
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 Investment Firms and Funds
- Registered Investment Advisers
- Hedge Funds

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
- Primary, Excess and Side A

Berkley Professional Liability

| a Berkley Company

757 3rd Avenue, 10th Floor
New York, New York 10017

CONTACTS:

Rich Facht

Senior Vice President

Telephone: 212-618-2919

Email: rfacht@berkleypro.com

Jennifer Bollinger

Vice President

Telephone: 212-618-2911

Email: jbollinger@berkleypro.com

(NY, New England, San Francisco/
Pacific Northwest)

Matthew Link

Vice President

Telephone: 212-618-2985

Email: mlink@berkleypro.com

(NY, Midwest/Southwest)

Jeffrey Metro

Vice President

Telephone: 212-618-2943

Email: jmetro@berkleypro.com

(NY, DC, Philadelphia/Mid-Atlantic)

Tania Chen

Assistant Vice President

Telephone: 212-618-2928

Email: tchen@berkleypro.com

(NY, CT, and Southeast)

Alana Berger

Assistant Vice President

Telephone: 212-618-2993

Email: aberger@berkleypro.com

(NY, LA, Denver)

Products and services are provided by one or more insurance company subsidiaries of W. R. Berkley Corporation. Not all products and services are available in every jurisdiction, and the precise coverage afforded by any insurer is subject to the actual terms and conditions of the policies as issued. Certain coverages may be provided through surplus lines insurance company subsidiaries of W. R. Berkley Corporation through licensed surplus lines brokers.

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