



BY COMPLETING THIS SUPPLEMENTAL APPLICATION YOU ARE APPLYING FOR COVERAGE WITH EXECUTIVE RISK INDEMNITY INC. (THE "COMPANY")

NOTICE: THE CHUBB PRO LAWYERS PROFESSIONAL LIABILITY POLICY PROVIDES CLAIMS MADE COVERAGE, WHICH APPLIES ONLY TO "CLAIMS" FIRST MADE DURING THE "POLICY PERIOD," OR ANY APPLICABLE EXTENDED REPORTING PERIOD. THE LIMIT OF LIABILITY TO PAY DAMAGES OR SETTLEMENTS WILL BE REDUCED AND MAY BE EXHAUSTED BY "DEFENSE COSTS," AND "DEFENSE COSTS" WILL BE APPLIED AGAINST THE RETENTION AMOUNT. IN NO EVENT WILL THE COMPANY BE LIABLE FOR "DEFENSE COSTS" OR THE AMOUNT OF ANY JUDGMENT OR SETTLEMENT IN EXCESS OF THE APPLICABLE LIMIT OF LIABILITY. READ THE ENTIRE APPLICATION CAREFULLY BEFORE SIGNING.

APPLICATION INSTRUCTIONS:

1. Whenever used in this Application, the term "**Applicant**" shall mean the Firm and any of its Predecessor Firm(s).
2. Whenever used in this Application, the term "**Lawyer**" shall mean partner/officer/shareholder/member, "counsel" or "of counsel," associate or employed lawyer.
3. Include all requested underwriting information and attachments. Provide a complete response to all questions and attach additional pages if necessary.

I. NAME, ADDRESS AND CONTACT INFORMATION:

1. Name of **Applicant**: _____
2. Address of **Applicant's** Principal Office: _____
 City: _____ State: _____ Zip Code: _____ County: _____
 Telephone: _____

II. SPECIFIC INFORMATION

Please complete each of the following Supplements that pertains to the **Applicant's** practice and complete Section V of this Supplemental Application.

1. Securities Practice Supplement
2. Entertainment Law Practice Supplement
3. Financial Institutions Supplement
4. Intellectual Property Law Practice Supplement
5. Plaintiff Law Practice Supplement

These supplements appear on the following pages.



SECURITIES PRACTICE SUPPLEMENT

Name of **Applicant**: _____

If the **Applicant's** response to Question 10 of the Application is "Yes", this Supplement must be completed.

For the purposes of this Application, the term "Securities-Related Representation" means a representation involving or relating to a security, as that term is understood and applied in the context of federal or state securities laws and regulations, in connection with: (1) any transaction of any nature whatsoever, public or private, including, without limitation, an offering, issuance, sale, resale, purchase, repurchase, or distribution, or the registration or filing of reports, or delisting; or (2) the issuance or publication of statements or reports by a public or private corporation to shareholders and/or the public.

Please respond to the following questions if the **Applicant** or any past or present Lawyer, while acting on behalf of the **Applicant**, provided legal services during the past five (5) years in connection with any Securities-Related Representation (as defined above).

Note: Information provided herein does not constitute notice of a claim or of a circumstance that might give rise to a claim, nor does it constitute a summary of claim activity if one is required in connection with the **Applicant's** responses to Question 24 of the Application.

1. General

- A. To the **Applicant's** knowledge, has any issuer involved in any matter that is the subject of any Securities-Related Representation become insolvent or entered into any liquidation or reorganization proceeding since the date of such Securities-Related Representation? Yes No

If "Yes," please provide full particulars regarding the Securities-Related Representation and the subsequent insolvency, liquidation, or reorganization in a separate addendum.

- B. To the **Applicant's** knowledge, has any claim or allegation of fraud, negligence, or breach of duty been asserted against any party in connection with any matter that is the subject of any Securities-Related Representation? Yes No

If "Yes," please provide full particulars regarding the Securities-Related Representation and the claim or allegation in a separate addendum.

