



Syndicate Subscription Legal Plans

AUTOMOTIVE INDUSTRY CORPORATE CLIENT INTAKE QUESTIONNAIRE:

SAFETY AND FRANCHISE DEADLINES MOVE FAST. A manufacturer that learns of a safety defect or noncompliance generally must report to the federal safety regulator within five business days and run a recall. Dealer franchise terminations, protests, and buy-sell approvals also run on short statutory clocks. If either applies, tell us before completing the rest of this form.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for automotive businesses — vehicle and component manufacturers, EV and autonomous vehicle companies, automotive technology and connected services, engineering and logistics firms, dealers and service centers. Complete the sections that apply. Estimates are fine. If a question does not apply, write "N/A."

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 entity |

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

Other states / countries: _____

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:

- | | |
|---|--|
| ☐ Light vehicle manufacturing | ☐ Trucks & buses |
| ☐ Construction & agricultural vehicles | ☐ Electric vehicles & plug-in hybrids |
| ☐ Autonomous vehicles | ☐ Automotive technology / software |
| ☐ Connected vehicle services | ☐ Automotive engineering |
| ☐ Automotive logistics | ☐ Component supplier (Tier 1 / 2 / 3) |
| ☐ Aftermarket parts & accessories | ☐ Auto dealer |
| ☐ Service center / repair | ☐ Fleet operator or leasing |

1.2 Describe your products or services and current stage: _____



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1.3 Manufacturing or service locations: _____

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 |

Contracts & Supply Chain:

- | | |
|---|---|
| ☐ Supply & purchase agreements | ☐ Tooling & capacity agreements |
| ☐ Purchase terms & conditions review | ☐ Distribution & dealer agreements |
| ☐ Engineering & development agreements | ☐ Logistics & transportation contracts |
| ☐ Warranty & service contracts | ☐ Independent contractor agreements |
| ☐ Non-disclosure agreements | ☐ Supply chain disputes |

Franchise, Dealer & Consumer:

- | | |
|---|---|
| ☐ Franchise agreements & renewals | ☐ Termination, protest & state dealer law |
| ☐ Dealership buy-sell transactions | ☐ Floor plan financing |
| ☐ Dealer licensing & DMV matters | ☐ Advertising & consumer protection compliance |
| ☐ Warranty claims & lemon law exposure | ☐ Consumer disputes & arbitration |

Product Safety, Regulatory & Environmental:

- | | |
|--|--|
| ☐ Vehicle safety standards compliance | ☐ Defect investigations & recalls |
| ☐ Early warning & safety reporting | ☐ Emissions & fuel economy compliance |
| ☐ EV market & charging regulation | ☐ Autonomous vehicle testing & deployment rules |
| ☐ Environmental permits & waste | ☐ Administrative action defense |

IP, Data & Trade:

- | | |
|--|--|
| ☐ Patents & freedom to operate | ☐ Trademark registration & monitoring |
| ☐ Software & open-source licensing | ☐ Trade secrets & employee IP |
| ☐ Connected vehicle data privacy | ☐ Cybersecurity & incident response |
| ☐ Import / export, tariffs & origin rules | ☐ IP infringement |

Capital Markets & Finance:

- | | |
|---|--|
| ☐ Capital markets consultation | ☐ Private placement (Reg D / Reg A) |
| ☐ Secured lending & asset-based facilities | ☐ Equipment & tooling finance |
| ☐ Exchange listing (OTC, Nasdaq, NYSE) | ☐ International exchange listing |



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- ☐ Securities & blue sky compliance
- ☐ Mergers & acquisitions
- ☐ Investor agreements & cap table
- ☐ Restructuring or bankruptcy

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (launch, filing, recall, hearing, closing): _____

PART 3 — PRODUCTS, SAFETY & RECALLS

3.1 Products or vehicle platforms: _____

Annual units / volume: _____ Markets sold (US, Canada, EU, other): _____

3.2 Are you subject to federal motor vehicle safety standards? ☐ Yes ☐ No

3.3 Is there a known or suspected safety defect or noncompliance? ☐ Yes ☐ No

Date discovered / components affected: _____

3.4 Has a recall, service campaign, or stop-sale been issued in the last three years? ☐ Yes ☐ No

If yes, explain: _____

3.5 Have you received an agency information request or defect inquiry? ☐ Yes ☐ No

3.6 Are there field reports, warranty spikes, or claims suggesting a pattern? ☐ Yes ☐ No

If yes, explain: _____

Warranty data, field reports, and consumer complaints are the records regulators review first. Preserve them once a potential defect is identified.

PART 4 — SUPPLY CHAIN & MANUFACTURING

Key Supplier or Customer	Role (supplier, OEM, distributor)	Annual Value \$	Contract Term	Signed Agreement?

4.1 Do your purchase orders and supplier terms conflict (competing forms)? ☐ Yes ☐ No

4.2 Is any single supplier or customer a majority of revenue? ☐ Yes ☐ No

4.3 Are there tooling ownership, capacity, or resourcing disputes? ☐ Yes ☐ No

If yes, explain: _____

4.4 Are components imported (tariffs, USMCA content rules)? ☐ Yes ☐ No



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4.5 Have you experienced supply interruptions, price increases, or force majeure claims? ☐ Yes ☐ No
If yes, explain: _____

PART 5 — DEALERS, FRANCHISE & CONSUMERS

5.1 Franchise position:

☐ We are a franchisor / manufacturer ☐ We are a franchised dealer
☐ Independent dealer ☐ Direct-to-consumer sales
☐ Not applicable

5.2 States where dealers or outlets operate: _____

5.3 Is a franchise termination, non-renewal, or protest pending? ☐ Yes ☐ No

5.4 Is a dealership purchase or sale (buy-sell) underway? ☐ Yes ☐ No

5.5 Are there floor plan or lender consent issues? ☐ Yes ☐ No

5.6 Are there consumer warranty, lemon law, or advertising claims pending? ☐ Yes ☐ No
If yes, explain: _____

PART 6 — TECHNOLOGY, DATA & AUTONOMY

6.1 Technology in your products:

☐ Connected vehicle telematics ☐ Driver monitoring or in-cabin sensing
☐ Over-the-air updates ☐ Autonomous or driver-assist systems
☐ Mobile apps & subscriptions ☐ Data sharing with third parties
☐ Not applicable

6.2 Do you collect, store, or share vehicle or driver personal data? ☐ Yes ☐ No

6.3 Do you have a privacy policy, data map, and incident response plan? ☐ Yes ☐ No

6.4 Do you hold testing or deployment permits for autonomous vehicles? ☐ Yes ☐ No

6.5 Are patents, trade secrets, or software licenses central to the business? ☐ Yes ☐ No

PART 7 — FINANCE & CAPITAL MARKETS

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

7.1 Capital sought: \$ _____ Purpose: _____



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7.2 Capital strategy:

- | | |
|--|--|
| ☐ Growth or expansion capital | ☐ Working capital / asset-based lending |
| ☐ Equipment & tooling finance | ☐ Venture or growth equity |
| ☐ Public offering or listing | ☐ Sale of the company or a division |
| ☐ Restructuring | ☐ Not sure — need advice |

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

7.4 Are you considering a merger, acquisition, or joint venture? ☐ Yes ☐ No

PART 8 — LABOR, INSURANCE & DISPUTES

8.1 Employees: _____ Contractors: _____ States with workers: _____

8.2 Is any part of the workforce unionized, or is organizing activity occurring? ☐ Yes ☐ No

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

8.4 Insurance in place:

- | | |
|--|---|
| ☐ General liability | ☐ Product liability & recall |
| ☐ Property & equipment | ☐ Auto / fleet |
| ☐ Workers' compensation | ☐ Cyber |
| ☐ Directors & officers | |

8.5 Current disputes:

- | | |
|--|---|
| ☐ Product liability claim | ☐ Supply chain or contract dispute |
| ☐ Dealer or franchise dispute | ☐ Consumer class action |
| ☐ IP infringement | ☐ Employment claim |
| ☐ Agency enforcement | ☐ Collections |
| ☐ None | |

PART 9 — DOCUMENTS & CERTIFICATION

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

Please provide the following, if applicable. Check each item available.

- | | |
|---|---|
| ☐ Formation & governance documents | ☐ Ownership / cap table |
| ☐ Financial statements & projections | ☐ Supply & customer agreements |
| ☐ Franchise or dealer agreements | ☐ Warranty terms & service policies |
| ☐ Safety, testing & compliance records | ☐ Agency correspondence & recall documents |
| ☐ Loan & investor documents | ☐ Insurance policies & claims |



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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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