## **Carolina Casualty Insurance Company**

4600 Touchton Road East, Building 100, Suite 400, Jacksonville FL 32246

## **Proposal Form**

AP

## Nonprofit Management Liability Insurance

CLAIMS MADE WARNING FOR APPLICATION: This Proposal Form is for a Claims Made and Reported Policy, relating to claims made against the Insureds during the Policy Period or the Extended Reporting Period, if applicable.

Whenever printed in this Proposal Form, the terms in boldface type shall have the same meanings as indicated in the **Policy**. This Proposal Form is to be completed with respect to the <u>entire</u> **Insured Entity**. **Insured Entity** as used herein is defined to include the **Named Insured** and any **Subsidiaries**.

Name of <b>Named Insured</b>						
Street Address				Suite		
City	County	Sta	te	Zip Code		
Website Address (if applical The person designated as age authorized representatives cond	ent of the <b>Insured Entity</b> and of a		deral Employer Iden eive any and all no			
Contact Name			Title			
E-mail Address Producer Information	Telephone N	lumber	Fax Number	,		
Submitted by (Agency Nam	e)		Dated			
Agent's Name (Individual's Name)  Coverage Desired			Agent's Lice	Agent's License Number		
Indicate the type of limit request  Current Insurance Inform	☐ Separate Aggregate Limi	nit of Liability for all	Coverage Section	<b>s</b> , or		
	nation regarding the <b>Insured Entit</b> <u>Insurance Carrier</u>	Expiration Date	urance policies. If ' Limit of Liability \$	'None", so state  Deductible  \$	. <u>Premium</u> \$	
Employment Practices Liability:			\$	\$	\$	
Directors and Officers Liab 3. Within the last 3 years, has	s any Claim been made or has not illity, Employment Practices Liability any Directors and Officers Liability ance policies for the Insured Entity	y or Fiduciary Liabil y, Employment Pra y ever been cancell	ity insurance or sim ctices Liability, Fidu	ilar insurance? ciary Liability ?	\$ No Yes No No	
4. Is any Insured aware of ar expected to result in a Clai IF "YES" TO QUESTION 4., I SETTLED OR OTHERWISE ATTACHMENT:	ny fact, circumstance or situation in m for each applicable Coverage S PROVIDE FULL DETAILS FOR RESOLVED, BY PROVIDING T	Section indicated at EACH ALLEGATION HE FOLLOWING	oove? ON, EVEN IF THE INFORMATION F	MATTER HAS	LEGATION BY	
(e) Demand Amount	(b) Claimant's Name (f) Settlement (Indemnity) or Res	erve Amount	legation	(d) Current Single (g) Attorney's	fees	

IT IS UNDERSTOOD AND AGREED THAT THE INSURER SHALL NOT BE LIABLE TO MAKE ANY PAYMENT FOR LOSS IN CONNECTION WITH ANY CLAIM MADE AGAINST ANY INSURED BASED UPON, ARISING OUT OF, DIRECTLY OR INDIRECTLY RESULTING FROM OR IN CONSEQUENCE OF, OR IN ANY WAY INVOLVING ANY LAWSUIT, ADMINISTRATIVE PROCEEDING, WRITTEN DEMAND, FACT, CIRCUMSTANCE, OR SITUATION SET FORTH OR THAT SHOULD HAVE BEEN SET FORTH IN THE INSURED'S RESPONSE TO QUESTION 4.

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Direc	ctors, Officers and Organization Liability Insurance Coverage Section	
5.	(a) Does the <b>Insured Entity</b> currently have a tax-exempt status under the U.S. Internal Revenue Service Code? If "Yes", under which IRSC Section?	☐ Yes ☐ No
	If "No", provide an explanation:	_
	(b) Have there been or are there now pending, any disputes as to the Insured Entity's tax-exempt status?	☐ Yes ☐ No
6.	The Named Insured has been in continuous operation since:	_
7.	Describe the Insured Entity's nature of operations:	
8.	Does the Insured Entity own or hold any patents? If "Yes", how many?	☐ Yes ☐ No
9.	Does the <b>Insured Entity</b> :  (a) provide any professional services including, but not limited to, legal counseling, medical care, peer review and credentialing activities to others?	☐ Yes ☐ No
	(b) promote, sponsor or provide any form of insurance to its members or non-members?	Yes No
	(c) transact electronic commerce on behalf of itself, members or third parties?	☐ Yes ☐ No
	(d) have a membership in any nonprofit or professional associations? If "Yes", provide association names below.	☐ Yes ☐ No
10.		state.  None e requested for hader this <b>Policy</b> ?
		es ☐ No
	☐ Yes, IRSC: ☐ No \$ ☐ Y	es 🗖 No
	UNDERSTOOD AND AGREED THAT COVERAGE IS NOT PROVIDED FOR SUBSIDIARIES OR RELATED OF UESTION 10. UNLESS THE INFORMATION REQUESTED ABOVE IS PROVIDED.	RGANIZATIONS
11.	Provide the following financial information with respect to the <b>Insured Entity</b> :  Period Ending:	/ /
	Assets (000): \$ Fund Balance* (000): \$ Annual Revenues (000): \$	•
	*Fund Balance equals Total Assets minus Total Liabilities	
12.	(a) Is the Insured Entity currently in bankruptcy?	☐ Yes ☐ No
	(b) Within the next 12 months, is the <b>Insured Entity</b> contemplating filing a petition for protection under the bankruptcy code?	☐ Yes ☐ No
13.	Within the last 3 years, have there been resignations, departures, retirements, or terminations in the position of	
	the Chairperson of the Board of Directors, President, Chief Executive Officer, Executive Director, or Chief Financial Officer that fall outside of the scope of annual elections or bylaws?	☐ Yes ☐ No
	If "Yes", provide the following details by attachment: Name of individual; date of change; and reason for change.	
14.	During the last 5 years, has the <b>Insured Entity</b> or any of the <b>Insured Persons</b> received any written demands for monetary or non-monetary relief, been involved in, or had any knowledge of any civil or criminal action, administrative or arbitration proceeding, including both domestic or foreign equivalents, involving:	
	(a) any intellectual property disputes, including Copyright, Patent, or Trademark Laws?	Yes No
	(b) any alleged violation of any Federal or State Security Law or Regulation?	Yes No
	(c) any alleged violation of any Federal or State Anti-Trust or Fair Trade Law?	☐ Yes ☐ No
	(d) any other allegations of violations of federal, state or local statute, regulation, ordinance or common law that would otherwise be within the scope of this proposed insurance?	☐ Yes ☐ No
IF "Y	/ES" TO ANY PART OF QUESTION 14., PROVIDE FULL DETAILS FOR EACH ALLEGATION, EVEN IF THE	
SINC	CE BEEN SETTLED OR OTHERWISE RESOLVED, BY PROVIDING THE FOLLOWING INFORMATION BY ATTACHMENT:	
	Date Claim first made (b) Claimant's Name (c) Allegation (d) Current St	atus
	Demand Amount (f) Settlement (Indemnity) or Reserve Amount (g) Attorney's	
	S UNDERSTOOD AND AGREED THAT THE INSURER SHALL NOT BE LIABLE TO MAKE ANY PAYMENT INFCTION WITH ANY CLAIM MADE AGAINST ANY INSURED BASED UPON ARISING OUT OF DIRECTLY O	

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⊏mp	ioyment Praci	tices Liab	ility insura	ance Cove	erage Section (Co	implete this section	if this coverage	e is aesirea)
15.	Number of Employees:	Full Time	<u>Part</u> Time	Leased	Seasonal and/or Temporary	Volunteers and/or Interns	Independent Contractors	Annual Turnover Rate
	Current Year:		<u> </u>					
	Last Year:							
16.	Indicate which for	ormal written	policies and	procedures	have been implement	ed. If "None", so state	<del> </del>	☐ None
		Handbook / M	-	-	larassment Policy, incl		s with more than	
		nination Polic			l Harassment	_	ly Medical Leave	Act
	Equal Empl	oyment Oppo		☐ Adher	ence to Employment "		Employers Only	
	(EEO) Polic	•			nship with all <b>Émploy</b>		ornia Family Righ	ts Act
17.					been involved in any			
					rings or proceedings b omestic or foreign equ		ving agencies	
	(a) National La			daing both a	omestic or loreign equ	iivaiciits:		☐ Yes ☐ No
	(b) Equal Empl			mission?				☐ Yes ☐ No
	(c) Office of Fe				?			☐ Yes ☐ No
	(d) U.S. Depart	tment of Labo	or?					Yes No
	(e) Any state of	r local goverr	nment agenc	y such as th	e Labor Department o	r fair employment age	ncy?	Yes No
	(f) U.S. District							Yes No
18.					<b>ployee</b> or third party n r <b>Wrongful Acts</b> agai		herwise alleged	☐ Yes ☐ No
					laint with the Equal En			
					de a written demand by ed dispute or grievanc		r Employee	
IF "Y					OVIDE FULL DETAIL		GATION, EVEN	IF THE MATTER
				ISE RESO	LVED, BY PROVIDII	NG THE FOLLOWIN	NG INFORMATI	ON FOR EACH
	EGATION BY ATT	_		Nama	(a)	Allogation	(d) Current C	`totuo
` '	ate Claim first ma emand Amount		Claimant's I		or Reserve Amount	Allegation	(d) Current S (g) Attorney's	
IT IS	UNDERSTOOD	AND AGRE	ED THAT	THE INSUR	ER SHALL NOT BE		ANY PAYMEN	FOR LOSS IN
CONNECTION WITH ANY CLAIM MADE AGAINST ANY INSURED BASED UPON, ARISING OUT OF, DIRECTLY OR INDIRECTLY RESULTING FROM OR IN CONSEQUENCE OF, OR IN ANY WAY INVOLVING ANY LAWSUIT, ADMINISTRATIVE PROCEEDING,								
WRIT	TEN DEMAND. I	FACT. CIRC	UMSTANCE	OF, OR IN A	TION SET FORTH O	R THAT SHOULD H	AVE BEEN SET	FORTH IN THE
	RED'S RESPON							. •
Fidu	ciary I iability	Insurance	e Coverag	e Section	(Complete this sec	tion if this coverage	is desired)	
					loyee welfare benefit p			noncion plan, co
19.					ree Benefit Plans) wh			
		, (		Type of	•		•	air Market Value
	<u>Na</u>	ame of Plan		Plan*	Name of Plan	Sponsor Par	ticipants	of Plan Assets
				<u> </u>				
					ition; (ESOP)=Employ	ee Stock Ownership F	Plan; (WB)=Heal	h & Welfare Benefit
	)=Multi Employer					OD EMDLOVEE DEN	EEIT DI ANI/O\ II	LOUESTION 40
					S NOT PROVIDED FO E OR NOT PROVIDE		EFII PLAN(S) II	N QUESTION 19.
20.					any Employee Benefit		arty-in-interest	
					ils by attachment.	, , , , , , , , , , , , , , , , , , ,	,	☐ Yes ☐ No
21.					plan, or has any plan			
		iver of contril	butions? If "	Yes", provide	e plan name and amou	unt of overdue contrib	utions by	
20	attachment.	voore ber il	hara bassa -	rio there e	month, under constit	ation only restaurations	n tormination	☐ Yes ☐ No
22.					rently under considera an? If "Yes", provide t			
	attachment.	icaction of al	., Linpioye		air. ii 100 , piovido t		action by	☐ Yes ☐ No

