

# Loss Mitigation Services for Financial Institutions

## Regulatory Compliance Mock Examinations and Regulatory Compliance Mock Cybersecurity Examinations

CHUBB



### Regulatory Compliance – A Top Priority

Reputational and regulatory compliance risks relating to internal controls continue to evolve in the ever-changing environment faced by registered investment advisers. In fact, the percentage of registered advisers annually examined by the U.S. Securities and Exchange Commission (SEC) continues to increase. As a result, strong compliance policies and procedures are increasingly important.

Chubb wants to partner with our registered investment adviser policyholders to help identify compliance control areas for strengthening, before a regulatory examination takes place. The goal of strengthening policyholder compliance controls is risk mitigation against potential adverse regulatory outcomes, which may trigger claims from compliance deficiencies.

### Chubb Loss Mitigation Services

In 2015, Chubb led the industry as the first insurance carrier to introduce Regulatory Mock Exam reimbursement services to the asset management industry.

Based on our experience in the ensuing years and the continued evolution of the regulatory landscape, we are now offering a broadened suite of services including:

- Regulatory Compliance *Cybersecurity* Mock Exam reimbursements for in-network service providers;
- Regulatory Compliance Mock Exam reimbursements for *out-of-network* regulatory compliance consultants; and
- An expanded list of in-network consultant service providers.

# Chubb's Loss Mitigation Services provide reimbursement to Chubb Asset Management Protection (AMP) policyholders, where legally permissible, to assist with the costs for conducting regulatory compliance mock examinations by qualified consultants.

## Reimbursement Highlights

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- No requirement to provide copies of the completed mock exam findings to qualify for reimbursement.
- Reimbursements for qualified regulatory mock exams completed during the AMP policy period.
- Reimbursements available annually at the discretion of Chubb.
- Available to all Chubb AMP policyholders, subject to reimbursement form submission and local state regulatory approvals.

## Program Access

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You can find reimbursement forms, an approved list of service providers, and additional information on loss mitigation services for Financial Institutions on [www.chubb.com](http://www.chubb.com).

[Click here for more information](#)

## Why Chubb?

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### Leadership

Since 1964, Chubb has provided financial institutions with specialized products and specific expertise to meet their unique needs. Chubb offers a full suite of complementary insurance solutions for a wide range of financial institution risks, including directors and officers liability, employment practices liability, and property and casualty coverages.

### Protection

The true measure of an insurer is how well it protects its customers – which is how it responds to and manages claims.

We strive to treat each customer the way we would like to be treated if we experienced the same loss – with integrity, empathy, promptness and fairness – and to reach mutually agreeable outcomes.

### Endurance

Chubb's financial stability and ability to pay claims rates among the best in the insurance industry, as attested by Standard & Poor's and A.M. Best Company, the leading insurance rating services.

## Contact Us

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To learn more, visit [www.chubb.com/us/managementliability](http://www.chubb.com/us/managementliability) or contact your local agent or broker.

**Chubb. Insured.<sup>SM</sup>**

Chubb is the marketing name used to refer to subsidiaries of Chubb Limited providing insurance and related services. For a list of these subsidiaries, please visit our website at [www.chubb.com](http://www.chubb.com). Insurance provided by ACE American Insurance Company and its U.S. based Chubb underwriting company affiliates. All products may not be available in all states. This communication contains product summaries only. Coverage is subject to the language of the policies as actually issued. Surplus lines insurance sold only through licensed surplus lines producers. Chubb, 202 Hall's Mill Road, Whitehouse Station, NJ 08889-1600.

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