



Member: Philippine Stock Exchange  
3310 Robinson’s Equitable Tower  
ADB Avenue, Ortigas Pasig City  
Tel Nos: (02) 8633-0081

CUSTOMER ACCOUNT INFORMATION FORM (CAIF)

☐ Individual ☐ Joint “And” ☐ Joint “Or” ☐ Corporate

\*For joint accounts, you must submit 2 sets of all requirements

INDIVIDUAL /JOINT ACCOUNT

Account Name [Last]\_\_\_\_\_ [First]\_\_\_\_\_ [Middle]\_\_\_\_\_

Residential Address \_\_\_\_\_

Telephone No.\_\_\_\_\_ Mobile No.\_\_\_\_\_ Email\_\_\_\_\_

Birth Place\_\_\_\_\_ Date of Birth\_\_\_\_\_ TIN\_\_\_\_\_

Nationality\_\_\_\_\_ Civil Status\_\_\_\_\_ Sex\_\_\_\_\_

Employer\_\_\_\_\_ Occupation\_\_\_\_\_

Business Address\_\_\_\_\_ Telephone No. \_\_\_\_\_

Name of Spouse (ifapplicable) \_\_\_\_\_

FOR INSTITUTION / CORPORATE / PARTNERSHIP ACCOUNT	
Account Name _____	
Nature of Business_____	SEC Registration No._____
Business Address_____	Date of Registration _____
Nationality_____	Telephone Number _____

ACCOUNT INFORMATION

Account Type:	<input checked="" type="checkbox"/> Cash	<input type="checkbox"/> Margin	<input type="checkbox"/> Discretionary	<input type="checkbox"/> Institutional
Source/s of funds:	<input type="checkbox"/> Income/Salary	<input type="checkbox"/> Savings/Retirement	<input type="checkbox"/> Remittance/Allowance	<input type="checkbox"/> Others, Specify:_____
Annual Income:	<input type="checkbox"/> Less than 1M	<input type="checkbox"/> 1M to less than 10M	<input type="checkbox"/> 10M to less than 50M	<input type="checkbox"/> 50M and above
Asset:	<input type="checkbox"/> Less than 1M	<input type="checkbox"/> 1M to less than 10M	<input type="checkbox"/> 10M to less than 50M	<input type="checkbox"/> 50M and above
Asset Net Worth:	<input type="checkbox"/> Less than 1M	<input type="checkbox"/> 1M to less than 10M	<input type="checkbox"/> 10M to less than 50M	<input type="checkbox"/> 50M and above
Investment Experience:	<input type="checkbox"/> <1 year	<input type="checkbox"/> 1-5 years	<input type="checkbox"/> 5-10 years	<input type="checkbox"/> >10 years
Investment Objective:	<input type="checkbox"/> Long Term	<input type="checkbox"/> Capital Preservation	<input type="checkbox"/> Growth	<input type="checkbox"/> Speculation

Bank Account Name	Bank	Branch	Account Number

To which proceeds of sale of stocks shall be credited

SETTLEMENT INSTRUCTIONS

Registry of Certificates: ☒ In Street ☐ In Client’s Name

Confirmation of orders would be via: ☐ Courier ☐ Facsimile ☒ E-mail

Other persons authorized to receive checks and other documents:

Name:\_\_\_\_\_ Relationship:\_\_\_\_\_ Signature: \_\_\_\_\_

Are you an officer /director of a publicly listed company? ☐ YES ☐ NO

If YES, state the name of the company and position \_\_\_\_\_

Do you have an account with another Broker? ☐ YES ☐ NO

If YES, state the name of the Broker \_\_\_\_\_

How did you know about Timson Trade? ☐ Family/Friends ☐ Social Media ☐ Internet ☐ Seminars/Events

CUSTOMER’S ACKNOWLEDGEMENT

I hereby confirm that all information given in this CAIF are true and correct. I authorize Timson Securities Inc. (TSI) to verify information provided.

Signature over Printed Name			
FOR TIMSON'S USE ONLY			
Date:	Salesman:	Reviewed by:	Accepted and Approved by:
ASSOCIATED PERSON			
RISK PROFILE			
<input type="checkbox"/> LOW	<input type="checkbox"/> NORMAL / REGULAR	<input type="checkbox"/> HIGH	

ONLINE TRADING AGREEMENT

This agreement contains important information regarding the terms and conditions which apply to TIMSON Securities, Inc. This Online Trading Service Agreement (the “Agreement”) will cover the Online Trading Facility which allows access through the Internet of your (the “Customer”) Online Trading Account with TIMSON Securities, Inc. (the “Broker”). In consideration of the Broker accepting and maintaining an account for you, you hereby agree that you have read, understand, consent and agree to all the terms and conditions contained in the following Agreement:

All the information you provided in your Account Application is accurate and truthful. If more than one person signs the TIMSON Securities, Inc. new account application or is indicated as the account owner on this account form, their obligation under this Agreement shall be joint and several. Unless otherwise indicated, a joint account shall be deemed to be an “and/or” account. For an “and/or” account, the consent of any one of the signatories shall constitute sufficient authority for the execution of any instructions, orders, consent, and communications which TSI 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 TSI in reliance upon instructions, orders, consent, or communications believed by TSI to be those of one of the signatories, TSI shall be held free and harmless against any and all losses, damages, costs, penalties, fines, and taxes which may be incurred as result thereof.

TSI may charge commissions and other fees for execution or any other services furnished to you and you agree to pay the fees and charges as they apply to your account transactions and other services you receive. TSI requires you to make an initial minimum deposit of **P100,000.00** to open your account and may require you to maintain a minimum balance in the account thereafter, in order to avoid any maintenance fees.

Fees and Charges	Buying	Selling
Commission	0.25%	0.25%
Vat	12% of Commission Value	12% of Commission Value
SCCP Charges	0.01% of Gross Value Traded	0.01% of Gross Value Traded
PSE Fees	0.005% of Gross Value Traded	0.005% of Gross Value Traded
SEC Fee	0.005% of Gross Value Traded	0.005% of Gross Value
SIPF Contribution	0.001% of Gross Value Traded	0.001% of Gross Value
Sales Tax		0.1% of Gross Value Traded

Others:

- A. Upliftment (Certificate Request) Fee: PHP 170.00
- B. Lodgment Fee (Depositing a Stock Certificate): [PHP100.00 per issue + PHP20.00 per certificate] + 12% VAT and PHP50.00 broker’s fee
- C. EQ Trade/Stock Transfer Fee (Broker to broker): PHP 75.00 per stock
- D. Dormancy Fee: PHP70.00 per month for account inactivity (no buy/sell transactions) for five (5) consecutive years

**\*NOTE:** If your Timson Trade account is inactive for **six (6) consecutive months** or if the total balance of your account (cash and stocks combined) falls below our minimum maintaining balance of **P100,000.00**, TSI reserves the right to transfer your account to a traditional account (broker-assisted trading) with a commission charge of 0.25% of Gross Value Traded or 150.00, whichever is higher.

TSI has no responsibility whatsoever for any such determination while access to investment recommendation, advice, option, judgment is available through this site and none are developed or recommended by TSI. You assume full responsibility for any transactions placed in your account, electronically or otherwise, and any investment decision or strategy that you make or utilize is done at your sole discretion and at your own risk.

To process orders to purchase securities, TSI generally requires that your account contain sufficient funds equal to or greater than the purchase price of the securities prior to the trade date. If any order in your account is inadvertently accepted and executed without sufficient funds, you understand that your account will be subject to cancellation or liquidation at TSI discretion. You are responsible for your orders, including any orders that exceed available funds in your account and you must monitor the status of your account including any orders at all times.

TSI generally requires that prior to the acceptance of a sell order, the stock certificate be deposited/PCD for lodgment into your account. You agree that any order in your account that is inadvertently accepted without negotiable certificates in your account will be subject to cancellation. You are responsible for any losses or expenses incurred by TSI because of your failure to make such delivery. **SHORT SALE OF SECURITIES IS NOT ALLOWED.**

TSI will not be responsible for the accessibility, transmission quality outages to, or malfunction of any telephone circuits, computer hardware, software, or related/incidental problems. You understand that it is your responsibility to review upon first receipts, all confirmations of the execution of orders, transactions, all account statements, and any notices and other communications (TSI email/Fax/Delivery). In case of a change in address, you are responsible to give TSI notice through writing or electronic mail.

TSI may restrict or prohibit trading of securities and /or other property in your account and may terminate your account at any time, at their sole discretion and without prior notice to you, and you shall nevertheless remain liable for all your obligations to TSI under this Agreement.

TSI has no obligation to review you orders and be responsible for determining the suitability of your orders and your investment decisions. You must monitor your account to determine whether any order you place was executed or rejected by us. You acknowledge that you are the sole and exclusive owner and the only authorized user of your Account number, User name and Password, which provides access to your account at TSI. You understand that you shall accept full responsibility for the use, protection and confidentiality of the password as well as for all transactions and information changes entered into your account using the password. TSI, its affiliates, their respective officers, directors, agents, and employees are not responsible and liable for losses caused directly or indirectly by conditions beyond their control, including but not limited to flood, extraordinary weather conditions, earthquake, other acts of God, fire, war, insurrection, riot, terrorist act, labor dispute, accident, action of government, communications, power failure, equipment or software malfunction.

This agreement shall be governed by the laws and applicable regulations of the Republic of the Philippines. All your orders for sales or purchases of securities shall be subject to the prevailing rules and regulations of the PSE, or any exchange of which TSI is a member, the SEC, the PCD, or such other Clearing House of the PSE, and other relevant government or private entities.

In the absence of any written instructions to the contrary, all securities shall be registered in TSI’s name as street certificates.

TSI is not responsible for any delay or error in any information or services you use on TSI’s website/online trading platform or for systems failure or damages to my computer or software as a result of using TSI’s website/online trading platform. You are responsible for the equipment required to use our online services, and for all fees and charges incurred by you in accessing them. You are responsible for ensuring an appropriate level of security by encryption or any other appropriate means in all communications with us. You will provide us with your email-address (other than through website) and will promptly update us of any changes so that we can communicate with you electronically.

