

APPLICATION FOR LAWYERS PROFESSIONAL LIABILITY INSURANCE

SUPPLEMENTAL APPLICATION

FINANCIAL INSTITUTIONS							
N	ame of Applicant (The Firm):						
•	This supplement should be completed if: i) at any time within the past ten (10) years the firm, or any attorney of the firm (regardless of what firm they were practicing v time), provided legal services to any bank, banking association, trust company, savings bank, industrial bank, savings and lo						
	association, building and loan association, homestead association, bank holding company, savings and loan holding compan credit union, investments banking firm, securities broker or dealer or other banking institution or any subsidiary or affiliate or other financial institution, and if the individual acted in the capacity as SEC counsel, regulatory counsel, general counsel committee member or was an equity partner or director or officer of such institution; or ii) any attorney of the firm, or former attorney while affiliated with the firm, served in the past ten (10) years as director or officer.	thereof or					
	any financial institution.	, o, ye.					
•	Please photocopy this supplement and provide a separate sheet for each financial institution client within the past ten (10) years.						
1	Institution's Name:						
2	Locations:						
3.	The above financial institution is a \square past; or \square present client of a firm attorney.						
4.	Briefly state the nature of services rendered and the dates last rendered:						
5.	Has this financial institution ceased operations, gone insolvent, been declared insolvent, or is it now controlled or operated by the FDIC, OCC and OTS or any other government agency? (If "Yes," please provide full particulars on a separate sheet of paper and attach to this supplemental application.)	DYES DNO					
6.	Has any member (or former member) of the applicant firm:						
٠.	A. Had loan commitments with the above institution?	□YES □NO					
	B. Held stock or other financial interest in the above institution?	ÚYES DNO					
	If "yes," what is the dollar value of such interest?	\$					
	C. Acted as a director or officer of the above institution?	DYES DNO					
	Dates Position held: from// to//						
	D. Participated in the preparation of the institution's response to regulatory examination reports?	☐ YES ☐ NO					
	E. Participated or assisted in the rendering of advice on regulatory issues?	YES DNO					
	F. Provided the following legal services to the above institution?						
	General Counsel	QYES QNO					
	Regulatory Counsel	\Box YES \Box NO					
	Assist in preparation of regulatory examination reports	☐ YES ☐ NO					
٠,٠	Loan closings	QYES QNO					
`~	Loan documentation	☐ YES ☐ NO					
	Litigation	□YES □NO					
	Securities Work	☐YES ☐ NO					

7.	A	-	ner member) of the applicant firm he	-	Q YES	S O NO
			internal committees of the above inst	itution?		
		Investment Advisory Con	•	,	U Y ES	S 🗆 NO
		Dates Position held:	from/ to/ _	/	O Marc	NO
		Executive Committee		,	HYES	ONC
		Dates Position held:	from/ to/ _	/	C) \$000	
		Loan Policy Committee			UYES	S 🗆 NO
		Dates held:	from/ / to/ _	/		
		Audit Committee			U YES	ONC
		Dates held:	from/ to/ _			
		Other (describe)			Q YES	ONO
	В	position was held?	provide an indemnification agreemen	-		ONO
			surance in force for the above institut	tion during the period the	□ YES	ONO
		position was held?				
8			member, are there any pending or the financial institution shown above?	reatened director's	— J YE S	-∃ NO
9.	Δ	nnual fees received by the fi	rm from the financial institution:	A. last fiscal year	\$	
7.	^	midal lees received by the In	in from the maneral distitution.	B. highest in any one fiscal year	\$	
				Di ligitoti ii alij olio libali joul	¥	
10.	0. A. Does the firm have a policy prohibiting attorneys from holding stock or other financial interest in a financial institution which is also a client of the firm?			□ YES	⊃ NO	
	В.	If "Yes," is it in writing?	which is also a citelle of the fift	#	☐ YES	□ NO
			ate sheet of paper and attach to this supplemente			
11.	. A. Does the firm have a policy prohibiting attorneys from acting as a director or officer			□ YES	□ NO	
			nich is also a client of the firm?			
	В.	If "Yes," is it in writing?			□ YES	□ NO
			ate sheet of paper and attach to this supplementa	al application.		
	C.	When was it established?		·	. ———	
12.	A.	Does the firm have a policy client financial institution?	prohibiting the introduction of clien	ts to any other	□ YES	⊃NO
	R.	If "Yes," is it in writing?			☐ YES	ON C
	٠.		ate sheet of paper and attach to this supplementa	l application.	- 125	41.0
	C.	When was it established?		- upprecanting		
13.	A. Does the firm have a policy prohibiting the representation of both borrowers and and lenders?			TYES	ON C	
	B.	If "Yes," is it in writing?			□ YES	D NO
			te sheet of paper and attach to this supplemental	l application.		
	C. When was it established?					
77.						
Applie: By	ınt			DATE		
2	SI	GNATURE OF OFFICER OR PARTY	NER OF FIRM PRINT NAME	OF OFFICER OR PARTNER		

Application must be signed by duly authorized proprietor, partner, member or officer of the firm.