



INTERNAL PROCEDURES SUPPLEMENT

Firm Name:	
Policy Number:	

I. Conflict of Interest

- a. Does the firm utilize written procedures for identifying potential or actual conflicts of interest? If yes, please attach. YES NO
- b. If any member of the firm becomes aware of a conflict of interest, is it disclosed in writing to all parties? YES NO
- c. Does the firm prohibit all trading and investing in securities of clients? YES NO

II. Engagement / Delegation / Fee Agreements / Communication

- a. Does the firm generate letters to your client/prospective clients:
1. when you agree to represent them? YES NO
 2. when you decline to represent them? YES NO
 3. when services are completed for that specific engagement? YES NO
 4. when a relationship is terminated? YES NO
- b. Does the firm utilize a written policy/procedure for the handling or management of fee disputes? YES NO
If YES, please attach a copy of the policy or a description of the procedure.
If NO, please explain:

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- c. Does the firm have controls in place to prevent the embezzlement, defalcation, or misappropriation of money or property held or controlled by the firm's attorneys? YES NO
- d. On behalf of clients, does the firm ever:
1. delegate or refer legal work to other law firms? YES NO
If YES, is the client notified of such delegation or referral? YES NO
 2. retain other professionals? YES NO
- e. Does the firm utilize a peer review procedure? YES NO