

**SUPPLEMENTAL MISCELLANEOUS PROFESSIONAL LIABILITY APPLICATION  
BANK TRUST DEPARTMENT  
(Claims Made Basis)**

Name of Applicant: \_\_\_\_\_

1. Set forth the year the trust Department was established: \_\_\_\_\_

2. Set forth the percentage of all Trust Accounts:

Individual (trust, estates, guardianship, etc.):	_____	%
Institutional (excluding mutual fund portfolios):	_____	%
Mutual fund portfolio securities	_____	%
Corporate (pension plans, profit sharing plans, etc.):	_____	%
Other (please specify):	_____	%

3. Set forth the total dollar value of the assets held by the Trust Department:

Book Value:	\$ _____
Current market value:	\$ _____

4. Set forth the number of accounts held by the Trust Department: \_\_\_\_\_

5. Set forth the value of the assets held in the largest managed account: \$ \_\_\_\_\_

6. Set forth the value of the assets held in the largest custodial account: \$ \_\_\_\_\_

7. Set forth the total percentage of all Trust accounts which are discretionary: \$ \_\_\_\_\_

8. Set forth the total number of Bank branches and the number of branches, which operate a Trust Department.

Total number of branches:	_____
Branches with a Trust Department:	_____

9. Set forth the total number of directors and officers in the Bank:

Directors:	_____
Officers:	_____

10. Set forth the number of officers in the Trust Department: \_\_\_\_\_

11. Set forth the number of employees in the Trust Department: \_\_\_\_\_

12. Identify the Insurer affording to the Bank a Bankers' Blanket Bond and state the limit of liability of that bond.

\_\_\_\_\_

13. Does the Bank carry Directors and Officers Liability Insurance?

( ) YES. ( ) NO.

If YES, identify the Insured and the Limit of Liability.

\_\_\_\_\_  
\_\_\_\_\_

14. With respect to a Corporate Trust Division, excluding mutual funds:

- A. On how many accounts is the Applicant the transfer agent? \_\_\_\_\_
  - (1) How many are listed on the NYSE? \_\_\_\_\_
  - (2) How many are listed on the AMEX? \_\_\_\_\_
- B. On how many accounts is the Applicant the registrar? \_\_\_\_\_
- C. On how many accounts is the Applicant the dividend disbursing agent? \_\_\_\_\_
- D. On how many accounts is the Applicant a Trustee under a bond indenture and state the total value of the assets.  
\_\_\_\_\_

E. On how many accounts is the Applicant a Fiscal Agent and set forth the total value of the assets.  
\_\_\_\_\_

F. On how many accounts is the Applicant a Sinking Fund Agent and set forth value of the assets.  
\_\_\_\_\_

G. On how many accounts is the Applicant an Escrow Agent and set forth the total value of the assets.  
\_\_\_\_\_

15. If the Bank Trust Department manages any Common Trust Funds, set forth the following information:

Name of Trust Fund:	Total Assets:	Number of participants
_____	\$ _____	_____
_____	\$ _____	_____
_____	\$ _____	_____
_____	\$ _____	_____

16. Attach a copy of the latest annual report for each such trust fund.

17. Does the Corporate Trust Department have a Mutual Fund Division? ( ) YES. ( ) NO.  
If YES, please answer the following:

- A. Set forth the total number mutual funds: \_\_\_\_\_
- B. Set forth the total assets of all mutual funds: \_\_\_\_\_
- C. Set forth the value of the assets of the largest fund: \_\_\_\_\_
- D. On how many mutual administered or held by the Bank is the Bank the custodian and set forth the value of the assets.  
\_\_\_\_\_
- E. On how many mutual funds administered or held by the Bank is the Bank the transfer agent and set forth the value of the assets.  
\_\_\_\_\_
- F. On how many mutual funds administered or held by the Bank is the Bank the transfer agent and set forth the value of the assets.  
\_\_\_\_\_
- G. On how many mutual funds administered or held by the Bank is the Bank the transfer agent and set forth the value of the assets.  
\_\_\_\_\_
- H. Does the Bank perform shareholder accounting services for mutual funds? ( ) YES. ( ) NO.  
If YES, set forth the following:
  - (1) Number of mutual funds for which the service is provided: \_\_\_\_\_
  - (2) Number of shareholders/participants in these funds: \_\_\_\_\_
  - (3) Total value of all assets in these funds: \_\_\_\_\_

18. Set forth the name and address of the law firm acting as counsel to the Bank:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

19. Does this law firm provide to the Bank a written opinion as to the legality of any change in investment or management policy?  
( ) YES. ( ) NO.

20. Set forth the name and address of the Bank's accountant:

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21. Set forth the frequency and nature of the auditing services provided by the external independent accountant for the Bank.

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22. Does the said accountant make a physical check of the monies and securities handled by the Trust Department?  
( ) YES. ( ) NO.

If YES, set forth the frequency of the physical check. If NO, does the Bank's own Audit Department make a complete physical check and, if so, on what frequency?

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23. With respect to the entire Trust Department, state the recommendations of and the date of the last examination by the Federal Deposit Insurance Corporation, or other regulatory agency.

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24. Describe any other activities or services of the Trust Department for which coverage is desired.

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25. Set forth the gross income of the entire Trust Department for the preceding 12 months: \_\_\_\_\_

It is understood that this supplement becomes a part of the Application for Miscellaneous Professional Liability insurance, and is utilized to develop pertinent information unique to bank trust departments.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorized Representative

\_\_\_\_\_  
Title