

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"/> IN TRUST FOR: _____
Each account holder shall fill-up a separate Customer Account Information and Agreement Form			
ACCOUNT TYPE			
<input type="checkbox"/> REGULAR	<input type="checkbox"/> ELITE	<input type="checkbox"/> TRADITIONAL	<input type="checkbox"/> MARGIN (Subject to Approval)
			<input type="checkbox"/> DISCRETIONARY (N/A for Regular)
PREFERRED USERNAME (for online clients)		Your default password will be sent via e-mail.	

Personal Information

LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX	GENDER	BIRTHDAY
				<input type="checkbox"/> MALE <input type="checkbox"/> FEMALE	MM DD YYYY
BIRTHPLACE	NATIONALITY	MOTHER'S COMPLETE MAIDEN NAME	TIN	SSS NO./GSIS NO.	
	<input type="checkbox"/> FILIPINO <input type="checkbox"/> OTHERS: _____		_____		
PRESENT ADDRESS	CIVIL STATUS				
	<input type="checkbox"/> SAME AS PRESENT ADDRESS			<input type="checkbox"/> SINGLE	<input type="checkbox"/> MARRIED
PERMANENT ADDRESS				<input type="checkbox"/> SEPARATED	<input type="checkbox"/> WIDOW/WER
MAILING ADDRESS	<input type="checkbox"/> SAME AS PRESENT ADDRESS			<input type="checkbox"/> OTHERS: _____	
	<input type="checkbox"/> SAME AS PERMANENT ADDRESS				
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: _____		
NAME OF EMPLOYER (OR BUSINESS IF SELF-EMPLOYED)	NATURE OF WORK	CONTACT NUMBER/S OF EMPLOYER/BUSINESS
ADDRESS OF EMPLOYER OR BUSINESS		

Investor Profile

SOURCE/S OF FUNDS (NOT TO BE LEFT UN-ANSWERED)							
<input type="checkbox"/> SALARIES <input type="checkbox"/> PROF. FEES <input type="checkbox"/> RENT INCOME <input type="checkbox"/> INTEREST INCOME <input type="checkbox"/> PENSION <input type="checkbox"/> OTHERS: _____							
INVESTMENT OBJECTIVE (NOT TO BE LEFT UNANSWERED)	FINANCIAL STATUS (NOT TO BE LEFT UNANSWERED)	500K and below	500K but <1M	1M but <5M	5M but <10M	10M and up	Or in PHP
<input type="checkbox"/> LONG-TERM INVESTMENT <input type="checkbox"/> GROWTH	ANNUAL INCOME	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> PRESERVATION OF CAPITAL <input type="checkbox"/> SPECULATION	ASSETS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> QUICK TRADE	NET WORTH	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

BANK ACCOUNT INFORMATION (FOR CLIENT WITHDRAWALS AND BANK DEPOSITS)

BANK NAME	BANK BRANCH	ACCOUNT NUMBER	ACCOUNT NAME

BENEFICIARIES (OPTIONAL)

LAST NAME	FIRST NAME	MIDDLE NAME	SUFFIX	RELATIONSHIP	ADDRESS	CONTACT NO.

DISCLOSURES

IF GOVERNMENT EMPLOYEE:

POSITION	AGENCY/OFFICE

Are you a Stockholder, Director, Officer, or Nominee of Unicapital Securities, Inc./UTrade 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 Unicapital Securities, Inc./UTrade or any other Broker-Dealer? If YES, please provide the complete details below (attach separate sheet if necessary). YES NO

NAME OF RELATED PERSON	RELATIONSHIP	COMPANY NAME	POSITION/DESIGNATION

Are you a corporate officer or director of a listed company?		Are you an officer or employee of another Broker/Dealer?	
<input type="checkbox"/> YES, provide details below	<input type="checkbox"/> NO, leave below blank	<input type="checkbox"/> YES, provide details below	<input type="checkbox"/> NO, leave below blank
COMPANY NAME	POSITION/DESIGNATION	COMPANY NAME	POSITION/DESIGNATION

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, for UTrade clients, all confirmation invoices, monthly statement of account, and order communications shall be sent to the registered email address of UTrade clients unless the client requests in writing for physical copies thereof..

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

Signature Over Printed Name

SPECIMEN SIGNATURE		
Complete Name (Print)		
SIGNATURES (Please sign thrice)		
SIGNATURE 1	SIGNATURE 2	SIGNATURE 3

PLEASE SUBMIT THE FOLLOWING REQUIREMENTS:

A. BASIC REQUIREMENTS

1. Minimum cash/check deposit payable to Unicapital Securities, Inc. indicated in the UTrade website
2. Photocopy two (2) identity documents issued by the Philippine Government: e.g. passport, driver's license, SSS/GSIS ID, Professional Regulation Commission ("PRC") ID, and COMELEC Voter's ID. (for foreigners, passport is required) (Please present originals for verification),
3. Duly signed Online Trading Service Agreement, Data Subject Consent Form and FATCA Declaration Form, as needed.

B. ADDITIONAL REQUIREMENTS FOR THE FOLLOWING:

1. **Resident Foreigner, please include photocopy any of the following**
 - a. Alien certificate or 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)

AGENT	HEAD OF SALES	ENCODED BY	APPROVED BY OM	VERIFIED BY AP
Sign:	Sign:	Sign:	Sign:	Sign:
Date:	Date:	Date:	Date:	Date:

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