

SureTec ERISA BOND APPLICATION

Coverage as required by The Employee Retirement Income Security Act of 1974 (ERISA)



ERISA SOLE SPONSORED PLAN AND NON-UNION PLAN BOND REQUEST		Amount \$	Effective Date
Exact Names of Plan to be covered:			
Mailing Address	City	State	Zip
Plan Sponsor			
Mailing Address	City	State	Zip
	Phone	Email	
Number of Trustees, Fiduciaries, and Employees who handle funds or property of the Plan(s)			
Number of Participants in the Plan(s)		Asset Value \$	
Value of "Non-Qualifying Assets" (as defined by ERISA law) in the Plan(s) \$ If NONE, use \$0 or N/A			
Are the assets of the Plan(s) audited at least annually by an independent CPA? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Is the Sponsor of any of the Applicant's Plan a union? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Are the assets of the Plan(s) administered by an independent third party? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Name of Administrator		Administrator Address	
Have you had any dishonesty losses in the past 6 years? <input type="checkbox"/> Yes <input type="checkbox"/> No if yes, attach details			
Prior ERISA coverage to be replaced? <input type="checkbox"/> Yes <input type="checkbox"/> No if yes, provide information below:			
Name of Carrier		Amount \$	Expiration Date

Note: The Employee Retirement Income Security Act of 1974 requires the bond amount to be a minimum of 10% of the assets in the Plan(s) or 100% of Non-Qualifying Assets in excess of 5% of total assets, subject to a maximum as defined in the Act. Use the following chart to determine the three-year prepaid premium for five (5) or fewer covered individuals in the amount of coverage selected:

General Fraud Statement: Any person who knowingly and with intent to defraud any insurance company or another 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 the person to criminal and [NY: substantial] civil penalties. Not applicable in CO, DC, FL, HI, KS, MA, MN, NE, OH, OK, OR, UT, VT, or WA; in LA, ME, TN and VA, insurance benefits may also be denied. Please read the Fraud Statement applicable to your state and acknowledge receipt by signing below

Applicant's Signature

Date (MM/DD/YY)

To order a Bond, give this application to your agent:

Agency: _____

Contact: _____

Address: _____

Phone: _____

APPLICABLE IN COLORADO - FRAUD STATEMENT

It is unlawful to knowingly provide false, incomplete, or misleading facts or information to an insurance company for the purpose of defrauding or attempting to defraud the company. Penalties may include imprisonment, fines, denial of insurance and civil damages. Any insurance company or agent of an insurance company who knowingly provides false, incomplete, or misleading facts or information to a policy holder or claimant for the purpose of defrauding or attempting to defraud the policy holder or claimant with regard to a settlement or award payable from insurance proceeds shall be reported to the Colorado Division of Insurance within the Department of Regulatory Agencies.

APPLICABLE IN DISTRICT OF COLUMBIA - FRAUD STATEMENT

WARNING: It is a crime to provide false or misleading information to an insurer for the purpose of defrauding the insurer or any other person. Penalties include imprisonment and/or fines. In addition, an insurer may deny insurance benefits, if false information materially related to a claim was provided by the applicant.

APPLICABLE IN FLORIDA - FRAUD STATEMENT

Any person who knowingly and with intent to injure, defraud, or deceive any insurer files a statement of claim or an application containing any false, incomplete, or misleading information is guilty of a felony of the third degree.

APPLICABLE IN HAWAII - FRAUD STATEMENT

For your protection, Hawaii law requires you to be informed that presenting a fraudulent claim for payment of a loss or benefit is a crime punishable by fines or imprisonment, or both.

APPLICABLE IN KANSAS - FRAUD STATEMENT

Any person who, knowingly and with intent to defraud, presents, causes to be presented or prepares with knowledge or belief that it will be presented to or by an insurer, purported insurer, broker or any agent thereof, any written statement as part of, or in support of, an application for the issuance of, or the rating of an insurance policy for personal or commercial insurance, or a claim for payment or other benefit pursuant to an insurance policy for commercial or personal insurance which such person knows to contain materially false information concerning any fact material thereto; or conceals, for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act.

APPLICABLE IN MASSACHUSETTS, NEBRASKA, OREGON AND VERMONT - FRAUD STATEMENT

Any person who knowingly and with intent to defraud any insurance company or another 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, may be committing a fraudulent insurance act, which may be a crime and may subject the person to criminal and civil penalties.

APPLICABLE IN MINNESOTA - FRAUD STATEMENT

Any person who files a claim with intent to defraud or helps commit a fraud against an insurer is guilty of a crime.

APPLICABLE IN OHIO - FRAUD STATEMENT

Any person who, with intent to defraud or knowing that he/she is facilitating a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement is guilty of insurance fraud.

APPLICABLE IN OKLAHOMA - FRAUD STATEMENT

WARNING: Any person who knowingly, and with intent to injure, defraud or deceive any insurer, makes any claim for the proceeds of an insurance policy containing any false, incomplete or misleading information is guilty of a felony.

APPLICABLE IN UTAH - FRAUD STATEMENT

For your protection, Utah law requires the following to be included in this application: "Any person who knowingly presents false or fraudulent underwriting information, files or causes to be filed a false or fraudulent claim for disability compensation or medical benefits, or submits a false or fraudulent report or billing for health care fees or other professional services is guilty of a crime and may be subject to fines and confinement in state prison.

APPLICABLE IN WASHINGTON - FRAUD STATEMENT

It is a crime to knowingly provide false, incomplete, or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines, and denial of insurance benefits.