The Uhl Agency

Financial Institutions Insurance
Prosper without worry.

FINANCIAL INSURANCE PREMIUM INDICATION FORM

Name of Firm:____

Name of Contact:____________________Email:______________________________

Mailing Address:____

Phone Number:____________________Website:______________________________

Number of Advisors:____________ Total Number of Employees (Including Advisors):__________

Please list any professional designations (required for discounts):________________________

Custodians Used (Check All That Apply)
☐ Schwab ☐ Fidelity ☐ Other (List):

Assets Under Management	
Discretionary	$
Non-Discretionary	$

Revenue (Dollars)	% Fee only Revenue	% Commission Revenues
$		

Professional Services by Percentage (must equal 100%)

Nature of Practice	%	Nature of Practice	%
Asset Monitoring (No LPOA to direct trades)		Discretionary Asset Management – Individual (LPOA)	
Discretionary Asset Management – ERISA (LPOA)		Investment Management Consulting (No LPOA)	
Non-Discretionary Asset Management (LPOA with prior consent)		Third Party Pension Administration (not claims)	
Hourly Advice		Timing Services	
Modular/Comprehensive Financial Plan Preparation/Advice		Product Sales Not Based on Financial Plan	
Product Sales Based on Financial Plan		Tax Preparation	
Referral to Third Party Managers		Accounting Services Other Than Tax Prep	
Wrap Accounts		Other (Describe):	

SEC or regulatory exam within the past 24 months? ☐ Yes ☐ No (If yes, provide details on a separate page)

Use Alternative Investments? ☐ Yes ☐ No (If yes, provide details on a separate page)

Been the subject of a claim in the past 5 years? ☐ Yes ☐ No (If yes, provide details on a separate page)

Provide the percentage of total assets you advise in each of the following categories (must equal 100%)			
%	**Classes and Types of Assets Managed and Assets Advises**	**%**	**Classes and Types of Assets Managed and Assets Advises**
	Mutual Funds (all investment styles)		Foreign Securities (traded 100% outside the US)
	Cash		Certificates of Deposit
	Closed-End Investment Companies		Unit Investment Trusts (UIT)
	Variable Annuities		Unlisted Stocks
	Investment Grade Bonds		Unregistered Securities
	Listed Stocks		Index Linked Securities
	Exchange Traded Funds (excluding leveraged and inverse)		Junk Bonds / Below Investment Grade
	Leverage Exchange Trading Funds		Promissory Notes / Leases / Receivables
	Inverse Exchange Traded Funds		Hedge Funds
	Municipal Securities		Fund of Hedge Funds
	Options		Guaranteed Investment Contracts (GIC)
	REITs Publicly Traded		Collective Investment Trusts / Fund (CIT / CIF)
	REITs / REIFs Privately Traded		Tangibles (gold, silver, collectables, coins, etc.)
	Limited Partnerships/General Partnerships or similar Pooled Investment Vehicles		Asset-Backed Securities, Mortgage-Backed Securities, CMO, CDOs
	Exchange Traded Notes (ETN)		Church Bonds
	Other:		Other Derivatives or Structured Products

Current Insurance Information			
Effective Date		Retro Date	
Insurance Company		Limits	
Deductible		Premium	

Provide a copy of your current in-force policy. If directors and officers liability is requested, we will also need financials and a list of advisors.

Please advise us if you are interested in additional information and/or quotes on the following lines of insurance coverage:

- Fiduciary Liability
- ERISA Fiduciary Fidelity Bond
- Commercial Crime Coverage
- Employment Practices Liability
- Cyber Liability
- Commercial Property and Casualty Insurance

Upon completion, please email this completed form to rachelirwin@uhlagency.com. Thank you.