

For registered investment companies and their boards (mutual funds, ETFs, closed-end and interval funds, BDCs, UITs). Complete with CWCO-SUP-CORE, CWCO-SUP-DO, and CWCO-SUP-CYBER. Private funds use CWCO-SUP-FUNDMGR; advisers use CWCO-SUP-WEALTHMGMT. Attach the latest prospectus and annual report.

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
INVESTMENT ADVISER / SPONSOR	FUNDS / SERIES	TOTAL NET ASSETS (\$)

2 FUND COMPLEX

Fund types (check all that apply):
☐ Open-end mutual funds ☐ ETFs ☐ Closed-end funds ☐ Interval / tender-offer funds ☐ BDCs ☐ Money market funds ☐ UITs
☐ Variable insurance trusts

BOARD MEMBERS / INDEPENDENT DIRECTORS	LARGEST FUND NET ASSETS (\$)	SHAREHOLDER ACCOUNTS

2-1 Do any funds hold significant illiquid or hard-to-value (Level 3) assets? ☐ Yes ☐ No
IF YES, EXPLAIN

2-2 Do any funds use derivatives beyond a limited amount? ☐ Yes ☐ No
IF YES, EXPLAIN

2-3 Are sub-advisers used for any fund? ☐ Yes ☐ No
IF YES, EXPLAIN

2-4 Has any fund launched, merged, or liquidated in the past 2 years, or is one planned? ☐ Yes ☐ No
IF YES, EXPLAIN

3 EXPOSURE & RISK QUESTIONS — BOARD OVERSIGHT, VALUATION & OPERATIONS

SEC examiners continue to focus on registered funds — fiduciary duty, fees, conflicts, and cybersecurity — and exam activity rose in 2026 even as penalties fell. Claims against funds and their boards usually trace to valuation and pricing errors, liquidity problems, service-provider failures, and fee disputes.

3-1 Are a majority of board members independent of the adviser? ☐ Yes ☐ No
IF NO, EXPLAIN

3-2 Do independent directors have their own independent legal counsel? ☐ Yes ☐ No
IF NO, EXPLAIN

3-3 Is there a board-approved valuation program with a designated valuation designee? ☐ Yes ☐ No
IF NO, EXPLAIN

3-4 Is there a written policy for correcting NAV and pricing errors, including shareholder reimbursement? ☐ Yes ☐ No
IF NO, EXPLAIN

3-5 Is there a liquidity risk management program reported to the board? ☐ Yes ☐ No
IF NO, EXPLAIN

3-6 If yes to 2-2, is there a derivatives risk management program with a designated risk manager? ☐ Yes ☐ No
IF NO, EXPLAIN

3-7 Does the chief compliance officer report to the board at least annually? ☐ Yes ☐ No
IF NO, EXPLAIN

3-8 If yes to 2-3, does the board review sub-adviser performance and compliance at least annually? ☐ Yes ☐ No
IF NO, EXPLAIN

3-9 Are transfer agents, custodians, and administrators reviewed for cybersecurity? ☐ Yes ☐ No
IF NO, EXPLAIN

3-10 Are those service providers' business continuity plans reviewed? ☐ Yes ☐ No
IF NO, EXPLAIN

3-11 Does the fidelity bond meet the SEC's minimum for the funds' assets? ☐ Yes ☐ No
IF NO, EXPLAIN

4 COVERAGE & LOSS HISTORY

Attach currently valued loss runs for the last 5 years.

FUND D&O / E&O LIMIT (\$)	INDEPENDENT DIRECTORS LIABILITY (\$)	FIDELITY BOND LIMIT (\$)	CURRENT CARRIER / PREMIUM

4-1 Has a shareholder suit (including an excessive-fee claim) been filed in the past 5 years? ☐ Yes ☐ No
IF YES, EXPLAIN

4-2 Has the SEC or another regulator issued a deficiency letter or enforcement action? ☐ Yes ☐ No
IF YES, EXPLAIN

4-3 Has a NAV error required shareholder reimbursement in the past 5 years? ☐ Yes ☐ No
IF YES, EXPLAIN

4-4 Has coverage been declined, cancelled, or non-renewed in the past 3 years? ☐ Yes ☐ No
IF YES, EXPLAIN

5 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