

POLICY NUMBER:  
Endorsement Number:

## WORKPLACE MARKETING 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 premium charged, the policy is amended as follows:

Section III Definitions, Item P "Workplace Marketing" is added:

- P. "Workplace Marketing"** means the promotion, sale, or enrollment of Life Accident and Health products to individuals at their place of employment. All Workplace Marketing efforts are directed either by a licensed insurance company or supplemental benefits provider.

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, real estate agent or broker, or property and casualty insurance agent or broker.
  5. services performed as Licensed Life, Accident and Health Insurance agent or broker not transacted through **Workplace Marketing**.

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