



- b. Are you NCCA certified?  Yes  No  
 If yes, please provide date of certification, certificate number, expiration date of certificate:  
 Date of Certification: Mo \_\_\_\_\_/Day \_\_\_\_\_/Yr \_\_\_\_\_ Certificate # \_\_\_\_\_  
 Expiration Date: Mo \_\_\_\_\_/Day \_\_\_\_\_/Yr \_\_\_\_\_
- c. Are you a member of AAAOM?  Yes  No. Current Member No. \_\_\_\_\_
- d. Please describe Professional training including formal classroom education, tutorials, seminars, etc., on attached sheet, or attach a current curriculum vitae (C.V.).
- e. Please indicate your professional specialty:
- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Acupuncture & Oriental Medicine | <input type="checkbox"/> Naprapath                 | <input type="checkbox"/> Psychologist             |
| <input type="checkbox"/> Chiropractor                    | <input type="checkbox"/> Nurse, Licensed Practical | <input type="checkbox"/> Social Worker            |
| <input type="checkbox"/> Counselor (Describe)<br>_____   | <input type="checkbox"/> Nurse, Registered         | <input type="checkbox"/> Speech Therapist         |
|  | <input type="checkbox"/> Nurses Registry           | <input type="checkbox"/> Veterinarian             |
| <input type="checkbox"/> Dental Hygienist                | <input type="checkbox"/> Occupational Therapist    | <input type="checkbox"/> Visiting Nurse Assoc.    |
| <input type="checkbox"/> Hearing Aid Fitter              | <input type="checkbox"/> Optician                  | <input type="checkbox"/> X-ray Technician         |
| <input type="checkbox"/> Home Health Care Agency         | <input type="checkbox"/> Orthotist                 | <input type="checkbox"/> Other (Specify)<br>_____ |
| <input type="checkbox"/> Inhalation Therapist            | <input type="checkbox"/> Perfusionist              |   |
| <input type="checkbox"/> Laboratory Technician           | <input type="checkbox"/> Pharmacist                |   |
| <input type="checkbox"/> Medical Personnel Pool          | <input type="checkbox"/> Physical Therapist        |   |
- f. Please indicate professional societies or association in which you are a member: \_\_\_\_\_  
 \_\_\_\_\_

---

### 3. OPERATIONS

---

- a. Please indicate percentage of time spent in the following work locations:
- |   |                         |
|---|-------------------------|
| ____% Administrative Office                             | ____% Classroom         |
| ____% Nursing Home                                      | ____% Outpatient Clinic |
| ____% Outpatient Clinic                                 | ____% Patient Home      |
| ____% Professional Office (specify profession)<br>_____ |                         |
| ____% Other (specify) _____                             |                         |
- b. State approximate division of your patients or clients among:
- |                               |                                      |
|-------------------------------|--------------------------------------|
| (a) Holistic Medicine (____%) | (h) Physician Rehabilitation (____%) |
| (b) Psychiatric (____%)       | (i) Disability Evaluation (____%)    |
| (c) Drug Addicts (____%)      | (j) Research or Experimental (____%) |
| (d) Alcoholics (____%)        | (k) _____ (____%)                    |
| (e) Obstetrical (____%)       | (l) _____ (____%)                    |
| (f) Dental (____%)            | (m) _____ (____%)                    |
| (g) Pediatric (____%)         | (n) _____ (____%)                    |
- c. Please state sources and amounts of total annual revenue:
- | Source of Revenue | Amount Last 12 Months | Amount Next 12 Months |
|-------------------|-----------------------|-----------------------|
| _____             | _____                 | _____                 |
| _____             | _____                 | _____                 |
| _____             | _____                 | _____                 |

**4. PERSONNEL**

a. List the number of your employees and volunteers.

IF NONE, STATE NONE.

Number	Type of Employees/Volunteers
_____	_____
_____	_____
_____	_____

b. Are all of the above individuals licensed in accordance with applicable state and federal regulations?.....[ ] Yes [ ] No

If no, please attach explanation.

c. Do you supervise any individuals other than your own employees? .....[ ] Yes [ ] No

If yes, provide detailed explanation of responsibilities and relationships to the entity which employs these individuals.

