



INVESTMENT MANAGEMENT INSURANCE PROPOSAL FORM

Allied World Assurance Company, Ltd
60 Anson Road #08-01 Mapletree Anson
Singapore 079914
UEN: T09FC0142D

Telephone (65) 6423 0888
Fax (65) 6423 0798
Email sg.customerservice@awac.com
Website www.alliedworldinsurance.com/Singapore

Statement pursuant to the Insurance Act 1966 or any amendments thereof: You have a duty to fully and faithfully disclose to Allied World Assurance Company, Ltd (Singapore Branch) (the "Company" or "Allied World") every fact you know, or ought to know, otherwise, the Policy issued may be void and you may receive nothing from the Policy. If you are uncertain as to whether a particular information is material, these facts should be disclosed to the Company, otherwise the Policy issued may be void.

IMPORTANT INFORMATION AND NOTICES

Important Product Information

Please read the policy wordings for the full terms, conditions and exclusions. You may request a copy of the policy wordings from your intermediary or by emailing sg.customerservice@awac.com.

Important Notices

- The questions in this application (this "Application") relate to facts that Allied World Assurance Company, Ltd (Singapore Branch) (the "Company" or "Allied World"), which is the Singapore branch of a company incorporated in Bermuda with limited liability, considers material to underwriting this insurance. As these questions are not exhaustive, please advise the Company if there is any other material information that could influence the Company's assessment and acceptance of the proposal.
- Statement pursuant to the Insurance Act 1966 or any amendments thereof: You have a duty to fully and faithfully disclose to the Company every fact you know, or ought to know, otherwise, the Policy issued may be void and you may receive nothing from the Policy. If you are uncertain as to whether a particular information is material, these facts should be disclosed to the Company, otherwise the Policy issued may be void.
- Your duty does not require disclosure of any fact:
 - that diminishes the risk to be undertaken by the Company;
 - that is of common knowledge;
 - that the Company knows or, in the ordinary course of its business, ought to know; or
 - as to which compliance with your duty is waived by the Company.
- You have the same duty to disclose those matters to the Company before you renew, extend, vary or reinstate a contract of insurance.
- All information provided by you in support of your Application for insurance must be correct, as you will be bound by the answers and by the information you have provided. If you do not comply with your duty of disclosure or make a misrepresentation, the Company may be entitled to reduce its liability under the Policy in respect of a claim or may cancel or avoid the Policy from its inception. If the non-disclosure or misrepresentation is fraudulent, the Company may also have the additional option of avoiding the Policy from its inception and retaining the premiums paid.
- If your Application was submitted via an insurance intermediary and is accepted, the Company will pay the insurance intermediary through whom your Policy is arranged commission during the continuance of the Policy, including renewals, for arranging the Policy.
- If your Application relates to a renewal of your Policy:
 - Your renewal premium(s) payable is based on existing terms and conditions of your expiring Policy.
 - The renewal premiums(s) and the terms and conditions of your renewal policy are subject to your claims record remaining unchanged.
 - Any change in your claims records or your Policy details may result in a change in your renewal premium(s) and/or the policy terms and conditions, as well as the validity of the offer of renewal made by the Company. The Company reserves all rights to amend your Policy renewal premium(s) as well as your Policy renewal terms and conditions.
- This product is underwritten by the Singapore branch of Allied World Assurance Company, Ltd, which is regulated by the Monetary Authority of Singapore.
- This product is for Singapore distribution only. It is not an offer to sell, a solicitation to buy nor provision of any insurance product outside Singapore. The Company does not offer or sell any insurance product in any jurisdictions outside Singapore in which such offering or sale of the insurance product is illegal under the laws of such jurisdictions.
- If your Application is accepted, it is a condition precedent to the Company's liability under the policy that the premium must be paid to and received by the Company within 90 days from the inception of the insurance, failing which the policy shall be deemed to be automatically terminated and a pro-rata premium will be charged for the period that the Company is on risk.

Personal Data Protection

Allied World is committed to the safe and careful use of your personal data as required by the Singapore Personal Data Protection Act 2012 ("PDPA").

Collection, Use and Disclosure of Your Personal Data

To provide you with quotations for insurance products and services and to arrange and manage your insurance, we collect personal data from you and those authorized by you such as your agent, family members and other service providers, as well as others we consider necessary including our agents.

Any personal data provided is used by us to assess, arrange and administer your insurance including the management and investigation of claims. Your personal data may be disclosed by us to third parties involved in this process including health care providers, claims handlers and investigators, legal and other professional advisers and data storage and data handling providers. Some of these third parties may be located in countries other than Singapore.

We may also collect, use and disclose your personal data for product development, research and to provide you with marketing, advertising and promotional information relating to products and/or services that Allied World may be selling or promoting.

Please refer to the Allied World Singapore Personal Data Privacy Policy Statement available at <https://alliedworldinsurance.com/singapore/> for more information.

