Carolina Casualty Insurance Company 4600 Touchton Road East, Building 100, Suite 400, Jacksonville, FL 32246

Proposal Form

Lawyers' Professional Liability Insurance

CLAIMS MADE WARNING FOR APPLICATION

THIS PROPOSAL FORM IS FOR A CLAIMS MADE AND REPORTED POLICY, RELATING TO CLAIMS MADE AGAINST THE INSUREDS DURING THE POLICY PERIOD, THE AUTOMATIC EXTENDED REPORTING PERIOD OR THE PURCHASED EXTENDED REPORTING PERIOD, IF APPLICABLE.

	never printed in this Pro completed with respec				have the same	mean	ings as indicated	in the Poli	cy. This	Proposal Form is	
١	Name of Applicant Firm										
-	Address				_						
-(City			County			State	Zij	Code		
_	Phone:				Fax:						
	person designated as esentatives concerning t		ant Firr	n and of all In su	ureds to receive	ve any	and all notices	from the	Insurer	or their authorized	
7	Name			Title			E-	mail Addre	ess		
Ge	neral Informatior	า									
1.	Check the box that describes the above Applicant Firm. Limited Liability Corporation Limited Liability Partnership Professional Association Professional Corporation Sole Proprietor							rtnership			
	If you are a sole proprietor, provide the name of the lawyer(s) who would be responsible for your affairs if you were absent for an extended period of time (i.e., vacation, illness, etc). Name:										
		Address (City, State, Zip):									
_	Telephone Number:	. —									
2.	Date Commenced Bu										
3.	List the names of all P					cant Fi	irm is the majority	successo	r in inter	est. Include the	
	date the Predecessor Firms were established and the dates of merger. Name of Predecessor Firm						Date Established Date of Merge			ate of Merger	
										·	
4.	Indicate the total num	ber of personnel by	location								
				Principal Office Branch Offi			(a) Branch Office (b)		Branch Office (c)		
	Total number of lawy										
	Paralegals or law cle										
	Other clerical/support staff										
_	Complete the Individual Insured Supplemental Form (LPL 29600).										
5.	Does any lawyer in the Applicant Firm serve as a director, officer, trustee or partner of, or exercise any fiduciary control over, any organization other than the Applicant Firm? If "Yes", complete the following.										
	ii res , complete me	lollowing.		la Organization	n Is the			Π		Doroontogo of	
	Name of Lawyer	Name of Organization		Is Organization For Profit or Non—Profit?	or Organizat		Position Held by Lawyer	Percent Equity	-	Percentage of Total Firm Billings	
				11011 1 TOILE	☐ Yes ☐		Sy Lawyer	Equity	. IOIG	Diming5	
					☐ Yes ☐	_					
					☐ Yes ☐						

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Nat	ure	of Practice						
6.		dicate the gross income for the applicable fiscal year (gross income means all sums billed to clients for services andered, or if your Applicant Firm deals primarily with contingency fee cases, your average annual gross revenue):						
	Actu	ual for immediate past fiscal year:		\$				
7.	Indi	cate the percentage of gross income for the past fisc	al year derive	d from the following areas of practice:				
		a of Practice	Area of Practice	<u>%</u>				
	Administrative Law - General Admiralty/Maritime Antitrust/Trade Regulation Arbitration/Mediation Bankruptcy Banks/Savings and Loans Civil Rights and Discrimination		<u>%</u> %	Insurance Coverage	<u></u> %			
			% % %	Insurance Defense Litigation	% % % %			
				International Law				
				Labor Relations - Labor				
				Labor Relations - Management				
			%	Litigation (Civil)				
			%	Local Government Law – without bonds				
	Collection/Repossession		%	Mergers and Acquisitions	%			
	Commercial Law		%	Oil and Gas	%			
	Commercial Litigation – Defense		%	Pension and Employee Benefits	%			
	Commercial Litigation - Plaintiff		%	Personal Injury and Negligence Litigation - Defense	%			
		nmunications (FCC)	%	Personal Injury and Negligence Litigation - Plaintiff	%			
	Construction Law		%	Public Contract Law	%			
	Copyright/Patent/Trademark Corporate Organization/Formation Criminal Law Entertainment/Sports – with Money Management Entertainment/Sports – without Money Management		%	Public Utilities	% %			
			%	Real Property - Conveyance				
			% %	Real Property - Development				
				Real Property - Title Examination	%			
			%	Securities Law – including municipal bonds	%			
	Environmental Law		%	Taxation - Opinions	%			
	Estate, Trust and Probate		%	Taxation - Preparation	%			
		nily Law	%	Workers' Compensation Litigation - Plaintiff	%			
General Corporate/Business		-	%	Workers' Compensation Litigation - Defense	%			
	Healthcare		%	Other (list):	%			
	lmn	nigration and Naturalization	%		%			
				TOTAL	100%			
8. Indicate the percentage of the Applicant Firm's plaintiff cases that are class actions suits.								
Ger	nera	al Policy and Procedures						
9.	Doo	ket and Calendar Procedures:						
J.		Docket and Calendar Procedures: (a) Does the Applicant Firm maintain a planned docket control system and procedure with at least 2 independent date						
	(a)	controls?	control syster	m and procedure with at least 2 independent date	☐ Yes ☐ No			
	(b)	Are the docket control system(s) and the procedure	computerized	1 ?	☐ Yes ☐ No			
10.		iness Procedures:						
	, ,	(a) Does the Applicant Firm use engagement/disengagement/non-engagement letters?						
					☐ Yes ☐ No☐ Yes ☐ No			
	(b)	Does the Applicant Firm maintain a system to avoid	COMMICES OF IT	ilelest?	☐ Yes ☐ No			
	(c)	•						
	(d) How many suits for collection of fees have been filed by the Applicant Firm during the past 2 years?							
	(e)	(e) How many lawyers of the Applicant Firm have participated in formal continuing legal education programs, of at least 7 hours, during the last year?						
	(f)	Does the Applicant Firm share office space, expens partnership, firm, or organization? If "Yes", provide,			☐ Yes ☐ No			

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Pric	or Insurance Information							
11.	Has the Applicant Firm or any predecessor in business ever had an insurer decline, cancel, refuse to renew, rescind, or accept only on special terms, any professional liability insurance? (Not applicable in Missouri) If "Yes", provide full details.					☐ Yes ☐ No		
12.	Has the Applicant Firm or any predecessor in business ever purchased an "Extended Reporting Period" or "Discovery Period" under a prior policy which extended the claims reporting period of the policy following cancellation or non-renewal?							
	If "Yes", provide full details.							
13.	List the professional liability insurance purchas	ed by the Applicant Fir	m for each of the pa	ast 5 years.	,			
	Insurer	Limit of Liability	Deductible	Premium	From Mo/Day/Yr	To Mo/Day/Yr		
					,			
		 				+		
14.	Does the Applicant Firm's current or most rece	ntly expired policy cont	tain a rotroactivo da	to?		☐ Yes ☐ No		
14.	If "Yes", indicate the date:			ie :		□ Yes □ No		
Litiç	gation and Claim Information	(1107-	,					
15.	5. Has any lawyer in the Applicant Firm ever been refused admission to practice, disbarred, or suspended from practice, reprimanded, sanctioned, or disciplined by any court or administrative agency?					☐ Yes ☐ No		
If "Yes", provide full details.								
16.	During the last 5 years, has any professional lia predecessor in business, or any past or presen			Applicant Firm, or a	ny	☐ Yes ☐ No		
	If "Yes", provide full details on the Claim / Incident Supplemental Form (LPL 29610).							
17. Is the Applicant Firm or any lawyer in the Applicant Firm aware of any fact, circumstany professional liability claim or suit against the Applicant Firm, or any predecessor lawyers in the Applicant Firm?								
	If "Yes" provide full details on the Claim / Incident Supplemental Form (LPL 29610)							

IT IS UNDERSTOOD AND AGREED THAT THE INSURER SHALL NOT BE LIABLE TO MAKE ANY PAYMENT FOR DAMAGES OR CLAIMS EXPENSE IN CONNECTION WITH ANY CLAIM MADE AGAINST ANY INSURED BASED UPON, ARISING OUT OF, DIRECTLY OR INDIRECTLY RESULTING FROM OR IN CONSEQUENCE OF, OR IN ANY WAY INVOLVING ANY PROFESSIONAL LIABILITY CLAIM OR SUIT, FACT, CIRCUMSTANCE, OR SITUATION SET FORTH IN RESPONSE TO QUESTIONS 16. OR 17.

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Please Read Carefully

The undersigned acting on behalf of the Applicant Firm and all persons proposed for this insurance declares that the statements set forth herein are true and correct and that thorough efforts have been made to obtain sufficient information to facilitate the proper and accurate completion of this Proposal Form.

The undersigned agrees that the particulars and statements contained in the Proposal Form and any material submitted herewith are their representations and that they are material and are the basis of the insurance contract. The undersigned further agree that the Proposal Form shall be considered attached to and a part of the Policy. Any material submitted with the Proposal Form shall be maintained on file with the Insurer and shall be deemed to be attached hereto as if physically attached.

