

9. a. Alleged act, error or omission upon which claimant based claim:
(Please provide enough information to allow an evaluation. Use an additional sheet if more space is required.)

- b. Describe what activities gave rise to the claim/incident/disciplinary complaint:

- c. Describe the type and extent of damage allegedly sustained:

- d. Provide your response as to the validity of this matter and the likely outcome:

10. Does this incident or claim follow or result from an action to collect fees? No Yes

11. What steps have been taken to prevent the occurrence of a similar claim/incident?

Signature:

✓

(Owner, Partner or Principle of firm must sign)

Date:

✓
