

Financial Institutions Coverage

Putting risk in its place



BrP

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HIGHLIGHTS

MISCELLANEOUS FINANCIAL INSTITUTIONS

- Tailored product to specific exposures
- 85+ classes for lenders, advisors, consultants, servicers, and many more
- Coverage Sections for Lenders Liability, Advisory Liability and tailored Misc. FI Professional Services
- Subpoena Compliance Coverage
- Loss of Document Coverage
- E&O/D&O/EPLI package product
- Broad Definitions of Alternative Investments
- Protection for innocent insureds
- Manuscript professional services for additional activities
- Investment Banking, Selling Away, Cost of Corrections, Penny Stock coverage available

Recent Successes

AT A GLANCE

PRODUCT:	Misc. Financial Institutions Professional Liability; Securities Shield, Adviser Shield, BancShield
TARGET:	Small and Middle Market Financial Institutions
REVENUE:	No minimums for Misc. FIPL, \$1mm minimum for BDs/RIAs
CAPACITY:	\$5M Primary and Excess

BROKER DEALER – INVESTMENT ADVISORS

- **STARTUP CROWD FUNDING PLATFORM FOR LOCAL BUSINESSES, \$1MM REVS, 3 EMPLOYEES:**
Bound \$1mm ex \$25k @ \$15k
- **RENEWABLE ENERGY LENDING SPONSOR, \$2.5MM REVS, 16 EMPLOYEES:**
Bound \$2mm ex \$35k @ \$22k
- **M&A ADVISORY SPECIALIST – \$600K REVS, 2 EMPLOYEES:** Bound \$1mm ex \$15k @ 12k
- **LENDING SUBSIDIARY OF LARGE NATIONAL RETAILER, 17MM REVS:**
Bound \$2mm ex \$150k @ \$22k
- **START-UP BD, \$2MM REVS, 6RR:**
Bound \$1mm ex \$25k @ \$17k
- **ESTABLISHED BD/RIA WITH CLAIMS, \$11MM REV, 44RR:** \$1ex\$150k @ \$150k including Investment Banking, Selling away

PLEASE NOTE: This list is solely intended to be a summary of policy coverage. Please reference the actual policy for specific terms and conditions. The policy supersedes all representations made above.