

IMPORTANT NOTICE TO THE PROPOSER ON COMPLETION OF THIS PROPOSAL FORM

1. **Disclosure**

All material facts must be disclosed to Insurers as part of the proposal and before the insurance commences. A “material fact” is any fact which the Insurer may reasonably wish to know in relation to their assessment of the risk, the exposure and in calculation of any appropriate premium. You must disclose all such facts whether or not a specific question has been included in this Proposal Form.

2. **Consequences of Non-Disclosure**

Any failure to disclose material information which may influence Insurers will not entitle the Insurers to avoid all cover and claims (Clause 4.1 “No avoidance or repudiation” of the Solicitors Regulation Authority Minimum Terms and Conditions (MT&C’s)) for any element of the compulsory cover. However, in the event of a failure by you to make full disclosure of all material facts Insurers may be entitled to avoid cover and decline to pay claims in relation to any insurance in excess of the compulsory elements of the cover.

Insurers are entitled to seek reimbursement if you either omit or misrepresent any information (Clause 7.2 “Reimbursement” of the MT&C’s). The Reimbursement Clause shall also apply should you either commit or condone any breach of the policy conditions or where there is dishonesty or fraud.

The MT&C’s apply to the compulsory level of cover only, with Insurers being entitled to avoid cover for Non-Disclosure or Misrepresentation for any limits of indemnity arranged in excess of this unless you are advised to the contrary.

3. **Presentation**

This questionnaire must be completed in ink by an authorised individual, a Partner, Principal or Director of the Proposer.

All questions must be answered. If not applicable, state N/A.

If there is insufficient space to provide answers, additional information should be provided on the Proposer’s letter headed paper.

Where available, brochures, standard contract conditions, conditions, agreements and letters of appointment should be provided.

Failure to present Insurers with information in an appropriate manner may adversely influence the ability of Insurers to offer terms.

4. **Guidance**

If you have any queries about the contents of this notice, the remainder of this Proposal Form or any documents which you need to provide you should seek advice from an insurance advisor in the first instance.

DEFINITIONS

ADJUDICATION WORK

Defined as acting as a neutral third party engaged by disputing parties to provide a non-judicial resolution of their dispute which is, subject to the terms of any contract between the disputing parties, binding upon them, but excluding arbitration work.

AGENCY ADVOCACY WORK

Defined as all civil advocacy work, including attendance at a Court or Tribunal for the purpose of such advocacy, done on behalf of another insured Practice, but excluding any work done as a solicitor working as an agent or locum tenens in another Practice.

ARBITRATION WORK

Defined as any work done in the discharge or the purported discharge of the functions of an arbitrator in relation to an arbitration to which the Arbitrations Acts 1950-1996 apply.

CHILDREN WORK

Defined as applications made in relation to family proceedings as defined by section 8(3) of the Children Act 1989 and including Parts III and V of the Children Act 1989.

COMMERCIAL/CORPORATE WORK INCLUDING WORK FOR PUBLIC COMPANIES

This covers all work relating to Public Limited Companies, including mergers and acquisitions, corporate insolvency, corporate trusts and taxation.

COMMERCIAL/CORPORATE WORK EXCLUDING WORK FOR PUBLIC COMPANIES

This covers all commercial and private company work, including mergers and acquisitions, corporate insolvency, corporate trusts and taxation.

DEBT COLLECTION – SMALL

Defined as the collection of judgment debts of not more than £10,000 or debts without dispute as to liability of not more than £10,000, and the collection of rents not exceeding £7,500 per property per annum.

EMPLOYMENT WORK

Defined as all non-litigious work that excludes Tribunal work in connection with employment, termination, dismissal, redundancy, discrimination at work and pension rights affected thereby.

ESTATE AGENCY, PROPERTY VALUATION AND PROPERTY MANAGEMENT

Defined as property selling whether or not through an estate agency and informal valuations undertaken by the Practice.

EXPERT WITNESS WORK

Defined as work done in the capacity as an expert witness.

FINANCIAL ADVICE AND SERVICES REGULATED BY THE SOLICITORS REGULATION AUTHORITY

This covers all financial advice and services provided to private individuals, unincorporated bodies and companies where such work is regulated by the Solicitors Regulation Authority as a designated professional body under The Financial Services and Markets Act 2000. This does not include Commercial Work including All Company Work (securities related).

FINANCIAL ADVICE AND SERVICES WHERE YOUR PRACTICE HAS OPTED INTO REGULATION BY THE FINANCIAL SERVICES AUTHORITY

This covers financial advice and services provided to private individuals, unincorporated bodies and companies where such work is directly regulated by Financial Services Authority under the Financial Services and Markets Act 2000. This does not include Commercial Work including All Company Work (securities related).

IMMIGRATION WORK

Defined as advice and assistance on UK immigration and nationality law, including preparation for and representation before Immigration Adjudicators, Special Adjudicators, and any Tribunals or Courts of Justice up to but not including the Divisional Court, the Court of Justice of the European Union, the Commission on Human Rights of the Council of Europe, or the European Court of Human Rights.

LECTURING AND RELATED ACTIVITY WORK

Defined as work involving the preparation for, and the presentation of, lectures, seminars, training and tuition whether for the purposes of professional skills training, continuing education or otherwise, including the provision of written material for publication.

MEDIATION WORK

Defined as acting as a neutral third party engaged by disputing parties to assist them to resolve their dispute by negotiated agreement without resort to adjudication.

MENTAL HEALTH TRIBUNAL WORK

Defined as representation of patients detained under the Mental Health Act 1983 at hearings of the Mental Health Tribunal.

OFFICES AND APPOINTMENTS

As Clerks to City Livery Companies, Dean and Chapters, Drainage Boards, Local Councils, Charities or School Governing Bodies; Diocesan Registrars, Archdeacon's Registrars or Provincial Registrars of the provinces of the Church of England in respect of work covered by an Ecclesiastical Fees Order; Company Secretaries.

OVERSEAS WORK

Gross fees derived from work done overseas and/or work done in the UK but relating to instructions received from and/or fees paid by clients overseas.

PARLIAMENTARY AGENCY

Defined as all work done in the promotion of or opposition to primary or subordinate legislation.

SUCCESSOR PRACTICE

The definition of Successor Practice in the Solicitors Regulation Authority Minimum Terms is complicated. You may be a Successor Practice even though you did not intend to take on the liabilities of another Practice when taking it over or merging with it and even if you specifically agreed that those liabilities would remain elsewhere.

Whenever a Practice ceases "being carried on as discreet business", there is potential for the Successor Practice to take effect.

You may become a Successor by holding out your Practice "expressly or by implication" as being the successor of or by incorporating the other Practice(s), by taking on the majority of the principals in the other Practice as principals in your Practice, by taking on at least one such principal as a principal when the majority have not become principals in another Practice, by taking a sole practitioner or Recognised Body into your Practice as a principal, or by taking on a sole practitioner as an employee after 31st August 2000.

If your Practice has done any of these things, at any time or is planning to do so, you may be a Successor Practice and should provide full details.

TOWN AND COUNTRY PLANNING

Includes compulsory purchase, listed buildings and conservation areas work.

UK WORK

Gross fees derived from work done in the UK for clients based in the UK including overseas contracts involving occasional trips abroad.

WELFARE WORK

Defined as advice and assistance about assessment of a client's entitlement to welfare benefits and for verifying an assessment by the Department of Social Security or other benefit granting bodies such as Local Authorities.

PRACTICE DETAILS

1. a) Title(s) of Practice(s):

Establishment date(s):

Solicitors Regulation Authority Registration No:

Please include all other names under which you practice and any other entities for which you are seeking cover, including Trustee and/or Nominee Companies:

b) Is your Practice a Limited Liability Partnership or a Company registered at Companies House?

YES

NO

c) Has there been a change in the financial interest/ownership of the Practice during the last three Financial Years?

YES

NO

If 'YES', please provide full details on the Practice's **HEADED** notepaper.

2. a) Address of the principal office:

Postcode:

Telephone No:

Fax No:

Email:

Website:

b) Do you have any other branch offices (including Overseas Offices) for which you are seeking cover?

