



# INTELLECTUAL PROPERTY SUPPLEMENTAL APPLICATION

Administered by:  
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**NOTE:** For purposes of this Supplemental Application, the term "Intellectual Property" means any original creative work that has economic value and can be protected by law. Forms of intellectual property include, but are not limited to patents, trademarks, copyrights, and confidential or proprietary information or trade secrets.

### APPLICANT'S INSTRUCTIONS:

This form is to be completed if the Applicant firm provided a percentage in the main application, Section II, Firm's Practice, Question 1.a., that would require completion of this supplemental application. If space is insufficient to answer any question fully, attach a separate sheet. Answer all questions completely.

### APPLICANT FIRM: \_\_\_\_\_

1. a. Does the Applicant firm have a computerized conflict of interest system in place to cross-check for conflicts between any past or present clients?  Yes  No

b. Please describe in detail the procedures the firm has in place for the calendaring of "Intellectual Property" related deadlines.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. a. Does the Applicant firm assume responsibility for the payment of any maintenance, annuity, or similar fees for any of your past or present "Intellectual Property" clients?  Yes  No

b. If Yes, please advise approximately how many clients the firm currently performs this function for and describe the system currently utilized to track the renewal and ensure timely payment.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. a. Does the Applicant firm employ the services of any third parties to perform searches or any other services relating to your "Intellectual Property" clients?  Yes  No

b. If Yes, please describe the services performed and who performs them for the firm, along with the quality control components in place relative to these services and whether the firm requires/confirms that third party carries separate Errors & Omissions insurance.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. a. Does the Applicant firm use engagement letters, fee arrangements and termination letters on all "Intellectual Property" clients?  Yes  No

b. If No, please explain the circumstances in which engagement letters are and are not used and whether the firm verifies in writing the scope of services that it is to perform.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. a. Does the Applicant firm expressly prohibit the acceptance of equity or other financial interest in an "Intellectual Property" client's product or invention in exchange for legal services?  Yes  No

b. If No, please explain the procedure or criteria for allowing the above.

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6. Please provide a percentage breakdown for the following industries/areas of specialization regarding the firm's "Intellectual Property" clients:

- a. Chemical \_\_\_\_\_ %
- b. Computers/Software \_\_\_\_\_ %
- c. Electronics/Semiconductors \_\_\_\_\_ %
- d. Mechanical/Engineering/Industrial \_\_\_\_\_ %
- e. Pharmaceutical/Medical/Biotech \_\_\_\_\_ %
- f. Other \_\_\_\_\_ %

*Note: Responses Must Total 100%*

7. a. When performing legal services for an "Intellectual Property" client relating to a foreign country, does the firm associate or affiliate with another firm in that foreign country to represent the client's interests abroad?  Yes  No

b. If Yes, what guidelines govern the selection of a foreign firm, and how is the file monitored to ensure that all deadlines and other requirements are met?

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8. a. Does the Applicant firm require that its clients clarify and acknowledge in writing the specific territories and countries in which the "Intellectual Property" filing is to be made?  Yes  No

b. If No, please explain: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. Please indicate an estimate of the length in time of your client affiliation for the firm's "Intellectual Property" clients from the following categories:

- a. Three Years and longer \_\_\_\_\_ %
- b. One to Three Years \_\_\_\_\_ %
- c. Six Months to One Year \_\_\_\_\_ %
- d. Less than Six Months \_\_\_\_\_ %

