



Syndicate Subscription Legal Plans

FOOD & BEVERAGE **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

FOOD SAFETY EVENTS MOVE IN HOURS. If you have a contamination finding, allergen mislabeling, illness report, or positive test result, reporting and recall decisions may be required within about 24 hours of learning the product is unsafe. Tell us before completing the rest of this form — and preserve production, testing, and distribution records.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for food and beverage businesses — manufacturers and processors, bakeries and commercial kitchens, growers, packers and shippers, co-packers, distributors, and brands. 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

☐ LLC

☐ Partnership

☐ Cooperative

☐ Public company

☐ Subsidiary of a parent

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 BUSINESS

1.1 Type of business:

☐ Candy & confectionery

☐ Commercial kitchen or bakery

☐ Dairy processing

☐ Fish & seafood processing *

☐ Meat & poultry processing

☐ Frozen & specialty foods

☐ Fruit & vegetable growing, packing or shipping

☐ Non-processed food packing

☐ Pasta manufacturing

☐ Snack foods

☐ Spice processing & packaging

☐ Beverages (non-alcoholic)

☐ Beverages (alcoholic) *

☐ Co-packer / contract manufacturer

☐ Brand owner (outsourced production)

☐ Distributor or broker

** For seafood harvesting, importing, or processing, see our Fishing & Seafood Intake Form. Alcoholic beverage clients: we will address federal permits and state licensing separately.*

1.2 Products & pack sizes: _____



Syndicate Subscription Legal Plans

1.3 Describe your production model and sales channels: _____

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 |

Food Safety & Regulatory:

- | | |
|---|--|
| ☐ Facility registration & renewals | ☐ Food safety plans & preventive controls |
| ☐ Meat & poultry inspection requirements | ☐ Produce safety & traceability rules |
| ☐ Foreign supplier verification | ☐ Sanitation & recall procedures |
| ☐ Inspection response & warning letters | ☐ Recalls, market withdrawals & holds |
| ☐ State & local health permits | ☐ Food liability & product claims |

Labeling, Claims & Marketing:

- | | |
|--|---|
| ☐ Nutrition & ingredient labeling | ☐ Allergen labeling & controls |
| ☐ Health & nutrient content claims | ☐ Organic, natural & non-GMO claims |
| ☐ Country of origin & sourcing claims | ☐ Sustainability & packaging claims |
| ☐ Advertising & marketing review | ☐ Influencer & endorsement disclosures |
| ☐ State chemical warning requirements | ☐ Consumer protection & class claim exposure |

Contracts & Supply Chain:

- | | |
|---|---|
| ☐ Co-packing & contract manufacturing agreements | ☐ Ingredient & supply agreements |
| ☐ Grower & packing agreements | ☐ Distribution & broker agreements |
| ☐ Retail vendor & private label agreements | ☐ Foodservice & institutional contracts |
| ☐ Logistics, cold chain & storage agreements | ☐ Produce & livestock trust protections |
| ☐ Supply chain disputes | ☐ Non-disclosure & contractor agreements |

Brand, IP & Trade:

- | | |
|--|---|
| ☐ Trademark registration & monitoring | ☐ Trade dress & packaging protection |
| ☐ Recipes & trade secret protection | ☐ Patents & freedom to operate |
| ☐ Licensing & collaboration agreements | ☐ Import, tariffs & customs classification |
| ☐ Export certificates & foreign registrations | ☐ Anti-counterfeiting & knockoffs |



Syndicate Subscription Legal Plans

Capital Markets & Finance:

- ☐ Capital markets consultation
- ☐ Private placement (Reg D / Reg A)
- ☐ Inventory & purchase order finance
- ☐ Equipment & facility finance
- ☐ Exchange listing (OTC, Nasdaq, NYSE, international)
- ☐ Securities & blue sky compliance
- ☐ Mergers & acquisitions
- ☐ Investor agreements & cap table
- ☐ Restructuring or bankruptcy

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (launch, inspection, recall, filing, closing): _____

PART 3 — FACILITIES, SAFETY & INSPECTIONS

Facility / Location	Function	Registered?	Inspected By	Last Inspection

- 3.1 Are facility registrations and renewals current?

☐ Yes ☐ No
- 3.2 Do you have a food safety plan with hazard analysis and controls?

☐ Yes ☐ No
- 3.3 Is production under continuous or periodic government inspection?

☐ Yes ☐ No
- 3.4 Have you received inspection observations, warning letters, or suspension notices?

☐ Yes ☐ No
- If yes, explain:

- 3.5 Have there been positive pathogen tests, contamination events, or illness complaints?

☐ Yes ☐ No

- 3.6 Do you have a recall plan, mock recall history, and traceability?