YES

NO

If 'YES', please provide a schedule of these on the Practice's **HEADED** notepaper and explain how the office is supervised.

3. a) Please provide details of any prior Practice(s) and/or individual Partner(s) where you are deemed to be the Successor Practice (please refer to Successor Practice definition):

Name of Practice(s)

Date Established

Date of Succession

No. of Solicitors Joining the Practice

b) Have any of the Successor Practices listed above reported any claims/circumstances in the last six years?

YES

NO

If 'YES' please refer to question 7.

c) Does your Practice's **HEADED** notepaper refer to any Practice other than your own or any prior Practice which you have disclosed in 3.a)?

YES

NO

If 'YES', please provide full details on the Practice's **HEADED** notepaper.

4. a) Please provide details of all Solicitors (If you have insufficient space, please provide full details on the Practice's **HEADED** notepaper):

| Name | Date of Birth | Status (Principal/Assistant/Consultant) | Full or Part-Time | Roll No. |
|----------------------|----------------------|---|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

b) Did any Principal, Assistant, Consultant or Employee first obtain a legal qualification outside the UK? YES NO
If **'YES'**, please provide an up to date Curriculum Vitae and complete the following:

| Name | Date of First Qualification | Place of First Qualification | Date of First England and Wales Practising Certificate |
|----------------------|-----------------------------|------------------------------|--|
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

c) Please advise the following where applicable, if none, state **'NONE'**:

| | No. of Staff |
|--|----------------------|
| Non Solicitor Fee Earning staff (including Fee Earning Trainees and Legal Executives) | <input type="text"/> |
| All other staff (including secretarial; excluding domestic, cleaning and catering staff) | <input type="text"/> |
| Total No. of Staff | <input type="text"/> |

d) Does any Principal, Assistant, Consultant or Employee also work for or have a financial interest in any other law firm or business? YES NO
If **'YES'**, please provide full details on the Practice's **HEADED** notepaper.

e) Has any Principal, Assistant, Consultant or Employee in the Practice during the last 10 years:

- i) Been refused a Practising Certificate or been granted a conditional Practising Certificate? YES NO
- ii) Been reprimanded, fined or otherwise sanctioned by the Solicitors' Disciplinary Tribunal? YES NO
- iii) Had an award for inadequate professional service made against him or her by the Legal Complaints Service or the former CCS or OSS or entered into any regulatory settlement agreement? YES NO

- iv) Practised in a Firm that has been subject to an investigation, or intervention by any regulatory department of the Law Society or Solicitors Regulation Authority? YES NO
- v) Been brought before the Solicitors' Disciplinary Tribunal, and/or been the subject of a notification to the Legal Complaints Service or the former CCS or OSS, having been charged with a serious arrestable offence? YES NO
- vi) Been investigated by any other regulatory body other than the Law Society or Solicitors Regulation Authority (e.g. FSA, Council of Licensed Conveyancers, ILEX)? YES NO
- vii) Had a civil or criminal judgment (other than minor traffic offences) against him or her? YES NO
- f) Has the Firm been the subject of any visit or enquiry from the Forensic Investigation Unit of the Law Society or Solicitors Regulation Authority in the past three years or has notice of any proposed visit or enquiry been given? YES NO
- g) Has your/the Firm been the subject of a monitoring visit from the Solicitors Regulation Authority in the last three years? YES NO

If 'YES' to questions 4.e) – g), please provide details on the Practice's **HEADED** notepaper and include a copy of all reports issued by the Legal Complaints Service or the former CCS or OSS, Forensic Investigation Unit, Disciplinary Tribunal and/or any regulatory body.

5. a) When is your Financial Year end?

b) Please provide below your annual gross fees income for the following periods:

| Year ending | UK | Overseas | Total |
|-----------------------------|------------------------|------------------------|------------------------|
| 2006 | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| 2007 | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| 2008 | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| 2009 (Current year) | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| Estimate for next 12 months | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |

c) Please provide your gross fees for the last full accounting period relating to those fees paid by clients with a billing address in the USA, its territories and possessions and Canada, if none, state 'NONE'. £

Please provide details of these clients and a brief description of the work undertaken on the Practice's **HEADED** notepaper and indicate whether the work is undertaken under the UK, US or Canadian Law.

