

**CHUBB®**

**CHUBB Recall Plus<sup>SM</sup>**

Component Parts  
Application Form

Please answer the following questions to provide Chubb with the information necessary to properly evaluate your product recall insurance. This information is not only vital for evaluating your exposure; it will also provide Chubb with an accurate profile of your company so that we can be an informed partner in this program:

- All questions must be answered completely – if you need more space please continue on a separate sheet of paper and indicate question number.
- Indicate which, if any, of the following are maintained. Please attach a copy of plan/supporting documentation for each program indicated to be maintained.

- Recall Plan
- Quality Control / Assurance Plan (incl. SOPs and GMPs)
- Six Sigma
- Supplier Approval Plan / Program (incl. contract if in place)
- Corrective Action Protocols
- Business Continuity Plan

- This application must be signed and dated by an officer of the company

### APPLICANT'S DETAILS

1. Name and Address of Applicant: \_\_\_\_\_  
**(Please attach list of subsidiaries, if applicable under this policy)**

\_\_\_\_\_  
 Street Address

\_\_\_\_\_  
 City

\_\_\_\_\_  
 State

\_\_\_\_\_  
 ZIP Code

2. Main Contact Name: \_\_\_\_\_ Main Contact Phone: \_\_\_\_\_

3. Website: \_\_\_\_\_

4. Date company was first established: \_\_\_\_\_

5. Business Description: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

6. Is coverage Contract or Product Specific? (if yes please provide copy of contract)  Yes  No

7. Total Number of Plants/Facilities: Home Country = \_\_\_\_\_ Elsewhere = \_\_\_\_\_

8. Please complete the following information for the top plant / facility

	Total Sales	Products	Production Lines	Daily output in \$
Plant I	\$			\$

### SALES INFORMATION

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9. Please list the sales figures for the upcoming year, the current year, and the prior year:

Year	Total Sales	USA / Canada(%)	Europe (%)	Other (%)
	\$	%	%	%
	\$	%	%	%
	\$	%	%	%

10. Please complete the following information for the top 3 products or if coverage is contract specific, please list products to which this insurance is to apply:

	Product Name/ Type	Total Sales	Average batch size in \$	# of units produced per batch
Product I		\$	\$	
Product II		\$	\$	
Product III		\$	\$	

### PRODUCT INFORMATION

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11. Please list your top 3 customers by percentage of sales:

Customer	% of Applicants Sales
	%
	%
	%

12. What percentages of your products are manufactured by outside vendors? \_\_\_\_\_%

13. Do you manufacture any of your products to customer specification?  Yes  No

14. What is the useful life of your products (give numbers of years)? \_\_\_\_\_

### SUPPLIER INFORMATION

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15. Please indicate number of suppliers: Home Country = \_\_\_\_\_ Elsewhere = \_\_\_\_\_

16. Do you audit your suppliers?  Yes  No

17. Do you have hold harmless agreements (rights of subrogation) in place with all of your suppliers?  Yes  No

18. Are the products ordered to your design / specifications?  Yes  No

19. Please list your top 5 suppliers:

Suppliers Name	Domestic or Foreign	Product(s)

### QUALITY CONTROL & TESTING

20. Do you have the following Quality Control practices / procedures in place?

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| a) Dedicated Quality Control / Assurance Department                    | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| b) Do you operate a research and development department?               | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| c) Lean manufacturing?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| d) Preventative maintenance?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| e) Predictive maintenance?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| f) Hold period before shipping?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| g) "Positive release" procedure?                                       | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| h) Incoming quarantine process?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| i) Are separate production lines dedicated to different product types? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| j) Testing Program at critical control points?                         | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| k) Are audits performed by an accredited third party?                  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| l) Do you use a testing laboratory (internally or externally)?         | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| m) Do you have procedures for new product validation?                  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| n) Do you have process change protocols in place?                      | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| o) Are failure rates monitored   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

21. What is the typical failure rate of each product after handover \_\_\_\_\_

### RECALL PREPAREDNESS & TRACEABILITY

22. Does the company monitor customer complaints?  Yes  No
23. Does your company have electronic issue identification and escalation protocol in place?  Yes  No
24. Is your traceability process electronic?  Yes  No

25. What percentage of your products can the company identify by the following:

Product Name:	%	Day:	%	Hour:	%
Batch:	%	Shift:	%	Other:	%

### LOSS INFORMATION

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26. Have you, your premises, products or processes been the subject of recommendations or complaints made by any regulatory body, internal or third party audit over the past 10 years? (If yes, please provide details)  Yes  No
27. In the last 10 years have you withdrawn or recalled any products or have you been responsible for the costs incurred by any third party arising from the withdrawal or recall of any products regardless of any subrogation? (If yes, please complete a claims supplemental form)  Yes  No
28. Does the company, its directors and officers have any knowledge of any current situation, fact or circumstances which might lead to a claim under this policy? (If yes, please provide details)  Yes  No

### LIMITS & SELF INSURED RETENTION

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Limits of Insurance requested: \_\_\_\_\_

Self-Insured Retention Requested: \_\_\_\_\_

### COVERAGE

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Base coverage under this policy includes Recall Costs (incl. third party recall costs), Defense Costs and Consultant Cost.

