



INSURANCE AND RISK MANAGEMENT CONSULTANT SUPPLEMENTAL INFORMATION

Name of Applicant: _____

1. (a) Have you in the past, or do you presently, hold an insurance agent or broker license(s)? Yes No
If so, please list. _____

(b) Do any members of your family hold any insurance licenses? Yes No If yes, please describe. _____

2. Have you ever had an insurance, or any other license revoked, suspended or recalled by any state, municipal or federal authority? Yes No if so, please describe. _____

3. (a) Are you presently, or have you been in the past, "affiliated" with any insurance agent, agency or brokerage? Yes No If so, please list. _____

(b) Are any members of your family or household? Yes No If yes, please describe. _____

4. Have you published any written material in the past, or plan to in the future? Yes No if so, please describe. _____

5. (a) If your business is a corporation, please list all stockholders with 5% or more of the outstanding stock:

Name	% Ownership	Relationship To Firm
_____	_____	_____
_____	_____	_____
_____	_____	_____

(b) Do any of these stockholders hold an insurance license? Yes No

6. What percentage of your assignments result in the placement/purchase of insurance by your client? _____%

7. How much of your practice in the past has involved assignments with the following:

- _____ Publicly traded corporations
- _____ Closely held businesses
- _____ Individuals
- _____ Professional practices (i.e. lawyers, physicians, etc.)
- _____ Entities in which you, any member of your family, or anyone you are associated with have held a beneficial interest
- _____ Non-profit associations/corporations
- _____ Pension funds
- _____ Other

8. Do you regularly recommend brokers/agents to transact insurance for your clients? Yes No If so, what % of the time? _____%

9. (a) Have you ever accepted an assignment in the past, or plan to in the future, which pays any form of compensation other than professional fees? Yes No If so, please explain. _____

(b) Have you in the past accepted any assignment where fees are paid as a commission for a completed assignment? Yes No if yes, please explain. _____

(c) How are your fees generally determined? Please explain. _____

10. Do you need coverage for carrier insolvency? Yes No

Date: _____ Signature: _____

Title: _____