- d) Does any one client, group of clients or any referral source generate 20% or greater of your annual fees? YES NO
If 'YES', please provide details of clients and work undertaken on the Practice's **HEADED** notepaper.
- e) Do you give Foreign Law advice? YES NO
If 'YES', please provide full details on the Practice's **HEADED** notepaper.

6. a) Please indicate the approximate percentage of your gross fees for the period representing your last full accounting year that the Practice(s) derive(s) from work where the main interest is:

| | | | |
|--|-------------------------------|---|---|
| Acting as an Adjudicator, Arbitrator or Mediator | <input type="text" value=""/> | % | Financial Advice & Services regulated by the FSA - |
| Agency Advocacy | <input type="text" value=""/> | % | Please complete the Financial Advice & Services questionnaire available at |
| Children Work, Mental Health Tribunal and Welfare | <input type="text" value=""/> | % | www.primeprofessions.co.uk |
| Commercial Litigation | <input type="text" value=""/> | % | <input type="text" value=""/> |
| Commercial/Corporate excluding work for Public Companies | <input type="text" value=""/> | % | Immigration |
| Commercial/Corporate including work for Public Companies – Please provide details | <input type="text" value=""/> | % | Intellectual Property including Patent, Trademark and Copyright - Please provide details |
| Conveyancing – Commercial | <input type="text" value=""/> | % | <input type="text" value=""/> |
| Conveyancing – Residential | <input type="text" value=""/> | % | Landlord/Tenant (Non-Litigious) |
| Criminal | <input type="text" value=""/> | % | <input type="text" value=""/> |
| Debt Collection (Small) | <input type="text" value=""/> | % | Landlord/Tenant (Litigious) |
| Debt Collection (Large) | <input type="text" value=""/> | % | <input type="text" value=""/> |
| Defendant Litigation (Insurers) | <input type="text" value=""/> | % | Marine Litigation |
| Employment (Contentious) | <input type="text" value=""/> | % | <input type="text" value=""/> |
| Employment (Non-Contentious) | <input type="text" value=""/> | % | Matrimonial/Family |
| Estate Agency, Property Valuation and Property Management | <input type="text" value=""/> | % | <input type="text" value=""/> |
| Expert Witness/Lecturing Work | <input type="text" value=""/> | % | Oaths and Affidavits and Notary Public |
| Financial Advice & Services regulated by the Solicitors Regulation Authority - Please complete the Financial Advice & Services questionnaire available at | <input type="text" value=""/> | % | <input type="text" value=""/> |
| www.primeprofessions.co.uk | <input type="text" value=""/> | % | Offices & Appointments |
| | | | <input type="text" value=""/> |
| | | | Parliamentary Agency |
| | | | <input type="text" value=""/> |
| | | | Personal Injury – Claimant |
| | | | <input type="text" value=""/> |
| | | | Personal Injury – Defendant |
| | | | <input type="text" value=""/> |
| | | | Probate and Estate Administration |
| | | | <input type="text" value=""/> |
| | | | Town & Country Planning |
| | | | <input type="text" value=""/> |
| | | | Wills, Trust and Tax Planning |
| | | | <input type="text" value=""/> |
| | | | All other Litigious Work - Please provide details |
| | | | <input type="text" value=""/> |
| | | | All other Non-Litigious Work - Please provide details |
| | | | <input type="text" value=""/> |
| | | | TOTAL |
| | | | <input type="text" value=""/> |
| | | | % |

b) Specialisation

- i) Has your Practice, or any prior Practice, ever provided management services or investment advice to any entertainment clients or sporting professionals? YES NO

If 'YES', please provide details on the Practice's **HEADED** notepaper.

- ii) Has your Practice, or any prior Practice, ever undertaken or advised on any Mergers and/or Acquisitions? YES NO

If 'YES', please provide the following information in respect of transactions undertaken during your last completed Financial Year:

i) Gross fees generated from such work £

ii) The highest deal value £

iii) Average typical value £

c) Group Litigation and/or Class Actions

- In the last six Financial Years, has your Practice, or any prior Practice, accepted instructions for any group litigation and/or class actions or other group litigation? YES NO

If 'YES', please provide details on the Practice's **HEADED** notepaper.

d) Claimant Personal Injury Work

- i) What is your typical average and largest personal injury claimant settlement during your last Financial year?

Average £ Largest £

- ii) Please estimate the number of personal injury cases you currently have where the expected settlement exceeds £250,000:

- iii) Approximately how many claimant personal injury cases has the Firm dealt with during your last Financial year?

- iv) Approximately what percentage of claimant personal injury cases have been rejected by the Firm during your last Financial year? %

- v) Please estimate the percentage of current claimant personal injury cases in each of the following categories:

Small Claims % Fast Track % Multi Track %

- vi) Is your Practice a member, or ever been a member, of any referral network, claims management or promotional group? YES NO

If 'YES', please provide a list of all organisations on the Practice's **HEADED** notepaper with details of the Practice's membership of each.

- vii) a) What percentage of personal injury work is undertaken on a conditional fee arrangement? %

- b) Does the Practice have a formal risk assessment procedure before accepting these arrangements? YES NO

e) **Property Work**

i) Please state the number of fee earners in your Firm who undertake or have undertaken conveyancing work:

| | 2006/07 | 2007/08 | 2008/09 |
|-----------------------------|----------------------|----------------------|----------------------|
| Solicitors | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Other Qualified Fee Earners | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Non Qualified Fee Earners | <input type="text"/> | <input type="text"/> | <input type="text"/> |

ii) Please advise the following for the past three Financial Years:

| Residential Conveyancing | 2006/07 | 2007/08 | 2008/09 |
|---------------------------------|------------------------|------------------------|------------------------|
| Gross Fee Income | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| Approx Number of Transactions | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Highest Capital Value | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| Average Typical Capital Value | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |

| Commercial Conveyancing | 2006/07 | 2007/08 | 2008/09 |
|--------------------------------|------------------------|------------------------|------------------------|
| Gross Fee Income | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| Approx Number of Transactions | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| Highest Capital Value | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| Average Typical Capital Value | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |

iii) Please advise the percentage of your **residential conveyancing transactions** that relate to the following:

| | 2006/07 | 2007/08 | 2008/09 |
|-----------------|------------------------|------------------------|------------------------|
| First Mortgages | <input type="text"/> % | <input type="text"/> % | <input type="text"/> % |
| Remortgages | <input type="text"/> % | <input type="text"/> % | <input type="text"/> % |
| Buy to Let | <input type="text"/> % | <input type="text"/> % | <input type="text"/> % |

iv) Are all conveyancing transactions directly supervised by a Partner, Principal or Director of the Firm? YES NO

If **'NO'**, please advise who is responsible for the supervision process and how this works:

v) What checks are performed to ensure the identity of your conveyancing clients?

vi) How do you comply with lender requirements on verification of identity?

vii) What training is or has been provided on identifying mortgage fraud to Partners, Principals, Directors, Assistants, Consultants or Employees who undertake conveyancing work?

viii) How do you ensure that any potential mortgage fraud is identified?

ix) How do you ensure that any potential mortgage fraud is reported to lender clients?

x) In the last three years have more than 10% of your conveyancing instructions originated from any one development or from any one client or referrer, e.g. a mortgage broker, developer, financial advisor or estate agent?

YES NO

If 'YES', please advise full details:

xi) Is any Assistant, Consultant or Employee (other than a Partner, Principal or Director of the Firm) allowed to sign reports and/or certificates of title addressed to lenders?

YES NO

If 'YES', please advise full details:

xii) Who is authorised to sign payment/cheque requisitions?

Please tick: Partners, Principals or Directors only

Assistants, Consultants or Employees

xiii) Who is authorised to offer undertakings?

Please tick: Partners, Principals or Directors only

Assistants, Consultants or Employees

xiv) Has the Firm received a request for information or the release of any files by or on behalf of any clients, including mortgage lenders, introducers, their professional bodies or by the police in relation to:

a) Reviews of completed transactions?

