CABALLES-GO SECURITIES
(formerly, MVG Securities, Inc.)

16F Robinsons Equitable Tower, ADB Avenue corner Poveda St.,
Ortigas Center, Pasig City • +63 2 7777 8970 • caballes-go.com
CGSI is a trading participant of the PSE and a member of SIPF and SCCP

# Client Account Information Form

CORPORATE ACCOUNT

☐ Cash ☐ Discretionary ☐ Margin

**If a field is not applicable, indicate N/A or not applicable**

## CORPORATE INFORMATION

| | | | |
|---|---|---|---|
| COMPLETE REGISTERED CORPORATE NAME | | | |
| CORPORATE ADDRESS | | | |
| SEC REGISTRATION NO. | INCORPORATION DATE | PLACE OF INCORPORATION | NATURE OF BUSINESS |
| PHONE / MOBILE | PRIMARY EMAIL | ALTERNATE EMAIL | |
| NATIONALITY | SSS / GSIS | TAX IDENTIFICATION NUMBER | ☐ TAXABLE ☐ TAX EXEMPT |

## FINANCIAL INFORMATION

| | | | | |
|---|---|---|---|---|
| ANNUAL INCOME | ☐ LESS THAN P20M | ☐ P20M TO LESS THAN P100M | ☐ P100M TO LESS THAN P1B | ☐ P1B AND ABOVE |
| ASSETS | ☐ LESS THAN P20M | ☐ P20M TO LESS THAN P100M | ☐ P100M TO LESS THAN P1B | ☐ P1B AND ABOVE |
| NET WORTH | ☐ LESS THAN P20M | ☐ P20M TO LESS THAN P100M | ☐ P100M TO LESS THAN P1B | ☐ P1B AND ABOVE |
| SOURCE OF FUNDS | ☐ COMMISSION | ☐ OTHERS: | | |

## INVESTMENT PROFILE

INVESTMENT OBJECTIVE (RANK 1 – 4 IN ORDER OF PRIORITY)

___ GROWTH ___ LONG TERM INVESTMENT ___ PRESERVATION OF CAPITAL ___ SPECULATION

| | | | | |
|---|---|---|---|---|
| INVESTMENT EXPERIENCE | ☐ LESS THAN 1 YEAR | ☐ LESS THAN 5 YEARS | ☐ MORE THAN 5 YEARS | ☐ MORE THAN 10 YEARS |
| APPLICABLE INVESTMENT EXPERIENCE | ☐ NONE | ☐ TIME DEPOSIT | ☐ BOND | |
| | ☐ STOCKS | ☐ MUTUAL FUND | ☐ UITF | |
| | ☐ OTHERS: | | | |

## AFFILIATIONS

IS ANY OF THE COMPANY'S OFFICERS OR DIRECTORS ALSO A DIRECTOR OR OFFICER OF A PSE LISTED COMPANY?
☐ NO ☐ YES NAME OF LISTED COMPANY:

IS ANY OF THE COMPANY'S OFFICERS OR DIRECTORS OR SHAREHOLDERS ASSOCIATED WITH ANOTHER BROKER / DEALER?
☐ NO ☐ YES NAME OF BROKER / DEALER:

DO YOU HAVE TRADING ACCOUNTS WITH ANOTHER BROKER / DEALER?
☐ NO ☐ YES NAME OF BROKER / DEALER:

## AUTHORIZED PERSON TO GIVE TRADING INSTRUCTIONS ON BEHALF OF CLIENT

| | | | | |
|---|---|---|---|---|
| SURNAME | FIRST NAME | MIDDLE NAME | SUFFIX | |
| PHONE | MOBILE | EMAIL | SIGNATURE | DATE GRANTED |

## RESEARCH AND REGULAR MARKET UPDATES

I WOULD LIKE TO RECEIVE REGULAR MARKET UPDATES AND RESEARCH REPORTS VIA:
☐ EMAIL ☐ SMS ☐ VIBER ☐ TELEGRAM ☐ OTHERS:

## SETTLEMENT INSTRUCTIONS

TRADE CONFIRMATION, INVOICE, STATEMENT OF ACCOUNT, ETC. TO BE SENT ELECTRONICALLY VIA: ☐ PRIMARY EMAIL ☐ ALTERNATE EMAIL:

**IMPORTANT NOTE!** CLIENT MUST VERIFY INFORMATION ACCURACY BY REPLYING TO CGSI VIA EMAIL BY 12NN ON THE NEXT BUSINESS DAY

☐ REQUEST TO RECEIVE TRADE CONFIRMATION, INVOICE, STATEMENT OF ACCOUNT, ETC. VIA COURIER ☐ BUSINESS ☐ RESIDENCE

SPECIAL INSTRUCTIONS TO COURIER (IF ANY):

PLEASE PROVIDE THE FOLLOWING INFORMATION OF THE PERSON(S) AUTHORIZED TO RECEIVE THE DOCUMENTS ON CLIENT'S BEHALF:

| | | | | |
|---|---|---|---|---|
| **1** | SURNAME | FIRST NAME | MIDDLE NAME | |
| | ADDRESS | | | |
| | ROLE | MOBILE | EMAIL | SIGNATURE |
| **2** | SURNAME | FIRST NAME | MIDDLE NAME | |
| | ADDRESS | | | |
| | ROLE | MOBILE | EMAIL | SIGNATURE |
| **3** | SURNAME | FIRST NAME | MIDDLE NAME | |
| | ADDRESS | | | |
| | ROLE | MOBILE | EMAIL | SIGNATURE |

FUNDS AND PROCEEDS TO BE PAID VIA: ☐ CHEQUE DEPOSIT ☐ ELECTRONIC TRANSFER

BANK ACCOUNT DETAILS

| ACCOUNT NAME | ACCOUNT TYPE | ACCOUNT NUMBER | BANK | BRANCH |
|---|---|---|---|---|
| | | | | |

## FATCA DECLARATION

☐ CORP IS NOT A U.S. PERSON UNDER U.S. LAW AND I HAVE NO U.S. INDICIA ☐ CORP IS A U.S. PERSON UNDER U.S. LAW

☐ CORP IS NOT A U.S. PERSON UNDER U.S. LAW BUT HAVE AT LEAST ONE U.S. INDICIA

U.S. PERMANENT ADDRESS

| ZIP CODE | U.S. TELEPHONE NUMBER(S) | U.S. TAX IDENTIFICATION NUMBER |
|---|---|---|
| | | |

## DECLARATION AND EXECUTION

This Trading Service Agreement ("Agreement") is entered into by and between Caballes-Go Securities, Inc. (the "Broker") and the undersigned client(s) (the "Client"). By signing this Agreement, the Client agrees to the following terms and conditions:

1. The Client represents and warrants that: (i) they are of legal age, possess full legal capacity, and are not disqualified from entering into this Agreement or complying with its terms and conditions. For corporate applicants, the Client represents and warrants that: (ii) it is a corporation duly established, validly, existing, and in good standing under the laws of the Philippines and, if applicable, the laws of its country of origin, (iii) all necessary corporate and legal actions have been properly taken to authorize the execution, delivery, and fulfillment of this Agreement, (iv) the signatories on this form are duly authorized to represent the corporation, and (v) for foreign corporations, the execution, delivery, and performance of this Agreement by the Client and the Broker do not violate the laws of their jurisdiction, which expressly permits such agreements.
2. The signature(s) provided on the Customer Account Information Form (CAIF) are authentic and serve as the official signature(s) for the above-named account.
3. The Client warrants that all data, information, and documents provided or submitted pursuant to this Agreement, including the CAIF, are true, complete, current and accurate. The Client undertakes to update all their information/records, particularly those indicated in the CAIF and submit documents in support thereof, at least once every two (2) years upon the Broker's request. In case of any change in said information, the Client shall immediately inform and furnish the Broker with all necessary supporting documents. In the absence of any change, the Broker shall consider all the information as current until the Client updates them.
4. The Client authorizes the Broker, its directors, officers and representatives, to process, obtain, collect, record, organize, store, update, modify, use, access, and/or share/disclose with third party service providers that the Broker may engage in the conduct of its business in providing services to its clients with corresponding duty to keep such information/data/opinion confidential, without prior notice to Client, relevant Account Information/data/opinion pertaining to the Client, including but not limited to personal circumstances, sensitive personal information, as defined by the Data Privacy Act, information in the CAIF, and any and all other information pertaining to all of the Clients' accounts now existing or which may hereafter be opened, in accordance with relevant laws, rules and regulations enforced or which may hereinafter be enforced. The absence of any written notice to the contrary shall be deemed by the Broker as a continuing authorization and/or consent by the Client as given hereto.
   4.1. The Client allows the Broker to disclose their name to the Securities and Exchange Commission (SEC), The Philippine Stock Exchange, Inc. (PSE) and Capital Markets Integrity Corporation (CMIC), if said information is requested by them in compliance with applicable law or in the course of an investigation, examination, official inquiry or as part of the surveillance procedures or compliance.
   4.2. The Client acknowledges and agrees that in the conduct of the Broker's business of providing services, the Broker may engage the services of third party service providers, which the Broker may reasonably select, and who may be given access to and/or provided with information in connection with or relative to the Client's Account, with corresponding duty to keep the information confidential.
5. In accordance with Republic Act No. 9160, also known as the Anti-Money Laundering Act of 2001, as amended by Republic Act No. 9194, the Client authorizes the Broker to disclose to government entities information which shall include but not be limited to the following: personal information, birthdate, birthplace, employment, profession, business, contact numbers, address and date when investment or placement was established.
6. The Client releases and holds the Broker, its directors, officers and representatives, free and harmless from any liabilities, suits, actions, losses, penalties and/or damages that may arise out of the transaction pursuant to this Agreement, including but not limited to disclosure of information as mentioned above.
7. The Broker shall comply with all applicable laws, rules, and regulations, including the disclosure of Client information to regulatory authorities as required by law.
8. The Client may place orders for the purchase or sale of securities either in writing, electronically, verbally, over the telephone, or through an authorized representative (subject to the requirements of the Securities Regulation Code (SRC) relating to discretionary transactions). The Broker is authorized to rely on and act upon such orders, and any actions taken by the Broker in response to these orders shall be binding on the Client upon the issuance and delivery of a confirmation notice.

9. All transactions and the corresponding clearance and settlement shall be governed by the rules, regulations, customs, and practices of the exchange, depository, clearinghouse, and other relevant entities.
10. The Broker will make reasonable efforts to place and execute the Client's orders for the purchase or sale of securities. However, the Broker does not guarantee that any such order can or will be executed. An order from the Client becomes binding on the Broker only when the Broker issues a confirmation notice, duly signed by its authorized representatives. Without such written confirmation, the Broker is not under obligation to complete any purchase or sale of securities, nor any related agreement, commitment, or transaction involving the Client. Additionally, neither the Broker's sales representatives nor correspondents are authorized to make representations or warranties about the quality or condition of any security or its issuer. Should any such representations be made, the Broker is not liable for their accuracy or reliability.
11. The Client understands that the prices of securities are subject to fluctuations, and any individual security may increase or decrease in value, potentially becoming worthless. The Client accepts the inherent risk of incurring losses instead of realizing profits from the purchase and sale of securities.
12. The Client shall ensure that sufficient cleared funds are available in their account within the settlement period prescribed by the PSE, the Securities Clearing Corporation of the Philippines (SCCP) or relevant clearing agency, or as may be prescribed by the SEC. For Sell orders, the securities must be held in scripless form and lodged with the Broker's account at the Philippine Depository & Trust Corporation (PDTC) within the prescribed settlement period. Physical stock certificates shall not be accepted as valid for settlement of sell orders.
13. The Client agrees to pay the Broker all applicable commissions, fees, taxes, and other charges associated with this Agreement, as communicated by the Broker.
14. The Client acknowledges and agrees that any and all funds or proceeds payable to the Client shall, as soon as they become available, be promptly withdrawn and credited to the Client's designated bank trading account, in accordance with this Agreement.
15. All securities, commodities, or related contracts currently or subsequently held by the Broker in any of the Client's accounts, whether individually or jointly, shall serve as security or collateral for any liabilities owed by the Client to the Broker. The Broker reserves the right, at its sole discretion, to transfer funds or securities between accounts if deemed necessary. Additionally, the Broker may, without prior notice, pledge or repledge these securities and commodities – individually or collectively with others – in the event of the Client's default, for any outstanding amounts, without the obligation to retain equivalent securities or commodities in its possession.
16. Should any controversy or litigation arise, the Client agrees to reimburse the Broker for all actual litigation expenses, including attorney's fees and costs of suit, amounting to no less than twenty-five percent (25%) of the total outstanding indebtedness to the Broker.
17. For REIT transactions, the Client agrees, gives consent, and authorizes the Broker to create an account (NOCD or Name on Central Depository) with the PDTC and the submission of relevant Client details necessary to open the account. The Client understands that the account is designated to hold all REITs purchased through the PSE.
18. For In-Trust-For (ITF) accounts, the Client acknowledges and agrees that such accounts shall be managed and maintained solely by the primary account holder, provided that the beneficiary is under the age of 18. The primary account holder must be of legal age to fulfill this responsibility.
19. The Broker reserves the right, at its sole and absolute discretion, to take necessary actions to protect its interests in the following situations, but not limited to: (i) if a petition for bankruptcy or the appointment of a receiver is filed by or against the Client; (ii) if an attachment or lien is imposed on the Client's account(s) with the Broker; or (iii) if the Client fails to comply with the provisions of Section 12 of this Agreement. In such cases, regardless of whether the account is held individually or jointly with others, the Broker may: (a) purchase any or all securities or commodities that are short in the account(s); (b) transfer funds or securities between the Client's account(s); and (c) close any or all outstanding contracts. These actions may be taken without prior notice, demand for margin, additional security, collateral, or any other notice or advertisement, all of which are hereby waived by the Client. Sales or purchases may occur at the Broker's discretion, through an exchange, public auction, private sale, or any customary market, and the Broker may act as a purchaser for its own account.
20. Notwithstanding these rights, the Client remains liable for any outstanding amounts owed to the Broker upon demand and for any deficiencies in the account(s) resulting from such liquidation, whether carried out by the Broker or the Client.
21. To facilitate the sale, purchase, or other actions described in the preceding paragraph, the Client irrevocably designates the Broker, including its successors and assigns, as their attorney-in-fact. This designation grants the Broker the authority to act on behalf of the Client for any of their account(s), whether held individually or jointly with others. The Broker is empowered to determine the price of securities, execute bills of sale, receipts, and assignments, and transfer all rights, titles, and interest of the Client to the purchaser(s). Furthermore, the Broker is authorized to deliver or accept delivery of stock certificates, or any portion of securities held in the Client's account(s), whether individually or jointly, and pledged under this agreement, including transferring them to the name of the Broker or its nominee. The Client ratifies all actions taken by the Broker under this authority.
22. Any amount owed by the Client to the Broker will accrue interest at a rate set by the Broker, equivalent to the cost incurred by the Broker to maintain such balances.

23. In the event of the death of either party to a common account, any actions taken by the Broker in reliance on this Agreement, such as making payments, delivering assets, crediting funds, or extending trust to either party, shall be binding on all parties to the account, including their representatives, assigns, heirs, and successors-in-interest.
24. Any objections to trade confirmations must be submitted by the Client within trading hours on the date the trade confirmation is issued by the Broker. Failure to submit such objections within the prescribed period shall render the contents of the trade confirmation final, conclusive, and binding upon the Client.
25. The Broker may charge fees for the safekeeping of securities.
26. The Broker shall provide periodic account statements and transaction confirmations to the Client in electronic format. These records shall be deemed accurate and binding unless contested by the Client within the specified time frame.
27. The Client may, upon request, ask the Broker to furnish physical copies of account statements and transaction confirmations. Any such request shall be subject to the Broker's applicable procedures and fees, if any.
28. The Client agrees that the Broker should not be liable for any delay or failure to perform any obligation on your part, or for any loss or damage caused directly or indirectly by any condition or circumstance over which you do not have control, including but not limited to government restriction, exchange or market rulings, suspension of trading, failure of internet service, electronic or mechanical equipment or communication lines, telephone or other interconnection problems (e.g. if you are unable to access your online service provider), unauthorized access, theft, operator errors, severe weather, earthquakes, floods and strikes or other labor problems, war (whether declared or not), invasion, insurrection, military coup, commotion or usurped power, or by order of any civil authority, or other causes beyond your control.
29. In the event of any dispute or legal proceedings arising from this Agreement, the Broker's records shall serve as the final and definitive evidence of any amounts owed by the Client. Furthermore, this Agreement and any related disputes shall be governed by the applicable provisions of Philippine law, as well as the rules, regulations, customs, and practices of the SEC, PSE, CMIC, PDTC, and SCCP, which are hereby deemed integral to this Agreement.
30. For any inquiry, request, or complaint Client may reach out to Broker via email at clientsupport@caballes-go.com or phone call at +63 2 7777 8989.
31. The Broker operates under the regulatory oversight of the SEC via its Markets and Securities Regulation Department (SEC MSRD), which can be reached at msrdsubmission@sec.gov.ph or by phone at +63 2 8818 5703. The Capital Markets Integrity Corporation (CMIC) supervises the Broker and may be reached through its website at www.cmic.com.ph.
32. All printed terms and conditions on this Agreement are incorporated herein by reference. If any provision is deemed unenforceable, the remaining provisions shall remain valid and enforceable.
33. This Agreement takes effect immediately upon signing and remains valid until terminated by either party with five (5) days prior written notice. Transactions carried out before termination shall remain binding.
34. If any provision in this Agreement shall be declared invalid or unenforceable by any court, the invalidity shall be limited to such provision while other remaining provisions shall not in any way be affected.

This Agreement shall be governed by and construed in accordance with the laws of the Republic of the Philippines. Any disputes arising hereunder shall be exclusively subject to the jurisdiction of the appropriate courts in Pasig City, Philippines, and the Client expressly waives the right to any other venue.

| Printed Name / Signature of Account Holder | Citizenship | Date |
|---|---|---|
| Printed Name / Signature of Account Holder 2 (if applicable) | Citizenship | Date |
| Printed Name / Signature of Account Holder 3 (if applicable) | Citizenship | Date |
| Printed Name / Signature of Account Holder 4 (if applicable) | Citizenship | Date |

CABALLES-GO SECURITIES

# Customer Account Information Form – Corporate Account

## ACCOUNT OPENING REQUIRED DOCUMENTS

### FOR LOCAL ENTITIES

(ALL DOCUMENTS MUST BE ORIGINAL OR CERTIFIED TRUE COPIES BY THE CORPORATE SECRETARY)

- ☐ Duly accomplished Customer Account Information Form
- ☐ Duly signed Trading Service Agreement
- ☐ Duly accomplished and signed Signature Card
- ☐ Articles of Incorporation
- ☐ By-Laws
- ☐ Certificate of Registration (SEC, BIR or BSP)
- ☐ Secretary's Certificate of Board Resolution authorizing the opening of account with CGSI
- ☐ Secretary's Certificate of Board Resolution identifying the authorized signatories of the company
- ☐ Photocopy of at least two (2) valid IDs for each authorized signatory of the company
- ☐ Audited Financial Statements
- ☐ General Information Sheet
- ☐ List of Authorized Traders / Dealers / Salesmen

### FOR FOREIGN ENTITIES

(ALL DOCUMENTS MUST BE DULY AUTHENTICATED BY THE PHILIPPINE CONSULATE WHERE THE RELEVANT ENTITY IS REGISTERED)

- ☐ Duly accomplished Customer Account Information Form
- ☐ Duly signed Trading Service Agreement
- ☐ Duly accomplished and signed Signature Card
- ☐ Articles of Incorporation
- ☐ By-Laws
- ☐ Business Certificate of Registration
- ☐ Board Resolution authorizing the opening of account with CGSI
- ☐ Board Resolution identifying the authorized signatories of the company
- ☐ Photocopy of at least two (2) valid IDs for each authorized signatory of the company
- ☐ Audited Financial Statements
- ☐ List of Directors / Partners
- ☐ List of Stockholders Owning at least 20%of the Company's capital stock
- ☐ List of Authorized Traders / Dealers / Salesmen
- ☐ FATCA document on Tax Status for US authorized officer, shareholder, director of the company

- ☐ When applicable, please provide the following:
  - List of Authorized Representatives / Messengers
  - Bank License for Bank Account
  - Trust Agreement for Trust Account
  - BIR Ruling for tax exemption particularly transaction tax for Tax Exempt Accounts

For Discretionary Account

- ☐ Copy of Discretionary Agreement between Client and CGSI

## FOR CABALLES-GO SECURITIES, INC. USE ONLY

| CGSI Account Code | PSE TC Code | iPSE Client Account Code | Commission Rate | Trading Limit | Date Opened | Client Referred by | How long known by Salesman introducing the account? |
|---|---|---|---|---|---|---|---|
| | | | | | | | |

Responsible Trader / Agent

Remark(s)

| *Trader / Agent* | *Signature* | *Date* | |
|---|---|---|---|
| | | | |

Reviewed by

Remark(s)

| *PEPITO L. ALCARAZ* | | | |
|---|---|---|---|
| *Associated Person* | *Signature* | *Date* | |

Approved by:

| *RENATO M. UMALI II* | | | | | |
|---|---|---|---|---|---|
| *Head of Trading* | *Signature* | *Date* | *Head of Advisory & Execution* | *Signature* | *Date* |
| *EDWIN G. OLIVEROS* | | | *MELVIN O. VERGARA* | | |
| *Chief Operating Officer* | *Signature* | *Date* | *President* | *Signature* | *Date* |

Encoded by:

Authorized by:

| *Name* | *Signature* | *Date* | *Name* | *Signature* | *Date* |
|---|---|---|---|---|---|
| | | | | | |

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CGSI is a trading participant of the PSE and a member of SIPF and SCCP

# Specimen Signature Card

CORPORATE ACCOUNT

**Please fill up clearly in BLOCK LETTERS**

| Name ✔ | Citizenship ✔ |
|---|---|
| Address ✔ | Telephone ✔ |

| Authorized Signatory Name / Position | Signature 1 | Signature 2 |
|---|---|---|
| 1. ✔ | ✔ | ✔ |
| 2. ✔ | ✔ | ✔ |
| 3. ✔ | ✔ | ✔ |
| 4. ✔ | ✔ | ✔ |

**Important**

Pursuant to the regulation of the Philippine Securities and Exchange Commission, no certificate can be issued to a buyer unless he signs and indicates his citizenship / nationality on this card.

Signature verified by Caballes-Go Securities, Inc.:

Signature over Printed name / Date

CABALLES-GO SECURITIES
(formerly, MVG Securities, Inc.)

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Specimen Signature Card

CORPORATE ACCOUNT

Please fill up clearly in BLOCK LETTERS

Name ✔ | Citizenship ✔

Address ✔ | Telephone ✔

Authorized Signatory Name / Position | Signature 1 | Signature 2

1. ✔ | ✔ | ✔
2. ✔ | ✔ | ✔
3. ✔ | ✔ | ✔
4. ✔ | ✔ | ✔

Important

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