



Our Solutions.
Your Success.

CORPORATE / INSTITUTIONAL

Please fill-out in BLOCK letters, if not applicable, write "N/A"

CUSTOMER ACCOUNT INFORMATION FORM

FOR UNICAPITAL GROUP USE ONLY

ACCOUNT NAME:	
ACCOUNT TYPE:	ACCOUNT CODE:
<input type="checkbox"/> TRADITIONAL <input type="checkbox"/> ONLINE <input type="checkbox"/> MARGIN <input type="checkbox"/> DISCRETIONARY <input type="checkbox"/> PLACEMENT <input type="checkbox"/> FIXED-INCOME <input type="checkbox"/> OTHERS: _____	

COMPANY INFORMATION

Company Name:		TIN:
TYPE OF BUSINESS		
<input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Partnership <input type="checkbox"/> Private Corporation <input type="checkbox"/> Publicly Listed Corporation <input type="checkbox"/> Others: _____		
NATURE OF BUSINESS		
<input type="checkbox"/> Manufacturing <input type="checkbox"/> Trading <input type="checkbox"/> Export/Import <input type="checkbox"/> Insurance <input type="checkbox"/> Services <input type="checkbox"/> Real Estate Activities <input type="checkbox"/> Financial Activities <input type="checkbox"/> Others: _____		
Registered Address / Principal Place of Business (will be considered as mailing address):		<input type="checkbox"/> Owned <input type="checkbox"/> Rented
Website/social media (Business):	Nationality: <input type="checkbox"/> Domestic <input type="checkbox"/> Foreign	Years the Business has been in operations:
Date of Registration / Incorporation:	Place of Registration / Incorporation:	Registration Number:
Landline No/s/ Fax No/s:	Company Mobile Number:	Company Email Address:

CONTACT INFORMATION OF THE COMPANY REPRESENTATIVE

Corporate Representative Full Name:	Designation:
Email Address/es:	Landline Number: Mobile Number/s:

INVESTOR PROFILE

SOURCE/S OF FUNDS				
<input type="checkbox"/> BUSINESS <input type="checkbox"/> PROCEEDS FROM INVESTMENT <input type="checkbox"/> RENTAL INCOME <input type="checkbox"/> SALE OF GOODS <input type="checkbox"/> DIVIDENDS <input type="checkbox"/> OTHERS: _____				
INVESTMENT OBJECTIVE				
<input type="checkbox"/> LONG-TERM INVESTMENT <input type="checkbox"/> PRESERVATION OF CAPITAL <input type="checkbox"/> QUICK TRADE <input type="checkbox"/> GROWTH <input type="checkbox"/> SPECULATION				
FINANCIAL STATUS				
	less than or equal to P20M	more than P20M but less than or equal to P100M	more than P100M but less than or equal to P1B	P1B and above
Annual Income	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Asset	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Net Worth	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

BENEFICIAL OWNERS INFORMATION (Beneficial Owner refers to any natural person who has ultimate effective control over a juridical entity, or who owns at least 20% shares, contribution or equity interest in a juridical entity)

Complete Name	Address	Date of Birth	Place of Birth	Contact Number

BANK SETTLEMENT ACCOUNT INFORMATION (Please fill out this section to automatically settle client withdrawals, dividends, or the crediting of selling proceeds)

Bank Name:	Bank Branch:
Account Name:	Account Number:

Mode of Delivery of Confirmation/Invoice, Statement of Account, Notices, or Reports via:	
<input type="checkbox"/> Pickup <input type="checkbox"/> Courier/Mail <input type="checkbox"/> In-House Messenger <input type="checkbox"/> Email <input type="checkbox"/> Fax <input type="checkbox"/> Others _____	
Do you require duplicate confirmations? (Optional) <input type="checkbox"/> YES <input type="checkbox"/> NO	If YES: Recipient _____ Relationship _____

DISCLOSURES (If Related to a Listed Company)

Is the company/entity associated with a listed company? If yes, please provide the details (company, type of association)		<input type="checkbox"/> YES <input type="checkbox"/> NO
Name of Company	Type of Association	

DISCLOSURES (If Related to a Broker)

Is the company/entity associated with another broker-dealer? If yes, please provide the details (company, type of association)		<input type="checkbox"/> YES <input type="checkbox"/> NO
Name of Broker	Type of Association	

AUTHORIZED SIGNATORIES:

By executing this document, we hereby represent and warrant that all information disclosed herein is true, complete, and accurate to the best of our knowledge. We undertake to promptly notify Unicapital, Inc. ("UI") / Unicapital Securities, Inc. ("USI") of any material changes to the foregoing information and hereby authorize UI / USI to verify, validate, and investigate all information provided, as it may deem necessary or appropriate. We further affirm that the signatures affixed hereto are authentic and duly executed.

 Authorized Signatory – Signature over printed name / Date

 Authorized Signatory – Signature over printed name / Date

 Authorized Signatory – Signature over printed name / Date

 Authorized Signatory – Signature over printed name / Date

FOR UNICAPITAL SECURITIES ONLINE CLIENTS ONLY

PREFERRED USERNAME (for online clients)		Your default password will be sent via e-mail.
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FOR UNICAPITAL GROUP'S USE ONLY

I hereby certify that I have conducted the appropriate Know-Your Client (KYC) and Customer Due Diligence (CDD) procedures with the client in accordance with the relevant rules and I have verified the information in the CIF as true and correct to the best of my knowledge and belief. I have sighted all the originals of the documents submitted and undertake full responsibility thereat. _____ <i>Name and Signature of Salesman/Agent</i>	Verified by: _____ Date: _____	
	Encoded by: _____ Date: _____	
	Approved by: _____ Date: _____	

Client Entry Type:

<input type="checkbox"/> Walk-in Client <input type="checkbox"/> Existing <input type="checkbox"/> Webinar/Events <input type="checkbox"/> Social Media <input type="checkbox"/> Reference by: _____ <input type="checkbox"/> Solicited by: _____

Client Code:	NROSS Account No.:	PSE / Trading Account Code:
Commission Rate:	Trading Limit:	REIT Code:
Sign:	Sign:	Sign:



TERMS AND CONDITIONS

In this Agreement, "I/we", "me/us" and "my/our" refer to the individual(s), corporation(s) or party/ies who is/are the account owner(s), has/have an interest in the account(s), and consent(s) to be bounded by the terms of this Agreement. On the other hand, "you", "your" and "USI" refer to Unicapital Securities, Inc., its employees, officers, and directors.

"Website" refers to www.utradeph.com or other sites authorized by Unicapital Securities, Inc.

References to the Securities and Exchange Commission (SEC or the "Commission"), the Philippine Stock Exchange (PSE or the "Exchange"), the Bangko Sentral ng Pilipinas (BSP), the Anti-Money Laundering Council (AMLC), the Capital Markets Integrity Corporation (CMIC) and the Securities Clearing Corporation of the Philippines (SCCP) shall be deemed to refer also to their successors in interests and assigns.

The term "Securities" shall include any shares, stocks, debentures, funds, bonds, notes, and any rights, options or interests in or in respect of any of the foregoing certificates of interest or participation in any instruments commonly known as securities.

"USI" refers to Unicapital Securities, Inc., a registered SEC licensed stockbroker and a Trading Participant of the PSE. "UTrade" refers to the online trading facility of USI.

