



Phone (630) 572-0600

Fax (630) 572-0615
Email: www.puainc.com

2803 Butterfield Road, Suite 260
Oak Brook, IL 60523

DESIGN/BUILD AND CONSTRUCTION MANAGERS
PROFESSIONAL LIABILITY INSURANCE APPLICATION
(Claims Made Basis)

NOTE:

In applying for coverage on claims made basis, the Applicant agrees that in the event of covered losses, he will be required to be defended by the Company's appointed Attorneys and that the deductible shall apply to loss and including (whether or not loss payment is made) adjusting expenses, investigation costs, and legal fees. If however, the Applicant elects to handle a claim without in any way involving the Company's Attorneys, then no coverage for such a claim is afforded the Applicant under the policy.

1. Name of Applicant: _____

2. Address: _____
Street City State Zip Code

3. Website Address: _____

4. Specify the exact date upon which the Applicant was initially established, formed or incorporated: _____
mo day yr

5. The Applicant is a [] Proprietorship [] Partnership [] Corporation [] Other (specify): _____

6. If the name or trading style of the Applicant has ever changed or if there has ever been any acquisition, consolidation, merger, dissolution, reformation or other change in business structure, provide full particulars by listing each proprietorship, firm or organization in chronological order. Specify the exact date of such acquisition, consolidation, merger, dissolution, reformation or other change.

7. Specify the approximate percentages of contract revenue derived from the following categories of projects. The total must equal 100%

- (a) General Construction _____ %
(b) Electrical Construction _____ %
(c) HVAC and Plumbing Construction _____ %
(d) Mechanical/Industrial/Process Construction _____ %
(e) Design/Build Construction _____ %
(f) Construction Management _____ %
(g) Real Estate Development _____ %
(h) _____ %
(i) _____ %
Total: 100 %

8. Describe briefly, in narrative form, the Applicant's specialty in terms of projects undertaken: _____

9. a. Principals Qualifications

Name of Principal	Registered	Education Degree	Date & Place Acquired	Years with Firm
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

b. Total Personnel:

- i) Principals as above _____
 - ii) Total number of Professional registered Personnel _____
 - iii) Total number of technical personnel not registered _____
 - iv) Total number of field personnel _____
 - v) Total number of clerical and accounting employees _____
 - vi) Total number of administrative employees _____
 - vii) All others _____
- Total: _____

c. Is any individual or principal employed by or an officer of any other firm, organization, political body or sub-division thereof? Yes No If yes, please give full details.

d. Please provide resumes of all the Professional Registered Personnel (including Principals).

10. States in which the Applicant or Principals and Professional Registered Personnel are licensed: _____
 _____ Any foreign work? _____
 If yes, give details. _____

11. Have any of those listed in question 9 ever been the subject of disciplinary action by authorities as a result of their professional activities? _____ If yes, give details. _____

12. Specify the Applicant's exact contract revenue accrued during the immediate past fiscal year and that which is anticipated to be accrued during the present fiscal year, derived from the following categories. Exclude all income accrued from participation in any joint venture.

FISCAL YEAR REVENUE

	Immediate Past Year	Present Year
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- | | | |
|---|----------|----------|
| (a) Contracting: without any responsibility for the provision of the design document | \$ _____ | \$ _____ |
| (b) General Building Contracting: undertaking single contracts for the provision of both the design documents and construction services: | \$ _____ | \$ _____ |
| (c) Electrical Contracting: undertaking single contracts for the provision of both the design documents and construction services: | \$ _____ | \$ _____ |

- (d) **HVAC and Plumbing Contracting:** undertaking single contracts for the provision of both the design documents and construction services: \$ _____ \$ _____
 - (e) **Mechanical/Industrial/Process Contracting:** undertaking single contracts for the provision of both the design documents and construction services: \$ _____ \$ _____
 - (f) **Construction Management Services:** relative to projects for which the Applicant also acts as the general contractor: \$ _____ \$ _____
 - (g) **Construction Management Services Only:** relative to projects for which the Applicant is not also acting as the general contractor: \$ _____ \$ _____
 - (h) Any other (describe): _____ \$ _____ \$ _____
- Total Annual Revenues: \$ _____ \$ _____

13. Does the Applicant foresee any substantial changes in the contract revenues shown in question 12 during the next twelve months? _____

14. Specify the percentage of the Applicant's contract revenue attributable to the following type of client for the immediate past fiscal year:

- (a) Federal Government and any Agency thereof _____ %
 - (b) State, County or Local Government and Agency thereof _____ %
 - (c) Real Estate Developers _____ %
 - (d) Other Private or Public Held Corporations _____ %
 - (e) Other Individuals, Partnerships or Joint Ventures _____ %
 - (f) Others (specify) _____ %
- Total: 100 %

15. During the immediate past fiscal year, did the Applicant derive more than 50% of its contract revenue from any one single client? Yes No If yes, give details. _____

16. Specify the percentage of the Applicant's contract revenue attributable to the following type of projects for the immediate past fiscal year:

- (a) Mines None Yes _____ %
- (b) Harbors & jetties None Yes _____ %
- (c) Bridges & tunnels None Yes _____ %
- (d) Dams None Yes _____ %
- (e) Nuclear & atomic projects None Yes _____ %
- (f) Petrochemicals, refineries, fertilizer, ammonia, urea plants None Yes _____ %
- (g) Hospitals None Yes _____ %
- (h) Schools None Yes _____ %
- (i) Industrial buildings None Yes _____ %
- (j) Commercial buildings None Yes _____ %
- (k) Municipal buildings None Yes _____ %
- (l) Private dwellings None Yes _____ %

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- (m) Condominiums None Yes _____ %
- (n) Highrise apartment buildings None Yes _____ %

(o) Sewage systems	None <input type="checkbox"/>	Yes <input type="checkbox"/>	_____	%
(p) Water systems	None <input type="checkbox"/>	Yes <input type="checkbox"/>	_____	%
(q) Asbestos	None <input type="checkbox"/>	Yes <input type="checkbox"/>	_____	%
(r) Environmental	None <input type="checkbox"/>	Yes <input type="checkbox"/>	_____	%
(s) Other (Specify)				
_____		Yes <input type="checkbox"/>	_____	%
_____		Yes <input type="checkbox"/>	_____	%
Total:			_____	100 %

17. Does the Applicant utilize independent subcontractors or Design Professionals or Consultants for:

- (a) Construction work? Yes No
- (b) Architectural, Engineering or Surveying Services? Yes No
- (c) Construction Management Services? Yes No

If yes, describe on a separate Exhibit the work or services which are subcontracted by the Applicant to others and the criteria utilized by the Applicant in the selection of such subcontractors, Design Professionals or Consultants.

18. Where the Applicant subcontracts architectural, engineering, surveying or construction management services, the Applicant agrees to promissorially warrant that certificates of professional liability insurance will be required from all Design Professionals and Consultants to whom he subcontracts such services. Yes No

19. For any other work which the Applicant subcontracts, the Applicant agrees to promissorially warrant that certificates of comprehensive general liability insurance will be required from subcontractors to whom he subcontracts such work. Yes No

20. On projects where the applicant renders Construction Management services, of the Standard Form of Agreements between Owner and Contractor for use by Construction Managers, which of the following standard forms does the Applicant use:

- (a) The American Institute of Architects? Yes No
- (b) The Associated General Contractor of America? Yes No
- (c) The Construction Management Association of America? Yes No

Also, if any other form of Agreement is used by the Applicant for these services, please submit a copy of the standard form used.

21. If cover for Joint Venture projects is required, please give details as under for each Joint Venture projects:

- (a) Names and Address of other Members: _____
- (b) Type of Project and location? _____
- (c) Nature of services by Applicant: _____
- (d) Total Contract revenue from Joint Venture for all Members: _____
- (e) Contract revenue for Applicant's share: _____
- (f) Contract revenue for Applicant's share during the next fiscal year: _____
- (g) Give duration of the Joint Venture including approximate dates for all phases of design and construction: _____
- (h) Has the Applicant's portion of the Joint Venture been insured for professional liability thus far? _____
- (i) Do the other Members carry professional liability insurance on the _____

Joint Venture project? If yes, please give details. _____

22. Does the Applicant or any subsidiary, parent or otherwise related entity engage in manufacturing, fabrication, or real estate development? Yes No If yes, please give details on a separate Exhibit.
23. Does the Applicant wholly or partly own, manage or otherwise control any other firm or organization (whether directly or indirectly) or is the Applicant wholly or partly owned, operated, managed or otherwise controlled by any other person, firm or organization (whether directly or indirectly)? Yes No If yes, provide full particulars and describe any interrelationship on a separate Exhibit.
24. Does the Applicant currently carry general liability and umbrella liability insurance? Yes No If yes, provide full particulars relative to his present policies.

	General Liability	Umbrella Liability
(a) Carrier	_____	_____
(b) Limit of Liability:	_____	_____
(c) Anniversary Date:	_____	_____
(d) Blanket Contractual?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
(e) Blanket X.C.U.?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
(f) Broad Form Property Damage?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
(g) Completed Operations?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
(h) Professional Services Exclusion as a separate endorsement applicable to all coverage parts?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
(i) Following Form?		Yes <input type="checkbox"/> No <input type="checkbox"/>

25. Does the Applicant currently carry professional liability insurance? Yes No If yes provide full particulars of insurance carried for the past five years.

<u>Company</u>	<u>Policy No.</u>	<u>Limits</u>	<u>Deductible</u>	<u>Period (Including Dates)</u>	<u>Premium</u>
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26. Specify the exact date upon which professional liability insurance for the Applicant was initially placed in force and continuously maintained: _____

mo day yr

27. Has any application for similar insurance made on behalf of the Applicant, any predecessors in business or present partners, directors, officers or employees ever been declined or has any such insurance ever been cancelled or renewal refused? Yes No If yes, please give details: _____
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Important information required to obtain “Prior Acts” coverage as well as qualify the Applicant for insurance.

