



ARCH SPECIALTY INSURANCE COMPANY
(A Missouri Corporation)

**ARCH EXPRESS MISCELLANEOUS PRO
ERRORS AND OMISSIONS LIABILITY POLICY SUPPLEMENTAL APPLICATION**

FINANCIAL PLANNING SERVICES

Instructions for Completing This Supplemental Application

This Supplemental Application is in addition to the Policy Application. Please read this Supplemental Application carefully, fully answer all questions, and submit all requested information. Attach additional pages if more space is required to answer a question or respond to any information request. As used herein, "Applicant" means the Organization specified in item 1 below.

1. Name of Applicant (Named Organization):

2. Is the Applicant a Registered Investment Advisor and have at least three years of experience? Yes No

3. Does the Applicant provide any service(s) for which they are not licensed or certified to perform? Yes No

4. Does the Applicant have any client's assets under management? Yes No
If Yes, please explain:

a.) Does the Applicant manage more than \$500,000 in client assets on average per client?
 Yes No

b.) Does the Applicant manage more than \$2 million in assets for any one client?
 Yes No

c.) Does the Applicant manage any client assets on a discretionary basis (no prior consent/approval needed)?
 Yes No

5. Does the Applicant maintain written documentation of all advice provided to clients?
 Yes No

6. Does the Applicant provide a written investment policy statement to each client?
 Yes No

7. Does the Applicant provide services in any of the following areas? Yes No

a. Limited Partnerships

c. Divorce Planning

b. Third Party Pension Administration

d. Personal Management Services (bill payment)

Does the Applicant provide any alternative investment recommendations/referrals/asset management involving any of the following: Yes No

a. Junk Bonds

d. Private Placements

f. Unregistered Securities

b. Unlisted Stocks

e. Hedge Funds

g. Options Contracts

c. Commodity Futures

Date: _____

Signature: _____

Title: _____
(CEO, President or Principal)