

FIRM ATTORNEY QUESTIONNAIRE

This form is for internal use by your law firm. Please do not return with your application.

To: _____

Please return this Questionnaire to _____ by _____
[Name] [Date]

Please answer the following questions for use in completing the Firm's Application for PLF Excess Coverage.

1. **Claims:** Are you aware of any claim(s) against the Firm, a Predecessor Firm, or any attorney who worked for the Firm or a Predecessor Firm that has not previously been reported to the PLF? If yes, please provide details including the name of the claimant, name of responsible attorney, and a description of the claim and alleged damages. ☐ Yes ☐ No

2. **Incidents and Suspense Matters:** Are you aware of any incident(s) or suspense matter(s) that may result in a claim(s) against the Firm, a Predecessor Firm, or any attorney who worked for the Firm or a Predecessor Firm that has not been previously reported to the PLF? If yes, please provide details, including the name of the potential claimant, name of responsible attorney, and a description of the incident and potential damages. ☐ Yes ☐ No

3. **Acts, Errors, or Omissions:** Are you aware of any act, error, or omission or any possible claim not described in Questions 1 or 2 above that might reasonably be expected to be the basis of a professional liability claim or suit against you, against the Firm or any Predecessor Firm, or against any present or former attorney of the Firm or any Predecessor Firm? If yes, please explain. ☐ Yes ☐ No

4. **Questions Related to Securities Practice:** In the past five years, have you provided any of the following securities-related services? Check all that apply:
 - ☐ Prepared any part of a registration statement, prospectus, offering memorandum, offering circular, disclosure statement, or set of risk factors in connection with the issuance, offer, sale, or transfer of securities.
 - ☐ Prepared a subscription document, tax opinion, or legal opinion in connection with the issuance, offer, sale, or transfer of securities.
 - ☐ Provided services or advice to a client regarding compliance with state or federal securities laws in connection with the issuance, offer, sale, or transfer of securities.
 - ☐ Provided services or advice to a client regarding securities registration or exemption from registration in connection with the issuance, offer, sale, or transfer of securities.
 - ☐ Provided services or advice to a broker-dealer, investment advisor, salesperson, or finder regarding compliance with state or federal securities laws or FINRA regulations.

- ☐ Provided services in connection with the preparation or filing of any form, document, or report to be filed with the SEC, FINRA, Division of Finance and Corporate Securities or Division of Financial Regulation (of the Oregon Department of Consumer and Business Services)¹, or with the securities regulatory agency of any state.
- ☐ Provided any other services or advice to a client in connection with soliciting investors or seeking investment capital. Please describe.

5. What percent of your annual practice involves work indicated above? _____%

Questions Related to Business & Real Estate Practice

- 6. Business Entities: In the past three years, have you provide services in connection with the formation, organization or financing of corporations, limited liability companies, limited partnerships, or other business entities or organizations? ☐ Yes ☐ No
- 7. Loan Documentation: In the past three years, have you provided services in connection with the documentation of loans or loan collateral? ☐ Yes ☐ No
- 8. Real Estate Financing: In the past three years, have you performed services in connection with the financing of real estate transactions? ☐ Yes ☐ No
- 9. What percent of your annual practice involves work described in questions 6-8? _____%

Submitted by: _____ Date: _____

Do not send a copy of this form to the PLF with your Application.

¹ The Division of Financial Regulation (of the Oregon Department of Consumer and Business Services) was formerly called the Division of Finance and Corporate Securities. The change became effective January 1, 2016.