

## Investment Experience of Account Owner(s)

|                                                       | Year First Traded | Average # Trades Per Year | Average Size of Trades In \$ | Types of Previous Option Experience                                                                                                                                                                                                                                          |
|-------------------------------------------------------|-------------------|---------------------------|------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Options                                               |                   |                           |                              | <input type="checkbox"/> Covered Call Writing<br><input type="checkbox"/> Purchased Options<br><input type="checkbox"/> Option Spreads<br><input type="checkbox"/> Uncovered Put Writing<br><input type="checkbox"/> Uncovered Call Writing<br><input type="checkbox"/> None |
| Equities                                              |                   |                           |                              |                                                                                                                                                                                                                                                                              |
| Fixed Income                                          |                   |                           |                              |                                                                                                                                                                                                                                                                              |
| Commodities and Futures                               |                   |                           |                              |                                                                                                                                                                                                                                                                              |
| Structured Products                                   |                   |                           |                              |                                                                                                                                                                                                                                                                              |
| OTC Derivatives                                       |                   |                           |                              |                                                                                                                                                                                                                                                                              |
| Foreign Currency                                      |                   |                           |                              |                                                                                                                                                                                                                                                                              |
| Alternative Investments (Hedge Funds, Private Equity) |                   |                           |                              |                                                                                                                                                                                                                                                                              |

## Investment Objectives for the Client Account

(Select up to two adjacent objectives):

☐ Capital Preservation  
 ☐ Income  
 ☐ Growth  
 ☐ Aggressive Growth

## Representations Relating to Qualification of the Client

Check all that apply. At least one category must be checked.

I represent that Client qualifies as an "Accredited Investor" as defined in Regulation D under the Securities Act of 1933 because Client is:

- ☐ a natural person with individual income exceeding \$200,000 in each of the two most recent years or joint income with a spouse exceeding \$300,000 in each of those years and a reasonable expectation of the same income level in the current year;
- ☐ a natural person with individual net worth, or joint net worth with a spouse, over \$1,000,000, excluding primary residence;
- ☐ a trust with assets in excess of \$5,000,000, not formed for the specific purpose of acquiring the securities offered, whose purchases are directed by a sophisticated person;
- ☐ a revocable trust that may be amended or revoked at any time by the grantors and where all of the grantors are accredited investors;
- ☐ a charitable organization, corporation or partnership with assets exceeding \$5,000,000;
- ☐ a business in which all the equity owners are accredited investors;
- ☐ a bank, savings and loan association, registered broker or dealer, insurance company, registered investment company, business development company or licensed small business investment company;
- ☐ an employee benefit plan, within the meaning of ERISA, if a plan fiduciary that is a bank, insurance company or registered investment adviser makes the investment decisions, or if the plan has over \$5,000,000 in total assets or a self-directed plan with investment decisions made solely by accredited investors;
- ☐ a plan established and maintained by a state, its political subdivisions or any agency or instrumentality thereof, for the benefit of its employees with total assets in excess of \$5,000,000; or
- ☐ a director, executive officer or general partner of the issuer of the securities being offered.