

For private fund managers and their general partners. Complete with CWCO-SUP-CORE, CWCO-SUP-DO, CWCO-SUP-CYBER, and CWCO-SUP-CRIME. Registered funds use CWCO-SUP-INVESTCO. Attach Form ADV Part 2A and a list of funds.

1 APPLICANT / BUSINESS INFORMATION

LEGAL BUSINESS NAME	DBA	FEIN	YEARS IN BUSINESS
BUSINESS ADDRESS	CITY / STATE / ZIP	WEBSITE	

Entity type:
☐ Sole proprietor ☐ Partnership ☐ LLC ☐ Corporation

PRIMARY CONTACT / TITLE	PHONE	EMAIL
SEC STATUS (RIA / EXEMPT REPORTING / NONE)	REGULATORY AUM (\$)	FUNDS MANAGED

2 FUNDS & STRATEGIES

Strategies (check all that apply):
☐ Hedge fund ☐ Buyout ☐ Growth equity ☐ Venture capital ☐ Private credit ☐ Real estate ☐ Fund of funds
☐ Separately managed accounts

PORTFOLIO COMPANIES	LIMITED PARTNERS	LARGEST FUND SIZE (\$)	INVESTMENT PROFESSIONALS

2-1 Do firm personnel serve on portfolio company boards? ☐ Yes ☐ No
 IF YES, EXPLAIN

2-2 Do funds use subscription lines or other fund-level borrowing? ☐ Yes ☐ No
 IF YES, EXPLAIN

2-3 Has the firm done continuation funds, adviser-led secondaries, or cross-fund transactions? ☐ Yes ☐ No
 IF YES, EXPLAIN

2-4 Is the firm raising a new fund in the next 12 months? ☐ Yes ☐ No
 IF YES, EXPLAIN

2-5 Do any funds accept individual (non-institutional) investors? ☐ Yes ☐ No
 IF YES, EXPLAIN

3 EXPOSURE & RISK QUESTIONS — FEES, VALUATION & CONFLICTS

After a court struck down the SEC's private fund rules in 2024, examiners turned to the same issues through exams: how fees and expenses are calculated and allocated, how illiquid assets are valued, and how conflicts are disclosed. Penalties fell in 2025, but private-fund exam activity picked up in 2026.

3-1 Are fee and expense calculations checked by the fund administrator or another independent party? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-2 Is there a written expense allocation policy that matches fund documents? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-3 Are management fee step-downs and fee offsets verified against fund documents? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-4 Is there a written valuation policy? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-5 Are illiquid asset valuations reviewed by an independent valuation firm or auditor? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-6 Are conflicts (affiliated services, cross-fund deals, continuation funds) disclosed to investors? ☐ Yes ☐ No
IF NO, EXPLAIN

3-7 Are those conflicts approved by the LP advisory committee before closing? ☐ Yes ☐ No
IF NO, EXPLAIN

3-8 Are Form ADV and Form PF reviewed for accuracy before filing? ☐ Yes ☐ No
IF NO, EXPLAIN

3-9 Are marketing materials and performance reviewed for SEC Marketing Rule compliance? ☐ Yes ☐ No
IF NO, EXPLAIN

3-10 Is there a written policy on material non-public information? ☐ Yes ☐ No
IF NO, EXPLAIN

3-11 Is employees' personal trading pre-cleared and monitored? ☐ Yes ☐ No
IF NO, EXPLAIN

3-12 Are all business communications, including texts and messaging apps, captured? ☐ Yes ☐ No
IF NO, EXPLAIN

3-13 Are wire instructions for capital calls and distributions verified by phone before money moves? ☐ Yes ☐ No
IF NO, EXPLAIN

4 PORTFOLIO COMPANIES & INDEMNITY

4-1 If yes to 2-1, does each portfolio company carry D&O insurance covering firm-appointed directors? ☐ Yes ☐ No
IF NO, EXPLAIN

4-2 If yes to 2-1, do portfolio companies indemnify firm-appointed directors? ☐ Yes ☐ No
IF NO, EXPLAIN

4-3 Do fund documents indemnify the firm and its personnel? ☐ Yes ☐ No
IF NO, EXPLAIN

4-4 Is any portfolio company insolvent or in restructuring? ☐ Yes ☐ No
IF YES, EXPLAIN

5 COVERAGE & LOSS HISTORY

Attach currently valued loss runs for the last 5 years.

GP / MANAGEMENT LIABILITY LIMIT (\$)	RETENTION (\$)	CRIME / SOCIAL ENGINEERING (\$)	CURRENT CARRIER / PREMIUM

5-1 Has an investor made a claim or demand against the firm or a fund? ☐ Yes ☐ No
IF YES, EXPLAIN

5-2 Has the SEC issued a deficiency letter, subpoena, or enforcement action in the past 5 years? ☐ Yes ☐ No
IF YES, EXPLAIN

5-3 Has coverage been declined, cancelled, or non-renewed in the past 3 years? ☐ Yes ☐ No
IF YES, EXPLAIN

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SIGNATURE & FRAUD WARNING

The undersigned declares that the statements and answers given in this supplemental are true, complete and correct to the best of their knowledge, and that no material fact has been withheld or misstated. The applicant agrees that this supplemental, together with all ACORD applications and attachments, forms the basis of any submission to insurers and may be relied upon by them. Signing this supplemental does not bind coverage. This supplemental is an intake document prepared by Cory Washington & Co. LLC to support carrier submission; it does not itself provide coverage.

FRAUD NOTICE: Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance 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 is a crime and may subject such person to criminal and civil penalties. State-specific fraud warnings appear on the insurer's application.

APPLICANT / AUTHORIZED SIGNATURE (TYPE FULL NAME)	TITLE	DATE
PRODUCER — CORY WASHINGTON & CO. LLC	PRODUCER SIGNATURE (TYPE FULL NAME)	DATE