

Intermediary Questionnaire (V.4)

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| Firm Name <i>(Please state the legal name, any trading names)</i> | |
| Date of Incorporation | |
| Address | |
| Telephone Number Email Web Site | |
| Ownership of Firm Major shareholders <i>(List shareholdings over 5%)</i> | |
| When and where was the company formed or incorporated? | |
| Affiliations Identify any subsidiaries, affiliated companies, pools managed or other close business relationships. | |
| Identify any separate offices and indicate whether they are branch offices or distinct legal entities. | |

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| <p>Third Party Brokers Do you deal with other Intermediaries or Producers in connection with the risks you place from Iris? <i>(If YES, what due diligence checks do you carry out on these firms?)</i></p> | |
| <p>Risk Transfer Do you hold premiums received from us as agents of the insurer (i.e. on a risk transfer basis)? <i>(If YES, please provide a copy of TOBAs)</i></p> | |
| <p>Regulation of your Firm Who regulates your Firm? <i>(Please provide Reference Number)</i></p> | |
| <p>Registration / Licensing Company Registration Number? <i>(Enclose copy of E&S Licence if USA)</i></p> | |
| <p>Lloyd's Registration Are you registered as an Open Market Correspondent at Lloyd's?</p> | |
| <p>Governance of the Firm Please name all Directors & years of experience</p> | |
| <p>Does each individual named in answer to the preceding question file an annual Conflict of Interest Statement with your company?</p> | |

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| <p>Are such Statements reviewed by the Chairman/Managing Director?</p> | |
| <p>Staff Please give numbers of Technical & Accounting Staff</p> | |
| <p>Professional Indemnity Does the Firm hold Professional Indemnity Insurance? <i>(If it does, please identify the insurers)</i></p> <p>Limit of Indemnity</p> <p>Deductible</p> <p>Insurer(s)</p> <p>Does the cover include Dishonest Acts of Staff?</p> <p>Please advise details of any claims during the past five years</p> | |
| <p>Financial Information Is your company audited at least annually by an external auditor?</p> | |
| <p>If your company is so audited, how long have your current auditors been acting in that capacity on your behalf?</p> | |

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| <p>Fiduciary responsibilities Are premium, loss and any other fiduciary funds belonging to insureds/reinsureds and/or insurers/reinsurers kept separate, i.e. not commingled with your corporate funds?</p> | |
| <p>Does your company hold any fiduciary funds in other than bank accounts?</p> | |
| <p>If your company invests fiduciary funds, does it invest them exclusively in bank investments such as short term certificates of deposit? <i>(If your answer is "No", outline what investments are made?)</i></p> | |
| <p>Are you connected to any politically exposed person?</p> | |
| <p>Do you have any relationship with the insured?</p> | |
| <p>Enclosures</p> | <p>Please enclose:</p> <ul style="list-style-type: none"> - curriculum vitae for the directors and key staff; - a set of your latest audited financial statements; - evidence your current errors & omissions cover; and - copies of current relevant local licences. |