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**APPLICATION FOR PROFESSIONAL  
LIABILITY INSURANCE FOR  
ANESTHESIOLOGISTS**

**(CLAIMS MADE BASIS)**

**APPLICANT'S INSTRUCTIONS:**

1. If you have a Curriculum Vitae, please attach to application and you do NOT have to complete Sections 7-9.
  2. Please type or print your answers.
  3. If space is insufficient to answer any questions fully, attach separate sheet.
  4. Application must be signed and dated on Page 5.
- (PLEASE TYPE OR PRINT IN INK)

**1. APPLICANT INFORMATION**

a. (i) Full name of Individual Applicant: (include professional degree)

\_\_\_\_\_ Degree

(ii) Date of Birth \_\_\_\_\_ Place of Birth \_\_\_\_\_

(iii) Are you a U.S. citizen? [ ] Yes [ ] No.

If "No", please indicate your status and date of entry into USA:

b. (i) Principal address: \_\_\_\_\_ Phone: ( ) \_\_\_\_\_

(ii) Other Office: \_\_\_\_\_ Phone: ( ) \_\_\_\_\_

c. Your practice: \_\_\_ Solo Practitioner (unincorporated) \_\_\_ Professional Association

\_\_\_ Solo Practitioner (incorporated) \_\_\_ Partnership

\_\_\_ Employee of \_\_\_\_\_ Professional Corporation  
(Name)

\_\_\_ Other (Describe) \_\_\_\_\_

d. Number of Employees: Full time \_\_\_\_\_ Part time \_\_\_\_\_ Total \_\_\_\_\_

e. If you practice other than as an employee OR an unincorporated solo practitioner:

(i) List the names of ALL your partners, employees and members of your professional association/corporation who practice medicine:

\_\_\_\_\_  
\_\_\_\_\_

(ii) Formal corporate, association, partnership or business name: \_\_\_\_\_

(iii) Please attach a copy of your letterhead.

f. (i) Limits of Liability desired: \$ \_\_\_\_\_ each claim \$ \_\_\_\_\_ aggregate  
(Limits in policy will govern coverage)

(ii) Amount of deductible desired: \$ \_\_\_\_\_

g. Desired Effective Date (12:01 A.M.): \_\_\_\_\_

**2. APPLICANT PRACTICE**

a. Please list all states where you are licensed to practice: i. \_\_\_\_\_ Permanent \_\_\_\_\_ Temporary  
 ii. \_\_\_\_\_ Permanent \_\_\_\_\_ Temporary

b. (i) Please list hospitals at which you are currently a staff member and show % of work at each hospital.  
 1. \_\_\_\_\_ %  
 2. \_\_\_\_\_ %  
 3. \_\_\_\_\_ %

(ii) Are you chief or head of the department? [ ] Yes [ ] No If "Yes," indicate location #:

(iii) Please give the approximate percentages of your practice dedicated to the following specialties. Where applicable, indicate the split between general and local anesthesia.

|            |         | <u>General</u> | <u>Local</u> |                      |         | <u>General</u> | <u>Local</u> |
|------------|---------|----------------|--------------|----------------------|---------|----------------|--------------|
| Pediatric  | _____ % | _____          | _____        | Intensive Care Mgmt. | _____ % | _____          | _____        |
| OB         | _____ % | _____          | _____        | Neuro                | _____ % | _____          | _____        |
| Vascular   | _____ % | _____          | _____        | Blocks/Epidurals     | _____ % | _____          | _____        |
| Open Heart | _____ % | _____          | _____        | Neuro                | _____ % | _____          | _____        |

c. Do you practice in a surgicenter or other non-hospital facility where general anesthesia is administered? [ ] Yes [ ] No  
 If "Yes", please provide details: \_\_\_\_\_

d. Do you limit your practice to anesthesiology? [ ] Yes [ ] No  
 If "No," indicate your other specialty and provide details: \_\_\_\_\_

e. (i) Average patient load: \_\_\_\_\_ Pts. Weekly \_\_\_\_\_ Total Pts. Annually  
 (ii) Average number of hours practice time: \_\_\_\_\_ Hrs. Weekly

**3. APPLICANT PROCEDURES**

a. Do you perform acupuncture anesthesia? [ ] Yes [ ] No  
 If "yes," please provide details: \_\_\_\_\_

b. During all anesthesia, do you use a pulse oximeter monitor? [ ] Yes [ ] No  
 If "No," please explain: \_\_\_\_\_

c. During all anesthetics:  
 (i) Is an electrocardiogram continuously displayed? [ ] Yes [ ] No  
 If "No," please explain: \_\_\_\_\_  
 (ii) How often is arterial blood pressure determined and evaluated? Every \_\_\_\_\_ Minutes.  
 (iii) How often is heart rate determined and evaluated? Every \_\_\_\_\_ Minutes.  
 (iv) How is circulatory function evaluated? \_\_\_\_\_

d. During all general anesthesia, do you use an end tidal CO2 monitor? [ ] Yes [ ] No  
 If "No," please explain: \_\_\_\_\_

e. During all general anesthesia using an anesthesia machine, do you:

(i) Use an oxygen analyzer with a low concentration limit alarm? [ ] Yes [ ] No  
 If "No," please explain:

(ii) Test proper functioning alarm prior to each use? [ ] Yes [ ] No  
 If "No," please explain:

f. When ventilation is controlled by a mechanical ventilator, do you

(i) Use a device equipped with a full set of safety alarms? [ ] Yes [ ] No  
 If "No," explain:

(ii) Test proper functioning alarms prior to each use? [ ] Yes [ ] No  
 If "No," explain:

g. Are you present in the operating room throughout the conduct of all general anesthetics, regional anesthetics and monitored anesthesia care? [ ] Yes [ ] No  
 If "No," please explain:

**4. PERSONNEL**

a. (i) List number and type of professional employees: (If none, state NONE.)  
 \_\_\_\_\_ Physicians (other than yourself)      \_\_\_\_\_ Nurse Anesthetists      \_\_\_\_\_ Other (describe)

(ii) Are all the above individuals licensed in accordance with applicable state and federal regulations? [ ] Yes [ ] No  
 If "No," please explain.

b. Do you supervise any individuals who are not your own employees? [ ] Yes [ ] No  
 If "Yes," please provide details and number of non-employed individuals supervised:  
 \_\_\_\_\_ Physicians (other than yourself)      \_\_\_\_\_ Nurse Anesthetists      \_\_\_\_\_ Other (describe)

**5. APPLICANT HISTORY ATTACH DETAILED EXPLANATION FOR ANY "YES" ANSWERS:**

|   | <u>YES</u> | <u>NO</u> |
|---|------------|-----------|
| a. Have you or any of the employees, as shown in 4a. above:   |            |           |
| (i) Ever been the subject of investigative or disciplinary proceedings or reprimand by a governmental or administrative agency, hospital or professional association?   | (i) [ ]    | [ ]       |
| (ii) Ever been convicted of an act committed in violation of any law or ordinance other than traffic offense?   | (ii) [ ]   | [ ]       |
| (iii) Ever been treated for alcoholism or drug addiction or undergone personal psychiatric treatment?   | (iii) [ ]  | [ ]       |
| (iv) Ever had any state professional license or license to prescribe or dispense narcotics refused, suspended, revoked, renewal refused or accepted only on special terms or ever voluntarily surrendered same? | (iv) [ ]   | [ ]       |
| (v) Ever had any insurance company or Lloyd=s cancel, decline, refuse to renew or accept only on special terms their professional liability insurance?  | (v) [ ]    | [ ]       |
| (vi) Ever failed any medical licensing or specialty organization examination?   | (vi) [ ]   | [ ]       |
| (vii) Do you have any chronic physical illness or defect?   | (vii) [ ]  | [ ]       |

b. Please list prior professional liability insurance carried for each of the past four years. IF NONE, STATE NONE.

| <u>Insurance Carrier</u> | <u>Limits of Liability</u> | <u>Inception Exp. Mo./Day/Yr.</u> | <u>Expiration Mo./Day/Yr.</u> | <u>Was this a Claims Made Policy Form?</u> |     |
|--------------------------|----------------------------|-----------------------------------|-------------------------------|--|-----|
|                          |                            |                                   |                               | Yes  | No  |
| _____                    |                            |                                   |                               | [ ]  | [ ] |
| _____                    |                            |                                   |                               | [ ]  | [ ] |
| _____                    |                            |                                   |                               | [ ]  | [ ] |
| _____                    |                            |                                   |                               | [ ]  | [ ] |

c. If prior professional liability insurance was on a claims made basis, indicate retroactive exclusion date of coverage. \_\_\_\_\_