YES NO

b) Mortgage arrears, recovery or repossession actions?

YES NO

If 'YES' to a) or b) above, please confirm whether you have notified your professional indemnity insurers:

YES NO

And please provide full details on practice's **HEADED** notepaper.

xv) On how many occasions in the last 12 months has your Practice or any prior Practice advised on any Home Income Plans or Equity Release Plans? If none, state 'NONE'.

xvi) Does or has the Practice ever, or are you planning in the next twelve months, to perform residential or commercial surveys/valuations for lending purposes?

YES NO

7. a) During the last 6 years has your Practice, or any prior Practice, notified claims or circumstances to any Qualifying Insurer or the Assigned Risks Pool?

YES NO

If 'YES', please state number of claims or circumstances for each of the years, if none, state 'NONE':

| | 2003/04 | 2004/05 | 2005/06 | 2006/07 | 2007/08 | 2008/09 |
|-------------------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
| No. of claims & circumstances | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

b) Are you aware, after full enquiry of any circumstances, allegations, shortcomings or expression of dissatisfaction including any criticism of your work about any incident in the last six years, which has or may result in any claim being made against the Practice(s), or any Partner, Principal, Director, Assistant, Consultant or Employee either past or present, whilst they were in the Practice(s), or in any previous Practice(s)?

YES NO

If 'YES', please provide full details on the Practice's **HEADED** notepaper including your opinion on both liability and quantum.

c) Are you aware of any circumstances, incidents or claims reported by you, or any prior Practice, in the past six years as a result of the dishonesty of any Partner, Principal, Director, Assistant, Consultant or Employee of the Practice(s)?

YES NO

If 'YES', please provide details of all incidents on the Practice's **HEADED** notepaper including how the matter was resolved and the procedures in place to avoid recurrence.

d) After full enquiry are you aware of any claims and/or circumstances and/or shortcomings that you have not notified to your previous and/or current Insurers?

YES NO

If 'YES', please provide details on the Practice's **HEADED** notepaper.

e) Are there any matters notified by your Practice or any prior Practice(s) to SIF or Qualifying Insurers or the Assigned Risks Pool which have not been accepted as an effective notification?

YES NO

If 'YES', please provide details on the Practice's **HEADED** notepaper.

PLEASE NOTE THAT YOU ARE OBLIGED TO NOTIFY ALL SUCH MATTERS TO YOUR EXISTING INSURER UNTIL THE END OF THE PRESENT INDEMNITY PERIOD. FAILURE TO DO SO MAY ENTITLE INSURERS TO SEEK REIMBURSEMENT FROM YOU.

IF APPLICABLE, PLEASE ATTACH A COPY OF YOUR CONFIRMED CLAIMS EXPERIENCE FROM ALL INSURERS FOR EACH POLICY PERIOD SINCE 1 SEPTEMBER 2003 FOR THE PRACTICE AND/OR ANY PRIOR PRACTICE(S).

8. Limit of Indemnity and Excess Required:

- a) Total Limit Required £ or £ or £
- b) Excess Required £ or £ or £
- c) Do you require a quotation for an Aggregate Excess? YES NO

9. Please provide details of your current professional indemnity insurance **ONLY if you are NOT currently a Prime Professions client:**

- Current Insurers
- Current Indemnity Limit £ Excess £
- Premium excl IPT £

10. Has your Practice or any prior Practice ever been in the Assigned Risks Pool and/or has any Qualifying Insurer refused to offer your Practice or any prior Practice terms for your professional indemnity insurance? YES NO

If **'YES'**, please provide details on the Practice's **HEADED** notepaper.

11. a) Have you ever been late in paying or failed to pay either a professional indemnity premium or policy excess? YES NO

If **'YES'**, please provide details on the Practice's **HEADED** notepaper.

b) Has the Practice or any Partner, Principal or Director been (or is the subject to) a petition for bankruptcy, Voluntary Insolvency Agreement or any other arrangement with creditors? YES NO

If **'YES'**, please provide details on the Practice's **HEADED** notepaper.

c) Has there been any significant change in your Practice in the last year or do you expect any significant change in the next 12 months? YES NO

If **'YES'**, please provide details on the Practice's **HEADED** notepaper.

d) Is there additional material information which you feel Insurers should be aware of? YES NO

If **'YES'**, please provide details on the Practice's **HEADED** notepaper.

