AGENCY CUSTOMER ID: _____

EMPLOYMENT PRACTICES LIABILITY INSURANCE SECTION

DATE (MM/DD/YYYY)

AGENCY	NAMED INSURED
POLICY NUMBER	
CARRIER / NAIC CODE	DBA:

NOTE: IF A POLICY IS ISSUED, IT WILL BE ON A CLAIMS-MADE BASIS. THE POLICY PROVIDES THAT THE LIMIT OF LIABILITY AVAILABLE TO PAY JUDGMENTS OR SETTLEMENTS SHALL BE REDUCED BY AMOUNTS INCURRED FOR LEGAL DEFENSE. FURTHER NOTE THAT AMOUNTS INCURRED FOR LEGAL DEFENSE SHALL BE APPLIED AGAINST THE RETENTION AMOUNT.

COVERAGE REQUESTED

* 12:01 AM at the Principal Address of the Applicant

LIMIT	RETENTION	ANNUAL PREMIUM	EFFECTIVE DATE *	EXPIRATION DATE *
PER CLAIM: $	PER CLAIM: $	$		
AGGR: $	AGGR: $			
SEPARATE DEFENSE COSTS LIMIT (If Available) ☐ (Y / N) $		DEFENSE LIMIT ☐ INSIDE ☐ OUTSIDE	PENDING & PRIOR LITIGATION DATE:	

	Y/N
1. IS THE APPLICANT REQUESTING COVERAGE FOR COMPANY AND DIRECTORS & OFFICERS?	☐
2. IS THE APPLICANT REQUESTING COVERAGE FOR EMPLOYEES? IF "YES", INDICATE THE TOTAL OF THE FOLLOWING: # FULL TIME: _____ # PART TIME: _____ # TEMPORARY WORKERS: _____ # SEASONAL WORKERS: _____	☐
3. IS THE APPLICANT REQUESTING COVERAGE FOR LEASED EMPLOYEES? IF "YES", INDICATE THE TOTAL #: _____	☐
4. IS THE APPLICANT REQUESTING COVERAGE FOR INDEPENDENT CONTRACTORS? IF "YES", INDICATE THE TOTAL #: _____	☐
5. IS THE APPLICANT REQUESTING COVERAGE FOR NON-PROFIT OUTSIDE POSITIONS? IF "YES", INDICATE THE TOTAL # OF VOLUNTEERS: _____	☐
6. IS THE APPLICANT REQUESTING COVERAGE FOR PUNITIVE DAMAGES? IF "YES", INDICATE LIMIT: $_____	☐
7. IS THE APPLICANT REQUESTING COVERAGE FOR THIRD PARTY CLAIM?	☐

SHARED LIMITS ☐ (Y / N) **ADDITIONAL COVERAGES ATTACHED** ☐ (Y / N)

INDICATE SECTIONS INCLUDED

☐ D&O LIABILITY ☐ CRIME
☐ EPLI ☐ FIDUCIARY
☐ PROF LIABILITY

EMPLOYEE INFORMATION

INDICATE TOTAL NUMBER OF EMPLOYEES IN PARENT COMPANY AND ALL SUBSIDIARIES

IN UNITED STATES:	OUTSIDE UNITED STATES:	UNIONIZED:	FAIR LABOR STANDARDS ACT EXEMPT:	FAIR LABOR STANDARDS ACT NON EXEMPT:

INDICATE PERCENTAGE OF EMPLOYEES WITH SALARIES (including bonuses)

EMPLOYEE TYPE	LESS THAN OR EQUAL TO $50,000	GREATER THAN $50,000 BUT LESS THAN OR EQUAL TO $100,000	GREATER THAN $100,000
EXEMPT	%	%	%
NON EXEMPT	%	%	%
UNION	%	%	%

EXPLAIN RESPONSES WHERE INDICATED	Y/N
1. DOES THE APPLICANT HAVE ANY EMPLOYEES LOCATED OUTSIDE THE PRIMARY STATE OF OPERATIONS, INCLUDING OUTSIDE OF THE UNITED STATES? iF "YES", LIST THE STATE OR COUNTRY AND THE NUMBER OF EMPLOYEES.	☐
2. DOES THE APPLICANT HAVE A TRACKING SYSTEM THAT MONITORS THE OVERTIME, VACATION AND SICK PAY HOURS OF NON-EXEMPT EMPLOYEES?	☐
3. WERE ANY EMPLOYEES OR OFFICERS TERMINATED OR DO YOU PLAN IN THE NEXT 18 MONTHS TO TERMINATE ANY EMPLOYEES OR OFFICERS? IF "YES", HOW MANY: _____ PROVIDE DETAILS.	☐

STATE	COUNTRY	# EMPLOYEES	STATE	COUNTRY	# EMPLOYEES

REMARKS

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ATTACH TO ACORD 825 - PROFESSIONAL / SPECIALTY INSURANCE APPLICATION - APPLICANT SECTION

