



P.O. Box 650 • 57 Parker Rd. • Barre, VT 05641 • 800-548-4301 • www.neee.com

## **RENEWAL APPLICATION**

### **ARCHITECTS & ENGINEERS PROFESSIONAL LIABILITY**

#### **APPLICANT'S INFORMATION**

1. Current Kinsale policy number: \_\_\_\_\_
2. Legal name of the business who is the primary applicant and will be the first named insured listed on the policy:  
\_\_\_\_\_
3. Please list all other business/dba names for which are you seeking coverage under this policy: \_\_\_\_\_
4. Please list any names of predecessor firms and dates of each: \_\_\_\_\_
5. Please list any names of other entities that you own or manage or that you do business under (such entities are not requesting coverage under this policy): \_\_\_\_\_
6. Are you looking for coverage for entities listed in question 4 (above) under this policy? Yes  No
7. Primary location address: \_\_\_\_\_
8. Has the name or ownership of the entity changed or has any other business been purchased, merged or consolidated with the entity within the past 12 months or are any such changes contemplated in the next 12 months? Yes  No

**If "Yes", please provide a description of the changes on an attached sheet of paper.**

#### **GENERAL INFORMATION**

<i>Please indicate the number of total staff in each category</i>	<b>Architects</b>	<b>Engineers</b>	<b>Land Surveyors</b>	<b>Landscape Architects</b>	<b>All Other</b>	<b>Total</b>
	Next 12 Months	Next 12 Months	Next 12 Months	Next 12 Months	Next 12 Months	Next 12 Months
<b>Principals, Partners, Officers &amp; Directors:</b>						
<b>Licensed Staff</b>						
<b>Unlicensed Staff</b>						

1. Please help us understand the size of your business. Please provide previous year information and future year projections.:

	<b>Projection for <u>next 12 months</u></b>	<b>Most <u>recent past 12 months</u></b>
a. Projects insured separately	\$ _____	\$ _____
b. Joint Venture projects*	\$ _____	\$ _____
c. Projects permanently abandoned	\$ _____	\$ _____
d. Fees passed through to consultants	\$ _____	\$ _____

	<b>Projection for <u>next</u> 12 months</b>	<b>Most <u>recent</u> past 12 months</b>
e. Direct Reimbursables	\$ _____	\$ _____
f. All other professional services	\$ _____	\$ _____
g. Annual Total Construction Values	\$ _____	\$ _____
h. ANNUAL TOTAL REVENUES	\$ _____	\$ _____

*\*if any value is present, fill out Joint Venture Supplemental form*

Please categorize your total **annual gross revenue** by type of work performed:

	<b>Next 12 Months</b>		<b>Next 12 Months</b>
Architecture	_____ %	Golf Course Architecture	_____ %
Acoustical Engineering	_____ %	HVAC Engineering	_____ %
Chemical	_____ %	Interior Design	_____ %
Civil Engineering	_____ %	Landscape Architecture	_____ %
Communication Engineering	_____ %	Land Surveying	_____ %
Construction Management	_____ %	Mechanical Engineering	_____ %
Design/Build	_____ %	Oil/Gas Well Engineering	_____ %
Drafting Services	_____ %	Product Design	_____ %
Electrical Engineering	_____ %	Process Engineering	_____ %
Environmental Engineering	_____ %	Traffic Engineering	_____ %
Fire & Alarm Systems	_____ %	Structural Engineering	_____ %
Forensic	_____ %	Other _____	_____ %
Geotechnical/Soils	_____ %	Other _____	_____ %

2. Please categorize your projects by indicating the percentage in each of the following areas:

	<b>Next 12 Months</b>		<b>Next 12 Months</b>		<b>Next 12 Months</b>
Airport Facilities (except terminals)	%	Houses/Single Family Residential	%	Roads/Highway/ Streets	%
Airport Terminals	%	Industrial Waste Treatment	%	Schools/Colleges	%
Amusement Rides	%	Jails/Justice/ Correctional	%	Shopping Ctrs/ Retail/Restaurant	%
Apartments	%	Landfills/Solid Waste Facilities	%	Storm Water Systems	%
Assisted Living Fac.	%	Libraries	%	Tract housing	%
Bridges less than 500 feet	%	Manufacturing/ Industrial	%	Tunnels	%
Bridges-more than 500 feet	%	Mass Transit	%	Warehouses	%
Churches/ Religious	%	Multi-family Resid. excl. Condos	%	Water/Sewer Pipelines	%
Condos/Co-ops	%	Nuclear/Atomic	%	Water/Wastewater Treatment	%
Convention Centers/ Arenas/ Stadiums	%	Office Buildings/ Banks- High Rise (> 15 stories)	%	Utilities (Gas, Electric, Steam)	%
Custom Residential	%	Office Buildings/ Banks- Low Rise (<15 stories)	%	Other (specify)	%
Dams	%	Parking Structures	%	Other (specify)	%
Dormitories	%	Parks/Playgrounds/ Pools	%		
Environmental Remediation	%	Petro/Chemical	%		

Harbors/Piers/ Ports	%	Potable Water Systems	%		
Hospitals/ Health Care	%	Real Estate Development	%		
Hotels/Motels	%	Recreation/Sports	%	<b>Total</b>	<b>100%</b>

3. Please categorize the service offered by the entity (must total 100%):

- Feasibility studies \_\_\_\_\_%
- Design only, no construction phase services \_\_\_\_\_%
- Design with observation of construction \_\_\_\_\_%
- Design with construction management services \_\_\_\_\_%
- Construction management without design \_\_\_\_\_%
- Complete responsibility for construction, including design \_\_\_\_\_%
- Other (specify): \_\_\_\_\_%

4. Has the firm participated in any of the following projects or services in the past 12 months, or are any contemplated for the next 12 months?

