Investment Managers

FINANCIAL INSTITUTIONS

Investment management firms operate across an increasingly complex regulatory and risk environment—navigating market volatility, heightened compliance scrutiny, and evolving cyber threats. Mosaic offers a single, integrated policy that protects both the management company and the fund it advises, combining management liability, professional liability, crime, employment practices liability, fiduciary liability and cyber coverage options, together with market-leading underwriting and claims service.

COVERAGES

Up to **$20M** per risk capacity

TARGET CLIENTS

- **Hedge funds**
- **Registered funds**
- **Private equity/credit advisors**
- **Real estate fund advisors**
- **Registered funds**
- **Venture capital**

Financial Institutions

Management Liability
Manager & Fund
Side A/B/C D&O

Professional Liability
Manager & Fund
Professional Services

Crime
Employee and
Third-Party Fraud

Cyber

First & Third-Party Cover
Breach, BI, Security & Privacy
Liability, Tech E&O

KEY FEATURES & ENHANCEMENTS

Additional Side a limit Dedicated excess limit for executives	**CO dedicated limit** Separate limit for compliance officer exposure	**Manager-Fund cut-through** Survives IMA exculpation clauses	**Auto new fund coverage** Up to 30% AUM; 90-day runway
Retired D&O lifetime discovery for departing execs	**Loss establishment costs** Accounts & specialists to quantify direct financial loss	**Regulatory & investigative defense formal and informal investigations**	**Loss of documents** Costs for to restore or replace documents lost or damaged during professional services
Crisis communications PR costs to avert or mitigate claims	**Emergency expenses** Claim expenses covered before insurer consent when delay isn't feasible	**Pre-claim defense** Costs look-back provision before formal claim	**Cost of corrections** Reimburse costs to fix errors before they become claims
PLUS: Mock audit premium credit up to $10K or 10% premium reduction			

Claims

Proactive claims management by specialists is at the heart of every risk we cover. Fair handling of claims, and quick payment where agreed, is our promise. Our technically experienced in-house experts provide coverage analysis, strategic overview, and legal and data-driven insights, with continual feedback to our underwriting teams. Claims and underwriting teams work closely together to ensure we meet the needs of our clients. Mosaic's approach is one of ownership, transparency, and efficiency; achieving fair outcomes for our customers is the end goal. Mosaic has full authority on claims settlement decisions.



SAVANNA BOYLES
VP, Cyber Claims, Americas
New York, NY
+1 850 398 1533
savanna.boyles@mosaicinsurance.com



JENNIFER JACOBSON
Head of Finpro Claims
New York, NY
+1 917 754 2364
jennifer.jacobson@mosaicinsurance.com

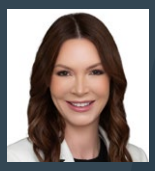
Underwriting



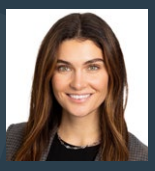
SACHIN WARTY
Global Head of Financial Institutions
& Professional Liability (Finpro)
+1 630 800 9045
sachin.warty@mosaicinsurance.com



MELISSA PEREIRA
VP, Underwriter, Financial Institutions
+1 441 717 8228
melissa.pereira@mosaicinsurance.com



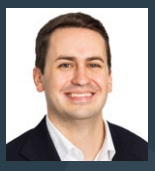
ANN NOZICA
Head of Americas, Financial Institutions
+1 608 780 9931
ann.nozica@mosaicinsurance.com



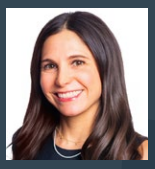
KATY HEATHERTON
AVP, Financial Institutions
+1 310 590 8444
katy.heatherton@mosaicinsurance.com



IAN FRASER
President & Chief Agent, Mosaic Canada
+1 905 304 3333
ian.fraser@mosaicinsurance.com



MICHAEL ROSSITER
AVP, Financial Institutions
+1 630 408 5311
michael.rossiter@mosaicinsurance.com



RISA KLEINER
SVP, Financial Institutions
+1 917 828 3523
risa.kleiner@mosaicinsurance.com

About Mosaic

Mosaic is a global specialty insurer with exceptional expertise, a focus on complex products, and an award-winning, digitized operating model. We underwrite for close to 40 trade clients alongside our own Lloyd's Syndicate 1609 and 2610—offering capacity and custom service across eight lines of business in six countries.

Visit mosaicinsurance.com and follow us @Mosaic1609

A+	AA-	AA-
Superior	Very Strong	Very Strong
AM Best	Standard & Poor's	Fitch Ratings

FINANCIAL-STRENGTH RATINGS OF OUR LLOYD'S SYNDICATES MOSAIC 1609 & 2610

The information contained here is for general informational purposes only and does not constitute an offer to sell or a solicitation of an offer to buy any product or service. Any description set forth does not include all policy terms, conditions and exclusions. Bound insurance policies, rather than summaries, govern. Not all insurance coverages, products or terms may be available. US risks may be placed in the surplus lines market; surplus lines insurers do not participate in US state guaranty funds and coverage may only be obtained through duly licensed surplus lines brokers. Contact Mosaic or your broker for additional details.