

DISCRETIONARY ACCOUNTS:	Market Asset Value	# of Accounts	# of Clients
ERISA Defined Benefit Plans	\$		
ERISA Defined Contribution Plans	\$		
HR 10 and IRA Plans	\$		
Non-ERISA Pension and Employee Benefit Plans	\$		
Mutual Funds (to which Applicant serves as investment adviser or Sub-adviser)	\$		
Limited Partnerships (to which Applicant serves as general partner, managing member, investment adviser or sub-adviser)	\$		
Hedge Funds (to which Applicant serves as general partner, managing member, investment adviser or sub-adviser)	\$		
Private REITS (to which the Applicant serves as investment adviser or sub-adviser)	\$		
All other accounts (including personal accounts)	\$		
TOTAL BOOK VALUE OF ALL ACCOUNTS	\$		

4. b.

NON-DISCRETIONARY ACCOUNTS:	Market Asset Value	# of Accounts	# of Clients
ERISA Defined Benefit Plans	\$		
ERISA Defined Contribution Plans	\$		
HR 10 and IRA Plans	\$		
Non-ERISA Pension and Employee Benefit Plans	\$		
Mutual Funds (to which Applicant serves as investment adviser or Sub-adviser)	\$		
Limited Partnerships (to which Applicant serves as general partner, managing member, investment adviser or sub-adviser)	\$		
Hedge Funds (to which Applicant serves as general partner, managing member, investment adviser or sub-adviser)	\$		
Private REITS (to which the Applicant serves as investment adviser or sub-adviser)	\$		
All other accounts (including personal accounts)	\$		
TOTAL BOOK VALUE OF ALL ACCOUNTS	\$		

5. Are any client transactions executed by an in-house broker dealer? Yes No
6. Does the Applicant use outside or affiliated custodians, broker dealers or accounting facilities? Yes No
- a. If affiliated custodians, broker dealers or accounting facilities are used please supply name of the entities in the space provided below:
7. Has the Applicant been inspected by either the SEC or State Regulatory Authority in the last 5 years? Yes No
If yes, please provide a copy of the report along with management's response.
8. Does the Applicant have formal written procedures for each of the following:
- a. to determine and document client investment goals and risk tolerance? Yes No
 - b. to explain and document client understanding of security investment risks? Yes No
 - c. for verifying suitability of client security purchases? Yes No

9. If the Applicant provides Financial Planning services to clients, please answer the following questions. **If you do not provide such services, please indicate “not applicable”.** N/A
- a. How many Financial Planning clients does the Applicant service:
 - b. Are the Financial Planning revenues: fee generated commission generated
 - c. If commission generated, please provide percentage: %

10. Please provide the following:

Type of Revenue		Percentage of Financial Planning Revenue
a.	fees for preparing financial plans	%
b.	commissions from life/health/annuity/disability product sales*	%
c.	commissions from mutual funds, stocks, or bonds	%
d.	commissions from derivatives, real estate, investment trust, unregistered security sales	%
e.	other product sales related to financial planning (describe product)	%
f.	tax planning and/or accounting service fees	%
g.	CPA or other accounting service fees	%
h.	estate planning fees	%
i.	insurance planning fees	%
j.	retirement planning fees	%
k.	education planning fees	%
l.	daily cash management/bill paying services	%
m.	other services (describe)	%

*** If a percentage of Financial Planning Revenue is derived from life/health/annuity/disability product sales advise if Applicant is a licensed insurance agent or broker.** Yes No

I understand that the information submitted herein becomes a part of my Philadelphia Insurance Companies Cover-Prosm application and is subject to the same conditions as stated on that application.

Name (Please Print/Type)

Title (MUST BE SIGNED BY A PRINCIPAL PARTNER OR OFFICER)

Signature

Date

ADDITIONAL INFORMATION

This page may be used to provide additional information to any question on this application. Please identify the question number to which you are referring.

Signature

PI-PLSP-FINSUPP ME 12/11

Date

Page 4 of 4