8.	Number support staff: If ratio of staff to attorne		lerk/paralegal an 2:1, provide d		arial/clerical tail <b>I</b> nformati	Other: on Addendum.		
9.	List below, all LAWYER: "O" Owner/Officer/Direct	S of the firm. <i>A</i> tor "P" Partner	Attach a separate "E" Employe		nal space is r OC" Of Coun		endent Contrac	etor
	Name of Attorney	Designat	tion States of Admission			e of hire with or predecessor fin		nours CLE in t 12 months
40	If additional space is nee		•				To Second Town (In a 16	
10.	Complete the following f	or each Part-til	me Attorney, Of G	Counsel, Indepe	ndent Contra	actor, or Per Diem	nired by the t	ırm.
	Name of Attorn	ey	Designation	Date of H		ours worked per eek for applicant		Professional nsurance?
							Yes 🗌 Yes 🗍	No 🗌
							Yes	No 🗌
11.	Is any lawyer proposed If Yes, provide details or	for this insuran n the Detail Info	ce an employee ormation Addend	of any organizat	ion other tha	n the applicant?		Yes 🗌 No 🗌
12.		urance Agent, F	Professional Age	nt or other non-l				Yes □ No □
13.	<ul> <li>a. act as a direct</li> </ul>	over, any business enterprise of a client other than the applicant?						
	than the applica	ant or its prede	control over, or e cessor firms? ete the Outside Ir			s enterprise of a cation.	client other	Yes 🗌 No 🗌
14.	Has any lawyer propose disbarred, reprimanded agency? If Yes, provide	or had other di	sciplinary action	taken against hi	m or her by a	any court or admir	nistrative	Yes □ No □
15.	List All Lawyers Profess predecessor firm thereo					•	he applicant a	nd/or any
		icy Expiration	Insurance Company	Polic	cy Limits	Deductible	Annual Premium	Number Attorneys
ļ								
16.	Insurance Details: a. Inception date	of the applican	t's first continuou	ıs claims made r	orofessional l	iability insurance:		
	b. Does the curre	nt policy have a	a retroactive/prio	r acts date appli	cable to the a	applicant?		Yes 🗌 No 🗌
	c. Does the curre	nt policy have a						
		ant, its predece orting Period (E	RP) Endorseme			surance, purchase		Yes □ No □

17.	Indicate the percent of the Applicar	nt's inc	ome derived from the following type	es of practice. (MUST TOTAL 100%)	
	DEFENSE %		Ad Valorem Tax – Commercial	Provide Additional Information*	%
	Admiralty		Ad Valorem Tax – Residential	Corporate General	
	Arbitration / Mediation		Administrative Law	Environmental	
	BI/PI		Adoptions	Fiduciary	
	Civil Rights / Employment		Antitrust Trade Regulations	Investment Cnsling / Money Mgt	
	Class Action / Mass Tort		Bankruptcy	Mergers & Acquisitions	
	Commercial Litigation		Collection	Oil and Gas	
	Criminal		Communication	Other:	
	Insurance Company		Construction	Venture Capital	
	Medical Malpractice		Corporation Formation		
	Product Liability		Divorce	Complete Additional Supplement	
	Workers Compensation		Estate Planning	Abstracting / Title	
	•		ERISA	Banking / Financial Institutions	
	PLAINTIFF (complete supplement)		Family Law (other than Divorce)	Bonds	
	Admiralty		Foreclosures	Copyright	
	BI/PI Plaintiff		Health	Entertainment	
	Civil Rights / Employment		Housing Court	Limited Partnerships	
	Class Action / Mass Tort		Immigration	Patent	
	Commercial Litigation		International	Private Placements	
	Medical Malpractice		Labor – Employee / Union	Real Estate – Residential	
	Product Liability		Labor – Management	Real Estate – Commercial	
	Workers Compensation		Local Government / Municipal	Real Estate Development	
			Public Utilities	Securities – Federal	
	TAX - Individual Preparation		Social Security	Securities – State	
	TAX - Commercial Preparation		Water Law	Syndications	
	TAX – Opinions		Wills and Trusts	Trademark	
	* Provide additional information on	the De	etail Information Addendum or com	plete the appropriate supplement	<u> </u>
	<ul> <li>b. Provided any legal service any Securities related ma</li> <li>c. Provided any legal service</li> <li>d. Provided any legal service</li> <li>e. Provided any legal service</li> <li>f. Provided any legal service</li> </ul>	es for outer? es for outes for outer for outes for outer for outes for outer for outer for outes for outes for outes for outer for o	or in connection with any IPO, Bond or on behalf of any Class Action ma any Entertainment client or the Ente or in connection with any Copyright or in connection with any Environme	on? Yes   d, Private Placement, Syndication or  Yes   atter? Yes   ertainment industry? Yes   , Patent or Trademark matter? Yes   ental matter? Yes	No
	If Yes to any of the above, cor		· · · · · · · · · · · · · · · · · · ·		
19.	<ul><li>a. Number of lawyers who a</li><li>b. Name of Title Company F</li><li>c. Do you require coverage</li></ul>	re Title eprese for a T	Agents:ented:itle Agency (provide name)?	Yes [	
20				Yes [	NO [
20.	Gross Revenue for the past three (				
	Most Recent Twelve (12) months		One (1) Year Prior	Two (2) Years Prior	
21.	Within the past six (6) years, has a If Yes, complete the following table		client generated 20% or more of g	gross revenue?Yes [	□ No □
	Name of Client		Services Provided	Percentage of Gross Revenue	
ļ					

22.	Docket/Diary Control System:  a. Do you maintain a central docket control system?  b. Does the applicant have at least two (2) methods for docket control?  c. Does the applicant utilize a computer program for docket control?  d. Does the ultimate responsibility for docket control, including entry, rest with the handling lawyer?  e. Does the applicant crosscheck its docket controls?  f. If Yes, how frequently?  If No, provided details on the Detail Information Addendum.	/es
23.	How many suits for fees were initiated by the Applicant against clients during the past 24 months?  a. How many have been resolved?  b. What percentage of fees are more than 90 days past due?  c. How frequently are invoices provided to clients?	
24.	Does the applicant utilize the following for <u>ALL</u> clients?  a. Engagement letters that include the scope of services & fee arrangements? Y  b. Non-engagement/declination letters? Y  c. Disengagement/closing letters? Y  If No, provide details on the Detail Information Addendum.	∕es ☐ No ☐ ∕es ☐ No ☐ ∕es ☐ No ☐
25.	Does the applicant maintain a conflict of interest avoidance system?	∕es □ No □
26.	Does the applicant communicate with clients by electronic mail?	∕es 🗌 No 🗍
27.	c. Does the applicant have a firewall installed to protect the network and prevent hacker attacks?	/es
28.	Has any application for Lawyers Professional Liability Insurance on behalf of the applicant, its predecessor firms or any lawyers proposed for this insurance been declined, policy canceled or renewal of such insurance been refused?  If Yes, provide details on the Detail Information Addendum.	∕es ☐ No ☐
29.	During the past five (5) years, has any claim or suit been filed against the applicant, its predecessor firms or any of the lawyers proposed for this insurance?	∕es ☐ No ☐
30.	After inquiry, is the applicant, its predecessor firms or any lawyer proposed for this insurance aware of:  a. any circumstance, act, error, omission or personal injury which could be the basis of a claim or suit?	/es ☐ No ☐

**NOTICE**: To avoid loss of coverage, it is imperative that all known claims and/or circumstances, acts, errors or personal injuries that could result in a professional liability claim against the applicant, its predecessor firms or any lawyers in the firm be reported to your current insurer within the time period specified in your current policy.

The undersigned represents and warrants that the statements set forth herein are true, complete and accurate and that there has been no attempt at suppression or misstatement of any material facts known, or which should be known, and agrees that this application and all supplements and attachments hereto shall become the basis of any coverage and a part of any policy that may be issued by the Company.

The execution of this application does not bind the undersigned to purchase any coverage offered, nor does the receipt and or review of this application bind the Company to offer coverage or issue a policy.

The undersigned understands and accepts that any policy issued will provide coverage on a Claims Made and Reported basis.

Warning: 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 and subjects the person to criminal and civil penalties.

#### **Notice To Arizona Applicants:**

For your protection, Arizona law requires the following statement to appear on this form. Any person who knowingly presents a false or fraudulent claim for payment of a loss is subject to criminal and civil penalties.

#### **Notice To California Applicants:**

For your protection California law requires the following to appear on this form. Any person who knowingly presents false or fraudulent claim for the payment of a loss is guilty of a crime and may be subject to fines and confinement in prison. Any person who knowingly files a statement of claim containing any false or misleading information is subject to criminal and civil penalties.

## **Notice to Colorado Resident 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 policy holder or claimant for the purpose of defrauding or attempting to defraud the policy holder 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 Delaware Applicants:**

Any person who knowingly, and with the intent to injure, defraud or deceive an insurer, files a statement of claim containing any false, incomplete or misleading information is guilty of a felony.

#### **Notice To District Of Columbia Applicants:**

It is a crime to provide false or misleading information to an insurer for the purpose of defrauding the insurer or any other person. Penalties include imprisonment and/or fines. In addition, any insurer may deny insurance benefits if false information materially related to a claim was provided by the applicant.

## Notice To Indiana Residents:

A person who knowingly and with the intent to defraud an insurer files a statement of claims containing any false, incomplete or misleading information commits a felony.

### Notice To Nevada Applicants:

Pursuant to NRS 686A.291, any person who knowingly and willfully files a statement that contains any false, incomplete or misleading information concerning a material fact is guilty of a felony.

### **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 Ohio Resident Applicants:**

Any person who, with intent to defraud or knowing that he/she 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 Pennsylvania Applicants:**

Any person who knowingly and with the 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 thereto commits a fraudulent insurance act, which is a crime and subjects such a person to criminal and civil penalties.

### **Notice To Virginia Applications:**

It is a crime to knowingly provide false, incomplete or misleading information to an insurance company for the purpose of defrauding the company. Penalties include imprisonment, fines and denial of insurance benefits.

#### APPLICANT'S AUTHORIZATION AND CERTIFICATION

The undersigned on behalf of the applicant firm and all members of the firm authorizes the release of all information to the Company from any past or present bar association of which any member of the firm is currently or has been a member; any person(s) who has information concerning any firm member's fitness to practice; any insurance company to which the applicant firm or any member of the firm has applied for professional liability insurance, whether such coverage was granted or not; and any employer for whom any member of the firm performed legal services, whether as an employee or an independent contractor.

The applicant firm and all members of the firm understand that the information requested by the Company may include, but not necessarily be limited to, any occurrence, incident, claim or suit in which any member of the firm may be or may have been involved; any denial, suspension, revocation or other disciplinary action taken by any bar association, governmental licensing authority, court, administrative agency or other appropriate authority; or any action of a civil or criminal nature taken against the firm or any member of the firm that resulted from or was alleged to have been a part of any professional activities. The applicant firm and all members of the firm understand that the information will be used in addition to the application in determining whether the Company will issue insurance to the firm.

The applicant firm and all members of the firm agree that the persons providing the information and their agents, directors and employees, shall not incur any liability as a result of any information released in good faith pursuant to this authorization including any errors, omissions or mistakes contained in such information.

The applicant firm and all members of the firm understand that this is an application for insurance, and shall not bind the Company to the issuance of insurance, nor shall it bind the firm to the acceptance of a policy.

THE UNDERSIGNED ON BEHALF OF THE APPLICANT FIRM AND ALL MEMBERS OF THE FIRM CERTIFIES THAT THE ABOVE APPLICATION HAS BEEN READ AND THAT ALL STATEMENTS MADE IN THIS APPLICATION ARE TRUE, MATERIAL AND COMPLETE. THE UNDERSIGNED UNDERSTANDS THAT: (1) IF THE POLICY IS ISSUED, THIS IS DONE BY THE COMPANY IN RELIANCE UPON THESE REPRESENTATIONS; AND (2) ANY COVERAGE OBTAINED BY FRAUD, MATERIAL MISREPRESENTATION OR OMISSION IS VOID.

