



Canadian Lawyers Liability Assurance Society

2022/2023 Renewal Application for
Excess Professional Liability Insurance

This application is made by the undersigned member (the "Firm") of the Canadian Lawyers Liability Assurance Society ("CLLAS") for issuance by CLLAS to the Firm of policies of professional liability insurance.

Note: The policies applied for are "claims made" policies and only provide coverage for claims first made against the Insured during the policy period.

Please answer **ALL** questions. Where space to answer is insufficient, attach a separate sheet.

1. Name of Firm (Named Insured): Davies Ward Phillips & Vineberg LLP

2. Address of principal office: 155 Wellington Street West
Toronto, ON M5V 3J7

Phone: (416) 863-0900 Fax: (416) 863-0871

3. Address, phone, and fax numbers of other office(s):

4. Management or service companies, date(s) established, and services provided:

5. Is the Firm a multi-disciplinary partnership ("MDP")? ☐ yes ☐ no

If "yes", provide date MDP was established and name the non-lawyer partners and their respective disciplines.



6. Since last year's CLLAS application, has the name of the Firm been changed, or has any firm merged into the Firm? If so, give full particulars (including the number of lawyers merged into the Firm in each such situation) unless previously provided.

7. Attached, as Appendix A, is a list of the Firm's predecessor firms resulting from mergers since July 1, 1987. Is the list complete?

☐ yes ☐ no

If "no", please provide update.

Note: A predecessor firm is one a) which has undergone dissolution; and b) in which more than 50% of the partners and employed lawyers became partners and employed lawyers of the Firm.

8. Please complete Appendices B and C to provide the following details as of February 15, 2022:
- a) Number of lawyers (including partners, employed lawyers, counsels/of counsels, and lawyer consultants).
 - b) Number of patent & trademark agents (who are not lawyers).
 - c) Number of other non-lawyer consultants.
 - d) Number of paralegals.
 - e) Number of other employees.
 - f) If applicable, the number of lawyers who are not partners, employed lawyers, counsels/of counsels, or lawyer consultants of the Firm who, directly or indirectly, provide services to professional corporations which are partners of the Firm. Please identify such individuals and professional corporations as requested in Appendix B.

Note: A common professional corporation structure is one where the lawyer remains a partner of the firm but the firm contracts with a professional corporation to provide the services of the partner to the firm via the professional corporation. Those lawyers would be accounted for in a) above. Question f) is intended to address an alternative structure whereby the professional corporation itself is a partner of the firm and it contracts directly or via another professional corporation with a lawyer to provide professional services.



9. Please show the Firm's practice split by indicating the approximate percentage of billings for the following areas of law:

	<u>This Year</u>	<u>Last Year</u>
a) Corporate and Commercial Law	_____ %	31 %
b) Criminal Law	_____ %	0 %
c) Family Law	_____ %	0 %
d) Intellectual Property	_____ %	0 %
e) Labour Law	_____ %	0 %
f) Litigation	_____ %	13 %
g) Real Estate	_____ %	11 %
h) Securities Law	_____ %	20 %
i) Tax Matters	_____ %	12 %
j) Wills, Estates, Trust	_____ %	2 %
k) Other (please specify)	_____ %	11 %

10. Have any of the lawyers, or non-lawyer consultants listed in Appendices B and C, or former lawyers, or former non-lawyer consultants of the Firm been the subject of disciplinary proceedings, suspended, or disbarred from practice since last year's CLLAS application?

☐ yes ☐ no

If "yes", please provide full details:

11. Attached, as Appendix D, is a description of the "Associated Firms" and "Umbrella Firms" which are identified in the Associated Firm Endorsement (Endorsement No. 1) of the current CLLAS Primary Policy. Please verify and update where appropriate and advise CLLAS of any anticipated changes.

12. Canadian law society programs may restrict coverage if Professional Services are provided outside of Canada or if the Professional Services relate to non-Canadian law. The CLLAS Primary Policy also excludes, coverage for lawyers providing Professional Services from a U.S. office, as well as the practice of non-Canadian law. Please provide details of such services in Appendix E.

13. Attached, as Appendix F, is a schedule of claims and notices which have been given to the applicable law society and CLLAS as of December 31, 2021. Please verify and provide any changes in status. All known claims or notices that are not on the schedule, including those reported to any underlying insurance carrier, should be reported up to the date of this application. **Notices on this application are not considered proper notice of a claim.**

If applicable, CLLAS will also require an update on claims of your predecessor firms which were reported prior to any merger which are paid or currently reserved in excess of \$500,000.



Note: All claims or notices require the following details: name of lawyer, name of claimant, date claim reported, error date, date claim closed (if applicable), a brief description of the claim including damages sought, amount paid (legal & indemnity, and amount reserved (legal & indemnity).

14. Will the Firm purchase coverage under the CLLAS optional excess layer?

☐ yes ☐ no

If "yes", please indicate preferred limit option:

☐ \$10M xs \$160M ☐ \$20M xs \$160M
☐ \$30M xs \$160M ☐ \$40M xs \$160M
☐ \$50M xs \$160M ☐ \$60M xs \$160M

If you currently buy the maximum limits available (i.e., \$250MM including the umbrella layer) would you be interested in purchasing an additional umbrella layer of \$30MM?

☐ yes ☐ no

15. Under Appendix G, please provide a full description of the Firm's most current risk management policies and procedures or, if appropriate, an update to your response to Appendix G of last year's renewal application.

16. Please complete Appendix H to provide underwriting information with respect to cyber liability.

17. Please attach, with Appendix I, a copy of the Firm's 2022 Professional Liability Insurance Application and Exemption Form submitted to LawPro.

The undersigned hereby declares that the above statements and particulars, including those set forth in Appendices A through I, are true and that no material facts have been omitted, suppressed or misstated and that this application, which is deemed to include the information from any previous applications completed by the Firm for CLLAS, shall be the basis of each of the insurance contracts with CLLAS.

Signature: 
(Must be signed by a Partner of the Firm)

Name of Signatory: _____
(Who shall be the designated contact person between CLLAS & the Firm as respects this insurance.)

Date: _____

SCHEDULE A

3. Addresses of Applicant's other offices:

Montreal:

1501 avenue McGill
26e étage
Montréal, Québec H3A 3N9

Tel: 514.841.6400
Fax: 514.841.6499

New York:

900 Third Avenue
24th Floor
New York, NY 10022

Tel: 212.308.8866
Fax: 212.308.0132

SCHEDULE B

4. Management or Service Companies:

DWB Services Limited Partnership (Toronto Service Company)
DWPV Services Limited Partnership (Toronto Service Company)
DWB Management Limited (Toronto Service Company)
DWPV Management Limited (Toronto Service Company)
Davies Ward & Beck Foundation (Toronto based charitable foundation)
Davies Ward Phillips & Vineberg Foundation (Toronto based charitable foundation)
DWB Management Services Inc. (General partner of DWB Services Limited Partnership)
DWPV Management Services Inc. (General partner of DWPV Services Limited Partnership)
GP&V Management Limited Partnership (Montreal Service Company)
DWPV (Québec) Management L.P.
Services GP&V Management Limited Partnership (Montreal Service Company)
Services GP&V SEC (Montreal Service Company)
Services DWPV (Québec) S.E.C.
Société en Commandite Services GP&V (Montreal Service Company)
GP&V Management Inc.
DWPV (Québec) Management Inc.
Gestion GP&V Inc. (General Partner of GP&V Management Limited Partnership)
Gestion DWPV (Québec) Inc.
P&V Management Ltd.
Gestion P&V Ltée
GP&V Foundation Inc. (Montreal based charitable foundation)
DWPV (Québec) Fondation Inc.
Foundation GP&V Inc. (Montreal based charitable foundation)
Fondation DWPV (Québec) Inc.
Obsjac Services Ltd.
Services Obsjac Ltée
Narbo Investment Corp. (nominee company used by Montreal office for certain confidential matters.

APPENDIX A

Predecessor Firms

Name of Firm

Davies Ward Phillips & Vineberg LLP

Note: A predecessor firm is one a) which has undergone dissolution; and b) in which more than 50% of the partners and employed lawyers became partners and employed lawyers of the Firm.

[illegible]

APPENDIX B

Active Members of the Firm as of February 15, 2022

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

February 15, 2022

	CANADA					
	<u>B.C.</u>	<u>Alberta</u>	<u>Ontario</u>	<u>Quebec</u>	<u>Nova Scotia</u>	<u>Other Provinces</u> (Please specify, change heading)
a) No. of Lawyers ^{/1}			165	103		
b) No. of Patent & Trademark Agents ^{/2}						
c) No. of Non-lawyer Consultants ^{/3}						
d) No. of Paralegals			26	20		
e) No. of Other Employees			192	136		
f) No. of lawyers who are not employees of the Firm who, directly or indirectly, provide services to professional corporations which are partners of the Firm ^{/4}						

OUTSIDE OF CANADA ^{/5}				
<u>U.S.</u>	<u>China</u>	<u>South Africa</u>	<u>Other Countries</u> (Please specify, change heading)	<u>Other Countries</u> (Please specify, change heading)
15				
2				
11				

/1 Including partners, employed lawyers, counsels/of counsels and lawyer consultants

/2 These are not lawyers.

/3 Please complete Appendix C if individuals are reported under this category

/4 Lawyers reported here should not be included under a).(See note at Question 8.f) of the application.;

/5 Please complete Question 3 of Appendix E to provide further information on lawyers reported under these columns

Please attach a list of the lawyers reported under a) above, showing in each case their full name, date of call, date joined the Firm and, if applicable, date became partner.

Please attach a list of the names of the individuals reported under f) above, together with the names of the professional corporations to which they provide services.

If underlying insurance is purchased outside any Canadian mandatory law society program for lawyers, please provide full details under Appendix E, Question 4.

If members of the Firm, either alone or with others, engage in the conduct of any profession or business other than the practice of law (e.g. financial management, mortgage brokering or other consulting; underwriting or brokering of securities or investment banking activities; real estate appraisal; actuarial analysis) either directly or indirectly as an agent, employee or partner of any organization, please provide full particulars such as percentage of practice other than Law.

As at February 15, 2022

Toronto

Unit Partners	73	
Non-Unit Partners	23	
Associates	52	
Support Lawyers	2	
Counsel	12	
Affiliated Lawyers	3	
Total/Per Office	165	

Member		Office
UNIT PARTNERS		
Alexander	Anthony	Toronto
Anderson	Christopher	Toronto
Armstrong	Neal H.	Toronto
Atkinson	Aaron	Toronto
Banicevic	Anita	Toronto
Baron	Tim	Toronto
Barry	Patrick G.	Toronto
Basra	Sarbjit S.	Toronto
Bodrug	John D.	Toronto
Buchner	William	Toronto
Burke	Andrea L.	Toronto
Carlson	Andrew	Toronto
Colden	Julie	Toronto
Comeau	Gilles	Toronto
Crosbie	R. Ian	Toronto
Cseh	Chantelle	Toronto
Cutler	Steven	Toronto
Dinning	James	Toronto
Ellis	Andrew	Toronto
Forbes	Sandra A.	Toronto
Ford	Sharon	Toronto
Frankel	Steven	Toronto
Fridman	Richard	Toronto
Greenspoon	Kevin	Toronto
Hyman	Scott R.	Toronto
Jamison	Brooke M.	Toronto
Katz	Mark C.	Toronto
Kearney	Elisa K.	Toronto
Kuretzky	Joshua	Toronto
Littlejohn	Maureen	Toronto
Lombardi	Gabriella	Toronto
Longhurst	Jennifer	Toronto
MacParland	Natasha	Toronto
Martin	Steven	Toronto
Martorelli	Peter	Toronto
McAleese	Seann	Toronto
Mercier	Vincent A.	Toronto
Mielcarek	Pawel	Toronto
Milne-Smith	Matthew	Toronto
Murphy	Robert S.	Toronto
Olasker	Patricia	Toronto
Osadchuk	Dale	Toronto
Pearlman	Daniel	Toronto

Pennycook	Carol D.	Toronto
Pike	Alexandria J.	Toronto
Powell	Sarah V.	Toronto
Prieto	Jennifer	Toronto
Reiner	David	Toronto
Renner	Natalie	Toronto
Ricci	Derek	Toronto
Rizvi	Zain	Toronto
Roth	Elie	Toronto
Rusaw	Cameron M.	Toronto
Sarabia	Luis	Toronto
Schwill	Robin B.	Toronto
Scoler	Joel M.	Toronto
Seifred	Brett	Toronto
Shishler	Melanie	Toronto
Solinger	Jared	Toronto
Sood	Bobby (Jitendra Kumar)	Toronto
Southam	Gregory	Toronto
Spadaro	Anthony	Toronto
Stacey	Gillian R.	Toronto
Stapley	Jason	Toronto
Thomas	Patrice	Toronto
Thomson	Kent E.	Toronto
Tingley	Charles	Toronto
Ulmer	John M.	Toronto
Upshall	Robin	Toronto
Vesey	Derek R.G.	Toronto
Williams	Nicholas C.	Toronto
Wilson	David	Toronto
Youdan	Timothy G.	Toronto

NON UNIT PARTNERS

Bauer	Robert T.	Toronto
Bullock	Jessica	Toronto
Comstock	Devon	Toronto
Disney	Michael	Toronto
Gotzeva	Ivana	Toronto
Grossklaus	Jennifer	Toronto
Howard	Gregory J.	Toronto
Koszegi	Melanie	Toronto
Lamarre	Paul	Toronto
Lubetsky	Michael	Toronto
Manji-Knight	Alysha	Toronto
McReynolds	D. Shawn	Toronto
O'Shea	James	Toronto
Paszti	Laila	Toronto
Peterson	Daniel	Toronto
Rawle	Geoffrey	Toronto
Rubin	Ray	Toronto
Ruby	Stephen S.	Toronto
Sethi	Chanakya	Toronto
Spence	Kristine	Toronto
Uza	Emily	Toronto
White	David	Toronto
Willard	Steven	Toronto

ASSOCIATES

Abrahamson	Ryan	Toronto
Aziz	John	Toronto
Bahous	Diana	Toronto
Barabash	Robyn	Toronto
Berger	Stuart	Toronto
Birnbaum	Adam	Toronto
Biroo	Jerome	Toronto
Brazzell	Katrina	Toronto
Cormack	Sarah	Toronto
Dalby	Stephen	Toronto
DiPonio	Joseph	Toronto
Dishy	Eytan	Toronto
Elharrar	Sarah	Toronto
Finn	Brittany	Toronto
Franklin	Jack	Toronto
Freilich	Eric	Toronto
Gao	Rui	Toronto
Hershenfeld	Zach	Toronto
Hollenberg	Joshua	Toronto
Kirsh	Trevor	Toronto
Li	Chenyang	Toronto
Lobb	Catherine	Toronto
Joblonkay	Darren	Toronto
Machum	Henry	Toronto
Manucha	Ryan	Toronto
May	Trevor	Toronto
Mazzuocco	Kate	Toronto
McMaster	Alisa	Toronto
Mihalik	Andrew	Toronto
Milner	Stefanie	Toronto
Naqvi	Zahra	Toronto
Nash	Simone	Toronto
Nguyen	Ha	Toronto
O'Sullivan	Maura	Toronto
Park	Rachel	Toronto
Pechersky	Dajena	Toronto
Percy	Megan	Toronto
Pontone	Marc	Toronto
Prezzemoli	Pietro	Toronto
Richard	Guy-Etienne	Toronto
Rulli	Luigi	Toronto
Sherman	Matthew	Toronto
Sherrington	Shimon	Toronto
Sibai	Ghaith	Toronto
Sood	Shefali	Toronto
Stevenson	Teraleigh	Toronto
Sullivan	Katie	Toronto
Taschereau	Mathieu	Toronto
Verma	Avani	Toronto
Wierenga	Todd	Toronto
Wolfe	Ryan	Toronto
Yiu	Cadie	Toronto

SUPPORT LAWYER (SECURITIES)

Valoncini	Dario	Toronto
Zhang	Ginger	Toronto

--	--	--

COUNSEL

Addy	George N	Toronto
Bilyk	Jonathan	Toronto
Brown	David A.	Toronto
Franks	Jaimie	Toronto
Goldlist	A. Gerold	Toronto
Han	Sabina	Toronto
Hancas	Ioana	Toronto
Lavi	Jordan	Toronto
Shiff	Arthur	Toronto
Silver	Zachary	Toronto
Turner	Geoffrey S.	Toronto
Uster	Melissa	Toronto

AFFILIATED LAWYERS

Ben-Ishai	Stephanie	Toronto
McCamus	John	Toronto
Puri	Poonam	Toronto

As at February 15, 2022

MONTREAL		
Unit Partners		42
Non-Unit Partners		16
Associates		36
Counsel		9
Total		103

Member		Office
UNIT PARTNERS		
Arquin	Anthony	Montreal
Beauregard	Élise	Montreal
Bellemare	Marie-Claude	Montreal
Benhamou	Elias	Montreal
Bloom	Brian	Montreal
Boutin	Marc-André	Montreal
Brock	William	Montreal
Bussi�res	H�l�ne	Montreal
Cameron	Cara	Montreal
D�silets	Olivier	Montreal
Du Pont	Guy	Montreal
Ferland	Denis	Montreal
Gagaoudakis	Fotini	Montreal
Gaudreau Duval	Marc Andr�	Montreal
G�linas	Michel	Montreal
Girard	Julie	Montreal
Goyette	Nathalie	Montreal
Greenstone	Elliot A.	Montreal
Groleau	Jean-Philippe	Montreal
Jarjour	Joseph	Montreal
Johnson	Philippe	Montreal
Kandev	Michael N.	Montreal
Kujavsky	Brian	Montreal
Lachance	Christian	Montreal
Lavery Lepage	Gabriel	Montreal
Lennard	John	Montreal
Morin	Nicolas	Montreal
Moubayed	L�on H.	Montreal
Nadeau	Myl�ne	Montreal
O'Neill	Louis-Martin	Montreal
Pollack	George J.	Montreal
Rodrigo	Nick	Montreal
Rosen	Hillel W.	Montreal
Rosenberg	William	Montreal
Roy	S�bastien	Montreal
Rudick	Rhonda	Montreal
Ruf	Franziska J.	Montreal
Simard	Florence	Montreal
Th�riault	S�bastien	Montreal
Vaillancourt	Marie-Emmanuelle	Montreal
Vineberg	Justin D.	Montreal

Wolfensohn	Dan	Montreal
------------	-----	----------

NON UNIT PARTNERS

Bouchard	Lucien	Montreal
Detière	Laurence	Montreal
Dompierre	Marie-France	Montreal
Dupuis	Andrea L.	Montreal
Goldman	Shayna	Montreal
Khazam	Olivia	Montreal
Lalani	Faiz	Montreal
Latreille	Marie-Andrée	Montreal
Le Bihan	Antoine	Montreal
Mendell	Peter	Montreal
Omer	Corey	Montreal
Patry	Louise	Montreal
Pendenza	Vanessa	Montreal
Robichaud	Élisabeth	Montreal
Samson	Sylvie	Montreal
Vineberg	Robert S.	Montreal

ASSOCIATES

Allard	Marc Pietro	Montreal
Archambault	Félix	Montreal
Boretsky	Jesse	Montreal
Brathwaite	Brigitte	Montreal
Charlebois	Guillaume	Montreal
Cheaib	Sammy	Montreal
D'Astous	Chloé	Montreal
Doyon	Amélie	Montreal
Godin	Jonathan	Montreal
Hallé-Hannan	Damien	Montreal
Hamel	Alexandre	Montreal
Heilke	Matthias	Montreal
Hunter-Meunier	Ariane	Montreal
Jarvis	Benjamin	Montreal
Kudhail	Taj	Montreal
Lantoin	Pierre	Montreal
Lehouillier	Amélie	Montreal
Lemieux	Joseph-Anaël	Montreal
Lowrie	Tyson	Montreal
Major	Jessica	Montreal
Mathieu	Lucas	Montreal
Ménard	Caroline	Montreal
Ngo	Kimvy	Montreal
Noiseux	Éloïse	Montreal
Parent-Harvey	Caroline	Montreal
Proulx	Nathalie	Montreal
Rosenov Stoychev	Samuil	Montreal
Teboul	Jean	Montreal
Thiboutot	Martin	Montreal
Toledano	Hannah	Montreal
Trougakos	James	Montreal
Trudeau	Geneviève	Montreal
Villeneuve	Anne-Sophie	Montreal
Wiseman	Alyssa	Montreal

Yoffe	Arianna	Montreal
Zheng	Yixia	Montreal
COUNSEL		
Archambault	Benoît	Montreal
Arsenault	Maurice	Montreal
Boidman	Nathan	Montreal
Cherney	Richard	Montreal
Fish	Morris	Montreal
Gaumont-Carignan	Véronique	Montreal
Minzberg	Samuel	Montreal
Pignoly	Agnes	Montreal
Themens	Pierre-André	Montreal

As at February 15, 2022

NEW YORK		
Unit Partners	7	
Non-Unit Partners	1	
Associates	5	
Counsel	2	
Total/Per Office	15	

Member		Office
UNIT PARTNERS		
Glicklich	Peter	New York
Lee	Jennifer	New York
Levin	Steven H.	New York
Nadler	Jeffrey	New York
Servatka	Nir	New York
Watkins	Paul	New York
Zelinger	Chaim	New York
NON UNIT PARTNERS		
Berger	Marc A.	New York
ASSOCIATES		
Hand	Thomas	New York
Kling	Zachary	New York
Larose-Jodoin	Charles	New York
Simion	Valerie	New York
Vincelli	Stephen	New York
COUNSEL		
Heching	Harry	New York
Martin	Heath	New York

APPENDIX C

**Active Non-Lawyer Consultants Of The Firm As Of February 15, 2022
(Excluding Patent & Trademark Agents)**

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

February 15, 2022

SECTION A

[illegible]

/1 If underlying insurance is purchased, please complete Section B.

/2 Please complete this column ONLY for individuals who are not acting under the supervision of a lawyer AND FOR THAT PORTION OF TIME THE INDIVIDUAL IS NOT ACTING UNDER THE SUPERVISION OF A LAWYER.

APPENDIX C

Active Non-Lawyer Consultants Of The Firm As Of February 15, 2022
(Excluding Patent & Trademark Agents)

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

February 15, 2022

SECTION B

Please provide the following details on the underlying insurances purchased and attach a copy of the policies:

Type of Exposure:	Professional Liability Insurance
Insurance Carrier:	
Policy Number:	
Period of Insurance:	
Retroactive Date:	
Limit (Per Claim):	
Limit (Aggregate):	

Type of Exposure:	
Insurance Carrier:	
Policy Number:	
Period of Insurance:	
Retroactive Date:	
Limit (Per Claim):	
Limit (Aggregate):	

APPENDIX D

"Associated Firms" and "Umbrella Firms"

Name of Firm

Davies Ward Phillips & Vineberg LLP

1	The Named Insured under the CLLAS policies prior to February 1, 2001 was Davies, Ward & Beck LLP.
2	On February 1, 2001, Davies, Ward & Beck LLP merged with Goodman Phillips & Vineberg of Montreal. Effective the same day, the Named Insured was amended to Davies Ward Phillips and Vineberg LLP. The firm has additional Named Insureds as follows:
	Davies Ward Phillips & Vineberg LLP (an Ontario partnership)
	Davies Ward Phillips & Vineberg S.E.N.C.R.L., s.r.l.
	Davies Ward Phillips & Vineberg s.r.l.
	Davies Ward Phillips & Vineberg LLP (a New York partnership)
	Davies Ward Phillips & Vineberg
	Davies, Ward & Beck LLP
	Davies Ward & Beck
	DWB Services Limited Partnership (Toronto Service Company)
	DWPV Services Limited Partnership (Toronto Service Company)
	DWB Management Limited (Toronto Service Company)
	DWPV Management Limited (Toronto Service Company)
	Davies Ward & Beck Foundation (Toronto based charitable foundation)
	Davies Ward Phillips & Vineberg Foundation (Toronto based charitable foundation)
	DWB Management Services Inc. (General partner of DWB Services Limited Partnership)
	DWPV Management Services Inc. (General partner of DWPV Services Limited Partnership)
	Goodman Phillips & Vineberg G.P.
	Goodman Phillips & Vineberg S.E.N.C.

Professional Services Provided Relating to Non-Canadian Law & Professional Services Provided In the U.S. & Outside of Canada

Davies Ward Phillips & Vineberg LLP

February 15, 2022

Please provide the following information on lawyers primarily resident in Canada who provide Professional Services relating to non-Canadian law (not including those which are incidental to the practice of Canadian law). Please only report on lawyers with more than 5% of docketed time in this category.

[illegible]

For lawyers practicing both Canadian and Non-Canadian Law, please provide a split between Canadian and Non-Canadian. Note that in cases where a split is not available, a 50% 50% split will be assumed.

Please provide the following information on all lawyers reported in Appendix B under the “Outside of Canada” column.

[illegible]

APPENDIX E

Professional Services Provided Relating to Non-Canadian Law & Professional Services Provided In the U.S. & Outside of Canada

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

February 15, 2022

4 Other Insurance

For the exposures identified in Questions 1, 2 and 3 above, please provide details of specific insurance protection (e.g. coverage provided for a non-Canadian office or by a non-Canadian law society) as well as a copy of the policies.

Type of Exposure:	Professional Liability Insurance
Insurance Carrier:	Please see attached
Policy Number:	592420426
Period of Insurance:	July 1, 2021 to July 1, 2022
Retroactive Date:	
Limit (Per Claim):	US\$30,000,000
Limit (Aggregate):	US\$30,000,000

Type of Exposure:	
Insurance Carrier:	
Policy Number:	
Period of Insurance:	
Retroactive Date:	
Limit (Per Claim):	
Limit (Aggregate):	

Type of Exposure:	
Insurance Carrier:	
Policy Number:	
Period of Insurance:	
Retroactive Date:	
Limit (Per Claim):	
Limit (Aggregate):	

Type of Exposure:	
Insurance Carrier:	
Policy Number:	
Period of Insurance:	
Retroactive Date:	
Limit (Per Claim):	
Limit (Aggregate):	



LARGE LAWYERS DECLARATIONS

Policy Number: 592420426

NOTICE: THIS IS A CLAIMS MADE POLICY, WHICH APPLIES ONLY TO "CLAIMS" FIRST MADE DURING THE "POLICY PERIOD," OR ANY EXTENDED REPORTING PERIOD. THE LIMIT OF LIABILITY TO PAY DAMAGES OR SETTLEMENTS WILL BE REDUCED AND MAY BE EXHAUSTED BY "DEFENSE COSTS," AND "DEFENSE COSTS" WILL BE APPLIED AGAINST THE RETENTION AMOUNT. IN NO EVENT WILL THE COMPANY BE LIABLE FOR "DEFENSE COSTS" OR THE AMOUNT OF ANY JUDGMENT OR SETTLEMENT IN EXCESS OF THE APPLICABLE LIMIT OF LIABILITY. THE COVERAGE AFFORDED UNDER THIS POLICY DIFFERS IN SOME RESPECTS FROM THAT AFFORDED UNDER OTHER POLICIES. READ THE ENTIRE POLICY CAREFULLY.

- ITEM 1. **FIRM AND PRINCIPAL ADDRESS:**
Davies Ward Phillips & Vineberg LLP (a New York Partnership)
900 Third Avenue, 24th Floor
New York, NY 10022
- ITEM 2. **PREDECESSOR FIRM(S):** N/A
- ITEM 3. **POLICY PERIOD:**
(A) Inception Date: July 1, 2021
(B) Expiration Date: July 1, 2022 At 12:01 a.m. both dates at the Address in ITEM 1.
- ITEM 4. **LIMITS OF LIABILITY** (inclusive of **Defense Costs**):
(A) US \$30,000,000 maximum limit of liability each **Claim**
(B) US \$30,000,000 maximum aggregate limit of liability under this Policy for all **Claims**.
- ITEM 5. **RETENTION AMOUNT:** US \$200,000 per claim for U.S. work
- ITEM 6. **EXTENDED REPORTING PERIOD:**
(A) Additional Period (B) Additional Premium
1 Year 150% of Annual Premium
2 Year 225% of Annual Premium
3 Year 300% of Annual Premium
- ITEM 7. **PENDING OR PRIOR DATE:** July 1, 2007 at 12:01 a.m. at the Address in ITEM 1.
- ITEM 8. **PREMIUM:** \$203,425
- ITEM 9. **INSURERS and PARTICIPATIONS**

Columbia Casualty Company:	25.00% of 100.00% of the LIMIT and PREMIUM
Berkshire Hathaway International Insurance Limited:	25.00% of 100.00% of the LIMIT and PREMIUM
Indian Harbor Insurance Company:	16.50% of 100.00% of the LIMIT and PREMIUM
Aspen Insurance UK Limited:	16.50% of 100.00% of the LIMIT and PREMIUM
Underwriters at Lloyds, London:	17.00% of 100.00% of the LIMIT and PREMIUM



These Declarations, the completed signed Application and this Policy with Endorsements shall constitute the contract between the Insured and Columbia Casualty Company (the "Company"). In witness whereof, the Company issuing this Policy has caused this Policy to be signed by its authorized officers, but it shall not be valid unless also signed by a duly authorized representative of the Company.

07/14/2021

Date

A handwritten signature in black ink, appearing to be "J. M. M.", is written above a horizontal line.

Authorized Representative of
Columbia Casualty Company



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

In consideration of payment of the premium and subject to the Declarations, limitations, conditions, provisions and other terms of this Policy, the Company and the **Insured** agree as follows:

I. **INSURING CLAUSE**

The Company shall pay **Loss** on behalf of an **Insured** on account of any **Claim** first made against such **Insured** or **Potential Claim** arising during the **Policy Period** or, if exercised, during the Extended Reporting Period, for a **Wrongful Act** committed by the **Insured** before or during the **Policy Period**.

II. **DEFINITIONS**

Application means all signed applications, including attachments and other materials submitted therewith or referenced or incorporated therein, submitted by or on behalf of the **Insured** to the Company for this Policy or for any policy of which this Policy is a direct or indirect renewal or replacement. All such applications, attachments and materials are deemed attached to, incorporated into and made a part of this Policy.

The term "attorney" shall be read to include "attorney, barrister, solicitor, lawyer or the equivalent in any applicable jurisdiction".

Claim means:

- (1) any of the following:
 - (a) a written demand or written request for monetary damages or non-monetary relief;
 - (b) a written demand or arbitration;
 - (c) a civil proceeding commenced by the service of a complaint or similar pleading; or
 - (d) a formal civil administrative or civil regulatory proceeding (including a disciplinary or grievance proceeding before a court or bar association) commenced by the filing of a notice of charges or similar document or by the entry of a formal order of investigation or similar document,against an **Insured** for a **Wrongful Act**, including any appeal therefrom; or
- (2) a written request received by an **Insured** to toll or waive a statute of limitations relating to a potential **Claim** described in paragraph (1) above.

Except as may otherwise be provided in Section X Reporting, a **Claim** will be deemed to have been first made when such **Claim** is commenced as set forth in this definition (or, in the case of a written demand or written request, including but not limited to a demand for arbitration, when such demand or request is first received by an **Insured**).

Confidential Information means proprietary or **confidential information** not in the public domain, including trade secrets, that came into the care, custody or control of the **Insured** in the course of the **Insured** rendering **Professional Services**.

Controlled Enterprise means any business enterprise (other than an **Insured** or a business enterprise in which the ownership, control, operation or management by the **Insured** is exclusively in a fiduciary capacity as an



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

administrator, conservator, executor, trustee, guardian, receiver or committee or in any similar fiduciary capacity incidental to the practice of law by an **Insured**) if at the time the **Wrongful Act** occurs:

- (1) such business enterprise is a publicly traded entity and five percent (5%) or more of its issued and outstanding securities or voting rights to elect or appoint a board of directors or an equivalent governing body is owned or controlled, individually or collectively, by the **Firm** or by one or more **Insured Persons**;
- (2) such business enterprise is not a publicly traded entity and twenty-five percent (25%) or more of the legal and/or equitable ownership of such enterprise is owned or controlled, individually or collectively, by the **Firm** or by one or more **Insured Persons**; or
- (3) such business enterprise is controlled, operated or managed by the **Firm** or by one or more **Insured Persons**.

Defense Costs mean that part of **Loss** consisting of reasonable costs, charges, fees (including attorneys' fees and experts' fees) and expenses (other than regular or overtime wages, salaries, fees, overhead or benefits) of any **Insured** incurred in defending any **Claim** or **Potential Claim** and the premium for appeal, attachment or similar bonds; provided that the Company will have no obligation to procure or provide any bonds.

Domestic Partner means any natural person qualifying as a domestic partner under the provisions or any applicable law or under the provisions of any formal program established by the **Firm**.

Financial Impairment means the status of a **Firm** resulting from:

- (1) the appointment by any government official, agency or court of any receiver, conservator, liquidator, trustee, rehabilitator or similar official to take control of, supervise, manage or liquidate the **Firm**; or
- (2) the **Firm** becoming a debtor in possession under the United States bankruptcy law or the equivalent of a debtor in possession under the law of any other country.

Firm means (the organization) engaged in the practice of law under the name(s) set forth in ITEM 1 of the Declarations, whether as a partnership, professional corporation or association, limited liability partnership, limited liability company or otherwise, and any predecessor firm(s) designated in ITEM 2 of the Declarations.

Foreign Legal Consultant means any natural person who is a lawyer who is accredited and licensed to practice in a foreign jurisdiction and who has been approved by the applicable bar, *law society or court* as a **Foreign Legal Consultant** to provide advice and services about the laws of the lawyer's foreign jurisdiction but only if such services are performed by or on behalf of the **Firm**.

Insured means the **Firm** and any **Insured Person**.

Insured Person means any natural person or entity:

- (1) who was, now is or shall become a partner, principal, director, officer, shareholder or member of the **Firm**;
- (2) who was, now is or shall become designated (as evidenced in the **Firm's** records) as "counsel" or "of counsel" by the **Firm**;



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

- (3) whose labor or service was, now is or shall be engaged by and directed by the **Firm** to perform **Professional Services**, including a full-time, part-time, seasonal, contracted, leased and temporary employees, or seconded lawyers who are providing **Professional Services** on behalf of the Firm;
- (4) **Foreign Legal Consultants**; or
- (5) **Service Companies** which are corporations or partnerships including any principal, director, officer or employee of such **Service Company** providing services on behalf of the **Firm**;

but only while acting in his, her or its capacity as such.

Intra Firm Representation means **Professional Services** provided with the prior written consent of, or in accordance with the established policies of the **Firm**, by an **Insured Person** to any other **Insured Person** in a lawyer/client relationship.

Loss means the amount that an **Insured** becomes legally obligated to pay as a result of any covered **Claim**, including but not limited to damages (including punitive or exemplary damages, unless punitive or exemplary damages are uninsurable under the law pursuant to which this policy is construed), judgments, settlement, pre-judgments and post-judgment interest and **Defense Costs**.

Loss also includes any **Defense Costs** incurred by an **Insured** with respect to any **Potential Claim** (written notice of which has been given to the Company pursuant to Section X(A)(2) Reporting).

Loss does not include:

- (1) any costs incurred by an **Insured** to comply with any order for injunctive or other non-monetary relief, or to comply with an agreement to provide such relief;
- (2) taxes, fines, penalties (except as provided above with respect to punitive or exemplary damages), liquidated damages or the multiple portion of any multiplied damage award;
- (3) the cost of correcting, re-performing or completing any **Professional Services** or any amount which constitutes restitution, reduction, disgorgement, or set off or return of any fees or expenses paid to or charged by an **Insured** for **Professional Services**; or
- (4) any amount not insurable under the law pursuant to which this Policy is construed.

Personal Information means information not in the public domain that came into the care, custody or control of the **Insured** in the course of the **Insured** rendering **Professional Services** allowing the identification of an individual and which may include, without limitation, any one or more of the following:

- (a) Social insurance number or its equivalent;
- (b) Medical or healthcare data or other protected healthcare data or information;
- (c) a government issued driver's license;
- (d) financial information.

Personal Injury means libel, slander, disparagement, violation of rights of privacy, false arrest, detention or imprisonment, wrongful entry or eviction, malicious prosecution or abuse of process, whether through use of



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

electronic media, the internet or other means of loss, damage, theft or disclosure of **Personal Information** of an individual whether through use of electronic media, the internet or other means.

Policy Period means the period of time set forth in ITEM 3 of the Declarations, subject to any prior termination in accordance with Section XX Termination of Policy.

Pollutants mean any substance located anywhere in the world exhibiting any hazardous characteristics as defined by, or identified on a list of hazardous substances issued by the United States Environmental Protection Agency or any state, county, municipality or locality counterpart thereof. Such substances shall include, without limitation, solid, liquid, gaseous or thermal irritants, contaminants, smoke, vapor, soot, fumes, acids, alkalis, chemicals or waste materials. **Pollutants** shall also include any air emission, odor, wastewater, oil or oil products, infectious or medical waste, asbestos, or asbestos products and any noise.

Pollution means the actual, alleged or threatened exposure to, or generation, storage, transportation, discharge, emission, release, dispersal, escape, treatment, removal or disposal of **Pollutants** or any clean up, remove, contain, treat, detoxify or neutralize, or in any way respond to, or assess the effects of any **Pollutants**, or any voluntary decision to do so.

Potential Claim has the meaning set forth in Section X(A)(2) Reporting.

Professional Services mean services provided to others by an **Insured** as:

- (1) an attorney or notary public;
- (2) an administrator, conservator, executor, trustee, guardian, escrow agent, receiver or committee or in any similar fiduciary capacity incidental to the practice of law by the **Firm**;
- (3) an arbitrator or mediator;
- (4) a member, director or officer of any non-profit professional legal association, its governing board, or any of its committees;
- (5) a government affairs advisor or lobbyist;
- (6) a title insurance agent pursuant to a written agency agreement with licensed title insurance company, but only when acting in such capacity for real estate transactions for which an **Insured** has provided services as an attorney;
- (7) a paralegal or legal assistant, solely in connection with the performance of **Professional Services**;
- (8) patent or trademark agent or title searcher; or
- (9) a **Foreign Legal Consultant**;

including the holding, use and safe guarding of **Confidential Information** or **Personal Information**, but only if such services are performed in the name of or on behalf of the **Firm** and some or all of the fee, if any, accruing from such services (regardless of whether such fee is actually collected) inures to the benefit of the **Firm**.

Professional Services shall include the provision of any investment advice.



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

Related Claims mean all **Claims** based upon, arising from, or in consequence of the same or related facts, circumstances, situations, transactions or events or the same or related series of facts, circumstances, situations, transactions or events.

Wrongful Act means any actual or alleged act, error or omission committed, attempted, or allegedly committed or attempted, solely in the performance of or failure to perform **Professional Services** by the **Firm** or by an **Insured Person** acting in his or her capacity as such on behalf of the **Firm**, including without limitation any such actual or alleged act, error or omission committed or attempted or allegedly attempted or committed which results in or is alleged to result in damage to a claimant's hardware or software or the loss, damage, theft or disclosure of **Confidential Information** or **Personal Information**.

III. EXCLUSIONS

- (A) The Company shall not be liable for **Loss** incurred by an **Insured** on account of any **Claim** or **Potential Claim**;
- (1) based upon, arising from, or in consequence of any fact, circumstance, situation, transaction, event or **Wrongful Act** that was the subject of any notice given under any policy of which this Policy is a direct or indirect renewal or replacement;
 - (2) based upon, arising from or in consequence of any fact, circumstance, situation, transactions, event or **Wrongful Act** occurring prior to the inception date of the first lawyers professional liability policy issued to the **Firm** by the Company which, prior to such inception date, any **Insured** knew or should have known might give rise to a **Claim**;
 - (3) based upon, arising from, or in consequence of any demand, suit or other proceeding pending against, or order, decree or judgment entered for or against such **Insured**, on or prior to the Pending or Prior Date set forth in ITEM 7 of the Declarations, or the same or substantially the same fact, circumstance, situation, transaction, event or **Wrongful Act** underlying or alleged therein;
 - (4) based upon, arising from, or in consequence of **Pollution**; provided that this Exclusion shall only apply where the **Insured** is an actual or alleged owner, lessee or operator of the property in question;
 - (5) for bodily injury, mental anguish, emotional distress (except bodily injury, mental anguish and emotional distress resulting from **Personal Injury**), sickness, disease or death of any person or damage to, destruction of or loss of use of any property (including software, data or other information that is in electronic form), whether or not it is damaged or destroyed; provided that this Exclusion shall not apply if the allegations of bodily injury, mental anguish, emotional distress (except bodily injury, mental anguish and emotional distress resulting from **Personal Injury**), sickness, disease or death of any person or damage to, destruction of or loss of use of any property (including software, data or other information that is in electronic form) arises out of **Professional Services**;
 - (6) for any actual or alleged violation by such **Insured** of the responsibilities, obligations or duties imposed on fiduciaries by the Employee Retirement Income Security Act of 1974, or any amendments thereto, or any rules or regulations promulgated thereunder, or any similar provisions of any federal, state, or local statutory law or common law anywhere in the world;



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

- (7) by or on behalf of, in the name or right of, or based upon, arising from or in consequence of any **Wrongful Act** on the part of such **Insured** in connection with any **Controlled Enterprise**;
 - (8) based upon, arising from, or in consequence of the service of such **Insured Person** in his or her capacity as a partner, member, principal, director, officer, shareholder, counsel, of counsel, or employee of any entity other than the **Firm** or any **Service Company**; provided that this Exclusion shall not apply where the **Insured Person** is acting in his or her capacity as a member, director or officer of any non-profit professional legal association, its governing board, or any of its committees;
 - (9) brought or maintained by or on behalf of any **Insured** in any capacity, other than as a client in connection with **Intra Firm Representation**;
 - (10) based upon, arising from, or in consequence of **Professional Services** performed as a title insurance agent where there allegedly exists;
 - (a) any defect in title of which any **Insured** had actual knowledge as of the date the title insurance policy was issued by or through any **Insured**; or
 - (b) any actual or alleged breach of underwriting authority by an **Insured**;
- (B) The Company shall not be liable for **Loss** on account of any **Claim** or **Potential Claim** against an **Insured**:
- (1) based upon, arising from or in consequence of such **Insured** having gained in fact any profit, remuneration or advantage to which such **Insured** was not legally entitled; or
 - (2) based upon, arising from or in consequence of any deliberately fraudulent or dishonest act or omission or any willful violation of any statute or regulation by such **Insured**, or any libel or slander committed by such **Insured** with knowledge of its falsity (provided that nothing contained in this paragraph shall exclude coverage to any other **Insured** who was not so adjudged to have committed such fraud or dishonesty as described);
- as evidenced by any final judgment or ruling in any judicial, administrative or alternative dispute resolution proceeding.

IV. SPOUSES, ESTATES AND LEGAL REPRESENTATIVES

Coverage shall extend to **Claims** and **Potential Claims** for the **Wrongful Acts** of an **Insured Person** made against:

- (a) the lawful spouse or **Domestic Partner** of such **Insured Person**, if named as a co-defendant with such **Insured Person** solely by reason of such person's status as a spouse or **Domestic Partner**, or such spouse or **Domestic Partner's** ownership interest in property that is sought by a claimant as recovery for an alleged **Wrongful Act** of such **Insured Person**; and
- (b) the estate, heirs, legal representatives or assigns of such **Insured Person** if such **Insured Person** is deceased or the legal representatives or assigns of such **Insured Person** if such **Insured Person** is incompetent, insolvent or bankrupt.

All terms and conditions of this Policy including, without limitation, the Retention Amount applicable to **Loss** incurred by the **Insured Person**, shall also apply to **Loss** incurred by the **Insured Person's** spouse, **Domestic**



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

Partner, estate, heirs, legal representatives or assigns. The coverage provided by this Section IV shall not apply with respect to any loss arising from an act or omission by an **Insured Person's** estate, heirs, legal representatives, assigns, spouse or **Domestic Partner**.

V. OTHER INSURANCE

This Policy shall be specifically excess over, and shall not contribute with, any other valid and collectible insurance, whether such other insurance is stated to be primary, contributory, excess, contingent or otherwise, except with respect to the following only:

- (A) Insurance written to be specifically excess over this Policy, or
- (B) the Solicitors Professional Liability Insurance Policy, if any, purchased by the **Insured** to comply with the Solicitors Regulation Authority insurance requirements in the United Kingdom, or any subsequent renewals or replacements thereof.

This Policy will not be subject to the terms of any other insurance.

VI. TERRITORY

Coverage shall extend anywhere in the world.

VII. EXTENDED REPORTING PERIOD

- (A) If the Company or the **Firm** terminates or does not renew this Policy, other than termination by the Company for nonpayment of premium, then the **Firm** shall have the right to purchase an Extended Reporting Period for either the twelve (12) month period, twenty-four (24) month period or thirty-six (36) month period beginning on the effective date of the termination or non-renewal of this Policy. This right to purchase an Extended Reporting Period shall lapse unless written notice of election to purchase the Extended Reporting Period, together with payment of the additional premium due, as set forth in ITEM 6 of the Declarations, is received by the Company within thirty (30) days following effective date of the termination or nonrenewal of this Policy. The **Firm** may not change the option selected once that selection has been made.
- (B) If the Extended Reporting Period is purchased, then coverage otherwise afforded by this Policy will be extended to apply to **Loss** from **Claims** and **Potential Claims** first made or notified during such Extended Reporting Period and reported in accordance with Section X, Reporting, but only for **Wrongful Acts** committed or allegedly committed before the effective date of termination or nonrenewal or the date of any event described in Section XIII(B) Changes in Exposure, whichever is earlier. The entire additional premium for the Extended Reporting Period shall be deemed fully earned at the inception of such Extended Reporting Period. Any **Claim** made during the Extended Reporting Period shall be deemed to have been made during the immediately preceding **Policy Period**. The Limit of Liability for the Extended Reporting Period shall be part of, and not in addition to, the applicable Limits of Liability for the immediately preceding **Policy Period**.



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

VIII. LIMIT OF LIABILITY

- (A) The Company's maximum liability for all **Loss** from each **Claim** and **Potential Claim** first made or notified during the **Policy Period** shall not exceed the each **Claim** Limit of Liability set forth in ITEM 4(A) of the Declarations.
- (B) The Company's maximum aggregate liability for all **Loss** from all **Claims** and **Potential Claims** first made or notified during the **Policy Period** shall not exceed the aggregate Limit of Liability set forth in ITEM 4(B) of the Declarations, regardless of the number of **Claims**.
- (C) **Defense Costs** are part of, and not in addition to, the Limits of Liability set forth in ITEM 4 of the Declarations, and payment by the Company of **Defense Costs** shall reduce and may exhaust such Limits of Liability.

IX. RETENTION AMOUNT

The Company's liability under this Policy shall apply only to that part of covered **Loss** on account of each **Claim** and **Potential Claim** which is excess of the applicable Retention Amount set forth in ITEM 5 of the Declarations. Such Retention Amount shall be depleted only by **Loss** otherwise covered under this Policy and shall be borne by the **Insured** uninsured and at their own risk. In the event that any **Insured Person** is unwilling or unable to bear the Retention Amount it shall be the obligation of the **Firm** to bear such Retention Amount uninsured and at its own risk.

X. REPORTING

(A) Reporting of **Claims** and **Wrongful Acts**:

- (1) If a **Claim** is made against any **Insured** the **Insured** shall, as a condition precedent to exercising any right to coverage under this Policy, give to the Company written notice of such **Claims** as soon as practicable, but in no event later than the earliest of the following dates:
 - (a) if this Policy is either terminated or not renewed by the **Firm**, and if no Extended Reporting Period is purchased, thirty (30) days after the effective date of such expiration or termination;
 - (b) if the Extended Reporting Period is purchased, the expiration date of the Extended Reporting Period; or
 - (c) if the Company sends written notice to the **Firm** pursuant to Section XX (A) (3) Termination of Policy, prior to the effective date of such termination.
- (2) If during the **Policy Period** an **Insured** becomes aware of a **Wrongful Act** which may subsequently give rise to a **Claim** (a "**Potential Claim**"), and during the **Policy Period** the **Insured** gives the Company written notice of such **Wrongful Act**, including a description of the **Wrongful Act** in question, the identities of the potential claimants, the consequences that have resulted or may result from the **Wrongful Act**, the damages that may result from the **Wrongful Act** and the circumstances by which the **Insured** first became aware of the **Wrongful Act**;



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

then the Company will treat any such subsequently resulting **Claim** as if it had been made against the **Insured** during the **Policy Period**; provided that written notice of such **Claim** is then given to the Company in accordance with paragraph (A)(1) of this Section X.

- (3) All notices of **Claims** or **Potential Claims**, required under this Section X must be sent in writing to the address set forth in Section XI Notice.

(B) Interrelationship of **Claims**:

All **Related Claims** will be treated as a single **Claim** made at the time the first of such **Related Claims** was made, or when the first of such **Related Claims** is treated as having been made in accordance with Section X (A)(2), whichever is earlier.

XI. NOTICE

- (A) All notices to the Company under this Policy of **Claims** and **Potential Claims** which could give rise to a **Claim** shall be given in writing addressed to Monitoring Counsel as follows:

Attn: Anthony Spain, Esq.
Mendes & Mount LLP
750 Seventh Avenue
New York, NY 10109

Monitoring Counsel will provide notice and reports to the Company(ies) subscribing to this Policy.

- (B) All other notices to the Company under this Policy shall be given in writing addressed to:

CNA – Claims Reporting
P.O. Box 8317
Chicago, IL 60680-8317
Fax: 866-773-7504
Email: SpecialtyProNewLoss@cna.com

- (C) Any notice given under XI (A) above shall be effective on the date of receipt by Monitoring Counsel at the address shown.

XII. DEFENSE AND SETTLEMENT

- (A) It shall be the duty of the **Insured** and not the duty of the Company to defend **Claims** and **Potential Claims** made against the **Insured** and to retain qualified counsel of its own choosing with the Company's prior written consent, such consent not to be unreasonably withheld.
- (B) With respect to any **Claim** and **Potential Claims** that appears reasonably likely to be covered in whole or in part under this Policy, the Company shall have the right and shall be given the opportunity to effectively associate with the **Insured**, and shall be consulted in advance by the **Insured** regarding the investigation, defense and settlement of such **Claim** and **Potential Claims**, including but not limited to selecting appropriate defense counsel and negotiating any settlement. It shall not be unreasonable for the Company to withhold its consent to the representation of any **Insured** by another **Insured** or, if more than one **Insured** is involved in a **Claim** or **Potential Claims**, to withhold its



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

consent to separate counsel for one or more of such **Insureds**, unless there is a material actual or potential conflict of interest among such **Insureds**.

- (C) No **Insured** shall settle or offer to settle any **Claim**, incur any **Defense Costs**, or otherwise assume any contractual obligation or admit any liability with respect to any **Claim** without the Company's prior written consent, which shall not be unreasonably withheld. The Company shall not be liable for any settlement, **Defense Costs**, assumed obligation or admission to which it has not given its prior written consent.
- (D) If any **Insured** withholds consent to any settlement acceptable to the claimant in accordance with the Company's recommendation (a "Proposed Settlement"), then the Company's liability for all **Loss**, including **Defense Costs**, from such **Claim** shall not exceed the amount of the Proposed Settlement plus **Defense Costs** incurred up to the date of the **Insured's** refusal to consent to the Proposed Settlement of such **Claim**.
- (E) The Company shall have no obligation to pay **Loss**, including **Defense Costs**, or to defend or continue to defend any **Claim**, after the Company's applicable Limit of Liability with respect to such **Claim** has been exhausted by the payment of **Loss**. If the Company's Limit of Liability is exhausted by the payment of **Loss** prior to the expiration of this Policy, the Policy premium will be deemed fully earned.

The **Insured** agreed to provide the Company with all information, assistance and cooperation which the Company may reasonably require and agree they will do nothing that may prejudice the Company's position or its potential or actual rights of recovery.

The Company shall, upon written request, advance on a current basis **Defense Costs** owed under this Policy. As a condition of any payment of **Defense Costs** before the final disposition of a **Claim**, the Company may require a written undertaking on terms and conditions satisfactory to it guaranteeing the repayment of any **Defense Costs** paid on behalf of any **Insured** if it is finally determined that this Policy would not cover **Loss** incurred by such **Insured** in connection with such **Claim**.

XIII. CHANGES IN EXPOSURE

- (A) Acquisition of Additional Attorneys

If, during the **Policy Period**, the total number of attorneys in the **Firm** increases by more than ten (10) attorneys as the result of the **Firm's** merger with or acquisition of any other law firm or any group of attorneys who practices together at another law firm, the **Firm** must promptly give the Company written notice thereof, and the Company will be entitled to impose such additional coverage terms and charge such additional premium in connection therewith as the Company, in its sole discretion, may require. Subject to the provisions of this paragraph, coverage shall only be provided for such acquired attorneys with respect to **Wrongful Acts** committed or allegedly committed after the date of such merger or acquisition.

- (B) Conversion of Coverage under Certain Circumstances

If, during the **Policy Period**:

- (1) all or substantially all of the **Firm's** assets are acquired by another organization or person or group of organizations or persons acting in concert;



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

(2) **Financial Impairment** occurs; or

(3) the **Firm** merges or consolidates into or with another entity such that the **Firm** is not the surviving entity;

then coverage provided by this Policy shall continue until termination, but only with respect to **Claims** for **Wrongful Acts** committed or allegedly committed prior to such event.

The **Firm** shall give written notice of all events under this Section XIII to the Company as soon as practicable together with such other information as the Company may request. If **Financial Impairment** occurs, the entire premium for this Policy will be deemed fully earned as of the effective date of such **Financial Impairment**.

XIV. REPRESENTATIONS AND SEVERABILITY

In issuing this Policy the Company has relied upon the statements, representations and information in the **Application**. All of the **Insureds** acknowledge and agree that all such statements, representations and information (i) are true and accurate, (ii) were made or provided in order to induce the Company to issue this Policy, and (iii) are material to the Company's acceptance of the risk to which this Policy applies.

In the event that any of the statements, representations or information in the **Application** are not true and accurate, and which were (i) made with the actual intent to deceive or (ii) which materially affect the acceptance of the risk assumed by the Company under this Policy, this Policy shall be void with respect to any **Insured** who knew as of the effective date of the **Application** the facts that were not truthfully and accurately disclosed (whether or not the **Insured** knew of such untruthful disclosure in the **Application**) or to whom knowledge of such facts is imputed. For purposes of the preceding sentence:

- (A) the knowledge of any **Insured Person** who is a past, present or future member of the management committee, executive committee or similar governing body of the **Firm** shall be imputed to the **Firm**;
- (B) the knowledge of the person(s) who signed the **Application** for this Policy shall be imputed to all of the **Insureds**; and
- (C) except as provided in (A) above, the knowledge of an **Insured Person** who did not sign the **Application** shall not be imputed to any other **Insured**.

XV. VALUATION AND FOREIGN CURRENCY

All premiums, limits, Retention Amounts, **Loss** and other amounts under this Policy are expressed and payable in the currency of the United States of America. If a judgment is rendered, a settlement is denominated or any element of **Loss** under this Policy is stated in a currency other than United States of America dollars, payment under this Policy shall be made in United States of America dollars at the rate of exchange published in The Wall Street Journal on the date the final judgment is reached, the amount of the settlement is agreed upon or the element of **Loss** is due, respectively.

XVI. SUBROGATION

In the event of any payment under this Policy, the Company shall be subrogated to the extent of such payment to all the **Insured's** rights of recovery therefore, and the **Insured** shall execute all papers required and shall do everything necessary to secure and preserve such rights, including the execution of such documents necessary to enable the Company effectively to bring suit or otherwise pursue subrogation rights in the name



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

of any **Insured**, provided that the Company will not pursue an **Insured's** rights of recovery against any other **Insured**.

XVII. ACTION AGAINST THE COMPANY

No action may be taken against the Company unless, as a condition precedent thereto, there shall have been full compliance with all the terms of this Policy. No person or entity shall have any right under this Policy to join the Company as a party to any action against any **Insured** to determine such **Insured's** liability nor shall the Company be impleaded by such **Insured** or legal representatives of such **Insured**.

XVIII. FIRM RIGHTS AND OBLIGATIONS

By acceptance of this Policy, the **Firm** acknowledges and agrees that it shall be considered the sole agent of and will act on behalf of each **Insured** with respect to: the payment of premiums and the receiving of any return premiums that may become due under this Policy; the negotiation, agreement to and acceptance of endorsements; the giving or receiving of any notice, including but not limited to giving notice of **Claim** or a notice of termination pursuant to Section XX Termination of Policy; and the receipt or enforcement of payment of a **Loss** (and the **Firm** shall be responsible for application of any such payment as provided for in this Policy). Each **Insured** acknowledges and agrees that the **Firm** shall act on its behalf with respect to all such matters.

XIX. ALTERATION AND ASSIGNMENT

No change in, modification of, or assignment of interest under this Policy shall be effective except when made by a written endorsement to this Policy which is signed by an authorized employee of the Company.

XX. TERMINATION OF POLICY

(A) This Policy shall terminate at the earliest of the following times:

- (1) upon receipt by the Company of written notice of termination from the **Firm**, provided that this Policy may not be terminated by the **Firm** after the effective date of any event described in Section XIII, Changes of Exposure (B);
- (2) upon expiration of the **Policy Period** as set forth in ITEM 3 of the Declarations or any applicable Extended Reporting Period;
- (3) twenty (20) days after receipt by the **Firm** of a written notice of termination from the Company based upon nonpayment of premium, unless the premium is paid within such twenty (20) day period; or
- (4) at such other time as may be agreed upon by the Company and the **Firm**.

(B) The Company shall refund the unearned premium computed at customary short rates if this Policy is terminated by the **Firm**. Under any other circumstances the refund shall be computed pro rata. Payment or tender of any unearned premium by the Company shall not be a condition precedent to the effectiveness of such termination, but such payment shall be made as soon as practicable.



LARGE LAWYERS PROFESSIONAL LIABILITY POLICY

XXI. BANKRUPTCY

Except as provided in Section XIII, Changes in Exposure, bankruptcy or insolvency of any **Insured** shall not relieve the Company of its obligations nor deprive the Company of its rights or defenses under this Policy.

XXII. HEADINGS

The descriptions in the headings and sub-headings of this Policy are solely for convenience, and form no part of the terms and conditions of coverage.

XXIII. COMPLIANCE WITH APPLICABLE TRADE SANCTION LAWS

This insurance does not apply to the extent that trade or economic sanctions or other laws or regulations prohibit the Company from providing insurance.

XXIV. CHOICE OF LAW

This policy shall be governed by the laws of the Province of Ontario, and the Company and the **Insured** agree to submit to the jurisdiction of the courts of the Province of Ontario in the event of any dispute concerning the interpretation or enforcement of this Policy.

CHAIRMAN

SECRETARY



**ENDORSEMENT NO 1
CLLAS COMPATIBLE AND ALLOCATION ENDORSEMENT**

It is understood and agreed that the Policy is amended as follows:

- I. The section entitled **DEFINITIONS** is amended as follows:
- A. The definition of **Insured** is amended to add the following
- **Canadian Insureds**
- B. **Canadian Firm** means Davies Ward Phillips & Vineberg LLP/Davies Ward Phillips & Vineberg S.E.N.C.R.L., s.r.l. and its predecessors;
- C. **Canadian Insureds** means collectively the **Canadian Firm** and the those persons whose relationship with the **Canadian Firm** is the equivalent as those persons specified in paragraphs 1-6 have with the **Named Insured**.
- II. No coverage will be available under this Policy for **Claims** against a **Canadian Insured** arising out of professional services provided by such **Canadian Insured** from an office or branch of the **Canadian Firm** located in Canada, its provinces or territories and that arise from the practice of laws of the jurisdiction of Canada, its provinces or territories, unless such Professional Services are incidental to the practice of the laws of a jurisdiction other than Canada, its provinces or territories.
- III. For purposes of this endorsement, notwithstanding anything to the contrary in this Policy, no coverage will be available to a Canadian Insured under this Policy for Claims for which (a) the policy issued by the Canadian Lawyers Liability Assurance Society scheduled below (the "CLLAS Policy") or (b) the other policies scheduled below only if they provided coverage in respect of such Claim in excess of the CLLAS Policy (together with the CLLAS Policy, the "Scheduled Policies") would afford coverage regardless of: the limit(s) of liability of the Scheduled Policies; compliance, or lack thereof, with the notice and/or reporting requirements of the Scheduled Policies; and whether the Schedule Policies have been canceled:

SCHEDULED POLICIES

Policy	Policy Number	Lead Insurer(s)
CLLAS 50M	32003	Canadian Lawyers Liability Assurance Society
50M xs 50M	PLTO287759019	Liberty International Underwriters Canada (20%) Lead Insurer
60M xs 100M	SRX576548	Victor Insurance Managers Inc. (25%) Lead Insurer

- IV. It is further understood and agreed and notwithstanding the section entitled **OTHER INSURANCE**, if **Damages** on account of a **Claim** covered or alleged to be covered by both this Policy and the Policies issued by CLLAS referred to in this Policy, CLLAS and the Insurer agree to use their best efforts to determine a fair and proper allocation of all amounts, including **Claim Expenses**, that the **Company** shall be obligated to pay under this Policy in connection with such **Claim**. In making such determination, the parties shall take into account the contributory fault by the **Insured** and the **Canadian Insured** giving rise to the **Damages**. In the event that an allocation cannot be agreed to, then the **Company** agrees to follow the procedures and terms and conditions of the Letter Agreement between CLLAS and the **Company** (referred to in the Letter Agreement as the CLLAS International Insurers, attached hereto).

All other terms and conditions of the Policy remain unchanged.



This endorsement, which forms a part of and is for attachment to the Policy issued by the designated Insurers, takes effect on the effective date of said Policy at the hour stated in said Policy, unless another effective date is shown below, and expires concurrently with said Policy.



**ENDORSEMENT NO 2.
CARRIER RATING DOWNGRADE ENDORSEMENT**

This Endorsement, effective at 12:01 a.m. on July 1, 2021 forms part of

Policy No.: 592420426
Issued to: Davies Ward Phillips & Vineberg, LLP (a New York Partnership)
Issued by: Columbia Casualty Company

It is hereby understood and agreed that Item XX. Termination of Policy is amended to include Item C.

In the event that the Company:

- (a) ceases underwriting; or
- (b) is declared insolvent or placed under the protection of Chapter 11 or similar proceedings, or
- (c) has its authority to carry on insurance business withdrawn; or
- (d) has its financial strength rating reduced by A.M. Best or Standard & Poor's or equivalent rating agency to less than A-;

the Firm may terminate the policy by giving notice and the premium payable to the Firm shall be pro-rata of its proportion of premium to the time on risk.

Authorized Representative

All other terms and conditions of the Policy remain unchanged.

This endorsement, which forms a part of and is for attachment to the Policy issued by the designated Insurers, takes effect on the effective date of said Policy at the hour stated in said Policy, unless another effective date is shown below, and expires concurrently with said Policy.



QUOTA SHARE ENDORSEMENT

It is understood and agreed that the Policy is amended as follows:

- I. The Section of the Policy entitled LIMITS OF LIABILITY AND RETENTION is amended by the addition of the following:

Quota Share Participation

Notwithstanding anything to the contrary in the Policy, this Policy has been written on a quota-share basis whereby the **Company** shall be responsible to pay **damages** and **claim expenses** on a proportionate basis equal to 25% of the total limits of liability for all Participating Insurers shown on the Declarations, and the Participating Insurers, as set forth below, shall be responsible to pay **damages** and **claim expenses** on a proportionate basis equal to the applicable percentage of such total limits of liability as set forth opposite each Participating Insurer on the Declarations.

The **Company's** limit of liability for **damages** and **claim expenses** for each **claim** shall not exceed \$7,500,000 per **claim**. The **Company's** maximum aggregate limit of liability for all **damages** and **claim expenses** for all **claims**, regardless of the number of **claims**, shall be 7,500,000.

Each Participating Insurer's proportion of the total limits of liability for all Participating Insurers shown on the Declarations.

The **Company** and the Participating Insurers shall also pay supplementary payments, as set forth in the paragraph of this Section entitled Supplementary payments, in the same proportions.

The liability of the **Company** and any Participating Insurers shall be several and not joint. The **Company** shall not be liable under this Policy for any amount in excess of its limits of liability, regardless of any changes in circumstances, including, but not limited to change in terms, cancellation, removal or bankruptcy of any other participants. If the **Company's** limits of liability are exhausted by payment of **damages** or **claim expenses**, the **Company's** obligations shall be deemed completely fulfilled and extinguished.

Coverage hereunder shall apply in conformance with the provisions set forth in this Policy.

- II. The Section of the Policy entitled CONDITIONS is amended as follows:

The paragraph entitled Notice is amended by the addition of the following:

For the purposes of giving notice under subparagraphs (A), (B) and (C) of this Section, such notice shall be given to the **Company** at the address stated in Item 1 (B) and to the Participating Insurers stated above at the address set forth in paragraph 1 (A). Thereafter, the **Company** (or any substitute as may subsequently be appointed by the **Company** and advised to the **Insured**) shall act on behalf of all insurers with respect to any such **claim** or notice of potential **claim**.

- III. The Section of the Policy entitled **EXTENDED REPORTING PERIODS**, the subsection entitled **Extended reporting periods** limits of liability and deductibles, is amended by the addition of the following:

The **Company** and the Participating Insurers shall be responsible to pay their respective shares of any applicable **extended reporting period** limit of liability in the same percentages as set forth in paragraph II. of this endorsement.



All other terms and conditions of the Policy remain unchanged.

This endorsement, which forms a part of and is for attachment to the Policy issued by the designated Insurers, takes effect on the effective date of said Policy at the hour stated in said Policy, unless another effective date is shown below, and expires concurrently with said Policy.



SERVICE OF SUIT ENDORSEMENT

It is hereby understood and agreed that the following provision is added to the Policy:

SERVICE OF SUIT

Pursuant to any statute of any state, territory or district of the United States which makes provision therefore, the Company hereby designates the Superintendent, Commissioner or Director of Insurance or other officer specified for that purpose in the statute, or his successor or successors in office, as its true and lawful attorney upon whom may be served any lawful process in any action, suite or proceeding instituted by or on behalf of the Firm or any beneficiary hereunder arising out of this contract of insurance, and hereby designates the below-named as the person to whom the said officer is authorized to mail such process or true copy thereof.

Service of process in such suit shall be made upon:

General Counsel
Columbia Casualty Company
333 S. Wabash Avenue
Chicago, IL 60604

and in any suite instituted against such person upon this policy, the Company will abide by the final decision of such court or of any appellate court in the event of an appeal.

The General Counsel is authorized and directed to accept service of process on behalf of the Company in any such suit and, upon the request of the Firm, to give a written undertaking to the Firm that he will enter a general appearance upon the Companies behalf in the event such suit shall be instituted.

All other terms and conditions of the Policy remain unchanged.

This endorsement, which forms a part of and is for attachment to the Policy issued by the designated Insurers, takes effect on the effective date of said Policy at the hour stated in said Policy, unless another effective date is shown below, and expires concurrently with said Policy.



LETTER AGREEMENT BETWEEN
CLLAS AND "CLLAS INTERNATIONAL" INSURERS
RESOLUTION OF ALLOCATION DISPUTES

In the event of an allocation dispute between the Canadian Lawyers Liability Assurance Society ("CLLAS") and the undersigned insurance companies (collectively referred to as the "CLLAS International Insurers") with respect to a loss giving rise to a claim or claims under insurance policies issued by CLLAS and the CLLAS International Insurers, the parties agree as follows:

1. CLLAS and the CLLAS International Insurers agree to use their best efforts to determine a fair and proper allocation of all amounts (including defense costs) that the parties are collectively obligated to pay under their respective policies in connection with such claim. In making such determination, the parties will take into account the contributory fault giving rise to the loss by the individual insureds covered under their respective policies.
2. In the event that an allocation cannot be agreed to pursuant to paragraph 1 above, the parties will apply the Default Interim Allocation until such time as the parties are able to agree upon an alternate allocation or such allocation is determined pursuant to arbitration in accordance with paragraph 5 below.
3. The Default Interim Allocation means 50% CLLAS and 50% CLLAS International Insurers.
4. If the parties utilize the Default Interim Allocation
 - a. Either of CLLAS or the CLLAS International Insurers may refer the allocation dispute to arbitration in accordance with paragraph 5 below; and
 - b. No presumption as to allocation will exist in arbitration.
5. Disputes which are referred to arbitration will be determined by a single arbitrator. The arbitrator must be a person with not less than ten years' experience in the insurance and/or reinsurance industry or as a lawyer or other professional advisor serving the industry. If the parties cannot agree on the identity of the arbitrator within 14 days the matter being referred to arbitration, either party may apply to the Chairman of ARIAS (US) who will appoint an arbitrator. The arbitration will be conducted pursuant to the International Commercial Arbitration Act (Ontario). The arbitrator may in his/her sole discretion make such orders and directions as he/she considers necessary for the final determination of the matters in dispute and shall have discretion as to allocation of costs of the arbitrator between CLLAS and the CLLAS International Insurers. The arbitrator has the widest discretion permitted under governing law when making such orders or directions.
6. The parties agree that any determination with respect to allocation is subject to all the terms, conditions and limitations of the respective policies.

Office of the General Manager, 36 Toronto Street, Suite 510, Toronto, Ontario M5C 2C5
Tel: 1-855-729-9462 Fax: 1-855-329-9462



IN WITNESS WHEREOF the Parties have duly executed this Agreement on the dates indicated below.

CANADIAN LAWYERS LIABILITY ASSURANCE SOCIETY	
By: <i>[Signature]</i>	
Name:	Patrick Mahoney
Title:	General Manager
Date:	August 12, 2019

CO. UMBIA CASUALTY COMPANY	
By: <i>[Signature]</i>	
Name:	SCOTT KOSOW
Title:	AVP
Date:	12/16/19

CONTINENTAL CASUALTY COMPANY - CANADIAN BRANCH	
By: <i>[Signature]</i>	
Name:	MIKE OREATHA
Title:	PRESIDENT & CEO
Date:	SEPT 26, 2019

INDIAN HARBOR INSURANCE COMPANY	
By: <i>[Signature]</i>	
Name:	PAUL ROWE
Title:	SVP
Date:	MARCH 2, 2020

XL SPECIALTY INSURANCE COMPANY - CANADA BRANCH	
By: <i>[Signature]</i>	
Name:	ANDREW CHOI
Title:	MANAGER, PROFESSIONAL LIABILITY, CANADA
Date:	OCTOBER 15, 2019

CATLIN CANADA INC. ON BEHALF OF SYNDICATE 2003 AT LLOYDS	
By: <i>[Signature]</i>	
Name:	ANDREW CHOI
Title:	MANAGER, PROFESSIONAL LIABILITY, CANADA
Date:	MARCH 2, 2020

BERKSHIRE HATHAWAY INTERNATIONAL INSURANCE LIMITED	
By: <i>[Signature]</i>	
Name:	JOHN BARTLEY
Title:	AVP, UNDERWRITING
Date:	NOV 15, 2019

ASPEN SPECIALTY INSURANCE COMPANY	
By: <i>[Signature]</i>	
Name:	Daniel Flynn, Underwriter
Date:	12/19/2019

ASPEN INSURANCE UK LIMITED	
By: <i>[Signature]</i>	
Name:	J. Brian Reeve
Title:	Chief Agent in Canada
Date:	October 21, 2019

UNDERWRITERS AT LLOYDS, LONDON	
By: <i>[Signature]</i>	
Name:	FRANJESCA HARLAND
Title:	UNDERWRITER
Date:	12/11/19



de
2/2



FOLLOW FORM POLICY

POLICY NO. LR00D2021

INSURED: Davies Ward Phillips & Vineberg LLP

ADDRESS: 900 Third Avenue, 24th Floor
New York, NY 10022

In accordance with your instructions we have effected insurance as follows:

PERIOD OF INSURANCE:

Inception Date: July 1, 2021

Expiration Date: July 1, 2022

(12:01 a.m. Prevailing Time at the Assured's address set forth above)

LIMIT OF LIABILITY:

US \$30,000,000 each Claim and in the Annual Aggregate including Defense Costs, charges and expenses excess of the Retention.

RETENTION:

US \$200,000 per claim.

TYPE OF INSURANCE:

Lawyers Professional Liability Insurance following the Lead Underwriter and subject to the terms and conditions of the Policy issued by the Lead Underwriter.

LEAD
UNDERWRITER:

Columbia Casualty Company

COMPANY'S PARTICIPATION:

16.5% of 100.00% of the annual limit and premium expressed hereon.

**ANNUAL
PREMIUM:**

\$203,425.00 exclusive of the Excess & Surplus lines taxes and fees, of which \$33,565.00 being 16.5% of 100.00% shall be payable to the Company.

INSURED WITH:

Aspen Specialty Insurance Company (the “Company”)

DATED:

9/1/2021

Marty Tate

VP

Signature and Title of Authorized Representative of the Company



ATTACHING TO AND FORMING PART OF POLICY NUMBER NO: **LR00D2021**

The Company warrants that:

- A. This MEMORANDUM OF INSURANCE incorporates and is subject to all terms set forth in the Followed Policy issued by the Lead Underwriter – Columbia Casualty Company, Policy No. 592420426 on the identical subject matter and risk and is subordinate to the Followed Policy (except as regards the PREMIUM, the SUM INSURED and Section III B. REINSTATEMENT OF THE LIMIT OF LIABILITY) as contained in the Followed Policy. In matters regarding claims, the Company will act exclusively through the representative or representatives designated by the Underwriters of the Followed Policy. Notwithstanding the foregoing, the Company may, at its sole discretion, elect to associate in the investigation, settlement and/or defense of any claims to which the Company may be liable to contribute.
- B. This MEMORANDUM OF INSURANCE incorporates, and is subordinate to any changes and endorsements of the Followed Policy provided the Company consents to such changes and endorsements, such consent not to be unreasonably withheld.
- C. Any changes of insurers or co-insurers, including incomplete placements, are permitted without notice but loss of coverage resulting from any incomplete placement is assumed by the INSURED and shall not cause the layer of coverage in which the Company participates to drop to a lower level of coverage or increase the participation of the Company in such layer of coverage.
- D. In the events of the reduction or exhaustion of the sums insured under the Followed Policy and/or underlying policies by reason of claims paid thereunder, this MEMORANDUM OF INSURANCE shall:
 - a. in the event of reduction, pay the excess of the reduced underlying sums insured;
 - b. in the event of exhaustion, continue in force as Primary insurance

provided always that in the latter event, this MEMORANDUM OF INSURANCE shall only pay the excess of the retention as provided in the Followed Policy.



FOLLOW FORM POLICY

POLICY NO. **LPN 9033668 05**

INSURED: Davies Ward Phillips & Vineberg LLP

ADDRESS: 900 Third Avenue, 24th Floor
New York NY 10022

In accordance with your instructions we have effected insurance as follows:

PERIOD OF INSURANCE: **Inception Date: July 1, 2021**
Expiration Date: July 1, 2022
(12:01 a.m. Prevailing Time at the Assured's address set forth above)

LIMIT OF LIABILITY: **US \$30,000,000** each Claim and in the Annual Aggregate including Defense Costs, charges and expenses excess of the Retention.

RETENTION: **US \$200,000** per claim.

TYPE OF INSURANCE: Lawyers Professional Liability Insurance following the Lead Underwriter and subject to the terms and conditions of the Policy issued by the Lead Underwriter.

LEAD UNDERWRITER: Columbia Casualty Company

COMPANY'S PARTICIPATION: 16.50% of 100.00% of the annual limit and premium expressed hereon.

ANNUAL PREMIUM: **\$203,425.00** exclusive of the Excess & Surplus lines taxes and fees, of which \$33,565.00 being 16.50% of 100.00% shall be payable to the Company.

INSURED WITH: Indian Harbor Insurance Company (the "Company")

DATED: October 7, 2021

/ Vice President

Signature and Title of Authorized Representative of the Company

ATTACHING TO AND FORMING PART OF POLICY NUMBER NO: **LPN 9033668 05**

The Company warrants that:

- A. This MEMORANDUM OF INSURANCE incorporates and is subject to all terms set forth in the Followed Policy issued by the Lead Underwriter – Columbia Casualty Company, Policy No. 592420538 on the identical subject matter and risk and is subordinate to the Followed Policy (except as regards the PREMIUM, the SUM INSURED and Section III B. REINSTATEMENT OF THE LIMIT OF LIABILITY) as contained in the Followed Policy. In matters regarding claims, the Company will act exclusively through the representative or representatives designated by the Underwriters of the Followed Policy. Notwithstanding the foregoing, the Company may, at its sole discretion, elect to associate in the investigation, settlement and/or defense of any claims to which the Company may be liable to contribute.
- B. This MEMORANDUM OF INSURANCE incorporates, and is subordinate to any changes and endorsements of the Followed Policy provided the Company consents to such changes and endorsements, such consent not to be unreasonable withheld.
- C. Any changes of insurers or co-insurers, including incomplete placements, are permitted without notice but loss of coverage resulting from any incomplete placement is assumed by the INSURED and shall not cause the layer of coverage in which the Company participates to drop to a lower level of coverage or increase the participation of the Company in such layer of coverage.
- D. In the events of the reduction or exhaustion of the sums insured under the Followed Policy and/or underlying policies by reason of claims paid thereunder, this MEMORANDUM OF INSURANCE shall:
 - a. in the event of reduction, pay the excess of the reduced underlying sums insured;
 - b. in the event of exhaustion, continue in force as Primary insurance

provided always that in the latter event, this MEMORANDUM OF INSURANCE shall only pay the excess of the retention as provided in the Followed Policy.

**CONTRACT OF INSURANCE FOR:****Davies Ward Phillips & Vineberg LLP**

POLICY NUMBER: 1209438

POLICY DATED: Thursday, 01 July 2021

BROKER: Worldwide Facilities, Inc.
300 S. Wacker, Suite 2450,
Chicago, Illinois 60606,
United States of America.

RISK DETAILS

TYPE: LAWYERS PROFESSIONAL LIABILITY INSURANCE
(Claims Made and Reported Basis)

NAMED INSURED: Davies Ward Phillips & Vineberg LLP

ADDRESS OF NAMED INSURED: 900 Third Avenue, 24th Floor,
New York, NY 10022,
United States of America.

PERIOD: **From:** 1 July 2021 at 12.01am Standard Time at the address
of the Named Insured above

To: 1 July 2022 at 12.01am Standard Time at the address
of the Named Insured above

INTEREST: Lawyers Professional Liability arising from the business operations
of the Named Insured in the United States of America or United
Kingdom.

LIMITS OF LIABILITY:

USD 7,500,000
Part of
USD 30,000,000 Per Claim
Inclusive of Defense

USD 7,500,000
Part of
USD 30,000,000 in the Aggregate where applicable in the
Followed Policy.

Excess of:

USD 200,000 Per Claim
Inclusive of Defense

TERRITORIAL LIMITS: As per the Followed Policy.

CONDITIONS:

1. Terms as per attached AttPro Follow Form Policy, following the terms of the Followed Policy issued by the Lead Underwriter, other than as amended hereon.
2. U.S. Terrorism Risk Insurance Act of 2002 As Amended Not Purchased Clause LMA 5219 (Amended), as attached.
3. Retroactive Date: Full Prior Acts.
4. Prior and Pending: 1 July 2007.

5. Underwriter representative: Anthony Spain, Mendes & Mount, NY NY.

SUBJECTIVITIES:

This contract of insurance is subject to receipt, review, and acceptance and/or compliance with the following terms and conditions:

1. Copies of all layer binders.
2. Full CNA policy form with all endorsements and line slip at issuance. Wording to include satisfactory economic and trade sanctions language.

Worldwide Facilities, Inc. are to fully resolve all Subjectivities by 30 July 2021 (or other applicable date as more specifically stated above). If Subjectivities are not fully resolved by such date, Berkshire Hathaway International Insurance Limited reserves the right to amend and/or cancel coverage hereunder, effective from inception.

**CHOICE OF
LAW AND
JURISDICTION:**

As per Followed Policy.

PREMIUM:

USD 203,425 (100% Annual, not including applicable taxes)

USD 50,856.25 (BHIL Premium share for participation)

**PAYMENT
TERMS:**

Premium Payment Terms Endorsement, as attached (within 30 days, premium to be received by 30 July 2021).

**TAXES PAYABLE
BY INSURED:**

The Insurance Premium is exclusive of any applicable Surplus Lines taxes or other taxes, fees or surcharges. The Insured is responsible for the payment of any applicable Surplus Lines taxes and other taxes, fees or surcharges. The Insurer shall have no responsibility for any such payments.

**TAXES PAYABLE
BY INSURED AND
ADMINISTERED
BY INSURERS:**

Premiums paid to Berkshire Hathaway International Insurance Limited are subject to European Economic Area (EEA) Insurance Premium Tax at the rates prevailing within each member country on revenues generated within each member country, subject to the de minimus limit for each member country. EEA Insurance Premium Taxes shall be calculated in accordance with the attached Tax Declaration (not for attachment to the policy), and are in addition to the premium. The Insured is responsible for the payment of any applicable taxes. These taxes must be paid with the premium hereon, and the Insurer will then transfer these onward to the correct authorities.

**INSURER
CONTRACT
DOCUMENTATION:**

This contract document details the contract terms entered into by the Insured and the Insurer, and constitutes the contract document.

No further documentation will be issued, other than any applicable amendatory endorsement(s), signed by the Insurer.

This Policy is subject to United States of America state surplus lines requirements. It is the responsibility of the Surplus Lines Broker to affix a surplus lines notice to the Policy before it is provided to the Insured. In the event that the surplus lines notice is not affixed to the Policy, the Insured should contact the Surplus Lines Broker.

INFORMATION DETAILS

The following information was provided to the Insurer to support the assessment of the risk and is held on file by the Insurer:

Submission for Period 1 July 2021 - 1 July 2022, plus any subsequent information received by Berkshire Hathaway International Insurance Limited.

SECURITY DETAILS

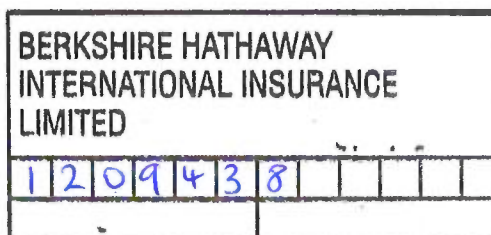
THE INSURER: Berkshire Hathaway International Insurance Limited.

**ORDER
HEREON:** USD 7,500,000 part of USD 30,000,000

**BASIS OF
WRITTEN LINES:** Part of Whole

WRITTEN LINE:

SIGNED: USD 7,500,000
PART of
DATED: USD 30,000,000



FB 1/7
2021

**COMPANY
REFERENCE:**

**SIGNING
PROVISIONS:** Berkshire Hathaway International Insurance Limited Line to Stand.

**INSURER'S
LIABILITY:** LSW 1001 as below:

The subscribing insurers' obligations under contracts of insurance to which they subscribe are several and not joint and are limited solely to the extent of their individual subscriptions. The subscribing insurers' are not responsible for the subscription of any co-subscribing insurer who for any reason does not satisfy all or part of its obligations.

LSW1001
(08/94) Insurance

SUBSCRIPTION AGREEMENT

SLIP LEADER: Berkshire Hathaway International Insurance Limited.

SETTLEMENT DUE DATE: 30 July 2021.

CONTRACT CHANGE AGREEMENT: All contract changes to be authorised by the Slip Leader only in writing.

BASIS OF CLAIMS AGREEMENT: All claims to be advised to and authorised by Claims Manager, Berkshire Hathaway International Insurance Limited, 1st Floor, 55 Mark Lane, London, EC3R 7NE, in accordance with Berkshire Hathaway International Insurance Limited claims procedures. No delegated claims authority.

CLAIMS AGREEMENT PARTIES: The Slip Leader only.

CLAIMS ADMINISTRATION: Worldwide Facilities, Inc. and the Slip Leader agree that any claims hereunder will be advised to the Slip Leader and administered in writing and delivered in person, via email or letter, with any payment(s) due processed via electronic fund transfer.

EXPERT FEES COLLECTION: Slip Leader to settle fees directly.

FISCAL AND REGULATORY**TAXES PAYABLE
BY INSURERS:**

None. Berkshire Hathaway International Insurance Limited is exempt from Federal Excise Tax.

**COUNTRY OF
ORIGIN:**

United States of America.

**OVERSEAS
BROKER:**

None.

**SURPLUS
LINES BROKER:**

Program Brokerage Corp
1065 Avenue of the Americas,
New York, NY 10018

License Number: Ex799492.

**STATE OF
FILING:**

New York.

US CLASSIFICATION:

US Surplus lines.

**FCA CLIENT
CLASSIFICATION:**

Large Risk.

BROKER REMUNERATION AND DEDUCTIONS

**FEE PAYABLE BY
CLIENT:** No.

**OTHER
DEDUCTIONS
FROM PREMIUM:** None.

WORDINGS ATTACHING HEREON

POLICY NUMBER: 1209438

INSURED: Davies Ward Phillips & Vineberg LLP

ADDRESS: 900 Third Avenue, 24th Floor,
New York, NY 10022,
United States of America.

PERIOD OF INSURANCE: Inception Date: 1 July 2021
Expiration Date: 1 July 2022
(12.01am Standard Time at the address of the Named Insured above)

LIMIT OF LIABILITY: USD 7,500,000 part of USD 30,000,000 per Claim
Inclusive of Defense
USD 7,500,000 part of USD 30,000,000 in the aggregate
where applicable in the Followed Policy.

Excess of:

RETENTION: USD 200,000 per Claim
Inclusive of Defense

TYPE OF INSURANCE: Lawyers Professional Liability Insurance

LEAD UNDERWRITER: Columbia Casualty Company

COMPANY PARTICIPATION: USD 7,500,000 part of USD 30,000,000

ANNUAL PREMIUM: USD 203,425 (100% Annual, not including applicable taxes)
USD 50,856.25 (BHIL Premium share for participation)

DATED: 1 July 2021

ATTACHING TO AND FORMING PART OF POLICY NUMBER NO: 1209438

The Company warrants that:

- A. This MEMORANDUM OF INSURANCE incorporates and is subject to all terms set forth in the Followed Policy issued by the Lead Underwriter— Columbia Casualty Company, Policy No. 592420426 on the identical subject matter and risk and is subordinate to the Followed Policy (except as regards the PREMIUM, the SUM INSURED and Section III B. REINSTATEMENT OF THE LIMIT OF LIABILITY) as contained in the Followed Policy. In matters regarding claims, the Company will act exclusively through the representative or representatives designated by the Underwriters of the Followed Policy. Notwithstanding the foregoing, the Company may, at its sole discretion, elect to associate in the investigation, settlement and/or defense of any claims to which the Company may be liable to contribute.
- B. This MEMORANDUM OF INSURANCE incorporates, and is subordinate to any changes and endorsements of the Followed Policy provided the Company consents to such changes and endorsements, such consent not to be unreasonably withheld.
- C. Any changes of insurers or co-insurers, including incomplete placements, are permitted without notice but loss of coverage resulting from any incomplete placement is assumed by the INSURED and shall not cause the layer of coverage in which the Company participates to drop to a lower level of coverage or increase the participation of the Company in such layer of coverage.
- D. In the events of the reduction or exhaustion of the sums insured under the Followed Policy and/or underlying policies by reason of claims paid thereunder, this MEMORANUM OF INSURANCE shall:
 - a. in the event of reduction, pay the excess of the reduced underlying sums insured;
 - b. in the event of exhaustion, continue in force as Primary insurance

provided always that in the latter event, this MEMORANDUM OF INSURANCE shall only pay the excess of the retention as provided in the Followed Policy.

POLICY NUMBER:	1209438
ENDORSEMENT NUMBER:	1
EFFECTIVE:	1 JULY 2021
ISSUED TO:	DAVIES WARD PHILLIPS & VINEBERG LLP

PREMIUM PAYMENT TERMS ENDORSEMENT

It is a condition precedent to any obligation of the Company pursuant to this Policy that the premium will be paid in full to the Company within thirty (30) days of inception of this Policy (or, in respect of instalment premiums, when due). If the premium due under this Policy has not been so paid to the Company within thirty (30) days of inception of this Policy (and, in respect of instalment premiums, by the date they are due) this Policy shall be void and the Insured shall forfeit all right to coverage under the Policy ab initio. Any premium already paid to the Company shall be refunded to the Insured and any loss payments already paid to the Insured shall be refunded to the Company.

ALL OTHER TERMS OF THIS POLICY REMAIN UNCHANGED

POLICY NUMBER:	1209438
ENDORSEMENT NUMBER:	2
EFFECTIVE:	1 JULY 2021
ISSUED TO:	DAVIES WARD PHILLIPS & VINEBERG LLP

**U.S. TERRORISM RISK INSURANCE ACT OF 2002 AS AMENDED NOT PURCHASED
ENDORSEMENT**

This Clause is issued in accordance with the terms and conditions of the "U.S. Terrorism Risk Insurance Act of 2002" as amended as summarized in the disclosure notice.

The Company have made available coverage for "insured losses" directly resulting from an "act of terrorism" as defined in the "U.S. Terrorism Risk Insurance Act of 2002" as amended ("TRIA") and the Insured has declined or not confirmed to purchase this coverage.

This Policy therefore affords no coverage for losses directly resulting from any "act of terrorism" as defined in TRIA except to the extent, if any, otherwise provided by this Policy.

All other terms, conditions, insured coverage and exclusions of this Policy including applicable limits and deductibles remain unchanged and apply in full force and effect to the coverage provided by this Policy.

12/01/15
LMA5219 (Amended)
Form approved by Lloyd's Market Association

ALL OTHER TERMS OF THIS POLICY REMAIN UNCHANGED

CONTRACT ENDORSEMENT

Unique Market Reference: B0507NM2100007
Endorsement Reference: 001
Insured: Davies Ward Phillips & Vineberg (a New York partnership)

CONTRACT CHANGES

Notwithstanding anything contained herein to the contrary, this contract is amended as follows:

EFFECTIVE DATE: 01 July 2021

It is hereby noted and agreed by Underwriters that the **RETENTION** is hereby amended to read as follows:

RETENTION: USD 200,000 per Claim, including Defense Costs

It is also hereby noted and agreed that the attached LMA3100 Sanction Limitation and Exclusion Clause is added to the policy.

INFORMATION

- LMA3100 – Sanction Limitation and Exclusion Clause, as attached

ALL OTHER TERMS AND CONDITIONS REMAIN UNCHANGED.

AGREEMENT

GENERAL UNDERWRITERS AGREEMENT (GUA) Each Underwriter's proportion is several not joint		
Slip Leader Only	Slip Leader and Agreement Parties	All Underwriters

DATE / INITIALS

INITIALS			
SYND/CO			

INITIALS			
SYND/CO			

CONTRACT ENDORSEMENT

Unique Market Reference: B0507NM2100007
Endorsement Reference: 001
Insured: Davies Ward Phillips & Vineberg (a New York partnership)

SANCTION LIMITATION AND EXCLUSION CLAUSE

No (re)insurer shall be deemed to provide cover and no (re)insurer shall be liable to pay any claim or provide any benefit hereunder to the extent that the provision of such cover, payment of such claim or provision of such benefit would expose that (re)insurer to any sanction, prohibition or restriction under United Nations resolutions or the trade or economic sanctions, laws or regulations of the European Union, United Kingdom or United States of America.

15/09/10
LMA3100

SECURITY DETAILS

Endorsement Version Date	18 Oct 2021 10:25
Endorsement Status	Completed
UMR	B0507NM210007
Broker Endorsement Reference	001
Endorsement Name	Amendment to Retention and addition of LMA3100 Clause
(Re)Insured	Davies Ward Phillips & Vineberg
Agreement Practice	Bespoke
Agreement Instructions	Lead Agreed

CONFIRMATION OF AGREEMENT BY REQUIRED AGREEMENT PARTIES:**Bespoke Leader**

Agreed 18 Oct 2021 12:20

Underwriter Company	Underwriter	Stamp	Underwriter Ref
Hamilton / Hamilton Insurance DAC	Nancy Ahrens	Lloyd's Underwriter Syndicate No. 4000 HAM, London, England	YI375V21A000

RISK DETAILS

TYPE: Lawyers Professional Liability Insurance

INSURED: Davies Ward Phillips & Vineberg (a New York partnership)

INSURED'S ADDRESS: 900 Third Avenue
24th Floor
New York
NY 10022
U.S.A.

PERIOD: From: 01 July 2021
To: 01 July 2022
Both days at 12:01 a.m. at the Insured's Address

INTEREST: As per policy wording attached

LIMIT OF LIABILITY: USD 30,000,000 each Claim and in the aggregate, including Defense Costs

RETENTION: USD 200,000 per Claim for U.S. work, including Defense Costs

CONDITIONS: As per policy wording and endorsements attached, including but not limited to:

- (1) CNA Lead Form CNA86238NA (08•]18)
- (2) **CNA Endorsements:**
CNA86240XX (7-16) CLLAS Compatible and Allocation Endorsement
CNA86239NA (7-16) Carrier Rating Downgrade Endorsement
CNA86242XX (7-16) Quota Share Endorsement
CNA86241XX (7-16) Service of Suit Endorsement
- (3) Amendatory Endorsement No. 1, as attached
- (4) CLLAS Compatible and Allocation Endorsement, as attached
- (5) NMA1256 – Nuclear Incident Exclusion Clause – Liability – Direct (Broad) – U.S.A., as attached
- (6) NMA1477 – Radioactive Contamination Exclusion Clause – Liability – Direct – (U.S.A.), as attached
- (7) NMA2918 – War and Terrorism Exclusion Endorsement, as attached
- (8) NMA1998 – Service of Suite Clause (U.S.A.), as attached naming Mendes & Mount LLP, New York
- (9) IUA 04-017 – Professional Indemnity Cyber and Data Protection Law Endorsement

It is hereby understood and agreed by any and all underwriters subscribing to this insurance that any subjectivity that has been raised within a quote MRC or quote sheet or otherwise shall be treated as having no application if not included within this final placement MRC. It is incumbent on underwriters to ensure inclusion within the provisions of the final placement MRC any subjectivity which they wish to apply the cover.

**CHOICE OF LAW
& JURISDICTION:**

This Contract shall be governed by the laws of the Province of Ontario and the Insurers and the Insured agree to submit to the jurisdiction of the courts of the Province of Ontario in the event of any dispute concerning the interpretation or enforcement of this Contract.

PREMIUM:

USD 203,425

**PREMIUM
PAYMENT TERMS:**

As per Premium Payment Clause (LSW 3001) attached - 60 days

**TAXES PAYABLE
BY INSURED AND
ADMINISTERED
BY INSURER(S):**

None

**RECORDING,
TRANSMITTING
& STORING
INFORMATION:**

Where the Broker maintains risk and claim data / information / documents the Broker may hold data / information / documents electronically.

**INSURER
CONTRACT
DOCUMENTATION:**

This document details the contractual between the contracting parties and constitutes the contractual documentation.

**NOTICE OF
CANCELLATION
PROVISIONS:**

Where (re)insurers have the right to give notice of cancellation, in accordance with the provisions of the contract, then:

- To the extent provided by the contract, the Slip Leader is authorised to issue such notice on behalf of all participating (re)insurers; and (optionally)
- Any (re)insurer may issue such notice in respect of its own participation.

INFORMATION

The following information was provided to insurer(s) to support the assessment of the risk at the time of underwriting and held on file by Price Forbes and Partners Limited, including but not limited to:

- CLLAS International No Known Claims Statement signed and dated 24 June 2021 (1 page)

PREMIUM PAYMENT CLAUSE

Notwithstanding any provision to the contrary within this contract or any endorsement hereto, in respect of non-payment of premium only the following clause will apply.

The (Re)Insured undertakes that premium will be paid in full to (Re)Insurers within 60 days of inception of this contract (or, in respect of instalment premiums, when due).

If the premium due under this contract has not been so paid to (Re)Insurers by the 60th day from the inception of this contract (and, in respect of instalment premiums, by the date they are due) (Re)Insurers shall have the right to cancel this contract by notifying the (Re)Insured via the broker in writing. In the event of cancellation, premium is due to (Re)Insurers on a pro rata basis for the period that (Re)Insurers are on risk but the full contract premium shall be payable to (Re)Insurers in the event of a loss or occurrence prior to the date of termination which gives rise to a valid claim under this contract.

It is agreed that (Re)Insurers shall give not less than 15 days prior notice of cancellation to the (Re)Insured via the broker. If premium due is paid in full to (Re)Insurers before the notice period expires, notice of cancellation shall automatically be revoked. If not, the contract shall automatically terminate at the end of the notice period.

If any provision of this clause is found by any court or administrative body of competent jurisdiction to be invalid or unenforceable, such invalidity or unenforceability will not affect the other provisions of this clause which will remain in full force and effect.

LSW3001
September 2008

SECURITY DETAILS

INSURER'S LIABILITY:

(Re)insurer's liability several not joint

The liability of a (re)insurer under this contract is several and not joint with other (re)insurers party to this contract. A (re)insurer is liable only for the proportion of liability it has underwritten. A (re)insurer is not jointly liable for the proportion of liability underwritten by any other (re)insurer. Nor is a (re)insurer otherwise responsible for any liability of any other (re)insurer that may underwrite this contract.

The proportion of liability under this contract underwritten by a (re)insurer (or, in the case of a Lloyd's syndicate, the total of the proportions underwritten by all the members of the syndicate taken together) is shown next to its stamp. This is subject always to the provision concerning "signing" below.

In the case of a Lloyd's syndicate, each member of the syndicate (rather than the syndicate itself) is a (re)insurer. Each member has underwritten a proportion of the total shown for the syndicate (that total itself being the total of the proportions underwritten by all the members of the syndicate taken together). The liability of each member of the syndicate is several and not joint with other members. A member is liable only for that member's proportion. A member is not jointly liable for any other member's proportion. Nor is any member otherwise responsible for any liability of any other (re)insurer that may underwrite this contract. The business address of each member is Lloyd's, One Lime Street, London EC3M 7HA. The identity of each member of a Lloyd's syndicate and their respective proportion may be obtained by writing to Market Services, Lloyd's, at the above address.

Proportion of liability

Unless there is "signing" (see below), the proportion of liability under this contract underwritten by each (re)insurer (or, in the case of a Lloyd's syndicate, the total of the proportions underwritten by all the members of the syndicate taken together) is shown next to its stamp and is referred to as its "written line".

Where this contract permits, written lines, or certain written lines, may be adjusted ("signed"). In that case a schedule is to be appended to this contract to show the definitive proportion of liability under this contract underwritten by each (re)insurer (or, in the case of a Lloyd's syndicate, the total of the proportions underwritten by all the members of the syndicate taken together). A definitive proportion (or, in the case of a Lloyd's syndicate, the total of the proportions underwritten by all the members of a Lloyd's syndicate taken together) is referred to as a "signed line". The signed lines shown in the schedule will prevail over the written lines unless a proven error in calculation has occurred.

Although reference is made at various points in this clause to "this contract" in the singular, where the circumstances so require this should be read as a reference to contracts in the plural.

LMA3333
21 June 2007

ORDER HEREON: 17% of 100%

**BASIS OF
WRITTEN LINES:** Percentage of Whole

**SIGNING
PROVISIONS:**

In the event that the written lines hereon exceed 100% of the order, any lines written "to stand" will be allocated in full and all other lines will be signed down in equal proportions so that the aggregate signed lines are equal to 100% of the order without further agreement of any of the (re)insurers.

However:

- A) in the event that the placement of the order is not completed by the commencement date of the period of insurance then all lines written by that date will be signed in full;
- B) the signed lines resulting from the application of the above provisions can be varied, before or after the commencement date of the period of insurance, by the documented agreement of the (re)insured and all (re)insurers whose lines are to be varied. The variation to the contracts will take effect only when all such (re)insurers have agreed, with the resulting variation in signed lines commencing from the date set out in that agreement

WRITTEN LINES

In a co-insurance placement, following (re)insurers may, but are not obliged to, follow the premium charged by the slip leader.

(Re)insurers may not seek to guarantee for themselves terms as favourable as those which others subsequently achieve during the placement.

SUBSCRIPTION AGREEMENT

SLIP LEADER:

Lloyd's Syndicate 4000 (HAM)

**BASIS OF AGREEMENT
TO CONTRACT
CHANGES:**

Subject to GUA (Version 2.0 February 2014) incorporating the Professional Indemnity Schedule (May 2005).

Wording and endorsements and any amendments thereto to be agreed by the Slip Leader only.

Automatic extension of premium payment warranty / condition to apply to each payment due date or instalment due date of up to 15 days, without Insurers' agreement (binding on all Insurers hereon) and the terms of the Settlement Due Date hereon are deemed similarly extended.

**BASIS OF CLAIMS
AGREEMENT:**

Claims to be managed in accordance with the Lloyd's Claims Scheme (Combined), or as amended or any successor thereto.

**CLAIMS AGREEMENT
PARTIES:**

The leading Lloyd's syndicate and, where required by the applicable Lloyd's Claims Scheme, the second Lloyd's syndicate.

The second Lloyd's Syndicate is Lloyd's Syndicate 4444 (CNP)

**CLAIMS
ADMINISTRATION:**

Current XIS/XCS claims procedures where applicable. Broker to enter claim advices into CLASS

**RULES AND EXTENT OF
ANY OTHER DELEGATED
CLAIMS AUTHORITY:**

None.

**EXPERT(S) FEES
COLLECTION:**

Price Forbes & Partners Limited to collect fees.

**SETTLEMENT
DUE DATE:**

04 September 2021

If the Settlement Due Date falls within a weekend or on a bank holiday, such Settlement Due Date is automatically extended to the next working day.

**BUREAUX
ARRANGEMENTS:**

Price Forbes & Partners to present de-linked signings to Xchanging Ins-Sure Services Ltd where possible.

Premium Processing Clause

Where the premium is to be paid through Xchanging **Ins-sure Services (XIS)**, payment to (Re)Insurers will be deemed to occur on the day that a delinked premium is released for settlement by the Appointed Broker or in the case of non-delinked premiums, on the day that the error-free Premium Advice Note (PAN) is submitted to XIS.

Where premiums are to be paid by instalments under the Deferred Account Scheme, and the Appointed Broker does not receive the premium in time to comply with the agreed settlement date for the second or subsequent instalment, the Appointed Broker, if electing to suspend the automatic debiting of the relevant deferred instalment, shall advise the Slip Leader in writing and instruct XIS accordingly. XIS shall then notify (Re)Insurers. Payment to any entity within the same group of companies as the Appointed Broker will be deemed to be payment to the Appointed Broker.

Nothing in this clause shall be construed to override the terms of any Premium Payment Warranty or Clause or any Termination or Cancellation provision contained in this contract. Furthermore, any amendment to the Settlement Due Date of a premium instalment as a result of the operation of this Premium Processing Clause shall not amend the date that such instalment is deemed to be due for the purposes of such Premium Payment Warranty or Clause or Termination or Cancellation provision unless (Re)Insurers expressly agree otherwise.

In the event the Settlement Due Date (as detailed in Subscription Agreement) and/or the Risk Code and/or Year of Account (as detailed in Fiscal and Regulatory) differ from those shown in the Security Schedule attached hereto, the information recorded in the Security Schedule shall take precedence.

Appointed Broker: Price Forbes & Partners Limited

14/12/09
LSW3003

**NOTICE OF
CANCELLATION:**

The content and format of any such notice should be in accordance with the 'Notice of Cancellation' standard, as published by the London Market Group (LMG), or their successor body, on behalf of London Market Associations and participants. However failure to comply with this standard will not affect the validity of the notice given.

The notice shall be provided to Price Forbes & Partners Limited

Failure to comply with this delivery requirement and any applicable notification of cancellation requirement contained in the wording will make the notice null and void.

FISCAL AND REGULATORY

**TAX PAYABLE BY
INSURER(S):**

None

COUNTRY OF ORIGIN:

U.S.A.

OVERSEAS BROKER:

Program Brokerage Corporation
5 Bryant Park
1065 Avenue of the Americas
New York
NY 10018
United States of America

**SURPLUS LINES
BROKER:**

Shawn Flanagan, RPLU
Senior Vice President
Program Brokerage Corp (PBC)
480 Norristown Road, 2nd Floor, Blue Bell PA
5 Bryant Park, 1065 Ave of the Americas, NYC

Work: 484-344-4647
Cell: 646-584-3656
Fax: 917-934-4626

Surplus Lines License Number: EX:511932-R

STATE OF FILING:

New York

U.S. CLASSIFICATION:

U.S. Surplus Lines

**ALLOCATION OF
PREMIUM TO
CODING:**

E2 – 100%

**REGULATORY CLIENT
CLASSIFICATION:**

Commercial

BROKER REMUNERATION AND DEDUCTIONS

<u>FEE PAYABLE BY CLIENT?:</u>	No
<u>TOTAL BROKERAGE:</u>	22.5%
<u>OTHER DEDUCTIONS FROM PREMIUM:</u>	Nil



DECLARATIONS

Policy Number: NM2100007

NOTICE: THIS IS A CLAIMS MADE POLICY, WHICH APPLIES ONLY TO "CLAIMS" FIRST MADE DURING THE "POLICY PERIOD", OR ANY EXTENDED REPORTING PERIOD. THE LIMIT OF LIABILITY TO PAY DAMAGES OR SETTLEMENTS WILL BE REDUCED AND MAY BE EXHAUSTED BY "DEFENSE COSTS", AND "DEFENSE COSTS" WILL BE APPLIED TO AGAINST THE RETENTION AMOUNT. IN NO EVENT WILL THE UNDERWRITERS BE LIABLE FOR "DEFENSE COSTS" OR THE AMOUNT OF ANY JUDGMENT OR SETTLEMENT IN EXCESS OF THE APPLICABLE LIMIT OF LIABILITY. THE COVERAGE AFFORDED UNDER THIS POLICY DIFFERS IN SOME RESPECTS FROM THAT AFFORDED UNDER OTHER POLICIES. READ THE ENTIRE POLICY CAREFULLY

Item 1. FIRM:

Davies Ward Phillips & Vineberg (a New York partnership)
900 Third Avenue, 24th Floor, New York, NY 10022, U.S.A.

Item 2. PREDECESSOR FIRM(S)

None

Item 3. POLICY PERIOD

(A) Inception Date: 01 July 2021
(B) Expiration Date: 01 July 2022
Both days at 12:01 a.m. at the Address in ITEM 1

Item 4. LIMITS OF LIABILITY (inclusive of Defense Costs):

(A) USD 30,000,000 maximum limit of liability each **Claim**
(B) USD 30,000,000 maximum aggregate limit of liability under this Policy for all **Claims**

Item 5. RETENTION AMOUNT:

USD 200,000 per **Claim** for U.S. work, including Defense Costs

Item 6. EXTENDED REPORTING PERIOD:

(A) Additional Period	(B) Additional Premium
1 Year	150% of Annual Premium
2 Year	225% of Annual Premium
3 Year	300% of Annual Premium

Item 7. PENDING OR PRIOR DATE:

01 July 2007 at 12:01 a.m. at the Address in Item 1

Item 8. PREMIUM:

USD 203,425

Item 9. INSURERS AND PARTICIPATIONS

Certain Underwriters at Lloyd's: 17.00% of 100.00% of the LIMIT and PREMIUM

These Declarations, the completed signed Application and this Policy with Endorsements shall constitute the contract between the Insured and the Underwriters.

ATTACHING TO AND FORMING PART OF POLICY NUMBER NM2100007

ISSUED TO: Davies Ward Phillips & Vineberg (a New York partnership)

ENDORSEMENT NUMBER: ONE

Insurers hereby agree to amend III. EXCLUSIONS (B) (2) to read as follows:

- (2) based upon, arising from or in consequence of any deliberately fraudulent or dishonest act or omission or any wilful violation of any statute or regulation by such Insured, or any libel or slander committed by such Insured with knowledge of its falsity. However, nothing contained in the foregoing shall exclude coverage to any other insured, who was not so adjudged to have committed such fraud or dishonesty as described.

NUCLEAR INCIDENT EXCLUSION CLAUSE-LIABILITY-DIRECT (BROAD) (U.S.A.)

For attachment to insurances of the following classifications in the U.S.A., its Territories and Possessions, Puerto Rico and the Canal Zone:

Owners, Landlords and Tenants Liability, Contractual Liability, Elevator Liability, Owners or Contractors (including railroad) Protective Liability, Manufacturers and Contractors Liability, Product Liability, Professional and Malpractice Liability, Storekeepers Liability, Garage Liability, Automobile Liability (including Massachusetts Motor Vehicle or Garage Liability), not being insurances of the classifications to which the Nuclear Incident Exclusion Clause-Liability-Direct (Limited) applies.

This Policy* does not apply:

- I. Under any Liability Coverage, to injury, sickness, disease, death or destruction
 - (a) with respect to which an insured under the Policy is also an insured under a nuclear energy liability policy issued by Nuclear Energy Liability Insurance Association, Mutual Atomic Energy Liability Underwriters or Nuclear Insurance Association of Canada, or would be an insured under any such policy but for its termination upon exhaustion of its limit of liability; or
 - (b) resulting from the hazardous properties of nuclear material and with respect to which (1) any person or organization is required to maintain financial protection pursuant to the Atomic Energy Act of 1954, or any law amendatory thereof, or (2) the insured is, or had this Policy not been issued would be, entitled to indemnity from the United States of America, or any agency thereof, under any agreement entered into by the United States of America, or any agency thereof, with any person or organization.
- II. Under any Medical Payments Coverage, or under any Supplementary Payments Provision relating to immediate medical or surgical relief, to expenses incurred with respect to bodily injury, sickness, disease or death resulting from the hazardous properties of nuclear material and arising out of the operation of a nuclear facility by any person or organization.
- III. Under any Liability Coverage, to injury, sickness, disease, death or destruction resulting from the hazardous properties of nuclear material, if
 - (a) the nuclear material (1) is at any nuclear facility owned by, or operated by or on behalf of, an insured or (2) has been discharged or dispersed therefrom;
 - (b) the nuclear material is contained in spent fuel or waste at any time possessed, handled, used, processed, stored, transported or disposed of by or on behalf of an insured; or
 - (c) the injury, sickness, disease, death or destruction arises out of the furnishing by an insured of services, materials, parts or equipment in connection with the planning, construction, maintenance, operation or use of any nuclear facility, but if such facility is located within the United States of America, its territories or possessions or Canada, this exclusion (c) applies only to injury to or destruction of property at such nuclear facility.
- IV. As used in this endorsement:

"hazardous properties" include radioactive, toxic or explosive properties; "nuclear material" means source material, special nuclear material or by-product material; "source material", "special nuclear material", and "by-product material" have the meanings given them in the Atomic Energy Act 1954 or in any law amendatory thereof; "spent fuel" means any fuel element or fuel component, solid or liquid, which has been used or exposed to radiation in a nuclear reactor; "waste" means any waste material (1) containing by-product material and (2) resulting from the operation by any person or organization of any nuclear facility included within the definition of nuclear facility under paragraph (a) or (b) thereof; "nuclear facility" means

- (a) any nuclear reactor,
- (b) any equipment or device designed or used for (1) separating the isotopes of uranium or plutonium, (2) processing or utilizing spent fuel, or (3) handling, processing or packaging waste,
- (c) any equipment or device used for the processing, fabricating or alloying of special nuclear material if at any time the total amount of such material in the custody of the insured at the premises where such equipment or device is located consists of or contains more than 25 grams of plutonium or uranium 233 or any combination thereof, or more than 250 grams of uranium 235, any structure, basin, excavation, premises or place prepared or used for the storage or disposal of waste, and includes the site on which any of the foregoing is located, all operations conducted on such site and all premises used for such operations; "nuclear reactor" means any apparatus designed or used to sustain nuclear fission in a self-supporting chain reaction or to contain a critical mass of fissionable material. With respect to injury to or destruction of property, the word "injury" or "destruction" includes all forms of radioactive contamination of property.

It is understood and agreed that, except as specifically provided in the foregoing to the contrary, this clause is subject to the terms, exclusions, conditions and limitations of the Policy to which it is attached.

* NOTE: As respects policies which afford liability coverages and other forms of coverage in addition, the words underlined should be amended to designate the liability coverage to which this clause is to apply.

NMA1256

17/03/1960

RADIOACTIVE CONTAMINATION EXCLUSION CLAUSE-LIABILITY-DIRECT (U.S.A.)

For attachment (in addition to the appropriate Nuclear Incident Exclusion Clause-Liability-Direct) to liability insurances affording worldwide coverage.

In relation to liability arising outside the U.S.A., its Territories or Possessions, Puerto Rico or the Canal Zone, this Policy does not cover any liability of whatsoever nature directly or indirectly caused by or contributed to by or arising from ionising radiations or contamination by radioactivity from any nuclear fuel or from any nuclear waste from the combustion of nuclear fuel.

NMA1477

13/02/1964

WAR AND TERRORISM EXCLUSION ENDORSEMENT

Notwithstanding any provision to the contrary within this insurance or any endorsement thereto it is agreed that this insurance excludes loss, damage, cost or expense of whatsoever nature directly or indirectly caused by, resulting from or in connection with any of the following regardless of any other cause or event contributing concurrently or in any other sequence to the loss;

1. war, invasion, acts of foreign enemies, hostilities or warlike operations (whether war be declared or not), civil war, rebellion, revolution, insurrection, civil commotion assuming the proportions of or amounting to an uprising, military or usurped power; or
2. any act of terrorism.

For the purpose of this endorsement an act of terrorism means an act, including but not limited to the use of force or violence and/or the threat thereof, of any person or group(s) of persons, whether acting alone or on behalf of or in connection with any organisation(s) or government(s), committed for political, religious, ideological or similar purposes including the intention to influence any government and/or to put the public, or any section of the public, in fear.

This endorsement also excludes loss, damage, cost or expense of whatsoever nature directly or indirectly caused by, resulting from or in connection with any action taken in controlling, preventing, suppressing or in any way relating to 1 and/or 2 above.

