Syndicate Subscription Legal Plans

SMALL BUSINESS FINANCING CLIENT INTAKE QUESTIONNAIRE:

NEVER PAY AN UPFRONT FEE to a broker or lender, and do not sign financing documents, give bank log-in credentials, or authorize daily ACH withdrawals before we review the paperwork. Watch for personal guarantees and confessions of judgment.

CONFIDENTIAL. This questionnaire gathers what lenders ask for so we can review your documents before anything is submitted, and so your application can be presented to the right capital partners. Estimates are fine. Account and ID numbers: last 4 digits only. If a question does not apply, write "N/A." If unknown, write "Unknown."

NAME OF THE CLIENT:

[__] Business Legal Name: ____________________

DBA / trade name: ____________________ Syndicate Plan Member ID: ________

Contact person & title: ____________________ Phone: ____________________

Email: ____________________ Website: ____________________

Business address: ____________________

City: ____________________ County: ____________________ State: ______ Zip: ________

Preferred method of contact:

[__] Phone [__] Text [__] Email

PART 1 — FINANCING YOU ARE SEEKING

1.1 Type(s) of financing:

- [__] Small business loan
- [__] SBA loan
- [__] Line of credit
- [__] Equipment financing
- [__] Revenue-based financing
- [__] Invoice factoring
- [__] Purchase order financing
- [__] Private equity investment
- [__] Private debt capital
- [__] Public offering / IPO
- [__] Not sure — please advise

1.2 Amount needed: $ ____________________ How soon do you need funds? ____________________

1.3 Use of proceeds:

- [__] Working capital
- [__] Payroll
- [__] Inventory
- [__] Equipment purchase
- [__] Expansion / new location
- [__] Marketing
- [__] Refinance existing debt
- [__] Business acquisition
- [__] Real estate purchase
- [__] Fulfill a large order

1.4 Briefly describe your business and why you need the financing: ____________________

____

____

PART 2 — THE BUSINESS

2.1 Entity type:

[__] LLC [__] S-corporation [__] C-corporation

[__] Partnership [__] Sole proprietor

State of formation: ____________________ Date formed: __________ EIN (last 4): __________

2.2 Industry / what you sell: ______________________________ NAICS code (if known): ______

2.3 Years in business: ____________________ Employees: ________ Locations: ____________

2.4 Do you own or lease your business location? [__] Yes [__] No

Landlord / lease end date: ____

2.5 Is the business a franchise? [__] Yes [__] No

2.6 Does the business own or control any other companies (affiliates)? [__] Yes [__] No

If yes, explain: ____

____

PART 3 — OWNERS & GUARANTORS

Owner Name	Title	Ownership %	Personal Credit Score (approx.)	Will Guarantee?

3.1 Are all 20%+ owners U.S. citizens or permanent residents? [__] Yes [__] No

SBA-backed loans have ownership eligibility requirements. Other financing types may not.

3.2 Is any owner also an owner of another business with debt? [__] Yes [__] No

If yes, explain: ____

____

PART 4 — BUSINESS FINANCIALS

Figure	Amount $
Gross revenue — last full year	
Gross revenue — year before	
Revenue year to date	
Average monthly revenue	
Average monthly bank deposits	
Average daily bank balance	
Net profit (last year)	
Monthly credit card / merchant volume	

4.1 Number of deposits per month: ________________________ Business bank (name): ________________

4.2 Is the business seasonal? [__] Yes [__] No

4.3 Have there been negative balance days or overdrafts in the last 90 days? [__] Yes [__] No

4.4 Existing Business Debt:

Lender / Funder	Type (loan, MCA, card, lease)	Balance $	Payment $	Frequency (daily / weekly / monthly)

4.5 Do you have any merchant cash advances or daily-payment funding now? [__] Yes [__] No

Taking on multiple advances ("stacking") can violate your existing agreements and quickly drain cash flow. Tell us about every funder.

PART 5 — CREDIT & BACKGROUND

5.1 Has the business or any owner filed bankruptcy in the last 10 years? [__] Yes [__] No

5.2 Are there tax liens, judgments, or unpaid payroll taxes? [__] Yes [__] No

If yes, explain: ____

____

5.3 Is any owner delinquent on federal debt or child support? [__] Yes [__] No

5.4 Has any owner been charged with or convicted of a crime? [__] Yes [__] No

Certain government-backed programs ask these questions on their forms. Answer yes or no here; we will discuss details privately.

5.5 Has the business previously received an SBA loan or government grant? [__] Yes [__] No

5.6 Have you been declined for financing recently? [__] Yes [__] No

If yes, explain: ____

____

PART 6 — COLLATERAL & SPECIFIC PROGRAMS

6.1 Collateral available:

[__] Accounts receivable
[__] Inventory
[__] Equipment
[__] Business real estate
[__] Personal real estate
[__] Vehicles
[__] None available

Estimated value: $ ______________________ Existing liens: $ ______________________

6.2 Equipment Financing:

Equipment to be purchased / vendor: ______________________ Cost: $ ______________

6.3 Invoice Factoring / Purchase Order Financing:

Number of customers: ______________ Largest customer % of sales: ______________

Accounts receivable outstanding: $ ______________ Typical payment terms: __________

Purchase order amount & customer: ______________________________

Are your customers businesses or government (not consumers)? [__] Yes [__] No

Are existing UCC liens filed against your receivables? [__] Yes [__] No

6.4 Business Acquisition or Real Estate:

Purchase price: $ ______________ Down payment available: $ ___ Seller financing? __

PART 7 — PRIOR BROKERS & OFFERS

7.1 Are you working with any other broker or funding company? [__] Yes [__] No

7.2 Has anyone asked you for an upfront fee? [__] Yes [__] No

7.3 Do you have any offers or term sheets now? [__] Yes [__] No

Funder, amount, rate / factor, term: ______________________________

ACKNOWLEDGMENTS & AUTHORIZATION

Please check each item to confirm you understand.

[__] Syndicate is not a lender and does not guarantee that any application will be approved.

[__] Syndicate will review my documents before any application is submitted.

[__] I authorize Syndicate to submit my application and supporting documents to its capital partners on my behalf.

[__] I understand lenders may obtain business and personal credit reports.

[__] I will not sign financing documents or grant account access before Syndicate reviews them.

[__] Syndicate will disclose to me any compensation it may receive in connection with a funding source.

PART 8 — DOCUMENT CHECKLIST

Lenders typically request the following. Check each item you are including.

[__] Business tax returns (2–3 years)

[__] Year-to-date profit & loss

[__] Business bank statements (last 6 months)

[__] Debt schedule

[__] Business licenses & permits

[__] Owner photo IDs

[__] Purchase orders / invoices (PO & factoring)

[__] Purchase agreement (acquisition)

[__] Personal tax returns (2–3 years)

[__] Year-to-date balance sheet

[__] Accounts receivable & payable aging

[__] Entity formation documents

[__] Lease agreement

[__] Voided business check

[__] Equipment quote (equipment financing)

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. I understand this information is provided to Syndicate Subscription Legal Plans in confidence for the purpose of reviewing and presenting my financing request.

Signed and dated this ____ day of ______________________, 20___

Signature: ____

Print Name: ____________________________

Title: ____________________________

Please Print and Email to STEVE@STEVEMUELLERLEGAL.COM, or save this document as a PDF and email to STEVE@STEVEMUELLERLEGAL.COM,
Your information will be reviewed within one hour.