

Securities Supplemental Application

Underwritten by Pennsylvania Manufacturers Association Insurance Company

THIS SUPPLEMENTAL APPLICATION SHOULD BE COMPLETED IF THE LAW FIRM AND / OR ANY OF THE ATTORNEYS PRACTICE SECURITIES LAW. THIS SUPPLEMENTAL APPLICATION IS CONSIDERED PART OF THE APPLICATION FOR INSURANCE AND UNDERWRITING FILE.

INCLUDE WORK BY THE LAW FIRM AND ANY OF THE CURRENT OR PRIOR ATTORNEYS OF TO THE LAW FIRM IN THE LAST 5 YEARS. OFFERINGS ON SALES, AND EQUITY OR OWNERSHIP INTEREST ARE CONSIDERED TO BE A SECURITY IN THE BROADEST MEANING AND WILL INCLUDE, BUT NOT BE LIMITED TO, STOCKS, BONDS, LIMITED PARTNERSHIP, DEBITURES, INTEREST IN NATURAL RESOURCES OR OTHER LEASES.

1. Law Firm name: _____

2. How many years has the law firm handled Securities matters? _____

3. Please indicate the following information for all Securities transactions the law firm has handled in the last 5 years:

Type of Offering*	Name of Issuer:	Nature of Issuer's Business:	Who did the Law Firm represent? **	Amount of Offering:	Did the Law Firm render a Tax Opinion?	(R)egistered or (E)xempt Offering
				\$	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				\$	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				\$	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				\$	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				\$	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				\$	<input type="checkbox"/> Yes <input type="checkbox"/> No	

*Private Placement (PR), Syndication (SY), Initial Public Offering (IPO), Municipal Bond (MB), Public Secondary Placement (PUS), Limited Partnership (LTP), Private Bond (PB)

** Auditor (A), Issuer (I), Lender (L), Underwriter (U), Purchaser (P), Other (O) (Please Specify)

4. List all attorney(s) in the law firm who handle Securities transactions matters:

Attorney Name	Years of Experience in Securities

5. Has any attorney at the law firm been named in, subject to a subpoena, subject to disciplinary proceedings, or do you have knowledge of any facts which could reasonably indicate that you were named or may be named in an investigation or administrative action by the SEC or any state agency regulating Securities? Yes No
If "Yes" please provide details separately.

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6. Does the law firm require at least one other Securities lawyer, who is not working on the Securities transaction, to review and approve all written Securities opinions prior to release to the client? Yes No
7. Are the law firm attorneys and employees prohibited from:
- a. Participating, directly or indirectly, in the sale of client Securities? Yes No
 - b. Purchasing client Securities handled by the law firm? Yes No
 - c. Accepting Securities, in full or in part, in lieu of fees for legal service? Yes No
 - d. Investing in Securities/bond transactions handled by the law firm? Yes No
 - e. Providing legal services for any Securities/bond transaction where an attorney is officer/director/shareholder of the client? Yes No
8. Does the law firm require all attorneys to follow a written standardized procedure manual or memorandum in connection with performing due diligence for Securities transactions? Yes No