12. a) Are you accredited with LEXCEL? YES NO
- b) Please state date of accreditation:
- c) Please provide the name and status of the person responsible for risk management in your firm:
- Name:
- Status:
- d) Are there any other organisation(s)/person(s) that have a financial interest in your Practice? YES NO
- e) Does the Practice have a formal conflict search procedure in place when opening new files? YES NO
- f) Does the Practice always use Client Care letters, Retainer letters or Engagement letters? YES NO
- g) Does the Practice always comply with the Solicitors' Code of Conduct in relation to money laundering regulations and have checks in place to detect potential money laundering? YES NO
- h) Does the Practice have a formal file closure procedure? YES NO

CHECKLIST AND ENCLOSURES REQUIRED

- a) Have you signed and dated the Proposal Form and any Supplementary Questionnaires? YES NO
- b) Have you attached a current Qualifying Insurers Claims Summary (or Assigned Risks Pool Summary) in respect of all policy years since 1st September 2003, for your Practice and any Prior Practice(s)? YES NO
- c) Have you attached a copy of all reports issued by the Legal Complaints Service or the former CCS or OSS, SRA, Forensic Investigation Unit, Disciplinary Tribunal and/or any other regulatory body? YES NO
- d) Have you attached a sheet of your current **HEADED** notepaper, crossed 'For Prime Professions'? YES NO
- e) If you are a newly established Practice, have you included Curriculum Vitae for every Partner, Principal or Director of the Practice and your business plan and cash flow statement? YES NO

DECLARATION

By signing this proposal form you consent to Prime Professions Limited using the information we may hold about you for the purpose of providing insurance advice and, where appropriate, assistance in relation to handling claims, if any, and to process sensitive personal data about you where this is necessary (for example criminal convictions). This may mean we have to give some details to third parties involved in providing insurance cover. These third parties may include insurance carriers, third-party claims adjusters, fraud detection and prevention services, reinsurance companies and insurance regulatory authorities. In the course of performing our obligation to you, this information may be disclosed to agents and service providers appointed by us and/or Insurers, (which includes their re-insurers, legal advisers, loss adjusters or agents). Where such sensitive personal information relates to anyone other than you, you must obtain the explicit consent of the person to whom the information relates both to the disclosure of such information to us and its use by us as set out above. The information provided will be treated in confidence and, where relevant, in compliance with the Data Protection Act 1998. You have the right to apply for a copy of your information (for which we may charge a small fee) and to have any inaccuracies corrected.

I/We declare that the above statements and particulars are true, full enquiry having been made, and I/we have not omitted, suppressed or mis-stated any material facts which may be relevant to Insurers' consideration of this proposal form and undertake to inform the Insurer of any change to any material fact that occurs prior to the point at which the insurance contract has been agreed. I/we understand that the information I/we provide will be used in deciding the price charged by the Insurer for the risk and whether the Insurer will accept the application and the terms of any policy provided.

I/We understand that if my Practice acquires, merges with or absorbs another Practice during the period of insurance, Insurers will require similar information in relation to that Practice and may charge an additional premium.

Print name:

Signature: (Principal/Partner/Director)

On behalf of:

Date:

Please note, if you wish to submit your form via email, an indication of terms and conditions may be provided on the basis of this proposal form. A signed original of the proposal form and all attachments is required before a contract of insurance can be made. Encrypted signatures are not acceptable.

Signing this form does not bind the Proposer to complete the insurance. We recommend that you should keep a record of all information supplied to us, including copies of letters and this proposal form, for the purpose of entering into this contract.

From time to time, we may disclose personal information (other than sensitive personal data) to other members of the Group. We or they may use that information to advise you of our services which may be of interest to you. If you would prefer not to receive information, please contact an Account Executive at Prime Professions Limited.