



Syndicate Subscription Legal Plans

MANUFACTURING CORPORATE CLIENT INTAKE QUESTIONNAIRE:

IMMEDIATE REPORTING SITUATIONS: workplace fatalities and serious injuries, chemical releases, and consumer product safety defects all carry reporting deadlines measured in hours. If any of these has occurred, tell us before completing the rest of this form and preserve production, maintenance, and testing records.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for manufacturers — metal fabrication and casting, plastics, food and beverage processing lines, printing and publishing, textiles and apparel, furniture, tooling, and contract and private label producers. 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 / brand names: _____ Year founded: _____

Entity type:

☐ Corporation

☐ S corporation

☐ LLC

☐ Partnership

☐ Public company

☐ Subsidiary of a parent

☐ Family-owned

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: _____

PART 1 — YOUR OPERATIONS

1.1 Type of manufacturing:

☐ Metal manufacturing & fabrication

☐ Casting, forging & forming

☐ Tool & die

☐ Machining & job shop

☐ Plastics manufacturing & fabrication

☐ Injection molding

☐ Bottling & canning

☐ Food mills & refineries

☐ Clothing & apparel

☐ Textile mills

☐ Furniture manufacturing

☐ Printing & engraving

☐ Publishing

☐ Mobile & modular homes

☐ Tobacco processing

☐ Contract or private label manufacturing

1.2 Business model:

☐ Own branded products

☐ Contract manufacturing for others



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☐ Components for OEM customers

☐ Custom or job shop work

☐ Distribution & aftermarket

1.3 Describe your products, processes, and customers: _____

1.4 Plants & facilities: _____

PART 2 — SERVICES NEEDED

Entity, Governance & Filings:

☐ Formation or incorporation

☐ Entity conversion / restructuring

☐ Operating agreement / bylaws

☐ Corporate resolutions

☐ Annual reports & business filings

☐ Foreign qualification

☐ International incorporation

☐ Business licenses & permits

Commercial Contracts & Supply Chain:

☐ Purchase orders & terms and conditions

☐ Long-term supply agreements

☐ Contract manufacturing agreements

☐ Tooling ownership & access agreements

☐ Requirements & output contracts

☐ Distribution & dealer agreements

☐ Price escalation & surcharge terms

☐ Force majeure & delivery terms

☐ Supply chain disputes

☐ Non-disclosure agreements

Quality, Warranty & Product Liability:

☐ Specifications & quality agreements

☐ Warranty terms & limitations

☐ Product defect & failure claims

☐ Recalls & corrective actions

☐ Product liability & indemnity review

☐ Consumer product safety reporting

☐ Testing & certification requirements

☐ Customer quality claims & chargebacks

Facilities, Environment & Safety:

☐ Air, water & waste permits

☐ Hazardous waste generator compliance

☐ Release reporting & emergency planning

☐ Site contamination & remediation

☐ Workplace safety programs & citations

☐ Machine guarding & lockout procedures

☐ Process safety & hazardous chemicals

☐ Facility leases & real estate

☐ Construction & expansion projects

☐ Environmental diligence for transactions

IP, Trade & Technology:

☐ Patents & freedom to operate

☐ Trade secrets & process know-how

☐ Trademarks & brand protection

☐ Licensing & technology transfer

☐ Import classification & tariffs

☐ Country of origin & trade agreement qualification



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☐ Export controls & sanctions

☐ Antidumping & trade remedy exposure

☐ Industrial control & cybersecurity

☐ Data privacy & vendor management

Workforce & Capital Markets:

☐ Hiring, discipline & termination

☐ Wage & hour compliance

☐ Union & collective bargaining

☐ Staffing agency & temp labor

☐ Immigration sponsorship

☐ Capital markets consultation

☐ Private placement (Reg D / Reg A)

☐ Equipment & facility finance

☐ Exchange listing (OTC, Nasdaq, NYSE, international)

☐ Mergers & acquisitions

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (order, launch, inspection, hearing, closing): _____

PART 3 — CUSTOMERS, SUPPLIERS & CONTRACTS

Key Customer or Supplier	Role	Annual Value \$	Contract Term	Signed Agreement?

3.1 Do your terms conflict with customer or supplier forms? ☐ Yes ☐ No

When each side sends its own form, the governing terms on warranty, indemnity, and liability limits are often unsettled until a dispute arises.

3.2 Is any single customer or supplier a large share of revenue or inputs? ☐ Yes ☐ No

3.3 Do contracts address price increases, surcharges, and raw material costs? ☐ Yes ☐ No

3.4 Who owns tooling, molds, dies, and fixtures, and is that documented? ☐ Yes ☐ No

If yes, explain: _____

3.5 Are there open claims for late delivery, shortages, or quality rejections? ☐ Yes ☐ No

If yes, explain: _____

PART 4 — QUALITY, WARRANTY & PRODUCT SAFETY

4.1 Do you provide written warranties, with limitations and remedies stated? ☐ Yes ☐ No

4.2 Do customer agreements require indemnity or unlimited liability? ☐ Yes ☐ No

4.3 Are there pending product defect, failure, or injury claims? ☐ Yes ☐ No



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4.4 Has a product been recalled or subject to a corrective action? ☐ Yes ☐ No

If yes, explain: _____

4.5 Do you manufacture consumer products subject to safety reporting rules? ☐ Yes ☐ No

4.6 Do you hold quality certifications, and are audits current? ☐ Yes ☐ No

4.7 Do you maintain traceability by lot, batch, or serial number? ☐ Yes ☐ No

PART 5 — FACILITIES, ENVIRONMENT & SAFETY

Permit / Program	Current	Needs Work	N/A
Air permits	☐	☐	☐
Wastewater & stormwater permits	☐	☐	☐
Hazardous waste generator status	☐	☐	☐
Chemical inventory & community reporting	☐	☐	☐
Toxic release inventory	☐	☐	☐
Spill prevention & response plan	☐	☐	☐
Written safety & health program	☐	☐	☐
Machine guarding & energy control procedures	☐	☐	☐
Hazard communication & training	☐	☐	☐
Emergency action plan	☐	☐	☐

5.1 Safety citations, inspections, or serious injuries in 3 years? ☐ Yes ☐ No

If yes, explain: _____

5.2 Have there been releases, spills, or permit exceedances? ☐ Yes ☐ No

If yes, explain: _____

5.3 Is there known contamination or legacy liability at any facility? ☐ Yes ☐ No

5.4 Are facilities owned or leased, and who bears environmental risk? ☐ Yes ☐ No

If yes, explain: _____

5.5 Is a plant expansion, relocation, or closure planned? ☐ Yes ☐ No

PART 6 — IP, TRADE & TECHNOLOGY

6.1 Do you own patents, or rely on trade secrets and process know-how? ☐ Yes ☐ No

If yes, explain: _____

6.2 Do employees and contractors sign confidentiality and IP terms? ☐ Yes ☐ No



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6.3 Are brand names and product marks registered? ☐ Yes ☐ No

6.4 Do you import raw materials or components? ☐ Yes ☐ No

Countries & product categories: _____

6.5 Are tariffs, duties, classification, or origin rules affecting your costs? ☐ Yes ☐ No

6.6 Do you export products or technical data subject to controls? ☐ Yes ☐ No

6.7 Are plant systems, controls, or design files protected against cyber intrusion? ☐ Yes ☐ No

PART 7 — WORKFORCE

7.1 Employees: _____

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

7.3 Are wage-hour practices (overtime, donning and doffing, breaks) reviewed? ☐ Yes ☐ No

7.4 Do you use staffing agencies, and are joint employment terms addressed? ☐ Yes ☐ No

7.5 Is immigration sponsorship needed for engineers, technicians, or operators? ☐ Yes ☐ No

7.6 Are there pending employment claims, charges, or investigations? ☐ Yes ☐ No

If yes, explain: _____

PART 8 — FINANCE, DISPUTES, DOCUMENTS & CERTIFICATION

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

8.1 Capital sought: \$ _____ Purpose: _____

8.2 Capital strategy:

☐ Equipment & automation

☐ Plant expansion or facility purchase

☐ Working capital & inventory

☐ Acquisition financing

☐ Growth equity

☐ Public offering or listing

☐ Sale of the company or a division

☐ Not sure — need advice

8.3 Current disputes:

☐ Customer or supplier dispute

☐ Product liability or warranty claim

☐ Environmental or safety enforcement

☐ Employment claim

☐ IP dispute

☐ Trade or customs matter

☐ Collections

☐ None

8.4 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. Do not send proprietary process documentation before a confidentiality agreement is signed.

- | | |
|---|---|
| ☐ Formation & governance documents | ☐ Ownership / cap table |
| ☐ Financial statements & projections | ☐ Standard terms, quotes & purchase orders |
| ☐ Key customer & supplier agreements | ☐ Warranty & quality documents |
| ☐ Permits & environmental reports | ☐ Safety program & citation history |
| ☐ Insurance policies | ☐ Loan & investor 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.