



Canadian Lawyers Liability Assurance Society

2021/2022 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 the most recent 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, 2021:
- 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	_____ %	30 %
b) Criminal Law	_____ %	0 %
c) Family Law	_____ %	0 %
d) Intellectual Property	_____ %	0 %
e) Labour Law	_____ %	0 %
f) Litigation	_____ %	15 %
g) Real Estate	_____ %	11 %
h) Securities Law	_____ %	20 %
i) Tax Matters	_____ %	10 %
j) Wills, Estates, Trust	_____ %	2 %
k) Other (please specify)	_____ %	12 %

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:

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, 2020. 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 \$50MM?
(Note that this question is for planning purposes only.)

☐ Interested ☐ Not Interested

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 2021 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, 2021

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

February 15, 2021

	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}			110	78		
b) No. of Patent & Trademark Agents ^{/2}						
c) No. of Non-lawyer Consultants ^{/3}						
d) No. of Paralegals			26	16		
e) No. of Other Employees			196	128		
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}			48	22		

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)
12				
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 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 provide full particulars such as percentage of practice other than Law.

As at February 15, 2021

Toronto

Unit Partners	31
Non-Unit Partners	14
Associates	56
Counsel	6
Affiliated Lawyers	3
Total/Per Office	110
 Clerks/Paralegals	 26

Member		Office
UNIT PARTNERS		
Armstrong	Neal H.	Toronto
Banicevic	Anita	Toronto
Bullock	Jessica	Toronto
Carlson	Andrew	Toronto
Colden	Julie	Toronto
Cseh	Chantelle	Toronto
Dinning	James	Toronto
Forbes	Sandra A.	Toronto
Fridman	Richard	Toronto
Katz	Mark C.	Toronto
Kearney	Elisa K.	Toronto
Littlejohn	Maureen	Toronto
MacParland	Natasha	Toronto
Martin	Steven	Toronto
Milne-Smith	Matthew	Toronto
Murphy	Robert S.	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
Rusaw	Cameron M.	Toronto
Sarabia	Luis	Toronto
Schwill	Robin B.	Toronto
Solinger	Jared	Toronto
Southam	Gregory	Toronto
Thomas	Patrice	Toronto
Tingley	Charles	Toronto
NON UNIT PARTNERS		
Arnone	Frank S.A.	Toronto
Bauer	Robert T.	Toronto
Comstock	Devon	Toronto
Disney	Michael	Toronto
Ellis	Andrew	Toronto
Gotzeva	Ivana	Toronto
Hancas	Ioana	Toronto
Koszegi	Melanie	Toronto

Lubetsky	Michael	Toronto
Rawle	Geoffrey	Toronto
Rizvi	Zain	Toronto
Spence	Kristine	Toronto
Stapley	Jason	Toronto
White	David	Toronto

ASSOCIATES

Abrahamson	Ryan	Toronto
Bahous	Diana	Toronto
Barabash	Robyn	Toronto
Berger	Stuart	Toronto
Bilyk	Jonathan	Toronto
Birnbaum	Adam	Toronto
Brazzell	Katrina	Toronto
Dalby	Stephen	Toronto
Dishy	Eytan	Toronto
DiPonio	Joseph	Toronto
Elharrar	Sarah	Toronto
Finn	Brittany	Toronto
Franks	Jaimie	Toronto
Freedman	Shane	Toronto
Gao	Rui	Toronto
Helsdon	Andrew	Toronto
Hollenberg	Joshua	Toronto
Kaplan	Simon	Toronto
Kenyon	Evan	Toronto
Lavi	Jordan	Toronto
Lee	Rachael	Toronto
Li	Chenyang	Toronto
Madden	Anne	Toronto
Manji-Knight	Alysha	Toronto
May	Trevor	Toronto
McMaster	Alisa	Toronto
Mihalik	Andrew	Toronto
Milner	Stefanie	Toronto
Nash	Simone	Toronto
Nemirov	Harrison	Toronto
Nguyen	Ha	Toronto
Nicholls	Robert	Toronto
O'Sullivan	Maura	Toronto
Pang	Patrick	Toronto
Pechersky	Dajena	Toronto
Percy	Megan	Toronto
Peterson	Daniel	Toronto
Pontone	Marc	Toronto
Rafalovich	Michael	Toronto
Richard	Guy-Etienne	Toronto
Sherman	Matthew	Toronto
Sibai	Ghaith	Toronto
Silver	Zachary	Toronto
Sullivan	Katie	Toronto
Susac	Angela	Toronto
Swarek	Sawyer	Toronto

