



DA MARKET SECURITIES, INC.
Unit 1105, PSE Tower, 5th Ave. Cor. 28th St.
Bonifacio Global City, Taguig City, Philippines, 1634
Tel. (+632) 8887-6407 / (+632) 8887-5457
Email address: admin@damarketsec.com

CUSTOMER ACCOUNT INFORMATION FORM (CAIF)

Account Type ☐ Individual ☐ Joint or ☐ Joint and
Credit Facility ☐ Cash ☐ Margin ☐ Discretionary

Customer Account No. _____
NTS Account Code _____

PERSONAL INFORMATION	PRIMARY ACCOUNT HOLDER	SECONDARY ACCOUNT HOLDER
Last Name		
First Name		
Middle Name		
Nationality		
Date of Birth		
Place of Birth		
Gender	☐ Male ☐ Female	☐ Male ☐ Female
Telephone/ Mobile No.		
Fax No.		
Email address		
Residential Address (No. & Street, Building, Town/District, City/Province, Postal/Zip Code, Country)		
Civil Status	☐ Single ☐ Married ☐ Separated ☐ Widowed	☐ Single ☐ Married ☐ Separated ☐ Widowed
Name of Spouse (if applicable)		

OTHER INFORMATION	PRIMARY ACCOUNT HOLDER	SECONDARY ACCOUNT HOLDER
Tax Identification No.		
SSS OR GSIS No.		
Employment Status	☐ Employed ☐ Self-employed ☐ Retired ☐ Unemployed ☐ Others _____	☐ Employed ☐ Self-employed ☐ Retired ☐ Unemployed ☐ Others _____
Occupation/Position Title		
Name of Employer/ Business		
Office Address		
Office Tel. No.		

DISCLOSURES	PRIMARY ACCOUNT HOLDER	SECONDARY ACCOUNT HOLDER
Are you an officer or director of a PSE listed Company?	☐ Yes ☐ No If yes, indicate Name of Company and Position	☐ Yes ☐ No If yes, indicate Name of Company and Position
Are you an employee or officer of a Broker/Dealer?	☐ Yes ☐ No If yes, indicate Name of Company and Position	☐ Yes ☐ No If yes, indicate Name of Company and Position
Other Brokers you have an account?	1. 2. 3.	1. 2. 3.

FINANCIAL & INVESTMENT PROFILE	PRIMARY ACCOUNT HOLDER	SECONDARY ACCOUNT HOLDER
Assets	☐ below 1 million ☐ 1 million to less than 10 million ☐ 10 million to less than 50 million ☐ 50 million and above	☐ below 1 million ☐ 1 million to less than 10 million ☐ 10 million to less than 50 million ☐ 50 million and above
Net Worth	☐ below 1 million ☐ 1 million to less than 10 million ☐ 10 million to less than 50 million ☐ 50 million and above	☐ below 1 million ☐ 1 million to less than 10 million ☐ 10 million to less than 50 million ☐ 50 million and above
Annual Income	☐ below 1 million ☐ 1 million to less than 10 million ☐ 10 million to less than 50 million ☐ 50 million and above	☐ below 1 million ☐ 1 million to less than 10 million ☐ 10 million to less than 50 million ☐ 50 million and above
Sources of Income	☐ Salaries ☐ Business ☐ Investments ☐ Retirement ☐ Others _____	☐ Salaries ☐ Business ☐ Investments ☐ Retirement ☐ Others _____
Investment Experience	☐ None ☐ Limited ☐ Good ☐ Extensive	☐ None ☐ Limited ☐ Good ☐ Extensive
Investment Objectives <i>List in order of priority. (1-4)</i>	_____ Growth _____ Long term investment _____ Capital preservation _____ Speculation	_____ Growth _____ Long term investment _____ Capital preservation _____ Speculation

CONFIRMATIONS AND COMMUNICATIONS

On January 09, 2014 Securities and Exchange Commission granted DA Market Securities, Inc. (DA Market) exemptive relief from SRC Rule 30.2-2 and SRC Rule 52.1-8. Hence, all confirmation invoices, statement of accounts and all other communications shall be sent via electronic mail to customer's email address.

CUSTOMER BANK ACCOUNT DETAILS

Bank Account Name	Bank Account Number
Bank Name	Bank Address

I/We declare that the above information provided by me/us is true and correct. I/We agree to abide by the company's terms and conditions governing the account and the relevant rules and regulations governing the respective services linked to my/our account which have been furnished to me/us.

