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INVESTMENT ADVISERS PROFESSIONAL LIABILITY
PROPOSED APPLICATION QUESTIONS

- 1) Name of Applicant: _____
- 2) Mailing Address: _____

- 3) Limit of Liability Requested: _____
- 4) Retentions Requested: _____
- 5) Is applicant registered with the SEC, as an investment adviser? Yes No
- 6) Has the applicant been involved in any mergers, acquisitions and/or consolidations during the past three years? Yes NO
Are plans for a merger and/or- acquisition or consolidation being, considered?
 Yes No If so, please attach full details,
- 7) Year investment advisory operations commenced: _____
- 8) Does the applicant have, a parent (Ownership. of more than 50% of the applicant)?
 Yes No If so, attach full details and parent financial statement.
- 9) Total asset value of all accounts managed:
Current year: _____ Previous year: _____
Asset. value of largest account: _____
Number of accounts, lost during, the last 12 months: _____
and corresponding asset value- _____
Reason for loss of accounts:

Percentage of accounts for which applicant acts as custodian: _____ %

10) Complete for all those accounts for which the applicant acts as an investment advisor:

Discretionary Accounts	Market value	# of Accounts
ERISA Pension & Employee Benefit plans	\$	
Non-ERISA Pension and Employee Benefit plans	\$	
Mutual Funds	\$	
REITS	\$	
All other accounts	\$	
Total book value of all accounts	\$	
Non-Discretionary, Accounts	Market value	# of Accounts
ERISA Pension and Employee benefit plans	\$	
Non-ERISA Pension and Employee benefit plans	\$	
Total other amounts	\$	
Total book value all accounts	\$	

11) Does the applicant act as an investment adviser for any multi-employer (Taft Hartley), Union, or Governmental employee benefit plans? Yes No
If YES, Attach list of clients, and dollar amounts of assets managed.

12) May clients select their own brokers for executions? Yes No
Are some client transactions executed by in-house broker dealers? Yes No

Name of in-house broker dealer: _____

13) Does the applicant recommend investments in specialty areas other than commonly traded securities? (Specialty Areas include Commodity Futures, Real Estate, Options, Private Placements, Unregistered Securities, Direct Placements, Oil and Gas joint Ventures, Foreign Securities, Limited Partnerships of any types) Yes No
If YES, Describe specialty area and percentage of total asset value

14) Does the applicant have measures, instituted to assure that clients' plans are in compliance with ERISA? Yes No

15) Annual fees from investment advisory services, \$ _____

Other income (Explain)

16) Is insurance desired. for any other entity or activity related to applicant?
 Yes No
If YES, state entity or activity and describe its function and relationship.

17) Is there an "APPROVED" list of securities which can be recommended to clients?
 Yes No
If YES, How are exceptions to ", list handled internally and with clients?

18) How often do clients receive portfolio financial statements? _____

How often are meetings held with clients? _____

Describe applicant's policy for timely notification of discretionary clients of securities transactions and changes in portfolio.

19) Describe procedure for decisions and executions when a portfolio manager is not available

20) Previous investment adviser professional liability insurance

Insurer	Expiration	Retrodate	Limit	Deductible	Premium

21) Has any claim been brought against the applicant or any of its partners, directors, officers, trustees, or employees in their capacities as investment advisers,

Yes No

If YES, Attach full details, including dollar amounts. It is understood and agreed that such prior existing, claim(s) will not be covered by, the policy.

22) The following documents are attached and considered~ to be part of this application and any policy subsequently, issued-

- Applicant's latest annual financial statement
- Copy of brochure and sample contract offered to clients
- Complete ADV Report Parts I and II (As filed with the SEC)
- Information indicating overall portfolio performance for the past five years and include competitive results to Standard and Poors, Salomon Brothers Bond Index or similar indices
- Brief resumes of all professional investment advisers in the firm.

Signed _____

Capacity _____

Date _____