

**LAWYERS PROFESSIONAL LIABILITY APPLICATION
SUPPLEMENT C - BRANCH OFFICE AND AFFILIATE
STATE OF MAINE**

BRANCH OFFICE (if the Firm has only an affiliate law firm(s), please go to page 3.)

1. List all branch office locations that are or were part of the Firm in the last five (5) years.

Branch Number	Location	Date Opened	Date Closed
1			
2			
3			
4			
5			
6			

2. State the number of lawyers presently in each branch office.

Position	Branch 1	Branch 2	Branch 3	Branch 4	Branch 5	Branch 6
Partners/Shareholders						
Lawyers						
Counsel/Of Counsel *						
Contract Lawyers/Per Diem Lawyers *						
Total Lawyers						

* - who billed more than 1200 hours last year

3. Are the branch offices incorporated into the management structure of principle office? Yes No
If "No", please describe the structure(s).

4. Do branch office partners/shareholders attend regularly scheduled full partnership/shareholder meetings? Yes No
If "No", when do the branch office partners/shareholders attend Firm -wide meetings?

5. If training programs are offered in the principal office, do all branch staff members and lawyers participate in the same type of professional and awareness training programs as those offered at the principal office? Yes No
If "No", please provide full details of the branch office training program(s).

6. If performance evaluations are conducted in the principal office, do all staff members and lawyers in the branch offices undergo the same type of performance evaluation process as staff members and lawyers in the principal office? Yes No
If "No", please provide full details of the branch office performance evaluation process(es).

7. If screening measures are taken in the principal office prior to extending an offer of employment to lateral hires, are the same measures in the branch offices as in the principle office? Yes No

If “No”, please describe the measures taken.

8. Is the new client and new matter intake process the same in branch offices as in the principal office? Yes No

If “No”, please describe the branch office new client and new matter intake process.

9. Conflict of Interest System

- a. Are all potential new clients and new matter subject to a conflict of interest search on the same conflict or interest system as used by the principal office? Yes No
- b. Are branch office clients and related parties routinely entered into the principal office? Yes No

If “No” to either 9.a. or 9.b., please describe the branch office conflict of interest system.

10. Do the branch offices follow the same procedures in the use of confirmation letters, e.g. engagement, scope of service, disengagement, and non-engagement letters as the principal office? Yes No

If “No” to any of the procedures, please explain how and when confirmation letters are used.

11. Do the branch offices implement the same policies and procedures as the principal office in allowing lawyers to serve as directors or officers, of become partners of, or hold equity interests in client entities? Yes No

If “No”, please describe the policies and procedures followed in the branch offices.

12. Do the branch offices implement the same policy as the principal office with respect to accepting stock, deeds, or other property in lieu of fees for services rendered? Yes No

If “No”, please describe the policies and procedures followed in the branch offices.

13. Do any branch office lawyers provide investment advisory services or have authority to invest or divest client assets? Yes No

If “Yes”, please provide full details including name(s) of the lawyers(s), client(s), nature of business, amount of funds for each client, the kinds and value of assets, and whether a co-signature is required for any checks written.

14. Do opinion letters issued out of the branch offices go through the same type of approval process as those in the principal office? Yes No

If “No”, please describe the approval process for opinion letters in the branch office.

15. Do branch offices follow the same billing procedures as the principal office? Yes No
If “No”, please describe the billing procedures in the branch office.

16. How many suits for fees have been filed from branch offices during each of the last 3 years?
This year to date _____ Last year _____ Two years ago _____
17. If suits for fees were filed from the branch offices, how many countersuits have the branch offices received in the last three (3) years? _____
18. If the principal office has procedures to follow for reporting client complaints, do the lawyers in the branch offices follow the same procedures as the principle office? Yes No
If “No”, please describe the complaint reporting procedures in the branch office.

19. Have any lawyers in the branch offices been disciplined, censored, reprimanded, suspended or placed on probation by any state bar, judicial body or regulatory agency other than for traffic violations within the last ten (10) years? Yes No
If “Yes”, please provide a full explanation.

20. Do the branch offices use the same docket system(s) and follow the same docket procedures as the principal office? Yes No
If “No”, please describe the office docket system and procedures in the branch office.

21. Do the branch offices have a disaster plan in case the office is inaccessible or files are lost because of flood, fire, bomb damage, computer failure, etc.? Yes No
22. What factors are taken into consideration when opening or closing branch offices?

AFFILIATE OFFICE(S)

1. List all office locations that are or were affiliates of the firm during the last five (5) years. Please check the firms that are still affiliated with the Firm.

Affiliate Number	Name and Location	
1		<input type="checkbox"/>
2		<input type="checkbox"/>
3		<input type="checkbox"/>
4		<input type="checkbox"/>
5		<input type="checkbox"/>
6		<input type="checkbox"/>

2. Please explain the extent of the affiliation with each firm, e.g. if a written agreement was entered into, if fees are (were) shared in any way, the nature of business referred to and by the firm, and the amount of billable hours or the number of clients referred to and by the firm.

3. a. Does the Firm either require proof that each affiliate has legal malpractice insurance or secure a hold harmless/indemnification agreement for acts, errors or omissions committed by the affiliate?

Yes No

- b. If an affiliate is foreign, does its insurance carrier provide coverage for suits filed in the United States?

Yes No

4. Does the Firm review the financial strength of each affiliate?

Yes No

5. What factors are taken into consideration when entering into an affiliation with another law firm?

Authorized Representative of the Firm

Date:

Print Name

Attest

Title (Must be signed by the managing Partner,
managing executive, principal, business manager or risk manager of the Firm)

NOTICE TO MAINE APPLICANTS: IT IS A CRIME TO KNOWINGLY PROVIDE FALSE, INCOMPLETE OR MISLEADING INFORMATION TO AN INSURANCE COMPANY FOR THE PURPOSE OF DEFRAUDING THE COMPANY. PENALTIES MAY INCLUDE IMPRISONMENT, FINES OR A DENIAL OF INSURANCE BENEFITS.

