

**OPTIMUM SECURITIES CORPORATION
MEMBER: PHILIPPINE STOCK EXCHANGE**

**No. 11 E.O. Bldg. Cor. United & 2nd St., BO. Kapitolyo, Pasig City
Tel. No: (02) 631-3989 / (02) 633-2629/ 631-7831 to 36 Loc. 202**

**CUSTOMER ACCOUNT
INFORMATION FORM**

Account Classification :	_____	Account No.	_____
Account Name:	_____		
Nationality:	_____	TIN No.	_____
Residence Address :	_____	Tel. No.	_____
	_____	Fax No.	_____

Business Address:	_____	Tel. No.	_____
		Fax No.	_____
E-mail Address:	_____	Mobile No.	_____
Date of Birth: _____	Birth of Place: _____	Sex: () Male () Female	
Civil Status: _____			
Occupation: _____	Nature of Work/Business: _____		
Name of Spouse: _____			

Is your Employer a Registered Broker Dealer? () No () Yes
Are you an Officer, Director of an exchange listed company? () No () Yes
If yes, Identify the company: _____
Name if Corporation: _____ Position: _____

How long known by Salesman introducing Account? _____
Do you have account with other broker dealer? () No () Yes If Yes, please indicate name/s of broker/s: _____
Customer's Bank : _____ Branch: _____ Account No: _____
Investment Objectives: Source of Income:
() Growth () Long Term () Employment () Savings
() Speculation () Preserve Capital () Business () Inheritance
Annual Income: _____ Assets _____ Net Worth: _____
Are duplicate confirmations required? () No () Yes Manner of delivery:
Identify to whom to be sent and () Hand delivery () E-mail
relationship to customer _____ () Mail/courier () Fax () Others _____

I/we hereby certify that the information given in this Customer Account Information Form is true and correct to the best of my knowledge.
I/we have read and agree to be governed by the terms and conditions relative to this Account as enumerated in the account agreement as well as by the rules and regulations of the Philippines Stock Exchange, Securities and Exchange Commission, Bangko Sentral ng Pilipinas, the Anti Money Laundering Council, the Bureau of Internal Revenue, and other appropriate Governmental Agencies.

Client's Signature Over Printed Name

Client's Signature Over Printed Name

Use this space for joint/C of Corporate A/C requiring 2 or more signatories

FOR OSC USE ONLY:

Commission Rate: _____ Referred by: _____
Min. Comm: _____
Credit Limit: _____ Approved by: _____
Date Approved: _____
Agent's Signature: _____
Date Opened: _____
CAIF Encoded By: _____
Reviewed by: _____

Requirements:

FOR INDIVIDUAL ACCOUNT: Photocopy of valid identification card containing photo and signature (i.e. Driver's License, Passport, SSS, GSIS, Senior Citizen ID)
FOR CORPORATE ACCOUNT: (1) SEC Cert. Of Registration (2)Articles of Incorporation & By-laws; (3)Secretary's Cert. authorizing the Corporation to invest in securities/stocks and engage the services of OSC as Stockbroker; (4) Secretary's Cert. designating the authorized signatories to transact for the Corporation and sign/endorse certificate.

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* Please print all information required			
Any Alteration in the signature card must be signed in full by the applicant.			
Specimen Signature Card			
NAME			
LAST NAME		FIRST NAME	MIDDLE NAME
MAILING ADDRESS			
TAX IDENTIFICATION NO.	TELEPHONE NO.	CITIZENSHIP	
Specimen Signature Card			
1.) _____	2.) _____		
1.) _____	2.) _____		
<p>IMPORTANT: Pursuant to the regulations of the Securities & Exchange Commission, no certificate can be issued to buyer unless he signs and indicates his citizenship on this card. With respect to street certificate, the citizenship of the beneficial owner and not of the broker should be indicated. Please return this card to OPTIMUM SECURITIES CORPORATION as soon as filled up.</p>		<p>Signature verified by:</p> <p style="text-align: center;">OPTIMUM SECURITIES CORPORATION</p>	

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OPTIMUM ONLINE TRADING AGREEMENT

