



Unit 1105, PSE Tower, 5<sup>th</sup> Ave. Cor. 28<sup>th</sup> St.  
Bonifacio Global City, Taguig City, Philippines, 1634  
Tel. (02) 8887-6407 / 8887-5457  
Email address: [admin@damarketsec.com](mailto: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                                                                                                           | <input type="checkbox"/> Male <input type="checkbox"/> Female                                                                           | <input type="checkbox"/> Male <input type="checkbox"/> Female                                                                           |
| Telephone/ Mobile No.                                                                                            |                                                                                                                                         |                                                                                                                                         |
| Fax No.                                                                                                          |                                                                                                                                         |                                                                                                                                         |
| Email address                                                                                                    |                                                                                                                                         |                                                                                                                                         |
| Residential Address<br>(No. & Street, Building,<br>Town/District,<br>City/Province, Postal/Zip Code,<br>Country) |                                                                                                                                         |                                                                                                                                         |
| Civil Status                                                                                                     | <input type="checkbox"/> Single <input type="checkbox"/> Married<br><input type="checkbox"/> Separated <input type="checkbox"/> Widowed | <input type="checkbox"/> Single <input type="checkbox"/> Married<br><input type="checkbox"/> Separated <input type="checkbox"/> Widowed |
| Name of Spouse (if applicable)                                                                                   |                                                                                                                                         |                                                                                                                                         |

| OTHER INFORMATION             | PRIMARY ACCOUNT HOLDER                                                                                                                                                                    | SECONDARY ACCOUNT HOLDER                                                                                                                                                                  |
|-------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Tax Identification No.        |                                                                                                                                                                                           |                                                                                                                                                                                           |
| SSS OR GSIS No.               |                                                                                                                                                                                           |                                                                                                                                                                                           |
| Employment Status             | <input type="checkbox"/> Employed <input type="checkbox"/> Self-employed<br><input type="checkbox"/> Retired <input type="checkbox"/> Unemployed<br><input type="checkbox"/> Others _____ | <input type="checkbox"/> Employed <input type="checkbox"/> Self-employed<br><input type="checkbox"/> Retired <input type="checkbox"/> Unemployed<br><input type="checkbox"/> Others _____ |
| Occupation/Position Title     |                                                                                                                                                                                           |                                                                                                                                                                                           |
| Name of Employer/<br>Business |                                                                                                                                                                                           |                                                                                                                                                                                           |
| Office Address                |                                                                                                                                                                                           |                                                                                                                                                                                           |
| Office Tel. No.               |                                                                                                                                                                                           |                                                                                                                                                                                           |

| DISCLOSURES                                             | PRIMARY ACCOUNT HOLDER                                                                                    | SECONDARY ACCOUNT HOLDER                                                                                  |
|---------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|
| Are you an officer or director of a PSE listed Company? | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If yes, indicate Name of Company and Position | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If yes, indicate Name of Company and Position |
| Are you an employee or officer of a Broker/Dealer?      | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If yes, indicate Name of Company and Position | <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If yes, indicate Name of Company and Position |
| Other Brokers you have an account?                      | 1.<br>2.<br>3.                                                                                            | 1.<br>2.<br>3.                                                                                            |

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

|                                                                                                                                                                                                        |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> DA Market Website <input type="checkbox"/> Social Media <input type="checkbox"/> Google Search <input type="checkbox"/> Seminar / Event <input type="checkbox"/> Others _____ |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## APPLICATION REQUIREMENTS

### A. BASIC REQUIREMENTS:

1. Minimum cash/check deposit to DA Market Securities, Inc. for Php 100,000.00.
2. 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, Postal ID, Office ID) for each account.
3. Two (2) copies of Specimen Signature Cards; and
4. Online Securities Trading Agreement duly signed.

### B. ADDITIONAL REQUIREMENTS FOR THE FOLLOWING:

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

### FOR DA MARKET SECURITIES, INC. USE ONLY.

|                       |               |              |              |
|-----------------------|---------------|--------------|--------------|
| Salesman/Referred by: | Processed by: | Date Opened: | Approved by: |
|-----------------------|---------------|--------------|--------------|

# ONLINE SECURITIES TRADING AGREEMENT

This formalizes and confirms my/our application to open an Online Securities Trading account ("OSTA") with DA Market Securities Inc. ("DA Market") in order to buy and/or sell securities in the Philippine Stock Exchange ("PSE") via the internet and the electronic facility services of DA Market subject to the prevailing rules of the PSE, the regulations of the Securities and Exchange Commission ("SEC") and other government agencies, and I/ we hereby agree to be bound by the following terms and conditions:

1. **ONLINE BROKERAGE SERVICE**

DA Market, a SEC licensed broker in securities providing customers with online brokerage services, shall act as my/our broker for the purchase and/or sale of securities listed in the PSE.

2. **DA MARKET AS ATTORNEY-IN-FACT**

For the purpose of selling, buying, or performing other acts stated herein, I/We hereby irrevocably appoint and constitute DA Market, its officers, employees, or successors-in-interest and/or assigns, as my/our true and lawful attorney-in-fact with the full power and authority to execute my/our buy or sell orders, lend or borrow securities, execute bills of sale, receipts, assignments of all my/our rights, title and interests to the purchase/ s thereof, and to deliver or accept delivery of the corresponding stock certificates, and to do all other acts which DA Market may do or cause to be done in accordance with the powers herein conferred, all of which are hereby deemed ratified by me/us in all respects for this purpose. DA Market shall be entitled to rely on any instruments, notices and communications which DA Market believes to have originated from me/us and I/ we shall be bound thereby.

3. **ONLINE SECURITIES TRADING ACCOUNT (OSTA)**

We shall open and maintain an online securities trading account ('OSTA') with DA Market which will enable me/us to personally execute my/our buying and selling of securities listed in the PSE subject to the terms and conditions and limitations provided in this Agreement. I/We agree to place a minimum deposit of Php100,000.00

4. **TRADING FEES AND OTHER CHARGES**

In consideration of the foregoing, I/We hereby agree to pay DA Market the following:

|                                           | DA MARKET ONLINE                                            | BROKER-ASSISTED                                              |
|-------------------------------------------|-------------------------------------------------------------|--------------------------------------------------------------|
| *Commission                               | 0.25% of Gross Value Traded or Php20.00 whichever is higher | 0.50% of Gross Value Traded or Php200.00 whichever is higher |
| PSE Transaction Fee                       | 0.005% of Gross Value Traded                                | 0.005% of Gross Value Traded                                 |
| SCCP Fee                                  | 0.01% of Gross Value Traded                                 | 0.01% of Gross Value Traded                                  |
| VAT on Commission                         | 12% of Commission Value                                     | 12% of Commission Value                                      |
| Sales Tax (for selling transactions only) | 0.1% of Gross Value Traded                                  | 0.1% of Gross Value Traded                                   |

*\*Commission at the rate of ¼ of 1% (0.25%) of the amount purchased or sold via internet. For buy or sell orders executed through a broker over the phone, the commission rate shall be 1/2 of 1%. (0.050%) In no case, however, shall the commission be less than the amount of Php20.00 for DA Market Online or Php200.00 for Broker Assisted per executed order. I/we acknowledge that the commission rate is set solely by DA Market and I/ We agree that DA Market may change the commission structure at any reasonable notice given.*

*These fees are applied to custody and system maintenance costs incurred. Management reserves to transfer an online account into a broker-assisted account with a minimum commission fee of PHP 200.00 per transaction and a monthly maintenance fee of Php350.00 for dormant account in case there are no transaction for at least 2 years.*

Other Fees:

1. Upliftment Fee (Request for Stock Certificate): Transfer Office Bank Php150.00 per certificate. Transfer Office Non-bank Php168.00 per certificate.
2. Lodgment Fee (Depositing a Stock Certificate): Transfer Office Bank Php100.00 + Php20.00 per certificate. Transfer Office Non-bank Php112 + Php22.40 per certificate.
3. EQ Trade Fee (Stock transfer from broker to broker) Php75.00 per stock

5. **PAYMENTS AND WITHDRAWALS**

- 5.1 All payments to my/our OSTA shall be made by cash, checks, bank drafts or telegraphic transfers, which shall either be delivered to DA Market office or deposited and credited to a designated bank account of DA Market as the case maybe. My/Our OSTA shall not be credited with any deposited funds until DA Market receives cleared funds in the amount stated in the deposit form, less bank charges, if any.
- 5.2 Any request for cash or securities withdrawals from my/our OSTA shall be delivered personally or sent to DA Market office by messenger or by telefax or electronic mail. A request sent by telefax or electronic mail to deposit any cash credit on my/our OSTA with a particular bank of my/our choice indicating therein the name of the bank and the account number shall be subject to DA Market's approval, provided, that I/We shall assume all the risk or loss that may result thereto. Any unused cash balance longer than 2 business days in my/our portfolio can be withdrawn at any time and proceeds from sales of securities are eligible to be withdrawn 2 business days (T+2) after the day of sale, with one-day notice for the check preparation. Cut-off time for withdrawal request is 11 AM to be paid out on the following business day. Requests received after cut-off time shall be processed the next business day.

6. **PURCHASE AND SALE OF SECURITIES**

- 6.1 To process orders to purchase securities, my/our OSTA must have available funds equal to or greater than the purchase price of the securities prior to the transaction date. Any order inadvertently accepted and/or executed without sufficient funds in the OSTA shall be subject to cancellation or liquidation at DA Market discretion. I/We shall be responsible for all my/our orders, including those which exceed the available funds in the OSTA.
- 6.2 Upon execution of the purchase, my/our OSTA shall be debited the amount equivalent to the sum of the purchases price and the applicable commission, plus all other incidental expenses.
- 6.3 I/We hereby agree that all securities which I/we purchased shall be lodged by DA Market with the Philippine Depository and Trust Corporation and, upon my/our written instructions for upliftment, securities I/we purchased shall be registered in my/our name/s.

- 6.4 I understand that DA Market generally requires that prior to the acceptance of a sell order, my/our OSTA should have enough shares before a sell order can be posted.
- 6.5 I understand that there is no early settlement for sales of securities. Proceeds from a sell transaction of PSE listed shares are cleared two (2) trading days after the transaction date. In the same day of a sell transaction, I/we may use the proceeds to place a purchase order.
7. **NO SHORT SALE OF SECURITIES**  
Short sale of securities is not allowed and I/we hereby agree not to place any short sale orders. Any short sale inadvertently accepted and/or executed by the online system without the corresponding stock position in my/ our OSTA shall be subject to cancellation or liquidation at DA Market's discretion. I/we shall be responsible for all my/our orders, including those which exceed the available stock positions in the OSTA.
8. **ONLINE TRANSACTIONS**  
8.1 All orders for the purchase or sale of stocks using DA Market online services and my/our OSTA shall be deemed authorized by me/us and executed with the understanding that an actual purchase or sale is intended and that it is my/our obligation prior to any purchase or sale to verify from the OSTA the stock position and the available funds.  
8.2 I/we hereby agree that DA Market has no obligation to review my/our orders and not responsible for determining the suitability of my/our orders and investment decisions. I/we must always monitor my/our account to determine whether any order I/we place was executed or rejected by DA Market online system.
9. **WARRANTIES**  
9.1 I/we represent and warrant that: (i) I/we shall use DA Market's service only in accordance with the terms and conditions of this Agreement; (ii) in case of a joint account (or corporate account), only the authorized person/s named on the account shall be the only authorized user of the service under this Agreement; and, (iii) I/we shall be solely responsible under any and all circumstances for the use, protection, and confidentiality of my/our User ID and trading password as well as for all transactions and information changes entered into my/our account using the password.  
9.2 I/we agree to enter my/our online orders using my/our own internet software and agree that all orders entered via the internet are my/our sole responsibility and that such orders executed through DA Market are unsolicited. I/we agree to protect my/our User ID and trading password and maintain the security of whatever system I/we use to connect to the internet. I/we acknowledge that DA Market has done everything reasonable to provide secure transactions over the internet and shall not be responsible for any security failure of the internet.  
9.3 I/we acknowledge that DA Market offers various ways of accessing my/our OSTA, including telephone and online services. I/we undertake to exert reasonable efforts in using these alternate methods to communicate with DA Market in the event that I/we experience problems in communicating with DA Market.
10. **ASSUMPTION OF RISK**  
10.1 I/we agree to fully accept the risk for all of the online orders I/we enter and the trading decisions attendant thereto. I/we acknowledge that entering an order online with DA Market does not guarantee execution of the order, and agree therefore that DA Market shall not be responsible for any order that is not executed.  
10.2 I/we shall make my/our investment judgments and decisions without reliance on DA Market and shall assume full and exclusive responsibility for all transactions in or for my/our OSTA. I/we agree that DA Market shall have no liability in connection with any of my/our transaction in and for my/our OSTA and investment decisions.
11. **NO INVESTMENT ADVICE**  
I/we hereby acknowledge that DA Market will not provide me/us with legal, tax or accounting advice or advice regarding the suitability or profitability of a security or investment. I/we likewise acknowledge that DA Market employees are not authorized to give any such advice and that I/we will not solicit or rely upon any such advice from DA Market or any of its employees.
12. **LIMITATION OF LIABILITY**  
12.1 I/we hereby acknowledge that DA Market, its affiliates, directors, officers, employees, and agents shall not be liable for losses resulting from a cause over which DA Market or its affiliates or partners do not have direct control including, but not limited to, the failure of electronic or mechanical equipment or communication lines, telephone or other interconnection problems including the inability to connect with my/our internet service provider. I/we agree that DA Market shall not be responsible for any problems, technical or otherwise, that might prevent me/us from entering orders or prevent DA Market from executing orders.  
12.2 DA Market, its affiliates, directors, officers, employees, and agents shall not be responsible to me/us for any loss, damages, or litigation costs resulting from any error of fact or judgment, or from action taken or inaction or omission or default by DA Market, its affiliates, directors, officers, employees, and agents, or from any consequences whatsoever, save except where such loss, damage or cost is suffered as a direct result of its gross negligence or willful misconduct.  
12.3 I/we agree that I/we shall not hold DA Market, its affiliates, directors, officers, employees, and agents liable whatsoever for losses or damages resulting from any failure of electronic or mechanical equipment, software or systems malfunction, errors or delays and any and all technical problems that may arise in the course of providing the online brokerage services. Furthermore, I/we hereby agree that DA Market may discontinue the online services provided herein without prior notice to me/us.
13. **DISCLOSURES TO ISSUER, PSE, AND SEC**  
I/we and DA Market hereby undertake to strictly comply in a timely manner with all their respective disclosure obligations, whether in the form of sworn statements, notices or otherwise, as required under relevant laws, including, without limitation, Section 18 and 19 of the Securities Regulation Code (SRC) or amendments thereto, and its implementing Rules and Regulations.
14. **DELIVERY OF CERTIFICATES**  
Without abrogating any of DA Market's rights under any other provision of this Agreement and subject to any indebtedness I/we may have with DA Market, DA Market shall, upon appropriate demand, deliver to me/us the fully paid certificates of stock unless such delivery is prevented by circumstances beyond the control of DA Market. I agree that processing time shall start from DA Market's receipt of complete requirements. The transfer office may ask for personal appearance or other requirements which may increase the processing time. I/we shall comply with them the soonest possible time. I/we shall submit a request letter and payment of fees for transferring stocks from one broker to another (EQ Trade), the processing time may take 1-2 business days and shall start from DA Market's approval of the letter.
15. **CONFIRMATIONS AND ACCOUNT STATEMENTS**  
Accordingly, DA Market shall furnish me/us with invoices or confirmations of all executed purchase and sale transactions on the day these are made by means of electronic mail sent to the email address appearing in DA Market's records. These shall be binding upon me/us if no written objection is made no later than 12 noon of the next business day. I/we acknowledge that DA Market has the right to determine the validity of my/our objection to any such confirmation of transaction or account statement.

16. STOCK QUOTES AND RESEARCH INFORMATION

I/We acknowledge that: (i) stock quotes, news and research information which include technical charts and financial data on listed securities displayed by DA Market are provided for informational purposes and for personal use only, and (ii) that these data are obtained from sources believed to be reliable and that DA Market does not guarantee the accuracy of these quotes and information. I/We agree that DA Market shall not be responsible for any loss or damage of whatever nature in connection with any trade made in reliance upon such quotes or information.

17. SATISFACTION OF INDEBTEDNESS

I/We agree to satisfy, upon demand, any indebtedness, and to pay any debit balance remaining when my/our OSTA is closed, either partially or totally.

18. LIENS

DA Market shall have a continuing security interest in all securities and other property held by or through DA Market or its affiliates, as security for all my/our liabilities and performance of all my/our obligation to DA Market. DA Market may apply or transfer securities and other property interchangeably between accounts in which I/we may have an interest, at any time and with notice given. In the event of a breach or default under this Agreement, DA Market shall have all rights and remedies available to a secured creditor under any applicable law, in addition to its rights and remedies under this Agreement.

19. DISPUTES

Any dispute arising from or in connection with this Agreement or its proper interpretation shall first be resolved amicably and in good faith by the parties. Should the parties fail to resolve any such dispute within two (2) months from the date of written notice of either party, the parties agree that the exclusive venue for any suit arising from this Agreement shall be the proper courts of Taguig City, Philippines.

20. SUCCESSORS

I/We hereby agree that this Agreement and all the terms thereof shall be binding upon my/our heirs, executors, administrators, personal representatives and assignees. This Agreement shall inure to the benefit of DA Market present organization and any successor organization, irrespective of any change or changes at any time in the personnel thereof, for any cause whatsoever.