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23.	If any of the following questions are answered "No", provide details by attachment.					
	(a) Are all Employee Benefit Plans compliant with the Health Insurance Portability and Accountability Act ("HIPAA")?	☐ Yes ☐ No				
	(b) Does the plan sponsor comply with the summary plan description requirements under <b>ERISA</b> for all <b>Employee Benefit Plans</b> ?	□ Vaa □ Na				
	· ·	☐ Yes ☐ No☐ Yes ☐ No☐				
	<ul><li>(c) Do all employee pension benefit plans or pension plans have a written investment policy?</li><li>(d) Are all employee pension benefit plan or pension plan assets managed by a third party investment manager?</li></ul>	Yes No				
	(e) Do the fiduciaries review the investment guidelines used by the investment managers at least annually?	Yes No				
	(f) Is the "fair market value" of all employee pension benefit plan or pension plan assets calculated at least	a res a No				
	annually?	☐ Yes ☐ No				
24.	During the last 5 years, has there been, or is there currently, any investigation by the IRS, Department of Labor					
	("DOL"), Pension Benefit Guarantee Corporation ("PBGC"), or any other state or federal agency of any <b>Employee Benefit Plan</b> or any current or former fiduciary of such <b>Employee Benefit Plan</b> ? If "Yes", provide details by					
	attachment.	☐ Yes ☐ No				
25.	During the last 5 years, has any <b>Insured</b> been named as a party in any civil or criminal action, administrative,	<b>—</b> 103 <b>—</b> 110				
	arbitration, regulatory or investigative proceeding, or received any other written demands for money or services					
	that would be within the scope of this proposed insurance?	☐ Yes ☐ No				
	ES" TO ANY PART OF QUESTION 25., PROVIDE FULL DETAILS FOR EACH ALLEGATION, EVEN IF THE					
	E BEEN SETTLED OR OTHERWISE RESOLVED, BY PROVIDING THE FOLLOWING INFORMATION	FOR EACH				
	EGATION BY ATTACHMENT: Date Claim first made (b) Claimant's Name (c) Allegation (d) Current Sta	itue				
` '	Demand Amount (f) Settlement (Indemnity) or Reserve Amount (g) Attorney's f					
	S UNDERSTOOD AND AGREED THAT THE INSURER SHALL NOT BE LIABLE TO MAKE ANY PAYMENT					
	NECTION WITH ANY CLAIM MADE AGAINST ANY INSURED BASED UPON, ARISING OUT OF, DIRECTLY OF					
	ULTING FROM OR IN CONSEQUENCE OF, OR IN ANY WAY INVOLVING ANY LAWSUIT, ADMINISTRATIVE I					
	ITEN DEMAND, FACT, CIRCUMSTANCE, OR SITUATION SET FORTH OR THAT SHOULD HAVE BEEN SET F	ORTH IN THE				
INSU	IRED'S RESPONSE TO QUESTION 25.					
Doc	uments Required (The following information must be submitted with the completed Proposal For	m).				
•	Provide details to all "Yes" answers, when applicable below, or by attachment when additional space is required.					
•	If requesting the Fiduciary Liability Insurance Coverage Section, a copy of the most recent public accountant's					
	audit report or IRS Form 5500 for each <b>Employee Benefit Plan</b> is required.					
	se Read Carefully					
	undersigned, acting on behalf of all proposed <b>Insureds</b> , declare that the statements set forth herein are true and co					
	ough efforts have been made to obtain sufficient information from each <b>Insured</b> proposed for this insurance to facilit accurate completion of this Proposal Form.	ate the proper				
	undersigned agree that the particulars and statements contained in the Proposal Form and any material submitted	herewith are				
	r representations and that they are material and are the basis of the insurance contract. The undersigned further					
Proposal Form and any material submitted herewith shall be considered attached to and a part of the <b>Policy</b> . Any material submitted						
	the Proposal Form shall be maintained on file (either electronically or paper) with the <b>Insurer</b> and shall be deemed	to be attached				
	eto as if physically attached. further agreed that:					
•	if any significant change in the condition of the applicant is discovered between the date of this Proposal Form a	nd the Policy				
	inception date, which would render this Proposal Form inaccurate or incomplete, notice of such change will be reported					
•	the <b>Insurer</b> immediately; any <b>Policy</b> , if issued, will be in reliance upon the truth of such representations; provided, however, with respect to su	ch statements				
•	and representations, no knowledge or information possessed by any <b>Insureds</b> shall be imputed to any other <b>Ins</b>					
	person or persons knew as of the Policy inception date that such declarations and statements contained in the Pro					
	were untrue, inaccurate or incomplete, then this <b>Policy</b> will be void as to that person or persons. However, if the Cha					
	Board of Directors, President, Chief Executive Officer, or Executive Director of the Insured Entity knew as of the Policy inception					
	date that such declarations and statements contained in the Proposal Form(s) were untrue, inaccurate or incomp Policy will be void as to that person or persons and the Insured Entity;	iete, then this				
		,				
•	this Proposal Form has been completed as respects the entire <b>Insured Entity</b> :	,				
•	this Proposal Form has been completed as respects the <u>entire</u> <b>Insured Entity</b> ; and the signing of this Proposal Form does not bind the undersigned to purchase the insurance.	,				
	this Proposal Form has been completed as respects the entire Insured Entity; and the signing of this Proposal Form does not bind the undersigned to purchase the insurance.					
•						

Title Chairperson of the Board of Directors, President, Chief Executive Officer or Executive Director (Print Name)
This Carolina Casualty Insurance Company Proposal Form, including any material submitted herewith, shall be held in strictest confidence.

A POLICY CANNOT BE ISSUED UNLESS THE PROPOSAL FORM IS PROPERLY SIGNED AND DATED.

Please submit this Proposal Form including appropriate documentation to:

Monitor Liability Managers, LLC, 2850 West Golf Road, Suite 800, Rolling Meadows, IL 60008-4039

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NOTICE TO COLORADO APPLICANTS: IT IS UNLAWFUL TO KNOWINGLY PROVIDE FALSE, INCOMPLETE, OR MISLEADING FACTS OR INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING OR ATTEMPTING TO DEFRAUD THE COMPANY. PENALTIES MAY INCLUDE IMPRISONMENT, FINES, DENIAL OF INSURANCE, AND CIVIL DAMAGES. ANY INSURANCE COMPANY OR AGENT OF AN INSURANCE COMPANY WHO KNOWINGLY PROVIDES FALSE, INCOMPLETE, OR MISLEADING FACTS OR INFORMATION TO A POLICY HOLDER OR CLAIMANT FOR THE PURPOSE OF DEFRAUDING OR ATTEMPTING TO DEFRAUD THE POLICY HOLDER OR CLAIMANT WITH REGARD TO A SETTLEMENT OR AWARD PAYABLE FROM INSURANCE PROCEEDS SHALL BE REPORTED TO THE COLORADO DIVISION OF INSURANCE WITHIN THE DEPARTMENT OF REGULATORY AGENCIES.

NOTICE TO NEW MEXICO, PENNSYLVANIA APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM CONTAINING ANY MATERIALLY FALSE INFORMATION OR CONCEALS FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME AND SUBJECTS SUCH PERSON TO CRIMINAL AND CIVIL PENALTIES.

NOTICE TO APPLICANTS OF KENTUCKY: ANY PERSON WHO KNOWINGLY, AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE CONTAINING ANY MATERIALLY FALSE INFORMATION OR CONCEALS, FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME.

NOTICE TO APPLICANTS OF MINNESOTA, NEW JERSEY, AND OKLAHOMA: ANY PERSON WHO KNOWINGLY, AND WITH INTENT TO INJURE, DEFRAUDS OR DECEIVES ANY INSURER OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM FOR THE PROCEEDS OF AN INSURANCE POLICY CONTAINING ANY FALSE, INCOMPLETE, OR MISLEADING INFORMATION OR CONCEALS FOR THE PURPOSE OF MISLEADING INFORMATION CONCERNING ANY FACT MATERIAL THERETO, IS GUILTY OF A FELONY AND IS SUBJECT TO CRIMINAL AND CIVIL PENALTIES.

NOTICE TO MAINE, MASSACHUSETTS, TENNESSEE, VIRGINIA, AND WASHINGTON APPLICANTS: IT IS A CRIME TO KNOWINGLY PROVIDE FALSE, INCOMPLETE OR MISLEADING INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING THE COMPANY. PENALTIES INCLUDE IMPRISONMENT, FINES AND DENIAL OF INSURANCE BENEFITS.

<u>NOTICE TO OHIO APPLICANTS:</u> ANY PERSON WHO, WITH INTENT TO DEFRAUD OR KNOWING THAT HE IS FACILITATING A FRAUD AGAINST AN INSURER, SUBMITS AN APPLICATION OR FILES A CLAIM CONTAINING A FALSE OR DECEPTIVE STATEMENT IS GUILTY OF INSURANCE FRAUD.

NOTICE TO APPLICANTS OF FLORIDA: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO INJURE, DEFRAUD OR DECEIVE ANY INSURER FILES A STATEMENT OF CLAIM OR AN APPLICATION CONTAINING ANY FALSE, INCOMPLETE, OR MISLEADING INFORMATION IS GUILTY OF A FELONY OF THE THIRD DEGREE.

NOTICE TO ARKANSAS, DISTRICT OF COLUMBIA, LOUISIANA, MARYLAND, AND RHODE ISLAND APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES AND CONFINEMENT IN PRISON.

NOTICE TO NEW YORK APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM CONTAINING ANY MATERIALLY FALSE INFORMATION, OR CONCEALS FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO, COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME, AND SHALL ALSO BE SUBJECT TO A CIVIL PENALTY NOT TO EXCEED FIVE THOUSAND DOLLARS AND THE STATED VALUE OF THE CLAIM FOR EACH SUCH VIOLATION.

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