

CUSTOMER ACCOUNT INFORMATION AND AGREEMENT FORM

Account Information

CLIENT TYPE			
<input type="checkbox"/> INDIVIDUAL/SINGLE	<input type="checkbox"/> JOINT "AND"	<input type="checkbox"/> JOINT "OR"	<input type="checkbox"/> IN TRUST FOR:
Each account holder shall fill-up a separate Customer Account Information and Agreement Form			
ACCOUNT TYPE			
<input type="checkbox"/> REGULAR	<input type="checkbox"/> ELITE	<input type="checkbox"/> TRADITIONAL	<input type="checkbox"/> MARGIN (Subject to Approval)
			<input type="checkbox"/> DISCRETIONARY (N/A for Regular)
PREFERRED USERNAME (for online clients)		Your default password will be sent via e-mail.	

Personal Information

LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX	GENDER	BIRTHDAY
				<input type="checkbox"/> MALE <input type="checkbox"/> FEMALE	MM DD YYYY
BIRTHPLACE	NATIONALITY	MOTHER'S COMPLETE MAIDEN NAME	TIN	SSS NO./GSIS NO.	
	<input type="checkbox"/> FILIPINO <input type="checkbox"/> OTHERS: _____		_____		
PRESENT ADDRESS	CIVIL STATUS				
	<input type="checkbox"/> SAME AS PRESENT ADDRESS			<input type="checkbox"/> SINGLE	<input type="checkbox"/> MARRIED
PERMANENT ADDRESS				<input type="checkbox"/> SEPARATED	<input type="checkbox"/> WIDOW/WER
MAILING ADDRESS	<input type="checkbox"/> SAME AS PRESENT ADDRESS			<input type="checkbox"/> OTHERS: _____	
	<input type="checkbox"/> SAME AS PERMANENT ADDRESS				
TELEPHONE NUMBER/S	MOBILE NUMBER/S	EMAIL ADDRESS/ES		FAX NO.	

Occupation Details

<input type="checkbox"/> EMPLOYED <input type="checkbox"/> SELF-EMPLOYED <input type="checkbox"/> RETIRED <input type="checkbox"/> UNEMPLOYED <input type="checkbox"/> STUDENT <input type="checkbox"/> OTHERS: _____		
NAME OF EMPLOYER (OR BUSINESS IF SELF-EMPLOYED)	NATURE OF WORK	CONTACT NUMBER/S OF EMPLOYER/BUSINESS
ADDRESS OF EMPLOYER OR BUSINESS		

Spouse Information (For Married Individuals)

SPOUSE COMPLETE NAME	OCCUPATION
NAME OF EMPLOYER (OR BUSINESS IF SELF-EMPLOYED)	ADDRESS OF EMPLOYER OR BUSINESS

Investor Profile

SOURCE/S OF FUNDS (NOT TO BE LEFT UN-ANSWERED)								
<input type="checkbox"/> SALARIES <input type="checkbox"/> PROF. FEES <input type="checkbox"/> RENT INCOME <input type="checkbox"/> INTEREST INCOME <input type="checkbox"/> PENSION <input type="checkbox"/> OTHERS: _____								
INVESTMENT OBJECTIVE (NOT TO BE LEFT UNANSWERED)	FINANCIAL STATUS (NOT TO BE LEFT UNANSWERED)	500K and below	>500K but <=1M	>1M but <=5M	>5M but <=25M	>25M but <=40M	Over 40M	Or in PHP
<input type="checkbox"/> LONG-TERM INVESTMENT <input type="checkbox"/> GROWTH <input type="checkbox"/> PRESERVATION OF CAPITAL <input type="checkbox"/> SPECULATION <input type="checkbox"/> QUICK TRADE	ANNUAL INCOME	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	ASSETS	<input type="checkbox"/>	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>	
BANK ACCOUNT INFORMATION (FOR CLIENT WITHDRAWALS AND BANK DEPOSITS)								
BANK NAME	BANK BRANCH	ACCOUNT NUMBER	ACCOUNT NAME					

BENEFICIARIES (OPTIONAL)						
LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX	RELATIONSHIP	ADDRESS	CONTACT NO.

DISCLOSURES	
IF GOVERNMENT EMPLOYEE:	
POSITION	AGENCY/OFFICE



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Are you a Stockholder, Director, Officer, or Nominee of Unicapital Securities, Inc./UTrade or any other Broker-Dealer, or a relative within the fourth civil degree of consanguinity or affinity of a Stockholder, Director, Officer, or Nominee of Unicapital Securities, Inc./UTrade or any other Broker-Dealer? If YES, please provide the complete details below (attach separate sheet if necessary). YES NO

NAME OF RELATED PERSON	RELATIONSHIP	COMPANY NAME	POSITION/DESIGNATION

Are you a corporate officer or director of a listed company?		Are you an officer or employee of another Broker/Dealer?	
<input type="checkbox"/> YES, provide details below	<input type="checkbox"/> NO, leave below blank	<input type="checkbox"/> YES, provide details below	<input type="checkbox"/> NO, leave below blank
COMPANY NAME	POSITION/DESIGNATION	COMPANY NAME	POSITION/DESIGNATION

MAILING OF INVOICES, MONTHLY STATEMENT OF ACCOUNT AND OTHER COMMUNICATIONS

On 01, July 2015, Unicapital Securities, Inc. was granted by the Securities and Exchange Commission exemptive relief from SRC Rule 30.2-2 and SRC Rule 52.1-8. Henceforth, for UTrade clients, all confirmation invoices, monthly statement of account, and order communications shall be sent to the registered email address of UTrade clients unless the client requests in writing for physical copies thereof..

I affirm that the foregoing information given by me is true and correct. I hereby allow Unicapital Securities, Inc./UTrade to verify and investigate said information and/or secure such other information as may be required by Unicapital Securities, Inc./UTrade. It is understood that all transactions with Unicapital Securities, Inc./UTrade shall be subject to the general terms and conditions of the agreement stated in Customer Account Information and Agreement Form.

Signature Over Printed Name

SPECIMEN SIGNATURE		
Complete Name (Print)		
SIGNATURES (Please sign thrice)		
SIGNATURE 1	SIGNATURE 2	SIGNATURE 3

(For Unicapital Securities, Inc. and/or UTrade's Use Only)

SALESMAN/AGENT ATTESTATION	HEAD OF SALES	Sign:	Date:
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.			
	ENCODED BY	Sign:	Date:
	APPROVED BY OM	Sign:	Date:
_____ <i>Name and Signature of Salesman/Agent</i>			
_____ <i>Date</i>			

CLIENT CODE	PSE/ TRADING ACCOUNT CODE	COMM. RATE	TRADING LIMIT
		Sign:	Sign:



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GENERAL TERMS AND CONDITIONS

This is to confirm my/our understanding that **UNICAPITAL SECURITIES, INC. ("USI")** will act as my/our broker for my/our transactions in Securities. I/We also confirm that all my/our order purchases or sales of Securities shall be subject to the prevailing rules of the Philippine Stock Exchange, Inc. or any exchange in which **USI** is a member, to the regulations of the Securities and Exchange Commission, other government agencies and to the following terms and conditions:

1. For the purpose of selling, buying or performing other acts stated herein. I/We hereby irrevocably appoint and constitute **USI**, its officers, employees, or successors-in-interest and/or assigns, as well as any sub-agent, broker, or attorney-in-fact it may appoint for that purpose, as my true and lawfully attorney-in-fact, with full power and authority to buy or sell, lend or borrow securities, or otherwise act for any of my/our account(s) (whether carried individually or jointly with others), to agree upon the price of the securities, execute bills of sale, receipts, assignments of all my/our rights, title and interests to the purchaser(s) thereof or such other instruments in writing or documents as may be necessary, and to deliver or accept delivery of the corresponding stock certificates, and to do all other acts which **USI** may directly or indirectly do or cause to be done in accordance with the powers herein conferred, all of which are hereby deemed ratified by me/us in all respects. For this purpose, **USI** shall be entitled to rely on any instructions, notices and communications that it believes to have originated from me/us and we shall be bound thereby. 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 used for verification of the said signature(s) at all times and for all purposes. I/We may not assign, transfer or share any right or obligation related to this Agreement without **USI's** prior express written consent.
2. Any order by me/us for the purchase or sale of securities shall be binding on **USI** only upon its issuance of the contract note. **USI** does not warrant that any order placed can be or has been executed unless the contract note is issued. The contents of contract notes sent to my/our address indicated herein shall be deemed conclusive upon me/us as to their correctness, unless within twenty-four (24) hours from receipt thereof, written notice of any objection is served upon **USI**.
3. **USI**, as SEC Registered Broker Dealer in Securities has licenses to distribute mutual funds or unit investment trust funds from different accredited mutual fund company. I/We 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. Should I/we chose to transact Mutual Funds, I/we 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.
4. 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 upon actual transfer of the certificate issued to me/us, other 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 to **USI** within the same period required under paragraph 5.
5. When required by **USI**, I/we agree to make a deposit on all my/our purchases equivalent to the amount stipulated. Securities purchased on my/our behalf shall be registered in the name of **USI** until full payment of the purchase price, which payment shall in no case be made later than as specifically required by **USI**, or three (3) days after the date of the said purchase, whichever is earlier, without need of any notice or demand. **USI** may at its sole discretion, cancel in writing any waiver of deposit for my/our account.
6. 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. Foreign Account Tax Compliance Act (FATCA) requirements and policies as indicated in **USI's** Website.
7. 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 third 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.
8. The proceeds of the sale of securities sold for my/our account, net of the sums owing to **USI** and those mentioned in this Agreement shall be delivered to me/us within three (3) days from the date of the sale or based on market practice of T + 3, whichever is longer, unless I/we direct or otherwise advise **USI** in writing. **USI** shall not be bound to deliver said sale proceeds to me/us unless I/we deliver to **USI**, the instruments evidencing the securities, properly endorsed, or until all amounts which I/we may owe **USI** have been paid in full.
9. **USI** shall send all invoices and notices via email unless either I/we or **USI** elects otherwise.
10. Any and all securities or contracts relating thereto, which are now or may hereafter be held or carried by **USI** in any of my/our accounts (either individually or jointly with others), are to be held by **USI** as collateral for the payment of any claim which **USI** may have against me/us, with the right to transfer monies or securities to another when, in **USI's** judgement, such transfer may be necessary.

In the event my/our cash account is not liquidated within three (3) days from date of purchase or whenever in its sole discretion **USI**, considers it necessary for its own protection, I/we hereby specifically authorize and empower **USI**, without need of prior notice and demand, to sell so much of the securities in my/our account(s) (whether herein carried individually or jointly with others) and herein delivered as collateral, necessary for the payment of any of my/our obligations to **USI**. I/We hereby guarantee that such securities are free from all liens and encumbrances it being expressly understood that in the event that any such liens are later discovered which prevent the subsequent negotiation of the said securities, **USI** may, at its sole discretion, buy back the sold securities and collect from me/us whatever amount **USI** may incur by reason of such buy-back, including damages which it may suffer or may be required to pay. I/We further authorize **USI** to buy, lend, borrow or arrange for the lending or borrowing of any and all securities to cover for any short-selling in such account(s), to transfer monies or securities from any one of my/our account(s) to another, and to settle all outstanding obligations. It is hereby agreed and understood that I/we shall at all times be liable for the payment of any unpaid balance owing, if any, on my/our account(s) together with interest, provided that I/we shall remain liable for any deficiency remaining in any such account(s) in the event of liquidation.

11. I/we agree to pay the then current fees and charges upon my/our purchase and sale of securities. I/we undertake to have sufficient funds in my/our account prior to entering any transaction. 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/We agree to check the Website once-a-month for updates on the rates fees and charges to my prospective transactions. I/We shall update ourselves with current fees and charges by reaching out to **USI**. 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.

12. I/We hereby also authorize **USI**, without need of any further notice from me/us, to pledge any securities beneficially owned by me/us either separately or in common with other securities, for any amount due from me/us on my/our account (s).
13. In addition to the foregoing, **USI** shall be entitled 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.
14. Accounts which have no trading transactions for twenty-four (24) months shall be considered dormant and shall be charged and deducted a maintenance fee of PhP500.00 per month starting on the twenty-fifth (25th) month. For accounts with no trading transactions for thirty-six (36) months, **USI** may: (a) uplift securities (in order to obtain physical certificate(s)) at my/our expense and sell the securities and apply the proceeds to my fees and charges (maintenance fees, upliftment charges, postage or delivery costs, other expenses); and (c) appropriate, sell, or otherwise encumber all my/our securities and funds subject of a Safekeeping Agreement, pledge or margin trading facility. Should any or all of these foregoing measures fail, I/we agree that **USI** will then turn over the assets remaining in my/our account to the SEC (under SRC 52.1-8F) or comply with other requirements of regulators.
15. 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. Losses may exceed the principal amount I/we invested. Additionally, the performance of a security does not guarantee future results or returns. I/we understand that all of my/our orders are based upon my/our investment decisions and are unsolicited and my/our sole responsibility 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.
16. I/We 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.
17. I/We 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.
18. While the securities subject of the foregoing terms and conditions are in **USI's** possession their custody shall be governed by the Safekeeping Agreement which I/we have executed.
19. 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. In the event of any controversy or litigation arising out of this Agreement, **USI** shall be entitled to a reasonable compensation for attorney's fees and costs of collection, which shall not in any event be less than twenty-five percent (25%) of the total amount of my/our indebtedness then outstanding, or One Hundred Thousand Pesos (P100,000) whichever is greater. It is agreed that venue of action for any litigation shall be in the proper courts of the City of Makati, Metro Manila, Philippines, any other venue of suit being waived.
20. I/We understand that the stock market is a rapidly changing market and there is an inherent risk incurring loss in securities transactions, which shall be for my/our account. For this reason, I/we hereby hold **USI** free and harmless against any and all costs, losses, damages, fines, penalties and taxes which it may incur arising out of or in connection with the exercise of any of its functions and powers herein authorized, except those arising from fraud or gross negligence and in the later case, without responsibility for all damages except actual damages.
21. I/we, understand that **USI** will provide me/us with monthly statements of our account (in such form as **USI** may determine) setting forth the list of securities held for my/our account(s), if any in the name of **USI**, its agents or nominees, and details of all transactions entered into since the date of the preceding statement (if any), and containing such further information as **USI** may consider relevant. If I/we are online clients, I/we have the option to receive Confirmation of Customer Orders and/or Customer Account Statements in electronic format in place of hardcopies thereof. This is in line with the Security and Exchange Commission'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.
22. It is agreed that all communications, whether by regular or registered mail, telegraph, electronic mail, courier, facsimile transmission, messenger or otherwise 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.
23. No failure or delay on the part of **USI** in exercising any right, power or remedy upon my/our breach or default of any of the provisions of this Agreement shall impart any right, power or remedy, nor shall it may be construed as waiver of any such breach or default thereafter occurring, nor shall any single breach or default be deemed a waiver of any other breach thereafter occurring, nor shall single or partial exercise of any such right or power preclude any further exercise thereof, or the exercise of any other right or power hereunder.
24. I/We undertake to adhere to changes to **USI's** terms, conditions, fees and charges which may be updated from time to time. I/We undertake to keep myself/ourselves informed and updated of these updates.
25. **USI** shall have the discretion to resort to any other means of obtaining payment of any amount due without affecting any of **USI's** rights herein. All remedies either under this Agreement or by law or otherwise afforded to **USI**, shall be cumulative and not alternative.
26. The benefit and burden of this Agreement is personal to me/us and shall not be assigned by me/us without **USI's** prior express written consent.
27. In case of joint accounts, it shall be expressly indicated whether the same is "or" or an "and" account, with all parties to said account signing thereunder. For "and" accounts, prior to the execution of any instruction, order or communication, the consent by all signatories must be obtained. For "or" accounts, the consent of any one of the signatories shall constitute sufficient authority for the execution of any instructions, orders, consents and communications which **USI** may rely to have originated from any one of the signatories, and all of them shall be bound thereby. With respect to any action taken or not taken by **USI** in reliance upon instructions, orders, consents or communications believed by **USI** to be those one of the signatories, **USI** shall be held free and harmless against any and all losses, damages, costs, penalties, fines and taxes which may be incurred as a result thereof. Any liability arising herein shall be deemed to be the joint and several liabilities of the signatories thereunder. Furthermore, and under pain of perjury, transactions made by any or all of us under "and" or "or" accounts are understood to have been made with an explicit affirmation that all of us are still living on the date of such transactions, and that **USI** shall be kept free and harmless for its reliance upon such attestation. We further agree and declare that securities now and hereafter in the account shall be our joint property and owned by us as joint tenants with right of survivorship. Upon the death of either of us, the account shall become the absolute property of the survivor. The account may be sold, pledged or otherwise encumbered upon the order of either of us or the survivor which shall be binding upon us and upon our heirs, next of kin, legatees, assignors and personal representatives. In case of my/our death, medical or legal incapacity, or any analogous circumstance, I/we or my/our transferees shall comply with **USI's** policies, rates and procedures to process and/or wind-up my/our account.
28. The undersigned hereby unconditionally and irrevocably:

- 28.1 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, and,
- 28.2 Authorizes **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.
29. If any one or more of the provisions contained in this Agreement or any other document executed in connection herewith shall be invalid, illegal or unenforceable in any respect, the validity, legality and enforceability of the remaining provisions shall not in any way be affected or impaired. To conform with its business and operational needs, **USI** may, subject to prior notice, revise the manner of payment and rates of the fees and charges on its products and services. For material breaches of this Agreement, **USI** may file any action, suit, remedy against me/us without need of any prior act, including tendering a demand.
30. All the above provisions are deemed incorporated by reference in all contract note(s) issued to me/us regarding execution of my/our orders.
31. This Agreement shall continue to be in full force and effect until signed notice of revocation is received by or from me/us, and in the case of such revocation, it shall continue to be valid and binding as to transactions entered prior thereto.

My/Our signature below affirms conformity to the foregoing conditions and evidences my/our receipt of a copy of this Customer's Account information and Agreement Form.

CONFORME

Signature over Printed Name

Date



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