



# Syndicate Subscription Legal Plans

## **COMMERCIAL FISHING & SEAFOOD** **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

**URGENT MARITIME AND TRADE MATTERS MOVE IN HOURS. Vessel arrests, casualties, crew injuries, spill reporting, and detained import shipments all carry immediate obligations and short response windows. If a vessel is under arrest, a shipment is detained, or an incident has occurred, tell us before completing the rest of this form.**

*CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for commercial fishing and seafood businesses — vessel owners and operators, harvesters, processors, importers and exporters, traders, brokers, and shippers. Complete the sections that apply. If a question does not apply, write "N/A." If unknown, write "Unknown."*

### **NAME OF THE CLIENT:**

☐ Legal Entity Name: \_\_\_\_\_

DBA / trade names: \_\_\_\_\_ Year founded: \_\_\_\_\_

Entity type:

☐ Corporation

☐ LLC

☐ Partnership

☐ Cooperative

☐ Public company

☐ Subsidiary of a parent

☐ Foreign parent

State of formation: \_\_\_\_\_ EIN (last 4): \_\_\_\_\_

States / countries of operation: \_\_\_\_\_ **Syndicate Plan Member ID:** \_\_\_\_\_

Contact person & title: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ County: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Annual revenue: \$ \_\_\_\_\_ Employees & crew: \_\_\_\_\_

### **PART 1 — YOUR BUSINESS**

#### 1.1 Type of business:

☐ Vessel owner or operator

☐ Harvester / fishing company

☐ Seafood processor

☐ Custom or contract processor

☐ Importer

☐ Exporter

☐ Trader or broker

☐ Shipper / logistics

☐ Cold storage & distribution

☐ Aquaculture operation

☐ Retail or foodservice supplier

☐ Tug & barge operator

☐ Shipyard or repair facility

1.2 Species & product forms handled: \_\_\_\_\_

1.3 Fisheries, regions & ports of operation: \_\_\_\_\_



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1.4 Describe your operations and current stage: \_\_\_\_\_

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## PART 2 — SERVICES NEEDED

### **Entity, Governance & Filings:**

- |                                                            |                                                            |
|------------------------------------------------------------|------------------------------------------------------------|
| <input type="checkbox"/> Formation or incorporation        | <input type="checkbox"/> Entity conversion / restructuring |
| <input type="checkbox"/> Operating agreement / bylaws      | <input type="checkbox"/> Corporate resolutions             |
| <input type="checkbox"/> Annual reports & business filings | <input type="checkbox"/> Foreign qualification             |
| <input type="checkbox"/> International incorporation       | <input type="checkbox"/> Business licenses & permits       |

### **Vessels, Maritime & Crew:**

- |                                                                    |                                                          |
|--------------------------------------------------------------------|----------------------------------------------------------|
| <input type="checkbox"/> Ship registration & documentation         | <input type="checkbox"/> Vessel purchase, sale & finance |
| <input type="checkbox"/> Preferred ship mortgages & maritime liens | <input type="checkbox"/> Vessel arrests & releases       |
| <input type="checkbox"/> Charter party agreements                  | <input type="checkbox"/> Crew contracts & wage issues    |
| <input type="checkbox"/> Crew injury & maintenance claims          | <input type="checkbox"/> Salvage & wreck removal         |
| <input type="checkbox"/> Shipyard & repair disputes                | <input type="checkbox"/> Tug & barge agreements          |

### **Fisheries Licensing & Regulation:**

- |                                                                       |                                                                         |
|-----------------------------------------------------------------------|-------------------------------------------------------------------------|
| <input type="checkbox"/> Federal fishery permits & endorsements       | <input type="checkbox"/> Quota, catch share & permit transfers          |
| <input type="checkbox"/> State licensing & landings requirements      | <input type="checkbox"/> International licensing & foreign access       |
| <input type="checkbox"/> Observer, reporting & monitoring obligations | <input type="checkbox"/> Enforcement actions & penalty proceedings      |
| <input type="checkbox"/> Gear, closure & season compliance            | <input type="checkbox"/> Protected species & environmental requirements |

### **Trade, Customs & Supply Chain:**

- |                                                                     |                                                                   |
|---------------------------------------------------------------------|-------------------------------------------------------------------|
| <input type="checkbox"/> Customs classification & entry             | <input type="checkbox"/> Tariff engineering & duty planning       |
| <input type="checkbox"/> Antidumping & countervailing duty exposure | <input type="checkbox"/> Seafood import monitoring & traceability |
| <input type="checkbox"/> Import detentions, alerts & refusals       | <input type="checkbox"/> Import/export investigations & audits    |
| <input type="checkbox"/> Supply chain analysis & legal exposure     | <input type="checkbox"/> Cargo, commodities & logistics contracts |
| <input type="checkbox"/> Custom processing agreements               | <input type="checkbox"/> Supply chain disputes                    |