If you have any questions about the way in which Allied World uses or holds your personal information, please contact our Data Protection Officer at:

The Data Protection Officer
Allied World Assurance Company Ltd
8th Floor
60 Anson Road #08-01
Mapletree Anson
Singapore 079914
T: +(65) 6423 0888
Email: sg.customerservice@awac.com

SECTION A – DETAILS OF THE APPLICANT

1. Name of the Applicant (including all subsidiary companies for whom cover is required):

2. Principal Address:

3. Website Address:

4. Date Established:

5. Country of Registration/Incorporation:

6. Nature of Business of the Applicant:

7. Total Number of Employees:

Breakdown of Employees

Portfolio Manager

HR Department

Compliance Department

Research Department

Internal Audit Department

Marketing / Sales Department

Legal Department

Others

8. Is the Applicant licensed by any regulatory authority?

Yes No

If "Yes", please list the regulatory authority.

9. Is the Applicant:

(a) a private company?

Yes No

(b) a public company?

Yes No

(c) listed on a foreign stock exchange?

Yes No

If "Yes", please provide details.

10. During the last three (3) years, has there been:

(a) any acquisition or merger involving the Applicant?

Yes No

(b) any change in capital structure of the Applicant?

Yes No

(c) any change in name of the Applicant?

Yes No

If "Yes", please provide details.

11. Are there any directors or partners who control more than 10% or more of the issued shares? Yes No

Name	Percentage of Issued Shares (%)

12. Does the Applicant have any:

(a) assets or employees in the United States? Yes No

(b) fund, trust, managed investment scheme or investment mandate with investors domiciled in the United States? Yes No

(c) fund, trust, managed investment scheme or investment mandate with assets or investments in the United States? Yes No

If "Yes", please provide the details.

13. Please provide the investor profile of the Applicant:

Percentage by Type	Current Year (%)	Previous Year (%)
High Net Worth Individuals and Family Offices		
Pension Funds		
Institutional		
Retail Investors		
Other (please specify _____)		

14. Please provide investor split by country/region of the Applicant:

Singapore/ Hong Kong	Asia	Australia/ NZ/ Europe	USA/ Canada	Others	Total
					100%

15. Please list the actual and estimated fee income from the following:

Currency Used:				
Professional Services	Last Completed Financial Year	Current Financial Year	Next Financial Year (Estimate)	
Fund Management				
Corporate Advisory				
Property Management				
Performance Fee				
Others				
Total				

16. Have the Insured liquidate any funds, frozen any funds or suspended redemptions on any funds? Yes No
If "Yes", please provide details.

17. Have any of the funds managed by the Insured suffered redemptions of greater than 15% of the funds under management in the past 12 months? Yes No
If "Yes", please provide the detail of both an amount and proportion of the assets in the fund or strategy affected.

SECTION B – RISK MANAGEMENT, COMPLIANCE AND AUDIT FUNCTIONS

1. Are all investor presentations, investors letters, advertisements, marketing and other promotional materials required to be reviewed by legal counsel prior to distribution? Yes No

2. (a) Please describe the method of instructions (e.g. written, telephone, electronic etc.) in respect of transfer of funds to a third party.

(b) Are these instructions tested or subject to a call back procedures to an authorized person other than the individual initiating the transfer. Yes No

If “No”, please provide details.

3. Does the Applicant conduct any independent check of the employment history of any new employees prior to being recruited? Yes No

4. Are duties segregated so that no individual can complete an activity from the beginning to the completion of the task without referral to another in respect of:

(a) opening new bank accounts Yes No

(b) disbursement of assets Yes No

(c) signing checks or authorizing payments greater than US\$10,000 Yes No

(d) custody of securities Yes No

If “No” on the above, please provide details as to alternative arrangements.

5. Please provide the list of the Applicant’s service providers or agents based on the following functions:

Name of Service Provider

Fund Management	
Trustee/ Responsible Entity	
Custodian	
Administration	
Legal	
Audit	

6. Have there been any changes or modification in the investment restrictions or limitations of any Fund within the past 2 years? Yes No

If “Yes”, please provide full details.

7. (a) Are all employees provided training in respect to electronic fraud risks (social engineering, phishing, email compromise, fake president and other scams)? Yes No

(b) How frequent is this training undertaken?

8. Please confirm that multi-factor authentication is enforced:

(a) for remote access into the Applicant’s network? Yes No

(b) for access to email remotely on a non-corporate device via a web application? Yes No

9. Does the Applicant always use encryption to protect information stored on backup tapes or cloud? Yes No

If alternative method other than backup tapes or cloud is used, please provide details.

SECTION C – OUTSIDE DIRECTORSHIP

1. Are there any directors, officers or employees that hold an Outside Directorship position in any Outside organization? Yes No

If “Yes”, please complete the below:

(a) Does any Outside Organization have any securities listed or traded on any exchange in the United States or its territories? Yes No

If “Yes”, please provide details.

(b) Does any Outside Organization generates more than 20% of its revenue from investment banking, hedge funds or private equity investments? Yes No

2. Are any of the Outside Organizations or its directors and officers aware of any claim or circumstances that could give rise to a claim related to the Outside Organization? Yes No

If “Yes”, please provide details.

SECTION D – INSURANCE HISTORY

1. Does the Applicant currently purchase Investment Management Insurance? Yes No

If Yes, please provide the following details.

Name of Insurer	Limit of Liability	Renewal Date	Deductible

2. What coverage is now required?

Professional Indemnity Yes No

Directors and Officers Liability Yes No

Crime Yes No

SECTION E – CLAIMS/CIRCUMSTANCES

1. Have any claims ever been made against the Applicant or any past or present director, officer or employee of the Applicant? Yes No

2. Is the Applicant, or any director, officer or employee aware, after enquiry, of any fact, circumstance, act or omission which may give rise to a claim? Yes No

3. Has any past or present director or officer of the Applicant ever been declared bankrupt, had any fine or penalty imposed or been subject to any official investigation, inquiry or examination in such capacity? Yes No

4. Has there ever been, or is there currently pending, any prosecution of the Applicant, or any director, officer or employee of the Applicant? Yes No

5. Has the Applicant, or any director, officer or employee of the Applicant, ever had an insurer decline a proposal for, or cancel or refuse to renew, an Investment Management Insurance policy, Directors & Officers Liability Insurance policy, Professional Indemnity Insurance policy, or Crime Insurance policy, or had any special terms or conditions imposed? Yes No

6. Have any losses been paid on behalf of the Applicant or any past or present director, officer or employee of the Applicant, under any Investment Management Insurance policy, Directors & Officers Liability Insurance policy, Professional Indemnity Insurance policy, or Crime Insurance policy? Yes No

Note: If you answered “Yes” to any of the above questions, please provide full details.

DECLARATION

On behalf of all proposed applicants:

1. I/We declare and warrant that:
 - a. all answers given in this Application and all other information supplied in connection with this Application are true, correct and accurate in every respect;
 - b. all material factors affecting an insurer's assessment of the risks have been disclosed to Allied World Assurance Company, Ltd (Singapore Branch) (the "Company" or "Allied World");
 - c. no material fact has been omitted, misstated or suppressed;
 - d. no insurer has terminated any of my/our insurances;
 - e. if this Application has not been completed by me/us personally, I/we have read the completed form and accept full responsibility for the answers and information provided to the Company; and
 - f. if I/we have provided answers in this Application and all other information in connection with this Application about other applicants, I/we are authorised by them to make this declaration, agree to the statements herein and provide the consents herein.
2. I/We agree:
 - a. that I/we have a duty to fully and faithfully disclose to the Company all the facts as I/we know them or ought to know them, otherwise, I/we may receive nothing from the Policy;
 - b. that should any of the information given by me/us alter between the date of this Application and the inception date of the insurance to which this Application relates, I/We will give immediate notice thereof;
 - c. that this Application, together with any other information supplied by me/us, shall be the basis of the contract of insurance policy between me/us and the Company and shall be deemed to be incorporated in the Policy, subject to the terms and conditions of the Policy;
 - d. to the Company verifying the information provided in the Application with the relevant parties;
 - e. that if my/our Application was submitted via an insurance intermediary and is accepted, to the Company paying the insurance intermediary through whom the Policy is arranged commission during the continuance of the Policy, including renewals, for arranging the Policy; and
 - f. that the Policy will not become effective until this Application has been accepted in writing by the Company and the premium fully paid.
3. I/We consent to Allied World collecting, using, processing and disclosing my personal data in accordance with the Allied World Singapore Personal Data Privacy Statement available at <https://alliedworldinsurance.com/singapore/> including disclosing my/our personal data to Allied World's third party service providers and agents and transferring my/our personal data outside of Singapore. If I/we have provided or will provide information to Allied World about any other individuals, I/we confirm that I/we are authorised to disclose their personal data and also give this consent on both my/our and their behalf.

I/We consent to Allied World sending me marketing, promotional or other messages via telephone:

Voice Call Text Message

Please note that if you decide you no longer wish to receive offers from Allied World via telephone and/or text message, you can opt out at any time by submitting a request via Allied World's website at <https://alliedworldinsurance.com/singapore/>. For further information, please contact Allied World's Data Protection Officer via sg.customerservice@awac.com or on (65) 5423 0888.

SIGNATURE OF APPLICANT / AUTHORISED SIGNATORY*

DATE:

*Authorised signatory must be a Principal, Partner or Director of Applicant

NAME:

TITLE:

Disclaimer

This information is provided as a general overview for agents and brokers. Coverage will be underwritten by the Singapore branch office of Allied World Assurance Company, Ltd, which is regulated by the Monetary Authority of Singapore. Coverage is only offered subject to local regulatory requirements and through licensed agents and brokers. Actual coverage is subject to the terms, conditions and exclusions of the actual policy issued. © 2023 Allied World Assurance Company Holdings, Ltd. All rights reserved.