

Lawyers' Professional Liability Insurance

CLAIMS MADE WARNING FOR APPLICATION

THIS PROPOSAL FORM IS FOR A CLAIMS MADE AND REPORTED POLICY, RELATING TO CLAIMS MADE AGAINST THE INSURED DURING THE POLICY PERIOD, THE AUTOMATIC EXTENDED REPORTING PERIOD OR THE PURCHASED EXTENDED REPORTING PERIOD, IF APPLICABLE.

1. Name of Applicant Firm _____

APPLICANT FIRM'S INSTRUCTIONS

IF SPACE IS INSUFFICIENT TO ANSWER ANY QUESTIONS FULLY, PROVIDE SEPARATE ATTACHMENTS.

- 2. Total number of personal injury cases during the past 12 months: _____
- 3. What percentage of your plaintiff cases are class action suits? _____ %
- 4. Average number of cases each attorney handles per year: _____
- 5. Percentage of cases settled before trial: _____ %
- 6. Percentage of cases tried to conclusion: _____ %
- 7. Percentage of cases referred to you by other law firms: _____ %
- 8. Do you use written referral agreements in all cases which are referred to you? Yes No
- 9. Percentage of cases your firm refers to other firms and retains a portion of the fees: _____
- 10. Do you use written referral agreements and obtain certificates of insurance, in all cases referred out? Yes No
- 11. Average dollar value of cases: \$ _____
- 12. Maximum dollar value of any one case: \$ _____
- 13. Average percentage of recovery your firm takes as fees: _____ %
- 14. Have you advertised during the past 12 months through any of the following:
 - (a) Yellow pages Yes No
 - (b) Newspaper Yes No
 - (c) Radio Yes No
 - (d) Television Yes No

I understand that the information submitted herein becomes a part of the Applicant Firm's Lawyers' Professional Liability Proposal Form and is subject to the same representations and conditions.

 Title:

Signature of Partner, Owner, Officer or Principal

 Dated:

Print Name

Please submit this Proposal Form including appropriate documentation to:

 Dated:

Submitted by (PRODUCER)

 AGENT'S LICENSE NUMBER

AGENT'S NAME (Please Print Name Here)

Carolina Casualty Insurance Company

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1. Name of Applicant Firm

APPLICANT FIRM'S INSTRUCTIONS

IF SPACE IS INSUFFICIENT TO ANSWER ANY QUESTIONS FULLY, PROVIDE SEPARATE ATTACHMENTS.

2. Real Estate Experience

Name of Each Attorney Who Performs Real Estate Work	Number of Years Real Estate Experience	Percentage of Time Devoted to Specialization

3. Of the percentage of real estate work listed in the "Area of Practice" section of the Proposal Form, what portion is derived from:

- (a) Purchase and Sale – Residential _____ %
- (b) Purchase and Sale – Commercial _____ %
- (c) Land Use/Development _____ %
- (d) Financing/Loan Workouts _____ %
- (e) Mortgages/Foreclosures – Residential _____ %
- (f) Mortgages/Foreclosures – Commercial _____ %
- (g) Landlord/Tenant _____ %
- (h) Construction/Mechanics' Liens _____ %
- (i) Tax Abatement _____ %
- (j) Condominiums/Cooperatives/Town Homes _____ %
- (k) Other (attach separate narrative) _____ %

THIS FIGURE MUST MATCH THE TOTAL PERCENTAGE LISTED IN THE "AREA OF PRACTICE" SECTION, REAL PROPERTY, OF THE PROPOSAL FORM. TOTAL _____ %

4. Does the Applicant Firm undertake any aspect of financial or valuation analysis of transactions for clients (e.g., tax ramification or appraisal)? Yes No

5. Does the Applicant Firm undertake responsibility for the preparation or review of closing calculations (e.g., preparation of settlement statements or determination of prorations)? Yes No

6. Indicate whether the Applicant Firm rendered written opinions to clients on the following:
- a) Land use, zoning, and real property regulatory matters Yes No
 - b) Securitization of loans Yes No
 - c) Compliance with laws Yes No
 - d) Lien validity, priority, and perfection (e.g., priority of security interests in personal property and deed of trust liens on real property) Yes No
 - e) Possession of required permits and licenses Yes No

