



**LAWYERS PROFESSIONAL LIABILITY
SECURITIES OR BONDS SUPPLEMENT**



Securities related activities means securities or transactions which are subject to or exempt from the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Advisors Act of 1940, or State Blue Sky or securities laws or any amendments thereto.

1) Do all attorneys handling securities matters have at least five (5) years of experience? Yes No

2) State the gross income derived from securities and/or securities related activities:
Last 12 months \$ _____ Anticipated next 12 months \$ _____

3) Does the firm accept equity or securities in lieu of fees as payment for services involving or related to securities? Yes No

If yes, answer the following questions on a separate sheet of paper:

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

4) Does the firm have a policy prohibiting or restricting attorneys from investing with securities clients or otherwise entering into a business relationship (other than attorney/client)? Yes No

5) Does any attorney have a business relationship (other than attorney/client) with any person or entity other than those situations identified in the Outside Interest Supplement Application? Yes No
If yes, please provide a detailed narrative.

6) Attach a copy of the procedures utilized by the firm for screening new clients.

7) Does the firm follow any established "Due Diligence" Procedures? Yes No
If yes, attach a copy of these procedures including any checklists utilized in conjunction therewith.
If no, attach a detailed description of steps taken to satisfy the "due diligence" requirements.

8) Is a "cold review" of securities transactions by an uninvolved member of the firm required prior to release or signature? Yes No
If no, please provide a detailed narrative.

9) Does the firm make recommendations as to the sale or purchase of any specific stocks, bonds or other securities related investments? Yes No
If yes, please provide a detailed narrative.

10) List, on the Securities Schedule (page 2), all securities offerings, private placements, limited partnerships, syndications and bonds handled in the past five (5) years. **THIS SCHEDULE IS PART OF THE SUPPLEMENT AND IS SUBJECT TO THE SAME REPRESENTATIONS AND CONDITIONS.**

11) In addition to the transactions listed on the Securities Schedule, is the firm involved in any other work involving securities or bond transactions? Yes No
If yes, please provide a detailed narrative.

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.

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