*Note: Responses Must Total 100%*

10. During the past two (2) years, has the Applicant firm ever done any of the following for any past or present "Intellectual Property" client, project, matter, or transaction? Please check either Yes or No for each question. If Yes to any part of Question 10 below, please attach complete details on a separate sheet.  Yes  No
- a. Represented or provided any legal service or advice to more than one party or client, relative to the same basic "Intellectual Property" matter or transaction?  Yes  No
  - b. Been directly or indirectly involved financially in any business, investment, or project financing matter with any of your "Intellectual Property" clients?  Yes  No
  - c. Represented dual or multiple parties, or joint or multiple owners of a product, business method, or invention involved in an "Intellectual Property" matter or transaction?  Yes  No
  - d. Been directly or indirectly involved in any business promotional activities (i.e. marketing, licensing, royalty negotiation, etc.) with, or on behalf of, any of your "Intellectual Property" clients?  Yes  No
  - e. Provided professional services to any "Intellectual Property" client for whom any firm member or spouse has ever served as an officer, director, trustee, employee or partner?  Yes  No
11. a. During the past two (2) years, has the Applicant firm, or anyone associated with the firm at any time, been named as a defendant in any kind of civil litigation that is in any way related to any past or present "Intellectual Property" client, project or venture other than has already been disclosed in the main application?  Yes  No
- b. If Yes, please provide complete details on a separate sheet.
12. Please provide a percentage breakdown by billable hours of the types of services rendered in the past year from the following categories:
- a. Domestic and Foreign Searches \_\_\_\_\_ %
  - b. Domestic Patent Litigation\* \_\_\_\_\_ %
  - c. Foreign Patent Litigation\* \_\_\_\_\_ %
  - d. Domestic Patent Prosecution/Registration\* \_\_\_\_\_ %
  - e. Foreign Patent Prosecution/Registration\* \_\_\_\_\_ %
  - f. Domestic Intellectual Property Licensing/Contracts \_\_\_\_\_ %
  - g. Foreign Intellectual Property Licensing/Contracts \_\_\_\_\_ %
  - h. Trademark \_\_\_\_\_ %
  - i. Copyright \_\_\_\_\_ %
  - j. Other - Please Describe: \_\_\_\_\_ %

*Note: Responses Must Total 100%*

***\*If any percentage is indicated in b, c, d, or e above, please complete questions 13 through 17 below:***

13. a. For a period encompassing the past three (3) years, would the annual percentage for any type of service provided in Question 12 above differ by more than 10%.  Yes  No
- b. If Yes please provide details of all such changes for any area(s) on a separate sheet
14. a. Are all patent attorneys and patent agents in the firm experienced (i.e., five (5) or more years of patent related experience)?  Yes  No
- b. If No, are these attorneys working directly under the supervision of a senior intellectual property partner who is responsible for the overview and quality of their work?  Yes  No

15. Please evaluate the Applicant firm's top five Intellectual Property clients with regard to the following:

# of Patents Held or Pending	Client #				
	1	2	3	4	5
More than 50	_____	_____	_____	_____	_____
25 - 49	_____	_____	_____	_____	_____
10 - 24	_____	_____	_____	_____	_____
5 - 9	_____	_____	_____	_____	_____
2 - 4	_____	_____	_____	_____	_____
0 - 1	_____	_____	_____	_____	_____

16. During the past three (3) years has the Applicant firm represented any client with annual sales in excess of \$100,000,000?  Yes  No
- If Yes, please provide client name(s) and the number of years represented.

Client Name(s)	# years represented
_____	_____
_____	_____
_____	_____
_____	_____

17. During a period encompassing the past three (3) years, indicate during each annual period the number of lawyers in the firm under a corresponding percentage of time billed on intellectual property transactions or litigation:

Annual Period	Number of Lawyers			
	1 - 25 %	26 - 50 %	51 - 75 %	76 - 100 %
Last year	# of lawyers _____	# of lawyers _____	# of lawyers _____	# of lawyers _____
2 years ago	# of lawyers _____	# of lawyers _____	# of lawyers _____	# of lawyers _____
3 years ago	# of lawyers _____	# of lawyers _____	# of lawyers _____	# of lawyers _____

The undersigned understands the information submitted herein becomes a part of the Applicant firm's Professional Liability Insurance Application and is subject to the same warranty and conditions.

Any person who knowingly and with intent to defraud any insurance company or other person files an application for insurance containing any false information, or conceals for the purpose of misleading, information concerning any fact material thereto, commits a fraudulent insurance act.

\_\_\_\_\_  
Signature of Owner, Officer or Partner

\_\_\_\_\_  
Print or Type Name and Title

\_\_\_\_\_  
Date (month-day-year)