

## Professional Indemnity Proposal Form Accountants and Auditors

### IMPORTANT NOTE

This Proposal must be completed in full by a Partner of the Firm. Unless the Proposal is fully completed a firm Quotation cannot be given. The completion and signature of this Proposal does not bind the Proposer or underwriters to complete a Contract of Insurance.

If there is insufficient space to answer questions please use an additional paper and attach it to the form (PLEASE INDICATE SECTION NUMBER).

### ALL QUESTIONS MUST BE FULLY ANSWERED

#### 1. APPLICANT DETAILS (PLEASE USE CAPITAL LETTERS)

Name of Proposer (Individual/partnership/firm):

Address of head office:

Address of branch office(s) and name(s) of resident partner(s):

Telephone Number:

ID. Card Number / Company Registration Number:

Email Address:

When was the firm established? / Since when are activities as accountants or auditors carried out?

During the past five years, has the name of the firm been changed or has any other firm purchased or any merger or consolidation taken place? YES ☐ | NO ☐

If so, please give details.

Are you a member of a relevant professional association? YES ☐ | NO ☐

If so, please give details.

Names

Qualifications, dates qualified/total duration of professional experience

Position held in company and how long

## Details of all principals or partners

| Total number of principals, partners and staff               | Number |
|--------------------------------------------------------------|--------|
| Technical: - Principals, partners or officers                |        |
| - Qualified accountants and accounting assistants            |        |
| - Staff other than typists and office staff (please specify) |        |
| Total non-technical/administration staff                     |        |

Does your firm, any partner, principal or staff manage, own or have financial control of any bank, trust company, mortgage or loan association, title guarantee or real estate company or undertake work as executor, trustee, director or company secretary? YES ☐ | NO ☐

If so, please give full details.

Does any partner, principal or staff undertake work as receiver, liquidator or trustee in bankruptcy? YES ☐ | NO ☐

If so, please give details.

## 2. NATURE AND VOLUME OF YOUR PRESENT AND FORESEEABLE FUTURE ACTIVITIES

Describe your firm by showing the percentage of gross fees to be received from the following activities during the current fiscal year:

|                                                                                                                                          |             |
|------------------------------------------------------------------------------------------------------------------------------------------|-------------|
| Taxation                                                                                                                                 | %           |
| Consultancies                                                                                                                            | %           |
| Examination of annual reports                                                                                                            | %           |
| Audits                                                                                                                                   | %           |
| Share registration                                                                                                                       | %           |
| Insolvencies/liquidations/receiverships                                                                                                  | %           |
| Management consultancies                                                                                                                 | %           |
| Others (please specify)                                                                                                                  | %           |
|                                                                                                                                          | Total 100 % |
| Does the firm's practice extend or has it ever extended to activities abroad? YES <input type="checkbox"/>   NO <input type="checkbox"/> |             |
| If so, please indicate:                                                                                                                  |             |
| a) in which countries and the respective share of total business                                                                         | %           |
| b) method of handling such business                                                                                                      | %           |

Does your firm belong to or work together with an international accounting firm or network? YES ☐ | NO ☐

If so, please state the name of that company and specify.

Please indicate your fiscal year:

What are the gross fees for?

- a. last fiscal year?
- b. current fiscal year (estimate)?
- c. next fiscal year (estimate)?

### 3. PREVIOUS INSURANCE/PREVIOUS CLAIMS

Have you previously been insured? YES ☐ | NO ☐

If so, please specify:

| Name of Insurer | Policy Period | Limit of Indemnity |
|-----------------|---------------|--------------------|
| 1.              |               |                    |
| 2.              |               |                    |
| 3.              |               |                    |
| 4.              |               |                    |
| 5.              |               |                    |

Has a previous application been declined? YES ☐ | NO ☐

Has a previous insurance:

a. Required increased premium? YES ☐ | NO ☐

b. Required special restrictions? YES ☐ | NO ☐

c. Been terminated/not been renewed by an insurer? YES ☐ | NO ☐

If so, please give detailed information:

Have any claims been made during the past five years against your firm? YES ☐ | NO ☐

If so, please advise amount and details of each claim:

Is your firm aware of any circumstances or incidents which may result in a claim against your firm? YES ☐ | NO ☐

If so, please give details:

Have you or any of your partner/s ever been convicted or charged but not yet tried for any offence? YES ☐ | NO ☐

If Yes please give details

#### 4. INDEMNITY REQUIRED

Limit any one claim: YES ☐ | NO ☐

Aggregate Limit: YES ☐ | NO ☐

Deductible each and every claim to be borne by insured: YES ☐ | NO ☐

#### 5. ENDORSEMENTS TO BASIC COVER

Retroactive Cover, If so indicate number of years (maximum number of years – 5 years) YES ☐ | NO ☐

Libel and Slander: YES ☐ | NO ☐

#### IMPORTANT NOTE

**You should not sign this Proposal Form and its statements or declarations before you have read and understood them. If this document is being completed by someone else on your behalf please ensure that the details on it accurately reflect what you have said.**

#### APPLICABLE LAW

Unless agreed otherwise in writing, your insurance policies with Mapfre Malta p.l.c. (hereinafter referred to as the “Company” or “we”) shall be subject to Maltese Law and to the exclusive jurisdiction of the Maltese courts.

#### INSOLVENCY

In the event that we become insolvent and unable to meet our obligations under this contract, limited compensation may be available to you under the Protection and Compensation Fund Regulations, 2003.

#### COMPLAINTS

We are committed to providing good quality services. We recognise that a client may not be satisfied with the service provided. To deal with this we have a complaints procedure. For the sake of clarification, a complaint is broadly defined as being a written expression of dissatisfaction with services that we provide or actions we have taken that require a response.

#### HOW TO COMPLAIN

##### STEP 1 – CONTACTING THE COMPANY

The first step is to talk to a member of our personnel or of the intermediary if the Policy was arranged through one. This can be done informally either directly or by telephone.

Usually the best person to talk to will be the person who dealt with the matter you are concerned about as they will be in the best position to help you promptly and to put things right. If they are not available or you would prefer to approach someone else then address the matter to the manager or senior person responsible. We will seek to resolve the problem immediately. If we cannot do this then we will take a record of the concern and arrange the best way and time for getting back to you. This will normally be within two working days.

## STEP 2 – TAKING THE COMPLAINT FURTHER

If you are still unhappy, the next step is to put the complaint in writing, addressing it to Complaints Officer, Mapfre Malta p.l.c., Middle Sea House, Floriana FRN 1442 or via e-mail on [compofficer@mapfre.mt](mailto:compofficer@mapfre.mt). Your communication should set out the details, explain what you think went wrong and what you feel would put things right. If you are not happy about writing it, you can always ask one of our staff members to take note of the complaint which you will be then asked to sign. You will be provided with a copy for your own reference. This record will be passed promptly to the Complaints Officer to deal with.

We will promptly acknowledge your complaint in writing and outline the steps we will take to investigate and resolve it. If we are unable to resolve your complaint within 15 working days, we will inform you of the reason for the delay.

### TAKING YOUR COMPLAINT ELSEWHERE

If you are still not satisfied with the Complaints Officer's response, you can always seek advice elsewhere. You may contact:

Office of the Arbiter for Financial Services  
N/S in Regional Road,  
Msida MSD 1920,  
Malta  
Telephone: 8007 2366 or 21249245  
E-mail: [complaint.info@asf.mt](mailto:complaint.info@asf.mt)  
Website: [www.financialarbiter.org.mt](http://www.financialarbiter.org.mt)

The Office of the Arbiter will expect that you have a final reply to your complaint from us before approaching them.

### PERSONAL DATA PROCESSING

The proposer and/or policyholder is hereby being informed about the data processing that the Data Controller Mapfre Malta p.l.c. will carry out on his/her personal data provided voluntarily, as well as those provided through his/her intermediary, on his/her consultation, insurance application or, if applicable, the contracting of any service or product.

- Purposes of processing:** To manage your insurance application and, if applicable, to manage the contract, preparation of a risk profile for actuarial purposes, fraud prevention and investigation, preparation of a commercial profile for the communication of information and advertising about offers for Mapfre Malta p.l.c.'s products and services, as well as centralized management of your relationship with the Mapfre Group
- Legal basis:** Execution of the contract, legitimate interest, compliance with legal obligations and consent
- Recipients:** Data may be disclosed to third parties and/or transferred to third countries in accordance with the terms and conditions stated in the additional data protection Information
- Rights:** Users may exercise their rights of access, rectification, deletion, restriction, objection, including to automated decision making and portability, as detailed in Additional Information on Data Protection
- Additional Information:** You may consult the link to <https://www.mapfre.com.mt/privacy-policy/>

If the data provided pertains to physical persons other than the data subject, including health data, the latter guarantees that they have the former's consent before providing the data, informing them in advance of the data protection terms set out in this document.

The proposer and/or policyholder confirms that they are over 18 years of age. If the data provided by the data subject refers to children under the age of 18, including health data, as the holder of parental authority or guardianship over the minor, you expressly authorize the processing of such data under the terms established in the additional information.

The proposer and/or policyholder warrants that the personal data provided is accurate and truthful and undertakes to keep it up to date and to inform Mapfre Malta p.l.c. of any changes made to it.

Mapfre Msv Life p.l.c. and Mapfre Malta p.l.c. have entered into a joint control agreement committing to comply with data protection legislation to process their data jointly under the terms detailed in section "9. Joint control amongst Mapfre Group companies" in the link to <https://www.mapfre.com.mt/privacy-policy/>

☐ I want to receive, including in electronic format, personalized sales communications about products and services, discounts, gifts, promotions, and other advantages from the Mapfre Group and other collaborating companies, and therefore I consent to profiling.

In any case, your consent for processing your data for this purpose is revocable and you may withdraw your consent at any time or exercise any of the rights as described in the link to <https://www.mapfre.com.mt/privacy-policy/>

## CONSENT FOR INFORMATION EXCHANGE

I consent, on my behalf and on behalf of anyone listed in this form, that the Company and its intermediaries or any member of the Group may, for the purpose of preventing, detecting or suppressing fraud or any other reason as compelled by law and for the purpose of administering my insurance proposal and policy and handling and settling claims, exchange some or all of the information including information about my insurance history with Public Authorities, members of the legal or medical profession, insurance undertakings, insurance intermediaries and the Commissioner of Police as may be applicable.

I understand (and have explained to others) that when I inform the Company about an incident that may or may not lead to a claim, the Company may share information related to it with the Malta Insurance Association and/or other insurance companies and intermediaries.

We will ensure that this communication is carried out confidentially and in accordance with the Professional Secrecy Act, 1994 and as permitted under relevant legislation.

**Material Facts are those facts which are likely to influence us in the acceptance or assessment of this proposal and it is essential that you disclose all of them. If you are in doubt about whether a fact is material then for your own protection you should disclose it since failure to do so could invalidate your policy.**

## DECLARATION

I have read or have had read to me the contents of the completed proposal form and agree that all the statements I have made and information I have provided are correct and complete in every respect and will form the basis of the contract between me and Mapfre Malta p.l.c [us]. I undertake to notify Mapfre Malta p.l.c of any change in the information subsequent to the submitting of this proposal form. I understand that in the event of a finding of incomplete and/or non-disclosure of material information, Mapfre Malta p.l.c reserves the right to repudiate the claim or declare the policy void. I understand and agree that by signing this Declaration I will be bound by the statements and disclosures of material facts herein contained. I confirm that I have received, read and understood the 'Insurance Product Information Document', 'Information for Prospective Policyholders' and the quotation relevant to the product for which I am applying.

|                              |      |
|------------------------------|------|
| Period of insurance required |      |
| Signature of applicant       | Date |
| Intermediary                 |      |