

## Welcome to the Ahern Insurance Brokerage eForms.

After completing this application please follow these simple instructions:

- 1) Click "Save Application," navigate to your desktop and save a copy of the completed application
- 2) Print & sign the application
- 3) To expedite the application process, email or fax a copy of the completed application to AIB

Fax: (858) 571-9010

Email: Info@AhernInsurance.com

- 4) Please mail the original to:

Ahern Insurance Brokerage  
9655 Granite Ridge Drive  
Suite 500  
San Diego, CA 92123

For additional support you can email [techsupport@aherninsurance.com](mailto:techsupport@aherninsurance.com) or consult the help file at: <http://www.aherninsurance.com/applications/help.htm>

### **IMPORTANT!**

Once you have filled out your application completely, you must **PRINT, SIGN AND MAIL THE ORIGINAL**

Law Firm Name: \_\_\_\_\_

1. Provide the years of Securities experience for all lawyers practicing in this area of law:

Name of Lawyer	Years of Experience	Billable hours in Securities in the past 12 months

2. Gross annual billings derived from Securities work: \$ \_\_\_\_\_

3. Indicate the percentage of total billable hours of the law firm's Securities practice in the following areas:

- Securities registered under the Securities Act of 1933 \_\_\_\_\_ %
  - Issuance of municipal bonds \_\_\_\_\_ %
  - Issuance of industrial development bonds \_\_\_\_\_ %
  - Private placements and state securities law filings not noted above \_\_\_\_\_ %
  - Compliance with proxy and reporting requirements under the Securities Exchange Act of 1934 other than in connection with takeovers or mergers of publicly held companies \_\_\_\_\_ %
  - Compliance with proxy and reporting requirements under the Securities Exchange Act of 1934 in connection with takeovers or mergers of publicly held companies \_\_\_\_\_ %
  - Other (specify) \_\_\_\_\_ %
- Total must equal 100%** \_\_\_\_\_ %

4. Does the law firm or any lawyer in the law firm:

- Accept securities in lieu of fees as payment for legal services? .....  Yes  No
- Have a business relationship with a Securities client, other than for the rendering of legal services? .....  Yes  No
- Have a policy prohibiting or restricting lawyers from investing with Securities clients or otherwise entering into a business relationship with a Securities client?.....  Yes  No

5. Does the law firm have a written procedure for the following:

- Screening new Securities clients? .....  Yes  No
  - A cold review of Securities transactions by a qualified Securities lawyer in the law firm who is not working on the transactions? .....  Yes  No
  - The procedure to be followed in performing "due diligence"? .....  Yes  No
  - Regular attendance of continuing education specific to Securities Law for all lawyers in the law firm who practice in this area? .....  Yes  No
  - Requiring all tax opinions to be issued by a Certified Public Accountant?.....  Yes  No
- If no, please provide a detailed explanation in the space below.*

6. Does the law firm make recommendations as to the sale or purchase of any specific stocks, bonds or other Securities related investments? .....  Yes  No

*If yes, provide a detailed explanation in the space below.*

7. Has the law firm or any lawyer in the law firm been subject to a formal or informal investigation, any administrative action undertaken by the SEC, or any state agency regulating Securities; is any such action pending, or is any lawyer aware of any possible upcoming investigation? .....  Yes  No

*If yes, provide a detailed explanation in the space below.*

**Complete the attached Securities Schedule for all securities offerings, private placements, limited partnerships, syndications, bonds and public offerings in the past 5 years, starting with the most recent.**

Additional Comments: \_\_\_\_\_  
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\_\_\_\_\_  
Signature/Title of Law Firm Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Agent

\_\_\_\_\_  
Date

For residents of CA: Any person who knowingly and with intent to defraud any insurance company or other person, files an application for insurance containing any materially false information or conceals, for the purpose of misleading, information concerning any fact material thereto or knowingly helps with intent to defraud, commits a fraudulent insurance act, which may be a crime and may subject the person to criminal and civil penalties.

Professional liability insurance offered through Attorney Shield is underwritten by Professional Solutions Insurance Company, doing business as PSIC Insurance Company in CA.



In reverse chronological order, list the filings now in progress, followed by the most recently completed filings in which the law firm, or any lawyer in the law firm (regardless of which law firm they practiced with at the time), rendered legal services during the past 5 years. Include filings that were withdrawn after having been filed, offerings that were unsuccessful and filings made pursuant to an exemption from registration. Please make additional copies of this page as necessary.

Date of Offering	Name of Issuer	Type of Offering PR – Private Placement PS – Public Secondary B – Bond SY – Syndication M – Municipal F – Financing IPO – Initial Public Offering	Type of Business	Did the law firm render a tax opinion? <input type="checkbox"/> Yes <input type="checkbox"/> No	Date of Issuer incorporation or formation	Dollar Size of Offering	Law Firm acted as counsel for: IN – Investment Co. U – Underwriter L – Lender IC – Insurance Co. P – Purchaser A – Auditor I – Issuer O – Other	Number of months as a client
				<input type="checkbox"/> Yes <input type="checkbox"/> No				
				<input type="checkbox"/> Yes <input type="checkbox"/> No				
				<input type="checkbox"/> Yes <input type="checkbox"/> No				
				<input type="checkbox"/> Yes <input type="checkbox"/> No				
				<input type="checkbox"/> Yes <input type="checkbox"/> No				
				<input type="checkbox"/> Yes <input type="checkbox"/> No				
				<input type="checkbox"/> Yes <input type="checkbox"/> No				

\_\_\_\_\_  
Signature/Title of Law Firm Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Agent

\_\_\_\_\_  
Date

For residents of CA: Any person who knowingly and with intent to defraud any insurance company or other person, files an application for insurance containing any materially false information or conceals, for the purpose of misleading, information concerning any fact material thereto or knowingly helps with intent to defraud, commits a fraudulent insurance act, which may be a crime and may subject the person to criminal and civil penalties.

Professional liability insurance offered through Attorney Shield is underwritten by Professional Solutions Insurance Company, doing business as PSIC Insurance Company in CA.