Tabaee	Farzad	Toronto
Taschereau	Mathieu	Toronto
Tomazos	Nicholas	Toronto
Uza	Emily	Toronto
Verma	Avani	Toronto
Wierenga	Todd	Toronto
Xia	Michael	Toronto
Wolfe	Ryan	Toronto
Yasin	Badar	Toronto
Yiu	Cadie	Toronto

COUNSEL

Addy	George N	Toronto
Brown	David A.	Toronto
Shiff	Arthur	Toronto
Swartz	Jay A.	Toronto
Turner	Geoffrey S.	Toronto
Uster	Melissa	Toronto

AFFILIATED LAWYERS

Ben-Ishai	Stephanie	Toronto
McCamus	John	Toronto
Puri	Poonam	Toronto

CLERKS

Agnew	Nora	Toronto
Atkins	Kerrie	Toronto
Barbiero	Tanya	Toronto
Bilous	Debra	Toronto
Campigotto	Vanessa	Toronto
Chapman	Geoff	Toronto
Cohen	Nancy	Toronto
Conte	Stephanie	Toronto
Ebadi	Susan	Toronto
Elmhirst	Debbie	Toronto
Fetila	Julia	Toronto
Gray	Wendy	Toronto
Hughes	Jenny	Toronto
Hughes	Lisa	Toronto
Jacobs	Donna	Toronto
Lester	Corinne	Toronto
Liske	Bev	Toronto
Lo Presti	Cathy	Toronto
Mior	Nelly	Toronto
O'Rahilly	Tracey	Toronto
Prezzmoli	Pietro	Toronto

PARALEGALS

Lemon	Ruta	Toronto
Ramos	Mark	Toronto
Shaw	Renata	Toronto
Stempowicz	Leslie	Toronto
Tchougainova	Elena	Toronto

As at February 15, 2021

Montreal

Unit Partners	22
Non-Unit Partners	9
Associates	42
Counsel	5
Total/Per Office	78
Clerks	16

Member		Office
UNIT PARTNERS		
Beauregard	Élise	Montreal
Bellemare	Marie-Claude	Montreal
Benhamou	Elias	Montreal
Bloom	Brian	Montreal
Boutin	Marc-André	Montreal
Cameron	Cara	Montreal
Ferland	Denis	Montreal
Gagaoudakis	Fotini	Montreal
Gelinas	Michel	Montreal
Girard	Julie	Montreal
Goyette	Nathalie	Montreal
Groleau	Jean-Philippe	Montreal
Jarjour	Joseph	Montreal
Johnson	Philippe	Montreal
Lavery Lepage	Gabriel	Montreal
Lennard	John	Montreal
Morin	Nicolas	Montreal
Nadeau	Mylène	Montreal
Rodrigo	Nick	Montreal
Rosenberg	William	Montreal
Roy	Sébastien	Montreal
Simard	Florence	Montreal
NON UNIT PARTNERS		
Bouchard	Lucien	Montreal
Detière	Laurence	Montreal
Dompierre	Marie-France	Montreal
Dupuis	Andrea	Montreal
Latreille	Marie-Andrée	Montreal
Mendell	Peter	Montreal
Robichaud	Élisabeth	Montreal
Samson	Sylvie	Montreal
Vineberg	Robert S.	Montreal
ASSOCIATES		
Abitbol	Reuben	Montreal
Archambault	Benoit	Montreal
Baghramyan	Anna	Montreal
Bienvu	Florence	Montreal
Boretsky	Jesse	Montreal
Brathwaite	Brigitte	Montreal

