

OPTIONS QUESTIONNAIRE

☐ NEW ACCOUNT

☐ DATA UPDATE

ACCOUNT
NAME:

NOTE: Address on file with constituent documentation

DATE COMPLETED

ACCOUNT NUMBER

DATE ODD GIVEN/SENT
TO CLIENT

ATTENTION CLIENT: PLEASE REVIEW AND/OR COMPLETE THE INFORMATION REQUESTED BELOW PRIOR TO SIGNING AT THE BOTTOM OF THIS PAGE.

CUSTODIAN:

FINANCIAL INFORMATION:		NAME(S) OF INVESTMENT MANAGER, GENERAL PARTNER OR OTHER THIRD PARTY AUTHORIZED TO ENTER ORDERS FOR THIS ACCOUNT:	
ASSETS UNDER MANAGEMENT	OPTIONS INVESTMENT EXPERIENCE	NAME	RELATIONSHIP
☐ <\$50 MM	☐ 0-2 YRS	TYPE OF TRADING AUTHORIZATION:	
☐ \$50 MM - \$100 MM	☐ 2-10 YRS	☐ Limited	
☐ \$100 MM OR GREATER	☐ 10 YRS OR MORE	☐ Full	
OPTIONS TRADING FREQUENCY	AVERAGE SIZE OF OPTIONS TRANSACTIONS	NAME	RELATIONSHIP
☐ SELDOM	☐ <250 CONTRACTS	TYPE OF TRADING AUTHORIZATION:	
☐ MODERATE	☐ 250-1000 CONTRACTS	☐ Limited	
☐ ACTIVE	☐ 1000+ CONTRACTS	☐ Full	
DOES THE INDIVIDUAL OR ENTITY THAT CONTROLS THIS ACCOUNT HAVE THE POWER TO CONTROL ANY OTHER OPTION ACCOUNT WITH THE DB ENTITIES?		IF YES, PLEASE PROVIDE THE ACCOUNT(S):	
☐ YES ☐ NO			
INVESTMENT OBJECTIVES PLEASE CHECK ALL APPLICABLE BOXES			
☐ INVESTMENT HEDGE		☐ INCOME	
		☐ SPECULATION	
		☐ HIGH RISK INCOME	
TYPES OF OPTIONS REQUESTED			
☐ EQUITY		☐ INDEX	

REQUESTED OPTIONS TRADING STRATEGY (higher risk codes include strategies in lower risk codes)

CODES	STRATEGY	OBJECTIVES	EXPERIENCE USING STRATEGY		
☐ A	PROTECTIVE PUT BUYING COVERED CALL WRITING	INVESTMENT HEDGE INCOME/INVESTMENT HEDGE	☐ NONE	☐ MODERATE	☐ EXTENSIVE
☐ B	SPREADS PUT/CALL BUYING STRADDLE/COMBO BUYING	SPECULATION SPECULATION SPECULATION	☐ NONE	☐ MODERATE	☐ EXTENSIVE
☐ C*	STRADDLE/COMBO WRITING RATIO WRITING UNCOVERED OPTIONS WRITING	SPECULATION/HIGH RISK INCOME SPECULATION/HIGH RISK INCOME SPECULATION/HIGH RISK INCOME	☐ NONE	☐ MODERATE	☐ EXTENSIVE

CUSTOMER RISK ACKNOWLEDGMENT

We, the undersigned, understand that options transactions involve a high degree of risk and offer no guarantee of gain or assurance against loss. Accordingly, we understand that prior to engaging in any option transaction, investors should review their present financial situation and determine whether it is advisable to incur the risks of loss associated with that particular investment. We also understand that investors should not buy an option unless they are able to sustain a total loss of the premium and transaction costs, that investors should not sell (write) a covered call option unless they are prepared to deliver the underlying security (or a security convertible, exchangeable, or exercisable into such underlying security) upon the exercise of the option and that investors should not sell (write) a put option or an uncovered call option, especially an index option, unless they are able to sustain a potentially unlimited loss. Further, we understand that we may not be able to close a position in the event that a secondary market in the option ceases to exist or the listing exchange restricts or suspends trading in the option.

WE CERTIFY THAT THE FOREGOING CLIENT INFORMATION IS ACCURATE AND WE ARE AWARE THAT THE INFORMATION IS RELIED ON BY DBSI IN SERVICING THE ACCOUNT. WE ALSO ACKNOWLEDGE RECEIPT OF A CURRENT COPY OF "CHARACTERISTICS AND RISKS OF STANDARDIZED OPTIONS" AND UNDERSTAND THE INFORMATION CONTAINED THEREIN. FURTHER, WE HAVE READ, UNDERSTAND AND AGREE TO BE BOUND BY THE TERMS AND PROVISIONS OF THE LISTED OPTIONS CLEARING AND CUSTODY ACCOUNT AGREEMENT.

SIGNATURE(S):

TITLE/CAPACITY:

DATE:

APPROVALS (FOR INTERNAL USE ONLY)

I have reviewed all the foregoing information, it is accurate to the best of my knowledge, and I believe that the types of options and options trading strategies requested are appropriate.

ACCOUNT EXECUTIVE (NAME):

SIGNATURE:

DATE:

TYPES OF TRANSACTIONS FOR WHICH THE ACCOUNT IS APPROVED

I have reviewed the foregoing and have approved the account for the types of options and options trading strategies:

☐ (1) AS REQUESTED ABOVE <i>or</i>	☐ (2) AS FOLLOWS:														
<table border="1"> <tr> <th colspan="4">TYPE OF OPTIONS</th> <th colspan="3">TYPE OF OPTIONS TRADING STRATEGIES</th> </tr> <tr> <td>☐ EQUITY</td> <td>☐ FOREIGN CURRENCY</td> <td>☐ INDEX</td> <td>☐ DEBT</td> <td>☐ A</td> <td>☐ B</td> <td>☐ C*</td> </tr> </table>		TYPE OF OPTIONS				TYPE OF OPTIONS TRADING STRATEGIES			☐ EQUITY	☐ FOREIGN CURRENCY	☐ INDEX	☐ DEBT	☐ A	☐ B	☐ C*
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☐ EQUITY	☐ FOREIGN CURRENCY	☐ INDEX	☐ DEBT	☐ A	☐ B	☐ C*									

*If approved for Strategy C, Annual Income \$ _____ or ☐ Income requirement waived based on the Financial Information provided herein

REGISTERED OPTIONS PRINCIPAL (NAME):

SIGNATURE:

DATE: