



UNDERWRITTEN IN FEDERAL INSURANCE COMPANY OR VIGILANT INSURANCE COMPANY

FOREFRONT BY CHUBB FOR INVESTMENT ADVISERS WILL COVER ONLY CLAIMS FIRST MADE AGAINST THE INSURED DURING THE POLICY PERIOD OR ANY OPTIONAL EXTENDED REPORTING PERIOD, IF EXERCISED, BY THE INSURED. THE LIMITS OF LIABILITY MAY BE COMPLETELY EXHAUSTED BY THE COST OF LEGAL DEFENSE. ANY DEDUCTIBLE IS SIMILARLY REDUCED AND MAY BE EXHAUSTED BY DEFENSE COSTS.

A. GENERAL INFORMATION

- 1. a. Name of Applicant
b. Address of Applicant:
c. Date Applicant Established:
d. Employee census: Portfolio Managers, Research Staff, Compliance/Audit, Sales/Marketing, Other (Please explain), Total
e. Is the firm registered with the SEC under the Investment Advisers Act of 1940? YES NO
2. Name of Agent and Agent's License Number:
3. Limits and Deductible Requested: a. Limit: \$ b. Deductible: \$
4. Business Form: a. Corporation b. General Partnership c. Limited Partnership d. Limited Liability Company e. Other

If incorporated, please complete the following:

- (1) State of incorporation:
(2) Total number of shareholders:
(3) Total number of shares outstanding:
(4) Total number of shares owned directly or beneficially by Directors or Officers: