



Syndicate Subscription Legal Plans

FINANCIAL SERVICES

CORPORATE CLIENT INTAKE QUESTIONNAIRE:

DO NOT INCLUDE CONFIDENTIAL SUPERVISORY INFORMATION OR CUSTOMER PERSONAL DATA on this form — examination materials, supervisory ratings, and non-public regulator correspondence generally cannot be shared without the regulator's permission. If you have received a subpoena, civil investigative demand, or investigation notice, contact us immediately: preservation obligations begin at once.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory across financial services — banks and lenders, broker-dealers and investment advisers, funds and family offices, insurers, payments and digital banking, leasing and specialty finance, and structured finance. 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 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:

☐ Commercial bank

☐ Consumer banking & lending

☐ Digital banking / fintech

☐ Mortgage lender or servicer

☐ Credit card company

☐ Consumer finance / installment lender

☐ Asset finance & leasing

☐ Leveraged finance

☐ Broker-dealer *

☐ Investment adviser *

☐ Investment bank

☐ Market maker

☐ Hedge fund

☐ Venture capital / alternatives *

☐ Family office

☐ Insurance company

☐ Corporate trust services

☐ Commodities & derivatives

☐ Structured finance & securitization *

☐ REIT



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☐ Payments & money transmission

☐ Debt buyer or collection agency

** Detailed intake forms exist for broker-dealers, investment advisers, fund finance, venture capital, banking and capitalization, asset securitization, and mortgage matters. We will tell you which additional form fits.*

1.2 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

Licensing, Registration & Regulatory:

☐ State lending & licensing applications

☐ Money transmitter licensing

☐ Broker-dealer or adviser registration

☐ Bank or trust charter matters

☐ Insurance licensing

☐ License renewals & change of control approvals

☐ Regulatory examination preparation

☐ Response to examination findings

☐ Administrative action defense

☐ Regulatory & compliance program review

Compliance Programs:

☐ Anti-money laundering & sanctions program

☐ Customer identification & onboarding

☐ Consumer compliance program

☐ Fair lending & underwriting review

☐ Credit reporting & dispute procedures

☐ Collection practices & communications

☐ Payment processing & error resolution

☐ Privacy, data security & vendor management

☐ Complaint management & monitoring

☐ Training & policies

Contracts, Products & Consumer Documents:

☐ User agreements & terms of service

☐ Account & loan agreements

☐ Disclosures & consumer notices

☐ Fee schedules & pricing terms

☐ Arbitration & dispute resolution clauses

☐ Vendor & fintech partnership agreements

☐ Servicing & subservicing agreements

☐ Marketing & advertising review

☐ Non-disclosure agreements

☐ Uniform Commercial Code matters

Investigations, Claims & Disputes:

☐ Government investigations & subpoenas

☐ False claims investigations

☐ Fraud & aiding and abetting claims

☐ Ponzi scheme & receivership matters



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- ☐ Consumer claims on fees & charges ☐ Credit reporting claims
☐ Debt collection practice claims ☐ Truth-in-lending & billing claims
☐ Mortgage settlement practice claims ☐ Unfair or deceptive practice claims

Capital Markets & Transactions:

- ☐ Capital markets consultation ☐ Private placement (Reg D / Reg A)
☐ Exchange listing (OTC, Nasdaq, NYSE, international) ☐ Securities & blue sky compliance
☐ Secured lending & credit facilities ☐ Mergers, acquisitions & portfolio sales
☐ Investor agreements & cap table ☐ Restructuring or bankruptcy

2.1 Describe your most urgent matter and objective: _____

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

PART 3 — LICENSES, REGISTRATIONS & SUPERVISION

License / Registration	Regulator	Number	States Covered	Status

3.1 Primary regulators: _____

3.2 Are licenses current, with renewals or new applications pending? ☐ Yes ☐ No

3.3 Is a change of ownership, control, or key personnel planned? ☐ Yes ☐ No

3.4 Has there been a PUBLIC enforcement action, consent order, or settlement? ☐ Yes ☐ No

If yes, explain: _____

Describe only public matters here. Confidential supervisory information should not be included on this form.

3.5 Month and year of next scheduled examination (if known): _____

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PART 4 — COMPLIANCE PROGRAM

Program Area	In Place	Needs Update	Missing
AML program, officer & independent testing	☐	☐	☐
Sanctions & watchlist screening	☐	☐	☐
Customer identification & beneficial ownership	☐	☐	☐
Suspicious activity monitoring & reporting	☐	☐	☐
Fair lending analysis	☐	☐	☐
Truth-in-lending & disclosure accuracy	☐	☐	☐
Credit reporting & dispute handling	☐	☐	☐
Debt collection communications & validation	☐	☐	☐
Billing error & payment dispute resolution	☐	☐	☐
Privacy, safeguards & incident response	☐	☐	☐
Complaint intake & root cause analysis	☐	☐	☐
Vendor & fintech partner oversight	☐	☐	☐

4.1 Compliance officer: _____ Date of last independent review: _____

4.2 Do third parties handle origination, servicing, or collections? ☐ Yes ☐ No

4.3 Do you furnish information to credit reporting agencies? ☐ Yes ☐ No

4.4 Do you collect debt, or place accounts with collection agencies? ☐ Yes ☐ No

PART 5 — PRODUCTS, FEES & CONSUMER PRACTICES

5.1 Products offered:

- | | |
|--|--|
| ☐ Deposit accounts | ☐ Credit cards |
| ☐ Consumer loans | ☐ Mortgages |
| ☐ Auto or equipment finance | ☐ Small business lending |
| ☐ Payment processing | ☐ Prepaid or stored value |
| ☐ Buy now, pay later | ☐ Digital assets |
| ☐ Insurance products | ☐ Investment products |

5.2 Do fee disclosures match actual charges and billing practices? ☐ Yes ☐ No

5.3 Have fee, interest, or payment posting practices been challenged? ☐ Yes ☐ No

If yes, explain: _____

5.4 Do consumer agreements include arbitration and class waiver provisions? ☐ Yes ☐ No

5.5 Do you market through affiliates, lead generators, or referral partners? ☐ Yes ☐ No



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Fees, payment processing, credit reporting, and collection communications are the most common sources of consumer claims and regulatory inquiries in this industry.

PART 6 — INVESTIGATIONS, CLAIMS & DISPUTES

6.1 Current matters:

- | | |
|---|---|
| ☐ Government investigation or civil investigative demand | ☐ Subpoena or document request |
| ☐ Regulator inquiry | ☐ Consumer class action |
| ☐ Individual consumer claims | ☐ Commercial or UCC dispute |
| ☐ Fraud or aiding and abetting claim | ☐ Receivership or Ponzi-related matter |
| ☐ Employment claim | ☐ None |

6.2 Agency or court & matter reference: _____ Response due: _____

6.3 Summary of the issues (facts only): _____

6.4 Has a litigation hold or preservation notice been issued? ☐ Yes ☐ No

6.5 Has an internal investigation been started, and by whom? ☐ Yes ☐ No

If yes, explain: _____

Syndicate provides advisory and compliance support; representation in litigation, arbitration, or formal proceedings is handled by counsel of record.

PART 7 — TRANSACTIONS, FINANCE & CAPITAL MARKETS

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

7.1 Capital sought: \$ _____ Purpose: _____

7.2 Capital strategy:

- | | |
|--|---|
| ☐ Growth capital | ☐ Warehouse or credit facility |
| ☐ Portfolio purchase or sale | ☐ Regulatory capital |
| ☐ Growth equity | ☐ Public offering or listing |
| ☐ Sale of the company or a line of business | ☐ Not sure — need advice |

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

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



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PART 8 — PEOPLE, DOCUMENTS & CERTIFICATION

- 8.1 Employees: _____ Contractors: _____ States with workers: _____
- 8.2 Do employees hold individual licenses or registrations? ☐ Yes ☐ No
- 8.3 Is immigration sponsorship needed for any personnel? ☐ Yes ☐ No
- 8.4 Is a non-disclosure agreement required before documents are shared? ☐ Yes ☐ No

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

- | | |
|--|--|
| ☐ Formation & governance documents | ☐ Ownership / cap table |
| ☐ Financial statements & projections | ☐ Licenses & registrations |
| ☐ Compliance manual & policies | ☐ Consumer agreements & disclosures |
| ☐ Vendor & partnership agreements | ☐ Public enforcement documents |
| ☐ Investigation or claim correspondence | ☐ Loan & investor documents |

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 confidential supervisory information. 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.