

# F. YAP SECURITIES, INC.

MEMBER: PHILIPPINE STOCK EXCHANGE  
17/F BA Lepanto Bldg. 8747 Paseo de Roxas St.  
Makati City, Philippines  
Tel. No. (632) 856-76-80  
Fax No. (632) 813-08-65

## CUSTOMER ACCOUNT INFORMATION FORM

INDIVIDUAL    JOINT    CORPORATION

### PERSONAL INFORMATION

First Name		Middle Name	Last Name	
Date of Birth	Place of Birth		Gender <input type="radio"/> MALE <input type="radio"/> FEMALE	
Citizenship	Civil Status <input type="radio"/> SINGLE <input type="radio"/> MARRIED <input type="radio"/> WIDOWED <input type="radio"/> SEPARATED <input type="radio"/> DIVORCED		Spouse	
Country of Legal Residence	Email Address	Phil. Tax Identification No. (Required for those living and working in the Philippines) [ ] - [ ] - [ ]		

### RESIDENTIAL ADDRESS

Residential Address			
			Zip Code
Residential Phone No.	Residential Fax No.	Mobile No.	Country
Length of Stay	Ownership <input type="radio"/> Rented <input type="radio"/> Owned <input type="radio"/> Living with relatives		

### REFERENCES *(Identification Documents: at least 2 valid photo bearing ID are required).*

<input type="checkbox"/> Driver's License	<input type="checkbox"/> Passport	<input type="checkbox"/> Others (Please specify)
Number                      Expiry Date	Number                      Expiry Date	Number                      Expiry Date

### EMPLOYMENT

Employment Status <input type="radio"/> Employed <input type="radio"/> Self-Employed <input type="radio"/> Unemployed <input type="radio"/> Student <input type="radio"/> Retired				
Name of Employer/Business		Occupation		
Employer/Business Address				
Zip Code	Telephone No.	Years with Company	Position	

### ACCOUNT TYPE

<input type="radio"/> CASH <input type="radio"/> DISCRETIONARY <input type="radio"/> MARGIN
---

### CONFIRMATION OF THE ORDER WILL BE SENT THROUGH

<input type="radio"/> COURIER <input type="radio"/> FACSIMILE <input type="radio"/> ELECTRONIC MAIL
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Clients who subscribe to facsimile and/or electronic mail shall attest to the accuracy of information on the confirmation through facsimile and/or electronic mail not later than 12:00 noon on the following business day.

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## INVESTOR PROFILE

<b>Source(s) of Funds</b> <input type="checkbox"/> SALARY <input type="checkbox"/> RETIREMENT/PERSION <input type="checkbox"/> INVESTMENTS <input type="checkbox"/> INHERITANCE <input type="checkbox"/> REGULAR REMITTANCES
---

<b>INVESTMENT OBJECTIVES</b> <input type="checkbox"/> Preservation of Capital <input type="checkbox"/> Speculation <input type="checkbox"/> Long-term Investment <input type="checkbox"/> Growth <input type="checkbox"/> Quick trade
--

<b>ANNUAL INCOME</b> (select one) <input type="radio"/> <100,000 <input type="radio"/> <300,000 <input type="radio"/> <500,000 <input type="radio"/> <1,000,000 <input type="radio"/> >1,000,000
---

<b>ASSETS</b> (select one) <input type="radio"/> <100,000 <input type="radio"/> <300,000 <input type="radio"/> <500,000 <input type="radio"/> <1,000,000 <input type="radio"/> >1,000,000
--

<b>NETWORTH</b> (select one) <input type="radio"/> <100,000 <input type="radio"/> <300,000 <input type="radio"/> <500,000 <input type="radio"/> <1,000,000 <input type="radio"/> >1,000,000
--

<b>Are you associated with a company listed on the Philippine Stock Exchange?</b> <input type="radio"/> Yes <input type="radio"/> No	
if YES, Name of Company	Position

<b>Do you have account(s) with other Stockbrokers?</b> <input type="radio"/> Yes <input type="radio"/> No	
if YES, Name of Broker	Contact Person

<b>Are you employed or otherwise associated with another Broker Dealer?</b> <input type="radio"/> Yes <input type="radio"/> No	
if YES, Name of Broker	Contact Person

✓  
\_\_\_\_\_  
**PRIMARY ACCOUNT HOLDER**  
**SIGNATURE OVER PRINTED NAME**

✓  
\_\_\_\_\_  
**SECONDARY ACCOUNT HOLDER**  
**SIGNATURE OVER PRINTED NAME**

\_\_\_\_\_  
**DATE**

(To be signed by F. Yap Securities, Inc. Personnel)

\_\_\_\_\_  
**SALESMAN / ACCOUNT EXECUTIVE**

\_\_\_\_\_  
**ASSOCIATED PERSON**

\_\_\_\_\_  
**OFFICER IN-CHARGE**

# F. YAP SECURITIES, INC.

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## CUSTOMER ACCOUNT INFORMATION FORM

### SECONDARY ACCOUNT HOLDER (FOR JOINT ACCOUNT)

First Name		Middle Name	Last Name	
Date of Birth	Place of Birth		Gender <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE	
Citizenship	Civil Status <input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED <input type="checkbox"/> WIDOWED <input type="checkbox"/> SEPARATED <input type="checkbox"/> DIVORCED		Spouse	
Country of Legal Residence	Email Address	Phil. Tax Identification No. (Required for those living and working in the Philippines) [ ] - [ ] - [ ]		

### RESIDENTIAL ADDRESS

Residential Address			
			Zip Code
Residential Phone No.	Residential Fax No.	Mobile No.	Country
Length of Stay	Ownership <input type="checkbox"/> Rented <input type="checkbox"/> Owned <input type="checkbox"/> Living with relatives		

### REFERENCES (Identification Documents: at least 2 valid photo bearing ID are required).

<input type="checkbox"/> Driver's License	<input type="checkbox"/> Passport	<input type="checkbox"/> Others (Please specify)
Number                      Expiry Date	Number                      Expiry Date	Number                      Expiry Date

### EMPLOYMENT

Employment Status <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Student <input type="checkbox"/> Retired				
Name of Employer/Business		Occupation		
Employer/Business Address				
Zip Code	Telephone No.	Years with Company	Position	

### INVESTOR PROFILE

<b>Source(s) of Funds</b> <input type="checkbox"/> SALARY <input type="checkbox"/> INVESTMENTS <input type="checkbox"/> REGULAR REMITTANCES <input type="checkbox"/> RETIREMENT/PENSION <input type="checkbox"/> INHERITANCE		
--	--	--

<b>INVESTMENT OBJECTIVES</b> <input type="checkbox"/> Preservation of Capital <input type="checkbox"/> Speculation <input type="checkbox"/> Long-term Investment <input type="checkbox"/> Growth <input type="checkbox"/> Quick trade				
--	--	--	--	--

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<b>ANNUAL INCOME</b> (select one)	<input type="checkbox"/> <100,000	<input type="checkbox"/> <300,000	<input type="checkbox"/> <500,000	<input type="checkbox"/> <1,000,000	<input type="checkbox"/> >1,000,000
<b>ASSETS</b> (select one)	<input type="checkbox"/> <100,000	<input type="checkbox"/> <300,000	<input type="checkbox"/> <500,000	<input type="checkbox"/> <1,000,000	<input type="checkbox"/> >1,000,000
<b>NETWORTH</b> (select one)	<input type="checkbox"/> <100,000	<input type="checkbox"/> <300,000	<input type="checkbox"/> <500,000	<input type="checkbox"/> <1,000,000	<input type="checkbox"/> >1,000,000

<b>Are you associated with a company listed on the Philippine Stock Exchange?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
if YES, Name of Company	Contact Person	

<b>Do you have account(s) w/ other Stockbrokers?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
if YES, Name of Broker	Contact Person	

<b>Are you employed or otherwise associated w/ another Broker Dealer?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No
if YES, Name of Broker	Contact Person	

✓ \_\_\_\_\_  
**PRIMARY ACCOUNT HOLDER**  
**SIGNATURE OVER PRINTED NAME**

✓ \_\_\_\_\_  
**SECONDARY ACCOUNT HOLDER**  
**SIGNATURE OVER PRINTED NAME**

\_\_\_\_\_  
**DATE**

(To be signed by F. Yap Securities, Inc. Personnel)

\_\_\_\_\_  
**SALESMAN / ACCOUNT EXECUTIVE**

\_\_\_\_\_  
**ASSOCIATED PERSON**

\_\_\_\_\_  
**OFFICER IN-CHARGE**

# F. YAP SECURITIES, INC.

MEMBER: PHILIPPINE STOCK EXCHANGE

17<sup>th</sup> Floor Lepanto Building 8747 Paseo de Roxas, Makati City 1226 Philippines

Telephones: Trunk Line (6322) 856-7680 Trading Desk (632) 923-3955 to 56

Facsimile: (632) 813-0865

## TERMS OF AGREEMENT

In consideration of your acting as Broker for the undersigned, I/We hereby consent and agree that:

- (1) The signature(s) written on this reference card is/are correct and official signature(s) of the above named account and the same may be used for verification of the said signature(s) at all times for all purposes.
- (2) Each party to a common account is a principal, with joint several liability and is privileged to operate same separately and independent of the other and to pledge and/or withdraw all funds, assets and securities unless otherwise specified in writing by the parties to such common account.
- (3) If the Broker, in the event of the death of either party to a 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, any and all deeds and things done or suffered by or for either party to such account or in their names and or in their behalf shall, as to Broker, be binding upon the parties to such common account, their representative, assigns, heirs and successors-in-interest.
- (4) All parties to this account are over 21 years of age.
- (5) Orders for the purchase or sale of securities may be made by the Client in writing by word of mouth, through the telephone, or through another person. The Broker is hereby authorized to rely upon and act in accordance with any and all such orders, Any action taken by the Broker pursuant thereto shall be binding upon the client when confirmation notice of such order is issued and sent by the Broker.
- (6) The Broker does not warrant that any order of the Client for the purchase or sale of securities shall or can be or has been placed or executed. Any order by the Client for the purchase or sale of securities shall not be binding upon the Broker unless and 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, and the Client is fully aware that the salesman, sub-agent or correspondent soliciting or referring the Client, the order of the transaction, does not have such authority to bind 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 of accuracy thereof.
- (7) 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 my/our signature(s) hereto affixed and they are therefore unconditionally agreed to.
- (8) The Specimen Signature Card will be submitted within four (4) calendar days.
- (9) It is agreed that all securities purchased and not paid for within forty eight (48) hours will be registered as street certificates.
- (10) Any and all securities or contract thereto, nor hereafter held or carried by you in any of my accounts (either individually or jointly with others), are to be held by you as collateral for the payment of any liability to you in any said account, with the right on your part to transfer moneys or securities to another when in your judgment such transfer may be necessary; and all such securities, may, from time to time, and without notice, be pledged and re pledge by you, either separately or in common with other securities, for any amount due my account(s), or for any greater amount, without retaining in your possession or control for delivery, a like amount of similar securities.
- (11) You are hereby specifically authorized to lend either separately or with other securities, to either yourselves or to others, any securities held by you as collateral for my liabilities to you in my /our accounts.
- (12) Whenever in its sole discretion, the Broker considers it necessary for its own protection or in the event that a position for bankruptcy or for the appointment of a receiver is filed by or against my account(s) or in the event of my death, I hereby specifically authorize and empower the Broker with the right to sell any or all securities in my account(s)(whether carried individually or with others) and herein pledged as collateral for the payment of any liability to you in said account(s), (to buy any and all securities to cover for any short-selling in such account(s), (to transfer moneys or securities from any one of my account(s), to another, and to close any and all

outstanding obligations or contracts, all without demand for security or additional security, notice of sale or purchase, or there notice or advertisement; it being its discretion and in the case of a sale at public auctions or on a stock exchange, the Broker may be the purchaser for its own account. It is understood that a prior demand, notice or call or notice of the time and the place of such sale or purchase may be made by the Broker, it being further understood that I shall at all times be liable for the payment of any indebtedness or unpaid balances owing in any of my account(s) together with interest, acts herein provided, and that I shall remain liable for any deficiency remaining in such account(s) in the event of liquidation.

- (13) For the purpose of selling, buying or performing acts pursuant to the above paragraph, I hereby irrevocably appoint the Broker its successors or assigns, my attorney-in-fact with full power to sell, buy or act, for any account(s) (whether carried individually or with others) to agree upon the price of securities, receipts, assignments of all my rights, title, and interests to the purchaser(s), thereof, or such other documents as may be necessary and to deliver or accept delivery of the corresponding stock certificates and/or instrument assignments. Furthermore, the Broker is hereby irrevocably authorized at its discretion to at any time cause all or any portion of the securities held under any of my account(s) (whether carried individually or jointly by others) and herein pledged, to be transferred to be transferred in the name of the Broker or it's nominee, and the companies issuing the said securities, all transfer agents, representatives, or other entities on whose books or records the said securities are listed, are hereby authorized to much such transfer as may be required the Broker, without the necessity of first obtaining my consent, provided, however, that in that event of such securities being transferred into the name of the Broker or its nominee such transfers, shall not be considered nor constitute as assignment or sale to the Broker. 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 me.
- (14) The monthly debit balance in my account(s) shall be charged, in accordance with your usual custom with interest at a rate which shall include the average rate paid by you on your loans during the period covered by such balances respectively, and any extra rates caused by market stringency, together with a charge to cover your credit service facilities. When not evidenced in a promissory note or other instruments of indebtedness, said interest shall be charged upon daily debit balances as shown by your books, shall be payable monthly, and in the event it is not paid when due, you may at your discretion add the same to the principal secured thereby, whereupon it shall become a part thereof and shall bear interest at the same rate.
- (15) It is agreed that in the event of any controversy of litigation arising out of this Agreement, your books shall be final and conclusive evidence of the amount due to you. It is further agreed that this Agreed that this Agreement and any controversy arising thereunder, shall be subject to the provisions of the Constitution and the Rules and Regulation of the Philippine Stock Exchange, the Securities and Exchange Commission, the Exchange clearing House, and the Customs and Usages of foregoing. It being understood that said provisions, customs and usages shall for all intents and purposes be deemed an integral part of this Agreement. Furthermore, in the event of any controversy or litigation arising out of this Agreement, you shall be entitled to reasonable compensation for attorney's fees and cost of collection, which shall not in any event be less than fifteen percent (15%) of total amount of my indebtedness than outstanding to you. Finally, venue of litigation shall be in the proper Court of the City of Manila, the parties hereby waiving any other venue.
- (16) It is agreed that all communications, whether by mail, telegraph, telephone, messenger or otherwise sent to me at the address as appearing in you records shall constitute personal delivery to me; it being understood that in the event of my failure to notify you in writing of any change of address, all communications sent to my indicated address shall be directed to said last known address appearing on your records. It is further agreed that all communications sent to my indicated address shall be conclusive as to their correctness, in the absence of any written objection received by you within twenty four (24) hours from time the communication was sent to the said address.
- (17) This agreement shall continue until signed notice of revocation is received by or from me, and in the case of such revocation it shall continue to be effective as to transactions entered into prior thereto.