PRIMARY ACCOUNT HOLDER	SECONDARY ACCOUNT HOLDER
Full Name:	Full Name:
Signature:	Signature:
Date Signed:	Date Signed:

HOW DID YOU LEARN ABOUT DA Market? (Choose all that apply)

☐ DA Market Website ☐ Social Media ☐ Google Search ☐ Seminar / Event ☐ Others _____

APPLICATION REQUIREMENTS

A. BASIC REQUIREMENTS:

- Minimum cash/check deposit to DA Market Securities, Inc. for Php 100,000.00.
- Photocopy of one (1) identity document (ID) issued by the Philippine Government (e.g. passport, driver's license, SSS/GSIS ID, Professional Regulation Commission (PRC) ID, and Comelec Voter's ID. (Please present original for verification) for each account; or two (2) secondary IDs (e.g. School ID with picture, Credit Card with Picture) for each account.
- Two (2) copies of Specimen Signature Cards; and
- Securities Trading Agreement duly signed.

B. ADDITIONAL REQUIREMENTS FOR THE FOLLOWING:

- Resident foreigners, include a photocopy of:
 - Alien certificate of registration (ACR) issued by the Bureau of Immigration; or
 - A Certification to engage in business or working permit issued by the Department of Labor & Employment (DOLE)
- Non-Resident Foreigners – include the following:
 - Proof of Income Certified by Employer; and
 - Identity Documents authenticated by Philippine Embassy or Consulate.

FOR DA MARKET SECURITIES, INC. USE ONLY.

Salesman/Referred by:	Processed by:	Date Opened:	Approved by:
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DA MARKET SECURITIES, INC.

Securities Trading Agreement

Dear Sirs:

This is to confirm our understanding that your company and its agent will act as my broker for my transactions in securities. I also confirm that all my order for purchase or sale of securities to be facilitated or executed by your company shall be subject to the rules, regulations, customs and usages of the Philippine Stock Exchange and its clearing houses, the rules, regulations and rulings of the Securities and Exchange Commission and the Central Bank, the laws of the Republic of the Philippines, and the following terms and conditions:

1. All the securities purchased by your company on my behalf and for my account(s) shall be registered in the name of your company until I have fully paid the purchase price. I shall pay the purchase price not later than two (2) business days from the purchase date even without written or oral demand.
2. All securities, including related contracts, held or handled by your company in any of my individual or joint accounts, shall be collateral for my liabilities to your company. Moreover, your company shall have the right to transfer funds or securities from any of my accounts to another when in your judgment such transfer may be necessary to comply with my obligations or to settle any of my liabilities. All such securities may, from time to time, and without notice, be pledged and repledged by your company, either separately or jointly with other securities from other accounts, for any amount due and demandable in your favor in any of my accounts, or for even a greater amount, without retaining in your possession or control the same amount of similar securities.
3. In case I fail to pay the purchase price in full within two (2) business days, or in the event of my death, or whenever in your sole discretion you consider it necessary for your protection, I authorize your company to sell any or all securities in my individual and joint accounts which are pledged as collateral for the payment of my liabilities to your company. For this purpose, I warrant that all such securities are free from any lien or encumbrance. In the event that there are liens or encumbrances preventing subsequent and effective negotiation of the said securities, your company may buy back the said securities and collect from me whatever amount it is entitled to as a result of such buy back. Furthermore, I authorize your company to buy securities to cover for any short selling in my account(s), to transfer funds or securities from any of my account(s) to another and to close outstanding obligations.
4. For the purpose of selling, buying or performing other acts pursuant to this agreement, I appoint DA Market Securities, Inc., its successors and assigns, as my attorney-in-fact with full power and authority: (a) to sell and buy securities, or act, for any of my individual or joint account(s); (b) to negotiate and agree upon the price of securities; (c) to execute bills of sale, receipts, deeds of assignment of rights, titles and interests to the purchaser(s) thereof, and other necessary instruments or documents; and (d) to deliver and accept delivery of stock certificates or instruments of assignment, or both. For this reason, I consent to and ratify all acts and things which DA Market Securities, Inc. may do or cause to be done on my behalf and in accordance with this agreement.
5. In case I sign this agreement with other person(s), our obligations under this agreement shall be joint and several.
6. I shall not hold your company liable for any loss or damage directly or indirectly caused by government prohibitions or restrictions, exchange or market rulings, fluctuations in market prices, suspension of trading, war, public uprisings, calamities, strikes and other circumstances beyond your control or which are considered fortuitous events.
7. This agreement shall cover all accounts which I may open or reopen with your company. The terms and conditions herein stated shall likewise apply and inure to the benefit of your affiliates, successors, whether by merger, consolidation or otherwise, and assigns, including their respective agents. This agreement shall likewise bind my heirs, executors, administrators, successors and assigns.
8. Your company shall have the right to amend or modify this agreement. Any amendment shall be effective on a date to be fixed by your company, which shall not be earlier than thirty (30) days from the date the notice of such amendment was delivered to my address appearing in your records.
9. If any provision or condition under this agreement is held invalid or unenforceable by any court, tribunal or administrative body, such invalidity or unenforceability shall not affect the other provisions and conditions of this agreement. Moreover, the remaining portion of this agreement shall be interpreted and implemented as if the invalid or unenforceable provisions or conditions are not included.
10. Any of my unpaid and overdue account shall bear interest at one-tenth of one (1/10 of 1%) per centum per day or the prevailing market interest rate, whichever is higher, from the date they become delinquent or overdue. In case any litigation arises from the enforcement of this agreement, your company shall be entitled to attorney's fees and collection expenses, which shall not be less than twenty-five (25%) per centum of the total amount involved. The exclusive venue for any legal action arising from this agreement shall be in the proper courts of Taguig City, Metro Manila.
11. All written communications, whether by mail, telegraph, facsimile, courier or otherwise, sent to my address which appears in your record shall constitute a valid and effective delivery, it being understood, that in the event of failure to notify your company in writing of any change in address, all communications directed and sent to my last known address appearing in your record shall also constitute a valid and effective delivery. All communications sent to my last known address shall be conclusive as to their correctness in the absence of any written objection received by your company within twenty-four (24) hours from the time the communications are delivered to said address.
12. This agreement shall be in force and effect until a written notice of revocation is received by your company. In case of such revocation, this agreement shall continue to be valid and binding as to the transactions entered prior thereto.

Very truly yours,

DATE

CONFORME:

DA MARKET SECURITIES, INC.

SIGNATURE OVER PRINTED NAME

SIGNATURE OVER PRINTED NAME

BY: _____

Referred by: _____ Salesperson: _____

DA MARKET SECURITIES, INC. Unit 1105, PSE Tower, 5th Ave. Cor. 28th St. Bonifacio Global City, Taguig City, Philippines, 1634		SPECIMEN SIGNATURE CARD	
Account Name (<i>Primary Account Holder</i>)		Account No.	
Account Name (<i>Secondary Account Holder</i>)			
Address: (<i>No. & Street, Building, Town/District, City/Province, Postal/Zip Code, Country</i>)			
Account Type ☐ Individual ☐ Joint or ☐ Joint and ☐ Others		☐ Cash ☐ Margin	
Telephone No. _____		TIN _____	
Signature Requirement ☐ Any One ☐ Any two ☐ All ☐ Others		Citizenship _____	
Primary Account Holder		Secondary Account Holder	
Printed Name _____ Please sign twice (2x) 1. _____ 2. _____		Printed Name _____ Please sign twice (2x) 1. _____ 2. _____	
IMPORTANT: Pursuant to the regulations of the Securities and Exchange Commission no certificate can be issued to a buyer unless he/she signs and indicates his citizenship on this card, with respect to street certificates, the citizenship of the beneficial owner and not of the broker should be indicated. Please fill up and return two (2) copies of this card to DA Market Securities Inc. (DA Market)		Signature verified by: DA MARKET SECURITIES, INC.	

DA MARKET SECURITIES, INC. Unit 1105, PSE Tower, 5th Ave. Cor. 28th St. Bonifacio Global City, Taguig City, Philippines, 1634		SPECIMEN SIGNATURE CARD	
Account Name (<i>Primary Account Holder</i>)		Account No.	
Account Name (<i>Secondary Account Holder</i>)			
Address: (<i>No. & Street, Building, Town/District, City/Province, Postal/Zip Code, Country</i>)			
Account Type ☐ Individual ☐ Joint or ☐ Joint and ☐ Others		☐ Cash ☐ Margin	
Telephone No. _____		TIN _____	
Signature Requirement ☐ Any One ☐ Any two ☐ All ☐ Others		Citizenship _____	
Primary Account Holder		Secondary Account Holder	
Printed Name _____ Please sign twice (2x) 3. _____ 4. _____		Printed Name _____ Please sign twice (2x) 3. _____ 4. _____	
IMPORTANT: Pursuant to the regulations of the Securities and Exchange Commission no certificate can be issued to a buyer unless he/she signs and indicates his citizenship on this card, with respect to street certificates, the citizenship of the beneficial owner and not of the broker should be indicated. Please fill up and return two (2) copies of this card to DA Market Securities Inc. (DA Market)		Signature verified by: DA MARKET SECURITIES, INC.	



DATA PRIVACY POLICY

1. Introduction

DA Market Securities, Inc. ("DA Market," "we," "us," or "our") is committed to protecting your privacy in accordance with the Data Privacy Act of 2012 (Republic Act No. 10173) and its implementing rules and regulations. This Privacy Policy explains how we collect, use, and protect your personal information.

Data Protection Officer: Fe M. Caling

Contact: compliance@damarketsec.com | (02) 8887-5457 (0917) 863 3119

2. Information We Collect

We collect personal information necessary to provide brokerage services, including:

Identity Information: Name, Address, Date of Birth, Gender, Civil Status, Government IDs, TIN

Financial Information: Income, Bank Details, Transaction History, Trading Records

Contact Information: Phone Numbers, Email Addresses

Technical Information: IP Addresses, Device Information, Website Usage Data

3. How We Use Your Information

We process your personal information to:

- Open and maintain your trading account
- Execute trades and process transactions
- Comply with regulatory requirements (SEC, CMIC, PSE, BSP, AMLC, BIR)
- Provide customer service and support
- Prevent fraud and ensure security
- Send important account notifications

4. Legal Basis for Processing

We process your information based on:

- Your consent for marketing communications
- Contractual necessity to provide brokerage services
- Legal obligations under Philippine securities and banking laws
- Legitimate interests for fraud prevention and service improvement

5. Information Sharing

We may share your information with:

- Regulatory authorities (SEC, PSE, CMIC, BSP, AMLC, BIR) as required by law
- Market infrastructure (PDTC, SCCP) for trade settlement
- Service providers (banks, IT vendors) under strict confidentiality agreements
- Legal authorities when required by court order or law

We do not sell your personal information to third parties.

6. Information Sharing

We protect your information through:

- Encryption of sensitive data
- Secure access controls and authentication
- Regular security assessments
- Employee confidentiality training
- Secure data storage and backup systems

7. Data Retention

We retain your information as required by law:

- Account records: 7 years after account closure (SEC requirement)
- AML/KYC documents: 5 years after relationship ends
- Transaction records: As required by applicable regulations

8. Your Rights

Under the Data Privacy Act, you have the right to:

- **Access** your personal information
- **Correct** inaccurate or incomplete data
- **Object** to certain processing activities
- **Request deletion** in specific circumstances
- **Data portability** in electronic format

To exercise these rights, contact our Data Protection Officer at compliance@damarketsec.com

9. Cross-Border Transfers

If we transfer your information outside the Philippines, we ensure adequate protection through contractual safeguards or your explicit consent.

10. Cookies

Our website uses cookies to improve functionality and analyze usage. You can control cookie settings through your browser.

11. Updates

We may update this policy periodically. Continued use of our services constitutes acceptance of any changes.

12. Contact Us

Data Protection Officer: Fe M. Caling

Address: Unit 1105, PSE Tower, 5th Ave. Cor. 28th St. BGC, Taguig City 1634

Email: compliance@damarketsec.com

Phone: (02) 8887-5457 / (0917) 863 3119

13. Complaints

For privacy complaints, contact us directly or file with the National Privacy Commission:

Website: complaints@privacy.gov.ph

Phone: (+632) 5322 1322 local 114 and 115

(+639) 07081 8055 – (Smart)

(+639) 0550 61478 – (Globe)

Name and Signature of Primary Account Holder

Name and Signature of Secondary Account Holder



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Email address: admin@damarketsec.com

INDIVIDUAL DISCLOSURE FORM

ALL DA MARKET ACCOUNT APPLICANTS must fill out this disclosure form, in compliance with the Foreign Account Tax Compliance Act (FATCA) enacted by the U.S. government. Kindly answer the following questionnaire and provide additional documents if applicable.

