



Accountants

Renewal Proposal

1. NAME(S) OF FIRM

(Please include any predecessors for whom cover is required)

2. ADDRESS OF THE PRINCIPAL OFFICE

Please list all other locations by Town or Country if overseas and identify the supervising Partner/Director at each location. Please provide an appendix sheet if required)

ALL OTHER ADDRESSES BY TOWN ONLY:

Partner Contact:	
Telephone Number:	
E-Mail:	
Fax Number:	
Web-Site Address:	

3. DATE OF COMMENCEMENT OF CURRENT BUSINESS:

DATE OF COMMENCEMENT OF AND CESSATION OF FORMER BUSINESS:

(If Applicable)

REASON FOR CESSATION OF FORMER BUSINESS:

4. FULL DESCRIPTION OF BUSINESS ACTIVITIES

(Please attach brochure(s) if available):

5. a) RECENT CHANGES

During the last six years, has the name of the Firm(s) changed or has any amalgamation or acquisition taken place, or have there been changes of Partners/Directors/Sole Practitioners? (i.e. departed, retired or deceased etc...)

Yes No

b) NEW ACTIVITIES

Please provide details of major new activities being undertaken during the forthcoming financial year, i.e. new offices, new disciplines, territories etc...

Yes No

If "Yes", please give details below:

6. GROSS FEE INCOME (or Turnover if applicable)

Please Advise (for new firms/start up's, please estimate the expected fee income):

	Actual for Last Financial Year	Estimate for Current Financial Year	Estimate for Next Financial Year
UK	£	£	£
USA or Canada	£	£	£
Elsewhere excluding USA or Canada	£	£	£
Total	£	£	£
Please state the date of your financial year end:			

7. QUOTATIONS REQUIRED

(If unsure, please contact to discuss or request "Please obtain various"):

Limit of Indemnity	£	£	£
Excess(es)	£	£	£

PLEASE NOTE, IT IS IMPERATIVE THAT SECTION (a), (b) AND (c) OF QUESTION 8 ARE ANSWERED CORRECTLY AS FAILURE TO DO SO COULD PREJUDICE YOUR RIGHTS IN THE EVENT OF A CLAIM ARISING IN THE FUTURE.

8. CLAIMS & OR CIRCUMSTANCES

Where necessary, please provide details on an appendix sheet.

a) CLAIMS

During the last ten years, have any claims or circumstances which may have given rise to a claim been made against the Firm(s) or predecessors in business or present of former Partners/Directors arising out of the activities of the Firm(s)?

Yes No

If "Yes", please advise full details including amounts involved and settlement dates where appropriate.

Claims Paid
Claims Outstanding

b) CIRCUMSTANCES

Are any of the Partners/Directors/Principals AFTER ENQUIRY aware of any circumstances which may give rise to a claim against the Firm(s) or its Predecessors in business or its/their present or former Partners/Directors/Principles?

Yes No

If "Yes", please provide full details including amounts involved:

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c) FIDELITY

(i) Has the firm sustained any loss through fraud or dishonesty of any person?

Yes No

(ii) Does the firm know of any fraud or dishonesty of any present of former Partner/Director or employee?

Yes No

If "Yes", please advise details and explain the precautions taken to prevent recurrence below:

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Important

Your personal data may be processed and held by us in our capacity as data controllers in order for us to write and administer your policy and to assist in the claims handling process in accordance with applicable data protection laws. To read our data privacy policy in full and for more information about your data protection rights, please visit our website at: <https://www.barbicanprotect.com/cookies-privacy-policy/>.

DECLARATION

We hereby declare that to the best of our knowledge and belief the foregoing particulars and statements represent a fair presentation of the risk we are seeking to insure.

We hereby undertake to declare any material alterations or amendments to the foregoing particulars and statements which occur prior to the commencement of the contract of insurance.

Signed:

For and on behalf of:

Date:

ACCOUNTANTS DISCIPLINE PROFILE

1. ACTIVITY PROFILE

For the last **COMPLETE FINANCIAL YEAR** please give an **APPROXIMATE** division of Gross Fees (Insurers appreciate that there may be considerable overlaps between types of work):

Audit, Accountancy and Company Tax split between	
(i) Quoted Companies	%
(ii) Unquoted Companies	%
(iii) Others (including Farmers, Small Traders etc)	%
Personal Taxation Only	%
Management Consultancy	%
Computer Consultancy (please provide details)	%
Secretarial and Share Registration	%
Executorship and Trusteeships	%
Insolvencies, Liquidations and Receiverships	%
Insurance, Building Society, Stock Exchange Commissions	%
Investment Advice (including pensions, unit trusts, bonds etc)	%
Directorships	%
Mergers, Acquisitions, Disposals	%
Corporate Finance Consultancy	%
VAT Returns	%
Bookkeeping/Payroll	%
Probate and Estate administration	%
Will writing	%
Other Work – please advise details	%
	100%

2. a) **UNDER Q1 ACTIVITY PROFILE above** – for any activities where you answered “Nil”, please give details if you have undertaken such work in the last six years:

b) Are any substantial changes in the percentages given under Q1 envisaged in the current financial year?

Yes No

If “Yes”, please give details below:

3. a) **LARGEST AND AVERAGE FEE**

For the last financial year, please state your largest and average fee from a single client or group:

Largest fee any one client or group	£
Average fee per client or group	£

b) **ENTERTAINMENT CLIENTS**

Is any professional business conducted for clients in the entertainment industry? If so, please describe the nature of the work, the names of the clients (which will be treated with the strictest confidence) and the annual fee income received:

4. **TRUSTEESHIPS**

Does any Partner/Director or Employee of the firm act as Trustee or any Trust?

Yes No

If “Yes”, please give details below of the largest Trust Fund:

Appointee	Trust	Trust funds under management	Gross Fees earned for the LAST FINANCIAL YEAR

5. a. INVESTMENT BUSINESS

Is the firm authorised to conduct investment business?

Yes No

If “Yes”, please advise category:

b. Have you applied separately to any Self-Regulated Organisations for Authorisation?

Yes No

If “Yes”, please advise Self-Regulated Organisation concerned below:

c. Please give an outline of the services you provide which fall under the provisions of the Financial Services Act 1986.

d. Please advise Gross Fee income earned, if any from the following:

(i) Private Client Portfolio Management (state if discretionary)	£
(ii) Institutional Fund Management	£
(iii) Dealing in Securities (How much is foreign)	£
(iv) Off-shore investments (Please give details)	£

e. Have you, or any Predecessor firm to which this proposal relates, had any involvement in the sale of or advice in connection with; Pension Transfers/Opt-Outs/Non-Joiners of Occupational Pension Schemes, FSAVCs, Endowments, Income Drawdowns, Split Capital Investment Trusts or SCARPS?

Yes No

If “Yes”, please complete a separate Financial Services questionnaire.

6. SERVICES TO FINANCIAL CLIENTS

a) Do you provide services to any of the following?

- | | | |
|--|-----|----|
| i. Banks and other financial institutions | Yes | No |
| ii. Insurance Companies, Lloyd's Syndicates or Funds (including Captive Insurance Companies) | Yes | No |
| iii. Any Off-Shore Companies | Yes | No |

If "Yes", please advise Client name(s), fee(s) and details of services provided below:

b) For any of the above mentioned clients, please advise details of any work carried out in the Channel Islands, Isle of Man or other "Off-shore" tax advantageous territories below: