



Syndicate Subscription Legal Plans

AGRIBUSINESS & AGRICULTURE **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

TIME-SENSITIVE ITEMS: produce and livestock trust claims (PACA and the Packers & Stockyards Act), state agricultural liens, crop insurance notices, and recall reporting all carry short deadlines that can be lost in days. If any of these apply, tell us before completing the rest of this form.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for agricultural operations — growers, dairies, ranches, vineyards and wineries, processors, feed and machinery manufacturers, cooperatives, and related businesses. Complete the sections that apply to your operation. Estimates are fine. 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

☐ S corporation

☐ LLC

☐ Partnership

☐ Cooperative

☐ Sole proprietorship

☐ Trust / family entity

State of formation: _____ EIN (last 4): _____

Other states of operation: _____

Contact person & title: _____

Syndicate Plan Member ID: _____

Address: _____

City: _____ County: _____ State: _____ Zip: _____

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees (peak season): _____

PART 1 — YOUR OPERATION

1.1 Type of operation:

☐ Crop production

☐ Dairy

☐ Poultry & livestock

☐ Vineyard / winery

☐ Horticulture / nursery

☐ Equestrian / stables

☐ Breeding operation

☐ Animal feed manufacturing

☐ Food processing & packaging

☐ Farm machinery production or dealer

☐ Farmers' cooperative

☐ Farm service provider

☐ Cannabis cultivation *

☐ Agtech / other

** Cannabis remains federally illegal, which affects banking, bankruptcy, interstate commerce, tax deductions, and access to federal programs. We will address those limits directly.*

1.2 Acres owned: _____ Acres leased: _____ Head / production volume: _____

1.3 Primary crops, products, or livestock: _____



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1.4 Certifications:

- | | |
|--|--|
| ☐ Certified organic | ☐ Non-GMO |
| ☐ Fair trade / sustainability | ☐ Appellation / AVA |
| ☐ GAP / food safety certified | ☐ None |

PART 2 — SERVICES NEEDED

Entity, Governance & Filings:

- | | |
|--|---|
| ☐ Formation or incorporation | ☐ Entity conversion or restructuring |
| ☐ Operating agreement / bylaws | ☐ Corporate resolutions |
| ☐ Annual reports & business filings | ☐ Foreign qualification |
| ☐ DBA filing | ☐ Beneficial ownership reporting |
| ☐ Licenses & permits | ☐ Farm succession planning |

Contracts & Commercial:

- | | |
|--|--|
| ☐ Production or marketing contracts | ☐ Supply & distribution agreements |
| ☐ Processing & packing agreements | ☐ Contracts with farm service providers |
| ☐ Equipment purchase & lease | ☐ Custom farming agreements |
| ☐ Storage & transportation | ☐ Independent contractor agreements |
| ☐ Non-disclosure agreements | ☐ Promissory notes |

Land, Water & Environment:

- | | |
|--|---|
| ☐ Farm leases (cash rent or crop share) | ☐ Land purchase or sale |
| ☐ Easements & access rights | ☐ Land use & zoning |
| ☐ Water rights & resource planning | ☐ Wells & groundwater compliance |
| ☐ Conservation program agreements | ☐ Environmental compliance |

Regulatory, Food Safety & IP:

- | | |
|--|--|
| ☐ Food safety & FSMA compliance | ☐ Labeling & marketing claims |
| ☐ USDA / state agency matters | ☐ Recalls & product liability |
| ☐ Agricultural liens & trusts (PACA, P&S) | ☐ Trademark registration & monitoring |
| ☐ Patent & plant variety protection | ☐ Copyright & licensing |
| ☐ Freedom to operate analysis | ☐ Import / export & trade |

Labor, Disputes & Collections:

- | | |
|--|--|
| ☐ Hiring, firing & employment policies | ☐ Wage & hour compliance |
| ☐ Immigration sponsorship (H-2A or other) | ☐ Workplace safety |
| ☐ Supply chain disputes | ☐ Breach of contract |
| ☐ Debt collection & settlement | ☐ Insurance & risk management |



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☐ Mediation or arbitration

☐ Writs of attachment or execution

Capital Markets & Finance:

☐ Capital markets consultation

☐ Private placement (Reg D / Reg A)

☐ Secured lending & credit facilities

☐ Equipment or crop financing

☐ Exchange listing (OTC, Nasdaq, NYSE)

☐ International exchange listing

☐ Securities & blue sky compliance

☐ Mergers & acquisitions

☐ Investor agreements & cap table

☐ Bankruptcy or restructuring

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (contract, filing, hearing, season): _____

PART 3 — LAND, WATER & ENVIRONMENTAL DETAIL

Property / Parcel (APN or location)	Owned or Leased	Acres	Use	Lender / Lien?

3.1 Water sources & rights:

☐ Surface water / district allocation

☐ Groundwater wells

☐ Riparian or appropriative rights

☐ Recycled or purchased water

☐ Groundwater sustainability plan area

☐ Not sure

3.2 Water cutbacks, pumping limits, or water disputes? ☐ Yes ☐ No

If yes, explain: _____

3.3 Environmental permits, discharge rules, or agency inspections? ☐ Yes ☐ No

If yes, explain: _____

3.4 Leases expiring, or farmland being sold or transferred? ☐ Yes ☐ No

If yes, explain: _____

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PART 4 — CONTRACTS, BUYERS & SUPPLY CHAIN

Counterparty	Type (buyer, processor, supplier, packer)	Contract Term	Annual Value \$	Signed Contract?

4.1 Are payments overdue from any buyer, processor, or packer? ☐ Yes ☐ No

Amount outstanding: \$ _____ Days past due: _____

Produce sellers and livestock sellers may have trust protections under federal law, but the right to those protections can be lost if written notice is not given within a short period.

4.2 Have you preserved agricultural lien or trust rights (notices, invoice language)? ☐ Yes ☐ No

4.3 Are there disputes over quality, rejection, price, or delivery? ☐ Yes ☐ No

If yes, explain: _____

PART 5 — LABOR & IMMIGRATION

5.1 Employees: year-round: _____ Seasonal: _____ Contractors / FLCs: _____

5.2 Do you use a farm labor contractor, and is the contractor licensed? ☐ Yes ☐ No

5.3 Immigration programs used:

☐ H-2A program ☐ Other visa sponsorship ☐ None

5.4 Do you provide employee housing or transportation? ☐ Yes ☐ No

5.5 Wage-hour, heat illness, or safety citations or claims pending? ☐ Yes ☐ No

If yes, explain: _____

5.6 Is any part of the workforce unionized, or is organizing activity occurring? ☐ Yes ☐ No

PART 6 — FINANCE & CAPITAL MARKETS

Existing Debt / Facility	Lender	Balance \$	Maturity	Collateral

6.1 Current funding sources:

☐ Operating line of credit

☐ Equipment financing

☐ Real estate mortgage

☐ Farm Credit or FSA-guaranteed loan



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☐ Crop insurance

☐ Grower advances or prepayments

☐ Investor capital

6.2 Capital sought: \$ _____ Purpose: _____

6.3 Capital strategy of interest:

☐ Private placement to investors

☐ Bank or asset-based lending

☐ Equipment or crop finance

☐ Sale of a division or asset

☐ Public listing or offering

☐ Not sure — need advice

6.4 Are you considering a sale, merger, or acquisition? ☐ Yes ☐ No

6.5 Do you have audited or reviewed financial statements? ☐ Yes ☐ No

PART 7 — INSURANCE, CLAIMS & DISPUTES

7.1 Insurance in place:

☐ Crop insurance

☐ General liability

☐ Product liability / recall

☐ Property & equipment

☐ Workers' compensation

☐ Auto / trucking

☐ Environmental

☐ Directors & officers

7.2 Are there pending claims, denials, or coverage disputes? ☐ Yes ☐ No

If yes, explain: _____

7.3 Are there lawsuits, agency actions, or investigations involving the business? ☐ Yes ☐ No

If yes, explain: _____

7.4 Has there been a product recall, contamination event, or foodborne illness claim? ☐ Yes ☐ No

If yes, explain: _____

PART 8 — DOCUMENTS & CERTIFICATION

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

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

☐ Formation & governance documents

☐ Ownership / cap table

☐ Financial statements & tax returns

☐ Land deeds & farm leases

☐ Water rights documentation

☐ Production, supply & marketing contracts

☐ Loan & security documents

☐ Licenses, permits & certifications

☐ Insurance policies

☐ Demand letters, claims or court papers



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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: _____

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