

UNICAPITAL SECURITIES, INC.
DATA PROCESSING CONSENT AND WARRANTIES

Please read and understand carefully:

I 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 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.

My 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 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 unconditionally warrant that:

- (1) All information I provide to USI are 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 undertake that I fully understood and have no objections to the above. I hereby grant my fully informed consent to all of the foregoing.

PRINTED NAME OVER SIGNATURE / DATE



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www.unicapital-inc.com