



CUSTOMER ACCOUNT INFORMATION FORM					For CNNSI use		ACCOUNT NO.:	
<input type="checkbox"/> INDIVIDUAL		<input type="checkbox"/> JOINT <small>please check if</small>		<input type="checkbox"/> PRIMARY ACCOUNT HOLDER		<input type="checkbox"/> SECONDARY ACCOUNT HOLDER		
ACCOUNT TYPE								
<input type="checkbox"/> CASH		<input type="checkbox"/> DISCRETIONARY			<input type="checkbox"/> MARGIN			
PERSONAL INFORMATION								
Full Name		<div>Last nameFirst nameMiddle name</div>						
Residential Address		<div>House No. StreetBarangayTown/ CityCountry/Zip code</div>						
Gender		<input type="checkbox"/> Male <input type="checkbox"/> Female		Birth Date <small>(Month/Day/Year)</small>		Birth Place		
Status		<input type="checkbox"/> Single <input type="checkbox"/> Separated <input type="checkbox"/> Married <input type="checkbox"/> Widowed		Name of spouse:				
Nationality		<input type="checkbox"/> Filipino <input type="checkbox"/> Resident Foreigner <input type="checkbox"/> Non-Resident Foreigner		Specify Nationality:				
Contact Details		Mobile		Landline		Email		
TIN/ SSS No./ GSIS No.		TIN		SSS		GSIS		
ADDITIONAL INFORMATION								
Employment Status		<input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Others						
Employer/Business <small>(if applicable)</small>								
Office Address(Town/City/Province)		<div>House No. StreetBarangayTown/ CityCountry/Zip code</div>						
Office Tel. No.				Tel No.				
DISCLOSURES								
Is your Employer a Registered Broker or Dealer?		<input type="checkbox"/> Yes <input type="checkbox"/> No <small>If yes, specify company name:</small> _____						
Are you an Officer, Director, Salesman or Shareholder of another Trading Participant?		<input type="checkbox"/> Yes <input type="checkbox"/> No <small>If yes, identify the company and describe the relationship:</small> _____						
Are you an Officer/ Director of an Exchange-listed company?		<input type="checkbox"/> Yes <input type="checkbox"/> No <small>If yes, indicate the name of Corporation:</small> _____ <small>Position:</small> _____						
Do you have an account with other Broker/s/Dealer/s		<input type="checkbox"/> Yes <input type="checkbox"/> No <small>If yes, please specify Broker/s/Dealer/s name:</small> _____						
Do you have an existing account with CNN Securities?		<input type="checkbox"/> Yes <input type="checkbox"/> No <small>If yes, please identify account number:</small> _____						
Are duplicate confirmations required?		<input type="checkbox"/> Yes <input type="checkbox"/> No <small>If yes, identify to whom to be sent and relationship to customer:</small> _____						

FINANCIAL AND INVESTMENT PROFILE			
Investment Objective	<input type="checkbox"/> Capital Preservation <input type="checkbox"/> Growth <input type="checkbox"/> Long Term Investment <input type="checkbox"/> Speculation		
Source/s of Income	<input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Business <input type="checkbox"/> Investments <input type="checkbox"/> Others <small>(please specify)</small>		
Assets	<input type="checkbox"/> Less than Php 1 Million <input type="checkbox"/> 1Million to less than 10M <input type="checkbox"/> 10M Less than 50M <input type="checkbox"/> 50 Million and Above		
Net Worth	<input type="checkbox"/> Less than Php 1 Million <input type="checkbox"/> 1Million to less than 10M <input type="checkbox"/> 10M Less than 50M <input type="checkbox"/> 50 Million and Above		
Annual Income	<input type="checkbox"/> Less than Php 1 Million <input type="checkbox"/> 1Million to less than 10M <input type="checkbox"/> 10M Less than 50M <input type="checkbox"/> 50 Million and Above		
BANK INFORMATION			
Bank Account Name			
Bank Name and Address			
Bank Account Number			
DELIVERY AND MAILING INSTRUCTIONS			
Confirmation of Buy and Sell Orders and Other Correspondences	<input type="checkbox"/> Via Courier	<input type="checkbox"/> Via Email	<input type="checkbox"/> Via Fax <input type="checkbox"/> For Pick-up
Mailing Address	<input type="checkbox"/> Residence	<input type="checkbox"/> Office	
I/We hereby certify that the information given in this Customer Account Information Form is true and correct to the best of my knowledge. I/We have read and agree to be governed by the terms and conditions relative to this Account as enumerated in the following pages, as well as by the rules and regulations of The Philippine Stock Exchange, Securities and Exchange Commission, Bangko Sentral ng Pilipinas, the Anti-Money Laundering Council, the Bureau of Internal Revenue, and other appropriate governmental agencies.			
Signature of Client Over Printed Name		Date	
Signature of Person authorized to exercise discretion in account		Date	
For CNNSI USE ONLY:		Requirements for Account Opening:	
Salesman/Referred by:	<div><div>1. Completely filled-up CAIF</div><div>2. Specimen Signature Cards (2 copies)</div><div>3. Signed Trading Agreement</div><div>4. Photocopy of (2) valid IDs</div><div>i. Resident Foreigner<ul style="list-style-type: none"><li>Photocopy of Alien Certificate of Registration issued by the Bureau of Immigration.</li></ul></div><div>ii. Non-Resident Foreigner<ul style="list-style-type: none"><li>Authenticated identity documents by the Philippine Embassy or Consulate.</li></ul></div></div>		
Processed by:			
Date Opened:			
Approved By:			

## TERMS AND CONDITIONS

This is to confirm my understanding that CNN Securities, Inc. (CNNSI) will act as my broker for my transactions in securities. I also confirm that all my orders for purchases or sales of securities shall be subject to the prevailing rules of the Philippine Stock Exchange, Inc., to the regulation of the Securities and Exchange Commission and to the following terms and conditions:

1. For the purpose of selling, buying or performing other acts stated herein, I hereby irrevocably appoint and constitute CNNSI, its officers, employees or successors-in-interest and/or assigns, as well as any subagent, broker, attorney-in-fact it may appoint for that purpose, as my true and lawful attorney with full power and authority to buy or sell, lend or borrow securities or otherwise on my account(s) (whether carried individually or jointly with others), to agree to the price of securities, execute bills of sale, receipt, assignments of all my right, title and interest to the purchaser(s) thereof of such other instruments in writing or documents as may be necessary and to deliver or accept delivery of the corresponding stocks certificates and/or CNNSI may directly or indirectly do or cause to be done in accordance with the powers herein conferred all of which are hereby deemed ratified by me in all respects. For this purpose, CNNSI shall be entitled to rely on any instructions, notices and communications which it believes to have originated from me and shall be bound thereby.
2. Any order by me for the purchase or sale of securities shall be binding on CNNSI only upon its issuance of the confirmation notice. CNNSI does not warrant that any order placed can be or has been executed unless the confirmation notice is issued. The contents of confirmation notices sent to my address indicated herein shall be deemed conclusive upon me as to their correctness, unless within twenty four (24) hours from receipt thereof, written notice of any objection is served upon CNNSI.
3. In consideration of the foregoing, I hereby agree to pay CNNSI (i) commission at such rates as may from time to time be communicated to me; (ii) transfer fees upon actual transfer of the certificate issued to me; (iii) documentary stamp taxes, and (iv) other levies and duties thereon. The amount due herein shall be delivered in full to CNNSI within the same period required under par. 4 hereof.
4. When required by CNNSI, I agree to make a deposit on all my purchases equivalent to the amount stipulated herein. Securities purchased on my behalf shall be registered in the name of CNNSI until full payment of the purchase price, which payment shall in no case be made later than as specifically required by CNNSI or two (2) business days after the date of the said purchase, whichever is earlier, without need of any notice or demand, Subject to Paragraph 16 thereof, CNNSI may, at its sole discretion, cancel in writing any waiver of deposit requirements at any time.
5. The transfer of certificates shall be subject to the regular course of clearing and compliance by the Clearing House/Transfer agents with CNNSI's transfer instructions. Certificates shall be issued under CNNSI name unless payment is received within twenty four (24) hours from purchase or as otherwise required or instructed by me. Payments made by check shall have the effect of specifically required by CNNSI or on the third day from the date of purchase, whichever is earlier, shall immediately, and without need of notice or demand, authorize CNNSI to sell the securities for my account.
6. It is agreed that I would advise CNNSI to deliver the sales proceeds of securities sold for my account, net of the sums owing to CNNSI and those mentioned in Paragraph 3 hereof, four business days from date of transaction, at the earliest, provided that the instruments evidencing the securities, properly endorsed, already been delivered by me.
7. Any and all securities or contracts relating thereto, which are now or hereafter be held or carried by CNNSI in any of my accounts (either individually or jointly with others), are to be held by CNNSI as collateral for the payment of any claim which CNNSI may have against me, with the right to transfer moneys or securities to another when in CNNSI's judgement such transfer may be necessary.
8. In the event my cash account is not liquidated within two (2) days from date of purchase, or whenever in its sole discretion CNNSI consider it necessary for its own protection, I hereby specifically authorize and empower CNNSI, without need of prior and demand, to sell so much of the securities in my account(s) (whatever herein carried individually or jointly with others) and herein delivered as collateral, necessary for the payment of any of my obligations to CNNSI. I hereby guarantee that such securities are free from all liens and encumbrances, it being expressly understood that in the event that any such liens are later discovered which prevent the subsequent negotiation of the securities, CNNSI may, at its sole discretion, buy back the sold securities

and collect from me whatever amount CNNSI may incur by reason of such buyback, including damages which it may suffer or may be required to pay. I further authorize CNNSI to buy, lend, borrow or arrange for the lending or borrowing of any and all securities from any one of my account(s), to transfer moneys or securities from any one of my account(s) to another, and to settle all outstanding obligations. It is hereby agree and understood that I shall at all times be liable for the payment of any unpaid balance owing, if any, on my account(s) together with interest provided that I shall remain liable for any deficiency remaining in any such account(s) in event of liquidations.

9. I hereby also authorize CNNSI, without need of any further notice from me, to place my securities beneficially owned by me, either separately or in common with other securities, for any amount due from me on my account(s).
10. In addition to the foregoing, CNNSI shall be entitled to set off any amount payable by CNNSI pursuant to this account against any amount owing from me pursuant to this account or any of my account(s) held or carried by CNNSI either held individually or jointly with others) which are due and demandable.
11. While the securities subject of the foregoing terms and conditions are in CNNSI's possession, their custody shall be governed by the Safekeeping Agreement which I have executed.
12. Unless otherwise agreed upon in writing, any of my unpaid accounts shall bear interest at two percent (2%) per month without need of demand. In the event of any controversy or litigation arising out of this Agreement, CNNSI shall be entitled to a reasonable compensation for attorney's fee and costs of collection, which shall not in any event be less than twenty five percent (25%) of the total amount of my indebtedness then outstanding or Twenty Five Thousand Pesos (Php25,000.00) whichever is greater. It is agreed that venue of action for any litigation shall be in the proper courts of City of Pasig, any other venue of suit being waived.
13. I understand that the stock market is rapidly changing market and there is an inherent risk in incurring loss in securities transactions which shall be for my account. For this reason, I hereby hold CNNSI free and harmless against any and all costs, losses, damages, fines, penalties and taxes which it may incur arising out of or in connection with the exercise of any of its functions and power herein authorized, except those arising from fraud or gross negligence and in the later case, without responsibility for all damages except actual damages.
14. I also understand that CNNSI will provide me with monthly statements (in such form as CNNSI may determine) setting forth the list of securities held for my account(s), if any, in the name of CNNSI, its agents or nominees, and details of all transactions entered into since the date of the preceding statement (if any) and containing such further information as CNNSI may consider relevant.
15. It is agreed that all communications whether by mail, telegraph, telephone, electronic mail, messenger or otherwise, sent to me at the address appearing in CNNSI's records shall constitute personal delivery to me; and that in the event of my failure to notify CNNSI in writing of any change of address, all communications shall be directed to my indicated last known address appearing in CNNSI's record. It is further agreed that all communications sent to my indicated address shall be conclusive as to their correctness, in the absence of any written objection received by CNNSI within twenty-four (24) hours from the time communications were sent to said address.
16. No failure or delay on CNNSI's part in exercising any right, power or remedy upon my breach or default of any of the provision of this Agreement shall impair any right, power or remedy, nor shall it be construed as a waiver of any such breach or default thereafter occurring, nor shall any single breach or default be deemed a waiver of any other breach thereafter occurring, nor shall any single or partial exercise of any such right or power preclude any further exercise thereof or the exercise of any other right or power hereunder.
17. CNNSI shall have the discretion to resort to any other means of obtaining payment of any amount due without affecting any of CNNSI's right herein. All remedies, either under this Agreement or by law or otherwise afforded to CNNSI shall be cumulative and not alternative.
18. The benefit and burden of this Agreement is personal to me and shall both be assigned by me without CNNSI's prior express written consent.
19. In case of joint accounts, it shall be expressly indicated whether the same is "and/or" or an "and" account, with all parties to said account signing there under. Where the context requires, the singular shall be deemed to include the plural. Unless otherwise indicated, a joint account shall be deemed

to be an “and/or” account. For “and” accounts, prior to the execution of any instructions, orders or communication, the consent by all of the signatories must be obtained. For “and/or” account, prior to the execution of consents and signatories shall constitute sufficient authority for the execution of any instructions, orders, consents and communications which CNNSI may believe to have originated from any one of the signatories and all of them shall be bound thereby. With respect to any action taken or not taken by CNNSI in reliance upon instruction, orders, consents or communications believed by CNNSI to be those of one of the signatories, CNNSI shall be held free and harmless against any and all losses, damages, cost penalties, fines and taxes which may be incurred as a result thereof. Any liability arising herein shall be deemed to be joint and several liabilities of the signatories thereunder. Furthermore, and under pain of perjury, transactions made by any or all of us under “and/or” accounts are understood to have been made with explicit affirmation that all of us are still living on the date of such transactions, and that CNNSI shall be kept free and harmless for its reliance upon such attestation. We further agree and declare that securities now hereafter in the account and shall be our joint property and owned by us, the account shall become the absolute property of the order of either of us or the survivor which

TERMS AND CONDITIONS OF SAFEKEEPING AGREEMENT

The securities subject of this Agreement (The “securities”) are received for the reason(s) herein stated only, and no other than expressed herein. In case of any discrepancy, please notify CNNSI within two (2) days from receipt. Any later objections will not be considered by CNNSI.

When required by CNNSI, a charge in accordance with CNNSI’s prevailing Safekeeping Charge will be applied each month or fraction thereof during which the securities are held.

CNNSI will give the securities the same degree of physical care that it gives its own property, but does not assume responsibility beyond that. CNNSI shall not be liable for any loss or damage to the securities or impairment of their value except those directly caused by acts amounting to fraud or negligence. CNNSI shall not be responsible for any form of damages or liability arising from its performance of this Agreement.

The securities may be kept by CNNSI in its offices or maybe deposited with any depository at its discretion.

The securities will be held in custody at my sole risk as regards any laws, decrees, regulations or mandates, fortuitous events, and/or any of war, warlike operation, seizure, destruction or impairment of property, promulgated and/or done by any government authority.

It is agreed that CNNSI has no responsibility for the collection of coupons, collections or dividends on the securities except as provided by law. CNNSI also accepts no responsibility for the receipt and/or forwarding of any communication relative to securities.

CNNSI shall comply with all laws, writs or juridical or administrative orders, process or regulations without obligation to confirm. Or question the legality or constitutionality of such order, process or regulation. In the case of orders and processes, CNNSIS shall be authorized to act on the basis of the documents or copies which purports and which CNNSI at its discretion believes to be genuine without any duty to ascertain their authenticity.

In case where CNNSI is of the opinion that it will be subjected to any claim or demand for taxes, or required to comply with the law, order, process or regulation, it may withhold the payment of any sums due to me until CNNSI shall receive an order or satisfactory ruling from administrative authorities or from the courts which would allow the release thereof under circumstances which in CNNSI’s opinion foreclose the possibility of liability attaching to CNNSI; for this purpose, CNNSI may, for my account, seek the assistance of any lawyer accountant or other expert.

Type of Account: Single and and/or. However, in case of joint account, all instructions, notices and communications must be upon the signature(s) of any one or two or other (specify) \_\_\_\_\_ of the signatories below.

Customer Signature Over Printed Name

Date: \_\_\_\_\_

shall be binding upon us and our heirs, next of kin legatee, assignors and personal representatives.

20. If any one or more of the provisions contained in this Agreement or any other document executed in connection herewith shall be invalid illegal or unenforceable in any respect, the validity, reality and enforceability of the remaining provisions shall not in any way be affected or impaired.

21. All the above provisions are deemed incorporated by reference in all confirmation notices issued to me regarding execution of my orders.

22. This Agreement shall continue to be in full force and effect until signed notice of revocation is received by or from me, and in the case of such revocation, it shall continue to be valid and binding as to transactions entered prior thereto.

My signature below affirms conformity to the foregoing conditions and evidences my receipt of a copy of this Customer’s Reference Agreement.

23. I hereby declare that I have filled in all necessary and important information in the CAIF of CNN Securities and that any other information which has not been disclosed herein and in the CAIF are considered by me as not important, confidential and/or personal. As such, I hereby allow my trader/representative of CNN Securities to indicate necessary information to the best of his/their knowledge and ability.

I agree to reimburse HIDS I for all expenses, including attorney’s fees, and for all charges and taxes incurred or paid in good faith by it, or because of my failure to comply my obligations hereunder. I further hold CNNSI harmless for all claims, demands and liabilities which may be made against it. All sums due to CNNSI shall be payable on the date due without the need of demand. Any of unpaid accounts shall bear interest at two (2%) percent a month, without need of demand.

The securities shall be held or disposed by CNNSI in accordance with terms and conditions of this Agreement and any other agreement between myself and CNNSI relating to the securities, or in the absence thereof, at CNNSI’s discretion, at my order, provided that CNNSI shall have the right to retain the securities pledged or in which CNNSI has any securities interest until full payment of what may be due by reason of the deposit or otherwise to CNNSI. In case of any claims made upon the securities by any third person, CNNSI shall notify me of such claims and its discretion and without liability on its part, return the same or resort to the courts to interplead.

All deposits and withdrawal of all, some or any of the securities made by me from CNNSI’s custody shall be signed and evidenced by appropriate receipts. Any receipt or acknowledgement signed by myself, my agent or representative is conclusive evidence of the delivery or withdrawal of the certificates of stock therein specified.

Venue of any actions arising under the Agreement shall be in the proper courts of the City of Pasig, all other available venues of suits being waived.

This Agreement shall take effect upon the confirmation of the purchase of the securities and shall continue in full force and effect until disposition thereof in the manner provided in this Agreement, unless otherwise terminated by CNNSI or myself by giving the other at least (15) days prior written notice of termination.

This Agreement, and deposits and withdrawals on this account are governed by the subject to the laws and applicable rules and regulations in effect from time to time in the Republic of the Philippines.

Deposit Requirements: \_\_\_\_\_

Date: \_\_\_\_\_

Customer Signature Over Printed Name

Date: \_\_\_\_\_



## Supplemental Agreement to the Terms and Conditions

### NAME ON CENTRAL DEPOSITORY (NoCD)

In accordance to the requirements and guidelines of trading securities under NoCD, I/We hereby agree to the following:

1. I/We instruct CNN Securities, Inc. to create a Philippine Depository & Trust Corporation ("PDTC") sub-account under my/our name for trading Real Estate Investment Trust ("REIT") shares.
2. I/We consent to the processing and updating of all information relative to my/our securities/trading accounts in accordance to Republic Act No. 10173 or the Data Privacy Act and its Implementing Rules and Regulations.
3. I/We also confirm that the above are consistent with the terms and conditions defined in the Client Account Information Form which I/We maintain with **CNN Securities, Inc.**

### Client Conforms:

---

Printed Name & Signature

---

Printed Name & Signature



**CNN**  
securities

Unit 2502 The Orient Square Bldg.  
F. Ortigas Jr. Road, Ortigas Center  
Pasig City, Philippines  
**TEL Nos.: 6877955 to 56**  
email: info@cnnsecurities.com

## INDIVIDUAL

## SPECIMEN SIGNATURE CARD

**Name**

\_\_\_\_\_  
*Name*

\_\_\_\_\_  
*First Name*

\_\_\_\_\_  
*Middle Name*

**Address**

\_\_\_\_\_  
*Street No.*

\_\_\_\_\_  
*Town/District*

\_\_\_\_\_  
*City/Province*

\_\_\_\_\_  
*ZIP Code*

\_\_\_\_\_  
*Country*

Tel/Mobile No. \_\_\_\_\_

TIN \_\_\_\_\_

Nationality \_\_\_\_\_

(For individual applicants, please sign twice)

1. \_\_\_\_\_

2. \_\_\_\_\_

1. \_\_\_\_\_

2. \_\_\_\_\_

**Signature Verified By:**

IMPORTANT: Certificate will not be issued unless a specimen signature of the stock holder is on file with the transfer agents of the company, PLEASE FILL OUT THIS CARD AND RETURN TO CNN SECURITIES, INC. Unit 2502 The Orient Square Building, F. Ortigas Jr. Road, Ortigas Center, Pasig City Philippines.



**CNN**  
securities

Unit 2502 The Orient Square Bldg.  
F. Ortigas Jr. Road, Ortigas Center  
Pasig City, Philippines  
**TEL Nos.: 6877955 to 56**  
email: info@cnnsecurities.com

## INDIVIDUAL

## SPECIMEN SIGNATURE CARD

**Name**

\_\_\_\_\_  
*Name*

\_\_\_\_\_  
*First Name*

\_\_\_\_\_  
*Middle Name*

**Address**

\_\_\_\_\_  
*Street No.*

\_\_\_\_\_  
*Town/District*

\_\_\_\_\_  
*City/Province*

\_\_\_\_\_  
*ZIP Code*

\_\_\_\_\_  
*Country*

Tel/Mobile No. \_\_\_\_\_

TIN \_\_\_\_\_

Nationality \_\_\_\_\_

(For individual applicants, please sign twice)

1. \_\_\_\_\_

2. \_\_\_\_\_

1. \_\_\_\_\_

2. \_\_\_\_\_

**Signature Verified By:**

IMPORTANT: Certificate will not be issued unless a specimen signature of the stock holder is on file with the transfer agents of the company, PLEASE FILL OUT THIS CARD AND RETURN TO CNN SECURITIES, INC. Unit 2502 The Orient Square Building, F. Ortigas Jr. Road, Ortigas Center, Pasig City Philippines.



To Our Valued Client

Dear Sir/Madam:

In accordance to the 2015 SRC IRR (SRC Rule 30.2.5), Please be advised that the following commissions and charges for services we are rendering are being implemented:

1. COMMISSION RATE: Agreed rate by the trader and the client (not less than .25%), but not more than one percent (1%) of the value of each transaction, whether purchase or sale. Minimum Commission of One Hundred (Php100.00) per transaction while Twenty (Php20.00) for CNNTrade (Online) Account;
2. VALUE ADDED TAX (VAT) of 12% of the Commission;
3. SCCP Service Fee of 1/100 of 1% or 0.0001 of the Transaction Value;
4. CTGF Contribution of 1/500 of 1% or 0.00002 of the Transaction Value;
5. PSE Transaction Fee of 1/200 of 1% or 0.00005 of the Transaction Value;
6. SEC Fee of 1/200 of 1% or 0.00005 of the Transaction Value;
7. SIPF Contribution of 1/1000 of 1% or 0.00001 of the Transaction Value;
8. Stock Transaction Tax of 0.001 of the Transaction Value (for Selling Transaction Only).
9. Account Maintenance Fee or Inactivity Fee of One Hundred Fifty (Php150.00) per month or .00083 of the account's Total Market Value per month, whichever is higher, which may be deducted from your cash balance, if any, or from the proceeds of your selling transaction.
10. Online Trading Fee of Eight Hundred Sixty (Php860) or One Thousand One Hundred Fifty (Php1,150) per month for CNNTrade (Online) Account only.
11. EQ Trade Fee of Seventy Five (Php75.00) per Issue for the transfer of securities from CNN to Other Broker.
12. Lodgement or Regular Upliftment fees ranging from One Hundred (Php100) to One Hundred Fifty (Php150) per certificate (depends on the Transfer Agent).

Should you have further clarifications on this matter. Please call our office at 8687-7955 or 56.

Thank you very much.

Client's Conforme:

Very Respectfully Yours,

CNN Securities, Inc.

---

Signature over Printed Name

## Data Privacy Consent Form

Your privacy is our priority. At CNN Securities, Inc. ("CNN Securities"), the identities and privacy of our existing and prospective customers are valuable to us. We are dedicated to protecting the information disclosed to us. As such we have enacted this Privacy Policy, which shall be updated from time to time to keep in pace with our commitment to maintain the privacy and confidentiality of the information entrusted to us. While information plays a large role in our ability to provide good quality service we know that our most important asset is the good quality service, we know that our most important asset is the customers' trust and confidence in us. Thus, keeping customer information secured, and using it in a manner most ideal for our clients and consistent only with the legitimate purpose for which it was collected are sacred principles CNN Securities. With this in mind, here is our pledge to you as CNN Securities customer.

### We will:

1. Value the trust you place in us and respect the confidential nature of the information you disclose in the course of our broker-customer relationship;
2. Limit the collection and use of customer information to what we believe are indispensable and necessary to service your accounts and administer our business;
3. Restrict employee access to customer information to those who need to know in order to provide services to you;
4. Continuously educate our employees to reinforce the importance of confidentiality and customer privacy;
5. Maintain appropriate security standards and procedures to protect information about you;
6. Respond quickly to your request to correct or rectify inaccurate information; and
7. Strictly adhere to the provisions of Republic Act No. 10173, or otherwise known as "The Data Privacy Act of 2012" and its Implementing Rules and Regulations

You can count on us to protect the privacy of the information you have entrusted to us and to provide you with the responsive professional service you deserve.

### How we obtain personal information

CNN Securities takes great care to protect your personal information. When we use it, we do so with utmost respect for your privacy. CNN Securities may happen to collect public and non-public personal information about you from any of the following sources:

1. Client Account Information Form (CAIF) that you accomplish as such name, address, Tax Identification Number, Social Security number, birth date, assets and income, among others;
2. Transactional activity in your account which may include trading history and balances, and other similar activities;
3. Other interactions with CNN Securities, including but not limited to personal or phone discussions with our staff, information you enter into our website, emails, correspondences, and survey questionnaires and/or materials which we may provide to help us improve the services, performance and products of CNN Securities; and Other sources with your consent or with the consent of your representative – (i.e. from other Brokers if you transfer positions into CNN Securities)

### Why we obtain personal information

We use your personal information to service and maintain your account; process transactions in your account; respond to your inquiries or your representative; carry out regulatory checks and comply with our obligations to any relevant regulatory authority; and to develop and

for future references in the event that there would be valid order by a court or other governmental body or as would be required by law

### How we share information about you with third parties

CNN Securities does not share personal information about our customers with unaffiliated third parties for use in marketing their products and services.

We may share personal information with the following entities:

- Unaffiliated service providers (securities clearinghouses and other entities who may provide services at CNNSI's direction);
- Government agencies, other regulatory bodies and law enforcement officials (only with a valid written order by a court or other governmental body or as otherwise required by law -);
- Other organizations, with your consent or as directed by your representative (for example, if you request CNN Securities to issue a certificate on the existence of your account with us), or as permitted or required by law (for example, for fraud prevention); and
- Our service providers are obligated to keep the personal information we share with them confidential and use it only to provide services specified by CNN Securities.

### How We Protect Your Information

We comply with applicable laws and regulations regarding the protection of personal information. We will store and process your information on the CNN Securities computers wherever located and in any other medium. We maintain physical, electronic and procedural safeguards that restrict access to your personal information. We use industry leading security technologies, including layered security and access controls over personal information. These safeguards are reviewed as necessary and may be adjusted in response to advances in technology and the latest security threats or trends. We also train our employees about privacy and our commitment to protect your personal information.

### Privacy online

Privacy, security, and service in CNN Securities' online operations are just as critical as the rest of our business. We use firewall barriers, encryption techniques and authentication procedures, among others, to maintain the security of your online session and to protect CNNSI's accounts and systems from unauthorized access. When you visit CNN Securities' website, we may collect technical and navigational information, such as device type, browser type, Internet protocol address, pages visited, and average time spent on CNN Securities' websites. We use this information for a variety of purposes, such as maintaining the security of your online session, facilitating site navigation, improving CNN Securities website design and functionality, and personalizing your experience on CNN Securities website. Additionally, the following policies and practices apply when you are online.

