



# Syndicate Subscription Legal Plans

## **DEFENSE, AMMUNITION & FIREARMS** **CORPORATE CLIENT INTAKE QUESTIONNAIRE:**

**DO NOT SEND EXPORT-CONTROLLED TECHNICAL DATA (ITAR or EAR) WITH THIS FORM — describe products generally and we will arrange a compliant channel. Theft or loss of firearms from a licensee generally must be reported within 48 hours, licensing inspections can move quickly, and bid protests and contract claims run on short deadlines.**

*CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for defense, ammunition, and firearms businesses — manufacturers, importers, distributors, dealers and ranges, ammunition and propellant producers, smart weapons and defense technology companies, and government contractors. 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 investors

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:

☐ Firearms manufacturer

☐ Ammunition manufacturer

☐ Components & parts maker

☐ Smart weapons / defense technology

☐ Importer

☐ Distributor / wholesaler

☐ Retail dealer

☐ Gunsmith / repair

☐ Shooting range or training

☐ Defense contractor (systems or services)

☐ Body armor & protective equipment

☐ Explosives or propellants

☐ Optics, accessories & aftermarket

1.2 Describe your products, programs, and current stage: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



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1.3 Facilities & states of operation: \_\_\_\_\_

## PART 2 — SERVICES NEEDED

### **Entity, Governance & Filings:**

- |                                                            |                                                            |
|------------------------------------------------------------|------------------------------------------------------------|
| <input type="checkbox"/> Formation or incorporation        | <input type="checkbox"/> Entity conversion / restructuring |
| <input type="checkbox"/> Operating agreement / bylaws      | <input type="checkbox"/> Corporate resolutions             |
| <input type="checkbox"/> Annual reports & business filings | <input type="checkbox"/> Foreign qualification             |
| <input type="checkbox"/> International incorporation       | <input type="checkbox"/> Business licenses & permits       |

### **Firearms & Explosives Licensing:**

- |                                                                           |                                                                           |
|---------------------------------------------------------------------------|---------------------------------------------------------------------------|
| <input type="checkbox"/> Federal firearms license applications & renewals | <input type="checkbox"/> Special occupational tax registration            |
| <input type="checkbox"/> Explosives licensing & storage transfers         | <input type="checkbox"/> Responsible person changes & ownership           |
| <input type="checkbox"/> Records, marking & serialization compliance      | <input type="checkbox"/> Inspection preparation & response                |
| <input type="checkbox"/> License revocation or warning conference         | <input type="checkbox"/> State dealer, manufacturer & ammunition licenses |
| <input type="checkbox"/> Multi-state sales & shipping rules               | <input type="checkbox"/> Compliance manual & training program             |

### **Export, Import & Trade:**

- |                                                                      |                                                                 |
|----------------------------------------------------------------------|-----------------------------------------------------------------|
| <input type="checkbox"/> Export classification & jurisdiction review | <input type="checkbox"/> Export licenses & agreements           |
| <input type="checkbox"/> Registration with export authorities        | <input type="checkbox"/> Brokering activity compliance          |
| <input type="checkbox"/> Import permits & approvals                  | <input type="checkbox"/> Sanctions & end-user screening         |
| <input type="checkbox"/> Customs, tariffs & trade remedies           | <input type="checkbox"/> Voluntary disclosures & investigations |

### **Government Contracts:**

- |                                                                   |                                                                          |
|-------------------------------------------------------------------|--------------------------------------------------------------------------|
| <input type="checkbox"/> Prime & subcontract review (FAR / DFARS) | <input type="checkbox"/> Bid & proposal support                          |
| <input type="checkbox"/> Bid protests                             | <input type="checkbox"/> Claims & requests for equitable adjustment      |
| <input type="checkbox"/> Cost accounting & audit support          | <input type="checkbox"/> Cybersecurity requirements (CMMC / NIST)        |
| <input type="checkbox"/> Small business & socioeconomic status    | <input type="checkbox"/> Defense Base Act insurance & overseas personnel |
| <input type="checkbox"/> Teaming & subcontract flow-downs         | <input type="checkbox"/> Suspension & debarment matters                  |

### **Products, Liability & Advocacy:**

- |                                                             |                                                                    |
|-------------------------------------------------------------|--------------------------------------------------------------------|
| <input type="checkbox"/> Product liability & recalls        | <input type="checkbox"/> Warranty & consumer protection            |
| <input type="checkbox"/> Marketing & advertising review     | <input type="checkbox"/> Industry standards & testing              |
| <input type="checkbox"/> Second Amendment advocacy & policy | <input type="checkbox"/> State restriction & compliance monitoring |
| <input type="checkbox"/> Hazardous materials transport      | <input type="checkbox"/> Insurance & risk management               |

### **IP & Capital Markets:**

- |                                                         |                                                        |
|---------------------------------------------------------|--------------------------------------------------------|
| <input type="checkbox"/> Patents & freedom to operate   | <input type="checkbox"/> Trademarks & brand protection |
| <input type="checkbox"/> Trade secrets & technical data | <input type="checkbox"/> Licensing agreements          |



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☐ Capital markets consultation & private placements

☐ Exchange listing (OTC, Nasdaq, NYSE, international)

☐ Securities & blue sky compliance

☐ Secured lending & equipment finance

☐ Mergers & acquisitions

☐ Investor agreements & cap table

2.1 Describe your most urgent matter and objective: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2.2 Deadline (license, proposal, protest, inspection, closing): \_\_\_\_\_

## PART 3 — LICENSES & REGULATORY STATUS

| License / Registration | Issuing Authority | Number | Status | Expires |
|------------------------|-------------------|--------|--------|---------|
|                        |                   |        |        |         |
|                        |                   |        |        |         |
|                        |                   |        |        |         |
|                        |                   |        |        |         |

3.1 Are all responsible persons identified and current on your licenses? ☐ Yes ☐ No

3.2 Inspection, warning letter, or revocation in the last five years? ☐ Yes ☐ No

3.3 Are records, serialization, and required reports current? ☐ Yes ☐ No

3.4 Has there been a theft, loss, or missing inventory event? ☐ Yes ☐ No

Date reported & authorities notified: \_\_\_\_\_

3.5 Do you manufacture or deal in items subject to additional federal registration? ☐ Yes ☐ No

3.6 Do you pay federal excise tax on firearms or ammunition, and are filings current? ☐ Yes ☐ No

## PART 4 — EXPORT CONTROLS & INTERNATIONAL

4.1 Export control status:

☐ Items controlled under defense trade rules

☐ Items controlled under commerce export rules

☐ Registered with defense trade controls

☐ Export licenses or agreements in place

☐ Empowered official designated

☐ Not sure of classification

4.2 Do you export, broker, or ship products or data abroad? ☐ Yes ☐ No

Countries & product categories: \_\_\_\_\_

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

*Releasing controlled technical data to a foreign person inside the United States can require authorization, and firearms and ammunition exports have their own licensing pathways.*

4.4 Do you import firearms, ammunition, or components? ☐ Yes ☐ No



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4.5 Have there been export violations, disclosures, or seizures? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

## PART 5 — GOVERNMENT CONTRACTS

5.1 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 |
|--------------------|-----------------|----------|-----------------------|--------------|
|                    |                 |          |                       |              |
|                    |                 |          |                       |              |
|                    |                 |          |                       |              |

5.2 Contract types:

☐ Firm fixed price

☐ Cost reimbursement

☐ Time & materials

☐ IDIQ / task orders

☐ Other transaction agreement

☐ Foreign military sales

5.3 Are federal contractor registrations and representations current? ☐ Yes ☐ No

5.4 Do you deploy employees overseas requiring Defense Base Act coverage? ☐ Yes ☐ No

5.5 Do CMMC or NIST cybersecurity requirements apply, and is your assessment current? ☐ Yes

☐ No

5.6 Are audits, investigations, protests, or debarment concerns pending? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

## PART 6 — PRODUCTS, LIABILITY & STATE RESTRICTIONS

6.1 Are there product defect, misfire, or injury claims pending? ☐ Yes ☐ No

6.2 Has any product been recalled or subject to a safety notice or upgrade program? ☐ Yes ☐ No

If yes, explain: \_\_\_\_\_

6.3 Subject to state sales, feature, or marketing restrictions? ☐ Yes ☐ No

States & restrictions of concern: \_\_\_\_\_

*Several states impose industry standard-of-conduct, marketing, and public nuisance requirements on firearm businesses in addition to federal law.*

6.4 Do you sell online or ship directly to consumers? ☐ Yes ☐ No

6.5 Do you ship ammunition, primers, or propellants (hazardous materials rules)? ☐ Yes ☐ No

6.6 Could advertising be seen as targeting minors or prohibited buyers? ☐ Yes ☐ No

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## PART 7 — FINANCE, BANKING & CAPITAL MARKETS

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

7.1 Have you experienced banking, payment processing, or insurance access problems? ☐ Yes ☐ No

7.2 Capital sought: \$ \_\_\_\_\_ Purpose: \_\_\_\_\_

7.3 Capital strategy:

☐ Growth or plant expansion

☐ Working capital / inventory finance

☐ Equipment finance

☐ Growth equity

☐ Government funding or grants

☐ Public offering or listing

☐ Sale of the company

☐ Not sure — need advice

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

*Foreign investment in defense and munitions businesses can trigger national security review and affect facility clearances and export authorizations.*

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

## PART 8 — PEOPLE, DISPUTES, DOCUMENTS & CERTIFICATION

8.1 Employees: \_\_\_\_\_ Contractors: \_\_\_\_\_ States / countries with workers: \_\_\_\_\_

8.2 Do employees hold security clearances, or does the facility require one? ☐ Yes ☐ No

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

8.4 Current disputes:

☐ Product liability claim

☐ Government contract dispute

☐ Export or licensing enforcement

☐ Supply chain dispute

☐ IP infringement

☐ Employment claim

☐ Collections

☐ None

8.5 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

☐ Federal & state licenses and registrations

☐ Compliance manual & training records

☐ Government contracts & flow-downs

☐ Export licenses & classification records

☐ Insurance policies

☐ Agency correspondence & inspection reports

☐ Loan & investor 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, 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: \_\_\_\_\_

Please Print and Email to [STEVE@STEVEMUELLERLEGAL.COM](mailto:STEVE@STEVEMUELLERLEGAL.COM), or  
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