



Canadian Lawyers Liability Assurance Society

2016/2017 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):  
See attached Schedule A
4. Management or service companies, date(s) established and services provided:  
See attached Schedule B
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.

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6. Since the most recent CLAS 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.

N/A

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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 March 1, 2016:

- 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	<u>40</u> %	<u>40.0</u> %
b) Criminal Law	<u>1</u> %	<u>1.0</u> %
c) Family Law	<u>0</u> %	<u>0.0</u> %
d) Intellectual Property	<u>0</u> %	<u>0.0</u> %
e) Labour Law	<u>1</u> %	<u>1.0</u> %
f) Litigation	<u>11</u> %	<u>11.0</u> %
g) Real Estate	<u>7</u> %	<u>7.0</u> %
h) Securities Law	<u>21</u> %	<u>21.0</u> %
i) Tax Matters	<u>8</u> %	<u>8.0</u> %
j) Wills, Estates, Trust	<u>3</u> %	<u>3.0</u> %
k) Other (please specify)	<u>8</u> %	<u>8.0</u> %

*ADMINISTRATION & REGULATORY LAW, PENSION LAW,  
BANKRUPTCY & INFORMATION TECHNOLOGY & COMPETITION LAW*

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 the date of the Firm's most recent CLLAS application? ☐ yes ☒ no

If "yes", please provide full details:

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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, 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, 2015. 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. However, updates thus reported are not considered official notice of claim to CLLAS.

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 excess of \$500,000.

Note: Details required on all claims or notices are: 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).

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

☒ yes      ☐ no

If "yes", please indicate preferred limit option:

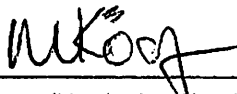
<input type="checkbox"/> \$10M xs \$160M	<input type="checkbox"/> \$20M xs \$160M
<input type="checkbox"/> \$30M xs \$160M	<input type="checkbox"/> \$40M xs \$160M
<input type="checkbox"/> \$50M xs \$160M	<input checked="" type="checkbox"/> \$60M xs \$160M

Note: CLLAS has conducted a limit benchmarking study and additional limits are available.

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 as Appendix I copy of the Firm's 2016 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: \_\_\_\_\_

MELANIE KOSZEGI

(Who shall be the designated contact person between CLLAS & the Firm as respects this insurance.)

Date: \_\_\_\_\_

APRIL 11, 2016

## **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  
24<sup>th</sup> 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.

Questions 9a)

Name

John Zinn

Brian Bawden – Bennett Jones

Brendan Cahill - ?

Cynthia Spry – Oslers (Calgary)

Violette Kokolus – Weil Gotshal & Manges

Elise Sieradzki – Torys

Jennifer Mao – practising in Hong Kong

Jim Nikopolous – in-house counsel

Kathleen Grandy – in-house counsel (Kinross)

Jeff McGrath – in-house counsel (DRI Capital)

Paul Budovitch – in-house counsel (Clarke Inc.)

Patrice Thomas – in-house counsel (Oxford Properties)

Andrew Sunter – Ogilvy Renault (Ottawa)

## APPENDIX A

### PREDECESSOR FIRMS

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Name of Firm: Davies Ward Phillips & Vineberg LLP

Merger Date

- Davies, Ward & Beck
- Davies, Ward & Beck LLP
- Goodman Phillips & Vineberg SENC
- Phillips & Vineberg SENC

February 1, 2001

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.



APPENDIX B  
ACTIVE MEMBERS OF THE FIRM AS OF MARCH 1, 2016

Name of Firm: Davies Ward Phillips & Vineberg LLP

	CANADA				OUTSIDE OF CANADA <sup>5</sup>	
	B.C.	Alberta	Ontario	Quebec	Other Provinces (Please specify)	U.S. Other Locations
a) No. of Lawyers <sup>1</sup>			108	81		12
b) No. of Patent & Trademark Agents <sup>2</sup>						
c) No. of Non-lawyer Consultants <sup>3</sup>			17	17		0
d) No. of Paralegals			200	126		12
e) No. of Other Employees			38	8		
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 <sup>4</sup>						

<sup>1</sup> Including partners, employed lawyers, counsels/of counsels and lawyer consultants.

<sup>2</sup> These are not lawyers.

<sup>3</sup> Please complete Appendix C if individuals are reported under this category.

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

<sup>5</sup> 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 his/her 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 give full particulars.

ATTACHMENT TO APPENDIX B

a) Number of Lawyers

	Lawyer Name	Date of Call	Date Joined the Firm	Date Became a Partner
	<b>TORONTO OFFICE</b>			
	<i>Unit Partners (38)</i>			
1	Timothy George Youdan	1979 ('71 Eng)	1992	1994
2	Robert Theodore Bauer	1976	1985	1985
3	William Michael Ainley	1981	1981	1983
4	Carol Diane Pennycook	1985 ('81 Alta)	1986	1986
5	Neal Hunter Armstrong	1984	1984	1986
6	Kent Thomson	1984	2001	2001
7	Mark Katz	1989	1999	1999
8	Cameron Martin Rusaw	1990	1990	1992
9	Sandra Ann Forbes	1992	1992	1994
10	Sarah Virginia Powell	1993	1996	1998
11	Alexandria Pike	1995	2001	2003
12	Luis Sarabia	1995	2001	2001
13	Robin Schwill	1996	2007	2007
14	Richard Samuel Fridman	2002 <sup>B</sup> ('97 Que, '00 NY)	2002	2005
15	Peter Hong	1997 ('Eng & Wales)	2002	2002
16	Gregory George Southam	1998	1998	2000
17	James Richard Reid	1998	1998	2000
18	David Wilson	2007 ('98NY)	2007	2007
19	Natasha MacParland	1999	2005	2005
20	Robert Stephen Murphy	1999	1999	2001
21	Anita Banicevic	2000	2000	2002
22	Steven Ray Martin	2001	2001	2003
23	Matthew Ian Milne-Smith	2001 ('00 NY)	2001	2003
24	Frank Saverio Alfred Arnone	2002 <sup>A</sup>	2002	2004
25	Brett Seifred	2002	2007	2007
26	Brooke Marie Jamison	2002 <sup>B</sup>	2002	2005
27	Charles Tingley	2002	2012	2012
28	James David Bunting	2003	2003	2006
29	Jennifer Longhurst	2003	2005	2007
30	Dale John Osadchuk	2003	2003	2006
31	Sean Ronald Campbell	2004	2004	2007

	Lawyer Name	Date of Call	Date Joined the Firm	Date Became a Partner
32	Elisa Kathlena Kearney	2004	2004	2007
33	Patrice Thomas	2005	2008	2008
34	Robin Raye Upshall	2005	2005	2008
35	Joshua Kuretzky	2006	2006	2009
36	Derek Ricci	2006	2006	2009
37	Jessica Bullock	2008 ('03 AB)	2013	2013
38	Mark O'Brien	2007	2007	201
	<b>Non-Unit Partners (15)</b>			
1	Donald Charles Stanbury	1971	1971	1973
2	Michael Alan Disney	1980	1980	2001
3	David White	2000	2012	2012
4	Melanie Myriam Koszegi	2001	2006	2006
5	Ivana Gotzeva	2002	2002	2006
6	Sarah Weingarten	2010 ('08 Alta)	2010	2013
7	James Dinning	2008	2008	2013
8	Bryan McLeese	2008	2008	2013
9	David Reiner	2008	2008	2013
10	Natalie Renner	2008	2008	2013
11	William Buchner	2009	2009	2014
12	Christopher Figel	2009	2015	2016
13	Kevin Greenspoon	2009	2009	2014
14	Maureen Littlejohn	2009	2009	2014
15	Anthony Spadaro	2009	2009	2014
	<b>Associates (50)</b>			
1	Ray Rubin	1992	2014	
2	Aimee Colyer	2007	2013	
3	Kimberly Muio	2007 ('06NY)	2011	
4	Tracie Allan	2008	2008	
5	Andrew Carlson	2010	2010	
6	Steven Cutler	Cutler	2010	2015
7	Steven Frankel	2010	2010	
8	Michael Jemczyk	2010	2010	

	Lawyer Name	Date of Call	Date Joined the Firm	Date Became a Partner
9	Erika Douglas	2011	2011	
10	Ioana Hancas	2011	2011	
11	Dino Massimi	2011	2011	
12	Pawel Mielcarek	2011	2011	
13	Jennifer Prieto	2011	2011	
14	Chantelle Spagnola	2011	2011	
15	Sharon Ford	2012	2016	
16	Daniel Pearlman	2012	2015	
17	Serge Semenovych	2012	2012	
18	Ryan Elger	2012	2012	
19	Cynthia Hill	2012	2012	
20	Peter Martorelli	2012	2012	
21	Jared Solinger	2012	2012	
22	Andrew Ellis	2013	2013	
23	Devon Comstock	2013	2013	
24	Dino Milivojevic	2013	2013	
25	Daniel Peterson	2013	2013	
26	Nathaniel Read-Ellis	2013	2013	
27	Zain Rizvi	2013	2013	
28	Jason Stapley	2013	2013	
29	Aaron Atin	2014	2014	
30	Kenny Choi	2014	2014	
31	Michael Finley	2014	2014	
32	Anisah Hassan	2014	2014	
33	Alysha Manji-Knight	2014	2014	
34	Fanming Meng	2014	2014	
35	Matthew Rosen	2014	2014	
36	Yuki Shirato	2014	2015	
37	James van Wyck	2014	2014	
38	Christie Campbell	2015	2015	
39	Adam Curran	2015	2015	
40	Terrence Doucet	2015	2015	
41	Alexander Ginther	2015	2015	
42	Evan Griffith	2015 ('13AB)	2015	



