

Beazley | Financial Institutions –
Corporate Service Provider

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insurance

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

- Proposer’s latest audited annual report and accounts
- Organisational structure chart
- Biographies of the principal directors
- Standard form of agreement/terms of engagement
- 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		

Activities

7. Please state the total assets under administration:
8. What percentage of the total assets under administration are discretionary accounts? %
9. Please state the total revenue figure from the latest audited financial statement:
10. Please state the percentage split of revenue 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 of revenue by activity:

	Percentage split
Accounting/tax advice	%
Acting as directors/officers/company secs	%
Formation/administration of companies	%
Formation/administration of trusts	%
Fund administration	%
Fund management	%
Insurance	%
Legal advice and services	%
Trustee appointments	%
Other	%
Total	100%

Please provide details of 'Other' revenue producing activities:

12. Please provide details of any new services or products intended to be offered in the next 12 months:

13. What is the Proposer's average fee per client?

14. What is the Proposer's largest client fee?

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

If 'No', please explain:

Risk management

16. 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:

17. 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:

18. 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:
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19. Does the Proposer have compliance procedures to ensure all staff comply with the regulatory rules, principles, codes and guidelines? Yes No
20. Are all new services and products subject to an approval process that includes sign off from the business unit manager, compliance and legal? Yes No
21. Does the Proposer have a business continuity plan that is regularly reviewed, updated and tested? Yes No
22. Is there an IT cyber security plan in place that is regularly reviewed, updated and tested? Yes No
23. Are the duties of each employee arranged so that no one employee is permitted to control any transaction from commencement to completion? Yes No
24. Is there a social engineering fraud risk management strategy in place? Yes No
- If ‘No’, to questions 19 to 24, please explain:

Outside directorships

25. Are employees appointed to external boards at the request of the Proposer? Yes No
- If ‘Yes’,
- a. How many outside director positions do the employees of the Proposer hold?
- b. Does the Proposer provide directors for any companies that are listed on a stock exchange? Yes No
- c. Does the Proposer provide directors for any US incorporated companies? Yes No
- If ‘Yes’, please provide details:

Claims information

26. 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.

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