

3.

(a) Total number of current:-

(i) Principals, Partners & Directors:- _____

(ii) All relevantly qualified staff (not already accounted for in 3(a)(i) above):- _____

(iii) Trainees:- _____

(iv) Employees (not already accounted for in 3(a)(i) to 3(a)(iii) above):- _____

(v) Total Staff:- _____

(b) Is the **Proposer** a current member of any professional Association or Institute? **YES/NO**
 If **YES**, please advise:-

(i) Name of Association or Institute:-

(ii) Length of concurrent membership:-

(iii) Category of membership (if applicable):-

4.

(a) Please provide details of all current Principals, Partners and Directors of the **Proposer**:-

Name	Age	Quals	Date Q'fied	Date Joined	Current Role/Responsibilities	Partner Or Director

(b) Is the **Proposer** or any Principal, Partner or Director of the **Proposer's** business connected or associated (financially or otherwise) with any other Organisation? **YES/NO**
 If **YES**, please advise:-

(i) Name of Organisation(s):-

(ii) Nature of association or relationship:-

(iii) **Proposer's** income earned in the last three financial years derived from such Organisation(s):-

(iv) Details of work undertaken for such Organisation(s) in any of the last six years:-

(c) Has any Principal, Partner or Director of the **Proposer's** business been made personally bankrupt, or been personally associated with any business which has been placed into receivership, liquidation, or been wound up at the behest of its creditors? **YES/NO**
 If **YES**, please provide full details:-

(d) Has any **Proposer**, Director or employee of the **Proposer** been the subject of professional disciplinary proceedings or committed a fraudulent or dishonest act? **YES/NO**
 If **YES**, please provide full details:-

5. Annual Gross Income earned for each of the years below split by each Professional Service carried on by the Proposer:-

Description of Professional Service Provided:-	Last Complete Financial Year / /	Current Financial Year / /	Forthcoming Financial Year / /
Total Income Earned			

FINANCIAL YEAR END:

(All in GBP Unless Otherwise Stated)

6. Does the Proposer (or has the Proposer in any of the last ten years or expect to in the next twelve months):-

- | | |
|---|---------------|
| (i) Undertake clinical trials? | YES/NO |
| (ii) Provide healthcare services such as would be given by surgical, medical and dental practitioners, nurses and midwives, professions allied to medicine, ambulance personnel and paramedics, laboratory staff, relevant technicians or by others acting under the control of or supervision of such persons? | YES/NO |
| (iii) Administer drugs, medicines or give medical advice of any kind? | YES/NO |
| (iv) Lease or rent out land or buildings to third party users? | YES/NO |
| (v) Undertake environmental or pollution work of any kind? | YES/NO |
| (vi) Provide certification, examination, licensing or undertake any regulatory function? | YES/NO |
| (vii) Provide insurance, actuarial, accountancy, legal or financial services advice? | YES/NO |
| (viii) Provide care for vulnerable people (e.g. Special needs, sick or elderly)? | YES/NO |
| (ix) Offer financial products of any kind? | YES/NO |
| (x) Provide care, training or supervision to children under the age of 16? | YES/NO |
| (xi) Act as a recruitment consultant or place staff with third parties? | YES/NO |
| (xii) Act as project manager or project co-ordinator on construction related projects? | YES/NO |
| (xiii) Undertake valuation of property or other assets? | YES/NO |
| (xiv) Undertake work for clients in the petrochemical or nuclear sectors? | YES/NO |
| (xv) Advise on terrorist related exposures or have a direct exposure to terrorist acts? | YES/NO |
| (xvi) Undertake work for clients related to aviation or marine? | YES/NO |
| (xvii) Offer, sell, supply, make, install, maintain, repair, alter or treat any goods or products to third parties? | YES/NO |
| (xviii) Undertake work for clients in the rail industry? | YES/NO |
| (xix) Undertake Asbestos assessment and/or survey work? | YES/NO |

If **YES** in respect of any of the above, please provide full details:-

7.

- (a) Has any client represented more than 30% of the **Proposer's** income in any of their last three financial years or the current financial year? **YES/NO**
If **YES**, please provide details:-

Client Name	Territory	Date	Details Of Work Undertaken	Income Earned £	Jurisdiction of Contract

- (b) In respect of professional services provided, does the **Proposer** always agree terms of engagement provided by its Institute or which have been reviewed and approved by a solicitor who is acting independently of the **Proposer's** client? **YES/NO**
If **NO**, please advise under what circumstances this would not happen:-

- (c) Does the **Proposer** (or has it in any of the last six years or plan to in the next twelve months) engage sub-consultants, or undertake any contracts where they become contractually responsible for the services of any sub-consultant? **YES/NO**
If **YES**, please answer (d) and (e) below:-

- (d) Is there a clearly defined procedure in place to ensure that any such sub-consultant is:-
- (i) Engaged on contractual terms that are at least as onerous as the contractual terms Under which the **Proposer** has been engaged? **YES/NO**
 - (ii) Professionally competent to undertake the work in question? **YES/NO**
 - (ii) Adequately insured to cover any liability that is likely to arise in respect of the work in question? **YES/NO**
- If **NO** to any of 7(d)(i) – (iii) above, please answer the following question (iv):-
- (iv) What procedures are in place to manage and control the appointment of sub-consultants by the **Proposer**?

