

6. Do you conduct compliance audits? Internally Externally Both None

7. Has the applicant or any predecessor in business or any of the past or present partners, officers, directors or employees been the subject of an investigation, reprimand, disciplinary action, or a filed complaint by the FHA, VA, PMI carrier, any investor, authority or governmental agency? Yes No

If yes, please provide details: _____

8. Indicate the Applicant's gross revenues from all activities:

Professional Services	Total Revenue Past 12 Months	Total Projected Revenue Next 12 Months
	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$
	\$	\$

9. Do you use written contracts with your clients? Always Sometimes Never N/A

If you use contracts, does the contract contain:

- a. A detailed description of your services to be provided? Yes No N/A
- b. A hold harmless agreement and/or Limitation of Liability in your favor? Yes No N/A
- c. Industry standard forms? Yes No N/A

10. Have any claims been made during the past five (5) years against your firm? Yes No
 If yes, we will need loss runs from each carrier in last 5 years. (We can help obtain this information.)

11. Does any of the applicant's professional staff know of any incident, negligent act, error or omission or other circumstance that could result in a claim or suit against the applicant or any predecessor firm or any of the applicant's current or former professional staff? Yes No

12. Has any of the applicant's or a predecessor firm's professional staff ever had their license revoked or suspended or been formerly reprimanded or been the subject of a disciplinary action? Yes No
 If yes, please provide details: _____

13. Current Policy Information

Expiration: ____/____/____ Prior Acts/Retro coverage Date: ____/____/____ Current Limits of Liability: ____/____ Current Deductible: ____

14. Carrier and premium history (premiums are used to calculate a risk assessment / loss ratio)

Current Carrier: _____	Premium: \$ _____
Prior Year 1: _____	Premium: \$ _____
Prior Year 2: _____	Premium: \$ _____
Prior Year 3: _____	Premium: \$ _____
Prior Year 4: _____	Premium: \$ _____

Signed: _____ Date: ____/____/____