### Cookies and similar technologies

We use cookies and similar technologies to support the operation of CNN Securities websites. Cookies are small amounts of data that a website sends to a web browser on a visitor's computer. Our cookies help us to collect information about visitors to CNN Securities websites, including date and time of visits, pages viewed, amount of time spent on our sites, or general information about the device used to access the site. CNN Securities cookies are also used for security purposes. You can refuse or delete cookies. Most browsers and mobile devices offer their own settings to manage cookies. If you refuse a cookie when on a CNN Securities website, or if you delete cookies, you may experience some inconvenience in your use of CNN Securities website. For example, you

may not be able to sign in and access your account, or we may not be able to recognize you, your device, or your online preferences. We do not share personally identifiable information about our customers with third-party service providers, and these service providers do not collect such information on our behalf. We have security standards and procedures in place designed to prevent unauthorized access to your accounts and personal information. A key part of this process ensures that all information we have about you is accurate and up-to-date. If you ever discover inaccuracies in our data or if your personal information changes, we urge you to notify us immediately.

#### **Protect Your Password**

One way to guard against unauthorized access or intrusion to your account is to keep your CNN Securities Online password private. Note: CNN Securities does not have access to your password. You are solely responsible for the confidentiality, protection and use of the password and/or access number that provides electronic access to your account. Any orders or instructions that are received under your account number and password are authorized and binding on you. Here are some suggestions on how to choose and safeguard your password: Do not share your password with anyone. Do not write your password down. Type your password each time it is required of you. Do not save your password on the site entry screen or develop a shortcut to reproducing your password. Avoid using easily guessed words such as your name, user id, or any variation thereof (backwards, changing case, etc.). Avoid words referring to anything noticeable about you: the name of your spouse, child, and pet, your favorite basketball team, or literary character. Avoid any combination of your office number, address, birthday, or anniversary. Avoid any combination of your license-plate number, your social-security number. If you feel that your password is no longer secure, please change it immediately.

#### **Calls**

You authorized CNNSI to log, record and monitor calls made or received by us to maintain high quality service standards, to check instructions, for your protection and ours. How long will we keep your personal information on file? We will retain information about you after the closure of your account for as long as it is permitted or required for legal, regulatory, fraud prevention and audit purposes.

#### **Additional information**

If you are a former customer, this privacy policy shall also retroactively apply to you. We treat your information with the same care as we do information about current customers. CNN Securities offers several options for accessing and, if necessary, correcting your account information. You can review your information using your statements or through our telephone or email services. You may also write or call us with your request for information; specific Internet addresses, mailing addresses and telephone numbers which are listed on your statements and other correspondence. Customer Service Support. If you have any queries regarding privacy issues then please email us at [info@infosecurities.com](mailto:info@infosecurities.com) or call us (632) 877955 to 56.

#### **Terms of Use**

The following terms and conditions govern the use of CNN Securities' website/s and/or CNN Securities' mobile application/s. The CNN Securities' Website and CNN Securities' mobile application shall collectively be referred to as the "CNN Resources."

By using the CNN Resources, you (the "User") agree to be bound by these terms and conditions. If the User does not agree to any of the terms and conditions, access to the CNN Resources is disallowed.

**INTELLECTUAL PROPERTY RIGHTS.** Everything in the CNN Resources, including all real time or other information and content as well as any software programs available on or through the CNN Resources ("Content"), are protected by intellectual property rights laws. With the exception of information obtained from CNN SECURITIES's third party providers, all right, title and interest in and to the CNN Resources and its Content are owned, licensed or controlled by CNN SECURITIES. CNN SECURITIES reserves the right to amend or withdraw any of the CNN Resources.

**OWNERSHIP AND USE OF CNN SECURITIES MEDIA.** CNN SECURITIES grants access to the CNN Resources to the User exclusively for his personal, non-commercial, and lawful use. User agrees not to transmit, transfer, perform, broadcast, publish, reproduce, create a derivative work from, display or distribute, sell, license, rent, lease or otherwise transfer any Content to any third person (including, without limitation, others in User's company or organization) whether for direct commercial or monetary gain or otherwise without the prior written permission of CNN SECURITIES. Requests for such permission must be in writing and should be sent to: Unit 2305A, 23rd Floor The Orient Square Bldg., F. Ortigas Jr. Road (formerly Emerald Ave.), Ortigas Center, Pasig City, 1605 Metro Manila.

