



Syndicate Subscription Legal Plans

TRANSPORTATION & LOGISTICS CORPORATE CLIENT INTAKE QUESTIONNAIRE:

AFTER AN ACCIDENT, PRESERVE EVERYTHING IMMEDIATELY — electronic logging data, telematics, dash camera video, driver records, and maintenance files are often overwritten within days. Cargo claims, bond claims, and audit responses also run on short deadlines. If there has been a crash, cargo loss, or agency audit, tell us before completing the rest of this form.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for transportation and logistics businesses — motor carriers, shipping companies by land, air and sea, freight brokers, customs house brokers, non-vessel operating common carriers, indirect air carriers, warehouses, and third-party logistics providers. If a question does not apply, write "N/A."

NAME OF THE CLIENT:

☐ Legal Entity Name: _____

DBA / operating names: _____ Year founded: _____

Entity type:

☐ Corporation

☐ LLC

☐ Partnership

☐ Sole proprietorship

☐ Public company

☐ Subsidiary of a parent

☐ Foreign parent or operations

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 & drivers: _____

PART 1 — YOUR BUSINESS

1.1 Type of business:

☐ Motor truck carrier

☐ Domestic shipping (land, air or sea)

☐ International shipping (land, air or sea)

☐ Domestic transportation brokerage

☐ International transportation brokerage

☐ Customs house brokerage

☐ Non-vessel operating common carrier

☐ Indirect air carrier

☐ Freight forwarder

☐ Warehouse & distribution

☐ Third-party logistics provider

☐ Final mile & courier

☐ Passenger transportation

☐ Intermodal & drayage

☐ Equipment leasing & rental



Syndicate Subscription Legal Plans

1.2 Power units: _____ Trailers: _____ Drivers (employee / owner-operator): _____

1.3 Describe your operations, lanes, and customers: _____

PART 2 — SERVICES NEEDED

Entity, Authority & Licensing:

- | | |
|---|--|
| ☐ Formation or incorporation | ☐ Operating authority & registration |
| ☐ Broker authority & surety bond matters | ☐ Ocean and air transportation licensing |
| ☐ Customs broker licensing | ☐ Security program & screening requirements |
| ☐ State & intrastate authority | ☐ Hazardous materials registration |
| ☐ Annual reports & business filings | ☐ Change of ownership or control filings |

Safety, Audits & Enforcement:

- | | |
|--|---|
| ☐ Safety rating & compliance review support | ☐ Audit & investigation response |
| ☐ Driver qualification file review | ☐ Hours of service & electronic logging compliance |
| ☐ Drug & alcohol testing program | ☐ Vehicle maintenance & inspection records |
| ☐ Crash reporting & data challenges | ☐ Overweight & oversize permitting |
| ☐ Foreign drivers & vehicles | ☐ Safety policy & training programs |

Cargo, Claims & Insurance:

- | | |
|---|---|
| ☐ Cargo claims & loss recovery | ☐ Bills of lading & shipping documents |
| ☐ Limitation of liability terms | ☐ Cargo security programs |
| ☐ Warehouse receipts & liens | ☐ Freight charge collection & detention claims |
| ☐ Vehicle & premises accident response | ☐ Personal injury & wrongful death matters |
| ☐ Insurance program & coverage review | ☐ Insurance coverage disputes |

Contracts & Commercial:

- | | |
|--|---|
| ☐ Shipper transportation agreements | ☐ Broker-carrier agreements & rate confirmations |
| ☐ Dedicated & capacity agreements | ☐ Warehousing & fulfillment agreements |
| ☐ Owner-operator & equipment lease agreements | ☐ Subcontracting & co-brokerage terms |
| ☐ Indemnity & insurance requirement review | ☐ Terminal & yard leases |
| ☐ Supply chain disputes | ☐ Non-disclosure agreements |

Cross-Border, Customs & Government:

- | | |
|---|--|
| ☐ Cross-border operations & requirements | ☐ Customs & duties matters |
| ☐ Import & export documentation | ☐ Trade compliance & restricted parties |



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- ☐ Public procurement & bidding ☐ Government contracting
☐ Corridor preservation, right of way & site acquisition ☐ Administrative action defense

Workforce & Capital Markets:

- ☐ Driver classification & independent contractor issues ☐ Wage & hour compliance
☐ Collective bargaining negotiations ☐ Immigration sponsorship
☐ Capital markets consultation ☐ Private placement (Reg D / Reg A)
☐ Equipment & fleet finance ☐ Exchange listing (OTC, Nasdaq, NYSE, international)
☐ Mergers, acquisitions & fleet sales ☐ Restructuring or bankruptcy

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (claim, audit response, hearing, closing): _____

PART 3 — AUTHORITY, LICENSES & BONDS

Authority / License	Agency	Number	Scope	Expires

3.1 DOT number: _____ Operating authority number: ____ Hazmat? _____

3.2 Are all authorities, registrations, and filings current? ☐ Yes ☐ No

3.3 Do you maintain required surety bonds or trust agreements? ☐ Yes ☐ No

Broker and forwarder authority requires a bond or trust in place at all times. Claims against the bond, or a lapse, can suspend authority quickly.

3.4 Do you operate in states requiring separate intrastate authority? ☐ Yes ☐ No

3.5 Is a change of ownership, control, or authority transfer planned? ☐ Yes ☐ No

3.6 Have authorities been revoked, suspended, or placed out of service? ☐ Yes ☐ No

If yes, explain: _____

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PART 4 — SAFETY & COMPLIANCE

Program Area	In Place	Needs Update	Missing
Driver qualification files & background screening	☐	☐	☐
Hours of service & electronic logging records	☐	☐	☐
Drug & alcohol testing program & clearinghouse queries	☐	☐	☐
Vehicle inspection, repair & maintenance files	☐	☐	☐
Accident register & crash records	☐	☐	☐
Hazardous materials training & security plan	☐	☐	☐
Cargo securement & loading procedures	☐	☐	☐
Safety policies, coaching & training	☐	☐	☐
Telematics, camera & data retention policy	☐	☐	☐
Subcontracted carrier vetting	☐	☐	☐

4.1 Current safety rating: _____ Date of last audit or review: _____

4.2 Are any safety scores elevated or triggering intervention? ☐ Yes ☐ No

4.3 Have you had an audit, investigation, or enforcement case? ☐ Yes ☐ No

4.4 Crashes involving injury, fatality, or major cargo loss? ☐ Yes ☐ No

Date, location & status: _____

Preserve electronic logs, telematics, video, driver files, and maintenance records immediately after any serious crash. Automatic deletion can destroy key evidence.

4.5 Do you vet subcontracted carriers before tendering freight? ☐ Yes ☐ No

PART 5 — CARGO, CLAIMS & INSURANCE

5.1 Have you received or filed cargo loss or damage claims? ☐ Yes ☐ No

Claim amount, date of delivery & status: _____

Cargo claims are governed by strict notice and suit deadlines that begin at delivery or the date delivery should have occurred. Late notice can bar the claim entirely.

5.2 Do your bills of lading include liability limits and claim terms? ☐ Yes ☐ No

5.3 Do you store goods, and are warehouse receipts and lien rights documented? ☐ Yes ☐ No

5.4 Are freight charges, detention, or accessorial charges in dispute? ☐ Yes ☐ No

If yes, explain: _____

5.5 Insurance in place:

☐ Auto liability

☐ Cargo

☐ General liability

☐ Warehouse legal liability

☐ Workers' compensation

☐ Umbrella / excess

☐ Occupational accident

☐ Cyber

5.6 Has an insurer denied, reserved rights, or disputed a claim? ☐ Yes ☐ No



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PART 6 — CONTRACTS, DRIVERS & LABOR

Counterparty	Role (shipper, broker, carrier, warehouse)	Term	Annual Value \$	Signed Agreement?

6.1 Are agreements in writing, or based on rate confirmations? ☐ Yes ☐ No

If yes, explain: _____

6.2 Do contracts address indemnity, insurance limits, and liability caps? ☐ Yes ☐ No

6.3 Do you use owner-operators, and are lease agreements compliant? ☐ Yes ☐ No

Equipment lease arrangements with owner-operators have specific content requirements, and driver classification is among the most litigated issues in this industry.

6.4 Are drivers classified as employees or independent contractors? ☐ Yes ☐ No

If yes, explain: _____

6.5 Are there wage, meal and rest break, or pay practice claims pending? ☐ Yes ☐ No

If yes, explain: _____

6.6 Is any part of the workforce unionized, or is bargaining underway? ☐ Yes ☐ No

PART 7 — CROSS-BORDER, FACILITIES & CAPITAL

7.1 Do you operate across international borders? ☐ Yes ☐ No

Countries & crossings: _____

7.2 Do you handle customs entries, duties, or bonded cargo? ☐ Yes ☐ No

7.3 Do you use foreign drivers or foreign-domiciled equipment? ☐ Yes ☐ No

7.4 Do you own or lease terminals, yards, or warehouses? ☐ Yes ☐ No

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

7.5 Capital sought: \$ _____ Purpose: _____

7.6 Capital strategy:

☐ Fleet & equipment finance

☐ Terminal or facility purchase

☐ Working capital & factoring

☐ Acquisition financing



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- | | |
|---|---|
| ☐ Growth equity | ☐ Public offering or listing |
| ☐ Sale of the company or fleet | ☐ Not sure — need advice |

PART 8 — DISPUTES, DOCUMENTS & CERTIFICATION

8.1 Current disputes:

- | | |
|---|--|
| ☐ Accident or injury claim | ☐ Cargo claim |
| ☐ Freight charge or collection dispute | ☐ Broker or carrier dispute |
| ☐ Insurance coverage dispute | ☐ Agency enforcement or audit |
| ☐ Driver classification or wage claim | ☐ Customs penalty |
| ☐ None | |

8.2 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 | ☐ Authorities, licenses & bonds |
| ☐ Financial statements & projections | ☐ Shipper, broker & carrier agreements |
| ☐ Bills of lading & rate confirmations | ☐ Safety policies & audit results |
| ☐ Driver files & lease agreements | ☐ Insurance policies & loss runs |
| ☐ Claim notices & agency correspondence | ☐ Loan & equipment finance documents |

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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Your information will be reviewed within one hour.