



Syndicate Subscription Legal Plans

INSURANCE COMPANIES & PRODUCERS **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

DO NOT INCLUDE POLICYHOLDER PERSONAL DATA, CLAIM FILES, OR EXAMINATION MATERIALS on this form. Regulator deadlines are firm: change-of-control approvals must be obtained BEFORE closing, market conduct and financial exam responses and consumer complaint replies run on short clocks, and cybersecurity events carry prompt notification duties.

CONFIDENTIAL. This questionnaire is for the insurance side of the industry — carriers, managing general agents, program administrators, agencies and independent producers, adjusters, actuaries, third-party administrators, bail bond agents, and insurtech companies. Policyholders with claim disputes should use our Insurance Advisory & Advocacy Intake Form instead. 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

☐ Reciprocal or mutual

☐ Captive

☐ Public company

☐ Subsidiary of a parent

☐ Foreign parent

State of domicile / formation: _____ NAIC or license numbers: _____

Contact person & title: _____

Syndicate Plan Member ID: _____

Address: _____

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

Phone: _____ Email: _____

Annual premium or revenue: \$ _____ Employees & producers: _____

PART 1 — YOUR BUSINESS

1.1 Type of business:

☐ Accident & health insurer

☐ Property & casualty insurer

☐ Life & annuity insurer

☐ Financial guarantor

☐ Specialty insurance products

☐ Reinsurer

☐ Captive insurer

☐ Managing general agent / program manager

☐ Independent agency or brokerage

☐ Independent producer

☐ Insurance adjuster

☐ Third-party administrator

☐ Independent actuary

☐ Bail bond agent

☐ Insurtech or embedded insurance

☐ Surplus lines broker

1.2 Lines of business written or serviced: _____



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1.3 States where licensed or operating: _____

1.4 Describe your business and current stage: _____

PART 2 — SERVICES NEEDED

Entity, Governance & Filings:

- | | |
|--|--|
| ☐ Formation or incorporation | ☐ Entity conversion / restructuring |
| ☐ Holding company structure & filings | ☐ Operating agreement / bylaws |
| ☐ Corporate resolutions & governance | ☐ Annual reports & business filings |
| ☐ Foreign qualification | ☐ Captive formation & redomestication |

Licensing & Regulatory:

- | | |
|---|--|
| ☐ Certificate of authority & expansion filings | ☐ Producer, agency & adjuster licensing |
| ☐ Surplus lines & non-admitted compliance | ☐ Third-party administrator licensing |
| ☐ Bail agent licensing | ☐ Change of control & holding company approvals |
| ☐ Form & rate filings | ☐ Market conduct examination support |
| ☐ Financial examination support | ☐ Administrative action defense |

Products, Claims & Compliance:

- | | |
|---|--|
| ☐ Policy form drafting & review | ☐ Underwriting guidelines review |
| ☐ Claims handling procedures & manuals | ☐ Unfair claims practice compliance |
| ☐ Prompt payment & notice requirements | ☐ Bad faith exposure review |
| ☐ Consumer complaint response | ☐ Producer compensation & disclosure |
| ☐ Advertising & marketing review | ☐ Anti-fraud & anti-money laundering programs |

Contracts & Distribution:

- | | |
|--|--|
| ☐ Producer & agency agreements | ☐ Managing general agent & program agreements |
| ☐ Reinsurance agreements & treaties | ☐ Third-party administrator agreements |
| ☐ Claims vendor & adjuster agreements | ☐ Technology & data vendor agreements |
| ☐ Non-disclosure agreements | ☐ Independent contractor agreements |
| ☐ Book of business purchase & sale | ☐ Commission & override disputes |

Privacy, Data & Cyber:

- | | |
|---|---|
| ☐ Privacy notices & policies | ☐ Information security program |
| ☐ Cybersecurity event notification | ☐ Vendor and third-party risk management |
| ☐ Data use, analytics & artificial intelligence review | ☐ Records retention & destruction |
| ☐ Breach response planning | ☐ Consumer data request handling |



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Capital Markets & Finance:

- ☐ Capital markets consultation ☐ Private placement (Reg D / Reg A)
- ☐ Surplus notes & capital instruments ☐ Insurance-linked securities *
- ☐ Exchange listing (OTC, Nasdaq, NYSE, international) ☐ Securities & blue sky compliance
- ☐ Mergers, acquisitions & renewal rights deals ☐ Investor agreements & cap table
- ☐ Restructuring or runoff

** For insurance-linked securities and similar structures, please also complete our Debt Capital Markets Intake Form.*

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (filing, exam response, closing, renewal): _____

PART 3 — LICENSES & REGULATORY STATUS

License / Authority	Regulator & State	Number	Lines Authorized	Expires

- 3.1 Are all company, agency, and individual licenses current? ☐ Yes ☐ No
- 3.2 Are you expanding into new states or lines of business? ☐ Yes ☐ No
- 3.3 Is a change of ownership, control, or affiliation planned? ☐ Yes ☐ No

Acquiring control of an insurer generally requires regulatory approval before closing, and filings can take months.

- 3.4 Are form or rate filings pending, or has a filing been disapproved? ☐ Yes ☐ No
- 3.5 Has there been a market conduct or financial examination in the last three years? ☐ Yes ☐ No
- 3.6 Is the company subject to any PUBLIC order, corrective action, or supervision? ☐ Yes ☐ No

If yes, explain: _____

PART 4 — PRODUCTS, UNDERWRITING & CLAIMS

- 4.1 Do you draft your own policy forms, or use bureau or program forms? ☐ Yes ☐ No

If yes, explain: _____

- 4.2 Are underwriting guidelines documented and applied consistently? ☐ Yes ☐ No
- 4.3 Do you use algorithms or AI in underwriting or claims? ☐ Yes ☐ No

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Regulators increasingly examine model governance, testing, and disclosure where automated tools affect underwriting, pricing, or claim outcomes.

- 4.4 Are claims manuals, timelines, and communication templates current? ☐ Yes ☐ No
- 4.5 Have there been bad faith claims, extracontractual demands, or class claims? ☐ Yes ☐ No
- 4.6 Do you track consumer complaints and regulator inquiries by root cause? ☐ Yes ☐ No
- 4.7 Do you use outside adjusters, appraisers, or claims administrators? ☐ Yes ☐ No

PART 5 — DISTRIBUTION, REINSURANCE & PROGRAMS

Counterparty	Role (MGA, producer, reinsurer, TPA)	Lines / Program	Annual Volume \$	Signed Agreement?

- 5.1 Do you delegate underwriting, binding, or claims authority to third parties? ☐ Yes ☐ No
- 5.2 Do delegated agreements include audit and termination rights? ☐ Yes ☐ No
- 5.3 Do you cede or assume reinsurance, and are treaties current? ☐ Yes ☐ No
- 5.4 Are collateral or credit for reinsurance requirements satisfied? ☐ Yes ☐ No
- 5.5 Are commissions and contingent compensation disclosed as required? ☐ Yes ☐ No
- 5.6 Are there disputes with producers, MGAs, reinsurers, or administrators? ☐ Yes ☐ No

If yes, explain: _____

PART 6 — PRIVACY, CYBER & DATA

Program Area	In Place	Needs Update	Missing
Written information security program	☐	☐	☐
Risk assessment & testing	☐	☐	☐
Incident response plan & notification process	☐	☐	☐
Vendor due diligence & contract terms	☐	☐	☐
Privacy notices & opt-out handling	☐	☐	☐
Consumer data request procedures	☐	☐	☐
Records retention schedule	☐	☐	☐
Employee training	☐	☐	☐
Model & algorithm governance	☐	☐	☐

- 6.1 Has there been a cybersecurity event, breach, or ransomware incident? ☐ Yes ☐ No

Date, scope & notifications made: _____

- 6.2 Do you carry cyber liability coverage? ☐ Yes ☐ No

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PART 7 — TRANSACTIONS, FINANCE & CAPITAL MARKETS

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

7.1 Capital sought: \$ _____ Purpose: _____

7.2 Capital strategy:

- | | |
|---|---|
| ☐ Surplus or regulatory capital | ☐ Growth capital |
| ☐ Agency or book of business acquisition | ☐ Program launch funding |
| ☐ Public offering or listing | ☐ Sale of the company or an agency |
| ☐ Runoff or portfolio transfer | ☐ Not sure — need advice |

7.3 Would a transaction require regulatory approval or licensing changes? ☐ Yes ☐ No

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

PART 8 — PEOPLE, DISPUTES, DOCUMENTS & CERTIFICATION

8.1 Employees: _____ Licensed producers: _____

8.2 Are producers employees or independent contractors? ☐ Yes ☐ No

If yes, explain: _____

8.3 Is immigration sponsorship needed for any personnel? ☐ Yes ☐ No

8.4 Current disputes:

- | | |
|--|--|
| ☐ Producer or agency dispute | ☐ Reinsurance dispute |
| ☐ Coverage or bad faith claim | ☐ Regulator enforcement |
| ☐ Consumer complaint or class claim | ☐ Vendor dispute |
| ☐ Employment claim | ☐ Collections |
| ☐ None | |

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

Please provide the following, if applicable. Check each item available. Redact policyholder personal information and exclude examination materials.

- | | |
|--|---|
| ☐ Formation & governance documents | ☐ Ownership / cap table & organization chart |
| ☐ Financial statements | ☐ Licenses & certificates of authority |
| ☐ Policy forms & rate filings | ☐ Producer, MGA & TPA agreements |
| ☐ Reinsurance treaties & certificates | ☐ Compliance & claims manuals |
| ☐ Public regulatory orders | ☐ Loan & investor documents |



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Certification:

I declare that the information provided in this questionnaire is true, correct, and complete to the best of my knowledge, that I am authorized to provide it on behalf of the business named above, and that it does not include policyholder personal information or confidential examination materials. 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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save this document as a PDF and email to STEVE@STEVEMUELLERLEGAL.COM,
Your information will be reviewed within one hour.