

Beazley | Financial Institutions –
Investment Manager

Please provide with this proposal form the most recent copies of the following documents:

- Proposer’s audited annual report and accounts
- Organisational structure chart
- For all Funds: prospectus, financial statements and performance reports
- Biographies of the principal directors
- Due diligence questionnaire
- Any supplementary information which is material to the response of the questions

Proposer information

1. Name of the Proposer:

2. Principal address:

3. Website address:

4. Date of establishment: dd/mm/yyyy / /

5. a. Are there any shareholders who own more than 10% of the issued shares in the Proposer? Yes No
 - b. If ‘Yes’, please provide details of the shareholders and the percentage of shares held:

6. Please state the total number of employees and offices in each location:

| | Employees | Offices |
|----------------------------|-----------|---------|
| Africa | | |
| Arab States | | |
| Asia | | |
| Canada | | |
| Caribbean | | |
| Central and Eastern Europe | | |
| South America | | |
| Rest of World | | |
| Western Europe | | |
| UK | | |
| USA | | |
| Total | | |

Fund activities

7. Please state the total value of assets under management for which cover is requested:
8. Please complete the table below for each fund for which cover is requested:

| Name of fund | Date of establishment | Domicile | Listed/Unlisted | Funds under management | Gross annualised rate of return | Leverage current/maximum |
|--------------|-----------------------|----------|-----------------|------------------------|---------------------------------|--------------------------|
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9. Please describe the overall investment strategy for each of the funds:

10. Please state the percentage split of assets under management invested in each location:

| | Percentage split |
|----------------------------|------------------|
| Africa | % |
| Arab States | % |
| Asia | % |
| Canada | % |
| Caribbean | % |
| Central and Eastern Europe | % |
| South America | % |
| Rest of World | % |
| Western Europe | % |
| UK | % |
| USA | % |
| Total | 100% |

11. Please state the percentage split by investor domicile:

| % of assets under management | |
|------------------------------|-------------|
| Europe | % |
| USA | % |
| Rest of World | % |
| Total | 100% |

12. Please state the percentage split by investor type:

| % of assets under management | |
|------------------------------|-------------|
| Institutional | % |
| High net worth individuals | % |
| Retail | % |
| Other | % |
| Total | 100% |

13. Is there any plan to create or acquire a new fund within the next 12 months? Yes No

If 'Yes', please provide details:

14. Does the Proposer allow side investments with the funds? Yes No

If 'Yes', are they fully disclosed to all investors? Yes No

15. Does the Proposer use independent external fund administrators to provide net asset valuations (NAVs)? Yes No

If 'No', please explain:

16. Has any fund for which cover is requested:

a. received redemption requests amounting to more than 20% of the total value of the fund? Yes No

b. imposed a suspension? Yes No

c. had a 25% or more drop in NAV in any given 12 months, during the life of a fund? Yes No

d. been restructured or is likely to be liquidated or restructured over the next 12 months? Yes No

If 'Yes', to any of the above, please provide details:

17. Has the Proposer received any investor complaints in the last 24 months? Yes No
 If 'Yes', please provide details:

Risk management

18. a. Is there an agreed internal audit plan? Yes No
 b. Have all material recommendations arising from the internal audit plan been implemented? Yes No

If 'No', to either of the above, please provide details:

19. a. Please state the name of the external audit company used:
 b. Have all recommendations made by the external audit company been implemented? Yes No
 If 'No', please provide details:

20. a. Please state the Proposer's primary regulator:
 b. When was the Proposer's most recent regulatory review?
 c. Have all recommendations arising from the most recent regulatory review been implemented? Yes No
 If 'No', please provide details:

21. Does the Proposer have compliance procedures to ensure all staff comply with the regulatory rules, principles, codes and guidelines? Yes No
 22. Does the Proposer have a business continuity plan that is regularly reviewed, updated and tested? Yes No

- | | | |
|---|-----|----|
| 23. Is there an IT cyber security plan in place that is regularly reviewed, updated and tested? | Yes | No |
| 24. Are the duties of each employee arranged so that no one employee is permitted to control any transaction from commencement to completion? | Yes | No |
| 25. Is there a social engineering fraud risk management strategy in place? | Yes | No |
| 26. Does the Proposer’s computer system automatically prevent breaches of investment mandates or engagement letters? | Yes | No |

If ‘No’ to questions 21 to 26, please explain:

Claims information

27. Please read the following statements and confirm as indicated below:

- a. No claim, proceeding or demand has been made or brought against the Proposer or any of its directors, officers or employees in the last five years (whether insured or not);
- b. The Proposer or any of its directors, officers or employees have not been the subject of any regulatory, administrative or governmental investigation in the last five years (whether insured or not);
- c. No crime losses have been sustained by the Proposer in the last five years (whether insured or not);
- d. The Proposer, after enquiry, is not aware of any act, error, omission, event, circumstance or incident which may give rise to a claim, proceeding or demand or any regulatory, administrative or governmental investigation or crime loss.

All the statements above are true and accurate: Yes No

If ‘No’, please provide details below or on a separate sheet:

Important notice

Before commencement of any insurance policy, the Proposer is required to make a fair presentation of the risk in accordance with the Insurance Act 2015.

The Proposer must disclose all material circumstances which the Proposer knows or ought to know or, failing that, has given us, Beazley the Insurer, sufficient information to put a prudent insurer on notice that it needs to make further enquiries for the purpose of revealing those material circumstances. If there is a fraudulent or intentional breach of the duty of disclosure, the Proposer may receive nothing from the policy.

A material circumstance is one which would influence a prudent insurer's judgement of the risk.

If the Proposer has any questions regarding the duty to make a fair presentation of the risk then please contact your broker for further information.

Declaration

It is declared that the Proposer has made a fair presentation of the risk. This declaration is signed by the director or officer who is responsible for arranging insurance on behalf of the Proposer.

Signature:

Position:

Date: / /

This proposal form should be signed no earlier than 30 days prior to inception of the policy.

Data protection notice

Beazley collects and uses information (including any personal data) provided by the Proposer in order to consider providing an insurance quote for the Proposer and any other entities or individuals intended to be insured.

If Beazley needs to process or obtain any special category data not provided by the Proposer within this proposal form then Beazley will seek consent from the Proposer before doing so. If the Proposer is providing any personal information on behalf of an individual, then the Proposer must inform that individual of this notice.

Beazley may share the information collected with a number of third parties such as agents, brokers, reinsurers, regulators and law enforcement agencies. Beazley will only disclose any personal information to the extent required or permitted by law.

Beazley's privacy notice is available [here](#)

If the Proposer or any individual wishes to contact Beazley regarding their data and rights then please contact DPO@Beazley.com