



Campos Lanuza & Co. Inc.

A member of the Philippine Stock Exchange
 Unit 2002B East Tower
 Philippine Stock Exchange Center
 Exchange Road, Ortigas Center 1605
 Pasig City, PHILIPPINES

CUSTOMER ACCOUNT INFORMATION FORM

SECTION 1: ACCOUNT INFORMATION

Name			
	Last Name	First Name	Middle Name

Residence					
	Unit No.	Street	Village/Subdivision	Barangay	City

Birthdate				Place of Birth	Citizenship/ Nationality	
	Month	Day	Year			

Residence Contact Details					
	Telephone (Residence)		Facsimile		Mobile/Cell Phone No.
	Email Address				

Civil Status (Please check one)

Single
 Married
 Widowed
 Separated

If Married/Separated

Name of Spouse			
	Last Name	First Name	Middle Name

Residence					
	Unit No.	Street	Village/Subdivision	Barangay	City

Occupation of Account Holder			
		TIN	
		SSS No.	
<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Others _____			

Company Name	
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Company Address					
	Unit No.	Floor	Building/Village/Subdivision	Street/Road	ZIP Code

Nature of Business/Industry	
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Office Contact Details		
	Telephone (Office)	Facsimile



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CUSTOMER ACCOUNT INFORMATION FORM

SECTION 2: FINANCIAL AND INVESTMENT PROFILE

Source of Income (Please check)

Salary
 Investments
 Business
 Pension
 Others _____

Annual Income

< P250,000
 > P250,000 - <P500,000
 > P500,000 - <P750,000
 > P750,000 - <P1,000,000
 > P1,000,000

Total Net Worth (Assets-Liabilities)

< P250,000
 > P250,000 - <P500,000 > P500,000 - <P1,000,000
 > P1,000,000 - <P5,000,000 > P5,000,000 - <P10,000,000
 > P10,000,000

Estimated capital dedicated for securities investments

< P250,000
 > P250,000 - <P500,000 > P500,000 - <P1,000,000
 > P1,000,000 - <P5,000,000 > P5,000,000 - <P10,000,000
 > P10,000,000

Investment Horizon/Holding Period

One - Day 12-Months
 One- Week Over 12-Months
 One- Month
 Three-Months
 Six-Months

Liquid Capital (Current assets-current liabilities)

< P250,000
 > P250,000 - <P500,000 > P500,000 - <P1,000,000
 > P1,000,000 - <P5,000,000 > P5,000,000 - <P10,000,000
 > P10,000,000

Current investments

Insurance Time-deposits
 Pre-need plan Foreign -currency deposits
 Government Securities Cash-Savings Deposits
 Mutual Funds Corporate Bonds/Notes
 Stocks (Listed/Unlisted) Real Estate
 Commodities/Derivatives Common/Private Trust Funds

Investment Objectives

<input type="checkbox"/> Yes <input type="checkbox"/> No	Capital Preservation	Primary goal is to prevent the loss of an investment's total value; growth must be at least equivalent to inflation.
<input type="checkbox"/> Yes <input type="checkbox"/> No	Long-Term Investment	Investments for a period of at least five years in order to finance long-term goals (e.g. property, education)
<input type="checkbox"/> Yes <input type="checkbox"/> No	Growth	Investments in growth stocks - companies with earnings growth expected to be above-industry/market average - maximization of capital gains
<input type="checkbox"/> Yes <input type="checkbox"/> No	Value	Investment in value stocks - companies with sound financial statements that the market may have undervalued (cheaper than its worth)
<input type="checkbox"/> Yes <input type="checkbox"/> No	Speculation	Trading to profit from stock price fluctuations

Note: In compliance to the Anti-Money Laundering Act (AMLA), the identity of investors, their source/s of income, and the nature of their transactions are required to be disclosed.

Investment Experience and Knowledge

<input type="checkbox"/> None	"This is my first time to invest in any financial security (e.g. stocks) and have <u>no knowledge</u> of the risks and returns"
<input type="checkbox"/> Limited	"I have invested before in some financial securities but <u>do not completely understand</u> the risks and returns involved"
<input type="checkbox"/> Good	"I have invested before in financial securities and understand the risks and returns involved but <u>still need some guidance</u> "
<input type="checkbox"/> Excellent	"I have invested before in financial securities and understand the risks and returns involved and <u>do not need guidance</u> "

Risk Tolerance

Suggested Descriptions/Definitions

<input type="checkbox"/> High/Aggressive	"I fully understand the volatility of the investments I make and accept high levels of risk to reach my goals of higher returns" Comfortable with a greater than 15% decline in value of investment over the investment period
<input type="checkbox"/> Medium/Moderate	"I am aware and comfortable with the volatility of the investments I make but prefer those with moderate price fluctuations" Comfortable with a greater than 5% but less than 15% decline in value of investment over the investment period
<input type="checkbox"/> Low/Conservative	"I am aware of the volatility of the investments I make but prefer to avoid those with wide price fluctuations/high volatility" "Zero to less than 5% decline in value of investment over the investment period"

Liquidity Requirements

<input type="checkbox"/> High/Aggressive	"Requires high level of liquidity to support large near term liabilities i.e. interest payments, rent, insurance, etc."
<input type="checkbox"/> Medium/Moderate	"Requires moderate level of liquidity to support fair amount of near term liabilities"
<input type="checkbox"/> Low/Conservative	"Requires minimal amounts of liquidity given small near-term or regular maturing liabilities"



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CUSTOMER ACCOUNT INFORMATION FORM

SECTION 3: DISCLOSURES

Directorships and Affiliations

<input type="checkbox"/> Yes <input type="checkbox"/> No	Are you a corporate officer, director, or a shareholder with more than a 10% stake in any company that is publicly listed?
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(If the answer is yes, please specify name of company below)

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<input type="checkbox"/> Yes <input type="checkbox"/> No	Are you a corporate officer, director, or a shareholder of another Broker/Dealer
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(If the answer is yes, please specify name of the brokerage/s below)

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<input type="checkbox"/> Yes <input type="checkbox"/> No	Do you have accounts with other stock brokerage firms?
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(If the answer is yes, please specify name of the brokerage/s below)

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SECTION 4: CUSTOMER BANK ACCOUNT DETAILS

1) Bank Account Name	Bank Account Number

Bank Name, Branch, and Address

2) Bank Account Name	Bank Account Number

Bank Name, Branch, and Address

SPECIAL INSTRUCTIONS

Preferred mode of delivery of confirmation slips/invoices:	
<input type="checkbox"/> Facsimile	Mailing Address <i>(if postal address is different from ones provided above, please specify in the box below:</i>
<input type="checkbox"/> Courier/Messenger	
<input type="checkbox"/> Email	
<input type="checkbox"/> Residence	
<input type="checkbox"/> Office	
<input type="checkbox"/> Others _____	
Note: <i>If preferred mode of delivery email or facsimile, Campos Lanuza will use the given email and facsimile number unless otherwise specified</i>	



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CUSTOMER ACCOUNT INFORMATION FORM

SECTION 5: APPLICATION REQUIREMENTS

For Corporations

- Fully accomplished Customer Account Information Form (CAIF)
- Certificate of authorized signatories from Corporate Secretary
- Articles of incorporation (certified true copy by Corporate Secretary)
- By-laws (certified true copy by Corporate Secretary)
- Specimen Signature card authenticated by Corporate Secretary
- Photocopy of two (2) valid IDs of the authorized signatories and the Corporate Secretary

For Individuals

- Fully accomplished Customer Account Information Form (CAIF)
- Specimen Signature card authenticated by Corporate Secretary
- Photocopy of two (2) valid IDs of the authorized signatories and the Corporate Secretary
 - Passport
 - Driver's License
 - Major credit card with photo
- Latest copy of utility/creditcard/bank billing statements
- Securities Trading Agreement
- For non-residents
 - Identification documents authenticated by the Philippine Embassy/Consulate
 - Proof of income certified by employer

I/We confirm that the information given by me/us is true, accurate, and correct. I/We authorize Campos Lanuza & Co. Inc. to verify the same from whatever sources it may consider appropriate. I/We understand that any misrepresentation I/we make on the submitted documents is sufficient ground for legal action against me/us and the rejection of my/our application. I/We understand that should my/our application be denied, Campos Lanuza & Co. Inc. has no obligation on its part to furnish the reason for such rejection.

