



Complete the following information for each Financial Institution the Firm represents.

Law Firm Name: _____

1. Financial Institution Name: _____

2. Financial Institution's Primary Address _____
Address City State Zip

3. Number of branch locations: _____

If the financial institution has branch locations, please list addresses for each location or attach a roster.

4. Type of Financial Institution: ☐ Bank ☐ Savings & Loan ☐ Savings Bank ☐ Credit Union
☐ Other (please explain): _____

5. Is the Financial Institution a past or present client of the firm? ☐ Past client ☐ Present client

6. Date the law firm began representing the Financial Institution: _____

7. Briefly state the nature of legal services rendered to the Financial Institution: _____

8. Has the Financial Institution ceased operations, been declared insolvent, or is it now controlled or operated by the FDIC, OCC, OTS or any other government agency? ☐ Yes ☐ No
If yes, provide full details, including the date of such action.

9. List each lawyer involved in Financial Institution representation: _____

10. Does the law firm, or any lawyer in the law firm:

- Currently have or ever had loan commitments with the Financial Institution? ☐ Yes ☐ No

If yes, what is the dollar value? \$ _____

- Currently have or ever had stock or other equity interest in the Financial Institution? ☐ Yes ☐ No

If yes, what is the stock value? \$ _____ **What is the equity interest percentage** _____ %

11. Has the law firm, or any lawyer in the law firm provided the following legal services to the Financial Institution (check all that apply):

- | | | | |
|---|-------------------------------------|---|--|
| <input type="checkbox"/> General Counsel | <input type="checkbox"/> Of Counsel | <input type="checkbox"/> Regulatory Counsel | <input type="checkbox"/> Loan Closings |
| <input type="checkbox"/> Loan Documentation | <input type="checkbox"/> Litigation | <input type="checkbox"/> Securities Work | |

12. Has any lawyer in the law firm (regardless of what law firm they worked for at the time) ever held any of the following positions in the Financial Institution? ☐ Yes ☐ No

- Director/Officer • Executive Committee • Investment Advisory Committee
- Loan Policy Committee • Audit Committee • Other position not listed

If yes, indicate the name of the lawyer, the position held and dates the position was held.

Lawyer	Position	Start Date	Currently Serving in Position?	End Date
			<input type="checkbox"/> Yes <input type="checkbox"/> No	
			<input type="checkbox"/> Yes <input type="checkbox"/> No	
			<input type="checkbox"/> Yes <input type="checkbox"/> No	
			<input type="checkbox"/> Yes <input type="checkbox"/> No	

13. Does the law firm have a written policy prohibiting the following for Financial Institution clients:

- Lawyers from holding stock or other equity in the Financial Institution? ☐ Yes ☐ No
- Lawyers from acting as a director or officer of the Financial Institution? ☐ Yes ☐ No
- The introduction of other clients to the Financial Institution as a prospective lender? ☐ Yes ☐ No
- The representation of both borrowers and lenders? ☐ Yes ☐ No

If no to any question above, please provide an explanation.

For residents of all states except CO: 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 or knowingly helps with intent to defraud, commits a fraudulent insurance act, which may be a crime and may subject the person to criminal and civil penalties.

Colorado: 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 policyholder or claimant for the purpose of defrauding or attempting to defraud the policyholder or claimant 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.

Professional liability insurance offered through Attorney Shield is underwritten by Professional Solutions Insurance Company (doing business in California as PSIC Insurance Company).

Signature/Title of Law Firm Representative

Date

Soliciting Agent

Agency Name



Mail to:
14001 University Avenue
Clive, Iowa 50325

Questions:
Phone: 800-510-8240
Fax: 800-480-2232