



Yancy Insurance & Financial Services

AGENT: Yancy Insurance & Financial Services
2019 E Lamar Blvd, Suite 100
Arlington, TX 76006
817-277-6100 Phone
817-261-7514 Fax

COMMERCIAL FLEET UNDERWRITING CHECKLIST

This application cannot be processed unless signed by
The Broker and an Authorized Officer of the Applicant Organization

To process this application, the following documents must be provided and attached:

- _____ 1. **LOSS RUNS:** Current year and three prior years of documented loss runs from prior insurance companies for all coverages requested. Losses to be valued within the last 90 days. Details required on all losses in excess of \$50,000.
- _____ 2. **FINANCIAL STATEMENTS:** Last two years independently prepared financial statements and current interim statement, preferably audited or reviewed statements. Include revenue through trip lease and/or brokerage operations, if any. If the most recent year-end statement is more than 6 months old, an interim statement must be provided. Parent company financials, if applicable, should also be provided.
- _____ 3. **GROSS RECEIPTS:** Current year and three prior years gross receipts, including breakdown by trucking revenue and brokerage revenue, if any. Also, provide projected gross receipts for upcoming policy period.
- _____ 4. **MILEAGE:** Current year and three prior years total mileage. Provide fuel tax reports, indicating mileage by state and total mileage for the previous four (4) quarters. Indicate any mileage that may not be reported on fuel tax reports. Also, provide projected mileage for upcoming policy period.
- _____ 5. **SAFETY:** Provide copy of most recent state or federal compliance review report and current safety rating notice (both sides of document). Also, provide copies of fleet safety and maintenance programs.
- _____ 6. **DRIVERS LIST:** Provide listing of all drivers: company, owner/operators, service and private passenger units, showing full name, date of birth, state of license, driver's license number, seniority/date of hire and most recent motor vehicle reports (MVRs).
- _____ 7. **EQUIPMENT LIST:** Provide list identifying company-owned vehicles and owner/operator vehicles. Include year, make, model, VIN (last 5 digits), current market value and garage location. For local and intermediate units (up to 300 mi. radius), please provide Gross Vehicle Weight.
- _____ 8. **AGREEMENTS:** Provide copies of permanent lease and trip lease agreements. Also, provide copies of hold-harmless, interline, interchange, intermodal and sub-hauler agreements, if any.
- _____ 9. **OPERATING AUTHORITY:** Provide copies of all operating authorities.



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LARGE FLEET TRUCKERS APPLICATION

GENERAL INFORMATION

Broker Name _____ Producer(s) _____

Street Address _____

City _____ State/Province _____ Zip/Postal Code _____

Mailing Address _____

City _____ State/Province _____ Zip/Postal Code _____

Phone () _____ (800) _____ Fax () _____

Are you the incumbent broker? Yes No If Yes, for how many years? _____

Applicant Name _____

Current Expiration _____ Proposed Effective Date _____ Date Quote Required _____

Street Address _____

City _____ State/Province _____ Zip/Postal Code _____

Mailing Address _____

City _____ State/Province _____ Zip/Postal Code _____

Phone () _____ (800) _____ Fax () _____

Authority Name _____

Sole Proprietor Partnership Corporation Employer Federal ID# _____

Identify all other **named insureds** to be included on policy. Add attachment, if necessary.

1. Name _____ City _____ State _____

Authority Name _____ US DOT #/CVOR # _____

Relationship to Insured _____

Description of Business _____

2. Name _____ City _____ State _____

Authority Name _____ US DOT #/CVOR # _____

Relationship to Insured _____

Description of Business _____

3. Name _____ City _____ State _____

Authority Name _____ US DOT #/CVOR # _____

Relationship to Insured _____

Description of Business _____

Do any entities derive revenue from sources other than "for hire" trucking? Yes No \$Amount _____

If yes, explain: _____

PRIMARY CONTACTS

PHONE NUMBER

President _____

VP /Gen. Mgr. /Operations _____

Finance/Accounting _____

Safety Risk Manager _____

Maintenance _____

Other _____

Inspection Contact(s) _____

Company has been in trucking business since: _____ (mo/yr)



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Company has been under current ownership/management since: _____ (mo/yr)
Has insurance been canceled or non-renewed within the last 5 years? Yes No If yes, explain: _____

Have you filed for bankruptcy or Chapter 11 within the last 5 years? Yes No If yes, explain: _____

Are there any operations subject to seasonality? Yes No If yes, explain: _____

Do you lease property or mobile equipment to others? Yes No If yes, explain: _____

Do you have tenants? Yes No If yes, explain: _____

Do you have any fuel storage facilities? Yes No If yes, provide capacity: _____

Type of products stored and indicate if you have Pollution Liability Insurance (include Company, Policy #, Limits and Expiration Date): _____

Do you sell any product on a wholesale or retail basis? Yes No If yes, describe: _____

Do you derive any revenue from warehousing operations? Yes No If yes, explain: _____

Please describe operations, including any major changes over the last 5 years or for the upcoming policy period (e.g., territory served, commodities hauled, major customers, mergers/acquisitions, etc.). Attach separate narrative, if necessary.

OPERATIONS

TYPE OF CARRIER: % of miles
_____ % Truckload _____ % Less than
Truckload

Type	Use %
Dry Van	_____
Refrigerated	_____
Flatbed	_____
Liquid Tank	_____
Dry Bulk	_____
Containerized	_____
Other	_____
Total	100%

LENGTH OF HAUL (% of miles)			
0-100	101-300	301-500	500+
_____	_____	_____	_____
For local-Intermediate Operations (0-300 mi.), Please list top 10 runs:			
FROM	TO	FROM	TO
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____



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EQUIPMENT INFORMATION – Indicate number of vehicles by vehicle type				
VEHICLE TYPE:	Company-Owned or Long Term Lease w/o Driver	Total Company Insured Values	Owner/Operator Equipment	Owner/Operator Insured Values
Straight Trucks				
Road Tractors				
Yard Tractors				
Trailers				
a. Dry Van				
b. Refrigerated				
c. Flatbed				
d. Liquid Tank				
e. Dry Bulk				
f. Container Chassis				
g. Other				
Service Trucks				
Private Pass. Autos				

Do you have any surplus equipment not presently being utilized? Yes No If yes, explain: _____

Will the maximum values of equipment to be insured exceed \$1,000,000 at any one location? Yes No If yes, provide average values and maximum values by location: _____

Do you use doubles or triples? Yes No If yes, _____% of total miles.

Are driver teams utilized? Yes No If yes, _____% of units seated with teams.

Are passengers ever allowed to accompany driver? Yes No If yes, describe your authorized passenger policy: _____

Do your units have: Satellite/Tracking, Communication or Alarm Devices? Yes No If yes, describe: _____

WASTE / HAZARDOUS MATERIAL

Do you haul any: Hazardous, Medical or Municipal waste? Yes No Radioactive material? Yes No
Explosives? Yes No Acids? Yes No Flammables? Yes No If yes, % of revenue: _____

BACKHAUL / TRIP LEASE (Please provide copy of trip-lease agreement)

What is percentage of deadheading? _____%

Do you backhaul? Yes No Any restrictions on backhauling? _____

What percentage of gross revenue is obtained from trip leasing your freight to other carriers under your authority? _____%

How do you locate your trip lessors? _____

Do you physically inspect the trip lessor's equipment? Yes No

What percentage of revenue is obtained from accepting loads trip leased under another carrier's authority? _____%

Do you require specific authorization before a driver may enter into a trip lease agreement? Yes No

BROKERAGE

Do you arrange for the transportation of property, by other motor carriers, on the other motor carrier's authority?

Yes No If yes, identify motor carriers utilized: _____

Does the shipper know you are brokering the load at the time you accept the cargo? Yes No

Brokerage is done under what name? _____

Licensed? Yes No US DOT # _____ Are separate accounting records kept? Yes No

What percentage of revenue is obtained from brokerage operations? _____%

Do you purchase contingent cargo coverage? Yes No



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Do you require the following items before brokering loads:

- a) Certificate of Insurance? Yes No Limits required? _____
- b) Additional Insured Endorsements? Yes No
- c) Who is named on Bill of Lading? _____

Are certificates on file and up-to-date on all brokered loads? _____

HOLD HARMLESS, INTERMODAL

Are any hold harmless, interline, intermodal or interchange agreements in place? Yes No If yes, attach copy.

