



INTELLECTUAL PROPERTY SUPPLEMENT

(Risk Management Procedures on Reverse)

Applicant: _____

AREAS OF PRACTICE

1. What percentage of the Applicant's intellectual property practice is devoted to each of the following areas? Please base your answer on the percentage of time devoted to that area:

- | | |
|--|---|
| <input type="checkbox"/> a. Domestic Patent Prosecution
<input type="checkbox"/> b. Foreign Patent Prosecution
<input type="checkbox"/> c. Intellectual Property Litigation
<input type="checkbox"/> d. Patent Filings and Searches | <input type="checkbox"/> e. Patent Infringement
<input type="checkbox"/> f. Trademark/Copyright Registration and Licensing
<input type="checkbox"/> g. Entertainment and Sports
<input type="checkbox"/> h. Other (describe) _____ |
|--|---|

The total percentage must equal 100%.

INDUSTRY AREAS

2. What percentage of the Applicant's intellectual property practice is devoted to the following industry areas? Please base your answer on the percentage of time devoted to that industry area:

- | | |
|---|---|
| <input type="checkbox"/> a. Biomedical/Biotechnical
<input type="checkbox"/> b. Chemical
<input type="checkbox"/> c. Computer Software
<input type="checkbox"/> d. Computer Hardware
<input type="checkbox"/> e. Electrical – Other | <input type="checkbox"/> f. Mechanical
<input type="checkbox"/> g. Networking/Telecommunications
<input type="checkbox"/> h. Pharmaceutical
<input type="checkbox"/> i. Other (describe) _____ |
|---|---|

The total percentage must equal 100%.

CLIENTS

3. What percentage of the Applicant's intellectual property practice is devoted to the following client types? Please base your answer on the percentage of time devoted to that client type:

- | | |
|---|---|
| <input type="checkbox"/> a. Fortune 500 Companies
<input type="checkbox"/> b. Other NYSE Companies
<input type="checkbox"/> c. Other NASDAQ Companies | <input type="checkbox"/> d. Other Publicly-Traded Companies
<input type="checkbox"/> e. Privately-Held Companies
<input type="checkbox"/> f. Individual Inventors |
|---|---|

The total percentage must equal 100%.

4. Please list the three (3) largest (in terms of hours billed) intellectual property clients.

	Name	Type of Business	Work Performed
a.	_____	_____	_____
b.	_____	_____	_____
c.	_____	_____	_____

I understand information submitted herein becomes a part of my Professional Liability Application and is subject to the same warranty and conditions.

Signature of Applicant: _____ Date _____

FIRM RISK MANAGEMENT PROCEDURES

5. a. **Yes** **No** When accepting responsibility for a patent search, does the Applicant utilize an engagement letter which specifies the nature, scope and limitations of such search?
- b. **Yes** **No** When an engagement is completed, does the Applicant send termination letters?
- c. **Yes** **No** When performing a foreign patent filing, is the client made aware of deadlines and requirements for such filing, including the various payments required?
- d. **Yes** **No** Does the firm use multiple calendars or scheduling systems to record, monitor and comply with filing deadlines and other time limitations in connection with obtaining patents?
- e. **Yes** **No** When providing an opinion regarding the results of a patent search, does the firm qualify the opinion in writing by referencing the nature, scope and limitations of the search conducted?
- f. **Yes** **No** Has the Applicant or any firm member litigated any matters for which it also handled the underlying intellectual property matter?
- g. **Yes** **No** Has the Applicant or any firm member accepted any type of equity interest in a client in lieu of attorney's fees?
If yes, provide a separate addendum including the following information:
- (1) What are the circumstances that would permit the Applicant or any firm member to accept an equity interest in lieu of attorney's fees?
- (2) What is the approval process to accept an equity interest in lieu of attorney's fees?
- h. Has the Applicant or any firm member provided professional legal services to an intellectual property client in which any firm member or any immediate family member:
- Yes** **No** (1) Serves or served as an officer, director, trustee, employee or partner of such client?
- Yes** **No** (2) Owns or owned an equity or financial interest in such client?
- i. **Yes** **No** Does the Applicant utilize patent agents?
- (1) If yes, how many? _____
- | (2) Name of Patent Agent(s) | USPTO Patent Agent Number(s) | Date Joined Firm? |
|-----------------------------|------------------------------|-------------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
- (3) Describe how patent agents are supervised: _____

- j. **Yes** **No** Does the Applicant's conflict of interest system allow for cross-checks between both previous and existing clients with prospective new intellectual property clients?