



Syndicate Subscription Legal Plans

RETAIL & E-COMMERCE CORPORATE CLIENT INTAKE QUESTIONNAIRE:

HIGH-VOLUME CLAIM AREAS: subscription and auto-renewal terms, text message marketing consent, website tracking and session tools, comparative and sale pricing, and website accessibility. Each generates demand letters and class claims, and each is fixable in advance. If you have received a demand letter, tell us before completing the rest of this form.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for retail and e-commerce businesses — brick and mortar retailers, online sellers, marketplaces, direct-to-consumer brands, grocery, pharmacy, home goods, luxury and fashion, and food and beverage retail. Complete the sections that apply. If a question does not apply, write "N/A."

NAME OF THE CLIENT:

☐ Legal Entity Name: _____

DBA / store or brand 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 Sales: _____ **Syndicate Plan Member ID:** _____

Contact person & title: _____

Address: _____

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

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees: _____

PART 1 — YOUR BUSINESS & CHANNELS

1.1 Type of business:

☐ Brick and mortar retail

☐ E-commerce / direct to consumer

☐ Marketplace operator

☐ Marketplace seller

☐ Grocery

☐ Retail pharmacy

☐ Home goods

☐ Luxury & fashion brands

☐ Restaurant & food service retail

☐ Malt beverage, wine & liquor

☐ Subscription commerce

☐ Wholesale & distribution

☐ Franchise retail

☐ Digital goods & services

1.2 Sales channels:

☐ Own website

☐ Mobile app



Syndicate Subscription Legal Plans

- | | |
|---|--|
| ☐ Third-party marketplaces | ☐ Social commerce |
| ☐ Physical stores | ☐ Pop-ups & events |
| ☐ Catalog or phone orders | ☐ International sales |

1.3 Describe your products, customers, and current stage: _____

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 | ☐ Licenses & permits |

Website, Terms & Agreements:

- | | |
|---|---|
| ☐ Retail & e-commerce agreements | ☐ Terms of use & arbitration clauses |
| ☐ Clickwrap, browsewrap & linking agreements | ☐ Online service provider & content agreements |
| ☐ Site development & hosting agreements | ☐ Software licensing agreements |
| ☐ Hardware acquisition & leasing programs | ☐ Multimedia production & transfer agreements |
| ☐ Marketplace & platform seller agreements | ☐ Return, shipping & warranty terms |

Advertising, Pricing & Promotions:

- | | |
|---|---|
| ☐ Advertising compliance review | ☐ Deceptive pricing & comparative price claims |
| ☐ Sale, discount & clearance practices | ☐ Automatic renewal & subscription disclosures |
| ☐ Free trial & negative option offers | ☐ Social media & influencer disclosures |
| ☐ Customer reviews & testimonials | ☐ Sweepstakes, contests & loyalty programs |
| ☐ Made in USA & origin claims | ☐ Environmental & sustainability claims |

Privacy, Data & Payments:

- | | |
|---|--|
| ☐ Privacy policy & data mapping | ☐ State & international privacy compliance |
| ☐ Cookies, pixels & tracking technology | ☐ Data aggregators & sale of customer information |
| ☐ Text message & email marketing consent | ☐ Payment card data security requirements |
| ☐ Point of sale data collection limits | ☐ Loyalty program data practices |
| ☐ Breach response & notification | ☐ Vendor & processor agreements |

Products, Supply Chain & IP:

- | | |
|--|--|
| ☐ Supplier & manufacturing agreements | ☐ Private label & sourcing agreements |
| ☐ Product safety & recalls | ☐ Warranty & consumer protection |



Syndicate Subscription Legal Plans

- | | |
|--|--|
| ☐ Import, tariffs & customs classification | ☐ Trademark registration & monitoring |
| ☐ Counterfeit & unauthorized seller enforcement | ☐ Copyright & content licensing |
| ☐ Patents & freedom to operate | ☐ Distribution & bundling controls |

Stores, Digital Assets & Capital Markets:

- | | |
|---|---|
| ☐ Retail lease negotiation & disputes | ☐ Accessibility compliance for stores & websites |
| ☐ Store operations & employment policies | ☐ NFT, cryptocurrency & blockchain matters |
| ☐ Capital markets consultation | ☐ Private placement (Reg D / Reg A) |
| ☐ Inventory & working capital finance | ☐ Mergers, acquisitions & brand sales |
| ☐ Exchange listing (OTC, Nasdaq, NYSE) | ☐ Investor agreements & cap table |

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (launch, promotion, response, closing): _____

PART 3 — WEBSITE, TERMS & CONTRACT FORMATION

3.1 Website & app addresses: _____

3.2 Do you have current terms of use, sale terms, and a privacy policy? ☐ Yes ☐ No

3.3 Do customers affirmatively accept your terms at checkout or signup? ☐ Yes ☐ No

Courts enforce online terms when acceptance is clear and conspicuous. Terms buried in a footer link are frequently held unenforceable, which defeats arbitration and limitation clauses.

3.4 Do your terms include arbitration, class waiver, and venue provisions? ☐ Yes ☐ No

3.5 Is your website accessible to users with disabilities? ☐ Yes ☐ No

3.6 Have you received accessibility demand letters or complaints? ☐ Yes ☐ No

If yes, explain: _____

3.7 Do you sell through marketplaces, and are seller terms reviewed? ☐ Yes ☐ No

PART 4 — ADVERTISING, PRICING & SUBSCRIPTIONS

4.1 Do you advertise comparison prices, original prices, or percentage savings? ☐ Yes ☐ No

Reference and comparison pricing must reflect genuine prior or prevailing prices. Perpetual sale pricing is a frequent target of class claims and regulator inquiries.

4.2 Do you sell subscriptions, memberships, or auto-renewing plans? ☐ Yes ☐ No

4.3 Are renewal terms and cancellation methods clear and easy to use? ☐ Yes ☐ No

4.4 Do you offer free trials that convert to paid plans? ☐ Yes ☐ No

4.5 Do you work with influencers, affiliates, or brand ambassadors? ☐ Yes ☐ No

4.6 Do you display customer reviews, ratings, or testimonials? ☐ Yes ☐ No

4.7 Do you run sweepstakes, contests, or loyalty promotions? ☐ Yes ☐ No

Syndicate Subscription Legal Plans

4.8 Do you make origin, health, or environmental claims?

☐ Yes ☐ No

PART 5 — PRIVACY, DATA & PAYMENTS

Item	In Place	Needs Update	Missing
Privacy policy & required disclosures	☐	☐	☐
Data inventory & retention schedule	☐	☐	☐
Consumer rights request process	☐	☐	☐
Cookie, pixel & tracking tool inventory	☐	☐	☐
Text message marketing consent records	☐	☐	☐
Email marketing compliance	☐	☐	☐
Payment card security program	☐	☐	☐
Point of sale personal information practices	☐	☐	☐
Sale or sharing of customer data & opt-outs	☐	☐	☐
Vendor & processor contract terms	☐	☐	☐
Incident response plan	☐	☐	☐

5.1 Do you use session recording, chat, or analytics tools?

☐ Yes ☐ No

Tracking, session replay, and chat tools have generated substantial class litigation under wiretap and privacy statutes. Disclosure and consent placement matter.

5.2 Do you request personal information at the point of sale with card payments?

☐ Yes ☐ No

5.3 Do you sell, share, or license customer data to aggregators or partners?

☐ Yes ☐ No

5.4 Has there been a data breach or unauthorized access?

☐ Yes ☐ No

PART 6 — PRODUCTS, SUPPLY CHAIN & BRAND

Key Supplier or Partner	Role	Country	Annual Value \$	Written Agreement?

6.1 Do you sell products under your own brand, private label, or resale?

☐ Yes ☐ No

If yes, explain: _____

6.2 Are supplier agreements in writing with quality and indemnity terms?

☐ Yes ☐ No

6.3 Do you import products, and are tariffs and classification reviewed?

☐ Yes ☐ No

6.4 Have products been recalled or subject to safety reporting?

☐ Yes ☐ No

6.5 Are brand names and logos registered as trademarks?

☐ Yes ☐ No

6.6 Are counterfeits or unauthorized sellers a problem?

☐ Yes ☐ No

6.7 Do you use distribution, bundling, or minimum advertised price policies?

☐ Yes ☐ No



Syndicate Subscription Legal Plans

PART 7 — STORES, TECHNOLOGY & DIGITAL ASSETS

- 7.1 Store locations: _____ Employees in stores: _____ Leases expiring: _____
- 7.2 Are retail leases, percentage rent, or co-tenancy terms an issue? ☐ Yes ☐ No
- 7.3 Do you license software or lease hardware for stores or fulfillment? ☐ Yes ☐ No
- 7.4 Do you use third-party developers for your site, app, or platform? ☐ Yes ☐ No
- 7.5 Do you own the code, designs, and content created by vendors? ☐ Yes ☐ No
- 7.6 Do you accept cryptocurrency, or sell NFTs or digital collectibles? ☐ Yes ☐ No

Digital asset sales can raise securities, consumer protection, tax, and intellectual property questions depending on how the asset is marketed and what rights it conveys.

PART 8 — FINANCE, DISPUTES, DOCUMENTS & CERTIFICATION

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

8.1 Capital sought: \$ _____ Purpose: _____

8.2 Capital strategy:

- | | |
|---|--|
| ☐ Inventory & working capital | ☐ Store expansion |
| ☐ Marketing & customer acquisition | ☐ Technology & platform build |
| ☐ Growth equity | ☐ Public offering or listing |
| ☐ Sale of the business or a brand | ☐ Not sure — need advice |

8.3 Current disputes:

- | | |
|--|---|
| ☐ Consumer class claim | ☐ Privacy or tracking claim |
| ☐ Accessibility demand letter | ☐ Advertising or pricing challenge |
| ☐ Supplier or marketplace dispute | ☐ IP or counterfeiting dispute |
| ☐ Employment claim | ☐ Collections |
| ☐ None | |

8.4 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 & projections | ☐ Terms of use, sale terms & privacy policy |
| ☐ Marketing & pricing materials | ☐ Supplier & marketplace agreements |
| ☐ Technology & development agreements | ☐ Trademark & IP registrations |
| ☐ Demand letters or claims | ☐ Loan & investor documents |



Syndicate Subscription Legal Plans

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.