- C. To the **Applicant's** knowledge, has any person or entity received a subpoena from the SEC or any other federal or state agency or instrumentality in connection with any matter that is the subject of any Securities-Related Representation? Yes No

If "Yes," please provide full particulars regarding the Securities-Related Representation and the date and subject of the subpoena in a separate addendum.

2. Client Intake and Conflicts Avoidance

- A. Does the **Applicant** have any policies or procedures to maintain client lists and avoid conflicts of interest other than as set forth in response to Questions 13A and 13B of the Application that pertain to its Securities-Related Representations? Yes No



- B. Does the **Applicant** have any policies or procedures concerning the use of engagement letters, disengagement letters or non-engagement letters other than as set forth in response to Questions 13D, 13E and 13F of the Application that pertain to its Securities-Related Representations? Yes No
- C. Does the **Applicant** have any policies or procedures concerning the acceptance of new clients for Securities-Related Representations that are different than as set forth in response to Question 13C of the Application? Yes No

If the answer to any of the above questions is "Yes", please provide the relevant details in a separate addendum.

- D. Do the **Applicant's** policies/procedures require or provide that:
- i. The **Applicant's** attorneys or employees are prohibited from participating in the sale of the client's securities (except to the extent of providing legal representation)? Yes No
 - ii. Neither the **Applicant** nor its attorneys or employees are permitted to purchase any securities which are the subject of the Securities-Related Representation? Yes No
 - iii. The **Applicant** is not permitted to accept securities which are the subject of the Securities-Related Representation in full or partial payment for the legal services rendered relative to the transaction? Yes No
 - iv. Neither the **Applicant** nor its attorneys or employees are permitted to invest in any transaction with any client for which it has undertaken any Securities-Related Representation? Yes No
 - v. No attorney who is an officer, director, or shareholder of a client may provide legal services relative to a Securities-Related Representation for such client? Yes No

3. Due Diligence

- A. Do the **Applicant's** policies/procedures require or provide that:
- i. An experienced Securities attorney must interview the client's officers, directors and/or principals in connection with disclosure document preparation and review? Yes No
 - ii. Written records of the factual sources and verifications made by the **Applicant's** attorneys in connection with disclosure documentation preparation and review be maintained? Yes No
 - iii. A back-up "cold review" of disclosure documents by an experienced Securities attorney not working on the transaction be performed? Yes No



4. Legal Opinions

A. Do the **Applicant's** policies/procedures require or provide that:

- i. Copies of all documents upon which the **Applicant's** attorneys relied in issuing any written legal opinions in Securities-Related Representations be maintained? Yes No
- ii. At least one experienced Securities attorney not working on the transaction review and approve all written legal opinions issued in connection with the transaction? Yes No

5. Compliance with Sarbanes-Oxley Act

- A. Does the **Applicant** have a formal training program for its attorneys that specifically addresses compliance with regulations pertaining to Section 307 of the Sarbanes-Oxley Act? Yes No
- B. Has the **Applicant**, or any past or present **Lawyer**, ever been suspended from practicing before the SEC or any similar state regulatory body? Yes No
- C. Has the **Applicant**, or any past or present **Lawyer**, ever been the subject of a disciplinary action or proceeding brought by the SEC or any similar state regulatory body? Yes No

If the answer to any of the above questions is "Yes", please provide the relevant details in a separate addendum.

6. Transaction Summary

On the attached schedule entitled "**Securities Transaction Summary**", please provide the requested information for each Securities-Related Representation undertaken within the last five (5) years by the **Applicant** or any past or present **Lawyer**.



INTELLECTUAL PROPERTY LAW PRACTICE SUPPLEMENT

Name of **Applicant**: _____

Note: Information provided herein does not constitute notice of a claim or of a circumstance that might give rise to a claim, nor does it constitute a summary of claim activity if one is required in connection with the **Applicant's** responses to Question 24 of the Application.

1. Attorney Experience

Please provide the requested information for any past or present **Lawyer** who has practiced Intellectual Property Law during the **Applicant's** current fiscal year or during the **Applicant's** prior fiscal year.