1. Optimum Securities Corporation, is a licensed stock broker-dealer, providing clients of legal age with online brokerage services and shall act as broker for the sale and/or purchase of securities listed in the Philippine Stock Exchange ("PSE").
2. Client acknowledges that this Agreement shall be effective upon the submission of all the forms and other documents requested by Optimum Securities Corp., such as For Individual Account: the Customer Account Information Form, Signature Cards, Two (2) Government issued I.D's. For Corporate Accounts: CAIF, Signature Cards of Authorized Signatories with Two (2) Government issued I.D's, Board Resolution for authorized signatories, GIS and Articles and By-Laws.
3. Optimum Online Trading, will enable Clients to personally execute buying and selling of stocks listed in the PSE via the internet and the electronic facility services, subject to the prevailing rules and regulations of the PSE and SEC and other government agencies and to the terms and conditions and limitations provided in this Agreement. Client agrees to place a minimum deposit of Php25,000.00 for a Starter Account.
4. Optimum Online Trading, will charge clients with Trading Fees. Client hereby agrees to pay the Commission at the rate of $\frac{1}{4}$ of 1% of the amount bought or sold online. For buy or sell orders executed through a broker over the phone, the commission rate shall be $\frac{1}{2}$ of 1%. The fixed charges such as PCD Fees, Transfer or Settlement Fees, Transaction Fees, Sales Tax, VAT on commission and Ad Valorem will be added to the Trading Fees.
5. All buy and sell of stocks using Optimum Online services, shall be deemed authorized and executed. It is the Client's obligation to verify his/her stock position and available funds prior to the actual buy and sell transaction with the approval of the Licensed Traders/Salesmen.
6. For buy orders, Client's must have available funds equal to or greater than the purchase price of the stocks prior to the transaction date. Any orders inadvertently accepted and/or executed without sufficient funds in the Optimum Online Trading account shall be subject to cancellation or liquidation at Optimum's sole discretion. Client shall be responsible for all orders, including those which exceed the available funds in the Optimum Online. For done buy orders, Clients online account shall be debited equivalent to the sum of the purchased price and the applicable commission plus all fixed charges.
7. Client hereby agrees that all securities purchased shall be lodged in Optimum Online with the Philippine Depository and Trust Corporation and, in the absence of any written instructions to the contrary, securities purchased shall be registered in Optimum Online Trading name as street certificates.
8. Client hereby agrees to make stock sales only for quantities less than or equal to the quantities Optimum have lodged. Client short sale is not permitted.
9. All payments shall be made by checks, bank drafts or telegraphic transfers, which shall either be delivered to Optimum Securities Corp. office or deposited or credited to a designated bank account of Optimum Securities Corp, as the case may be. Client's online account shall not be credited with any deposited funds until Optimum Securities Corporation receives cleared funds in the amount stated in the deposit form, less bank charges, if any.
10. Client's request for cash or stock withdrawals from the online account shall be made in writing and delivered personally or sent to Optimum Securities Corporation office by messenger, by telefax or by e-mail. A request sent by fax to deposit any cash credit on Client's with a particular bank of Client's choice indicating therein the name of the bank and account number shall be subject to the Associated Person's approval, provided, that Client shall assume all the risk or loss that may result thereto.

11. In case the Client opens a joint account, the Client agrees that: a. Instructions for "joint and" accounts shall be signed by the account holders; b. The client shall hold Optimum free and harmless from and all losses, damages, costs, penalties, fines and taxes incurred as a result of action or inaction taken by Optimum in response to any instructions given by client believed by Optimum to be authorized to give such instructions; c. In case of withdrawal of funds, the check shall be made payable to the names of all account holders; d. In case of death of anyone of the parties, the surviving party/ies may only withdraw funds from the Optimum Online or close the online account after submission of the required documentation to Optimum.
12. Client shall not hold Optimum Securities Corp. or any of its directors, officers, employees, and agents responsible for any of the following:
 - a. For any breakdown of the facility resulting no non-accessibility of, transmission quality, malfunction, outages to, of any telephone circuits, computer hardware or software (including viruses and bugs) or related/incidental problems.
 - b. Inability to access the Online Trading facility or access of the website due to any unauthorized actions or transactions using customer ID and password, or for any other cause beyond Optimum's control.
13. Client agrees that Optimum Securities Corporation reserve the right to suspend service and deny access to the Optimum Online Trading, without prior notice, during scheduled or unscheduled system maintenance and repairs; modifications or enhancement of Website.
14. Client is responsible to protect their password and thereby control access to Optimum Online Trading.
15. Client agrees that he/she is responsible for acknowledging/reading e-mail send by Optimum Securities Corporation for his/her transactions within the day such as invoice (Buy / Sell) SOA and other documents.
16. Client agrees that since Optimum Online Trading, was granted by the Securities and Exchange Commission an exemptive relief from SRC Rules 30.2-2, 52.1-7 and 52.1-8 all confirmations and account statements will be sent via email and these shall be deemed binding if no written objection is made within 24 hours after confirmations was sent.
17. Client agrees that in case of any dispute arising from with this agreement, Client shall first try to resolve the same with Optimum Securities Corp. amicably and in good faith. Should Optimum and Client fail to resolve such dispute within three (3) months from the date of written notice, Client agrees that the exclusive venue for any suit arising from this agreement shall be the proper court of Pasig City, Philippines.

The client deemed to have read and agree to all terms and conditions stated above and to certify that the information given in the Customer Account Information Form is true and correct.

CONFORME:

NAME OF CLIENT

SIGNATURE

DATE