

JR Morgan

Over The Counter Derivatives Approval Form for Equity Options
and Structured Products

A. Derivatives Approval Level

Level 1; Covered virlting/Structured Products

Level 2: Buying 00:Ions/Structured Products

Level 3: Spreads/Structured Products

Level 5: Uncovered Writing/Structured Products

Level 6: Cambinations/Straddles/StnIctured Products OTC Options Please check
all that apply;

el Equity Options

Structured Products

B. ARBITRATION; CONSENT TO JURISDICTION; SERVICE OF PROCESS.

THIS AGREEMENT CONTAINS A PREDISPUTE ARBITRATION CLAUSE. BY SIGNING AN
ARBITRATION AGREEMENT,
THE PARTIES AGREE AS FOLLOWS:

- ALL PARTIES TO THIS AGREEMENT ARE GIVING UP THE RIGHT TO SUE EACH OTHER IN
COURT, INCLUDING THE
RIGHT TO A TRIAL BY JURY, EXCEPT AS PROVIDED BY THE RULES OF THE ARBITRATION
FORUM IN WHICH A
CLAIM IS HUD.

- ARBITRATION AWARDS ARE GENERALLY FINAL AND BINDING; A PARTY'S ABILITY TO
HAVE A COURT REVERSE

OR MODIF' AN ARBITRATION AWARD IS VERY LIMITED.

- THE ABILITY OF THE PARTIES TO OBTAIN DOCUMENTS, WITNESS STATEMENTS AND
OTHER DISCOVERY IS

GENEMILLT MORE LIMITED IN ARBITRATION THAN IN COURT PROCEEDINGS.

- THE ARBITRATORS DO NOT HAVE TO EXPLAIN THE REASON(S) FOR THEIR AWARD
UNLESS, IN AN ELIGIBLE

CASE, A 30INT REQUEST FOR AN EXPLAINED DECISION HAS BEEN SUBMITTED BY ALL
PARTIES TO THE PANEL AT

LEAST 20 DAYS PRIOR TO THE FIRST SCHEDULED HEARING DATE.

- THE PANEL OF ARBITRATORS MAY INCLUDE A MINORITY OF ARBITRATORS WHO WERE OR
ARE AFFILIATED

WITH THESECURITTES INDUSTRY.

- THE RULES OF SOME ARBITRATION FORUMS MAY IMPOSE TIME LIMITS FOR BRINGING A
CLAIM IN

ARBITRATION. IN SOME CASES, A CLAIM THAT IS INELIGIBLE FOR ARBITRATION MAY
BE BROUGHT IN COURT.

- THE RULES OF THE ARBITRATION FORUM IN WHICH THE CLAIM IS FILED, AND ANY
AMENDMENTS THERETO,

SHALL BE INCORPORATED INTO THIS AGREEMENT.

- 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

PUTAITVE CLASS ACTION OR WHO IS A MEMBER OF A PUTATIVE CLASS WHO HAS NOT
OPTED OUT OF THE CLASS

WITH RESPECT TO ANY CLAIMS ENCOMPASSED BY THE PUTATIVE CLASS ACTION UNTIL:

(ii)

(ill) THE CLASS CERTIFICATION IS DENIED;

THE CLASS IS DECERTIFIED; OR
THE CUSTOMER IS EXCLUDED FROM THE CLASS BY THE COURT.
SUCH FORBEARANCE TO ENFORCE AN AGREEMENT SHALL NOT CONSTITUTE A WAIVER OF
ANY RIGHTS UNDER

THIS AGREEMENT EXCEPT TO THE EXTENT STATED HEREIN.

• BY SIGNING THIS AGREEMENT, /P. MORGAN AND I AGREE 'THAT CONTROVERSIES
ARISING UNDER, OR
RELATING TO, THIS AGREEMENT OR ANY ACTIVITY BETWEEN ME AND 3.P. MORGAN, ITS
PREDECESSORS, AND
ANY OF THEIR RESPECTIVE SUCCESSORS, ASSIGNS, AND ANY OF THEIR, DIRECTORS,
EMPLOYEES, AND ANY
OTHER CONTROL PERSONS AND ANY OF THEIR AGENTS, WHETHER ARISING PRIOR TO, ON
OR SUBSEQUENT TO
THE DATE HEREOF, SHALL BE DETERMINED BY ARBITRATION PANEL APPOINTED BY FINRA
IN ACCORDANCE
WITH ITS RULES, AND SUCH HEARING OR HEARINGS SHALL BE CONDUCTED IN A LOCALE
SELECTED BY FINRA.

THE AWARD OF THE ARBITRATORS, OR OF THE MAJORITY OF THEM, SHALL BE FINAL,
AND JUDGMENT UPON THE
AWARD RENDERED HAY BE ENTERED IN ANY COURT, STATE OR FEDERAL, worms
JURISDICTION.

■ THIS AGREEMENT, AND ANY CLAIM, CONTROVERSY OR DISPUTE ARISING UNDER OR
RELATED TO THIS
AGREEMENT, THE RELATIONSHIP OF THE PARTIES, AND/OR THE INTERPRETATION AND
ENFORCEMENT OF THE
RIGHTS AND DUTIES OF THE PARTIES, WILL BE GOVERNED BY THE LAWS OF THE STATE
OF NEW YORK WITHOUT
REGARD TO ANY CONFLICTS OF LAW PRINCIPLES.

• I HEREBY AGREE TO RECEIVE SERVICE OF PROCESS IN CONNECTION WITH ANY LEGAL
MATTERS, ACTIONS OR
PROCEEDINGS BASED UPON, ARISING OUT OF, OR RELATING IN ANY WAY TO, THIS
AGREEMENT BY CONFIRMED,
RETURN -RECEIPT REQUESTED MAIL, AND THAT DELIVERY SHALL BE PRESUMED IF SUCH
SERVICE IS MAILED TO
THE ADDRESS MAINTAINED BY 1.P. MORGAN IN ITS RECORDS.

3.P. Morgan Use Only Title

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6/13 US1074

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B. ARBITRATION; CONSENT TO JURISDICTION; SERVICE DP PROCESS (cont.)

I AGREE THAT THE TERMS OF ANY SETTLEMENT, OR ANY AWARD DETERMINED BY
ARBITRATION, SHALL BE

CONFIDENTIAL AND SHALL NOT BE DISCLOSED BY 3F14S OR ANY OTHER J.P. MORGAN
AFFILIATE UNDER ANY

CIRCUMSTANCES, UNLESS REQUIRED BY APPLICABLE LAW, JUDICIAL PROCEEDING OR SRO
RULE.

C. Pre -Dispute Arbitration and Acknowledgement

By signing this Agreement, I acknowledge that: (1) I requested the options
approval level as indicated above, (2) I shall promptly
advise JP. Morgan Securities LLC, in writing, of any material changes in my

financial circumstances and options Investment objectives,
and (3) in accordance withth above, I am agreeing in advance to arbitrate
any controversies that may arise in
connection with me vxriCiy ii.durits with J.P. Morgan Securities LLC.
0. Signature"! account opeer_Ls. jus-reqUrred to sign below)

('/Id/F5 JEFFREY E. EPSTEIN

L
Signature Date Name l:Print)

f
EI Signature Date Name (Print)

Signature Date Name (Print)

Signature Date Name (Print)

LP, Morgan Use Only

Approvals; I have reviewed the above information concerning the client's
suitability, including: investment objectives, Investment
experience, and financial condition

JPM RR Signature ••(/r

Date

JPM ROSH, Signature Date

•
31;11 S-ROSP Signature ----- „e,/^^"

Date •

(Structured Products and Equity Options Levels 5 & 6)

3.P, Morgan Use Only Title SPN CAS

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