

CLIENT ACCOUNT INFORMATION FORM

INDIVIDUAL JOINT ITF ACCOUNT

PERSONAL INFORMATION	PRIMARY ACCOUNT HOLDER	SECONDARY ACCOUNT HOLDER
Name:	Last Name	Last Name
	First Name	First Name
	Middle Name	Middle Name
Gender and Nationality:	<input type="checkbox"/> M <input type="checkbox"/> F _____	<input type="checkbox"/> M <input type="checkbox"/> F _____
Date of Birth (mm/dd/yyyy):		
Place of Birth:		
Civil Status:	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Separated	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Separated
Name of Spouse:		
Residential Address:		
Tel No. / Mobile No.		
E-Mail Address:		
Fax No.:		
Occupation	<input type="checkbox"/> Employed <input type="checkbox"/> OFW <input type="checkbox"/> Self-Employed <input type="checkbox"/> Homemaker <input type="checkbox"/> Retired <input type="checkbox"/> Others _____	<input type="checkbox"/> Employed <input type="checkbox"/> OFW <input type="checkbox"/> Self-Employed <input type="checkbox"/> Homemaker <input type="checkbox"/> Retired <input type="checkbox"/> Others _____
Name of Employer:		
Nature of Business:	<input type="checkbox"/> Agri/Aqua <input type="checkbox"/> Banking <input type="checkbox"/> Consultancy <input type="checkbox"/> Food/Industry <input type="checkbox"/> Entertainment <input type="checkbox"/> Manufacturing <input type="checkbox"/> Financial Institution <input type="checkbox"/> Medical Services <input type="checkbox"/> Government Service <input type="checkbox"/> Wholesale/Retail <input type="checkbox"/> Mining <input type="checkbox"/> Utilities <input type="checkbox"/> Trans. & Com. <input type="checkbox"/> Others: _____	<input type="checkbox"/> Agri/Aqua <input type="checkbox"/> Banking <input type="checkbox"/> Consultancy <input type="checkbox"/> Food/Industry <input type="checkbox"/> Entertainment <input type="checkbox"/> Manufacturing <input type="checkbox"/> Financial Institution <input type="checkbox"/> Medical Services <input type="checkbox"/> Government Service <input type="checkbox"/> Wholesale/Retail <input type="checkbox"/> Mining <input type="checkbox"/> Utilities <input type="checkbox"/> Trans. & Com. <input type="checkbox"/> Others: _____
Business / Office Address:		
Business/Office Tel. No.		
Preferred Mailing Address:	<input type="checkbox"/> Residence <input type="checkbox"/> Business	<input type="checkbox"/> Residence <input type="checkbox"/> Business
TIN No.		
SSS / GSIS No.		
Identification Presented:	<input type="checkbox"/> Driver's License <input type="checkbox"/> Passport <input type="checkbox"/> Others Please specify _____	<input type="checkbox"/> Driver's License <input type="checkbox"/> Passport <input type="checkbox"/> Others Please specify _____
Investment Objective:	<input type="checkbox"/> Growth <input type="checkbox"/> Long-term <input type="checkbox"/> Preservation	<input type="checkbox"/> Growth <input type="checkbox"/> Long-term <input type="checkbox"/> Preservation
Investment Experience:	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive	<input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive
Source of Income:	<input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Investments <input type="checkbox"/> Business <input type="checkbox"/> Others: _____	<input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Investments <input type="checkbox"/> Business <input type="checkbox"/> Others: _____
Annual Income:	<input type="checkbox"/> Below 500T <input type="checkbox"/> 500T – 999T <input type="checkbox"/> 1M – 5M <input type="checkbox"/> Above 5M	<input type="checkbox"/> Below 500T <input type="checkbox"/> 500T – 999T <input type="checkbox"/> 1M – 5M <input type="checkbox"/> Above 5M
Assets:	<input type="checkbox"/> Below 500T <input type="checkbox"/> 500T – 999T <input type="checkbox"/> 1M – 5M <input type="checkbox"/> Above 5M	<input type="checkbox"/> Below 500T <input type="checkbox"/> 500T – 999T <input type="checkbox"/> 1M – 5M <input type="checkbox"/> Above 5M
Net Worth:	<input type="checkbox"/> Below 500T <input type="checkbox"/> 500T – 999T <input type="checkbox"/> 1M – 5M <input type="checkbox"/> Above 5M	<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 a director of a PSE listed company?
If yes, please provide the following information**

Account Holder	Name of Company/ies	Position
Primary		
Secondary		

**Are you associated with another Broker/Dealer?
If yes, please provide the following information:**

Primary		
Secondary		

**Do you have an account with other Broker/Dealer?
If yes, please provide the following information:**

Primary	Name of Broker/Dealer :
Secondary	Name of Broker/Dealer :

For Discretionary Account: Indicate name of person authorized to exercise discretion

Name :	
Address :	
Date Granted :	
Registry of Certificates :	<input type="checkbox"/> In street Name <input type="checkbox"/> In client's Name

Settlement instructions:

(For Joint accounts, all documents shall be sent to the primary account holder unless instructed otherwise)

Confirmation of order via :	<input type="checkbox"/> Messenger/Courier <input type="checkbox"/> Fax <input type="checkbox"/> E-Mail
Payment of Sales proceeds:	For Bank Deposit :
<input type="checkbox"/> Deposit to Client Bank Account	Name of Bank : _____ Account No. _____
<input type="checkbox"/> Messenger /Courier	Account Name :

Documentary Requirements:

- Photo Copy 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 Customer Account Information Form is true and correct to the best of my knowledge. I/We have read and agree to be 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
(Primary Account Holder)

Signature of Client over Printed Name
(Secondary Account Holder)

Account type: <input type="checkbox"/> Traditional <input type="checkbox"/> Online	Commission Rate:	<input type="checkbox"/> Walk-in <input type="checkbox"/> Referred	Referred by:
Client Account Code:	Initial Deposit:	Interviewed by:	Date Opened:
PSE Code:		CAIF encoded by:	Reviewed by:

Approved by:

Signature over Printed Name

Position

Date Approved

SECURITIES TRADING AGREEMENT

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

1. **Documents for Opening of Account.** The CLIENT guarantees that all documents and identification presented and all information provided during the process of opening an account with THE FIRST RESOURCES are true, complete and valid, or have not been revoked as of the date they were given and/or presented to THE FIRST RESOURCES. 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/S for the purchase and sale of securities shall be binding on THE FIRST RESOURCES only upon its issuance of the confirmation notice. THE FIRST RESOURCES does not warrant that the order placed has been executed, unless the confirmation notice is issued. The contents of the confirmation notices sent to the address of the CLIENT/S indicated herein shall be deemed final, unless written objection is served upon THE FIRST RESOURCES within twenty four (24) hours from receipt thereof.

3. **Charges and Fees.** In consideration of the services provided by THE FIRST RESOURCES, the CLIENT agrees to pay THE FIRST RESOURCES the following:

- 3.1 commission at such rates agreed by the CLIENT and THE FIRST RESOURCES;
- 3.2 transfer fees incurred for the transfer of certificate in the CLIENT/S name/s; 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 be based on the market practice of T+3. Failure of the CLIENT to pay on the third business day from the date of purchase shall authorize, but not obligate, THE FIRST RESOURCES, 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 THE FIRST RESOURCES after the sale of securities shall be delivered to the CLIENT/S 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, the latter shall pay for the same to THE FIRST RESOURCES within three (3) days upon the latter's demand; otherwise, the same shall incur interest stipulated below, until it is fully paid. In addition, THE FIRST RESOURCES shall also be entitled to offset any amount payable by THE FIRST RESOURCES 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 THE FIRST RESOURCES (individually or jointly with others) which are due and demandable.