If the Underwriters allege that by reason of this exclusion, any loss, damage, cost or expense is not covered by this insurance the burden of proving the contrary shall be upon the Assured.

In the event any portion of this endorsement is found to be invalid or unenforceable, the remainder shall remain in full force and effect.

08/10/01
NMA2918

SERVICE OF SUIT CLAUSE (U.S.A.)

It is agreed that in the event of the failure of the Underwriters hereon to pay any amount claimed to be due hereunder, the Underwriters hereon, at the request of the Insured (or Reinsured), will submit to the jurisdiction of a Court of competent jurisdiction within the United States. Nothing in this Clause constitutes or should be understood to constitute a waiver of Underwriters' rights to commence an action in any Court of competent jurisdiction in the United States, to remove an action to a United States District Court, or to seek a transfer of a case to another Court as permitted by the laws of the United States or of any State in the United States.

It is further agreed that service of process in such suit may be made upon {Response} and that in any suit instituted against any one of them upon this contract, Underwriters will abide by the final decision of such Court or of any Appellate Court in the event of an appeal.

The above-named are authorized and directed to accept service of process on behalf of Underwriters in any such suit and/or upon the request of the Insured (or Reinsured) to give a written undertaking to the Insured (or Reinsured) that they will enter a general appearance upon Underwriters' behalf in the event such a suit shall be instituted.

Further, pursuant to any statute of any state, territory or district of the United States which makes provision therefor, Underwriters hereon hereby designate the Superintendent, Commissioner or Director of Insurance or other officer specified for that purpose in the statute, or his successor or successors in office, as their true and lawful attorney upon whom may be served any lawful process in any action, suit or proceeding instituted by or on behalf of the Insured (or Reinsured) or any beneficiary hereunder arising out of this contract of insurance (or reinsurance), and hereby designate the above-named as the person to whom the said officer is authorized to mail such process or a true copy thereof.

24/4/86
NMA1998

PROFESSIONAL INDEMNITY CYBER AND DATA PROTECTION LAW ENDORSEMENT

- 1) This endorsement takes priority over any other provision in this contract.
- 2) Save as expressly provided in this endorsement, or by other restrictions in this contract specifically relating to the use of, or inability to use, a **Computer System**, no cover otherwise provided under this contract shall be restricted solely due to the use of, or inability to use, a **Computer System**.
- 3) This contract excludes any loss, damage, liability, claim, costs, expense, fines, penalties, mitigation costs or any other amount directly caused by, directly resulting from or directly arising out of:
 - a) a **Cyber Act**; or
 - b) any partial or total unavailability or failure of any **Computer System**;

provided the **Computer System** is owned or controlled by the insured or any other party acting on behalf of the insured in either case; or
 - c) the receipt or transmission of malware, malicious code or similar by the insured or any other party acting on behalf of the insured.
- 4) This contract excludes any loss, damage, liability, claim, costs, expense, fines, penalties, mitigation costs or any other amount directly or indirectly caused by, directly or indirectly resulting from or directly or indirectly arising out of any failure or interruption of service provided:
 - a) to the insured or any other party acting on behalf of the insured by an internet service provider, telecommunications provider or cloud provider but not including the hosting of hardware and software owned by the insured;
 - b) by any utility provider, but only where such failure or interruption of service impacts a **Computer System** owned or controlled by the insured or any other party acting on behalf of the insured.
- 5) This contract excludes any loss, damage, liability, claim, costs, expense, fines, penalties, mitigation costs or any other amount for actual or alleged breach of **Data Protection Law** by the insured or any other party acting on behalf of the insured.
- 6) Any cover for costs of reconstituting or recovering lost, inaccessible or damaged documents owned or controlled by the insured or any other party acting on behalf of the insured in this contract shall not apply to **Data**.

For the purposes of this endorsement the following definitions apply:

Computer System means any computer, hardware, software, communications system, electronic device (including, but not limited to, smart phone, laptop, tablet, wearable device), server, cloud or microcontroller including any similar system or any configuration of the aforementioned and including any associated input, output, data storage device, networking equipment or back up facility.

Cyber Act means an unauthorised, malicious or criminal act or series of related unauthorised, malicious or criminal acts, regardless of time and place, or the threat or hoax thereof, involving access to, processing of, use of or operation of any **Computer System**.

Data means information, facts, concepts, code or any other information of any kind that is recorded or transmitted in a form to be used, accessed, processed, transmitted or stored by a **Computer System**.

Data Protection Law means any applicable data protection and privacy legislation or regulations in any country, province, state, territory or jurisdiction which govern the use, confidentiality, integrity, security and protection of personal data or any guidance or codes of practice relating to personal data issued by any data protection regulator or authority from time to time (all as amended, updated or re-enacted from time to time).

IUA 04-017 27.11.2020

CHOICE OF LAW & JURISDICTION

This Contract shall be governed by the laws of the Province of Ontario and the Insurers and the Insured agree to submit to the jurisdiction of the courts of the Province of Ontario in the event of any dispute concerning the interpretation or enforcement of this Contract.

PREMIUM PAYMENT CLAUSE

Notwithstanding any provision to the contrary within this contract or any endorsement hereto, in respect of non-payment of premium only the following clause will apply.

The (Re)Insured undertakes that premium will be paid in full to (Re)Insurers within 60 days of inception of this contract (or, in respect of instalment premiums, when due).

If the premium due under this contract has not been so paid to (Re)Insurers by the 60th day from the inception of this contract (and, in respect of instalment premiums, by the date they are due) (Re)Insurers shall have the right to cancel this contract by notifying the (Re)Insured via the broker in writing. In the event of cancellation, premium is due to (Re)Insurers on a pro rata basis for the period that (Re)Insurers are on risk but the full contract premium shall be payable to (Re)Insurers in the event of a loss or occurrence prior to the date of termination which gives rise to a valid claim under this contract.

It is agreed that (Re)Insurers shall give not less than 15 days prior notice of cancellation to the (Re)Insured via the broker. If premium due is paid in full to (Re)Insurers before the notice period expires, notice of cancellation shall automatically be revoked. If not, the contract shall automatically terminate at the end of the notice period.

If any provision of this clause is found by any court or administrative body of competent jurisdiction to be invalid or unenforceable, such invalidity or unenforceability will not affect the other provisions of this clause which will remain in full force and effect.

LSW3001
September 2008

INSURER'S LIABILITY:

(Re)insurer's liability several not joint

The liability of a (re)insurer under this contract is several and not joint with other (re)insurers party to this contract. A (re)insurer is liable only for the proportion of liability it has underwritten. A (re)insurer is not jointly liable for the proportion of liability underwritten by any other (re)insurer. Nor is a (re)insurer otherwise responsible for any liability of any other (re)insurer that may underwrite this contract.

The proportion of liability under this contract underwritten by a (re)insurer (or, in the case of a Lloyd's syndicate, the total of the proportions underwritten by all the members of the syndicate taken together) is shown next to its stamp. This is subject always to the provision concerning "signing" below.

In the case of a Lloyd's syndicate, each member of the syndicate (rather than the syndicate itself) is a (re)insurer. Each member has underwritten a proportion of the total shown for the syndicate (that total itself being the total of the proportions underwritten by all the members of the syndicate taken together). The liability of each member of the syndicate is several and not joint with other members. A member is liable only for that member's proportion. A member is not jointly liable for any other member's proportion. Nor is any member otherwise responsible for any liability of any other (re)insurer that may underwrite this contract. The business address of each member is Lloyd's, One Lime Street, London EC3M 7HA. The identity of each member of a Lloyd's syndicate and their respective proportion may be obtained by writing to Market Services, Lloyd's, at the above address.

Proportion of liability

Unless there is "signing" (see below), the proportion of liability under this contract underwritten by each (re)insurer (or, in the case of a Lloyd's syndicate, the total of the proportions underwritten by all the members of the syndicate taken together) is shown next to its stamp and is referred to as its "written line".

Where this contract permits, written lines, or certain written lines, may be adjusted ("signed"). In that case a schedule is to be appended to this contract to show the definitive proportion of liability under this contract underwritten by each (re)insurer (or, in the case of a Lloyd's syndicate, the total of the proportions underwritten by all the members of the syndicate taken together). A definitive proportion (or, in the case of a Lloyd's syndicate, the total of the proportions underwritten by all the members of a Lloyd's syndicate taken together) is referred to as a "signed line". The signed lines shown in the schedule will prevail over the written lines unless a proven error in calculation has occurred.

Although reference is made at various points in this clause to "this contract" in the singular, where the circumstances so require this should be read as a reference to contracts in the plural.

SECURITY DETAILS

REFERENCES

UMR (Unique Market Reference): B0507NM210007

Date contract printed to PDF: 13:59 05 August 2021

SIGNED UNDERWRITERS

Hamilton / Hamilton Insurance DAC

Nancy Ahrens

Written Line

9.00%

Signed Line

9.00%

Agreed on

16:04 04 August 2021

For and on behalf of:

Written Line

Signed Line

Lloyd's Underwriter Syndicate No. 4000 HAM,
London, England

9.00%

9.00%

Bound as Slip Leader, Lloyd's Leader

Lloyd's Stamp: 4000

Reference: YI375V21A000

Description: NA per CC

Risk Code(s): E2

Mosaic Syndicate Services Limited

Anna Jay

Written Line

3.00%

Signed Line

3.00%

Agreed on

11:09 23 July 2021

For and on behalf of:

Written Line

Signed Line

Mosaic Syndicate Services Limited 115988NMV,
MSSUKPL21 2021 Professional Liability - MOS
1609 (100%). Premiums settled direct with
Mosaic Syndicate Services Limited. Claims
notifications to be sent to
ClaimsFNOL@mosaicinsurance.com

3.00%

3.00%

Bound

Reference:

PPL0028121AA

Description:

Canopus Managing Agents Limited

Andrew Sutcliffe

Written Line	5.00%	Signed Line	5.00%
---------------------	-------	--------------------	-------

Agreed on	13:58 05 August 2021
------------------	----------------------

For and on behalf of:

Lloyd's Underwriter Syndicate No. 4444 CNP,
London, England

Written Line	Signed Line
---------------------	--------------------

5.00%	5.00%
-------	-------

Bound

<i>Lloyd's Stamp:</i>	4444
<i>LORS Code:</i>	L4444
<i>Reference:</i>	C11891BAA
<i>Description:</i>	
<i>Risk Code(s):</i>	E2

Line Conditions

All Claims to be agreed by Canopus 4444 CNP as second Lloyd's syndicate

SETTLEMENT INFORMATION

Allocation of Premium to Coding

E2 at 100.00%

Allocation of Premium to Year of Account

2021

Terms of Settlement

Settlement Due Date: 04 September 2021

Instalment Premium Period of Credit: 0 day(s)

Adjustment Premium Period of Credit: 0 day(s)

Lloyd's Underwriter Syndicate No. 4000 HAM, London, England

Bureau Leader and Lloyd's Leader

Nancy Ahrens

APPENDIX F

Schedule of Claims and Notices As of December 31, 2021

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

December 31, 2021

Please attach separately with the email

CANADIAN LAWYERS LIABILITY ASSURANCE SOCIETY (CLLAS)

Open and Closed Claims Report

Davies Ward Phillips & Vineberg

As at: December 31, 2021

Claim No	LS File #	Report Date	Error Date	Insured	Claimant	Close Date	Law Society						CLLAS									
							LS Indemnity Paid	LS Other Paid	LS Legal Paid	LS Indemnity Reserve	LS Legal Reserve	LS Total Incurred	CLLAS Indemnity Paid	CLLAS Legal Paid	CLLAS Adjusting Paid	CLLAS Recov Other Paid	CLLAS Adjusting Reserve	CLLAS Indemnity Reserve	CLLAS Legal Reserve	CLLAS Recov Other Reserve	CLLAS Total Incurred	
CLLAS1988-051	LNR512E	1-Jun-1988	1-Dec-1987	Brian R. Carr	ALBERTO CULVER CANADA INC.	1-Apr-1988	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-013	L0510	1-Nov-1987	1-Oct-1987	BRIAN K. GRASMUCK	DONALD RIPLEY	1-Jun-1988	\$ -	\$ -	\$ 708	\$ -	\$ -	\$ 708	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-038	L1035	1-Aug-1987	1-Jul-1986	EDWARD C. HANNAH	ECO CORPORATION	1-Jun-1988	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-011	L0245	1-Sep-1987	1-Dec-1985	NICHOLAS J. LEBLOVIC	CITIBANK CANADA	1-Jul-1988	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-007	LNR040T	1-Jul-1987	1-Jan-1987	ROBERT T. BAUER	DEVELOPMENT CORPORATION\DUSIT LANES DEV.	17-Nov-1988	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-031	L1490	1-May-1988	1-Feb-1986	Donald C. Stanbury	KEVIN JAMES DWYER	1-Mar-1989	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-018	L0908	1-Feb-1988	1-Mar-1987	EDWARD C. HANNAH	DAVID K. LOWRY	1-Sep-1989	\$ -	\$ -	\$ 15,878	\$ -	\$ -	\$ 15,878	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-052	L1657	1-Jun-1988	1-Jul-1987	I. BERL NADLER	CANADIAN MANOIR	1-Nov-1989	\$ -	\$ -	\$ 18	\$ -	\$ -	\$ 18	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-032	LNR513	28-Jun-1988	1-Jun-1987	CHARLES OVERLAND	AUDREY CAMPBELL	12-Jun-1990	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1991-050	PNR001	1-Dec-1990	1-Nov-1990	Colin Campbell	NLK - CELPAP A.B.	24-Jan-1991	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1992-048	N/A	1-Dec-1991	1-Sep-1990	T.B.A. T.B.A.	TRITEN CORPORATION	1-Jun-1992	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1992-107	Q0789	17-Mar-1992	1-Feb-1992	JOHN D. BODRUG	BEAM OF CANADA INC.	1-Sep-1992	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1990-025	NO946	1-Jan-1990	1-Oct-1984	JOHN I. LASKIN	COMMODORE BUSINESS LTD	1-Dec-1992	\$ 100,000	\$ -	\$ 72,053	\$ -	\$ -	\$ 172,053	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-004	Q2072	24-Jul-1992	25-Mar-1992	GREGORY J. HOWARD	ONTARIO RESORTS INC.	1-Jan-1993	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1992-184	P2108	16-Jul-1991			Estate of Anne Fox	30-Jun-1993	\$ 31,883	\$ -	\$ 4,806	\$ -	\$ -	\$ 36,689	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-101	R2345	22-Apr-1993	29-Oct-1992	GRAY E. TAYLOR	The Business Depot Ltd.	30-Jun-1993	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-070	R2290	18-Feb-1993	14-Jun-1989	I. BERL NADLER	Bk of N.S./CIBC/National and Royal/Olympia & York	10-Feb-1994	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-132	R2224	29-Jun-1993	30-Apr-1993	John Laskin	Dr. I.S. Rosenhek	24-Mar-1994	\$ -	\$ 606	\$ -	\$ -	\$ -	\$ 606	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-073	S371	4-Feb-1994	8-Jan-1993	CAROL PENNYCOOK	ODYSSEY PARTNERS, L.P.	14-Apr-1994	\$ -	\$ -	\$ 3,561	\$ -	\$ -	\$ 3,561	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-072	S359	7-Feb-1994	1-Feb-1991	ROBYN M. BELL	JONE SCHOEFFEL	9-May-1994	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-074	S0414-K	10-Feb-1994	1-Feb-1991	MATTHEW GOTTLIEB	HOOGOVS TECHNICAL SERVICES CANADA LTD.	29-Aug-1994	\$ -	\$ 834	\$ -	\$ -	\$ -	\$ 834	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-137	S1697E	6-Jun-1994	1-May-1994	Ronald Wilson	Grant Brown, Hendron Financial Inc.	3-Oct-1994	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-142	S1956R	30-Jun-1994	1-Mar-1994	Robyn Bell	Laventhol & Horwarth Limited	14-Nov-1994	\$ -	\$ -	\$ 2,714	\$ -	\$ -	\$ 2,714	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-074	R0678	31-Mar-1993	30-Jun-1992	ROBYN M. BELL	Garfield's Fashions Limited	23-Jan-1995	\$ -	\$ -	\$ 3,592	\$ -	\$ -	\$ 3,592	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-061	S3605	31-Dec-1994	1-Jun-1994	Sandra A. Forbes	Louis Harris Kalesky	2-Feb-1995	\$ -	\$ -	\$ 4,045	\$ -	\$ -	\$ 4,045	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-026	R3263	30-Sep-1993	5-Jan-1993	THOMAS A. SMEE	Ondaatje Managed Investments Limited	8-Mar-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-014	S2736	20-Sep-1994	1-Jun-1994	Ian Johnson	Industrial Strategic Capital	17-Mar-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-091	T0393	17-Mar-1995	25-Jan-1995	John Zinn	Fortis Inc.	18-May-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-114	T0522	11-Apr-1995	1-Feb-1991	James Kershaw	Donald D. & Ruth Campbell	14-Aug-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-032	S3110	20-Oct-1994	1-Mar-1994	Colin Campbell	Lancaster Funding Inc.	12-Mar-1996	\$ -	\$ -	\$ 9,143	\$ -	\$ -	\$ 9,143	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-084	T0187	6-Feb-1995	9-Jan-1994	Berl Nadler	J. Silver Holdings Limited	11-Jul-1997	\$ -	\$ 4,131	\$ 31,717	\$ -	\$ -	\$ 35,848	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1997-080	V0316	31-Mar-1997	31-Mar-1997	Arthur Shiff	Cadbury Beverages Canada Inc.	22-Oct-1997	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-022	Q2919	31-Oct-1992	31-Oct-1990	JOEL T. KISSACK	MACLEOD-STEDMAN INC.	31-Mar-1998	\$ -	\$ -	\$ 9,783	\$ -	\$ -	\$ 9,783	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1997-112	V0770	19-Jun-1997	1-Feb-1990	Donald C. Stanbury	CMIL Industries	20-Oct-1998	\$ -	\$ -	\$ 4,926	\$ -	\$ -	\$ 4,926	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1999-040	W1556	18-Nov-1998		Steven B. Sharpe	Chrysler Canada/Canada Trust Co. et al	28-Jan-1999	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1999-114	X0815	29-Jun-1999		David/Ian Smith/Crosbi	Onex Corporation	6-Dec-1999	\$ -	\$ 19,742	\$ 143	\$ -	\$ -	\$ 19,885	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2000-067	X1685	31-Dec-1999	13-Oct-1999	Mark Hayes	Armstrong Holdings Inc/TV RadioNow Corp.	27-Jul-2000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1999-020	W1160	11-Sep-1998	30-Jan-1995	J. Berl Nadler	Union Industries Inc./BeckettTech.	3-Oct-2000	\$ -	\$ -	\$ 138,198	\$ -	\$ -	\$ 138,198	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2000-140	Y0770	30-Jun-2000	1-May-1984	Courtney Foster	Canplas Industries Ltd.	21-Nov-2000	\$ -	\$ 440	\$ 702	\$ -	\$ -	\$ 1,142	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2001-060	Y1565	9-Jan-2001	6-Nov-2000	Gillian Stacey	Patheon Inc.	9-Feb-2001	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2001-112	LBQ	27-Apr-2001		Daniel S. Miller	Mamma.Com Inc./Intasys Corp.	30-Jun-2001	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2001-081	Z0223	7-Mar-2001	14-Sep-1998	Patrick Barry	BMO Nesbitt Burns Equity Partners Inc.	11-Oct-2001	\$ -	\$ -	\$ 4,358	\$ -	\$ -	\$ 4,358	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-156	LBQ	24-Apr-2002		Hillel W. Rosen	Metro Beaute Limitee	7-May-2002	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-168	LBQ	15-May-2002		Genevieve Dufour	Maestro Real Estate Advisors	17-Jun-2002	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1999-102	X0723	16-Jun-1999	6-Nov-1998	David Dell	Festival Hall Developments Limited	20-Jun-2002	\$ -	\$ -	\$ 56,098	\$ -	\$ -	\$ 56,098	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1997-090	V0530	7-May-1997	31-Aug-1989	David W. Smith	Toronto-Dominion Bank (Re: GW-CG Investments Ltd)	15-Jul-2002	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-013	LBQ	31-Jul-2001		Katherine Peacocke	Anmara Corporation	10-Oct-2002	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-174	02E0609	4-Jun-2002	23-May-1997	John Ulmer	Transplan Enterprises Ltd.	31-Oct-2002	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1992-081	Q0213-H	28-Feb-1992	31-May-1990	WILLIAM M. AINLEY	PEOPLES/MONTREAL TRUST/CREDIT LYONN	30-Jun-2003	\$ 628,653	\$ -	\$ 371,347	\$ -	\$ -	\$ 1,000,000	\$ 1,371,347	\$ 8,837	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,380,184

