



**ACCOUNTANTS PROFESSIONAL LIABILITY INSURANCE  
COVERAGE APPLICATION FORM  
“CLAIMS-MADE” POLICY**

**SECURITIES SUPPLEMENTAL APPLICATION FORM**

1. Please provide a narrative description of the securities-related services provided by the Applicant:

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2. Please provide the following information regarding the services performed for any publicly-traded company client during the past five (5) years:

<b>Name of Client</b>	<b>Industry</b>	<b>Date of Engagement</b>	<b>Nature of Services Provided</b>	<b>Opinion Rendered</b>

*Please provide additional listings on a separate sheet of paper.*

3. Please provide the following information regarding the services expected to be performed during the next twelve (12) months:

Name of Client	Industry	Date of Engagement	Nature of Services Provided	Will an opinion be rendered?

*Please provide additional listings on a separate sheet of paper.*

4. Please provide the following information regarding the services provided in connection with any public or private offering of securities within the past five (5) years:

Name of Client	Industry	Date of Engagement	Nature of Services Provided	Size of Offering	Type of Offering	Total Fees Received for Engagement

*Please provide additional listings on a separate sheet of paper.*

5. During the past five (5) years has the Applicant been the subject of any other federal or state government proceeding regarding the transactions described above?  Yes  No

*If Yes, please describe any such proceeding and its ultimate disposition on a separate sheet of paper.*

6. Please provide the following information for all professional staff that provide securities-related services:

Name of Professional	Years of Experience Providing Securities-Related Services	Billable Hours for Securities-Related Services During Past Twelve (12) Months	# of Hours of Securities-Related CPE Completed During Past Twelve (12) Months

*Please provide additional listings on a separate sheet of paper.*

7. Does the Applicant have written client acceptance guidelines for all securities-related engagements?  
 Yes       No
  
8. Does the Applicant use engagement letters on all securities-related engagements?     Yes     No
  
9. Does the Applicant have a written policy requiring annual reviews of clients for whom it provides securities-related services?     Yes       No