



UTICA NATIONAL INSURANCE GROUP

NEW HARTFORD, NEW YORK

NOTE: Submit in Duplicate

Coverage is written on a claims-made basis and is subject to the claims-made notice on the basic application, 14-A-LEO.

APPLICATION FOR LIFE INSURANCE AGENTS AND BROKERS ERRORS AND OMISSIONS COVERAGE FOR A PURCHASED OR MERGED ENTITY

- Name of Insured Agency _____ Utica Policy No. _____
- Address of Insured Agency (Street) _____ Telephone: (Area Code) _____
(City) _____ (State) _____ (Zip Code) _____
- Name of Agency Purchased/Merged _____
- Address of Agency _____
- Email Address of Key Contact _____
Website Address _____

The Following Questions Pertain to the Newly Acquired Agency:

- Acquisition was by purchase (seller having no ownership interest in new firm) _____ or merger (former owners of agency shown under item #3 continue to have ownership interest in new entity formed) _____ Date of purchase or merger _____.
- Annual commission/fee income? _____ Year business established _____ Volume of substandard (surcharged/high risk) business \$ _____
- Please give the **approximate** percentage breakdown of the total premium volume of the purchased/merged agency:

A	B	C
Agent _____%	Personal Production _____%	Life, Individual _____%
Personal Producing	Production accepted	Life, Group _____%
General Agent _____%	from your agents _____%	Health, Individual _____%
General Agent _____%		Health, Group _____%
Managing, Master or	Total 100%	Annuities _____%
Brokerage General		Financial Products _____%
Agent _____%		P&C Products _____%
Consultant (for fee) _____%		Benefit, Pension Plan
		or Claims
Total 100%		Administration _____%
		Other _____%
		Total 100%

- Please list all of the markets which ACQUIRED agency used in placing business.

(1) _____ %	(4) _____ %
(2) _____ %	(5) _____ %
(3) _____ %	(6) _____ %

Will the business be continued in these markets: Yes No

9. Give Errors & Omissions coverage for last two years for the acquired agency:

Carrier	Policy Number	Expiration: Month/Day/Year
_____	_____	_____
_____	_____	_____

10. Has any application for similar insurance on behalf of the acquired agency, or any of its partners, executive officers or directors; or to the knowledge of the insured agency, on behalf of its predecessors in business; ever been declined, cancelled or renewal refused? _____ If "Yes," explain in detail _____

11. Have any claims been made or incidents arisen during the past five years against the acquired agency, their predecessors in business or any of the present partners; or to the knowledge of the insured agency, against any past partners or against any corporation that the agency was formerly employed by, associated with or had interest in? _____ If "Yes," attach a statement giving details and status of each claim including dates, amount of claim, deductibles, payments, open reserves.

12. Is the insured agency aware of any circumstances or any allegation or contentions of any incident which may result in any claim being made against the agency, their predecessors in business or any present or past partners? _____ If "Yes," attach a statement giving complete details.

13. Give breakdown of PURCHASED/MERGED agency's total staff prior to purchase/merger with Utica Mutual's insured. (Part time staff is to be considered same as full time.)

- (a) Total number of active owners, directors, officers: _____
 - (b) Employees, solicitors, brokers, agents _____
 - (c) Other employees _____
 - (d) Sub-agents, (Non-employees) _____
- (Do not include those listed under (a), (b), or (c). (This is optional coverage.)

<u>Names of Sub-Agents with Professional Designations</u>	<u>General Agent</u>	<u>Carriers Represented</u>	<u>Years in Business</u>	<u>Commission from Life, Accident and Health Business Placed Through Applicant or General Agent</u>
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FRAUD WARNING

Any person who knowingly and willingly presents a false or fraudulent claim for payment of a loss or benefit or who knowingly and willfully presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

I/WE HEREBY DECLARE that the above statements and particulars are true to the best of our knowledge and that I/we have not suppressed or misstated facts and I/we agree that this Application shall be the basis of the contract with the Utica Mutual Insurance Company, New Hartford, N.Y., and deemed a part thereof.

By owner, partner or officer (must be signed in ink) _____ **Date** _____

One signed copy will be attached to the endorsement, if issued. (Sign both copies in ink)
Signature to the form does not bind the Company to complete insurance.