



CALIFORNIA RISK MANAGEMENT QUESTIONNAIRE

To be completed by all size firms:

Please provide additional details in support of a response to any question on a separate attachment.

1. Have you sued any client for fees in the past five years? (If Yes, please explain) Yes No
2. Does the firm utilize an electronic docket control system? Yes No
3. Does the firm have an electronic conflict avoidance system? Yes No
4. Does the firm use engagement letters on all matters? Yes No
5. Does the firm use non-engagement letters on matters not undertaken? Yes No
6. Does the firm have a formal system to respond to complaints? Yes No
7. Does the firm use scope of service letters when taking on new matters for existing clients? Yes No
8. Does the firm outline and reduce to writing its billing policy and procedures when agreeing to represent a new client? Yes No
9. Do you share office space with attorneys not listed on your letterhead? Yes No
If Yes, do you share clients or support staff? Yes No

INFORMATION SECURITY

10. Does the firm store or handle records containing personal and private, financial, or confidential information for clients including but not limited to the following? Yes No
 - Social security number
 - Medical or healthcare data including protected health information
 - Any account number, credit or debit card number, and if applicable, any associated password or security code that would permit access to the financial account
 - Proprietary business information
 - 3rd Party confidential information
11. Is firewall technology used to prevent unauthorized access to and from internal networks and external networks? Yes No
If Yes:
 1. Are firewall configurations updated regularly? Yes No
 2. Is any data stored or retained outside of the firewall (while not in transit)? Yes No
12. Is anti-virus software installed on all computers/servers that connect to your network and updated regularly? Yes No
13. What third-party systems do you use to maintain network security? _____

14. During the last 3 years, have you had any information security breaches including unauthorized access, unauthorized use, denial of service attack, breach, theft of data, fraud, electronic vandalism, sabotage or other security events? Yes No
If Yes, please explain on a separate attachment.
15. Does the firm handle or expect to handle wire transfers? Yes No
If Yes, does the firm have a policy requiring that all attorneys and employees (if applicable) verify via telephone call to an established contact at the original source that any change to delivery or wire instructions is legitimate? Yes No
16. Does the firm have a computer back-up system in the event of a disruption or interruption of business? Yes No

To be completed by all solo practitioners:

1. Are you working either solely for a governmental agency or solely as Of Counsel/ Independent Contractor for a law firm other than the applicant law firm? Yes No
If Yes, please explain
2. Do you have a back-up attorney in the event of leave of absence? Yes No
3. Are you currently listed as a backup for another firm on their application? Yes No

To be completed by all firms with 6 attorneys or more:

TRAINING AND SUPERVISION

1. Does the firm maintain a training program for new associates? Yes No
2. Are all associates of the firm under the direct supervision of a partner or officer? Yes No
3. Are all associates of the firm subject to periodic, formalized review? Yes No

MANAGEMENT

4. Is the firm managed by a management/executive committee? Yes No
5. Does the firm employ an administrator? Yes No
6. Does the firm (or departments within the firm) conduct periodic meetings involving all lawyers of the firm (or department)? Yes No
7. Is a designated partner or officer of the firm responsible for every matter in the office? Yes No
8. Does the firm use a peer review system to evaluate the performance of its partners or officers? Yes No
9. Are departing lawyers' files reviewed by a partner or officer of the firm? Yes No
10. Does the firm engage independent contractors and/or per diem lawyers to render service on behalf of the firm? Yes No

If Yes, please provide details of such engagements on a separate attachment

INTERNAL CONTROLS

- 11. Does the firm have written partner/shareholder compensation guidelines? Yes No
- 12. Does the firm have a written partner/shareholder agreement? Yes No
- 13. Do suits for collection of fees have to be approved by a committee or at least two partners or officers? Yes No
- 14. Does the firm have a system requiring complaints by either a client or other counsel to be reviewed by a partner or officer other than the lawyer about whom the complaint is made? Yes No
- 15. Does the firm require independent review of high exposure work product, such as third-party opinion letters, securities issuances, and settlement advice? Yes No
- 16. Does the firm have formal, written procedures regarding the maintenance of custodial accounts? Yes No
- 17. Does the firm have formal, written procedures regarding the maintenance of and use of escrow funds? Yes No

OUTSIDE INTERESTS (Check N/A where appropriate if the firm does not permit such outside interest)

- 18. Does the firm have a policy governing the trading and/or investing by its lawyers in securities of clients and the disclosure of such trading and/or investing to the firm? Yes No N/A
- 19. Does the firm have a policy governing transactions for clients when its lawyers own or serve as fiduciaries, directors, officers, trustees, consultants, employees or partners of, or exercise any fiduciary management control over, such clients? Yes No N/A
- 20. Does the service on a client's Board of Directors have to be approved by a committee or at least two partners or officers of the firm? Yes No N/A

NEW BUSINESS

- 21. Are new clients subject to the approval of a committee or designated partner or officer other than the lawyer generating the business? Yes No
- 22. Does the firm have a procedure for evaluating prospective client's financial strength, management expertise, reputation, and history of changing lawyers? Yes No
- 23. Is information as to all new clients made available on at least a weekly basis to all lawyers of the firm? Yes No

Signature of Owner, Officer or Partner _____	Title	Date
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NOTICE TO CALIFORNIA APPLICANTS: For your protection California law requires the following to appear on this form. Any person who knowingly presents false or fraudulent information to obtain or amend insurance coverage or to make a claim for the payment of a loss is guilty of a crime and may be subject to fines and confinement in state prison.