### **Food Safety, Labeling & Products:**

- |                                                                            |                                                                   |
|----------------------------------------------------------------------------|-------------------------------------------------------------------|
| <input type="checkbox"/> Seafood safety plans & processing controls        | <input type="checkbox"/> Foreign supplier verification            |
| <input type="checkbox"/> Facility registration & inspections               | <input type="checkbox"/> Species identification & labeling claims |
| <input type="checkbox"/> Country of origin & method of production labeling | <input type="checkbox"/> Sustainability & certification claims    |
| <input type="checkbox"/> Recalls & product liability                       | <input type="checkbox"/> Consumer protection & warranty           |



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## Capital Markets & Finance:

- |                                                                              |                                                              |
|------------------------------------------------------------------------------|--------------------------------------------------------------|
| <input type="checkbox"/> Capital markets consultation                        | <input type="checkbox"/> Private placement (Reg D / Reg A)   |
| <input type="checkbox"/> Vessel & equipment finance                          | <input type="checkbox"/> Working capital & inventory finance |
| <input type="checkbox"/> Exchange listing (OTC, Nasdaq, NYSE, international) | <input type="checkbox"/> Securities & blue sky compliance    |
| <input type="checkbox"/> Mergers, acquisitions & permit sales                | <input type="checkbox"/> Investor agreements & cap table     |
| <input type="checkbox"/> Surety bonds & guarantees                           | <input type="checkbox"/> Restructuring or bankruptcy         |

2.1 Describe your most urgent matter and objective: \_\_\_\_\_

\_\_\_\_\_

2.2 Deadline (season, permit, shipment, hearing, closing): \_\_\_\_\_

## PART 3 — VESSELS & CREW

| Vessel Name | Official / Registration No. | Flag | Length / Tonnage | Owned or Chartered |
|-------------|-----------------------------|------|------------------|--------------------|
|             |                             |      |                  |                    |
|             |                             |      |                  |                    |
|             |                             |      |                  |                    |
|             |                             |      |                  |                    |

- |                                                                       |                                                          |
|-----------------------------------------------------------------------|----------------------------------------------------------|
| 3.1 Are vessels documented and are endorsements current?              | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3.2 Are mortgages or liens recorded against any vessel?               | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3.3 Has a vessel been arrested, attached, or threatened with arrest?  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3.4 Are charter parties in writing with liability and off-hire terms? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3.5 Are crew contracts, wage terms, and shares documented?            | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3.6 Have there been crew injuries, illness claims, or casualties?     | <input type="checkbox"/> Yes <input type="checkbox"/> No |

*Crew injury and wage claims have their own maritime standards and reporting duties. Please notify insurers promptly and preserve logs and records.*

## PART 4 — PERMITS, QUOTA & FISHERY COMPLIANCE

| Permit / License | Issuing Authority | Fishery / Species | Quota or Allocation | Expires |
|------------------|-------------------|-------------------|---------------------|---------|
|                  |                   |                   |                     |         |
|                  |                   |                   |                     |         |
|                  |                   |                   |                     |         |
|                  |                   |                   |                     |         |

- |                                                                     |                                                          |
|---------------------------------------------------------------------|----------------------------------------------------------|
| 4.1 Are permits, endorsements, and landings reports current?        | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 4.2 Is a permit, quota, or catch share transfer planned or pending? | <input type="checkbox"/> Yes <input type="checkbox"/> No |



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*Permit and quota transfers usually require agency approval, and ownership or control limits can block a sale or financing.*

4.3 Are there observer, monitoring, or electronic reporting requirements? ☐ Yes ☐ No

4.4 Have there been violations, citations, or enforcement proceedings? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

4.5 Protected species, gear restrictions, or closures affecting you? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

## PART 5 — TRADE, CUSTOMS & IMPORTS

5.1 Do you import or export seafood products? ☐ Yes ☐ No

Countries & product categories: \_\_\_\_\_

5.2 Are products subject to antidumping or countervailing duties? ☐ Yes ☐ No

5.3 Do imports require traceability or catch documentation reporting? ☐ Yes ☐ No

5.4 Have shipments been detained, refused, or subject to an import alert? ☐ Yes ☐ No

5.5 Have you received a customs inquiry, audit, or penalty notice? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

5.6 Do you document labor practices and vessel sourcing? ☐ Yes ☐ No

*Seafood imports face traceability, forced labor, and marine mammal sourcing requirements, and detained shipments must be addressed quickly to avoid loss of product.*

## PART 6 — PROCESSING, FOOD SAFETY & LABELING

6.1 Do you own or operate processing facilities? ☐ Yes ☐ No

Locations & products processed: \_\_\_\_\_

6.2 Are facility registrations, safety plans, and records current? ☐ Yes ☐ No

6.3 Do you rely on custom or contract processors, and are agreements in writing? ☐ Yes ☐ No

6.4 Have there been inspections, warning letters, or corrective actions? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

