

INSURED _____

DATE _____

UNDERWRITING INFORMATION CHECK LIST

- | | YES | NO |
|---|-------|-------|
| 1) D&O application? | _____ | _____ |
| a) Signed by Pres., Chrm., CEO or Administrator | _____ | _____ |
| b) Dated? | _____ | _____ |
| c) Any merger and or acquisitions? | _____ | _____ |
| If "YES" answers, provide details to the transaction including: | | |
| i) Use of outside counsel for legal and regulatory issues: | _____ | _____ |
| ii) Provide copy of transaction documents, including: | | |
| -Merger/affiliation agreements | _____ | _____ |
| -Amended bylaws or articles of incorporation | _____ | _____ |
| d) Anticipated changes with "Other Insurance/Medical Professional"? | _____ | _____ |
| -If "Yes", provide details. | _____ | _____ |
| e) Fully completed Additional Insured Addendum or Org. Chart? | _____ | _____ |
| 2) EPL Application? | _____ | _____ |
| a) Signed by Pres., Chrm., CEO or Administrator? | _____ | _____ |
| b) Dated? | _____ | _____ |
| c) Question 4., Employ Turnover, fully completed (no blank spaces)? | _____ | _____ |
| d) Any layoffs, reorganizations? | _____ | _____ |
| If "Yes" answers, Provide details to the event, including: | | |
| i) Number of personnel displaced or acquired? | _____ | _____ |
| ii) Use of outside counsel or labor consultant? | _____ | _____ |
| iii) Nature of the transaction? | _____ | _____ |
| 3) Financials for all entities to be insured? | _____ | _____ |
| a) Latest audit available (consolidated audit preferred)? | _____ | _____ |
| b) Current interim if audit is greater than 6 months old? | _____ | _____ |
| c) Financial loss? If yes: | _____ | _____ |
| i) Provide reason for loss and corrective actions implemented. | _____ | _____ |

Name: _____

Date: _____

Comments _____

This is a voluntary document that has been designed by G J Sullivan as a road map for the broker (and insured) to provide a complete and accurate renewal submission. By utilizing this document the underwriter will be better positioned to respond in a more timely fashion while offering the most competitive renewal terms and conditions available.

