

Customized Insurance for Asset Management Firms

SHIELDING YOUR
BUSINESS, EXECUTIVES,
AND REPUTATION



AXIS
Insurance

BUILT FOR ASSET
MANAGEMENT FIRMS

**DESIGNED TO
SIMPLIFY INSURANCE**



SAFEGUARDING THE EXCEPTIONAL

In a high-stakes industry shaped by performance, regulation, and reputation, asset management firms are under a huge amount of pressure.

As part of your daily work, you and your team are exposed to a variety of risks—from regulatory and best practices compliance (KYC and AML) to professional errors, cyberattacks, employment practices claims, and fiduciary responsibilities. You need a balanced insurance budget that considers your most significant exposures, supported by a streamlined process.

Our insurance solutions offer customized protection for critical exposures, while our expertise reduces the administrative burden of insurance renewals and helps guide you to invest in the right coverages for your unique risks.

Contact me or my team directly to discuss how we can help protect your firm and support your success.

Warm regards,



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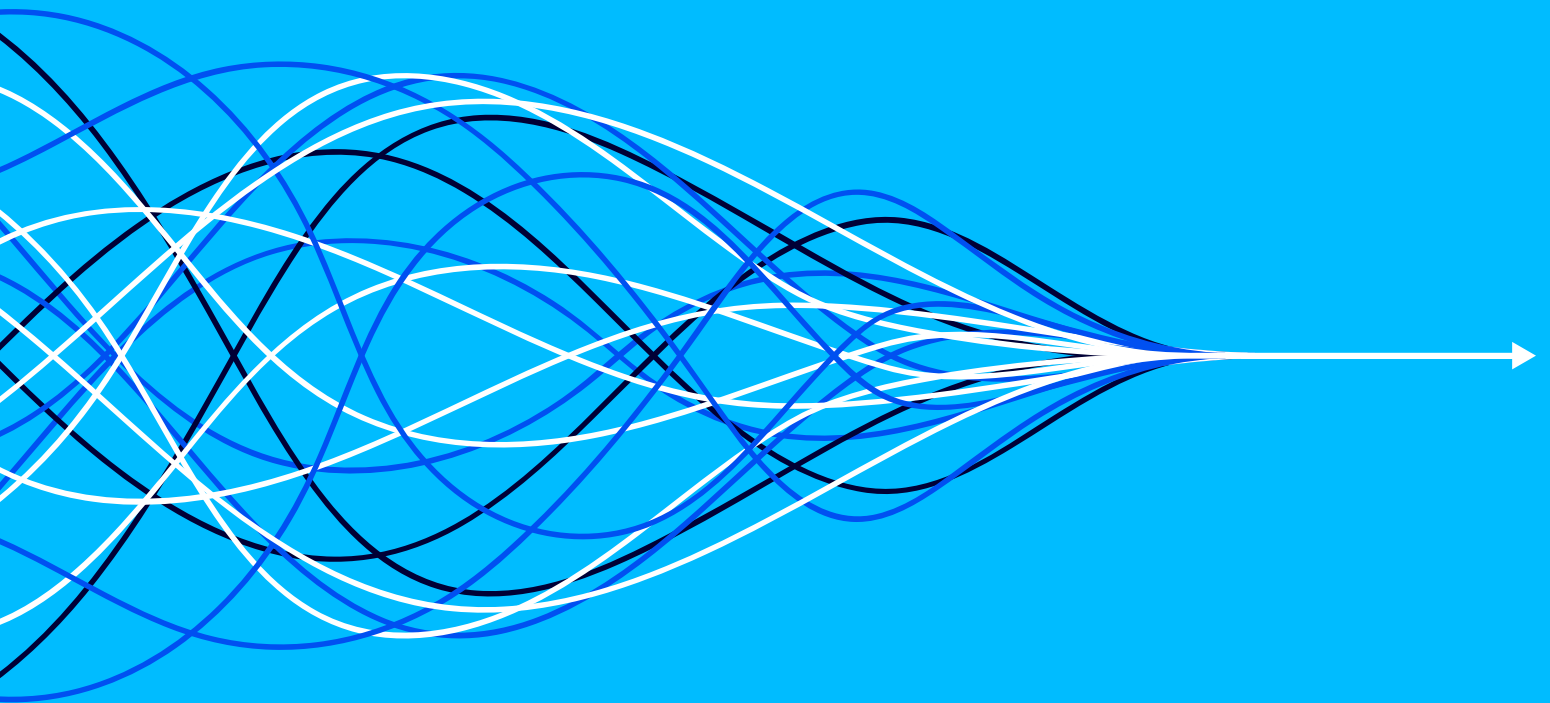


ABOUT US

Axis' Professional & Financial Services division offers specialized coverage for those who manage money. Whether you're advising on market trends, investing funds, or navigating global markets, we understand the intricate frameworks, regulatory requirements, and fiduciary responsibilities you face. With expert risk assessment and bespoke solutions, our team of over 30 serve thousands of regulated professional service firms with operations throughout Canada and abroad.

At Axis, we cut through the complexity of insurance, empowering you to lean into risk with confidence.

Whether you need professional liability coverage, directors' and officers' insurance, or innovative solutions for evolving risks, we're here to help.





PROUDLY CANADIAN

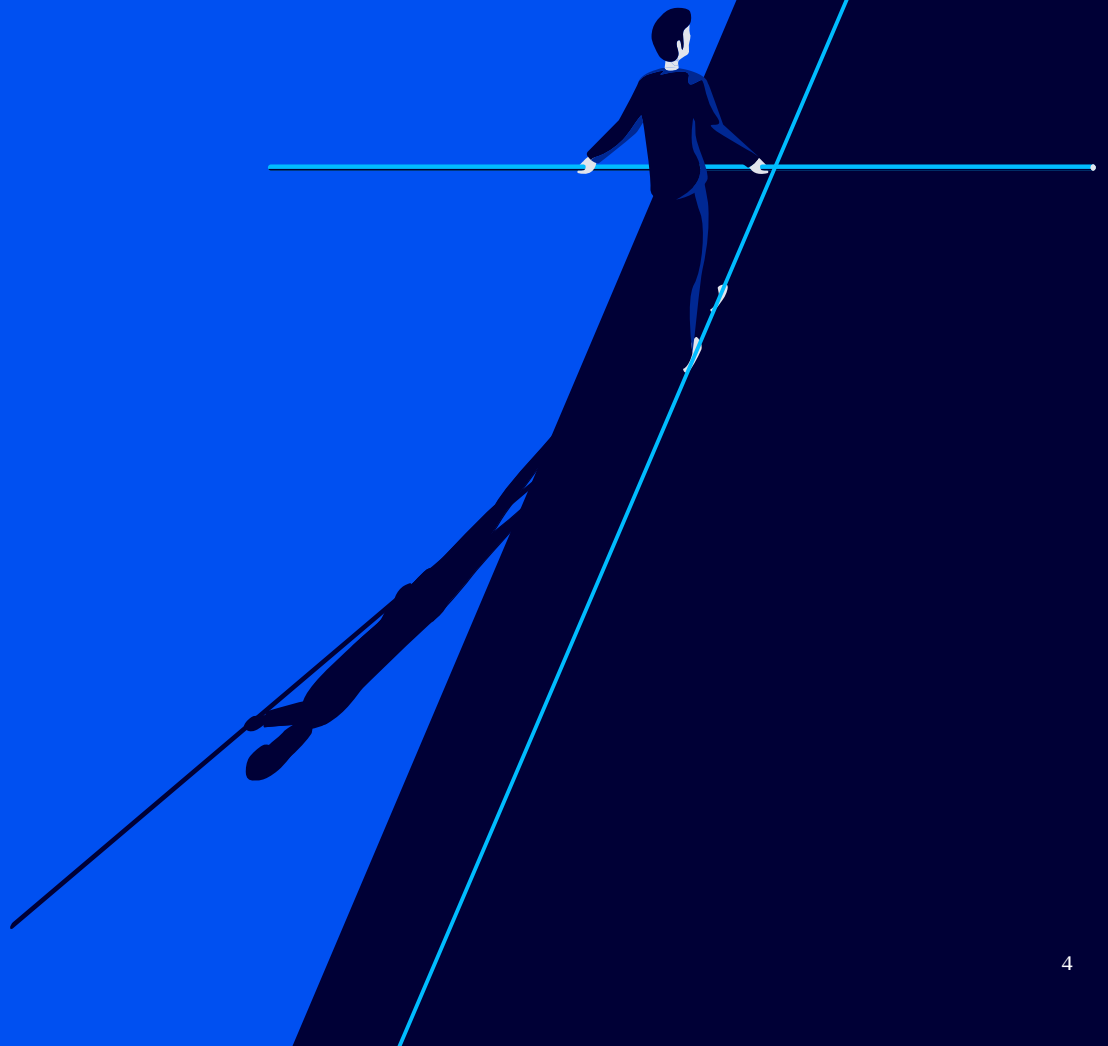
We are a fully independent Canadian-owned brokerage. We offer local support, global reach, and a genuine commitment to Canadian values, governance, and accountability.

WHAT SETS AXIS APART

Axis stands apart by delivering more than just policies. We offer a strategic partnership that empowers clients to thrive in an uncertain world. Our approach combines technical expertise with a deep understanding of your industry; we provide tailored solutions that address unique risks while enabling your business to grow.

Where others see risk as a challenge, we see it as an opportunity. By focusing on proactive strategies, we help clients lean into risk with confidence, transforming uncertainty into a competitive advantage. This mindset allows us to deliver solutions that go beyond traditional insurance. We prioritize enterprise risk management to protect and advance your business. From risk mitigation to claims, we'll work closely with you to safeguard your operations and enhance your resilience.

The Axis approach extends well beyond transactional coverage—our personalized service sets us apart. We take the time to understand your goals and challenges, ensuring every solution is tailored to meet your needs. We are astute, fearless, and precise, challenging conventional thinking to deliver clear and actionable insights. The Axis team aren't just insurance brokers, we are partners in your success, empowering you to move forward with confidence.



MODEL PORTFOLIO

In addition to core coverages like Property, Business Interruption, and General Liability, you need specialized coverages for finance sector risks. To ensure your organization is protected, Axis typically recommends the following core coverages for asset management firms.

Cyber Liability

Protects against first and third-party losses resulting from cyber events—crucial for those managing confidential client information and financial transactions

Financial Institution Bonds

Provide coverage for financial losses from employee dishonesty and cybercrime, addressing National Instrument 31-103 regulatory insurance requirements

Transaction Liability (Representations & Warranties)

Covers representations and warranties, contingent tax, and other M&A liabilities—a valuable tool for buyers and sellers

INVESTMENT MANAGEMENT LIABILITY

Professional Liability (Errors & Omissions)

Covers allegations of negligence, misrepresentation, errors, omissions, or failure to carry out statutory obligations—important protection for asset managers whose actions may be challenged by clients or other stakeholders

Cost of Corrections

This add-on to Professional Liability (E&O) coverage provides reimbursement for the cost of correcting a transactional error that may result in an E&O claim

Fund Liability

Includes coverage for professional services, fund operations, and portfolio company oversight—important protection for funds and their managers

Directors' & Officers' (D&O) Liability

Protects board members and executives from personal liability arising from decisions made in their official capacities

Employment Practices Liability

Covers claims related to workplace disputes—such as discrimination, wrongful termination, harassment, or failure to accommodate—brought by current or former employees

Fiduciary Liability

Covers trustees and board members who manage pension or benefit plans against claims of mismanagement or breach of fiduciary duty

Your executives, investors, advisors, general partners, custodians, and delegated managers are working hard for you and your clients. Let's ensure you have the right coverages in place for their unique exposures. No matter the size of your AUM and NAV, we're here to help.

SWITCHING INSURANCE PROVIDERS DOESN'T NEED TO BE DIFFICULT

A SIMPLE, SECURE, AND TRANSPARENT PROCESS

Changing insurance providers can feel daunting, but with the right partner, it's straightforward and stress-free. At Axis, we ensure a seamless transition, helping you secure the right coverage without exposing your business to unnecessary risks.

MAKING THE CHANGE IS EASIER THAN YOU THINK

Our approach is consultative and pressure-free. Whether your current policy is due for renewal or you're simply benchmarking options, we'll work with your executive team, board, or finance staff to make the process efficient, and risk informed.

We help you:

- Review your current coverage and identify any gaps or duplications
- Benchmark rates and terms across our network of trusted insurers
- Coordinate start dates to ensure no lapse in coverage
- Manage certificates, documentation, and onboarding—discreetly and professionally

Even if claims are present or renewal is near, there are structured strategies to support continuity and ensure a smooth handoff. Our team has extensive experience in handling transitions for asset management firms with complex needs.

Let's talk about how we can make a change that protects your organization and strengthens your risk strategy.



COMMON CONCERNS

Will I lose coverage during the switch?

No. We carefully coordinate start dates to ensure uninterrupted protection.

Isn't it risky to leave a provider I've worked with for years?

Not when the alternative offers stronger coverage, better service, and cost efficiency. If you have not looked into options for years, your current policy may cost significantly more than the modern policies with broader coverage.

What if we have claims?

There are several strategies for firms with claims. Each firm is unique. Our team has found solutions to help firms keep doors open when other brokers told them they were uninsurable.

I don't have time to deal with the process.

We respect your time. Our experienced team simplifies every step, allowing you to focus on your business while we handle the details.

PEACE OF MIND WITH EXPERT GUIDANCE

Switching providers isn't just about finding a better rate—it's about securing better protection and support for your business. We're here to answer your questions, ease concerns, and ensure the process is as smooth as possible. Our goal is to help you feel confident that your insurance is aligned with your needs and future goals.

LET'S SIMPLIFY THE INSURANCE PROCESS

Whether you work in an institutional, retail, private funds, or custodial asset management environment, we're your dedicated partner in risk solutions.

Work with a brokerage that understands asset management risks inside and out, so you can focus on your clients.

**National strength.
Local support.
Dedicated Asset Management Focus.**



CONTACT US TODAY

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Rob McLeod has dedicated his 15 year-insurance career to protecting professionals across Canada. His thought leadership and rare level of expertise in professional liability empowers clients to transform risks into opportunities for growth.

As the leader of Axis' 30+ member Professional & Financial Services team, Rob is immersed in the regulatory and governance landscape and emerging risks that impact Canadian asset management firms and their directors and officers.