Charlebois	Guillaume	Montreal
Cheaib	Sammy	Montreal
D'Astous	Chloé	Montreal
Doyon	Amélie	Montreal
Ghelerter	Alexandra	Montreal
Godin	Jonathan	Montreal
Goldman	Shayna	Montreal
Gorguos	Sarah	Montreal
Hébert	Charles	Montreal
Heilke	Matthias	Montreal
Hunter-Meunier	Ariane	Montreal
Khazam	Olivia	Montreal
Knafo	Julia	Montreal
Kornitzer	Talya	Montreal
Lalani	Faiz	Montreal
Lantoin	Patrick	Montreal
Larose-Jodoin	Charles	Montreal
Le Bihan	Antoine	Montreal
Lehouillier	Amélie	Montreal
Lemieux	Joseph-Anaël	Montreal
Lowrie	Tyson	Montreal
Major	Jessica	Montreal
Nguyen	Pascale	Montreal
Noiseux	Éloïse	Montreal
Pendenza	Vanessa	Montreal
Pignoly	Agnès	Montreal
Proulx	Nathalie	Montreal
Renaud	Guillaume	Montreal
Teboul	Jean	Montreal
Toledano	Hannah	Montreal
Trougakos	James	Montreal
Trudeau	Geneviève	Montreal
Villeneuve	Anne-Sophie	Montreal
Whitman	Dov	Montreal
Wiseman	Alyssa	Montreal
Yoffe	Arianna	Montreal

COUNSEL

Arsenault	Maurice	Montreal
Boidman	Nathan	Montreal
Fish	Morris	Montreal
Minzberg	Samuel	Montreal
Themens	Pierre-André	Montreal

CLERKS

Bian	Xiaoyan	Montreal
Boissé	Anne	Montreal
Chee Hin Sam	Nathalie	Montreal
Chung	Jennifer	Montreal
Curran	Wendy	Montreal
Dansereau	Josée	Montreal
De Petrillo	Tina	Montreal
Gelfusa	Toni	Montreal

Lambert	Suzie	Montreal
Laparé	Josiane	Montreal
Lévesque	Manon	Montreal
Mendez de Lopez	Maria	Montreal
Pagé	Linda	Montreal
Pepponi	Sabrina	Montreal
Ross	Marie-Claude	Montreal
Veglia	Catia	Montreal

As at February 15, 2021

New York

Unit Partners	7
Non-Unit Partners	1
Associates	2
Counsel	2
Total/Per Office	12
Clerks/Paralegals	2

Member		Office
UNIT PARTNERS		
Benson	Gregg	New York
Glicklich	Peter	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

