



STOCKBROKER: PHILIPPINE STOCK EXCHANGE
1906, 19/F Security Bank Center
6776 Ayala Avenue, Makati City 1226

Tel. Nos.: (632) 891-1008 to 10
Fax No.: (632) 891-1015
Email Address: aasec@pldtdsl.net

Login ID:

CUSTOMER ACCOUNT INFORMATION FORM (CAIF)

Account Number: _____

Account Name: _____

Ownership: ☐ Individual ☐ Joint ☐ Partnership ☐ Corporation

Account Type: ***For Partnership / Corporate Account***

| | | |
|------------------------------|------|-----------|
| Company: | TIN: | |
| Address: | | |
| Telephone: | Fax: | Email: |
| Authorized representative/s: | | Position: |

For Individual / Joint Accounts

| | | |
|--|-------------------------|-------------|
| Individual Name: | TIN: | |
| Email Address: | Fax No.: | |
| Residence Tel.: | Civil Status: | Mobile No.: |
| Residence Address: | | |
| Occupation: | Employer/Business Name: | |
| Office Address: | Office Telephone: | |
| Officer/Director of an exchange-listed company? <input type="checkbox"/> No <input type="checkbox"/> Yes Company name: | | |
| Nationality: | Birthdate: | Birthplace |
| Are you employed or associated with another stockbroker? If yes, please specify position: | | |

To be filled up by all types of account

| | | | | | |
|---|--------------------------------------|---------------------------------------|---|---|---------------------------------|
| Annual Income (in Php): | <input type="checkbox"/> < 500,000 | <input type="checkbox"/> 500,000 - 5M | <input type="checkbox"/> > 5M - 10M | <input type="checkbox"/> > 10M | |
| Net Worth (in Php): | <input type="checkbox"/> < 5M | <input type="checkbox"/> 5M - 20M | <input type="checkbox"/> > 20M - 50M | <input type="checkbox"/> > 50M - 100M | <input type="checkbox"/> > 100M |
| Assets (in Php): | <input type="checkbox"/> < 5M | <input type="checkbox"/> 5M - 20M | <input type="checkbox"/> > 20M - 50M | <input type="checkbox"/> > 50M - 100M | <input type="checkbox"/> > 100M |
| Investment Objective: | <input type="checkbox"/> Speculation | <input type="checkbox"/> Growth | <input type="checkbox"/> Capital Preservation | <input type="checkbox"/> Long Term Investment | |
| Preferred Settlement Method: | Source of Funds: _____ | | | | |
| <input type="checkbox"/> Pick up check from A&A office | | | | | |
| <input type="checkbox"/> Deposit to my bank account as specified underneath | | | | | |
| Bank/Branch: | Account Number: _____ | | | | |
| Preferred Confirmation of Transactions: | <input type="checkbox"/> Email | <input type="checkbox"/> Fax | <input type="checkbox"/> Mail to Office | <input type="checkbox"/> Mail to Residence | |
| Person to send duplicate confirmation, if required: _____ | | | | | |
| Address: | Relationship: _____ | | | | |
| Recommended by: | Relationship: _____ | | | | |
| <i>Designated Authorized Representative / Licensed Salesman to service trading account:</i> | | | | | |
| <input type="checkbox"/> as service agent <input type="checkbox"/> with full discretion | | | | | |
| 1. _____ 2. _____ | | | | | |
| Printed Name | | | Specimen Signatures (pls. sign twice) | | |
| <i>Designated Primary Account holder (where account has more than one authorized signatory):</i> | | | | | |
| _____ | | | | | |
| Printed Name | | | Signature | | |

CONFORME AND SPECIMEN SIGNATURES:

| | | | |
|--------------|---------------------------------------|----------|-------------|
| _____ | 1. _____ | 2. _____ | _____ |
| Printed Name | Specimen Signatures (pls. sign twice) | | Date Signed |
| _____ | 1. _____ | 2. _____ | _____ |
| Printed Name | Specimen Signatures (pls. sign twice) | | Date Signed |
| _____ | 1. _____ | 2. _____ | _____ |
| Printed Name | Specimen Signatures (pls. sign twice) | | Date Signed |

FOR MANAGEMENT USE:

| | | | |
|----------------------|------------------|-------------------------|-------------|
| Account verified by: | Approved by: | | |
| _____ | _____ | _____ | _____ |
| Account Officer | Date Signed | Chief Financial Officer | Date Signed |
| Account Executive: | Commission Rate: | | |

**A&A SECURITIES, INC.
SECURITIES TRADING AGREEMENT**

This confirms my/our application to open a Securities Trading Account ("Account") with A&A Securities, Inc. ("A&A"), a duly licensed broker of the Philippine Stock Exchange ("PSE"), with office address at Suite 1906 Security Bank Centre, 6776 Ayala Avenue, Makati City 1226. Accordingly I/we ("Client") shall be governed and bound by A&A's terms and conditions as follows:

I. ROLES OF CLIENT & A&A

Client appoints A&A as designated stockbroker to purchase and sell Philippine securities. A&A shall facilitate Client's securities orders through its PSE Tradex Expert platform subject to the rules and regulations of the PSE, the Securities and Exchange Commission, the Securities Clearing Corporation of the Philippines ("SCCP"), and other entities which exercise supervisory and regulatory authorities over the stockbrokerage industry.

Client shall use his own investment discretion and strategy in selecting which and how much stocks to buy or sell, and thus, shall assume full risk and responsibility for his personal trading decisions.

It is understood that A&A is only a securities broker, and does not provide legal, tax, or accounting advice regarding the suitability or profitability of any investment, including the fact that certain securities may grant rights subject to expiration if no positive action is taken by the client, the monitoring of events and occurrences like corporate reorganizations of the companies whose stocks Client purchased and similar factors which might affect their value, and other investor concerns.

II. REQUIREMENTS FOR OPENING ACCOUNT

- A. Submission of duly filled out required documents
- B. Initial minimum deposit of P50,000 or amount of the total value of intended purchase order inclusive of all charges, whichever is higher.

III. REQUIREMENTS FOR OPENING ACCOUNT

- A. Trading account must have sufficient available funds or stockholdings with at least equivalent market value when purchase order is placed.
- B. Purchase transactions which are not sufficiently funded in Client's account must be settled not later than 12 noon of the immediate following trading day. Failure to settle the obligation automatically authorizes A&A to use its sole discretion to sell the purchased securities or undertake other remedies deemed necessary to secure Client's account.
- C. Client's securities shall be lodged with the Philippine Depository and Trust Corporation ("PDTC") under the name of A&A in the absence of any written instruction to register them in registered name of Client.
- D. Account opened jointly shall be specified as "AND" or "OR" but not "AND/OR".
- E. The primary account holder designated in a joint account shall prevail over any conflicting instructions of other account holder/s directed to A&A.
- F. Stock certificates submitted to A&A for lodging with PDTC may be traded/sold only after these certificates have been cleared by PDTC.
- G. Short selling, or selling any security not existing in the Account at the time the selling order is placed is strictly prohibited. In a short selling transaction, A&A shall on its discretion repurchase for Client's account the oversold securities whenever account is not properly secured.
- H. Confirmation of transactions shall be transmitted to Client within the day of execution by telephone or mobile text communication followed by email or fax of official confirmation within twenty-four (24) hours from transaction date. A&A shall not be held liable for failure to transmit confirmations to Client due to failure of communication systems beyond the control of A&A. All communication sent by mail, email, telegraph, telephone, fax, or messenger shall constitute personal delivery to Client.
- I. Invoice Confirmations are deemed accurate and final unless advice of discrepancy is received by A&A not later than 12 noon of the immediate following trading day after confirmation was remitted to Client.

Statements of Account are deemed accurate and final unless advice of discrepancy is received by A&A not later than 5 trading days after Statement of Account was remitted to Client.

IV. SETTLEMENT POLICIES

- A. SCCP credits stockbrokers the proceeds of selling transactions on the 3rd trading day after sales transaction date; hence, sales proceeds are available for withdrawal or for trading only on the day funds are received from SCCP.
- B. Fund remittance to A&A shall be done either by delivery of the funds to A&A's office address or by direct deposit to A&A's designated bank account.

BANK DETAILS FOR DIRECT DEPOSIT:

Account Name: A&A SECURITIES, INC.
Savings Account Number: 003-600-000-165
BANCO DE ORO Ayala Triangle Branch
Makati City 1226

FOREIGN REMITTANCE BANK DETAILS:

Account Name: A&A SECURITIES, INC.
Account Number: 0061-011050-201
SWIFT CODE: SETCPHMM
SECURITY BANK & TRUST CORPORATION
6776 Ayala Avenue, Makati City 1226
Telephone #: (632) 888-7284

- C. To confirm payment, the photocopy of the validated bank deposit slip with written name of depositor/account name must be transmitted to A&A either through email or fax.
- D. Check payments to A&A are subject to clearing by A&A depository bank prior to stock purchase by Client.
- E. Withdrawals from trading account shall be paid in check by A&A issued to the name as registered in the account.
- F. Payments to Client shall be remitted through direct deposit to Client's bank account as designated in his CAIF. The photocopy of the validated bank deposit slip shall be faxed or emailed to Client or texted to Client's mobile contact where Client does not have internet or fax facilities.

V. FEES AND CHARGES

- A. Broker’s commission fees, or minimum commission of P200 per transaction, whichever is higher;
- B. Value Added Tax (VAT) on commission fees;
- C. SCCP fees equivalent to .01% of VAT-inclusive gross trade amount;
- D. Sales Tax: No.of shares x Price/share x.005 (applicable only for SELLING transactions)

VI. OTHER TERMS & CONDITIONS

- A. This Agreement shall be supplementary to whatever agreements have been executed with A&A and should be interpreted in harmony there-with. Declaration of invalidity or unenforceability of any provision herein or in such other agreement shall not affect the validity of the remaining provisions of this Agreement;
- B. A&A may upon notice modify the terms of this Agreement. Continued use of A&A’s stockbrokerage services following receipt of notice of modification of terms without objection from Client shall be equivalent to acceptance thereof and Client shall be bound thereby;
- C. Breach or default by Client shall entitle A&A to exercise possessory lien on Client’s securities and other assets held with A&A, in addition to other rights and remedies available to a secured and preferred creditor;
- D. A&A is a government-regulated entity and as such, may disclose information pertaining to Client’s account when requested by the duly constituted authorities.
- E. The entire understanding and agreement with A&A shall not be assigned to a third party without prior written consent of A&A. Upon A&A’s consent, the entire terms of this agreement shall be binding upon such heirs, executors, administrators, personal representatives and assignees of the Client.
- F. A&A, its officers, directors, and employees shall not be responsible for any damages arising from security breaches or delay, trading halt or failure of execution due to technical glitches and other causes beyond the control of A&A.

IN WITNESS WHEREOF, I/we have affixed my/our signature on this _____ day of _____, 20__ at _____ City, Philippines.

CONFORME OF CLIENT

ACCOUNT NAME: _____

TRADING ACCOUNT NO.: _____

Special instructions for accounts with more than one authorized signatory:

☐ any one ☐ any two ☐ all/jointly ☐ other instructions: _____

| | |
|-------------------------------------|------------------------------|
| 1. _____ | _____ |
| Printed Name / Authorized Signatory | Signatures (Pls. sign twice) |
| 2. _____ | _____ |
| Printed Name / Authorized Signatory | Signatures (Pls. sign twice) |
| 3. _____ | _____ |
| Printed Name / Authorized Signatory | Signatures (Pls. sign twice) |
| 4. _____ | _____ |
| Printed Name / Authorized Signatory | Signatures (Pls. sign twice) |
| 5. _____ | _____ |
| Printed Name / Authorized Signatory | Signatures (Pls. sign twice) |

Date submitted by Client/s: _____

LIST OF DOCUMENT REQUIREMENTS:

INDIVIDUAL ACCOUNT:

Photocopy of one (1) valid primary ID or two (2) valid secondary ID's

JOINT ACCOUNTS:

1. Photocopy of one (1) valid primary ID or two (2) valid secondary ID's of each signatory
2. Duly filled up CAIF for EACH signatory

PARTNERSHIPS REGISTERED IN THE PHILIPPINES:

1. SEC Certificate of Registration - certified by Partner
2. Articles of Partnership/Association - certified by Partner
3. BIR Certificate of Registration - certified by Partner
4. Latest Audited Financial Statements - certified by Partner
5. Photocopy of one (1) valid primary ID of each Partner

