

	Forms / Wordings	Product UIN
<input type="checkbox"/>	Executive Edge Directors & Officers Liability Insurance - Non-SEC	IRDAN108CP0012V01202122
<input type="checkbox"/>	360* Protector Directors & Officers Liability Insurance - Non SEC	IRDAN108CP0021V01201213
<input type="checkbox"/>	360* Protector Directors & Officers Liability Insurance - SEC	IRDAN108CP0020V01201213
<input type="checkbox"/>	Corporateguard Directors and Officers Liability Insurance - SEC	IRDAN108CP0003V01200708

**PROPOSAL FORM**

**Proposer Details**

1. Name of Proposer: \_\_\_\_\_  
Company Website/URL: \_\_\_\_\_
2. Address of Head Office: \_\_\_\_\_  
\_\_\_\_\_
3. Country of Registration: \_\_\_\_\_
4. Date of incorporation/formation: \_\_\_\_\_
5. State the principal business activities of the Proposer and its subsidiaries? \_\_\_\_\_
6. Limit(s) of Liability & Jurisdiction(s) being requested: \_\_\_\_\_
7. Give a complete list of all subsidiary companies not listed in the company's last annual report, including country of registration and percentage owned by Proposer. Please use attachment.

**N.B. Hereinafter the Proposer and its subsidiaries shall be known as the "Company."**

8. During the last twelve months has:
  - (a) the name of the Proposer changed? Yes  No
  - (b) any acquisition or merger occurred involving the Proposer or any subsidiary? Yes  No
  - (c) any subsidiary been sold or ceased activities? Yes  No
  - (d) the Company undergone a Management buy out, Leveraged buy out or the Proposer undergone any other change in capital structure? Yes  No

If "yes" to any of the above please give details. \_\_\_\_\_

9. Does the Company or any director or officer have Directors & Officers Liability Insurance currently in force? Yes  No   
If "yes" please state:
  - (a) Insurer:
  - (b) Indemnity Limit:
  - (c) Expiry Date:
  - (d) Premium:
  - (e) Retention(s):

10. Has the Company ever had any Insurer decline a proposal or cancel or refuse to renew a Directors & Officers Liability Insurance? Yes  No   
If "yes" please give details. \_\_\_\_\_

11. Is the Proposer publicly traded (equity or debt)? Yes  No
12. Is any subsidiary of the Proposer publicly traded (equity or debt)? Yes  No
13. If "yes" to question 11 or 12 then please specify the following for the Proposer and/or any such subsidiary: Yes  No

Name of entity	Country of formation or incorporation	Each country listed	Each securities exchange/ market per country	Type of listing (direct, ADR and level, OTC) and registration number	Percentage of all securities traded and type of security

14. Please list for the Company:

(a) Total number of shareholders: \_\_\_\_\_

(b) Total number of shares issued: \_\_\_\_\_

(c) Total number of shares (percentage) held by the directors and officers of the Company (both direct and beneficial), combined:  
\_\_\_\_\_

(d) Total number of shares (percentage) held by institutional investors: \_\_\_\_\_

(e) All security holders(**including parent/holding company**), holding a 5% or more ownership interest in the Proposer, or any subsidiary that is publicly traded, giving the shareholder's name and the percentage held:

Name of Holder & Location	Entity	Percentage of Ownership

15. (a) Is the Company considering any acquisition, tender offer, merger, buy-out or other change in equity structure? Yes  No

(b) Is the Company aware of whether any other company or entity is considering an acquisition, tender offer, merger, buy-out or other change in equity structure of which the Proposer or any subsidiary would be a target? Yes  No

(c) Is the Company intending either a new public offering of securities (equity or debt), or a change in the listing status of its existing securities, within the next year? Yes  No

If "yes" to any of the above, please provide specific details. \_\_\_\_\_

16. (a) Have any Directors and / or Executive Officers of the Proposer or of any subsidiary of the Proposer incorporated or domiciled in the United States of America resigned or been replaced in the past 12 months? Yes  No   
If "Yes," who, title and why?

(b) Is the Company considering a replacement or addition of any Directors and Officers of the Proposer or of any subsidiary of the Proposer incorporated or domiciled in the United States of America? Yes  No   
If "Yes," who, title and why?

