

APPLICATION FOR PATENT PRACTITIONERS PROFESSIONAL LIABILITY INSURANCE

NON-INTELLECTUAL PROPERTY AREAS OF PRACTICE SUPPLEMENTAL APPLICATION

NAME OF THE APPLICANT _____

1. Indicate Percentage of Total Gross Billings derived from the following Areas of Practice, where applicable:

- Admiralty _____%
- Banking _____% **Complete Financial Institutions Question #3 below**
- Bankruptcy _____%
- B.I. / P.D. Defense _____%
- B.I. / P.D. Plaintiff _____%
- Corporate - Formation / Alteration _____%
- Corporate - General _____%
- Criminal _____%
- Domestic Relations _____%
- Entertainment _____%
- Estate / Probate / Trust _____%
- Labor Relations _____%
- Money Management _____%
- Municipal Law _____%
- Oil & Gas _____%
- Real Estate _____%
- Securities Practice including:
 - a. Syndications
 - b. Tax Shelters
 - c. Limited Partnerships _____% **Complete SEC / Securities Question #2 below.**
- Taxation _____%
- Other - Please describe

2. **SEC / SECURITIES PRACTICE**

A. What percentage of the Applicant's Total Gross Billings involved the following areas of practice during its most recent fiscal year?

- 1. Securities registered under the Securities Act of 1933 _____%
- 2. Municipal Bonds _____%
- 3. Private Placements and State Registrations _____%

4. Representations of clients as to compliance with proxy and reporting requirements under the Securities Exchange Act of 1934 other than takeovers or mergers of publicly held companies. _____%

5. Representations of clients as to compliance with proxy and reporting requirements under the Securities Exchange Act of 1934 in relation to takeovers or mergers of publicly held companies. _____%

6. Syndications / Tax Shelters / Limited Partnerships _____%

7. Other Securities Services - Please describe and enter total percentage below:

B. 1. Does the Applicant conduct what is commonly referred to as a "Due Diligence" investigation when representing clients as to the offering or sale of securities? _____%
 Yes No

2. If "yes", does the Applicant make routine use of checklists in its investigations? Yes No

C. During the past five (5) years, has the Applicant been involved in, or had knowledge of any facts which would indicate that Applicant may be included in an investigation of administrative action by the SEC or any state agency regulating securities? Yes No

If "yes" please give details on a separate addendum.

D. During the past two (2) years, has the Applicant represented any client(s) in a hostile or contested takeover or merger? Yes No

If "yes", please provide the following information in relation to each such representation and indicate whether Applicant represented the "Acquiring Company" the "Target Company".

<u>Name of Acquiring Company</u>	<u>Client</u>	<u>Name of Target Company</u>	<u>Client</u>	<u>Value of Transaction</u>
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	\$ _____

3. FINANCIAL INSTITUTIONS PRACTICE

A. Indicate the type(s) of legal services rendered to Applicant's Financial Institution clients:

- | | | | |
|-----------------------|--------------------------|-------------------------|--------------------------------|
| a. General Counsel | <input type="checkbox"/> | e. Stock Offering | <input type="checkbox"/> |
| b. Regulatory Counsel | <input type="checkbox"/> | f. SEC Counsel | <input type="checkbox"/> |
| c. Loan Documentation | <input type="checkbox"/> | g. Fidelity Bond Claims | <input type="checkbox"/> |
| d. Loan Closing | <input type="checkbox"/> | h. Other (Specify) | <input type="checkbox"/> _____ |

- B. During the past five (5) years, have any of the Applicant's Financial Institution clients:
- a. Failed Yes No
 - b. Been merged or sold at regulatory direction Yes No
 - c. Been placed under conservator ship control Yes No
 - d. Begun operating under any form of regulatory agreement Yes No

If "yes" to any of the above, please describe below, including the full name and address of the Financial Institution(s). Attach a separate addendum if additional space is required:

- C. During the past five (5) years, has the FDIC or FSLIC or their successors filed any lawsuit, or is any litigation pending against any director or officer of the Financial Institution(s) identified in Part B above? Yes No

If "yes", please describe below including the name of the Financial Institution(s). Attach a separate addendum if additional space is required:

- D. During the past five (5) years, has the firm been contacted by the FSLIC or FDIC or their successors with regard to any of the legal services performed by the firm for the Financial Institution(s) identified in Part B above? Yes No

If "yes", please describe below including the name of the Financial Institution(s). Attach a separate addendum if additional space is required:

I UNDERSTAND INFORMATION SUBMITTED HEREIN BECOMES PART OF THE APPLICANT'S LAWYERS PROFESSIONAL LIABILITY APPLICATION AND IS SUBJECT TO THE SAME REPRESENTATIONS AND CONDITIONS.

AUTHORIZED SIGNATURE OF APPLICANT

TITLE

DATE