



Syndicate Subscription Legal Plans

ALTERNATIVE ENERGY CORPORATE CLIENT INTAKE QUESTIONNAIRE:

DEADLINE-DRIVEN ITEMS: tax credit qualification often depends on when construction starts and when a project is placed in service; interconnection queue positions, permit appeals, and utility program windows all close on fixed dates. Tell us your schedule and credit strategy first.

CONFIDENTIAL. This questionnaire covers corporate legal work and capital markets advisory for alternative energy businesses — solar, wind, storage, hydrogen, geothermal, hydroelectric, bioenergy, ocean and tidal, EV infrastructure, and energy management and wholesale market participants. 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

☐ Sole proprietorship

☐ Public company

☐ Subsidiary of a parent

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

Other states of operation: _____

Contact person & title: _____

Syndicate Plan Member ID: _____

Address: _____

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

Phone: _____ Email: _____

Annual revenue: \$ _____ Employees: _____

PART 1 — YOUR BUSINESS

1.1 Sector:

☐ Solar

☐ Wind

☐ Energy storage

☐ Hydrogen

☐ Geothermal

☐ Hydroelectric

☐ Bioenergy

☐ Ocean / tidal

☐ Electric vehicles & charging

☐ Energy management (C&I)

☐ Wholesale market participant

☐ Climate & sustainability services

☐ Equipment manufacturer

☐ Technology / software

1.2 Role in the industry:

☐ Developer

☐ Independent power producer / owner

☐ EPC contractor

☐ Equipment supplier

☐ Operator (O&M)

☐ Investor / fund



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☐ Utility or offtaker

☐ Service provider

1.3 Describe the business and its current stage: _____

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

Project Contracts & Commercial:

☐ Power purchase or offtake agreement

☐ Interconnection agreement

☐ EPC / construction contract

☐ Equipment supply & warranty

☐ O&M agreement

☐ Site lease, easement or option

☐ Tolling or capacity agreement

☐ REC or environmental attribute sales

☐ Non-disclosure agreements

☐ Independent contractor agreements

Real Estate, Siting & Environment:

☐ Power plant siting

☐ Land use & zoning approvals

☐ Environmental review & permits

☐ Water rights & resource planning

☐ Greenhouse gas emission compliance

☐ Construction law matters

☐ Commercial real estate

☐ Deed services

Regulatory & Markets:

☐ Federal energy regulatory filings

☐ State utility commission matters

☐ Renewable portfolio standard compliance

☐ Wholesale market participation

☐ Utility tariffs & interconnection rules

☐ EV market & charging regulation

☐ Carbon markets & offsets

☐ Administrative action defense

IP, Technology & Trade:

☐ Patent matters

☐ Trademark registration & monitoring

☐ Copyright & licensing

☐ Freedom to operate analysis

☐ IP infringement

☐ Trade, tariffs & import compliance

☐ Product liability & recalls

☐ Data privacy & cybersecurity



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Capital Markets & Finance:

- | | |
|--|---|
| ☐ Capital markets consultation | ☐ Private placement (Reg D / Reg A) |
| ☐ Tax equity or credit transfer | ☐ Project finance * |
| ☐ Secured lending & credit facilities | ☐ Exchange listing (OTC, Nasdaq, NYSE) |
| ☐ International exchange listing | ☐ Securities & blue sky compliance |
| ☐ Mergers & acquisitions | ☐ Investor agreements & cap table |

* For a specific project financing, please also complete our Project Finance Intake Form.

2.1 Describe your most urgent matter and objective: _____

2.2 Deadline (filing, closing, construction start, program window): _____

PART 3 — PROJECTS

Project Name	Location (state / county)	Technology	Size (MW / MWh)	Stage	COD Target

3.1 Development status:

- | | |
|---|--|
| ☐ Site control secured | ☐ Interconnection application filed |
| ☐ Interconnection agreement executed | ☐ Permits obtained |
| ☐ Offtake signed | ☐ Notice to proceed issued |
| ☐ Under construction | ☐ Operating |

3.2 Interconnecting utility / ISO or RTO: _____ Queue position / date: _____

3.3 Offtaker & contract term: _____ Pricing structure: _____

3.4 Community opposition, permit appeals, or project litigation? ☐ Yes ☐ No

If yes, explain: _____

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PART 4 — TAX CREDITS & INCENTIVES

Item	Applies	Not Sure	N/A
Investment tax credit	☐	☐	☐
Production tax credit	☐	☐	☐
Credit transfer or sale	☐	☐	☐
Tax equity partnership	☐	☐	☐
Beginning-of-construction / safe harbor strategy	☐	☐	☐
Prevailing wage & apprenticeship requirements	☐	☐	☐
Domestic content adder	☐	☐	☐
Energy community adder	☐	☐	☐
State rebates, grants or incentives	☐	☐	☐
Utility program participation	☐	☐	☐

4.1 Construction start date (or planned): _____ Placed-in-service target: _____

4.2 Has equipment been purchased or safe-harbored to establish a credit date? ☐ Yes ☐ No

4.3 Is a tax credit buyer, tax equity investor, or advisor engaged? ☐ Yes ☐ No

Credit eligibility and adders depend on documentation created during construction — wage and apprenticeship records, domestic content certifications, and equipment invoices should be maintained from the start.

PART 5 — SUPPLY CHAIN, EQUIPMENT & IP

Key Supplier / Contractor	Equipment or Service	Contract Value \$	Term	Signed?

5.1 Are imported modules, cells, turbines, or batteries involved? ☐ Yes ☐ No

Imported energy equipment may raise tariff, antidumping and countervailing duty, and forced labor import restrictions. Supplier documentation and traceability matter.

5.2 Do supply contracts address warranties, guarantees, and LDs? ☐ Yes ☐ No

5.3 Does the business own or license patents, software, or proprietary technology? ☐ Yes ☐ No

5.4 Are there product defect, recall, or performance claims pending? ☐ Yes ☐ No

If yes, explain: _____

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PART 6 — REGULATORY & COMPLIANCE

Item	Complete	In Progress	Not Started
Federal power regulatory status (QF, exempt wholesale generator, market-based rates)	☐	☐	☐
State utility commission approvals	☐	☐	☐
Renewable portfolio standard or clean energy credits	☐	☐	☐
Greenhouse gas reporting or cap-and-trade	☐	☐	☐
Environmental permits (air, water, waste)	☐	☐	☐
Endangered species or cultural resource review	☐	☐	☐
Local use permits & CEQA / NEPA review	☐	☐	☐
Utility interconnection compliance	☐	☐	☐
EV charging network or rate rules	☐	☐	☐

6.1 Are there pending agency actions, notices of violation, or enforcement matters? ☐ Yes ☐ No

If yes, explain: _____

6.2 Does the business sell power, capacity, or attributes into wholesale markets? ☐ Yes ☐ No

PART 7 — FINANCE & CAPITAL MARKETS

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

7.1 Capital sought: \$ _____ Purpose: _____

7.2 Capital strategy:

- | | |
|--|---|
| ☐ Development capital | ☐ Construction financing |
| ☐ Term debt / permanent financing | ☐ Tax equity |
| ☐ Sponsor or growth equity | ☐ Public offering or listing |
| ☐ Sale of projects or the company | ☐ 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 portfolio sale? ☐ Yes ☐ No

PART 8 — LABOR, INSURANCE & DISPUTES

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

8.2 Are prevailing wage, apprenticeship, or project labor agreements involved? ☐ Yes ☐ No

8.3 Is immigration sponsorship needed for any personnel? ☐ Yes ☐ No



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8.4 Insurance & bonding in place:

- | | |
|--|---|
| ☐ General liability | ☐ Property / builders risk |
| ☐ Performance & payment bonds | ☐ Environmental |
| ☐ Cyber | ☐ Directors & officers |

8.5 Current disputes:

- | | |
|---|---|
| ☐ Contract or supply chain dispute | ☐ Construction claim |
| ☐ Interconnection or utility dispute | ☐ Landowner dispute |
| ☐ Warranty or performance claim | ☐ 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 & model | ☐ Project list & summaries |
| ☐ Offtake & interconnection agreements | ☐ EPC, supply & O&M contracts |
| ☐ Site control & title documents | ☐ Permits & regulatory filings |
| ☐ Loan, tax equity or investor documents | ☐ Insurance certificates & bonds |

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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