



## INSURANCE SPECIALIST FOR REGISTERED INVESTMENT ADVISERS

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### AMBA's INSURANCE PROTECTION PROGRAMS FOR REGISTERED INVESTMENT ADVISERS

#### **FIDELITY AND SURETY BONDS:**

Fidelity Bond: 1st party coverage to indemnify for the loss of money or other property sustained through dishonest acts of bonded personnel. This bond is often required by RIA firm's custodian.

ERISA Bond: This bond is required by U.S. Department of Labor. Protects ERISA plan's assets against fraudulent acts by an officer, trustee, employee, administrator or manager of the insured benefit plan. AMBA offers ERISA 3rd Party Bonds for Investment Advisers/Fiduciaries as well as ERISA 1st Party Bonds for proprietary pension plans.

Investment Adviser Surety Bond (Including Signature Guarantee Bond): AMBA provides surety bond (called Blue Sky Bond) required by certain U.S. state regulators as well as a Medallion Signature Guarantee Bond needed prior to an RIA firm offering signature guarantee services to clients.

#### **MANAGEMENT AND PROFESSIONAL LIABILITY:**

Errors & Omissions (E&O) Liability Insurance: Protect your assets from errors or omissions claims made against your firm or its advisers by clients alleging negligence, misrepresentation, breach of fiduciary duty, failure to disclose investment risk and more. Coverage includes both defense costs and damages.

Directors & Officers (D&O) Liability Insurance: Safeguard the assets of the entity as well as the personal assets of your directors and officers from a broad range of management liability suits.

Employment Practices Liability Insurance (EPLI): Shield your entity's assets against employment-related claims such as the allegations of sexual harassment, various forms of discrimination, employment-related bias, defamation, wrongful termination, etc. EPLI includes coverage for defense costs and damages as well as online risk management to help minimize your exposures.

Fiduciary Liability: Covers your officers and trustees acting as fiduciaries of your firm's employee benefit plans such as pension / 401k plans. Protection from claims made by the plan participants alleging negligence, mismanagement, etc.

Cyber and Privacy Liability: 1st and 3rd Party coverages available to protect from multiple Cyber and Privacy Liability exposures. Current coverages include regulatory fines, crisis management expenses, breach response notification expenses, Cyber extortion, Cyber Business Interruption, data restoration, etc.

Request a **FREE analysis of your E&O exposure**. Complete **RIA E&O Liability Insurance Eligibility Questionnaire** and return via email or fax.

**Email:** [insuranceinfo.service@amba.info](mailto:insuranceinfo.service@amba.info)

**Fax:** 515-365-0375

### **Questions?**

Contact Sanjiv Sabade at 202.705.8008 / 202.250.4779 / [sanjiv.sabade@amba.info](mailto:sanjiv.sabade@amba.info)

Contact Steve Miller at 630.605.6031 / [steve.miller@amba.info](mailto:steve.miller@amba.info).



# RIA E&O LIABILITY INSURANCE ELIGIBILITY QUESTIONNAIRE

Please return completed questionnaire via email to insuranceinfo.service@amba.info or via fax to: 515 365 0375.

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Investment Advisory Firm's Name: \_\_\_\_\_

Affiliated Broker-Dealer Firm's Name: \_\_\_\_\_

Affiliated Insurance Agency's Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_ Telephone Number 1: \_\_\_\_\_ Telephone Number 2: \_\_\_\_\_

Email Address: \_\_\_\_\_ Fax Number: \_\_\_\_\_

1. Current E&O Liability Insurance Information: (a) Carrier: \_\_\_\_\_ (b) Expiration Date: \_\_\_\_\_  
(c) Limits of Liability: \_\_\_\_\_ per claim/ \_\_\_\_\_ aggregate (d) Deductible: \_\_\_\_\_

2. Please provide Annual Revenue and Revenue Breakdown:

	Current Year: 20__	Next Year: 20__
Annual Total Revenue:	_____	_____
Annual Commission Revenue:	_____	_____
Annual Fee Revenue:	_____	_____
No. of Employee/Officer Investment/Insurance Professionals:	_____	_____
No. of Independent Contractor Investment/Insurance Professionals:	_____	_____

3. Please provide a breakdown of Services Provided (Total = 100%):

Discretionary Asset Management:	_____ %
Non-discretionary Asset Management:	_____ %
Referral to Third Party Money Managers:	_____ %
Insurance (including Fixed Annuities) Sales:	_____ %
Securities (including Variable Annuities) Sales:	_____ %
Other (Describe _____):	_____ %
Other (Describe _____):	_____ %

4. RIA Clients' Assets Breakdown (Total = 100%.) Do not include below products held within mutual funds or ETFs.

Listed Stocks (including REITs/MLPs): \_\_\_\_% Mutual Funds \_\_\_\_% Non-Leveraged/Non-Inverse ETFs \_\_\_\_%  
Penny Stocks \_\_\_\_% Leveraged/Inverse ETFs \_\_\_\_% Corporate/U.S. or Municipal Government Bonds \_\_\_\_% Options  
\_\_\_\_% Futures \_\_\_\_% Asset-Backed Securities \_\_\_\_% Junk Bonds \_\_\_\_% Non-traded Securities (LPs/REITs/Hedge Funds/  
Structured Products, etc.) \_\_\_\_% Other (Describe \_\_\_\_\_) \_\_\_\_% Other (Describe \_\_\_\_\_) \_\_\_\_%

5. Attach the date, ticker symbol and amount of each trade error in last 5 years: If none, check here

6. Attach the date and disputed amount of each customer complaint in last 5 years: If none, check here

7. Names and CRD Nos. of Investment Professionals (Attach a list, if needed): (1) \_\_\_\_\_

(2) \_\_\_\_\_ (3) \_\_\_\_\_ (4) \_\_\_\_\_

(5) \_\_\_\_\_ (6) \_\_\_\_\_ (7) \_\_\_\_\_

\_\_\_\_\_  
Name and Title of Person Completing This Questionnaire

\_\_\_\_\_  
Date