Signature/s

Primary Account Holder/Date Signed

Secondary Account Holder/Date Signed

SECTION 6: APPLICATION PROCESSING (FOR CAMPOS LANUZA & CO. INC. USE ONLY)

Referred By/Opened by Salesman/Broker

Approved By/Date Approved

Processed by/Date received



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SECURITIES SERVICES AGREEMENT

This formalizes and confirms my/our application to open an S account with Campos, Lanuza & Co. Inc. (CLCI). In this regard,

SECTION 1. GLOSSARY

1. **Agreement** – refers to this agreement between myself/us and Campos, Lanuza, & Co. Inc., equities and fixed-income terms and conditions, the customer information account form (CAIF), and all other documents related or executed pursuant to this agreement and the opening of my/our account as may be amended or supplemented by CLCI as it sees fit.
2. **CLCI** - Campos, Lanuza, & Co. Inc. – a corporation organized and existing under the laws of the Republic of the Philippines and a trading participant at the Philippine Stock Exchange (PSE).
3. **Investment account** – means an account with Campos, Lanuza, & Co. Inc., which a client is required to open and maintain, in connection with his/her securities transactions related to this Agreement.
4. **Confirmation Notice** – refers to the purchase and/or sales confirmation notice.
5. **SEC** - Securities and Exchange Commission of the Philippines.
6. **PSE** – Philippine Stock Exchange
7. **AMLC** – Anti-Money Laundering Council
8. **PDIC** – Philippine Deposit Insurance Corp.
9. **SRC** – Securities Regulation Code
10. **Securities** - means stocks, shares, and other equity instruments, including warrants, options, related contracts, and other similar instruments, as well as bonds and other debt instruments, issued by the Philippine Government, such as Treasury Bills and Fixed-Rate Treasury Notes (FXTNs); or by a body corporate and which is listed in the PSE or PDEX, except such instruments as CLCI are disallowed to trade or deal in under Philippine laws, rules and regulations
11. **Services** - means the brokerage services and such other services as CLCI may provide from time to time. These services are only offered only where permitted and are not intended or constitute a solicitation of an offer to sell or buy securities in jurisdictions where such is not allowed

SECTION 2: TERMS AND CONDITIONS

1. **Warranty of Information.** I/we represent and warrant that all information provided by me/us pursuant to this Agreement, including the CAIF, is true, complete and accurate. In case of any change in said information, I/we shall inform CLCI immediately. I/we also authorize CLCI to conduct such credit or background checks to verify any information provided by me/us, and to ascertain my/our financial situation and investment objectives. I/we also understand that the information in the CAIF is required by the PSE, SEC, and the AMLC. I/we authorize CLCI to use the disclosed information as necessary to the conduct of performing investment related services on my/our behalf.
2. **Legal Right.** I/we hereby represent and warrant that I/we are of legal age and have full power to execute, deliver, and perform this Agreement and all necessary actions have been taken to authorize the execution, delivery, and performance and enforcement of the same.
3. **Governing Law.** The Agreement and deposits and withdrawals of Securities pursuant hereto, shall be governed by and are subject to the laws of, and applicable rules and regulations in effect from time to time in, the Republic of the Philippines. Applicable rules/regulations. My/our transactions are subject to the provisions of all applicable laws, including the SRC, and all relevant rules and regulations of the PSE, SEC, and AMLC.
4. **Assumption of risks/No Insurance or Guarantee.** Securities are not bank deposits or PDIC-insured, are not obligations of nor guaranteed by CLCI, and are subject to investment risks, including possible loss of the principal amount invested.
 - a. I/We agree to fully accept the risks for all trading orders and decisions I/we enter attendant thereto. I/we acknowledge that entering an order with CLCI does not guarantee execution of the order, and agree therefore that CLCI shall not be responsible for any order that is not executed;
 - b. I/We shall make my/our own investment judgments and decisions without reliance on CLCI and shall assume full and exclusive responsibility for all transactions. I/We agree that CLCI shall have no liability in connection with any of my/our transactions and for my/our investment decisions.
5. **Non-provision of investment advice.** I/We acknowledge that CLCI will not provide me/us with legal, tax, or accounting advice regarding the suitability or profitability of a security or investment. I/We also acknowledge that the employees of CLCI are not authorized to provide such investment advice and that I/we shall not solicit or depend on such advice from CLCI or any of its employees.
6. **No short sale of securities.** I/We acknowledge that the short sale of securities is not allowed and I/we agree not to place any short sale orders. Any short sale unintentionally accepted or executed without the corresponding stock position in my/our investment account shall be subject to cancellation or liquidation at CLCI's discretion. I/We shall be responsible for all my/our orders, including those that exceed the available stock positions in my/our investment account.
7. **Special Power of Attorney.** In every case provided or necessary in this Agreement, I/we hereby appoint CLCI, their officers, employees, successors-in-interest and/or assigns, as well as any sub-agent, broker or attorney-in-fact CLCI may appoint for those purposes, as my/our attorney-in-fact, with full power and authority to sign, execute my/our buy or sell orders, lend or borrow securities, execute bills of sales, receipts, assignment of all my/our rights, title and interest to the purchaser/s thereof; and to deliver such contracts, receipts or other documents, or otherwise perform other related acts for and in my/our behalf and in accordance with the power herein conferred, all of which are hereby deemed ratified by me/us in all respects for this purpose.
8. **Severability.** In case any one or more of the provisions of this Agreement is invalid, illegal or unenforceable in any respect, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired.

TERMS AND CONDITIONS CONTINUED ON PAGE 2

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Signature of Account Holder

Date (dd/mm/yyyy)



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SECURITIES SERVICES AGREEMENT

SECTION 2: TERMS AND CONDITIONS (CONTINUED FROM PAGE 1)

9. Limitation of Liability and Force Majeure. I/we agree that CLCI, their directors, officers, employees and other representatives shall not be liable for any delay or failure to perform any obligation on their part, or for any losses caused directly or indirectly by any condition or circumstance over which CLCI, their directors, officers, employees and other representatives do not have control, including but not limited to government restriction, exchange or market rulings, suspension of trading, failure of electronic or mechanical equipment or communication lines, telephone or other interconnection problems, unauthorized access, theft, war (whether declared or not), severe weather, earthquakes and strikes. CLCI, its 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, judgment, from action taken, inaction, omission, or default by CLCI, its directors, officers, and employees or from any consequences with the exception that such loss, damage, or cost is suffered as a direct result of its gross negligence or willful misconduct.

10. Research. I/we acknowledge that research information and news, which include but not limited to price charts and financial data on listed companies that are provided by CLCI are provided for informational purposes only and that data obtained are from sources that are believed to be reliable and that CLCI does not guarantee the accuracy of this data or information. I/We agree that CLCI shall not be responsible for any loss or damage of whatever nature in connection with any completed transaction that was dependent on the research, information, and/or data provided by CLCI.

10. Notices. It is agreed that all communications relating to or in connection with this Agreement, whether by mail, internet, telegram, telephone, facsimile, electronic mail, messenger or otherwise, sent to me/us at the address appearing in their records shall constitute personal delivery to me/us; and that, in the event of my/our failure to notify CLCI in writing of any change in address, all communications shall be directed to my/our last known address appearing in their records. It is further agreed that all communications to such indicated address shall be conclusive on me as to their correctness, in the absence of any written objection from me within the applicable period. I/we shall notify CLCI in writing of any change in my/our address, residency, status or other information indicated in this Agreement.

11. Delivery of certificates. Without abolishing any of CLCI's rights under any provision of this Agreement and subject to any liabilities/indebtedness I/we may have with CLCI, CLCI 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 CLCI.