17. Does the Company have an internal Audit Committee? Yes  No

If yes:

(a) are all members of the internal Audit Committee independent directors? Yes  No

(b) does the audit committee meet more than four times per year? Yes  No

(c) has any member of the internal audit committee resigned or been replaced within the past twelve months? Yes  No

If "yes" to question 17(c), who and why?

Solely for the purposes of this question 17 the term "Independent director(s)" means a person other than an officer of employee of the company who: (1) has not been an employee or officer of the company for at least three years; and (2) is not a partner in, or controlling shareholders of, the Company.

Yes  No

18. (i) Has the Company changed its external auditing firm in the past three years? Yes  No   
If "yes," why and when?

(ii) Does the Company have any plans to remove or replace its external auditor in the next 12 months? Yes  No   
If "Yes," why and to whom?

19. (a) Have the Company's external auditors recommended changes to the revenue recognition or other significant accounting practices in the past 12 months? Yes  No

(b) Has the Company changed its revenue recognition or other significant accounting practices in the past 12 months? Yes  No

(c) Has the Company decided that it will change any of its revenue recognition or other significant accounting practices? Yes  No

(d) accounting practices? Yes  No

If "yes," to (a), (b) or (c) please provide specific details.

20. Has the Company ever restated its financial results? Yes  No

If "yes," please provide details. \_\_\_\_\_

21. Does the Company plan to take a significant one time charge to earnings, or restate earnings, within the next 12 months? Yes  No

If "yes," please provide details. \_\_\_\_\_

If "yes" to question 21, it is agreed that the proposed policy shall not provide any coverage for loss in connection with any claim, investigation, proceeding or action alleging or arising from such event, unless an endorsement is added to the proposed policy specifically extending coverage to such arising.

22. Please provide the total number of employees for the Company, and a breakdown of employees as follows:

Location	Number of employees
India/Country where the head office of the Proposer is located	
Rest of Continental Europe	
United Kingdom	
USA	
Canada	
Rest of the World	
<b>Total</b>	

## Cover for the United States of America

**Please complete questions 23-26 if the Proposer is requesting any coverage for claims brought in the United States of America or claims made elsewhere arising out of the Company's operations in the United States of America.**

If no securities of either the Proposer and any of its subsidiaries are publicly traded in the United States of America, and the Company does not plan to list any securities of the Proposer or any of its subsidiaries in the United States of America within the next 12 months, skip questions 23 and 24.

23. Does the Company's internal audit committee structure and/or procedures comply with U.S. statutes, rules or regulations regarding internal audit committees? (i.e. composition, financial background, independence, required meetings, charter, etc.) Yes  No

24. Are the Company's financial statements required to be consolidated, or reconciled, in accordance with U.S. Generally Accepted Accounting Principles (GAAP)? Yes  No

If "Yes," to question 24, are the company's financial statements, generally, in accordance with US GAAP? Yes  No

25. Is the U.S. SEC or U.S. IRS presently investigation or requesting information from the Company or any director or officer of the Company? Yes  No

If "yes," please provide details. \_\_\_\_\_

26. Please state total gross assets in the United States: \_\_\_\_\_

**The following questions are to be completed by all applicants.**

## Claims Information

27. Has there been or is there now pending any claim(s) or actions against or investigation(s) of: (i) the Company thereof; and/or (ii) any person proposed for insurance in his or her capacity as a director or officer of any Company? Yes  No

If "yes," please provide details. \_\_\_\_\_

28. Does any directors or officers of the company, the General Counsel (or equivalent person) of the company and the risk manager of the company have any knowledge or information of any act, error or omission which could reasonably give rise to a claim, investigation or action under the proposed policy, except as follows: (Attach complete details.) Yes  No

**It is agreed that with respect to Questions 27 and 28 above, that if such claim, proceeding, action, knowledge, information or involvement exists, then such claim, proceeding or action and any claim or action arising from such claim, proceeding, action, knowledge, information or involvement is excluded from the proposed coverage.**

## Documentation

29. Provide copies of the following for the Company.

- (a) Latest annual report
- (b) Latest interim financial available
- (c) Latest audited financials
- (d) Any securities registration statements filed with the local government agency during the last 2 years
- (e) Any other periodic reports which are required to be filed with the local government agency that regulates securities during the last 12 months

**If the Company has any securities (equity or debt) listed or traded in the United States of America, then:**

- (f) Latest 20-F filed with the U.S. Securities and Exchange Commission (U.S. SEC) or similar U.S. state agency or non-U.S. agency
- (g) All 6-K's filed with the U.S. SEC (or similar U.S. state agency or non-U.S. agency) within the last year
- (h) All F-1's or registration statements filed with the U.S. SEC (or similar U.S. state agency or non-US agency) within the last twelve months.
- (i) Copies of financial statements certified by the CEO and CFO.