	Lawyer Name	Date of Call	Date Joined the Firm	Date Became a Partner
43	Samantha Henein	2015	2015	
44	David Kim	2015	2015	
45	Geoffrey Rawle	2015 ('10BC&'NY)	2015	
46	Carlos Sayao	2015	2015	
47	Faraz Siddiqui	2015	2015	
48	Emily Uza	2015	2015	
49	Alysha Virani	2015	2015	
50	Yasin Badar	2015	2015	
	<b>Affiliated Scholars/Consultants/Counsel (5)</b>			
1	David Arthur Brown	1968	2005	
2	Mark Quentin Connelly	1983 ('71 NY, DC)	1984	
3	John McCamus	1973		
4	Poonam Puri	1999	2014	
5	Stephanie Ben-Ishai	2002	2010	937
	<b>MONTREAL OFFICE</b>			
	<b>Unit Partners (31)</b>			
1	Robert S. Vineberg	1968	1968	1976
2	Michael D. Vineberg	1969	1969	1978
3	Peter Mendell	1969	1969	1978
4	Samuel Minzberg	1975	2003	2003
5	George Pollack	1981 ('91 Ont)	2002	2002
6	Denis Ferland	1984	1996	1998
7	Alain Roberge	1987	2002	2002
8	Elias Benhamou	1989	1989	1997
9	Brian Bloom	1992 ('98 Ont)	2000	2001
10	Stéphane Eljarrat	1994	2004	2004
11	Janet Ferrier	1996	1996	2001
12	Neil Kravitz	1997	1997	2001
13	Sebastien Thériault	1997	1997	2001
14	Marc-André Boutin	1998	1998	2002
15	Olivier Désilets	1998	2001	2003
16	Fred Purkey	1998	2001	2003

	Lawyer Name	Date of Call	Date Joined the Firm	Date Became a Partner
17	Justin D. Vineberg	1998	1998	2002
18	Joseph Jarjour	1999	1999	2003
19	Nick Rodrigo	1999 ('01 Ont)	1999	2003
20	Philippe Johnson	1999	2000	2003
21	Louis-Martin O'Neill	1999	1999	2003
22	Marie-Emmanuelle Vaillancourt	1999	2006	2006
23	Cara Cameron	2002 ('03 Ont)	2002	2006
24	Michael Kande	2003 ('02 Ont)	2002	2006
25	Elliot A. Greenstone	2003	2005	2007
26	Sébastien Roy	2003	2003	2007
27	Dan Wolfensohn	2003 ('05 Ont)	2007	2009
28	Jean-Philippe Groleau	2004	2009	2009
29	Brian Kujavsky	2004	2004	2008
30	Christian Lachance	2005	2005	2009
31	Anthony Arquin	2006	2006	2009
	<b>Non-Unit Partners (13)</b>			
1	Alan Z. Golden	1964	1964	1972
2	Paul Harris	1978	1978	1984
3	Lucien Bouchard	1964	2001	2001
4	Michel Pelletier	1980	1980	1988
5	Nathan Boidman	1981	1982	1982
6	Marie-Andrée Latreille	1983	1988	2001
7	Laurence Detière	1998	1998	2002
8	Diana Lyrantzis	2006	2006	2010
9	Nicolas Morin	2005	2014	2016
10	Hugo Babos Marchand	2009	2009	2014
11	Elise Beauregard	2009	2009	2014
12	Véronique Gaumond-Carignan	2009	2014	2016
13	Christine Lenis	2009	2009	2014
	<b>Associates (37)</b>			
1	Morris J. Fish	1964	2014	
2	Benoit Archambault	1993	2003	

	Lawyer Name	Date of Call	Date Joined the Firm	Date Became a Partner
3	Brigitte Brathwaite	1996	2001	
4	Nathalie Proulx	2004	2008	
5	Paul Prokos	2008	2014	
6	Chrystelle Chevalier-Gagnon	2011 ('10 Ont)	2011	
7	Fotini Gagaoudakis	2010	2010	
8	Léon H. Moubayed	2010	2010	
9	Mylène Nadeau	2010	2010	
10	Joel Scheuerman	2010	2012	
11	Claudia Vigneault	2010	2015	
12	Hélène Gagné	2011	2014	
13	Gabriel Lavery-Lepage	2011	2012	
14	John Lennard	2011	2011	
15	Florence Simard	2011	2011	
16	Lauréanne Vaillant	2011	2015	
17	Pierre-Luc Cloutier	2012	2012	
18	Antoine Lessard	2012	2014	
19	Christina Sauro	2012	2012	
20	Nicole Lynx	2013 ('13 ON)	2015	
21	Kevin Mailloux	2013	2013	
22	Mouna Aber	2014	2014	
23	Félix Bernard	2014	2015	
24	Valentina De Castris	2014	2014	
25	Andrea L. Dupuis	2014	2014	
26	Claudia Michaud	2014	2014	
27	Evan Paperman	2014	2014	
28	Sylvia Samson	2014 ('14Ont)	2014	
29	Alexander Steinhouse	2014	2014	
30	Fanny Albrecht	2014 ('13 Paris)	2015	
31	Reuben Abitbol	2015	2016	
32	Leïla Côté	2015	2015	
33	Shayna Goldman	2015	2015	
34	Jay Gupta	2015	2015	
35	Olivia Khazam	2015	2015	
36	Vanessa Pendenza	2015	2015	



	Lawyer Name	Date of Call	Date Joined the Firm	Date Became a Partner
37	Jean Teboul	2015	2015	
	<b>NEW YORK OFFICE</b>			
	<b>Unit Partners (4)</b>			
1	Steven H. Levin	1978 (DC, '79 MD, '85 NY)	1984	2001
2	Peter Glicklich	1982 (NY '83 US Tax Ct.)	2003	2003
3	Jeffrey Nadler	1998 ('95 Ont; '09 Israel)	2010	2010
4	Abraham Leitner	1997 (NY)	2006	2006
	<b>Non-Unit Partners (5)</b>			
1	Harry Heching	1979 (NY)	2002	2002
2	Marc Berger	1995 (NY, NJ)	1996	2001
3	Scott Fisher	2000 NY	2014	2014
4	Chaim Zelinger	2005 NH; '06 NY	2014	2014
5	Paul Watkins	2009 (NY)	2010	2014
	<b>Associate (3)</b>			
1	Heath Martin	2003 MA ('07 NY)	2015	
2	Nir Seivatska	2013	2013	
3	Jennifer Liu	2014	2014	

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.

**Toronto (38)**

	Lawyer Name	Professional Corporation	Date of Call	Date Joined the Firm	Date Became a Partner
1	Stephen Ruby	S.S. Ruby Professional Corporation	1973	2001	2001
2	Jay Arnold Swartz	Jay A. Swartz Professional Corporation	1975	1975	1976
3	Irwin Berl Nadler	Berl Nadler Professional Corporation	1977	1980	1984
4	Arthur Seymour Shiff	Arthur Shiff Professional Corporation	1977	1977	1979
5	George Addy	George Addy Professional Corporation	1979 ('99 Alta)	2002	2002
6	Patricia Olasker	Patricia Olasker Professional Corporation	1979	1998	1998
7	Gregory James Howard	Gregory J. Howard Professional Corporation	1980	1987	1987
8	John Michael Ulmer	John J. Ulmer Professional Corporation	1980	1980	1981
9	Albert Gerold Goldlist	A. Gerold Goldlist Professional Corporation	1982	1982	1984



10	John David Bodrug	John D. Bodrug Professional Corporation	1987	1987	1989
11	Donald Shawn McReynolds	D S McReynolds Professional Corporation	1984	1984	1986
12	Robert Ian Crosbie	R. Ian Crosbie Professional Corporation	1988	1991	1992
13	James William Earl Doris	James Doris Professional Corporation	1992	1993	1994
14	Nicholas Williams	Nicholas C. Williams Professional Corporation	1989	2009	2009
15	Vincent Alonzo Mercier	Vincent A. Mercier Professional Corporation	1990	1990	1992
16	Patrick Gerald Barry	Patrick G. Barry Professional Corporation	1993	1993	1995
17	Scott Richard Hyman	Scott R. Hyman Professional Corporation	1993	1999	1999
18	Joel M. Scoler	JM Scoler Professional Corporation	1993 ('94 NY)	2014	2014
19	Geoffrey Scott Turner	Geoffrey S. Turner Professional Corporation	1993	1993	1995
20	Sarbjit Singh Basra	S.S. Basra Professional Corporation	1994	1994	1996
21	Gillian Ruth Stacey	GR Stacey Professional Corporation	1994	1994	1996
22	Gabriella Lombardi	Gabriella Lombardi Professional Corporation	1995	1995	1997
23	Timothy Alfred Baron	A Timothy Baron Professional Corporation	1996	2005	2005
24	Andrea Louise Burke	Andrea Louise Burke Professional Corporation	1996	1996	1998
25	Adam Fanaki	Adam Fanaki Professional Corporation	1996	2009	2009
26	Steven Michael Harris	Steven M. Harris Professional Corporation	1997	1997	1999
27	J. Alexander Moore	J. Alexander Moore Professional Corporation	1998 ('01 CA)	2005	2005
28	Derek Richard Gabor Vesey	Derek Vesey Professional Corporation	1998	1998	2000
29	Mindy Beth Gilbert	Mindy Gilbert Professional Corporation	1999	2001	2003
30	Melanie Ann Shishler	Melanie Shishler Professional Corporation	1999	2001	2001
31	Elle Shmaya Roth	E.S. Roth Professional Corporation	2000	2000	2002
32	Jennifer Lilliane Grossklaus	Jennifer Grossklaus Professional Corporation	2002 <sup>A</sup>	2002	2004
33	Raj Juneja	Raj Juneja Professional Corporation	2004 ('02 Alta)	2004	2006
34	Paul Anthony Lamarre	Paul A. Lamarre Professional Corporation	2003	2003	2006
35	Christopher Anderson	Christopher Allan Anderson Professional Corporation	2006	2006	2009
36	Anthony Alexander	Anthony Alexander Professional Corporation	1994	2015	2015
37	Kimberly Brown	Kimberly Anne Toshiko Brown Professional Corporation	2009	2012	2014
38	Gilles Comeau	Gilles R. Comeau Professional Corporation	2009	2009	2014

