

For registered patent agents and patent prosecution firms filing utility, design, provisional, and PCT applications before the USPTO. Complete with ACORD 125. Attach a description of services, a sample client contract or engagement letter, resumes or credentials of key professionals, and five years of loss runs.

1 APPLICANT / BUSINESS INFORMATION

LEGAL BUSINESS NAME	DBA	FEIN	YEARS IN BUSINESS
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
BUSINESS ADDRESS	CITY / STATE / ZIP	WEBSITE	
<input type="text"/>	<input type="text"/>	<input type="text"/>	

Entity type:
☐ Sole proprietor ☐ Partnership ☐ LLC ☐ Corporation ☐ Nonprofit

PRIMARY CONTACT / TITLE	PHONE	EMAIL
<input type="text"/>	<input type="text"/>	<input type="text"/>

LICENSES / CERTIFICATIONS HELD	PROFESSIONAL STAFF / TOTAL EMPLOYEES
<input type="text"/>	<input type="text"/>

2 OPERATIONS

Services provided (check all that apply):
☐ Utility applications ☐ Design applications ☐ Provisional applications ☐ PCT / foreign filing ☐ Office action responses
☐ Patentability searches ☐ Maintenance fee tracking ☐ Post-grant proceedings (IPR / PGR)

APPLICATIONS FILED PER YEAR	REFERRED BY FOREIGN ASSOCIATES (%)	TECHNOLOGY AREAS
<input type="text"/>	<input type="text"/>	<input type="text"/>
LARGEST CLIENT (% OF REVENUE)	WORK OUTSIDE YOUR HOME STATE (%)	WORK SUBCONTRACTED (%)
<input type="text"/>	<input type="text"/>	<input type="text"/>

2-1 Do you work under a law firm's supervision? ☐ Yes ☐ No
 IF YES, EXPLAIN

2-2 Is every engagement under a signed written contract or engagement letter? ☐ Yes ☐ No
 IF NO, EXPLAIN

2-3 Do contracts limit your liability (e.g., to fees paid)? ☐ Yes ☐ No
 IF NO, EXPLAIN

3 EXPOSURE & RISK QUESTIONS — DOCKETING & DEADLINE CONTROL

A patent agent was suspended six months after an \$800 design application went abandoned over an ignored missing-parts notice.

3-1 Do you use a dedicated patent docketing system? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-2 Does a second person verify every docket entry? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-3 Are clients told in writing of every office action? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-4 Are clients told in writing of every missing-parts notice? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-5 Do you get written client instructions before letting an application go abandoned? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-6 Are PCT and Paris Convention deadlines on the same docket? ☐ Yes ☐ No
 IF NO, EXPLAIN

3-7 Do you track maintenance fees after a patent issues? ☐ Yes ☐ No
IF YES, EXPLAIN

3-8 Has a client application gone abandoned unintentionally? ☐ Yes ☐ No
IF YES, EXPLAIN

4 EXPOSURE & RISK QUESTIONS — CANDOR, ENTITY STATUS & ACCOUNT SECURITY

A patent agent was reprimanded after a nonpractitioner used her e-signature on about 4,000 applications with false micro-entity claims.

4-1 Do you document a reasonable inquiry before signing each micro-entity certification? ☐ Yes ☐ No
IF NO, EXPLAIN

4-2 Do you document a reasonable inquiry before signing each small-entity certification? ☐ Yes ☐ No
IF NO, EXPLAIN

4-3 Is your USPTO.gov account protected by multi-factor authentication? ☐ Yes ☐ No
IF NO, EXPLAIN

4-4 Do only you apply your electronic signature? ☐ Yes ☐ No
IF NO, EXPLAIN

4-5 Is there a written procedure for Information Disclosure Statements? ☐ Yes ☐ No
IF NO, EXPLAIN

4-6 Do you confirm inventorship in writing with the client before filing? ☐ Yes ☐ No
IF NO, EXPLAIN

4-7 Do you verify filings referred by foreign associates independently? ☐ Yes ☐ No
IF NO, EXPLAIN

4-8 Have you received an OED request for information, warning, or discipline? ☐ Yes ☐ No
IF YES, EXPLAIN

5 PAYROLL, SALES & REVENUE

ANNUAL REVENUE (\$)	LARGEST SINGLE CONTRACT (\$)	SUBCONTRACTOR COSTS (\$)	TOTAL ANNUAL PAYROLL (\$)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

6 PRIOR INSURANCE & LOSS HISTORY

CURRENT E&O CARRIER / LIMITS	DEDUCTIBLE / RETROACTIVE DATE	EXPIRATION DATE
<input type="text"/>	<input type="text"/>	<input type="text"/>

DATE OF CLAIM	DESCRIPTION	TOTAL INCURRED (\$)	OPEN / CLOSED
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

6-1 Has a claim alleged lost patent rights from a missed deadline? ☐ Yes ☐ No
IF YES, EXPLAIN

6-2 Has a client refused to pay or sued over fees in the past 5 years? ☐ Yes ☐ No
IF YES, EXPLAIN

6-3 Has any license, certification, or registration been suspended, disciplined, or investigated? ☐ Yes ☐ No
IF YES, EXPLAIN

6-4 Has any coverage been declined, cancelled, or non-renewed? ☐ Yes ☐ No
IF YES, EXPLAIN

6-5 Is the applicant aware of any incident or circumstance that could give rise to a claim? ☐ Yes ☐ No
IF YES, EXPLAIN

7 RISK MANAGEMENT & SAFETY

7-1 Are client files and work papers retained for a set period under a written policy? ☐ Yes ☐ No
IF NO, EXPLAIN

7-2 Is multifactor authentication required for email and client data? ☐ Yes ☐ No
IF NO, EXPLAIN

7-3 Are USPTO fee payments reconciled monthly? ☐ Yes ☐ No
IF NO, EXPLAIN

7-4 Is the docket backed up off site? ☐ Yes ☐ No
IF NO, EXPLAIN

8 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, may be committing a fraudulent insurance act, which is a crime and may subject such person to criminal and civil penalties. State-specific fraud warnings appear on the insurer's application.

APPLICANT / AUTHORIZED SIGNATURE (TYPE FULL NAME)	TITLE	DATE
<input type="text"/>	<input type="text"/>	<input type="text"/>
PRODUCER — CORY WASHINGTON & CO. LLC	PRODUCER SIGNATURE (TYPE FULL NAME)	DATE
<input type="text"/>	<input type="text"/>	<input type="text"/>