

# 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:

<b>FINANCIAL INFORMATION:</b>	<b>NAME(S) OF INVESTMENT MANAGER, GENERAL PARTNER OR OTHER THIRD PARTY AUTHORIZED TO ENTER ORDERS FOR THIS ACCOUNT:</b>
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<b>ASSETS UNDER MANAGEMENT</b>	<b>OPTIONS INVESTMENT EXPERIENCE</b>	NAME _____ RELATIONSHIP _____	TYPE OF TRADING AUTHORIZATION:
<input type="checkbox"/> <\$50 MM	<input type="checkbox"/> 0-2 YRS	<input type="checkbox"/> Limited	<input type="checkbox"/> Full
<input type="checkbox"/> \$50 MM - \$100 MM	<input type="checkbox"/> 2-10 YRS	<input type="checkbox"/> Full	
<input type="checkbox"/> \$100 MM OR GREATER	<input type="checkbox"/> 10 YRS OR MORE		

<b>OPTIONS TRADING FREQUENCY</b>	<b>AVERAGE SIZE OF OPTIONS TRANSACTIONS</b>	NAME _____ RELATIONSHIP _____	TYPE OF TRADING AUTHORIZATION:
<input type="checkbox"/> SELDOM	<input type="checkbox"/> <250 CONTRACTS	<input type="checkbox"/> Limited	<input type="checkbox"/> Full
<input type="checkbox"/> MODERATE	<input type="checkbox"/> 250-1000 CONTRACTS	<input type="checkbox"/> Full	
<input type="checkbox"/> ACTIVE	<input type="checkbox"/> 1000+ CONTRACTS		

DOES THE INDIVIDUAL OR ENTITY THAT CONTROLS THIS ACCOUNT HAVE THE POWER TO CONTROL ANY OTHER OPTION ACCOUNT WITH THE DB ENTITIES?  YES  NO

IF YES, PLEASE PROVIDE THE ACCOUNT(S): \_\_\_\_\_

**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		
<input type="checkbox"/> A	PROTECTIVE PUT BUYING COVERED CALL WRITING	INVESTMENT HEDGE INCOME/INVESTMENT HEDGE	<input type="checkbox"/> NONE	<input type="checkbox"/> MODERATE	<input type="checkbox"/> EXTENSIVE
<input type="checkbox"/> B	SPREADS PUT/CALL BUYING STRADDLE/COMBO BUYING	SPECULATION SPECULATION SPECULATION	<input type="checkbox"/> NONE	<input type="checkbox"/> MODERATE	<input type="checkbox"/> EXTENSIVE
<input type="checkbox"/> C*	STRADDLE/COMBO WRITING RATIO WRITING UNCOVERED OPTIONS WRITING	SPECULATION/HIGH RISK INCOME SPECULATION/HIGH RISK INCOME SPECULATION/HIGH RISK INCOME	<input type="checkbox"/> NONE	<input type="checkbox"/> MODERATE	<input type="checkbox"/> 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:

<input type="checkbox"/> (1) AS REQUESTED ABOVE <i>or</i>	<input type="checkbox"/> (2) AS FOLLOWS:				
	<table style="width: 100%; border: none;"> <tr> <td style="text-align: center; border: none;"><b>TYPE OF OPTIONS</b></td> <td style="text-align: center; border: none;"><b>TYPE OF OPTIONS TRADING STRATEGIES</b></td> </tr> <tr> <td style="border: none;"> <input type="checkbox"/> EQUITY    <input type="checkbox"/> FOREIGN CURRENCY    <input type="checkbox"/> INDEX    <input type="checkbox"/> DEBT                 </td> <td style="border: none;"> <input type="checkbox"/> A    <input type="checkbox"/> B    <input type="checkbox"/> C*                 </td> </tr> </table>	<b>TYPE OF OPTIONS</b>	<b>TYPE OF OPTIONS TRADING STRATEGIES</b>	<input type="checkbox"/> EQUITY <input type="checkbox"/> FOREIGN CURRENCY <input type="checkbox"/> INDEX <input type="checkbox"/> DEBT	<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C*
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\*If approved for Strategy C, Annual Income \$ \_\_\_\_\_ or  Income requirement waived based on the Financial Information provided herein

REGISTERED OPTIONS PRINCIPAL (NAME): \_\_\_\_\_ SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_