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**APPLICATION FOR LAWYERS
PROFESSIONAL LIABILITY
INSURANCE**

(Claims Made and Reported Basis)

APPLICANT'S INSTRUCTIONS:

1. Answer all questions. If more details are required, please attach a separate sheet.
2. Application must be signed and dated by owner, partner or officer.
3. PLEASE READ CAREFULLY THE STATEMENTS AT THE END OF THIS APPLICATION.
(PLEASE TYPE OR PRINT)

1. APPLICANT INFORMATION:

- a. Full name of applicant:
- b. Principal Business Address:
- c. Please list any secondary locations on a separate sheet and include number of lawyers at each location.

COMPLETE THE INSURED SUPPLEMENT

- d. (i) Number of attorneys _____ (iii) Number of clerical or support staff _____
(ii) Number of Paralegals or law clerks _____ (iv) Other - please describe _____
- e. Specify if: Partnership Corporation Year established: _____
- f. **(i) Limits of Liability include Damages and Claim Expenses.**
Limits of Professional Liability Requested: \$ _____
(Limits and Deductible in policy will govern coverage.)
- (ii) Deductible applies to Damages and Claim Expenses for each claim.**
Deductible Requested: \$ _____ Effective Date Requested: _____

2. BUSINESS OPERATIONS

- a. List on separate attachments the names of all predecessor firms whose assets and liabilities the Firm assumed during the past 10 years, include the name(s) of the firm(s), the year established, the number of lawyers, and the location.
- b. Does the firm share or lease space with any other firm or entity? Yes No
If so, please advise of the entity' name and the specific circumstances on a separate attachment.
- c. Please advise of any foreign affiliated or associated firms and provide a detailed narrative of the name of the relationship on a separate attachment.
- d. Provide corporate brochure(s) and/or firm resume.
- e. (i) Does any member of the Firm while rendering legal services also provide investment counselor services or provide tax opinions on tax shelters? Yes No
If yes, please describe the nature of the services provided and the types of clients to which such services are provided on separate attachment.
- (ii) Does any member of the firm on behalf of its clients perform legal services involving the formation or sale of syndications or limited partnerships? Yes No
If yes, on separate attachment, describe services performed and details, including number of formed during the past two years, total dollar amount of each and the nature of the investment.

2. BUSINESS OPERATIONS (CONTD.)

f. Indicate the approximate percentage of gross billable dollars from practice devoted to:

Admiralty/Maritime	_____%	Criminal	_____%	Syndication/Development	_____%
Anti-Trust/Trade Reg.	_____%	Domestic Relations	_____%	Securities Law*:	
Banking	_____%	Entertainment	_____%	Federal SEC	_____%
Bankruptcy	_____%	Estate/Probate/Trust	_____%	State	_____%
BI/PI Defendants	_____%	International Law	_____%	Private Placements	_____%
BI/PI Plaintiffs:		Labor	_____%	Bonds	_____%
Anticipated fees per case less		Litigation:		Taxation	
that \$25,000	_____%	Plaintiff	_____%	Preparation	_____%
Anticipated fees per case		Defense	_____%	Opinions	_____%
greater than or equal to \$25,000	_____%	Municipal	_____%	Other** _____	_____%
Collection/Repossession	_____%	Oil and Gas	_____%	_____	_____%
Communications	_____%	Public Utilities	_____%		
Copyright/Patent/TM	_____%	Real Estate		TOTAL INCOME:	100 %
Corporate (general)	_____%	Closings	_____%		
Corp. Mergers/Acquisitions	_____%	Escrow/Title	_____%		

* Complete Securities Supplement.

** Over 5% Specify.

g. Are any major changes foreseen in the percentage shown in question (f) for the current fiscal year? Yes No
If yes, please provide narrative details on a separate attachment.

h. Specify the firm's total gross revenues:

Last fiscal year:	From _____ to _____	Gross Revenues	\$ _____
Estimate current fiscal year:	From _____ to _____	Gross Revenues	\$ _____

i. Is any lawyer listed in the Insured Supplement serving as a director, officer or partner of or exercising any fiduciary control over any entity other than the firm? Yes No
If yes, complete the Outside Interests Supplement

REFER TO POLICY EXCLUSIONS REGARDING THESE ACTIVITIES

j. Other than those positions referenced in question (i), does the firm or any lawyer or employee of the firm ever invest in the business of a client? Yes No
If yes, please provide on separate attachment full details of such relationship.

