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**NON-PROFIT DIRECTORS AND OFFICERS INSURANCE**

**APPLICATION FORM**

# INSTRUCTIONS

* Please complete all questions. If a question is not applicable, please answer “N/A”.
* The term "Applicant" includes all subsidiaries (which are more than 50% owned) proposed for this insurance.
* Please make certain the application is currently dated and signed by either: the Chief Executive Officer, the Chairman of the Board, the President or the Chief Financial Officer of the Company.

 SECTION 1: GENERAL INFORMATION

|  |  |
| --- | --- |
| 1.1 | Please provide the following details: |
|  |  |
|  | Applicant Name:  |      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |
|  | Address / City / Prov. / Postal Code: |      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |  |
|  | Website:  |      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |  |
| 1.2 | Date the Applicant was established:  |      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |  |
| 1.3 | Nature of Operations:  |      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  |
|   |  |  |
| 1.4 | Does the Applicant have any Subsidiaries for which coverage is required?*If “Yes”, please provide complete details.* | [ ]  Yes [ ]  No |
|  |  |  |
| 1.5 | Does the Applicant have current recognized registered charity status under the Canada Revenue Agency Income Tax Act? | [ ]  Yes [ ]  No |
|  |  |  |
| 1.6 | Is the Applicant a licensing body for its members? | [ ]  Yes [ ]  No |
|  |  |  |
| 1.7 | Does the Applicant or any insured perform the following: |  |
|  | a) | provide any professional services | [ ]  Yes [ ]  No |
|  | b) | take any disciplinary action or recommend disciplinary action as a result of peer review or standard setting activities | [ ]  Yes [ ]  No |
|  | c) | promote, sponsor or provide any form of insurance to members or non-members | [ ]  Yes [ ]  No |
|  | d) | engage in any labour negotiations or collective bargaining | [ ]  Yes [ ]  No |
|  | e) | engage in any business transactions with businesses which are controlled by any proposed Insured Person | [ ]  Yes [ ]  No |
|  | f) | publish any magazines, periodicals or technical manuals, or engage in broadcasting or reproduction of copyright | [ ]  Yes [ ]  No |
|  | If “Yes” to any of the above, please provide complete details. |
|   |  |  |
| 1.8 | Has the Applicant in the past 3 years been involved in, or during the next 12 months plan for: |  |
|  | a) | any mergers, acquisitions, consolidations or divestiture involving the Applicant | [ ]  Yes [ ]  No |
|  | b) | any bankruptcy proceeding, reorganization or any other arrangement with creditors under federal, provincial, or state law | [ ]  Yes [ ]  No |
|  | c) | any office, branch, facility or location closings or consolidations  | [ ]  Yes [ ]  No |
|  | If “Yes” to any of the above, please provide complete details. |

 1.9 Does the Applicant have any operations outside Canada? [ ]  Yes [ ]  No

 *If “Yes”, please provide complete details.*

 SECTION 2: FINANCIAL INFORMATION

|  |  |  |
| --- | --- | --- |
| 2.1 | Please provide the following information including for all subsidiaries: |  |

|  |  |  |
| --- | --- | --- |
| Based on Financial Statements: | Most Recent Fiscal Year End: | Prior Fiscal Year End: |
| Total Assets | $      | $      |
| Total Liabilities | $      | $      |
| Total Revenues | $      | $      |
| Cash Flow from Operations | $      | $      |
| [ ]  Net Income or [ ]  Net Loss | $      | $      |

|  |  |  |
| --- | --- | --- |
| 2.2 | Has the Applicant changed auditors in the past year? | [ ]  Yes [ ]  No |
|  | If “Yes,” please provide complete details.  |  |
|  |  |  |
| 2.3 | Is the Applicant currently, or has it been in the past 24 months, been in violation of or has it amended any debt covenant or loan agreement? | [ ]  Yes [ ]  No |
|  | If “Yes,” please provide complete details. |  |
|  |  |  |
| 2.4 | Is the Applicant currently in arrears in its payments to the Canada Revenue Agency or the provincial ministries of revenue? (including source deductions, GST and PST) | [ ]  Yes [ ]  No |
|  | If “Yes,” please provide complete details. |  |
|  |  |  |

|  |  |  |
| --- | --- | --- |
| 3.1 | Has the Applicant experienced changes to its Board of Directors or Key Executives over the past year? | [ ]  Yes [ ]  No |
|  | If “Yes,” please provide complete details. |  |
|  |  |  |
| 3.2 | Has the Applicant or any person proposed for coverage been the subject of, or involved in: |  |
|  | a) | any criminal actions | [ ]  Yes [ ]  No |
|  | b) | any litigation or proceeding involving any allegation of discrimination | [ ]  Yes [ ]  No |
|   | If “Yes,” please provide complete details. |

SECTION 3: DIRECTORS & OFFICERS INFORMATION

|  |  |  |
| --- | --- | --- |
| 4.1 | Please list total number for each: |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Territory: | Directors and Officers | Full Time Employees | Part Time Employees | Volunteers | Number of Locations |
| Canada |       |       |       |       |       |
| United States |       |       |       |       |       |
| Rest of the World |       |       |       |       |       |

|  |  |  |
| --- | --- | --- |
| 4.2 | Have there been any layoffs or staff reductions in the past 12 months or any anticipated in the next 12 months  | [ ]  Yes [ ]  No |
|  | If “Yes,” please provide complete details. |  |
|  |  |  |
| 4.3 SECTION 4: EMPLOYMENT PRACTICES INFORMATION | Does the Applicant have a full-time Human Resources manager or the equivalent? | [ ]  Yes [ ]  No |
|  | If “No,” who handles the HR function? |      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 4.4 | Does the Applicant have written procedures in place for the following: |  |
|  |  | Discrimination? | [ ]  Yes [ ]  No |
|  |  | Employee terminations? | [ ]  Yes [ ]  No |
|  |  | Progressive discipline policies and procedures? | [ ]  Yes [ ]  No |
|  |  | Employment evaluations? | [ ]  Yes [ ]  No |
|  |  | Accommodating the disabled? | [ ]  Yes [ ]  No |
|  |  | Employee grievances or complaints? | [ ]  Yes [ ]  No |
|  |  | Sexual harassment and workplace harassment? | [ ]  Yes [ ]  No |
|  |  | Use of Company electronic mail, voice mail and Internet access? | [ ]  Yes [ ]  No |
|  |  |  |  |
|  |  |  |

 SECTION 5: INSURANCE COVERAGE REQUIREMENTS

|  |  |  |
| --- | --- | --- |
| 5.1 | Please provide details of the Applicant’s current insurance coverage. |   |
|  | If this is the first time applying for this coverage, check here: [ ]  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Coverage | Limit: | Retention: | Prior & Pending Date: | Premium: |
| Directors and Officers Liability: | $      | $      |       | $      |
| Employment Practices Liability: | $      | $      |       | $      |
| Cyber and Privacy: | $      | $      |       | $      |

|  |  |  |
| --- | --- | --- |
| 5.2 | What date would the Applicant like to incept coverage? |      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

 SECTION 6: CLAIMS INFORMATION

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| Regarding all types of insurance to which this application form relates: |
| a) | Is the Applicant aware of any loss or damage, whether insured or not, that has occurred to any of the companies to be insured (or to any existing or previous business of the partners or directors of any of the companies to be insured) within the last five (5) years, or | [ ]  Yes [ ]  No |
|  |  |  |
| b) | Is the Applicant aware of any circumstances which may give rise to a claim against any of the companies to be insured or any partners or directors thereof, or | [ ]  Yes [ ]  No |
|  |  |  |
| c) | Have any claims or cease and desist orders been made against any of the companies to be insured, or partners or directors thereof, or | [ ]  Yes [ ]  No |
|  |  |  |
| d) | Have any partners or directors of the companies to be insured been found guilty of any criminal, dishonest or fraudulent activity or been investigated by any regulatory body, or | [ ]  Yes [ ]  No |
|  |  |  |
| e) | Has the Applicant given notice of any claim, circumstance, or potential claim to any insurer under any of the coverages to which this application relates? | [ ]  Yes [ ]  No |
|  |  |  |
|  | *If the answer to any of the above is “Yes”, then please attach full details including an explanation of the background of events, the maximum amount involved/claimed, the status of the claim(s) or circumstance(s) and any reserve(s) or payment(s) made by the Applicant and/or by Insurers, and the dates of all developments and payments.* |

 SECTION 7: DECLARATION

* I declare that after full enquiry the information provided in this application form is true and complete that I have not misstated or suppressed any material fact.
* I agree that this Application Form, together with any other material information supplied by me shall form the basis this contract of insurance.
* I undertake to inform Underwriters of any material alteration to these facts occurring before the inception of the policy.

|  |
| --- |
| Signed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Full Name:      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Position held at insured:      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:      \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |