



Syndicate Subscription Legal Plans

TECHNOLOGY COMPANIES **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

THREE ITEMS TO SETTLE EARLY: that every founder, employee, and contractor has assigned their IP in writing; whether your technology or data is subject to export controls or foreign investment review; and whether your product touches a regulated sector such as payments, health, mobility, or energy, which can require licensing before launch. Do not send source code, designs, or credentials with this form.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for technology businesses across artificial intelligence, semiconductors, quantum, robotics, hardware and connected devices, fintech, digital health, mobility, energy transition, blockchain, and immersive technology. For consumer software, SaaS, and internet platforms, our Computer, Software & Internet form goes deeper on terms of service and privacy. If a question does not apply, write "N/A."

NAME OF THE CLIENT:

☐ Legal Entity Name: _____

DBA / product or 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 / countries of operation: _____ **Syndicate Plan Member ID:** _____

Contact person & title: _____

Address: _____

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

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees: _____

PART 1 — YOUR TECHNOLOGY

1.1 Technology areas:

☐ Artificial intelligence & machine learning

☐ Semiconductors

☐ Quantum computing

☐ Robotics & automation

☐ Hardware & devices

☐ Internet of things & connected products

☐ Edge computing

☐ Cloud & as-a-service solutions

☐ Big data & analytics

☐ Blockchain & distributed ledger

☐ Fintech & payments

☐ Digital health, biotech & medtech

☐ AutoTech & mobility

☐ Energy transition technology

☐ Digital infrastructure

☐ Digital supply chain

☐ Smart cities

☐ Mobile applications & telecommunications

☐ Online gaming & entertainment

☐ Virtual & augmented reality



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☐ Social media

☐ E-commerce & sharing economy

☐ Software

1.2 Stage:

☐ Pre-product / research

☐ Prototype or pilot

☐ Commercial launch

☐ Scaling

☐ Mature

1.3 Describe your technology, customers, and business model: _____

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 & subsidiaries

☐ Equity incentive plans & 409A valuations

Intellectual Property & Technology Rights:

☐ Patent strategy & portfolio planning

☐ Freedom to operate analysis

☐ Trade secret program & protection

☐ Employee & contractor IP assignments

☐ Trademarks & brand protection

☐ Copyright & content protection

☐ Open-source compliance & component review

☐ Technology licensing & transfer

☐ Joint development & research agreements

☐ University, government & grant IP rights

Commercial Contracts:

☐ Customer & enterprise agreements

☐ Master services agreements & statements of work

☐ Hardware supply & manufacturing agreements

☐ Component & supplier agreements

☐ Reseller, channel & OEM agreements

☐ Cloud, hosting & data center agreements

☐ Pilot, evaluation & proof of concept agreements

☐ Service levels, warranties & support terms

☐ Non-disclosure & evaluation agreements

☐ Supply chain disputes

Data, AI & Product Compliance:

☐ Privacy policy & data governance

☐ Data licensing & data rights in contracts

☐ AI development & deployment governance

☐ Model training data rights & disclosures

☐ Automated decision-making requirements

☐ Cybersecurity program & incident response

☐ Product safety & certification requirements

☐ Connected device & spectrum requirements



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☐ Accessibility compliance
energy)

☐ Sector licensing (payments, health, mobility,

Trade, National Security & Regulatory:

☐ Export classification & licensing
☐ Deemed export & foreign national access
☐ Import, tariffs & customs classification
☐ Standards bodies & patent commitments

☐ Sanctions & restricted party screening
☐ Foreign investment review of investors
☐ Government contracts & grants
☐ Administrative action defense

Capital Markets & Finance:

☐ Capital markets consultation
☐ Venture & growth equity documents
☐ Venture debt & credit facilities
international)

☐ Private placement (Reg D / Reg A)
☐ Convertible notes & SAFEs
☐ Exchange listing (OTC, Nasdaq, NYSE,
☐ Mergers, acquisitions & technology sales
☐ Restructuring or bankruptcy

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (launch, filing, closing, contract): _____

PART 3 — INTELLECTUAL PROPERTY

Asset / Technology	Protection Type	Status	Jurisdictions	Owned or Licensed

3.1 Have all founders, employees, and contractors assigned IP in writing? ☐ Yes ☐ No

Unassigned code, designs, or inventions are the most common problem found in technology diligence and can delay or reduce a financing or sale.

3.2 Was technology developed at a university or with grant funding? ☐ Yes ☐ No

Research institutions and funding agencies often retain rights or march-in provisions, and government contracts can limit data rights.

3.3 Do you rely on patents, trade secrets, or both? ☐ Yes ☐ No

If yes, explain: _____

3.4 Has a freedom to operate or clearance analysis been done? ☐ Yes ☐ No

3.5 Do you use open-source components, and are license obligations tracked? ☐ Yes ☐ No



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3.6 Are there infringement claims, demand letters, or patent assertions pending? ☐ Yes ☐ No

If yes, explain: _____

3.7 Do you participate in standards bodies with licensing commitments? ☐ Yes ☐ No

PART 4 — DATA, AI & PRODUCT COMPLIANCE

4.1 Do you develop, fine-tune, or deploy AI or machine learning models? ☐ Yes ☐ No

Model types & uses: _____

4.2 Do you have rights to the training data and the outputs? ☐ Yes ☐ No

Training data provenance, customer data use restrictions, output ownership, and required disclosures should be documented before a model ships.

4.3 Do your systems make or support decisions about individuals? ☐ Yes ☐ No

4.4 Do you collect personal, biometric, location, or health data? ☐ Yes ☐ No

4.5 Do you have a security program, incident response plan, and vendor reviews? ☐ Yes ☐ No

4.6 Do products require safety certification or spectrum authorization? ☐ Yes ☐ No

4.7 Does the product operate in a regulated sector requiring licensing? ☐ Yes ☐ No

PART 5 — TRADE, EXPORT & NATIONAL SECURITY

5.1 Controlled technology categories that may apply:

- | | |
|---|--|
| ☐ Advanced computing or semiconductor technology | ☐ Encryption or security technology |
| ☐ Quantum technology | ☐ Sensors, imaging or navigation |
| ☐ Robotics or autonomous systems | ☐ Biotechnology tools |
| ☐ None known | ☐ Not sure |

5.2 Do you export products, software, or technical data? ☐ Yes ☐ No

Countries & product categories: _____

5.3 Do foreign nationals work on or access controlled technology? ☐ Yes ☐ No

Releasing controlled technology to a foreign national inside the United States can require authorization, and access controls should be documented.

5.4 Are any investors, partners, or acquirers foreign persons? ☐ Yes ☐ No

Foreign investment in critical technology, critical infrastructure, or sensitive data businesses can trigger national security review, sometimes mandatory before closing.

5.5 Do you screen customers and end uses against restricted lists? ☐ Yes ☐ No

5.6 Do you hold government contracts, grants, or research funding? ☐ Yes ☐ No



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PART 6 — CONTRACTS, SUPPLY CHAIN & CUSTOMERS

Key Customer, Supplier or Partner	Relationship	Annual Value \$	Term	Signed Agreement?

6.1 Do you contract on your paper, or sign customer agreements? ☐ Yes ☐ No

If yes, explain: _____

6.2 Do agreements include uncapped liability, indemnities, or IP warranties? ☐ Yes ☐ No

6.3 Do you commit to service levels, uptime, or performance guarantees? ☐ Yes ☐ No

6.4 Do you make hardware, with supply and quality terms documented? ☐ Yes ☐ No

6.5 Are there single-source components or foundry dependencies? ☐ Yes ☐ No

6.6 Do customers require security reviews, audits, or certifications? ☐ Yes ☐ No

PART 7 — PEOPLE, EQUITY & FINANCE

7.1 Employees: _____ Contractors: _____ States / countries with workers: _____

7.2 Are workers properly classified, and are foreign contractors engaged? ☐ Yes ☐ No

If yes, explain: _____

7.3 Do you grant equity, and is a current valuation in place? ☐ Yes ☐ No

7.4 Is immigration sponsorship needed for technical staff? ☐ Yes ☐ No

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

7.5 Capital sought: \$ _____ Purpose: _____

7.6 Capital strategy:

☐ Research & development

☐ Product launch & go to market

☐ Manufacturing scale-up

☐ Working capital

☐ Venture or growth equity

☐ Public offering or listing

☐ Sale of the company or technology

☐ Not sure — need advice



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PART 8 — DISPUTES, DOCUMENTS & CERTIFICATION

8.1 Current disputes:

- | | |
|--|--|
| ☐ Customer or partner dispute | ☐ IP infringement or trade secret claim |
| ☐ Privacy or data claim | ☐ Supply chain dispute |
| ☐ Employment claim | ☐ Regulatory inquiry |
| ☐ Investor dispute | ☐ Collections |
| ☐ None | |

8.2 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 source code, designs, credentials, or controlled technical data.

- | | |
|---|--|
| ☐ Formation & governance documents | ☐ Ownership / cap table & equity plan |
| ☐ Financial statements & projections | ☐ Standard customer & vendor agreements |
| ☐ IP assignments & contractor agreements | ☐ Patent & trademark filings |
| ☐ Open-source inventory | ☐ Security program & audit reports |
| ☐ Export classification records | ☐ Investor & loan 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 export-controlled technical data. 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.