



Syndicate Subscription Legal Plans

CONSUMER PRODUCTS

CORPORATE CLIENT INTAKE QUESTIONNAIRE:

SAFETY REPORTING IS IMMEDIATE. A company that learns its product may contain a defect or violate a safety rule generally must report to the product safety regulator within 24 hours of obtaining reportable information — late reporting draws penalties separate from the recall itself. If you have a potential safety issue, tell us before completing the rest of this form.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for consumer products businesses — general use and children's products, food and beverage, supplements, cosmetics, household goods, apparel, electronics, and durables — including brands, manufacturers, importers, and distributors. Complete the sections that apply. If a question does not apply, write "N/A."

NAME OF THE CLIENT:

☐ Legal Entity Name: _____

DBA / brand names: _____ Year founded: _____

Entity type:

☐ Corporation

☐ LLC

☐ Partnership

☐ Public company

☐ Subsidiary of a parent

☐ Foreign parent or operations

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

States / countries of operation: _____ Contact person & title: _____

Syndicate Plan Member ID: _____

Address: _____

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

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees: _____ Existing counsel: _____

PART 1 — YOUR BUSINESS & PRODUCTS

1.1 Your role:

☐ Brand owner / marketer

☐ Manufacturer

☐ Importer

☐ Distributor / wholesaler

☐ Retailer

☐ Private label supplier

☐ E-commerce / direct to consumer

☐ Marketplace seller

1.2 Product categories:

☐ General use products

☐ Children's products or toys

☐ Food & beverage

☐ Dietary supplements

☐ Cosmetics & personal care

☐ Over-the-counter drugs

☐ Medical devices

☐ Household & cleaning

☐ Apparel & textiles

☐ Electronics & appliances



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☐ Furniture & durables

☐ Sporting goods & outdoor

☐ Pet products

1.3 Describe your products, manufacturing arrangements, 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

☐ Licenses & permits

Product Safety & Regulatory:

☐ Consumer product safety programs

☐ Children's product certification & testing

☐ General use vs. children's product analysis

☐ Safety reporting obligations

☐ Recalls & corrective action plans

☐ Reverse logistics planning

☐ Food, supplement & cosmetic compliance

☐ Over-the-counter drug & device requirements

☐ Health & environmental regulatory matters

☐ Agency information requests & records responses

Labeling, Advertising & Marketing:

☐ Product labeling requirements

☐ Warning label review

☐ State chemical warning compliance

☐ Advertising claim substantiation

☐ False advertising counseling

☐ Influencer & endorsement disclosures

☐ Social media & consumer messaging

☐ Made in USA & country of origin claims

☐ Environmental & sustainability claims

☐ Subscription & auto-renewal disclosures

Brand Protection & IP:

☐ Trademark registration & monitoring

☐ Trade dress & packaging protection

☐ Patent & design protection

☐ Copyright registration

☐ Anti-counterfeiting program

☐ Customs recordation & seizures

☐ Marketplace takedowns & brand registry

☐ Responding to bad-faith takedown notices

☐ Overseas knockoff enforcement

☐ Freedom to operate analysis

Contracts, Retail & Supply Chain:

☐ Manufacturing & supply agreements

☐ Retail vendor agreements & chargebacks

☐ Distribution & reseller agreements

☐ Licensing & collaboration agreements

☐ Sales representative agreements

☐ Minimum advertised price policies



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☐ Warranty & return terms

☐ Logistics & fulfillment agreements

☐ Supply chain disputes

☐ Non-disclosure agreements

Capital Markets & Finance:

☐ Capital markets consultation

☐ Private placement (Reg D / Reg A)

☐ Secured lending & inventory finance
international)

☐ Exchange listing (OTC, Nasdaq, NYSE,

☐ 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, recall, filing, hearing, closing): _____

PART 3 — PRODUCT SAFETY & COMPLIANCE

Product / Line	Category	Where Made	Annual Units	Tested & Certified?

3.1 Do you sell products intended primarily for children under 12? ☐ Yes ☐ No

Children's products generally require third-party testing, a children's product certificate, and tracking labels, with limits on lead and phthalates.

3.2 Do you issue certificates of compliance for imported or domestic products? ☐ Yes ☐ No

3.3 Are products tested by an accredited laboratory, and are records retained? ☐ Yes ☐ No

3.4 Have you received injury reports, complaints, or field failure data? ☐ Yes ☐ No

3.5 Has a report been made to a safety regulator, or is one being considered? ☐ Yes ☐ No

3.6 Has any product been recalled, withdrawn, or subject to a corrective action plan? ☐ Yes ☐ No

If yes, explain: _____

3.7 Do you have a documented reverse logistics or product retrieval process? ☐ Yes ☐ No

PART 4 — LABELING, CLAIMS & MARKETING

4.1 Do labels include required identity, quantity, and origin info? ☐ Yes ☐ No

4.2 Do products carry health, performance, or environmental claims? ☐ Yes ☐ No

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Describe the main claims: _____

- 4.3 Do you have substantiation files supporting each claim? ☐ Yes ☐ No
- 4.4 Do you use influencers, affiliates, reviews, or testimonials? ☐ Yes ☐ No
- 4.5 Do you advertise Made in USA or similar origin claims? ☐ Yes ☐ No
- 4.6 Do you sell subscriptions, trials, or auto-renewing plans? ☐ Yes ☐ No
- 4.7 Are state chemical warnings required for any product or component? ☐ Yes ☐ No

Advertising and labeling claims are the most common source of consumer class actions and regulator inquiries in this industry.

PART 5 — BRAND PROTECTION & COUNTERFEITS

- 5.1 Are your brand names and logos registered as trademarks? ☐ Yes ☐ No
- 5.2 Is your packaging or product design protected (trade dress, design patent)? ☐ Yes ☐ No
- 5.3 Have you recorded trademarks with customs for import enforcement? ☐ Yes ☐ No
- 5.4 Are counterfeits or knockoffs being sold online or imported? ☐ Yes ☐ No

Platforms, sellers & countries involved: _____

- 5.5 Have you been the target of a bad-faith takedown or listing removal? ☐ Yes ☐ No
- 5.6 Do you monitor marketplaces and enforce against unauthorized sellers? ☐ Yes ☐ No

PART 6 — SUPPLY CHAIN, RETAIL & IMPORTS

Key Manufacturer, Supplier or Retailer	Relationship	Country	Annual Value \$	Written Agreement?

- 6.1 Are manufacturing agreements in writing with quality and indemnity terms? ☐ Yes ☐ No
- 6.2 Do retail vendor agreements impose chargebacks, compliance fees, or recall obligations? ☐ Yes ☐ No
- 6.3 Do you import products, and are tariffs, classification, or duties an issue? ☐ Yes ☐ No
- 6.4 Do you have supply chain documentation on labor and sourcing practices? ☐ Yes ☐ No

Imported goods may be detained where forced labor is suspected in the supply chain, and the burden falls on the importer to document sourcing.

- 6.5 Are packaging or extended producer responsibility rules applicable in your states? ☐ Yes ☐ No

PART 7 — FINANCE, DISPUTES & DOCUMENTS

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



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7.1 Capital sought: \$ _____ Purpose: _____

7.2 Capital strategy:

- | | |
|--|---|
| ☐ Growth or expansion capital | ☐ Inventory & purchase order finance |
| ☐ Working capital line | ☐ Growth equity |
| ☐ Public offering or listing | ☐ Sale of the company or a brand |
| ☐ Not sure — need advice | |

7.3 Current disputes:

- | | |
|---|---|
| ☐ Product liability claim | ☐ Consumer class action |
| ☐ Regulator inquiry or enforcement | ☐ Advertising challenge |
| ☐ IP or counterfeiting dispute | ☐ Retailer or supplier dispute |
| ☐ Employment claim | ☐ Collections |
| ☐ None | |

7.4 Do you carry product liability and recall insurance? ☐ Yes ☐ No

7.5 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 | ☐ Product specifications & test reports |
| ☐ Certificates of compliance | ☐ Labels, packaging & marketing materials |
| ☐ Manufacturing & retail agreements | ☐ Recall or corrective action records |
| ☐ Trademark & IP registrations | ☐ Agency correspondence & 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: _____

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