Please indicate what additional elements of Loss you would like to have covered:

- Business Interruption
- Extra Expense
- Replacement Costs
- Rehabilitation Expenses
- Extortion Costs
- Consequential Damages

### DECLARATIONS

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I declare that the statements and particulars in this application are true and that no material facts have been misstated or suppressed after enquiry. I agree that this application, together with any other information supplied shall form the basis of any contract of insurance effected thereon. I undertake to inform the Insurers of any material alteration to those facts occurring before completion of the contract of insurance. A material fact is one which would influence the acceptance or assessment of the risk.

In addition, I certify that I have read and understand the applicable fraud warnings set forth below:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Position: \_\_\_\_\_

**FRAUD WARNING STATEMENTS**

**NOTICE TO ALABAMA APPLICANTS:** Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to restitution fines or confinement in prison, or any combination thereof.

**NOTICE TO ARKANSAS, LOUISIANA AND WEST VIRGINIA APPLICANTS:** Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

**NOTICE TO COLORADO APPLICANTS:** It is unlawful to knowingly provide false, incomplete, or misleading facts or information to an insurance company for the purpose of defrauding or attempting to defraud the company. Penalties may include imprisonment, fines, denial of insurance, and civil damages. Any insurance company or agent of an insurance company who knowingly provides false, incomplete, or misleading facts or information to a policyholder or claimant for the purpose of defrauding or attempting to defraud the policyholder or claimant with regard to a settlement or award payable from insurance proceeds shall be reported to the Colorado Division of Insurance within the Department of Regulatory Agencies.

**NOTICE TO DISTRICT OF COLUMBIA APPLICANTS:** WARNING: It is a crime to provide false or misleading information to an insurer for the purpose of defrauding the insurer or any other person. Penalties include imprisonment and/or fines. In addition, an insurer may deny insurance benefits if false information materially related to a claim was provided by the applicant.

**NOTICE TO FLORIDA APPLICANTS:** Any person who knowingly and with intent to injure, defraud or deceive any insurer files a statement of claim or an application containing any false, incomplete or misleading information is guilty of a felony of the third degree.

**NOTICE TO KENTUCKY APPLICANTS:** 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 commits a fraudulent insurance act, which is a crime.

**NOTICE TO MAINE APPLICANTS:** It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties may include imprisonment, fines or a denial of insurance benefits.

**NOTICE TO MARYLAND APPLICANTS:** Any person who knowingly or willfully presents a false or fraudulent claim for payment of a loss or benefit or who knowingly or willfully presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison.

**NOTICE TO MINNESOTA APPLICANTS:** A person who submits an application or files a claim with intent to defraud or helps commit a fraud against an insurer is guilty of a crime.

**NOTICE TO NEW JERSEY APPLICANTS:** Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties.

**NOTICE TO NEW MEXICO APPLICANTS:** ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO CIVIL FINES AND CRIMINAL PENALTIES.

**NOTICE TO NEW YORK APPLICANTS:** Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information, or conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime, and shall also be subject to a civil penalty not to exceed five thousand dollars and the stated value of the claim for each such violation.

**NOTICE TO OHIO APPLICANTS:** Any person who, with intent to defraud or knowing that he is facilitating a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement is guilty of insurance fraud.

**NOTICE TO OKLAHOMA APPLICANTS:** WARNING: Any person who knowingly, and with intent to injure, defraud or deceive any insurer, makes any claim for the proceeds of an insurance policy containing any false, incomplete or misleading information is guilty of a felony.

**NOTICE TO OREGON APPLICANTS:** Any person who knowingly and with intent to defraud any insurance company or another person, files an application for insurance or statement of claim containing any materially false information, or conceals information for the purpose of misleading, commits a fraudulent insurance act, which may be a crime and may subject such person to criminal and civil penalties.

**NOTICE TO PENNSYLVANIA APPLICANTS:** Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information or conceals for the purpose of misleading, information concerning any fact material thereto commits a fraudulent insurance act, which is a crime and subjects such person to criminal and civil penalties.

**NOTICE TO TENNESSEE, VIRGINIA AND WASHINGTON APPLICANTS:** It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines and denial of insurance benefits.

**NOTICE TO ALL OTHER APPLICANTS:**

**ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR ANOTHER PERSON, FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM CONTAINING ANY MATERIALLY FALSE INFORMATION, OR CONCEALS INFORMATION FOR THE PURPOSE OF MISLEADING, COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME AND MAY SUBJECT SUCH PERSON TO CRIMINAL AND CIVIL PENALTIES.**