As used in the questions below, the term “claims” shall have the following meaning:

The word “**claim**” means a demand received by the Applicant for money or services, including the service of suit or institution of arbitration proceedings against the Applicant.

28. a. Have any claims been made during the past five years against the Applicant, its predecessors in business, any of the present partners, directors or officers of the applicant or to the knowledge of the Applicant against any past partners, past officers or past directors of the Applicant? Yes No If yes, state briefly the cause, nature of claim, the amount involved and the name of the project and claimant, the date when the claim was made, the date the act which gave rise to the claim was committed and the final disposition of the claim including amounts of settlement: _____

- b. Is the Applicant (after proper inquiry of each director, officer or partner of the Applicant or other prospective insured party) aware of any circumstance, incidents, situations or accidents that have occurred during the past five years which may result in claim being made against the Applicant, his predecessors in business, or any of the present or past partners, officers or directors of the Applicant? Yes No If yes, give full details similar to question 28a and also indicate if the circumstance, incident, situation or accident has been reported to the Applicant’s professional liability carrier: _____

- c. Other than as may have been answered in the foregoing, please provide the following responses with respect to projects where the Applicant under contract has performed, worked or provided services, irrespective of whether performed by the Applicant or by others on behalf of the Applicant, during the past five years:
- (i) Is the Applicant owed compensation that any party refuses to pay or is unable to pay, either in whole or in part, for any reason whatsoever? This question shall include, but is not limited to, any claim that the Applicant has pursued or anticipates pursuing involving “extras” allegedly owed him. Yes No If yes, provide full particulars and indicate if the circumstance has been reported to the Applicant’s professional liability carrier: _____

- (ii) Is the Applicant aware of actual, alleged or suspected defective, inadequate or otherwise faulty assembly, erection, excavation, fabrication or installation (including roof leakage) that has not been remedied to the full satisfaction of all parties? Yes No If yes, provide full particulars and indicate if the circumstance has been reported to the Applicant’s general and professional liability carriers: _____

- (iii) Is the Applicant aware of actual, alleged or suspected defective, malfunctioning or otherwise faulty equipment, materials, products, components, processes or systems that have not been remedied to the full satisfaction of all parties? Yes No If yes, provide full particulars and indicate if the circumstance has been reported to the Applicant’s general and professional liability carriers: _____

- (iv) Is the Applicant aware of any actual, alleged or suspected structural deficiencies (including a collapse)? Yes No If yes, provide full particulars and indicate if the circumstance has been reported to the Applicant’s general and professional liability carriers: _____

- (v) Is the Applicant aware of a delay, budget, contract sum or contract time having been exceeded not authorized by an approved change order, a change order for which additional compensation has not been agreed upon? Yes No If yes, provide full particulars and indicate if the circumstance has been reported to the Applicant’s professional liability carrier: _____

(vi) Is the Applicant aware of an injury having been sustained by a person or persons (other than an employee of the Applicant) that resulted in his total or partial disability or death? Yes No If yes, provide full particulars and indicate if the circumstance has been reported to the Applicant's general and professional liability carriers:

(vii) Has the Applicant, a predecessor in business or a person, firm or organization for whom the Applicant has assumed the liabilities:

- (1) ever been declared in default? Yes No
- (2) otherwise failed to complete a construction contract in time for any reason whatsoever where the delay in substantial completion is beyond 90 days of the contract completion date? Yes No
- (3) has abandoned a project at any state after completion of working drawings and prior to substantial completion of the project? Yes No

If any of the above are answered yes, please provide full particulars.

It is agreed that if there be knowledge of any fact, circumstance, incident, situation or accident or other matter which subsequently results in claim being made against the applicant or other insured party, that coverage under the proposed insurance shall not apply; and it is agreed by all parties that any future claim or action emanating therefrom shall be excluded from coverage under the proposed insurance.

29. Attach a complete description of each of the Applicant's ten largest jobs in the last five years. Specify the name, client, services provided, value of construction and gross accrued income and the date construction was completed or will be completed.

30. Attach a copy of each of the Applicant's current brochures and include any other current literature advertising his capabilities.

31. Attach a copy of the Applicant's most recent financial statement.

32. Attach a resume for each of the Applicant's principals, partners, directors or officers and any other key professional personnel.

33. Attach a claims summary under the Applicant's Comprehensive General Liability policy for the last three years.

34. Coverage requested:

Limit: \$

Deductible: \$

Effective from _____ to _____

The Applicant accepts notice that any Policy or Certificate which may be issued will apply on a “claims made” basis.

I/we hereby declare that the above statements are true to the best of our knowledge. This Application shall be the basis of any Policy or Certificate issued and shall become a part thereof. Should the Applicant become aware of any claim, suit or dispute subsequent to the completion of this Application, but prior to the effective date of the Policy or Certificate applied for, the Applicant shall submit immediate written notice to the Company, which may alter any quotation previously give.

Signature of Owner, Partner, Officer: _____

Title: _____

Date: _____

It is agreed that the completion of this Application does not bind the Underwriters nor the Applicant to complete the Insurance