

- 1) Do all attorneys handling intellectual property matters have at least five (5) years of experience? . . . . .  Yes  No
- 2) Is the work of associates directly supervised by a senior attorney of the firm? . . . . .  Yes  No
- 3) Does the firm employ contract attorneys? . . . . .  Yes  No
- If yes,**
- a. Is the work of contract attorney reviewed by a senior attorney of the firm? . . . . .  Yes  No
- b. Does the contract attorney have at least five (5) years experience in intellectual property? . . . . .  Yes  No

4) Please provide a breakdown of the firm's practice based on gross billable income by showing the percentages for each of the following:

- |                                     |       |                                     |       |
|-------------------------------------|-------|-------------------------------------|-------|
| a. Domestic Patent Prosecution      | ____% | e. Patent Infringement              | ____% |
| b. Foreign Patent Prosecution       | ____% | f. Trademark/Copyright Registration | ____% |
| c. Intellectual Property Litigation | ____% | & Licensing                         | ____% |
| d. Patent Filings and Searches      | ____% | g. Other (Describe) _____           | ____% |

5) Industry Areas: Please provide a breakdown of the firm's practice by showing the percentages based on gross billable income derived from intellectual property matters within the following industries:

- |                 |       |                           |       |
|-----------------|-------|---------------------------|-------|
| a. Biotechnical | ____% | e. Industrial             | ____% |
| b. Chemical     | ____% | f. Mechanical             | ____% |
| c. Computer     | ____% | g. Pharmaceutical         | ____% |
| d. Electric     | ____% | h. Other (Describe) _____ | ____% |

6) Please list the three (3) largest intellectual property clients of the firm based on annual billings:

|    | Name  | Type of Business | Work Performed | Annual Billings |
|----|-------|------------------|----------------|-----------------|
| 1. | _____ | _____            | _____          | _____           |
| 2. | _____ | _____            | _____          | _____           |
| 3. | _____ | _____            | _____          | _____           |

7) Provide the percentage breakdown of the firm's clients by size (estimate):

Fortune 500 \_\_\_\_\_%      Mid-Sized Companies \_\_\_\_\_%      Small Companies/Entrepreneurs \_\_\_\_\_%

8) Has the firm accepted an equity interest in a client in lieu of fees? . . . . .  Yes  No

**If yes, provide a separate sheet describing the following:**

- Under what circumstances will the firm accept equity in lieu of fees?
- What is the approval process if a lawyer wishes to accept equity in lieu of fees?
- List of clients in which you have accepted equity including the percentage of equity interest held in the client.

9) If your firm handles any Patent work, please complete the following questions. If N/A, please check here and proceed to signature:

- a. When undertaking a patent search, does the firm require the use of an engagement letter which details the nature, scope and limitations of a proposed patent search? . . . . .  Yes  No
- b. When an engagement is completed, does the firm always send termination letters? . . . . .  Yes  No
- c. For foreign patent filings, is the client made aware of the deadlines for these filings and the requirements to complete the filing? . . . . .  Yes  No
- d. For foreign patent prosecution, does the firm co-counsel or refer the matter to a foreign firm? . . . . .  Yes  No
- If "Yes," provide a detailed explanation on a separate sheet, indicating how frequently, under what circumstances and whether a certificate of insurance verifying separate professional liability insurance is obtained.**
- e. Is the firm responsible for payment of annuities, maintenance fees or taxes? . . . . .  Yes  No
- f. If the client is responsible for payment of annuities, maintenance fees or taxes or if authorization is necessary, are

notices of required payments sent well in advance of the due date? . . . . .  Yes  No

- g.** Does the firm maintain a computerized calendar or docketing system to record, monitor and comply with filing deadlines and other time limitations in connection with securing patents? . . . . .  Yes  No
  - h.** Does the firm have procedures to ensure that the client is notified of all such deadlines and other time limitations? . . . . .  Yes  No
  - i.** Does the firm accept "last minute" client filing requests? . . . . .  Yes  No
  - j.** Does the firm provide a written warning to clients of the consequences of failing to file within deadlines? . . . . .  Yes  No
  - k.** Does the firm engage the services of a third party to carry out patent searches? . . . . .  Yes  No
- If "Yes," provide a detailed explanation on a separate sheet, indicating how frequently, under what circumstances, and whether a certificate of insurance verifying separate professional liability insurance is obtained.***
- l.** When rendering an opinion as to the results of a patent search, does the firm qualify the opinion in writing with reference to the nature, scope, and limitations of the search conducted? . . . . .  Yes  No
  - m.** Has the firm litigated any matters for which it handled the underlying intellectual property matter? . . . . .  Yes  No
  - n.** Does the firm have written procedures for new client approval? . . . . .  Yes  No
  - o.** Does the firm have a peer review procedure? . . . . .  Yes  No
  - p.** Does the firm allow representation of individual inventor/employees of corporate or university clients? . . . . .  Yes  No

I understand that the information submitted in this supplement becomes a part of my Lawyers Professional Liability Application and is subject to the same representations and conditions.

**New York Fraud Warning:** 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.

**INCOMPLETE, UNSIGNED AND UNDATED APPLICATION SUPPLEMENTS  
WILL BE RETURNED FOR COMPLETION.**

\_\_\_\_\_  
**Print Name**

\_\_\_\_\_  
**Title**

\_\_\_\_\_  
**Signature of Owner, Partner, Principal, Officer, or Member  
of the Applicant Firm**

\_\_\_\_\_  
**Date**