**Montreal (8)**

1	Guy Du Pont	Guy Du Pont Professional Corporation	1976 ('83 Ont)	1989	1989
2	Pierre-André Themens	Pierre-André Themens Professional Corporation Inc.	1977	1977	1984
3	William Brock	William Brock Professional Corporation Inc.	1979	1979	1986
4	Richard D. Cherney	Richard D. Cherney Professional Corporation Inc.	1985	1985	1993
5	Franziska J. Ruf	Franziska J. Ruf Professional Corporation Inc.	1987	2009	2009
6	Hillel W. Rosen	Hillel W. Rosen Professional Corporation Inc.	1988	1988	1996

7	Rhonda Rudick	Rhonda Rudick Professional Corporation Inc.	1997	1997	2001
8	Louise Patry	Louise Patry Professional Corporation Inc.	1981	1986	2001

APPENDIX C  
ACTIVE NON-LAWYER COUNSULTANTS OF THE FIRM AS OF MARCH 1, 2016  
(Excluding Patent & Trademark Agents)

Name of Firm: Davies Ward Phillips & Vineberg LLP

**SECTION A**

<u>Professional Service Provided or Type of Profession</u>	<u># Person in Same Profession</u>	<u>Location (Province)</u>	<u>Client Contact</u>	<u>Advise Clients</u>	<u>Supervised by Lawyers</u>	<u>Underlying Insurance <sup>1</sup></u>	<u>% of Time Docketed <sup>2</sup></u>
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	

**SECTION B**

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

Type of Exposure: \_\_\_\_\_  
Insurance Carrier: \_\_\_\_\_  
Policy Number: \_\_\_\_\_  
Period of Insurance: \_\_\_\_\_  
Retroactive Date: \_\_\_\_\_  
Limits: \$ \_\_\_\_\_ per claim, \$ \_\_\_\_\_ aggregate

Type of Exposure: \_\_\_\_\_  
Insurance Carrier: \_\_\_\_\_  
Policy Number: \_\_\_\_\_  
Period of Insurance: \_\_\_\_\_  
Retroactive Date: \_\_\_\_\_  
Limits: \$ \_\_\_\_\_ per claim, \$ \_\_\_\_\_ aggregate

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

<sup>2</sup> 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 D

### "ASSOCIATED FIRMS" AND "UMBRELLA FIRMS"

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Name of Firm: Davies Ward Phillips & Vineberg LLP

- The Named Insured under the CLLAS policies prior to February 1, 2001 was Davies, Ward & Beck LLP.
- 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.  
Phillips & Vineberg  
Phillips & Vineberg, G.P.  
Phillips & Vineberg S.E.N.C.  
Phillips & Vineberg SA  
Phillips & Vineberg Suisse  
Goodman Phillips & Vineberg (a Quebec partnership)  
Goodman Phillips & Vineberg (a partnership operating in Beijing, PRC)  
Goodman Phillips & Vineberg (a New York partnership)  
Goodman Freeman Phillips & Vineberg (a Quebec partnership)  
GP&V Management Limited Partnership (Montreal Service Company)  
DWPV (Québec) Management L.P.  
Services GP&V Management Limited Partnership (Montreal Service Company)  
Services DWPV (Québec) S.E.C.  
Services GP&V SEC (Montreal Service Company)  
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) Foundation 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)

Coverage in respect of the above entities and related Insureds will extend to any liability they may have relating to the activities (i) prior to July 1, 2010, of Reinhart Marville Torre, a French law firm, previously operating as Davies Ward Phillips & Vineberg and, prior to February 1, 2001, as Goodman Phillips & Vineberg, (ii) prior to February 1, 2001, of Fong & Ng, (iii) prior to February 1, 2001, of Goodmans LLP and its predecessors, Goodman Phillips & Vineberg LLP, Goodman Phillips & Vineberg and Goodman & Goodman, all Ontario partnerships, (iv) of Goodman Phillips & Vineberg, the International Partnership, for the purposes of operating offices in Beijing, Hong Kong, New York, Paris, Singapore and Vancouver, (v) of Goodman Phillips & Vineberg, the national affiliation, (vi) of Goodman Phillips & Vineberg, the New York partnership, (vii) of Goodman Phillips & Vineberg, the Hong Kong partnership, (viii) of Goodman Phillips & Vineberg, the partnership operating in Beijing, PRC, (ix) of Goodman Phillips & Vineberg, the partnership operating in Vancouver and (x) of Goodman Phillips & Vineberg, the partnership operating in Singapore.

- Goodman Phillips & Vineberg of Montreal and Goodman Phillips & Vineberg of Toronto had an international partnership known as Goodman Phillips & Vineberg. The international partnership maintained offices in Vancouver, New York, Paris, Singapore, Hong Kong and Beijing.
- The international partnership dissolved on February 1, 2001 when Goodman Phillips & Vineberg of Montreal merged with Davies, Ward & Beck LLP.
- On February 1, 2001, Davies Ward Phillips & Vineberg LLP took over the New York and Beijing offices of the international partnership and now has offices in Toronto, Montreal, New York. The Beijing office was closed at the end of 2004.
- The Firm does not have an Associated Firm Endorsement. Instead, the exposures are handled through the endorsement listing additional Named Insureds.

# 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

### 1. Professional Services Provided by Canadian Lawyers Relating to Non-Canadian Law

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.

Name of Lawyer	Location of Office	% of Docketed Time Relating to Non-Canadian Law

### 2. Professional Services Provided by Canadian Lawyers from a U.S. Office

Please provide the following information on lawyers primarily resident in Canada who provide Professional Services part time in an office or branch of the Firm located in the United States. Please only report on lawyers with more than 5% of docketed time in this category.

Name of Lawyer	Location of Office	% of Docketed Time in the U.S. Office

### 3. Professional Services Provided by Offices Outside of Canada

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

Location of Office	# of Lawyers Practise 100% Canadian Law	# of Lawyers Practise 100% Non-Canadian Law	# of Lawyers Practise both Canadian & Non-Canadian Law
New York		12	

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: LEXINGTON INS (60%) CONTINENTAL CASUALTY (12.5) SCOTTSDALE INSURANCE (27.5)  
 Policy Number: 01-476-72-800/592420426/EWS0000322  
 Period of Insurance: July 1, 2015 to July 1, 2016  
 Retroactive Date: \_\_\_\_\_  
 Limits: \$ 30,000,000 US per claim, \$ 30,000,000 US annual aggregate

Type of Exposure: \_\_\_\_\_  
 Insurance Carrier: \_\_\_\_\_  
 Policy Number: \_\_\_\_\_  
 Period of Insurance: \_\_\_\_\_  
 Retroactive Date: \_\_\_\_\_  
 Limits: \$ \_\_\_\_\_ per claim, \$ \_\_\_\_\_ annual aggregate

Type of Exposure: \_\_\_\_\_  
 Insurance Carrier: \_\_\_\_\_  
 Policy Number: \_\_\_\_\_  
 Period of Insurance: \_\_\_\_\_  
 Retroactive Date: \_\_\_\_\_  
 Limits: \$ \_\_\_\_\_ per claim, \$ \_\_\_\_\_ annual aggregate

Type of Exposure: \_\_\_\_\_  
 Insurance Carrier: \_\_\_\_\_  
 Policy Number: \_\_\_\_\_  
 Period of Insurance: \_\_\_\_\_  
 Retroactive Date: \_\_\_\_\_  
 Limits: \$ \_\_\_\_\_ per claim, \$ \_\_\_\_\_ annual aggregate

APPENDIX F

SCHEDULE OF CLAIMS AND NOTICES AS OF DECEMBER 31, 2015

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Name of Firm: Davies Ward Phillips & Vineberg LLP



**CANADIAN LAWYERS LIABILITY ASSURANCE SOCIETY (CLLAS)**  
**Open and Closed Claims Bordereau**  
**As At December 31, 2015**  
**All Provinces**

Davies Ward Phillips & Vineberg LLP

CLLAS Claim Number	Lawyer Last Name	Claimant	Report Date	Error Date	Date Closed	Disp. Code	LS Paid Indemnity	LS Paid Legal	LS Current Reserve	LS Incurred Liability	CLLAS Paid Indemnity	CLLAS Paid Legal	CLLAS Indemnity	CLLAS Legal Reserve	CLLAS Incurred Liability
88-007	BAUER	DEVELOPMENT CORPORAT	01-Jul-87	01-Jan-87	17-Nov-88		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
88-011	LEBLOVIC	CITIBANK CANADA	01-Sep-87	01-Dec-85	01-Jul-88	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
88-013	GRASMUCK	DONALD RIPLEY	01-Nov-87	01-Oct-87	01-Jun-88	6	\$0	\$708	\$0	\$708	\$0	\$0	\$0	\$0	\$0
88-018	HANNAH	DAVID K. LOWRY	01-Feb-88	01-Mar-87	01-Sep-89	4	\$0	\$15,878	\$0	\$15,878	\$0	\$0	\$0	\$0	\$0
88-031	STANBURY	KEVIN JAMES DWYER	01-May-88	01-Feb-86	01-Mar-89	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
88-032	OVERLAND	AUDREY CAMPBELL	28-Jun-88	01-Jun-87	12-Jun-90		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
88-038	HANNAH	ECO CORPORATION	01-Aug-87	01-Jul-86	01-Jun-88	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
88-051	CARR	ALBERTO CULVER CANADA	01-Jun-88	01-Dec-87	01-Apr-88	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
88-052	NADLER	CANADIAN MANDIR	01-Jun-88	01-Jul-87	01-Nov-89	6	\$0	\$18	\$0	\$18	\$0	\$0	\$0	\$0	\$0
90-026	LASKIN	COMMODORE BUSINESS LT	01-Jan-90	01-Oct-84	01-Dec-82	5	\$100,000	\$72,053	\$0	\$172,053	\$0	\$0	\$0	\$0	\$0
91-050	CAMPBELL	NLK - CELPAP A.B.	01-Dec-90	01-Nov-90	24-Jan-91	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
92-048	T.B.A.	TRITEN CORPORATION	01-Dec-91	01-Sep-90	01-Jun-92	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
92-081	AINLEY	PEOPLES/MONTREAL TRUS	28-Feb-92	31-May-90	30-Jun-03	5	\$628,653	\$371,347	\$0	\$1,000,000	\$1,371,347	\$8,837	\$0	\$0	\$1,380,184
92-107	BODRUG	BEAM OF CANADA INC.	17-Mar-92	01-Feb-92	01-Sep-92	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
92-184	HEPBURN	Estate of Anne Fox	16-Jul-91		30-Jun-93	7	\$31,883	\$4,806	\$0	\$36,689	\$0	\$0	\$0	\$0	\$0
93-004	HOWARD	ONTARIO RESORTS INC.	24-Jul-92	25-Mar-92	01-Jan-93	1	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
93-022	KISSACK	MACLEOD-STEDMAN INC.	31-Oct-92	31-Oct-90	31-Mar-88	6	\$0	\$9,783	\$0	\$9,783	\$0	\$0	\$0	\$0	\$0
93-070	NADLER	Bk of N.S./CIBC/National and	18-Feb-93	14-Jun-89	10-Feb-94	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
93-074	BELL	Garfield's Fashions Limited	31-Mar-93	30-Jun-92	23-Jan-95	6	\$0	\$3,592	\$0	\$3,592	\$0	\$0	\$0	\$0	\$0
93-101	TAYLOR	The Business Depot Ltd.	22-Apr-93	29-Oct-92	30-Jun-93	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
93-132	LASKIN	Dr. I.S. Rosenhek	29-Jun-93	30-Apr-93	24-Mar-94	6	\$0	\$0	\$0	\$606	\$0	\$0	\$0	\$0	\$0
94-001	SWARTZ	Gordon Capital Corporation	16-Jul-93	01-Jun-93	14-Nov-06		\$0	\$1,000,000	\$0	\$1,000,000	\$13,250,000	\$2,125,213	\$0	\$0	\$15,375,213
94-026	SMEET	Ondaatje Managed Investmen	30-Sep-93	05-Jan-93	08-Mar-95	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
94-072	BELL	JONE SCHOEFFEL	07-Feb-94	01-Feb-91	09-May-94	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

**CANADIAN LAWYERS LIABILITY ASSURANCE SOCIETY (CLLAS)**  
**Open and Closed Claims Bordereau**  
**As At December 31, 2015**  
**All Provinces**

Davies Ward Phillips & Vineberg LLP

CLLAS Claim Number	Lawyer Last Name	Claimant	Report Date	Error Date	Date Closed	Disp. Code	LS Paid Indemnity	LS Paid Legal	LS Current Reserve	LS Incurred Liability	CLLAS Paid Indemnity	CLLAS Paid Legal	CLLAS Indemnity	CLLAS Legal Reserve	CLLAS Incurred Liability
94-073	PENNYCOOK	ODYSSEY PARTNERS, L.P.	04-Feb-94	08-Jan-93	14-Apr-94	6	\$0	\$3,561	\$0	\$3,561	\$0	\$0	\$0	\$0	\$0
94-074	GOTTLIEB	HOOGOVS TECHNICAL S	10-Feb-94	01-Feb-91	29-Aug-94	6	\$0	\$0	\$0	\$834	\$0	\$0	\$0	\$0	\$0
94-137	Wilson	Grant Brown, Hendron Financi	06-Jun-94	01-May-94	03-Oct-94	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
94-142	Bell	Laventhol & Horwarth Limited	30-Jun-94	01-Mar-94	14-Nov-94	6	\$0	\$2,714	\$0	\$2,714	\$0	\$0	\$0	\$0	\$0
95-014	Johnson	Industrial Strategic Capital	20-Sep-94	01-Jun-94	17-Mar-95	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
95-032	Campbell	Lancaster Funding Inc.	20-Oct-94	01-Mar-94	12-Mar-96		\$0	\$9,143	\$0	\$9,143	\$0	\$0	\$0	\$0	\$0
95-061	Forbes	Louis Harris Kalesky	31-Dec-94	01-Jun-94	02-Feb-95	6	\$0	\$4,045	\$0	\$4,045	\$0	\$0	\$0	\$0	\$0
95-084	Nadler	J. Silver Holdings Limited	06-Feb-95	09-Jan-94	11-Jul-97	6	\$0	\$31,717	\$0	\$35,848	\$0	\$0	\$0	\$0	\$0
95-091	Zinn	Fortis Inc.	17-Mar-95	25-Jan-95	18-May-95	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
95-114	Kershaw	Donald D. & Ruth Campbell	11-Apr-95	01-Feb-91	14-Aug-95		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
96-074	Zinn	Horizon Limited Partnership	27-Mar-96	17-Jun-88	28-Apr-95	6	\$0	\$112,841	\$0	\$112,841	\$0	\$0	\$0	\$0	\$0
97-080	Shiff	Cadbury Beverages Canada I	31-Mar-97	31-Mar-97	22-Oct-97	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
97-090	Smith	Toronto-Dominion Bank (Re:	07-May-97	31-Aug-89	15-Jul-02	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
97-112	Stanbury	CMIL Industries	19-Jun-97	01-Feb-90	20-Oct-98	6	\$0	\$4,926	\$0	\$4,926	\$0	\$0	\$0	\$0	\$0
99-020	Nadler	Union Industries Inc./BeckettT	11-Sep-98	30-Jan-95	03-Oct-00	6	\$0	\$138,198	\$0	\$138,198	\$0	\$0	\$0	\$0	\$0
99-040	Sharpe	Chrysler Canada/Canada Trus	18-Nov-98		28-Jan-99	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
99-102	Dell	Festival Hall Developments Li	16-Jun-99	06-Nov-98	20-Jun-02	6	\$0	\$56,098	\$0	\$56,098	\$0	\$0	\$0	\$0	\$0
99-114	Smith/Crosbi	Onex Corporation	29-Jun-99		06-Dec-99	6	\$0	\$143	\$0	\$19,885	\$0	\$0	\$0	\$0	\$0
2000-067	Hayes	Armstrong Holdings Inc/TV Ra	31-Dec-99	13-Oct-99	27-Jul-00	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2000-140	Foster	Canplas Industries Ltd.	30-Jun-00	01-May-84	21-Nov-00	6	\$0	\$702	\$0	\$1,142	\$0	\$0	\$0	\$0	\$0
2001-060	Stacey	Patheon Inc.	09-Jan-01	06-Nov-00	09-Feb-01	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2001-081	Barry	BMO Nesbitt Burns Equity Par	07-Mar-01	14-Sep-98	11-Oct-01	6	\$0	\$4,358	\$0	\$4,358	\$0	\$0	\$0	\$0	\$0
2001-112	Miller	Mamma.Com Inc./Antasys Cor	27-Apr-01		30-Jun-01	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2002-013	Peacocke	Anmara Corporation	31-Jul-01		10-Oct-02		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Date Printed February 3, 2016

**CANADIAN LAWYERS LIABILITY ASSURANCE SOCIETY (CLLAS)**  
**Open and Closed Claims Bordereau**  
**As At December 31, 2015**  
**All Provinces**