☐ Yes ☐ No

Traceability records determine how far a recall must extend. One-up, one-back records at minimum should be maintained for every lot.

PART 4 — LABELING, CLAIMS & PACKAGING

- 4.1 Have labels been reviewed for identity, nutrition, and allergens?

☐ Yes ☐ No
- 4.2 Do products contain major food allergens, and are controls documented?

☐ Yes ☐ No
- 4.3 Do labels make health, nutrient content, or structure-function claims?

☐ Yes ☐ No

Describe the main claims: _____

- 4.4 Do you use organic, natural, non-GMO, or clean label claims?

☐ Yes ☐ No
- 4.5 Do you make sustainability, recyclable, or compostable packaging claims?

☐ Yes ☐ No
- 4.6 Are state chemical warnings required for any product?

☐ Yes ☐ No



Syndicate Subscription Legal Plans

4.7 Have you received demand letters or class claims about labeling or claims? ☐ Yes ☐ No

If yes, explain: _____

PART 5 — SUPPLY CHAIN, CO-PACKING & SOURCING

Key Supplier, Co-packer or Customer	Role	Annual Value \$	Term	Written Agreement?

5.1 Do you use co-packers or produce for other brands? ☐ Yes ☐ No

5.2 Do co-packing agreements address recalls, insurance, and IP? ☐ Yes ☐ No

Co-packing agreements should state who owns the recipe, who controls the label, who pays for a recall, and who carries product liability coverage.

5.3 Do you buy or sell produce, meat, or poultry on credit terms? ☐ Yes ☐ No

Produce and livestock sellers may have federal trust protections, but the rights can be lost without timely written notice or proper invoice language.

5.4 Do you import ingredients or finished products? ☐ Yes ☐ No

5.5 Have shipments been detained, refused, or placed on an import alert? ☐ Yes ☐ No

If yes, explain: _____

5.6 Do retailer agreements impose chargebacks, recall costs, or indemnities? ☐ Yes ☐ No

PART 6 — BRAND, RECIPES & IP

6.1 Are brand names and logos registered as trademarks? ☐ Yes ☐ No

6.2 Is packaging or trade dress protected? ☐ Yes ☐ No

6.3 Are recipes and formulations protected as trade secrets, with agreements in place? ☐ Yes ☐ No

6.4 Do employees and co-packers sign confidentiality and IP agreements? ☐ Yes ☐ No

6.5 Do you license your brand, or produce under license for others? ☐ Yes ☐ No

6.6 Are there infringement claims or demand letters pending in either direction? ☐ Yes ☐ No

If yes, explain: _____



Syndicate Subscription Legal Plans

PART 7 — FINANCE, INSURANCE & CAPITAL MARKETS

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

7.1 Insurance in place:

- | | |
|--|--|
| ☐ General liability | ☐ Product liability & contamination |
| ☐ Recall expense | ☐ Property & equipment |
| ☐ Business interruption | ☐ Workers' compensation |
| ☐ Cargo & spoilage | |

7.2 Capital sought: \$ _____ Purpose: _____

7.3 Capital strategy:

- | | |
|---|--|
| ☐ Production capacity or equipment | ☐ Inventory & working capital |
| ☐ Facility purchase or build-out | ☐ Growth equity |
| ☐ Public offering or listing | ☐ Sale of the business or a brand |
| ☐ Not sure — need advice | |

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

PART 8 — PEOPLE, DISPUTES, DOCUMENTS & CERTIFICATION

8.1 Employees: _____ Seasonal / temp: _____ States with workers: _____

8.2 Do you use staffing agencies or labor contractors? ☐ Yes ☐ No

8.3 Are wage-hour, safety, or sanitation citations pending? ☐ Yes ☐ No

If yes, explain: _____

8.4 Current disputes:

- | | |
|---|--|
| ☐ Supplier or co-packer dispute | ☐ Retailer or distributor dispute |
| ☐ Product liability or illness claim | ☐ Labeling or advertising challenge |
| ☐ Agency enforcement | ☐ IP dispute |
| ☐ Employment claim | ☐ Collections |
| ☐ None | |



Syndicate Subscription Legal Plans

8.5 Is a non-disclosure agreement required before documents are shared? ☐ Yes ☐ No

Please provide the following, if applicable. Check each item available. Do not send proprietary recipes before a confidentiality agreement is signed.

- | | |
|---|---|
| ☐ Formation & governance documents | ☐ Ownership / cap table |
| ☐ Financial statements & projections | ☐ Facility registrations & permits |
| ☐ Food safety plans & test records | ☐ Labels & packaging artwork |
| ☐ Co-packing, supply & distribution agreements | ☐ Retail vendor agreements |
| ☐ Inspection & agency correspondence | ☐ Insurance policies & claims |

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.