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- f) Regulatory matters (e.g., Interstate and Land Sale Act) Yes No
- g) Bankruptcy matters Yes No
- h) Foreign transactions Yes No
- i) Tax matters Yes No
- j) Environmental matters Yes No

7. Indicate whether the Applicant Firm has provided legal services in connection with any property transfer in which the Applicant Firm also performed the following (also please indicate the percentage of commercial or residential):

		Commercial		Residential
a) Abstracting services	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	%	_____
b) Title opinion	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	%	_____
c) Issuance of title policy	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	%	_____
d) Escrow services	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	%	_____
e) UCC search	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____	%	_____

1.) If "Yes" to any part of Question 7. above, what percentage of the applicant's receipts come from title policies issued to properties on which the applicant also performed the abstracting services or title opinion?

	Current Year	_____	%
	Previous 12 mos.	_____	%

2.) If "Yes" to any part of Question 7. above, state the name of the Title Insurance Company or Companies represented and the approximate premium volume placed with each:
(Provide separate attachment if necessary.)

	Title Insurance Company	Approximate Premium Volume
Current Year	_____	\$ _____
	_____	\$ _____
Previous 12 mos.	_____	\$ _____
	_____	\$ _____

8. Does the Applicant Firm have a procedure requiring that at least one lawyer, who is not working on the transaction question, review and approve all legal descriptions and commitments in closing documents, including title? Yes No

If "Yes", in writing? Yes No

9. Does the Applicant Firm have a procedure requiring the preservation of written records of its lawyers in connection with directions received from clients and client acknowledgment of actions taken?

- a) Directions received Yes No
- b) Client acknowledgment Yes No

10. Does the Applicant Firm have a policy which prohibits any member of the firm from performing the title abstracting services and representing any party in the same real estate transaction? Yes No

If "Yes", in writing? Yes No

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11. Does the Applicant Firm have a policy which requires the recommendation of:
- a) Attendance at all client closings? Yes No
If "Yes", in writing? Yes No
 - b) Title insurance for all closing property transfers? Yes No
If "Yes", in writing? Yes No
 - c) Thorough review of title policy exceptions with client? Yes No
If "Yes", in writing? Yes No
12. Does the Applicant Firm require formal internal training sessions on the firm policies and procedures for new lawyers who will become involved in its real estate practice? Yes No
13. Do the Applicant Firm's legal services, in connection with property transfer or leasing transactions, include a procedure to evaluate such things as:
- a) Whether the type of business in question creates, or may in the past have created, environmental problems? Yes No
If "Yes", in writing? Yes No
 - b) Whether any real or personal property owned or leased, now or in the past, or property to be acquired, is likely to be contaminated by hazardous substances (e.g., asbestos, lead or PCBs)? Yes No
If "Yes", in writing? Yes No
 - c) Whether any specific site locations owned or leased, now or in the past, or property to be acquired, are located in or adjacent to, ecologically sensitive areas (e.g., wetlands, flood plains, aquifers, or conservation areas, etc.)? Yes No
If "Yes", in writing? Yes No
 - d) Whether any entity connected to the client, including all past and present parent subsidiaries, divisions or spin-offs has ever been fined, penalized, cited, or sued for violating any federal, state, or local environmental law or regulation? Yes No
If "Yes", in writing? Yes No
14. Does the Applicant Firm have a procedure which requires the investigation of potential, material environmental risks before resolution of price and other central terms and conditions? Yes No
If "Yes", in writing? Yes No
15. Does the Applicant Firm have a procedure which requires its attorneys to perform a thorough review with the client, of the economic impact of known environmental considerations and potential benefits of further identification or quantification of environmental risks in property transfer or leasing transactions with potential, material environmental exposure? Yes No
If "Yes", in writing? Yes No
16. Does the Applicant Firm have procedures which address the conduct of employees relative to the handling of material, confidential information concerning environmental audits or investigation of transaction related parties? Yes No
If "Yes", in writing? Yes No
17. Does the Applicant Firm have a procedure requiring the preservation of the written records of the firm in connection with any documentation concerning disclosure of site contamination to potential buyers or lessees? Yes No
If "Yes", in writing? Yes No
18. Does the Applicant Firm have a procedure requiring the preservation of the written records of the firm, in connection with documentation of investigation of sites, for buyers or lessees to discover environmental damage? Yes No
If "Yes", in writing? Yes No
19. Does the Applicant Firm have a procedure requiring its real estate lawyers to participate in in-house seminars on current environmental topics and developments and/or to attend continuing legal education seminars on current environmental developments? Yes No
If "Yes", in writing? Yes No