CORPORATIONS REGISTERED IN THE PHILIPPINES:

1. Certified True Copy of SEC Certificate of Registration
2. Certified True Copy of Articles of Incorporation and By-Laws
3. Notarized Secretary's Certificate attested to by the President authorizing the Corporation to open an account, purchase/sell shares of stocks with A&A Securities Inc., including list of authorized signatories and their specimen signatures.
4. Certified True Copy of the latest Audited Financial Statements
5. Photocopy of one (1) valid primary ID of each authorized signatory

FOREIGN INDIVIDUALS:

1. Photocopy of one (1) valid primary ID or two (2) valid secondary ID's
2. Photocopy of valid Alien Certificate of Registration (ACR)
3. In lieu of the ACR, client may submit any document duly authenticated by his country's respective embassy or consular

FOREIGN PARTNERSHIPS/CORPORATIONS (all documents below must be duly authenticated by the Philippine Consul in their country):

1. Certificate of Partnership/Corporation
2. Articles of Incorporation and By-Laws
3. Notarized Secretary's Certificate attested to by the President authorizing the Corporation to open an account, purchase/sell shares of stocks with A&A Securities Inc., including list of authorized signatories and their specimen signatures.
4. Latest Audited Financial Statements
5. Photocopy of two (2) valid primary ID of each authorized signatory
6. Latest General Information Sheet for those registered to conduct business in the Philippines (if applicable)



Please choose ALL SECTORS that apply to your organization.

☐ **GOVERNMENT**

- ☐ Executive Department
 - ☐ Department
 - ☐ Bureau
 - ☐ Agency
 - ☐ Office
- ☐ Legislative Department
- ☐ Judicial Department
 - ☐ Supreme Court
 - ☐ Court of Appeals
 - ☐ Regional Trial Court
 - ☐ MTC, MeTC, MTCC, MCTC
- ☐ Constitutional Office

☐ **LOCAL GOVERNMENT UNITS**

- ☐ Provincial
- ☐ City/Municipality
- ☐ Barangay

☐ **GOVERNMENT-OWNED AND CONTROLLED CORPORATIONS**

- ☐ Government Financial Institution
- ☐ Trade, Area Development & Tourism
- ☐ Educational & Cultural
- ☐ Gaming
- ☐ Energy and Materials
- ☐ Agricultural, Fisheries, & Food
- ☐ Utilities & Communications
- ☐ Healthcare Services
- ☐ Others (please specify)

☐ **INTERNATIONAL ORGANIZATIONS**

- ☐ United Nations Agency
- ☐ Foreign Embassy in the Philippines
- ☐ Others (please specify)

☐ **BANKS**

- ☐ Universal Bank
- ☐ Commercial Bank
- ☐ Thrift Bank
- ☐ Rural Bank
- ☐ Cooperative Bank
- ☐ Others (please specify)

☐ **NON-BANKS**

- ☐ Non-Bank with Quasi-Banking Function
- ☐ Non-Stock Savings & Loans Association
- ☐ Offshore Banking Unit in the Philippines
- ☐ Representative Office in the Philippines
- ☐ Pawnshop
- ☐ Remittance Center
- ☐ Commercial Loan Provider
- ☐ Credit Union
- ☐ Social and Community Lending
- ☐ Leasing Company
- ☐ Currency Exchange
- ☐ Other Non-Bank Financial Institution
- ☐ Others (please specify)

☐ INSURANCE AND PRE-NEED PROVIDERS

- ☐ Life Insurance
- ☐ Non-Life Insurance
- ☐ Professional Reinsurer
- ☐ Insurance Broker
- ☐ Reinsurance Broker
- ☐ Mutual Benefit Association
- ☐ Accredited Actuary
- ☐ Services Insurance Company
- ☐ Pre-Need & Servicing Company
- ☐ Others (please specify)

☐ HEALTH MAINTENANCE ORGANIZATION

☐ HEALTH FACILITIES

- ☐ Hospital
- ☐ Birthing Home
- ☐ Infirmary
- ☐ Social Hygiene Clinic
- ☐ Rural Health Unit
- ☐ Drug Abuse Treatment & Rehabilitation Center
- ☐ Barangay Health Station
- ☐ Diagnostic or Therapeutic Facility
- ☐ Specialized Out Patient Facility
- ☐ Ambulatory Surgical Clinic (ASC)
- ☐ Custodial Care Facility (e.g., Nursing Home)
- ☐ Others (please specify)

☐ PHARMACEUTICAL

- ☐ Mainline/Brand Developer
- ☐ Research & Development
- ☐ Generic
- ☐ Others (please specify)

☐ MEDIA AND SOCIAL MEDIA

- ☐ Television Network
- ☐ Radio Broadcasting Station
- ☐ Publishing House
- ☐ Social Networking Site
- ☐ Mobile Application
- ☐ Others (please specify)

☐ EDUCATION

- ☐ State University and College (SUC)
- ☐ Private University, College and/or Other Institution of Higher Learning
- ☐ Private Secondary Educational Institution
- ☐ Public Secondary Educational Institution
- ☐ Private Elementary Educational Institution
- ☐ Public Elementary Educational Institution
- ☐ Private Primary Educational Institution
- ☐ Public Primary Educational Institution
- ☐ Other Schools and Training Institution
- ☐ Others (please specify)

☐ TELECOMMUNICATIONS

- ☐ Telecommunications Network
- ☐ Internet Service Provider
- ☐ Media Service Provider
- ☐ Cable TV Operator
- ☐ Others (please specify)

☐ BUSINESS PROCESS OUTSOURCING

- ☐ Knowledge Process Outsourcing and Back Office
- ☐ Animation
- ☐ Call Center
- ☐ Software Development
- ☐ Game Development
- ☐ Engineering Design
- ☐ Medical Transcription
- ☐ Others (please specify)

☐ RETAIL/DIRECT MARKETING

- ☐ Direct Marketing
- ☐ Retail
- ☐ Telemarketing
- ☐ Supermarket
- ☐ Convenience Store
- ☐ Non-Shop Retail (E-Commerce)
- ☐ General Merchandise
- ☐ Warehouse Store
- ☐ Service-Related Establishment (e.g., salon)
- ☐ Rental Place (e.g., sing-along spot)
- ☐ Other Establishments Engaged in Retail/Direct Marketing
- ☐ Others (please specify)

☐ MANUFACTURING/PRODUCTION

☐ UTILITIES

- ☐ Electric Power Company
- ☐ Water and Wastewater Services Company
- ☐ Oil & Gas Company
- ☐ Steam and Airconditioning Supply
- ☐ Integrated Service Provider (e.g., maintenance, repair, operations)
- ☐ Others (please specify)

☐ MANPOWER AGENCIES

- ☐ Landbased
- ☐ Seabased/Maritime Manning
- ☐ Others (please specify)

☐ TRANSPORTATION, STORAGE AND LOGISTICS

- ☐ Public Utility Vehicles Operator (e.g., bus, jeepney, taxi)
- ☐ Ride-Hailing Operator (e.g., Grab, Angkas)
- ☐ Cargo Trucking
- ☐ Service Vehicle Operator (e.g., rent-a-car, tourist vehicle, limousines)
- ☐ Storage
- ☐ Others (please specify)

☐ REAL ESTATE

- ☐ Agricultural
- ☐ Commercial (e.g., office, shopping center)
- ☐ Residential (e.g., condominium, townhouse)
- ☐ Industrial (e.g., manufacturing building, warehouse)
- ☐ Cemetery and Columbarium Devt., Selling, Renting, Leasing and Operating
- ☐ Construction Industry
- ☐ Others (please specify)

☐ TOURISM

- ☐ Hotels and Accommodations
 - ☐ Casino Hotel
 - ☐ Resort & Spa Resort Hotel
 - ☐ Bed & Breakfast Homestay
 - ☐ Budget Hotel
 - ☐ Luxury Hotel
 - ☐ Dorm Hotel
 - ☐ Pension House
- ☐ Food and Beverage (e.g., restaurant, cafe, fastfood center)
- ☐ Travel Agency, Tour Operator and other Tourist Guide Services
- ☐ Adventure and Recreation (e.g., camping)
- ☐ Attraction (e.g., historical site, cultural center)
- ☐ Events & Conference (e.g., Film/Music Festival Promoter, Cultural Events Promoter)
- ☐ Others (please specify)

☐ OTHERS (PLEASE SPECIFY)