



CUSTOMER ACCOUNT INFORMATION FORM

For Corporate/Institutional Customers

ACCOUNT INFORMATION

Client Type: Corporation, Trust, GOCC, Others; Account Type: Cash/Regular, Online, Margin, Discretionary

CORPORATE INFORMATION

Corporate/Company Name, TIN, SSS No., GSIS, SEC Registration No., Registration Date, Country of Registration, Nationality, Nature of Business, Is Business Tax Exempt?, Telephone No./s, Mobile No./s, Fax No./s, eMail Address/es, Website Address

Present Business Address, Present/Preferred Mailing/Delivery Address (Same as Present Business Address)

Name of Person/s Authorized to Transact Business on Behalf of the Customer: Name, Designation, Contact No./Information

FINANCIAL PROFILE

Source/s of Funds: Business, Investments, Interest Income, Dividends, Sale of Goods, Sale of Properties, Others; Investment Objective: Long-Term Investment, Growth, Preservation of Capital, Speculation; Annual Income: <Php1M, Php5M UP, Php1M<Php5M; Asset: <Php1M, Php5M UP, Php1M<Php5M; Network: <Php1M, Php5M UP, Php1M<Php5M

AFFILIATIONS/DISCLOSURES

Is the company/entity associated with a listed company? Is the company/entity associated with another broker/dealer?

SETTLEMENT, DELIVERY AND OTHER INSTRUCTIONS

Confirmation and SOA: e-Mail, Courier, Fax, Pick-up; Sales Proceeds and Other Cash Payments: Business Address, Mailing Address, Pickup, Deposit/Credit to Bank Account; Bank Account Information: Bank and Branch, Account Number; Shares of Stocks: Keep with BASI, Deliver to Client's PDTC Account, Deliver to Custodian Bank's PDTC Account; Optional: Do You Require Duplicate Confirmation?

FEES AND CHARGES (subject to change without prior notice)

Buy and Sell Trades: Commission, VAT, SCCP Fee, PSE/SEC/SIPF Fee, Transaction Tax; Other Fees and Charges: Lodgement, Upliftment, Certification, PDTC Maintenance Fee, Transfer/EQTrade Fee, Online Trading Access Service and Market Data

DOCUMENTARY REQUIREMENTS (CHECKLIST)

Local Corporation and Resident Foreign Corporation

- Customer Account Information Form (originally signed by the authorized signatories)
 - Duly signed Client Agreement (Terms and Conditions)
 - *Two (2) valid IDs of each authorized signatory with photo and signature issued by government entities
 - Two (2) sets of Specimen Signature Card for each authorized signatory (authenticated by the Corporate Secretary)
 - Board Resolution/Secretary’s Certificate authorizing the corporation to open a trading account with BA Securities, Inc. and indicating its authorized signatories
 - Certified True Copy of Articles of Incorporation, By-Laws and SEC Certificate of Registration
 - Copy of Latest Audited Financial Statement
 - Copy of Latest General Information Sheet duly acknowledged by the SEC
- *For Non-Filipinos:
- Copy of unexpired passport; and
 - Any one: Copy of ACR, SRRV, SIRV, Driver’s License, etc.

Non-Resident Foreign Corporation

- Customer Account Information Form (originally signed by the authorized signatories)
 - Duly signed Client Agreement (Terms and Conditions)
 - ** Two (2) valid IDs of each authorized signatory with photo and signature issued by government entities
 - Two (2) sets of Specimen Signature Card for each authorized signatory (authenticated by the Corporate Secretary)
 - ** Board Resolution/Secretary’s Certificate authorizing the corporation to open a trading account with BA Securities, Inc. and indicating its authorized signatories
 - ** Certified True Copy of Articles of Incorporation, By-Laws and SEC Certificate of Registration
 - ** Copy of Latest Audited Financial Statement
 - ** Copy of Latest General Information Sheet or equivalent document duly acknowledged by the SEC or equivalent regulator
- ** authenticated by the Embassy/Consulate of the Institution’s country of Domicile (Philippine Embassy or Consulate)

Other Documents

- **For Tax Exempt Institutions:** A Copy of BIR Letter of Exemption/Certificate on top of the above-listed documents
- **For Trust Accounts:** A Copy of the trust agreement on top of the above-listed documents. The agreement shall specify the types of transactions that the trustee is allowed to perform. The trust account must indicate the following information: (1) if it is common, collective or individual account; (2) the name/s of the beneficial owners; (3) the name/s of the account owners; (4) if acting for his own account or as agent; and (5) if acting as agent, the principal must be specified.

We hereby confirm that all data and information given on this form are true and correct. We hereby allow BA Securities, Inc. to verify and investigate said information and/or secure such other information and/or documents as may be required by BA Securities, Inc..

Signature Over Printed Name of Authorized Signatory

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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.

Name and Signature

Date

Introduced By: _____ **Date**

Reviewed By: _____ **Date**

Approved By: _____ **Date**