



**ACCOUNTANTS PROFESSIONAL LIABILITY INSURANCE
 COVERAGE APPLICATION FORM
 "CLAIMS MADE" POLICY**

SECURITIES SUPPLEMENTAL APPLICATION FORM

This supplement is directed to any services other than audit work described on the Public Audit Supplement.

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

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

Name of Client	Industry	Date of Engagement	Nature of Services Provided	Opinion Rendered

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