

THE DANIEL AND HENRY CO.

SECURITY BROKER / DEALER ERRORS & OMISSIONS INSURANCE PROFESSIONALS

CONFIDENTIAL COMMUNICATION

Date:

To: Conrad M. Deneault, Jr.
The Daniel & Henry Company

Fax: (314) 444-1990
Phone: (866) 284-5261
BROKERDEALER@DANIELANDHENRY.COM

From: _____

Phone: _____

If you are interested in a free, comprehensive, no obligation review of your current E&O program, please take a moment to complete the form below and return it via email or fax. We will contact you to discuss your situation in greater detail.

BROKER/DEALER NAME: _____

RIA FIRM NAME: _____

REPRESENTATIVE COUNT	1099	W-2	TOTAL
PRODUCING REPS.	_____	_____	_____
NEW YORK REPS.(INCLUDED IN ABOVE)	_____	_____	_____

CURRENT E&O CARRIER: _____

POLICY EFFECTIVE DATE: _____

ALTERNATIVE PRODUCTS/EXPOSURES (CHECK ALL THAT APPLY)

- PRIVATE PLACEMENTS/DPPS
- OPTIONS (BEYOND COVERED CALLS)
- 1031 EXCHANGES/TICS
- PROPRIETARY PRODUCTS
- INVESTMENT BANKING
- CDOs/CMOs
- FUTURES/COMMODITIES
- HEDGE FUNDS/FUND OF FUNDS
- OUTSIDE RIAs ALLOWED
- OTC STOCKS
- REITs
- PROMISSORY NOTES/DEBENTURES
- PROPRIETARY PRODUCTS