

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. 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

- A. Insurer's license has been amended to include Paragraph 29 of Section 1113(a) of the New York Insurance Law YES NO
- B. Coverage is written on a "pay on behalf of" basis [§262.10(d)] YES NO
- C. Coverage Triggers (Check one that applies):
 - 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 NO
 - Claims –Made Policy: If Legal Services coverage is provided on a claims-made basis the coverage complies with Regulation 121 [§262.7(b)]. YES NO
- D. 1. If the policy **is NOT** a directors and officers policy, is coverage provided for criminal proceedings [§262.5(a)]? YES NO
- 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 NO
- E. Is there a provision requiring that disputes between the company and insured be resolved through arbitration? YES NO

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

- 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 NO
- 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 NO
 - 2. Quasi-public entity specifically created by statute YES NO
 - 3. Large commercial insured as defined in Section 71.1 of Regulation 107 (note: appellate proceedings may be covered for these insureds) YES NO

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

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 NO

NOTE: All citations in Brackets are to the applicable sections of Department Regulation No. 162