



# Intellectual Property Supplement

**Applicant:** \_\_\_\_\_

1. List the top five (5) intellectual property clients and the client's industry, services provided by the law firm, and the percentage of the law firm billings generated by each:

Client/Industry	Services Provided	Percentage of Law Firm's Annual Billings

2. Please provide a breakdown of the law firm's practice based on gross billable income by showing the percentages for each of the following:

Practice	%	Practice	%
Domestic Patent Prosecution		Patent Infringement Searches/Opinions	
Foreign Patent Prosecution		Trademark/copyright Prosecution & Licensing – Foreign	
Intellectual Property Litigation		Trademark/copyright Prosecution & Licensing – Domestic	
Patentability Searches/Opinions		Other (Describe)	

3. Industry Areas: Please provide a breakdown of the law firm's intellectual property practice by showing the percentages based on gross billable income derived from intellectual property matters within the following industries:

Practice	%	Practice	%
Biotechnical		Industrial	
Chemical		Mechanical	
Computer		Pharmaceutical	
Electric		Other (Describe)	

4. Please indicate the percentage of the law firm's intellectual property clients that are:

Clients	%	Clients	%
Individuals		Limited Liability Partnerships	
Partnerships		Universities	
Corporations		University Affiliated Entities	
Limited Liability Companies			

5. For each attorney, please provide the following information:

Attorney/Patent Agent	Area of Concentration (e.g. copyright, patent, trademark)	Number of Years Experience	CLE Credits in IP in the Past five (5) years

6. Describe the functions of associates and paralegals with respect to intellectual property matters (particularly, patent filings and prosecutions and litigation) and how each is trained and supervised.

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7. Does the law firm refer clients to other law firms or act as co-counsel with other firms regarding intellectual property law matters?  YES  NO

*If "Yes," please describe:* \_\_\_\_\_  
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8. During the last 12 months, on behalf of the law firm's intellectual property clients, how many:

Lawsuits have been filed? \_\_\_\_\_

Patent applications have been filed? \_\_\_\_\_

Trademark applications have been filed? \_\_\_\_\_

Copyright applications have been filed? \_\_\_\_\_

Licensing or any other transactional matters have been handled? \_\_\_\_\_

9. Does the law firm or any member of the law firm:

a. Have a business relationship with any of the law firm's intellectual property clients other than the rendering of legal services?  YES  NO

*If "Yes," please describe the relationship and the other services provided:* \_\_\_\_\_  
\_\_\_\_\_

b. Accept a percentage of the dollar value of a transaction in lieu of legal fees?  YES  NO

c. Accept compensation in kind (e.g. royalties, share of a client's corporation, copyrights, etc.) in return for legal services?  YES  NO

*If "Yes" to any part of Question 9 above, please provide complete details on a separate sheet of paper.*

10. Please describe the law firm's use of engagement letters when undertaking intellectual property matters, including the extent used and the nature, scope, and limitations set forth in the letters. Please attach a sample letter.

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11. a. Please describe the law firm's calendar or docketing system to record, monitor and comply with filing deadlines and other time limitations in connection with intellectual property matters.

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b. Please identify the individual(s) and supervisors charged with maintaining the calendar or docketing system described in Question 11(a) and describe the law firm's procedure to replace those individuals when they leave the law firm by voluntary resignation, termination, or otherwise.

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c. Please describe the procedures followed to ensure that the law firm's clients are notified of all patent filing deadlines (whether domestic or foreign) and all other time limitations and requirements to complete the filings.

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d. Please describe the procedures followed to notify the law firm's clients of required payments in advance of the due date when the clients are responsible for payment of annuities, maintenance fees or taxes.

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12. Please list the third parties used by the law firm to carry out patent searches and indicate how frequently, under what circumstances and whether the third parties have their own insurance or hold harmless agreement in place.

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13. a. Please describe the disclaimers used in the law firm's opinion letters with respect to all intellectual property matters (e.g. patent or trademark searches, patent validity).

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b. Please describe the procedures in place to ensure that the law firm's opinion letters contain the appropriate disclaimers.

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14. Describe the other types of contractors used (e.g. service agencies, other law firms) and the functions of the contractors with respect to intellectual property matters handled by the law firm.

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**THE UNDERSIGNED AUTHORIZED REPRESENTATIVE, PARTNER, DIRECTOR OR OFFICER AGREES THAT IF THE INFORMATION SUPPLIED ON THIS APPLICATION CHANGES BETWEEN THE DATE THE APPLICATION IS EXECUTED AND THE TIME THE PROPOSED INSURANCE POLICY IS BOUND OR COVERAGE COMMENCES, THE APPLICANT WILL IMMEDIATELY NOTIFY THE INSURER IN WRITING OF SUCH CHANGES. THE INSURER RESERVES ITS RIGHTS TO MODIFY OR WITHDRAW ITS PROPOSAL.**

**THE UNDERSIGNED AUTHORIZED REPRESENTATIVE, REPRESENTS AND WARRANTS ON BEHALF OF THE APPLICANT AND ALL PERSONS OR ENTITIES FOR WHOM INSURANCE IS BEING SOUGHT THAT TO THE BEST OF HIS OR HER KNOWLEDGE AND BELIEF AND AFTER DILIGENT INQUIRY, THE STATEMENTS SET FORTH IN THIS APPLICATION AND ANY ATTACHMENTS HERETO ARE TRUE AND ACCURATE. IT IS UNDERSTOOD THAT THE STATEMENTS IN THIS APPLICATION, INCLUDING MATERIALS SUBMITTED TO OR OBTAINED BY THE INSURER, ARE MATERIAL TO THE ACCEPTANCE OF THE RISK, AND RELIED UPON BY THE INSURER.**

**NOTICE TO APPLICANTS: ANY PERSON WHO, KNOWINGLY AND WITH INTENT TO DEFRAUD ANY INSURANCE COMPANY, 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 ACT, WHICH IS A CRIME ANY MAY SUBJECT SUCH PERSON TO CRIMINAL AND CIVIL PENALTIES.**

**NOTICE TO ARKANSAS AND WEST VIRGINIA 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 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 CLAIMING 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 DISTRICT OF COLUMBIA APPLICANTS: WARNING: IT IS A CRIME TO PROVIDE FALSE OR MISLEADING INFORMATION TO AN INSURER FOR THE PURPOSE OF DEFRAUDING THE INSURER OR ANY OTHER PERSON. PENALTIES INCLUDE IMPRISONMENT AND/OR FINES. IN ADDITION, AN INSURER MAY DENY INSURANCE BENEFITS IF FALSE INFORMATION MATERIALLY RELATED TO A CLAIM WAS PROVIDED BY THE APPLICANT.**

**NOTICE TO FLORIDA APPLICANTS: 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 KENTUCKY APPLICANTS: 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 LOUISIANA AND NEW MEXICO 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 CIVIL FINES AND CRIMINAL PENALTIES.**

**NOTICE TO MAINE, 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.**

**NOTICE TO MARYLAND APPLICANTS: ANY PERSON WHO KNOWINGLY AND WILLFULLY PRESENTS A FALSE OR FRAUDULENT CLAIM FOR PAYMENT OF A LOSS OR BENEFIT OR WHO KNOWINGLY AND WILLFULLY 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 JERSEY APPLICANTS: ANY PERSON WHO INCLUDES ANY FALSE OR MISLEADING INFORMATION ON AN APPLICATION FOR AN INSURANCE POLICY IS SUBJECT TO CRIMINAL AND CIVIL PENALTIES.**

**NOTICE TO OHIO APPLICANTS: ANY PERSON WHO, WITH INTENT TO DEFRAUD OR KNOWING THAT HE IS FACILITATING A FRAUD AGAINST AN INSURER, SUBMITS AN APPLICATION OR FILES A CLAIM CONTAINING A FALSE OR DECEPTIVE STATEMENT IS GUILTY OF INSURANCE FRAUD.**

**NOTICE TO OKLAHOMA APPLICANTS: WARNING: ANY PERSON WHO KNOWINGLY AND WITH INTENT TO INJURE, DEFRAUD, OR DECEIVE ANY INSURER, MAKES ANY CLAIM FOR THE PROCEEDS OF AN INSURANCE POLICY CONTAINING ANY FALSE, INCOMPLETE, OR MISLEADING INFORMATION IS GUILTY OF A FELONY.**

**NOTICE TO 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 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.**

**NOTICE:**

**Applicant understands the information submitted herein becomes part of the Applicant's Lawyers Professional Liability Insurance Application or Renewal Application and is subject to the same warranties and conditions.**

**Must be signed and dated by an Owner, Partner or Principal as duly authorized on behalf of the Applicant.**

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Signature of Owner, Partner or Principal

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Licensed Agent

\_\_\_\_\_  
License Number