Davies Ward Phillips & Vineberg LLP

CLLAS Claim Number	Lawyer Last Name	Claimant	Report Date	Error Date	Date Closed	Disp. Code	LS Paid Indemnity	LS Paid Legal	LS Current Reserve	LS Incurred Liability	CLLAS Paid Indemnity	CLLAS Paid Legal	CLLAS Indemnity	CLLAS Legal Reserve	CLLAS Incurred Liability
2002-090	Fenfer	Congress Financial Corporatio	20-Nov-01	29-Jul-01	31-Mar-06		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2002-156	Rosen	Metro Beaute Limitee	24-Apr-02		07-May-02	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2002-168	Dufour	Maestro Real Estate Advisors	15-May-02		17-Jun-02	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2002-174	Ulmer	Transplan Enterprises Ltd.	04-Jun-02	23-May-97	31-Oct-02	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2002-177	Gottlieb	Shaw Communications Inc.	04-Jun-02	01-Jul-01	08-Dec-03	6	\$0	\$3,352	\$0	\$3,352	\$0	\$0	\$0	\$0	\$0
2002-183	Boldman	A-Co	05-Jun-02		31-Mar-05	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2002-218	Taylor	Toromont Enenergy Limited	28-Jun-02	08-Apr-99	16-Jul-03	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2003-017	Crosbie	Onex Corporation (re Sky Che	13-Aug-02	31-May-01	31-Dec-06	5	\$200,400	\$0	\$0	\$200,400	\$0	\$0	\$0	\$0	\$0
2004-152	Bouchard	Ralph Faraggi and Robert Lan	30-Apr-04		22-Jun-06	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2005-048	Ferland	Eaux Vives Hamicanad Inc.	29-Nov-04		16-Feb-07		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2005-049	Hendy	Michel Abaziou (client Bellingh	10-Dec-04		23-Feb-05	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2005-235	Cossette	Unknown - stolen computer	30-Jun-05		02-Mar-09	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2006-013	Schrager	Ronald Weinberg et al V. Cina	10-Aug-05		31-Mar-11	8	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2006-074	Doris	BMO Nesbitt Burns	31-Jan-06		13-Mar-06		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2006-076	Poirier	Metso Automation Canada Ltd	27-Jan-06		09-Feb-06		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2006-115	O'Neill/ Martin	Sunsea Yachting	12-Dec-05		31-Mar-06	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2006-162	Boldman	Ivanhoe Mines Ltd.	12-Jun-06		01-Mar-12	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2007-020	Vineberg	Paris & Italia Inc.	21-Sep-06		12-May-11	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2007-051	Gottlieb	Hollinger Inc.	08-Dec-06	25-Aug-06	18-Dec-06	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2007-057	Abrams	3137147 and 3137155 Canad	11-Dec-06		11-Mar-15	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2007-077	Gaul	Radial Investments Ltd.	22-Dec-06		31-Dec-06	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2007-079	Hansell	Directors of Hollinger Inc. (See	17-Jan-07	07-Mar-05	23-Jul-07	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2007-138	Boutin	Raymond Daid and 173303 C	21-Jun-07		09-Aug-07	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2008-016	Vineberg	Velan Holding Co. Ltd.	08-Aug-07		27-Nov-08	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

**CANADIAN LAWYERS LIABILITY ASSURANCE SOCIETY (CLLAS)**  
**Open and Closed Claims Bordereau**  
**As At December 31, 2015**  
**All Provinces**

Davies Ward Phillips & Vineberg LLP

CLLAS Claim Number	Lawyer Last Name	Claimant	Report Date	Error Date	Date Closed	Disp. Code	LS Paid Indemnity	LS Paid Legal	LS Current Reserve	LS Incurred Liability	CLLAS Paid Indemnity	CLLAS Paid Legal	CLLAS Indemnity	CLLAS Legal Reserve	CLLAS Incurred Liability
2008-063	Ainley	David Szellos and 2025753 O	10-Dec-07		26-Feb-08	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2008-070	Nikopoulos	Credit Suisse	21-Dec-07		18-May-10	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2008-079	Smith	Royal Canadian Securities Li	28-Dec-07	05-May-06	12-Aug-14	5	\$915,086	\$84,914	\$0	\$1,000,000	\$84,914	\$3,529	\$0	\$0	\$88,442
2008-114	Campbell	Bird Construction Income Fun	12-Mar-08	28-Dec-06	21-May-08	6	\$138,305	\$0	\$0	\$138,305	\$0	\$0	\$0	\$0	\$0
2008-149	Hendy	Bellingham Trading Ltd. et al	20-May-08		09-Jul-09	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2008-164	Klein	Rene G. Lepine Inter-Vivos Tr	20-Jun-08		11-Mar-15	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2008-165	Klein	Saul Levenson	20-Jun-08		11-Mar-15	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2008-166	Klein	Marilyn Avriith	20-Jun-08		11-Mar-15	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2008-167	Klein	Neil Gold	20-Jun-08		11-Mar-15	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2009-003	Barette	143812 Canada Inc.	22-Jul-08		12-Aug-08		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2009-047	Rosen	AAC Management Corp (Boutl	07-Nov-08		24-Jun-10	12	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2009-050	Powell	GE Canada - Building 18	13-Nov-08	19-Mar-09	30-Jun-09		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2009-101	Stanbury	Cirvek Fund I.L.P.	11-Feb-09	20-Nov-08	08-Sep-09	6	\$0	\$2,119	\$0	\$2,119	\$0	\$0	\$0	\$0	\$0
2009-102	Hyman	Pagerman Holdings Inc.	17-Feb-09	12-Feb-04	13-Feb-15	5	\$286,588	\$713,412	\$0	\$1,000,000	\$813,412	\$93,597	\$0	\$0	\$907,009
2009-153	Rodrigo	Thomas Nacos	15-Jun-09		30-Sep-10	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2009-166	Hansell	Toronto Port Authority	30-Jun-09	21-Jan-09	02-Jul-09	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2010-009	Miller	Joseph Sharaf (Estate of Sass	24-Aug-09		21-Mar-11		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2010-012	Bloom	3071332 Canada Inc (Samco)	25-Aug-09		27-Aug-09		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2010-016	MacParland	Springer Maschinenfabrik AG	04-Sep-09	01-Jan-09	25-May-10	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2010-048	Youdan	Simpson Wigle LLP (Francis	29-Oct-09	21-Jun-00	03-12-15		\$0	\$0	\$10,000	\$10,000	\$0	\$0	\$0	\$0	\$0
2010-060	Birac	Ivanhoe Cambridge Inc.	24-Nov-09	20-Feb-08	25-May-10	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2010-069	Archambault	Reitmans (Canada) Limited	22-Dec-09		01-Mar-10	2	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2010-160	Cameron	Rizwan Ahmad Khan Gondal	19-May-10		29-Jul-14	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2010-185	Bauer	City of Toronto	30-Jun-10	10-May-02	20-Jul-10	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Date Printed February 3, 2016

Page 4 of 6

# **CANADIAN LAWYERS LIABILITY ASSURANCE SOCIETY (CLLAS)**

Open and Closed Claims Bordereau  
As At December 31, 2015

All Provinces

Davies Ward Phillips & Verner LLP

CLLAS Claim Number	Lawyer Last Name	Client	Report Date	Error Date	Date Closed	Disp. Code	LS Paid Indemnity	LS Paid Legal	LS Current Reserve	LS Incurred Liability	CLLAS Paid Indemnity	CLLAS Paid Legal	CLLAS Legal Reserve	CLLAS Incurred Liability
2011-002	Medland (former a Philip Spatzlora and Vilina Lo		20-Jul-10	15-Aug-13	10-Jan-11	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-008	Brock	Arnold Steinhilberg and Irving Lu	26-Aug-10				\$0	\$0	\$500,000	\$500,000	\$0	\$15,699	\$34,301	\$50,000
2011-018	Brock	O'Leary Funds Management L	20-Sep-10		26-Mar-12	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-030	Armstrong	MI Developments Inc.	20-Oct-10	20-Aug-10	14-Jun-11	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-047	Monaghan	Hunt Oil Corporation	16-Nov-10	24-Dec-08	09-Feb-11	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-051	Finkelstein	Ontario Securities Commissio	23-Nov-10		31-Dec-10	0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-074	Moore	Xatrata Canada Corporation	30-Dec-10	23-Dec-10	23-Jun-11	2	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-106	Ruf	Capital Finlogik Inc.	08-Feb-11		31-Jan-13		\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-112	Stolow	Keycan Ltd. re: Leo Sabourin	21-Feb-11		05-Dec-12	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-191	Eljarrat	Polash Corporation of Saskatc	20-Jun-11	21-Apr-11	31-Oct-11	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2011-207	Boldman/Horn/Wi	St Lawrence Trading - I. Ludm	26-Aug-10				\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2012-026	Stolow	Innovacion Y Desarrollo de En	22-Sep-11	22-Sep-08	23-Feb-12	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2012-043	Kandev	The Larry and Cookie Rossy F	07-Nov-11	01-Sep-11	02-Jul-13	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2012-091	Mizberg	Michael Seltzer	17-Jan-12		23-Mar-15	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2012-141	Themens	Estate of Beneficiary of the E	12-Apr-12		31-Mar-13	2	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2012-155	Wilson	White Knight Investment Trust	30-May-12	09-Dec-07	05-Jun-12	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2012-167	Themens	Madeleine Brilliant (Humbert)	19-Jun-12		16-Jul-13	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2012-168	Savage	R.J. Corman Railroad Group.	27-Jun-12		14-Jan-13	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2012-174	Lyritzis	Cominar Real Estate Investme	29-Jun-12	28-Mar-12	17-Jul-15	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2013-029	Shigetska (forme	Bertex ULC and the Executors	16-Oct-12	30-Nov-12	03-Dec-13	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2013-059	Lennard	Sharon Steinhilberg Investments	28-Dec-12		17-Mar-14	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2013-086	Brock	Irving Ludmer/3488063 Canad	26-Feb-13		05-Jun-14	0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2013-150	Mastrogliuseppe	H.W. Hollinger (Canada) Inc.	27-May-13		15-Jul-13	6	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2014-056	Greenspoon/Swar	Quartz Capital Group Ltd.	29-Nov-13	01-Oct-13	31-Dec-13	6	\$0	\$4,683	\$0	\$4,683	\$0	\$0	\$0	\$0

Date Printed February 3, 2016

# CANADIAN LAWYERS LIABILITY ASSURANCE SOCIETY (CLLAS)

Open and Closed Claims Bordereau

As At December 31, 2015

All Provinces

Davies Ward Phillips & Vineberg LLP

CLLAS Claim Number	Lawyer Last Name	Claimant	Report Date	Error Date	Date Closed	Disp. Code	LS Paid Indemnity	LS Paid Legal	LS Current Reserve	LS Incurred Liability	CLLAS Paid Indemnity	CLLAS Paid Legal	CLLAS Indemnity	CLLAS Legal Reserve	CLLAS Incurred Liability
2014-077	Abrams	8104425 & 8104433 Canada I	24-Jan-14				\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2014-152	Archambault	M.Z. Berger & Co., Inc.	30-Jun-14	09-Jan-12			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2015-015	Wilson	Merrill Lynch Holdings Compa	28-Jul-14	06-Mar-09			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2015-027	Lennard	Roberto Petrovito	07-Oct-14	09-May-12			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2015-088	Leitner	Saul Katzman et al	20-Feb-15				\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2016-122	Schwill	Joint Administrators of Nortel	14-May-15	09-Jun-09			\$0	\$0	\$20,000	\$20,000	\$0	\$0	\$0	\$0	\$0
2016-127	Lemarie	Woodbourne Canada LI GP L	17-Jun-15				\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2016-011	Chaput	Lane Fuslier	05-Aug-15				\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
2016-051	Vineberg	Bennington Financial Services	18-Nov-15	17-Dec-12			\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
TOTALS:							\$2,300,915	\$2,655,111	\$530,000	\$5,511,779	\$15,518,673	\$2,246,874	\$0	\$34,301	\$17,800,848

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.

## APPENDIX G

The Management Committee has the ultimate responsibility for professional liability risk management. However, since 2008, a senior partner of the Firm has occupied the role of General Counsel to the Firm. The General Counsel is responsible for the development, implementation and monitoring of the Firm's risk management policies and procedures on an ongoing basis. The General Counsel reports directly to the Management Committee of the Firm. These policies are communicated through policy manuals and updated through e-mails.

### Risk Management Policies

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

#### Acting as Director or Officer

- Requires Management Committee approval for any lawyer to act as director or officer of any corporation or other organization and specifies information to be provided to the Management Committee in seeking approval and the application of directors' fees and the other emoluments arising from the position.

#### Affidavits

- Specifies appropriate procedure for execution of affidavits as commissioner for oaths.

#### Asset Searches

- Outlines practices and procedures re: asset searches.

#### Auditors' Response Letters

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

#### Cheques

- Establishes procedures for approving cheque requisitions and signing cheques.

#### Client Identification/Verification

- The Toronto and Montreal offices have client verification and identification procedures as required by the Law Society of Upper Canada and the Barreau du Quebec.

#### Confidential Materials

- Specifies procedures for shredding and disposing of confidential materials.

#### Confidentiality and Securities Trading

- Outlines legal obligations of partners and employees of the Firm re: confidential information and insider trading and sets out appropriate procedures and practices to be followed in respect of dealing with confidential information and restricted securities.



### Conflicts

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

### Dealing with the Press

- Specifies guidelines for dealing with press inquires re: clients or transactions.

### E-Mail

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

### Fees and Accounts

- Outlines legal requirements and internal procedures re: docketing, fees, disbursements, billing practices and accounts.

### Mentor Program

- Establishes mentor program for junior lawyer and students to enhance professional development, to supervise work and to provide advice, coaching, training and feedback.

### Opening a File

- A conflict search is conducted on all new clients as well as on the reopening of previously closed files. All new clients are reviewed and accepted by an equity partner. If a non-equity partner wishes to bring in a new client, the acceptance of this new client would be brought to the attention of the practice group leader who is an equity partner and who would make the final decision. A new client or a new matter form is opened for each new client or new matter for an existing client which sets out pertinent information relating to the client or matter including key words for use in subsequent conflict check.

### Opinions

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

### Outside Counsel

- Specifies procedures when retaining or being retained as outside counsel; provides for maintenance of list of approved local counsel in other jurisdictions

### Personal Liability Insurance

- Establishes minimum personal liability coverage to be maintained by each partner.

### Retention and Disposal of Client Files

- A policy for the disposal of client files was approved by the Management Committee driven by the *Limitation Act*, 2002 (Ontario) and taking into consideration the different limitation periods for our Montreal and New York offices. Real Property Title Searches, Estate Planning Matters, Clients Who are Minors or Incapacitated, Record Books and Adoption Records will be retained for an indefinite period.

#### **Substance Misuse**

- Outlines prohibited activities re: illicit drugs and alcohol and the consequences of breach of policy and identifies Firm support program for persons with substance-related problems

#### **Tickler System**

- Outlines availability and features of Firm computer-based and manual tickler systems. The Firm uses in combination a manual bring forward and computerized calendar systems.

#### **Trust Accounts**

- Outlines legal requirements re: trust accounts.

#### **Work Sharing**

- Specifies practices relating to appropriate staffing of matters or transactions

In 2007 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.

In 2013, the Firm will rolled out the CLLAS E-Learning program, a risk management practice available to all lawyers and other professionals in all offices of the Firm.

2016/2017

APPENDIX H

CYBER LIABILITY

Name of Firm: Davies Ward Phillips & Vineberg LLP

1. Personnel

- a) Do you have a Chief Security Officer or Chief Information Security Officer or equivalent? ☐ yes ☒ no

If "no", who within the Firm is responsible for the management of and compliance with the Firm's Security Policies?

EXECUTIVE DIRECTOR AND DIRECTOR OF INFORMATION TECHNOLOGY

- b) Do you have a Chief Privacy Officer or equivalent? ☒ yes ☐ no

If "no", who within the Firm is responsible for the management of and compliance with the Firm's Privacy Policies?

2. Protection

- a) Do you use encryption tools to enhance the integrity and confidentiality of confidential information? ☒ yes ☐ no

If you use encryption tools, in which scenarios is data encrypted? (Check all statements that you believe are applicable.)

- ☒ Data at rest  
☒ Data in transit  
☒ Data transferred to removable media (laptops, CD's, backup tapes, USB devices, etc.)  
☐ None of the above

- b) Do you use and regularly update industry-standard antivirus software? ☒ yes ☐ no

- c) Do you install the latest software updates to reduce security vulnerabilities? ☒ yes ☐ no

- d) Do you require that passwords be a minimum length and contain alpha and numeric characters? ☒ yes ☐ no

- e) Do you require that passwords be regularly updated? ☒ yes ☐ no

- f) Do you check to make sure that no spyware or adware resides on your computers? ☒ yes ☐ no

- g) Do you use and regularly update industry-standard firewall protection systems to prevent unauthorized access to internal networks and computer systems? ☒ yes ☐ no

- h) Is the data on your servers encrypted? ☐ yes ☒ no

- i) Is the data on your desktop and laptop computers encrypted? ☒ yes ☐ no
- j) Is the data on your mobile devices encrypted? ☒ yes ☐ no
- k) Have predesignated computer system/application access rights and privileges been set for all authorized users? ☒ yes ☐ no
- l) Is there hourly or daily automatic backup of documents and emails? ☒ yes ☐ no
- m) Is there hourly or daily automatic backup of your firm-wide tickler system and/or your lawyers' own personal tickler systems? ☒ yes ☐ no
- n) Are backups stored off-site at a secure location? ☒ yes ☐ no
- o) Do you use software that can be used to wipe laptops and mobile devices clean if they are misplaced or stolen? ☒ yes ☐ no
- p) Do you use software that can detect unauthorized transfers of personal information and unauthorized copying of files? ☒ yes ☐ no
- q) Do you use a metadata scrubber on documents that you transmit to clients or third parties such as opposing counsel? ☒ Most of the time ☐ Occasionally ☐ Never

### 3. Incident Response

Do you have a written network security incident response plan? ☐ yes ☒ no

If "yes":

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

### 4. Policies

- a) Do you maintain a comprehensive information security and privacy policy that is updated and enforced on a continuous basis? ☒ yes ☐ no
- b) Do you advise your lawyers of the risks of using unencrypted email? ☒ yes ☐ no
- c) Does your firm advise your lawyers of the dangers of metadata? ☒ yes ☐ no
- d) Do you purchase insurance other than CLAS coverage to protect you in the case of privacy breaches? ☐ yes ☒ no
- e) Do you purchase insurance other than CLAS coverage to protect you in the case of cyber-attacks? ☐ yes ☒ no

APPENDIX I

2016 PROFESSIONAL LIABILITY INSURANCE APPLICATION AND  
EXEMPTION FORM SUBMITTED TO LAWPRO

---

Name of Firm: Davies Ward Phillips & Vineberg LLP

Roga, Patricia

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**From:** LAWPRO Website <service@LAWPRO.ca>  
**Sent:** October 21, 2015 3:22 PM  
**To:** Roga, Patricia  
**Subject:** 2016 Firm Renewal Application for Professional Liability Insurance

2016 Firm Renewal Application for Professional Liability Insurance

2016 Firm Filing completed on: 2015-10-21 3:21:54 PM

Name of LAW FIRM: DAVIES WARD PHILLIPS & VINEBERG LLP Your Firm Account number: A037130

Your Confirmation No.: P1928354

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## My LAWPRO®

LAWPRO Firm#: A037130

Firm Name: DAVIES WARD PHILLIPS &amp; VINEBERG LLP

Your filing has been submitted to LAWPRO Customer Service.  
Your confirmation number is:

P1928355

(Filed on: 2015-10-21 3:22:21 PM)

Please record this confirmation number in a secure location as it confirms your filing as follows:

**\* Professional Liability Insurance Application - Firm Renewal**

Customer Service will process your application shortly, and your 2016 policy documentation and premium invoices will be made available online for you to view or download, in a secure page on our website, when complete.

Note: The following lawyers are currently listed as members of your firm. However, they may not be automatically included in your firm's 2016 renewal, as additional filings may be required from the individual lawyers, as described below:

LSUC#	Last Name	First Name
69029B	GRIFFITH	EVAN POGUST

**NO POLICY FOUND**

This LAWYER is not currently covered by a LAWPRO policy, but has recently been added to your firm listing.