TSI may, without prior notice, update the terms and conditions of this agreement including the minimum initial deposit, minimum maintaining balance, account inactivity period, trading fees and charges. Any updates or changes in the agreement will not affect the other clauses stated in this agreement.

This agreement shall continue until we receive a signed notice of revocation, and in the case of such revocation, it shall continue to be effective as to transactions entered into prior thereto. I understand that you may at any time, at your sole discretion and without prior notice, prohibit, or restrict your access to the use of the website, online trading platform, or related services and your ability to trade. The closing of an account will not affect the rights and /or obligations of either party incurred prior to the date that the account is closed.

I agree to be bound by the Terms and Conditions relative to this Account as stated in this form, as well as by the Philippine Securities laws, rules of the PSE, specifically the rules on Direct Market Access, CMIC, clearing agency, and other pertinent laws, rules and regulations. I shall be held liable for any breach of such laws, rules and regulations. I shall be deemed to have read, understood and agreed to be bound by these Terms and Conditions. I hereby certify that the information given in the Customer Account Information Form (CAIF) is true and correct to the best of my knowledge.

Client Signature over Printed Name

Date

CUSTOMER ACCOUNT INFORMATION FORM

(Additional Information Required)

PERSONAL INFORMATION			
ACCOUNT NAME:			
PRESENT ADDRESS:			

BENEFICIAL OWNER (Mandatory for Corporate Account)			
Name	Address	Contact Number	Relationship to the Account Holder
BENEFICIARIES (For Individual or Joint Account)			
Name	Address	Contact Number	Relationship to the Account Holder

**Note:** Please attach additional sheets if more space is needed. Kindly ensure all information is accurate and complete.

Signature of Customer or Attorney-in-fact

Date

**DATA PROTECTION NOTICE**

This Data Protection Notice sets out the basis which TIMSON SECURITIES, INC. 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 requires 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 TIMSON SECURITIES, INC. 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 **TIMSON SECURITIES, INC.**, 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 TIMSON SECURITIES, INC. 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 **TIMSON SECURITIES, INC.** for the purposes set out in this agreement.

Client Signature over Printed Name

Date

FATCA QUESTIONNAIRE

Question	Yes	No
1. Are you an American?		
2. Are you a dual citizen? If so, indicate country/ies of citizenship _____		
3. Are you a permanent resident of the United States?		
4. Are you a Green Card holder?		
5. Were you born in the United States?		
6. Do you have a residence in the United States?		
7. Do you have a phone number in the United States?		
8. Do you have instructions to transfer funds to an account in the United States?		
9. Have you been to the United States in the last 3 years?		

If any of the answers to the questions stated above is YES, kindly specify the required applicable information below:

- A. Name: \_\_\_\_\_
- B. U.S. Address: \_\_\_\_\_
- C. U.S. Telephone Number \_\_\_\_\_
- D. U.S. TIN \_\_\_\_\_
- E. U.S. P.O. Box \_\_\_\_\_
- F. Standing instructions to pay amount/transfer funds to an account maintained in the United States

G. Current power of attorney or signatory authority granted to a person with an United States address:

H. An “in-care-of” address or “hold mail” address : \_\_\_\_\_

I. Length of stay in U.S. \_\_\_\_\_

*Please see guidelines on how to compute for the length of stay in U.S. by following the computation of substantial presence test below:*

Qualification/Eligibility for substantial presence test must involve being physically present in the United States on at least:

- a. 31 days during the current year and;
- b. 183 days during the 3-year period that includes the current year and the 2 years immediately before that, counting:
  - i. All the days you were present in the current year and;
  - ii. 1/3 of the days you were present in the first year before the current year, and;
  - iii. 1/6 of the days you were present in the second year before the current year

PEP QUESTIONNAIRE

Have you, your immediate family members*, or close associates ever held any of the following positions?	Yes	No
<small>*Immediate family members include parent, child, sibling, spouse, common law partner, spouse’s common law partners’s parent and sibling</small>		
1. President / Head of State		
2. Government’s Executive Arm (e.g. cabinet member, local government office)		
3. Government’s Legislative Arm (e.g. senate, house of representatives)		
4. Judge, leader or president of any local political party		
5. Head of state-owned company or bank		

\_\_\_\_\_  
Client Signature over Printed Name

\_\_\_\_\_  
Date



For Corporate Applicants Only : Corporate Officers Authorized to sign and endorse certificates	
<u>Name and Position</u>	
1.)	1.) _____ 2.) _____
2.)	1.) _____ 2.) _____
3.)	1.) _____ 2.) _____
4.)	1.) _____ 2.) _____
5.)	1.) _____ 2.) _____
Please attach all relevant documents authorizing the above officers to sign	

For Corporate Applicants Only : Corporate Officers Authorized to sign and endorse certificates	
<u>Name and Position</u>	
1.)	1.) _____ 2.) _____
2.)	1.) _____ 2.) _____
3.)	1.) _____ 2.) _____
4.)	1.) _____ 2.) _____
5.)	1.) _____ 2.) _____
Please attach all relevant documents authorizing the above officers to sign	