

For organizations that employ in-house lawyers — general counsel, legal and compliance departments, and contracts attorneys. Law firms use CWCO-SUP-LAWFIRM. Complete with ACORD 125. Attach a legal department organization chart, the D&O declarations page, and the employer's indemnification bylaw or policy.

1 APPLICANT / ORGANIZATION INFORMATION

LEGAL NAME OF ORGANIZATION	DBA	FEIN	YEARS IN BUSINESS
BUSINESS ADDRESS	CITY / STATE / ZIP	WEBSITE	

Entity type:
☐ Private company ☐ Public company ☐ Nonprofit ☐ Government entity ☐ Other

GENERAL COUNSEL / TITLE	PHONE	EMAIL
INDUSTRY	ANNUAL REVENUE (\$, ILLUSTRATIVE)	TOTAL EMPLOYEES

2 LEGAL DEPARTMENT PROFILE

Headcount:
☐ Lawyers employed ☐ Contract / temporary lawyers ☐ Paralegals & legal assistants ☐ Notaries
☐ Lawyers outside the U.S.

AREA OF PRACTICE	% OF DEPARTMENT TIME

Practice areas: contracts & commercial; securities & SEC reporting; employment; litigation management; regulatory & compliance; intellectual property; real estate; mergers & acquisitions; tax; privacy; government contracts.

LAWYER NAME	TITLE	BAR ADMISSIONS (STATES)	YEARS PRACTICING

2-1 Is every lawyer admitted in the state where they work, or registered there as in-house counsel? ☐ Yes ☐ No
 IF YES, EXPLAIN

3 EXPOSURE & RISK QUESTIONS — SCOPE OF PRACTICE

Claim scenarios include SEC charges against a general counsel over company filings, and a \$5 million malpractice suit against an in-house lawyer over pro bono criminal defense work.

3-1 Do in-house lawyers prepare or sign off on SEC filings, offering documents, or public financial statements? ☐ Yes ☐ No
 IF YES, EXPLAIN

3-2 Do lawyers give legal advice to anyone other than the organization (officers personally, customers, employees, affiliates)? ☐ Yes ☐ No
 IF YES, EXPLAIN

3-3 Do any lawyers do pro bono work, and does the organization approve it? ☐ Yes ☐ No
 IF YES, EXPLAIN

3-4 Do any lawyers moonlight or keep a private practice outside their employment? ☐ Yes ☐ No
IF YES, EXPLAIN

3-5 Do lawyers act as officers, directors, or trustees of the organization or other entities? ☐ Yes ☐ No
IF YES, EXPLAIN

3-6 Does the department lead internal investigations or whistleblower reviews? ☐ Yes ☐ No
IF YES, EXPLAIN

3-7 Do lawyers handle government investigations, subpoenas, or regulatory responses? ☐ Yes ☐ No
IF YES, EXPLAIN

4 EXPOSURE & RISK QUESTIONS — INDEMNITY, D&O & CONTROLS

D&O policies often cover the general counsel only in an executive role, with shared limits and exclusions that can bar claims about legal work. Employer indemnity can fail if the company is insolvent or alleges misconduct.

4-1 Does the organization's bylaw or policy require it to indemnify its lawyers? ☐ Yes ☐ No
IF YES, EXPLAIN

4-2 Does the D&O policy name in-house lawyers as insureds without a professional services exclusion? ☐ Yes ☐ No
IF YES, EXPLAIN

4-3 Is the organization's financial condition stable (no going-concern opinion, default, or restructuring)? ☐ Yes ☐ No
IF YES, EXPLAIN

4-4 Are conflicts of interest checked before lawyers take on matters for affiliates or individuals? ☐ Yes ☐ No
IF YES, EXPLAIN

4-5 Is there a matter management or docket system that tracks deadlines? ☐ Yes ☐ No
IF YES, EXPLAIN

4-6 Are outside counsel engaged for litigation and high-risk transactions? ☐ Yes ☐ No
IF YES, EXPLAIN

4-7 Has any lawyer been the subject of a bar complaint, disciplinary proceeding, or sanction? ☐ Yes ☐ No
IF YES, EXPLAIN

5 COVERAGE REQUESTED, PRIOR INSURANCE & LOSS HISTORY

Attach currently-valued loss runs for the last 5 years.

LIMIT REQUESTED (\$)	RETENTION REQUESTED (\$)	REQUESTED EFFECTIVE DATE
CURRENT EMPLOYED LAWYERS / D&O CARRIER	CURRENT LIMIT / RETENTION	EXPIRATION DATE

5-1 Has any carrier declined, cancelled, or non-renewed employed lawyers or D&O coverage in the last 5 years? ☐ Yes ☐ No
IF YES, EXPLAIN

5-2 Has any lawyer been named in a lawsuit, subpoena, or government inquiry over their work in the last 5 years? ☐ Yes ☐ No
IF YES, EXPLAIN

DATE	DESCRIPTION (CLAIMANT, ALLEGATION)	TOTAL PAID INCL. DEFENSE (\$, ILLUSTRATIVE)	OPEN / CLOSED

5-3 Is the applicant aware of any incident, complaint, or circumstance not yet resulting in a claim that could reasonably give rise to one? ☐ Yes ☐ No
IF YES, EXPLAIN

6 RISK MANAGEMENT

6-1	Do lawyers complete required continuing legal education, including ethics?	☐ Yes ☐ No
	IF YES, EXPLAIN	
6-2	Is there a written policy on pro bono and outside legal work?	☐ Yes ☐ No
	IF YES, EXPLAIN	
6-3	Is there a written policy for preserving privilege and handling litigation holds?	☐ Yes ☐ No
	IF YES, EXPLAIN	

7 SIGNATURE & FRAUD WARNING

The undersigned declares that the statements and answers given in this supplemental are true, complete and correct to the best of their knowledge, and that no material fact has been withheld or misstated. The applicant agrees that this supplemental, together with all ACORD applications and attachments, forms the basis of any submission to insurers and may be relied upon by them. Signing this supplemental does not bind coverage. This supplemental is an intake document prepared by Cory Washington & Co. LLC to support carrier submission; it does not itself provide coverage.

FRAUD NOTICE: 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, commits a fraudulent insurance act, which is a crime and subjects such person to criminal and civil penalties. (State-specific fraud warnings apply; see state amendatory notice.)

APPLICANT / AUTHORIZED SIGNATURE (TYPE FULL NAME)	TITLE	DATE
PRODUCER — CORY WASHINGTON & CO. LLC	PRODUCER SIGNATURE (TYPE FULL NAME)	DATE