

INTELLECTUAL PROPERTY SUPPLEMENT

(Risk Management Procedures on Reverse)

Firm Name: _____

AREAS OF PRACTICE

1. What percentage of the Applicant's intellectual property practice is devoted to each of the following areas? Please base your answer on the percentage of time devoted to that area:

- | | |
|---|---|
| ___ a. Domestic Patent Prosecution | ___ e. Patent Infringement |
| ___ b. Foreign Patent Prosecution | ___ f. Trademark/Copyright Registration and Licensing |
| ___ c. Intellectual Property Litigation | ___ g. Entertainment and Sports |
| ___ d. Patent Filings and Searches | ___ h. Other (describe) _____ |

The total percentage must equal 100%.

Total: _____

INDUSTRY AREAS

2. What percentage of the Applicant's intellectual property practice is devoted to the following industry areas? Please base your answer on the percentage of time devoted to that industry area:

- | | |
|--------------------------------|--------------------------------------|
| ___ a. Biomedical/Biotechnical | ___ f. Mechanical |
| ___ b. Chemical | ___ g. Networking/Telecommunications |
| ___ c. Computer Software | ___ h. Pharmaceutical |
| ___ d. Computer Hardware | ___ i. Other (describe) _____ |
| ___ e. Electrical – Other | |

The total percentage must equal 100%.

Total: _____

CLIENTS

3. What percentage of the Applicant's intellectual property practice is devoted to the following client types? Please base your answer on the percentage of time devoted to that client type:

- | | |
|-------------------------------|--|
| ___ a. Fortune 500 Companies | ___ d. Other Publicly-Traded Companies |
| ___ b. Other NYSE Companies | ___ e. Privately-Held Companies |
| ___ c. Other NASDAQ Companies | ___ f. Individual Inventors |

The total percentage must equal 100%.

Total: _____

4. Please list the three (3) largest (in terms of hours billed) intellectual property clients.

	<u>Name</u>	<u>Type of Business</u>	<u>Work Performed</u>
a.	_____	_____	_____
b.	_____	_____	_____
c.	_____	_____	_____

FIRM RISK MANAGEMENT PROCEDURES

5. a. Yes No N/A When accepting responsibility for a patent search, does the Applicant utilize an engagement letter which specifies the nature, scope and limitations of such search?
- b. Yes No N/A When an engagement is completed, does the Applicant send termination letters?
- c. Yes No N/A When performing a foreign patent filing, is the client made aware of deadlines and requirements for such filing, including the various payments required?
- d. Yes No N/A Does the firm use multiple calendars or scheduling systems to record, monitor and comply with filing deadlines and other time limitations in connection with obtaining patents?
- e. Yes No N/A When providing an opinion regarding the results of a patent search, does the firm qualify the opinion in writing by referencing the nature, scope and limitations of the search conducted?
- f. Yes No Has the Applicant or any firm member litigated any matters for which it also handled the underlying intellectual property matter?
- g. Yes No Has the Applicant or any firm member accepted any type of equity interest in a client in lieu of attorney's fees?
If yes, provide a separate addendum including the following information:
(1) What are the circumstances that would permit the Applicant or any firm member to accept an equity interest in lieu of attorney's fees?
(2) What is the approval process to accept an equity interest in lieu of attorney's fees?
- h. Has the Applicant or any firm member provided professional legal services to an intellectual property client in which any firm member or any immediate family member:
Yes No (1) Serves or served as an officer, director, trustee, employee or partner of such client?
Yes No (2) Owns or owned an equity or financial interest in such client?
- i. Yes No Does the Applicant utilize patent agents?
(1) If yes, how many? ____
(2) Name of Patent Agent(s) USPTO Patent Agent Number(s) Date Joined Firm?

(3) Describe how patent agents are supervised:

- j. Yes No Does the Applicant's conflict of interest system allow for cross-checks between both previous and existing clients with prospective new intellectual property clients?

Signature: _____ Date: _____