

CUSTOMER ACCOUNT INFORMATION AND AGREEMENT FORM

Account Information

CLIENT TYPE				
<input type="checkbox"/> INDIVIDUAL/SINGLE	<input type="checkbox"/> JOINT "AND"	<input type="checkbox"/> JOINT "OR"	<input type="checkbox"/> JOINT "AND/OR"	<input type="checkbox"/> ITF
ACCOUNT TYPE		DESIRED USERNAME:		
<input type="checkbox"/> CASH	<input type="checkbox"/> MARGIN	YOUR DEFAULT PASSWORD WILL BE SENT VIA E-MAIL		

Personal Information

LAST NAME	FIRST NAME	MIDDLE NAME	GENDER	SUFFIX	TIN
BIRTHDAY (MMDDYY)	BIRTHPLACE	NATIONALITY	MOTHER'S COMPLETE MAIDEN NAME		

PRESENT PERMANENT RESIDENT ADDRESS	CIVIL STATUS		
	<input type="checkbox"/> SINGLE <input type="checkbox"/> MARRIED <input type="checkbox"/> SEPARATED <input type="checkbox"/> WIDOWED (WER) <input type="checkbox"/> OTHERS: _____		
ZIP CODE: _____			
TELEPHONE NUMBER/S	MOBILE NUMBER/S	EMAIL ADDRESS/ES	FAX NO.

Occupation Details

<input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed <input type="checkbox"/> Student <input type="checkbox"/> Others: _____		
DESIGNATION/POSITION	NAME OF EMPLOYER OR BUSINESS (IF SELF-EMPLOYED):	NATURE OF BUSINESS
ADDRESS OF EMPLOYER OR BUSINESS	PHONE NUMBER OF EMPLOYER OR BUSINESS	

Investor Profile

BANK ACCOUNT INFORMATION (FOR CLIENT WITHDRAWALS AND BANK DEPOSITS)			
BANK NAME	BANK BRANCH	ACCOUNT NUMBER	ACCOUNT NAME

INVESTMENT OBJECTIVE (NOT TO BE LEFT UN-ANSWERED)	FINANCIAL STATUS (NOT TO BE LEFT UN-ANSWERED)	500K and below	500K but <1M	1M but <5M	5M but <10M	10M and above	Or in PHP
<input type="checkbox"/> LONG TERM INVESTMENT <input type="checkbox"/> GROWTH <input type="checkbox"/> PRESERVATION OF CAPITAL <input type="checkbox"/> SPECULATION <input type="checkbox"/> QUICK TRADE	ANNUAL INCOME <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	ASSET <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
	NETWORTH <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

SOURCE/S OF FUNDS (NOT TO BE LEFT UN-ANSWERED)
<input type="checkbox"/> Salaries <input type="checkbox"/> Professional Fees <input type="checkbox"/> Rental Income <input type="checkbox"/> Interest Income <input type="checkbox"/> Pension <input type="checkbox"/> Others, Specify: _____

BENEFICIARIES (IF ANY)				
LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX	RELATIONSHIP

IF GOVERNMENT EMPLOYEE:	
POSITION	AGENCY/OFFICE

DISCLOSURES			
Are you a corporate officer or director of a listed company? If Yes, please provide details below:		Are you an officer or employee of another Broker/Dealer? If Yes, please provide details below:	
<input type="checkbox"/> YES <input type="checkbox"/> NO		<input type="checkbox"/> YES <input type="checkbox"/> NO	
Company Name	Designation/Position	Company Name	Designation/Position

MAILING OF INVOICES, MONTHLY STATEMENT OF ACCOUNT AND OTHER COMMUNICATIONS

On 01, July 2015, Unicapital Securities, Inc. was granted by the Securities and Exchange Commission exemptive relief from SRC Rule 30.2-2 and SRC Rule 52.1-8. Henceforth, all confirmation invoices, monthly statement of account, and order communications shall be sent via the UTrade website and/or electronic mail to customer's registered email address. Physical copies of any confirmation invoices, monthly statement of account, and order communications will only be printed via request of the client.

I affirm that the foregoing information given by me is true and correct. I hereby allow Unicapital Securities, Inc. to verify and investigate said information and/or secure such other information as may be required by Unicapital Securities, Inc.. It is understood that all transactions with Unicapital Securities, Inc. shall be subject to the general terms and conditions of the agreement stated in Customer Account Information and Agreement Form.

1. _____ 2. _____ 3. _____
 (Please sign thrice)

PLEASE SUBMIT THE FOLLOWING REQUIREMENTS:

A. BASIC REQUIREMENTS

1. Minimum cash/check deposit payable to Unicapital Securities, Inc. amounting to Php10,000.00
2. Photocopy at least one (1) identity document issued by the Philippine Government: passport, driver's license, SSS/GSIS Professional Regulation Commission ("PRC") ID, and COMELEC Voter's ID. (Please present original for verification),
3. Two (2) copies of Specimen Signature Cards; and
4. Duly signed Online Trading Service Agreement.

B. ADDITIONAL REQUIREMENTS FOR THE FOLLOWING:

1. **Resident Foreigner, please include photocopy of the following**
 - a. Alien certificate to registration (ACR) issued by the Bureau of Immigration; or
 - b. A certification to engage in business or working permit issued by the Department of Labor & Employment (DOLE)
2. **Non-Resident Foreigner, please include the following:**
 - a. Proof on income certified by Employer, if Unemployed submit photocopy of latest Income Tax Returns (ITR); and
 - b. Identity Document (ID) authenticated by the Philippine Embassy or Consulate
 - c. A latest copy of any of the following must be submitted: Credit Card Statement or Bank Statement, Public Utility Bill

(For Unicapital Securities, Inc. and/or UTrade's Use Only)

DATE OPENED	OPENED BY	AGENT	HEAD OF SALES	VERIFIED/ ENCODED BY	APPROVED BY
				Encoded:	
				OM -	
				AP -	

CLIENT CODE	PSE/ TRADING ACCOUNT CODE	COMM. RATE	TRADING LIMIT