Account Type ☐ Individual ☐ Joint or ☐ Joint and Customer Account No. _____

	PRIMARY ACCOUNT HOLDER	SECONDARY ACCOUNT HOLDER
Last Name		
First Name		
Middle Name		
US Address (if any)		
	No. & Street	Building/Subdivision
	City	State & Zip Code

	PRIMARY ACCOUNT HOLDER	SECONDARY ACCOUNT HOLDER
1. Are you a US Citizen? (Includes dual citizens if one of the countries of citizenship is the U.S.)	☐ Yes ☐ No	☐ Yes ☐ No
2. Are you a Green card holder	☐ Yes ☐ No	☐ Yes ☐ No
3. Are you considered a US resident for tax purposes?*	☐ Yes ☐ No	☐ Yes ☐ No
4. US TIN No. (Required if you answered "Yes" to any of questions 1, 2, or 3)		
5. US Tel No. (Required if you answered "Yes" to any of questions 1, 2, or 3)		
6. Were you born in the US or any US territory?	☐ Yes ☐ No	☐ Yes ☐ No
7. Did you grant a power of attorney to a person with a US address to open this account?	☐ Yes ☐ No	☐ Yes ☐ No

*US Resident for Tax Purposes (Substantial Presence Test): 1) 31 days during current year and 2) 183 days during the 3 year period computed as follows: Days present in the US during the current calendar year + 1/3 of days present the year before + 1/6 of the days present 2 years before.

ADDITIONAL DOCUMENTARY REQUIREMENTS (PRE-REQUISITE TO ACCOUNT OPENING)

1. If you answered "YES" to any of Questions 1, 2, or 3: (a) IRS Form W-9; AND (b) If US citizen or green card holder: US identification documents (i.e. passport).
2. If you answered "YES" to any of Questions 6 or 7 OR have a US Address: (a) IRS Form W-8BEN; AND (b) Non-US government issued identification document; AND (c) in case of US place of birth: (1) Copy of Certificate of Loss of Nationality of the US OR (2) written explanation on renunciation of US citizenship or why client did not obtain US citizenship at birth.

AGREEMENT

1. **FATCA REGISTRATION.** The Client is aware that DA Market Securities, Inc. (DA Market) registered with the United States Internal Revenue Service ("IRS") and consents to DA Market's compliance with the requirements under the FATCA, as the same may be amended from time to time, and its implementing rules and regulations.
2. **FATCA STATUS DECLARATION.** The Client represents that the disclosures above are true and correct. The Client understands that in case of joint accounts, if one of the account holders is a U.S. Person, the whole account shall be considered as an account held by a U.S. Person.
3. **CHANGE IN CIRCUMSTANCES.** The Client undertakes to inform DA Market of any change in the Client's FATCA status and furnish DA Market all necessary documentation within thirty (30) days from the change without need for demand from DA Market.
In case the Client, *either at the time of account opening or as a result of a change in circumstance, acquires the status as a US Person* and fails to submit all required documentation or information to DA Market within the required time periods, DA Market has the right to withhold payments in accordance with FATCA on the Client's online securities trading account and/or close the account. In case of such closure, DA Market shall be entitled to liquidate the stock positions in the Client's account at prevailing market prices and shall return the proceeds thereof together with all cash positions to the Client, less any amounts which DA Market may be required to withhold under existing local and U.S. legislation and amounts which the Client may owe to DA Market.
4. **CONSENT TO REPORTING AND WITHHOLDING.** The Client understands that as part of DA Market's reporting obligations under the FATCA, DA Market may transmit the Client's personal information to the IRS and consents to the disclosure of such information. Said disclosures may include but are not necessarily limited to: (i) the personal information of the account holders; (ii) any information relating to the account; and (iii) any information relating to any other accounts of the accountholders.
5. **RELiance.** The Client understands the DA Market will rely and act on the basis of the Client's disclosures to DA Market. The above notwithstanding, DA Market retains the right to verify the same from whatever sources it may consider appropriate. Any misrepresentation regarding the Client's status shall be a ground for termination of the Client's account.

(Printed Name & Signature (Primary Account Holder))

(Printed Name & Signature (Secondary Account Holder))