



# REGINA CAPITAL

Development Corporation

MEMBER: PHILIPPINE STOCK EXCHANGE

Unit 806, Tower 1, PSE Plaza, Ayala Avenue, Makati City.

Website: [www.reginacapital.com](http://www.reginacapital.com)

Tel. No.: (632) 848-5482 to 84

Fax No.: (632) 848-5483

Exchange No.: (632) 891-9415 to 17 (Globe) 759-4007

Exchange Tel Nos.: (632) 891-9410

(632) 891-9411

(632) 891-9411 to 17

Email Address: [rcdc@reginacapital.com](mailto:rcdc@reginacapital.com)

## CUSTOMER ACCOUNT INFORMATION FORM

Customer Code: \_\_\_\_\_

When making payments please ask for a **Provisional Receipt (PR)**. The **Official Receipt (OR)** will follow five days thereafter.

**Account Type:**

☐ Cash ☐ Individual ☐ Partnership ☐ Corporation

☐ Discretionary ☐ Margin ☐ Institutional

NAME:		TIN:	
RES. ADDRESS:		SSS/GSIS NO.:	
E-MAIL ADDRESS:		RES. TEL. NO.:	
OCCUPATION:		NAME OF EMPLOYER:	
BUS. NAME:		ADDRESS OF EMPLOYER:	
BUS. ADDRESS:			
BUS. TEL. NO.		COMPANY TEL. NO.:	
NATIONALITY:	DATE OF BIRTH:	PLACE OF BIRTH:	

Are you associated with another Broker or Dealer? ☐ YES ☐ NO

Investment Objective: ☐ Speculation ☐ Long – Term Investment

Annual Income: \_\_\_\_\_ Assets: \_\_\_\_\_ Net Worth: \_\_\_\_\_

Are you an Officer or Director of a Listed Company? ☐ YES ☐ NO

If Yes:	Name of Company	Position
_____	_____	_____
_____	_____	_____

**For Corporate Account:**

Business Name: Business Address: Tin:

Business Tel. No.: Fax No.: Nature of Business:

Email address: Source of Funds:

**Authorized Signatories:**

Name	Signature	Designation
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

Confirmation to be sent to: \_\_\_\_\_ Relationship: \_\_\_\_\_

Address: \_\_\_\_\_

_____	_____
Signature over printed name of Customer (or Attorney-in-fact)	Date
_____	_____
Signature over printed name of Person authorized to exercise in account	Date
_____	_____
Signature over printed name of Salesman introducing the account	Date
_____	_____
Signature over printed name of Officer or Manager accepting the account	Date

\*\*\*Please sign at the Back\*\*\*

## TERMS AND CONDITIONS

This is to inform that REGINA CAPITAL DEVELOPMENT CORP. (RCDC) will act as my broker in connection with my securities transactions, I hereby agree to the following terms and conditions:

1. For this purpose of buying, selling or performing other authorized acts stated herein, I hereby irrevocably appoint and constitute RCDC its officers, employees, or successors and assigns, as my true and lawful attorney-in-fact, with full power of authority to buy, sell, lend or borrow securities, or otherwise act for any of my accounts (whether operated individually or jointly with others), to agree upon the price of securities, execute to the purchaser(s) thereof, or such other instruments in writing or documents as may be necessary, and to deliver or accept delivery of the corresponding stock certificates and/or instruments of assignment, hereby ratifying all acts of RCDC done which may be done pursuant to the authority conferred herein.

All transaction shall be subjected to the constitution, rules, regulations, customs and usage of the Philippine Stock Exchange, Inc., the Securities and Exchange Commission, the Philippine Clearing House, RCDC and the laws of the Philippines as may be amended from time to time.

2. Any orders by me for the purchase or sale of securities shall be binding on RCDC only upon its issuance of the confirmation notice. RCDC 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 of any objection is served upon RCDC.
3. I agree that when RCDC has executed a purchase or sale transaction on my behalf, I shall deliver the full payment of the purchase price or make good delivery of sold securities to RCDC against payment, as the case may be, not later than four (4) days after the date of transaction (the settlement date). All payments to RCDC shall be made in freely transferable, cleared and available funds, in such currency and to such accounts as RCDC may specify and shall be made without set off or counter claim and free clear of and without deduction for, or on accounts of, all present and future taxes, levies, imposts, stamp duties, deductions, charges and withholdings. Payments made by check shall have the effect of payment only when cleared by the drawee bank.
4. In the event my cash account is not liquidated within three (3) days from settlement date, or whenever in its sole discretion RCDC considers it necessary for its own protection, I hereby specifically authorize and empower RCDC without need of prior notice and demand, to sell so much of the securities in my accounts (s) (whether herein carried individually or jointly with others) and herein delivered as collateral, necessary for the payment of any of my obligations to RCDC. 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 said securities, RCDC may, at its sole discretion, buyback the sold securities and collect from me what ever mount RCDC may incur by reason of such buyback, including damages which it may suffer or may be required to pay. It is hereby agreed 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 the event of liquidation.

