

WEALTH ADVISERS PROFESSIONAL LIABILITY Small Firm Supplement

1. Name of Applicant: _____
2. Do **you** receive commissions? Yes No
- a. If "YES", provide the total commission income by percent (must equal 100%)

Type of Product	%	Engagement Letter Used [Y/N]
CMOs / Derivatives		
Foreign Securities (excluding ADRs)		
General or Limited Partnerships		
Hedge Funds or Fund of Hedge Funds		
Investment Grade Bonds		
Junk Bonds		
Life/Health/Disability/Accident Sales/Long Term Care		
Listed Stocks		
Mutual Funds		
Options / Futures / Tangibles		
Private Placements		
Promissory Notes / Leases / Receivables		
REITs (other than REIT Mutual Funds)		
Subprime Mortgages or Subprime CMOs of CDOs		
Unlisted Stocks		
Unregistered Securities		
Viatical Agreements / Senior Settlements / Life Settlements		
Variable Annuities		
Other [1]		

[1] Please describe: _____

3. Are you associated with or consult with any Broker-Dealer, Investment Adviser, or Investment Manager that does not use an independent third-party as a custodian for investment funds?
- a. Yes No
- i. If "YES", provide details:

Signature of Applicant: _____ Date: _____

Title: _____ Firm: _____