**6. CLAIMS**

a. Has any claim or suit for alleged malpractice been brought against you? If "Yes," please complete Supplemental Claim Information form for each claim or suit. [ ] Yes [ ] No

b. Has any judgment been rendered against you or any monetary settlement made by you, or on your behalf by any insurance carrier, from an incident alleging malpractice? If "yes," please complete Supplemental Claim form for each incident. [ ] Yes [ ] No

c. Are you aware of any acts, errors, or omissions or circumstances which may result in a malpractice claim or suit being made or brought against you? [ ] Yes [ ] No

If "yes," please complete Supplemental Claim Information form.

d. Year 2000 Problem:

(i) Does your computer system store a four-digit year? [ ] Yes [ ] No

(ii) If NO, please attach a description of corrective measures taken to resolve the systems problem presented by the year 2,000, including the date upon which you anticipate the problem will be solved.

(iii) Are you, in the course of your business, involved in working to solve the year 2000 problem as a consultant advisor or as a part of your employment? [ ] Yes [ ] No

(iv) If YES, what percentage of your work is involved? \_\_\_\_\_%

**7. EDUCATION**

a. From what medical school did you graduate? \_\_\_\_\_

Degree: \_\_\_\_ Year: \_\_\_\_ Location of School: \_\_\_\_\_  
 (City) (State) (Country)

b. If foreign medical student graduate, are you certified by Educational Council for Medical School Graduates? [ ] Yes [ ] No

If "Yes," state year and describe: \_\_\_\_\_

c. Have you had any additional Medical Training? [ ] Yes [ ] No If "Yes," complete the following:

Location \_\_\_\_\_ From \_\_\_\_\_ To \_\_\_\_\_

Type \_\_\_\_\_

d. Are you American Board certified? [ ] Yes [ ] No Specialty: \_\_\_\_\_  
If not, are you working toward Board Certification? For how long? \_\_\_\_\_

**8. EXPERIENCE**

Where have you practiced your profession since completion of training (include all "moonlighting" while in residence/fellowship, military or any public service organization):

a. Prior Experience - From \_\_\_\_\_ To \_\_\_\_\_ Location: \_\_\_\_\_

Practice Activity: \_\_\_\_\_

b. Prior Experience - From \_\_\_\_\_ To \_\_\_\_\_ Location: \_\_\_\_\_

Practice Activity: \_\_\_\_\_

c. Prior Experience - From \_\_\_\_\_ To \_\_\_\_\_ Location: \_\_\_\_\_

Practice Activity: \_\_\_\_\_

**9. PROFESSIONAL SOCIETIES**

Indicate membership in professional societies:

a. American Board in Medical Specialties: Prior Experience - From \_\_\_\_\_ To \_\_\_\_\_ Location: \_\_\_\_\_  
Practice Activity: \_\_\_\_\_

b. Special Medical Societies: \_\_\_\_\_

c. Specialty Colleges: \_\_\_\_\_

d. County Medical and Others: \_\_\_\_\_

\* NOTICE TO APPLICANT: The coverage applied for is SOLELY AS STATED IN THE POLICY, which provides coverage on a "CLAIMS MADE" basis for ONLY THOSE CLAIMS THAT ARE FIRST MADE AGAINST THE INSURED DURING THE POLICY PERIOD unless the extended reporting period option is exercised in accordance with the terms of the policy.

Any person who knowingly defrauds any insurance company by filing an application for insurance containing any false information or concealing, for the purpose of misleading, information concerning any fact thereto commits a fraudulent insurance act, which is subject to criminal and civil penalties.

WARRANTY: I warrant to the Insurer, that I understand and accept the notice stated above and that the information contained herein is true and that it shall be the basis of the policy of insurance and deemed incorporated therein, should the Insurer evidence its acceptance of this application by issuance of a policy.

\_\_\_\_\_  
Name of Applicant

\_\_\_\_\_  
Title (Officer, partner, etc.)

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Date

SIGNING this application does not bind the Applicant or the Insurer or the Underwriting Manager to complete the insurance, but one copy of this application will be attached to the policy, if issued.