

NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES

LEGAL SERVICES INSURANCE FORM FILING COMPLIANCE QUESTIONNAIRE

COMPANY

Co. File No.

Company Contact:

Phone Number:

E-Mail Address:

Instructions: All applicable items must be answered. Responses in the shaded area indicate non-compliance with Regulation No. 162. Form, page and paragraph references that bring the submission into compliance must be included. Failure to complete all items, or responses in the shaded area, will result in this filing being returned without further review.

I. REQUIREMENTS FOR ALL LEGAL SERVICES INSURANCE

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| A. Insurer's license has been amended to include Paragraph 29 of Section 1113(a) of the New York Insurance Law | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| B. Coverage is written on a "pay on behalf of" basis [§262.10(d)] | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| C. Coverage Triggers (Check one that applies):
<input type="checkbox"/> Occurrence Policy: event that is the basis for action must have occurred during the policy period, regardless of when action is brought [§262.7(a)] | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| <input type="checkbox"/> Claims –Made Policy: If Legal Services coverage is provided on a claims-made basis the coverage complies with Regulation 121 [§262.7(b)]. | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| D. 1. If the policy is NOT a directors and officers policy, is coverage provided for criminal proceedings [§262.5(a)]? | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| 2. If the policy is a directors and officers policy, is defense coverage for criminal proceedings limited to that permitted by the applicable corporate statute? | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |

II. ADDITIONAL REQUIREMENTS FOR COVERAGE FOR ADMINISTRATIVE PROCEEDINGS OR CLAIMS SEEKING INJUNCTIVE OF OTHER NONPECUNIARY RELIEF

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| A. Does the coverage apply to claims involving entitlement to non-employment related benefits, provided either directly or indirectly, from any government, governmental agency or political subdivision pursuant to any entitlement program? [§262.3(b)(1)] | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| B. Only answer this question if there is coverage for an insured that institutes or initiates the proceeding or litigation: [§262.3(b)(2)]

Is the insured a: | | | |
| 1. Public entity, as that term is defined in section 107(a)(51) of the Insurance Law | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| 2. Quasi-public entity specifically created by statute | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
| 3. Large commercial insured as defined in Section 71.1 of Regulation 107 (note: appellate proceedings may be covered for these insureds) | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |

III. ADDITIONAL REQUIREMENTS FOR POLICIES PROVIDING DEFENSE COVERAGE FOR ALLEGATIONS THAT ARE EXCLUDED

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| Defense coverage is provided only for claims for which liability insurance is either against public policy or prohibited by the insurance law [262.4 (a) and (b)] | YES <input type="checkbox"/> | NO <input type="checkbox"/> | |
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NOTE: All citations in Brackets are to the applicable sections of Department Regulation No. 162