



Syndicate Subscription Legal Plans

CHEMICALS INDUSTRY **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

REPORTING CLOCKS ARE SHORT. Spills and releases generally must be reported immediately; new chemical substances usually require a pre-manufacture notice well before manufacture or import; and consumer warning notices, product recalls, and agency information requests all carry fixed deadlines. If any of these are live, tell us before completing the rest of this form.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for chemical businesses — basic and specialty chemicals, agricultural chemicals, consumer products, and pharmaceutical ingredients — including manufacturers, formulators, distributors, and toll processors. 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

☐ Public company

☐ Subsidiary of a parent

☐ Foreign-owned or foreign parent

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: _____

PART 1 — YOUR BUSINESS

1.1 Type of business:

☐ Basic chemicals

☐ Specialty chemicals

☐ Agricultural chemicals

☐ Consumer products

☐ Pharmaceutical ingredients

☐ Coatings, adhesives & sealants

☐ Plastics & polymers

☐ Industrial gases

☐ Distributor / reseller

☐ Toll or contract manufacturer

☐ Formulator / blender

☐ Waste management & recycling

☐ Research & development



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1.2 Describe your products, processes, and current stage: _____

1.3 Manufacturing sites & locations: _____

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 Regulatory & Stewardship:

- | | |
|---|---|
| ☐ Chemical inventory & new substance notifications | ☐ Significant new use rules & restrictions |
| ☐ Pesticide registration & labeling | ☐ Food, drug & cosmetic ingredient requirements |
| ☐ Consumer product safety compliance | ☐ State warning & disclosure laws |
| ☐ Bans & restricted substance lists | ☐ Product take-back & extended producer responsibility |
| ☐ Safety data sheets & hazard labeling | ☐ International chemical registration |

Environmental, Safety & Transport:

- | | |
|---|---|
| ☐ Air, water & waste permits | ☐ Hazardous waste management |
| ☐ Release reporting & emergency response | ☐ Site remediation & legacy liability |
| ☐ Toxic release & emissions inventories | ☐ Process safety management |
| ☐ Facility security requirements | ☐ Hazardous materials transport compliance |
| ☐ Natural resources & water use | ☐ Environmental diligence for transactions |

Contracts & Supply Chain:

- | | |
|---|---|
| ☐ Feedstock supply agreements | ☐ Product marketing & sales agreements |
| ☐ Toll manufacturing & processing agreements | ☐ Distribution & reseller agreements |
| ☐ Long-term offtake arrangements | ☐ Logistics & transportation contracts |
| ☐ Warranty & specification terms | ☐ Non-disclosure agreements |
| ☐ Independent contractor agreements | ☐ Supply chain disputes |

IP, Trade & Liability:

- | | |
|---|--|
| ☐ Patents & freedom to operate | ☐ Trade secrets & formulations |
| ☐ Trademarks & monitoring | ☐ Licensing & technology transfer |



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☐ Import, export & tariff compliance

☐ Trade remedies & customs matters

☐ Product liability & recalls

☐ Consumer protection & warranty claims

Capital Markets & Finance:

☐ Capital markets consultation

☐ Private placement (Reg D / Reg A)

☐ Secured lending & asset-based facilities

☐ Equipment & project 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 (filing, permit, launch, hearing, closing): _____

PART 3 — PRODUCTS & REGULATORY STATUS

Product / Substance (generic description)	Use / Market	Volume per Year	Registered or Listed?

3.1 Are all substances listed on the applicable chemical inventory? ☐ Yes ☐ No

3.2 Are you introducing a new substance, new use, or imported product this year? ☐ Yes ☐ No

New chemical substances and significant new uses generally require notice to regulators before manufacture or import, and review periods take months.

3.3 Do any products require pesticide, biocide, food contact, drug, or cosmetic approvals? ☐ Yes ☐ No

3.4 Restricted substance lists, bans, or phase-outs (e.g., PFAS)? ☐ Yes ☐ No

3.5 Do products require state chemical warnings or ingredient disclosure? ☐ Yes ☐ No

3.6 Are safety data sheets and labels current and consistent across markets? ☐ Yes ☐ No

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PART 4 — ENVIRONMENTAL, SAFETY & FACILITIES

Permit / Program	Current	Needs Work	N/A
Air permits	☐	☐	☐
Wastewater discharge or pretreatment	☐	☐	☐
Stormwater	☐	☐	☐
Hazardous waste generator status	☐	☐	☐
Emergency planning & community right-to-know reporting	☐	☐	☐
Toxic release inventory	☐	☐	☐
Process safety management / risk management plan	☐	☐	☐
Facility security	☐	☐	☐
Spill prevention & response plan	☐	☐	☐
Tank & container management	☐	☐	☐

4.1 Have there been releases, spills, or exceedances in the last three years? ☐ Yes ☐ No

If yes, explain: _____

4.2 Are there notices of violation, consent orders, or agency inspections pending? ☐ Yes ☐ No

If yes, explain: _____

4.3 Known contamination, legacy liability, or ongoing remediation? ☐ Yes ☐ No

4.4 Are any sites leased, and does the lease allocate environmental responsibility? ☐ Yes ☐ No

4.5 Has there been a workplace injury, fire, or process safety incident? ☐ Yes ☐ No

If yes, explain: _____

PART 5 — TRANSPORT, IMPORT & EXPORT

5.1 Do you ship hazardous materials by road, rail, air, or sea? ☐ Yes ☐ No

5.2 Your role in transport:

☐ Shipper

☐ Carrier

☐ Freight forwarder

☐ Packaging supplier

☐ Not applicable

5.3 Are hazmat registrations, training records, and packaging certifications current? ☐ Yes ☐ No

5.4 Do you import raw materials or export finished products? ☐ Yes ☐ No

Countries & product categories: _____



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5.5 Are tariffs, antidumping duties, or customs classification issues relevant? ☐ Yes ☐ No

If yes, explain: _____

5.6 Are any products or technologies subject to export controls or sanctions screening? ☐ Yes ☐ No

PART 6 — SUPPLY CHAIN, CUSTOMERS & LIABILITY

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

6.1 Are feedstock supply and product sales agreements in writing with specifications? ☐ Yes ☐ No

6.2 Do contracts address force majeure, price adjustment, and take-or-pay obligations? ☐ Yes ☐ No

6.3 Are there product liability, toxic tort, or mass tort claims pending or threatened? ☐ Yes ☐ No

6.4 Has any product been recalled, withdrawn, or subject to a customer quality claim? ☐ Yes ☐ No

If yes, explain: _____

6.5 Do you rely on trade secret formulations, and are protections documented? ☐ Yes ☐ No

PART 7 — FINANCE & CAPITAL MARKETS

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

7.1 Capital sought: \$ _____ Purpose: _____

7.2 Capital strategy:

☐ Growth or plant expansion

☐ Working capital / asset-based lending

☐ Equipment or project finance

☐ Growth equity

☐ Public offering or listing

☐ Sale of the company or a division

☐ Restructuring

☐ Not sure — need advice

7.3 Would a deal need environmental diligence or permit transfers? ☐ Yes ☐ No

7.4 Do you have audited financials and a financial model? ☐ Yes ☐ No

PART 8 — LABOR, INSURANCE, DISPUTES & DOCUMENTS

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



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8.2 Is any part of the workforce unionized? ☐ Yes ☐ No

8.3 Is immigration sponsorship needed for chemists, engineers, or technicians? ☐ Yes ☐ No

8.4 Insurance in place:

☐ General liability

☐ Product liability

☐ Pollution / environmental

☐ Property & business interruption

☐ Cargo / transport

☐ Workers' compensation

☐ Directors & officers

8.5 Current disputes:

☐ Contract or supply dispute

☐ Environmental enforcement

☐ Product liability claim

☐ Customer quality claim

☐ IP dispute

☐ Employment claim

☐ Collections

☐ None

8.6 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 formulations until a confidentiality agreement is in place.

☐ Formation & governance documents

☐ Ownership / cap table

☐ Financial statements & projections

☐ Permits & regulatory filings

☐ Product registrations & safety data sheets

☐ Supply, tolling & sales agreements

☐ Environmental reports & site assessments

☐ Agency correspondence & notices

☐ Insurance policies & claims

☐ 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.