



> A BNY MELLON ASSET MANAGEMENT COMPANY™

# Dreyfus Lion Account® BUSINESS APPLICATION

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

Use this application to open your account. Please use blue or black ink and print all sections except signatures. Return the completed application to the mailing address above.

**For assistance completing this business account application, please call a Dreyfus Lion Account® Representative at 1-800-THE-LION.**

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

## CUSTOMER IDENTIFICATION PROGRAM NOTICE

### IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

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>.

### Type of Business:

- Corporation
- Partnership or Privately Held Entity (e.g. LP, LLC, PLC, etc.)
- Trust
- Non-Profit Organization
- Casino or Gaming Establishment
- Financial Institution (Please specify):
  - Bank
  - Securities Broker Dealer
  - Investment Company
  - Insurance Company
  - Hedge Fund
  - Money Services Business (MSB)

Name of Government Agency that serves as Primary Regulator: \_\_\_\_\_

Other (Please Specify): \_\_\_\_\_

**Please attach the following REQUIRED documents to the completed Dreyfus Brokerage Account Certification Form:**

#### (a) For Privately Held Corporations

- A copy of Government-issued Business License, Corporate Resolution and Articles of Incorporation.

**(b) For Publicly Held Corporations**

A copy of the entity's Articles of Incorporation, or Articles of Association/Organization, or the most recent annual report.

**(c) For Partnerships and Privately Held Entities**

A copy of the entity's Certificate of Formation, or Government-issued Business License, or signed General Partnership Agreement, or signed Limited Partnership Agreement.

**(d) For Trusts**

A copy of the Trust instrument or evidence of its formation.

**(e) Financial Institutions**

A copy of the government-issued license or registration and any other legal formation document.

For non-U.S. banks: A copy of the completed USA PATRIOT Act Certification.

Other

Additional documentation may be required as applicable

---

**1. ACCOUNT INFORMATION**

Legal Name: \_\_\_\_\_

Principal place of business address (or local office address): \_\_\_\_\_

Mailing Address: (If different from above) \_\_\_\_\_

Telephone Number: \_\_\_\_\_

For U.S. Entities:

Taxpayer Identification Number (TIN)/Employer Identification Number (EIN): \_\_\_\_\_

For non-U.S. Entities:

Taxpayer Identification Number/Registration Number/or another Government-issued Identification Number: \_\_\_\_\_

Country of Issuance: \_\_\_\_\_

Identify Senior Management, General Partners, and Directors:

Name	Position

Publicly Traded:

Ticker: \_\_\_\_\_ Exchange: \_\_\_\_\_

Non-Publicly Traded:

Identify the principal shareholders, beneficial owners, partners, etc. who own 25% or more of the Company:

Name	% Ownership	Country of Residence	Position

Is the Company formed by, for the benefit of, or owned or controlled by a person who is a senior government, military or political official , or is an immediate family member (including the spouse, parents, siblings, children, and in-laws) or is closely associated with any such individual?  Yes  No

If Yes, please provide the following information:

Name	Country	Position

The business or its officers, directors or owners are:

Affiliated to or work for Dreyfus Corporation/The Bank of New York Mellon Corporation

Affiliated to or work for a stock exchange, member firm of an exchange or the FINRA

Director/10% shareholder/policy-making executive officer of the publicly traded company listed:

**Authorized Signer 1:**

Name (no initials): \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Primary Residence Address, including Apartment Number (no PO Boxes): \_\_\_\_\_

Telephone Number: \_\_\_\_\_

Nationality: \_\_\_\_\_

For U.S. Individual:

Social Security Number: \_\_\_\_\_

For non-U.S. Individual:

Taxpayer Identification Number/Passport Number/National Identification Number/or another Government-issued Identification Number: \_\_\_\_\_

Country of Issuance: \_\_\_\_\_

Occupation: \_\_\_\_\_

Employment Status:  Employed by the Account Applicant listed in Section 1 (please skip the following questions)

Employed  Not Employed  Retired

If you are not employed or retired, please state your source of income: \_\_\_\_\_

If you are employed, please provide:

Employer Name: \_\_\_\_\_

Employer's Address: \_\_\_\_\_



**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 number

**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%

**3. 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.

**Check**

I have enclosed a check in the amount of \$ made payable to Dreyfus Brokerage Services. **All checks must be made payable to Dreyfus Brokerage Services.**

**Wire Transfer**

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

**Certificates**

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

**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®:

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

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 assets transferred to your Dreyfus Lion Account® by completing the enclosed Transfer form.

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

---

## 4. ACCOUNT SERVICES 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 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.

---

## 5. MARGIN

*Margin borrowing is subject to approval.*

- 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. You must also complete Section 4 of the enclosed Certification Form and submit a resolution or by-laws which evidence the corporation's authority to use Margin. If you do not check here and submit appropriate documentation, Margin will not be established.
- 

## 6. DREYFUS LION ACCOUNT® SERVICES

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

*Debit card activity will be shown on your account statement. Card will not be released unless mother's maiden name is provided. It will be used to verify cardholder identity.*

---

- I DO NOT want Check Writing on my account.
- 

## Cash Management Features

Choosing either a Dreyfus Lion Account® MasterCard®Gold debit card or Dreyfus Lion Account® checking may incur an annual fee for these Cash Management features. See the Dreyfus Lion Account® Fee Schedule for details.

Please send me a Dreyfus Lion Account® MasterCard®Gold debit card.

Send me one card for account holder

Authorized signer's mother's maiden name: \_\_\_\_\_

Send me a second card for joint account holder

Authorized signer's mother's maiden name: \_\_\_\_\_

If you opt for a Dreyfus Lion Account® MasterCard®Gold debit card, and you wish to receive 40 Dreyfus Lion Account® checks, check the following box:

Please send me 40 Dreyfus Lion Account® checks. Your name and address will appear as provided on this application. You may add one additional line of information on your checks. Please include any additional information you would like to appear or indicate "no address" if only your name should appear on your checks:

---

## 7. 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.

**You must complete and sign the back of this application.**

---

## 8. 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") 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.**

---

Applicant Date

---

Joint Applicant (if any) Date

**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).

---

Applicant Date

---

Joint Applicant (if any) Date

**"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® Representative at 1-800-THE-LION.**