- If the LAWYER has commenced practice with your firm in 2015, he/she must complete an Application form for New Applicants. The LAWYER will be added to the Firm's Renewal filing when the New Applicant's application form is submitted for the LAWYER.
- If this LAWYER is not commencing practice with your firm, please click the "Remove" button to the right of the LAWYER name.

**Did you know:** You may refer to the "E-Filing History" tab on your [MY LAWPRO](#) page for a full record of all efilings completed on the LAWPRO website by you or on your behalf within the last 5 years.

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## My LAWPRO®

## Online 2016 Firm Summary Form

[FAQs](#)

**NOTE:** For the purposes of this Application, **LAWYER** means each person who holds a Class L1 licence pursuant to the by-laws of the *Law Society Act*.

Please **REVIEW** carefully. To make further changes or corrections before submitting, click on the Tabbed section of the application. Press the 'Submit now' button at the end of this review to complete the online filing.

A037130 DAVIES WARD PHILLIPS &  
VINEBERG LLP

<a href="#">Instructions</a>	<a href="#">Firm Information</a>	<a href="#">Member List</a>	<a href="#">Coverage Options</a>	<a href="#">Payment Information</a>	<a href="#">Warranty &amp; Signature</a>
------------------------------	----------------------------------	-----------------------------	----------------------------------	-------------------------------------	--

## General LAW FIRM Information

- 1. 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@dwpv.com

**Firm Website(s):** www.dwpv.com/

**Managing Partner/LAWYER:** 23808E -- DONALD SHAWN MCREYNOLDS

**Office Admin./Manager:** PATRICIA ROGA

**Claims Contact:** 33236P -- JAMES WILLIAM EARL DORIS

**CPD Contact:** MANELI BADII

**Nature of Law Practice:** Partnership - LLP
- 2. Contact name and title:**  
Indicate the preferred firm contact for insurance matters.

**Name:** Patricia Roga

**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.

154
- 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.

230
- 5. Excess liability insurance (optional):**



Indicate the name of the insurer and excess liability insurance limits. Limits are in addition to the required \$1 million per CLAIM/\$2 million in the aggregate primary LAWPRO policy limits.

Name of insurer: CLLAS

**Total Excess Liability Limits:**

per CLAIM/aggregate above LAWPRO POLICY limits (for all Excess coverage carried)

\$ 125 Million per claim

\$ 125 Million aggregate

**6. Volume Billings:**

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

Average Gross Billings (select one):

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

**Firm Member List**

Listed below are the names and LSUC numbers for all partners, associates and/or employed LAWYERS in the LAW FIRM, who are to be included in this application for Professional Liability Insurance.

**R** - LAWYER Removed; **N** - New LAWYER; **U** - LAWYER info Updated.

LSUC#	Last Name	First Name	Status
19056G	ADDY	GEORGE NOEL	
20830I	AINLEY	WILLIAM MICHAEL	
35743Q	ALEXANDER	ANTHONY MARK CLUNEY	
55744D	ALLAN	TRACIE BLAIR	
52460E	ANDERSON	CHRISTOPHER ALLAN	
23800K	ARMSTRONG	NEAL HUNTER	
45878G	ARNONE	FRANK SAVERIO ALFRED	
65792L	ATIN	AARON LEE	
42793G	BANICEVIC	ANITA	
37734R	BARON	ALFRED TIMOTHY TERRANCE	
34554P	BARRY	PATRICK GERARD	
35365N	BASRA	SARBJIT SINGH	
15535U	BAUER	ROBERT THEODORE	
45884I	BEN-ISHAI	STEPHANIE FANNY	
28825O	BODRUG	JOHN DAVID	
11023R	BROWN	DAVID ARTHUR	
57036B	BROWN	KIMBERLY ANNE TOSHIKO	
56368D	BUCHNER	WILLIAM EDMUND	
54815T	BULLOCK	JESSICA ANNE	
48244K	BUNTING	JAMES DAVID	
37761L	BURKE	ANDREA LOUISE	
48660U	CAMERON	CARA	
67696E	CAMPBELL	CHRISTIE MAC KAY	
49514J	CAMPBELL	SEAN RONALD	
58850N	CARLSON	ANDREW RICHARD	
65447F	CHOI	KING-MAN KENNY	
53210T	COLYER MCGUIRE	AIMEE KATHLEEN	
57055Q	COMEAU	GILLES ROBERT	
63601L	COMSTOCK	DEVON WILLIAM	
22599L	CONNELLY	MARK QUINN	
28382Q	CROSBIE	ROBERT IAN	
68703C	CURRAN	ADAM MICHAEL	
58863S	CUTLER	STEVEN JOHN	
55504B	DINNING	JAMES WILLIAM	
19490M	DISNEY	MICHAEL ALAN	
33236P	DORIS	JAMES WILLIAM EARL	
68714P	DOUCET	TERRENCE GREGORY JOSEPH	
81115R	DOUGLAS	ERIKA MERIT	
61474B	ELGER	RYAN JUSTIN	
63637P	ELLIS	ANDREW THOMAS	
38208L	FANAKI	ADAM FOUAD	
57405G	FIGEL	SLAWOMIR KRZYSZTOF	
65498C	FINLEY	MICHAEL JOSEPH SMITH	
33253P	FORBES	SANDRA ANN	
58892E	FRANKEL	STEVEN GEDALIA	

66281N	FRASER	LANCE GARNET ROBERT
46783K	FRIDMAN	RICHARD SAMUEL
42027K	GILBERT	MINDY BETH
88085K	GINTHER	ALEXANDER JAMES
21883J	GOLDLIST	ALBERT GEROLD
48315P	GOTZEVA	IVANA E
56784N	GREENSPOON	KEVIN ERIC
45888B	GROSSKLAUS	JENNIFER LILLIANE
37116M	GUTIERREZ SARABIA	LUIS IGNACIO
60118R	HANCAS	IOANA DANIELA
39086C	HARRIS	STEVEN MICHAEL
85919L	HASSAN	ANISAH SAHER
61536H	HELLER	ADAM LEE
68758V	HENEIN	SAMANTHA ROBIN
62205B	HILL	CYNTHIA MARIE
38487E	HONG	SANG-KOOK
20305K	HOWARD	GREGORY JAMES
34721C	HYMAN	SCOTT RICHARD
47169A	JAMISON	BROOKE MARIE
58831J	JEFFERY	KRISTIN JULIA IRENE
58813W	JEMCZYK	MICHAEL IWAN
48943N	JUNEJA	RAJAN
29540Q	KATZ	MARK CHARLES
49342T	KEARNEY	ELISA KATHLENA
68137F	KIM	JEOUNG WOONG
44597J	KOSZEGI	MELANIE MYRIAM
52294N	KURETZKY	JOSHUA HART
47844I	LAMARRE	PAUL ANTHONY
12468N	LEBLOVIC	NICHOLAS JOLYON
57010O	LITTLEJOHN	MAUREEN ELIZABETH
37191H	LOMBARDI	GABRIELLA
47854C	LONGHURST	JENNIFER FAYE
61181O	LUBETSKY	MICHAEL HARRIS
64919A	LYNX	NICOLE
42383G	MACPARLAND	NATASHA JULIE
65995C	MANJI	ALYSHA
44618U	MARTIN	STEVEN RAY
61929H	MARTORELLI	PETER NICHOLAS
59880D	MASSIMI	DINO GIANFRANCO
13937T	MCCAMUS	JOHN DOUGLAS
55607C	MCLEESE	BRYAN DOUGLAS
23808E	MCREYNOLDS	DONALD SHAWN
88393M	MENG	FANMING
31197J	MERCIER	VINCENT ALONZO
58883R	MELCAREK	PAWEL
64521U	MILIVOJEVIC	DINA
44286P	MILNE-SMITH	MATTHEW IAN
40582O	MOORE	JOHN ALEXANDER
53247T	MUIO	KIMBERLY DAWN
42313C	MURPHY	ROBERT STEPHEN
17011F	NADLER	IRWIN BERL
54088W	O'BRIEN	MARK JAMES
18918N	OLASKER	PATRICIA LYNN
47893F	OSADCHUK	DALÉ JOHN
61659T	PEARLMAN	DANIEL ROBERT
25633C	PENNYCOOK	CAROL DIANE
64198V	PETERSON	DANIEL TIMOTHY
36864B	PIKE	ALEXANDRIA JANE
32540P	POLLACK	GEORGE JONATHAN
34841D	POWELL	SARAH VIRGINIA
60559S	PRIETO	JENNIFER
42489S	PURI	POONAM
63477L	READ-ELLIS	NATHANIEL WILLIAM
41004A	REID	JAMES ANTHONY RICHARD
55953E	REINER	DAVID GABRIEL
55954A	RENNER	NATALIE JANE
52366N	RICCI	DEREK DEAN
64582D	RIZVI	SYED ZAIN RAZA ALI
45005R	RODRIGO	NICHOLAS
68067V	ROSEN	MATTHEW AARON
42935O	ROTH	ELIE SHMAYA
33049R	RUBIN	ROSELLE RAY
13305N	RUBY	STEPHEN STUART
30849T	RUSAW	CAMERON MARTIN
68895W	SAYAO	CARLOS OTAVIO ARBINO DE JARDIM

