

# OPTION AGREEMENT AND APPROVAL FORM



| ACCOUNT INFORMATION |  |                      |             |
|---------------------|--|----------------------|-------------|
| ACCOUNT TITLE:      |  |                      |             |
| STREET ADDRESS:     |  | CITY:                | STATE: ZIP: |
| ACCOUNT NUMBER:     |  | DATE ACCOUNT OPENED: |             |

| PERSONAL INFORMATION                   |                                  |                                       |           |
|----------------------------------------|----------------------------------|---------------------------------------|-----------|
| <input type="checkbox"/> SELF EMPLOYED | <input type="checkbox"/> RETIRED | <input type="checkbox"/> EMPLOYED BY: | POSITION: |
| AGE:                                   | NUMBER OF DEPENDENTS:            | MARITAL STATUS:                       |           |

| INVESTMENT INFORMATION                                                                                                                                                                                                                                                               |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| INVESTMENT OBJECTIVE (Check all that apply.) <input type="checkbox"/> INCOME <input type="checkbox"/> INCOME AND APPRECIATION <input type="checkbox"/> SPECULATION <input type="checkbox"/> GROWTH <input type="checkbox"/> HEDGING <input type="checkbox"/> PRESERVATION OF CAPITAL |  |

| INVESTMENT EXPERIENCE |              |                    | APPROX. ANNUAL INCOME        | APPROX NET WORTH                              |
|-----------------------|--------------|--------------------|------------------------------|-----------------------------------------------|
|                       | NO. OF YEARS | SIZE AND FREQUENCY | AMOUNT \$                    | CASH \$                                       |
| OPTIONS               |              |                    | OTHER (Specify Source)<br>\$ | MARKETABLE SECURITIES \$                      |
| STOCKS/BONDS          |              |                    |                              | OTHER LIQUID ASSETS \$                        |
| COMMODITIES           |              |                    |                              | REAL ESTATE \$(Exclusive of family residence) |
| SPECIFY OTHER(S)      |              |                    | TOTAL ANNUAL INCOME<br>\$    | OTHER \$                                      |
|                       |              |                    |                              | TOTAL NET WORTH \$                            |

| SIGNATURE                                                                                                                                                                                                                                                                                                                        |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| I represent that I have read the terms and conditions governing this account and agree to be bound by such terms and conditions as currently in effect and as may be amended from time to time. This account is governed by a pre-dispute arbitration agreement. I acknowledge receipt of the pre-dispute arbitration agreement. |  |
| In consideration of your accepting one or more accounts, I (we) hereby acknowledge that I (we) have read, understand and agree to the terms set forth in the option account agreement and general account agreement.                                                                                                             |  |

|                          |      |                                   |      |
|--------------------------|------|-----------------------------------|------|
|                          |      |                                   |      |
| CUSTOMER'S SIGNATURE     | DATE | GENERAL PARTNER/TRUSTEE SIGNATURE | DATE |
| JOINT TENANT'S SIGNATURE | DATE | JOINT TENANT'S SIGNATURE          | DATE |

| PLEASE DO NOT WRITE IN THIS SPACE—FOR TRADEUP SECURITIES USE ONLY                                                                                                                                  |                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------|
| PRODUCT APPROVALS <input type="checkbox"/> STOCK OPTIONS <input type="checkbox"/> INDEX OPTIONS <input type="checkbox"/> DEBT INSTRUMENT OPTIONS <input type="checkbox"/> FOREIGN CURRENCY OPTIONS |                                  |
| TYPE OF OPTION TRADING: <input type="checkbox"/> COVERED WRITING <input type="checkbox"/> BUYING <input type="checkbox"/> SPREADING <input type="checkbox"/> UNCOVERED WRITING                     | DOLLAR LIMIT \$ CONTRACT UNIT \$ |
| <div> <div>INVESTMENT PROFESSIONAL</div> <div>DATE</div> </div> <div> <div>BRANCH MANAGER</div> <div>DATE</div> </div> <div> <div>REGISTERED OPTIONS PRINCIPAL</div> <div>DATE</div> </div>        |                                  |

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