



DNB Markets, Inc Client Questionnaire

The following information is requested by DNB Markets, Inc. to establish a client relationship in accordance with applicable securities rules and regulations; as well as the Bank Secrecy Act and anti-money laundering rules and regulations. Please complete all questions and return this form to:

operations.marketsinc@dnb.no

Full Legal Name:

Legal Address:

U.S. Tax Identification Number or Equivalent

Please include a copy of a formation document or document filed with a securities regulator. Type of document enclosed:

Country of Incorporation:

Country of Origin:

Is your firm regulated by a governmental agency or self regulatory organization?

- YES (please provide name of regulator): _____
 NO

Description of Business:

Business Conducted in (check all that apply):

- | | | |
|--|------------------------------------|--|
| <input type="checkbox"/> Africa | <input type="checkbox"/> Asia | <input type="checkbox"/> Australia |
| <input type="checkbox"/> Eastern Europe | <input type="checkbox"/> Europe | <input type="checkbox"/> North America |
| <input type="checkbox"/> South America/Central America | <input type="checkbox"/> US/Norway | <input type="checkbox"/> Global |

Purpose of Relationship:

Client Classification - Please check all that apply

U.S. Institutional Account

- A) a bank, savings and loan association, insurance company, or registered investment company
- B) an investment adviser registered either with the Securities and Exchange Commission under Section 203 of the Investment Advisers Act of 1940 or with a state securities commission (or any agency of office performing like functions)
- C) any other entity (whether a natural person), corporation, partnership, trust, or otherwise with total assets of at least \$50 million

Major U.S. Institutional Investor

- 1. Any entity (except a natural person) that owns or controls (or, in the case of a register or unregistered investment adviser, has under management) in excess of \$100 million aggregate financial assets.

For purposes of determining its aggregate financial assets, a client may include cash, money market instruments, securities of unaffiliated issuers, futures, futures and options on futures and other derivative instruments. Aggregate financial assets may be calculated on a gross basis, without deduction for liabilities, based on the balance sheet or comparable financial statement of the client prepared in the ordinary course of business. For purposes of determining the total assets of an investment company, the investment company may include the assets of a family of investment companies of which it is a part.

MIFID Client Classification - Please check all that apply

DNB Markets, Inc. is a subsidiary of DNB Bank ASA in Oslo, Norway and is required under MiFID II and MiFIR to determine the "Client Category" for each new account. While this is a requirement of the European Union DNB Markets, Inc. must determine client classification for U.S. based firms. Although Norway is not a member of the European Union, it is a member of the European Economic Area.

Markets in Financial Instruments Directive (MiFID II and MiFIR) Professional Clients/The Norwegian Securities Trading Act of November 1, 2007:

Section 10-2. The following clients are deemed to be professional in relation to all investment services and financial instruments:

- (A) eligible counterparties as mentioned in the Section 10-3 of the Securities Trading Act (below)
- (B) legal persons who meet at least two of the following three requirements as to the size of the undertaking:
 - (1) balance sheet total amounting to at least EUR 20,000,000 or equivalent in your local jurisdiction's currency
 - (2) annual net turnover amounting to at least EUR 40,000,000 or equivalent in your local jurisdiction's currency
 - (3) own funds amounting to at least EUR 2,000,000 or equivalent in your local jurisdiction's currency
- (C) other institutional investors whose main business is to invest in financial instruments, including special purpose vehicles:

Section 10-3. Eligible counterparties:

- 1) In addition to eligible counterparties as mentioned in the Securities Trading Act section 10-14 subsection (2), professional clients as mentioned in the present regulations section 10-2(b) will be regarded as eligible counterparties.
- 2) A legal person that fulfils at least two of the three criteria as mentioned in section 10-4 may request to be treated as eligible counterparties in relation to investment services or transactions in respect of which the party concerned is categorized as professional.
- 3) An investment firm shall obtain from the client express confirmation that he consents to being treated as an eligible counterparty. Such confirmation may be obtained in a general agreement or in connection with individual transactions.

Please review the following link for important disclaimers for DNB Markets Inc. client's, related but not limited to: Customer Identification Program, Business Continuity Plan, SEC Rule 606 Report, etc.:

DNB Markets Inc Disclaimers & Disclosure

Where trades facilitated through DNB Markets, Inc. are cleared and settled by DNB Markets, the client accepts that DNB Markets may provide DNB Markets, Inc. with all relevant clearance and settlement information.

DNB sends confirmations for all trading activity, however our firm suppresses account statements for DVP/ RVP customer accounts. By signing the below your firm agrees to opt-out of receiving account statements:

Questionnaire Completed By: