

**PROFESSIONAL LIABILITY INSURANCE FOR
DESIGN PROFESSIONALS**



Catlin, Inc.
1990 N. California Boulevard, Suite 230
Walnut Creek, CA 94596
Phone: (925) 937-9600 Fax: (925) 937-9779

**APPLICATION FOR ARCHITECTS & ENGINEERS
PROFESSIONAL LIABILITY COVERAGE**

CLAIMS MADE COVERAGE

APPLICANT INSTRUCTIONS:

1. Answer all questions. If the answer requires detail, please attach a separate sheet
2. This application must be signed and dated by the Owner if Applicant is a Sole Proprietorship; Partner, if Applicant is a Partnership; or Authorized Officer if Applicant is a Corporation

1. Firm Information

Name of Firm: _____

Contact Name: _____

Address: _____

Street City State Zip Code

Phone: _____ Fax: _____

Email: _____ Web Address: _____

List Branch Offices & percentage of fees derived from each location:

2. Is Firm: Sole Proprietorship Partnership Corporation Other _____

3. Date the firm was established _____

4. List any predecessor, affiliated or related entities, their relationship or percentage of ownership, dates of existence and services provided. If coverage is desired for the entity, please list the retroactive date on its current professional liability coverage.

5. Staff:

Principals, Partners, Officers and Directors _____

Professional Personnel (Do not include above) _____

Technical Personnel _____

Administrative Personnel _____

Total Staff _____

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6. Gross Receipts (include reimbursable expenses and fees paid to subconsultants):

	Projection for Current Fiscal Year	Last Complete Fiscal Year Ending ____/20__	Two Years Ago Ending ____/20__	Three Years Ago Ending ____/20__
Separately Insured Projects				
Abandoned Projects				
Direct Reimbursable				
Foreign Projects				
All Other Billings				
Total Gross Receipts				

7. What percentage of the firm's last fiscal year gross receipts were paid to insured subconsultants: _____

Does the firm obtain certificates of insurance from subconsultants: Yes No

8. Professional Disciplines – Indicate the percentage of the firm's last fiscal year gross receipts that were derived from the following disciplines. Exclude services performed by your subconsultants. (total should equal 100%)

Acoustical Engineering		Environmental Engineer		Mechanical Engineer	
Architect		Forensic Engineering		Process Engineering	
Architect Planner		Geotechnical Engineering		Structural Engineer	
Civil Engineering		Interior Design		Testing Lab	
Construction Management		Landscape Architect		Traffic Engineering	
Electrical Engineer		Land Surveyor		Other	

9. What percentage of the firm's last fiscal year gross receipts is attributable to the following project delivery method?

Design/Bid/Build _____ %
 Design/Build – contractor led _____ %
 Design/Build – designer led _____ %
 Fast Track _____ %
 Integrated Project Delivery _____ %
 Other: _____ %

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10. Services – Indicate the percentage of the firm’s last fiscal year gross receipts that were derived from the following services. (total should equal 100%)

- Design with construction observation/review _____%
- Design without construction observation/review _____%
- Construction observation review without design _____%
- Studies, planning, permitting _____%
- Forensic/Expert Witness _____%
- Plan Checking _____%
- Quantity/Cost Estimating _____%
- Drafting (stand alone service without design) _____%
- Construction/Project Management _____%
- Construction Staking _____%
- Topographic/Boundary Surveys _____%

- Construction Inspection _____%
- Mold Inspection/Investigation _____%
- Water Intrusion Inspection _____%
- Construction materials testing (including compaction testing) _____%
- Geotechnical drilling and sampling _____%
- Laboratory Analysis (including soils and construction materials but not environmental) _____%
- Asbestos and lead studies/abatement _____%
- Environmental preliminary site assessment s(PSA) _____%
- Environmental design services _____%
- Other (describe)_____ _____%

11. Project Type - Indicate the percentage of the firm’s last fiscal year gross receipts that were derived from the following projects. (total should equal 100%)

- | | |
|------------------------------------------|----------------------------------------|
| Airport Runways _____% | Manufacturing _____% |
| Apartments _____% | Mass Transit _____% |
| Bridges/Trestles _____% | Mines/Quarries/Tunnels _____% |
| Chemical Plants/Pipelines _____% | Mold Remediation _____% |
| Churches _____% | Oil Refineries _____% |
| Commercial Offices _____% | Parking Garages _____% |
| Convention Centers/Arenas/Stadium _____% | Residential Condominiums/PUD _____% |
| Correctional Facilities _____% | Residential Subdivisions _____% |
| Courthouse/Museums _____% | Restaurants _____% |
| Custom Homes _____% | Retail/Malls/Shopping Centers _____% |
| Dams/Reservoirs/Levees _____% | Roads/Highways _____% |
| Environmental Projects _____% | Schools/Colleges _____% |
| Harbors/Piers/Ports _____% | Sewage/Water Systems _____% |
| High Rise (Over 15 Stories) _____% | Ski Lifts/Amusement Rides/Parks _____% |
| Hotels/Motels _____% | Transportation Passengers _____% |
| Hospitals/Healthcare _____% | Utilities _____% |
| Landfills _____% | Water/Wastewater Treatment _____% |
| Libraries _____% | Other _____% |
| Machine/Equipment Design _____% | |

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12. Types of Clients – Indicate the percentage of the firm’s last fiscal year gross receipts that were derived from the following clients. (total should equal 100%)

Owners	_____ %	Environmental Consultants	_____ %
Developers	_____ %	Other (describe)	_____ %
Contractors	_____ %	Public Sector	_____ %
Design Professionals	_____ %	Foreign	_____ %

13. Types of Contracts – Indicate the percentage of the firm’s last fiscal year gross receipts that were derived from the following contracts. (total should equal 100%)

Standard Industry contract	_____ %	Client Contract	_____ %
Firm’s own contract	_____ %	Verbal Agreement	_____ %
Letter Agreement	_____ %	Other _____	_____ %
Purchase Order	_____ %		

14. What percentage of the firm’s contracts contains a Limitation of Liability clause? _____ %

15. Does the firm follow written in-house quality control procedures? Yes No

16. Is the firm or any subsidiary, parent or related organization involved in any of the following:

- Actual construction, fabrication or erection? Yes No
- Development, sale or lease of computer software to others? Yes No
- Real estate development? Yes No
- Manufacturing, sale, leasing or distribution of any product? Yes No

If any of the above answers are “yes,” please provide details on a separate sheet. Include a description of the service performed, any construction value involved and fees received.

17. In the last three years what percentage of your projects have obtained or will obtain any level of US Green Building Council LEED certification? _____ %

18. Does the firm provide technology services for projects such as website hosting, database management or software training, support or maintenance? Yes No

If “yes” please describe in detail the nature and types of services you are providing.

19. What percentage of your gross receipts is attributable to technology services? _____ %

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20. Is the firm involved in the supplying of software or other technology, electronic products, or any services with respect to computer or telecommunications hardware? Yes No

If "yes" please provide explanation.

21. Does your firm or any principal, partner, officer, director or shareholder of your firm or any immediate family member of any such person have an ownership interest in any entity or project for which professional services have been or are to be rendered? Yes No

If "yes" please provide explanation.

22. Does the firm participate in Joint Venture? Yes No

If "yes" please provide details.

23. Has the firm or any of its principals, partners or employees ever been subject to disciplinary action by authorities as a result of their professional activities? Yes No

If "yes" please provide details.

24. In the last five years, have any professional liability claims been made against the firm, its predecessors or any past or present principal, partner, officer, director or employee?

If "yes" please provide explanation on a separate sheet. Yes No

25. Does the firm or any of the principals, partners, or employees, have knowledge of any act, error, omission, unresolved job dispute, accident or any other circumstance which might reasonably be expected to give rise to a claim under this insurance?

If "yes" please provide explanation on a separate sheet. Yes No

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26. Current Policy Information:

Is the firm currently insured for General Liability? Yes No

If yes, please give details

Insurance Company _____
Expiration Date _____
Limits _____

27. Is the firm currently insured for Professional Liability? Yes No

If yes, please provide information for the past five years.

Company	Policy Period	Limit	Deductible	Premium

- Please provide retroactive date of your policy: _____
- Has any insurer declined, cancelled or refused to renew any similar insurance for your firm, or predecessor firm or any entities listed in Question #4. Yes No

If "yes" please provide details.

28. Please submit the following information along with this application

- Current claims history/Insurance Company loss summary for the past five years
- Resumes of principals & key staff members
- List of five largest projects over the past three years or current Form 254
- Firm's brochure
- Copy of firm's contract

29. The firm would like a quotation based on the following limits(s) and deductible(s):

Limit	Deductible

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FRAUD NOTICE

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.

STATE SPECIFIC PROVISIONS

- Arkansas** 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.
- Colorado** 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 policyholder 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.
- District of Columbia** 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.
- Florida** 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.
- Hawaii** 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.
- Kentucky** 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.
- Louisiana** 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.

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- Maine** 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.
- New Jersey** Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties.
- New Mexico** 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.
- New York** 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 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 five thousand dollars and the stated value of the claim for each such violation.
- Ohio** Any person who, with intent to defraud or knowing that he 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.
- Oklahoma** WARNING: Any person who knowingly, and with intent to injure, defraud or deceive any insurer, makes any claim for the proceeds of an insurance policy containing any false, incomplete or misleading information is guilty of a felony.
- Pennsylvania** 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 conceals for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime and subjects such person to criminal and civil penalties.
- Puerto Rico** Any person who knowingly and with the intention to defraud includes false information in an application for insurance or file, assist or abet in the filing of a fraudulent claim to obtain payment of a loss or other benefit, or files more than one claim for the same loss or damage, commits a felony and if found guilty shall be punished for each violation with a fine of no less than five thousands dollars (\$5,000), not to exceed ten thousands dollars (\$10,000); or imprisoned for a fixed term of three (3) years, or both. If aggravating circumstances exist, the fixed jail term may be increased to a maximum of five (5) years; and if mitigating circumstances are present, the jail term may be reduced to a minimum of two (2) years.
- Rhode Island** Property Insurance, Real Or Personal:
The insurance application form shall indicate the existence of a criminal penalty for failure to disclose a conviction of arson.
- Tennessee** 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.

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Virginia 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.

West Virginia 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.

On behalf of our firm, I agree that this application is true to the best of my knowledge and that I have not suppressed or mis-stated any material facts and I agree that this application shall be the basis of the contract with the Company. It is understood and agreed that the completion of this application does not bind the Company to sell nor the applicant to purchase this insurance.

Signed _____ Date _____

Print Name _____

Title _____