AGENCY CUSTOMER ID: _____

FINANCIAL INFORMATION

DATE OF FINANCIAL INFORMATION	OUTSIDE AUDITOR (Y / N)	IF "YES", PLEASE ANSWER THE FOLLOWING:	Y/N
PERIOD OF FINANCIAL INFORMATION FROM: TO:	☐	1. ANY CHANGES TO THE OUTSIDE FINANCIAL AUDITOR IN THE LAST THREE (3) YEARS? 2. HAS ANY AUDITOR ISSUED A "GOING CONCERN" OPINION FOR THE APPLICANTS OR ANY OF ITS SUBSIDIARIES FINANCIAL STATEMENTS?	☐ ☐

CURRENT YEAR:							
TOTAL ASSETS	CURRENT ASSETS	INVENTORY	CASH	CURRENT LIABILITIES	TOTAL LIABILITIES	TOTAL REVENUE	NET INCOME / LOSS
$	$	$	$	$	$	$	$
PRIOR YEAR:							
TOTAL ASSETS	CURRENT ASSETS	INVENTORY	CASH	CURRENT LIABILITIES	TOTAL LIABILITIES	TOTAL REVENUE	NET INCOME / LOSS
$	$	$	$	$	$	$	$

CORPORATE HISTORY

EXPLAIN ALL "YES" RESPONSES	Y/N
1. HAS THE APPLICANT HAD ANY ACTUAL OR ATTEMPTED MERGER, ACQUISITION, CONSOLIDATION OR DIVESTMENT IN THE PAST SIX (6) YEARS OR ANTICIPATED IN THE NEXT 18 MONTHS? IF "YES", PROVIDE ACTUAL OR ANTICIPATED DATE OF ACTION AND DETAILS.	☐
2. HAS THE APPLICANT IN THE PAST 36 MONTHS COMPLETED OR AGREED TO, OR DOES IT ANTICIPATE WITHIN THE NEXT 18 MONTHS, ANY PLANT, FACILITY, BRANCH OR OFFICE CLOSINGS, CONSOLIDATIONS OR LAYOFFS? IF "YES", PROVIDE ACTUAL OR ANTICIPATED DATE OF ACTION AND DETAILS.	☐

EMPLOYMENT POLICIES / PROCEDURES

EXPLAIN RESPONSES WHERE INDICATED	Y/N
1. DOES THE APPLICANT HAVE A HUMAN RESOURCES DEPARTMENT? IF "YES", NUMBER OF EMPLOYEES: _____ IF "NO", WHO HANDLES THIS FUNCTION:_____	☐
2. DOES THE APPLICANT REQUIRE EMPLOYMENT TERMINATIONS TO BE REVIEWED BY: a. HUMAN RESOURCES b. LEGAL DEPARTMENT c. OUTSIDE LEGAL COUNSEL	 ☐ ☐ ☐
3. WHAT OUTSIDE EMPLOYMENT LEGAL COUNSEL DOES THE APPLICANT USE FOR EMPLOYMENT AND/OR LABOR ADVICE AND/OR DEFENSE?	
4. DOES THE APPLICANT CONDUCT TESTING FOR: (Check all that apply) IF ANY OF THE BELOW ARE CHECKED, ATTACH A COPY OF ANY WRITTEN POLICIES AND PROCEDURES. ☐ DRUG / ALCOHOL SCREENING ☐ PHYSICAL EXAMINATIONS ☐ PSYCHOLOGICAL EXAMINATIONS ☐ SKILLS TESTING ☐ POLYGRAPH TESTING ☐ BACKGROUND CHECKS INDIVIDUAL CONDUCTING THE TESTING: _____ TESTING/EXAMINATION(S) IS/ARE DONE: ☐ PRE-EMPLOYMENT ☐ POST OFFER OF EMPLOYMENT	☐
5. ARE ALL EMPLOYEES SUBJECT TO THESE TESTS AND EXAMINATIONS? IF "NO", WHICH EMPLOYEES ARE NOT SUBJECT TO THESE TESTS AND EXAMINATIONS AND WHY.	☐
6. DOES THE APPLICANT USE AN EMPLOYMENT APPLICATION FOR ALL APPLICANTS? IF "NO", WHICH APPLICANTS ARE NOT REQUIRED TO COMPLETE AN APPLICATION AND THEN HOW IS THE HIRING PROCESS CONDUCTED.	☐
7. DOES THE APPLICANT UTILIZE STANDARD OFFER LETTERS FOR ALL APPLICANTS? IF "NO", WHICH APPLICANTS ARE NOT PROVIDED WITH EMPLOYMENT OFFER LETTERS AND WHY.	☐
8. DOES THE APPLICANT HAVE A FORMAL ORIENTATION PROGRAM FOR ALL NEW EMPLOYEES?	☐
9. DOES THE APPLICANT PROVIDE ANNUAL WRITTEN PERFORMANCE EVALUATIONS FOR ALL EMPLOYEES? IF "YES", DOES IT INCLUDE STANDARD RATING CATEGORIES?	☐ ☐
10. DOES THE APPLICANT CONDUCT TRAINING ON SEXUAL HARASSMENT AND DISCRIMINATION PREVENTION? a. WHO IS REQUIRED TO ATTEND?: _____ b. HOW OFTEN IS IT HELD?: _____ c. WHO CONDUCTS THE TRAINING?: _____ d. IS TRAINING DOCUMENTED? _____	☐

