

**VC SECURITIES CORPORATION**

MEMBER : PHILIPPINE STOCK EXCHANGE, INC.

6th Flr. Wilson Corporate Center, 225 Wilson St., Greenhills, San Juan, 1502 Philippines  
Tel. Nos. +63(2) 6339987 | Fax # +63(2) 501 3653 | Email: info@vcsecurities.biz**CLIENT ACCOUNT INFORMATION FORM (CAIF)****IN TRUST FOR (ITF)** TRADITIONAL  ONLINE*Kindly fill in all required information. Do not leave an item blank. If item is not applicable, indicate "N/A".***CHILD'S DETAILS (BENEFICIARY OF ACCOUNT)**

Name:		
Nationality:	Date of Birth:	Age:
Place of Birth:	Gender:	
Identification Presented: <input type="checkbox"/> Birth Certificate <input type="checkbox"/> School ID <input type="checkbox"/> Passport Others _____		

**PARENT OR GUARDIAN DETAILS (PRIMARY ACCOUNT HOLDER)**

Name:		Relationship to the Child:	
Nationality:	Date of Birth:	Place of Birth:	
Civil Status:		Name of Spouse:	
Residence Address:		Tel No.:	
Mobile No.:	E-Mail Address:	Fax No.:	
Occupation:	Employer:	Nature of Work / Business:	
Business Address:		Tel No.:	
Preferred Mailing Add: <input type="checkbox"/> Res <input type="checkbox"/> Bus	TIN #:	Source of Funds:	
Identification Presented: <input type="checkbox"/> Driver's License _____ <input type="checkbox"/> Passport _____ Others _____			
Investment Objective: <input type="checkbox"/> Growth <input type="checkbox"/> Preservation of Capital <input type="checkbox"/> Long Term		Years of Experience in Capital Investment: _____	
Annual Income: (In Php) <input type="checkbox"/> Below 500T <input type="checkbox"/> 500T-999T <input type="checkbox"/> 1M - 5M <input type="checkbox"/> Above 5M		Assets: (In Php) <input type="checkbox"/> Below 500T <input type="checkbox"/> 500T-999T <input type="checkbox"/> 1M - 5M <input type="checkbox"/> Above 5M	
Net Worth: (In Php) <input type="checkbox"/> Below 500T <input type="checkbox"/> 500T-999T <input type="checkbox"/> 1M - 5M <input type="checkbox"/> Above 5M			

Should you refuse to disclose the financial information required, please state reason/s: \_\_\_\_\_

Are you an officer or director of a PSE listed company?  Yes  No  
Name of Company: \_\_\_\_\_ Position: \_\_\_\_\_  
(Please use another sheet if necessary)

Are you associated with another Broker/Dealer?  Yes  No  
Name of Company: \_\_\_\_\_ Position: \_\_\_\_\_  
(Please use another sheet if necessary)

Do you have an account with other Broker dealers?  Yes  No  
If Yes, Name/s of Broker dealer/s \_\_\_\_\_

For Discretionary account: Indicate name of person authorized to exercise discretion:  
Name: \_\_\_\_\_ Date Granted: \_\_\_\_\_ Signature: \_\_\_\_\_

If opened and maintained by a Representative  
Name of Representative: \_\_\_\_\_ Address: \_\_\_\_\_

Registry of Certificates:  In Street Name  In Client's Name (as stated above)

Settlement Instructions:	Bank Name: _____
Payment of Sales Proceeds: <input type="checkbox"/> Email <input type="checkbox"/> Pick up <input type="checkbox"/> Courier <input type="checkbox"/> Deposit to bank account	Branch: _____
Confirmation order via: <input type="checkbox"/> Email <input type="checkbox"/> Pick up <input type="checkbox"/> Courier <input type="checkbox"/> Other: _____	Account Number: _____
Statement of Account Report: <input type="checkbox"/> Email <input type="checkbox"/> Pick up <input type="checkbox"/> Courier <input type="checkbox"/> Other: _____	

Documentary Requirements:

- Photocopy of two identification cards with picture and signature (e.g. Driver's license, SSS, TIN, Passport, Company ID)
- Proof of Income (Financial Statement, Income Tax Return, or Cert. of Employment)

I/We hereby certify that the information given in this Client Account Information Form is true and correct to the best of my knowledge. I/We have read and agree to governed by the terms and conditions relative to this Account as enumerated in the following pages, as well as by the rules and regulations of the Philippine Stock Exchange, Securities and Exchange Commission, Bangko Sentral ng Pilipinas, the Anti- Money Laundering Council and other appropriate government agencies.

Signature of Client over Printed Name

Signature of Client over Printed Name

*Do not fill this part. For VC Securities Corporation Only*

Account Type:	Commission Rate:	<input type="checkbox"/> Walk-in <input type="checkbox"/> Referred	Referred by:
Client Acct. Code:		Interviewed by:	Date Opened:
PSE Code:	Initial Rate:	CAIF Encoded by:	Reviewed by:

Approved by: \_\_\_\_\_  
Signature over Printed Name Position Approved

## SECURITIES TRADING AGREEMENT

The Client confirms that VC SECURITIES CORPORATION, also known as "VC SECURITIES", a company duly registered with the Securities and Exchange Commission (SEC), will act as the broker for all the Client's transaction in securities. All such transaction shall be in accordance with prevailing rules of the Philippine Stock Exchange, Inc. (PSE) and the regulations of SEC, and/or other concerned government agencies. The following are the terms and conditions:

