



Syndicate Subscription Legal Plans

CANNABIS / MARIJUANA CORPORATE CLIENT INTAKE QUESTIONNAIRE:

FEDERAL LAW STILL TREATS MARIJUANA AS A CONTROLLED SUBSTANCE, even where state-licensed. That affects banking, bankruptcy relief, federal trademark protection, interstate transport, tax deductions, and immigration status for owners and employees. State license changes, ownership disclosures, and renewals also run on strict deadlines. Tell us your license status first.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for cannabis and hemp businesses — cultivators, manufacturers, distributors, transporters, retailers and delivery, testing labs, real estate owners, and ancillary and CBD companies. 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

☐ Sole proprietorship

☐ Public company

☐ Subsidiary of a parent

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

States of operation: _____

Contact person & title: _____

Syndicate Plan Member ID: _____

Address: _____

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

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees: _____

PART 1 — YOUR BUSINESS

1.1 Type of business:

☐ Cultivation

☐ Manufacturing / extraction

☐ Distribution

☐ Transportation

☐ Retail dispensary

☐ Delivery

☐ Testing laboratory

☐ Microbusiness

☐ Cannabis real estate / landlord

☐ Hemp or CBD products

☐ Ancillary (non-plant-touching)

☐ Brand licensor

☐ Investor or fund



Syndicate Subscription Legal Plans

1.2 Market:

- | | |
|---|--|
| ☐ Adult-use (recreational) | ☐ Medical |
| ☐ Both | ☐ Hemp / CBD only |
| ☐ Not yet licensed | |

1.3 Describe the business, products, and current stage: _____

PART 2 — SERVICES NEEDED

Entity, Licensing & Compliance:

- | | |
|--|---|
| ☐ Formation or restructuring | ☐ Operating agreement / bylaws |
| ☐ State license applications | ☐ Local permits & land use approvals |
| ☐ License renewals & modifications | ☐ Ownership & financial interest disclosures |
| ☐ Change of ownership or control approval | ☐ Track-and-trace & inventory compliance |
| ☐ Standard operating procedures | ☐ Regulatory inspections & citations |

Contracts & Commercial:

- | | |
|---|---|
| ☐ Supply & cultivation agreements | ☐ Manufacturing & white label agreements |
| ☐ Distribution & delivery agreements | ☐ Brand & IP licensing agreements |
| ☐ Management or services agreements | ☐ Equipment purchase & lease |
| ☐ Non-disclosure agreements | ☐ Independent contractor agreements |
| ☐ Supply chain disputes | ☐ Collections |

Real Estate & Facilities:

- | | |
|---|---|
| ☐ Lease negotiation (tenant or landlord) | ☐ Purchase or sale of property |
| ☐ Zoning, buffer & conditional use permits | ☐ Construction & build-out contracts |
| ☐ Environmental & water compliance | ☐ Security plan requirements |

Products, Marketing & Consumers:

- | | |
|--|---|
| ☐ Packaging & labeling compliance | ☐ Advertising & marketing review |
| ☐ Product testing & recall procedures | ☐ Product liability & warranty |
| ☐ Consumer complaints & disputes | ☐ Health claim review (hemp / CBD) |

IP, Employment & Risk:

- | | |
|---|---|
| ☐ Trademark strategy & state registrations | ☐ Trade secrets & formulations |
| ☐ Patents & plant variety protection | ☐ Copyright & content licensing |
| ☐ Employment policies & handbooks | ☐ Labor peace agreements & union matters |



Syndicate Subscription Legal Plans

☐ Wage & hour compliance

☐ Insurance & risk management

Capital Markets & Finance:

☐ Capital markets consultation

☐ Private placement (Reg D / Reg A)

☐ Securities & blue sky compliance

☐ Exchange listing (U.S. or international)

☐ Secured lending & equipment finance

☐ Mergers & acquisitions

☐ Investor agreements & cap table

☐ Restructuring or receivership

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (application, renewal, hearing, closing): _____

PART 3 — LICENSES & REGULATORY STATUS

License Type	State / Local Authority	License No.	Status	Expires

3.1 Are all local approvals (city or county) in place for each location? ☐ Yes ☐ No

3.2 Have all owners and financial interest holders been disclosed to regulators? ☐ Yes ☐ No

Undisclosed ownership or financial interests — including profit shares, convertible instruments, and management fees — are a common cause of license denial, discipline, or deal failure.

3.3 Are there pending citations, investigations, or disciplinary actions? ☐ Yes ☐ No

If yes, explain: _____

3.4 Is a change of ownership, new investor, or license transfer contemplated? ☐ Yes ☐ No

3.5 Is the business compliant with track-and-trace reporting? ☐ Yes ☐ No

3.6 Do any owners or managers have criminal history to disclose? ☐ Yes ☐ No

Syndicate Subscription Legal Plans

PART 4 — FEDERAL LAW IMPACTS

Issue	Affects Us	Not Sure	N/A
Banking and payment processing access	☐	☐	☐
Tax treatment of business deductions (Section 280E)	☐	☐	☐
Federal bankruptcy relief unavailable	☐	☐	☐
Federal trademark unavailable for plant-touching goods	☐	☐	☐
Interstate transport restrictions	☐	☐	☐
Federal property, lender, or landlord restrictions	☐	☐	☐
Immigration consequences for owners or employees	☐	☐	☐
Firearms, licensing, or security clearance issues	☐	☐	☐

4.1 Do you have a bank account and merchant processing in the business name? ☐ Yes ☐ No

4.2 Has a CPA advised you on tax deduction limits for cannabis businesses? ☐ Yes ☐ No

4.3 Are any owners or key employees non-U.S. citizens? ☐ Yes ☐ No

Involvement in a marijuana business can affect immigration applications even where the activity is legal under state law. Please raise this with us before filings are made.

PART 5 — HEMP & CBD

5.1 Do you produce or sell hemp-derived products? ☐ Yes ☐ No

Product types & THC testing results: _____

5.2 Product categories:

☐ Ingestible / food or beverage

☐ Dietary supplement

☐ Topical

☐ Vape or inhalable

☐ Smokable hemp

☐ Pet products

☐ Intoxicating hemp-derived cannabinoids

5.3 Do labels make health, therapeutic, or structure-function claims? ☐ Yes ☐ No

5.4 Do you ship products across state lines or internationally? ☐ Yes ☐ No

Hemp and hemp-derived cannabinoid rules vary sharply by state, and food, beverage, and supplement claims raise separate federal issues.

PART 6 — REAL ESTATE & FACILITIES

Location / Address	Owned or Leased	Use (cultivation, retail, etc.)	Landlord	Lease Expires

6.1 Does the lease or mortgage permit and disclose cannabis use? ☐ Yes ☐ No

6.2 Do the locations satisfy distance, buffer, and zoning requirements? ☐ Yes ☐ No



Syndicate Subscription Legal Plans

6.3 Build-out, security, odor, or waste requirements outstanding? ☐ Yes ☐ No

If yes, explain: _____

PART 7 — FINANCE, CAPITAL MARKETS & OWNERSHIP

Existing Debt / Investment	Lender or Investor	Amount \$	Terms	Secured By

7.1 Capital sought: \$ _____ Purpose: _____

7.2 Capital strategy:

- ☐ Private placement to investors ☐ Equipment or inventory finance
☐ Real estate financing ☐ Sale of the business or licenses
☐ Public listing (U.S. or Canadian exchange) ☐ Not sure — need advice

Most U.S. national exchanges do not list plant-touching operators, and many brokerages and clearing firms restrict these securities. Structure and listing venue should be settled before an offering begins.

7.3 Will investors receive equity, profit shares, or convertibles? ☐ Yes ☐ No

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

PART 8 — LABOR, INSURANCE, DISPUTES & DOCUMENTS

8.1 Employees: _____ Contractors: _____ States with workers: _____

8.2 Is a labor peace agreement required or in place? ☐ Yes ☐ No

8.3 Are there wage-hour, safety, or employment claims pending? ☐ Yes ☐ No

If yes, explain: _____

8.4 Insurance in place:

- ☐ General liability ☐ Product liability & recall
☐ Property & crop ☐ Cargo / transport
☐ Workers' compensation ☐ Cyber
☐ Directors & officers

8.5 Current disputes:

- ☐ Contract or supply dispute ☐ Partner or investor dispute
☐ Landlord dispute ☐ Regulatory enforcement
☐ Product claim ☐ IP dispute
☐ Collections ☐ None



Syndicate Subscription Legal Plans

8.6 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 interest list |
| ☐ State & local licenses and permits | ☐ Financial statements & tax returns |
| ☐ Leases & property documents | ☐ Supply, distribution & licensing agreements |
| ☐ SOPs & compliance manuals | ☐ Regulatory correspondence & citations |
| ☐ Investor & loan documents | ☐ Insurance policies |

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