CorePointe Insurance Company
800 Superior Ave, E.
21st Floor

LAWYERS PROFESSIONAL LIABILITY

ESTATE / TRUST SUPPLEMENT

Firm Name: ____

Please complete this Supplement if any lawyer listed on the application shows a percentage in the Estate/Trusts area of practice.

1. What types of Estate Planning Services does the firm provide? (Check all that apply)

- ☐ Wills
- ☐ Estate Planning
- ☐ Probate
- ☐ Trust Administration
- ☐ Business Formation
- ☐ Tax Advice (Non Shelter)
- ☐ Tax Shelter Advice
- ☐ Asset Protection
- ☐ Guardianship
- ☐ Medicaid Planning
- ☐ Litigation
- ☐ Real Estate Purchase & Sale **
- ☐ Other – Describe: ____

**** Please complete the Real Estate Supplement**

2. Please list the five largest estates or trusts to which any member of the firm provided legal services in the last 24 months.

TRUST	#1	#2	#3	#4	#5
a) Name of Trust:					
b) Date Service Began:					
c) Name of Attorney(s) providing services:					
d) Description / Type of Trust:					
e) Size of Trust / Value of Assets:					
f) Annual Firm Billings:					
g) Percentage of Firm Billings:					
h) Describe Legal Services Provided:					
i) How often are documents reviewed for changes in the estate or tax code?					

j)	Is the Attorney a Trustee?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
	If yes, is there a Co-Trustee?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
k)	Is there an engagement letter that clearly defines the scope of services provided?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
l)	Does the lawyer have authority to write checks?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
	If yes, are dual signatures required?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
m)	Does the lawyer provide investment advice?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
n)	Does the lawyer have authority to make investments?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
o)	Does the lawyer have discretionary control of assets?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
p)	Does the lawyer provide tax advice?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
q)	Does the firm prepare annual estate taxes?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
r)	Is a report to a court or outside authority required?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO
s)	Were all documents drafted by the lawyer reviewed by a second firm member or outside counsel?	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO	☐ YES ☐ NO

3. Does any trust have or reasonably anticipate having any disputes over assets or distribution of the trust? ☐ Yes ☐ No

If "Yes", please describe: ______________________________

4. Are firm members permitted to accept gifts or bequests from Estate and Trust clients? ☐ Yes ☐ No

5. Does the firm conduct conflict checks in 100% of estate/probate/trust cases? ☐ Yes ☐ No

If “No”, please explain: ______________________________

6. Does the firm have controls in place to monitor trust activity by third parties, trust beneficiaries, or other beneficiary parties? ☐ Yes ☐ No

If "Yes", please describe: ______________________________

7. How often are client estate/trust files:

a) Independently audited or reconciled? ☐ Quarterly ☐ Annually ☐ Other – Describe: ____________________

b) Reviewed for material changes in the estate? ☐ Quarterly ☐ Annually ☐ Other – Describe: ____________________

c) Reviewed for changes in tax code or other laws? ☐ Quarterly ☐ Annually ☐ Other – Describe: ____________________

8. How does the firm handle tax advice given in conjunction with estate and trust work? Check all that apply.

☐ Firm requires client to obtain independent tax representation

☐ Firm outsources or refers all tax work to outside entities

☐ Firm employs accountants/CPAs who handle or advise on all tax matters

☐ Firm's attorneys are tax attorneys who handle or advise on all tax matters

☐ The nature of the firm's trust and estate work does not require tax advice

☐ Other – Describe: ____________________

9. Does the firm outsource or refer business to any third party professionals (Accountants, Investment Advisors, other Attorneys)? ☐ Yes ☐ No

If "Yes":

a) Does the firm use written referral agreements in 100% of these cases? ☐ Yes ☐ No

b) Does the firm obtain proof of insurance from all third parties? ☐ Yes ☐ No

c) Does the client sign off on all third parties in writing? ☐ Yes ☐ No

10. Do firm members acting as Trustees/Personal Representatives/Executors engage in the following activities:

a) Use of Trust funds to invest in entities related in any way to the firm? ☐ Yes ☐ No

b) Employment by the Trust of anyone related in any way to a firm member? ☐ Yes ☐ No

c) Use of Trust funds as loans to any firm client, firm member or person related in any way to a firm member? ☐ Yes ☐ No

d) Delegation of Trustee duties to others? ☐ Yes ☐ No

If yes to any of the above, please explain: ____________________

____________________ ____________________ ____________________

Signature of Authorized Firm Representative **Title** **Date**