



Financial Institutions Supplemental Application

Financial institution is defined as a bank, bank holding company, savings association, savings and loan, credit union, thrift, building and loan association, broker-dealer, mortgage broker or insurance company for the purposes of this supplement.

1. List all financial institutions which have been clients of the firm or firm predecessors in the last five years. Attach additional sheets if needed.

Client Name	Location	Type of Institution	Type of Professional Services provided *	Date of Services	Opinion of going concern?	Current Client?
					<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

*Professional services include loan workouts, title work conveyances, loan documentations or approvals, real estate closings, subprime lending and foreclosures. Please indicate if any apply above.

2. List any Financial Institution identified in question 1 above that has failed, been merged or sold under regulatory direction, been placed in conservatorship or has been operating under any form of regulatory direction or agreement. Attach additional sheets if needed. N/A

Client Name	Date of action	Date of most recent services	Description of events (use separate sheet if necessary)

3. After inquiry, are the firm members aware of any criminal or civil litigation against any Financial Institution for which you have provided professional services in the last five years?

If yes please provide details. _____

4. Who is responsible for overseeing financial institution client engagements?

Attach sample engagement letter and resumes for firm professionals providing services to financial institutions.

5. Within the last five years, have current or former personnel of the firm or predecessor firms
- a. acted as a director or officer, or served on an internal committee or;
 - b. held an equity interest or;
 - c. the firm has or had a credit line or loan

with a Financial Institution which is or was a client?

Yes No

If yes, please complete the following table:

Client Name	Name of Firm Member	Was the conflict of interest disclosed?
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No

Add on a separate sheet if additional space is needed

The applicant understands the information submitted herein becomes a part of the applicant's application and is subject to the same representations and conditions.

Signature of Authorized Representative of the Firm

Date

Print Name

Title (must be signed by managing partner or managing executive of the Firm)

Attest _____

Producer / Agent _____

License Number _____

Address _____
