



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) CORPORATE OR INSTITUTIONAL

Kindly fill in all required information. Do not leave an item blank. If item is not applicable, indicate "N/A".

Represented by:		Position:		
Company Name:		Sec. Reg. No.		
Company Address:			Tel. No.:	
Preferred Mailing Add:			Fax No.:	
Nature of Operation:		E-mail Address:		Years of Operation:
Nationality:		TIN #:	Form of Business Organization:	
Source of Income:		For Non-Filipino, name of Custodian Bank:		
Directors/Stockholders	Nationality	Position	Email Address	Address
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)		Assets: (In Php)		Net Worth: (In Php)
<input type="checkbox"/> Below 500T <input type="checkbox"/> 500T-999T		<input type="checkbox"/> Below 500T <input type="checkbox"/> 500T-999T		<input type="checkbox"/> Below 500T <input type="checkbox"/> 500T-999T
<input type="checkbox"/> 1M - 5M <input type="checkbox"/> Above 5M		<input type="checkbox"/> 1M - 5M <input type="checkbox"/> Above 5M		<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? <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name of Company: _____		Position: _____		
<small>(Please use another sheet if necessary)</small>				
Are you associated with another Broker/Dealer? <input type="checkbox"/> Yes <input type="checkbox"/> No				
Name of Company: _____		Position: _____		
<small>(Please use another sheet if necessary)</small>				
Do you have an account with other Broker dealers? <input type="checkbox"/> Yes <input type="checkbox"/> No				
If Yes, Name/s of Broker dealer/s: _____				
For Discretionary account: Indicate name of person authorized to exercise discretion:				
Name: _____		Date Granted: _____		Signature: _____
For Corporate Accounts, indicate names of personnel authorized to transact on behalf of the company:				
Name	Position	Signature		
Registry of Certificates: <input type="checkbox"/> In Street Name <input type="checkbox"/> In Client's Name (as stated above)				
Settlement Instructions:				
Payment of Sales Proceeds: <input type="checkbox"/> Email <input type="checkbox"/> Pick up <input type="checkbox"/> Courier <input type="checkbox"/> Deposit to bank account				Bank Name: _____
Confirmation order via: <input type="checkbox"/> Email <input type="checkbox"/> Pick up <input type="checkbox"/> Courier <input type="checkbox"/> Other: _____				Branch: _____
Statement of Account Report: <input type="checkbox"/> Email <input type="checkbox"/> Pick up <input type="checkbox"/> Courier <input type="checkbox"/> Other: _____				Account Number: _____
Documentary Requirements:				
<input type="checkbox"/> a. Photocopy of two identification cards with picture and signature (e.g. Driver's license, SSS, TIN, Passport, Company ID)				
<input type="checkbox"/> b. Proof of Income (Financial Statement, Income Tax Return, or Cert. of Employment)				
<input type="checkbox"/> c. Board resolution that indicate the corporation is authorize to open an account and transact business with VC Securities				
<input type="checkbox"/> d. Secretary's Certificate for the appointment of representative or authorized person				
<input type="checkbox"/> e. Articles of Incorporation and By-Laws				
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	
<i>Do not fill this part. For VC Securities Corporation Only</i>				
Account Type:	Commission Rate:	<input type="checkbox"/> Walk-in <input type="checkbox"/> Referred <input type="checkbox"/> Solicited	Referred by:	
Client Acct. Code:		Interviewed by Salesman:	Date Opened:	
PSE Code:	Initial Rate:	CAIF Encoded by:	Reviewed by:	
Approved by: _____				
Signature over Printed Name			Position	

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;

- 3.1. commission at such rate agreed by the Client and VC SECURITIES;
- 3.2. transfer fees incurred for the transfer of certificate in the Client's Name and
- 3.3. 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 3rd 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

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

		Individual <input type="checkbox"/>
		Corporate <input type="checkbox"/>
SPECIMEN SIGNATURE CARD		
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:
Important: 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.		VC SECURITIES CORPORATION

For Corporate Applicants Only:	
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.	



Individual
 Corporate

SPECIMEN SIGNATURE CARD

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
Important: 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.

Signature Verified:

VC SECURITIES CORPORATION

For Corporate Applicants Only:

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.



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KNOW YOUR CUSTOMER SUPPLEMENTAL FORM

Kindly answer the following items as applicable to you.

- | | YES | NO |
|--|--------------------------|--------------------------|
| 1 I/We am directly engaged/involved in online gaming. | <input type="checkbox"/> | <input type="checkbox"/> |
| 2 I/We are indirectly engaged/involved in online gaming.
*Online gaming refers to online casinos and online betting. | <input type="checkbox"/> | <input type="checkbox"/> |
| 3 I am a government official of the Philippines or of another country.
If yes, please provide the following details: | <input type="checkbox"/> | <input type="checkbox"/> |
| a Position: _____ | | |
| b Status of government official: | | |
| <input type="checkbox"/> Incumbent <input type="checkbox"/> Former | | |
| 4 I am related or affiliated to the government official. | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> Related <input type="checkbox"/> Employee | | |
| 5 For institutional clients only:
Is the business owned/related/affiliated to a government official
of the Philippines or another country? | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes, please indicate percentage of ownership: | | |
| <input type="checkbox"/> Less than 50% <input type="checkbox"/> 50% and more | | |

By signing, I hereby certify that the information given in this form is true and correct to the best of my knowledge. I undertake to advise VC Securities Corporation and provide documentation for any changes on above information. I shall likewise submit proof source of funds relative to my transactions to VC Securities Corporation upon request.

Signature over Printed Name

Date



VC SECURITIES CORPORATION

MEMBER : THE PHILIPPINE STOCK EXCHANGE, INC

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ADDENDUM TO CUSTOMER ACCOUNT INFORMATION FORM (CAIF)

I hereby give my/our consent to the disclosure of my/our name to the Securities and Exchange Commission (SEC) if said information is requested by the same.

Further, that I am accomplishing this statement for the purposes of fully complying with the requirement of Section 13 of the **PSE Rules on Real Estate Investment Trusts (REITS)** which states that:

“NAME-ON CENTRAL DEPOSITORY ARRANGEMENT – The REIT shall establish sufficient control and procedures that shall ensure that the shares are traceable to the names of the shareholders or investors and not for the benefit of any of the non-public shareholders.

The REIT shall make the necessary arrangement with a central securities depository on the recording of its shareholders under a Name-On Central Depository arrangement.”

Client's signature over printed name

VC Securities Corporation
Corporate Trading Account Documentary Requirements

1. Client Account Information Form (CAIF)
2. Specimen Signature Card
3. Two identification cards of each signatory
4. Proof of Authority to Sign of its authorized signatory(ies) which shall be in the form of a Sworn Corporate Secretary's Certificate containing the Board Resolution confirming **(a)** the authority of the person(s) designated therein to sign and execute the papers or documents for and on behalf of the company **(b)** the authority to open an account with VC Securities.
5. Latest Financial Statement & General Information Sheet (GIS)
6. Certificate of Registration
7. Certificate of Incorporation
8. Amended by Laws