12. Payments. All payments to my/our investment account shall be made by cash, check, bank drafts, or telegraphic transfers, which shall either be delivered to CLCI's office or collected by an authorized CLCI collector. My/Our investment account shall not be credited with any deposited funds until CLCI receives cleared funds in the amount stated less any bank charge.

13. Withdrawals. Any authorized request for cash or stock withdrawals from my/our investment account shall be made in writing and delivered or sent to CLCI's office by messenger or telefax.

14. Dormant Accounts. An investment account is considered dormant if the account owner has not traded his/her account wherein no change in the number of and the securities contained in the said account, for five consecutive years or a holding period that CLCI may amend when it deems necessary and upon notice given to the investment account holder. If my/our account has remained dormant, a penalty of Pesos 100.00 per month shall be imposed on the account and I/we authorize CLCI to sell the existing securities in my/our account to settle the carrying cost of the securities equivalent to the cumulative/accrued amount of the penalty. If the accrued penalties are greater than the gross market or transactional value of all the securities in the dormant account, then I/we authorize CLCI to liquidate all securities and/or cancel the said account in favor of CLCI.

15. Litigation expenses. In the event of litigation or controversy arising out of this Agreement, the books of CLCI shall be final and conclusive evidence of the amounts due to CLCI. I/We shall compensate CLCI for attorney or legal fees at the rate of 10% of the purchase price of the securities sold/purchased but no less than Php 20,000.00 plus reasonable litigation expenses. The venue of action for any litigation shall be in the proper courts of City of Pasig all others excluded. The foregoing, however, shall not limit the right of CLCI to initiate any legal action or proceeding in any venue or jurisdiction where my/our assets may be located.

16. Means of Obtaining Payment. CLCI shall have the discretion to resort to any other means of obtaining payment of any amount due without affecting any of their rights herein. CLCI may without notice to me/us set off or transfer any sum(s) from my/our investment account with CLCI or any of their subsidiaries or affiliates, in satisfaction of any or all of my/our liabilities to CLCI. All remedies either under this Agreement or by law or otherwise afforded to CLCI shall be cumulative and not alternative.

17. Automatic Trading Restriction or Cancellation of Account. I/we understand and agree that CLCI has the sole discretion to restrict trading on my/our Account or to cancel the same, at any time and without need of prior notice to me. I/We, in turn, agree to satisfy, upon demand, any indebtedness or liability when my/our investment account is cancelled or closed.

18. Approval/Disapproval of application. I/we also understand and agree that CLCI has the absolute right to refuse my/our application for an account or to terminate, reject, or decline the same for whatever reason(s) it may deem appropriate, without any obligation to divulge and/or explain the said reason(s) to me/us.

19. Binding Effect. I/We agree that this Agreement and the related terms and conditions shall be binding upon my/our heirs, executors, administrators, personal representatives, and assignees. The Agreement will also be binding on CLCI and its respective successor organization. I/we may not assign rights and obligations without the written approval or consent of CLCI.

20. Effectivity. This Agreement shall take effect upon the date of signing, as indicated below, and shall continue to be in full force and effect until terminated by me or CLCI by giving the other at least fifteen (15) days prior written notice of termination.

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Signature of Account Holder

Date (dd/mmm/yyyy)



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SIGNATURE SPECIMEN CARD

Account Name			
	First	Last	Middle

Citizenship/ Nationality		<i>Please Sign Twice</i>	
		1)	
Contact Nos.		2)	
Email Address			

Address	Unit No./Floor	Street	Village/Subdivision/Building	
	Barangay	City	ZIP Code	Country

Note:
Pursuant to the regulation of the Securities and Exchange Commission, no certificate can be issued to a buyer unless he 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 return the card to CLCI once completed.

<i>Signature verified by:</i>
(print name and signature) Campos, Lanuza, & Co., Inc.



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SIGNATURE SPECIMEN CARD

Account Name			
	First	Last	Middle

Citizenship/ Nationality		<i>Please Sign Twice</i>	
		1)	
Contact Nos.		2)	
Email Address			

Address	Unit No./Floor	Street	Village/Subdivision/Building	
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