

TWIN CITY FIRE INSURANCE COMPANY

Name of Insurance Company to which Application is made

LAWYERS PROFESSIONAL LIABILITY INSURANCE APPLICATION

This is an application for a CLAIMS-MADE AND REPORTED Policy

If a policy is issued this application will attach to and become part of the policy, therefore, it is important all questions are answered accurately. If additional space is required, please provide complete details on Applicant Firm's letterhead.

GENERAL INFORMATION

Principal Address: County: Cou	ontact Nan other offic Locations / h/Day/Year) oner	Stateme: Stateme: Stateme: Stateme: Stateme: Statement of Supplement of Supple	r cases i	Zip: Emai	l Address:	□ Yes			
Does the Applicant Firm practice from any If "Yes", please complete the Additional Leach location. Date Applicant Firm Established:/(Month Applicant Firm is a (an): Sole Practitio LLC If you are a sole practitioner, identify the at Name: City/	/ other office cocations / h/Day/Year) oner	ce location(s)? Supplement Partnership LLP no handles you	and attac □ Profe □ Othe	ch a samp essional A er: n your abs	ole of firm's let	tterhead for orporation			
If "Yes", please complete the Additional Leach location. Date Applicant Firm Established:/(Month Applicant Firm is a (an): Sole Practitio LLC If you are a sole practitioner, identify the at Name: City/	/ h/Day/Year) oner	Partnership LLP no handles you	and attac □ Profe □ Othe ur cases i	essional Aer:	ole of firm's let	orporation			
Applicant Firm is a (an): Sole Practition LLC If you are a sole practitioner, identify the at Name: City/	oner	Partnership LLP no handles you	☐ Othe	er: n your abs					
☐ LLC If you are a sole practitioner, identify the at Name: City/	☐ I	LLP no handles you	☐ Othe	er: n your abs					
Name: City/	-	•		•	sence	🗆 N/A			
	/State:								
Is the Applicant Firm engaged in the full-tir				Phone	e ()				
	me, private	e practice of la	ıw?			🗆 Yes			
Other than Yellow Page Listings, does the Applicant Firm advertise?									
☐ Yellow Pages Ad ☐ Fliers ☐ Radio ☐ Television		Newspapers Internet		Periodica Other	ls				
List all predecessor firm(s) of the Applicant (Name only those firms where the Appli		□ N/A n is majority s	successo	or to the fo	ormer firm's as	ssets and liabilities			
Name of Predecessor F	edecessor Firm			Establishe Dissolved		entage of Assets gned Successor			
		/							
				/					
				/					
Provide the total number of non-attorney e	mpleyees	utilizad by tha	Appliant	at Eirm as:	L				
<u> </u>	estigators	Abstractors		Agents	Clerical	Other			

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Es	timate for Current Calendar		Last Cale			d Prior Calenda		
	any client represent more t s ", please list.	han 25% (🗆 Yes	□ No
	Name of Client		Industry	Le	egal Services Prov	ided	% of Firm's revenue	
			ATTORNEY					
List al	Il attorneys associated with	the Applic	ant Firm: (Include	e yourself if y	you are a Sole Pra	actitioner)		
	Attorney's Name	D-C*	If IC/OC, Hours Worked Per Week	State/Year Admitted to Bar	Date Started in Private Practice (mm/dd/yy)	Date Joined Applicant Firm (mm/dd/yy)	Attend Continu Educat within the year'	iing ion past
					//	//	☐ Yes □	□No
					//	//	□ Yes □	□No
					//	//	☐ Yes □	□No
					//	//	☐ Yes □	□No
					//	//	☐ Yes □	□No
					//	//	☐ Yes □	□ No
					//	//	☐ Yes □	□ No
					//	//	☐ Yes □	□ No
					//	//	☐ Yes □	□ No
					//	//	☐ Yes □	□ No
					//	//	□ Yes □	□No
O : P : RP : Does in-hou to and If "Ye.	= Partner	nt Firm action or gov	OC = Of Cou	nder, prosecu /, or an indep	S : ting attorney, publi endent contractor	or Of Counsel		□ No
insura If " Ye	any attorney or non-attorne ance agent or broker, invest ss", please indicate name, ty these services are provide	ment advi	ser, real estate ag vices provided, pe	jent or broker rcentage of til	or securities agen me spent, under w	t or broker? <i>hich</i>	🗆 Yes	□ No
to or s	any attorney or former attorn served as a fiduciary, common oer of any Financial Instituti s", please complete the Fin	nittee men on?	nber, officer, direct	tor, partner, e	mployee, principal	shareholder or		□ No
المم د	any attorney or former attorn	ney of the	Applicant Firm. in	the past six (6) years, provided	legal services:		
nas a	, , , , , , , , , , , , , , , , , , , ,	,		(
	To issuers, underwriters or	affiliatee t	hereof with respe	ct to the leeus	ance offering or sa	le of securities?	∏ Vac	

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AREAS OF PRACTICE

17. Based on the Applicant Firm's gross revenue for the last fiscal year, indicate the percentage of revenue derived from the following areas of practice. The total must equal 100%. (If Applicant Firm is newly established, please provide best estimate).

Area of Practice	%	Area of Practice	%
Administrative	%	Investment Counseling/Money Management	%
Admiralty/Maritime – Defense	%	Loans	%
Admiralty/Maritime – Plaintiff (6)	%	Labor Law – Management	%
Antitrust/Trade Regulation	%	Labor Law – Union	%
Arbitration/Mediation	%	Labor Litigation- Defense	%
Aviation	%	Labor Litigation – Plaintiff (6)	%
Banking/Financial Institutions (1)	%	Litigation – Commercial – Defense	%
Bankruptcy	%	Litigation – Commercial – Plaintiff (6)	%
BI/PI – Defense	%	Mergers and Acquisitions	%
BI/PI – Plaintiff ⁽⁶⁾		Municipal/Governmental – Zoning & Planning	%
General Liability (6)	%	Municipal/Governmental – Other (Not Bonds)	%
Medical Malpractice (6)	%	Oil/Gas/Minerals	%
Other Plaintiff (6)	%	Patent (2)	%
Civil Rights/Discrimination	%	Public Utilities	%
Collection/Repossession/Foreclosures	%	Real Estate ⁽⁴⁾	
Communication/FCC	%	Real Estate – Commercial ⁽⁴⁾	%
Copyright/Trademark (Not Patent) (2)	%	Real Estate – Escrow Agent (4)	%
Corporate – Formation/Alteration	%	Real Estate – Residential (4)	%
Corporate – General *		Real Estate – Title Work (4)	%
*If >25% please provide complete details on separate sheet.	%	Real Estate – Syndication/Development (4)	%
Criminal	%	School Law	%
Family Law		Securities/Bonds/Secured Transactions (5)	%
Divorce	%	Social Security/Elder Law	%
All other Family Law	%	Taxation	
Eminent Domain	%	Tax – Corporate/Business Opinions	%
Employee Benefit Plans/ERISA	%	Tax – Corporate/Business Preparations	%
Entertainment/Sports (3)	%	Tax – Individual	%
Environmental – General (4)	%	Water Rights	%
Environmental – Litigation	%	Wills/Estate Planning/Probate/Trusts	%
Foreign (Non-U.S. Law)/International	%	Workers Compensation – Defense	%
Healthcare	%	Workers Compensation – Plaintiff (6)	%
Immigration	%	Other (Describe):	
Insurance	%		%
	•	The total must equal 100%	%

If the Applicant Firm practices in any area(s) above with a numerical notation(s), complete the associated **Supplement** as follows:

(1) = Financial Institutions

(3) = Entertainment

(5) = Securities

(2) = Copyright Patent Trademark

(4) = Real Estate

(6) = Plaintiff Litigation

SYSTEMS AND PROCEDURES

10.	DOC	ter control system and procedures.		
	a.	Does the Applicant Firm utilize at least two independent date controls to ensure that deadlines are met for litigated and non-litigated items?	☐ Yes	□ No
	b.	Indicate all types regularly utilized: □ Single Calendar □ Dual Calendar □ Pocket Calendar □ Computer □ Master Listing □ Tickler System □ Other (Describe):	☐ Yes	□ No
	c.	Are two separate individuals entering dates into different date control systems for the same matter?	☐ Yes	□ No
	d.	Are the entries in different systems being cross-checked on a regular basis?	☐ Yes	□ No
	e.	Who is calculating the follow-up dates to be entered into the systems?		
	f.	If the answer to the above is not an attorney, does an attorney regularly review them to make sure the proper date has been selected?	☐ Yes	□ No
	g.	If you are a Sole Practitioner with no employees, who is providing back-up for these systems in the event of your extended absence?	□ N/A	
	h.	Does the Applicant Firm have a procedure in place to ensure that calendar entries are being reviewed and responded to for any attorney who is absent from the office?	□ Yes	□ No
19.	Cor	nflict of interest avoidance system(s) and procedures:		
	a.	Does the Applicant Firm have procedures in place that include the regular use of a conflict of interest avoidance system when accepting new clients or a new matter from existing clients?	☐ Yes	□ No
	b.	Indicate method(s) used to achieve conflict checks: ☐ Personal Memory ☐ Computer ☐ Index File ☐ Conflict Committee ☐ Client Lists ☐ Other (Describe):		
	C.	Does this procedure capture attorney-client relationships established by predecessor, merged or acquired firms?	☐ Yes	□ No
	d.	Does the Applicant Firm disclose to clients, in writing, all actual or potential conflicts of interest?	☐ Yes	□ No
	e.	Upon disclosure of actual or potential conflicts, does the Applicant Firm always obtain written consent to perform ongoing legal services or decline further representation in writing?	☐ Yes	□ No
20.	par	s any current or former attorney of the Applicant Firm or predecessor firm served as an officer, director, tner, employee, principal shareholder or member of any client?	☐ Yes	□ No
21.		s any current or former attorney (including their spouse) of the Applicant Firm or predecessor firm owned an ity interest in any client? If "Yes", please complete the Outside Interest Supplement.	☐ Yes	□ No
22.	suc	any current or former attorney of the Applicant Firm or predecessor firm served as a trustee or fiduciary has an administrator, conservator, executor, guardian, receiver, escrow agent of any client?	☐ Yes	□ No
23.		es the Applicant Firm require the use of engagement letters including fee arrangements on all new matters lertaken?	☐ Yes	□мс
		No", please explain how misunderstandings about the scope and cost of services provided are prevented.	<u> Пез</u>	
24.		declination or non-engagement letters issued on all matters declined by the Applicant Firm?	☐ Yes	□No
25.	to d	hin the past five (5) years, has the Applicant Firm or predecessor firm sued to collect fees or threatened o so?	☐ Yes	□ No
	If "Y	'es ", please indicate number and explain the steps being taken to prevent countersuits for malpractice.		
26.		at percentage of the Applicant Firm's accounts receivable are over ninety (90) days past due?ore than 30%, please explain how the firm manages accounts receivables?		

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INSURANCE COVERAGE HISTORY

Limits of Liability

Retention/

Number of

Annual

27. List the Lawyers Professional Liability Insurance coverage carried by the Applicant Firm or predecessor firms during the past five (5) years, including any periods without coverage. If no past coverage, indicate NONE.

Effective

Expiration

	Eπective (mm/dd/yy)	expiration (mm/dd/yy)	Insurance (Company	(per claim/aggre			Premium
	//				(in the state of	,		
	//	//						
	//	//						
	//	//						
	//	/						
28.					policy (maintained w	•		// (Month/Day/Year)
29.	Applicant Firm of	r any individua	l attorney?		s limitation or retroa copy of the endorse		icable to the	□ Yes □ No
30.	specifically to th	e Applicant Firr	ent policy have a		ments or exclusions 			☐ Yes ☐ No
31.	Has the Applicant Firm or any attorney for whom coverage is sought ever purchased an extended reporting period endorsement? <i>If "Yes"</i> , please provide details							
32.					ts attorneys ever ha If " Yes ", please prov			☐ Yes ☐ No
	•		CLAIN	M/INCIDE	ENT INFORMA	TION		
33.	In the past five (5) years, has any professional liability claim or suit ever been made against the Applicant Firm or any predecessor firm or any current or former attorney of the Applicant Firm or predecessor firm?							
34.	Does any attorney for whom coverage is sought know of any incident, act, error or omission that could result in a claim or suit against the Applicant Firm or any predecessor firm or any of the current or former attorneys of the Applicant Firm? ☐ Yes ☐ If "Yes", please indicate how many and complete a separate Supplemental Claim Form for each incident.							
35.	reprimanded, sa	inctioned, or he disciplinary cor	eld in contempt by mplaint made to	by any court,	ed admission to prace administrative ager forementioned entit	ncy or regulato	ry body or been	□ Yes □ No
			C	OVERAG	E SELECTION	J		
36.	Limits of Liability	/ Requested:	·	O I Ellino	00.	•		
50.	\$100,000/\$6 \$200,000/\$6 \$250,000/\$5 \$500,000/\$5	800,000 800,000 500,000 500,000	□ \$500,000/\$ □ \$1,000,000 □ \$1,000,000 □ \$2,000,000	/\$1,000,000 /\$2,000,000	\$4,000,000	0/\$3,000,000 0/\$4,000,000	Other:	
37.	Deductible Amo	unt Requested.						
	□ \$1,000	\$2,500 \$3,000	□ \$4,000 □ \$5,000	□ \$10,00		□ \$35,000 □ \$50,000		
38.	Other Deductible	e and Limit Opt	ions Requested	:				
	Annual Aggrega Deductible Not A Claims Expense	te Deductible Applicable Tow	ards Defense C		☐ Currently Have ☐ Currently Have ☐ Currently Have	☐ Interested	d in Quotation d in Quotation d in Quotation	

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ANY MATTER IN DISPUTE BETWEEN YOU AND THE COMPANY MAY BE SUBJECT TO ARBITRATION AS AN ALTERNATIVE TO COURT ACTION PURSUANT TO THE RULES OF (THE AMERICAN ARBITRATION ASSOCIATION OR OTHER RECOGNIZED ARBITRATOR), A COPY OF WHICH IS AVAILABLE ON REQUEST FROM THE COMPANY. ANY DECISION REACHED BY ARBITRATION SHALL BE BINDING UPON BOTH YOU AND THE COMPANY. THE ARBITRATION AWARD MAY INCLUDE ATTORNEY'S FEES IF ALLOWED BY STATE LAW AND MAY BE ENTERED AS A JUDGEMENT IN ANY COURT OF PROPER JURISDICTION.

FRAUD WARNING STATEMENTS

ARKANSAS APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES AND CONFINEMENT IN PRISON.

COLORADO 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.

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, AN INSURER MAY DENY INSURANCE BENEFITS IF FALSE INFORMATION MATERIALLY RELATED TO A CLAIM WAS PROVIDED BY THE APPLICANT."

FLORIDA APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO INJURE, DEFRAUD OR DECEIVE ANY INSURER FILES A STATEMENT OF CLAIM OR AN APPLICATION CONTAINING ANY FALSE, INCOMPLETE, OR MISLEADING INFORMATION IS GUILTY OF A FELONY OF THE THIRD DEGREE.

HAWAII APPLICANTS: FOR YOUR PROTECTION, HAWAII LAW REQUIRES YOU TO BE INFORMED THAT PRESENTING A FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT IS A CRIME PUNISHABLE BY FINES OR IMPRISONMENT, OR BOTH.

KENTUCKY APPLICANTS: 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.

LOUISIANA APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES AND CONFINEMENT IN PRISON.

MAINE APPLICANTS: IT IS A CRIME TO KNOWINGLY PROVIDE FALSE, INCOMPLETE OR MISLEADING INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING THE COMPANY. PENALTIES MAY INCLUDE IMPRISONMENT. FINES OR A DENIAL OF INSURANCE BENEFITS.

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.

NEW MEXICO APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO CIVIL FINES AND CRIMINAL PENALTIES.

NEW YORK APPLICANTS: 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 MATERIAL FACT THERETO COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME, AND SHALL BE ALSO SUBJECT TO A CIVIL PENALTY NOT TO EXCEED FIVE THOUSAND DOLLARS AND THE STATED VALUE OF THE CLAIM FOR EACH SUCH VIOLATION.

OHIO APPLICANTS: ANY PERSON WHO, WITH INTENT TO DEFRAUD OR KNOWING THAT HE 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.

OKLAHOMA APPLICANTS: WARNING: ANY PERSON WHO KNOWINGLY, AND WITH INTENT TO INJURE, DEFRAUD OR DECEIVE ANY INSURER, MAKES ANY CLAIM FOR THE PROCEEDS OF AN INSURANCE POLICY CONTAINING ANY FALSE, INCOMPLETE OR MISLEADING INFORMATION IS GUILTY OF A FELONY.

OREGON APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD OR SOLICIT ANOTHER TO DEFRAUD AN INSURER: (1) BY SUBMITTING AN APPLICATION OR; (2) FILING A CLAIM CONTAINING A FALSE STATEMENT AS TO ANY MATERIAL FACT MAYBE VIOLATING STATE LAW.

PENNSYLVANIA APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH 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 MATERIAL THERETO COMMITS A FRAUDULENT INSURANCE ACT, WHICH IS A CRIME AND SUBJECTS SUCH PERSON TO CRIMINAL AND CIVIL PENALTIES.

TENNESSEE: 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.

VIRGINIA APPLICANTS: 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.

WEST VIRGINIA: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES AND CONFINEMENT IN PRISON.

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APPLICATION	MUST BE SIGNED AND DATED BY AN OWNER, PARTNER OR OFFICER OF THE APPLICANT FIRM.
Signature:	Title:
Print Name:	Date:
	PLEASE SUBMIT THIS PROPOSAL AND APPROPRIATE MATERIALS TO:

SIGNING THIS FORM DOES NOT BIND THE APPLICANT FIRM OR THE COMPANY TO COMPLETE THE INSURANCE.

ExecutivePerils

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