



> A BNY MELLON ASSET MANAGEMENT COMPANY™

# Dreyfus Lion Account® APPLICATION

Dreyfus Brokerage Services P.O. Box 9007 Hicksville, NY 11802-9007

**For assistance completing this application, or for an IRA or business account application, please call a Dreyfus Lion Account® Representative at 1-800-THE LION (1-800-843-5466).**

Return the completed application to the mailing address above.

## CUSTOMER IDENTIFICATION PROGRAM NOTICE IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

*If required information is missing, your application may be rejected.*

To help the government fight the funding of terrorism and money laundering activities, all financial institutions are required by law to obtain, verify and record information that identifies each individual or entity that opens an account.

What this means for individuals: When an individual opens an account we will ask for their name, residence address, date of birth, tax identification number, and other information that allows us to identify them. We may also ask to see a driver's license, passport or other identifying documents.

What this means for other legal entities: When a corporation, partnership, trust or other legal entity opens an account, we will ask for the entity's name, physical address, tax identification number, and other information that will allow us to identify the entity. We may also ask to see other identifying documents, such as certified articles of incorporation, partnership agreements or a trust instrument. In addition, in accordance with the Unlawful Internet Gambling Enforcement Act, transactions associated with unlawful internet gambling are prohibited. Specifically, the Act "prohibits any person engaged in the business of betting or wagering from knowingly accepting payments in connection with the participation of another person in unlawful internet gambling." BNY Mellon customers must not initiate or receive wire transfers, checks, drafts or other debit/credit transactions that are restricted by the Act. For more information, please refer to: <http://www.federalreserve.gov/newsevents/press/bcreg/bcreg20081112a1.pdf>.

### 1. Account Registration

- Individual or Joint Account
- Trust or Estate Account
- Uniform Gifts/Transfers to Minors Act (UGMA/UTMA) Account

#### Complete this section for Individual or Joint Account

<i>Mr./Mrs./Ms.</i>	<i>Owner's First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
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<i>Social Security Number</i>	<i>Date of Birth (month-day-year)</i>
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Check one:     U.S. citizen     U.S. resident alien

<i>Mr./Mrs./Ms.</i>	<i>Joint owner's First Name</i>	<i>Middle Name</i>	<i>Last Name</i>
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<i>Social Security Number</i>	<i>Date of Birth (month-day-year)</i>
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Check one:     U.S. citizen     U.S. resident alien

#### Joint Ownership Registration

Joint tenants with rights of survivorship will be presumed unless you indicate otherwise:

- Joint tenants with rights of survivorship
- Community property
- Tenants in common
- Tenants by the entirety

For tenants in common, please indicate percentage of ownership. Percentages must total 100%.

<input type="text"/> <input type="text"/> <input type="text"/> %	<input type="text"/> <input type="text"/> <input type="text"/> %
_____	_____
Name	Name

Would you like to add a Transfer on Death (TOD) Beneficiary? (Available for Individual or Joint Ten WROS accounts only)

YES  NO

If you checked Yes, additional paperwork will be sent to you for this purpose.

### Complete this section for Trust or Estate Account

Trust Account

Please include the following **REQUIRED** documents:

- A copy of the title page and signature page of the Trust Agreement
- Completed Trust Account Certification Form

If there are more than 2 trustees, please provide the information below separately.

Date of Trust Agreement		Trust's Tax ID number or Social Security Number	
Name of Trust			
Beneficiary's name (if applicable)			
Mr./Mrs./Ms.	Trustee's First Name	Middle Name	Last Name
Trustee's Social Security Number		Trustee's Date of Birth (month-day-year)	
Mr./Mrs./Ms.	Additional Trustee's First Name	Middle Name	Last Name
Additional Trustee's Social Security Number		Additional Trustee's Date of Birth (month-day-year)	

Estate Account

Please include the following **REQUIRED** documents:

- Certified copy of Court Appointment dated within 60 days
- If there is more than one authorized signer, please complete the Certification Form and provide the information below separately

Name of Estate		Estate's Tax ID number	
Mr./Mrs./Ms.	Executor's First Name	Middle Name	Last Name
Executor's Social Security Number		Executor's Date of Birth (month-day-year)	

### Complete this section for Uniform Gifts/Transfers to Minors Act (UGMA/UTMA) Account

Mr./Ms.	Minor's First Name	Middle Name	Last Name
Minor's Social Security Number		Minor's Date of Birth (month-day-year)	

Check one:  U.S. citizen  U.S. resident alien

Minor's or Custodian's state of residence			
Mr./Mrs./Ms.	Custodian's First Name	Middle Name	Last Name
Custodian's Social Security Number		Custodian's Date of Birth (month-day-year)	

Check one:  U.S. citizen  U.S. resident alien

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## 2. Address and Citizenship

Please attach a separate list for additional registrants including full name, social security number, date of birth and residential street address.

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Account Holder's Permanent Street Address (no P.O. Boxes)

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City State Zip

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Home Phone Work Phone E-mail Address

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Mailing Address (if different from above)

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City State Zip

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Joint Account Holder's Permanent Street Address (if different from Account Holder's) E-mail Address

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City State Zip

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Joint Account Holder's Mailing Address (if different from above) City State Zip

If the Joint Account Holder's address is the same as the Account Holder's, please check this box .

If the address is different, please provide it here: \_\_\_\_\_

Please check here if you would like a duplicate statement sent to the Joint Account Holder's address (only if different than the Account Holder's address).

Citizenship of Owner, Minor, or Trust Beneficiary

If you are not a U.S. Citizen, please check box, and specify country of legal residence: \_\_\_\_\_.  
If you do not have a social security number, also provide IRS form W-8, and a copy of your passport, alien ID card or other government issued document with residence and photograph.

NOTE: FINRA Rules require a broker/dealer to request certain additional information.

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## 3. Employment/Affiliation Information

We are required by industry regulations to obtain this information. For UGMA/UTMA accounts, please provide this information for the Custodian.

For Trust accounts, please complete this information for all Trustees acting on behalf of the account.

If you are not employed or have retired, please check here and state your source of income:

\_\_\_\_\_

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Occupation Employer

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Employer's Address

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Joint Owner's Occupation Joint Owner's Employer

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Joint Owner's Employer's Address

Is the holder (or person with interest) either a senior military, governmental or political official in a non-U.S. country or closely associated with an immediate family member of such official?  Yes  No

If yes, identify name of official, office held and country.

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Please check below if applicable:

**Individual  
or Custodian**

**Joint**

- I am affiliated with or work for The Dreyfus Corporation/Bank of New York Mellon Corporation.
- I am affiliated with or work for a stock exchange, a member firm of an exchange or the FINRA.
- I am a director/10% shareholder/policy-making executive officer of the publicly traded company listed: \_\_\_\_\_.

*If so, notification of your intent to open an account will be sent to your employer in accordance with current regulations.*

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#### 4. Financial Information

*We are required by industry regulations to obtain this information.*

- For joint accounts, please provide household information.
- For UGMA/UTMA accounts, please provide information for the Custodian.
- For Trust accounts, please provide information based on the Trust's assets.
- Check only one box for each item required.

#### Primary Investment Objective

- Safety     Income     Growth & Income     Growth     Aggressive Growth

#### Risk Exposure

- Low             Moderate             Aggressive             High Risk

#### Annual Income

1. Less than \$20,000
2. \$20,000 but less than \$50,000
3. \$50,000 but less than \$100,000
4. \$100,000 but less than \$250,000
5. More than \$250,000

#### Liquid Net Worth *(Investable assets exclusive of real estate)*

1. Less than \$25,000
2. \$25,000 but less than \$50,000
3. \$50,000 but less than \$100,000
4. \$100,000 but less than \$250,000
5. More than \$250,000

#### Federal Income Tax Bracket

1. 10%     2. 15%     3. 25%     4. 28%     5. 33%     6. 35%

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#### 5. Do you, your spouse or minor children beneficially own shares of any Dreyfus Mutual Fund purchased directly through MBSC Securities Corporation (formerly known as Dreyfus Service Corporation)?

- Yes     No    If yes, list account number(s):

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If the account(s) was/were opened prior to March 1, 2006 you may be eligible to purchase Class A shares directly through MBSC Securities Corporation at NAV.

To determine whether you qualify for this or any other sales load waiver, refer to the Prospectus.

