



# Directors' & Officers' Notification of Circumstance Claim Form

- **Section 1 & 2: Policyholder:** to be completed by a partner or director of the insured who is authorised to act if allegations are made against the company which may also become allegations against directors or officers.
- **Section 3 & 4: Subject Director:** to be completed by each and every director/officer who has had allegations intimated or brought against him/her due to the circumstance you are notifying. **Please copy section 2 for each of multiple directors/officers, or request further copies from your broker or AIG.**
- **Section 5 Privacy Consent** to be signed by each and every Individual Person who completes any of these notifications

## Section 1: Policyholder to Complete

Any questions which are not fully within the person's knowledge need to be investigated to obtain such knowledge OR give clear reasons why the information cannot be obtained.

Policy number:	<input type="text"/>	Policy Expiry date	<input type="text"/> / <input type="text"/> / <input type="text"/>
Policyholder	<input type="text"/>		
Full Name of legal entity	<input type="text"/>		
Postal Address	<input type="text"/>		
Phone	<input type="text"/> [ <input type="text"/> ]	Email/Fax	<input type="text"/>

## BROKER

Broking House	<input type="text"/>		
Address	<input type="text"/>		
Broker Contact	<input type="text"/>		
Phone	<input type="text"/> [ <input type="text"/> ]	Email/Fax	<input type="text"/>
Who should we contact to discuss the circumstance or claim?			
Name	<input type="text"/>	Phone	<input type="text"/> [ <input type="text"/> ]
Email or Fax	<input type="text"/>		
Position of authority	<input type="text"/>		
What allegations have been made or intimated?			
<input type="text"/>			
Is it a Circumstance only at this stage?	<input type="text"/> YES / NO		
What is your estimate of the potential amount of the claim?			
<input type="text"/> NZ\$			



Name/s of all Director/s or Officer/s named in the allegation or involved in circumstance. (Add separate sheet, if required)

Name	Position title

What work was the firm retained to perform?


Has your Company or firm also been named in an allegation?

What was the earliest date on which any person in the Insured firm became aware of the circumstance?

Do you intend to appoint legal counsel?

Will your appointed lawyers act for the named directors/officers as well as the Company?

Name of law firm:

Lawyer

**IMPORTANT: Is there a deed or memorandum of indemnity by the Company for the named directors and/or officers?**  **If yes, we require a copy with this claim notification:**

## Section 2- Declaration by Insured Policyholder

I/we (print name/s in full)

with full authority to make representations on behalf of the insured policyholder declare that the above answers and those contained in any attachments are true. I/we acknowledge that AIG Insurance New Zealand Limited ('AIG') may rely on such answers in determining indemnity.

I/we have not concealed any material fact relating to this claim and undertake to provide AIG with my/our full co-operation and assistance in dealing with the matter.

I/we understand and acknowledge that failure to co-operate with AIG and to provide all information relevant or potentially relevant their assessment of indemnity or management of any claim or potential claim, may result in AIG being unable to process my/our claim.

Signature:

Title/Position of Authority:

Date:



### Section 3: Subject Director or Officer to Complete

#### Director

Name

Address

Phone  [ ] Email/Fax

Are you now or were you a director?  YES / NO

What was your period of tenure? First appointed  /  /  Until  /  /

#### Officer

If you were or are currently an Officer what is/was your position in the Company at the relevant time?

Period of Employment: From  /  /  Until  /  /

Name of the potential or actual third party Claimant

What was the nature and scope of work you were retained to perform?

  

On what date was this work performed?

 /  / 

What was the earliest date on which You personally became aware of the circumstance?  /  /

Has an allegation or intimation been made against You yet?  YES / NO

If yes, on what date was it made?  /  /

Give full details of the allegation and attach any correspondence or if verbal only, the person who concerned to complete a full account.

  

Please comment fully in answer to the allegation or circumstance.

  

What is the amount claimed?  NZ\$

Please comment with your own estimate.  NZ\$

Please make any other comments, which may be relevant to the circumstance or clarify any answers herein.



Have you appointed a Lawyer?

Name of law firm

Location

Name of lawyer

Phone  Email/Fax

Postal Address

**IMPORTANT: Is there a deed or memorandum of indemnity by the Company for You?**

If yes, we require a copy with this claim notification:

### Section 4 - Declaration by Director or Officer

I/we (print name/s)

declare that the above answers including those contained in any attachments are true.

I/we acknowledge that the AIG Insurance New Zealand Limited ('AIG') may rely on such answers in determining indemnity and have not concealed any material fact relating to this claim and undertake to provide AIG with our full co-operation and assistance in dealing with the matter.

I/we understand and acknowledge that failure to co-operate with AIG and to provide all information relevant or potentially relevant their assessment of indemnity or management of any claim or potential claim, may result in AIG being unable to process my claim.

Signature:

Position Title:  Date:

### Section 5 - Privacy Consent: All Individual Signatories to Complete

**Important**

*AIG Insurance New Zealand Limited ('AIG') treats all matters about our insureds as confidential and will only disclose such information externally if necessary to administer, investigate or manage a claim, unless otherwise required by law. In compliance with the Privacy Act 1993, we need to obtain consent to collect and disclose personal information.*

**Privacy Consent and Disclosure**

I/we consent to AIG, in accordance with the Privacy Act 1993:

1. collecting holding and using any personal information submitted with this form for purpose of administering a claim including investigating, assessing and paying any claim made by me/us or on my/our behalf;
2. disclosing personal information submitted to another AIG company, its staff members, the insured policyholder, other insurers and re-insurers, law enforcement agencies, investigators, lawyers, assessors, advisors and the agent of any of these, insurance broker, insurance agent or intermediary, employer for the purpose of administering my claim or providing a report.
3. Where I/we have provided information about another individual, I/we have also obtained that individual's consent to the above.

Information is provided to AIG voluntarily, however if we do not collect this information we may not be able to assess a claim. Insured persons have rights of access and correction to their personal information under the Privacy Act 1993 Further information about rights of access and correction and privacy complaints can be obtained by emailing [privacy.officerNZ@aig.com](mailto:privacy.officerNZ@aig.com)



### Policyholders

Signature/s

Name

Position

Date:  /  /

Signature/s

Name

Position

Date:  /  /

### Director or officer

Signature/s

Position

Name

Date:  /  /

### Director or officer

Signature/s

Position

Name

Date:  /  /

### Director or officer

Signature/s

Position

Name

Date:  /  /

### Director or officer

Signature/s

Position

Name

Date:  /  /

### Director or officer

Signature/s

Position

Name

Date:  /  /

Please print out this form for signatures and post original to your broker



Bring on tomorrow

#### AIG Insurance New Zealand Limited

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