DNB Carnegie Inc. Account Opening Client Questionnaire

Please complete all questions and return this form along with Settlement Instructions and an email address for trade confirmations to:
DNB Carnegie, Inc., 30 Hudson Yards, 81st Floor, New York, NY 10001 | Settlements_US@dnbcarnegie.com
and DCI_ClientOnboarding@dnbcarnegie.com

DNB Carnegie, Inc. requests specific information to establish a client relationship in compliance with applicable securities regulations, the BSA, and AML laws. During this process, additional information may be requested. The information in the Client Questionnaire must be completed by the legal entity seeking to open an account.

Please refer to the last page for important disclosures.

INFORMATION ABOUT THE ENTITY

Name of legal entity	Click or tap here to enter text.
Country of incorporation	Click or tap here to enter text.
U.S. Tax ID or Equivalent (EIN /LEI)	Click or tap here to enter text.
Type of legal entity	Choose an item. If Other, please describe: Click or tap here to enter text.
Regulatory Status: Is the firm regulated by a governmental agency or SRO (e.g. SEC-registered investment co, regulated bank, U.S. public co.?	Choose an item. If YES (please provide name of regulator, registration details and supervisory contact)" Click or tap here to enter text.
Principal Business Address /Registered address *(No PO box or care of address permitted)*	Address: Click or tap here to enter text. City: Click or tap here to enter text. State: Click to enter text. ZIP: Click or tap here to enter text. Country: Click to enter text.

The entity's operations

Description of the Business:	Click or tap here to enter text.
Please identify the regions your firm conducts business in?	☐ Africa ☐ Asia ☐ Australia ☐ Europe ☐ U.S. / North America ☐ South America / Central America ☐ Global
Purpose of the Relationship and Investment objectives	Choose an item.
What is the origin/source of funds/income of the entity intended to be used in its relationship with DNB?	Please select: ☐ Operating income/Earnings ☐ Public Offering ☐ Client Funds/Investments ☐ Private Placement/Venture Capital ☐ Other: Click or tap here to enter text.

Institutional Suitability	The client (1) is capable of evaluating investment risks independently, both in general and with regard to all transactions and investment strategies involving a security or securities; and (2) will exercise independent judgment in evaluating the recommendations of any broker-dealer or its associated persons, unless it has otherwise notified the broker-dealer in writing. ☐ **Yes, Agree** - Or – ☐ **We will provide our Institutional Suitability Certificate and/or QIB Form**
Canadian Client Classification	If you are a Canadian Institution, please select: ☐ a Canadian financial institution (as defined) or a Schedule III bank ☐ a company registered under the securities legislation of a jurisdiction of Canada as an adviser or dealer, other than as a scholarship plan dealer, a restricted dealer, or exempt market dealer ☐ a pension fund that is regulated by either the federal Office of the Superintendent of Financial Institutions or a pension commission or similar regulatory authority of a jurisdiction of Canada ☐ a company, other than an individual or an investment fund, that has net assets of at least C$25 million as shown on its most recently prepared financial statements

DNB Carnegie, Inc. Disclosures

Trades effected by DNB Carnegie, Inc., an SEC-registered broker-dealer and FINRA/SIPC member, are cleared and settled by its foreign affiliate DNB Carnegie, a part of DNB Bank ASA. The client agrees that for such trades DNB Carnegie may share relevant clearance and settlement information with DNB Carnegie, Inc. DNB Carnegie sends confirmations for all trading activity; DNB Carnegie is not a member of FINRA or SIPC; Quarterly account statements for DVP/RVP client accounts are suppressed. By signing below, you confirm your firm agrees to opt out of receiving these quarterly account statements.

Trades in U.S. securities for U.S. domiciled clients are cleared and settled through Goldman Sachs.

Your firm can review our Business Continuity Plan, SEC Rule 606, voice recording policy, and other important disclosures from DNB Carnegie on our website at https://www.dnb.no/en/markets/ny.

CUSTOMER IDENTIFICATION PROGRAM NOTICE

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

To aid the United States government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify and record information that identifies each person or entity that opens an account, as a prerequisite to doing such business.

When you open an account with DNB Carnegie, Inc. we will require documentation that allows us to identify you. Forms of identification to be provided to DNB Carnegie, Inc., upon request, may include, but not limited to, proof of physical address (excluding P.O. Boxes), formation documents, corporate resolutions, or for certain entities, information regarding ownership and control. If your institution is regulated by a U.S. federal or state authority or if your shares are listed on a major stock exchange, we may use that information to assist in verifying your identity.

This notice applies to all institutional customers, including but not limited to corporations, partnerships, limited liability companies, investment funds, pension plans and financial institutions, domestic or foreign.

Signature

I hereby certify, to the best of my knowledge, that the information provided above is complete and correct. I certify that I am authorized to sign for the Client Account to which this form relates.

Title:	Click or tap here to enter text.
Date:	Click or tap to enter a date.
Name in Print:	Click or tap here to enter text.

Signature:	X ______________________