**It is agreed that the Proposer will file with the Insurer, as soon as it becomes available, a copy of each registration statement and annual or interim report which the Proposer or any subsidiary may from time to time file with any local or foreign governmental, regulatory body or agency that regulates securities (including but not limited to the US Securities and Exchange Commission).**

## Additional Information

**Nationality:**  Indian  Non-Indian  If Non-Indian, please specify Country: \_\_\_\_\_

### Type of Organization

Corporations  Governments  Non Governmental Organizations  Society  International Organization  
 Trust  Partnership  Cooperatives  Section 25 Company

**PAN card number (10 character number):** \_\_\_\_\_

Sources of funds: Please tick appropriate box  Salary  Business  Others (please specify) \_\_\_\_\_

## Section 41 of Insurance Act 1938 (Prohibition of rebates)

1. No person shall allow or offer to allow either directly or indirectly as an inducement to any person to take out or renew or continue an insurance in respect of any kind of risk relating to lives or property in India, any rebate of the whole or part of the commission payable or any rebate of premium shown on the policy, nor shall any person taking out or renewing or continuing a policy accept any rebate, except such rebate as may be allowed in accordance with the published prospectus or tables of the insurer."
2. Any person making default in complying with the provisions of this section shall be liable for penalty which may extend to ten lakh rupees.

## Section 64 VB of the Insurance Act 1938

Commencement of risk cover under the policy is subject to receipt of premium by Tata AIG General Insurance Company Limited.

## AML declaration

1. I/we hereby confirm that all premiums paid / payable in future will be from bonafide sources and not paid out of proceeds of crime and that such premiums are not disproportionate to my/our income. I / we understand that the Company has the right to call for documents to establish sources of funds and to cancel the insurance policy in case I / we are found guilty by any competent court of law under any of the statutes, directly or indirectly governing the prevention of money laundering law in India.
2. I / we are not Politically Exposed Persons \* nor are their close relatives / family members / associates . I / we shall keep the company informed if we subsequently become a Politically Exposed Person / close relative / family member / associate of Politically Exposed Persons. "Politically Exposed Persons" shall have the meaning assigned to it under Prevention of Money-Laundering (Maintenance of Records) Amendment Rules, 2023 as amended from time to time."

## Contact details of TAGIC and TAGIC CIN

### Tata AIG General Insurance Company Limited

Registered Office: Peninsula Business Park, Tower A, 15th Floor, G.K. Marg, Lower Parel, Mumbai - 400 013, Maharashtra, India.

24x7 Toll Free No: 1800 266 7780 | Visit us at [www.tataaig.com](http://www.tataaig.com) | IRDA of India Registration No: 108 | CIN:U85110MH2000PLC128425

**IRDA Approved Product Name & Product UIN no.** IRDAN108P0003V01200708

## SIGNING THIS PROPOSAL DOES NOT BIND THE PROPOSER TO COMPLETE THIS INSURANCE.

### Declaration

I declare on behalf of all insureds, after inquiry, that the statements and particulars in this supplemental proposal are true and no material facts have been misstated or suppressed. I agree that this proposal forms, any attachment, any information submitted therewith and any and all other information supplied or requested, shall form the basis of any Contract of Insurance effected thereon. I further undertake to inform Insurers of any material alteration to any information, statements, representations or facts presented in this proposal form occurring after the date this proposal form is signed and before the inception date of the proposed policy.

A material fact is one which would influence the acceptance or assessment of the risk.

All written statements and materials furnished to the insurer in conjunction with this application are hereby incorporated by reference into this application and made a part hereof.

### Signing this proposal does not bind the Proposer to complete this insurance.

Signed: \_\_\_\_\_ Title: \_\_\_\_\_  
(authorised signatory of the Insured) CEO or Chairman of the Board of Directors

Company: \_\_\_\_\_ Date: \_\_\_\_\_