It is further agreed that:

- if any significant change in the condition of the applicant is discovered between the date of this Proposal Form and the Policy inception date, which would render this Proposal Form inaccurate or incomplete, notice of such change will be reported in writing to the Insurer immediately;
-

and the signing of this Proposal Form does not bind the undersigned to purchase the insurance.					
Title:					
Dated:					
ed herewith, shall be held in strictest confidence.					
A POLICY CANNOT BE ISSUED UNLESS THE PROPOSAL FORM IS PROPERLY SIGNED AND DATED.					
Please submit this Proposal Form including appropriate documentation to:					
Monitor Liability Managers, LLC, 2850 West Golf Road, Suite 800, Rolling Meadows, IL 60008-4039					
Dated:					

AGENT'S NAME (Please Print Name Here)

AGENT'S LICENSE NUMBER

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TO COLORADO APPLICANTS: IT IS UNLAWFUL TO KNOWINGLY PROVIDE FALSE, INCOMPLETE, OR MISLEADING FACTS OR INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING OR ATTEMPTING TO DEFRAUD THE COMPANY. PENALTIES MAY INCLUDE IMPRISONMENT, FINES, DENIAL OF INSURANCE, AND CIVIL DAMAGES. ANY INSURANCE COMPANY OR AGENT OF AN INSURANCE COMPANY WHO KNOWINGLY PROVIDES FALSE, INCOMPLETE, OR MISLEADING FACTS OR INFORMATION TO A POLICY HOLDER OR CLAIMANT FOR THE PURPOSE OF DEFRAUDING OR ATTEMPTING TO DEFRAUD THE POLICY HOLDER OR CLAIMANT WITH REGARD TO A SETTLEMENT OR AWARD PAYABLE FROM INSURANCE PROCEEDS SHALL BE REPORTED TO THE COLORADO DIVISION OF INSURANCE WITHIN THE DEPARTMENT OF REGULATORY AGENCIES.

NOTICE TO NEW MEXICO, PENNSYLVANIA APPLICANTS: 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 SUBJECTS SUCH PERSON TO CRIMINAL AND CIVIL PENALTIES.

NOTICE TO APPLICANTS OF KENTUCKY: ANY PERSON WHO KNOWINGLY, AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE 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.

NOTICE TO APPLICANTS OF MINNESOTA, NEW JERSEY, OHIO, AND OKLAHOMA: ANY PERSON WHO KNOWINGLY, AND WITH INTENT TO INJURE, DEFRAUDS OR DECEIVES ANY INSURER OR OTHER PERSON FILES AN APPLICATION FOR INSURANCE OR STATEMENT OF CLAIM FOR THE PROCEEDS OF AN INSURANCE POLICY CONTAINING ANY FALSE, INCOMPLETE, OR MISLEADING INFORMATION OR CONCEALS FOR THE PURPOSE OF MISLEADING INFORMATION CONCERNING ANY FACT MATERIAL THERETO, IS GUILTY OF A FELONY AND IS SUBJECT TO CRIMINAL AND CIVIL PENALTIES.

NOTICE TO MAINE, MASSACHUSETTS, TENNESSEE, VIRGINIA, AND WASHINGTON APPLICANTS: IT IS A CRIME TO KNOWINGLY PROVIDE FALSE, INCOMPLETE OR MISLEADING INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING THE COMPANY. PENALTIES INCLUDE IMPRISONMENT, FINES AND DENIAL OF INSURANCE BENEFITS.

<u>NOTICE TO APPLICANTS OF FLORIDA:</u> ANY PERSON WHO KNOWINGLY AND WITH INTENT TO INJURE, DEFRAUD OR DECEIVE ANY INSURER FILES A STATEMENT OF CLAIM OR AN APPLICATION CONTAINING ANY FALSE, INCOMPLETE, OR MISLEADING INFORMATION IS GUILTY OF A FELONY OF THE THIRD DEGREE.

NOTICE TO ARKANSAS, DISTRICT OF COLUMBIA, LOUISIANA, MARYLAND, AND RHODE ISLAND APPLICANTS: ANY PERSON WHO KNOWINGLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR KNOWINGLY PRESENTS FALSE INFORMATION IN AN APPLICATION FOR INSURANCE IS GUILTY OF A CRIME AND MAY BE SUBJECT TO FINES AND CONFINEMENT IN PRISON

NOTICE TO NEW YORK APPLICANTS: 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.

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Carolina Casualty Insurance Company 4600 Touchton Road East, Building 100, Suite 400, Jacksonville, FL 32246

Real Estate **Supplemental Form**

Lawyers' Professional Liability Insurance

CLAIMS MADE WARNING FOR APPLICATION

THIS PROPOSAL FORM IS FOR A CLAIMS MADE AND REPORTED POLICY, RELATING TO CLAIMS MADE AGAINST THE INSUREDS DURING THE POLICY PERIOD, THE AUTOMATIC EXTENDED REPORTING PERIOD OR THE

IF S	APPLICANT FIRM SPACE IS INSUFFICIENT TO ANSWER ANY QUES	M'S INSTRUCTIONS STIONS FULLY PRO	VIDE SEPA	ARATE ATTACHMENTS
	Estate Experience	3110110 1 0221/1 110	1102 0217	TO THE PART OF THE
	Name of Each Attorney Who Performs Real Estate Work	Number of Years Real Estate Experience	P	ercentage of Time Devoted to Specialization
	e percentage of real estate work listed in the "Area of Practice' rived from:	" section of the Proposal F	orm, what por	tion
(a)	Purchase and Sale – Residential			9
(b)	Purchase and Sale – Commercial			9
(c)	Land Use/Development			9
(d)	Financing/Loan Workouts			9
(e)	Mortgages/Foreclosures – Residential			0
(f)	Mortgages/Foreclosures – Commercial			9
(g)	Landlord/Tenant			9
(h)	Construction/Mechanics' Liens			9
(i)	Tax Abatement			9
(j)	Condominiums/Cooperatives/Town Homes			9
(k)	Other (attach separate narrative)			9
	THIS FIGURE MUST MATCH THE TOTAL PERCENTAGE "AREA OF PRACTICE" SECTION, REAL PROPERTY, OF FORM.		TOTAL	9
Does the Applicant Firm undertake any aspect of financial or valuation analysis of transactions for clients (e.g., tax ramification or appraisal)?				☐ Yes ☐ N
	s the Applicant Firm undertake responsibility for the preparation , preparation of settlement statements or determination of prora		lations	☐ Yes ☐ N
ndic	ate whether the Applicant Firm rendered written opinions to clie	ents on the following:		
a)	Land use, zoning, and real property regulatory matters			☐ Yes ☐ N
)	Securitization of loans			☐ Yes ☐ N
′	Compliance with laws			☐ Yes ☐ N
•	Lien validity, priority, and perfection (e.g., priority of security in	terests in personal propert	y and deed of	
	liens on real property)	, same propose	,	☐ Yes ☐ N

LPL 29660 (rev. 05-99) Page 1 of 4 Carolina Casualty Insurance Company f) Regulatory matters (e.g., Interstate and Land Sale Act) ☐ Yes ☐ No Bankruptcy matters ☐ Yes ☐ No Foreign transactions ☐ Yes ☐ No Tax matters ☐ Yes ☐ No **Environmental matters** ☐ Yes ☐ No 7. Indicate whether the Applicant Firm has provided legal services in connection with any property transfer in which the Applicant Firm also performed the following (also please indicate the percentage of commercial or residential): Commercial Residential ☐ Yes ☐ No a) Abstracting services % ☐ Yes ☐ No b) Title opinion c) Issuance of title policy ☐ Yes ☐ No ☐ Yes ☐ No % d) Escrow services e) UCC search ☐ Yes ☐ No 1.) If "Yes" to any part of Question 7, above, what percentage of the applicant's receipts come from title policies issued to properties on which the applicant also performed the abstracting services or title opinion? Current Year Previous 12 mos. % 2.) If "Yes" to any part of Question 7. above, state the name of the Title Insurance Company or Companies represented and the approximate premium volume placed with each: (Provide separate attachment if necessary.) Title Insurance Company Approximate Premium Volume **Current Year** \$ Previous 12 mos. \$ Does the Applicant Firm have a procedure requiring that at least one lawyer, who is not working on the transaction guestion, review and approve all legal descriptions and commitments in closing documents,

8. ☐ Yes ☐ No including title? ☐ Yes ☐ No If "Yes", in writing? 9. Does the Applicant Firm have a procedure requiring the preservation of written records of its lawyers in connection with directions received from clients and client acknowledgment of actions taken? Directions received ☐ Yes ☐ No b) Client acknowledgment ☐ Yes ☐ No 10. Does the Applicant Firm have a policy which prohibits any member of the firm from performing the title abstracting services and representing any party in the same real estate transaction? ☐ Yes ☐ No. If" Yes", in writing? ☐ Yes ☐ No

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11.	Doe	es the Applicant Firm have a policy which requires the recommendation of:			
	a)	Attendance at all client closings?	☐ Yes ☐ No		
		If "Yes", in writing?	☐ Yes ☐ No		
	b)	Title insurance for all closing property transfers?	☐ Yes ☐ No		
		If "Yes", in writing?	Yes No		
	c)	Thorough review of title policy exceptions with client?	☐ Yes ☐ No		
		If "Yes", in writing?	Yes No		
12.		es the Applicant Firm require formal internal training sessions on the firm policies and procedures for new yers who will become involved in its real estate practice?	☐ Yes ☐ No		
13.		the Applicant Firm's legal services, in connection with property transfer or leasing transactions, include a cedure to evaluate such things as:			
	a)	Whether the type of business in question creates, or may in the past have created, environmental	☐ Yes ☐ No		
		problems? If "Yes", in writing?			
	b)	Whether any real or personal property owned or leased, now or in the past, or property to be acquired, is	Yes No		
	D)	likely to be contaminated by hazardous substances (e.g., asbestos, lead or PCBs)?	☐ Yes ☐ No		
		If "Yes", in writing?	Yes No		
	c)	Whether any specific site locations owned or leased, now or in the past, or property to be acquired, are			
		located in or adjacent to, ecologically sensitive areas (e.g., wetlands, flood plains, aquifers, or conservation areas, etc.)?	☐ Yes ☐ No		
		If "Yes", in writing?	☐ Yes ☐ No		
	d)	Whether any entity connected to the client, including all past and present parent subsidiaries, divisions or	1 103 1 110		
	u)	spin-offs has ever been fined, penalized, cited, or sued for violating any federal, state, or local			
		environmental law or regulation?	Yes No		
		If "Yes", in writing?	☐ Yes ☐ No		
14.		es the Applicant Firm have a procedure which requires the investigation of potential, material environmental s before resolution of price and other central terms and conditions?	☐ Yes ☐ No		
		es", in writing?	☐ Yes ☐ No		
15.		es the Applicant Firm have a procedure which requires its attorneys to perform a thorough review with the	i res i no		
10.	client, of the economic impact of known environmental considerations and potential benefits of further identification or quantification of environmental risks in property transfer or leasing transactions with potential,				
		☐ Yes ☐ No			
		rerial environmental exposure? 'es", in writing?	☐ Yes ☐ No		
16.		es the Applicant Firm have procedures which address the conduct of employees relative to the handling of	= 163 = 110		
		terial, confidential information concerning environmental audits or investigation of transaction related parties?	☐ Yes ☐ No		
	lf "Y	'es", in writing?	Yes No		
17.		es the Applicant Firm have a procedure requiring the preservation of the written records of the firm in	☐ Yes ☐ No		
		nection with any documentation concerning disclosure of site contamination to potential buyers or lessees?			
		'es", in writing?	☐ Yes ☐ No		
18.	con	es the Applicant Firm have a procedure requiring the preservation of the written records of the firm, in nection with documentation of investigation of sites, for buyers or lessees to discover environmental nage?	☐ Yes ☐ No		
		reger /es", in writing?	☐ Yes ☐ No		
19.		es the Applicant Firm have a procedure requiring its real estate lawyers to participate in in-house seminars	= 165 = 140		
	on o	current environmental topics and developments and/or to attend continuing legal education seminars on rent environmental developments?	☐ Yes ☐ No		
		ent environmental developments? /es", in writing?	☐ Yes ☐ No		
		, · · · · · · · · · · · · · · · · ·	- 103 - 140		

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20.		s the Applicant Firm have a written procedure which addresses the firm's referral of sultants to the firm's clients?	environmental
	a)	If "Yes", does the procedure require the recommendation of at least two consultan client to choose one?	ts so as to require the
	b)	If "Yes", does the procedure require the general preservation of written communicative verifying the client's responsibility for both the engagement decision and any result	
		d that the information submitted herein becomes a part of the Applicant Firm's I e same representations and conditions.	_awyers' Professional Liability Proposal Form and is
			Title:
Signa	ature (of Partner, Owner, Officer or Principal	
			Dated:
Print	Name	Please submit this Proposal Form including appropriate do Monitor Liability Managers, LLC, 2850 West Golf Road, Suite 800, Rolli	
			Dated:
Subn	nitted	by (PRODUCER)	
AGEI	NT'S	NAME (Please Print Name Here)	AGENT'S LICENSE NUMBER

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