CONFORME:

\_\_\_\_\_  
DATE

✓

\_\_\_\_\_  
CUSTOMER

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## SPECIMEN SIGNATURE CARD

<b>CIVIL STATUS</b> <input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED	<b>PRINT NAME</b>	<b>CITIZENSHIP</b>
<b>PLEASE SIGN TWICE:</b>	1. ✓	
	2. ✓	
<b>ADDRESS :</b>		
<b>TIN NO. :</b>	<b>TELEPHONE :</b>	

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<b>PLEASE SIGN TWICE:</b>	1. ✓	
	2. ✓	
<b>ADDRESS :</b>		
<b>TIN NO. :</b>	<b>TELEPHONE :</b>	

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Customer Account No.	
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## A. DATA PRIVACY STATEMENT (DPS)

I/We understand that as financial institution, F. Yap Securities Inc. is subject to existing and future government regulations. I/We therefore agree to be bound by all applicable domestic and international laws in relation to any matter including but not limited to anti-money laundering, tax monitoring and data privacy.

In this connection, I/we authorize F. Yap Securities Inc. to process my/our sensitive personal information including but limited to its collections, use disclosure or destruction. I/We likewise give my/our consent to F. Yap Securities Inc. to share such information to its - subsidiaries, - affiliates, and agents for any legitimate purpose.

I/We hold F. Yap Securities Inc. free and harmless from any liability that may arise from any collection, use, disclosure, destruction of said information.

## B. FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA)

I am a US Person\* under US law

\* US Person means a) a Citizen (Including dual citizens where one country of citizenship is the US); b) US Permanent Resident; c) a person with substantial presence of more than 31 days in the current calendar year or a total of 183 days over the past 3 years from the current year; or d) a partnership/corporation organized in the US; e) US-owned foreign entity with 1 or more substantial US owner (one who owns more than 10% of the entity by vote or value).

I am NOT a US Person under US law

but I have at least one of the following US indicia\*\*

\*\*a) US place of birth; b) current US residence address, mailing address, phone number associated with a financial account maintained in the US; c) a standing instruction to transfer funds to that account; d) a Power of Attorney or signatory authority granted to a person with address; or e) has an "in care of" address or "hold mail" address that is your sole address.

and I have NO US indicia

If there are any changes in my status, I undertake to inform F. Yap Securities Inc. of such changes by submitting an updated accomplished FATCA Form.

### Declaration for DPS and FATCA

I/We declare that I/we have read and agreed to the above statements and attest that my/our answers above are true and complete to the best of my/our knowledge. I/We understand that this declaration shall be part of the processing and decision making of all my/our transactions.

✓  
\_\_\_\_\_  
CUSTOMER  
Signature over Printed Name

\_\_\_\_\_  
DATE



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Customer Account No.

## **Declaration Of Client born in the United States of America But not a US Citizen**

### **PERSONAL INFORMATION**

I was born at \_\_\_\_\_, \_\_\_\_\_, United States of America on \_\_\_\_\_.  
*(Town/City) (Province/ Country) (Date)*

I currently reside at \_\_\_\_\_ since \_\_\_\_\_.  
*(Country) (Date)*

I acquired the nationality of \_\_\_\_\_ by virtue of \_\_\_\_\_.  
*(Country) (Act to acquire nationality)*

In the absence of a Certificate of Loss of Nationality issued by the government of the United States, please provide instead a reasonable explanation  
*(Please fill up item **a** or **b**, whichever is applicable)*

a. Why you did not obtain US citizenship at birth? or  
Why you did not acquire the nationality of the United States?

\_\_\_\_\_  
\_\_\_\_\_

b. Why did you relinquish your US citizenship through an expatriating act?

\_\_\_\_\_  
\_\_\_\_\_

I am executing this to attest to the truth of the foregoing and to support my declaration that I am not a US Person under US laws.

✓

CUSTOMER

Signature over Printer Name

Date Signed