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20. Does the Applicant Firm have a written procedure which addresses the firm's referral of environmental consultants to the firm's clients? Yes No
- a) If "Yes", does the procedure require the recommendation of at least two consultants so as to require the client to choose one? Yes No
- b) If "Yes", does the procedure require the general preservation of written communication with the client verifying the client's responsibility for both the engagement decision and any resultant risks? Yes No

I understand that the information submitted herein becomes a part of the Applicant Firm's Lawyers' Professional Liability Proposal Form and is subject to the same representations and conditions.

	Title:
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Signature of Partner, Owner, Officer or Principal

	Dated:
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Print Name

Please submit this Proposal Form including appropriate documentation to:
Monitor Liability Managers, Inc., 2850 West Golf Road, Suite 800, Rolling Meadows, IL 60008-4034

	Dated:
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Submitted by (PRODUCER)

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AGENT'S NAME (Please Print Name Here)

AGENT'S LICENSE NUMBER

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Whenever printed in this Proposal Form, the terms in boldface type shall have the same meanings as indicated in the Policy.

1. Name of Applicant Firm

APPLICANT FIRM'S INSTRUCTIONS

COMPLETE ONE FORM FOR EACH CLAIM, SUIT, OR CIRCUMSTANCE DURING THE LAST 5 YEARS. IF SPACE IS INSUFFICIENT TO ANSWER ANY QUESTIONS FULLY, PROVIDE SEPARATE ATTACHMENTS.

2. Full name of individual(s) and firm involved in the Claim, suit, or circumstance which could give rise to a Claim:

Full name(s) of Claimant (Plaintiff):

(a) _____

(b) _____

Full name(s) of Defendant:

(a) _____

(b) _____

Additional Defendant(s):

(a) _____

(b) _____

3. Date alleged Claim, suit, or circumstance occurred: _____

4. Date Claim made against an Insured: _____

5. Location of Claim (City, State): _____

6. Has this Claim, suit, or circumstance been reported to any insurance carrier? _____

Yes No

If "Yes", date reported to insurance company: _____

7. To which insurance company did you report this Claim, suit, or circumstance? _____

8. Current status of Claim, suit, or circumstance (circle one): Closed Open In Suit Potential

9. If Claim, suit, or circumstance is Closed, provide the following:

(a) Total damages paid: \$ _____ (b) Total expenses paid (including deductible): \$ _____

(TOTAL DAMAGES PAID AND TOTAL EXPENSES PAID MUST BE PROVIDED.)

10. If Claim, suit, or circumstance is Open, In Suit, or Potential, provide the following:

(a) Total damages demanded: \$ _____ (b) Total expenses paid to date: \$ _____

(PAID EXPENSE AMOUNT MUST BE PROVIDED. CONTACT YOUR AGENT, INSURANCE COMPANY, OR DEFENSE COUNSEL TO OBTAIN THE REQUIRED INFORMATION.)

11. (a) What specific causes of action are alleged in the Claim, suit, or circumstance? (Provide enough information to allow for an evaluation.)

(b) Description of events that gave rise to the Claim, suit, or circumstance.

(c) Explain what actions the Applicant Firm has taken to prevent a recurrence or similar claim / incident:

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Signature of Partner, Owner, Officer or Principal

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Submitted by (PRODUCER)

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AGENT'S NAME (Print Name Here)

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ExecutivePerils

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dba: Executive Perils Insurance Services