

Beazley | Financial Institutions –
Employment Practices Liability

Please provide with this proposal form the most recent copies of the following documents:

- Proposer’s audited annual report and accounts
- Human resources manual
- Employee handbook
- Any supplementary information which is material to the response of the questions

Proposer information

1. Name of the Proposer:

2. Principal address:

3. Website address:

4. Date of establishment: dd/mm/yyyy / /

5. Please give a brief description of the business activities of the Proposer:

6. Please state the total number of employees and offices in each location:

	Full time	Part time	Seasonal	Temporary
Africa				
Arab States				
Asia				
Canada				
Caribbean				
Central and Eastern Europe				
South America				
Rest of World				
Western Europe				
UK				
USA				
Total				

7. Please state the approximate percentage of employees with salaries (including bonuses):

Between £25,000 - £50,000	%
Between £50,000 - £150,000	%
Between £150,000 - £250,000	%
More than £250,000	%
Total	100%

8. Please state the percentage annual employee turnover rate for the last three years:

Year	Annual employee turnover rate	
		%
		%
		%

9 a. Please state how many directors and officers have left the Proposer in the last 12 months:

b. Have any of the directors and officers left involuntarily? Yes No

If 'Yes', please provide details:

10. Has the Proposer undertaken any material employee reductions, redundancies or early retirements in the past two years? Yes No

If 'Yes', please provide details:

11. Is the Proposer considering any employee reductions or redundancies in the next twelve months, including anything resulting from a branch, office or subsidiary closing or consolidation? Yes No

If 'Yes,'

a. please provide details and how many employees will be affected?

b. Does the Proposer consult with and follow the recommendation of legal counsel experienced in employment law prior to any such employee reductions or redundancies? Yes No

Employment practices and procedures

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| 12. Does the Proposer have a human resources department?
If 'No', who performs the human resources function? | Yes | No |
| | | |
| 13. Does the Proposer have an employee handbook?
If 'Yes', has the handbook been reviewed by legal counsel in the past 3 years? | Yes | No |
| | | |
| 14. Does the Proposer have regularly reviewed and updated written policies and procedures for: | | |
| a. discipline and termination of employment | Yes | No |
| b. redundancies and early retirement | Yes | No |
| c. preventing discrimination (including gender, race, age and disability) | Yes | No |
| d. maternity/paternity leave | Yes | No |
| e. compassionate leave | Yes | No |
| f. sickness and life threatening illness leave | Yes | No |
| g. anti-sexual harassment | Yes | No |
| h. employee grievances or complaints | Yes | No |
| | | |
| 15. Does the Proposer: | | |
| a. use a formal application form for all potential new employees? | Yes | No |
| b. review all terminations with human resources or legal counsel? | Yes | No |
| c. provide training for anti-discrimination or anti-sexual harassment and other written policies? | Yes | No |
| d. use severance pay/releases for terminations? | Yes | No |
| e. provide written performance evaluations? | Yes | No |
| f. maintain a personnel file for each employee? | Yes | No |
| If 'No', to any of the above, please explain: | | |

Claims information

16. Please read the following statements and confirm as indicated below:

- a. No claim, proceeding or demand has been made or brought against the Proposer or any of its directors, officers or employees in the last five years (whether insured or not);
- b. The Proposer or any of its directors, officers or employees have not been the subject of any regulatory, administrative or governmental investigation in the last five years (whether insured or not);
- c. The Proposer, after enquiry, is not aware of any act, error, omission, event, circumstance or incident which may give rise to a claim, proceeding or demand or any regulatory, administrative or governmental investigation.

All the statements above are true and accurate:

Yes

No

If 'No', please provide details below or on a separate sheet:

Important notice

Before commencement of any insurance policy, the Proposer is required to make a fair presentation of the risk in accordance with the Insurance Act 2015.

The Proposer must disclose all material circumstances which the Proposer knows or ought to know or, failing that, has given us, Beazley the Insurer, sufficient information to put a prudent insurer on notice that it needs to make further enquiries for the purpose of revealing those material circumstances.

A material circumstance is one which would influence a prudent insurer's judgement of the risk.

If the Proposer has any questions regarding the duty to make a fair presentation of the risk then please contact your broker for further information.

Declaration

It is declared that the Proposer has made a fair presentation of the risk. This declaration is signed by the director or officer who is responsible for arranging insurance on behalf of the Proposer.

Signature:

Position:

Date: / /

This proposal form should be signed no earlier than 30 days prior to inception of the policy.

Data protection notice

Beazley collects and uses information (including any personal data) provided by the Proposer in order to consider providing an insurance quote for the Proposer and any other entities or individuals intended to be insured.

If Beazley needs to process or obtain any special category data not provided by the Proposer within this proposal form then Beazley will seek consent from the Proposer before doing so. If the Proposer is providing any personal information on behalf of an individual, then the Proposer must inform that individual of this notice.

Beazley may share the information collected with a number of third parties such as agents, brokers, reinsurers, regulators and law enforcement agencies. Beazley will only disclose any personal information to the extent required or permitted by law.

Beazley's privacy notice is available [here](#)

If the Proposer or any individual wishes to contact Beazley regarding their data and rights then please contact DPO@Beazley.com