"Unicapital Group" refers to USI and its subsidiaries, affiliates, parent companies, related parties, and their respective directors, shareholders, officers, employees, consultants and agents.

In consideration of your acting as my/our stockbroker in the buying and selling of my/our securities trading account/s, I/we hereby consent to all the transactions being governed by the rules and regulations of the PSE, the SCCP, the SEC, the BSP, the AMLC, the CMIC, and all other pertinent government agencies and instrumentalities, the Foreign Accounts Tax Compliance Act (FATCA), Republic Act No. 10173 or the Data Privacy Act of 2012, amended (Data Privacy Act), other customs and usages of the foregoing, and the following terms and conditions:

- 1. Client Identification.** I/we am/are aware of your explicit policy that business transactions will not be conducted with me/us if I/we fail to provide satisfactory evidence of my/our identity upon opening my/our account with you. The signature(s) appearing on this form is/are true and official signature(s) of the account and may be always used for verification of the said signature(s) and for all purposes. I may not assign, transfer or share any right or obligation related to this Agreement without your prior express written consent.
- 2. Warranty of Information.** I/We represent and warrant that all information provided by me/us pursuant to this Agreement, including the Customer Account Information Form, is true, complete and accurate. In case of any change in said information, I/we shall inform you immediately. I/We also hereby authorize you to conduct such credit or background checks to verify any information provided by me/us, and to ascertain my/our financial situation and investment objectives. I/We undertake to update all of my/our information/records, particularly those indicated in my/our Customer Account Information Form (CAIF), and submit documents in support thereof, at least once every two (2) years or upon your request.
- 3. Personal Information.** I/We provide my/our consent to your processing of all personal information I/we provide in accordance with your Data Subject Consent Form and I/we undertake to be bound by all your data privacy and the U.S. FATCA requirements and policies as indicated in USI's Website. If the accountholder is a juridical entity, we hereby represent and warrant that the individuals whose personal information will be processed under this Agreement have been duly notified of the purposes for which personal information will be processed and that we have obtained such individual's consent.
- 4. Buy and Sell Orders.** Any order made by me/us for the purchase or sale of securities shall be binding on me/us (i) upon making the order online through the Website, verbally (whether in person, through the telephone or other similar means), in writing (by fax, by telex or by e-mail), through the Short Messaging Service (SMS or text) or through an authorized person; or (ii) upon receipt of confirmation notice duly signed by your authorized officer or sent through the Website; or (iii) upon issuance of the contract note. You may rely or act upon such orders, and you shall not be liable for any loss or damage suffered by me/us, provided that you act in good faith.

You require that the net value of the securities I/we order to be purchased be within the total of my/our available funds and/or approved credit limit on my/our trading transaction before your execution of the order, or in the case of securities to be sold, I/we understand that you require advance delivery of securities duly endorsed and cleared by the transfer office before your execution of the sell order. In the event a sell order is intentionally or inadvertently accepted and executed without the required stock certificates deposited in my/our account, I/we agree to immediately deliver to you the securities sold in good deliverable and negotiable form. I/we am/are responsible for any losses or expenses incurred by you as a result of my/our failure to make such delivery. In order to complete my/our short sale, you may need to borrow the security/ies I/we sold and did not own. I/we will be subject to a buy-back of the security for my/our account and at my/our expense. If the securities are bought in, I/we will be responsible for any resulting losses and all associated costs incurred by you.

The proceeds of all sales, net of the sums owing to USI and those mentioned in this Agreement, will be retained in my/our account unless I/we request otherwise. Any request for delivery of proceeds shall be made within two (2) days from the date of request, or based on the market practice, whichever is longer, unless I/we direct or otherwise advise you in writing.

You shall have the right, whenever in your sole or exclusive discretion, and whenever necessary for your protection, in the event that: (i) a petition for bankruptcy, or for appointment of a receiver is filed by or against me/us, or (ii) an attachment is levied against my/our account(s) with the Broker: (a) to close any or all outstanding orders, as well as, to sell any or all securities in my/our account(s), (b) to transfer money or securities from any one of my/our account(s) to another, and (c) to buy any or all securities

which may be short in such account(s), all without the need of notice or demand for margin, additional security or collateral, or notice of sale or purchase, or any other notice or advertisement, all of which are hereby waived. Any such sales or purchases may be made at your discretion and you may be purchasers or sellers for your own account. Notwithstanding the foregoing, I/we shall, at all times, be liable for the payment of any amount owing on my/our account(s) with you upon demand and that I/we shall be liable for any deficiency remaining in any such account(s) in the event of the liquidation thereof in whole or in part by me/us or by you. For the purpose of buying, selling, or performing other acts pursuant to the above paragraph, I/we hereby irrevocably appoint you, your successors or assigns, as my/our attorney in fact with power to buy, sell or act, for any of my/our account(s) (whether carried individually or jointly with others), to agree upon the price of said securities, execute bills of sale, receipts, assignments of all my/our rights, title and interest to the purchaser(s) thereof. You are also authorized to deliver or accept delivery of the corresponding stock certificates and/or any portions of the securities held under any of my/our account(s) (whether carried individually or jointly with others) and herein pledged, to be transferred to your name or your nominee.

I/we understand that you maintain a "Customer First" policy. When you execute buy or sell orders for your own account, you will prioritize my/our orders.

5. **Fees and Charges.** In consideration of the foregoing, I/We hereby agree to pay USI commission at such rates as may from time to time be communicated to me/us, transfer fees and all fees relative to the purchase and sale of securities, documentary stamp taxes, and other levies and duties thereon. The amount due herein shall be delivered in full within the same period required under paragraph 11. I/we agree to pay the then current fees and charges upon my/our purchase and sale of securities. I/we acknowledge and agree that such commission rates and fees are subject to change at any time, with reasonable notice by posting such notice on the Website or by other means, and I/we agree to be bound thereby. I agree to regularly check the Website, which in no case at least once-a-month, for updates on the rates fees and charges to my prospective transactions. Current fees and

charges are listed on Annex A. I/we undertake to not withhold, suspend, discontinue, alter or modify any payment or obligation arising from this Agreement for any reason including the existence of any dispute, claim or allegation against the Unicapital Group.

6. **Trading Periods.** I/we understand that currently, the PSE pre-open period is from 9:00 a.m. to 9:29 a.m., that trading hours are from 9:30 a.m. to 11:59 a.m., market recess from 12:00 nn to 12:59 p.m., market resumes at 1:00 p.m., pre-close period is from 2:45 pm to 2:49:49 pm, and that the runoff period is from 2:50 p.m. to 3:00 p.m., Philippine time. These may change to any other periods that the PSE may otherwise prescribe. Orders given by me/us outside of these PSE periods (off-hours) shall be queued and posted on the next pre-open period on a first-come-first-served basis.
7. **Risks.** I/we am/are aware that all investments involve risk. In particular, investments in low priced securities, initial public offerings, or options may entail an increased risk of loss and may not be suitable to all investors. I/ We acknowledge that there is an inherent risk that losses may exceed the principal amount I/we invested. **THE PRICE OF SECURITIES CAN AND DOES FLUCTUATE, AND ANY INDIVIDUAL SECURITY MAY EXPERIENCE UPWARD OR DOWNWARD MOVEMENTS, AND MAY EVEN BECOME VALUELESS. THERE IS AN INHERENT RISK THAT LOSSES MAY BE INCURRED RATHER THAN PROFIT MADE AS A RESULT OF BUYING AND SELLING SECURITIES.** I/we understand that all of my/our orders are based upon my/our investment decisions and are unsolicited and I/we will not hold, nor seek to hold you or any of your officers, directors, employees, agents, subsidiaries or affiliates, liable for any trading losses or other losses incurred by me/us. I, along with my transferees, assignees and successors, firmly and unconditionally warrant to forever release, hold free and harmless, and fully indemnify the Unicapital Group against any and all forms of direct and third-party claims, losses, damages, charges, fees and expenses of whatever nature, expected, real, inchoate, or apparent, which it may now or in the future have directly or indirectly arising from or related to all relations, contracts, transactions, and arrangements with you, including this Agreement.
8. **Non-Disparagement.** I shall not commit any act which directly or indirectly tends to or proximately causes the disparagement or denigration to the Unicapital Group. This includes not making statements or expressions in mass media or social media which would adversely affect USI or UTrade's reputation.
9. **Non-Solicitation.** I shall not for my own interest or for that of any third party directly, indirectly cause or attempt to solicit, engage, enter into negotiation, tender any offer, employ, divert or attempt to divert in any manner any current or prospective client, customer, officer, employee, personnel, consultant, agent, or contractor of the Unicapital Group.
10. **Confirmations, Account Statements and Other Notices.** I/we agree to accept confirmation of purchases and sales, and receive monthly statements of account and other account information and related documents through my/our mailing address or at any such other addresses as I/we may hereafter give to you in writing or electronically through email or the Website. It is understood that in the event of any failure to notify you in writing of any change of address, all communications shall be directed to my/our last known address appearing in your records. All communication so sent, whether by mail, email, telegraph, telephone, fax, messenger, posted on the Website or delivered otherwise shall constitute personal delivery to me/us and be deemed delivered and received by me/us whether actually received or not. If I/we am/are a user of the Online Trading Facility, I/we agree to accept/receive the above-mentioned documents electronically through the Website. This is in line with the SEC's grant of exemptive relief to USI from the Rule on Order Ticket [SRC Rule 52.1(7)]; the Rule on Confirmation of Customer Orders [SRC Rule 30.2(2)] and the Rule on Customer Account Statements [SRC Rule 52.1(8)] for its online clients.

It is agreed that all communications, whether by electronic mail or through any other means sent to me/us at the address appearing in USI's records shall constitute personal delivery to me/us; and that in the event of my/our failure to notify USI in writing of any change of address, all communications shall be directed to my/our last known address appearing in USI's records. It is further agreed that all communications sent to my/our indicated address shall be conclusive as to their correctness, in the absence of any written objection received by USI within twenty-four (24) hours from the time the communications were sent to said address. Further, it is understood that if I/we subscribe to the facsimile transmission or electronic mail confirmation of customer orders, I/we are required to attest to the accuracy of the information communicated by replying via facsimile transmission or electronic mail to USI not later than 12:00 noon of the next business day, failing at which, the said information shall be presumed accurate unless proven otherwise.

11. **Settlements.** It is agreed that all securities purchased will be settled not later than 11:00 a.m. of the second (2nd) trading day



after transaction date, or the Settlement Date, without need of any notice or demand. It is further agreed that interest charges at the prevailing interest rate and penalties irrespective of their origin, including those that may be incurred by you shall be imposed for each day of my/our delayed payment and such securities purchased shall be registered in your name until such time that it is fully paid. In the event of my/our failure to pay, any upward or downward fluctuation in the market price shall be for my/our account and at my/our risk, until actually sold or disposed of. It is understood that the securities market is a rapidly changing market and attached are the inherent risks of incurring losses in securities transactions. Therefore, I/we hold you free and harmless against any and all costs, losses, damages, fines, penalties, and taxes which may arise out of the exercise of your powers and functions duly authorized. Furthermore, I/we hereby authorize and empower you, without of prior notice and demand, at your own discretion to sell all or a portion of my/our securities which I/we guarantee to be free from any and all liens and encumbrances to cover unpaid orders or balances, without prejudice to your right to collect the remaining liability after the sell-out. All orders for the purchase of securities will be on cash basis unless T+2 settlement or margin trading is explicitly approved by you.

- 11.1 In case of cash basis, I/we hereby undertake that y/our account must contain sufficient funds to cover the purchase price of the securities, your commission, and all the applicable costs attributable to me/us as the buyer. Any order inadvertently accepted and executed without sufficient funds in the account will be subject to cancellation or liquidation at your discretion.
- 11.2 I/we am/are responsible for all of my/our orders, including any orders which exceed available funds or trading limit in my/our account.
- 11.3 If full funds are not available in the account and an order is processed, my/our payment via Bank Name direct pledge, wire, personal check, cashier's check or money order made payable to you must be promptly submitted to you to assure that such payment will be received and processed on or prior to 11:00 a.m. of the Settlement Date. If payment is not received by Settlement Date, or as market conditions warrant, my/our account may be liquidated, without prior notification. In the event that my/our account is liquidated, I/we will be liable for any resulting losses and all associated costs, including any deficiency, incurred by you.

You will receive dividends on my/our behalf, and will credit my/our account, unless otherwise you have been expressly instructed by me/us to issue a check within 30 days after the payable dates. I/we will be notified of any subscription rights received by you for my/our account. I/we agree that all of your payments will be made to the exact registered account name.

12. **Lodgement.** The transfer of registration of stock certificates in accordance with my/our instructions shall be subject to the regular course of clearing and compliance by the Clearing House/transfer agents with USI's transfer instructions. Certificates shall be issued under USI's name unless payment is received within twenty-four (24) hours from purchase or as otherwise required or instructed by me/us. Payments made by check shall have effect of payment when cleared by the drawee bank. My/Our failure to pay on the date specifically required by USI or on the second (2nd) day from the date of purchase, whichever is earlier shall immediately, and without need of notice or demand, authorize USI to sell the Securities for my/our account.
13. **Fund Distribution Service.** USI, as SEC Registered Broker Dealer in Securities has licenses to distribute mutual funds or unit investment trust funds (UITFs) from different accredited mutual fund company and/or fund providers. I may choose to invest on this kind of products subject to applicable laws and regulations. I undertake to abide by and comply with USI's policies, rates and procedures in transacting mutual funds and/or UITFs. In I you choose to transact mutual funds and/or UITFs, I shall satisfy the following requirements, among others: (1) to complete all necessary documents; (2) to be bound by the terms and conditions of each chosen fund/s, including those governing subscription and redemption; (3) to pay all fees in connection to the investment in the funds; and (4) that all references to the word "securities" in this Agreement shall be deemed to include such funds, all references to "buy", "buying", and "purchase" of such securities shall be deemed to include subscription to such funds, and all references to "sale", "sell", and "selling" of such securities shall be deemed to include redemption of such funds.
14. **Online Trading Facility.** The Terms and Conditions for the Online Trading Facility are incorporated by reference herein and are made an integral part of the general Terms and Conditions as if fully set forth herein:
 - 14.1 I/we acknowledge that the Online Trading Facility and the Website, including the software and other contents thereof, are proprietary to you. I/we warrant and undertake that I/we shall not attempt to tamper with, modify, decompile, reverse engineer or otherwise alter in any way, or attempt to gain unauthorized access to any part of the Online Trading Facility or Website or any of the contents thereof. I/we also undertake to immediately notify you if I/we become aware of any actions described above being perpetrated by another person or entity.
 - 14.2 I/we agree that, as a condition of using your Online Trading Facility, I/we shall notify you within twenty-four (24) hours if:
 - 14.2.1 I/we placed an instruction through the Online Trading Facility and I/we do not receive an accurate acknowledgement, in any acceptable form, of my/our instruction or its execution;
 - 14.2.2 I/we receive acknowledgement, in any acceptable form, of a transaction which I/we did not instruct or any similar occurrence; or
 - 14.2.3 I/we become aware of any unauthorized use of my/our access code.
 - 14.3 I/we acknowledge and agree that if I/we fail to immediately notify you when any of the above situations occur, you will not have any liability to me/us, or to any other person whose claim arises from me/us.
 - 14.4 I/we acknowledge that I/we am/are solely responsible for any and all orders placed electronically in my/our account(s). Any investment decision that I/we make or investment strategy that I/we utilize is done so at my/our sole discretion and at my/our own risk. I/we understand that you provide no tax, legal, or investment advice of any kind, nor give advice or offer any opinion with respect to the nature, potential value or suitability of any particular securities transaction or investment strategy. I/we further understand that while I/we may be able to access financial or investment information or services through your Online Trading Facility, the availability of such information does not constitute a recommendation to buy or sell any of the securities discussed therein, or utilize any investment strategy. Any investment decisions I/we make will be based solely on my/our own evaluation of my financial circumstances and investment objectives. Any order entered using my/our password is mine/ours. If third parties gain access to your services, including my/our accounts, I/we will cooperate in defending and indemnifying you against any liability, costs or damages arising out of claims or suits based upon or relating to such access and use.
 - 14.5 I/we understand and agree that you have the sole discretion to restrict trading on my Online Trading Facility or to cancel the same, at any time and without need of prior notice to me/us.
 - 14.6 I/we understand that you will not be responsible for the accessibility of, transmission quality, outages to, or malfunction of any telephone circuits, computer hardware or software (including viruses and bugs) or related/incidental problems.
 - 14.7 I/we agree that you shall not be liable for my inability to use the Online Trading Facility or for the access of the Website due



- to any unauthorized actions or transactions using my/our customer ID and password, or for any other cause beyond your control.
- 14.8 I/we agree that you reserve the right to suspend service and/or deny access to the Online Trading Facility, without prior notice, during scheduled or unscheduled system maintenance, repairs and upgrades. I/we also agree that you have the right to modify or enhance the Website or any of its pages and features at your sole discretion and without prior notice.
- 14.9 I/we understand that the Internet service for the Online Trading Facility is provided on a best-efforts basis by third party Service Providers. Since you are not the provider of the Internet Service, you shall not be liable for performance, acts, or omission of the said Internet service. Reasonable care and diligence has been taken by you in the choice of your Service Providers for the Online Trading Facility. However, there can be no assurance about the performance and availability of such facility through the Internet, and no such assurance is hereby made, and no assurance shall be deemed to have been made by you by virtue hereof.
- 14.10 I/we understand that entering an order with you, including market orders, does not guarantee execution of the order, and I/we agree that you shall not be responsible for any order that is not executed. I/we understand that you have the right to break any executed transaction on the grounds that it was, in your opinion, "clearly erroneous". You shall not be deemed to have received any order electronically transmitted by me/us until you have actual knowledge of such order. When I/we place a request to cancel an order, the cancellation of that order is not guaranteed. My/our order will only be cancelled if my/our cancellation request is received by the PSE and tallied with my/our order before my order is matched up or executed. During market hours, it is rarely possible to cancel my/our market order as market orders are subject to immediate execution. I/we will not assume that any order has been executed or cancelled until I/we have received a transaction confirmation from you via the Website. I am aware that you, from time to time, receive late reports from the PSE reporting the status of transactions. Accordingly, I/we may be subject to late reports related to orders that were previously unreported to me/us or reported to me/us as being expired, cancelled, or executed. In addition, any reporting or posting errors, including errors in execution prices, will be corrected to reflect what actually occurred in the market place.
- 14.11 For use of the Online Trading Facility, I/we will create a password to enable me/us to place orders and access account information through the Website. I/we am/are the sole and exclusive owner and the only authorized user of such password and accept sole responsibility for use, confidentiality and protection of the password as well as for all orders and information changes (i.e., account profile changes such as change of address, etc.) entered into my/our account using such password. Any account profile change is as good as if I/we signed it on my original CAIF. I/we shall be liable for all transactions placed through the Online Trading Facility resulting from the use or misuse of my/our password. I/we accept full responsibility for the monitoring and safeguarding of my/our account(s). I/we will immediately notify you in writing, delivered via e-mail and registered mail, if I/we become aware of any loss, theft or unauthorized use of my/our password and account number; or any failure by me/us to receive a message from you indicating that an order was received and executed; or any failure by me/us to receive an accurate written confirmation of an execution; or any receipt by me/us of confirmation of an order and/or execution which I/we did not place; or any inaccurate information in my/our account balances, securities positions, or transaction history. You shall not be liable for any transaction or losses from my/our account despite receipt of my/our notice of loss or unauthorized use of my/our password if such transaction or loss occurred at or prior to the system tagging of my/our accounts, or failure of the computer machine to register such notice of loss or for any reason whatsoever. If I/we forget my/our password, I/we must answer a challenge question online, and the system generated password will be sent to my/our registered email address. I/we will immediately change this password upon receipt.
- 14.12 You will accept any amendments to my/our account profile as requested by me/us through my registered email address.
- 14.13 The risks attendant to the use of the Online Trading Facility shall be for my/our account in as much as the use of the Online Trading Facility is electronically and system generated. I/we authorize you to make transactions in accordance with the order details received via the Online Trading Facility. You and your affiliates will not be liable for any consequential, incidental, special or indirect damage (including lost profits, trading losses, and damages) that result from inconvenience, delay or loss of the use of the Online Trading Facility even if you have been advised of the possibility of such damages. The use and storage of any information including, without limitation, the password, portfolio information, transaction activity, account balances and any other information or orders available on my/our personal computer is at my/our own risk and is my/our sole responsibility. I/we am/are responsible for providing and maintaining the communications equipment (including personal computers and modems) and telephone or alternative services required for accessing and using the Website or related services, and for all communications service fees and charges incurred by me/us in accessing the Website or related services.
- 14.14 I/we understand that the PSE Data is copyright-protected. I/we agree not to frame or deep/direct link any information/webpage taken from the Website. This includes all information available to me/us before and after logging on to the Website.
15. **Direct Market Access Rules.** I/we undertake to (each) be bound by the following:
- 15.1 Duties, obligations, and rights – I understand that I am only permitted to enter orders to buy or sell securities including any modifications and cancellations directly into the PSE trade matching system for automatic execution without any intervention by you as long as I abide by my duties and obligations under this Agreement and as long as I comply with the PSE's Rules on Direct Market Access (DMA), which I shall keep myself updated of. I understand also that my rights are governed by this Agreement and PSE's Rules on DMA.
- 15.2 DMA client's obligation – I warrant to keep myself updated of and comply with my obligation to execute orders in compliance with the Securities Regulation Code, Exchange rules and other pertinent laws, rules and regulations.
- 15.3 Risk parameters identified in the PSE DMA rules and USI's DMA Manual such as the Pre-Trade Risk Filters, Risk Management Protocols and other risk filters are embedded in the Online Trading Facility.
- 15.4 Situations in which DMA Client's orders may not be executed or cancelled – (a) breach of threshold/no available cash or stock position/ halt issues/suspended issues, (b) GTC order will automatically be cancelled once there are changes in the issuer details such as change in board lot/change in name/par, (c) any situation that PSE cancelled the trades which will be automatically cancelled in the system, or (d) deemed by USI as constituting a breach of this Agreement, or contrary to laws, rules, or regulations. I/We hold you free and harmless against any and all costs, losses, damages, fines, penalties, and taxes arising from such non-execution or cancellation.
- 15.5 Process of DMA Order posting and execution – Via Website or mobile application.
- 15.6 Service level commitment:



- 15.6.1 Severity 1 - Produces an emergency situation in which the entire USI Trading System is inoperable, or fails catastrophically, which cause severe impact to trading service on any business day. Response time is within 2 hours with 90 Percent of incidents to receive a response within 2 hours and turn-around time of resolution is within 0.5 day with 100 Percent of incidents to be resolved within the day.
- 15.6.2 Severity 2 - The USI Trading System is usable, but seriously affected or performance degrades substantially under reasonable load. No workaround is available. Response time is within 4 hours with 85 Percent of incidents to receive a response within 4 hours and turn-around time of resolution is within 2 days with 95 Percent of incidents to be resolved within 5 days.
- 15.6.3 Severity 3 - Produces a noticeable situation in which USI Trading System is usable, but some functions are not performing in an expeditious manner as designed and the user suffers some impact. Response time is within 3 days with 85 Percent of incidents to receive a response within 3 days and turn-around time of resolution is within 14 days with 95 Percent of incidents to be resolved within 14 days.
- 15.6.4 Severity 4 - Produces an inconvenience situation in which the use of USI Trading System is affected in some ways but can be reasonably correctable by a documentation change or by a future, regular release from the systems provider. Response time is within 5 days with 85 Percent of incidents to receive a response within 5 days and turn-around time of resolution within 3 Months with 95 Percent of incidents to be resolved within 3 months.
- 15.7 Alternative means of order posting, modification or cancellation – If the Online Trading Facility is un-accessible, DMA orders can be posted via broker- assisted executions or through alternative trading platform/s of USI.
- 15.8 Consent to the submission of any electronic recording – I consent to the submission of any electronic recording of online transactions to all concerned regulatory bodies.
- 15.9 USI's right to act on a DMA Order – To ensure fair and orderly trading, I acknowledge USI's right to act on a DMA Order to ensure fair and orderly trading. Your actions may include modifying or cancelling trade orders.
- 15.10 Instances when DMA Services may be cancelled or terminated – You or the PSE may cancel or terminate any part or all of the DMA Services when or when you found to have violated the PSE and SEC rule and the significant provision of this agreement.
- 15.11 Possibility of risks – I acknowledge and understand that in any part of the processing of DMA transactions, there may be discrepancy in the data displayed, technical glitches, delayed execution and other risks associated with DMA transactions and their technical aspects.
- 15.12 Agreement to be bound by and liable under laws and rules – I knowingly and without reservation fully agree to be bound by the Philippine securities laws, rules of the Exchange, CMIC and clearing agency and other pertinent laws, rules and regulations and shall be held liable for any breach of such laws, rules and regulations
- 15.13 Non-liability of the PSE – I undertake to not hold liable the PSE, its directors, officers and employees for all damages directly or indirectly suffered as a result of the use or availment of the DMA Services.
- 15.14 DMA Services – As used herein, I understand that "DMA Services" are the services that allow the bona fide clients of USI to place buy or sell orders for securities without trading participant intervention. DMA Services can be Automatic Order Routing or Sponsored Access as defined by the PSE's Rules on DMA.
16. **Collateral.** Any and all securities or contracts relating thereto, now or hereafter held or carried by you in any of my/our account(s) (either individually or jointly with others), are to be held by you as security or collateral for the payment of any liability to you in any of the said account(s), with the right on your part to transfer moneys or securities from any one account(s) to another when in your sole and exclusive judgment, such transfer may be necessary; and all such securities and commodities may, from time to time, and without notice be pledged and re-pledged by you, either separately or in common with other securities or commodities, for any amount due upon my/our account(s), without you retaining in your possession or control for delivery a like amount of similar securities or commodities. You are specifically authorized to lend, either separately or with other securities, to yourself or to others, any of my/our securities held by you as collateral for all my/our liabilities to you. In addition to the foregoing, I/we authorize you to set off any amount payable by USI pursuant to this account against any amount owing from me /us pursuant to this account or any of my/our accounts held or carried by USI (either held individually or jointly with others) which are due and demandable.
17. **Dormancy.** Accounts which have no trading transactions for twenty-four (24) months shall be charged and deducted a maintenance fee, to be determined by USI, starting on the twenty-fifth (25th) month. For accounts with no trading transactions for thirty-six (36) months, you may: (a) uplift securities (in order to obtain physical certificate(s)) at my/our expense, and if needed (b) sell the securities and apply the proceeds to my fees and charges (maintenance fees, upliftment charges, postage or delivery costs, other expenses), and do otherwise as instructed by the regulators; and (c) appropriate, sell, or otherwise encumber all my/our securities and funds, pledge or margin trading facility. I/We hereby hold you completely free and harmless from any and all liabilities, claims, and demands arising from the result of this provision.
18. **Joint Account.** If I/we, the undersigned, shall consist of more than one person, the obligations and liabilities shall be joint and several. Failure to state upon opening that an account is an "and" or "or" joint account, shall be construed to mean a joint "or" account.
- Each party to a joint "or" account is a principal, with joint and several liability and is privileged to operate same separately and independently of the other and to withdraw all funds, assets and securities unless otherwise specified in writing by the parties to such joint and several account.
- Each party to a joint and several "or" account hereby grants authority to the other party to transact, endorse and accept on behalf of each other, money, securities and other assets of every kind, which are originally in the sole name of one party, and after which shall become common fund of such joint and several "or" account.
- 18.1 All money, securities, and other assets of every kind payable or deliverable under joint account may, in the event of death of one accountholder, be paid or delivered to the survivor (as joint tenant) and it is hereby authorized that same be so paid, or the survivor may transfer the account to himself/herself, upon his/her own signature and the production of a written notice and properly certified death certificate of the deceased party.
- 18.2 Any joint owner without right of survivorship account as specified agrees that, upon the death or disability of either party, the survivor shall immediately provide written notice of such event to you within twenty-four (24) hours. All transactions thereafter affecting a non-survivorship account must be at the joint discretion and upon the joint signatures of the legal representative of the affected party and the survivor. You shall not be liable for transfers, payments or other transactions that occur in my/our account prior to receipt of such written notice. You shall be held harmless and free from any liability by reason of your



compliance with any notice or direction mentioned in this paragraph.

18.3 If I/we hold this account jointly with (an)other individual(s) under an "and" arrangement, I/we understand and agree that the instruction, signature and written conformity of all the other members of my/our account must be given before you can act upon any transaction. The death of any one of us shall have the same effect as stated in paragraph 18.2 above.

19. **Information.** USI shall maintain the confidentiality of the information obtained from me/us and shall not disclose such information to unauthorized persons, except as otherwise provided herein.

I/we acknowledge that applicable laws may require the disclosure of information relating to me/us, my/our transactions, and/or my/our account, to a regulatory body or governmental authority, such as but not limited to the SEC, PSE, CMIC, clearing agencies, or depositories. In such an event, I/we authorize you to disclose all such information and to provide such authorities with all documents in your possession as may be requested by the authorities in the course of an investigation, examination, official inquiry or as part of the surveillance procedures or compliance with other pertinent laws.

20. **Tender Offer.** In case of a tender offer made pursuant to a proposed delisting, and my/our shares are kept with USI or UTrade, I/we hereby authorize USI, at its discretion, to tender my/our shares on my/our behalf unless otherwise instructed by me/us in writing.
21. **Stock Rights and Other Events Affecting Securities.** I/we am/are responsible for knowing the rights and terms of all securities in my/our account(s) and for monitoring the occurrence of any reorganizations or other events (e.g. stock splits and reverse stock splits) involving my/our securities. I/we acknowledge that certain securities may grant me/us valuable rights that may expire unless I/we take action on these rights. Subject to paragraph 20 hereunder, I/we understand that, except as required by law, you are not obligated to notify me/us of reorganizations or other events affecting the rights granted by my/our securities or, without specific instructions from me/us, to take any action on my/our behalf with respect to such events.
22. **AMLA.** I/we authorize you to make the necessary verifications, records, reports, submittals and other processes, and performance of any act and to disclose information and supply any supporting documents to local and/or international government entities, and USI's subsidiaries and affiliates, for the purpose of complying with the Anti-Money Laundering Act of 2001 (AML A), as amended, the Terrorism Financing Prevention and Suppression Act, its implementing regulations, international anti-money laundering laws and regulations, and other laws or rules regulating my/our account. I/we shall provide you with, and allow you to have access, to any and all information, records and documents, as may be necessary or required by you and/or its authorized representative in connection with this provision.
23. **US Person Declaration.** I/we undertake to inform you whether or not I/we am/are a U.S. person in relation to the FATCA. I/we shall provide the necessary information for this purpose, including but not limited to, my/our U.S. taxpayer identification number, and shall comply with documentation requirements per U.S. regulations. In compliance with FATCA, in the event that the Company discovers that the I/we am/are a U.S. Person, you are hereby absolutely and unconditionally authorized to report and disclose to the U.S. Internal Revenue Service the required information. Any information that will affect the accuracy of such declaration shall be immediately reported to you. I/we acknowledge that you shall operate my/our account on the basis of such declaration.
24. **Indemnification.** I/we shall hold you, the Unicapital Group, its respective directors, officers, and employees, agents, and representatives, free and harmless from the consequences arising out of the disclosure and authority as mentioned above and hereunder, including under FATCA, AMLA, Data Privacy Act of 2012 and other laws and regulations requiring disclosure of information related to me/us and my/our account. I/we hereby undertake to indemnify you, the Company, its respective directors, officers, and employees, agents, representatives, assigns, successors-in-interest, for any and all costs, penalties and expenses that the latter may incur in prosecuting and/or defending against any and all liabilities, demands, claims, actions, suit, losses or damages whatsoever that may be instituted arising from or connected from the disclosure of information.
25. **Void Transaction.** You are authorized to void this contract without prior notice or to cease contracting business with me/us for reasons including, but not limited to, my/our delinquency in settling accounts or failure to deliver shares sold within prescribed deadlines.
26. **Closing of Accounts.** I/We hereby authorize you to close any of my/our accounts, without need of prior notice to and consent from me/us, in case my/our account is (i) misrepresented in matters concerning my/our identity, nature of business and/or any other pertinent information, (ii) use for illegal activities or (iii) there is reason to believe that the Account or transaction is in any way related to an unlawful activity or offense and reported to the AMLC or other regulatory agency or (iv) in any other event when the continuation of the account is not in the best interest of the Unicapital Group, or (v) as may be required by law(s) or regulation(s). Further, I/We understand that you may close my/our account at your discretion, with prior notice to me/us, for valid grounds, including but not limited to (1) my/our violation of the provision of this Agreement or other policies and procedures imposed by the Company; (2) my/our unprofessional conduct or behavior towards any director, officer, employee, agent or duly authorized representative of the Company; (3) my/our refusal to update my/our information after repeated demands from you; (4) my/our account has been dormant and has zero balance; and (5) for any other analogous grounds that are detrimental to the interest of USI.

In the event of closure or termination by reason of my/our misrepresentation, you shall issue a cashier's check for the balance of my / our account. In the event of closure by reason of illegal activities, you shall only release the balance of my/our account from a lawful order of a competent court. You shall send by registered mail or e-mail to my/our last known address or e-mail address indicated in your records, notice of the closure/termination of the account and stating the reason(s) thereof and the manner for me/us to claim or obtain from you the balance of my/our account, if any, and an instruction to submit or return to you the original copy of the investment/stock certificate in my/our possession, if any.

However, in case of the closure was initiated by USI due to, but not limited to, the opening of a fictitious account, submission of falsified/fake documents, misrepresentation, etc., you shall be entitled to hold the release of the funds unless and until I/We have submitted valid, legal and acceptable documents proving that I/We am/are entitled to the funds in the closed account.

27. **Force Majeure.** I/we agree that you will not be liable to me/us for any delay or failure to perform any obligation on your part, or for any loss or damage caused directly or indirectly by any condition or circumstance over which you do not have control, including but not limited to government restriction, exchange or market rulings, suspension of trading, failure of internet service, electronic



or mechanical equipment or communication lines, telephone or other interconnection problems (e.g. if you are unable to access your online service provider), unauthorized access, theft, operator errors, severe weather, earthquakes, floods and strikes or other labor problems, war (whether declared or not), invasion, insurrection, military coup, commotion or usurped power, or by order of any civil authority, or other causes beyond your control.

28. **Death.** In case of my death, medical or legal incapacity, or any analogous circumstance, I or my transferees shall comply with USI's policies, rates and procedures to process and/or wind-up my account. If you, in the event of death of either party to my/our common account, and in reliance upon this instrument, deal with or in any manner pay, deliver to, credit or trust either party to such common account, any and all deeds and things done or suffered by or for either party to such account or in their names and on their behalf shall, as to you, be binding upon the parties to such common account, their representative(s) assign(s), heirs and successors-in-interest.
29. **Litigation.** Unless otherwise agreed upon in writing, any of my/our unpaid accounts shall bear the interest of twelve percent (12%) per annum without need of demand. It is agreed that in the event of any controversy or litigation arising out of this Agreement, your books shall be final and conclusive evidence of the amount due to you. You shall be entitled to reimbursement for all actual expenses of litigation as well as attorney's fees and cost of suit, all of which shall be in amount equivalent to not less than twenty five percent (25%) of the total amount of my/our indebtedness then outstanding to you. Venue for litigation shall be in the proper courts of Makati, and I/we hereby waive any other applicable venue. For material breaches of this Agreement, you may file any action, suit, remedy against me without need of any prior act, including tendering a demand.
30. **Invalidity.** If any provision in this agreement shall be held unenforceable by any court or self-regulatory agency, the invalidity shall be limited to such provision while other remaining provisions shall not in any way be affected.
31. **Revocation.** This agreement shall continue until a signed notice of revocation is received by me/us or from me/us, and in the case of such revocation, it shall continue to be effective as to transactions entered into prior thereto. The closing of an account will not affect the rights and/or obligations of either party incurred prior to the date that the account is closed.
32. **Amendment.** Upon justifiable reason and subject to the approval of USI, you shall be entitled to request to amend the terms of this Agreement, in whole or in part, with advance notice through the Online Trading Facility or in writing. Reference to these "Terms and Conditions" and to any particular condition, in these "Terms and Conditions" shall be interpreted to mean these Terms and Conditions or that particular condition respectively, as changed from time to time in accordance herewith. I undertake to adhere to changes to USI's fees and charges which may be updated from time to time. I undertake to keep myself informed and updated of these updates. I/we acknowledge that you may amend and modify the Terms and Conditions, upon notice given to me/us. Information by Website information, or by regular mail, statement of account messages, electronic mail, fax, courier delivery and/or other alternative modes of communication at my/our last known address/email shall be considered sufficient notice. My/our continued use of your services shall be deemed to constitute acceptance of such changes.
33. **Consent to Recording.** I/we hereby unconditionally and irrevocably authorizes and grants USI the absolute discretion to record or cause the recording, using any device which USI may deem appropriate or advisable (including, without limitation, tape recorders and other recording instruments), any telephone communications or and communication or spoken word between the undersigned and any representative of USI in the course of, or in connection with any transaction or dealing hereunder, which may relate or pertain hereto, and any such recording or any part thereof shall be admissible as evidence in any proceeding. I/we further authorize USI and its representative to replay any such recording for any person or persons as USI shall, at its discretion, deem fit to communicate the contents thereof orally or in writing, or to provide transcription thereof whether in whole or in part, to such other person or persons.
34. **Effectivity.** This Agreement shall take effect upon the date of signing, as indicated below. This Agreement shall inure in favor of your successors and assigns and shall continue until a signed notice of revocation is received.

I/we shall be deemed to have read, understood and agreed to be bound by these Terms and Conditions.

CONFORME:

Authorized Signatory – Signature over printed name / Date

Authorized Signatory – Signature over printed name / Date

Authorized Signatory – Signature over printed name / Date

Authorized Signatory – Signature over printed name / Date





Dear Client,

As part of our due diligence for compliance to the Foreign Account Tax Compliance Act (FATCA) of the United States, kindly answer this questionnaire to enable us to properly classify your account. Additional documentation may be requested from you based on your answers to the questions below. If you do not respond to the request to answer this form or provide additional documentation as may be requested, we shall tag your account as recalcitrant. Thank you for your cooperation.

Table with 2 columns: Question (A-E) and Answer (YES/NO). Includes questions about citizenship, residency, and address.

DECLARATION

I/We represent and declare that the information provided above is true, accurate, complete and updated. I/We understand that the term "U.S. person" means any citizen or resident of the United States.

I/We hereby consent for UNICAPITAL, INC., UNICAPITAL FINANCE & INVESTMENTS, INC. or UNICAPITAL SECURITIES, INC. (collectively "UNICAPITAL") to report my information to regulatory authorities in accordance with the requirements of Foreign Account Tax Compliance Act as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

I/We hereby consent that UNICAPITAL may withhold from my account(s) such amounts in accordance with the requirements of Foreign Account Tax Compliance Act as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

I/We hereby consent that UNICAPITAL may classify me as a recalcitrant account holder and/or suspend, recall or terminate my account(s) and/or facilities granted to me, in the event I fail to provide accurate and complete information and/or documentation as UNICAPITAL may require.

I/We undertake to notify UNICAPITAL in writing within 30 calendar days if there is a change in any information which I have provided to UNICAPITAL.

I/We shall indemnify and hereby holds UNICAPITAL, its directors, stockholders, officers, employees, representatives, agents or other relevant units of UNICAPITAL, free and harmless from and against any and all liabilities, actions, damages, proceedings, losses and/or any and all claims of whatever nature which may be suffered or incurred by UNICAPITAL as a result of or in any way arising from or connected with any false, inaccurate, incomplete or invalid information/documents provided to UNICAPITAL.

Authorized Signatory - Signature over printed name

Authorized Signatory - Signature over printed name

DATE:

Definition: The term U.S. person is described in Section 7701(a)(30) of the United States Internal Revenue Code as:

- (a) a citizen or resident of the United States,
(b) a domestic partnership,
(c) a domestic corporation,
(d) any estate (other than a foreign estate, within the meaning of paragraph Section 7701(a)(31)), and
(e) any trust if (i) a court within the United States is able to exercise primary supervision over the administration of the trust, and (ii) one or more United States persons have the authority to control all substantial decisions of the trust.

THIS SECTION IS FOR UNICAP GROUP FATCA ASSESSMENT: CONCLUSION OF CUSTOMER'S FATCA STATUS

CUSTOMER'S FATCA STATUS: [] US PERSON [] NON-US PERSON

UNICAPITAL SALESMAN/EMPLOYEE NAME SIGNATURE DATE:

UNICAPITAL SECURITIES, INC.
DATA PROCESSING CONSENT AND WARRANTIES

Please read and understand carefully:

I/We willfully provide and will provide Unicapital Securities, Inc. (USI) my personal information and sensitive personal information which may be used to identify, evaluate, and make decisions on me.

I/We grant my consent to USI's collection, recording, organization, storage, updating, modification, retrieval, consultation, use, analysis, profiling, consolidation, sharing, transmitting, blocking, erasure, destruction and other similar processing of my **personal information** and **sensitive personal information** as defined by the Data Privacy Act of 2012 – including but not limited to my name, contact details, personal circumstances, TIN, and other information – for the following purposes:

- (1) To enable or facilitate USI to perform its obligations or enforce its rights with respect to my traditional and online securities brokerage account and instruments such as my Customer Account Information and Agreement Form and Online Trading Services Agreement as well as other foreseeable transactions and arrangements with USI, its parent and affiliates and their respective representatives and authorized agents (Unicapital Group);
- (2) Ensure that my information, status, situation, and activities are in good and acceptable condition for USI to provide or continue providing its services, perform its obligations, enforce its rights, or claim its interests; and
- (3) With respect to me being a client or prospective client of USI, to enable USI to perform its general and usual businesses and services as a securities brokerage firm. These include (i) profiling my credit fitness, risks, and tendencies; (ii) making and acting on decisions about me; (iii) transmitting my information to third parties for collection of my payments; (iv) outsourcing or sub-contracting the transmission, storage, or other processing of my information; (v) submission of information to regulators and auditors; (vi) offering of other services of Unicapital Group; and (vii) transfer of information to third parties in line with any of the above for marketing and for collection.

Our consent authorizes USI to collect, process, use, store or disclose my personal information and sensitive personal information to other members of the Unicapital Group, to regulators and auditors, and to third parties, as may be necessary to fulfill the abovementioned purposes.

I/We continually grant this consent until ten (10) years from the latter of: (i) the existence of a legal or contractual right or obligation of USI to me; (ii) date of last transaction or business relation with USI; or (iii) USI may have use to the information to comply with legal, regulatory or audit requirements or defend its interests against risks or claims.

I/We unconditionally warrant that:

- (1) All information I provide to USI is accurate.
- (2) I obtained the consent of the persons from whom I obtained the information I submitted to USI;
- (3) I shall not disclose to any party any confidential, personal, or sensitive information or trade secret I obtained or learned from USI or its related companies and parties.
- (4) I consent to and will abide by the Privacy Policy of USI at www.unicapital-inc.com/privacy which I will check from time-to-time for updates. I will first attempt to resolve issues by sending an email to dpo.usi@unicapital-inc.com before referring the dispute to any court or authority; and
- (5) I hold free and harmless and fully indemnify USI, its related companies, and their respective shareholders, directors, officers, employees, and representatives for any and all forms of direct and third-party claims, losses, damages, charges, fees and expenses of whatever nature which I may have now or in the future have.

I/We undertake that I fully understood and have no objections to the above. I hereby grant my fully informed consent to all of the foregoing.

Authorized Signatory – Signature over printed name

Authorized Signatory – Signature over printed name

Date: _____



Date:

UNICAPITAL SECURITIES, INC.
3/F Majalco Bldg. Benavidez cor Trasierra Sts.
Legaspi Village, Makati City

RE: CONSENT FORM FOR REITS NoCD ACCOUNT

Dear Sir/Madam,

This is to authorize and instruct Unicapital Securities, Inc. (USI), and its designated employees and agents, to act as my Broker-Dealer and Philippine Central Depository (PCD) Nominee to create a Name on Central Depository (NoCD) Account or sub-account for Real Estate Investment Trusts (REITs).

I consent to the collection, use, and sharing of my information to USI and Philippine Depository and Trust Corporation (PDTCC) for processing and retention of my personal information for purposes of creating and managing of the NoCD sub-account to hold and trade my assets, including automated processing and decision-making of manual and computerized systems on and for NoCD. I shall provide and maintain with USI accurate and complete information and disclosures about me and my accounts at all times.

The undersigned beneficial owner shall hold USI free and harmless from any risk, loss, damage and liability arising from or related to all acts and decisions in pursuance and related to the foregoing.

Thank you.

Very truly yours,

Authorized Signatory – Signature over printed name

Authorized Signatory – Signature over

Date: _____



SPECIMEN SIGNATURE CARD	Individual	
STOCK	Corporate	

For Individual Clients: Please see below side for Specimen Signatures		
Name (Print)		
Mailing Address		
T.I.N.	Tel. No.	Citizenship:
Please sign twice		
IMPORTANT: Certificates will not be transferred unless specimen signature of the stockholder is on file with the transfer agent of the company. For your protection, please fill out this card and return to UNICAPITAL SECURITIES, INC. 3/F Majalco Building, Benavidez cor. Trasierra Street Makati City.		Signature verified: <p style="text-align: center;">UNICAPITAL SECURITIES, INC.</p>

For Corporate Clients Only:	
Corporate Officers authorized to sign and endorse certificates:	
Name & Position	Specimen Signatures
1)	1)
	2)
2)	1)
	2)
3)	1)
	2)
4)	1)
	2)
IMPORTANT: Certificates will not be transferred unless specimen signature of the stockholder is on file with the transfer agent of the company. For your protection, please fill out this card and return to UNICAPITAL SECURITIES, INC. 3/F Majalco Building, Benavidez cor. Trasierra Street Makati City.	
Signature verified: <p style="text-align: center;">UNICAPITAL SECURITIES, INC.</p>	



CHECKLIST OF REQUIREMENTS CORPORATE ACCOUNT

LOCAL CORPORATION	RESIDENT FOREIGN CORPORATION	NON-RESIDENT FOREIGN CORPORATION
1. Customer Account Information Sheet (originally signed by the authorized signatories)	1. Customer Account Information Sheet (originally signed by the authorized signatories)	1. Customer Account Information Sheet (originally signed by the authorized signatories)
2. General Terms and Conditions and Terms and Conditions of Safekeeping Agreement (originally signed by the authorized signatories)	2. General Terms and Conditions and Terms and Conditions of Safekeeping Agreement (originally signed by the authorized signatories)	2. General Terms and Conditions and Terms and Conditions of Safekeeping Agreement (originally signed by the authorized signatories)
3. Specimen Signature Card for each authorized signatory (authenticated by the Corporate Secretary)	3. Specimen Signature Card for each authorized signatory (authenticated by the Corporate Secretary)	3. Specimen Signature Card for each authorized signatory (authenticated by the Corporate Secretary)
4. Copy of two (2) valid government-issued IDs of each authorized signatory (e.g. Passport, Driver's License, SSS ID, GSIS ID, PRC ID, Voter's ID, etc.)	4. Copy of two (2) valid government-issued IDs of each authorized signatory	4. Copy of two (2) valid government-issued IDs of each authorized signatory's country of domicile **
5. Board Resolution/Secretary's Certificate authorizing the corporation to open a trading account with Unicapital Securities, Inc. and indicating its authorized signatories	5. Board Resolution/Secretary's Certificate authorizing the corporation to open a trading account with Unicapital Securities, Inc. and indicating its authorized signatories	5. Board Resolution/Secretary's Certificate authorizing the corporation to open a trading account with Unicapital Securities, Inc. and indicating its authorized signatories **
6. Certified True Copy of Articles of Incorporation, By-Laws and SEC Certificate of Registration	6. Certified True Copy of Articles of Incorporation, By-Laws and SEC Certificate of Registration	6. Certified True Copy of Articles of Incorporation and By-Laws **
7. Copy of Latest Audited Financial Statement	7. Copy of Latest Audited Financial Statement	7. Copy of Latest Audited Financial Statement **
8. FATCA Form	8. FATCA Form	8. FATCA Form
9. Copy of Latest General Information Sheet duly acknowledged by the SEC	9. Copy of Latest General Information Sheet duly acknowledged by the SEC	9. Copy of Latest General Information Sheet or equivalent document duly acknowledged by the SEC or equivalent regulator **
		10. Copy of latest bank statement issued under the laws of the country of the customer's domicile **
		** authenticated by the Embassy/Consulate of the institution's country of domicile (Philippine Embassy or Consulate)
For Tax Exempt Institutions: A copy of BIR Letter of Exemption/Certificate on top of the above-listed documents		
For Trust Accounts: A copy of the trust agreement on top of the above-listed documents. The agreement shall specify the types of transactions that the trustee is allowed to perform. The trust account must indicate the following information: (1) if it is common, collective or individual account; (2) the name/s of the beneficial owner/s; (3) the name/s of the account owner/s; (4) if acting for his own account or as agent; and (5) if acting as agent, the principal must be specified.		



ANNEX “A” FEES AND CHARGES

TYPE	RATE/AMOUNT	
	PURCHASE	SALE
Commission*	0.25%	0.25%
Prevailing VAT Rate	12.00% of the commission	12.00% of the commission
PSE Transaction Fee	0.005% of the trade value	0.005% of the trade value
SCCP Charges	0.01% of the trade value	0.01% of the trade value
EW Tax (For Institutional Clients)	15% of the commission	15% of the commission
Sales Tax	None	0.10% of the trade value
OTHERS		
Upliftment Fee (Certificate Request)	Php 220.00 per certificate	
Lodgment: Lodgment Fee Cancellation Fee	Php 100.00 per stock Php 77.00 per stock certificate	
Stock Transfer In (EQTrade-In)	Php 75.00 per stock	
Stock Transfer Out (EQTrade-Out)	Php 200.00 per stock	
Bank charges for interbank deposits	Charged as is	
Mail/Courier Fee	Php 200.00 per local delivery	
Bank charges for interbank deposits	Charged as is	
Mail/Courier Fee	Php 200.00 per local delivery	
Stock Investment Certification (For Visa/General Purpose)	Php 100.00 per request	
Certified True Copy of Statement of Account (SOA)	Php 100.00 per request	