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#### 6. Investment Method

*The minimum initial investment to open a Dreyfus Lion Account® is \$10,000. You can open a Dreyfus Lion Account® by check, by endorsing stock certificates or by transferring assets from another brokerage or mutual fund account.*

*Please indicate whether you would prefer to reinvest dividends and capital gains or receive them in cash.*

**Check**

I have enclosed a check in the amount of \$ \_\_\_\_\_.

**All checks must be made payable to Dreyfus Brokerage Services.**

**Wire Transfer**

To transfer funds by Fed Wire, please call **1-800 THE LION (1-800-843-5466)** for instructions.

**Certificates**

I have enclosed \_\_\_\_\_ certificates endorsed exactly as they are registered on the front of each certificate.  
number

**Transfer from an existing Dreyfus mutual fund account**

If you have an existing Dreyfus mutual fund account, you can have all or a portion of these assets transferred to your Dreyfus Lion Account®. Please note the registration on your Dreyfus mutual fund account must match exactly the registration on this application.

Please transfer from my Dreyfus mutual fund account to my Dreyfus Lion Account®:

Fund Name	Account Number	Indicate number of shares or Dollar Amount or "All"	Transfer		Dividends		Capital Gains	
			in Kind	Cash	Reinvest	Cash	Reinvest	Cash
_____	_____	_____	<input type="checkbox"/>	or <input type="checkbox"/>	<input type="checkbox"/>	or <input type="checkbox"/>	<input type="checkbox"/>	or <input type="checkbox"/>
_____	_____	_____	<input type="checkbox"/>	or <input type="checkbox"/>	<input type="checkbox"/>	or <input type="checkbox"/>	<input type="checkbox"/>	or <input type="checkbox"/>
_____	_____	_____	<input type="checkbox"/>	or <input type="checkbox"/>	<input type="checkbox"/>	or <input type="checkbox"/>	<input type="checkbox"/>	or <input type="checkbox"/>
_____	_____	_____	<input type="checkbox"/>	or <input type="checkbox"/>	<input type="checkbox"/>	or <input type="checkbox"/>	<input type="checkbox"/>	or <input type="checkbox"/>

**Transfer from a non-Dreyfus account**

If you have assets in another brokerage account or mutual fund account, you can have these transferred to your Dreyfus Lion Account® by completing the enclosed Account Transfer Form.

I have completed the enclosed Dreyfus Lion Account® Transfer Form.

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**7. Account Service Instructions**

*When you purchase or sell securities, or dividends or interest are paid, the proceeds will be deposited in, or redeemed from, either a taxable or a tax-exempt "sweep" money market fund.*

Please select a sweep money market fund from the list below. If no fund is selected, a Dreyfus Money Market Reserves account will be opened for you.

- Dreyfus Money Market Reserves
- Dreyfus U.S. Treasury Reserves
- Dreyfus AMT-Free Municipal Reserves

Dreyfus also offers state-specific tax exempt sweep funds for residents of California, Connecticut, Massachusetts, New Jersey, New York and Pennsylvania. Please indicate your state preference below.

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**8. Margin**

*Margin borrowing is subject to approval. Note: UGMA/UTMA accounts are not eligible for Margin.*

Please check this box if you would like to establish Margin pursuant to the terms set forth in the Dreyfus Lion Account® Client Agreement and Related Disclosures Booklet. If you do not check here, Margin will not

be established.

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## 9. Dreyfus Lion Account® Services

### Additional Account Services

If you wish to add the cash management feature to your account, please choose from the following options:

#### Check Writing

*Checking account activity will be shown on your account statement. Individual checks are not returned but copies are available for a fee upon request.*

- Please send me a set of 40 checks. There is no per check minimum, and debit card privileges are available. Checks can be reordered in packages of 150 checks for \$10.00.

Your name and address will appear on your checks. If you prefer to have your name but not your address on your checks, please check the box below:

- Name Only on Checks

If you choose to have your name and address printed on your checks, you may have one additional line of information on your checks. Please include that information on the line below:

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#### Debit Card

*Debit card activity will be shown on your account statement. Cards are available for individual, joint, or corporate registration. Cards will be printed with the name as registered on the account. Individual accounts will receive one card. Joint accounts will receive two cards, no exceptions. Cards will not be released unless mother's maiden name(s) is (are) provided by all Account holders. This information will be used to verify cardholders identity.*

- Please send a MasterCard® GoldDebit Card for the Account Holder.

