



DIRECTORS AND
OFFICERS (D&O)



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The potential exposures faced by directors are increasing in the litigious world of the Investment sector.

Directors' and Officers' Liability (D&O) insurance provides personal financial protection for the directors, officers and partners of the Insured Entity/Entities in the event a claim is made against them.

Coverage includes legal costs and damages, including those resulting in regulatory investigations, pursued against the Directors, Officers or Partners whilst carrying out their Fiduciary Duty. The corporate entities can also be covered where they indemnify the individuals.



WHO is covered?

Policy is designed to cover any a past, present or future:

- Director, Alternate Director, Officer (including Money Laundering Reporting Officer), Regulated Individual, Approved Person, Trustee, Member, Member of an Investment Committee, Advisory Board, or other Management Committee, Partner or Shadow Director, Employee, Trustee of the Insured Entity
- Directors are also covered whilst sitting on outside board positions, at the behest of the Insured Entity/Entities



WHAT is covered?

- Wrongful acts including breaches of fiduciary duty and breaches of statute of law
- Regulatory exposures
- Defence costs and damages

KEY FINANCIAL RISKS REQUIRING INSURANCE

Legal Risk: Fund or manager litigation & breaches of investment mandates.

Regulatory Risk: Compliance failure, oversight & regulatory investigation, enforcement.

Operational Risk: Trade errors & trade settlement, administration errors.

Employment Risk: Uncapped discrimination, harassment claims.

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