21. APPLICABLE RULES AND REGULATIONS

- 21.1. All transactions in my/our OSTA, as executed by DA Market or its agents, including subsidiaries and affiliates, shall be subject to the constitution, rules, regulations, customs and usages of the PSE and its clearing house, if any.
- 21.2. My/Our transactions shall likewise be subject to the provisions of all applicable laws, including the SRC or any amendments thereto, and all pertinent rules and regulations imposed and administered by the SEC and the PSE, among others.

22. ENTIRE AGREEMENT

This Agreement contains the entire understanding and agreement between me/us and DA Market concerning the subject matter of this Agreement. I/We may not assign the rights and obligations hereunder without first obtaining the prior written consent of DA Market.

23. WAIVER

Except as specifically permitted in this Agreement, no provision of this Agreement can be, nor be deemed to be, waived, altered, modified or amended unless such is agreed to in writing and signed by both parties.

24. AMENDMENT

I/We agree that DA Market may modify the terms of this Agreement at any time upon notice given to me/us. My/Our continued use of DA Market services following receipt of notice will constitute my/our acceptance of the modification. Should I/we not accept any modification, I/we must notify DA Market in writing and DA Market may then terminate my/our OSTA. I/We, however, shall remain liable for all obligations and liabilities arising from the account up to and until the time of the termination.

25. SEVERABILITY

If any provision of this Agreement is held to be invalid, void or unenforceable by reason of any law, rule, administrative order or judicial decision, that determination shall not affect the validity of the remaining provisions of this Agreement.

26. CONDITIONS PRECEDENTS, EFFECTIVITY

I/We acknowledge that this Agreement shall be effective upon the occurrence of all of the following conditions:

- a) Submission of all the forms and other documents requested by DA Market;
- b) Deposit of the Minimum Amount in the OSTA;
- c) And Approval by DA Market of the application.

27. GOVERNING LAW

All matters pertaining to the interpretation and implementation of this Agreement and all disputes arising there from, shall be exclusively governed by and construed in accordance with Philippine law.

28. CAPACITY TO CONTRACT

By signing below, I/we hereby represent and warrant that I/we have the full legal capacity and authority to enter into and be bound by this Agreement.

29. COST OF COLLECTION

I/We authorize DA Market to charge my/our OSTA for any reasonable direct costs of collection, including but not limited to attorney's fees, court costs, interest and other related expenses.

30. FORTUITOUS EVENTS

DA Market shall not be liable for losses caused directly or indirectly by government restrictions, exchange or market rulings, suspension or trading, war, strike or other conditions beyond its control such as fortuitous events.

31. NOTICES

- 30.1 All notices to DA Market shall be sent to DA Market Customer Service:  
Unit 1105, PSE Tower, 5th Ave., Cor. 28<sup>th</sup> St. Bonifacio Global City, Taguig City, Philippines, 1634
- 30.2 All notices to me/us shall be sent to:

30.3. Notice or other communications including maintenance calls delivered or mailed to the address given above shall, until DA Market has received notice in writing of a different address, be deemed to have been personally delivered to me/us whether actually received or not.

IN WITNESS WHEREOF, I/we have hereunto set my/our hand this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_ in Taguig City,  
Philippines

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Primary Applicant's Full Name and Signature

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Secondary Applicant's Full Name and Signature

ACKNOWLEDGE AND ACCEPTED BY:  
DA MARKET SECURITIES, INC.

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Authorize Representative Name and Signature

|                                                                                                                                                                                                                                                                                                                                                                                                                 |  |                                                                          |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------------------------------------------------------|--|
| <b>DA MARKET SECURITIES, INC.</b><br><b>Unit 1105, PSE Tower,</b><br><b>5<sup>th</sup> Ave. Cor. 28<sup>th</sup> St.</b><br><b>Bonifacio Global City,</b><br><b>Taguig City, Philippines, 1634</b>                                                                                                                                                                                                              |  | <b>SPECIMEN<br/>SIGNATURE<br/>CARD</b>                                   |  |
| Account Name (Primary Account Holder)                                                                                                                                                                                                                                                                                                                                                                           |  | Account No.                                                              |  |
| Account Name (Secondary Account Holder)                                                                                                                                                                                                                                                                                                                                                                         |  |                                                                          |  |
| Address: (No. & Street, Building, Town/District, City/Province, Postal/Zip Code, Country)                                                                                                                                                                                                                                                                                                                       |  |                                                                          |  |
| Account Type<br><input type="checkbox"/> Individual <input type="checkbox"/> Joint or<br><input type="checkbox"/> Joint and <input type="checkbox"/> Others                                                                                                                                                                                                                                                     |  | <input type="checkbox"/> Cash <input type="checkbox"/> Margin            |  |
| Telephone No.                                                                                                                                                                                                                                                                                                                                                                                                   |  | TIN                                                                      |  |
| Citizenship                                                                                                                                                                                                                                                                                                                                                                                                     |  | Signature Requirement                                                    |  |
| <input type="checkbox"/> Any One <input type="checkbox"/> Any two <input type="checkbox"/> All <input type="checkbox"/> Others                                                                                                                                                                                                                                                                                  |  |                                                                          |  |
| Primary Account Holder                                                                                                                                                                                                                                                                                                                                                                                          |  | Secondary Account Holder                                                 |  |
| Printed Name _____<br><br>Please sign twice (2x)<br>1. _____<br>2. _____                                                                                                                                                                                                                                                                                                                                        |  | Printed Name _____<br><br>Please sign twice (2x)<br>1. _____<br>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:<br><br>DA MARKET SECURITIES, INC.                 |  |

  

|                                                                                                                                                                                                                                                                                                                                                                                                                 |  |                                                                          |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--------------------------------------------------------------------------|--|
| <b>DA MARKET SECURITIES, INC.</b><br><b>Unit 1105, PSE Tower,</b><br><b>5<sup>th</sup> Ave. Cor. 28<sup>th</sup> St.</b><br><b>Bonifacio Global City,</b><br><b>Taguig City, Philippines, 1634</b>                                                                                                                                                                                                              |  | <b>SPECIMEN<br/>SIGNATURE<br/>CARD</b>                                   |  |
| Account Name (Primary Account Holder)                                                                                                                                                                                                                                                                                                                                                                           |  | Account No.                                                              |  |
| Account Name (Secondary Account Holder)                                                                                                                                                                                                                                                                                                                                                                         |  |                                                                          |  |
| Address: (No. & Street, Building, Town/District, City/Province, Postal/Zip Code, Country)                                                                                                                                                                                                                                                                                                                       |  |                                                                          |  |
| Account Type<br><input type="checkbox"/> Individual <input type="checkbox"/> Joint or<br><input type="checkbox"/> Joint and <input type="checkbox"/> Others                                                                                                                                                                                                                                                     |  | <input type="checkbox"/> Cash <input type="checkbox"/> Margin            |  |
| Telephone No.                                                                                                                                                                                                                                                                                                                                                                                                   |  | TIN                                                                      |  |
| Citizenship                                                                                                                                                                                                                                                                                                                                                                                                     |  | Signature Requirement                                                    |  |
| <input type="checkbox"/> Any One <input type="checkbox"/> Any two <input type="checkbox"/> All <input type="checkbox"/> Others                                                                                                                                                                                                                                                                                  |  |                                                                          |  |
| Primary Account Holder                                                                                                                                                                                                                                                                                                                                                                                          |  | Secondary Account Holder                                                 |  |
| Printed Name _____<br><br>Please sign twice (2x)<br>3. _____<br>4. _____                                                                                                                                                                                                                                                                                                                                        |  | Printed Name _____<br><br>Please sign twice (2x)<br>3. _____<br>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:<br><br>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](mailto: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](mailto: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](mailto: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](mailto:complaints@privacy.gov.ph)

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

(+639) 07081 8055 – (Smart)

(+639) 0550 61478 – (Globe)

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Name and Signature of Primary Account Holder

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Name and Signature of Secondary Account Holder



**DA MARKET SECURITIES, INC.**  
Unit 1105, PSE Tower, 5<sup>th</sup> Ave. Cor 28<sup>th</sup> St.  
Bonifacio Global City, Taguig City, Philippines, 1634  
Tel. (02) 8887-6407 / 8887-5457  
Email address: [admin@damarketsec.com](mailto: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 | No. & Street      Building/Subdivision |
|                     |                                        |                                        |
|                     | City      State & Zip Code             | 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.) | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2. Are you a Green card holder                                                                       | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3. Are you considered a US resident for tax purposes?*                                               | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> 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?                                                      | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7. Did you grant a power of attorney to a person with a US address to open this account?             | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> 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)

- 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).
- 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

- 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.
- 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.
- 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.
- 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.
- 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)