- 1. Documents for Opening an Account.** The Client guarantees that all documents and identification presented and all information provided during the process of opening an account with the VC SECURITIES are true, complete and valid or have not been revoked as of the date they were given and/or presented to VC SECURITIES. The client further affirms that the signature(s) affixed in the specimen signature cards are the correct and official signatures of the account herein opened and the same may be used for verification of signatures of transactions related to this account.
- 2. Confirmation of Orders.** Any order of the Client for the purchase and the sale of securities shall be binding on the VC SECURITIES only upon its issuance of the confirmation notice. VC SECURITIES does not warrant that the order placed has been executed, unless the confirmation notice is issued. The contents of the confirmation notice sent to the address of the client indicated herein shall be deemed final, unless written objection is served upon VC SECURITIES within twenty-four (24) hours from receipt thereof.
- 3. Charges and Fees.** In consideration of the services provided by VC SECURITIES, the Client agrees to pay VC SECURITIES the following; commission at such rate agreed by the Client and VC SECURITIES; transfer fees incurred for the transfer of certificate in the Client's Name and other applicable duties and levies
- 4. Settlement of Account.** Securities purchased on behalf of the Client must be paid in full not later than three (3) business days after the date of purchase. This shall base on the market practice of T+3. Failure of the Client to pay on the third business day from the date of purchased shall authorize, but obligate, VC SECURITIES, without any need of notice or demand, to sell the securities, the proceeds of which shall be used to settle the outstanding account of the Client. Any amount exceeding what is owed VC SECURITIES after the sale of Securities shall be delivered to the Client not later than the 3<sup>rd</sup> business day from the date of sale unless advised otherwise by the Client. On the other hand, if the proceeds of the sale is short of outstanding account of the Client that needs to be settled, latter shall pay the same to VC SECURITIES within three (3) days upon latter's demand; otherwise, the same shall incur interest stipulated below, until it is fully paid. In addition, VC SECURITIES shall also be entitled to offset any amount payable to VC SECURITIES relating to this account to the Client, against any amount owed by the Client on this account or any other account of the Clients held by VC SECURITIES (individually or jointly with others) which are due and demandable.
- 5.** For new clients, a one hundred (100%) deposit is required before executing the initial BUY order.
- 6. Issuance of Certificate.** Since the purchase of securities is in scrip less form, the Client shall inform VC SECURITIES should the Client prefers the shares purchased to be in certificate form. The transfer of registration of stock certificates shall be in accordance with the rules of compliance with the concerned transfer agents.
- 7. Joint Accounts.** In case of joint accounts, the Clients shall expressly indicate whether the account is an "or" or an "and" account. Unless otherwise indicated, a joint account shall be deemed to be an "or" account where the consent of any one of the signatories shall constitute sufficient authority to execute any instruction, order, confirmation and communication which have originated from any one of the signatories, and all of them shall be bound thereby. For "and" accounts, the consent of all signatories must be secured prior to execution of any transaction, order or communication. Any liability arising from joint accounts shall be deemed joint and several liabilities of the signatories there under. Moreover, transactions made by any or all of the Clients under "and/or" accounts are understood to have been made with the explicit confirmation that all of them are still living on the date of such transactions, and that VC SECURITIES shall be held free and harmless for its reliance thereon.
- 8. Interest.** Any unpaid account of the Client shall bear interest based on the prevailing interest rate computed from the time the account became delinquent until full payment (or at such higher interest rates as may be allowed by the Central Bank) compounded monthly.
- 9. Communication.** All communications, whether by telephone, messenger, mail, telegraph, or otherwise, sent to the Client at the address given shall constitute personal delivery to the Client. In the event of failure on the part of the Client to notify VC SECURITIES in writing of any change of address, all communications shall be directed to the last known address appearing in the records of VC SECURITIES. It is further agreed that the contents of all communications sent to the address of record shall be conclusive as to their correctness in the absence of any written objection received by VC SECURITIES within twenty four (24) hours from the time communication was sent to said address. Furthermore, VC SECURITIES shall not be held liable for any damage, cost or suit that may arise from its reliance on any contents of messages that the Client or staff of the Client sent through instant messaging services (i.e., text, email, yahoo, google, skype and other such form of communication). Neither shall VC SECURITIES be held accountable for its failure to act on an order arising from its failure of inability to receive or access messages sent by the client through the above-mentioned communication aids.
- 10. Assigned of Agreement.** This agreement shall not be assigned by the Client to others without the prior express within consent of VC SECURITIES.
- 11. Authority of Disclose.** VC SECURITIES takes the confidentiality of information regarding the account seriously. However, the Client recognizes that VC SECURITIES may be required by law and regulation, or even by the courts of law in proper cases, to disclose to the PSE or other government agencies like the SEC, the Bureau of Internal Revenue (BIR) and Anti-Money Laundering Council (AMLA), certain information on, about or as provided by the Client to VC SECURITIES in relation to this account. This serves to authorize VC SECURITIES to disclose such information to such entities, as may be required by law, regulation or court order, which VC SECURITIES may, at its sole discretion, determine to be valid and appropriate under the circumstances, and not merely a fishing expedition or the like, without however being required herein to incur costs to contest the same or to institute an action or in case thereon. The Client hereby holds VC SECURITIES free from any claim, suit or charge that may filled against them, their directors, officers and personnel or from any damages or consequences direct or indirect, arising out its disclosure as authorized above.
- 12. Update of Information.** The Client and VC SECURITIES agree to inform each other of any material change in any of the information provided in this application and agreement. VC SECURITIES shall not be held liable for any damage, cost or suit that may arise from its reliance on information or data that it currently has on record.
- 13. Assumption on Risk.** Client fully accept the risks for all orders and the trading decisions attendant thereto. Client acknowledges further that orders are not guaranteed execution, and shall not hold VC SECURITIES responsible for any order that is not executed. Client shall make their own investment decisions and that VC SECURITIES shall not be liable for any losses or damages incurred arising from any trades based on such decisions.
- 14. Litigation.** In the event of any litigation or lawsuit arising from the Agreement, the Client expressly agree to pay the Attorney's fees of at least 25% of the amount involved or 50,000 whichever is higher, in addition to cost of suit, should case be decided in favour of VC SECURITIES. The venue for any litigation shall be in the proper courts of the City of Makati, Philippines, to the execution of other courts.
- 15. Safekeeping.** VC SECURITIES may charge prevailing safekeeping charges to be applied each month or fraction thereof during which the securities are held by it for the Client. VC SECURITIES shall give the securities (in physical certificate form) the same degree of care as its own property but does assume responsibility beyond that. VC SECURITIES shall not be liable for any loss or damage to the securities or impairment in their value, except those directly caused by acts of fraud and gross negligence on the part of VC SECURITIES.
- 16.** If any provision in this Agreement or any other document executed in connection herewith is held unenforceable or invalid in any respect, the validity and enforceability of the remaining provisions shall not be affected.
- 17. Termination of Agreement.** This Agreement shall remain enforced and effective until terminated by either party by giving five (5) business days prior written notice to the other party.