- |   |                              |                             |                                     |                              |                             |
|---|------------------------------|-----------------------------|-------------------------------------|------------------------------|-----------------------------|
| Projects constructed outside the U.S.A. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | Nuclear or Atomic                   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Amusement Rides or Water Slides         | Yes <input type="checkbox"/> | No <input type="checkbox"/> | Refinery or Chemical                | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Asbestos Testing or Abatement           | Yes <input type="checkbox"/> | No <input type="checkbox"/> | Phase I, II or III Site Assessments | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Hazardous or Toxic Waste                | Yes <input type="checkbox"/> | No <input type="checkbox"/> | Runways or Taxiways                 | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Laboratory Testing or Analysis          | Yes <input type="checkbox"/> | No <input type="checkbox"/> | Stadiums or Arenas                  | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Landfills                               | Yes <input type="checkbox"/> | No <input type="checkbox"/> | Soils Engineering                   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Machinery, Equipment or Product Design  | Yes <input type="checkbox"/> | No <input type="checkbox"/> | Superfund                           | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Mines                                   | Yes <input type="checkbox"/> | No <input type="checkbox"/> |                                     |                              |                             |

**If "yes", please provide details of the project(s), including project named, location, client, billings, constructions values and completion date on a separate sheet of paper.**

5. During the past 12 months, or during the next 12 months, does or will a single client provide over 25% of gross receipts? Yes  No

**If "Yes", please provide the name of the client, the specific dollar value of this work, and a description of the work performed:** \_\_\_\_\_

6. Provide details of the five (5) largest projects undertaken during the last 12 months.

Name of project	Type of structure & services performed	Construction value	Length of project

7. During the past 12 months, did you:
- a) Have unresolved fee disputes? If yes, please describe the date, circumstances and amount below. Yes  No
  - b) Bring suits, including placement of liens, against clients to collect fees? If yes, please describe the date, circumstances and amount below. Yes  No
  - c) Do contracts used include arbitration provisions to govern disputes with clients? Yes  No

- d) Do contracts state that any dispute will be governed by the laws of a certain state? If yes, list the state below. Yes  No
- e) Do contracts indemnify another party for any reason when it comes to professional liability? Yes  No
- Descriptions for a. b. and d: \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

8. **Have you ever provided, or in the next 12 months will you provide, services in New York?** Yes  No   
**If yes, please complete the following questions:**
- a) What percentage of your projected gross revenue is from work in New York? \_\_\_\_\_ %
- b) Do you accept responsibility/ supervision for site safety programs or do you have the authority for stopping work for unsafe practices? Yes  No
- c) Do you oversee/assume the responsibility for the means and method of construction on any project? Yes  No
- d) Do you use AIA B141/ CMA or AIA B141-1997 contracts in NY 100% of the time? Yes  No

**For any "yes" response to b or c, on a separate sheet of paper please explain in detail. If AIA B141/CMA or AIA B141-1997 contracts are not used, please explain and provide a copy of your contract.**

### **INSURANCE AND LOSS HISTORY**

9. After inquiry with each person as appropriate, during the last 12 months, have any claims been made against the person or entity applying for insurance, or any of your past or present members, partners, officers, directors, employees, or any predecessors in business? Yes  No

**If "yes", please complete a separate Supplemental Claim form for each claim or suit and include a currently valued loss run for each claim.**

10. After inquiry with each person as appropriate, have any new claims/incidents/circumstances been reported to any previous carrier including under an extended reporting period? Yes  No

**If "yes", please complete a separate Supplemental Claim form for each claim or suit and include a currently valued loss run for each claim.**

11. Please provide details of any status changes in previously reported claims including changes in amounts paid in defense costs or to settle claims. \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

**Please include an updated loss run for any previously reported unresolved claims.**

12. After inquiry with each person as appropriate, are you, or any of your partners, officers, directors, or employees, aware of any circumstances, acts, errors, omissions, or any allegations or contentions of any incident which may result in a claim? Yes  No

**If "yes", please complete a separate Supplemental Claim form for each claim or suit and include a currently valued loss run for each claim.**

13. After inquiry with each person as appropriate, have you, or any of your partners, officers, directors, or employees been the subject of any complaint or subject to any disciplinary action by any state licensing agency or other regulatory body during the last 12 months? Yes  No

If “yes”, please provide an explanation of the circumstances and penalty involved. If available, please provide a copy of the complaint, your response, and a copy of the regulatory body’s decision.

#### FRAUD WARNING

**NOTICE TO ALABAMA, ALASKA, ARIZONA, ARKANSAS, CALIFORNIA, CONNECTICUT, DELAWARE, GEORGIA, IDAHO, ILLINOIS, INDIANA, IOWA, KANSAS, MARYLAND, MASSACHUSETTS, MICHIGAN, MINNESOTA, MISSISSIPPI, MISSOURI, MONTANA, NEBRASKA, NEVADA, NEW HAMPSHIRE, NORTH CAROLINA, NORTH DAKOTA, OREGON, RHODE ISLAND, SOUTH CAROLINA, SOUTH DAKOTA, TEXAS, UTAH, VERMONT, WASHINGTON, WEST VIRGINIA, WISCONSIN, AND WYOMING APPLICANTS:** In some states, any person who knowingly, and with intent to defraud any insurance company or other person, files an application for insurance or statement of claim containing any materially false information, or, for the purpose of misleading, conceals information concerning any fact material thereto, may commit a fraudulent insurance act which is a crime in many states.

**NOTICE TO COLORADO APPLICANTS:** It is unlawful to knowingly provide false, incomplete or misleading facts or information to an insurance company for the purpose of defrauding or attempting to defraud the company. Penalties may include imprisonment, fines, denial of insurance and civil damages. Any insurance company or agent of an insurance company who knowingly provides false, incomplete or misleading facts or information to a policy holder or claimant for the purpose of defrauding or attempting to defraud the policyholder or claiming with regard to a settlement or award payable for insurance proceeds shall be reported to the Colorado Division of Insurance within the Department of Regulatory Agencies.

**NOTICE TO DISTRICT OF COLUMBIA APPLICANTS: WARNING:** It is a crime to provide false or misleading information to an insurer for the purpose of defrauding the insurer or any other person. Penalties include imprisonment and/or fines. In addition, an insurer may deny insurance benefits if false information materially related to a claim was provided by the applicant.

**NOTICE TO FLORIDA APPLICANTS:** Any person who knowingly and with intent to injure, defraud or deceive any insurance company files a statement of claim containing any false, incomplete or misleading information is guilty of a felony of the third degree.

**NOTICE TO HAWAII APPLICANTS:** For your protection, Hawaii law requires you to be informed that presenting a fraudulent claim for payment of a loss or benefit is a crime punishable by fines or imprisonment, or both.

**NOTICE TO KENTUCKY APPLICANTS:** Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any materially false information or conceals, for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime.

**NOTICE TO LOUISIANA APPLICANTS:** Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

**NOTICE TO MAINE APPLICANTS:** It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties may include imprisonment, fines, or denial of insurance benefits.

**NOTICE TO NEW JERSEY APPLICANTS:** Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties.

**NOTICE TO NEW MEXICO APPLICANTS:** Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to civil fines and criminal penalties.

**NOTICE TO NEW YORK APPLICANTS:** Any person who knowingly and with intent to defraud an insurance company or other person files an application for insurance or statement of claim containing any materially false information, or conceals, for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime and shall also be subject to a civil penalty not to exceed \$5,000 and the stated value of the claim for each such violation.

**NOTICE TO OHIO APPLICANTS:** Any person who, with intent to defraud or knowing that he/she is facilitating a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement is guilty of insurance fraud.

**NOTICE TO OKLAHOMA APPLICANTS: WARNING:** Any person who knowingly, and with intent to injure, defraud or deceive any insurer, makes a any claim for the proceeds of an insurance policy containing any false, incomplete or misleading information is guilty of a felony.

**NOTICE TO PENNSYLVANIA APPLICANTS:** Any person who knowingly and with intent to defraud any insurance company, or other person, files an application for insurance or statement of a claim containing any materially false information or conceals for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime and subjects the person to criminal and civil penalties.

**NOTICE TO TENNESSEE APPLICANTS:** It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines and denial of insurance benefits.

**NOTICE TO VIRGINIA APPLICANTS:** It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines and denial of insurance benefits.

The Applicant acknowledges that the answers provided herein are based on a reasonable inquiry and/or investigation. The Applicant warrants that the above statements and particulars together with any attached or appended documents are true and complete and do not misrepresent, misstate or omit any material facts.

The Applicant agrees to notify us of any material changes in the answers to the questions on this questionnaire which may arise prior to the effective date of any policy issued pursuant to this questionnaire and the Applicant understands that any outstanding quotations may be modified or withdrawn based upon such changes at our sole discretion.

Completion of this form does not bind coverage. Applicant's acceptance of the company's quotation is required prior to binding coverage and policy issuance.

All written statements and materials furnished to the company in conjunction with this application are hereby incorporated by reference into this application and made a part of this application.

Applicant: \_\_\_\_\_ Title: \_\_\_\_\_  
(Must be signed by a Principal, Partner, or Officer of the Firm)

Applicant's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Agent/Broker Name: \_\_\_\_\_