

DIRECTORS AND OFFICERS LIABILITY

Product Sheet: Financial Institutions

We have a razor sharp focus on non-standard and complex SME, through to Mid-Market and Multinational organisations, operating in the UK, EEA and Caribbean.

THE BASICS

Rokstone is an MGA that values long term broker partnerships. We support our partners to secure new business and retain existing clients sustainably.

We underwrite D&O on behalf of a prestigious panel of insurers including Lloyd's of London.

Premiums start at GBP 2,500 + tax and fee.

COMPANY OWNERSHIP

We're proud of the breadth of our underwriting authority. All company ownership models are acceptable:

- Private Companies and LLPs
- Publicly Traded Companies
- Employee Owned
- Charities and Associations
- Public Sector / Government Owned
- Private Equity backed
- GP/LP structure
- Funds, Trusts and QAHCs

AVAILABLE COVERS AND PRODUCTS

A range of products as broad as our risk appetite.

- Directors and Officers Liability
- FI Professional Indemnity
- Crime
- Pension Trustee Liability
- Fund D&O and IMI packages

PLACEMENT OPTIONS

We're flexible and we're here to trade:

- In-house policy document production
- Slips/MRCs accepted
- All broker wordings considered
- 100% lines or coinsurance available
- Primary and excess layer quotations

INDUSTRY SECTORS

We like challenges. Almost all industry sectors are considered, with each risk judged on its own merits.

- Asset Managers
- Banks and Building Societies
- Corporate Finance Advisors
- Corporate Service Providers
- Deposit and Savings Institutions
- E-Money Institutions and E-Wallet Providers
- Family Offices and Private Trust Companies
- Insurance Companies (including captives)
- Investment Funds and Asset Holding Vehicles
- Investment Managers and Administrators
- Loans and Lending Institutions
- Mortgage Brokers and Lenders
- Payment Processors
- Private Equity and Venture Capital
- Real Estate Investment Trusts (REIT)
- Settlement and Clearing Institutions
- Stockbroking
- Trust Administration

We have a small number of unacceptable sectors.

- ✗ Cannabis
- ✗ Coal
- ✗ Crypto
- ✗ Fur
- ✗ Pornography
- ✗ Tobacco
- ✗ Litigation funding
- ✗ Payday lending
- ✗ Fine Art, whisky and other novel investment funds

TERRITORIES

With a multi-continent footprint, we write policyholders domiciled in:

- United Kingdom, Channel Islands and Isle of Man
- European Economic Area and Gibraltar
- Caribbean (excluding Cuba and US territories)

Whilst we target clients with operating locations in the UK, EEA and Caribbean, a global range of subsidiaries are acceptable, including Australia, USA and Canada.

GET IN TOUCH



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As the Head of D&O, Jimmy Heaton is developing a competitive yet sustainable portfolio across the UK, EEA and Caribbean.

Before joining Rokstone, Jimmy gained over ten years of experience through underwriting roles at company, syndicate and MGA markets. Having successfully built profitable D&O portfolios in prior roles, Jimmy was keen to join the Aventus family, where he could maximise his potential and benefit from the support and infrastructure offered.

Disclaimer - The information contained herein is intended for informational purposes only. Insurance coverage in any particular case will depend upon the type of policy in effect, the terms, conditions, and exclusions in any such policy, and the facts of each unique situation. No representation is made that any specific insurance coverage would apply in the circumstances outlined herein. Please refer to the individual policy forms for specific coverage details.