RCDC shall be entitled to a reasonable compensation for attorney's fees and cost of collection, in the event of any controversy of litigation arising out of this Agreement. It is agreed that the venue of action for any litigation shall be in the proper courts of the Municipality of Makati, any other venue of suit being waived.

5. In case of joint accounts, it shall be expressly indicating whether the same is an "and/or" or an "and" account with all parties to said account signing there under. Unless otherwise indicated, a joint account shall be deemed to be an "and/or" account. For "and" accounts, the consent of all the signatories must first be obtained prior to the execution of any instruction, orders or communication. For "and/or" accounts, the consent of any one of the signatories shall be sufficient to bind the other signatories. Securities now and hereafter held in their account shall be owned by them as their joint property with the frights of survivorship. RCDC shall be held free and harmless against any and all losses, damages, costs, penalties, fines and taxes which may be incurred as result of any action taken or not taken by RCDC (1) in reliance upon the instruction, orders, or communications believed by RCDC to be those of one of the signatories; (2) in reliance upon the attestation of the signatories that all of them are still living on the date of the transaction made by any or all of them. Liability arising herein shall be deemed to be solidary liability of the signatories of this account.
6. RCDC will provide me with quarterly statements (in such form as RCDC may determine) setting forth the list of securities held for my account/s, if any, and details of all transactions entered into since the date of the preceding statement (if any) and containing such further information as RCDC may consider relevant.
7. I understand that the stock market is rapidly changing market there is an inherent risk in incurring loss in securities transactions which shall be for my account. For this reason, I hereby hold RCDC free and harmless against any and all costs, losses, damages, fines, penalties, and taxes which may incur arising out or in connection with the exercise of any of its functions and powers herein authorized except arising from the willful default or gross negligence of RCDC or any of its directors, officers, and employees.
8. I hereby unconditionally and irrevocably authorizes and grant RCDC the absolute discretion to record or cause the recording, using any device RCDC may deem appropriate or advisable (including, without limitation, tape recorders and other recording instruments) any telephone communication or spoken word between the undersigned and any of the representatives of RCDC. In the course of, or in connection with, any transaction or dealing hereunder or which may relate or pertain hereto, and any such recording or any part thereof shall be admissible as evidence in any proceeding.
9. If any one or more of the provisions contain in this Agreement or any other document hereinafter executed in connection herewith shall be deemed valid, illegal or unenforceable in any respect, the validity, legality and enforceability of the remaining provisions shall not in anyway be affected or impaired.
10. All the information contained herein are complete, true and correct. RCDC is entitled to rely on such information until RCDC has received written notice from me of any change herein, I hereby authorize RCDC to conduct a credit inquiry or check on my financial situation and investment objectives.
11. All the above provisions are deemed incorporated by reference in all confirmation notices issued to me regarding execution of my orders. This Agreement shall continue to be in full force and effect until signed notice to revocation. It shall continue to be valid and binding as to transactions enters prior thereto.

My signature below affirms conformity of the foregoing conditions. Makati City, Metro Manila \_\_\_\_\_

\_\_\_\_\_  
PRINT NAME & SIGN

Please print or write legibly. Submit with the forms and a photocopy of two valid IDs with a visible picture and signature.

<b>CHECK</b>	<b>PRINT NAME</b>	<b>CITIZENSHIP</b>
MR. <input type="checkbox"/>		
MRS. <input type="checkbox"/>		
MISS <input type="checkbox"/>	<b>TIN NO.</b>	
<b>STOCK</b>	<b>SPECIMEN SIGNATURE CARD</b>	
Please	1.	
Sign		
Twice	2.	
<b>ADDRESS:</b>		
<b>TELEPHONE</b>		
<p>Important: Pursuant to the regulations of the Securities &amp; Exchange Commission. No certificate can be Issued to a buyer unless he signs and Indicates his citizenship on this card. With respect to street certificate. The citizenship of the beneficial owner and not of the broker should be indicated. Please return this card to Suite 806 Tower 1 Ayala Ave., Makati City.</p>		<b>SIGNATURE VERIFIED BY</b>
		REGINA CAPITAL DEVELOPMENT CORPORATION

<b>CHECK</b>	<b>PRINT NAME</b>	<b>CITIZENSHIP</b>
MR. <input type="checkbox"/>		
MRS. <input type="checkbox"/>		
MISS <input type="checkbox"/>	<b>TIN NO.</b>	
<b>STOCK</b>	<b>SPECIMEN SIGNATURE CARD</b>	
Please	1.	
Sign		
Twice	2.	
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