Gonen	Shahar	New York
Simion	Valerie	New York

COUNSEL

Martin	Heath	New York
Heching	Harry	New York

PARALEGALS

Fryer	Nicole	New York
Truong	Donna	New York

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 (48)	
Lawyer Name	Professional Corporation
Alexander, Anthony	Anthony Alexander Professional Corporation
Anderson, Christopher	Christopher Allan Anderson Professional Corporation
Atkinson, Aaron	Aaron Atkinson Professional Corporation
Baron, Timothy Alfred	A Timothy Baron Professional Corporation
Barry, Patrick Gerald	Patrick G. Barry Professional Corporation
Basra, Sarbjit Singh	S.S. Basra Professional Corporation
Bodrug, John David	John D. Bodrug Professional Corporation
Buchner, William E.	William E. Buchner Professional Corporation
Burke, Andrea Louise	Andrea Louise Burke Professional Corporation
Comeau, Gilles	Gilles R. Comeau Professional Corporation
Crosbie, Robert Ian	R. Ian Crosbie Professional Corporation
Cutler, Steven	SJ Cutler Professional Corporation
Ford, Sharon	Sharon R. Ford Professional Corporation
Frankel, Steven G.	Steven G. Frankel Professional Corporation
Goldlist, Albert Gerold	A. Gerold Goldlist Professional Corporation
Greenspoon, Kevin	Kevin Greenspoon Professional Corporation
Grossklaus, Jennifer Lilliane	Jennifer Grossklaus Professional Corporation
Howard, Gregory James	Gregory J. Howard Professional Corporation
Hyman, Scott Richard	Scott R. Hyman Professional Corporation
Jamison, Brooke	Brooke Jamison Professional Corporation
Kuretzky, Joshua	Joshua H. Kuretzky Professional Corporation
Lamarre, Paul Anthony	Paul A. Lamarre Professional Corporation
Lombardi, Gabriella	Gabriella Lombardi Professional Corporation
Longhurst, Jennifer	Jennifer Longhurst Professional Corporation
Martorelli, Peter	Peter Martorelli Professional Corporation
McAleese, Seann	Seann D. McAleese Professional Corporation
McReynolds, Donald Shawn	D S McReynolds Professional Corporation
Mercier, Vincent Alonzo	Vincent A. Mercier Professional Corporation
Mielcarek, Paul	Paul Mielcarek Professional Corporation
Olasker, Patricia	Patricia Olasker Professional Corporation
Ricci, Derek	Derek Vesey Professional Corporation
Roth, Elie Shmaya	E.S. Roth Professional Corporation
Rubin, Ray	Ray Rubin Professional Corporation
Ruby, Stephen	S.S. Ruby Professional Corporation
Scoler, Joel M.	JM Scoler Professional Corporation
Seifred, Brett	Brett A. Seifred Professional Corporation
Shishler, Melanie Ann	Melanie Shishler Professional Corporation
Sood, Jitendra K.	Jitendra K. Sood Professional Corporation
Spadaro, Anthony	Anthony Spadaro Professional Corporation
Stacey, Gillian Ruth	GR Stacey Professional Corporation
Thomson, Kent E.	Kent E. Thomson Professional Corporation
Ulmer, John Michael	John J. Ulmer Professional Corporation
Upshall, Robin	Robin R. Upshall Professional Corporation

Vesey, Derek Richard Gabor	Derek Vesey Professional Corporation
Willard, Steven	Steven Willard Professional Corporation
Williams, Nicholas	Nicholas C. Williams Professional Corporation
Wilson, David T.H.	David T.H. Wilson Professional Corporation
Youdan, Timothy	Timothy Youdan Professional Corporation
Montreal (22)	
Arquin, Anthony	Anthony Arquin Professional Corporation Inc.
Brock, William	William Brock Professional Corporation Inc.
Cherney, Richard D.	Richard D. Cherney Professional Corporation Inc.
Désilets, Oliver	Oliver Désilets Professional Corporation Inc.
DuPont, Guy	Guy Du Pont Professional Corporation Inc.
Gaudreau Duval, Marc André	MA Gaudreau Duval Professional Corporation Inc.
Gaumont-Carignan, Véronique	Véronique Gaumont-Carignan Professional Corporation Inc.
Greenstone, Elliot A.	Elliot A. Greenstone Professional Corporation Inc.
Kandev, Michael	Michael N. Kandev Professional Corporation Inc.
Kujavsky, Brian	Brian Kujavsky Professional Corporation Inc.
Lachance, Christian	Christian Lachance Professional Corporation Inc.
Moubayed, Léon	Léon Moubayed Professional Corporation Inc.
O'Neill, Louis-Martin O'Neill	Louis-Martin O'Neill Professional Corporation Inc.
Patry, Louise	Louise Patry Professional Corporation Inc.
Pollack, George	George Pollack Professional Corporation Inc.
Rosen, Hillel W.	Hillel W. Rosen Professional Corporation Inc.
Rudick, Rhonda	Rhonda Rudick Professional Corporation Inc.
Ruf, Franziska J.	Franziska J. Ruf Professional Corporation Inc.
Thériault, Sébastien	Sébastien Thériault Professional Corporation Inc.
Vaillancourt, Marie-Emmanuelle	Marie-Emmanuelle Vaillancourt Professional Corporation Inc.
Vineberg, Justin D.	Justin D. Vineberg Professional Corporation Inc.
Wolfensohn, Dan	Dan Wolfensohn Professional Corporation Inc.

APPENDIX C

**Active Non-Lawyer Consultants Of The Firm As Of February 15, 2021
(Excluding Patent & Trademark Agents)**

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

February 15, 2021

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, 2021
(Excluding Patent & Trademark Agents)

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

February 15, 2021

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.
	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.
3	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.
4	The international partnership dissolved on February 1, 2001 when Goodman Phillips & Vineberg of Montreal merged with Davies, Ward & Beck LLP.
5	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.
6	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

Updated as of (Enter Date):

February 15, 2021

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.

[illegible]

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.

[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.

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.

[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, 2021

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, 2020 to July 1, 2021
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):	

APPENDIX F

Schedule of Claims and Notices As of December 31, 2020

Name of Firm

Davies Ward Phillips & Vineberg LLP

Updated as of (Enter Date):

December 31, 2020

Please attach separately with the email

Open and Closed Claims Report
Davies Ward Phillips & Vineberg

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		
CLLAS1988-007	LNR040T	1-Jul-1987	1-Jan-1987	ROBERT T. BAUER	DEVELOPMENT CORPORATION\DUSIT LANES DEV.	17-Nov-1988	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-011	L0245	1-Sep-1987	1-Dec-1985	NICHOLAS J. LEBLOVIC	CITIBANK CANADA	1-Jul-1988	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-013	L0510	1-Nov-1987	1-Oct-1987	BRIAN K. GRASMUCK	DONALD RIPLEY	1-Jun-1988	\$ -	\$ -	\$ 708	\$ -	\$ -	\$ 708	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-018	L0908	1-Feb-1988	1-Mar-1987	EDWARD C. HANNAH	DAVID K. LOWRY	1-Sep-1989	\$ -	\$ -	\$ 15,878	\$ -	\$ -	\$ 15,878	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-031	L1490	1-May-1988	1-Feb-1986	Donald C. Stanbury	KEVIN JAMES DWYER	1-Mar-1989	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-032	LNR513	28-Jun-1988	1-Jun-1987	CHARLES OVERLAND	AUDREY CAMPBELL	12-Jun-1990	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-038	L1035	1-Aug-1987	1-Jul-1986	EDWARD C. HANNAH	ECO CORPORATION	1-Jun-1988	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-051	LNR512E	1-Jun-1988	1-Dec-1987	Brian R. Carr	ALBERTO CULVER CANADA INC.	1-Apr-1988	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1988-052	L1657	1-Jun-1988	1-Jul-1987	I. BERL NADLER	CANADIAN MANOIR	1-Nov-1989	\$ -	\$ -	\$ 18	\$ -	\$ -	\$ 18	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1990-025	NO946	1-Jan-1990	1-Oct-1984	JOHN I. LASKIN	COMMODORE BUSINESS LTD	1-Dec-1992	\$ 100,000	\$ -	\$ 72,053	\$ -	\$ -	\$ 172,053	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1992-081	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
CLLAS1992-107	Q0789	17-Mar-1992	1-Feb-1992	JOHN D. BODRUG	BEAM OF CANADA INC.	1-Sep-1992	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1992-184	P2108	16-Jul-1991			Estate of Anne Fox	30-Jun-1993	\$ 31,883	\$ -	\$ 4,806	\$ -	\$ -	\$ 36,689	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-004	Q2072	24-Jul-1992	25-Mar-1992	GREGORY J. HOWARD	ONTARIO RESORTS INC.	1-Jan-1993	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-022	Q2919	31-Oct-1992	31-Oct-1990	JOEL T. KISSACK	MACLEOD-STEDMAN INC.	31-Mar-1998	\$ -	\$ -	\$ 9,783	\$ -	\$ -	\$ 9,783	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-074	R0678	31-Mar-1993	30-Jun-1992	ROBYN M. BELL	Garfield's Fashions Limited	23-Jan-1995	\$ -	\$ -	\$ 3,592	\$ -	\$ -	\$ 3,592	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-101	R2345	22-Apr-1993	29-Oct-1992	GRAY E. TAYLOR	The Business Depot Ltd.	30-Jun-1993	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1993-132	R2224	29-Jun-1993	30-Apr-1993	John Laskin	Dr. I.S. Rosenhek	24-Mar-1994	\$ -	\$ 606	\$ -	\$ -	\$ -	\$ 606	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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
CLLAS1994-026	R3263	30-Sep-1993	5-Jan-1993	THOMAS A. SMEE	Ondaatje Managed Investments Limited	8-Mar-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-072	S359	7-Feb-1994	1-Feb-1991	ROBYN M. BELL	JONE SCHOEFFEL	9-May-1994	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-073	S371	4-Feb-1994	8-Jan-1993	CAROL PENNYCOOK	ODYSSEY PARTNERS, L.P.	14-Apr-1994	\$ -	\$ -	\$ 3,561	\$ -	\$ -	\$ 3,561	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1994-074	S0414-K	10-Feb-1994	1-Feb-1991	MATTHEW GOTTLIEB	HOOGOVENS 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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-014	S2736	20-Sep-1994	1-Jun-1994	Ian Johnson	Industrial Strategic Capital	17-Mar-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-032	S3110	20-Oct-1994	1-Mar-1994	Colin Campbell	Lancaster Funding Inc.	12-Mar-1996	\$ -	\$ -	\$ 9,143	\$ -	\$ -	\$ 9,143	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-061	S3605	31-Dec-1994	1-Jun-1994	Sandra A. Forbes	Louis Harris Kalesky	2-Feb-1995	\$ -	\$ 4,045	\$ -	\$ -	\$ -	\$ 4,045	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-084	T0187	6-Feb-1995	9-Jan-1994	Berl Nadler	J. Silver Holdings Limited	11-Jul-1997	\$ -	\$ 4,131	\$ 31,717	\$ -	\$ -	\$ 35,848	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-091	T0393	17-Mar-1995	25-Jan-1995	John Zinn	Fortis Zinn	18-May-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1995-114	T0522	11-Apr-1995	1-Feb-1991	James Kershaw	Donald D. & Ruth Campbell	14-Aug-1995	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1996-074	U0304	27-Mar-1996	17-Jun-1988	John Zinn	Horizon Limited Partnership	28-Apr-2005	\$ -	\$ -	\$ 112,841	\$ -	\$ -	\$ 112,841	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1997-080	V0316	31-Mar-1997	31-Mar-1997	Arthur Shiff	Cadbury Beverages Canada Inc.	22-Oct-1997	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1997-090	V0530	7-May-1997	31-Aug-1989	David W. Smith	Toronto-Dominion Bank (Re: GW-CG Investments Ltd)	15-Jul-2002	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1997-112	V0770	19-Jun-1997	1-Feb-1990	Donald C. Stanbury	CMIL Industries	20-Oct-1998	\$ -	\$ -	\$ 4,926	\$ -	\$ -	\$ 4,926	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1999-020	W1160	11-Sep-1998	30-Jan-1995	J. Berl Nadler	Union Industries Inc./BeckettTech.	3-Oct-2000	\$ -	\$ -	\$ 138,198	\$ -	\$ -	\$ 138,198	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1999-040	W1556	18-Nov-1998		Steven B. Sharpe	Chrysler Canada/Canada Trust Co. et al	28-Jan-1999	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS1999-102	X0723	16-Jun-1999	6-Nov-1998	David Dell	Festival Hall Developments Limited	20-Jun-2002	\$ -	\$ -	\$ 56,098	\$ -	\$ -	\$ 56,098	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2001-081	Z0223	7-Mar-2001	14-Sep-1998	Patrick Barry	BMO Nesbitt Burns Equity Partners Inc.	11-Oct-2001	\$ -	\$ -	\$ 4,358	\$ -	\$ -	\$ 4,358	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2001-112	LBQ	27-Apr-2001		Daniel S. Miller	Mamma.Com Inc./Intasys Corp.	30-Jun-2001	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-013	LBQ	31-Jul-2001		Katherine Peacocke	Anmara Corporation	10-Oct-2002	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2002-090	LBQ	20-Nov-2001	29-Jul-2001	Janet Ferrier	Congress Financial Corporation (Canada)	31-Mar-2006	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

