

Equity Options: Level 6:Combinations/Straddles/Structured Products

Types of OTC Options:

Equity Options: Level 6: Combinations/Straddles/Structured Products

Emerging Markets Options: Level 6: Combinations/Straddles/Structured Products

Foreign Exchange Options: Level 6: Combinations/Straddles/Structured Products

Debt Options: Level 6: Combinations/Straddles/Structured Products

ECP Certified: Y

ECP Certification Date: 06/26/2013

ECP Expiration Date: 06/26/2014

Publication Date of OCC: 02/01/1994

OCC Booklet Send Date: 06/20/2013

Risk Disclosures Send Date: 06/20/2013

Branch Location Code: PB GREENWICH

LOB Indicator: PB

Additional Comments:

Brokerage Account Relationship:

Investor/GIO: BARRETT PAUL S [REDACTED]

Emerging Markets Sales Trader: W52 BARRETT,PAUL S

Sales Assistant:

LEI#: [REDACTED]

Brokerage Account : Additional Account Information

Investment Time Horizon: Greater than 10 years

Primary Liquidity Needs: Long-Term

Secondary Liquidity Needs: Long-Term

Transfer Instructions: Transfer and Hold

Frequency: As Earned

Dividends/Interest Income: Hold/Reinvest

Proceeds: Hold/Reinvest

Client provided approximate value of investable assets held away from the firm?: Yes

Approximate value of investable assets held away from the firm : 1000000.0

Did Client indicate which Asset Classes they are invested in : Yes

Assets are invested in the following Asset Classes : Equities

Fixed Income & Cash

Alternative Investment