





**STAFFING**

3. (a) Please complete the **Insured Supplement for Lawyers Professional Liability Insurance** and attach a sample of your letterhead.

Total Number of Lawyers:

- (b) Does any lawyer named in Question (a) above have any other law partner, associate, of counsel, employed lawyer or office sharing arrangement other than those named in Question 1? If your Response is yes, and the other law partner, etc. appears on your letterhead but not in Question 1, complete the following:  Yes  No

Type of Practice	Insurance Company	Policy Number	Nature of Association with your firm

- (c) Provide the number of employees and/or support staff utilized: (There is no additional charge for non-legal staff.)

Law Clerks	Investigators	Abstractors	Accountants	Paralegal Personnel	Clerical Staff/Secretary	None

- (d) If you are a sole practitioner, please provide the name of the attorney(s) who would be responsible for your affairs if you were absent for an extended period of time (i.e. vacation, illness, etc).

Name: \_\_\_\_\_

Address (City, State, Zip): \_\_\_\_\_

Telephone Number: \_\_\_\_\_

**AREA OF PRACTICE**

4. (a) Indicate the total gross billable dollars for the last fiscal year \$ \_\_\_\_\_ Current Year: \$ \_\_\_\_\_

- (b) Indicate below the percentage of gross billables derived from the following areas of practice. If this is a newly established firm, please provide estimates.

	Last Yr	Current		Last Yr	Current
Administrative Law			Juvenile/Guardian Ad Litem		
Admiralty/Maritime			Labor Relations		
Arbitration/Mediation			Landlord/Tenant		
Banking/Financial Institutions Complete Supplement			Litigation:		
			General Commercial – Defense		
Bankruptcy			General Commercial – Plaintiff Complete Supplement		
Bonds: Federal, State or Municipal Complete Corresponding Supplement			Bodily Injury/Personal Injury – Defense		
			Bodily Injury/Personal Injury – Plaintiff Complete Supplement		
Business/Corporate			Insurance Defense		
Collection			Workers Compensation – Defense		
Copyright/Patent/Trademark- Complete Supplement			Workers Compensation - Plaintiff		
Corporate Formation/Acquisition/Mergers			Municipal Law – Do not include bond work		
Criminal			Oil & Gas		
Discrimination/Harassment-if plaintiff, complete supplement			Product Liability- if plaintiff, complete supplement		
Domestic/Family Law			Public Utilities		
Entertainment Complete Corresponding Supplement			Real Estate-Complete Supplement		
Environmental Complete Corresponding Supplement			Securities Law – State or Federal securities both exempt & registered. Include syndications, limited partnerships, prospectus, private placements, corporate bonds, etc.		
ERISA/Employee Benefits			Complete Corresponding Supplement		
Estate Planning/Probate/Trusts/Wills			Social Security		
Immigration			Taxation		
International Law			Tax Options		
Investment Counseling/Money Management Complete Corresponding Supplement			Other – If greater than 5% provide details		
			<b>TOTAL MUST EQUAL 100%</b>		

- (b) Does Any member of the firm provide professional services as an accountant? If yes, complete the following:  Yes  No

Type of Practice	Percent of Practice	Insurance Carrier	Expiration (Mo.-Day-Yr.)
	%		

- (c) In the past 5 years has any member of the firm practiced law in the capacity of prosecuting attorney, public defender, municipal counsel, state counsel, or in-house counsel? If yes, complete the following:  Yes  No

Name of Attorney	Entity	Services Provided	Firm's Percent of Practice	Insurance Carrier	Expiration (Mo.-Day-Yr.)
			%		