- (e) What is the minimum Professional Indemnity Insurance limit that the **Proposer** accepts for its sub-consultants? £ _____

- (f) Are any of the **Proposer's** fees outstanding for more than three months? **YES/NO**
If **YES**:-
- (i) Has the client(s) that owe(s) such fees intimated in any way a complaint(s) or problem(s) in respect of the work undertaken by the **Proposer**? **YES/NO**
- If **YES**:-
- (ii) Has any such complaint(s) or problem(s) been notified and accepted by existing or previous Professional Indemnity Insurers? **YES/NO**

8.

(a) In the last twelve years, has the **Proposer** undertaken any financial services activities in respect of giving advice or transacting investing of money or capital including, but not limited to, all activities regulated by the Financial Services and Markets Act 2000 and/or the Financial Services Act 1986? (or does it intend to in the next twelve months)? **YES/NO**

If **YES**, you will need to complete the appropriate Financial Adviser questionnaire. Please request this form from your D&P adviser.

(b) Are all cheques or money orders paid by the **Proposer** in excess of £5,000 subject to at least two authorised signatures? **YES/NO**

If **NO**, please provide reasons why not including details of sole signature limit and authorised sole signatories:-

(c) Is there a clearly defined control mechanism in place to ensure that all monies (including money transfers) paid to the **Proposer** are recorded, banked and reconciled independently within at most seven days of receipt? **YES/NO**

If **NO**, please provide reasons why not:-

9.

(a) Please provide details of the **Proposer's** current Professional Indemnity Insurance policy:-

Insurer	Expiry Date	Limit	Excess	Retro-Active Date (If Any)	Premium

(b) Has the **Proposer** ever been refused similar insurance, or had any policy cancelled or voided at any time? **YES/NO**

If **YES**, please provide full details:-

Professional Indemnity Insurance is underwritten on a 'claims made' basis and the Underwriters will exclude any claim and/or circumstance which may give rise to a claim, which is known by the Proposer (s) prior to the inception date of the policy. Please provide answers to the following questions after making full enquiry of all principals, partners, directors and employees.

10.

(a) Have any negligence claims ever been made against the **Proposer** or against any Director, Partner or employee of the **Proposer**, whether successful or otherwise? **YES/NO**

(b) Have any claims for dishonesty ever been made against the **Proposer** or against any Director, Partner or employee of the **Proposer** whether successful or otherwise? **YES/NO**

(c) Have any complaints or investigations ever been made or undertaken against the **Proposer** or against any Director, Partner or employee of the **Proposer**? **YES/NO**

(d) Has the **Proposer** or any Director, Partner or employee of the **Proposer** ever had a document relating to the **Proposer's** activities unintentionally destroyed, damaged, lost or mislaid? **YES/NO**

(e) Has the **Proposer** ever suffered any losses due to dishonesty of any Director, Partner or employee, or any other person or organisation? **YES/NO**

(f) Have any libel or slander claims ever been made against the **Proposer** or against any Director, Partner or employee of the **Proposer**, whether successful or otherwise? **YES/NO**

10.
Cont.

- (g) Have any infringement of copyright claims ever been made against the **Proposer** or against any Director, Partner or employee of the **Proposer**, whether successful or otherwise? **YES/NO**
- (h) Have any breach of confidentiality claims ever been made against the **Proposer** or against any Director, Partner or employee of the **Proposer**, whether successful or otherwise? **YES/NO**
- (i) After full enquiry is the **Proposer** or any Director, Partner or employee of the **Proposer** aware of any circumstances relating to the questions 10(a) to 10(h) above which may give rise to a potential claim or request for indemnity under the professional indemnity policy? **YES/NO**

(If **YES** to any of the above, please provide full details in the table provided below):-

Detail Of Claim / Circumstance	Incident Date	Amount Claimed £	Insurer Reserve /Paid ** £	Excess £	* Closed (Y/N)

* Please advise whether the Underwriters closed their file in each case. ** - includes damages (or amount paid in settlement of a claim for damages), claimant's costs, costs paid to any other party, and defence/investigation costs.

Declaration

I/We declare that the above answers, statements, particulars and additional information are true to the very best of the knowledge and belief of the **Proposer**. After full enquiry, I/We also confirm that I/We have disclosed all information and material facts that may alter the Underwriters' view of the risk, or affect their assessment of the exposures they are covering under the policy. I/We understand that all answers, statements, particulars and additional information supplied with this proposal form will become part of and form the basis of the policy.

Signature

For and/on behalf of the Proposer _____

Name in capital letters

(Printed) _____

Position _____

Date _____

Specialists in

- Professional Indemnity
- Commercial Legal Expenses
- Intellectual Property
- Employment Disputes
- Directors & Officers Liability
- Title Defects, Warranties, Property and Land Issues
- Asset Protection

Head Office: 4 St. John's Road, Tunbridge Wells, Kent TN4 9NP
Tel: 01892 678850 Fax: 01892 678848 Email: info@directorsandprofessionals.co.uk
Web: www.directorsandprofessionals.co.uk

'Authorised and regulated by the Financial Conduct Authority'

