

# EAGLE EQUITIES, INC.

779 Harvard St., Wack-Wack, Mandaluyong City, 1555 Philippines  
Office 7252777 / 7241584 – Trading Floor 8392018/8392019

SEC Registration No. AS-010543 \* Broker/Dealer \* Member: Philippine Stock Exchange, Inc.

## CUSTOMER ACCOUNT INFORMATION FORM

INDIVIDUAL - LOCAL  FOREIGN  //  CORPORATE – LOCAL  FOREIGN

ACCOUNT TYPE :  CASH  DISCRETIONARY  MARGIN  JOINT

### (I) PERSONAL INFORMATION

INDIVIDUAL: Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_ Middle Name: \_\_\_\_\_  
COMPANY NAME: \_\_\_\_\_  
Civil Status:  Single  Married  Separated  Widowed Sex:  Male  Female Nationality: \_\_\_\_\_  
Name of Spouse : \_\_\_\_\_ Date of Birth/Registration : \_\_\_\_\_  
Home Address : \_\_\_\_\_ Place of Birth/Registration : \_\_\_\_\_  
Home Tel./Fax No. : \_\_\_\_\_  
Business Address : \_\_\_\_\_ Business Tel./Fax No. : \_\_\_\_\_  
Email Address : \_\_\_\_\_  
Occupation : \_\_\_\_\_ Employer's Name : \_\_\_\_\_  
Business Name : \_\_\_\_\_ Nature of Business : \_\_\_\_\_  
Of legal age? :  Yes  No TIN : \_\_\_\_\_  
Is your employer a registered broker dealer?  Yes  No Photocopy of ID Provided: \_\_\_\_\_  
Are you an officer/director of a listed Company  Yes  No  Driver's License  SSS ID  
If yes, please identify the Company : \_\_\_\_\_  GSIS ID  Passport  
Name of Attorney In Fact, if applicable: \_\_\_\_\_  Employer ID  Others \_\_\_\_\_

Customer was referred by: \_\_\_\_\_ Investment Objective \_\_\_\_\_ Years of experience  
Length of time known by salesman: \_\_\_\_\_ in Equities Investment  
Customer's Bank: \_\_\_\_\_  Speculation  Less than 1 year  
Do you have accounts with other Broker Dealer?  Growth  Less than 5 years  
 Yes  No  Preservation of Capital  More than 5 years  
If yes, name(s) of broker(s): \_\_\_\_\_  Long term investment  More than 10 years

### (II) FINANCIAL INFORMATION

Annual Income:  Less than 1MM  Less than 5MM  More than 5MM  Others \_\_\_\_\_  
Assets :  Less than 1MM  Less than 5MM  More than 5MM  Others \_\_\_\_\_  
Networth :  Less than 1MM  Less than 5MM  More than 5MM  Others \_\_\_\_\_

### (III) SETTLEMENT/DELIVERY INSTRUCTION

Documentation of Certificate :  Client's Name  EEI's Name  
Address for delivery of certificate, confirmation notices, etc. :  Residence  Office  For pick-up

### (IV) PHOTOCOPIES OF CORPORATE DOCUMENTS REQUIRED

SEC Registration Certificate, Articles of Incorporation and By-Laws  Board Resolution authorizing to transact with EEI and  
 Government Issued Identification Card (ID) of authorized signatories names and signatures of officers to sign and deal with EEI.

**Note: If FOREIGN CORPORATION, above documents must be authenticated by Philippine Embassy (Consularized) or Apostilled issued in accordance with the Hague Convention.**

### (V) FOR DISCRETIONARY ACCOUNTS

Signature of Person authorized to exercise discretion

Date of discretion is granted

Name of authorized person(s) to give orders

Relationship to customer

**Note: letter of authority must be presented**

### (VI) RISK DISCLOSURE STATEMENT

The price of securities can and does fluctuate and any individual security may experience upward or downward movements, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying profit made as a result of buying and selling securities.

### (VII) UNDERTAKING

EAGLE EQUITIES, INC. undertakes to notify the client in writing of new modified compliance obligations of in the event of any material change to the information provided in this agreement.

Signature of customer

Date

Signature of person authorized to exercise discretion

Date

Salesman Signature introducing the account Date

Signature of EEI officer accepting the account Date

## TERMS AND CONDITIONS

(Please read carefully before signing the conforme)

This is to confirm that Eagle Equities, Inc. (the broker) will act as my broker for the purchase and sale of securities, I hereby agree and consent that:

1. The signature written on this reference form and/or signature cards are the official and correct signatures of the account holder(s) and may be used for verification of the said signature(s) at all times.
2. All parties to this account are over 21 years of age.
3. For the purpose of buying, selling or performing acts stated in these terms, I/We hereby irrevocably appoint the broker its officers, employees or successors and assigns as my true and lawful attorney-in-fact, with full power and authority to buy, sell, lend or borrow securities or otherwise act for any of my/our account(s) (whether operated individually or jointly with others) to agree upon the price of securities, execute bills of sale, receipts for assignments of all my rights, title and interest to the purchaser(s) thereof or such other instruments in writing or documents may be necessary and to deliver or accept delivery of the corresponding stock certificates and/or instruments of assignment, hereby ratifying all acts done by the broker pursuant to the authority conferred therein.
4. For the services detailed above, I/We hereby agree to pay commissions at \_\_\_% of the value of the transaction or Php \_\_\_\_\_ per transaction whichever is higher for orders course through Phone and other communication devices, unless otherwise agreed to in writing.
5. If there is more than one signatory to an account, their obligations under this agreement shall be joint and several. Furthermore, each party is privileged to operate the account separately and independent of each other unless the broker receives written notice signed by all parties involved.
6. Orders for the purchase or sale of security may be made by me/us in writing, by word of mouth through the telephone or through another person. The broker is hereby authorized to rely upon and act in accordance with any and all such orders.
7. The broker does not warrant that any of my/or orders to buy or sell securities has been placed or executed until the broker issues a confirmation notice. Either by telephone, fax, mail or E-mail.
8. I/We shall deliver the full payment of the purchase price of any securities including commission (inclusive of VAT), transfer fees, documentary stamp taxes SEC Fees, PSE Fees, PCD Fees and Charges and other levies and duties on the date of purchase. If allows a short term credit facility separate from a margin account I/We shall deliver payment on or before the 3<sup>rd</sup> working day from the date of purchase.
9. All securities purchased shall be registered as indicated on the reference card. In the absence of any indication, securities shall be registered in the name of the broker (street certificate). Such arrangement will continue unless written notice is received by the broker.
10. I/We confirm the availability of the certificates, stock assignments or subscription agreement representing the securities which I/we am/are selling through the broker and shall deliver same on or before date of sale. I/We hereby guarantee that the above documents are free from liens and encumbrances and that same are negotiable. In the event that I/we fail to deliver these documents or in the event that these are not negotiable, I/we hereby specifically authorize the broker to buy back sold securities at market. Any losses incurred from such buyback shall be for my/our account.
11. The broker shall not be bound to deliver the sale price of securities sold for my/our account net of taxes, commissions and other expenses incurred in the sale unless I/we deliver the certificates, stock assignments or subscription agreement evidencing the securities properly endorsed, or until all amounts which I/we owe have been paid in full.
12. Whenever in its sole discretion, the broker considers it necessary for its own protection, or in the event of my/our death, I hereby specifically authorize and empower the broker to sell without prior notice to me or us any or all securities in my account(s) (whether carried individually or jointly with others), and herein pledge as collateral for payment of any liability to the broker in said account, to buy any and all securities to cover for any short selling in such account(s); to transfer moneys or securities from any one of my/our account(s) to another and to close any and all outstanding obligation. It is hereby agreed and understood that I/we shall at all times be liable for the payment of indebtedness on unpaid balances owing, in any of my accounts together with interest, other acts herein provided and that I/we shall remain liable for any deficiency remaining in any such account(s) in the event of liquidation. Unless otherwise agreed to in writing, any or my/our unpaid accounts shall bear interest at 25% per annum without need of demand. Interest on unpaid balances shall commence on the fifth day after date of purchase and shall continue to take effect until the all obligations (unpaid balance plus interest and other charges) are settled.
13. I/We hereby hold the broker harmless against any and all costs, losses, damages, fines penalties and taxes which it may incur arising out or in connection with the exercise of its function and powers herein authorized, except those arising from fraud, or gross negligence and in those cases without responsibility for all damages except actual damages. Furthermore, the broker will not be liable for losses caused by market fluctuations, exchange or market rulings, government restrictions, suspension of trading, war, strikes and other conditions beyond the broker's control.
14. It is agreed that all communications, whether by mail, telephone, fax, email, messenger or otherwise sent to me/us personal delivery to me/us at the address I/we have indicated in the reference card shall constitute and all communications shall be sent to the last known address appearing in my/ our records unless I notify the broker in writing of any change in address. It is likewise agreed that all communications sent to my/our address shall be considered correct in the absence of a written notice received by the broker within 48 hours from the time communication was sent to address.
15. This agreement and its enforcement shall be governed by the laws of the Philippines and subject to the rules and regulations of the Philippine Stock Exchange and the Securities and Exchange Commission. If any provision or condition of this agreements shall be held to be invalid or unenforceable by any court, or regulatory or self-regulatory agency or body, such shall only attach to such provision or condition. The validity of the remaining provisions and conditions shall not be affected and this agreement shall be carried out as if the invalid or unforceable condition were not contained therein.
16. In the event of any controversy or litigation arising from this agreement, the broker is entitled to a reasonable compensation for attorney's fees and costs of collection which shall not be less than 100% of my total indebtedness then outstanding. Venue of action for any litigation shall be in the proper court in \_\_\_\_\_ City or \_\_\_\_\_ City.
17. This agreement shall continue to be in full force and effect until signed notice of revocation is received by or from me/us, and in the case of any such revocation, this agreement shall continue to be binding as to transactions entered prior thereto.
18. I/we hereby unconditionally and irrevocably authorize and grant the broker the absolute discretion to record or cause the recording, using any device which the broker may deem appropriate any telephone communication or any communication or spoken word between myself/ourselves and any representative of the broker in the course of or in connection with any transaction or dealing and such recording or part thereof shall be admissible as evidence in any proceeding. Furthermore, I/we authorize the broker and its representatives to replay any such recording for any person or persons as the broker shall at its discretion deem fit, to communicate the contents thereof, either orally or in writing, or to provide transcriptions thereof, whether in whole or in part to such other person or persons.

CONFORME:

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Client's Signature

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Date