CONFORME:

\_\_\_\_\_  
CLIENT SIGNATURE OVER PRINTED NAME

\_\_\_\_\_  
CLIENT SIGNATURE OVER PRINTED NAME

**SUPPLEMENTARY TERMS AND CONDITIONS IN-TRUST-FOR ACCOUNTS**

In addition to the Online Securities Trading Agreement (Agreement), the Client hereby agrees to be bound by the following provisions governing in-trust-for (ITF) accounts. Unless otherwise defined herein, capitalized terms have the meaning given to them in the Agreement.

1. The primary account holder warrants that: (i) he is legal guardian of the beneficiary; and that (ii) he is the owner of all funds and shares to be placed in the ITF account.
2. The primary account holder has set aside the funds and shares in the ITF Account for the benefit of the beneficiary and will give the same to the beneficiary upon the primary account holder's death or when the beneficiary attains majority age, whichever comes first.
3. The primary account holder undertakes to notify VC Securities Corporation once the beneficiary reaches legal age, together with instructions as to the conversion of the account. Prior to such notification, VC Securities Corporation has the right to take any action or inaction in response to any instructions given by the primary account holder.
4. The primary account holder shall hold VC Securities Corporation free and harmless from any and all losses, damages, costs, penalties, fines, and taxes incurred as a result of action or inaction taken by VC Securities Corporation in response to any instructions given by the primary account holder in relation to the account and funds and/or shares therein.

Name of Primary Account Holder:	
In-Trust-For Account Holder (Beneficiary):	

IN WITNESS WHEREOF, I have hereunto set my hand this \_\_\_\_\_ in \_\_\_\_\_.

With Marital Consent:

\_\_\_\_\_  
(Sign over printed name)  
Primary Account Holder

\_\_\_\_\_  
(Sign over printed name)  
Spouse of Primary Account Holder

Please accomplish **two copies** of signature cards.

		Individual <input type="checkbox"/>
		Corporate <input type="checkbox"/>
<b>SPECIMEN SIGNATURE CARD</b>		
Name (print) _____		
Address _____		
_____		
TIN _____	Tel No. _____	Citizenship _____
For Individual Applicants:		(Please sign Twice)
1. _____	2. _____	
1. _____	2. _____	
For Corporate Applicants: Use Reverse Side For Specimen Signature		Signature Verified:
<b>Important:</b> Certificates will not be transferred unless a specimen signature of the stockholder is on file with the transfer agent of the company. For your protection, please fill out this card and return to VC Securities Corporation.		<b>VC SECURITIES CORPORATION</b>

<b>For Corporate Applicants Only:</b>	
Corporate Officers authorized to sign and endorse certificates:	
Name & Position	Specimen Signatures
1. _____	1. _____
_____	2. _____
2. _____	1. _____
_____	2. _____
3. _____	1. _____
_____	2. _____
4. _____	1. _____
_____	2. _____
Please attach all the relevant documents such as Board Resolutions authorizing the above officers to sign.	