Claim No	LS File #	Report Date	Error Date	Insured	Claimant	Close Date	Law Society						CLLAS									
							LS Indemnity Paid	LS Other Paid	LS Legal Paid	LS Indemnity Reserve	LS Legal Reserve	LS Total Incurred	CLLAS Indemnity Paid	CLLAS Legal Paid	CLLAS Adjusting Paid	CLLAS Recov Other Paid	CLLAS Adjusting Reserve	CLLAS Indemnity Reserve	CLLAS Legal Reserve	CLLAS Recov Other Reserve	CLLAS Total Incurred	
CLLAS2002-218	02E0722	28-Jun-2002	8-Apr-1999	Gary Edward Taylor	Toromont Energy Limited	16-Jul-2003	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-177	02E0606	4-Jun-2002	1-Jul-2001	MATTHEW GOTTLIEB	Shaw Communications Inc.	8-Dec-2003	\$ -	\$ -	\$ 3,352	\$ -	\$ -	\$ 3,352	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2005-049	LBQ	10-Dec-2004		George R. Hendy	Michel Abaziou (client Bellingham)	23-Feb-2005	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-183	LBQ	5-Jun-2002		Nathan Boidman	A-Co	31-Mar-2005	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1996-074	U0304	27-Mar-1996	17-Jun-1988	John Zinn	Horizon Limited Partnership	28-Apr-2005	\$ -	\$ -	\$ 112,841	\$ -	\$ -	\$ 112,841	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2006-075	LBQ	27-Jan-2006		Marc-Alexandre Poirier	Metso Automation Canada Ltd.	9-Feb-2006	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2006-074	06E0086	31-Jan-2006		James Doris	BMO Nesbitt Burns	13-Mar-2006	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-090	LBQ	20-Nov-2001	29-Jul-2001	Janet Ferrier	Congress Financial Corporation (Canada)	31-Mar-2006	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2006-115	LBQ	12-Dec-2005		Louis-Martin O'Neill	Sunsea Yachting	31-Mar-2006	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2004-152	LBQ	30-Apr-2004		Mathieu Bouchard	Ralph Faraggi and Robert Langlois	22-Jun-2006	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-001	R2557	16-Jul-1993	1-Jun-1993	JAY A. SWARTZ	Gordon Capital Corporation	14-Nov-2006	\$ -	\$ -	\$ 1,000,000	\$ -	\$ -	\$ 1,000,000	\$ 13,250,000	\$ 2,125,213	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,375,213
CLLAS2007-051	06E1635	8-Dec-2006	25-Aug-2006	Matthew P. Gottlieb	Hollinger Inc.	18-Dec-2006																
CLLAS2003-017	02E0935	13-Aug-2002	31-May-2001	Ian Crosbie	Onex Corporation (re Sky Chefs)	31-Dec-2006	\$ 200,400	\$ -	\$ -	\$ -	\$ -	\$ 200,400	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2007-077	Unknown	22-Dec-2006		Alain Gaul	Radial Investments Ltd.	31-Dec-2006												\$ -				
CLLAS2005-048	LBQ	29-Nov-2004		Denis Ferland	Eaux Vives Harricanad Inc.	16-Feb-2007	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2007-079	07E0028	17-Jan-2007	7-Mar-2005	Carol Hansell	Directors of Hollinger Inc. (See file for names)	23-Jul-2007	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2007-138	TBA	21-Jun-2007		Marc-Andre Boutin	Raymond David and 173303 Canada Inc.	9-Aug-2007	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-063	07E1759	10-Dec-2007		William Ainley	David Szellos and 2025753 Ontario Inc.	26-Feb-2008	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-114	08E-0280	12-Mar-2008	29-Dec-2006	Colin Campbell	Bird Construction Income Fund	21-May-2008	\$ 138,305	\$ -	\$ -	\$ -	\$ -	\$ 138,305	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2009-003	LBQ	22-Jul-2008		Francois Barette	143812 Canada Inc.	12-Aug-2008	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-015	Unknown	8-Aug-2007		Michael D. Vineberg	Velan Holding Co. Ltd.	27-Nov-2008	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2005-235	LBQ	30-Jun-2005		Sylvain Cossette	Unknown - stolen computer	2-Mar-2009	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2009-050	08E1639	13-Nov-2008	19-Mar-2009	Sarah Powell	GE Canada - Building 18	30-Jun-2009	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2009-166	09E0863	30-Jun-2009	21-Jan-2009	Carol Hansell	Toronto Port Authority	2-Jul-2009	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-149	08-0259-0	20-May-2008		George Hendy	Bellingham Trading Ltd. et al	9-Jul-2009	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-012	LBQ	25-Aug-2009		Brian Bloom	3071332 Canada Inc (Samco) and Majeho Investments	27-Aug-2009	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2009-101	09E0140	11-Feb-2009	20-Nov-2008	Donald Stanbury	Cirvek Fund I.L.P.	8-Sep-2009	\$ -	\$ -	\$ 2,119	\$ -	\$ -	\$ 2,119	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-069	09-0691-3	22-Dec-2009		Benoit Archambault	Reitmans (Canada) Limited	1-Mar-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-070	No CST	21-Dec-2007		Jim Nikopoulos	Credit Suisse	18-May-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-015	09E1190	4-Sep-2009	1-Jan-2009	Natasha MacParland	Springer Maschinenfabrik AG and Microtech North Am	25-May-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-060	09E1757	24-Nov-2009	20-Feb-2008	Natasa Birac	Ivanhoe Cambridge Inc.	25-May-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2009-047	LBQ	7-Nov-2008		Hillel W. Rosen	AAC Management Corp (Boutique aux Elegants Inc.)	24-Jun-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-185	10E0863	30-Jun-2010	10-May-2002	Robert Bauer	City of Toronto	20-Jul-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2009-153	LBQ	15-Jun-2009		Nick Rodrigo	Thomas Nacos	30-Sep-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-051	NFO	23-Nov-2010		Mitchell Finkelstein	Ontario Securities Commission et al	31-Dec-2010	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-002	10E0962	20-Jul-2010	15-Aug-1993	Christina Medland (former associate)	Philip Spatafora and Vitina LoBianco	10-Jan-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-047	10E1704	16-Nov-2010	24-Dec-2008	K.A. Siobhan Monaghan	Hunt Oil Corporation	9-Feb-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-009	09-0459-7	24-Aug-2009		Daniel S. Miller	Joseph Sharaf (Estate of Sassoon Abed)	21-Mar-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2006-013	LBQ	10-Aug-2005		Mark Schrager	Ronald Weinberg et al V. Cinar Corp.	31-Mar-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2007-020	06-0484-4	21-Sep-2006		Justin D. Vineberg	Paris & Italia Inc.	12-May-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-030	10E1399	20-Oct-2010	20-Aug-2010	Neal Armstrong	MI Developments Inc.	14-Jun-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-074	10E1856	30-Dec-2010	23-Dec-2010	J. Alexander Moore	Xstrata Canada Corporation	23-Jun-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-191	LBQ	20-Jun-2011	21-Apr-2011	Stephane Eljarrat	Potash Corporation of Saskatchewan	31-Oct-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-026	222631	22-Sep-2011	22-Sep-2008	David Stollow	Innovacion Y Desarrollo de Energia Alfa Sostenable	23-Feb-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2006-162	LBQ	12-Jun-2006		Nathan Boidman	Ivanhoe Mines Ltd.	1-Mar-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-018	LBQ	20-Sep-2010		William Brock	O'Leary Funds Management LP re: Boralex Income Fun	26-Mar-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-155	12E0809	30-May-2012	9-Dec-2007	Ronald S. Wilson	White Knight Investment Trust et al	5-Jun-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-112	LBQ	21-Feb-2011		David Stollow	Kaycan Ltd. re: Leo Sabourin	5-Dec-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-168	LBQ	27-Jun-2012		Sébastien Savage	R.J. Corman Railroad Group, LLC et al	14-Jan-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-106	LBQ	8-Feb-2011		Franziska Ruf	Capital Finlogik Inc.	31-Jan-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-141	12-0227	12-Apr-2012		Pierre-André Themens	Estate or Beneficiary of the Estate of Claude Hum	31-Mar-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Claim No	LS File #	Report Date	Error Date	Insured	Claimant	Close Date	Law Society						CLLAS									
							LS Indemnity Paid	LS Other Paid	LS Legal Paid	LS Indemnity Reserve	LS Legal Reserve	LS Total Incurred	CLLAS Indemnity Paid	CLLAS Legal Paid	CLLAS Adjusting Paid	CLLAS Recov Other Paid	CLLAS Adjusting Reserve	CLLAS Indemnity Reserve	CLLAS Legal Reserve	CLLAS Recov Other Reserve	CLLAS Total Incurred	
CLLAS2012-043	LBQ	7-Nov-2011	1-Sep-2011	Michael N. Kandev	The Larry and Cookie Rossy Family Foundation et al	2-Jul-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2013-150	LBQ	27-May-2013		Sandra Mastrogiuseppe	H.W. Hollinger (Canada) Inc.	15-Jul-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-167	LBQ	19-Jun-2012		Pierre-André Themens	Madeleine Brilliant (Humbert)	16-Jul-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2013-029	LBQ	16-Oct-2012	30-Nov-2012	Slava Sinigerska (former associate)	Bertex ULC and the Executors of the Estate of the	3-Dec-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2014-056	13E1959	29-Nov-2013	1-Oct-2013	Kevin/Jay/James Greenspoon/Swartz/Bunting	Quartz Capital Group Ltd.	31-Dec-2013	\$ -	\$ -	\$ 4,683	\$ -	\$ -	\$ 4,683	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2013-059	LBQ	28-Dec-2012		John Lennard	Sharon Steinberg Investments Inc.	17-Mar-2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2013-086	LBQ	26-Feb-2013		William Brock	Irving Ludmer/3488063 Canada Inc./2534-2825 Canada	5-Jun-2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-160	LBQ	19-May-2010		Cara Cameron	Rizwan Ahmad Khan Gondal	29-Jul-2014	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-079	07E1883	28-Dec-2007	5-May-2006	David W. Smith	Royal Canadian Securities Limited	12-Aug-2014	\$ 915,086	\$ -	\$ 84,914	\$ -	\$ -	\$ 1,000,000	\$ 84,914	\$ 3,529	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 88,442
CLLAS2009-102	09E0153	17-Feb-2009	12-Feb-2004	Scott Hyman	Pagerman Holdings Inc.	13-Feb-2015	\$ 286,588	\$ -	\$ 713,412	\$ -	\$ -	\$ 1,000,000	\$ 813,412	\$ 93,597	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 907,009
CLLAS2007-057	06-0644-8	11-Dec-2006		Robert J. Abrams	3137147 and 3137155 Canada Inc.	11-Mar-2015											\$ -					
CLLAS2008-164	LBQ	20-Jun-2008		Mitchell Klein	Rene G. Lepine Inter-Vivos Trust	11-Mar-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-165	LBQ	20-Jun-2008		Mitchell Klein	Saul Levenson	11-Mar-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-166	LBQ	20-Jun-2008		Mitchell Klein	Marilyn Avrith	11-Mar-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2008-167	LBQ	20-Jun-2008		Mitchell Klein	Neil Gold	11-Mar-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-091	12-0026	17-Jan-2012		Samuel Minzberg	Michael Seltzer	23-Mar-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-174	12-0369	29-Jun-2012	28-Mar-2012	Diana R. Lyrintzis	Cominar Real Estate Investment Trust	17-Jul-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2010-048	09E1609	29-Oct-2009	21-Jun-2000	Timothy Youdan	Simpson Wigle LLP (Francis Wigle)	3-Dec-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-011	LBQ	5-Aug-2015		Nicolas Chaput	Lane Fusilier	16-May-2016	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-127	No CST	17-Jun-2015		Paul Lemarre	Woodbourne Canada LI GP LP	13-Dec-2016	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-125	16E0519	5-Apr-2016		David Kim	Holden Rhodes/ 2471742 Ontario Inc.	13-Dec-2016	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-122	15E0718	14-May-2015	9-Jun-2009	Robin Schwill	Joint Administrators of Nortel Networks UK Limited	18-Oct-2017	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-127	LBQ	14-Apr-2016		Paul Prokos	Multiple Taxpayers	29-Jan-2018												\$ -				
CLLAS2017-027		1-Sep-2016		Paul Prokos	Tony Vysniauskas,Wayne Sim	29-Jan-2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2018-028	LBQ	17-Oct-2017		Laurence Detiere	Laurentian Bank of Canada Ltd.	29-Jan-2018												\$ -				
CLLAS2018-086	18E0542	26-Mar-2018	21-Mar-2018	Mindy Gilbert	Potash Ridge Corporation	17-Apr-2018												\$ -				
CLLAS2017-052	LBQ	10-Nov-2016		Louis-Martin O'Neill	Groupe Raymond Chabot Grant Thornton	17-Dec-2018												\$ -				
CLLAS2015-015	No CST /14E1176	29-Jul-2014	6-Mar-2009	Ronald Wilson	Merrill Lynch Holdings Company	6-Jun-2019	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2019-006	LBQ	26-Jul-2018	26-Jun-2018	Xavier Plamondon	RioCan REIT	4-Sep-2019												\$ -				
CLLAS2013-160	NY	20-Jun-2013			Lone Star Real Estate Fund (Bermuda)	31-Dec-2019												\$ -				
CLLAS2013-162	NY	10-Aug-2012			Canam PO LP	31-Dec-2019												\$ -				
CLLAS2015-088	NY	20-Feb-2015		Abraham Leitner	Saul Katzman et al	31-Dec-2019	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2017-104	LBQ	9-Feb-2017		George Pollack	First Capital Realty Inc.	12-Feb-2020												\$ -				
CLLAS2020-074	LBQ	31-Jan-2020		Shayna Goldman	CentralSquare Technologies LLC	24-Apr-2020												\$ -				
CLLAS2019-112	LBQ	21-May-2019		Rita de Santis	Saargummi Quebec Inc.,City of Magog	1-Sep-2020												\$ -				
CLLAS2015-027	14-0522	7-Oct-2014	9-May-2012	John Lennard	Roberto Pietrovito	14-Dec-2020	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2021-022	20E1606	13-Oct-2020	2-Jan-2020	Matthew Milne-Smith	Camp Ooch	30-Dec-2020												\$ -				
CLLAS2016-150	LBQ	9-Jun-2016		Lloyd Perry Feldman	Avrum Morowitz (Morrow)	2021-03-11 - This is not closed according to my records												\$ -				
CLLAS2021-076	21E0259	15-Feb-2021	29-Mar-2017	Timothy Youdan	Johnathon Sherman	12-Apr-2021												\$ -				
CLLAS2022-012	LBQ	20-Aug-2021		Guy Du Pont,Dov Whitman	Russell G. Negus	4-Oct-2021												\$ -				
CLLAS2021-126	20E2524	17-Jun-2021	15-Feb-2017	Scott Hyman,Jennifer Longhurst	Healthcare of Ontario Pension Plan (HOOPP)	20-Dec-2021	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-008	LBQ	26-Aug-2010		William Brock	Arnold Steinberg and Irving Ludmer		\$ -	\$ -	\$ -	\$ -	\$ 500,000	\$ 500,000	\$ -	\$ 27,413	\$ -	\$ -	\$ -	\$ -	\$ 122,587	\$ -	\$ 150,000	
CLLAS2011-207	LBQ	26-Aug-2010		Nathan\ Sidney\Samuel Boidman\Horn\Minzberg	St Lawrence Trading - I. Ludmer,A. Steinberg		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2014-077	LBQ	24-Jan-2014		Robert J. Abrams	8104425 & 8104433 Canada Inc.	This has been closed in January 2022	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Claim No	LS File #	Report Date	Error Date	Insured	Claimant	Close Date	Law Society						CLLAS									
							LS Indemnity Paid	LS Other Paid	LS Legal Paid	LS Indemnity Reserve	LS Legal Reserve	LS Total Incurred	CLLAS Indemnity Paid	CLLAS Legal Paid	CLLAS Adjusting Paid	CLLAS Recov Other Paid	CLLAS Adjusting Reserve	CLLAS Indemnity Reserve	CLLAS Legal Reserve	CLLAS Recov Other Reserve	CLLAS Total Incurred	
CLLAS2014-152	14-0357 LBQ	30-Jun-2014	9-Jan-2012	Benoit Archambault	M.Z. Berger & Co., Inc.	This has been closed in January 2022	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-051	15-0573	18-Nov-2015	17-Dec-2012	Robert Vineberg	Bennington Financial Services Corp.,Equirex Leasing Corporation		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-051B	No CST / 123-594	6-Apr-2017	17-Dec-2012	Robert Vineberg	Bennington Financial Services Corp.,Equirex Leasing Corporation													\$ -				
CLLAS2017-065	17-0615 LBQ	12-Dec-2016		Michael D. Vineberg	Unknown Estates													\$ -				
CLLAS2018-038	No CST 17E2221 / 17-0615	1-Dec-2017	5-Jun-2017	Guy Du Pont	ARII Holdings (212) Ltd.,4092325 Investments Ltd.,Burlington Retail Power Centre (South) Amalco Limited,Rusmar Triple A Acquisitions Ltd.													\$ -				
CLLAS2018-111	18-0324 LBQ	7-Jun-2018		John Lennard	Pactim Holdings Company,Greykarr Holdings Inc.,Greykarr Holdings Company													\$ -				
CLLAS2018-115	18E1101	14-Jun-2018	1-May-2014	Christopher Anderson	Jose Bautista		\$ -	\$ -	\$ 18,666	\$ 100,000	\$ 81,334	\$ 200,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2019-031	18-0512	5-Oct-2018	30-Aug-2018	Shayna Goldman	Advantech AMT Corp.,Advantech Wireless (EMEA) Ltd.,Advantech Wireless Do Brasil Produtos De Telecomunicagoes Ltda.													\$ -				
CLLAS2020-094	20E0471	24-Mar-2020	1-Jul-2010	Paul Martin	Investment Management Corporation of Ontario,Workplace Safety and Insurance Board,CAAT Pension Plan		\$ -	\$ -	\$ -	\$ 5,000	\$ 25,000	\$ 30,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2020-112	20-0234 LBQ	22-May-2020		Louise Patry	Aldo Group Inc.													\$ -				
CLLAS2021-021	20-0419 LBQ	13-Oct-2020		Elisabeth Robichaud	Jean-Louis Dulac,Michel Dulac,Projet Perth													\$ -				
CLLAS2021-097	21-0150	26-Mar-2021		Elisabeth Robichaud	Ingrid Cranton,Alan Cranton													\$ -				
CLLAS2021-128	LBQ 21-0299	22-Jun-2021		Peter Mendell	Jim Kilts													\$ -				
CLLAS2022-003	21-0360	19-Jul-2021		Cara Cameron	PHI Group Inc.													\$ -				
CLLAS2022-032	21-0574	26-Nov-2021	18-Mar-2021	Nicolas Morin	SEMAFO Inc. and its special committee													\$ -				
Total							\$ 2,300,915	\$ 25,753	\$ 2,673,777	\$ 105,000	\$ 606,334	\$ 5,711,779	\$ 15,519,673	\$ 2,258,588	\$ -	\$ -	\$ -	\$ -	\$ 122,587	\$ -	\$ 17,900,848	

APPENDIX G

Risk Management Policies and Procedures

Name of Firm

Davies Ward Phillips & Vineberg LLP

Please provide a full description of the Firm's most current risk management policies and procedures or, if appropriate, an update to your response to Appendix G of last year's renewal application.

Please attach separately with the email

Risk Management Policies

The following is a summary of key risk management policies adopted by Davies Ward Phillips & Vineberg LLP (the “Firm”):

Anti-Corruption

- Policy to ensure that firm personnel do not engage or condone corrupt practices and are aware of applicable anti-bribery and anti-corruption laws.

Anti-Trust/Competition

- The Firm and all its personnel are instructed at all times to comply with all applicable competition laws. As a practical matter, the key provisions of Canadian and U.S. competition laws applicable to the Firm are prohibitions on anti-competitive agreements between competitors.

Auditors’ Response Letters

- Specifies procedures for responding to auditors’ letters by the Firm on behalf of its clients.

Client Identification/Verification

- Outlines client verification and identification requirements of the Law Society of Ontario and the Barreau du Québec and internal firm procedures to be followed in complying with such requirements.

Confidentiality

- Outlines legal and professional obligations of partners and employees of the Firm regarding confidential information.

Securities Trading

- Outlines legal and professional obligations regarding trading in securities, including procedures to be followed regarding the firm’s restricted securities list.

Conflict Searches

- Specifies procedures for conflict checks when opening all new files and, where appropriate, provides for establishing of “ethical walls” in accordance with applicable laws and law society guidelines.

Dealing with the Press

- Specifies guidelines for dealing with press inquiries regarding clients and matters.

Director, Officer Trustee & Executor Positions

- Outlines risks associated with accepting such positions and procedures to be followed, including Management Committee approval.

Email

- Establishes standards for email usage and storage of email records.

Escrow Agent Arrangements

- Outlines firm policy, procedures and requirements to be followed when the Firm is acting as escrow agent.

Ethical Walls and Restricted Access Matters

- Provides information as to the purpose and types of ethical walls and matters that are required to be maintained on a restricted access basis and sets out procedure for establishing and updating same.

Information Security and Technology Policy

- Sets out information and requirements for all members of the Firm relating to access to, and use of, confidential information, Firm technology and the Firm's computer network.

Management of Client Files

- Outlines procedures for how documents should be dealt with throughout the course, and at the end, of a matter, the management/destruction of paper copies and the maintenance of electronic versions.

Opinions

- Establishes opinions committee to prepare standard form opinions for the Firm and sets out procedures for review and approval of all Firm opinions.

Retention and Disposal of Client Files

- Policy for the disposal of client files.

Social Media and LinkedIn

- Outlines appropriate and responsible use of social media by Firm members, in order to ensure compliance with professional and ethical obligations.

Shredding

- Specifies procedures for shredding and disposing of confidential materials.

Substance Use

- Policy regarding use or misuse of substances, including alcohol, cannabis, illicit or prescription drugs or other controlled substances.

Terms and Conditions Governing Ethical Walls and Restricted Access Matters

- Sets out the terms and conditions with which Firm members must comply when given access to matters which are subject to an ethical wall or maintained on a restricted access basis.

Trust Accounts

- Outlines legal requirements regarding trust accounts.

Wire Transfers out of Trust Accounts

- Firm policy regarding procedures to be followed for wiring funds out of the Firm's trust account, including verbal confirmation of wire transfer instructions.

In 2007, 2015 and 2020, the Firm underwent a comprehensive risk management audit conducted by John L. Walker, Barrister and Solicitor (now Walker Sorenson LLP) which involved a review of the risk management policies and procedures of all the Firm's offices.

APPENDIX H

Cyber Liability

Name of Firm

Davies Ward Phillips & Vineberg LLP

1	Personnel	Enter Yes or No
a)	Do you have a Chief Security Officer or Chief Information Security Officer or equivalent?	Yes
	If "no", who within the Firm is responsible for the management of and compliance with the Firm's Security Policies?	
b)	Do you have a Chief Privacy Officer or equivalent?	Yes
	If "no", who within the Firm is responsible for the management of and compliance with the Firm's Privacy Policies?	
2	Protection	Enter Yes or No
a)	Do you use encryption tools to enhance the integrity and confidentiality of confidential information?	Yes
	If you use encryption tools, in which scenarios is data encrypted? (Check all statements that you believe are applicable.)	
	- Data at rest	Yes
	- Data in transit	Yes
	- Data transferred to removable media (laptops, CD's, backup tapes, USB devices, etc.)	Yes
	- None of the above	
b)	Do you use and regularly update industry-standard antivirus software?	Yes
c)	Do you install the latest software updates to reduce security vulnerabilities?	Yes
d)	Do you require that passwords be a minimum length and contain alpha and numeric characters?	Yes
e)	Do you require that passwords be regularly updated?	Yes
f)	Do you check to make sure that no spyware or adware resides on your computers?	Yes
g)	Do you use and regularly update industry-standard firewall protection systems to prevent unauthorized access to internal networks and computer systems?	Yes
h)	Is the data on your servers encrypted?	Yes
i)	Is the data on your desktop and laptop computers encrypted?	Yes
j)	Is the data on your mobile devices encrypted?	Yes
k)	Have predesignated computer system/application access rights and privileges been set for all authorized users?	Yes
l)	Is there hourly or daily automatic backup of documents and emails?	Yes
m)	Is there hourly or daily automatic backup of your firm-wide tickler system and/or your lawyers' own personal tickler systems?	Yes
n)	Are backups stored off-site at a secure location?	Yes
o)	Do you use software that can be used to wipe laptops and mobile devices clean if they are misplaced or stolen?	Yes

APPENDIX H

Cyber Liability

Name of Firm

Davies Ward Phillips & Vineberg LLP

- | | | |
|----|--|-----|
| p) | Do you use software that can detect unauthorized transfers of personal information and unauthorized copying of files? - *[For certain clients]* | Yes |
| q) | Do you use a metadata scrubber on documents that you transmit to clients or third parties such as opposing counsel? | Yes |

3	Incident Report	Enter Yes or No
----------	------------------------	------------------------

	Do you have a written network security incident response plan?	Yes
--	--	-----

If "yes":

- | | | |
|----|---|-----|
| a) | Does it include alternative options should a critical third party outsourcing provider's operations be incapacitated? | No |
| b) | Does it include procedures to alert your clients that their data may have been compromised? | Yes |

4	Policies	Enter Yes or No
----------	-----------------	------------------------

- | | | |
|----|---|-----|
| a) | Do you maintain a comprehensive information security and privacy policy that is updated and enforced on a continuous basis? | Yes |
| b) | Do you advise your lawyers of the risks of using unencrypted email? | Yes |
| c) | Does your firm advise your lawyers of the dangers of metadata? | Yes |
| d) | Do you purchase insurance other than CLLAS coverage to protect you in the case of privacy breaches? | Yes |
| e) | Do you purchase insurance other than CLLAS coverage to protect you in the case of cyber-attacks? | Yes |

APPENDIX I

2022 Professional Liability Insurance Application and
Exemption Form Submitted to LAWPRO

Name of Firm

Davies Ward Phillips & Vineberg LLP

Please attach separately with the email

Online 2022 Firm Filing Review

Submit Date: 04 NOV 2021

A037130

General LAW FIRM Information

1. Firm Information

Name of LAW FIRM: DAVIES WARD PHILLIPS & VINEBERG LLP
Address: 155 WELLINGTON ST WEST
 TORONTO ON M5V 3J7
Phone Number: 416-863-0900
Fax Number: 416-863-0871
E-mail address: info@dwvpv.com
Firm Website(s): www.dwvpv.com
Managing Partner/LAWYER: A035365N SARBJIT SINGH BASRA
Office Admin/Manager: APRIL KELLIE
Claims Contact: A044266P MATTHEW IAN MILNE-SMITH
CPD Contact: A045668B JENNIFER LILLIANE GROSSKLAUS
Nature of Law Practice: Limited Liability Partnership (LLP)

2. Contact name and title

Indicate the preferred firm contact for insurance matters.