38452I	SCHWILL	ROBIN BRUNO
34465P	SCOLER	JOEL MARVIN
45517W	SEIFRED	BRETT ANDREW
61307S	SEMEVOYCH	SERGIY
17128H	SHIFF	ARTHUR SEYMOUR
66999U	SHIRATO	YUKI
41945U	SHISLER	MELANIE ANN
68263Q	SIDDIQUI	FARAZ AHMED
61706F	SOLINGER	JARED ROSS
41043D	SOUTHAM	GREGORY GEORGE
58947F	SPADARO	ANTHONY
60620Q	SPAGNOLA	CHANTELLE TERESA MARIE
38093V	STACEY	GILLIAN RUTH
12633I	STANBURY	DONALD CHARLES
64752B	STAPLEY	JASON WILLIAM EARL
15417L	SWARTZ	JAY ARNOLD
51432D	THOMAS	PATRICE ANDREA
24264J	THOMSON	KENT EDWIN
46118A	TINGLEY	CHARLES ERIC
34921F	TURNER	GEOFFREY SCOTT
19735V	ULMER	JOHN MICHAEL
51439V	UPSHALL	ROBIN RAYE
67969D	UZA	EMILY LAUREN
65748R	VAN WYCK	JAMES JOHANNES
40702T	VESEY	DEREK RICHARD GABOR
25665W	VINEBERG	MICHAEL DEBRON
68816R	VIRANI	ALYSHA
57965M	WEINGARTEN	SARAH LYNNE MARKMAN
43195A	WHITE	DAVID MICHAEL ROBERT
30162N	WILLIAMS	NICHOLAS CHARLES
53269W	WILSON	DAVID THOMAS HAROLD
67984L	YASIN	MUHAMMAD BADAR
19390W	YODAN	TIMOTHY GEORGE

Number of LAWYERS practising in the firm: 153

The following LAWYERS are currently listed as members of your firm. However, they may not be automatically included in your firm's 2016 renewal, as additional filings may be required from the individual LAWYERS, as described below:

69029B GRIFFITH EVAN POGUST

**NO POLICY FOUND**

This LAWYER is not currently covered by a LAWPRO policy, but has recently been added to your firm listing.

- If the LAWYER has commenced practice with your firm in 2015, he/she must complete an Application form for New Applicants. The LAWYER will be added to the Firm's Renewal filing when the New Applicant's application form is submitted for the LAWYER.
- If this LAWYER is not commencing practice with your firm, please click the "Remove" button to the right of the LAWYER name.

### LAW FIRM's Coverage Options

**7. DEDUCTIBLE Option:**

\$25,000 DEDUCTIBLE applicable to claim expenses, indemnity payments, and/or costs of repairs together

**8. Innocent Party Coverage sublimit:**

\$250,000 per claim/aggregate

**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: 15

### LAW FIRM's Premium Payment Options

**11. Third-party payor authorization:**

Please indicate here if you are going to pay using credit card or bank account

information belonging to a third party.

No

**12. Instalment Option:**

Lump sum payment by cheque, dated and received by February 5, 2016  
(eligible for \$50 plus PST per LAWYER discount).

**16. Mail/fax your premium payment information:**

No

**17. 2016 Invoicing Information:**

Your firm's 2016 insurance premium invoice will be available in electronic form from this website 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:	(smcreynolds@dwvp.com)
LAW FIRM Office Administrator/Manager:	(proga@dwvp.com)
LAW FIRM CPD Contact:	(mbadii@dwvp.com)
LAW FIRM CLAIMS Contact:	(jdoris@dwvp.com)
Filer (as indicated in question 19):	(proga@dwvp.com)

**CLAIM(S) & POTENTIAL CLAIM(S)**

- 18.** All members and employees of your LAW FIRM should be canvassed to determine if any member or employee of the LAW FIRM is aware of any CLAIM(S) or POTENTIAL CLAIM(S) of which LAWPRO has not been notified under the Law Society of Upper Canada program.

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: (this information may be shared with the LAWYER(s) on whose behalf you are filing.)

Name: Pat Roga

Phone: 416-863-0900 ex- 2244

E-mail: proga@dwvp.com

Your Comments and/or Suggestions:

A confirmation email will be sent to proga@dwvp.com upon submission.

*If you wish to make a further change or correction, click on the appropriate Tab at the top of this form to return to the relevant section of the application. Then Review the application again.*

*Once you have reviewed your completed form and are satisfied that no additional changes need to be made, proceed as follows:*

- *Print a copy of the Application for your records, using the print function in your browser.*
- *E-file your Application by clicking on the 'Submit now' button below.*
- *You will automatically be provided with a confirmation number once you have submitted your form, to verify that you have successfully completed the*

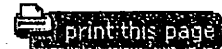
*e-filing process. Record your confirmation number with your printed application.*

**Submit now**

For more information about this form, please contact LAWPRO Customer Service at: 1-800-410-1013, or (416) 598-5899 in Toronto or via e-mail at [service@lawpro.ca](mailto:service@lawpro.ca).

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The following LAWYERS are ELIGIBLE for and apply for the Real Estate Practice Coverage option effective January 1, 2016:

Please provide an answer for each member:

LSUC#	Last Name	First Name	<input type="radio"/> Yes	<input checked="" type="radio"/> No
19056G	ADDY	GEORGE NOEL	<input type="radio"/> Yes	<input checked="" type="radio"/> No
20830I	AINLEY	WILLIAM MICHAEL	<input type="radio"/> Yes	<input checked="" type="radio"/> No
35743Q	ALEXANDER	ANTHONY MARK CLUNEY	<input type="radio"/> Yes	<input checked="" type="radio"/> No
55744D	ALLAN	TRACIE BLAIR	<input type="radio"/> Yes	<input checked="" type="radio"/> No
52460E	ANDERSON	CHRISTOPHER ALLAN	<input type="radio"/> Yes	<input checked="" type="radio"/> No
23600K	ARMSTRONG	NEAL HUNTER	<input type="radio"/> Yes	<input checked="" type="radio"/> No
45876G	ARNONE	FRANK SAVERIO ALFRED	<input checked="" type="radio"/> Yes	<input type="radio"/> No
65792L	ATIN	AARON LEE	<input type="radio"/> Yes	<input checked="" type="radio"/> No
42793G	BANICEVIC	ANITA	<input type="radio"/> Yes	<input checked="" type="radio"/> No
37734R	BARON	ALFRED TIMOTHY TERRANCE	<input type="radio"/> Yes	<input checked="" type="radio"/> No
34554P	BARRY	PATRICK GERARD	<input type="radio"/> Yes	<input checked="" type="radio"/> No
35365N	BASRA	SARBJIT SINGH	<input type="radio"/> Yes	<input checked="" type="radio"/> No
15535U	BAUER	ROBERT THEODORE	<input checked="" type="radio"/> Yes	<input type="radio"/> No
45884I	BEN-ISHAH	STEPHANIE FANNY	<input type="radio"/> Yes	<input checked="" type="radio"/> No
26825O	BODRUG	JOHN DAVID	<input type="radio"/> Yes	<input checked="" type="radio"/> No
11023R	BROWN	DAVID ARTHUR	<input type="radio"/> Yes	<input checked="" type="radio"/> No
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41043D	SOUTHAM	GREGORY GEORGE	<input checked="" type="radio"/> Yes	<input type="radio"/> No
56947F	SPADARO	ANTHONY	<input type="radio"/> Yes	<input checked="" type="radio"/> No
60620Q	SPAGNOLA	CHANTELLE TERESA MARIE	<input type="radio"/> Yes	<input checked="" type="radio"/> No
36093V	STACEY	GILLIAN RUTH	<input type="radio"/> Yes	<input checked="" type="radio"/> No
12633I	STANBURY	DONALD CHARLES	<input checked="" type="radio"/> Yes	<input type="radio"/> No
64752B	STAPLEY	JASON WILLIAM EARL	<input checked="" type="radio"/> Yes	<input type="radio"/> No
15417L	SWARTZ	JAY ARNOLD	<input type="radio"/> Yes	<input checked="" type="radio"/> No
51432D	THOMAS	PATRICE ANDREA	<input checked="" type="radio"/> Yes	<input type="radio"/> No
24264J	THOMSON	KENT EDWIN	<input type="radio"/> Yes	<input checked="" type="radio"/> No
46118A	TINGLEY	CHARLES ERIC	<input type="radio"/> Yes	<input checked="" type="radio"/> No
34921F	TURNER	GEOFFREY SCOTT	<input type="radio"/> Yes	<input checked="" type="radio"/> No
19735V	ULMER	JOHN MICHAEL	<input type="radio"/> Yes	<input checked="" type="radio"/> No
51439V	UPSHALL	ROBIN RAYE	<input type="radio"/> Yes	<input checked="" type="radio"/> No
67969D	UZA	EMILY LAUREN	<input type="radio"/> Yes	<input checked="" type="radio"/> No
65748R	VAN WYCK	JAMES JOHANNES	<input type="radio"/> Yes	<input checked="" type="radio"/> No
40702T	VESEY	DEREK RICHARD GABOR	<input type="radio"/> Yes	<input checked="" type="radio"/> No
25665W	VINEBERG	MICHAEL DEBRON	<input type="radio"/> Yes	<input checked="" type="radio"/> No
68616R	VIRANI	ALYSHA	<input checked="" type="radio"/> Yes	<input type="radio"/> No
57965M	WEINGARTEN	SARAH LYNNE MARKMAN	<input type="radio"/> Yes	<input checked="" type="radio"/> No
43195A	WHITE	DAVID MICHAEL ROBERT	<input type="radio"/> Yes	<input checked="" type="radio"/> No
30162N	WILLIAMS	NICHOLAS CHARLES	<input type="radio"/> Yes	<input checked="" type="radio"/> No
53269W	WILSON	DAVID THOMAS HAROLD	<input type="radio"/> Yes	<input checked="" type="radio"/> No
67984L	YASIN	MUHAMMAD BADAR	<input type="radio"/> Yes	<input checked="" type="radio"/> No
19390W	YODAN	TIMOTHY GEORGE	<input type="radio"/> Yes	<input checked="" type="radio"/> No

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