

Lawyers Professional Liability Insurance New Business Application

National Union Fire Insurance Company of Pittsburgh, Pa.
 1271 Ave of the Americas FL 37
 New York, NY 10020-1304
 (A capital stock company, herein called the Company)

THE POLICY FOR WHICH YOU ARE APPLYING IS A CLAIMS MADE POLICY. IT APPLIES ONLY TO THOSE CLAIMS THAT ARE FIRST MADE DURING THE POLICY PERIOD AND ANY APPLICABLE EXTENDED REPORTING PERIOD, AS THOSE TERMS ARE DESCRIBED IN THIS POLICY. PLEASE REVIEW THIS POLICY CAREFULLY AND DISCUSS THIS COVERAGE WITH YOUR INSURANCE AGENT OR BROKER.

CLAIM EXPENSES MAY REDUCE AND EXHAUST THIS POLICY'S LIMITS OF LIABILITY AND MAY BE SUBJECT TO THE POLICY'S DEDUCTIBLE. PLEASE DISCUSS THIS WITH YOUR INSURANCE AGENT OR BROKER

1. Application Firm Information

Firm Name: _____ Phone: _____
 Address: _____
 Suite/Appt: _____
 City: _____
 State: _____ Zip: _____
 Application Firm is: Proprietorship Partnership Corporation Association LLP LLC Other
 Year Applicant Firm Established: _____ Primary Contact: _____ Email: _____
 Does the Applicant Firm have any additional office locations? Yes No
If, "yes," please explain by separate attachment. _____
 Does any lawyer of the Applicant firm practice in jurisdictions outside of the United States? Yes No
If, "yes," please explain by separate attachment. _____

2. Limits Requested – Per Claim/Aggregate

\$100,000/\$300,000	\$500,000/\$500,000	\$1,000,000/\$2,000,000
\$250,000/\$500,000	\$500,000/\$1,000,000	\$1,000,000/\$3,000,000
\$250,000/\$750,000	\$1,000,000/\$1,000,000	\$2,000,000/\$2,000,000
Other: _____		

3. Deductible Requested

\$0 \$1000 \$2,500 \$5,000 \$10,000 \$15,000 \$25,000 \$50,000 Other

4. Personnel – List all Lawyers to be covered (do not include "of counsel", independent contractors or per diem lawyers)

Name	Status Designation Code*	State(s) Admitted to Practice	Year First Admitted to Bar	Date of Hire	Individual Prior Acts Exclusion Date
1.					
2.					
3.					
4.					
5.					

* **S** – sole proprietor **P** – partner/member **E** – employed lawyer
PT – part-time lawyer working less than 26 hours per week **Note:** Attach separate sheet if necessary.

Total hours of service per year provided to Applicant Firm by "of counsel," independent contractor and per diem lawyers

Total number of lawyers who left the Applicant Firm in the past year

Total hours of CLE per year

NON-LAWYER STAFF

Total Non-Lawyer Staff: _____ Firm Administrator: Yes No

5. Area of Practice

Please indicate below the percentage of the Applicant Firm's gross revenues in the most recent fiscal year derived from each area of practice:

Group 1

Admiralty/Maritime	% Election & Campaign	%
Administrative (Social Security Disability)	% ERISA/Employee Benefits/Executive Compensation	%
Agricultural	% Employment	%
Alternative Dispute (Arbitration/Mediation)	% Family	%
Antitrust/Trade Regulation	% Governmental (Non-Contracts, Non-Lobbying)	%
Appellate – Criminal	% Governmental Contracts	%
Appellate – Civil	% Governmental Relations/Lobbying	%
Aviation & Aerospace	% Healthcare (Non-Malpractice)	%
Bankruptcy	% Immigration	%
Business/Commercial – General and Contracts	% Indigent Legal Services	%
Civil Litigation – Defense other than Insurance	% Insurance (Non-Defense)	%
Civil Litigation – Insurance Defense	% International Trade	%
Civil Rights	% Labor – Management	%
Communications	% Labor – Unions	%
Constitutional	% Military	%
Construction	% Municipal (other than Securities)	%
Corporate General	% Probate/Trust/Wills/Estates	%
Criminal	% Tribal & Native Populations	%
Education	% Workers Compensation/Defense	%
Elder Law	% Workers Compensation/Plaintiff	%
	GROUP 1 SUB-TOTAL	%

Group 2

Banking & Finance	% Investment Counseling	%
Bonds	% Mergers & Acquisitions	%
Civil Litigation – Legal Malpractice	% Natural Resources/Mining & Minerals/Oil & Gas/Energy	%
Civil Litigation – Mass Tort/Class Action	% Real Estate – Residential	%
Civil Litigation – Medical Malpractice	% Real Estate – Commercial	%
Civil Litigation – Not Otherwise Classified	% Real Estate – Syndication/Development	%
Civil Litigation – Other Malpractice	% Real Estate – Title Work	%
Civil Litigation – Personal Injury	% Real Estate – Condo Offering	%
Civil Litigation – Products Liability	% Real Estate – Foreclosure/Loan Workout	%
Corporate Formation (other than M&A)	% Securities – Publicly Traded	%
Debtor & Creditor/Collections	% Securities – Private Placement	%
Entertainment/Sports/Fine Art/Media/Public Figures	% Tax – Individuals	%
Environmental	% Tax – Opinions/Corporate	%
Intellectual Property	%	%
	GROUP 2 SUB TOTAL	%

COMBINED TOTAL (MUST = 100%) %

Please complete the corresponding Area of Practice Supplemental application for any revenue in any section of "Group 2"

- A. In the last three (3) years:
- Has the Applicant Firm provided legal services for a cannabis industry client?
If "yes," please complete the Cannabis Industry Supplement Yes No
 - Has the Applicant Firm provided legal services for a cryptocurrency or blockchain client?
If "yes," please complete the Cryptocurrency Industry Supplement Yes No
- B. Does the Applicant Firm have any high-profile clients who are entertainers, sports figures, or public officials?
If "yes," please complete the Entertainment/Sports/Public Figures Supplement Yes No
- C. Does the Applicant Firm have discretionary investment authority for any clients?
If "yes," please list the total number of clients Yes No
- Does any one client account for more than \$500,000? Yes No
 - Is the authority limited and in writing? Yes No
- D. In the last three (3) years, has any attorney with the Applicant Firm represented any financial institution; acted as SEC counsel, regulatory counsel, or general counsel of any financial institution; acted as director, officer or committee member of or held any equity interest in any financial institution?
(Financial Institution means any savings and loan association, bank, credit union, saving bank, banking and loan Association, commercial banking institution or any subsidiary or lending affiliate thereof.) Yes No
If "yes," please complete the Financial Institutions Supplement
- E. Does any attorney with the Applicant Firm have any equity interest in, serve as director, officer, trustee (other than estate trusts), partner or employee of; exercise fiduciary control or possess any ownership interest in any client or any business venture with a client?
If "yes," please complete the Outside Interests Supplement Yes No
- F. In the last three (3) years, has any attorney with the Applicant Firm provided legal services in any way related to intellectual property matter that include patent infringement counseling, domestic or foreign patent prosecution, patent searches or filings? Yes No

6. Claims, Incidents & Disciplinary Actions

After inquiry, has any lawyer to be insured under this policy:

- Ever had professional liability insurance cancelled or non-renewed?
Missouri Applicants Need Not Reply *If "Yes", please explain by attachment* Yes No
- Ever been disbarred or been the subject of reprimand, censure, sanction or other disciplinary action, been convicted or plead guilty to a crime, or been refused admission to the Bar?
If "Yes", please explain by attachment Yes No
- Been the subject of a professional liability claim or suit in the last three (3) years? Yes No
- Had knowledge of any circumstance, act, error, or omission that could result in a professional liability claim under this policy?
If "Yes", to C. or D. above, please complete a Claims Supplement for each instance Yes No

7. Firm Policies & Procedures

Does the Applicant Firm:

- Use engagement letters on all new matters? Yes No
- Require clients to sign engagement letters/agreements? Yes No
- Use non-engagement and disengagement letters? Yes No

- D. Does the firm's engagement letter include any of the following?
(check all that apply):

Scope of Representation	Attorney Fees	Arbitration Language
Document Retention	Post-Closing Matters	Fund Transfer Procedures (Prevention of invoice or wire fraud)
Waiver Language for Joint Representation	Client Responsibilities	

- E. Use a computerized system for identifying conflicts? Yes No
-
- F. Cross-check conflicts by former, existing and potential clients? Yes No
-
- G. Cross-check conflicts by predecessor, merged or acquired firms? Yes No
-
- H. Insist on obtaining a written waiver from its clients in order to perform on-going services when an actual/potential conflict exists? Yes No
-
- I. Allow attorneys to enter into business with Applicant Firm clients? Yes No
-
- J. Require disclosure if such relationships are permitted? Yes No
-
- K. Maintain a calendar system using these methods:
- Single Calendar Yes No

 - Dual Calendar Yes No

 - Computer Yes No

- L. Have a computerized system to alert of approaching statute of limitation deadlines? Yes No
-
- M. Use two individuals to maintain its calendar system? Yes No
-
- N. Update its calendar system at least weekly? Yes No
-
- O. If you are a sole practitioner, have you designated a lawyer(s) who will be responsible for your affairs if you are absent for an extended period of time (i.e., vacation, etc.) Yes No
-
- P. How many times has the Applicant Firm sued a client for unpaid fees in the last 3 years? Yes No
-
- Q. Does any single client account for more than twenty-five percent (25%) of the Applicant Firm's gross annual billings? Yes No
If "Yes", please identify client, nature of client's business, and the percentage of billings, by attachment.
-
- R. What percentage of the Applicant Firm's billings are past due more than 90 days? Yes No
-
- S. Prior to any fund transfer, are all requests double checked by telephoning the authorizing party to assure legitimacy and accuracy of the intended receiver's account? N/A Yes No
If the Applicant Firm doesn't hold client funds, please mark as N/A
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8. Prior Insurance

A. Current Prior Acts Exclusion Date or Retroactive Date

Inception From (MM/DD/YYYY)	Expiration to (MM/DD/YYYY)	Insurance Company	Limits of Liability	Deductible	Premium

Is the applicant being covered by an Extended Reported Period Endorsement?
If "yes," please attach details.

Yes No

9. Signature

Please read carefully and sign below where indicated.

The undersigned proprietor, partner, member or officer, acting on behalf of the Applicant Firm and all others to be insured, hereby,

- A. Declares after diligent inquiry that the above statements and particulars are true and that no material facts have been omitted or misstated to the best of his or her knowledge.
- B. Understands and agrees that the completion of this application does not bind the Company to issue nor the Applicant Firm to purchase the insurance; and
- C. Acknowledges that (1) this application will be the basis of the policy, if issued; (2) all written statements and material furnished to the Company in conjunction with this application are hereby incorporated by reference into this application and made part hereof; and (3) if the Company issues a policy, the Company will have relied upon, as representations, the declarations and statements which are contained in or attached to or incorporated into this application.

By signing, I acknowledge above and hereby provide consent to receiving Electronic Delivery of all documentation. If I want to withdraw my consent to Electronic Delivery, I will send an e-mail to affinitylawyersadmin@aon.com and request such a change

Sign and date in ink

Signature of Owner, Partner or Office

Date

Name (please print)

IMPORTANT NOTICES

NOTICE TO KANSAS APPLICANTS: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO DEFRAUD, PRESENTS, CAUSES TO BE PRESENTED OR PREPARES WITH KNOWLEDGE OR BELIEF THAT IT WILL BE PRESENTED TO OR BY AN INSURER, PURPORTED INSURER, BROKER OR ANY AGENT THEREOF, ANY WRITTEN, ELECTRONIC, ELECTRONIC IMPULSE, FACSIMILE, MAGNETIC, ORAL, OR TELEPHONIC COMMUNICATION OR STATEMENT AS PART OF, OR IN SUPPORT OF, AN APPLICATION FOR THE ISSUANCE OF, OR THE RATING OF AN INSURANCE POLICY FOR PERSONAL OR COMMERCIAL INSURANCE, OR A CLAIM FOR PAYMENT OR OTHER BENEFIT PURSUANT TO AN INSURANCE POLICY FOR COMMERCIAL OR PERSONAL INSURANCE THAT SUCH PERSON KNOWS TO CONTAIN MATERIALLY FALSE INFORMATION CONCERNING ANY FACT MATERIAL THERETO; OR CONCEALS, FOR THE PURPOSE OF MISLEADING, INFORMATION CONCERNING ANY FACT MATERIAL THERETO COMMITS A FRAUDULENT INSURANCE ACT.