REFER TO POLICY EXCLUSIONS REGARDING THESE ACTIVITIES

k. Except as listed in question i and j, does the firm or any of its members engage in any occupation, business or profession other than the practice of law? Yes No
If yes, please provide narrative details on a separate attachment.

l. (i) Are custodial accounts (i.e., money, securities and other property held on behalf of clients) audited by an independent, outside auditor? Yes No

(ii) Are two signatures required for all withdrawals of funds from custodial accounts? Yes No

m. With respect to the total of all custodial accounts other than retainer fees, what is the average dollar amount and the maximum dollar amount held or maintained on behalf of the firm's clients?

Average: \$ _____ Maximum: \$ _____

n. Does the firm maintain a fidelity bond covering all employees? Yes No

2. BUSINESS OPERATIONS (CONTD.)

o. (i) Please describe by separate attachment the firm's procedures for the acceptance of new business including conflict of interest checks and who has the authority to accept new business.

(ii) Does the firm make use of engagement letters with its new clients? [] Yes [] No

3. HISTORY

a. Over the past five years, has the Firm opened or closed any branch office or had a single loss of 25% or more of the lawyers of the Firm? [] Yes [] No
If yes, please provide details by separate attachment.

b. (i) Has the firm or any predecessor firm or any lawyer listed in the Insured Supplement ever had any insurance company or Lloyd's decline, cancel, refuse to renew or accept only on special terms any professional liability insurance? [] Yes [] No
If yes, please explain:

(ii) Has any lawyer listed in the Insured Supplement ever been the subject of a reprimand or disciplinary action or refused admission to the Bar? [] Yes [] No
If yes, please explain on a separate attachment.

(iii) During the past seven years, has any professional liability claim or suit been made against any lawyer listed in the Insured Supplement or against the firm or any predecessor firm? [] Yes [] No
If yes, a SUPPLEMENTAL CLAIM INFORMATION form must be completed for each claim.

(iv) After inquiry, does the firm or any person proposed for this insurance have knowledge of any incident, circumstance, act, error, omission or personal injury which may give rise to a claim? [] Yes [] No
If yes, provide a complete description of each on a separate attachment. It is agreed that if there be knowledge of any such incident, circumstance, error, omission or personal injury, any claim subsequently emanating therefrom shall be excluded from coverage under the proposed insurance.

c. Please provide a list by separate attachment of all clients that represent 5% or more of the firm's total billable dollars or contribute \$1,000,000 or more to the firm's income annually.

d. List lawyers professional liability insurance carried for each of the past five years. IF NONE, STATE NONE.

Inception	Expiration	Insurance Company	Policy No.	Limit of Liability	Deductible	Premium
From 19____	To 19____	_____	_____	_____	_____	_____
From 19____	To 19____	_____	_____	_____	_____	_____
From 19____	To 19____	_____	_____	_____	_____	_____
From 19____	To 19____	_____	_____	_____	_____	_____
From 19____	To 19____	_____	_____	_____	_____	_____

3. HISTORY (CONTD.)

e. Year 2000 systems problem:

- (i) Do your computer systems store a four-digit year? [] Yes [] No
- (ii) If NO, please attach a description of corrective measures taken to resolve the systems problem presented by the year 2000, including the date upon which you anticipate the problem will be solved.
- (iii) If it is computerized, have you tested your docket control software for year 2000 compliance? [] Yes [] No

NOTICE TO APPLICANT: The coverage applied for is SOLELY AS STATED IN THE POLICY, which provides coverage on a "CLAIMS MADE" basis for ONLY THOSE CLAIMS THAT ARE FIRST MADE AGAINST THE INSURED DURING THE POLICY PERIOD unless the extended reporting period option is exercised in accordance with the terms of the policy.

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 thereto commits a fraudulent insurance act, which is subject to criminal and civil penalties.

WARRANTY: I warrant to the Insurer, that I understand and accept the notice stated above and that the information contained herein is true and that it shall be the basis of the policy of insurance and deemed incorporated therein, should the Insurer evidence its acceptance of this application by issuance of a policy.

Name of Applicant

Title (Officer, partner, etc.)

Signature of Applicant

Date

SIGNING this application does not bind the Applicant or the Insurer or the Underwriting Manager to complete the insurance, but one copy of this application will be attached to the policy, if issued.

**SECURITIES SUPPLEMENT
APPLICATION FOR LAWYER'S PROFESSIONAL LIABILITY INSURANCE**

(Complete Only if the Firm does Securities Offerings, Private Placements or Bond Work)

FIRM: _____

1. Indicate the approximate amount of billable dollars derived from securities exempt and non-exempt work including federal SEC, state securities, private placements and bonds:
\$ _____

2. Briefly describe your SEC practice qualifications including whether any lawyers of the Firm involved in such activities have in the past been SEC staff members, practiced before the SEC or been cautioned or disqualified by the SEC. Provide narrative by separate attachment.

3. (a) Indicate by a check those procedures employed by the Firm in security (exempt and non-exempt) matters including private placements and bonds:

- | | | | |
|---------------------------------|-------|---|-------|
| Investigate client | _____ | Check on federal reporting systems for prior criminal convictions | _____ |
| Investigate other participants | _____ | Court/regulatory investigation | _____ |
| Investigate other professionals | _____ | SEC filings filed and in order | _____ |
| Checklist | _____ | Check on tax opinion | _____ |
| On-site inspections | _____ | Render tax opinion | _____ |
| Review of corporate character | _____ | Check on prior injunctive actions in the SEC | _____ |
| Check on feasibility study | _____ | | |

(b) If the firm uses procedures other than those listed in 3(a) above, please describe by separate attachment.

4. Using the chart on the following page, list securities offerings (exempt and non-exempt), private placements and bond offerings handled in the past two years including the year, name of insurer, type of transaction, type of business, underwriter, accountant, dollar size of offering and party represented by Firm.

I/We understand information submitted herein becomes a part of my/our professional liability application and is subject to the same representations and conditions.

Name of Applicant*

Title (Officer, partner, etc.)

Signature of Applicant*

Date

***MUST BE SIGNED BY A MEMBER OF THE FIRM'S MANAGEMENT COMMITTEE OR GOVERNING BODY.**

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**SUPPLEMENTAL CLAIM
 INFORMATION FOR LAWYERS
 PROFESSIONAL LIABILITY
 INSURANCE**

(Claims Made and Reported Basis)

APPLICANT'S INSTRUCTIONS:

1. Answer all questions. If more details are required, please attach a separate sheet.
2. Application must be signed and dated by owner, partner or officer.
3. This form is to be completed by Applicant who has been involved in any claim or suit or aware of an incident which may give rise to a claim.
4. **Complete one form for each claim or incident.**
5. PLEASE READ CAREFULLY THE STATEMENTS AT THE END OF THIS APPLICATION.
 (PLEASE TYPE OR PRINT)

APPLICANT INFORMATION

a. Firm Name: _____

b. Claimant Name: _____

c. Name of Individual(s) at Firm Involved in Claim: _____

d. Indicate whether: _____ Claim/Suit, or _____ Incident

e. Date of alleged error: _____ Date of claim: _____

f. Additional defendants: _____

g. **IF CLOSED:** Total Loss Paid including Deductible: \$ _____
 Indicate whether _____ Court judgment, or _____ Out of court settlement

IF PENDING: Claimant's settlement demand? \$ _____
 Defendant's offer for settlement? \$ _____
 Insurer's loss reserve? \$ _____
 Deductible? \$ _____
 Is claim in Suit? [] Yes [] No
 If yes, Amount asked in summons? \$ _____

h. Name of Insurer: _____

i. Description of claim: (Provide enough information to allow evaluation, and use reverse side if additional space is required.)

(i) Alleged act, error or omission upon which Claimant bases claim: _____

(ii) Description of case and events: _____

(iii) Description of the type and extent of injury or damage allegedly sustained: _____

j. Firm's evaluation of likelihood of liability: _____

k. Explain what action has been taken by the firm to prevent recurrence of the same type of claim. _____

I/We understand information submitted herein becomes a part of my/our professional liability application and is subject to the same representations and conditions.

 Name of Applicant* Title (Officer, partner, etc.)

 Signature of Applicant* Date

***MUST BE SIGNED BY A MEMBER OF THE FIRM'S MANAGEMENT COMMITTEE OR GOVERNING BODY.**