

CrimeSHIELD™ Policy
THIRD PARTY ADMINISTRATOR QUESTIONNAIRE



NAME OF INSURED: _____

ADDRESS: _____

DATE: _____

1. Do you have an annual examination by an outside CPA? Yes No
a. If Yes, is your exam a:
1. compilation?
2. review?
3. opinionated audit?

2. Is there an internal audit function in place? Yes No
a. If Yes, size of audit staff: _____

3. Do clients audit you to the extent of the service you provide them? Yes No
a. How is the audit performed? _____
b. How frequently? _____

4. Do your duties include the collection of premium or other money for your clients? Yes No

5. If you do collect, indicate the following:
a. Maximum amount/client/month _____
b. Average amount/client/month _____

6. How often do you remit premium collections to your clients? _____

7. Do any clients sweep money from your account(s)? Yes No
a. If Yes, how often? _____

8. Are premium payments sent directly:
a. to you?
b. to a bank lock box?

9. Is accounting centralized? Yes No
How often do your clients audit your premium collection process? _____

11. Have you ever had any shortages in the customer premium accounts? Yes No
a. If Yes, please explain: _____

12. Are receipt of premium payments, recording of and making deposits, and account reconciliation segregated amongst different employees? Yes No

13. Do you handle/process claims for clients? Yes No
a. If Yes, what type of claims do you process? _____

14. In what other areas, excluding premium collection and claim settlement, do you handle client funds?

15. Do your clients use an impress or "0" balance fund (i.e. client replenishes the account after reconciling payment made to the claimant by you)? Yes No
16. Do you have a claims handling and procedures manual? If Yes, please provide a copy. Yes No
17. What is your dollar authority level for claims settlement? _____ No
 a. What procedures are followed for amounts over your authority? _____

18. What are the dollar authority levels for your staff? _____ No
 a. Who reviews claim settlement and related dollar authority levels for compliance? _____

19. Who issues checks? _____ No
20. Is countersignature of claims and other checks required? Yes No
 a. If Yes, what is the limit? _____
 b. Who signs? _____
21. Are claims handling reports prepared for use by: No
 a. You?
 b. Clients?
 c. How often for each:
 1.) You: _____
 2.) Client: _____
22. Are closed and reserved claims segregated? Yes No
23. Are there special procedures in place to allow payment against a closed or reserved file? Yes No
 a. If Yes, what are they? _____

24. Does each client company do a random spot check of claim settlements with its customers? Yes No
 a. If Yes, how often? _____
25. Does the person who investigates or reviews the claim also have claim settlement authority? Yes No
26. What procedures are in place to guard against:
 a. Payment of fictitious claims? _____

 b. Double payment of claims? _____

Completed by _____

Title _____