

Law Firm Name: \_\_\_\_\_

1. Provide the following information for all lawyers who have practiced in the area of Intellectual Property:

Lawyer's Name	Member of the Patent Bar?	Years of Experience	Billable hours in Intellectual Property in the past 12 months
	<input type="checkbox"/> Yes <input type="checkbox"/> No		
	<input type="checkbox"/> Yes <input type="checkbox"/> No		
	<input type="checkbox"/> Yes <input type="checkbox"/> No		

2. Does the law firm employ a patent agent? ..... ☐ Yes ☐ No

*If yes, provide the name of the agent(s):* \_\_\_\_\_

3. Provide the percentage of practice in the following areas:

Intellectual Property Litigation .....	_____ %
Patent Infringement Counseling .....	_____ %
Domestic Patent Prosecution .....	_____ %
Foreign Patent Prosecution .....	_____ %
Trademark/Copyright Registration & Licensing .....	_____ %
Patent Searches & Filings .....	_____ %
Other (please explain): _____	_____ %
<b>Must equal 100%</b>	_____ %

4. Provide the percentage of practice in the following industries:

Biotechnology .....	_____ %
Chemical .....	_____ %
Computer (including hardware, software, semiconductors, etc.) .....	_____ %
Electric (other than computer) .....	_____ %
Entertainment (the arts, musicians, composers, publishers, etc.) .....	_____ %
Industrial .....	_____ %
Mechanical .....	_____ %
Pharmaceutical .....	_____ %
Other (please explain): _____	_____ %
<b>Must equal 100%</b>	_____ %

5. Provide a breakdown of the law firm's Intellectual Property clients:

Individuals .....	_____ %
Partnerships .....	_____ %
Closely held corporations .....	_____ %
Publicly traded companies .....	_____ %
<b>Must equal 100%</b>	_____ %



**PATENT:**

1. Does the law firm memorialize the results of each patent search in a written opinion letter? ..... ☐ Yes ☐ No
2. Does each opinion letter disclose the scope and extent of the search conducted that is the basis for the opinion? ..... ☐ Yes ☐ No
3. Does the law firm request in writing the client's intent to pursue or not to pursue a foreign patent application? ..... ☐ Yes ☐ No
4. Is the client made aware of the deadlines for foreign patent filings and the requirements to complete the filing? ..... ☐ Yes ☐ No

**COPYRIGHT:**

1. What is the law firm's standard timeframe for applying for copyright registration on behalf of a client? \_\_\_\_\_
2. Are all assignments of copyright from one client to another fully documented in writing? ..... ☐ Yes ☐ No

**TRADEMARK:**

1. Does the law firm perform searches of records at the PTO for trademarks? ..... ☐ Yes ☐ No
2. Are all trademark assignments from one entity to another fully documented in writing? ..... ☐ Yes ☐ No
3. Are all trademark assignments promptly and properly recorded with the PTO? ..... ☐ Yes ☐ No

**DOCKET/CALENDARING:**

1. Does the law firm have a computerized calendaring system to provide alerts for: **(Check all that apply)**
  - ☐ Statutory bar dates
  - ☐ Response dates
  - ☐ Responses to an office action
  - ☐ Renewal date of trademark
  - ☐ Statement of incontestability after registration
  - ☐ Fee due dates, whether outsourced or not
  - ☐ Copyright renewal filing
  - ☐ Infringement action filing
  - ☐ Declaration of use after registration
  - ☐ None of the above
2. Who reviews docket entries for accuracy? **(Check all that apply)**
  - ☐ Billing partner
  - ☐ Paralegal
  - ☐ Other (please explain) \_\_\_\_\_
  - ☐ Lawyer in charge of work
  - ☐ Secretary
  - ☐ Associate
  - ☐ Docketing Personnel

**RISK MANAGEMENT:**

1. Are written agreements required for all new clients prior to conducting a transaction? ..... ☐ Yes ☐ No
2. Are written agreements required for all new transactions for existing clients? ..... ☐ Yes ☐ No
3. Does the engagement letter outline the nature, scope and limitations of the transaction? ..... ☐ Yes ☐ No
4. Is the law firm's responsibility for payment of maintenance fees, taxes or annuities clearly stated in an engagement letter? ..... ☐ Yes ☐ No
5. If the client is responsible for such payments, are notices of required payments sent well in advance of the due dates? ..... ☐ Yes ☐ No
6. Does the law firm or any lawyer in the law firm:
  - Have a personal or business relationship with the client other than for the provision of legal services? ..... ☐ Yes ☐ No
  - Hold stock or other equity interest with the client? ..... ☐ Yes ☐ No
  - Act as a director or officer for the client? ..... ☐ Yes ☐ No
  - Ever accept a percentage of the value of the transaction as compensation? ..... ☐ Yes ☐ No
  - Ever accept compensation in kind (royalties, shares, copyrights) in return for legal services? ..... ☐ Yes ☐ No

***If yes to any part of Question #6, please provide an explanation.***

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**POLICIES AND PROCEDURES:**

1. Does the law firm outsource to other entities for:
- |                                                              |                                      |
|--------------------------------------------------------------|--------------------------------------|
| <input type="checkbox"/> Searches (domestic or foreign)      | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Payment of maintenance/annuity fees | <input type="checkbox"/> N/A         |

***If the firm outsources to other entities, please answer the questions below:***

- Does the firm verify that the outsource entity carries professional liability insurance coverage?.... ☐ Yes ☐ No
- Does the firm obtain proof of insurance, such as a Certificate of Insurance?..... ☐ Yes ☐ No
- How does the law firm choose an outsource entity? ***(Check all that apply)***
  - ☐ Review of work product
  - ☐ Advertisements in legal publications/law journal
  - ☐ Recommendation from another law firm
  - ☐ Yellow Pages
  - ☐ Other \_\_\_\_\_

**INSIDER TRADING:**

1. Does the law firm have a written policy regarding insider trading? ..... ☐ Yes ☐ No
2. Does the law firm have procedures to control the number of copies and track the location of sensitive documents and information? ..... ☐ Yes ☐ No
3. Does the law firm provide in-house seminars for all employees regarding the law applicable to insider trading? ..... ☐ Yes ☐ No

Additional Comments: \_\_\_\_\_

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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:**  
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