



Syndicate Subscription Legal Plans

STEEL & SPECIALTY METALS **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

TRADE DEADLINES CONTROL THIS INDUSTRY. Antidumping and countervailing duty deposits, scope and exclusion requests, administrative review windows, and injury proceeding schedules are all fixed and unforgiving, and the importer of record carries the duty liability. Tell us about any duty order, scope question, or customs notice before completing the rest of this form.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for steel and specialty metals businesses — producers and mills, product manufacturers, alloy and ferroalloy producers, service centers and distributors, scrap and recycling operations, and importers and exporters. Complete the sections that apply. If a question does not apply, write "N/A."

NAME OF THE CLIENT:

☐ Legal Entity Name: _____

DBA / plant or brand names: _____ Year founded: _____

Entity type:

☐ Corporation

☐ LLC

☐ Partnership

☐ Joint venture

☐ Public company

☐ Subsidiary of a parent

☐ Foreign parent

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

States / countries of operation: _____ **Syndicate Plan Member ID:** _____

Contact person & title: _____

Address: _____

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

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees: _____

PART 1 — YOUR BUSINESS & MATERIALS

1.1 Materials & role:

☐ Steel manufacturing (mill)

☐ Steel products manufacturing

☐ Aluminum

☐ Titanium

☐ Nickel

☐ Chromium

☐ Cobalt

☐ Manganese

☐ Molybdenum

☐ Niobium (columbium)

☐ Silicon

☐ Tungsten

☐ Vanadium

☐ Zirconium

☐ Ferroalloys & additives

☐ Service center or distributor

☐ Scrap & recycling

☐ Importer or exporter



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1.2 Operations:

- | | |
|--|--|
| ☐ Primary production | ☐ Secondary / recycled production |
| ☐ Casting & forging | ☐ Rolling & finishing |
| ☐ Fabrication & machining | ☐ Coating & treatment |
| ☐ Trading & distribution only | |

1.3 Describe your products, grades, and customers: _____

1.4 Plants & facilities: _____

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 | ☐ Business licenses & permits |

Trade, Tariffs & Customs:

- | | |
|---|--|
| ☐ Antidumping & countervailing duty exposure | ☐ Scope rulings & product coverage questions |
| ☐ Exclusion requests & tariff relief | ☐ Administrative reviews & duty assessments |
| ☐ Injury proceedings & trade remedy filings | ☐ Customs classification & valuation |
| ☐ Country of origin & melt and pour requirements | ☐ Domestic content & Buy America compliance |
| ☐ Export controls, sanctions & restricted sourcing | ☐ Customs audits, penalties & prior disclosures |

Commercial Contracts & Supply Chain:

- | | |
|---|---|
| ☐ Supply & purchase agreements | ☐ Index pricing, surcharges & escalation terms |
| ☐ Take-or-pay & volume commitments | ☐ Scrap & raw material sourcing agreements |
| ☐ Energy supply contracts | ☐ Distribution & service center agreements |
| ☐ Transportation & logistics contracts | ☐ Force majeure & delivery terms |
| ☐ Supply chain disputes | ☐ Non-disclosure agreements |

Quality, Specifications & Products:

- | | |
|---|--|
| ☐ Specifications & material certifications | ☐ Mill test reports & traceability |
| ☐ Nonconforming material claims | ☐ Counterfeit or misrepresented material |
| ☐ Warranty terms & limitations | ☐ Product liability & recalls |
| ☐ Testing, inspection & certification disputes | ☐ Defense & aerospace material requirements |



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Facilities, Environment & Safety:

- | | |
|--|--|
| ☐ Air permits & emissions compliance | ☐ Water discharge & stormwater permits |
| ☐ Waste, slag & byproduct management | ☐ Site contamination & remediation |
| ☐ Workplace safety programs & citations | ☐ Molten metal & high hazard operations |
| ☐ Energy use & emissions reporting | ☐ Facility expansion & construction |

Capital Markets & Finance:

- | | |
|---|--|
| ☐ Capital markets consultation | ☐ Private placement (Reg D / Reg A) |
| ☐ Secured lending & asset-based facilities | ☐ Equipment & project finance |
| ☐ Commodity hedging documentation | ☐ Exchange listing (OTC, Nasdaq, NYSE, international) |
| ☐ Securities & blue sky compliance | ☐ Mergers, acquisitions & asset sales |
| ☐ Investor agreements & cap table | ☐ Restructuring or bankruptcy |

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (filing, review, shipment, hearing, closing): _____

PART 3 — TRADE, TARIFFS & CUSTOMS

Product / Grade	HTS Code (if known)	Origin Country	Annual Volume	Duty Order Applies?

3.1 Do you import raw, semi-finished, or finished metal products? ☐ Yes ☐ No

3.2 Are any products subject to antidumping or countervailing duty orders? ☐ Yes ☐ No

Duty liability falls on the importer of record, and deposit rates can change on review. Scope questions should be resolved before shipments arrive.

3.3 Have you requested tariff exclusions or scope rulings? ☐ Yes ☐ No

3.4 Have you received customs notices, audits, penalty claims, or detentions? ☐ Yes ☐ No

If yes, explain: _____

3.5 Do customers require melt and pour or domestic content certificates? ☐ Yes ☐ No

3.6 Do you export, and are export control or sanctions restrictions applicable? ☐ Yes ☐ No



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Several specialty metals are subject to export controls and restricted sourcing rules, and defense contracts impose specialty metals sourcing requirements.

PART 4 — CONTRACTS, PRICING & COUNTERPARTIES

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

- 4.1 Are supply agreements in writing, with specifications and quality terms? ☐ Yes ☐ No
- 4.2 Do contracts use index pricing, surcharges, or escalation formulas? ☐ Yes ☐ No
- 4.3 Do contracts include volume commitments, take-or-pay, or exclusivity? ☐ Yes ☐ No
- 4.4 Do your terms and customer terms conflict on warranty and liability? ☐ Yes ☐ No
- 4.5 Are there disputes over price, delivery, quality, or rejected material? ☐ Yes ☐ No

If yes, explain: _____

- 4.6 Do you hedge commodity or energy exposure, and are agreements documented? ☐ Yes ☐ No

PART 5 — QUALITY, SPECIFICATIONS & PRODUCT CLAIMS

- 5.1 Do you certify material to published specifications or customer standards? ☐ Yes ☐ No
- 5.2 Are mill test reports, heat numbers, and traceability records maintained? ☐ Yes ☐ No

Traceability records determine the scope of a quality claim or recall and are the first documents requested in a material failure dispute.

- 5.3 Have you had nonconforming material, failure, or rejection claims? ☐ Yes ☐ No
- 5.4 Have you encountered counterfeit or uncertified material? ☐ Yes ☐ No
- 5.5 Do you supply defense, aerospace, or infrastructure customers with special requirements? ☐ Yes

☐ No

- 5.6 Are warranty terms and liability limits stated in your sale documents? ☐ Yes ☐ No

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PART 6 — FACILITIES, ENVIRONMENT & SAFETY

Permit / Program	Current	Needs Work	N/A
Air permits & emission limits	☐	☐	☐
Water discharge & stormwater permits	☐	☐	☐
Waste, slag & byproduct handling	☐	☐	☐
Chemical inventory & community reporting	☐	☐	☐
Toxic release inventory	☐	☐	☐
Written safety & health program	☐	☐	☐
Molten metal & hot work procedures	☐	☐	☐
Machine guarding & energy control	☐	☐	☐
Emergency response plan	☐	☐	☐
Energy & emissions reporting	☐	☐	☐

6.1 Citations, violations, or inspections in the last three years? ☐ Yes ☐ No

If yes, explain: _____

6.2 Have there been serious injuries, fatalities, or process incidents? ☐ Yes ☐ No

If yes, explain: _____

6.3 Is there known contamination or legacy liability at any facility? ☐ Yes ☐ No

6.4 Are expansion, idling, or closure plans underway? ☐ Yes ☐ No

PART 7 — WORKFORCE & LABOR

7.1 Employees: _____ Contractors: _____ Shifts: _____

7.2 Is any part of the workforce unionized, and when does the agreement expire? ☐ Yes ☐ No

7.3 Are there grievances, arbitrations, or bargaining matters pending? ☐ Yes ☐ No

If yes, explain: _____

7.4 Is immigration sponsorship needed for metallurgists or engineers? ☐ Yes ☐ No

7.5 Are there wage-hour, safety, or classification claims pending? ☐ Yes ☐ No

If yes, explain: _____



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PART 8 — FINANCE, DISPUTES, DOCUMENTS & CERTIFICATION

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

8.1 Capital sought: \$ _____ Purpose: _____

8.2 Capital strategy:

- | | |
|--|--|
| ☐ Plant & equipment investment | ☐ Working capital & inventory finance |
| ☐ Acquisition financing | ☐ Energy or decarbonization projects |
| ☐ Growth equity | ☐ Public offering or listing |
| ☐ Sale of the company or a facility | ☐ Not sure — need advice |

8.3 Current disputes:

- | | |
|---|--|
| ☐ Customer or supplier dispute | ☐ Trade or customs matter |
| ☐ Product or quality claim | ☐ Environmental enforcement |
| ☐ Safety citation | ☐ Labor or employment claim |
| ☐ Antitrust or pricing inquiry | ☐ Collections |
| ☐ None | |

8.4 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 process or metallurgical data before a confidentiality agreement is signed.

- | | |
|--|--|
| ☐ Formation & governance documents | ☐ Ownership / cap table |
| ☐ Financial statements & projections | ☐ Supply & customer agreements |
| ☐ Standard terms, quotes & acknowledgments | ☐ Customs entries & trade filings |
| ☐ Certifications, specifications & test reports | ☐ Permits & environmental reports |
| ☐ Labor agreements | ☐ Insurance policies & loan 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, 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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