

WEALTH ADVISERS PROFESSIONAL LIABILITY Directors and Officers Liability Supplement

1. Name of Applicant: _____
2. Entities for which coverage is requested (use separate sheet if necessary):

Business Name	Describe Activity	Owned By	% of Ownership	Date Formed/Acquired	Total Assets	Total Revenue

Total Number Of:	Common Shares Outstanding	Common Stock Shareholders	Common Shares Owned by Directors and Officers (direct and beneficial)

3. List any shareholder(s) owning five percent (5%) or more of the common shares directly or beneficially (use separate sheet if necessary):

Name	Title	% of Ownership

4. Has the Applicant been involved in any actual or proposed merger, acquisition, consolidation, tender offer, or divestment during the past *three years*? Yes No
- a. If "YES", provide details on a separate sheet

5. Have there been any claims, or are there any claims now pending, against any person proposed for this insurance in their capacity as owner, director, officer, partner, or trustee of any organization named in Q.2. (above)? Yes No

- a. If "YES", provide details on a separate sheet
- i. **NOTE: The policy, if issued, will not cover any such prior or pending claims.**

6. Has the Applicant or any of its owners, directors, officers, partners, or trustees been involved in, charged with, or have any knowledge of any fact or circumstance involving any of the following which may give rise to a claim under the proposed insurance (if "YES" to any of the below, provide details on a separate sheet):

- a. Civil action, criminal action, or administrative proceeding arising from an alleged or actual violation of any federal or state securities law or regulation? Yes No

- b. Civil action, criminal action, or administrative proceeding arising from an alleged or actual violation of any federal or state antitrust or fair-trade law? Yes No
- c. Unfair competition? Yes No
- d. Stealing a competitor's employees? Yes No
- e. Patent, trademark, or copyright litigation? Yes No
- f. Representative actions, class actions, or derivative lawsuits? Yes No
- g. Lawsuits brought by any regulatory body or government agency? Yes No
- h. Fines or sanctions levied by any regulatory body or government agency? Yes No

NOTE: The policy, if issued, will not cover any claim or action arising from such knowledge, charges, information, or involvement in any of 6.a. – 6.h. (above).

REPRESENTATION: You represent and warrant that the information and statements contained in this application are true, complete, and accurate and **you** agree that this application and all supplements and attachments hereto shall become the basis of any coverage and a part of any endorsement that may be issued to **you** by **us** in reliance upon said information and statements.

NOTICE: The execution of this application does not bind **you** to purchase any coverage offered, nor does the receipt and/or review of this application bind **us** to offer any coverage or issue any policy.

You agree that signing this application will permit Worldwide Facilities, LLC, as managers for AdvisersGold™, or its agents, to send emails relating to **your** coverage to the party identified in Question 1. of this application and its designees.

You agree that signing this application does not bind **you** or **us** to complete the insurance.

Signature of Applicant: _____ Date: _____

Title: _____ Firm: _____