

If YES to any of the above, the insurers may require an additional questionnaire.

11) Is any Proposer actually undergoing or contemplating on undergoing any employee layoffs or early retirement proposals for any reason?

YES NO

If YES, please provide details:

12) (a) Does any Proposer or any director or officer have Directors & Officers Liability Insurance (D&O) currently in force?

YES NO

If YES, please provide details:

Insurer	
Indemnity limit	
Expiry date	

Premium last year	
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(b) For what Limit/s of Indemnity are quotations required?

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13) Has any Proposer ever had any insurer decline or cancel or refuse to renew a D&O policy?

YES NO

If YES, please provide details:

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14) Have any claims ever been made against any past or current director, officer or employee of any Proposer? Or have any official governmental investigations been made into the affairs of any proposer?

YES NO

If YES, please provide details:

Date of claim/loss	Brief details of each claim/loss	Cost of claim/loss	Estimated cost outstanding

15) Is any Proposer aware, after enquiry, of any circumstance or incident which may give rise to a claim or official governmental investigation into the affairs of any proposer?

YES NO

If YES, please provide details:

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It is essential that every Proposer when seeking a quotation to take out or renew any insurance discloses to the Insurer all material facts and information (including all material circumstances) which might influence the judgement of an Underwriter in deciding whether to accept the risk and on what terms. The obligation to provide this information continues up until the time that there is a completed contract of insurance. Failure to do so, entitles the Insurer, if they so wish, to avoid the contract of insurance from inception and so enables them to repudiate liability. If you have any doubt as to what constitutes a material fact or circumstance please do not hesitate to ask for advice.

DECLARATION

On behalf of the Proposer, I/we declare that, after full enquiry, the contents of this Proposal are true and that I/we have not misstated, omitted or suppressed any material fact or information and I/we agree that this Proposal together with any other information supplied by me/us shall form the basis of any contract of insurance which may be effected. If there is any material alteration to the facts and information which I/we have provided or any new material matter arises before the completion of the contract of insurance, I/we undertake to inform the Insurer.

Date:

Signature:

Position:

Note: This proposal must be signed by the Chairman, Chief Executive Officer or equivalent principal of the proposer. The person signing the proposal should be authorised by the Proposer to do so and should make all necessary enquiries of his/her fellow directors, officers and employees to enable the questions to be answered and on whose behalf he/she signs.

This proposal should be accompanied by your latest audited Report and Accounts together with your company brochure and any interim statements

A copy of this proposal should be retained by you for your own records.

Checklist

Have you attached?...

Please tick..

Most recent, audited Consolidated Report and Accounts?

Latest available interim financial statements?

If proposer is less than 2 years old, a copy of the business plan and management accounts?