

# Customer Account Information Form

Please fill up clearly in BLOCK LETTERS.



ABCSI is a trading participant of the Philippines Stock Exchange, Inc., member of SCCP and SIPP.

## PERSONAL ACCOUNT

<b>Account Code</b>			
<b>Account Type</b>	<input type="checkbox"/> ONLINE	<input type="checkbox"/> BROKER-ASSISTED	
<b>Credit Facility</b>	<input type="checkbox"/> CASH	<input type="checkbox"/> MARGIN	<input type="checkbox"/> DISCRETIONARY (Additional document required)
<b>Account Ownership</b>	<input type="checkbox"/> INDIVIDUAL <input type="checkbox"/> LOCAL	<input checked="" type="checkbox"/> JOINT <input type="checkbox"/> FOREIGN	<input type="checkbox"/> ITF
<b>Mailing Address</b>	<input type="checkbox"/> PRESENT	<input type="checkbox"/> PERMANENT	<input type="checkbox"/> OFFICE / BUSINESS
<b>Mode of Delivery</b>	<input type="checkbox"/> COURIER	<input type="checkbox"/> FAX	<input type="checkbox"/> E-MAIL

## PERSONAL INFORMATION

### Account Name

#### PRIMARY ACCOUNT HOLDER:

Surname, Given Name Middle Name Suffix

#### JOINT ACCOUNT HOLDER:

Surname, Given Name Middle Name Suffix

### Date of Birth

#### PRIMARY ACCOUNT HOLDER:

Day Month Year

#### JOINT ACCOUNT HOLDER:

Day Month Year

### Place of Birth

#### PRIMARY ACCOUNT HOLDER:

#### JOINT ACCOUNT HOLDER:

### Citizenship

#### PRIMARY ACCOUNT HOLDER:

#### JOINT ACCOUNT HOLDER:

### Sex

#### PRIMARY ACCOUNT HOLDER:

Male  Female

#### JOINT ACCOUNT HOLDER:

Male  Female

### Civil Status

#### PRIMARY ACCOUNT HOLDER:

Single  Married  Widowed  Separated  Divorced

#### JOINT ACCOUNT HOLDER:

Single  Married  Widowed  Separated  Divorced

### Tax Identification No.

#### PRIMARY ACCOUNT HOLDER:

#### JOINT ACCOUNT HOLDER:

### SSS / GSIS No.

#### PRIMARY ACCOUNT HOLDER:

#### JOINT ACCOUNT HOLDER:

### Contact No.

#### PRIMARY ACCOUNT HOLDER:

Telephone: Mobile:

#### JOINT ACCOUNT HOLDER:

Telephone: Mobile:

### E-mail Address

#### PRIMARY ACCOUNT HOLDER:

#### JOINT ACCOUNT HOLDER:

### Present Address

#### PRIMARY ACCOUNT HOLDER:

#### JOINT ACCOUNT HOLDER:

### Permanent Address

#### PRIMARY ACCOUNT HOLDER:

Same as Present Address  Other

#### JOINT ACCOUNT HOLDER:

Same as Present Address  Other

### Employment Status

#### PRIMARY ACCOUNT HOLDER:

Employed  Self-employed  Unemployed  Retired  Student  Others: \_\_\_\_\_

#### JOINT ACCOUNT HOLDER:

Employed  Self-employed  Unemployed  Retired  Student  Others: \_\_\_\_\_

<b>Name of Employer / Business / School</b> <b>PRIMARY ACCOUNT HOLDER:</b>  <b>JOINT ACCOUNT HOLDER:</b>	<b>Occupation / Designation</b> <b>PRIMARY ACCOUNT HOLDER:</b>  <b>JOINT ACCOUNT HOLDER:</b>
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<b>Office / Business / School Address</b> <b>PRIMARY ACCOUNT HOLDER:</b>  <b>JOINT ACCOUNT HOLDER:</b>	<b>Office / Business Contact No.</b> <b>PRIMARY ACCOUNT HOLDER:</b> Telephone: _____ Mobile: _____  <b>JOINT ACCOUNT HOLDER:</b> Telephone: _____ Mobile: _____
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**FINANCIAL PROFILE**

**Source(s) of Funds**

**PRIMARY ACCOUNT HOLDER:**  
 Salary  Business / Investments  Inheritance  Remittances  Retirement Plan  Allowance  Others: \_\_\_\_\_

**JOINT ACCOUNT HOLDER:**  
 Salary  Business / Investments  Inheritance  Remittances  Retirement Plan  Allowance  Others: \_\_\_\_\_

<b>Annual Income (Php)</b> <b>PRIMARY ACCOUNT HOLDER:</b> <input type="radio"/> <100,000 <input type="radio"/> <300,000 <input type="radio"/> <500,000 <input type="radio"/> <1 M <input type="radio"/> >1 M <b>JOINT ACCOUNT HOLDER:</b> <input type="radio"/> <100,000 <input type="radio"/> <300,000 <input type="radio"/> <500,000 <input type="radio"/> <1 M <input type="radio"/> >1 M	<b>Assets (Php)</b> <b>PRIMARY ACCOUNT HOLDER:</b> <input type="radio"/> <500,000 <input type="radio"/> <1 M <input type="radio"/> <5 M <input type="radio"/> <10 M <input type="radio"/> >10 M <b>JOINT ACCOUNT HOLDER:</b> <input type="radio"/> <500,000 <input type="radio"/> <1 M <input type="radio"/> <5 M <input type="radio"/> <10 M <input type="radio"/> >10 M
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**INVESTMENT PROFILE**

**Investment Objective (Rank 1-4 in order of priority)**

**PRIMARY ACCOUNT HOLDER:**  
\_\_\_\_ Preservation of Capital    \_\_\_\_ Growth    \_\_\_\_ Long-term Investment    \_\_\_\_ Speculation

**JOINT ACCOUNT HOLDER:**  
\_\_\_\_ Preservation of Capital    \_\_\_\_ Growth    \_\_\_\_ Long-term Investment    \_\_\_\_ Speculation

**Investment Experience (Choose all that apply)**

**PRIMARY ACCOUNT HOLDER:**  
 None  Time Deposit  Bond  Stocks  Mutual Fund  UITF  Others: \_\_\_\_\_

**JOINT ACCOUNT HOLDER:**  
 None  Time Deposit  Bond  Stocks  Mutual Fund  UITF  Others: \_\_\_\_\_

**DISCLOSURES**

<b>Are you an officer or a director of a PSE-listed company?</b>	<b>PRIMARY ACCOUNT HOLDER:</b> <input type="radio"/> Yes. Specify Company: _____ <input type="radio"/> No. <b>JOINT ACCOUNT HOLDER:</b> <input type="radio"/> Yes. Specify Company: _____ <input type="radio"/> No.
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<b>Are you a director, officer, employee, or shareholder of another broker/dealer?</b>	<b>PRIMARY ACCOUNT HOLDER:</b> <input type="radio"/> Yes. Specify Company: _____ <input type="radio"/> No. <b>JOINT ACCOUNT HOLDER:</b> <input type="radio"/> Yes. Specify Company: _____ <input type="radio"/> No.
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Do you have an account with another broker?

PRIMARY ACCOUNT HOLDER:

Yes. Specify Company: \_\_\_\_\_

No.

JOINT ACCOUNT HOLDER:

Yes. Specify Company: \_\_\_\_\_

No.

**BANK ACCOUNT DETAILS**

Account Name

Account Type

Account No.

Bank

Branch

**WHERE DID YOU LEARN ABOUT AB CAPITAL SECURITIES, INC.?**

Online Sources / Social Media: \_\_\_\_\_

Referred by: \_\_\_\_\_

Seminar / Other Event: \_\_\_\_\_

Others: \_\_\_\_\_

TV, Radio or Print: \_\_\_\_\_

**CONFORME**

By signing below, I acknowledge that I have received, read and agree to be bound by the terms and conditions as currently set forth in ABCSI's Online Trading Service Agreement and as amended from time to time. Under penalty of perjury, I certify that I am of legal age and that all of the information contained in the Client Registration Form is true and accurate.

I have read and hereby understood the Company's Privacy Statement indicated in its Website ([www.abcapitalsecurities.com.ph](http://www.abcapitalsecurities.com.ph)) and freely give my consent to the collection and processing of my Personal and Sensitive Information based on the terms and conditions as stated in the Privacy Statement.

Full Name

PRIMARY ACCOUNT HOLDER:

JOINT ACCOUNT HOLDER:

Date

PRIMARY ACCOUNT HOLDER:

JOINT ACCOUNT HOLDER:

Please sign twice

PRIMARY ACCOUNT HOLDER:

1 \_\_\_\_\_ 2 \_\_\_\_\_

JOINT ACCOUNT HOLDER:

1 \_\_\_\_\_ 2 \_\_\_\_\_

**REQUIRED DOCUMENTS (All required documents must contain complete and correct information and must be originally signed)**

- Customer Account Information Form (2 signatures per account holder)
- Online Trading Service Agreement (1 signature per account holder)
- 2 Signature Cards (2 signatures on each card per account holder)
- Photocopy of ID
  - \_\_\_\_ Filipino Citizen - One (1) valid government-issued ID per account holder
  - \_\_\_\_ Resident Foreigner or Foreigner working in the Philippines - One (1) Government-issued ID (preferably passport or Immigrant Certificate of Registration (ICR)) and (1) Alien Certificate of Registration card (ACR) per account holder
  - \_\_\_\_ Non-Resident Foreigner - One (1) valid government-issued ID (preferably passport) per account holder
  - \_\_\_\_ In-Trust-For (ITF) persons aged below 18 years - Birth certificate of each minor and one (1) valid government-issued ID of each adult account holder
    - ID must not be expired
    - Photocopy must have both photo & signature (ex. PRC ID: back-to-back, Passport: information page & signature page)
    - Signature on ID must match signature on application documents
    - Photocopy must be a clear copy

**FOR ABCSI USE ONLY**

<b>Referring Salesman / Trader</b>	<b>Signature</b>	<b>Date</b>
<b>Managing Referring Salesman / Trader (Discretionary)</b>	<b>Signature</b>	<b>Date Discretion is Granted</b>
<b>Officer(s) Approving the Account</b>	<b>Signature</b>	<b>Date Approved</b>
1	1	1
2	2	2

**BROKER-ASSISTED**

<b>Trading Limit</b>	<b>Commission Rate</b>	<b>Name of Beneficiary</b>	<b>Remarks</b>
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# Specimen Signature Card

Please fill up clearly in BLOCK LETTERS.



## ACCOUNT OWNERSHIP: JOINT ACCOUNT

### Client Name

PRIMARY ACCOUNT HOLDER:

Surname, Given Name Middle Name Suffix

### Address

TIN

Citizenship

Tel. No.

SECONDARY ACCOUNT HOLDER:

Surname, Given Name Middle Name Suffix

### Address

TIN

Citizenship

Tel. No.

### IMPORTANT

Pursuant to the regulations of the Philippine Securities & Exchange Commission, no certificate can be issued to a buyer unless he signs and indicate his citizenship/nationality on this form.

### Please sign twice

PRIMARY ACCOUNT HOLDER:

SECONDARY ACCOUNT HOLDER:

1

1

2

2

Date

Signature Verifier

# Specimen Signature Card

Please fill up clearly in BLOCK LETTERS.



## ACCOUNT OWNERSHIP: JOINT ACCOUNT

### Client Name

PRIMARY ACCOUNT HOLDER:

Surname, Given Name Middle Name Suffix

### Address

TIN

Citizenship

Tel. No.

SECONDARY ACCOUNT HOLDER:

Surname, Given Name Middle Name Suffix

### Address

TIN

Citizenship

Tel. No.

### IMPORTANT

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### Please sign twice

PRIMARY ACCOUNT HOLDER:

SECONDARY ACCOUNT HOLDER:

1

1

2

2

Date

Signature Verifier



**TRADING SERVICE AGREEMENT**

**Terms & Conditions**

In consideration of AB Capital Securities, Inc. (the "Broker") agreeing to act as a broker for the undersigned, I/We (the "Client") hereby confirm my/our consent and agree that:

1. The signature(s) appearing on this form is/are true and the official signature(s) of the above-named account and may be used for verification of the said signature(s) at all times and for all purposes.
2. The Client hereby represents and warrants as follows: (i) he/she is of legal age, has full capacity and is not otherwise disqualified from executing this agreement and complying with the terms and conditions hereof. If the Client is a corporate applicant, the Client further represents and warrants that: (ii) it is a corporation duly organized, validly existing and in good standing under the laws of the Philippines and under the laws of its origin (in case of foreign corporations), (iii) all appropriate and necessary corporate and legal actions have been taken by it to authorize the execution and delivery of this agreement and the performance and observance of the terms hereof. (iv) the signatories and the signature(s) appearing on this form are duly authorized signatories of the corporation, and, (v) in case of a foreign corporation, the execution, delivery, performance and observance of this Agreement by the foreign corporation and by the Broker will not violate the laws of their jurisdiction and the laws of their jurisdiction allow them to enter into and perform this agreement.
3. Orders for the purchase or sale of securities may be made by the Client in writing or by word of mouth, through the telephone or through his authorized representative (subject to the Securities and Regulation Code (SRC) requirements relating to discretionary transactions). The Broker is hereby authorized to rely upon and act in accordance with any and all of such orders. Any action taken by the Broker pursuant thereto shall be binding upon the Client, when the confirmation notice of such order is issued and sent by the Broker in accordance with Section 16 hereof.
4. All transactions shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market (and its clearing house, if any) where executed.
5. The Broker shall exert its best efforts to place and execute any order of the Client for the purchase or sale of securities. The Broker does not warrant that any such order can be placed or executed. Any order by the Client for the purchase or sale of securities shall not be binding upon the Broker unless or until the Broker issues a confirmation notice of such purchase or sale signed by its authorized signatories. Without a written confirmation by the Broker through its authorized signatories, the Broker shall not be bound to any purchase or sale of securities or any agreement, commitment, undertaking or option to purchase or sell securities or any other transaction for, of, or with the Client. Neither is the Salesman or correspondent authorized to represent or warrant for the Broker, concerning the quality or condition of any security of its issuer or seller, and if any such representation or warranty is made, the Broker shall not be responsible for the veracity or accuracy thereof.

The Client acknowledges that 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.

6. For new clients, a fifty percent (50%) deposit is required before executing the initial BUY order. In addition, Corporate Clients must submit a True Copy of the Secretary's Certification of its authorized signatories
7. In case of any BUY order, the Client shall, within three (3) business days from date of purchase by the Broker, pay the cost of securities bought or ordered by the Broker in behalf of the Client. Securities purchased shall be credited to the account of the Client only upon full payment of the account and in any event, within three (3) business days from the date of purchase. In case of SELL orders the Client must have the securities subject of the sell order in custody with the Broker in scripless form, lodged in the Broker's account with the Philippine Depository & Trust Corporation prior to the execution of the sale by the Broker on behalf of the Client. The delivery of stock certificates in physical form will not constitute valid delivery for purposes of settlement of the sell order.
8. The Client shall pay the Broker such commission charges, fees, taxes relating to this Agreement and other reasonable charges which the Broker shall notify the Client.

Account Holder 1	Account Holder 2	Account Holder 3	Account Holder 4
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Signature	Signature	Signature	Signature
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9. Any and all securities and commodities, or contracts relating thereto, now or hereafter held or carried by the Broker in any of the Client's accounts (either individually or jointly with others), are to be held by the Broker as security or collateral for the payment of any liability to the Broker in any of the said account(s), with the right on the part of the Broker to transfer monies or securities from any one account(s) to another when in the sole and exclusive judgement of the Broker, such transfer may be necessary; and all such securities and commodities may, from time to time, and without notice be pledged and repledged by the Broker, either separately or in common with other securities or commodities in case of Client default, for any amount due upon the Client's account(s), without the Broker retaining in its possession or control for delivery a like amount of similar securities or commodities.
10. Each party shall immediately notify the other party in case there is any change in the information provided or representation made by it to the other party in this agreement.
11. The Broker may not effect a transaction for its own account except as provided by the PSE Trading Rules and subject to the SRC's requirement relating to Segregation of Broker Dealer Account and coursing the transaction to the designated Proprietary Trader.
12. The Broker shall have the right, whenever in sole or exclusive discretion, and whenever necessary for its protection, or in the event that: (i) a petition for bankruptcy, or for appointment of a receiver is filed by or against the Client, or (ii) an attachment is levied against the Client's account(s) with the Broker, or (iii) the Client fails to comply with the provision of Section 7 hereof, and in all cases, regardless whether, the account is carried individually or jointly with others: (x) to buy any or all securities and commodities which may be short in such account(s), as well as (y) to transfer money or securities from any one of the account(s) to another, and to close any or all outstanding contracts, 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 the discretion of the Broker or any exchange or other market where such business is then usually transacted, or at public auction or private sale all without need of notice or demand all of which are hereby waived; and in case of sale at public auction or on an exchange, the Broker may be purchasers for its own account. Notwithstanding the foregoing, the Client shall, at all times, be liable for the payment of any amount owing on its account(s) with the Broker upon demand and that the Client 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 the Broker or by the Client.

