



APPLICATION FOR LAWYERS PROFESSIONAL LIABILITY INSURANCE

THIS APPLICATION IS FOR A “CLAIMS MADE AND REPORTED” INSURANCE POLICY. IF A POLICY IS ISSUED, THE LIMITS OF LIABILITY AND DEDUCTIBLE WILL APPLY TO, AND BE REDUCED BY, THE PAYMENT OF CLAIMS EXPENSES AS WELL AS DAMAGES

1. Instructions:
 - A. All questions must be answered completely. Please type or print clearly. If any questions are considered “Not Applicable”, please explain why.
 - B. If you need more space, please continue on a separate sheet and indicate question number.
 - C. Please complete application form and supplements where required.
 - D. This application and all supplement forms must be signed and dated by a principal of the firm.
 - E. Enclose a sample of current letterhead with the application.

2. A. Name of Applicant: _____
 Individual Partnership Professional Corp. Other
- B. Address: _____
 City: _____ County: _____
 State: _____ Zip: _____ Federal Tax I.D. Number: _____
- C. Telephone: (____) _____ Fax: (____) _____
- D. Branch Office Address(es): On a separate addendum, please also list all lawyers and staff members (including a description of the duties of each staff member) at each location :

- E. Date Commenced Business: _____
- F. Total Number of Lawyers: Currently _____ End of Last Calendar Year _____
- G. Total Number of:
 Principals _____ Employed Lawyers _____ Of Counsel _____ Paralegals _____ Other Staff _____

Please complete Supplement 1.

H. List all predecessor firms of Applicant: (A “predecessor firm” is one that has undergone a dissolution, if at least two-thirds of the lawyers in that firm as of the dissolution are now with the Applicant firm.)

Name	Dates of Existence	Total number of lawyers At Dissolution	Total number of lawyers who joined Applicant firm or predecessor firm
1.			
2.			
3.			

I. Internet Presence:

Applicant's web site, if any _____

E-mail address of Applicant's primary contact person _____

3. A. Total Gross Billings/Income (whether collected or not, including, without limitation, an estimate of all fees, contingent or otherwise, or any other income derived) for:

Last Fiscal Year \$ _____ for 12 months ending: _____

Current Fiscal Year \$ _____

B. Indicate Percentage of "Total Gross Income" derived from:

(OVERALL TOTAL MUST EQUAL 100%)

Area of Practice	CURRENT FISCAL YEAR %	LAST FISCAL YEAR %	Additional Requirements
Banking			Please complete Supplement 2
BI/PD Plaintiff			Please complete Supplement 10
Worker's Compensation Plaintiff			
Corporate Formation/Alteration			
Mergers/Acquisition			Please describe on a separate addendum.
Entertainment*			
Investment Advice/ Financial Consulting*			
Oil & Gas			
Real Estate*			Please complete Supplement 4
Securities Practice* including Syndications/Tax Shelters/Ltd. Partnerships			Please complete Supplement 3
Taxation			
Sub Total			
Environmental			Please complete Supplement 8.
Patent*			
Copyright/Trademark			Please complete Supplement 9.
Estate/Probate Trust			
General Corporate			Please describe on a separate addendum.
Municipal Law			Please describe on a separate addendum
Sub Total			
Admiralty			
BI/PD Defense			
Civil Litigation			
Divorce			
Adoption or Surrogacy			Please describe on separate addendum.
Other Family Law			Please describe on a separate addendum.
Labor Law			
Bankruptcy			
Unlawful Detainer			
Worker's Compensation Defense			
Criminal			Please describe on a separate addendum.
Sub Total			
Other (Please Describe)			
Sub Total			

GRAND TOTAL _____% _____% **MUST EQUAL 100%**

*Note: If a policy is issued, Securities, Entertainment, Patent, and certain other activities mentioned in this Application will not be afforded coverage.

C. On a gross billing basis for the current fiscal year, indicate the percentage of revenue derived from representing: 1) Plaintiffs _____% 2) Defendants _____% 3) Others (including Petitioners (respondents) _____. **Items 1), 2), and 3) must total 100%.**

D. Does the Applicant or any of its lawyers currently, or did the Applicant or any of its lawyers at any time in the last ten (10) years prior to the signing of the Application, provide legal services to any Financial Institution? Yes No

If yes, please complete Supplement 2.

E. Does the Applicant or any of its lawyers currently, or did the Applicant or any of its lawyers at any time in the last five (5) years, provide any other professional services apart from legal work? Yes No

If yes, please give details on a separate addendum. Please include details of applicable insurance.

F. Does the Applicant currently have, or has the Applicant at any time in the last five (5) years had, any one client or group of related accounts, which produce more than 10% of Total Gross Billings? Yes No

If yes, please attach a separate addendum explaining in detail the name and business activities of the client, the service(s) you provide or provided, areas of law involved and your relationship other than as independent legal advisor.

CONTROLS

4. MANAGEMENT

- A. Is the Applicant managed by a management committee? Yes No
- B. How many partners or officers comprise the management committee? _____ N/A
- C. Does the Applicant employ an administrator? Yes No
- D. What percentage of the administrator’s time is devoted to the practice of law? _____% N/A
- G. Does the Applicant use a peer review system to evaluate the performance of partners or officers? Yes No N/A

5. NEW BUSINESS

- A. Are new clients subject to approval of the Applicant’s management committee or at least two (2) partners or officers of the Applicant? Yes No N/A
- B. Is information as to all new clients made available on at least a weekly basis to all partners or officers of the Applicant? Yes No N/A
- C. Does the Applicant maintain a system to avoid conflicts of interest? Yes No
- D. Is the conflicts system computerized? Yes No
- E. Is a lawyer who generates new business required to work under supervision of a partner or officer having specific expertise in the matter? Yes No N/A

6. OUTSIDE COMMUNICATIONS

- A. Is it the Applicant’s standard practice to use engagement and disengagement letters when agreeing or declining to represent a client? Yes No
- B. Is it the Applicant’s standard practice to outline in writing the Applicant’s billing policy and procedure when agreeing to represent a client? Yes No
- C. Do major opinion letters have to be approved by at least two partners or officers of the Applicant?: Yes No N/A
- D. Do letters to auditors have to be approved by at least two partners or officers of the Applicant? Yes No N/A

If the answer to any of these questions is no, please give written explanation.

7. DOCKET AND CALENDAR

- A. Does the Applicant maintain a docket control system and procedure with at least two (2) independent date controls? Yes No
- B. Is the docket control system and procedure computerized? Yes No
- C. Does the docket control system and procedure produce a weekly calendar? Yes No
- D. Does the docket control system and procedure cover all aspects of the Applicant's practice? Yes No
- E. Does the docket control system and procedures require lawyers to both calendar and remove from the calendar all filing dates? Yes No
- F. Are open calendar entries on the planned docket control system and procedure circulated to all lawyers or, if the Applicant is divided into formal departments, to all lawyers in the appropriate department? Yes No N/A

8. TRAINING AND SUPERVISION

- A. Does the Applicant maintain a formal training program for new lawyers as to office and court procedures? Yes No N/A
- B. Are all lawyers (including any Of Counsel) of the Applicant firm in compliance with the continuing education requirements established by the State Bar of California?
If no, please explain the reasons for noncompliance on a separate addendum. Yes No
- C. Are all associates of the Applicant under the direct supervision of a partner or officer? Yes No N/A
- D. Are all associates of the Applicant subject to periodic, written review? Yes No N/A

9. MISCELLANEOUS

- A. Does the Applicant firm have a policy forbidding any of its lawyers (including any of counsel) from participating as a shareholder, partner, officer or director in any client or in any of the client's related entities? Yes No
If no, please give details on a separate addendum.
- B. Is any lawyer (including Of Counsel) of the Applicant firm currently participating or has participated in the past as an officer, partner, director, or shareholder in any entity other than the Applicant? Yes No
If yes, give details on a separate addendum.
- C. How many suits and fee arbitrations for collection of fees and/or recovery of costs have been commenced by the Applicant during the past five (5) years? _____
- D. How many suits, counterclaims, and fee arbitrations have been commenced against the Applicant, contesting any fees and/or costs charged by Applicant during the past five (5) years? _____
- E. What percentage of the Applicant's billings are more than 90 days overdue? _____%
- F. Does/Has any current or past lawyers, of counsels or employees of the Applicant:
 - (i) Had his/her legal license or authority to practice law revoked? Yes No
 - (ii) Have knowledge of any complaint and/or disciplinary action regarding Applicant (including any lawyer or staff member) reported to the state or local bar or ABA? Yes No
 - (iii) Been subject to any investigation, fine, sanction, reprimand, or criminal penalty related to performance of professional services? Yes No*If yes to any of the above, give the details on a separate addendum, including the date and outcome.*
- G. Has Applicant or any of its past or present lawyers moved to withdraw, or been disengaged at the request of a client during the past two (2) years? Yes No
If yes, give details on a separate addendum.

10. A. Has the Applicant or any of its attorneys (including any Of Counsel) ever had an application or policy for professional liability insurance declined, cancelled or non-renewed? Yes No

If yes, please provide details (including date, carrier and reason(s) for action) on a separate addendum.

B. After inquiry, have any claims or suits been made against any lawyer (including any Of Counsel) of the Applicant firm or any past / present owners, partners, shareholders, corporate officers or employees or its predecessors in business during the last five (5) years? Yes No

If yes, how many claims or suits _____, please complete enclosed Supplement 5 for each claim or suit.

C. After inquiry, have any claims or suits been made by any lawyer (including any Of Counsel) of the Applicant firm or any of its past or present owners, partners, shareholders, corporate officers or employees or its predecessors in business during the last five (5) years (i.e., claims or suits made as a plaintiff and not as an attorney representing a client)? Yes No

If yes, how many claims or suits _____, please complete enclosed Supplement 5 for each claim or suit.

D. After inquiry and based upon a reasonable belief, is/are any lawyer (including any Of Counsel) of the Applicant firm aware of any circumstances, allegations, or contentions as to any incident which may result in a claim being made against the Applicant or any of its past or present owners, partners, shareholders, corporate officers, of counsels or employees or its predecessors in business during the last five (5) years? Yes No

If yes, how many incidents _____, please complete enclosed Supplement 5 for each incident.

11. Please give details of previous Insurance (last five (5) years) including periods of coverage (including predecessor Applicants) and any extended claims reporting period (“tail”) coverage. INFORMATION BELOW MUST INCLUDE POLICY NUMBER

	Carrier	Policy Number	Limits Each Claim/Aggregate	Deductible	# of Attorneys	Paid Premiums	Coverages Dates Effective	
							From	To
1.						\$		
2.						\$		
3.						\$		
4.						\$		
5.						\$		

Retroactive Date of current coverage: _____.

Please provide a copy of the Declarations Page of (or Endorsement to) Applicant’s current policy showing the retroactive date listed above.

12. Please state coverage Limits and Deductibles Requested:

A. Coverage Limits of Liability

\$	Any one Claim and in the Aggregate, including Costs and Expenses
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B. Deductible

\$	Each and every Claim including Costs and Expenses
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