



# SINCERE SECURITIES CORPORATION

MEMBER: PHILIPPINE STOCK EXCHANGE, INC.

1203E Tektite Building, PSE Centre  
Ortigas, Pasig City  
Tel. No. 638-3549 to 50

DATE OPENED	CUSTOMER CODE
AGENT	COMMISSION RATE

## CUSTOMER ACCOUNT INFORMATION FORM

<b>Account Type</b> <input type="checkbox"/> Cash <input type="checkbox"/> Margin <input type="checkbox"/> Regular <input type="checkbox"/> Discretionary <input type="checkbox"/> Personal <input type="checkbox"/> Institutional/ Corporation/ Partnership	Account Name	TIN SSS/GSIS #
	Home Address	Tel. Nos.
	Business Address	Registered Broker/Dealer? <input type="checkbox"/> Yes <input type="checkbox"/> No Tel. Nos. Fax Nos.
Birthday _____ Civil Status _____ Nationality _____	Occupation (For Individuals) Photocopy of Identification/Document Submitted <input type="checkbox"/> SSS/GSIS <input type="checkbox"/> Driver's License/Passport <input type="checkbox"/> Company ID <input type="checkbox"/> Bank Credit Card <input type="checkbox"/> Bank Passbook/ATM <input type="checkbox"/> Others _____	Preferred Mailing Address <input type="checkbox"/> Home <input type="checkbox"/> Business Registry of Certificates <input type="checkbox"/> In Street Name <input type="checkbox"/> In Client's Name (as stated above)
Are you an officer of a listed company? (if so, state the name of the company and position) <input type="checkbox"/> Yes <input type="checkbox"/> No		ARE DUPLICATE CONFIRMATIONS REQUIRED? <input type="checkbox"/> YES <input type="checkbox"/> NO PERSON TO SEND TO:
If opened and maintained by a representative, state the name and address of beneficial owner:		RELATIONSHIP TO CUSTOMER:

Accounts with other Brokers/Dealers:

<b>BANKS AND OTHER REFERENCES</b> _____ _____ _____ _____ _____ _____	<b>INVESTMENT OBJECTIVE</b> <input type="checkbox"/> SPECULATIONS <input type="checkbox"/> GROWTH <input type="checkbox"/> PRESERVATION OF CAPITAL <input type="checkbox"/> LONG-TERM INVESTMENT	ANNUAL INCOME <input type="checkbox"/> P100,000.00-500,000.00 <input type="checkbox"/> P500,000.00-1,000,000.00 <input type="checkbox"/> P1,000,001.00-2,000,000.00 <input type="checkbox"/> P2,000,000.00-4,000,000.00 <input type="checkbox"/> Above P4,000,000.00
		ASSETS <input type="checkbox"/> P100,000.00-500,000.00 <input type="checkbox"/> P500,000.00-1,000,000.00 <input type="checkbox"/> P1,000,001.00-2,000,000.00 <input type="checkbox"/> P2,000,000.00-4,000,000.00 <input type="checkbox"/> Above P4,000,000.00
		NETWORTH <input type="checkbox"/> P100,000.00-500,000.00 <input type="checkbox"/> P500,000.00-1,000,000.00 <input type="checkbox"/> P1,000,001.00-2,000,000.00 <input type="checkbox"/> P2,000,000.00-4,000,000.00 <input type="checkbox"/> Above P4,000,000.00

For Institutional/Corporate/Partnership Account, indicate the principal officers authorized to transact on behalf of the company

Name	Position	Signature
_____	_____	_____
_____	_____	_____
_____	_____	_____

Basic documentation Required:

- Board Resolution (or Partnership) authorizing opening of account with Sincere Securities Corporation
- Secretary's Certificate identifying authorized signatories and offices authorized to operate the account
- Articles of Incorporation, By-laws, Partnerships
- SEC registration of Consular Certificate from the Philippine Embassy (if foreign domiciled)
- BIR Certification, if tax exempt

For Discretionary Account

Person Authorized to Exercise Discretion  
(Signature over printed name)

Date Discretionary is Granted

\*\*\* IT IS UNDERSTOOD THAT ALL TRANSACTIONS WITH SINCERE SECURITIES CORPORATION, ARE SUBJECT TO THE TERMS AND CONDITIONS STATED HEREOF AND TO ANY OTHER AGREEMENT SIGNED IN RELATION HERETO:

Client Signature

Client Signature

### FOR SINCERE SECURITIES CORPORATION USE ONLY

SURETY

Interviewed by: \_\_\_\_\_

Approved by: \_\_\_\_\_

Signature of Officer who introduced/referred the account

President or Associated Person

walk-in     referred by \_\_\_\_\_     selling transactions only     others \_\_\_\_\_

(please see reverse side)

# SINCERE SECURITIES CORPORATION

1203E Tektite Building, PSE Centre  
Ortigas, Pasig City

## TERMS AND CONDITIONS

Dear Sir:

In consideration of your acting as my/our broker in the buying/selling of securities for my/our account and risks, I/we hereby confirm that said transactions shall be governed by the rules of the Philippine Stock Exchange, the Securities and Exchange Commission, customs and usages of the Exchange and the following terms and conditions:

1. Any order by me/us for the purchase or sale of securities will not be deemed binding on you until issuance of your confirmation notice, nor do you warrant that the order placed can be or has been executed unless the confirmation notice is issued.
2. All communications, whether by telephone, messenger, mail, telegraph, or otherwise, sent to me/us at the address given shall constitute personal delivery to me/us. In the event of my/our failure to notify you in writing of any change of address, all communications shall be directed to said last known address appearing in your records. It is further agreed that the contents of all communications sent to my/our indicated address shall be conclusive as to their correctness in the absence of a written objection received by you within twenty-four hours from the time communication was sent to my/our address.
3. All orders for the purchase of securities on cash basis shall be paid for me/us within two (2) trading days from date of execution of my/our order. If not paid within two (2) trading days, any further upward or downward fluctuation in market price of the securities purchased for me/us shall be for my/our account and risk, until actually sold or disposed of. Furthermore, you are hereby authorized at your own discretion to sell all or part of my/our securities as may be necessary to cover the unpaid order or balance thereof, without prejudice to my/our liability for any deficiency remaining after the sell-out.
4. Notwithstanding the foregoing paragraph, you may, at your discretion and from time to time require advance payment, fully or partially, for the securities. I/we order to be purchased before your execution of the order to purchase; or in the case of any order to sell securities for me/us, you may also at your discretion and from time to time require advance delivery, fully or partially, of securities or certificates duly endorsed before your execution of the order to sell. I/we shall hold myself/ourselves bound by such requirements.
5. All securities and other property now or hereafter purchased or held for me/us or otherwise in your possession or that of your affiliates, for any purpose, shall be subjected to a lien and shall secure any of my/our liability which now or hereafter may exist in favor of your company. You shall have the right to transfer securities and other property so held by you from or to any other of my/our accounts whenever in your judgment you consider such transfer necessary for your protection. You are, likewise, authorized to pledge, repledge or loan, either to yourselves or to others, such securities or property from time to time and without need of notice to me/us. You are further authorized at your sole discretion and at any time to sell all or part of such securities and property without prior notice to me/us whenever in your judgment my/our liabilities are adequately secured.
6. Any of my/our accounts shall commence to bear the interest from the time they become due and delinquent at the prevailing interest rate charged by you at the time (or at such higher rates as may be allowed by the Central Bank) compounded monthly. In the event of a lawsuit to enforce collection, I/we expressly agree to pay attorney's fee of at least twenty-five percent (25%) of the amount involved plus damages and other charges.
7. In the event of litigation or controversy arising out of this Agreement, your books shall be final and conclusive evidence of the amounts due to you. Further, if there are two or more of us who signed this Agreement, our liability shall be joint and several and you may accept orders and instructions from any of us. Upon receipt of any inconsistent or instruction or court order, you may suspend or terminate our account at your discretion.
8. If any provision of this Agreement is held unenforceable, for any reason, such determination shall not affect the validity of the remaining provisions of this Agreement.

CONFORME:  
SINCERE SECURITIES CORPORATION  
By:

\_\_\_\_\_  
CLIENT/CUSTOMER SIGNATURE

\_\_\_\_\_  
CLIENT/CUSTOMER SIGNATURE

## DATA PROTECTION NOTICE

This Data Protection Notice sets out the basis which **SINCERE SECURITIES CORPORATION** may collect, use, disclose or otherwise process personal data of our customers in accordance with the Data Privacy Act of 2012 (DPA).

### AUTHORIZATION AND CONSENT

1. "Customer" means an individual who has entered into a contract with us to engage in the purchase or sale of securities through the facilities of the Philippine Stock Exchange Inc.
2. Some examples of personal data which we may collect from you include your name and identification information such as your address, contact number, email address, nationality, gender, date and place of birth, status, occupation, employment and business information. Social security and other government identification numbers and financial information such as bank account information.
3. We generally do not collect your personal data unless it is provided to us voluntarily by you directly or via third party who has been duly authorized by you to disclose your personal data to us after you or your authorized representative have been notified of the purposes for which the data is collected. We shall seek your consent before collecting any additional personal data and before using your personal data for a purpose which has not been notified to you, except where permitted or authorized by law.
4. We may collect and use your personal data for any or all of the following purposes:
  - a. obligations in the course of or in connection with the provision of the services requested by you.
  - b. verifying your identity.
  - c. responding to, handling, and processing queries, requests, applications, complaints, and feedback from you.
  - d. managing your relationship with us.
  - e. processing payment or credit transactions.
  - f. complying with any applicable laws, regulations, code of practice, guidelines or rules or to assist in enforcement and investigations conducted by any governmental and/or regulatory authority.
  - g. any other incidental business purposes related to or in connection with the above.
5. We may disclose your personal data
  - a. where such is required for performing obligations in the course of or in connection with our provision of services requested by you; or
  - b. to third party service providers, agents, and other organizations we have engaged to perform any of the functions listed in clause 4 above for us
6. You warrant that all personal data given to **SINCERE SECURITIES CORPORATION** are true and correct to the best of your knowledge, freely and voluntarily given for the purposes which are relevant and necessary in providing our services to you.
7. You explicitly authorize **SINCERE SECURITIES CORPORATION**, its directors, officers, consultants, employees and duly authorized representatives to keep, store, update, use, access, process, and enter in the processing system the data given to it, and to share transfer or disclose the data to third parties such as but not limited to outsourced service providers, banks, external auditors, local and foreign authorities for purposes of tax monitoring, review, and reporting, compliance with court and other lawful order and requirements, with the Securities Regulation Code, with Anti-Money Laundering Act, and all other regulatory laws and all other activities consistent with the provisions of the Data Privacy Act subject to appropriate security safeguard.
8. The consent that you provide for the collection, use and disclosure of your personal data will remain valid until such time it is withdrawn by you in writing.
9. You have the right to access your given information and you undertake to correct, rectify or supplement information should any data be found to be inaccurate or incomplete.
10. You agree to release and hold free and harmless **SINCERE SECURITIES CORPORATION** its directors, officers, and employee from any liability that may arise as a result of the authorization given.

I acknowledge that I have read and understood the above Data Protection Notice, and consent to the collection, use and disclosure of my personal data by **SINCERE SECURITIES CORPORATION** for the purposes set out in the Notice.

\_\_\_\_\_  
Client Signature over printed Name

\_\_\_\_\_  
Date