



Financial Institutions Proposal Form

CORPORATE SERVICE PROVIDERS

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

- Insured'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

Insured Information

1. Name of the Insured:

2. Name of the parent company (if applicable):

3. Principal address:

4. Website address:

5. Date of establishment: / /

6. Are there any shareholders who own more than 10% of the issued shares in the Insured?

Yes No

If **'YES'**, please provide details of the shareholders and the percentage of shares held:

7. Has the Insured been the subject of any merger and/or acquisitions during the past three years?

If **'YES'**, please provide details:

8. Has the Insured revealed publicly that it is the subject of any pending merger and/or acquisition?

If **'YES'**, please provide details:

9. Please state the total number of full-time employees and offices in each location:

	Employees	Offices
UK		
Europe		
US		
Canada		
South America		
Africa		
Asia		
Oceania		
Middle East		
Eastern Europe		
Caribbean		
Total		

Activities

10. Please state the total assets under administration:

11. What percentage of the total assets under administration are discretionary accounts? %

12. Please state the total revenue figure from the latest audited financial statement:

13. Please state the percentage split of revenue in each location:

Percentage split	
UK	%
Europe	%
US	%
Canada	%
South America	%
Africa	%
Asia	%
Oceania	%
Middle East	%
Eastern Europe	%
Caribbean	%
Total	100%

14. Please state the percentage split of revenue by activity:

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

15. Please provide details of **'OTHER'**, revenue producing activities:

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

17. What is the Insured's average fee per client?

18. What is the Insured's largest client fee?

19. Does the Insured use independent external fund administrators to provide net asset valuations (NAV)?

Yes No

If **'NO'**, please explain:

Risk Management

20. 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:

21. 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:

22. a. Please state the Insured's primary regulator:

b. When was the Insured'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:

23. Does the Insured have compliance procedures to ensure all staff comply with the regulatory rules, principles, codes and guidelines?

Yes No

24. 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

25. Does the Insured have a business continuity plan that is regularly reviewed, updated and tested?

Yes No

26. Is there an IT cyber security plan in place that is regularly reviewed, updated and tested?

Yes No

27. Are the duties of each employee arranged so that no one employee is permitted to control any transaction from commencement to completion?

Yes No

28. Is there a social engineering fraud risk management strategy in place? Yes No

If **'NO'**, to questions 22 to 27, please explain:

29. Please state the total number of complaints received in the past 2 years:

30. How many of these complaints were unsettled after 60 days:

31. Please provide details of all complaint cases in the past two years involving monetary settlements or awards in excess of USD 5,000:

32. Does the Insured have any exposure to any politically exposed persons (PEPs)?

Yes No

If **'YES'**, please provide details:

Outside Directorships

33. Are employees appointed to external boards at the request of the Insured? Yes No

If **'YES'**, please complete the following questions:

a. How many outside director positions do the employees of the Insured hold?

b. Does the Insured provide directors for any companies that are listed on a stock exchange?

Yes No

c. Does the Insured provide directors for any US incorporated companies? Yes No

If **'YES'**, to questions b. or c., please provide details:

Claims Information

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

- a. No claim, proceeding or demand has been made or brought against the Insured or any of its directors, officers or employees in the last five years (*whether insured or not*);
- b. The Insured 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 Insured in the last five years (*whether insured or not*);
- d. The Insured, 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 Insured is required to make a fair presentation of the risk. The Insured must disclose all material circumstances which the Insured knows or ought to know or, failing that, has given us, Inigo 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 Insured 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 Insured has made a fair presentation of the risk. This declaration is signed by the director officer who is responsible for arranging insurance on behalf of the Insured.

Signature:

Position:

Date: / /

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

Data Protection Notice

Inigo collects and uses information, including any relevant personal data, provided by the Insured in order to consider providing an insurance quote for the Insured and any other entities or individuals intended to benefit from the proposed insurance.

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

Inigo may share the information collected with a number of third parties including but not limited to agents, brokers, reinsurers, regulators and law enforcement agencies. Inigo will only disclose any personal information to the extent required or permitted by law.





If the Insured or any individual wishes to contact Inigo regarding their data and rights then please contact Inigo's Data Protection Officer at dpo@inigoinsurance.com

Full details of Inigo's privacy policy can also be found here: inigoinsurance.com/privacy-policy



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