

Name of Applicant Firm: _____

1. Does the applicant have a policy forbidding its lawyers from participating as a partner, officer or director in any entity that is a client of the firm? Yes No

(If special circumstances exist as to why the firm does not have such a policy, please explain below.)

2. Does the applicant have a full time Office Manager? Yes No

3. Does the applicant have a Management/Executive Committee? **If yes, please answer the following:** Yes No

a. How many members comprise the committee? _____

b. How often does the committee meet? _____

4. Does the applicant have a formal training program for lawyers joining the firm? Yes No

5. Does the applicant undergo internal (risk management) audits on a regular basis? Yes No

6. Are CPA-audited financial statements produced on at least a yearly basis? Yes No

7. Does the applicant have a formal peer review requirement for each lawyer's work product? Yes No

The undersigned represents that the statements set forth herein are true, complete and accurate and that there has been no attempt at suppression or misstatement of any material facts known, or which should have been known, and agrees that this application will be included in the basis of any coverage that may be issued by the Company.

Signature of Partner, Officer or Owner of Applicant Firm: _____ Date: _____

Print or Type Name: _____ Title: _____