



REGINA CAPITAL

Development Corporation

MEMBER: PHILIPPINE STOCK EXCHANGE
18/F Unit 1809-1810, PSE Tower, 5th Ave., Cor.
28th St. Bonifacio Global City, Taguig City

Tel. No.: (632) 8848-5482 to 84
Fax No.: (632) 8820-8375
Exchange Tel No.: (632) 8891-9413 to 17
Email Address: rcdc@reginacapital.com
Website: www.reginacapital.com

CUSTOMER ACCOUNT INFORMATION FORM

Customer Code: _____

When making payments please ask for a **Provisional Receipt (PR)**. The **Official Receipt (OR)** will follow five days thereafter.

Account Type: ☐ Individual ☐ Partnership ☐ Corporation
☐ Cash ☐ Discretionary ☐ Margin ☐ Institutional

NAME:		TIN:	
RES. ADDRESS:		SSS/GSIS NO.:	
E-MAIL ADDRESS:		RES. TEL. NO.:	
OCCUPATION:		NAME OF EMPLOYER:	
BUS. NAME:		ADDRESS OF EMPLOYER:	
BUS. ADDRESS:			
BUS. TEL. NO.		COMPANY TEL. NO.:	
NATIONALITY:	DATE OF BIRTH:	PLACE OF BIRTH:	
Are you associated with another Broker or Dealer? <input type="checkbox"/> YES <input type="checkbox"/> NO			

Investment Objective: ☐ Speculation ☐ Long – Term Investment

Annual Income: _____ Assets: _____ Net Worth: _____

Are you an Officer or Director of a Listed Company? ☐ YES ☐ NO

If Yes:	Name of Company	Position
_____	_____	_____
_____	_____	_____

For Corporate Account:		
Business Name:	Business Address:	TIN:
Business Tel. No.	Fax No.	Nature of Business:
Email Address:	Source of Funds:	
Authorized Signatories:		

Name	Signature	Designation
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

Confirmation to be sent to: _____ Relationship: _____
Address: _____

Signature over printed name of Customer (or Attorney-in-fact)

Date

Signature over printed name of Person authorized to exercise in account

Date

Signature over printed name of Salesman introducing the account

Date

Signature over printed name of Officer or Manager accepting the account

Date

TERMS AND CONDITIONS

This is to inform you that REGINA CAPITAL DEVELOPMENT CORP. (RCDC) will act as my broker in connection with my securities transactions, I hereby agree to the following terms and conditions:

1. For the purpose of buying, selling or performing other authorized acts stated herein, I hereby irrevocably appoint and constitute RCDC, its officers, employees, or successors and assigns, as my true and lawful attorney-in-fact, with full power or authority to buy, sell, lend or borrow securities, or otherwise act for any of my accounts (whether operated individually or jointly with other), to agree upon the price of securities, execute to the purchaser(s) thereof, or such other instruments in writing or documents as may be necessary, and to deliver or accept delivery of the corresponding stock certificates and/or instruments of assignment, hereby ratifying all acts of RCDC done which may be done pursuant to the authority conferred herein.
All transactions shall be subjected to the constitution, rules, regulations, customs and usage of the Philippine Stock Exchange, Inc., the Securities and Exchange Commission, the Philippine Clearing House, RCDC and the laws of the Philippines as may be amended from time to time.
2. Any orders by me for the purchase or sale of securities shall be binding on RCDC only upon its issuance of the confirmation notice. RCDC does not warrant that any order placed can be or has been executed unless the confirmation notice is issued. The contents of confirmation notices sent to my address indicated herein shall be deemed conclusive upon me as to their correctness, unless within twenty-four (24) hours from the receipt thereof, written of any objected is served upon RCDC.
3. I agree that when RCDC has executed a purchase or sale transaction on my behalf, I shall deliver the full payment of the purchase price or make good delivery of sold securities to RCDC against payment, as the case may be, not later than two (2) days after the date of transaction (the settlement date). All payments to RCDC shall be made in freely transferable, cleared and available funds, in such currency and to such accounts as RCDC may specify and shall be made without set off or counter claim and free clear of and without deduction for, or on accounts of, all present and future taxes, levies, imposts, stamp duties, deductions, charges and withholdings. Payments made by check shall have the effect of payment only when cleared by the drawee bank.
4. If full payment is not received within the required period, the Trading Participant shall cancel or otherwise liquidate the transaction, or the unsettled portion thereof, starting on the next business day but not beyond ten (10) business days following the last day for the customer to pay, unless such sale cannot be effected within said period for justifiable reasons.

If a transaction is cancelled or otherwise liquidated as a result of non-payment by the customer, prior to any subsequent purchase during the next ninety (90) days, the customer shall be required to deposit sufficient funds in the account to cover each purchase transaction prior to execution.
5. In case of joint accounts, it shall be expressly indicating whether the same is an "and/or" or an "and" account with all parties to said account signing there under. Unless otherwise indicated, a joint account shall be deemed to be an "and/or" account. For "and" accounts, the consent of all the signatories must first be obtained prior to the execution of any instruction, orders or communication. For "and/or" accounts, the consent of any one of the signatories shall be sufficient to bind the other signatories. Securities now and hereafter held in their account shall be owned by them as their joint property with the frights of survivorship. RCDC shall be held free and harmless against any and all losses, damages, costs, penalties, fines and taxes which may be incurred as result of any action taken or not taken by RCDC (1) in reliance upon the instruction, orders, or communications believed by RCDC to be those of one of the signatories; (2) in reliance upon the attestation of the signatories that all of them are still living on the date of the transaction made by any or all of them. Liability arising herein shall be deemed to be solidary liability of the signatories of this account.
6. RCDC will provide me with monthly statements (in such form as RCDC may determine) settling forth the list of securities held for my account/s, if any, and details of all transactions entered into since the date of the proceeding statement (if any) and containing such further information as RCDC may consider relevant.
7. I understand that the stock market is rapidly changing market there is an inherent risk in incurring loss in securities transactions which shall be for my account. For this reason, I hereby hold RCDC free and harmless against any and all costs, losses, damages, fines, penalties, and taxes

which may incur arising out or in connection with the exercise of any of its functions and powers herein authorized except arising from the wilful default or gross negligence of RCDC or any of its directors, officers, and employees.

8. I hereby unconditionally and irrevocably authorize and grant RCDC the absolute discretion to record or cause the recording using any device RCDC may deem appropriate or advisable (including, without limitation, tape recorders and other recording instruments) any telephone communication or spoken word between the undersigned and any of the representatives of RCDC. In the course of, or in connection with, any transaction or dealing hereunder or which may relate or pertain hereto, and any such recording or any part thereof shall be admissible as evidence in any proceeding.
9. If any one or more of the provisions contained in this Agreement any other document hereinafter executed in connection herewith shall be deemed valid, illegal or unenforceable in any respect, the validity, legality and enforceability of the remaining provisions shall not in any way be affected or impaired.
10. All the information contained herein is complete, true and correct. RCDC is entitled to rely on such information until RCDC has received written notice from me of any change, herein, hereby authorize RCDC to conduct a credit inquiry or check on my financial situation and investment objectives.
11. All the above provisions are deemed incorporated by reference in all confirmation notices issued to me regarding execution of my orders. This Agreement shall continue to be in full force and effect until signed notice to revocation. It shall continue to be valid and binding as the transactions enters prior thereto.
12. I hereby agree and consent that Regina Capital Development Corporation (RCDC) may, in accordance with the privacy standards and security measures set forth in its Privacy Statement, collect, store, modify, retrieve, use or in any manner it deems appropriate, process, my personal information and sensitive personal information including, but not limited to:
 - Name, address, phone numbers, e-mail address and other contact information;
 - Date of birth, civil status and other personal information for identification documentation;
 - Government-issued identification numbers such as passport numbers, social security number, taxpayer identification numbers and/or driver's license numbers; and
 - Financial and banking details, including my financial interests and holdings.

I hereby authorize RCDC to process, use and disclose to third parties the foregoing information pertaining to me to the extent necessary and adequate for purposes of accrediting and managing the accreditation of the organization/entity to which I act in the capacity stated below in this form.

I agree that RCDC may provide my personal information or sensitive personal information which I have provided RCDC to the following parties in line with the purposes set out above:

- Any agent, contractor or third party service providers who provide relevant services to RCDC; and
- Any regulatory, government, tax, law enforcement of other agencies or other authorities, clearing houses for the purpose of complying with the laws, rules and regulations.

I acknowledge that I am aware that under the Data Privacy Act and other applicable privacy laws and regulations, I have (a) the right to withdraw the consent hereby given or to object to the processing of my personal information provided there is no other legal ground or overriding legitimate interest for the processing thereof; (b) the right to reasonable access, (c) right to rectification, and (d) right to erasure or blocking of my personal information subject, however, to the conditions for the legitimate exercise of the said rights.

My signature below affirms conformity of the foregoing conditions. Taguig City, Metro Manila.

PRINT NAME & SIGN

Please print or write legibly fill up all spaces including back page submit with the forms photocopy of two valid ID with visible picture and signature sign specimen signature card

CHECK		PRINT NAME	CITIZENSHIP
MR.	<input type="checkbox"/>	TIN NO.	
MRS.	<input type="checkbox"/>		
MISS	<input type="checkbox"/>		
STOCK		SPECIMEN SIGNATURE CARD	
Please	1.		
Sign			
Twice	2.		
ADDRESS:			
TELEPHONE			
<p>Important: Pursuant to the regulations of the Securities & Exchange Commission. No certificate can be Issued to a buyer unless he signs and Indicates his citizenship on this card. With respect to street certificate. The citizenship of the beneficial owner and not of the broker should be indicated. Please return this card to 18/F PSE, Tower, 5th ave cor 28th st., Bonifacio Global City Taguig City.</p>			<p>SIGNATURE VERIFIED BY</p> <p>REGINA CAPITAL DEVELOPMENT CORPORATION</p>

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