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		
CLLAS2011-191	LBQ	20-Jun-2011	21-Apr-2011	Stephane Eljarrat	Potash Corporation of Saskatchewan	31-Oct-2011	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2011-207	LBQ	26-Aug-2010		Nathan\ Sidney\Samuel Boidman\Horn\Minzberg	St Lawrence Trading - I. Ludmer,A. Steinberg		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-026	222631	22-Sep-2011	22-Sep-2008	David Stollow	Innovacion Y Desarrollo de Energia Alfa Sustentable	23-Feb-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-043	LBQ	7-Nov-2011	1-Sep-2011	Michael N. KandeV	The Larry and Cookie Rossy Family Foundation et al	2-Jul-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-091	12-0026	17-Jan-2012		Samuel Minzberg	Michael Seltzer	23-Mar-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-141	12-0227	12-Apr-2012		Pierre-André Themens	Estate or Beneficiary of the Estate of Claude Hum	31-Mar-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-155	12E0809	30-May-2012	9-Dec-2007	Ronald S. Wilson	White Knight Investment Trust et al	5-Jun-2012	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-167	LBQ	19-Jun-2012		Pierre-André Themens	Madeleine Brilliant (Humbert)	16-Jul-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-168	LBQ	27-Jun-2012		Sébastien Savage	R.J. Corman Railroad Group, LLC et al	14-Jan-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2012-174	12-0369	29-Jun-2012	28-Mar-2012	Diana R. Lyrintzis	Cominar Real Estate Investment Trust	17-Jul-2015	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2013-150	LBQ	27-May-2013		Sandra Mastrogiuseppe	H.W. Hollinger (Canada) Inc.	15-Jul-2013	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2014-077	LBQ	24-Jan-2014		Robert J. Abrams	8104425 & 8104433 Canada Inc.		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2014-152	LBQ 14-0357	30-Jun-2014	9-Jan-2012	Benoit Archambault	M.Z. Berger & Co., Inc.		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-015	No CST /14E1176	29-Jul-2014	6-Mar-2009	Ronald Wilson	Merrill Lynch Holdings Company	6-Jun-2019	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-027	14-0522	7-Oct-2014	9-May-2012	John Lennard	Roberto Pietrovito	14-Dec-2020	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-088	NY	20-Feb-2015		Abraham Leitner	Saul Katzman et al	31-Dec-2019	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-122	15E0718	14-May-2015	9-Jun-2009	Robin Schwill	Joint Administrators of Nortel Networks UK Limited	18-Oct-2017	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2015-127	No CST	17-Jun-2015		Paul Lemarre	Woodbourne Canada LI GP LP	13-Dec-2016	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-011	LBQ	5-Aug-2015		Nicolas Chaput	Lane Fusilier	16-May-2016	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-125	16E0519	5-Apr-2016		David Kim	Holden Rhodes/ 2471742 Ontario Inc.	13-Dec-2016	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-127	LBQ	14-Apr-2016		Paul Prokos	Multiple Taxpayers	29-Jan-2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2016-150	LBQ	9-Jun-2016		Lloyd Perry Feldman	Avrum Morowitz (Morrow)		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2017-027		1-Sep-2016		Paul Prokos	Tony Vysniauskas,Wayne Sim	29-Jan-2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2017-052	LBQ	10-Nov-2016		Louis-Martin O'Neill	Groupe Raymond Chabot Grant Thornton	17-Dec-2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2017-065	LBQ 17-0615	12-Dec-2016		Michael D. Vineberg	Unknown Estates		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2017-104	LBQ	9-Feb-2017		George Pollack	First Capital Realty Inc.	12-Feb-2020	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2018-028	LBQ	17-Oct-2017		Laurence Detiere	Laurentian Bank of Canada Ltd.	29-Jan-2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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.		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2018-086	18E0542	26-Mar-2018	21-Mar-2018	Mindy Gilbert	Potash Ridge Corporation	17-Apr-2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2018-111	LBQ 18-0324	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		\$ -	\$ -	\$ -	\$ -	5,000	\$ 100,000	\$ 105,000	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2019-006	LBQ	26-Jul-2018	26-Jun-2018	Xavier Plamondon	RioCan REIT	4-Sep-2019	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
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 Telecomunicacoes Ltda.		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2019-112	LBQ 19-0284	21-May-2019		Rita de Santis	Saargummi Quebec Inc.,City of Magog	1-Sep-2020	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
CLLAS2020-074	LBQ 20-0052	31-Jan-2020		Shayna Goldman	CentralSquare Technologies LLC	24-Apr-2020	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