**LIMITATION OF LIABILITY.** While the Content has been obtained from sources believed to be reliable, they are provided on an "AS IS" and "AS AVAILABLE" basis. CNN SECURITIES, its affiliates, officers, directors, employees, and agents do not make any representations and disclaim all express, implied and statutory warranties of any kind, including, but not limited to, those regarding accuracy, timeliness, completeness, correctness, timeliness, non-infringement, merchantability, or fitness for any particular purpose, or any representations or warranties arising from usage or custom or trade or by operation of law. Further, User acknowledges that due to the number of sources from where the Contents are obtained from, and the inherent hazards of electronic distribution, there may be omissions or inaccuracies in the Content. Lastly, User agrees not to hold CNN SECURITIES liable for any damages, including without limitation direct or indirect, special, incidental, or consequential damages, losses or expenses arising in connection with the CNN Resources or Third Party Media (as hereinafter defined) or use thereof or inability to use by any party, or in connection with any failure of performance, error, omission, interruption, defect, delay in operation or transmission, computer virus or line or system failure, even if CNN SECURITIES, or representatives thereof, are advised of the possibility of such damages, losses or expenses. Any claims arising in connection with the use of CNN Resources must be brought within one (1) year from the date the event giving rise to such action occurred, exclusively with the appropriate courts of Pasig City, Philippines.

The CNN Resources may contain links to other websites or applications controlled or offered by third party providers ("Third Party Media"). CNN SECURITIES disclaims liability for any information, material, product, or service posted or offered at said Third Party Media. The link to said Third Party Media does not mean an endorsement or recommendation from CNN SECURITIES for any products or services offered or information contained in said Third Party Media. Neither shall CNN SECURITIES be liable for any failure of the products or services offered or advertised at the Third Party Media. User is aware that the use of Third Party Media may be governed by different terms and conditions and that said Third Party Media may provide less security than the CNN Resources.

---

Signature over Printed Name



## FOR U.S. PERSONS UNDER FOREIGN ACCOUNT TAX COMPLIANCE ACT

The Foreign Account Tax Compliance Act ("FATCA") enacted by the U.S. government in March 2010 and which amended the U.S. Internal Revenue Code, is part of the U.S. government efforts to improve tax compliance of U.S. taxpayers with foreign financial assets and offshore accounts.

A U.S. person is one who is:

- |   |  |
|---|--|
| - An individual or an Entity            | - One who has substantial presence in the U.S.   |
| - A citizen                             | - As evidence by "Indicia" of U.S. account (U.S. Citizen, U.S. place of birth, U.S. Tel. No. Standing instruction to pay amounts to an authority maintained in the U.S. Current power of attorney or signatory granted to a person with a U.S. address, a "in care of" or an "hold mail" address that is sole address identified for the account). |
| - Holds a U.S. passport                 |  |
| - A resident of the U.S.                |  |
| - Was born in the U.S.                  |  |
| - A U.S. Permanent Resident Card Holder |  |

For further information on FATCA, you may visit the following websites: [www.irs.gov](http://www.irs.gov); [www.treasury.gov](http://www.treasury.gov);

**Are you a U.S. Person?**

\_\_\_\_\_Yes

\_\_\_\_\_No

## CUSTOMER'S AGREEMENT

By signing this form, the CUSTOMER hereby certifies and affirms that the information given above is true, correct and updated.

\_\_\_\_\_  
PRINTED NAME OF CUSTOMER

\_\_\_\_\_  
SIGNATURE OF CUSTOMER / DATE



## KNOW YOUR CUSTOMER (“KYC”) QUESTIONNAIRE

---

Client Name : \_\_\_\_\_

Please check/answer the appropriate industry/field that you or your business is currently involved in:

	YES	NO
Jewelry shop/dealer trading precious metals/stones	_____	_____
Casino (including internet and ship-based casinos with respect to their casino cash transactions related to their gaming)	_____	_____
Online gaming	_____	_____
Offshore Gaming Operators (OGO/POGO)	_____	_____
Offshore Gaming Operator Service Providers	_____	_____
I am a government official of the Philippines or of another country.	_____	_____
If YES, please provide the following details:		
Position _____		
I am related or affiliated to a government official	_____	_____

This is to certify that all information provided herein is true and accurate to the best of my knowledge. I hereto agree to notify CNN Securities, Inc. in writing of any change in information supplied in this form.

---

Printed Name & Signature / Date



RE : Deposit to Bank Instruction

---

Trading Account Name : \_\_\_\_\_

This serves as my/our standing instruction to deposit any cash balance or proceeds from cash dividends/settlement to the bank account detailed below:

Account Name : \_\_\_\_\_

Branch of Account : \_\_\_\_\_

Account Number : \_\_\_\_\_

I/We hold CNN SECURITIES, INC., its directors or stockholders or representatives free and harmless, as well as indemnify it from any or all liabilities, claims, charges, suits or causes or actions, that may arise out of or in connection with the instruction detailed above.

This shall remain in effect until voided by a duly signed written instruction from me/us.

\_\_\_\_\_  
Printed Name and Signature of the Client / Date

\_\_\_\_\_  
Printed Name and Signature of the Client / Date