For the purpose of selling, buying, or performing other acts pursuant to the above paragraph, the Client hereby irrevocably appoints the Broker, its successors or assigns, as its attorney in fact with power to sell, buy or act, for any of the account(s) of the Client (whether carried individually or jointly with others), to agree upon the price of said securities, execute bills of sale, receipts, assignments of all the Client's rights, title and interest to the purchaser(s) thereof. Pursuant to the above paragraph, the Broker is also authorized to deliver or accept delivery of the corresponding stock certificates and/or any portions of the securities held under any of the account(s) of the Client (whether carried individually or jointly with others) and herein pledged, to be transferred to the name of the Broker or its nominee. All acts and things which the Broker may do or cause to be done in accordance with the power herein conferred upon the Broker are hereby deemed ratified by the Client.

13. Any amount due from the Client to the Broker shall bear interest at a rate which shall be determined by the Broker and at which rate shall be equivalent to the cost of the funds of the Broker for maintaining such balances.
14. If the Broker, in the event of death of either party to the 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, and any 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 the Broker, be binding upon the parties to such common account, their representative(s) assign(s), heirs and successors-in-interest.
15. It is agreed that in the event of any controversy or litigation arising out of this agreement, the books of the Broker shall be final and conclusive evidence of the amount due to the Broker. It is further agreed that this agreement and any controversy arising hereunder shall be subject to the provisions of the Philippine Constitution and rules and regulations of the Securities and Exchange Commission ("SEC"), the Philippine Stock Exchange (PSE), the Philippine Depository & Trust Corporation ("PDTC") and the Capital Markets Integrity Corporation ("CMIC") and the Securities Clearing Corporation of the Philippines ("SCCP"), usages and practices of the foregoing, it being understood that the said provisions, customs, usages and practices shall for all intents and purposes be deemed integral parts of this agreement. In the event of any controversy or litigation arising out of this agreement, the Broker 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 the Client's indebtedness then outstanding to the Broker. Venue for litigation shall be in the proper courts of Makati, and the Client hereby waives any other applicable venue.
16. All communications, whether by mail, courier, messenger or otherwise, sent to the address of the Client as given to the Broker from time to time, shall constitute personal delivery to the Client. It is hereby agreed that all communications sent to the Client's indicated address

Account Holder 1	Account Holder 2	Account Holder 3	Account Holder 4
Signature	Signature	Signature	Signature

shall be conclusive and binding on the Client, in the absence of any written objection received by the Broker within twenty four (24) hours from the time the communication was sent to the said address.

For facsimile transactions, email or other electronic confirmations (the client should state his choice of confirmation in the Customer Information form), client must confirm not later than 12 NN of the following business day.

On July 07, 2016, the SEC granted the Broker's approval to use the electronic format of the Customer Account Statement of Account (CAS) (SRC Rule 52.1.8.2 of the 2015 SRC Implementing Rules and Regulations). Clients will receive their CAS in the email address indicated in their Customer Account Information Form. Clients may request for a "paper copy" of their CAS by sending an email to customerservice@abcapital.com.ph.

17. It is hereby further agreed that the terms and conditions printed on this Agreement form part hereof as fully as if they were stated at length over the Client's signature(s) hereto affixed and they are therefore unconditionally agreed to.
18. This Agreement shall likewise take effect immediately, and shall not be revoked by a party except upon five (5) days prior written notice to the other party, and in any event, notwithstanding such revocation, the terms hereof shall continue to be effective as against all transactions entered into by the Broker prior to receipt by the Broker of the written notice of revocation from the Client. This Agreement shall inure in favor of the Broker's successors and assigns and shall continue until a signed notice of revocation is received.
19. References to the SEC, the PSE and the PSE Clearing House shall be deemed to refer also to their successors in interests and assigns.
20. This Agreement shall be governed by and construed in accordance with the laws of the Republic of the Philippines.

By signing below, I/we acknowledge that I/we have read, understood, and agree to be bound by the terms and conditions as currently set forth in ABCSI's Trading Service Agreement and as amended from time to time.

**Account Holder 1**

\_\_\_\_\_

Printed Name / Signature	Citizenship	Date
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**Account Holder 2 (if applicable)**

\_\_\_\_\_

Printed Name / Signature	Citizenship	Date
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**Account Holder 3 (if applicable)**

\_\_\_\_\_

Printed Name / Signature	Citizenship	Date
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**Account Holder 4 (if applicable)**

\_\_\_\_\_

Printed Name / Signature	Citizenship	Date
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**IMPORTANT:** Pursuant to the regulations of the Philippine Securities & Exchange Commission, no certificate can be issued to a buyer unless he signs and indicate his citizenship/nationality on this form. Please send this form to our office at AB Capital Securities, Inc., Units 1210-1212, 12<sup>th</sup> Floor PSE Tower, Bonifacio Global City, Taguig, Philippines.