TRAILER INTERCHANGE (A copy of the trailer interchange agreement must be included with application.)

Is Trailer Interchange Legal Liability requested? Yes No If yes, please answer the following:

Average number of trailer interchange days per month: _____ Average number of units per day: _____

Average value per trailer: \$_____ Maximum value per trailer: \$_____

FOR OPERATIONS INVOLVING TANKERS:

Do you operate a tank wash facility? Yes No Is it operated as a separate entity? Yes No

If yes, name of entity: _____ Insurance coverage desired: Yes No

Do you wash tanks for other entities? Yes No If yes, what percentage of total revenue does this present? _____%

Is hazardous waste generated from your tank cleaning operation? Yes No If yes, explain disposal of hazardous waste: _____

Do you have any blending or storage operations? Yes No

If yes, what percentage of total revenue does this represent? _____%

EQUIPMENT AND EXPOSURE BASIS

List below your estimated mileage, gross receipts, average number of revenue-producing units and payroll for the proposed policy period as well as the actual figures for **current and 3 previous policy periods**. Utilize Fuel Tax reports **plus** mileage not otherwise reported.

	PERIOD	TOTAL MILEAGE	GROSS RECEIPTS	AVERAGE NUMBER OF REVENUE UNITS	PAYROLL
Proposed Policy Period (Estimate)	_____ to _____ mo/yr. Mo/yr.				
Current Policy Period (Estimate)	_____ to _____ mo/yr. Mo/yr.				
Previous Policy Periods	1 _____ to _____ mo/yr. Mo/yr.				
	2 _____ to _____ mo/yr. Mo/yr.				
	3 _____ to _____ mo/yr. Mo/yr.				



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COMMODITIES

Identify the principal types of cargo hauled; avoid listing "General Merchandise". Percentages should total to 100%.

DESCRIPTION	HAZARDOUS YES/NO	PERCENTAGE OF GROSS RECEIPTS OR MILEAGE (CIRCLE ONE)	AVERAGE VALUE PER LOAD	MAXIMUM VALUE PER LOAD	PERCENTAGE OF LOADS AT MAXIMUM VALUE
TOTAL:		100%			

TERMINAL EXPOSURES

LOCATION	Controlled Entrance?	24 Hour Guard?	Fenced?	Lighted?	Average Dock Values	Maximum Dock Values

Is cargo ever left unattended on the road? Yes No If yes, % of time unattended: _____%

Is standard Bill of Lading issued? Yes No If no, attach copy of form used.

PERSONNEL AND SAFETY

Who is responsible for safety? Name: _____ Title: _____

Is same person responsible for hiring? Yes No Tenure _____ Years of safety experience _____

Percent of time devoted to safety: _____% Other responsibilities: _____

To whom does this person report? Name: _____ Title: _____

Are your drivers represented by a union? Yes No

Average Compensation: Company Driver: _____ per year/mile Owner/Operators: _____ per year/mile

Minimum/maximum driver age allowed: _____/_____ Minimum over-the-road experience: _____ years _____ mileage

How often do drivers get home? _____ Is there a Fleet Accident Analysis Program? Yes No

Number of drivers: Employees: _____ Owner/Operators: _____ Subhaulers (CA only): _____ Total: _____

Past 12 months: Drivers added: _____ Drivers replaced: _____



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Do your driver selection procedures include:

Written application? Yes No Reference checks? Yes No Written test? Yes No
Road Test? Yes No Physical exam? Yes No Drug testing? Yes No
Pre-employment MVR review? Yes No Prior employer contact? Yes No

Does new driver training include:

Equipment familiarization? Yes No Handling commodities? Yes No
Route familiarization? Yes No Emergency procedures? Yes No
Accident report procedures? Yes No Required for Owner/Operators? Yes No

Length of new hire training program: _____

Are new drivers assigned to drive with a senior, experienced driver? Yes No If yes, how long will they drive together? _____

Do you use drivers from training schools? Yes No If yes, describe the on-the-job training program for these drivers. _____

Attach copies of latest DOT, PUC, or ICC audits. If none, explain: _____

MAINTENANCE

What is your inspection and preventative maintenance schedule? Intervals: A _____ B _____ C _____

Do you perform your own repairs? Yes No To what extent? _____

Do you perform service/maintenance work on non-owned equipment? Yes No If yes, indicate revenue, number of vehicles at any one time, and describe work performed: _____

Do you have a written maintenance program? Yes No If yes, include copy.

Are Owner/Operators subject to the same maintenance requirements as owned equipment? Yes No

Number of full-time maintenance personnel: _____ Are pre/post trip inspections performed? Yes No

How often do you replace or upgrade your equipment? _____



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INSURANCE REQUESTED

PREFERRED RATING BASIS (Check one): Revenue _____ Mileage _____ Per Unit _____

OPTION 1

OPTION 2

OPTION 3

Auto Liability

Limit _____

Deductible / SIR _____

General Liability

Limit _____

Deductible / SIR _____

Physical Damage (check desired coverage)

____ Comprehensive **or**

____ Specified Causes of Loss

Deductible / SIR _____

____ Collision

Deductible / SIR _____

Private Passenger Auto / Service Units

Auto Liability Limit _____

Deductible / SIR _____

Physical Damage Requested - Y/N _____

Deductible / SIR _____

Cargo

Limit per Vehicle / per occurrence _____

Deductible / SIR _____

Owner Operator Programs

Non-Trucking Auto Liability Limit _____

Deductible / SIR _____

Physical Damage Requested - Y/N _____

Deductible / SIR _____

Trailer Interchange

Limit _____

Deductible / SIR _____

Other _____

BROKER COMMENTS (Other coverage options/target pricing):



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UNINSURED (UM) AND UNDERINSURED MOTORISTS (UIM) INSURANCE

Indicate Selections Using Authorized Person's Initials

TRUCKERS PART I Select One Option:

- 1. Reject coverage where permitted by law; statutory minimum limits where rejection is not permissible.
- 2. Select statutory minimum limits.
- 3. Select policy limits.
- 4. Select other limits, up to policy limits (\$_____)

TRUCKERS PART II UM and UIM Agreement:

- 1. The undersigned Applicant has the authority to make the UM and UIM elections required by this form.
- 2. The undersigned Applicant understands the UM and UIM elections made on behalf of the Company will be binding upon all Insured Entities.
- 3. The undersigned Applicant understands the Insured will be required to sign state specific form(s) for the UM and UIM elections made when the policy is issued

Company: _____

(Signature Required) By: _____

Date: _____

PRIVATE PASSENGER AUTO PART I

Select One Option:

- 1. Reject coverage where permitted by law; statutory minimum limits where rejection is not permissible.
- 2. Select statutory minimum limits.
- 3. Select policy limits.
- 4. Select other limits, up to policy limits (\$_____)

PRIVATE PASSENGER AUTO PART II

UM and UIM Agreement:

- 1. The undersigned Applicant has the authority to make the UM and UIM elections required by this form.
- 2. The undersigned Applicant understands the UM and UIM elections made on behalf of the Company will be binding upon all Insured.
- 3. The undersigned Applicant understands the Insured will be required to sign state specific form(s) for the UM and UIM elections made when the policy is issued.

Company: _____

(Signature Required) By: _____

Date: _____

THIS APPLICATION CANNOT BE PROCESSED UNLESS AN AUTHORIZED OFFICER OF THE APPLICANT ORGANIZATION SIGNS THE ABOVE TWO AGREEMENTS.



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THIS APPLICATION CANNOT BE PROCESSED UNLESS SIGNED BY THE BROKER AND AN AUTHORIZED OFFICER OF THE APPLICANT ORGANIZATION.

The Applicant hereby applies to the Company for a policy of insurance as set forth in this application on the basis of statements contained here. Applicant agrees that such policy shall be null and void if such information is materially false or misleading so that the Company would have rejected the risk, prior to inception. Applicant understands that an inquiry may be made which will provide applicable information concerning character, general reputation, financial stability and other pertinent financial data, personal characteristics, mode of living or other background information the Company deems necessary in order to determine whether the Company will accept or reject applicant for coverage. Upon written request, additional information as to the nature and scope, if one is made, will be provided. The Applicant understands this application is a request for quotation and no information provided herein shall be construed by either party as creating a binding contract for insurance.

The undersigned authorized officer of the Applicant declares that the statements set forth herein are true. The undersigned authorized officer agrees that if the information supplied on this application changes between the date of this application and the effective date of the insurance, he/she (undersigned) will, in order for the information to be accurate on the effective date of the insurance, immediately notify the Company of such changes, and the Company may withdraw or modify any outstanding quotations and/or authorizations or agreements to bind the insurance.

Signing of this application does not bind the Applicant or the Company to complete the insurance, but it is agreed that this application shall be the basis of the contract should a policy be issued, and it will be attached to and become part of the policy.

All written statements and materials furnished to the Company in conjunction with this application are hereby incorporated by reference into this application and made a part hereof.

Signed this _____ day of _____, 19_____

at _____
(City/State)

By _____
Named Insured (representing ALL Insureds)
(If a partnership or corporation, signatory must be empowered by Articles of Incorporation, etc. to bind to insurance agreements.)

For _____
(If Named Insured is other than an individual)

NOTICE TO NEW YORK APPLICANTS: "Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information, conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime and shall also be subject to a civil penalty not to exceed five thousand dollars and the stated value of the claim for each such violation."

NOTICE TO OHIO APPLICANTS: "Any person who, with intent to defraud or knowing that he is facilitating a fraud against an insurer, submits an application or files a claim containing a false or deceptive statement is guilty of insurance fraud."

NOTICE TO KENTUCKY APPLICANTS: "Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any materially false information, or conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime."

NOTICE TO PENNSYLVANIA APPLICANTS: "Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance or statement of claim containing any materially false information or conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act, which is a crime and subjects such person to criminal and civil penalties."

NOTICE TO NEW JERSEY APPLICANTS: "Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties."

NOTICE TO FLORIDA APPLICANTS: "Any person who knowingly and with intent to injure, defraud, or deceive any insurer files a statement of claim or an application containing any false, incomplete or misleading information is guilty of a felony in the third degree."

NOTICE TO COLORADO APPLICANTS: "It is unlawful to knowingly provide false, incomplete, or misleading facts or information to an insurance company for the purpose of defrauding or attempting to defraud the company. Penalties may include imprisonment, fines, denial of insurance, and civil damages. Any insurance company or agent of an insurance company who knowingly provides false, incomplete, or misleading facts or information to a policyholder or claimant for the purpose of defrauding or attempting to defraud the policyholder or claimant with regard to a settlement or award payable from insurance proceeds shall be reported to the Colorado division of insurance within the department of regulatory agencies."

NOTICE TO MINNESOTA APPLICANTS: "A Person who submits an application or files a claim with intent to defraud or helps commit a fraud against an insurer is guilty of a crime."

NOTICE TO ARKANSAS APPLICANTS: "Any person who knowingly presents a false or fraudulent claim for payment of a loss or benefit, or knowingly presents false information in an application for insurance is guilty of a crime and may be subject to fines and confinement in prison."



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PLEASE INDICATE, BY STATE OR PROVINCE, REQUIRED FILINGS.

FILING INFORMATION – US DOT AND PUC

	A	C		A	C		A	C		A	C		A	C
AI			HI			MI			NC			UT		
AK			ID			MN			ND			VT		
AZ			IL			MS			OH			VA		
AR			IN			MO			OK			WA		
CA			IA			MT			OR			WV		
CO			KS			NE			PA			WI		
CT			KY			NV			RI			WY		
DE			LA			NH			SC					
DC			ME			NJ			SD					
FL			MD			NM			TN					
GA			MA			NY			TX					

FILING INFORMATION – CVOR

	A	C		A	C		A	C		A	C
AB			NB			NS			PQ		
BC			NF			ON			SK		
MB			NT			PE			TY		

A = Automobile C = Cargo US DOT # _____ CVOR # _____

Special Filings (List state and number): _____

Operating Rights: Interstate Only Intrastate Only Both

Type of Authority: Common Carrier Contract Carrier Private Exempt Regular Route Irregular Route

TO BE COMPLETED BY THE PRODUCER

Producer(s) _____

Is the Applicant's business new business to your office? Yes No

Is the business of the Applicant direct business of your office? Yes No If no, explain: _____

Have you read the answers given by the Applicant above? Yes No

Are the answers given by the Applicant above correct to the best of your knowledge? Yes No

How long have you known the Applicant or, if the Applicant is a corporation, the officers and directors of Applicant?