5. **Issuance of Certificate.** Since the purchase of securities is in scripless form, the CLIENT/S shall inform THE FIRST RESOURCES should the CLIENT/S prefer 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.

6. **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 thereunder. Moreover, transactions made by any or all of the CLIENTS under "and/or" accounts are understood to have been made with an explicit confirmation that all of them are still living on the date of such transactions, and that the FIRST RESOURCES shall be held free and harmless for its reliance thereon.

7. **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.

8. **Communication.** All communications, whether by telephone, messenger, mail, telegraph, or otherwise, sent to the CLIENT/S at the address given shall constitute personal delivery to the CLIENT/S. In the event of failure on the part of the CLIENT/S to notify THE FIRST RESOURCES in writing of any change of address, all communications shall be directed to the last known address appearing in the records of THE FIRST RESOURCES. 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 THE FIRST RESOURCES within twenty-four (24) hours from the time the communication was sent to said address.

Furthermore, THE FIRST RESOURCES 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/S or staff of the CLIENT/S sent through instant messaging services (i.e., text, email, yahoo, google and other such form of communication). Neither shall THE FIRST RESOURCES be held accountable for its failure to act on an order arising from its failure or inability to receive or access messages sent by the client through the above-mentioned communication aids.

9. **Assignment of Agreement.** This agreement shall not be assigned by the CLIENT/S to others without the prior express written consent of THE FIRST RESOURCES.

10. **Authority to disclose.** THE FIRST RESOURCES takes the confidentiality of information regarding the account seriously. However, the CLIENT recognizes that THE FIRST RESOURCES may be required by law and regulations, or even by the courts of law in proper cases, to disclose to the Philippine Stock Exchange, Inc. (PSE) or to other government agencies like the Securities and Exchange Commission (SEC), the Bureau of Internal Revenue (BIR) and Anti-Money Laundering Council (AMLC), certain information on, about or as provided by the CLIENT/S to THE FIRST RESOURCES in relation with this account. This serves to authorize THE FIRST RESOURCES to disclose such information to such entities, as may be required by law, regulation or court order, which THE FIRST RESOURCES 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 case thereon.

The CLIENT hereby holds THE FIRST RESOURCES free from any claim, suit or charge that may be filed against them, their directors, officers and personnel or from any damages or consequences direct or indirect, arising out its disclosure as authorized above.

11. **Update of Information.** The CLIENT/s and THE FIRST RESOURCES agree to inform each other of any material change in any of the information provided in this application and agreement. THE FIRST RESOURCES 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.

12. **Assumption of Risk.** CLIENT/S fully accept/s the risks for all orders and the trading decisions attendant thereto. CLIENT acknowledges further that orders are not guaranteed execution, and shall not hold the FIRST RESOURCES responsible for any order that is not executed.

CLIENT/S shall make their own investment decisions and THE FIRST RESOURCES shall not be liable for any losses or damages incurred arising from any trades based on such decisions.

13. **Litigation.** In the event of any litigation or lawsuit arising from this Agreement, the CLIENT/S expressly agree to pay the Attorney's fees of at least 25% of the amount involved or P50,000 whichever is higher, in addition to cost of suit, should the case be decided in favour of THE FIRST RESOURCES. The venue for any litigation shall be in the proper courts of the City of Makati, Philippines, to the exclusion of other courts.

14. **Safekeeping.** THE FIRST RESOURCES may charge prevailing safekeeping charges to be applied each month or fraction thereof during which the securities are held by it for the CLIENT.

THE FIRST RESOURCES shall give the securities (in physical certificate form) the same degree of care as its own property but does not assume responsibility beyond that. THE FIRST RESOURCES 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 THE FIRST RESOURCES.

15. 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.

16. **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

SPECIMEN SIGNATURE CARD

Individual Corporate

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 Signatures

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 the **The First Resources Management & Securities Corporation.**

**THE FIRST RESOURCES MANAGEMENT
& 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.