NAVIGATORS INSURANCE COMPANY

ACCOUNTANTS PROFESSIONAL LIABILITY

SUPPLEMENT 6 – SECURITIES SUPPLEMENT

Applicant:____

Please complete only if your firm provides services that fall under the 1933 or 1934 Securities Acts.

1. Complete the following table for each of the firm's SEC practitioners' experience:

Individual (s)	Number of Years of SEC Experience	Number of Hours SEC CPE in the past 12 months	Securities-Billable Hours on the most recent 12 months

2. Is the firm a member of the AICPA's Center for Public Company Audit firms? ☐ YES ☐ NO

3. Does the firm have a written procedure for new client identification intended to assure no conflict of interest with respect to the securities matters to be undertaken by the firm? ☐ YES ☐ NO

4. Is there a written policy requiring annual reviews of existing clients for potential conflicts? ☐ YES ☐ NO

5. **a.** Do your written procedures for evaluating SEC-regulated clients include an analysis of the client's financial strength, management experience and reputation, industry segment and its history of opinion shopping or changing lawyers and accountants? ☐ YES ☐ NO
b. Do these procedures include background checks on senior management? ☐ YES ☐ NO

6. Is there a written policy requiring at least one CPA who is not working on the transaction in question to review and approve all written materials to be furnished in the transaction? ☐ YES ☐ NO

7. Is there a written policy governing trading and investing in client securities by firm members? ☐ YES ☐ NO

8. Is there a written policy prohibiting any firm member who is a director, officer or general partner of a securities client or limited partnership from working on a securities transaction for such client? ☐ YES ☐ NO

9. Is there a written policy prohibiting any contingency payment arrangement or any arrangements where a securities client pays for the applicant's services with client securities? ☐ YES ☐ NO

10. Is there a written procedure that is intended to prevent the improper use of material inside information by firm members? ☐ YES ☐ NO

11. During the past five (5) years has the firm been the subject of any investigations by the SEC or been terminated by a securities client or had a dispute with a client necessitating disclosure to securities regulators? ☐ YES ☐ NO

If yes, please provide the following:

Client Name	Date of Withdrawal	Description of Withdrawal or Dispute

12. For each private or public offering within the past three (3) years please complete the following table:

Client Name	Industry	Dates and Services Provided	Type of Offering*	Size of Offering	Fees

PR –Private Placement **PUI** – Public Initial Placement **PU** – Public Secondary Placement
B – Bond (Private) **SY** – Syndication **M** – Municipal **F** - Financing

I understand that the information submitted in this supplement becomes a part of my Accountants Professional Liability application and is subject to the same representations and conditions.

Print Name ______________________ Title ______________________

Signature ______________________ Date ______________________

INCOMPLETE, UNSIGNED OR UNDATED APPLICATIONS WILL BE RETURNED FOR COMPLETION