

# Customer Account Information Form



AB Capital Securities, Inc.

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

Please fill up clearly in BLOCK LETTERS.

## PERSONAL ACCOUNT

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

## PERSONAL INFORMATION

<b>Account Name</b>			
Surname,		Given Name	
Middle Name		Suffix	
<b>Date of Birth</b>	<b>Place of Birth</b>	<b>Citizenship</b>	<b>Sex</b>
Day      Month      Year			<input type="radio"/> Male <input type="radio"/> Female
<b>Civil Status</b>	<b>Tax Identification No.</b>	<b>SSS / GSIS No.</b>	
<input type="radio"/> Single <input type="radio"/> Married <input type="radio"/> Widowed <input type="radio"/> Separated <input type="radio"/> Divorced			
<b>Contact No.</b>	<b>E-mail Address</b>		
Telephone:                      Mobile:			
<b>Present Address</b>			
<b>Permanent Address</b>			
<input type="radio"/> Same as Present Address <input type="radio"/> Other			
<b>Employment Status</b>			
<input type="radio"/> Employed <input type="radio"/> Self-employed <input type="radio"/> Unemployed <input type="radio"/> Retired <input type="radio"/> Student <input type="radio"/> Others: _____			
<b>Name of Employer / Business / School</b>		<b>Occupation / Designation</b>	
<b>Office / Business / School Address</b>		<b>Office / Business Contact No.</b>	
		Telephone:                      Mobile:	

## FINANCIAL PROFILE

<b>Source(s) of Funds</b>	
<input type="radio"/> Salary <input type="radio"/> Business / Investments <input type="radio"/> Inheritance <input type="radio"/> Remittances <input type="radio"/> Retirement Plan <input type="radio"/> Allowance <input type="radio"/> Others: _____	
<b>Annual Income (Php)</b>	<b>Assets (Php)</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	<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

## INVESTMENT PROFILE

<b>Investment Objective (Rank 1-4 in order of priority)</b>
_____ Preservation of Capital      _____ Growth      _____ Long-term Investment      _____ Speculation
<b>Investment Experience (Choose all that apply)</b>
<input type="radio"/> None <input type="radio"/> Time Deposit <input type="radio"/> Bond <input type="radio"/> Stocks <input type="radio"/> Mutual Fund <input type="radio"/> UITF <input type="radio"/> Others: _____

## DISCLOSURES

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

**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

Date

Please sign twice

1

2

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

- Customer Account Information Form (2 signatures)
- Online Trading Service Agreement (1 signature)
- 2 Signature Cards (2 signatures)
- Photocopy of ID
  - \_\_\_\_\_ Filipino Citizen - One (1) valid government-issued ID
  - \_\_\_\_\_ 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)
  - \_\_\_\_\_ Non-Resident Foreigner - One (1) valid government-issued ID (preferably passport)
  - \_\_\_\_\_ In-Trust-For (ITF) persons aged below 18 years - Birth certificate of the minor and one (1) valid government-issued ID of the adult
    - 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**

Referring Salesman / Trader

Signature

Date

Managing Referring Salesman / Trader (Discretionary)

Signature

Date Discretion is Granted

Officer(s) Approving the Account

Signature

Date Approved

1

1

1

2

2

2

**BROKER-ASSISTED**

Trading Limit

Commission Rate

Name of Beneficiary

Remarks

# Specimen Signature Card

Please fill up clearly in BLOCK LETTERS.



ACCOUNT OWNERSHIP: INDIVIDUAL ACCOUNT

Client Name

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

1

2

Date

Signature Verifier

# Specimen Signature Card

Please fill up clearly in BLOCK LETTERS.



ACCOUNT OWNERSHIP: INDIVIDUAL ACCOUNT

Client Name

Surname,

Given Name

Middle Name

Suffix

Address

TIN

Citizenship

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Please sign twice

1

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.
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...
4. All transactions shall be subject to the constitution, rules, regulations, customs, and usages of the exchange or market...
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 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.
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.

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)

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

Signature Signature Signature Signature

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 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.

<hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">Account Holder 1</div>	<hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">Account Holder 2</div>	<hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">Account Holder 3</div>	<hr style="border: none; border-top: 1px solid black; margin-bottom: 5px;"/> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">Account Holder 4</div>
<hr style="border: none; border-top: 1px solid black; margin-top: 10px;"/> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">Signature</div>	<hr style="border: none; border-top: 1px solid black; margin-top: 10px;"/> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">Signature</div>	<hr style="border: none; border-top: 1px solid black; margin-top: 10px;"/> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">Signature</div>	<hr style="border: none; border-top: 1px solid black; margin-top: 10px;"/> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">Signature</div>

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

**Account Holder 2 (if applicable)**

\_\_\_\_\_  
Printed Name / Signature

\_\_\_\_\_  
Citizenship

\_\_\_\_\_  
Date

**Account Holder 3 (if applicable)**

\_\_\_\_\_  
Printed Name / Signature

\_\_\_\_\_  
Citizenship

\_\_\_\_\_  
Date

**Account Holder 4 (if applicable)**

\_\_\_\_\_  
Printed Name / Signature

\_\_\_\_\_  
Citizenship

\_\_\_\_\_  
Date

**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 1401-1403, 14<sup>th</sup> Floor Tower One and Exchange Plaza, Ayala Avenue, Makati City Philippines.