

POLICY NUMBER:
Endorsement Number:

PROPERTY & CASUALTY ENDORSEMENT

THIS ENDORSEMENT CHANGES YOUR POLICY. PLEASE READ IT CAREFULLY.

This endorsement modifies insurance provided under the following:

LIFE INSURANCE AGENTS PROFESSIONAL LIABILITY

Insured Name:

Agency Code:

Agency Name: Rockwood Programs, Inc.

Endorsement Effective Date:

In consideration of the additional premium of \$, the policy is amended as follows:

Section IV Exclusions, Item A is deleted in its entirety and replaced with the following:

- A.** any activities or services related to or involving:
1. variable annuities, mutual funds, stocks and/or bonds;
 2. viatical settlements, structured settlements, promissory notes, limited partnerships, discretionary agreements, or third party administration, whether the **Insured** performs such activities for a fee or no fee;
 3. any underwriting, syndicating or investment banking or associated counseling or investment activities involving or related to mergers, acquisitions, divestitures, tender offers, leveraged buy-outs, re-organizations, capital structuring, recapitalization, spin-offs, primary or secondary offering of securities, business valuation or financing for any enterprise, or any disclosure requirements in connection with the foregoing; and
 4. services performed as an attorney, actuary, accountant, notary public, Registered Investment Advisor, tax advisor, or real estate agent or broker.

All other terms, conditions, and exclusions of this policy remain unchanged.