

Financial institutions, their executives and board face significant legal liability for the decisions made in the course of conducting day to day operations. Claims brought against a financial institution and its top leadership can come from a variety of sources including customers, investors, creditors, and employees. Berkley Professional Liability, a leading management liability carrier, now has the ability to provide cutting edge insurance coverage to protect Investment Advisers and Funds, and their Directors and Officers, on both a primary and excess basis. Our Investment Advisers and Funds Policy is a customizable form with a choice of coverage options providing a flexible solution that can be tailored to the firm's needs.

ELIGIBLE RISKS

- Investment Companies
 - Mutual funds
 - Closed end funds
 - ETFs
 - Fund Advisers
- Private Equity Firms
- Venture Capital Firms
- Real Estate Funds
- Registered Investment Advisers

COVERAGES

- Investment Adviser Professional Liability
- Fund Professional and Management Liability
- Directors and Officers Liability
- Employment Practices Liability
- Fiduciary Liability

POLICY FEATURES

- Flexible/modular format
- All coverages available on a combined or standalone basis
- Built in Cost of Corrections coverage
- Extradition Cost Coverage
- 60 day post policy reporting provision
- Derivative Demand Investigations Costs

UNDERWRITING APPETITE

- Maximum capacity \$10M
- Target \$150M - \$10B AUM
- Primary, Excess and Side A



Berkley
PROFESSIONAL
LIABILITY
| a Berkley Company

Financial Institutions Group Investment Management Insurance

Berkley Professional Liability

| a Berkley Company

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Surplus lines insurers do not generally participate in state guaranty funds and insureds are therefore not protected by such funds.