



Syndicate Subscription Legal Plans

AVIATION & AEROSPACE **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

DO NOT SEND EXPORT-CONTROLLED TECHNICAL DATA (ITAR or EAR) WITH THIS FORM — describe programs generally and we will set up a compliant channel first. If an accident or incident has occurred, safety authorities generally must be notified immediately and evidence preserved. Bid protests and contract claims also run on very short clocks.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for aviation and aerospace businesses — commercial, general, and military aviation design and manufacturing, unmanned aerial systems, space systems and equipment, MRO and parts, operators, lessors, and service providers. Complete the sections that apply. If a question does not apply, write "N/A." If unknown, write "Unknown."

NAME OF THE CLIENT:

☐ Legal Entity Name: _____

DBA / trade names: _____ Year founded: _____

Entity type:

☐ Corporation

☐ LLC

☐ Partnership

☐ Public company

☐ Subsidiary of a parent

☐ Foreign-owned or foreign parent

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

CAGE / DUNS (if any): _____ Contact person & title: _____

Syndicate Plan Member ID: _____

Address: _____

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

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees: _____

PART 1 — YOUR BUSINESS

1.1 Type of business:

☐ Commercial aviation design & manufacturing ☐ General aviation design & manufacturing

☐ Military aviation design & manufacturing ☐ Unmanned aerial systems (UAS / drones)

☐ Space systems & equipment ☐ Component or parts supplier

☐ MRO / repair station ☐ Airline / charter operator

☐ FBO or airport services ☐ Aircraft leasing or finance

☐ Launch or satellite services ☐ Engineering or software provider

1.2 Describe your products, programs, or services and current stage: _____

1.3 Facilities & locations: _____



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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 |

Certification, Registration & Operations:

- | | |
|--|---|
| ☐ Aircraft certification matters | ☐ Production & manufacturing approvals |
| ☐ Parts approvals (PMA / TSO) | ☐ Repair station certification |
| ☐ Air carrier or operator certification | ☐ UAS authorizations & waivers |
| ☐ Aircraft registration & title | ☐ International registry filings |

Contracts, Deliveries & Supply Chain:

- | | |
|--|--|
| ☐ Aircraft purchase & sale agreements | ☐ Delivery & acceptance documentation |
| ☐ Lease & leaseback agreements | ☐ Supply, build-to-print & long-term agreements |
| ☐ Teaming & subcontract agreements | ☐ MRO & service agreements |
| ☐ Warranty & support agreements | ☐ Supply chain disputes |
| ☐ Non-disclosure agreements | ☐ Independent contractor agreements |

Government & Defense Contracts:

- | | |
|--|---|
| ☐ Prime or subcontract review (FAR / DFARS) | ☐ Bid & proposal support |
| ☐ Bid protest adjustment | ☐ Contract claims & requests for equitable |
| ☐ Cost accounting & audit support | ☐ SBIR / STTR & grants |
| ☐ Small business & socioeconomic status | ☐ Cybersecurity requirements (CMMC / NIST) |
| ☐ Organizational conflicts of interest | ☐ Suspension & debarment matters |

Safety, Liability & Regulatory:

- | | |
|--|--|
| ☐ Accident or incident response | ☐ Agency enforcement or investigation |
| ☐ Product & production liability | ☐ Recalls & service bulletins |
| ☐ Air Carrier Access Act compliance | ☐ Environmental permits & compliance |
| ☐ Administrative action defense | ☐ Insurance & risk management |

IP, Export & Capital Markets:

- | | |
|---|--|
| ☐ Patents & freedom to operate | ☐ Trademarks & monitoring |
| ☐ Trade secrets & employee IP | ☐ Software & data rights in contracts |
| ☐ Export controls (ITAR / EAR) & licensing | ☐ Import, tariffs & trade remedies |



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☐ Capital markets consultation & private placements ☐ Exchange listing (OTC, Nasdaq, NYSE, international)

☐ Secured lending & asset finance ☐ Mergers & acquisitions

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (proposal, protest, certification, delivery, closing): _____

PART 3 — CERTIFICATIONS, APPROVALS & FLEET

Approval / Certificate	Held	In Process	Not Applicable
Type certificate or supplemental type certificate	☐	☐	☐
Production certificate / approval	☐	☐	☐
Parts approvals (PMA / TSO)	☐	☐	☐
Repair station certificate	☐	☐	☐
Air carrier or operating certificate	☐	☐	☐
UAS operating authority or waivers	☐	☐	☐
Quality system registration (AS9100 or similar)	☐	☐	☐
Export approvals for hardware or data	☐	☐	☐

3.1 Aircraft or assets owned / operated (type & registration): _____

3.2 Aircraft registered abroad or on the international registry? ☐ Yes ☐ No

3.3 Are deliveries, acceptances, or escrow closings scheduled? ☐ Yes ☐ No

Dates & counterparties: _____

PART 4 — GOVERNMENT & DEFENSE CONTRACTS

4.1 Do you hold prime contracts, subcontracts, or grants with government customers? ☐ Yes ☐ No

Contract / Program	Agency or Prime	Value \$	Period of Performance	Prime or Sub

4.2 Contract types:

☐ Firm fixed price ☐ Cost reimbursement

☐ Time & materials ☐ IDIQ / task orders

☐ Other transaction agreement

4.3 Are you registered in the federal contractor systems and current on representations? ☐ Yes ☐ No



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4.4 Is a bid protest, claim, or request for equitable adjustment contemplated? ☐ Yes ☐ No

Protest deadlines are measured in days from the solicitation deadline or notice of award or debriefing, and missing them generally forfeits the protest.

4.5 Do CMMC or NIST cybersecurity requirements apply? ☐ Yes ☐ No

4.6 Are there audits, investigations, or suspension and debarment concerns? ☐ Yes ☐ No

If yes, explain: _____

PART 5 — EXPORT CONTROLS & FOREIGN INVOLVEMENT

5.1 Export control status:

☐ ITAR-controlled articles or technical data ☐ EAR-controlled items

☐ Registered with the defense trade controls agency ☐ Export licenses or agreements in place

☐ Empowered official designated ☐ Not sure

5.2 Do foreign persons work for, own, or have access to controlled technology? ☐ Yes ☐ No

Releasing controlled technical data to a foreign person inside the United States can be treated as an export requiring authorization.

5.3 Are there foreign customers, suppliers, joint ventures, or distributors? ☐ Yes ☐ No

If yes, explain: _____

5.4 Is foreign ownership, control, or influence relevant? ☐ Yes ☐ No

5.5 Have there been voluntary disclosures, violations, or sanctions screening issues? ☐ Yes ☐ No

If yes, explain: _____

PART 6 — SAFETY, ACCIDENTS & PRODUCT LIABILITY

6.1 Has there been an accident, incident, or in-service event? ☐ Yes ☐ No

Date, location & aircraft / product: _____

6.2 Steps taken:

☐ Safety authority notified

☐ Investigation opened

☐ Party status requested

☐ Records preservation hold issued

☐ Insurer notified

☐ None of these yet

6.3 Have service bulletins, airworthiness directives, or recalls been issued or required? ☐ Yes ☐ No

If yes, explain: _____

6.4 Are product liability or warranty claims pending? ☐ Yes ☐ No

If yes, explain: _____



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6.5 Does the Air Carrier Access Act apply to your operations? ☐ Yes ☐ No

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

PART 7 — SUPPLY CHAIN, IP & TECHNOLOGY

Key Supplier or Customer	Role	Annual Value \$	Term	Flow-downs Reviewed?

7.1 Do contracts include government flow-down clauses, and have they been reviewed? ☐ Yes ☐ No

7.2 Do you have parts traceability and counterfeit parts prevention procedures? ☐ Yes ☐ No

7.3 Do you own or license patents, software, or proprietary designs? ☐ Yes ☐ No

7.4 Are data rights and technical data deliverables addressed in your contracts? ☐ Yes ☐ No

PART 8 — FINANCE & CAPITAL MARKETS

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

8.1 Capital sought: \$ _____ Purpose: _____

8.2 Capital strategy:

- | | |
|--|--|
| ☐ Growth or program capital | ☐ Working capital / asset-based lending |
| ☐ Aircraft or equipment finance | ☐ Venture or growth equity |
| ☐ Government funding or grants | ☐ Public offering or listing |
| ☐ Sale of the company or a division | ☐ Not sure — need advice |

8.3 Would new investors be foreign persons or foreign-controlled entities? ☐ Yes ☐ No

Foreign investment in defense, space, and air carrier businesses can trigger national security review and citizenship requirements.

8.4 Do you have audited financials and a financial model? ☐ Yes ☐ No

PART 9 — LABOR, INSURANCE, DISPUTES & DOCUMENTS

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

9.2 Is immigration sponsorship needed for engineers or technicians? ☐ Yes ☐ No

9.3 Is any part of the workforce unionized? ☐ Yes ☐ No



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9.4 Insurance in place:

- | | |
|---|--|
| ☐ Aviation / product liability | ☐ Hull & war risk |
| ☐ General liability | ☐ Property |
| ☐ Workers' compensation | ☐ Cyber |
| ☐ Directors & officers | |

9.5 Current disputes:

- | | |
|---|--|
| ☐ Contract or supply chain dispute | ☐ Government contract dispute |
| ☐ Product liability claim | ☐ IP infringement |
| ☐ Employment claim | ☐ Agency enforcement |
| ☐ Collections | ☐ None |

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

Please provide the following, if applicable. Check each item available. Do not include export-controlled technical data.

- | | |
|---|--|
| ☐ Formation & governance documents | ☐ Ownership / cap table |
| ☐ Financial statements & projections | ☐ Certificates & approvals |
| ☐ Key customer & supplier contracts | ☐ Government contracts & flow-downs |
| ☐ Export licenses & agreements | ☐ Insurance policies |
| ☐ Loan & investor documents | ☐ Agency correspondence |

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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Your information will be reviewed within one hour.