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OPTIONS QUESTIONNAIRE

- DATA UPDATE
- NEW ACCOUNT

DATE COMPLETED

-flvJflKy \ LI C

ACCOUNT NUMBER

ACCOUNT

NAME:

DATE ODD GIVEN/SENT

TO CLIENT

NOTE: Address on file with constituent documentation

ATTENTION CLIENT: PLEASE REVIEW AND/OR COMPLETE THE INFORMATION REQUESTED

BELOW PRIOR TO SIGNING AT THE BOTTOM OF

CUSTODIAN;

THIS PAGE.

NAME(S) OF INVESTMENT MANAGER, GENERAL PARTNER OR OTHER

THIRD PARTY AUTHORIZED TO ENTER ORDERS FOR THIS ACCOUNT:

FINANCIAL INFORMATION:

ASSETS UNDER

MANAGEMENT

OPTIONS INVESTMENT

EXPERIENCE \_\_\_\_\_

NAME

TYPE OF TRADING AUTHORIZATION:

Limited

Full

RELATIONSHIP

<\$50 MM

\$50 MM-\$100 MM

fi, S100MMORGREATER

0-2 YRS

2-10 YRS

d 10 YRS OR MORE

OPTIONS TRADING-

FREQUENCY

AVERAGE SIZE OF OPTIONS

TRANSACTIONS \_\_\_\_\_

NAMEpft^L

RELATIONSHIP

TYPE OF TRADING AUTHORIZATION:

Limited

'a Full

SELDOM

MODERATE

ACTIVE

<250 CONTRACTS

250-1000 CONTRACTS

1000+CONTRACTS

DOES THE INDIVIDUAL OR ENTITY THAT CONTROLS g] YES  
THIS ACCOUNT HAVE THE POWER TO CONTROL ANY p-,  
OTHER OPTION ACCOUNT WITH THE DB ENTITIES?

IF YES. PLEASE PROVIDE THE ACCOUNT(S):

\\4k2Q -T'tL»jer SojfflClZ.i^-TIZ\^

NO

INVESTMENT HEDGE

91

INCOME

SPECULATION

HIGH RISK INCOME

INVESTMENT OBJECTIVES

PLEASE CHECK ALL APPUCABLE BOXES

®S

TYPES OF OPTIONS REQUESTED

EQUITY

INDEX

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

EXPERIENCE USING STRATEGY

CODES STRATEGY

OBJECTIVES

PROTECTIVE PUT BUYING

COVERED CALL WRITING

INVESTMENT HEDGE

INCOME/INVESTMENT HEDGE

NONE

MODERATE

EXTENSIVE

A

SPECULATION

SPECULATION

SPECULATION

SPREADS

PUT/CALL BUYING

STRADDLE/COMBO BUYING

C

NONE

MODERATE

EXTENSIVE

B

STRADDLE/COMBO WRITING

RATIO WRITING

UNCOVERED OPTIONS WRITING

SPECULATION/HIGH RISK INCOME

SPECULATION/HIGH RISK INCOME  
SPECULATION/HIGH RISK INCOME

& EXTENSIVE

C'

NONE

MODERATE

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 '

ACCOUNT AGREEMENT.

TO BE BOUND BY THE TERMS AND PROVISIONS OF THE LISTED OPTIONS CLEARING AND CUSTODY

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 or

(2) AS FOLLOWS:

TYPE OF OPTIONS

TYPE OF OPTIONS TRADING

STRATEGIES

C\*

EQUITY

FOREIGN  INDEX

CURRENCY \_\_\_\_\_

DEBT

A

B

'if approved for Strategy C, Annual Income \$,

REGISTERED PRINCIPAL (NAME): \_\_\_\_\_

Income requirement waived based on the Financial Information provided herein

DATES:

or

STANDARD OPTIONS AGREEMENT

STANDARD OPTIONS AGREEMENT

European-style option is an option that may be exercised only on a specified exercise date (or expiration date) or during a specified time period before the option

expires, and (iii) a capped option is an option that is automatically exercised

prior to expiration if the marketplace on which the option trades determines that the value of the underlying interest at a specified time has reached the 'cap price' for the option.

As a client ('we' or 'you') of Deutsche Bank Securities Inc. ('you' or 'your'), we

hereby agree pursuant to this agreement (\* Agreement\*) that in connection with any

transaction executed, handled or endorsed by you on our behalf for the purchase

or sale of puts, calls, or other forms of options for our account(s):

1. We will be bound by the constitutions, rules, regulations, customs and by-laws of

The Options Clearing Corporation ('OCC'), the Financial Industry Regulatory Authority, exchange markets and their respective clearing houses and we have received, read and understand the brochure entitled 'Characteristics and Risks of

Standardized Options' (the 'Risk Document') including, without limitation, the purposes and risks associated with options, the secondary market in options and

such rules regarding exercise and positions limits, and agree not to violate such

limits either alone or acting in concert with others.

7. We hereby authorize you in your sole discretion and without prior notification to

us, should you deem it necessary for your protection, to take such action, including, without limitation, to buy, sell or sell short risk, puts, calls, or other forms of options and/or to buy, sell, or sell short any part (x all of the

underlying securities represented by options. We will reimburse any and all expenses, including, but not limited to reasonable attorneys' fees and disbursements,

incurred by you in connection with such transactions.

2. We agree to pay to you: brokerage and commission charges as agreed upon between us and you, including without limitation, ticket and execution charges;

premiums on any option purchased by you on our behalf: any fees, fines, or other

charges imposed by any exchange, clearing organization, governmental agency, self-

regulatory organization, or any court of competent jurisdiction on any account opened

or transaction executed for us; the amount of any trading loss that may result

from transactions executed by you on our behalf; on your demand, any debt balance owing with respect to our account(s), and interest on any such debit balances

at the rates then charged by you, together with your costs and reasonable attorneys' fees incurred in collecting any such debit balance; and any applicable

taxes on any of the foregoing.

B. You are under no obligation to convey to us any information relating to the

underlying securities covered by an option or any information relating to options.

Any information, advice or notification in respect to any option or any underlying

securities that you may give us shall not be construed as creating an implied agreement or course of dealing between us and shall not impair the provisions of

this or any other agreement between us.

9. Absent the written designation of an agent to transact business on our behalf

(power of attorney), we alone make trading decisions relative to our account(s);

however, unless we give specific instructions to the contrary, you may exercise

discretion in the selection of the exchange or market for the execution of options

traded on more than one exchange or market.

3. We represent and warrant that (i) options trading is suitable for us in

light of our investment objectives, financial situation, needs, experience and knowledge (whether directly or through our representatives and advisors): (ii) we understand and acknowledge that options trading involves a high degree of risk (including without limitation the risks described in the Risk Document); (iii) we understand that you are relying upon these representations and warranties and the financial and other information that we have provided or will provide to you; (iv) we are aware that on certain trading days, trading may cease with a resultant financial disadvantage to itself; and (v) we are willing and able to carry and bear all the financial risks attendant to options trading.

10. All monies, securities, or other property, together with, in each case, all proceeds of the sale thereof ("property") represented by an entry on our account(s), or under your direction or any affiliate acting as your agent in connection with this Agreement, are hereby pledged to you and shall be subject to a continuing first lien and first priority perfected security interest in your favor to secure all of our obligations, indebtedness and liabilities to you (whether actual or contingent). Except as otherwise agreed by you, no part of the property shall be subject to, nor shall we create or purport to create thereover, any pledge, hypothecation, assignment or any other form of security interest.

4. We agree to advise you promptly in writing of any material changes in our investment objectives, financial situation, assumption of risk, and background information, or other information insofar as such changes relate to our suitability for options transactions.

11. We consent to your use of automated systems or service bureaus in conjunction with our account(s), including automated order entry and execution; recordkeeping, reporting and risk management (collectively, 'Automated Systems').

We understand that the use of Automated Systems entails risks, including, but not limited to, interruption of service, system or communications failure, delays in service, and errors in the design or functioning of such Automated Systems (collectively, a 'System Failure') that could cause substantial damage, expense or liability to us. YOU AND YOUR AFFILIATES MAKE NO REPRESENTATION OR

WARRANTY OF ANY KIND. EXPRESS OR IMPLIED, WITH RESPECT TO THE SELECTION, DESIGN, FUNCTIONALITY, OPERATION, TITLE OR NON-INFRINGEMENT OF ANY AUTOMATED SYSTEM. AND MAKE NO EXPRESS OR IMPLIED WARRANTY OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE. TITLE AND/OR NON - INFRINGEMENT, AND SPECIFICALLY DISCLAIM ANY IMPLIED WARRANTY WITH RESPECT THERETO. WITHOUT LIMITING THE FOREGOING. YOU AND YOUR AFFILIATES EXPRESSLY DISCLAIM ANY REPRESENTATION THAT ANY AUTOMATED SYSTEM WILL OPERATE UNINTERRUPTED OR BE ERROR-FREE.

5. In the event that we or our clearing broker dispute or deny knowledge of a transaction, or if our clearing broker does not for any reason, accept a transaction executed by you and transmitted to the clearing broker (through the OCC

or otherwise), then you shall, at your option, be entitled to: (a) close out the

transaction by such sale, purchase, disposal or other cancellation transaction as

you may determine, whether on the market, by private contract or any other appropriate method; (b) transfer our transactions to another clearing broker as

instructed by us; or (c) clear our transaction in accordance with your standard

terms. We will be solely responsible for any fees or losses associated with such

actions. Where practicable, you shall provide us with prior notice of such actions. We

further understand that margin and other requirements exist in connection with

certain options and options transactions. We also hereby authorize and instruct you, on our behalf, to submit to the OCC, from time to time, as you deem

appropriate or advisable. In your sole discretion. Instructions pursuant to OCC Rule

611 to designate segregated long option positions held in your OCC customer account for us to be released from segregation and netted with our offsetting short option position in the same option series.

12. Notwithstanding anything herein to the contrary, you shall have no responsibility

or liability to us hereunder (i) in connection with the performance or non-performance by any exchange, market, clearing organization, clearing firm or other

third party (including banks) of its obligations in respect of any options or other

property of mine; (ii) as a result of any recommendation or advice made or given by a

representative of yours, whether or not made or given at our request;

6. We understand the style of an option refers generally to when that option is

exercisable, and that specifically, (i) an American-style option is an option that may

be exercised on any regular business day prior to its expiration, (ii) a  
AUG15

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15. ANY DISPUTE ARISING OUT OF, RESULTING TO OR IN CONNECTION WITH OUR ACCOUNT, ANY TRANSACTION BETWEEN US OR THIS AGREEMENT SHALL BE DETERMINED BY ARBITRATION. WE AND YOU AGREE TO ABIDE BY THE FOLLOWING: (i) ARBITRATION IS FINAL AND BINDING; (ii) THE PARTIES ARE WAIVING THEIR RIGHT TO SEEK REMEDIES IN COURT, INCLUDING THE RIGHT TO A JURY TRIAL; (iii) PRE-ARBITRATION DISCOVERY IS GENERALLY MORE LIMITED THAN AND DIFFERENT FROM COURT PROCEEDINGS; (iv) THE ARBITRATORS' AWARD IS NOT REQUIRED TO INCLUDE FACTUAL FINDINGS OR LEGAL REASONING AND ANY PARTY'S RIGHT TO APPEAL OR TO SEEK MODIFICATION OF RULINGS BY THE ARBITRATORS IS STRICTLY LIMITED; AND (v) THE PANEL OF ARBITRATORS WILL TYPICALLY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR ARE AFFILIATED WITH THE SECURITIES INDUSTRY.

(vi) as a result of your reliance upon any instructions, notices and communications that you believe to be of an individual authorized to act on our behalf; (vii) as a result of any delay in the performance or non-performance of any of your obligations hereunder directly or indirectly caused by the occurrence of any contingency beyond your control. Including, but not limited to, the unscheduled closure of an exchange, delays in the transmission or communication of orders due to Systems Failures or failures of transmissions or communication facilities, execution and/or trading systems, including Automated Systems or other systems, government restrictions, market movements, suspensions of trading, wars or strikes, it being understood that you shall be excused from performance of its obligations hereunder for such period of time as is reasonably necessary after such occurrence to remedy the effects therefrom; (viii) as a result of any action taken by you or on your behalf, or your failure to act, if such action or inaction is necessary to comply with any rule or with applicable law; (ix) as a result of your selection, use, monitoring or operation of any Automated System, your failure to inform us of any System Failure or in taking action to prevent or correct any such System Failure, or your failure to inform us of (a) any decision to use, not use or cease using any Automated System, (b) the characteristics, functions, design or purpose of any Automated System, or (c) any specific risks inherent in any Automated System; or (x) for any acts or omissions of those neither employed nor supervised by you. You shall not be responsible for any loss, liability, damage, cost or expense except to the extent that such loss, liability, damage, cost or expense arises from your gross negligence or willful misconduct.

ANY ARBITRATION SHALL BE CONDUCTED IN NEW YORK AND ONLY

BEFORE A SELF-REGULATORY ORGANIZATION (SRO) OF WHICH YOU ARE A MEMBER. WE HAVE THE RIGHT TO ELECT THE SRO. BUT IF WE FAIL TO MAKE SUCH ELECTION BY CERTIFIED LEHER ADDRESSED TO YOU AT YOUR MAIN OFFICE BEFORE THE EXPIRATION OF TEN DAYS AFTER RECEIPT OF A WRIHEN REQUEST FROM YOU TO MAKE SUCH ELECTION THEN YOU MAY MAKE SUCH ELECTION. NOTHING IN THIS AGREEMENT SHALL BE CONSTRUED AS CONSENT BY YOU TO AN AWARD OF PUNITIVE DAMAGES. THE AWARD OF THE ARBITRATORS. OR THE MAJORITY OF THEM. SHALL BE FINAL, AND JUDGMENT UPON THE AWARD RENDERED MAY BE ENTERED IN ANY COURT. STATE OR FEDERAL, HAVING JURISDICTION.

13. Whenever any law or regulation is adopted which affects or is inconsistent with any provision hereof, such provision shall be deemed modified or superseded, as the case may be, by such law or regulation, and such provisions as so modified or superseded and all other provisions hereof shall in all respects continue in full force and effect All other agreements existing between us or hereafter made which, by their provisions, apply to any of our transactions and account(s) with you, shall be applicable to any of our options transactbns and account(s) where they are not in conflict with this Agreement. Should su(^ a conflict exist it shall be resolved in favor o f this Agreement. Otherwise, the provisions of each agreement shall be applicable.

NO PERSON SHALL BRING A PUTATIVE OR CERTIFIED CLASS ACTION TO ARBITRATION. NOR SEEK TO ENFORCE ANY PRE-DISPUTE ARBITRATION AGREEMENT AGAINST ANY PERSON WHO HAS INITIATED IN COURT A

- PUTATIVE CLASS ACTION. WHO IS A MEMBER OF A PUTATIVE CLASS WHO HAS NOT OPTED OUT OF THE CUSS WITH RESPECT TO ANY CUIMS ENC OMPASSED BY THE PUTATIVE CUSS ACTION UNTIL: (i) THE CUSS CERTIFICATION IS DENIED; (ii) THE CUSS IS DECERTIFIED; OR (iii) THE CUSTOMER IS EXCLUDED FROM THE CUSS BY THE COURT.

SUCH FORBEARANCE TO ENFORCE AN AGREEMENT TO ARBITRATE SHALLNOTCONSTITUTE A WAIVER OF ANY RIGHTS UNDER THIS AGREEMENT EXCEPT TO THE EXTENT STATED HEREIN.

14. This Agreement and Its enforcement shall be governed by the laws of the State of New York, without respect to conflicts of laws principles, and its provisions shall be continuous; shall cover all options transactions hereunder, and ail accounts which we may open with you. shall inure to your benefit and foe benefit of your successors and assigns, and shall be binding upon us and our successors and assigns, but no assignment shall release u s from any of our obligations hereunder. The exclusive venue for commencing litigation relating to this Agreement shall be New York, New York. Written notice of revocation of this Agreement

shall not  
release either of us from any obligations hereunder arising prior to foe  
actual receipt  
of sucfo notice by the other.

NOTICE: THIS AGREEMENT CONTAINS A PRE-DISPUTE ARBITRATION  
CUUSEIN PARAGRAPH 15.

FOR PURPOSES HEREOF, "YOU" AND "YOUR" INCLUDES DEUTSCHE BANK  
SECURITIES INC. (DBSI) AND ANY AFFIUTES, INCLUDING DEUTSCHE BANK  
AG, LONDON BRANCH AND NEW YORK BRANCH, THAT ASSIST DBSI IN  
FULFILLING ITS OBLIGATIONS AND RESPONSIBILITIES HEREUNDER.  
AGREED AND ACCEWEI3:

Lie  
Client

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(Tlfc)  
ft

From: Paul Barrett [REDACTED] ^  
Subject: DB Options  
Date: September 25, 2018 at 10:05 AM  
To: Richard Kahn [REDACTED]  
Rich

Options Questionnaire:

Can you add the Authorized Trader (not sure who you want -1 would think both  
you and JEE).

Execution Agreement:  
Just sign

Thanks

Paul

Paul Barrett

Alpha Group Capital LLC

142 W 57\*^ Street, Floor, New York, NY 10019

[REDACTED]  
paul@alphagrouDcapital.com

ALPHA GROUP

CAPITAL

a

From: NY33-09a <NY33-09a@wework.com>

Sent: Tuesday, September 25, 2018 9:50 AM

To: Paul Barrett <[REDACTED]>

Subject:

OPTIONS QUESTIONNAIRE

DATA UPDATE

3 NEW ACCOUNT

DAVtCOMPLETFO

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ACCOUNT NUAtHER  
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IF 'tTS. PLEASE PROVIDE THE ACCOUNT(5):  
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HIGH RISK iSCO.MK

INCOME  
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