6.5 Do labels identify species, origin, and production method accurately? ☐ Yes ☐ No

6.6 Do you make sustainability, wild-caught, or certification claims? ☐ Yes ☐ No

6.7 Has any product been recalled or subject to a consumer complaint or illness report? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

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## PART 7 — CONTRACTS, INSURANCE & FINANCE

| Key Counterparty | Role (buyer, supplier, processor, carrier) | Annual Value \$ | Term | Signed? |
|------------------|--------------------------------------------|-----------------|------|---------|
|                  |                                            |                 |      |         |
|                  |                                            |                 |      |         |
|                  |                                            |                 |      |         |

### 7.1 Insurance in place:

- |                                                     |                                                                |
|-----------------------------------------------------|----------------------------------------------------------------|
| <input type="checkbox"/> Hull & machinery           | <input type="checkbox"/> Protection & indemnity                |
| <input type="checkbox"/> Cargo                      | <input type="checkbox"/> Pollution liability                   |
| <input type="checkbox"/> Product liability & recall | <input type="checkbox"/> Workers' compensation / crew coverage |
| <input type="checkbox"/> Property & cold storage    |                                                                |

| Existing Debt / Facility | Lender or Investor | Balance \$ | Maturity | Collateral |
|--------------------------|--------------------|------------|----------|------------|
|                          |                    |            |          |            |
|                          |                    |            |          |            |
|                          |                    |            |          |            |

7.2 Capital sought: \$ \_\_\_\_\_ Purpose: \_\_\_\_\_

### 7.3 Capital strategy:

- |                                                         |                                                      |
|---------------------------------------------------------|------------------------------------------------------|
| <input type="checkbox"/> Vessel acquisition or refit    | <input type="checkbox"/> Permit or quota purchase    |
| <input type="checkbox"/> Processing plant or equipment  | <input type="checkbox"/> Working capital & inventory |
| <input type="checkbox"/> Growth equity                  | <input type="checkbox"/> Public offering or listing  |
| <input type="checkbox"/> Sale of the business or assets | <input type="checkbox"/> Not sure — need advice      |

## PART 8 — PEOPLE, DISPUTES, DOCUMENTS & CERTIFICATION

8.1 Shoreside employees: \_\_\_\_\_ Crew: \_\_\_\_\_ States with workers: \_\_\_\_\_

8.2 Is a visa program used for crew or plant workers? ☐ Yes ☐ No

8.3 Are workers classified as employees, contractors, or share fishermen? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

### 8.4 Current disputes:

- |                                                    |                                                    |
|----------------------------------------------------|----------------------------------------------------|
| <input type="checkbox"/> Vessel or charter dispute | <input type="checkbox"/> Crew injury or wage claim |
| <input type="checkbox"/> Supply or buyer dispute   | <input type="checkbox"/> Customs or trade penalty  |
| <input type="checkbox"/> Agency enforcement        | <input type="checkbox"/> Product or recall claim   |
| <input type="checkbox"/> Shipyard dispute          | <input type="checkbox"/> Collections               |
| <input type="checkbox"/> None                      |                                                    |

8.5 Is a non-disclosure agreement required before documents are shared? ☐ Yes ☐ No



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*Please provide the following, if applicable. Check each item available.*

- |                                                               |                                                            |
|---------------------------------------------------------------|------------------------------------------------------------|
| <input type="checkbox"/> Formation & governance documents     | <input type="checkbox"/> Ownership / cap table             |
| <input type="checkbox"/> Financial statements & projections   | <input type="checkbox"/> Vessel documentation & mortgages  |
| <input type="checkbox"/> Permits, licenses & quota records    | <input type="checkbox"/> Charter parties & crew agreements |
| <input type="checkbox"/> Supply, processing & sales contracts | <input type="checkbox"/> Customs entries & import records  |
| <input type="checkbox"/> Insurance policies & certificates    | <input type="checkbox"/> Agency correspondence & notices   |

**Certification:**

I declare that the information provided in this questionnaire is true, correct, and complete to the best of my knowledge, and that I am authorized to provide it on behalf of the business named above. I understand this information is provided to Syndicate Subscription Legal Plans in confidence for the purpose of evaluating and scoping this engagement.

Signed and dated this \_\_\_\_ day of \_\_\_\_\_, 20\_\_

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Please Print and Email to [STEVE@STEVEMUELLERLEGAL.COM](mailto:STEVE@STEVEMUELLERLEGAL.COM), or  
save this document as a PDF and email to [STEVE@STEVEMUELLERLEGAL.COM](mailto:STEVE@STEVEMUELLERLEGAL.COM),  
*Your information will be reviewed within one hour.*