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	
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	TBA20-0234	22-May-2020	(\$)	Louise Patry	Aldo Group Inc.		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS2021-021	LBO20-0419	13-Oct-2020		Elisabeth Robichaud	Jean-Louis Dulac,Michel Dulac,Projet Perth		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
CLLAS2021-022	TBA20E-1606	13-Oct-2020		Davies Ward Phillips & Vineberg LLP (M. Milne-Smith)	Camp Ooch		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Total							\$ 2,300,915	\$ 25,753	\$ 2,655,111	\$ 10,000	\$ 625,000	\$ 5,616,779	\$ 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 by 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.

E-Mail

- Establishes standards for e-mail 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 procedures 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 and 2015, 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 rolled out the CLLAS E-Learning program, a risk management practice available to all lawyers and other professionals in all offices of the Firm.

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? | No |
| 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

2021 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 2021 Firm Filing Review

General LAW FIRM Information

1. Firm Information

Name of LAW FIRM:

Address:

Phone Number:

Fax Number:

E-mail address:

Firm Website(s):

Managing Partner/LAWYER:

Office Admin/Manager:

Claims Contact:

CPD Contact:

Nature of Law Practice:

2. Contact name and title

Indicate the preferred firm contact for insurance matters.

Name:

Title:

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.

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.

5. Excess liability insurance

Your excess insurers include:

Liability limits:

(per CLAIM/aggregate in excess of LAWPRO POLICY limits)

\$ Million **per CLAIM**

\$ Million **aggregate**

6. Volume Billings

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

Average Gross Billings:

LAW FIRM's Coverage Options

7. DEDUCTIBLE Option

8. Innocent Party Sublimit Coverage

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

10. Real Estate Practice Coverage Option

LAW FIRM's Premium Payment Options

11. Third-party payor authorization:

The LAWYERS` 2021 insurance premium will be paid by a third party, other than another LAWYER or PARALEGAL PARTNER OR SHARHOLDER in the LAW FIRM, the LAW FIRM itself, or a management or other company of the LAW FIRM.

If the LAWYERS` 2021 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

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 2021 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 2021 Insurance Premium Invoice by mail**

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?

Filer Information

19. Name, Phone, and E-mail

Name:
Phone:
E-mail:

This Declaration shall constitute and form part of the 2021 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 2021.

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.

