

- NAVIGATORS INSURANCE COMPANY (NAV)
- NAVIGATORS SPECIALTY INSURANCE COMPANY (NSIC)



LAWYERS PROFESSIONAL LIABILITY

FINANCIAL INSTITUTIONS SUPPLEMENT

Name of Applicant (The Firm): _____

This supplement should be completed if:

- i) at any time within the past five years the firm, or any attorney of the firm, provided legal services to any bank, banking association, trust company, savings bank, industrial bank, savings and loan association, building and loan association, homestead association, bank holding company, savings and loan holding company, credit union, investment banking firm, securities broker or dealer, or other banking institution or any subsidiary or affiliate thereof or other financial institution, and if the individual acted in the capacity as SEC counsel, regulatory counsel, general counsel or committee member or was an equity partner or director or officer of such institution; or
- ii) any attorney of the firm, or former attorney while affiliated with the firm, served in the past five years as director or officer for any financial institution.

* Please photocopy this supplement for each financial institution client within the past five years.

1. Name of Financial Institution: _____

2. Location(s): _____

3. The above financial institution is a past; or present client of an attorney of the firm.

4. Has this financial institution ceased operations, gone insolvent, been declared insolvent, or is it now controlled or operated by the FDIC, OCC, OTS or any other government agency? YES NO
If "Yes," please provide full particulars on a separate sheet of your firm's letterhead and attach to this supplement.

5. Has the firm, or any attorney of the firm (regardless of what firm he or she was practicing with at the time):

a. Had loan commitments with the above financial institution? YES NO

b. Held stock or other equity interest in the above financial institution? YES NO
If "Yes," what is the dollar value of such interest? \$_____

c. Acted as a director or officer of the above financial institution? YES NO
 Dates Position held: From ____ / ____ / ____ to ____ / ____ / ____

d. Participated in the preparation of the financial institution's response to regulatory examination reports? YES NO

e. Participated or assisted in the rendering of advice on regulatory issues? YES NO

f. What services are provided for the above financial institution? (check all that apply)

- | | | | |
|--|---|--------------------------------------|---|
| <input type="checkbox"/> General Counsel | <input type="checkbox"/> Regulatory Counsel | <input type="checkbox"/> Litigation | <input type="checkbox"/> Securities |
| <input type="checkbox"/> Loan Closings | <input type="checkbox"/> Loan Documentation | <input type="checkbox"/> Taxation | <input type="checkbox"/> Mergers & Acquisitions |
| <input type="checkbox"/> Other _____ | <input type="checkbox"/> Other _____ | <input type="checkbox"/> Other _____ | |

6. a. Has any attorney of the firm held a position as a member of the following internal committees of the above financial institution?
- Investment Advisory Committee Executive Committee Loan Policy Committee Audit Committee
 Other _____ Other _____ Other _____
 Dates Position held: From ____ / ____ / ____ to ____ / ____ / ____
- b. Did the financial institution provide an indemnification agreement during the period the position was held? YES NO
- c. Was there D&O insurance in force for the above financial institution during the period the position was held? YES NO
7. To the knowledge of any attorney of the firm, are there any pending or threatened director's and officer's claims against the financial institution shown above? YES NO
8. Annual fees received by the firm from the financial institution: Last fiscal year: \$ _____
 Highest in any one fiscal year : \$ _____
9. Does the firm have a policy prohibiting:
- a. Attorneys from holding stock or other equity interests in a financial institution which is also a client of the firm? YES NO
- b. Attorneys from acting as a director or officer of a financial institution which is also a client of the firm? YES NO
- c. The introduction of other clients to any financial institution client? YES NO
- d. The representation of both borrowers and lenders? YES NO
- e. **If "Yes"** to Questions 9 a-d, are these policies in writing? , YES NO
If "No," please explain below, or on a separate sheet of your firm's letterhead and attach to this supplement.
- f. When were these policies established? _____

ADDITIONAL INFORMATION

I understand that the information submitted in this supplement becomes a part of my Lawyers Professional Liability application and is subject to the same representations and conditions.

 Print Name

 Title

 Signature

 Date

INCOMPLETE, UNSIGNED AND UNDATED APPLICATIONS WILL BE RETURNED FOR COMPLETION.