AGENCY CUSTOMER ID: _____

EMPLOYMENT POLICIES / PROCEDURES (continued)

EXPLAIN RESPONSES WHERE INDICATED	Y/N
11. DOES THE APPLICANT HAVE A FORMAL CONTRACT WITH ANY EMPLOYEE? IF "YES", PROVIDE A SPECIMEN COPY OF THE EMPLOYMENT CONTRACT(S). IF "YES", IS/ARE EMPLOYMENT CONTRACT(S) CREATED AND REVIEWED BY OUTSIDE COUNSEL?	☐ ☐
12. DOES THE APPLICANT HAVE AN EMPLOYEE HANDBOOK? IF "YES", IS IT DISTRIBUTED TO ALL EMPLOYEES?	☐ ☐
13. DO ALL EMPLOYEES PROVIDE A WRITTEN ACKNOWEDGEMENT THAT THEY HAVE RECEIVED THE HANDBOOK?	☐
14. IS THE EMPLOYEE HANDBOOK UNIFORM FOR ALL LOCATIONS AND SUBSIDIARIES?	☐
15. HAS AN EMPLOYMENT ATTORNEY REVIEWED THE EMPLOYEE HANDBOOK? IF "YES", DATE LAST REVIEWED: _____	☐
16. ARE UNIFORM EXIT INTERVIEWS CONDUCTED WHEN AN EMPLOYEE RESIGNS OR IS TERMINATED (VOLUNTARY AND INVOLUNTARY)? IF "YES", ARE EXIT INTERVIEWS DOCUMENTED?	☐ ☐
17. IS THE APPLICANT REQUIRED TO FILE AN AFFIRMATIVE ACTION PLAN WITH THE OFFICE OF FEDERAL CONTRACT COMPLIANCE PROGRAMS (OFCCP)? IF "YES", PROVIDE A COPY OF THE PLAN.	☐
18. HAS THE APPLICANT EVER BEEN THE SUBJECT OF AN OFCCP INVESTIGATION WHICH RESULTED IN THE FINDING OF A VIOLATION? IF "YES", ATTACH A COPY OF THE AUDIT OR INVESTIGATION REPORT AND INDICATE WHAT ACTIONS APPLICANT HAS TAKEN TO REMEDY THE VIOLATION.	☐
19. DOES THE APPLICANT UTILIZE ARBITRATION FOR EMPLOYMENT- RELATED CLAIMS?	☐
20. IS ARBITRATION FOR EMPLOYMENT- RELATED CLAIMS MANDATORY? IF "YES", PROVIDE A COPY OF THE ARBITRATION POLICY.	☐
21. ARE ALL APPLICANT'S LOCATIONS COMPLIANT WITH THE AMERICANS WITH DISABILITIES ACT (ADA)? IF "NO", PROVIDE DETAILS.	☐

TOTAL NUMBER OF EMPLOYEES WITH A FORMAL EMPLOYMENT CONTRACT	TOTAL VALUE OF ALL CONTRACTS	TOTAL VALUE OF LARGEST CONTRACT
	$	$

GENERAL INFORMATION

EXPLAIN ALL "YES" RESPONSES	Y/N
1. HAS ANY INSURED BEEN INVOLVED IN A CIVIL OR CRIMINAL ACTION, ADMINISTRATIVE PROCEEDING, INVESTIGATION OR CHARGING VIOLATION BY THE EQUAL EMPLOYMENT OPPORTUNITY COMMISSION (EEOC) OR SIMILAR FEDERAL, STATE OR FOREIGN EMPLOYMENT LAW OR REGULATION?	☐
2. HAS ANY INSURED BEEN INVOLVED IN ANY OTHER CRIMINAL ACTIONS?	☐
3. HAS ANY INSURED BEEN INVOLVED IN ANY REPRESENTATIVE ACTIONS, CLASS ACTIONS OR DERIVATIVE SUITS IN CONNECTION WITH EMPLOYMENT ISSUES?	☐
4. IS ANY INSURED PRESENTLY SUBJECT TO ANY JUDICIAL OR ADMINISTRATIVE ORDER, DECREE, JUDGMENT OR CONCILIATION AGREEMENT THAT IS EMPLOYMENT- RELATED?	☐

REMARKS