



**TWIN CITY FIRE INSURANCE COMPANY**  
 Name of Insurance Company to which Application is made

**ACCOUNTANTS PROFESSIONAL LIABILITY APPLICATION**

**This is an application for a CLAIMS-MADE AND REPORTED Policy**

If a policy is issued this application will attach to and become part of the policy, therefore, it is important that all questions are answered accurately. **If additional space is required, please provide complete details on Applicant's letterhead.**

**GENERAL INFORMATION**

1. Full Legal Name of Applicant (include trading names and DBA's under which the applicant operates): \_\_\_\_\_

Principal Address: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Website Address: \_\_\_\_\_ Email Address: \_\_\_\_\_ Contact Name: \_\_\_\_\_

2. Does the Applicant or any of its owners, officers or partners provide any services under a separate entity name?  Yes  No  
*If "Yes", please complete the **Separate Entity Supplement** for each entity.*

3. Does the Applicant have any other office locations? .....  Yes  No  
*If "Yes", please provide complete address(es) on a separate sheet.*

4. Applicant is a:  Sole Proprietor  Partnership  Corporation  LLC  LLP  
 Independent Contractor  Other: \_\_\_\_\_

5. Date Applicant established: \_\_\_\_/\_\_\_\_/\_\_\_\_  
 (Month/Day/Year)

6. Is the Applicant engaged in the full-time practice of accountancy? .....  Yes  No

7. During the past five (5) years, has the name or ownership of the Applicant changed or has there been an acquisition, merger, consolidation or any other change? .....  Yes  No  
*If "Yes", please provide complete details on a separate sheet.*

8. Does the Applicant anticipate any material changes to the firm or its practice within the next twelve (12) months?  Yes  No  
*If "Yes", please provide complete details on a separate sheet.*

9. Complete the following for each principal, partner, officer or director (**attach additional sheet if necessary**):

Name	Title	Years of Experience	Professional Membership or Association
(1)			
(2)			
(3)			

10. a. Indicate the number of staff associated with the Applicant:

Staff: Include Individuals only once	CPAs	Non-CPAs	Total
Owners, Officers, Partners			
Accounting or Tax Professionals			
Consulting Professional			
Support Staff			

b. During the past three (3) years, has the size of staff associated with the Applicant changed by  $\pm 25\%$ ? .....  Yes  No  
*If "Yes", please provide complete details on a separate sheet.*

11. a. Indicate gross annual revenue for the Applicant. *(If Applicant is newly established, please provide best estimate)*

Current Fiscal Year (Estimated)	Last Fiscal Year	Second Last Fiscal Year
Ending: / /	Ending: / /	Ending: / /
\$	\$	\$

b. Indicate total number of clients for the last fiscal year: \_\_\_\_\_

12. Does any client represent more than 25% of the Applicant's gross annual revenue? .....  Yes  No  
*If "Yes", please complete the following:*

Name of Client	Industry	Description of Services Provided	% of Income

### AREA OF PRACTICE

13. Based on the Applicant's gross revenue for the last fiscal year, indicate the percentage of revenue derived from the following areas of practice. **The total must equal 100%.** *(If newly established, please provide best estimate).*

Area of Practice	%	Engagement Letters Used?	Area of Practice	%	Engagement Letters Used?
Audit: Publicly Held (1)		<input type="checkbox"/> Yes <input type="checkbox"/> No	Information Technology (4)		<input type="checkbox"/> Yes <input type="checkbox"/> No
Audit: Non-Public (2)		<input type="checkbox"/> Yes <input type="checkbox"/> No	Business Valuations		<input type="checkbox"/> Yes <input type="checkbox"/> No
Taxation: Individual		<input type="checkbox"/> Yes <input type="checkbox"/> No	Forecasts & Projections		<input type="checkbox"/> Yes <input type="checkbox"/> No
Taxation: Business		<input type="checkbox"/> Yes <input type="checkbox"/> No	Litigation Consulting		<input type="checkbox"/> Yes <input type="checkbox"/> No
Taxation: Estate		<input type="checkbox"/> Yes <input type="checkbox"/> No	Management Advisory Services (5)		<input type="checkbox"/> Yes <input type="checkbox"/> No
Bookkeeping		<input type="checkbox"/> Yes <input type="checkbox"/> No	Executor/Trustee Services		<input type="checkbox"/> Yes <input type="checkbox"/> No
Compilations		<input type="checkbox"/> Yes <input type="checkbox"/> No	ERISA/Pension Plans		<input type="checkbox"/> Yes <input type="checkbox"/> No
Review		<input type="checkbox"/> Yes <input type="checkbox"/> No	Securities Activities (1)		<input type="checkbox"/> Yes <input type="checkbox"/> No
Personal Financial Planning & Investment Advisory Services (3)		<input type="checkbox"/> Yes <input type="checkbox"/> No	Other Services (5)		<input type="checkbox"/> Yes <input type="checkbox"/> No
			<b>TOTAL:</b>	<b>100%</b>	

- (1) Complete the Securities Supplement.                      (3) Complete the Financial Planning/Investment Advisory Services Supplement.  
 (2) Complete the Non-Public Audit Supplement.            (4) Complete the Information Technology Supplement.  
 (5) Provide complete description of services on a separate sheet.

14. During the past five (5) years, has the Applicant or any predecessor firm:  
 a. Provided services to any publicly held client? .....  Yes  No  
 b. Provided professional accounting services, or consented to the use of the Applicant's work product in connection with the issue of public or private offerings or the registration or sale of securities, real estate or other investments? .....  Yes  No  
*If "Yes" to any part of Question 14 above, please complete the Securities Supplement.*

15. During the past (5) years, has the Applicant:  
 a. Received commissions, fees, reciprocity or revenue for referrals, sale or promotion of investments or tax shelters? .....  Yes  No  
 b. Organized, arranged, procured or evaluated investments, real estate or tax shelters or prepared projections for use in these areas? .....  Yes  No  
 c. Participated in the management of any investment partnership, limited partnership, tax shelter or other investment venture? .....  Yes  No  
 d. Received loans from any client? .....  Yes  No  
 e. Made recommendations as to the sale or purchase of any investments, including specific stocks, bonds or other securities for which the firm received compensation? .....  Yes  No  
*If "Yes" to any part of Question 15, please provide complete details on a separate sheet.*

16. During the past five (5) years, has the Applicant or any of its professional staff exercised any discretionary control over a client's funds, other than as a trustee? .....  Yes  No  
**If "Yes", please complete the Client Funds Supplement (Non-Trustee).**
17. During the past five (5) years, has the Applicant provided audit, attest or review services for a client that subsequently declared or filed bankruptcy, defaulted on a debt obligation or became insolvent? .....  Yes  No  
**If "Yes", please provide complete details including the name of client, services rendered, date of services, date of bankruptcy, default or insolvency, and whether there was a "going concern" reference.**
18. During the past five (5) years, has the Applicant or any of its professional staff provided professional accounting services to or served as a fiduciary, committee member, officer, director, partner, employee, principal shareholder or member of any Financial Institution? .....  Yes  No  
**If "Yes", please complete the Financial Institutions Supplement.**
19. During the past five (5) years, has the Applicant or any of its professional staff served as a trustee, administrator, or executor? .....  Yes  No  
**If "Yes", please complete the Trustee Supplement.**
20. Does any of the Applicant's professional staff maintain a professional license other than for accountancy?.....  Yes  No  
**If "Yes", please indicate name of individual, type of license, description of services provided, name of separate professional liability carrier and limits of liability, if applicable.**

### INTERNAL CONTROLS AND PROCEDURES

21. Does the Applicant have written internal quality control procedures in place? .....  Yes  No
22. Does the Applicant have a formalized training program in place for all new professionals? .....  Yes  No
23. During the past two (2) years, indicate the percentage of professional staff:  
 a. Who have completed continuing professional education (CPE) courses: ..... \_\_\_\_\_ %  
 b. Who participated in a formal loss control program/seminar: ..... \_\_\_\_\_ %
24. Does the Applicant have procedures in place that include the regular use of a conflict of interest avoidance system when accepting new clients? .....  Yes  No  
**If "Yes", indicate the method used:**  Personal Memory  Computer  Index File  Conflict Committee  
 Client Lists  Other (describe): \_\_\_\_\_
25. During the past five (5) years, has the Applicant provided professional accounting services to any client in which any of the Applicant's professional staff (including their spouse) owed an equity interest or served as a director, owner, officer, partner or employee of such client? .....  Yes  No  
**If "Yes", please complete the Outside Interest Supplement.**
26. Does the Applicant require the use of engagement letters including fee arrangements on all new matters undertaken? .....  Yes  No  
**If "No," please explain how misunderstandings about the scope and cost of services are prevented.**
27. Are declination or non-engagement letters issued on all matters declined by the Applicant? .....  Yes  No  
**If "No", please explain how misunderstandings about representation are prevented.**
28. Does the Applicant require the completion of a second person or partner review for any services provided? .....  Yes  No  
**If "Yes," check all that apply:**  All Services  Attest Services  Tax Services  Other: \_\_\_\_\_
29. Within the past three (3) years, has the Applicant undergone a peer or quality review? .....  Yes  No  
**If "Yes", indicate:** a.  Unqualified/Unmodified  Qualified/Modified\*  
 b. Date of Issue: \_\_\_\_\_  
**\*If the results of the review were qualified/modified, please attach a copy of the peer review report, letter of comments and the Applicant's letter of response.**
30. During the past five (5) years, has the Applicant or any predecessor firm sued (including small claims court) to collect fees? .....  Yes  No  
**If "Yes", please provide complete details including the name of client, services rendered, dates of services, fee amounts, date of suit, current status and whether an engagement letter was used.**

### INSURANCE COVERAGE HISTORY

31. List the professional liability insurance coverage carried by the Applicant and any predecessor firm(s) during the past five (5) years, including any periods without coverage. **If no past coverage, indicate NONE.**

Effective (mm/dd/yy)	Expiration (mm/dd/yy)	Insurance Company	Limits of Liability (per claim/aggregate)	Deductible/ Retention	Annual Premium
__/__/__	__/__/__				
__/__/__	__/__/__				
__/__/__	__/__/__				
__/__/__	__/__/__				
__/__/__	__/__/__				

32. Does the Applicant's current policy contain a prior acts limitation/retroactive date or provide full prior acts? .....  Yes  No  
**If "Yes", please indicate: prior acts limitation/retroactive date: \_\_\_\_/\_\_\_\_/\_\_\_\_ or  full prior acts coverage.**  
**Please attach a copy of the applicable endorsement.** (month/day/year)
33. Does the Applicant's current policy have any endorsements or exclusions or coverage limitations tailored specifically to the Applicant? .....  Yes  No  
**If "Yes", please provide description on a separate sheet and attach a copy of the endorsement(s).**
34. During the past five (5) years, has the Applicant or any of its professional staff ever had professional liability insurance or similar insurance declined, cancelled or non-renewed for any other reason other than a carrier's withdrawal from the market? .....  Yes  No  
**If "Yes", please provide complete details on a separate sheet.**
35. Has the Applicant or any predecessor firm(s) ever purchased an extended reporting period endorsement? .....  Yes  No  
**If "Yes", please provide complete details on a separate sheet.**

### CLAIM/INCIDENT INFORMATION

36. During the past five (5) years, has any professional liability claim or suit ever been made against the Applicant, any predecessor firm or any of the Applicant's current or former professional staff? .....  Yes  No  
**If "Yes", please indicate how many \_\_\_\_ and complete a separate Supplemental Claim Form for each claim.**
37. Does any of the Applicant's professional staff know of any incident, negligent act, error or omission or other circumstance that could result in a claim or suit against the Applicant or any predecessor firm or any of the Applicant's current or former professional staff? .....  Yes  No  
**If "Yes", please indicate how many \_\_\_\_ and complete a separate Supplemental Claim Form for each claim.**
38. Has the Applicant, any predecessor firm or any of the Applicant's professional staff ever had their license revoked or suspended; or been the subject of a complaint or disciplinary action by any state board of accountancy, any national or state accounting society, any state or federal regulators or any other governmental agency or court; or ever been the charged, indicted, plead guilty or convicted of any felony charge? .....  Yes  No  
**If "Yes", please provide complete details on a separate sheet.**

### COVERAGE SELECTION

39. Limits of Liability requested (each claim/annual aggregate):
- |  |  |  |
|--|--|--|
| <input type="checkbox"/> \$100,000/\$100,000 | <input type="checkbox"/> \$500,000/\$500,000     | <input type="checkbox"/> \$1,000,000/\$2,000,000 |
| <input type="checkbox"/> \$100,000/\$300,000 | <input type="checkbox"/> \$500,000/\$1,000,000   | <input type="checkbox"/> \$2,000,000/\$2,000,000 |
| <input type="checkbox"/> \$250,000/\$250,000 | <input type="checkbox"/> \$1,000,000/\$1,000,000 | <input type="checkbox"/> \$2,000,000/\$4,000,000 |
| <input type="checkbox"/> \$250,000/\$500,000 | <input type="checkbox"/> \$1,000,000/\$2,000,000 | <input type="checkbox"/> \$Other: _____          |
40. Deductible Amount requested (each claim):
- |                                   |  |                                  |                                   |                                   |                                   |
|-----------------------------------|--|----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|
| <input type="checkbox"/> \$1,000  | <input type="checkbox"/> \$2,500         | <input type="checkbox"/> \$5,000 | <input type="checkbox"/> \$10,000 | <input type="checkbox"/> \$15,000 | <input type="checkbox"/> \$20,000 |
| <input type="checkbox"/> \$25,000 | <input type="checkbox"/> Other: \$ _____ |                                  |                                   |                                   |                                   |

**California Notice:** The Hartford may charge a fee if this bond or policy is cancelled before the end of its term. The fee can range between 5% to 100% of the pro rata unearned premium. Please refer to the terms and conditions stated in the policy or bond. This notice does not apply to cancellations initiated by The Hartford.

#### FRAUD WARNING STATEMENTS

**ALABAMA APPLICANTS:** ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR WHO KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO RESTITUTION FINES OR CONFINEMENT IN PRISON, OR ANY COMBINATION THEREOF.

**ARKANSAS 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.

**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.

**DISTRICT OF COLUMBIA APPLICANTS:** IT IS A CRIME TO PROVIDE FALSE OR MISLEADING INFORMATION TO AN INSURER FOR THE PURPOSE OF DEFRAUDING THE INSURER OR ANY OTHER PERSON. PENALTIES INCLUDE IMPRISONMENT AND/OR FINES. IN ADDITION, AN INSURER MAY DENY INSURANCE BENEFITS IF FALSE INFORMATION MATERIALLY RELATED TO A CLAIM WAS PROVIDED BY THE APPLICANT."

**FLORIDA APPLICANTS:** 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.

**HAWAII APPLICANTS:** FOR YOUR PROTECTION, HAWAII LAW REQUIRES YOU TO BE INFORMED THAT PRESENTING A FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT IS A CRIME PUNISHABLE BY FINES OR IMPRISONMENT, OR BOTH.

**KANSAS APPLICANTS:** A " FRAUDULENT INSURANCE ACT " MEANS AN ACT COMMITTED BY ANY PERSON WHO, KNOWINGLY AND WITH INTENT TO DEFRAUD, PRESENTS, CAUSES TO BE PRESENTED OR PREPARES WITH KNOWLEDGE OR BELIEF THAT IT WILL BE PRESENTED TO OR BY AN INSURER, PURPORTED INSURER, BROKER OR ANY AGENT THEREOF, ANY WRITTEN STATEMENT AS PART OF, OR IN SUPPORT OF, AN APPLICATION FOR THE ISSUANCE OF, OR THE RATING OF AN INSURANCE POLICY FOR PERSONAL OR COMMERCIAL INSURANCE, OR A CLAIM FOR PAYMENT OR OTHER BENEFIT PURSUANT TO AN INSURANCE POLICY FOR COMMERCIAL OR PERSONAL INSURANCE WHICH SUCH PERSON KNOWS TO CONTAIN MATERIALLY FALSE INFORMATION CONCERNING ANY FACT MATERIAL THERETO; OR CONCEALS, FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO.

**KENTUCKY APPLICANTS:** 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.

**LOUISIANA 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.

**MAINE 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 MAY INCLUDE IMPRISONMENT, FINES OR A DENIAL OF INSURANCE BENEFITS.

**MARYLAND APPLICANTS:** ANY PERSON WHO KNOWINGLY OR WILLFULLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR WHO KNOWINGLY OR WILLFULLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES AND CONFINEMENT IN PRISON.

**NEW JERSEY APPLICANTS:** ANY PERSON WHO INCLUDES ANY FALSE OR MISLEADING INFORMATION ON AN APPLICATION FOR AN INSURANCE POLICY IS SUBJECT TO CRIMINAL AND CIVIL PENALTIES.

**NEW MEXICO 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 CIVIL FINES AND CRIMINAL PENALTIES.

**OHIO APPLICANTS:** 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.

**OKLAHOMA APPLICANTS:** WARNING: ANY PERSON WHO KNOWINGLY, AND WITH INTENT TO INJURE, DEFRAUD OR DECEIVE ANY INSURER, MAKES ANY CLAIM FOR THE PROCEEDS OF AN INSURANCE POLICY CONTAINING ANY FALSE, INCOMPLETE OR MISLEADING INFORMATION IS GUILTY OF A FELONY.

OREGON APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD OR SOLICIT ANOTHER TO DEFRAUD AN INSURER: (1) BY SUBMITTING AN APPLICATION OR; (2) FILING A CLAIM CONTAINING A FALSE STATEMENT AS TO ANY MATERIAL FACT MAY BE VIOLATING STATE LAW.

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.

PUERTO RICO APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD AN INSURANCE COMPANY PRESENTS FALSE INFORMATION IN AN INSURANCE APPLICATION, OR PRESENTS, HELPS, OR CAUSES THE PRESENTATION OF A FRAUDULENT CLAIM FOR THE PAYMENT OF A LOSS OR ANY OTHER BENEFIT, OR PRESENTS MORE THAN ONE CLAIM FOR THE SAME DAMAGE OR LOSS, SHALL INCUR A FELONY AND, UPON CONVICTION, SHALL BE SANCTIONED FOR EACH VIOLATION WITH THE PENALTY OF A FINE OF NOT LESS THAN FIVE THOUSAND (5,000) DOLLARS AND NOT MORE THAN TEN THOUSAND (10,000) DOLLARS, OR A FIXED TERM OF IMPRISONMENT FOR THREE (3) YEARS, OR BOTH PENALTIES. IF AGGRAVATED CIRCUMSTANCES PREVAIL, THE FIXED ESTABLISHED IMPRISONMENT MAY BE INCREASED TO A MAXIMUM OF FIVE (5) YEARS; IF EXTENUATING CIRCUMSTANCES PREVAIL, IT MAY BE REDUCED TO A MINIMUM OF TWO (2) YEARS.

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."

TENNESSEE 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.

VIRGINIA 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.

VERMONT APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE STATEMENT IN AN APPLICATION FOR INSURANCE MAY BE GUILTY OF A CRIMINAL OFFENSE AND SUBJECT TO PENALTIES UNDER STATE LAW.

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."

WEST VIRGINIA 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.

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."

**SIGNING THIS FORM DOES NOT BIND THE APPLICANT OR THE COMPANY TO COMPLETE THE INSURANCE. APPLICATION MUST BE SIGNED AND DATED BY AN OWNER, PARTNER OR OFFICER OF THE APPLICANT.**

Signature: \_\_\_\_\_ Title: \_\_\_\_\_  
Print Name: \_\_\_\_\_ Date: \_\_\_\_\_

Applicable to applicants in Florida and Iowa (required information)

NAME OF PRODUCER: \_\_\_\_\_ LICENSE NUMBER: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

SIGNATURE of PRODUCER (NEW HAMPSHIRE applicants – required information): \_\_\_\_\_

Submitting Agency: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Contact Phone: \_\_\_\_\_

Submit to [DGriffin@ProInsConcepts.com](mailto:DGriffin@ProInsConcepts.com) or Fax 973- 364-9629