Signature of Partner, Officer or Owner	Date
Print or Type Name	Title
Firm Name	

PROFESS				OR LAWYEI L SUPPLEM	RS AND LAW FIR ENT	MS				
Firm: Policy Number:					Effective Date:					
Application Instructions: Compl	lete this section for	ALL attorne	ys prop	osed for this in	nsurance.					
Name	Designation	State Admi		Year Admitted To Bar	Number CLE hours in the past 12 months	Date of Hire with Applicant Firm	Prior Firm Coverage Desired			
1.							□Yes □No			
2.							□Yes □No			
3.							□Yes □No			
4.							□Yes □No			
5.							□Yes □No			
6.							□Yes □No			
7.							□Yes □No			
8.							□Yes □No			
9.							□Yes □No			
10.							□Yes □No			
"O" Owner/Officer/Director	"P" Partner	" <b>E</b> " Emplo	oyed La	awyer " <b>OC</b>	" Of Counsel	"IC" Independe	nt Contractor			
Complete for	all Part-time, Of	Counsel, I	ndepe	endent Conti	ractors and Per D	iem Attorneys				
Name	Name Designation Specia		cialty Date of Hir		Hours Worked Per Week	Other Professional Liability Insurance?				
1.										
2.										
3.										
4.										
		Pred	ecess	or Firms						
Name of Firm	Dates of I	Existence		e of Merger Purchase	Insurance Company	Attorne	eys			
1.					. ,					
2.										
3.										
4.										
The undersigned represents that suppression or misstatement of a included in the basis of any covera Any person who includes any false penalties.  Signature of Partner, Officer or Ow	any material facts had a part of and a part of and a part of and or misleading information	known, or sh ly policy that	nould b may be	e known, and e issued by the cation for an in	agrees that this Ate Company.	torney Detail Sup	plement will be			
Signature of Lattier, Officer of Ow	nioi			D	aic					

# PROFESSIONAL LIABILITY INSURANCE FOR LAWYERS AND LAW FIRMS DETAIL INFORMATION ADDENDUM

Use this addendum to capture the detailed information requested in the Application. This addendum is a part of the application and will become a part of any policy issued. Any warranty or fraud statements on the signature page of the application are applicable to the information provided herein.

1.	Changes in number of attorneys of mo	ore than 30% in any one (1) year during	the past six (6) years:	_					
2.	Docket / Diary System:								
3.	Audit:								
4.	Fee Suits (include number resolved):								
5.	Conflict of Interest System:			_					
6.	Back-Up Attorney:								
7.	Engagement / Nonengagement / Dise	ngagement Letters:							
8.	Web Site Details:			_					
9.	Support Staff:								
	Position	Number	Responsibilities						
10.	Office Sharing / Staff Sharing / Letterh	nead Sharing Details:							
11.	Additional Office Locations:								
	Address	Purpose	Number attorneys	Number Support Staff					
10		and the constitution of the constitution							
12.	Employee of an organization other that	in the applicant firm:							
				_					
13.	Other Professional Services Details:								

14.	Area of Practice Details:
	a. Corporate General:
	b. Environmental:
	c. Fiduciary:
	d. Investment Counseling / Money Management:
	d. Investment Counseling / Money Management.
	11: 2: 1B :
	e. Limited Partnerships:
	f. Mergers & Acquisitions:
	g. Oil and Gas:
	h. Other:
	i Vantura Canitali
	i. Venture Capital:
15.	Disciplinary Action Details:
16.	Declination / Cancellation / Non-renewal Details:
17.	Additional Details:
17.	Additional Details.
The	indersigned represents and warrants that the statements set forth herein are true, complete and accurate and that there has been
	empt at suppression or misstatement of any material facts known, or that should be known, and agrees that this application and all ements and attachments hereto will become the basis of any coverage and a part of any policy that may be issued by the
	pany.
A	
	person who includes any false or misleading information on an application for an insurance policy is subject to criminal sivil penalties.
ana	The political section of the section
Sign	ture of Partner, Officer or Owner Date
Print	or Type Name
1 11111	or Type Name Title

# LAWYERS PROFESSIONAL LIABILITY INSURANCE REAL ESTATE AREA OF PRACTICE SUPPLEMENT

For the firm's Real Estate practice, please complete the following: Commercial (C) Number of **Percentage** Average Largest Real Estate Type of Representation Or Of **Cases Per** Real Estate Residential (R) **Practice** Year Value Value Closings Foreclosures Land Use/Development Leases Limited Partnerships **New Construction Syndications** Title Searches / Opinions Loan Modifications/Workouts Other: Does any lawyer doing Real Estate work have fewer than three (3) years of experience?......Yes Do independent title examiners perform title searches for closings handled by the firm? .......Yes No If yes, please attach a sample of the representation disclosure used. Does any lawyer in the firm have an interest in a title agency? .......Yes □No □ Does any lawyer in the firm hold a Real Estate Broker's or Agent's license, or a license as a broker/dealer, registered representative, investment advisor, mortgage banker or broker or similar capacity? .......Yes a. If yes, please provide name of lawyer(s) and full details of use of each license on a separate sheet. b. If No, are clients advised to seek an independent environmental evaluation?......Yes □No □ Does the firm provide an engagement letter, for each representation, that clearly defines the scope of 10. During the last six (6) years, has the firm or any attorney proposed for this insurance been involved in Real Estate Syndications, or the formation of Limited Partnerships? If yes, please explain on separate sheet....Yes \( \subseteq \text{No} \subseteq \) The undersigned represents that the statements set forth herein are true, complete and accurate and that there has been no attempt at suppression or misstatement of any material facts known, and agrees that this application shall be included in the basis of any coverage and a part of any policy that may be issued by the Company. Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties.

Signature of Owner, Officer or Partner

Date

Name of Applicant Firm

# PROFESSIONAL LIABILITY INSURANCE FOR LAWYERS AND LAW FIRMS PLAINTIFF SUPPLEMENT

1. F	or the firm's Bodily and Perso				intiff practice, comp	olete the f	ollowing:
	A.  Type of Case	B. Percentage of Billings	C. Average Number of Cases Per Year	D. Percentage of cases settled before trial	E. Average Award or Settlement		st Award tlement
	Automobile						
	Class Action						
	Employment related						
	Mass Tort						
	Medical Malpractice						
	Other Malpractice						
Ī	Product Liability						
Ī	Slip and Fall						
	Workers Compensation						
	Other (Specify):						
2. 3.	Average number of Plaintiff of Does the applicant accept re If Yes, average number of re	ferrals for any of the eferrals received per	above?year:			Yes 🗌	No 🗌
1.	Does the applicant refer any If Yes, average number of re						No 🗌
5.	Does an attorney meet with p	prospective clients p	rior to agreeing to rep	resentation?		Yes 🗌	No 🗌
6.	Are nonengagement letters, matters when representation	-				Yes 🗌	No 🗌
7.	What is the applicant's avera At least One Year prior: One to three Months Prior:	☐ Six Months	ng suit prior to the exp s to One Year Prior: One Month Prior:		re of limitations?	1	
₹	Are all settlement offers prov	_	_			Ves □	No $\square$
,.	Are all settlement oners prov	idea to the chefit(3) i	11 Willing:			163	140 🗀
9.	Are rejected settlement offers	s approved by the cli	ient(s) in writing?			Yes 🗌	No 🗌
10.	Has the applicant been invol-	ved in any Class Act	ion representation in t	he past six (6) year	rs?	Yes 🗌	No 🗌
ıt s	undersigned represents that uppression or misstatement o erage and a part of any policy	of any material facts	known, and agrees				
	person who includes any fals alties.	se or misleading info	rmation on an applica	ation for an insuran	ce policy is subject	to crimin	al and civ

# PROFESSIONAL LIABILITY INSURANCE FOR LAWYERS AND LAW FIRMS CLAIM INFORMATION SUPPLEMENT

This form **must be** completed in **its entirety** for each claim or incident within the past seven (7) years: 1. Full Name of Applicant / Insured Firm: 2. Full Name of Attorney(s) Involved as Defendant(s) in Claim: Name of Firm involved in Claim: \_\_\_\_\_\_ Additional Defendants: Full Name of Claimant: Claim/Suit ..... Incident .... a. Indicate Type: Open ..... Closed ..... b. Indicate Status: a. Date Claim/Incident made against Firm: b. Date Claim/Incident reported to Insurer: c. Name of Insurer Claim/Incident was reported to: \_\_\_ If Claim is **Closed**, answer a, b, & c below. If claim is **Open**, please go to Question 9. c. Total defense costs paid: \$\_\_\_\_\_ Total Indemnity paid: \$\_\_\_\_ Deductible paid: \$\_\_\_\_\_ If Claim is **Open**, answer each of the following (do not leave any blank): a. Claimants, settlement demand: b. Defendants offer for settlement: c. Insurer's Loss Reserve: \$\_\_\_\_\_ d. Insurer's Expense Reserve: e. Defense Expenses to date Applicant/Insured's estimate of settlement amount: 10. Description of alleged act, error or omission upon which claimant bases the Claim. Include events leading to the Claim. Please do not attach summons or complaint. Use reverse or additional sheets for more details: 11. Explain what action has been taken to prevent a recurrence of a similar Claim. Use reverse or additional sheets for more details. The undersigned represents that the statements set forth herein are true, complete and accurate and that there has been no attempt at suppression or misstatement of any material facts known, and agrees that this supplemental will be included in the basis of any coverage and a part of any policy that may be issued by the Company. Any person who includes any false or misleading information on an application for an insurance policy is subject to criminal and civil penalties. Signature of Partner, Officer or Owner Date