5. How many suits for collection of your legal fees were filed during the past fiscal year? # \_\_\_\_\_

**RISK MANAGEMENT**

6. (a) Does your firm's calendar control system include the following: (Please check all applicable categories)  
 Single Calendar  Yes  No    Dual Calendar  Yes  No    Tickler Cards  Yes  No  
 Computer  Yes  No    Master Listing  Yes  No    Other (describe) \_\_\_\_\_
- (b) Are at least 2 individuals involved in maintaining the calendar control system?  Yes  No
- (c) Please indicate how frequently time deadlines are cross-checked:  
 Daily     Weekly     Monthly     Other (describe) \_\_\_\_\_
- (d) Does the ultimate responsibility for the Calendar Control of a matter rest with the lawyer handling the matter?  Yes  No
7. (a) Does your firm require the use of engagement letters including fee agreements on all new matters undertaken by the firm?  Yes  No
- (b) Are declination or non-engagement letters issued on all matters declined by your firm?  Yes  No
8. (a) How does the firm maintain its conflict of interest avoidance system? (Please check all applicable categories)  
 Computer     Index File     Conflict Committee     Other (describe by attachment) \_\_\_\_\_
- (b) How often is the conflict of interest system updated?  
 Daily     Weekly     Monthly     Other (describe) \_\_\_\_\_
- (c) Does the firm's conflict of interest avoidance system disclose attorney-client relationships established by newly hired lawyers, partners, predecessor, merged, or acquired firms?  Yes  No
- (d) Are business ventures permitted with clients of the firm? **IF YES, PLEASE PROVIDE DETAILS**  Yes  No
- (e) If any lawyer of the firm becomes aware of a conflict of interest, do they disclose it in writing to all parties involved and all partners? If no, explain by attachment.  Yes  No
- (f) In the past 5 years, has any current or past lawyer of the firm served or is currently serving as a director, officer, partner or employee of any past or present CLIENT? **IF YES, COMPLETE OUTSIDE INTEREST SUPPLEMENTAL APPLICATION.**  Yes  No
- (g) Has any current or past lawyer of the firm had, or currently have, any equity interest in any past or present CLIENT? **IF YES, COMPLETE OUTSIDE INTEREST SUPPLEMENTAL APPLICATION.**  Yes  No
9. Has any current or past lawyer of the firm provided any professional services to, acted as a director, or serve on an internal committee of a financial institution (defined as a savings and loan, bank, credit union, savings association, building and loan association or any other banking institution, holding company or affiliate thereto) within the past 5 years?  Yes  No
- If "yes," please complete the attached **Outside Interest Supplemental Application**.
10. Has any current or past lawyer of the firm performed any legal services in connection with the offer and sale of securities within the past 5 years?  Yes  No
- If "yes," please complete the attached **SEC Supplement**.

11. (a) Has any current or past lawyer of the firm performed any federal, state or municipal bond engagements within the past five years?  Yes  No
- (b) In the past 5 years, has any member of the firm provided any legal services in connection with the offer and sale of bonds issued by the United States or any State Municipality, political subdivision or public instrumentally of the U.S., state, or any municipality?  Yes  No

If "yes" to b. above, please complete the attached **Bond Supplement**.

12. (a) Does the firm delegate, sub-contract and/or have any split fee arrangements?  Yes  No
- (b) If "yes", what percentage of your total revenue is derived from these arrangements? \_\_\_\_\_%
- (c) Are the firms associated with these arrangements insured?  Yes  No

13. Does the firm receive more than 25% of its gross billings from a single client?  Yes  No

If "yes", please provide the name of the client, industry, percentage or gross billings and services provided on a separate sheet.

**CLAIMS AND DISCIPLINARY ACTION**

14. Has any current or past lawyer of the firm listed on the **Insured Supplement**:
- (a) Had his/her legal license or authority to practice law revoked?  Yes  No
- (b) Been subject to disciplinary action by any state or local bar or ABA?  Yes  No
- (c) Been subject to any fine, reprimand or criminal penalty related to performance of professional services?  Yes  No
- (d) Has applicant firm, predecessor in business or lawyer had their lawyers professional liability insurance denied, cancelled or non-renewed (other than due to loss of market)?  Yes  No

If "yes" to any of the above, please explain below, including the date and outcome.

