Surety One

ATTORNEY FIDELITY QUESTIONNAIRE

Email: Underwriting@SuretyOne.org | Facsimile: 919-834-7039 | Mail: P.O. Box 37284, Raleigh, NC 27627

Applicant: ______________________________

Address: ______________________________

Date of Application: ______________________________

What type of law does your firm practice? ______________________________

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Do you handle client funds in escrow, trust, or other fiduciary capacity? ☐ Yes ☐ No

If yes, do you have a system of dual control over client assets? ☐ Yes ☐ No

Please explain these controls: ______________________________

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Do disbursements from client accounts require approval by more than manager or partner of the firm? ☐ Yes ☐ No

Under any circumstances, can ONE partner or manager execute a check, make a disbursement, or move money from a client account without additional partner or manager approval? ☐ Yes ☐ No

If yes, what system of control do you have in place to review and confirm the validity of disbursements made individually and without secondary review? ______________________________

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How often are account disbursements reconciled with client accounts? ______________________________

Are those reconciliations accomplished by an individual NOT involved with the disbursement process? ☐ Yes ☐ No

USE SEPARATE ATTACHMENT IF FURTHER SPACE IS NECESSARY FOR EXPLANATIONS