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**APPLICATION FOR ERISA BOND
EMPLOYEE RETIREMENT INCOME SECURITY ACT OF 1974
Renewal Option: Agency Bill Direct Bill**

Agency: _____ Bond Number: _____
Address: _____

- 1. Type of Bond: Commercial Blanket Name Schedule Position Schedule
- 2. Bond Amount: _____
- 3. Premium to be Paid: A. Annually _____ B. Three Years _____
- 4. Effective Date _____
- 5. Name of Plan(s) to be Covered: _____
Official Address: _____

- 6. If **Commercial Blanket** - Plan Officials and Employees: (List number for each Classification)
Trustee _____ Manager _____ Administrator (Employee) _____
Bookkeeper _____ Auditor (Employee) _____ Others (Specify) _____

- 7. If **Name or Position Schedule** Coverage is desired on any employee, please complete the following:

| <u>Name of Employee</u> | <u>Position</u> | <u>Amount of Coverage Desired</u> |
|-------------------------|-----------------|-----------------------------------|
| | | |
| | | |
| | | |

- 8. Other NON-Employees acting in an Administrative or Fiduciary capacity to be covered by Bond:

| <u>Name of Individual or Firm and Address</u> | <u>Capacity</u> | <u>Amount of Coverage</u> |
|---|-----------------|---------------------------|
| | | |
| | | |

- 9. Name and Address of C.P.A., Public Accountant or Audit Certifying Annual Report:

- 10. Audit and Control Procedures:
 - a. How frequently are Audits made? _____ By Whom? _____
 - b. Are Bank Accounts reconciled by someone not authorized to Deposit or Withdraw therefrom? _____
How often? _____
 - c. Will countersignature of checks be required? _____ If NOT, by Whom Signed? _____
 - d. Will securities be subject to joint control by two or more responsible employees? _____

IMPORTANT: If the answer to either (b) or (c) of question 10 is NO, it is imperative that a full explanation be given to why and what controls are instituted.

- 11. Dishonesty Losses Past 6 Years: Check if none

| <u>Date Discovered</u> | <u>Amount</u> | <u>Employee's Position</u> | <u>Nature of Loss</u> |
|------------------------|---------------|----------------------------|-----------------------|
| | | | |
| | | | |

- 12. Prior Fidelity coverage to be superseded: Check if none

| <u>Expiration or Form of Bond or Policy</u> | <u>Cancellation Date</u> | <u>Amount</u> | <u>Name of Insurer</u> |
|---|--------------------------|---------------|------------------------|
| | | | |

- 13. Has any Employee Dishonesty insurance carried by the Applicant been declined or canceled within the last six years by any insurer?
YES NO
If answered affirmatively, explain.

"Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information, or conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime, and subjects such person criminal and civil penalties."

Dated at _____ this _____ day of _____, _____.

By: _____
(Applicant)

By: _____
(Agency)

ERISA Rates

(Rates for 5 or less Trustees and no Agents)

| Bond Amount | Annual Premium | 3 year prepaid |
|--------------------|-----------------------|-----------------------|
| \$5,000 | \$100 | \$100 |
| \$10,000 | \$100 | \$100 |
| \$15,000 | \$100 | \$100 |
| \$20,000 | \$100 | \$100 |
| \$25,000 | \$100 | \$108 |
| \$30,000 | \$100 | \$116 |
| \$35,000 | \$100 | \$124 |
| \$40,000 | \$100 | \$132 |
| \$45,000 | \$100 | \$140 |
| \$50,000 | \$100 | \$149 |
| \$55,000 | \$100 | \$156 |
| \$60,000 | \$100 | \$163 |
| \$65,000 | \$100 | \$170 |
| \$70,000 | \$100 | \$177 |
| \$75,000 | \$100 | \$185 |
| \$80,000 | \$100 | \$189 |
| \$85,000 | \$100 | \$194 |
| \$90,000 | \$100 | \$198 |
| \$95,000 | \$100 | \$203 |
| \$100,000 | \$100 | \$207 |
| \$105,000 | \$100 | \$209 |
| \$110,000 | \$100 | \$212 |
| \$115,000 | \$100 | \$214 |
| \$120,000 | \$100 | \$216 |
| \$125,000 | \$100 | \$218 |
| \$130,000 | \$100 | \$221 |
| \$135,000 | \$100 | \$223 |
| \$140,000 | \$100 | \$225 |
| \$145,000 | \$100 | \$227 |
| \$150,000 | \$100 | \$230 |
| \$175,000 | \$100 | \$240 |
| \$200,000 | \$100 | \$250 |
| \$225,000 | \$100 | \$260 |
| \$250,000 | \$100 | \$270 |
| \$275,000 | \$100 | \$280 |
| \$300,000 | \$100 | \$290 |
| \$325,000 | \$100 | \$300 |
| \$350,000 | \$104 | \$311 |
| \$375,000 | \$107 | \$321 |
| \$400,000 | \$110 | \$331 |
| \$425,000 | \$114 | \$341 |
| \$450,000 | \$117 | \$351 |
| \$475,000 | \$120 | \$361 |
| \$500,000 | \$124 | \$371 |