Name: April Kellie
Title: Administrative Assistant

3. Number of PARALEGAL PARTNER(S) OR SHAREHOLDER(S) (if applicable) and LAWYERS in LAW FIRM in Ontario

Indicate the current number of PARALEGAL PARTNER(S) OR SHAREHOLDER(S) (if applicable) and LAWYERS in the LAW FIRM in Ontario.

183

4. Number of staff in LAW FIRM in Ontario who are not LAWYERS

Indicate the current number of staff in the LAW FIRM in Ontario who are not LAWYERS. Include all staff who provide law-related services who are directly or indirectly employed, whether through management, other companies or otherwise, by the LAW FIRM or by any of the LAWYERS in the LAW FIRM or any spouse, including those EMPLOYEES who are casual or part-time EMPLOYEES. Independent contractors such as bookkeepers, PARALEGALS, researchers, etc. who are not EMPLOYEES of the LAW FIRM should not be included.

198

5. Excess liability insurance

Your excess insurers include: CLLAS
 Canadian Lawyers' Liability Assurance Society

Liability limits:
 (per CLAIM/aggregate in excess of LAWPRO POLICY limits)
 \$ 220 Million **per CLAIM**
 \$ 220 Million **aggregate**

6. Volume Billings

Indicate the **Average** Gross Billings **per** LAWYER in the LAW FIRM.

Average Gross Billings:
 AV14 - Average over \$500,000

LAW FIRM's Coverage Options

7. DEDUCTIBLE Option

\$25,000 Expenses & Damages Deductible

8. Innocent Party Sublimit Coverage

250k

9. Restricted Area of Practice Option: Criminal and/or Immigration Law

NO

10. Real Estate Practice Coverage Option

YES

Number of LAWYERS who have REAL ESTATE practice option: 17

LAW FIRM's Premium Payment Options

11. Third-party payor authorization:

The LAWYERS' 2022 insurance premium will be paid by a third party, other than another LAWYER or PARALEGAL PARTNER OR SHAREHOLDER in the LAW FIRM, the LAW FIRM itself, or a management or other company of the LAW FIRM.

NO

If the LAWYERS' 2022 insurance premiums will be paid by a third party as described above, the undersigned LAWYER agrees to obtain the consent of the third party authorizing the transaction and providing for the use and disclosure of personal information in accordance with privacy legislation that came into effect on January 1, 2004.

This third party authorization will apply to future policy years, unless LAWPRO is advised in writing otherwise.

12. Instalment Option

CASH

LUMP SUM

13. Credit Card Payment Information

14. Pre-authorized Bank Payment Information

Institution:

Transit:

Account No:

Account Name:

15. Premium Payment Authorization

(complete only if paying by credit card or pre-authorized bank account withdrawal)

The undersigned LAWYER authorizes LAWPRO to charge against the designated credit card or withdraw from the account and financial institution indicated on the account information provided, the appropriate insurance premium (including taxes), based on the payment option indicated above. The undersigned LAWYER understands that LAWPRO does not charge for this service (but the designated financial institution or credit card company may).

The undersigned LAWYER agrees that this authorization will apply for 2022 and all future policy years, without further authorization, so long as the LAWYER so elects. If any changes are to be made to the payment information or payment option, the LAWYER agrees to notify LAWPRO of such changes, in writing, at least ten (10) days prior to any payment date.

The undersigned LAWYER has read and understands all of the terms and conditions below.

Terms and Conditions:

1. The undersigned LAWYER certifies that the information provided in the authorization is correct.
2. The undersigned LAWYER certifies that the bank account or credit card is in good standing, with sufficient funds to cover the payments as they become due.
3. All payments will be drawn on Canadian financial institutions only, and will be withdrawn in Canadian funds.

☐ Please check this box to evidence your signature for the Declaration above.

16. ☐ I prefer to mail/fax my Premium Payment Information and will forward , by mail or fax, a completed Premium Payment Authorization form.

17. ☐ I prefer to receive our LAW FIRM's 2022 Insurance Premium Invoice by mail

Your firm's 2021 insurance premium invoice will be available in electronic form from this Web site after the application is processed. A notice will be emailed to the following email address contacts in your firm when your invoice and policy documentation are available to view and download. If the email addresses for any of the following contacts are incorrect or not provided, please update your firm contact information by clicking "Address Changes" AFTER you submit this application and receive your filing confirmation number.

LAW FIRM Managing Partner/LAWYER: sbasra@dwvpv.com
LAW FIRM Office Admin/Mg: AKELLIE@DWPV.COM
LAW FIRM CPD Contact: jgrossklaus@dwvpv.com
LAW FIRM CLAIMS Contact: mmilnesmith@dwvpv.com
Filer (as indicated in question 19): akellie@dwvpv.com

CLAIM(S) & POTENTIAL CLAIM(S)

18. Other than CLAIM(S) and POTENTIAL CLAIM(S) of which LAWPRO has been notified under the Law Society of Upper Canada program, is any present member or employee of the LAW FIRM aware of any CLAIM(S) or POTENTIAL CLAIM(S) that has (have) been or may be made against the LAW FIRM or against any other on whose behalf this Application is submitted?
NO

Filer Information

19. Name, Phone, and E-mail

Name: April Kellie
Phone: 416-863-0900 ext- 2273
E-mail: akellie@dwvpv.com

Firm Summary Warranty & Signature

This Declaration shall constitute and form part of the 2022 Application Form for LAWPRO Professional Liability Insurance filed on behalf of each LAWYER in the Law Firm listed in the Member List.

It is understood, warranted and acknowledged that the undersigned LAWYER is authorized to act as agent for the purposes of this insurance on behalf of each of the LAWYERS. The LAWYERS each warrant and acknowledge that the information provided with this Application Form:

- is true and complete, or where estimates are required, that such estimates are reasonable;
- will be relied on by LAWPRO in assessing risk, in offering any terms of insurance and in issuing any policy of insurance;
- will be the basis of and form part of any resulting policy of insurance; and
- the information and options selected on this form should apply for 2022.

LAWYERS not currently carrying LAWPRO professional liability insurance coverage each acknowledge having read the [LAWPRO Personal Information Statement for Ontario LAWYERS and PARALEGALS \(LICENSEES\)](#) (which forms part of this Application Form). The LAWYERS consent to the collection, use and disclosure of personal information in any optional program(s) for which the LAWYERS choose to apply or are to be named as an INSURED/s in, now or in future policy years, in accordance with that Statement.

The LAWYERS each acknowledge his/her own on-going duty, through to the date of policy inception, to advise LAWPRO in writing of any material changes with respect to their practice circumstances.



Please check this box to evidence your signature for the Warranty & Signature Declaration above.

Member Review List

LAWYER COUNT: 183

No.	LSUC #	Last Name	First Name	Years in Practice	Part-Time?	Real Estate?
1	63532W	ABRAHAMSON	RYAN DANIEL	8	Full Time	No
2	19056G	ADDY	GEORGE NOEL	32	Full Time	No
3	35743Q	ALEXANDER	ANTHONY MARK CLUNEY	28	Full Time	No
4	52460E	ANDERSON	CHRISTOPHER ALLAN	15	Full Time	No
5	23600K	ARMSTRONG	NEAL HUNTER	37	Full Time	No
6	44490B	ATKINSON	AARON JOSEPH	20	Full Time	No
7	82123V	AZIZ	JOHN WILLIAM HARVIE	0	Full Time	No
8	79259Q	BAHOUS	DIANA	1	Full Time	No
9	42793G	BANICEVIC	ANITA	21	Full Time	No
10	79261T	BARABASH	ROBYN VICTORIA	1	Full Time	No
11	37734R	BARON	ALFRED TIMOTHY TERRANCE	26	Full Time	No
12	34554P	BARRY	PATRICK GERARD	28	Full Time	No
13	35365N	BASRA	SARBJIT SINGH	27	Full Time	No
14	15535U	BAUER	ROBERT THEODORE	45	Full Time	Yes
15	45884I	BEN-ISHAI	STEPHANIE FANNY	22	Full Time	No
16	72815L	BERGER	STUART NEWTON	4	Full Time	No
17	76920N	BIRNBAUM	ADAM JOSEPH	2	Full Time	No
18	40314W	BLOOM	BRIAN TODD	29	Full Time	No
19	26825O	BODRUG	JOHN DAVID	34	Full Time	No
20	73458D	BORETSKY	JESSE AARON	6	Full Time	No
21	77916G	BRAZZELL	KATRINA ELIZABETH	2	Full Time	Yes
22	11023R	BROWN	DAVID ARTHUR	54	Full Time	No
23	56368D	BUCHNER	WILLIAM EDMUND	12	Full Time	No
24	54815T	BULLOCK	JESSICA ANNE	18	Full Time	No
25	37761L	BURKE	ANDREA LOUISE	25	Full Time	No
26	48660U	CAMERON	CARA	20	Full Time	No
27	58850N	CARLSON	ANDREW RICHARD	11	Full Time	No
28	38827M	COLDEN	JULIE ANN	24	Full Time	No
29	57055Q	COMEAU	GILLES ROBERT	12	Full Time	No
30	63601L	COMSTOCK	DEVON WILLIAM	8	Full Time	No
31	82189H	CORMACK	SARAH JENSEN	0	Full Time	No
32	28382Q	CROSBIE	ROBERT IAN	33	Full Time	No
33	60620Q	CSEH	CHANTELLE TERESA MARIE	10	Full Time	No
34	58863S	CUTLER	STEVEN JOHN	11	Full Time	No
35	75426F	DALBY	STEPHEN JOHN	2	Full Time	No
36	55504B	DINNING	JAMES WILLIAM	13	Full Time	No
37	70574K	DIPONIO	JOSEPH PETER	5	Full Time	No
38	75443F	DISHY	EYTAN	3	Full Time	No
39	19490M	DISNEY	MICHAEL ALAN	41	Full Time	No
40	58020T	DOMPIERRE	MARIE FRANCE	11	Full Time	No
41	23573M	DUPONT	GUY	46	Full Time	No
42	70284L	ELHARRAR	SARAH ESTHER CLARA	5	Full Time	No
43	63637P	ELLIS	ANDREW THOMAS	8	Full Time	No
44	70880N	FINN	BRITTANY MORGAN	5	Full Time	No
45	72866A	FIORELLI	AMANDA SARAH	4	Full Time	Yes
46	33253P	FORBES	SANDRA ANN	29	Full Time	No
47	61851I	FORD	SHARON ROSANNE	9	Full Time	No
48	58892E	FRANKEL	STEVEN GEDALIA	11	Full Time	No
49	82221T	FRANKLIN	JOHN GERALD	0	Full Time	No
50	72869L	FRANKS	JAIMIE ALEXANDRIA LEE	4	Full Time	No
51	76991N	FREILICH	ERIC JASON	2	Full Time	No
52	46783K	FRIDMAN	RICHARD SAMUEL	19	Full Time	No
53	75470W	GAO	RUI ZHE	3	Full Time	No
54	21663J	GOLDLIST	ALBERT GEROLD	39	Full Time	No
55	46315P	GOTZEVA	IVANA E	18	Full Time	No
56	56784N	GREENSPOON	KEVIN ERIC	12	Full Time	No
57	45668B	GROSSKLAUS	JENNIFER LILLIANE	19	Full Time	No
58	37116M	GUTIERREZ SARABIA	LUIS IGNACIO	26	Full Time	No
59	49027S	HAN	SABINA SUNG HYAE	17	Full Time	No
60	60118R	HANCAS	IOANA DANIELA	10	Full Time	Yes
61	79988B	HERSHENFELD	ZACHARY MAX	1	Full Time	No
62	79527M	HOLLENBERG	JOSHUA MCCRIE	1	Full Time	No
63	20305K	HOWARD	GREGORY JAMES	41	Full Time	Yes
64	34721C	HYMAN	SCOTT RICHARD	28	Full Time	No
65	47169A	JAMISON	BROOKE MARIE	19	Full Time	No
66	46340R	KANDEV	MICHAEL MIHAIL NEDELTCHEV	19	Full Time	No
67	29540Q	KATZ	MARK CHARLES	33	Full Time	No
68	49342T	KEARNEY	ELISA KATHLENA	17	Full Time	No
69	69145S	KIRSH	TREVOR JEREMY	6	Full Time	No
70	44597J	KOSZEGI	MELANIE MYRIAM	20	Full Time	No
71	52294N	KURETZKY	JOSHUA HART	15	Full Time	No
72	68147W	LALANI	FAIZ MUNIR	5	Full Time	No
73	47844I	LAMARRE	PAUL ANTHONY	18	Full Time	No
74	67832N	LAVI	JORDAN RAPHAEL	6	Full Time	No
75	73249C	LI	CHENYANG	4	Full Time	No
76	57010O	LITTLEJOHN	MAUREEN ELIZABETH	12	Full Time	No
77	37191H	LOMBARDI	GABRIELLA	26	Full Time	Yes
78	47854C	LONGHURST	JENNIFER FAYE	18	Full Time	No
79	61181O	LUBETSKY	MICHAEL HARRIS	12	Full Time	No
80	82504M	MACHUM	JOHN HENRY	0	Full Time	No
81	42383G	MACPARLAND	NATASHA JULIE	22	Full Time	No
82	70056S	MADDEN	ANNE	5	Full Time	No
83	65995C	MANJI	ALYSHA	7	Full Time	No
84	82798O	MANUCHA	RYAN KRISHAN BELLAMY	0	Full Time	No
85	44618U	MARTIN	STEVEN RAY	20	Full Time	Yes
86	61929H	MARTORELLI	PETER NICHOLAS	9	Full Time	No
87	79673L	MAY	TREVOR NEIL	1	Full Time	No
88	82283V	MAZZUOCCO	KATHERINE GRACE	0	Full Time	No
89	44187J	MCALEESE	SEANN DUNCAN	20	Full Time	No
90	13937T	MCCAMUS	JOHN DOUGLAS	48	Full Time	No
91	78071W	MCMASTER	ALISA MARIE	2	Full Time	No
92	23808E	MCREYNOLDS	DONALD SHAWN	37	Full Time	No
93	31197J	MERCIER	VINCENT ALONZO	31	Full Time	No
94	59883R	MIELCAREK	PAWEL	10	Full Time	Yes
95	72314T	MIHALIK	ANDREW TAMAS	4	Full Time	No
96	44266P	MILNE-SMITH	MATTHEW IAN	20	Full Time	No
97	70069A	MILNER	STEFANIE MICHELE	5	Full Time	Yes
98	83362P	MOUBAYED	LÉON	12	Full Time	No
99	42313C	MURPHY	ROBERT STEPHEN	22	Full Time	No
100	82294L	NAQVI	SYEDA ZAHRA HUS	0	Full Time	No

Member Review List

LAWYER COUNT: 183

No.	LSUC #	Last Name	First Name	Years in Practice	Part-Time?	Real Estate?
101	73292A	NASH	SIMONE RUTH	4	Full Time	No
102	75174N	NEMIROV	HARRISON DANIEL	3	Full Time	No
103	72989M	NG	THOMAS SIU FAI	5	Full Time	No
104	73295L	NGUYEN	THI THU HA	4	Full Time	No
105	75180A	NICHOLLS	ROBERT ELLIOT CHRISTOPHER	3	Full Time	No
106	77098R	O'SULLIVAN	MAURA JEAN	2	Full Time	No
107	18918N	OLASKER	PATRICIA LYNN	42	Full Time	No
108	63457A	OMER	COREY OR	7	Full Time	No
109	47893F	OSADCHUK	DALE JOHN	18	Full Time	No
110	82311P	PARK	RACHEL EMILY	0	Full Time	No
111	57540P	PASZTI	LAILA	13	Full Time	No
112	61659T	PEARLMAN	DANIEL ROBERT	9	Full Time	No
113	74506T	PECHERSKY	DAJENA	3	Full Time	No
114	25633C	PENNYCOOK	CAROL DIANE	36	Full Time	No
115	77081F	PERCY	MEGAN ANNE	2	Full Time	No
116	64196V	PETERSON	DANIEL TIMOTHY	8	Full Time	Yes
117	36864B	PIKE	ALEXANDRIA JANE	26	Full Time	No
118	32540P	POLLACK	GEORGE JONATHAN	40	Full Time	No
119	70099F	PONTONE	MARC RYAN GIULIO	5	Full Time	No
120	34841D	POWELL	SARAH VIRGINIA	28	Full Time	No
121	82873N	PREZZEMOLI	PIETRO	1	Full Time	No
122	60559S	PRIETO	JENNIFER	10	Full Time	No
123	42489S	PURI	POONAM	13	Full Time	No
124	77450K	RAFALOVICH	MICHAEL	2	Full Time	No
125	69297Q	RAWLE	GEOFFREY LUCAS	6	Full Time	No
126	55953E	REINER	DAVID GABRIEL	13	Full Time	Yes
127	55954A	RENNER	NATALIE JANE	13	Full Time	No
128	52366N	RICCI	DEREK DEAN	15	Full Time	No
129	80960W	RICHARD	GUY-ETIENNE YVES	3	Full Time	No
130	79757U	RIZVI	SYED MUHAMMAD	1	Full Time	No
131	64582D	RIZVI	SYED ZAIN RAZA ALI	8	Full Time	No
132	45005R	RODRIGO	NICHOLAS	22	Full Time	No
133	42935O	ROTH	ELIE SHMAYA	20	Full Time	No
134	33049R	RUBIN	ROSELLE RAY	18	Full Time	No
135	13305N	RUBY	STEPHEN STUART	48	Full Time	No
136	82340B	RULLI	LUIGI MATTHEW	0	Full Time	No
137	30849T	RUSAW	CAMERON MARTIN	31	Full Time	No
138	79773B	SAMANIANPOUR	SABA	1	Full Time	No
139	66987L	SAMSON	SYLVIE JACQUELINE	7	Full Time	Yes
140	38452I	SCHWILL	ROBIN BRUNO	25	Full Time	No
141	34465P	SCOLER	JOEL MARVIN	30	Full Time	No
142	45517W	SEIFRED	BRETT ANDREW	19	Full Time	No
143	74790P	SHERMAN	MATTHEW AARON	3	Full Time	No
144	17128H	SHIFF	ARTHUR SEYMOUR	44	Full Time	No
145	41945U	SHISHLER	MELANIE ANN	22	Full Time	No
146	73050G	SIBAI	GHAITH	4	Full Time	No
147	64986Q	SILVER	ABRAHAM ZACHARY	8	Full Time	No
148	61706F	SOLINGER	JARED ROSS	9	Full Time	No
149	39672K	SOOD	JITENDRA KUMAR	25	Full Time	No
150	82536J	SOOD	SHEFALI	0	Full Time	No
151	41043D	SOUTHAM	GREGORY GEORGE	23	Full Time	Yes
152	56947F	SPADARO	ANTHONY	12	Full Time	No
153	66099S	SPENCE	KRISTINE EMILY JEAN	7	Full Time	No
154	36093V	STACEY	GILLIAN RUTH	27	Full Time	No
155	64752B	STAPLEY	JASON WILLIAM EARL	8	Full Time	Yes
156	82540E	STEVENSON	TERALEIGH KATHLEEN MAY	0	Full Time	No
157	70511M	SUSAC	ANGELA CHRISTINA	5	Full Time	No
158	80307V	SWAREK	SAWYER PATRICK	1	Full Time	Yes
159	15417L	SWARTZ	JAY ARNOLD	46	Full Time	No
160	77839P	TASCHEREAU	MATHIEU ALEXANDRE KEARNEY	2	Full Time	No
161	51432D	THOMAS	PATRICE ANDREA	17	Full Time	Yes
162	24264J	THOMSON	KENT EDWIN	37	Full Time	No
163	46118A	TINGLEY	CHARLES ERIC	20	Full Time	No
164	76756O	TROUGAKOS	DOROS JAMES TAKI	2	Full Time	No
165	34921F	TURNER	GEOFFREY SCOTT	28	Full Time	No
166	19735V	ULMER	JOHN MICHAEL	39	Full Time	No
167	51439V	UPSHALL	ROBIN RAYE	16	Full Time	No
168	58956C	USTER	MELISSA LEAH KLEIN	9	Full Time	No
169	67969D	UZA	EMILY LAUREN	6	Full Time	No
170	78893O	VALONCINI	DARIO	1	Full Time	No
171	78522V	VERMA	AVANI	5	Full Time	No
172	40702T	VESEY	DEREK RICHARD GABOR	23	Full Time	No
173	43195A	WHITE	DAVID MICHAEL ROBERT	20	Full Time	No
174	82378U	WHITE	PATRICK MORRILL	0	Full Time	No
175	75311S	WIERENGA	TODD ALEXANDER	3	Full Time	No
176	42374I	WILLARD	STEVEN RICHARD	22	Full Time	Yes
177	30162N	WILLIAMS	NICHOLAS CHARLES	32	Full Time	No
178	53269W	WILSON	DAVID THOMAS HAROLD	23	Full Time	No
179	78181G	WOLFE	RYAN LESLIE	2	Full Time	No
180	51598C	WOLFENSOHN	DAN	18	Full Time	No
181	77872T	YIU	CADIE STEPHANIE	1	Full Time	No
182	19390W	YOUDAN	TIMOTHY GEORGE	29	Full Time	No
183	74878I	ZHANG	FAN GINGER	3	Full Time	No