Account Holder's mother's maiden name: \_\_\_\_\_

- Send a second debit card for the Joint Account Holder.

Joint Account Holder's mother's maiden name: \_\_\_\_\_

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## 10. Optional Services Teleservice Privileges

*You must attach an original voided check to this application. This check must match the account registration; otherwise additional documentation is required. Please call 1-800-THE-LION for more information. Money will be wired or transferred only to or from the bank account indicated on the voided check.*

**TeleTransfer/ACH.** Permits the electronic transfer of money to or from your designated bank account free of charge. Your bank must be an ACH member.

**Wire Redemption.** Permits the transfer of money by Fed wire to your designated Federal Reserve Member Bank. See fee schedule for applicable fees.

- Yes, I want to have standing instructions added to my account for TeleTransfer/ACH and Wire Redemption privileges.**

**ATTACH VOIDED CHECK HERE.**

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## 11. Certifications/Acknowledgements and Signature

**Receipt of Other Documents** - I acknowledge that I have received a copy of the Dreyfus Lion Account® Client Agreement and Related Disclosures Booklet, the Dreyfus Lion Account® Fee Schedule and, for the money market mutual fund I have selected for my sweep fund, a current Prospectus which includes charges and expenses. I will read it carefully before I invest. It is my responsibility to read the Prospectus for any mutual fund recommended to me.

**Agreement & Certification** - I certify that the information supplied in this new account application is complete and correct. I acknowledge that I have read, understood and agree to be bound by the terms and conditions set forth in the Dreyfus Lion Account® Client Agreement and Related Disclosures Booklet and the Prospectus as each may be amended from time to time. This agreement will be governed and interpreted under the laws of the State of New York. I am at least 18 years of age or of full legal age in the state in which I reside.

**By signing this application, the undersigned acknowledge(s) that securities not fully paid for may be loaned to our clearing Agent, Pershing, LLC, a subsidiary of The Bank of New York Mellon Corporation (Pershing) or loaned out by Pershing to others.**

**Pre-Dispute Arbitration Clause** - I acknowledge that the Dreyfus Lion Account® Client Agreement and Related Disclosures Booklet contains a pre-dispute arbitration clause which provides that all disputes relating to the Dreyfus Lion Account® are to be resolved by binding arbitration. This clause is found in Sections 27 and 28 on pages 6 and 7 of the Dreyfus Lion Account® Client Agreement and Related Disclosures Booklet.

Please sign here.

<i>Applicant or Custodian</i>	<i>Date</i>
<i>Joint Applicant (if any) or Trustee</i>	<i>Date</i>

**Tax Certification** - (If this is a joint account, the Social Security Number of the account owner who is named *FIRST* in the account title *MUST* be used.)

Under penalties of perjury, I certify that: 1) The number shown on this form is my correct Taxpayer Identification Number (or I am waiting for a number to be issued to me), and 2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service that I am subject to backup withholding as a result of a failure to report all interest or dividends or (c) the IRS has notified me that I am no longer subject to backup withholding.

**Certification Instructions:** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because of underreporting interest or dividends on your tax return. I am a U.S. person (including a U.S. resident alien).

Please sign here.

<i>Applicant or Custodian</i>	<i>Date</i>
<i>Joint Applicant (if any) or Trustee</i>	<i>Date</i>

**"If you are a Tax Exempt Institution an additional separate W-9 is required"**

**Please note that if you are requesting authorization to trade options, a separate Options Agreement Form is required.**

**Your account is a brokerage account and not an advisory account. Our interests may not always be the same as yours. Please ask us questions to make sure you understand your rights and our obligations to you, including the extent of our obligations to disclose conflicts of interest and to act in your best interest. We are paid by you and, sometimes, by people who compensate us based on what you buy. Therefore, our profits, and our salespersons' compensation, may vary by product and over time.**

**If you have any questions, please call a Dreyfus Lion Account<sup>®</sup> representative at 1-800-THE-LION (1-800-843-5466).**