

# AmTrust E&S Pro



## Financial Broker-Dealers and Registered Investment Advisors

In today's litigious society, managing risk includes securing the highest levels of customized professional liability coverage to mitigate risk and lower costs. AmTrust E&S Pro has dedicated professionals with years of experience who understand the unique nature of your practice and will work to customize the right solutions for Broker Dealers, Registered Investment Advisors and their Registered Representatives.

## Target Risk Profile

Our preferred accounts include firms with the following characteristics:

- Firms with generally 250 registered representatives or less
- Limited exposure to distressed and alternative products
- Experienced principals with at least 3 years in business

## Coverage Highlights & Advantages

Non-admitted product with broad coverage tailored for each individual risk, including:

- 90-day automatic extended reporting period
- Punitive Damages Coverage, where insurable by law
- Broad Definition of Securities
- Disciplinary Proceedings Coverage
- Registered Investment Adviser Coverage
- Professional Services includes Financial Planning
- Coverage for Life, Health, Annuity, A&D products
- Coverage for past, present or future D&O's and employees
- Worldwide Coverage for claims brought in the U.S.
- Bankruptcy or insolvency of the Insured shall not relieve the Company of its obligations

## Optional Coverages Available

- Pre-approved or mutual selection of counsel endorsement
- Mediation or arbitration credits
- Sub limits for Alternative Products and Cost of Corrections

## Policy Limits / Capacity

- \$1 million per claim / \$2 million aggregate
- Coverage offered on a primary or excess basis

## Premium & Attachment Thresholds

- Self-Insured Retention or Deductibles starting at \$5,000 for Registered Representatives and \$25,000 for Broker Dealers
- Minimum premiums vary by class, generally starting at \$20,000

## Targeted Classes

AmTrust E&S Pro targets a wide range of hard-to-place risks that may not fit well in the standard market.

Our broad appetite includes:

- Small to midsize regional firms
- Boutique broker-dealer firms
- Firms with limited number of branch offices or centralized location
- Firms employing stable, experienced teams

## Limited Appetite

- Risks with Private Placement, REIT, Hedge Fund, or other non-registered fund exposure
- Investment banking and M&A activity
- Cost of Corrections

## Distribution Channel

AmTrust E&S is committed to the wholesale market and subscribes to a limited distribution model. Products are approved in 50 states and sold exclusively through a select number of licensed and contracted Excess and Surplus Lines Wholesale Brokers.



AmTrust E&S Insurance Services  
An AmTrust Financial Company

[www.amtrustes.com](http://www.amtrustes.com)

# AmTrust E&S Pro

## Why AmTrust E&S

- **Flexible, knowledgeable, individual risk underwriters:** No matter how complex or difficult the coverage, our experienced underwriters will work closely with you to develop a custom-made solution.
- **Limited distribution platform:** Offering limited appointments to a select number of brokers provides a competitive advantage and fosters meaningful trading partnerships.
- **Dedicated claims team:** Our experienced claims professionals are committed to providing best-in-class claims management and working aggressively to protect your clients' interests.
- **Strength and stability:** Our coverage is backed by the exceptional financial strength and solid claims-paying ability of AmTrust Financial Services, rated "A-" (Excellent) by A.M. Best.

## About AmTrust E&S

AmTrust E&S Insurance Services, Inc. is an excess and surplus underwriter of specialty insurance products designed to meet the unique coverage and claims-handling needs of a diverse array of hard-to-place/nonstandard risks.

We distribute our products through a select group of licensed and contracted surplus lines brokers. Coverage is offered on a non-admitted basis in all 50 states and the District of Columbia through our underwriting divisions: Commercial Casualty, Professional Liability and Contract Binding.

AmTrust E&S Insurance Services is a subsidiary of AmTrust Financial Services, Inc., a multinational property and casualty insurer with an A.M. Best rating of "A-" (Excellent), FSC "XV," Stable Outlook.

To learn more about our products and services, visit:

[www.amtrustes.com](http://www.amtrustes.com).

## Corporate Contacts:

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*If you are interested in an appointment with AmTrust E&S or in learning more about our products and services, please contact us or visit our website at [www.amtrustes.com](http://www.amtrustes.com).*



A.M. Best rating of "A-"  
(Excellent) FSC "XV,"  
Stable Outlook



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