Name	Member of Patent Bar (Y/N)?	Number of Years, Intellectual Property Experience	Specialty- Patent (P), Copyright (CP), Trademark (TM), Litigation (L), Other (O- please specify)	Percentage of Attorney's Billable Hours Devoted to Intellectual Property, Current Fiscal Year	Percentage of Attorney's Billable Hours Devoted to Intellectual Property, Prior Fiscal Year



2. Intellectual Property Practice Areas

Please provide a breakdown of the constituent components of the **Applicant's** Intellectual Property Law Practice for the **Applicant's** current fiscal year and the **Applicant's** prior fiscal year as follows:

IP Practice Area	Percentage of Firm's Total Intellectual Property Practice, Current Fiscal Year	Percentage of Firm's Total Intellectual Property Practice, Prior Fiscal Year
Domestic Patent Prosecution		
Foreign Patent Prosecution		
Copyright/Trademark Filings		
Litigation		
General Patent Advice		
General Copyright/Trademark Advice		
Other (please specify)		
TOTAL (must equal 100%)		

3. Intellectual Property Industry Areas

Please provide a breakdown of the industries served by the **Applicant's** Intellectual Property Law Practice for the **Applicant's** current fiscal year and the **Applicant's** prior fiscal year as follows:

Industry Area	Percentage of Firm's Total Intellectual Property Practice, Current Fiscal Year	Percentage of Firm's Total Intellectual Property Practice, Prior Fiscal Year
Computers		
Biotechnical		
Pharmaceutical		
Mechanical Engineering		
Electrical Engineering		
Other (please specify)		
Other (please specify)		
TOTAL (must equal 100%)		



4. Intellectual Property Engagements

Please provide the following information regarding the engagements resulting in the five (5) largest fees generated for the **Applicant** from its Intellectual Property Law Practice during the past five (5) years:

Name of client	Scope of Engagement/Services Performed	Time Period	Fee

5. Intellectual Property Practice Risk Management

- A. Does the **Applicant** have any policies or procedures to maintain client lists and avoid conflicts of interest other than as set forth in response to Questions 13A and 13B of the Application that pertain to its Intellectual Property Law Practice clients? Yes No
- B. Does the **Applicant** have any policies or procedures concerning the use of engagement letters, disengagement letters or non-engagement letters other than as set forth in response to Question 13D, 13E and 13F of the Application that pertain to its Intellectual Property Law Practice clients? Yes No
- C. Does the **Applicant** have any policies or procedures concerning the acceptance of new Intellectual Property Law Practice clients that are different than as set forth in response to Question 13C of the Application? Yes No

If the answer to any of the above questions is "Yes", please provide the relevant details in a separate addendum

- D. With respect to the **Applicant's** patent prosecution practice:
 - i. Do the **Applicant's** policies/procedures require or provide that agreements requiring the **Applicant** to conduct a patent search be set forth in writing? Yes No
 - ii. Does the **Applicant** ever engage the services of third parties to perform patent searches? Yes No
 - a. If the answer to Question ii above is "Yes", do the **Applicant's** policies/procedures require or provide that such third parties provide the **Applicant** with evidence of professional liability insurance? Yes No
 - b. If the answer to Question ii above is "Yes", do the **Applicant's** policies/procedures require or provide that the client be informed in writing of the engagement of the third parties' services? Yes No



- iii. Do the **Applicant's** policies/procedures require or provide that all filing deadlines relevant to the application process be communicated to the client in writing? Yes No
- iv. Do the **Applicant's** policies/procedures require or provide that opinions concerning the results of patent searches be set forth in writing? Yes No
- v. Do the **Applicant's** policies/procedures require or provide that the firm's obligations for the payment of any application or maintenance fees relevant to the application process be communicated to the client in writing? Yes No
- vi. Where the client is responsible for the payment of any application or maintenance fees or taxes, do the **Applicant's** policies/procedures require or provide for notice/reminders of the same to be communicated to the client prior to the due dates. Yes No

E. Describe the **Applicant's** docket/calendering system for keeping track of all deadlines pertaining to its patent practice, including who is responsible for ensuring that all deadlines are met.



ENTERTAINMENT LAW PRACTICE SUPPLEMENT

Name of **Applicant**: _____

Note: Information provided herein does not constitute notice of a claim or of a circumstance that might give rise to a claim, nor does it constitute a summary of claim activity if one is required in connection with the **Applicant's** responses to Question 24 of the Application.

1. Attorney Experience

Please provide the requested information for any past or present **Lawyer** who has practiced Entertainment Law during the **Applicant's** current fiscal year or during the **Applicant's** prior fiscal year.

Name	Number of Years, Entertainment Law Experience	Percentage of Attorney's Billable Hours Devoted to Entertainment Law, Current Fiscal Year	Percentage of Attorney's Billable Hours Devoted to Entertainment Law, Prior Fiscal Year

2. Entertainment Law Practice Areas

Please provide a breakdown of the constituent components of the **Applicant's** Entertainment Law Practice for the **Applicant's** current fiscal year and the **Applicant's** prior fiscal year as follows:

Entertainment Law Practice Area	Percentage of Firm's Total Entertainment Law Practice	
	Current Fiscal Year	Prior Fiscal Year
Personal Representation of Artistic Talent (negotiate contracts, licensing agreements, appearances, etc)		
Representation of Movie Studios, Theaters, Radio/Television Networks, Recording Companies, etc.		
Representation of Sports/Public Figures (negotiate contracts, licensing agreements, appearances, etc.)		



Entertainment Law Practice Area	Percentage of Firm's Total Entertainment Law Practice	
	Current Fiscal Year	Prior Fiscal Year
General Entertainment Law Advice		
Entertainment Law Litigation		
Other (please specify)		
TOTAL (must equal 100%)		

3. Entertainment Law Engagements

Please provide the following information regarding the engagements resulting in the five (5) largest fees generated for the **Applicant** from its Entertainment Law Practice during the past five (5) years:

Name of client	Scope of Engagement/Services Performed	Time Period	Fee

4. Entertainment Property Practice Risk Management

- A. Does the **Applicant** have any policies or procedures to maintain client lists and avoid conflicts of interest other than as set forth in response to Question 13A and 13B of the Application that pertain to its Entertainment Law Practice clients? Yes No
- B. Does the **Applicant** have any policies or procedures concerning the use of engagement letters, disengagement letters or non-engagement letters other than as set forth in response to Question 13D, 13E and 13F of the Application that pertain to its Entertainment Law Practice clients? Yes No
- C. Does the **Applicant** have any policies or procedures concerning the acceptance of new Entertainment Law Practice clients that are different than as set forth in response to Question 13C of the Application? Yes No

If the answer to any of the above questions is "Yes", please provide the relevant details in a separate addendum



FINANCIAL INSTITUTIONS SUPPLEMENT

Name of **Applicant**: _____

This form is to be completed with respect to each Financial Institution to which the **Applicant**, any past or present **Lawyer** while acting on behalf of the **Applicant**, has provided legal services during the past five (5) years. The term "Financial Institution" means any bank, savings and loan association, credit union, or other depository institution; or service company, subsidiary, or holding company of such an institution.

Note: Information provided herein does not constitute notice of a claim or of a circumstance that might give rise to a claim; nor does it constitute a summary of claim activity if one is required in connection with the **Applicant's** response to Question 24 of the Application.

1. Name and address of Financial Institution:

2. Date(s) services provided: _____

3. Type(s) of legal services provided (check all that apply):

- | | | |
|---|---|--|
| <input type="checkbox"/> General Counsel | <input type="checkbox"/> Regulatory Counsel | <input type="checkbox"/> Loan Closings |
| <input type="checkbox"/> Loan Documentation | <input type="checkbox"/> Litigation | <input type="checkbox"/> Securities Work |
| <input type="checkbox"/> Other _____ | | |

4. Is the Financial Institution (check any applicable):

In receivership or liquidation: _____ Year: _____
 In conservatorship: _____ Year: _____

Presently operating subject to a supervisory agreement, consent agreement, or other regulatory limitation on its operations: _____

5. Has any past or present **Lawyer** served as a director or officer of the Financial Institution? Yes No

Name of attorney(s), position(s) held, and dates of service:

6. Has any past or present **Lawyer** held an equity interest in the Financial Institution? Yes No

Name of attorney(s), percentage of equity owned, dates of ownership:



7. To the **Applicant's** knowledge, has there been any allegation of fraud or negligence against the Financial Institution, its directors or officers, or any outside professional who provided services to the Financial Institution by the Federal Deposit Insurance Corporation ("FDIC"), the Office of Thrift Supervision ("OTS"), the Office of the Comptroller of the Currency ("OCC"), the Federal Reserve Board ("FRB"), the Saving Association Insurance Fund ("SAIF"), the Securities and Exchange Commission ("SEC"), or any other federal or state agency, instrumentality, or corporation? Yes No

If "Yes," please provide full particulars in a separate addendum.

8. To the **Applicant's** knowledge, has the **Applicant** or any past or present partner/officer/shareholder/member, "counsel" or "of counsel," associate or employed lawyer received a subpoena in connection with the Financial Institution from any court or the RTC, the FDIC, the OTS, the OCC, the FRB, the former FHLBB, the former FSLIC, the SEC, or any other federal or state agency, instrumentality, or corporation? Yes No

If "Yes," please provide full particulars in a separate addendum.

9. Has the **Applicant** provided Legal Services to the FDIC or the RTC in connection with the Financial Institution? Yes No

If "Yes," please describe the type of matter(s) and the dates of representation in a separate addendum.



PLAINTIFF LAW PRACTICE SUPPLEMENT

Name of **Applicant**: _____

Note: Information provided herein does not constitute notice of a claim or of a circumstance that might give rise to a claim, nor does it constitute a summary of claims activity if one is required in connection with the **Applicant's** responses to Question 24 of the Application.

1. Please indicate the percentage of plaintiff work devoted to the following specialties during the past 12 months:

Specialty	Percentage	Specialty	Percentage
Admiralty	_____	Non-Medical Professional Liability	_____
Aviation	_____	Products Liability	_____
Asbestos	_____	Personal Injury	_____
Bodily Injury/Property Damage	_____	Tobacco	_____
Breast Implant	_____	Toxic Tort	_____
Commercial	_____	Workers Compensation	_____
Employment	_____	Other (please specify)	_____
Medical Negligence	_____	Total	100%

2. What percentage of the firm's plaintiff cases in the past five (5) years have been class action/multiple plaintiff cases? _____ %

Please provide details regarding each of these cases (including whether the firm was lead or local counsel, the nature of the allegations, the approximate size of the class, the resolution and settlement or award amount) (attach a separate addendum if necessary):

3. What is the average dollar value of cases closed during the past twelve (12) months?

- Less than \$25,000.
- \$25,000. - \$99,000
- \$100,000. - \$499,000.
- \$500,000. - \$999,000
- \$1,000,000. or more

4. What is the largest verdict or settlement achieved by the firm in the past five (5) years? _____

5. a. How many attorneys practice in the plaintiff area? _____

b. What percentage of each attorney's time is devoted to the plaintiff practice? _____ %



6. What is the average number of plaintiff cases an individual attorney handles per year? _____

7. In the past twelve (12) months, what percentage of the firm's plaintiff cases were:

Tried to conclusion:	_____	%
Settled:	_____	%
Handled on a contingency fee basis:	_____	%

8. What percentage of potential plaintiff clients does the firm reject? _____ %

9. What screening criteria does the firm use in client selection, other than the financial viability of the potential client's case?

10. Does the firm use written disengagement or non-acceptance letters in all cases where the firm declines to represent potential plaintiffs? Yes No

11. a. Does the firm refer cases to other law firms? Yes No

b. If Yes, does the firm use a written referral agreement in all cases? Yes No

12. a. Does the firm accept cases with less than six (6) months to the statute of limitations? Yes No

b. If yes, how many such cases has the firm accepted in the past twelve (12) months? _____

13. Describe the firm's procedures for tracking the Statute of Limitations on each plaintiff's case (attach separate addendum if necessary):

14. Please indicate all methods by which the firm has advertised in the past twelve (12) months (check all that apply):

- Television
- Radio
- Newspaper
- Magazine
- Yellow Pages
- Internet or other Electronic Media
- Billboards
- Other (please describe): _____



III. MATERIAL CHANGE:

If there is any material change in the answers to the questions in this Supplemental Application before the policy inception date, the **Applicant** must immediately notify the Company in writing, and any outstanding quotation may be modified or withdrawn.

IV. NOTICES:

The **Applicant's** submission of this Supplemental Application does not obligate the Company to issue, or the **Applicant** to purchase, a policy. The **Applicant** will be advised if the Application for coverage is accepted. The **Applicant** hereby authorizes the Company to make any inquiry in connection with this Supplemental Application.

Notice to Arkansas, Louisiana, Maryland, Minnesota, New Mexico and Ohio Applicants: Any person who, with intent to defraud or knowing that he/she is facilitating a fraud against an insurer, submits an application or files a claim containing a false, fraudulent or deceptive statement is, or may be found to be, guilty of insurance fraud, which is a crime, and may be subject to civil fines and criminal penalties.

Notice to 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.

Notice to District of Columbia, Maine, Tennessee and 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 may include imprisonment, fines or a denial of insurance benefits.

Notice to Florida and Oklahoma Applicants: Any person who, knowingly and with intent to injure, defraud or deceive any employer or employee, insurance company, or self-insured program, files a statement of claim containing any false or misleading information is guilty of: a felony (in Oklahoma) or a felony of the third degree (in Florida).

Notice to Kentucky Applicants: 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 material fact thereto, commits a fraudulent insurance act which is a crime.

Notice to 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.

Notice to Oregon and Texas Applicants: Any person who makes an intentional misstatement that is material to the risk may be found guilty of insurance fraud by a court of law.

Notice to New York and 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 shall also be subject to: a civil penalty not to exceed five thousand dollars and the stated value of the claim for each such violation (in New York) or criminal and civil penalties (in Pennsylvania).



Chubb Group of Insurance Companies

15 Mountain View Road
Warren, New Jersey 07059

**CHUBB PRO LAWYERS
PROFESSIONAL LIABILITY
SUPPLEMENTAL APPLICATION**

V. DECLARATION AND SIGNATURE:

The undersigned authorized agents of the person(s) and entity(ies) proposed for this insurance declare that to the best of their knowledge and belief, after reasonable inquiry, the statements made in this Supplemental Application and in any attachments or other documents submitted with this Supplemental Application are true and complete. The undersigned agree that this the Application, this Supplemental Application and the attachments and other documents to such Application and/or Supplemental Application shall be the basis of the insurance policy should a policy providing the requested coverage be issued; that all such materials shall be deemed to be attached to and shall form a part of any such policy; and that the Company will have relied on all such materials in issuing any such policy.

The information requested in this Supplemental Application is for underwriting purposes only and does not constitute notice to the Company under any policy of a Claim or potential Claim.

This Supplemental Application must be signed by the chief executive officer and chief financial officer of the **Applicant** acting as the authorized representatives of the person(s) and entity(ies) proposed for this insurance.

Date	Signature	Title
_____	_____	<u>Chief Executive Officer</u>
_____	_____	<u>Chief Financial Officer</u>

<u>Produced By:</u> Agent: _____ Agency: _____	
Agency Taxpayer ID or SS No.: _____	Agent License No.: _____
Address (Street, City, State, Zip): _____	
<u>Submitted By:</u> Agency: _____	
Taxpayer ID or SS No.: _____	Agent License No.: _____
Address (Street, City, State, Zip): _____	