



SECURITIES BROKER-DEALER PROFESSIONAL LIABILITY

Arch Insurance Group takes a highly disciplined and strategic approach to providing capacity for one of the market's most distressed lines. In many cases, coverage is underwritten to complement our Company Sponsored Life and Property/Casualty Insurance Agents E&O Insurance. Our Securities Broker-Dealer and Registered Representative E&O policy addresses claims arising from the alleged wrongful acts and wrongful supervisory acts of an insured securities broker/dealer or NASD/SEC registered representative who renders (or fails to render) professional services.

Customer Profile

Our preferred accounts include firms that are insurance company affiliates with the following characteristics:

- A minimum of 100 registered representatives
- \$150,000 minimum premium; \$50,000 minimum retention
- At least three years in business
- A majority of revenues derive from selling and servicing mutual funds, variable products, life, accident and health insurance and municipal bonds
- A minimal percentage of firm accounts are traded on margin and/or with discretionary authority

Desired risks do NOT derive more than 40 percent of revenue from listed or unlisted stocks, REITS, options, limited partnerships, commodities, investment banking activities and underwriting of stock issues. Firms performing investment advisory services should refer to our Executive Assurance's Financial Institution Department.

Key Features

- Claims made and reported forms
- Primary or excess coverage available
- Defense costs paid inside limits of liability
- Duty to defend policy
- Loss reporting capabilities

Distribution

- Select retail and wholesale producers

Capacity

- Limits up to \$2 million per claim; \$10 million aggregate

Submission Guidelines

- Arch Insurance Group application
- At least five years of loss experience
- Audited financial statements for the sponsoring company

CLAIMS

Arch Insurance Group adheres to a proactive claims handling program in order to achieve cost efficient, superior results. Our claims professionals have extensive experience handling most types of losses and are dedicated to providing customized, responsive customer service to each insured. Partnership with our insured is the cornerstone of the Arch claim handling philosophy. For more information email claims@archinsurance.com.

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NATIONAL CONTACTS (All Regions)

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Insurance coverage is underwritten by one or more member companies of Arch Insurance Group in North America, which consists of Arch Insurance Company (a MO corporation, NAIC# 11150), Arch Specialty Insurance Company (a NE corporation, NAIC# 21199) and Arch Excess & Surplus Insurance Company (a NE corporation, NAIC# 10946). Executive offices are located at One Liberty Plaza in New York City 10006. Not all insurance coverages or products are available in all jurisdictions. Coverage is subject to actual policy language. This information is intended for use by licensed insurance producers.