

Financial Professional

Confirmation of Insurance Coverage

North American Professional Liability Insurance Agency, LLC (NAPLIA) has reviewed the Insurance coverage for Your Investment Advisor Firm here and affirms the coverage(s) checked below:



I. Errors & Omissions (Professional Liability) Insurance

Carrier:	Insurance Carrier
AM Best Rating:	"A"
Limits:	\$1,000,000 per claim / \$1,000,000 aggregate
Policy Period:	Effective dates of policy



II. Coverage for Acts as an ERISA Fiduciary

NAPLIA has reviewed the above Errors & Omissions Insurance Policy and confirms that it applies to coverage for acts as an ERISA Fiduciary in the following format:



1. Affirmative coverage for acts as a Fiduciary
 In policy wording by endorsement



2. Silent. Fiduciary coverage not excluded. Fiduciary coverage not stated.



3. Excludes coverage for acts as a Fiduciary



III. Investment Advisor ERISA Bond

An Investment Advisor ERISA bond is a specific bond written for investment advisors to meet the requirements of ERISA Section 412 when an advisor has the right or power to exercise discretionary authority over purchases and sales of plan assets or has discretionary authority in the administration of an ERISA plan.

This confirmation of insurance coverage is not a Certificate of Insurance, nor guarantee of continuation of the above coverage. It is intended to provide an overview of the insurance coverage maintained by this financial professional with North American Professional Liability Insurance Agency, LLC (NAPLIA) as of the day of this review. Only the actual insurance policy itself can provide full details of coverage including condition and exclusions. For more information you should review the insurance policy. NAPLIA makes no warranties, guarantees, or other promises of coverage. We have reviewed the policies maintained by our office and to the best of our ability affirm the above.

Signed: valid only when signed by NAPLIA representative This date: _____