



APPLICATION FOR LAWYERS PROFESSIONAL LIABILITY INSURANCE

THE POLICY YOU ARE APPLYING FOR IS A CLAIMS-MADE AND REPORTED POLICY, AND SUBJECT TO ITS PROVISIONS, APPLIES ONLY TO ANY CLAIM BOTH FIRST MADE AGAINST AN INSURED AND REPORTED IN WRITING TO THE COMPANY DURING THE POLICY PERIOD. NO COVERAGE EXISTS FOR CLAIMS FIRST MADE AFTER THE END OF THE POLICY PERIOD UNLESS, AND TO THE EXTENT, THE EXTENDED REPORTING PERIOD APPLIES. DEFENSE COSTS, AS WELL AS ANY LOSSES REDUCE THE LIMIT OF LIABILITY AND ARE SUBJECT TO THE RETENTION. PLEASE REVIEW THE POLICY CAREFULLY AND DISCUSS COVERAGE WITH YOUR INSURANCE AGENT OR BROKER.

ABOUT THE FIRM

1. The precise registered name of the applicant firm to be insured, as reflected on the firm's letterhead:
Name: _____
Attach a sample of the firm's letterhead to this application. Inconsistencies between it and the application, including attorneys named, address, and other offices, etc. should be explained on a separate sheet of paper
2. a. Primary Location of the firm:
Street Address: _____
City: _____ County: _____ State: _____ Zip: _____
Telephone: _____ Fax: _____
Email Address: _____ Web site Address: _____
- b. Is this location a work-at-home or Virtual Office Arrangement (i.e. mailing address only, reserved office space on a shared basis)? Yes No
- c. Is this location where the firm meets with clients? If no, please explain via Question 7 below. Yes No

FIRM COVERAGE INFORMATION

3. Coverage is requested to be effective on: _____ / _____ / _____
4. What year was the firm established? _____
5. Type of Entity? solo practitioner individual attorney with employee attorney(s)
 partnership PC PA LLC LLP other _____
6. Is the firm office or suites shared with attorneys other than firm members? Yes No
7. Does the firm have offices at locations other than the primary location listed above? Yes No
8. Does the firm practice in states other than the primary location?
If "yes", complete the Out of State Supplemental Application. Yes No
9. Is the ratio of support staff to attorneys greater than 3 to 1? Yes No
10. For how many years has the firm been continuously insured for malpractice claims? _____
11. a. Enter the prior acts exclusion date, if applicable: _____ / _____ / _____
- b. If the firm is a spin-off from another firm include the number of years that firm has been continuously insured. _____
12. Has the firm ever purchased an Extended Reporting Period option? Yes No
13. Has the firm's coverage ever been non-renewed, cancelled, rescinded or declined by another carrier? Yes No
14. Does the firm desire coverage for any previously-dissolved predecessor firms and those attorneys affiliated therewith? Yes No
15. Is there an attorney listed on the letterhead not covered by the firm's insurance? Yes No
16. Enter the firm's insurance history for the last five years:

Eff Date mm/dd/yy	Insurance Company	Limits (per claim / agg)	Deductible (per claim/agg)	Covered # of attys	Annual Premium



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ATTORNEY INFORMATION

17. **Total number of attorneys:** List all of the firm's attorneys. Differences between the date attorney began practicing law for other than a corporate or governmental entity and the date the attorney was admitted to the Bar must be explained on a separate sheet of paper following the same format. List additional attorneys on a separate sheet in the same format.

	Attorney Name	Attorney Desig.	Average # of hours per week				States licensed to practice law	Number of Years			Prior acts date	CNA Risk Mgmt * Seminar Date	Bar Member?	
			0	1-10	11-25	26 +		In practice	with this firm	continuous malpractice coverage			Y	N
1													<input type="checkbox"/>	<input type="checkbox"/>
2													<input type="checkbox"/>	<input type="checkbox"/>
3													<input type="checkbox"/>	<input type="checkbox"/>
4													<input type="checkbox"/>	<input type="checkbox"/>
5													<input type="checkbox"/>	<input type="checkbox"/>
6													<input type="checkbox"/>	<input type="checkbox"/>
7													<input type="checkbox"/>	<input type="checkbox"/>
8													<input type="checkbox"/>	<input type="checkbox"/>
9													<input type="checkbox"/>	<input type="checkbox"/>
10													<input type="checkbox"/>	<input type="checkbox"/>

Attorney Designations:

- A Associate
- CC Co-counsel
- D Director
- E Employee
- IC Independent Contractor

- MEM Member of Firm
- MGR Manager
- O Owner
- OC Of Counsel
- OF Officer

- SP Solo Practitioner
- SPC Special Counsel
- STC Staff Counsel
- SHH Shareholder
- STH Stockholder

Partner Designations:

- EP Equity Partner
- NP Non-equity Partner
- P Partner
- LLP Limited Liability Partner
- RP Retired Partner

* does not include courses taken on West Legal Ed website



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AREAS OF PRACTICE

18. Guidelines for completing this section:

- a. Express percentages of time devoted (billable hours) in each area during the previous year.
- b. Indicate percentages in whole numbers next to the type of law you practice, not the business client you represent.
- c. Be as accurate as possible, as casual estimates may cause inappropriate evaluation of your practice.
- d. All litigation should be coded as "civil litigation" with the exception of "criminal", "personal injury-plaintiff" and "intellectual property" which should be coded to their respective Area of Practice.

<input type="text"/> % Admiralty / Marine – Defense	<input type="text"/> % Criminal	<input type="text"/> % Natural Resources / Oil & Gas
<input type="text"/> % Admiralty / Marine – Plaintiff	<input type="text"/> % Environmental	<input type="text"/> % Pers Inj / Prop Dam - Defense
<input type="text"/> % Anti-Trust / Trade Regulation	<input type="text"/> % Family Law	<input type="text"/> % Pers Inj / Prop Dam - Plaintiff
<input type="text"/> % Banking / Financial Institutions	<input type="text"/> % Government Contracts / Claims	<input type="text"/> % Real Estate/Title - Commercial
<input type="text"/> % Business Transaction – Comm'l Law	<input type="text"/> % Immigration / Naturalization	<input type="text"/> % Real Estate/Title- Residential
<input type="text"/> % Civil/Comm'l Litigation – Defense	* <input type="text"/> % Intellectual Prop –	* <input type="text"/> % Securities (S.E.C.)
<input type="text"/> % Civil/Comm'l Litigation – Plaintiff	(Copyright/Trademark/Patent)	<input type="text"/> % Taxation
<input type="text"/> % Civil Rights / Discrimination	<input type="text"/> % International Law	<input type="text"/> % Wills, Estate, Trust & Probate
<input type="text"/> % Collection / Bankruptcy	<input type="text"/> % Labor Management Rep	<input type="text"/> % Workers Comp - Defense
<input type="text"/> % Construction (Building Contracts)	<input type="text"/> % Labor Union Rep	<input type="text"/> % Workers Comp - Plaintiff
<input type="text"/> % Consumer Claims	<input type="text"/> % Local Government	<input type="text"/> % Other (describe below)
<input type="text"/> % Corporate Business Organization		

TOTAL: _____% must equal 100%

* If any percentage, complete the Intellectual Property and/or Securities Supplemental Applications.

"OTHER" Description Area: _____

FIRM OPERATIONS AND MANAGEMENT

- 19. Does the firm or any attorney of the firm have clients in the Entertainment industry? Yes No
- 20. At any time in the past five years, has the firm, or any attorney of the firm (regardless of what firm they were with at the time) provided legal services in any way related to a security or securities transaction? Yes No
- 21. Does the firm have any one client in which the firm's attorneys have an equity interest greater than 10% combined? Yes No
- 22. Does the firm have any one client which represents more than 25% or more of the firm's billings? Yes No
- 23. Does anyone in the firm serve as a director, officer or employee or in any other management capacity for a client? Yes No
- 24. Does the firm have procedures for identifying and resolving potential or actual conflicts of interest including cross-checking of former, existing or potential clients? Yes No
- 25. Does the firm have at least two independently maintained docket controls? Yes No
- 26. a. Does the firm regularly confirm representations in writing via use of formal engagement letters? Yes No
Please attach a sample engagement letter on firm letterhead
- b. Does the engagement letter include the following:

▪ Identity of the Client?	<input type="checkbox"/> Yes <input type="checkbox"/> No
▪ Scope of Representation that includes key terms of legal representation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
▪ Fee structures and billing agreements?	<input type="checkbox"/> Yes <input type="checkbox"/> No
▪ Termination agreement that includes file retention and destruction terms?	<input type="checkbox"/> Yes <input type="checkbox"/> No
- c. Does the firm ensure that a countersigned engagement letter is received from the client before work begins on a new matter? Yes No
If "no", to a., b. or c, please explain via attachment.



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FIRM OPERATIONS AND MANAGEMENT (CON'T)

- 27. Does the firm regularly acknowledge in writing the declination or termination of representations?
28. For firms greater than 5 attorneys: Does the firm require that at least two attorneys in the firm be informed of the initiation of a representation?
29. If you are a solo practitioner, do you have a procedure in place regarding provisions of services if you are incapacitated or otherwise unavailable?
30. Has the firm initiated lawsuits or arbitration procedures during the last two years to enforce the collection of unpaid fees for the firm?

If "yes", complete the Fee Suit Supplemental Application.

- 31. Has the Firm or any lawyer in the Firm represented publicly traded clients with services rendered involving Sarbanes-Oxley Act (SOX) compliance including but not limited to Securities, Accounting, Financial/Investment Services or Tax work?

If "yes", please complete the Client Information supplement.

- 32. Has the firm been involved in any mass tort / class action cases within the past five years?

If "yes" complete the Mass Tort / Class Action Supplemental Application.

- 33. Provide the firms gross revenues:

Table with 3 columns: Year, Year End Date, Gross Revenues. Rows include Current fiscal, Prior fiscal, and 2 Years Prior.

- 34. What percentage of accounts receivable are outstanding more than 90 days? _____%

CLAIM / INCIDENT / DISCIPLINARY INFORMATION

- 35. After inquiry, is any attorney in the firm aware of:
a. a professional liability claim made in the past five years against them, the firm, any predecessor firm, or against any current or former attorney of the firm while affiliated with the firm?
b. an actual or alleged act, omission, circumstance, or breach of duty that a reasonable attorney would recognize might reasonably be expected to result in a claim being made against the firm, any predecessor firm, or against any attorney currently or formerly affiliated with the firm or any predecessor firm, regardless of whether any such claim would be meritorious?

If "yes" to a, or b above complete the Claims Supplemental Application for each claim or incident

- 36. a. Within the past five years, has any attorney been subject to any disciplinary inquiry, complaint or proceeding for any reason including non-payment of dues?
b. Has any attorney ever been refused admission to practice, disbarred, suspended, formally reprimanded, or sanctioned in any other way?

If "yes" to a or b above complete the Disciplinary Supplement unless the matter was reported under a prior CNA policy term and supplement was completed. The Disciplinary - Status Update Supplement should be completed for renewal policies where the matter was previously reported but was still open at the last renewal.



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REQUESTED COVERAGE

(Some limits / deductibles / optional coverages may not be available in all states and all are subject to underwriting qualification. Your quote will reflect the coverage and options for which your firm qualifies.):

37. a. Select the Each Claim/Aggregate Limit the firm desires:

- \$ 100,000/\$ 300,000 \$ 500,000/\$ 1,000,000 \$ 2,000,000/\$ 2,000,000 \$4,000,000/\$ 4,000,000
- \$ 250,000/\$ 500,000 \$1,000,000/\$1,000,000 \$ 2,000,000/\$ 4,000,000 \$5,000,000/\$ 5,000,000
- \$ 500,000/\$ 500,000 \$ 1,000,000 / \$ 2,000,000 \$ 3,000,000/\$ 3,000,000 Other: \$_____ / \$_____

b. Select the Aggregate Deductible the firm desires:

- \$ 1,000 \$ 2,500 \$4,000 \$10,000 \$25,000 \$75,000
- \$ 2,000 \$ 3,000 \$5,000 \$15,000 \$50,000 \$100,000 Other: \$_____

38. Select the optional coverages the firm desires:

- Per Claim Deductible Claims Expenses Outside Limit First Dollar Defense Title Insurance Agency

NOTE: The Title Insurance Agency optional coverage extends coverage to a specific title agency as a separate entity. A supplemental application is required.

