



BA Securities, Inc.

Customer Code

CUSTOMER ACCOUNT INFORMATION FORM

For Individuals

(Including Joint, Sole Proprietary and Partnership)

ACCOUNT INFORMATION

Client Type

Individual Sole Proprietary *Joint "AND" *Joint "OR" *Partnership In Trust For: _____

Account Type

Cash/Regular Online Margin Discretionary

Are You The Primary Account Holder?

(For Joint and Partnership Account) No Yes

*Each account holder/partner shall fill-up a separate Customer Account Information Form

PERSONAL INFORMATION

Last Name/Surname _____ First Name _____ Middle Name _____ Suffix _____ Gender _____ Birthday _____

Male Female

MM/DD/YYYY

Birthplace _____

Nationality

Philippines Others: specify below _____

Mother's Maiden Name _____

TIN _____

SSS No. GSIS No. _____

Civil Status

Single Married Separated Annuled Divorced Widow/er

Complete Name of Spouse _____

Telephone No./s _____ Mobile No./s _____ Fax No./s _____ eMail Address/es _____ Website Address/Webpage _____

Present Residence Address _____

Permanent Address

Same as Present Residence Address

Mailing/Delivery Address

Same as Present Residence Address Same as Permanent Address

EMPLOYMENT/BUSINESS INFORMATION

Employment Status

Employed Self-Employed Retired Unemployed Student _____ Name of School

Name of Employer or Name of Business

Please tick if to be used as Account Name (for Sole Prop./Partnership Accounts Only)

Nature of Work/Business

(Ex.: Manufacturing/Retail/etc.)

Occupation/Designation

(Ex.: Owner/Manager/President/etc.)

Employment/Business Address Same as Present Residence Address Same as Permanent Address Same as Mailing Address

Telephone No./s _____ Mobile No./s _____ Fax No./s _____ eMail Address/es _____ Website Address/Webpage _____

DTI Registration No. _____ Expiry Date _____

For Sole Proprietary Accounts Only

MM/DD/YYYY

SEC Registration No. _____ Registration Date _____

For Partnership Accounts Only

MM/DD/YYYY

Country of Registration

Philippines Others: specify below _____

FINANCIAL PROFILE

Source/s of Funds

Salaries Business Income Investments Interest Income Dividends Savings Inheritance Pension Allowance _____ OTHERS

Investment Objective

Long-Term Investment Growth Preservation of Capital Speculation

Annual Income

<Php1M Php5M UP Php1M<Php5M

Asset

<Php1M Php5M UP Php1M<Php5M

Networth

<Php1M Php5M UP Php1M<Php5M

AFFILIATIONS/DISCLOSURES

Are you a Stockholder, Director, Officer, or Nominee of BA Securities, Inc. or any other Broker-Dealer, or a relative within the fourth civil degree of consanguinity or affinity of a Stockholder, Director, Officer, or Nominee of BA Securities, Inc. or any other Broker-Dealer? If YES, please provide the complete details below (attach separate sheet if necessary).

YES, provide details below

NO, leave below blank

Name of Related Person _____

Relationship _____

Broker-Dealer Name _____

Position/Designation _____

Are you a corporate officer or director of a listed company? <input type="checkbox"/> YES, provide details below <input type="checkbox"/> NO, leave below blank Listed Company Name _____ Position/Designation _____	Are you an officer or employee of another Broker/Dealer? <input type="checkbox"/> YES, provide details below <input type="checkbox"/> NO, leave below blank Broker-Dealer Name _____ Position/Designation _____
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Are you, any of your immediate family members, and close relationships and associates holding or has been holding a position or positions in government? If YES, please provide the complete details below (attach separate sheet if necessary).
 YES, provide details below NO, leave below blank

Name	Relationship	Government Agency/Office	Position/Designation	Term of Office From - To
_____	_____	_____	_____	_____