Also indicate by profession the number of individuals supervised.

Number	Type of Professional
_____	_____
_____	_____
_____	_____

d. Please provide number of patient or client encounters:

Type of Visit	Number of Visits Last 12 months	Number of Visits Next 12 Months
Clinic	_____	_____
Office	_____	_____
Other _____	_____	_____
Total Number of Visits	_____	_____

**5. SERVICES**

a. Do you render professional services directly to patients? .....[ ] Yes [ ] No.

If yes, please described in detail these services and indicate extent of supervision by others.

<u>Description of Professional Services</u>	<u>Percent of Time Supervised</u>	<u>Qualifications of Supervisor</u>
_____	_____ %	_____
_____	_____ %	_____
_____	_____ %	_____
_____	_____ %	_____

b. Do you render professional services that do not involve contact with a patient? .....[ ] Yes [ ] No

If yes, please describe in detail these services. \_\_\_\_\_

c. Do you perform or assist in any surgical procedures? .....[ ] Yes [ ] No

(i) Please list ALL surgical procedures performed (including minor surgery).

(ii) Is anesthesia (other than topical or by means of local infiltration) administered by either yourself or others? .....[ ] Yes [ ] No

If yes, please attach detailed explanation.

(iii) Do you perform or assist in any surgical procedure(s) in a professional office or similar non-hospital facility?.....[ ] Yes [ ] No

If yes, please attach detailed explanation.

---

**6. PROCEDURES**

---

- a. Do you prescribe or dispense any drugs without the countersignature of a physician? .....[  Yes [  No  
If yes, please provide detailed explanation. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- b. Do you compound in bulk, manufacture wholesale oriental/herbal medicine or other nutritional substances or controlled substances? .....[  Yes [  No  
If yes, please provide details. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- c. Do you adhere to NCCA clean needle techniques? .....[  Yes [  No  
Have you passed NCCA clean needle training course? .....[  Yes [  No  
If yes, date passed: Mo\_\_\_\_\_/Day\_\_\_\_\_/Yr\_\_\_\_\_

---

**7. BUSINESS ASSOCIATIONS**

---

- a. Are you associated with or work for a physician or surgeon? .....[  Yes [  No  
If yes, please give name and specialty of physician. \_\_\_\_\_  
\_\_\_\_\_
- b. Do you own or operate any business other than that shown in Question 1(a) above? .....[  Yes [  No  
If yes, please give details on a separate sheet.
- c. Are you employed by an individual other than that shown in Question 1(a) above? .....[  Yes [  No  
If yes, please attach explanation, including details of your responsibilities.
- d. Are you under contract to any individual or entity other than that shown in Question 1(a) above? .....[  Yes [  No  
If yes, please attach explanation, including details of your responsibilities.  
If this contract contains a hold-harmless agreement, please attach copy of contract.
- e. Are you in the employ of, or under contract to any governmental entity? .....[  Yes [  No  
If yes, attach explanation, including details of your responsibilities.
- f. Do you advertise your professional services in any manner (other than a simple listing in a telephone directory? .....[  Yes [  No  
If yes, please attach a copy of ALL of its advertisements.
- g. Are you associated with any agency or organization that engages in any kind of advertising for, or solicitation of, patients? .....[  Yes [  No  
If yes, please attach detailed explanation and a copy of ALL of the advertisements.
- h. Do you own (wholly or in part), operate, or administer any hospital, nursing home or other institutions where medical services are customarily rendered? .....[  Yes [  No  
If yes, please give details, including name, location, size and number of beds.
- i. (i) Do you use a collection agency? .....[  Yes [  No  
If yes, name of agency \_\_\_\_\_  
(ii) Has the agency authority to file a collection suit at its discretion? .....[  Yes [  No

---

**8. APPLICANT HISTORY**

---

PLEASE ATTACH DETAILED EXPLANATION FOR ANY "YES" ANSWERS:

- a. Have you or any of your employees:  
(i) Ever been the subject of disciplinary or investigatory proceedings or reprimand by an administrative or government agency, hospital or professional association? .....[  Yes [  No

- (ii) Ever been convicted for an act committed in violation of any law or ordinance other than traffic offenses? .....[  Yes [  No
- (iii) Ever been treated for alcoholism or drug addiction? .....[  Yes [  No
- (iv) Ever had any state professional license or license to prescribe or dispense narcotics refused, suspended, revoked, renewal refusal or accepted only on special terms or ever voluntarily surrendered same? .....[  Yes [  No
- (v) Ever had any insurance company or Lloyd's cancel, decline, refuse to renew or accept only on special terms their malpractice insurance? .....[  Yes [  No
- b. Has any claim or suit been brought against you and/or any of your employees? .....[  Yes [  No  
If yes, a supplemental claim information form must be completed for each claim or suit.
- c. Are you aware of any circumstances which may result in a malpractice claim or suit being made or brought against you or any of your employees? .....[  Yes [  No  
If yes, please give details on separate sheet.
- d. List prior professional liability insurance carried for each of the past four years. IF NONE, STATE NONE.

Insurance Carrier	Policy Number	Limits of Liability	Deductible (if any)	Premium	Inception Exp. Mo./Day/Yr.	Expiration Mo./Day/Yr.	Was this a Claims Made Policy Form?	
							Yes	No
_____	_____	_____	_____	_____	_____	_____	[ <input type="checkbox"/> ]	[ <input type="checkbox"/> ]
_____	_____	_____	_____	_____	_____	_____	[ <input type="checkbox"/> ]	[ <input type="checkbox"/> ]
_____	_____	_____	_____	_____	_____	_____	[ <input type="checkbox"/> ]	[ <input type="checkbox"/> ]
_____	_____	_____	_____	_____	_____	_____	[ <input type="checkbox"/> ]	[ <input type="checkbox"/> ]

- e. If prior professional liability insurance was on a claims made basis, advise the retroactive exclusion date of the coverage\_\_\_\_\_

\* NOTICE TO APPLICANT: The coverage applied for is SOLELY AS STATED IN THE POLICY, which provides coverage on a "CLAIMS MADE" basis for ONLY THOSE CLAIMS THAT ARE FIRST MADE AGAINST THE INSURED DURING THE POLICY PERIOD unless the extended reporting period option is exercised in accordance with the terms of the policy.

WARRANTY: I/We warrant to the Insurer, that I understand and accept the notice stated above and that the information contained herein is true and that it shall be the basis of the policy of insurance and deemed incorporated therein, should the Insurer evidence its acceptance of this application by issuance of a policy. **I/We authorize the release of claim information from any prior insurer to Shand Morahan & Company, Inc., Underwriting Manager for the Company.**

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Title (Officer, partner, etc.)

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Date

SIGNING this application does not bind the Applicant or the Insurer or the Underwriting Manager to complete the insurance, but one copy of this application will be attached to the policy, if issued.



# SHAND MORAHAN & COMPANY, INC.

Ten Parkway North, Suite 100, Deerfield, Illinois 60015  
(847) 572-6000

---

## **BROKER RISK SUMMARY** **(Medical Malpractice and Specified Medical)**

ACCOUNT NAME:

Address  
City, State, Zip  
States of Licensure  
New or Renewal for Shand

DESCRIPTION OF SERVICES:

(Include management experience & staffing)

CURRENT INSURANCE PROGRAM:

Name of Carrier: \_\_\_\_\_

Limits: \_\_\_\_\_ Deductible: \_\_\_\_\_ Premium: \_\_\_\_\_

Expiration Date: \_\_\_\_\_ Retro Date: \_\_\_\_\_

LOSS EXPERIENCE:

(7-10 years currently valued loss information)

RISK MANAGEMENT/QUALITY ASSURANCE PROGRAM:

(Including Credentialing/hiring protocols)

DATE QUOTE NEEDED: