

	James River Insurance Company 7130 Glen Forest Drive, Suite 210 Richmond, VA 23226 804-289-2700	Securities Supplemental Application - Lawyers
		PROFESSIONAL LIABILITY Division Email to PL@jamesriverins.com or, Fax to 804-287-2816
APPLICANT'S INSTRUCTIONS: 1. Answer all questions completely. Please attach extra sheets as required. Incomplete or illegible applications may be discarded.		

SECURITIES SUPPLEMENTAL APPLICATION - LAWYERS

If more than one attorney practices in this area, one supplement will suffice.

Name of Applicant Firm: _____

Securities (SEC) includes all activities involved with or related to the Securities Act of 1933, the Securities Exchange Act of 1934 or the Investment Advisers Act and any state law governing the registration or regulation of securities. Securities practice also includes advice about or preparation or registration (state or federal) of securities such as stocks, bonds, or interest in a business. Included in this area are proxy statements, exchanges of securities and insider sales.

1. List the names of all lawyers engaged in securities practice:
- | NAME | Years in this Specialty |
|-------|-------------------------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

2. Gross income derived from securities practice:
- Last 12 months: _____ Anticipated next 12 months: _____

3. Indicate if your firm has acted in any of the capacities listed below during the past two years and the estimated allocation of during the past year.

- a. Bond Counsel _____%
- b. Private placement of securities _____%
 For: Underwriters Issuers Security Holders
- c. Public offerings of securities registered under the Securities Act of 1933 _____%
 For: Underwriters Issuers Security Holders
- d. Public offerings of securities exempt from registration under the Securities Act of 1933 _____%

- 4. Other than primary and secondary offerings, describe in detail any other work involving securities practice by attachment.
- 5. Describe in detail what steps are taken to satisfy the "due diligence" requirements under Section 11 of the Securities Act of 1933 by attachment.
- 6. List all securities offerings, private placements and limited partnerships handled in the past two years by attachment. Include the Client Name, Industry, the type of offering, the status of the offering and the type of transaction.

The undersigned represents that the statements set forth herein are true, compete and accurate and that there has been no attempt at suppression or misstatement of any material facts known or should be known, and agrees that this Supplemental Application shall become the basis of any coverage and a part of any policy that may be issued by James River Insurance Company.

Applicant Signature _____ Title _____ Date _____