



STEVE MUELLER'S –  
SYNDICATE LEGAL SERVICES

LABOR &  
EMPLOYMENT

# Syndicate Legal Services – Labor & Employment



## SYNDICATE LEGAL SERVICES

*Team of:*  
*Attorneys / Lawyers*  
*Law Clerks*  
*Paralegals*  
*Industry Specialists*

- **ERISA (Employee Retirement Income Security Act):**
  - Conduct the initial review of Employees Claim(s) File
  - Create detailed Claim(s) File Summary
  - Assist during Settlement, Mediation, Arbitration and Trial
  - Draft Settlement Agreements (*if necessary*)
- **EEOC (Equal Employment Opportunity Commission):**
  - Investigate Discrimination Claims under Federal and/or State Statutes (including any Civil Rights Violations)
  - Assist during Trial, Arbitration, Grievance Hearings, and other Formal Proceedings for Grievance and/or Discharge
  - Assist during Trial, Arbitration, Grievance Hearings, and other Formal Proceedings for Grievance and/or Discharge
  - Assis with Drafting of Proposed Policies and Procedures with comply with related State, Federal, Local or Agency Employment Practice Regulations
- **National Relations Labor (NLRB) / Union Activity:**
  - Assist with Personnel Policies and Practices to avoid Unionization
  - Assist with Union-Avoidance Materials
  - Respond to matters under the National Labor Relations Act including responding to Petitions or Demands from a Union.
  - Assist with Unfair Labor Practice Charges with the NLRB
  - Assist with Documents necessary to prepare for and attend NLRB Trial / Arbitrations.
  - Respond to Union information and NLRB Requests.
  - Assist with handling problems during Strikes, including Draft Strike Manuals and Contingency Plans.

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- **Common Law Statute / Tort Claims:**
  - We have knowledge of Common Law Statute / Tort Claims
  - Assist with Wrongful Discharge and Employment-at-Will Claims
  - Assist with Contract and Promissory Estoppel Claims
- **Department of Labor & Employment:**
  - Assist with the Unemployment Insurance / Appeals Process
  - Assist with Hearing Preparation, issuance of Subpoenas and with Witness Preparation
  - Assist with Wage Claims regarding California Wage Claim Act or California Minimum Wage
- **EMPLOYMENT LITIGATION:**
  - Act as Liaison between:
    - Experts
    - Benefit Coordinators
    - Other Professionals
    - HR Professionals
    - Courts
    - Other Counsel
    - Clients
  - Deposition Scheduling & Preparation
  - Docketing & Tracking

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- Prepare for and assist at Trials, Court Mandated Conferences, Administrative Hearings, Settlement Conferences, Inspections, Arbitrations, Negotiation Sessions, and Internal Proceedings, including (but may not be limited to):
  - Orchestration of tasks related to Mediations, Arbitrations and Administrative Hearings
  - Prepare and Maintain Trial Exhibits
  - Coordinate the use of Electronic Trial Presentation Equipment, maintaining & tracking Exhibits, and scheduling witnesses.
  - Coordinate Witness Preparation & Testimony
- Perform Legal, General & Factual Research
- Draft Non-Dispositive Pleadings, Claims, Contracts, Motions, Correspondence and other necessary Documents
- Correspond with Courts, Parties, Attorneys, Organizations, Professionals / Experts, including treating Physician(s), Investigators, Witnesses and Governmental Agencies.
- Locate and Interview Witnesses and Expert Witnesses
- Collect Factual Information, using Public Records and other Online Resources
- Arrange for Service of Process of Complaints and Subpoenas, both in-state and foreign
- Preparation and Filing of Legal Briefs with the Court
- Compile and Maintain Documents, utilizing Databases & Spreadsheets
- Review Documents for Privilege & Relevance
- Obtain & Summarize Medical (and other) Records

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### **EMPLOYMENT NON-LITIGATION**

- Draft Employee Plans for Attorney Review:
  - Act as Liaison between Plan Sponsor, Plan Administrator, and Trustee in Preparing and Drafting Qualified Employee Plans, *i.e.*:
    - Stock Bonus Plans;
    - Profit Sharing Plans;
    - Purchase Money Pensions and other Pension Plans;
    - Trust Agreements
    - Individual Retirement Account (IRA) Plans;
    - Annuity Plans;
    - HR-10 or Keogh Plans;
    - Employee Stock Ownership Plans;
    - Life & Health Insurance Plans;
    - Workers' Compensation Plans; and
    - Social Security Plans
- Assist with Document Preparation & Program Monitoring:
  - Gather Information
  - Determine Eligibility for Participation and Benefits
  - Notify Employees of Participation
  - Complete Input Forms for Document Assembly
  - Assemble Elections to Participate
  - Determine Beneficiary Designations
  - Record Elections to Contribute
  - Allocate Annual Contributions to Individual Participants' Accounts
  - Prepare Annual Account Statements for Participation

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- Identify any potential Discrimination Problems with Program
- Prepare Plan and Trust Documents for IRS Approval (*including any relevant IRS Forms*)
- Prepare Summary Plan Description and other Reporting & Disclosure Forms, including Form 5500 Annual Reports (U.S. Dept. of Labor)
- Prepare other applications for submission to IRS, Pension Benefit Guaranty Corporation, and Department of Labor regarding Plan Termination and Requests for Approval.
- Maintain Document Forms, Government Forms, and Library of Plan Documents
- Assist Attorney in Preparing, Finalizing, and Filing Documents and Reports required by Federal, State and Local Laws
- Additional:
  - Assist in Drafting Summary Plan Descriptions for Distribution to Employees
  - Help Prepare & Review Annual Reports of Plans

## ABOUT OUR MANAGING PARTNER

**Mr. Steven Mueller** is a Lawyer, Co-Founder & Senior Managing Partner of **Syndicate Legal Services** ([www.SteveMuellerLegal.com](http://www.SteveMuellerLegal.com)). Mr. Mueller has more than twenty-five years of Law Office experience, including (but not limited to) 20 years of experience in Corporate & Investment Banking Law; 15 years of experience in Civil Litigation; 5 years of experience in person injury law, family law, and employment law; and 3 years of experience in Criminal Defense Law.

Mr. Mueller is a true pioneer in the Private and Public Capital Markets industry with more than twenty years of industry experience. Mr. Mueller has extensive experience in Alternative Trading Systems and Stock Exchange Legal & Compliance, structuring private and public securities offerings, and coordinating both public and private securities offerings through a syndicate network of FINRA Registered Broker Dealers, Investment Banks and Registered Investment Advisors. As of today, Mr. Mueller has participated approximate 200 IPOs and Rule 144A Equity Offerings, and nearly 2,500 capital markets transactions.

In addition, Mr. Mueller has completed the following courses: BA in Corporate Finance w/ Minor in Accounting (South Carolina); Law School (California Southern Law School); Three Years Law Office Study Program (LA Law, Beverly Hills); Paralegal & Advanced Paralegal Studies Certificates; FINRA series 6, 65 & 7; California Insurance (Property & Casualty, Life & Health, Commercial, Annuity, Earthquake, Flood & Long-Term Care); California Real Estate Sales; California Residential Mortgage; and California Bail Bonds. Mr. Mueller is also a United States Marine Corps Veteran (95-99, honorable discharge after completion of 4yr. tour of duty).



**Mr. Steven J. Mueller**  
*Lawyer, Co-Founder &  
Senior Managing Partner*

STEVE MUELLER'S –  
SYNDICATE LEGAL SERVICES:

*Phone: (661) 505-3122*

*Email: [Steve@SteveMuellerLegal.com](mailto:Steve@SteveMuellerLegal.com)*

*Web: [www.SteveMuellerLegal.com](http://www.SteveMuellerLegal.com)*