



Fleur-de-Lys Court **A**
112 Houndsditch
London
EC3A 7BD

+44 020 7929 2105 **T**
+44 020 7623 9067 **F**

info@lothburyuk.com
www.lothburyuk.com

Design and Construct Professional Indemnity Insurance

Proposal Form

Design and Consulting Department of a Building or Engineering Contractor

Professional Indemnity Insurance

Proposal Form

Notes for Professional Indemnity Insurance Proposers:

The Proposal Form, if accepted, will form the basis of your contract with Insurers and it is, therefore, essential that the questions asked have been understood and answered correctly.

If in answering any of the questions in this Proposal Form you find there is insufficient space, please complete on your firm's headed notepaper and attach it to this form.

In the event that you require any assistance in completing this Proposal Form, please do not hesitate to contact Lothbury UK Limited.

Please provide, in addition to completing this form, if proposing for the first time, the following information to assist Insurers in considering their terms:

- a) Directors, Partners, Principals and members of the Design and Consulting team's curriculum vitae (unless qualified).
- b) Standard Contract Terms and Conditions.
- c) Copies of any brochures that the Firm issue.

1. Trading names and styles of the Companies and/or Partnerships and/or Sole Proprietors, hereinafter referred to as the "Firm", including any former Firms for which cover is required:

2. Address (es) of the Firm (s), showing who is responsible for the operation of each office:

3. When did the current Firm commence business?

4. Please provide details of the commencement and cessation, and the reasons for the cessation, of any former Firms:

5. Profession/Business of the Firm:

6. Please provide:

Names in full of all Directors,
Partners, Principals and senior
Members of the Design and
Consulting team:

Qualifications and dates
gained:

Position and date
appointed:

7. Is cover is required in respect of any past Director, Partner or Principal? Yes/No
If yes, please provide the following details:

Full Name:

Qualifications:

How long with the Firm?

8. Please provide the total number of:

- a) Directors, Partners or Principals
- b) Qualified staff
- c) Other members of the Design and Consulting team
- d) Other Technical and Qualified Staff
- e) Typists or office staff
- f) Others

9. Is the Firm currently insured for Professional Indemnity? If yes, please provide the following information:

- a) Insurers
- b) Limit of Indemnity
- c) Excess
- d) Renewal Date
- e) Retroactive Date

10. Has any Insurer ever:

- a) Declined to provide terms or renew for the Firm or any Director, Partner or Principal?
Yes/No
- b) Required an increase in premium, other than due for normal market conditions, or imposed special terms?
Yes/No

c) Cancelled an Insurance? Yes/No
If Yes, please provide full details:

11 Please list the seven largest jobs performed by the Firm in the past five years:

| Client Name: | Brief Description of Contract: | Contract Value: | Completion Date: |
|--------------|--------------------------------|-----------------|------------------|
|--------------|--------------------------------|-----------------|------------------|

12. Please list five typical jobs performed by the Firm:

| Client Name: | Brief Description of Contract: | Contract Value: | Completion Date: |
|--------------|--------------------------------|-----------------|------------------|
|--------------|--------------------------------|-----------------|------------------|

13. Please list any overseas contracts undertaken by the Firm:

| Country: | Brief Description of Contract: | Contract Value: | Jurisdiction: |
|----------|--------------------------------|-----------------|---------------|
|----------|--------------------------------|-----------------|---------------|

14. Please give an approximate percentage split of the disciplines within the Firm's Design and Consulting Department, including the activities of sub-consultants acting on the Firm's behalf:

- | | |
|--|---|
| a) Architectural | % |
| b) Civil Engineering | % |
| c) Structural Engineering | % |
| d) Mechanical Engineering | % |
| e) Electrical Engineering | % |
| f) Heating and Ventilating Engineering | % |
| g) Chemical Engineering | % |
| h) Soil Engineering | % |
| i) Nuclear Engineering | % |
| j) Land Surveying | % |

- | | | |
|----|---|---|
| k) | Quantity Surveying | % |
| l) | Building Surveying | % |
| m) | Other activities – please supply full details | % |

15. Please indicate a percentage split of the Firm's activities as follows:

| | Design only | Design and Construct | |
|----------------------------------|---|----------------------|---|
| Home Building: | | | |
| a) | Individual Dwellings | % | % |
| b) | Low Rise Multiple Dwellings | % | % |
| c) | High Rise Multiple Dwellings | % | % |
| d) | Modular Dwellings (Repetitive Design) | % | % |
| Engineering Construction: | | | |
| a) | Highways | % | % |
| b) | Bridges, Tunnels and Dams | % | % |
| c) | Railways, Airports, Harbours and Jetties | % | % |
| d) | Sewerage and Water Schemes | % | % |
| Industrial: | | | |
| a) | Power Plants | % | % |
| b) | Refineries and Petro Chemical Installations | % | % |
| c) | Manufacturing Plants | % | % |
| d) | Industrial Buildings Systems | % | % |
| e) | Offices and Commercial Properties | % | % |
| Amenities: | | | |
| a) | Hospitals and Nursing Homes | % | % |
| b) | Schools and Universities | % | % |
| c) | Municipal Buildings | % | % |
| d) | Hotels and Sports and Recreation Centres | % | % |
| | Other and/or Specialist Construction | % | % |

Please provide full details.

16. Does the Firm engage in the manufacture or fabrication of any pre-engineered unit?
 Yes/No

If yes, please provide full details.

17. Please provide a statement of the type of activities normally carried out, whether consisting of well-established techniques or the nature of new and original thought developments, processes or designs employed. Please state what licensing or similar agreements are in force and the degree to which supervision of them is exercised by associates.

18. Has the Firm ever failed to complete a project?
 If yes, please provide full details. Yes/No

19. Please give details of the Firm's turnover for the current financial year and an estimate for the next financial year:

| | Current Year | Estimate next Year |
|--|---|--------------------|
| i) Turnover where the Firm designs and Constructs from their own design and provides full technical supervision | } UK } EC } USA/Can } Elsewhere | |
| ii) Turnover where the Firm provides design and technical services where no construction is undertaken by the Firm | } UK } EC } USA/Can } Elsewhere | |
| iii) Turnover where the Firm constructs from the designs performed on behalf of the Firm by sub-contractors of the Firm | } UK } EC } USA/Can } Elsewhere | |
| iv) Turnover where the Firm constructs from the designs and technical supervision performed on behalf of the Firm by sub-contractors of the Firm | } UK } EC } USA/Can } Elsewhere | |
| v) Turnover where the Firm constructs to the designs and technical supervision provided by Architects, Engineers or others appointed by the Firm's clientele | } UK } EC } USA/Can } Elsewhere } | |

vi) Other turnover not disclosed } UK
above, please provide full details } EC
below } USA/Can
} Elsewhere

Total Turnover } UK
} EC
} USA/Can
} Elsewhere

Total: _____

20. Please give the Firm's total turnover for the past five financial years:

| Financial Year | Gross Fees received |
|----------------|---------------------|
|----------------|---------------------|

21. Does the Firm or any Director, Partner or Principal act in any other capacity other than stated in Question 5 of this Proposal Form? Yes/No
If yes, please provide full details.

22. Please give details of any major new contracts to be undertaken by the Firm in the next twelvemonths:

23. Does any contract or client represent more than 50% of the Firm's annual work? Yes/No
If Yes, please provide full details.

24. When engaging independent or specialist consultants in connection with any contract does the Firm ensure contractually that they maintain their own Professional Indemnity Insurance for a limit of indemnity of not less than £1,000,000? Yes/No
If No, please provide full details.

25. Does the firm require cover for any consultants and/or sub-consultants for their activities undertaken for, on behalf of, and in the name of the Firm only? Yes/No
If yes, please provide the following details:

Name:

Qualifications:

Activities:

Date first engaged:

26. Limit of Indemnity required (including any alternatives):

a)

b)

c)

27. Has any claim, such as would be covered by the proposed insurance, ever been made against the Firm or any Directors, Partners or Principals, whilst with the Firm or elsewhere? Yes/No
If Yes, please provide full details, including any quantum.

28. Are any of the Directors, Partners, Principals and/or Employees, **after full enquiry**, aware of any circumstances that could give rise to a claim against the Firm, their predecessors in business and/or any present or former Directors, Partners or Principals of the Firm? Yes / No
If Yes, please provide full details.

DECLARATION

I/We hereby declare that the statements and particulars in this proposal are true and that I/we have not misstated or suppressed any material facts. I/We agree that this proposal, together with any other information supplied by me/us shall form the basis of any Contract of Insurance effected thereon. I/We undertake to inform Insurers of any material alteration of the facts occurring prior to the completion of the Contract of Insurance. The signing of this proposal does not bind the Proposer or Insurers to complete this Insurance.

Signature of Director, Partner or Principal:

Name of signatory (please print):

Date:

Please remember to keep a copy of this Proposal for your records.

DATA PROTECTION ACT

By signing this Application Form (or returning it to us if from the website) you consent to us holding and processing your personal data for the above purposes. You also consent to us transferring your information to countries outside the EEA. If we do make such a transfer we will ensure your information is protected.

The data controller is Lothbury UK Limited. In compliance with the Data Protection Act 1998, we will hold the data, together with other information, securely and confidentially and process it for the purpose of carrying out our activities. These activities are administration, research, marketing and prospecting, accounts and records, insurance broking, risk assessment, consultancy services, surety, and compliance services.

If you provide data on another individual within your business, you confirm that you have the consent of that individual to forward the data to us and we will process the data as above.

We will process the data about buyers, debtors and debts in accordance with the data protection policy stipulated by the client, which remains the data controller of those data. The client will make its data protection policy clearly known and available to Lothbury UK Limited. Where no data protection policy is made known we shall not be liable for any breach under the client's data protection policy. Furthermore you agree to comply with the Data Protection Act 1998 and to process all personal data in accordance with that Act.

We may keep your information for a reasonable period for the on-going pursuance of our business activities as stated above. We may also use the data you provide to contact you by mail, telephone, fax or email with information about our other products and services.

A copy of the data we hold on you may be obtained for a small fee upon written request to:

The Compliance Officer,
Lothbury UK Limited,
Fleur-de-Lys Court,
112 Houndsditch,
London EC3A 7BD

Lothbury UK Limited is regulated by the Financial Services Authority for the conduct of UK business.