

## Fidelity Insurance Renewal questionnaire

This questionnaire forms the basis for an offer of insurance cover and for the contractual arrangements if and when an insurance contract is concluded. All information supplied hereunder will be treated as confidential.

### 1 Company

Company (full legal name)	
Address	Postcode/place
Contact person	E-mail

### 2 General information

Business activity/sector			
Currency	<input type="checkbox"/> CHF	<input type="checkbox"/> EUR	<input type="checkbox"/> USD
Total Assets	Annual turnover		
Has a loss been made in the last two years, or do the last annual financial statements show an over-indebtedness? <input type="checkbox"/> Yes <input type="checkbox"/> No			

### 3 Structure of the company and affiliated (co-insured) companies

Firms in which the company holds a direct and indirect share of more than 50% of equity or over which it exercises a controlling influence.

Number of companies to be co-insured	In which countries?
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### 4 People in a position of trust

Members of senior management (who individually own less than 20% of the share capital of the Company)	Switzerland	Abroad
Number of employees	Switzerland	Abroad
Of which commercial employees	Switzerland	Abroad
Number of temporary employees	Switzerland	Abroad
Number of external staff/staff of contracted companies (security, maintenance, cleaning, etc.)	Switzerland	Abroad

### 5 Cyber Insurance

Does your Company currently hold (or has held in the past) a cyber insurance policy? <input type="checkbox"/> Yes <input type="checkbox"/> No	
With which insurer?	In force until
Sum insured	Excess/Self-retention

## 6 Corporate governance and auditors

Are all business activities reviewed at least once a year by external auditors?  Yes  No

Following the last review, were all of the external auditors' recommendations regarding internal controls implemented?  Yes  No

If not, please provide a detailed explanation:

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## 7 Control systems

Does the company have an internal audit department?  Yes  No

Does the company always procure satisfactory, written references directly from previous employers for the three years immediately prior to hiring an employee?  Yes  No

Are employees with cash handling and payments/cheque processing responsibilities obliged to make daily deposits?  Yes  No

Do all suppliers/service providers have written contracts?  Yes  No

Does the company have clearly defined delegations of authority for the execution of payment transfers, specifically structured by payment amount?  Yes  No

Are changes to supplier data – particularly bank accounts – subject to specific control processes?  Yes  No  
Are they recorded in writing?  Yes  No

Are certain areas of responsibility outsourced to external companies (e.g. accounting, IT, etc.)?  Yes  No

If yes, please provide details on nature and extent.

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Do certain employees have company credit cards?  Yes  No

If yes, how many? Up to which limits?

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Do identical accounting standards apply throughout the company?  Yes  No

Are there specific control processes for international payments?  Yes  No

Average amount for outgoing payments per month?

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Is an independent physical count of stock, raw materials, work in progress and/or finished goods undertaken on a regular basis?  Yes  No

If yes, how often?

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Are all administrative employees obliged to take at least two weeks of uninterrupted vacation every calendar year?  Yes  No

Are there control mechanisms in place for enquiries from new customers (KYC check)?  Yes  No

Do you have a whistleblowing service accessible to all staff?  Yes  No

If no, please explain what measures are available to staff in the event that they wish to raise a concern:

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## 8 Division of responsibilities and authorities

Are duties segregated so that no individual can carry out the following activities from commencement to completion without referral to others?

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| Executing payment transfers or payments of more than CHF 5,000? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Sending and receiving account statements?                       | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Changing the bank details of suppliers/business partners?       | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Opening new company bank accounts?                              | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Repaying cash and/or returning goods?                           | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

## 9 IT security

- |  |                              |                             |
|--|------------------------------|-----------------------------|
| Are different passwords used for different levels of authorisations?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Are all access rights (both physical and to IT systems) withdrawn immediately when an employee leaves the company?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Are passwords changed at pre-defined intervals?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Does your company trade in cryptocurrencies or accept them as a valid means of payment?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Are the security warnings of the National Cyber Security Centre (NCSC) (or a comparable foreign institute) observed and are the recommended security measures implemented immediately, if necessary? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Are attacks on the IT system detected and logged through scanning, monitoring and incident response activities, so that appropriate countermeasures can be taken immediately?                        | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Are all programs/software/IT applications protected against unauthorised changes?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Do all IT systems and Networks used by the Company have a safeguard/firewall against unauthorised access?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is the protection/firewall updated on an ongoing basis?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is your IT system protected by virus scanning and repair software?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is all software updated continuously to protect against damage from viruses?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Is data secured/backed up on a daily basis, and the latest release status of each program secured/backed up?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| In doing so, is a copy stored in such a way that, if the original data is hacked, the copy is unlikely to be affected at the same time?  | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Are the services of external cloud providers used?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

**10 Social engineering fraud \***

If a line manager gives instructions for an above-average or unusual payment, do staff subsequently double-check it by personally consulting the line manager?  Yes  No

Do line managers double-check enquiries from (people who claim to be) bank employees requesting a confirmation or bank details?  Yes  No

Does the company personally double-check with suppliers/providers if it appears that they have given instructions to change their bank details or delivery address?  Yes  No

Are measures taken at the company to raise awareness of the risks of social engineering among employees?  Yes  No

\* The term "social engineering" refers to processes by which fraudsters exploit people's willingness to help, gullibility or uncertainty in order to obtain confidential data or manipulate the victims into taking certain actions.

**11 Additional notes/enclosures**

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By signing below, the undersigned confirms that all information is complete and truthful to the best of his/her knowledge. Missing or incorrect information can lead to the termination of the insurance contract and the release of the insurer from its obligation to pay indemnity. All data collected will be treated strictly confidential and will not be made accessible to third parties with the exception of the involved insurers (including reinsurers).

Place/date

Signature

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