15. (a) Have any claims or suits been brought against any lawyer listed on the **Insured Supplement**, a predecessor of the firm or any current or past partner, officer, owner or employed lawyer thereof during the past 5 years?  Yes  No
- (b) Having inquired of all partners, officers, owners and employed lawyers, are there any circumstances which may result in a claim being made against the firm, its predecessors or any current or past partner, officer, owner or employed lawyer of the firm?  Yes  No

If "yes" to 15.a or b., please complete the attached **Supplemental Claim Form** for each claim or circumstances which could give rise to a claim.

**PRIOR INSURANCE**

16. (a) Was lawyers professional liability insurance carried by you, your firm or previous firms during the past FIVE (5) years? If "yes", list by year.

Inception (Mo./Day/Yr.)	Expiration (Mo./Day/Yr.)	Insurance Company	Premium	Limits	Deductible	Per Claim Or Aggregate Deductible

- (b) Has the firm or any lawyer listed on the **Insured Supplement** purchased an endorsement to extend the claims reporting period? (i.e., tail, extended reporting endorsement, ERP, etc.)  Yes  No
- If "yes", complete the following:

Lawyer/Firm who purchased: \_\_\_\_\_

Effective Date of endorsements: \_\_\_\_\_ Length of reporting period: \_\_\_\_\_ months

(c) Does your current policy, or any individual lawyer in the firm, have a prior acts exclusion?  Yes  No  
(Please provide a copy to ensure proper rating.)

Firm/Lawyer \_\_\_\_\_ Mo./Day/Yr. \_\_\_\_\_  
Effective Date of Exclusion

Attach a separate sheet, if necessary.

(d) Does your current policy, or any individual lawyer in the firm have any restrictive endorsements?  Yes  No

If "yes," please provide a copy of any restrictive endorsements.

17. **CONTINUING LEGAL EDUCATION**

What is the total number of hours of continuing legal education within the past 12 months for all lawyers listed on the **Insured Supplement**?

**Notice to Applicant – Please Read Carefully**

**THE APPLICANT REPRESENTS THAT THE ABOVE STATEMENTS AND FACTS ARE TRUE AND THAT NO MATERIAL FACTS HAVE BEEN SUPPRESSED OR MISSTATED.**

Applicant acknowledges a continuing obligation to report to the Company as soon as practicable any material changes in the facts and statements above, and in each supplemental application, of which applicant becomes aware after signing the application.

**NOTE:** In applying for coverage, applicant agrees that covered losses must be defended by a Company lawyer and that the deductible applies to damages and claim expenses, investigation costs and legal fees. If applicant elects to handle a claim without involving the Company, then the policy may not afford coverage for such claim.

**COMPLETION OF THIS FORM DOES NOT BIND COVERAGE. APPLICANT'S ACCEPTANCE OF COMPANY'S QUOTATION IS REQUIRED PRIOR TO BINDING COVERAGE AND POLICY ISSUANCE. IT IS AGREED THAT THIS FORM SHALL BE THE BASIS OF THE CONTRACT SHOULD A POLICY BE ISSUED, AND IT WILL BE ATTACHED TO THE POLICY.**

Applicant hereby authorizes the release of claim information from any prior insurer to the Company indicated above.

Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any false information, or conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act.

Signing this form and tendering premium does not bind the applicant or the Company to complete the insurance. Application must be signed and dated to be considered for quotation.

\_\_\_\_\_  
Applicant Signature (Must be signed and dated in ink by an Owner, Partner or Officer)

\_\_\_\_\_  
Print or Type Name and Title

\_\_\_\_\_  
Date (Mo.-Day-Yr.)

**NOTICE:**

Failure to report:

1. any claim made against you during your current policy term, or
2. any facts, circumstances or events which may give rise to a claim to your current insurance company BEFORE policy expiration may create a lack of coverage.