SETTLEMENT, DELIVERY AND OTHER INSTRUCTIONS

Confirmation and SOA <input type="checkbox"/> e-Mail <input type="checkbox"/> Courier <input type="checkbox"/> Fax <input type="checkbox"/> Pick-up	Sales Proceeds and Other Cash Payments <input type="checkbox"/> Business Address <input type="checkbox"/> Mailing Address <input type="checkbox"/> Pickup <input type="checkbox"/> Deposit/Credit to Bank Account	Bank Account Information Bank and Branch _____ Account Number _____
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Shares of Stocks <input type="checkbox"/> Keep with BASI under its Nominee Account with PDTC <input type="checkbox"/> Deliver to Client's PDTC Account _____ <input type="checkbox"/> Deliver to Custodian Bank's PDTC Account _____	Optional: Do You Require Duplicate Confirmation? <input type="checkbox"/> NO <input type="checkbox"/> YES (subject to additional fees), complete the details below: Recipient _____ Relationship _____ Address _____
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FEES AND CHARGES (subject to change without prior notice)

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|---|--|---|
| Buy and Sell Trades
<ul style="list-style-type: none"> • Commission - 0.25% of the gross trade value (on-line) or 0.75% of the gross trade value (broker-assisted) • VAT on Commission - 12% of the commission • SCCP Fee - 0.01% of the gross trade value • PSE/SEC/SIPF Fee - 0.011% of the gross trade value • Transaction Tax (Sell) - 0.6% of the gross trade value | Other Fees and Charges
<ul style="list-style-type: none"> • Lodgement (Certificate Deposit) Fee - If Transfer Office is a bank, Php 100.00 per issue plus Php 20.00 per certificate. If Transfer Office is a non-bank, Php 112.00 per issue plus Php 22.40 per certificate • Upliftment (Certificate Request) Fee - Php 300.00 per certificate plus Php 224.00 Service Fee • Certification Fee - Php 100.00 | <ul style="list-style-type: none"> • PDTC Maintenance Fee - 0.0001 x market value of holdings/360 days for daily computation • Transfer/EQTrade (Broker to Broker) Fee - Php 75.00 per issue, per execution plus 12% VAT • Online Trading Access Service and Market Data: (1) Monthly Fee per log-in account - Php 810.00 for either Online or Mobile or Php 1,100.00 for both Online and Mobile and (2) Php 50.00 for Market Data (VAT exclusive) |
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DOCUMENTARY REQUIREMENTS (CHECKLIST)

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|---|--|
| A. Individuals
<ul style="list-style-type: none"> • *Two (2) valid IDs with photo and signature issued by government entities • 2-sets of fully-filled up copy of specimen signature card • Duly signed Client Agreement (Terms and Conditions) • Signed Data Processing Consent (DPC) Form <p>*For Non-Filipinos:
 • Copy of unexpired passport; and
 • Any one: Copy of ACR, SRRV, SIRV, Driver's License, etc.</p> | B. Sole Proprietary
<ul style="list-style-type: none"> • Documents itemized in A • Copy of Unexpired DTI Certificate of Registration • Copy of Latest and Valid Business Permit |
| C. Partnership
<ul style="list-style-type: none"> • Documents itemized in A (for each partner) • Certified True Copy of SEC Certificate of Registration • Certified True Copy of Articles of Partnership | |

I affirm that the foregoing information given by me is true and correct. I hereby allow BA Securities, Inc. to verify and investigate said information and/or secure such other information as may be required by BA Securities, Inc.. It is understood that all transactions with BA Securities, Inc. shall be subject to the general terms and conditions of the agreement stated in the Client Agreement (Terms and Conditions) and other supplemental agreements.

Signature Over Printed Name

Specimen Signatures (please sign thrice)

_____ Affix your signature inside this box	_____ Affix your signature inside this box	_____ Affix your signature inside this box
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(FOR BA SECURITIES, INC.'s USE ONLY)

Salesman/Trader/Agent Attestation I hereby certify that I have conducted the appropriate Know-Your-Client (KYC) and Customer Due Diligence (CDD) procedures with the client in accordance with the relevant rules and I have verified the information in the CAIF as true and correct to the best of my knowledge and belief. I have sighted all the originals of the documents submitted and undertake full responsibility thereat.	Introduced By: _____ Date _____
_____ Name and Signature	Reviewed By: _____ Date _____
_____ Date	Approved By: _____ Date _____