

**INSURANCE INTERMEDIARIES  
RISK MANAGEMENT QUESTIONNAIRE**

GENERAL QUESTIONS

1. Have you, and do you retain, an outline from your customers on the scope of cover they require? **YES/NO**

2. Do you make your recommendations for coverage to your clients in writing? **YES/NO**  
If so, do you retain a copy of such recommendations on file? **YES/NO**  
If no, please explain

3. Do you require your clients to confirm in writing that they have accepted your recommended coverages? **YES/NO**  
If so, do you maintain this confirmation on file? **YES/NO**  
If no, please explain

4. Where you have received a rejection from your client of your recommended coverages, do you obtain that from them in writing? **YES/NO**  
Do you maintain this rejection on file? **YES/NO**  
If no, please explain

5. Where Customers specify specific coverage requirements, how to do you overcome instances where such coverage is not found to be commonly available or at a premium value that is acceptable to your customer?

6. Do you have a document/email retention policy in force that enables you to review request for information, in the event of an issue emerging, with your customers, on the scope of cover selected? **YES/NO**

Please provide details of your procedures

#### PANDEMIC/EPIDEMIC QUESTIONS

1. Do you consider whether Epidemic/Pandemic risk is part of your clients' exposures? **YES/NO**  
What is the criterion you use to determine this?

2. Whether or not you were successful in finding markets, can you confirm that you have researched and made enquiries of at least 3 insurers/MGA for available insurance products, to address Epidemic/Pandemic coverage needs? **YES/NO**

Do you keep a record of these efforts? **YES/NO**

Do you review the market periodically to see if new products become available? **YES/NO**

3. If you have a market, or you learn of one becoming available, do you offer the option of obtaining Epidemic/Pandemic quotes for your clients? **YES/NO**

4. If you cannot obtain Epidemic/Pandemic coverage, do you advise your clients? **YES/NO**

Is this done in writing and do you maintain same on your file? **YES/NO**

If no, explain

Signed:

Dated: