



**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. (+632) 8887-6407 / (+632) 8834-7765  
 Email address: helpdesk@itrade.ph

PSE Trading Participant and Member of SCCP and SIPP

**CORPORATE / NON-INDIVIDUAL ACCOUNT INFORMATION FORM**

Account Type  iTRADE LITE  iTRADE PRO  
 Cash  Margin

Customer Account No. \_\_\_\_\_  
 NTS Account Code \_\_\_\_\_

Business/Corporate Name			
Company Type <input type="checkbox"/> Single Proprietorship <input type="checkbox"/> Corporation <input type="checkbox"/> Corporation – Foreign <input type="checkbox"/> National Government <input type="checkbox"/> Partnership/Association <input type="checkbox"/> Cooperatives <input type="checkbox"/> Government <input type="checkbox"/> Local Government			
Business Address (No. & Street, Building, Town/District, City/Province, Country)			Zip code
SEC Registration No.	DTI Registration No.	Nature of Business	Years in Operation
Tax Identification (TIN)	Email Address	Office Tel. /Facsimile No.	Mobile Nos.
AUTHORIZED OFFICER(S) RESPONSIBLE FOR THE ACCOUNT <input type="checkbox"/> any one <input type="checkbox"/> any two <input type="checkbox"/> others			
1.	Position -		
2.	Position -		
3.	Position -		
4.	Position -		
5.	Position -		
BANK ACCOUNT DETAILS:			
Back Account Name		Bank Account No.	
Bank Name		Bank Address	
CONFIRMATIONS AND COMMUNICATIONS:			
Mailing of Invoices, Statement of Accounts and other Communications: <input type="checkbox"/> Courier <input type="checkbox"/> electronic Mail <input type="checkbox"/> Facsimile			
FINANCIAL AND INVESTMENT PROFILE OF THE COMPANY			
Assets <input type="checkbox"/> less than 20M <input type="checkbox"/> 20M to less than 100M <input type="checkbox"/> 100M to less than 1B <input type="checkbox"/> 1B and above	Net Worth <input type="checkbox"/> less than 20M <input type="checkbox"/> 20M to less than 100M <input type="checkbox"/> 100M to less than 1B <input type="checkbox"/> 1B and above	Gross Annual Income <input type="checkbox"/> less than 20M <input type="checkbox"/> 20M to less than 100M <input type="checkbox"/> 100M to less than 1B <input type="checkbox"/> 1B and above	Investment Experience <input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive
Investment Objective (1-4 order of priority) _____ Capital Preservation _____ Long-term investment _____ Growth _____ Speculation			
DISCLOSURES:			
Are any of the directors or shareholders of the corporation a stockholder, employee or agent of a Broker/Dealer registered with the Securities and Exchange Commission? Yes <input type="checkbox"/> No <input type="checkbox"/> If yes, please indicate name(s) 1. _____ 2. _____			
Signature(s)			
_____ Signatory No. 1	_____ Date	_____ Signatory No. 2	_____ Date
_____ Signatory No. 3	_____ Date		
APPLICATION REQUIREMENTS			
1. Photocopy of each of the following documents duly certified by the corporate secretary: 1.1. SEC Registration 1.2. Articles of Incorporation, Partnership or its equivalent. 1.3. By – laws of the corporation 1.4. Latest General Information Sheet (GIS) with SEC acknowledgement 1.5. Latest Audited Financial Statements with BIR and SEC acknowledgement 2. Notarized Board Resolution authorizing the corporation to open an account with DA Market Sec. Inc. and the designated officer(s) authorized to transact and trade in behalf of the corporation. 3. Photocopy of one (1) government issued identification document of the authorized signatories/officers (e.g. passport, driver's License, SSS/GSIS ID, PRC ID or Voter's ID) 4. Two (2) copies of Specimen Signature Cards of the authorized officers; 5. Securities Trading Agreement duly signed.			
FOR DMSI USE ONLY:			
Salesman/Referred by:	Processed by:	Date Opened:	Approved by:

# DA MARKET SECURITIES, INC.

## Securities Trading Agreement

Dear Sirs:

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

1. All the securities purchased by your company on my behalf and for my account(s) shall be registered in the name of your company until I have fully paid the purchase price. I shall pay the purchase price not later than two (2) business days from the purchase date even without written or oral demand.

2. All securities, including related contracts, held or handled by your company in any of my individual or joint accounts, shall be collateral for my liabilities to your company. Moreover, your company shall have the right to transfer funds or securities from any of my accounts to another when in your judgment such transfer may be necessary to comply with my obligations or to settle any of my liabilities. All such securities may, from time to time, and without notice, be pledged and repledged by your company, either separately or jointly with other securities from other accounts, for any amount due and demandable in your favor in any of my accounts, or for even a greater amount, without retaining in your possession or control the same amount of similar securities.

3. In case I fail to pay the purchase price in full within two (2) business days, or in the event of my death, or whenever in your sole discretion you consider it necessary for your protection, I authorize your company to sell any or all securities in my individual and joint accounts which are pledged as collateral for the payment of my liabilities to your company. For this purpose, I warrant that all such securities are free from any lien or encumbrance. In the event that there are liens or encumbrances preventing subsequent and effective negotiation of the said securities, your company may buy back the said securities and collect from me whatever amount it is entitled as a result of such of such buy back.

Furthermore, I authorize your company to buy securities to cover for any short selling in my account(s), to transfer funds or securities from any of my account(s) to another and to close outstanding obligations.

4. For the purpose of selling, buying or performing other acts pursuant to this agreement, I appoint DA Market Securities, Inc., its successors and assigns, as my attorney-in-fact with full power and authority: (a) to sell and buy securities, or act, for any of my individual or joint account(s); (b) to negotiate and agree upon the price of securities; (c) to execute bills of sale, receipts, deeds of assignment of rights, titles and interests to the purchaser(s) thereof, and other necessary instruments or documents; and (d) to deliver and accept delivery of stock certificates or instruments of assignment, or both. For this reason, I consent to and ratify all acts and things which Da Market Securities, Inc. may do or cause to be done on my behalf and in accordance with this agreement.

5. In case I sign this agreement with other person(s), our obligations under this agreement shall be joint and several.

6. I shall not hold your company liable for any loss or damage directly or indirectly caused by government prohibitions or restrictions, exchange or market rulings, fluctuations in market prices, suspension of trading, war, public uprisings, calamities, strikes and other circumstances beyond your control or which are considered fortuitous events.

7. This agreement shall cover all accounts which I may open or reopen with your company. The terms and conditions herein stated shall likewise apply and inure to the benefit of your affiliates, successors, whether by merger, consolidation or otherwise, and assigns, including their respective agents. This agreement shall likewise bind my heirs, executors, administrators, successors and assigns.

8. Your company shall have the right to amend or modify this agreement. Any amendment shall be effective on a date to be fixed by your company, which shall not be earlier than thirty (30) days from the date the notice of such amendment was delivered to my address appearing in your records.

9. If any provision or condition under this agreement is held invalid or unenforceable by any court, tribunal or administrative body, such invalidity or unenforceability shall not affect the other provisions and conditions of this agreement. Moreover, the remaining portion of this agreement shall be interpreted and implemented as if the invalid or unenforceable provisions or conditions are not included.

10. Any of my unpaid and overdue account shall bear interest at one-tenth of one (1/10 of 1%) per centum per day or the prevailing market interest rate, whichever is higher, from the date they become delinquent or overdue. In case any litigation arises from the enforcement of this agreement, your company shall be entitled to attorney's fees and collection expenses, which shall not be less than twenty five (25%) per centum of the total amount involved. The exclusive venue for any legal action arising from this agreement shall be in the proper courts of Taguig City, Metro Manila.

11. All written communications, whether by mail, telegraph, facsimile, courier or otherwise, sent to my address which appears in your record shall constitute a valid and effective delivery, it being understood, that in the event of failure to notify your company in writing of any change in address, all communications directed and sent to my last known address appearing in your record shall also constitute a valid and effective delivery. All communications sent to my last known address shall be conclusive as to their correctness in the absence of any written objection received by your company within twenty four (24) hours from the time the communications are delivered to said address.

12. This agreement shall be in force and effect until a written notice of revocation is received by your company. In case of such revocation, this agreement shall continue to be valid and binding as to the transactions entered prior thereto.

Very truly yours,

\_\_\_\_\_  
DATE

CONFORME:

\_\_\_\_\_  
Name and Signature of Authorized Signatory 1

\_\_\_\_\_  
Name and Signature of Authorized Signatory 2

**DA MARKET SECURITIES, INC.**

BY: \_\_\_\_\_

Referred by: \_\_\_\_\_ Salesperson : \_\_\_\_\_

<b>DA MARKET SECURITIES, INC.</b> Unit 1105, PSE Tower, 5 <sup>th</sup> Ave. Cor. 28 <sup>th</sup> St. Bonifacio Global City, Taguig City, Philippines, 1634		<b>SPECIMEN SIGNATURE CARD          CORPORATE</b>	
Account Name		Account No.	
Address: <i>(No. &amp; Street, Building, Town/District, City/Province, Postal/Zip Code, Country)</i>			
Telephone No.	TIN	Citizenship	
Signature Requirement <input type="checkbox"/> Any One <input type="checkbox"/> Any two <input type="checkbox"/> All <input type="checkbox"/> Others			
Please sign thrice (3x)			
Name & Position of Signatory No. 1		Name & Position of Signatory No. 2	
1. _____		1. _____	
2. _____		2. _____	
3. _____		3. _____	
Please sign thrice (3x)			
Name & Position of Signatory No. 3		Name & Position of Signatory No. 4	
1. _____		1. _____	
2. _____		2. _____	
3. _____		3. _____	
Please sign thrice (3x)			
Name & Position of Signatory No. 5		Name & Position of Signatory No. 6	
1. _____		1. _____	
2. _____		2. _____	
3. _____		3. _____	
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. (DMSI)		Signature verified by:  DA MARKET SECURITIES, INC.	

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Account Name		Account No.	
Address: <i>(No. &amp; Street, Building, Town/District, City/Province, Postal/Zip Code, Country)</i>			
Telephone No.	TIN	Citizenship	
Signature Requirement <input type="checkbox"/> Any One <input type="checkbox"/> Any two <input type="checkbox"/> All <input type="checkbox"/> Others			
Please sign thrice (3x)			
Name & Position of Signatory No. 1		Name & Position of Signatory No. 2	
1. _____		1. _____	
2. _____		2. _____	
3. _____		3. _____	
Please sign thrice (3x)			
Name & Position of Signatory No. 3		Name & Position of Signatory No. 4	
1. _____		1. _____	
2. _____		2. _____	
3. _____		3. _____	
Please sign thrice (3x)			
Name & Position of Signatory No. 5		Name & Position of Signatory No. 6	
1. _____		1. _____	
2. _____		2. _____	
3. _____		3. _____	
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. (DMSI)		Signature verified by:  DA MARKET SECURITIES, INC.	



## **DATA PRIVACY POLICY**

### **1. PURPOSE AND SCOPE**

DA MARKET SECURITIES, INC. (DMSI) collection of Personal Data is done by lawful means and for lawful purpose and is directly related and necessary to the nature, functions, and purposes of the Company as a securities broker.

DMSI with the aim to live up and promote the culture of privacy within the organization complies and dedicated to carry out the mandatory requirements of Data Privacy to safeguard and preserve your “Personal Data” refers to both personal information and sensitive personal information.

### **2. PERSONAL DATA THAT DMSI COLLECT AND PROCESS**

When you apply for an account or avail for the use of DMSI’s services as a securities broker, DMSI shall collect or use your personal information, such as but not limited to :

- a) Full Name
- b) Nationality
- c) Gender
- d) Date and Place of birth
- e) Civil Status
- f) Permanent and Present Address/es
- g) Education
- h) Contact details (mobile, landline and Email address)
- i) Tax Identification No. (TIN) and other government -issued identification numbers (SSS or GSIS)
- j) Previous employment information
- k) Employment and business information
- l) Financial Information and Investment Profile (such as assets, income, net worth, sources of income and Investment experience)
- m) Name of spouse
- n) Bank account details
- o) Specimen Signature and
- p) Other personal Information authorized and mandated by law to be collected such as but not limited to Anti-Money Laundering Act of 2001 (AMLA), Philippine Stock Exchange (PSE), Capital Markets Integrity Corp. (CMIC) and Securities and Exchange Commission (SEC)

### **3. USE AND PURPOSE OF THE COLLECTION**

DMSI uses your personal data collected for various purposes, including but not limited to the following;

- a) Know-Your-Customer (KYC) examination or procedures.
- b) Evaluation and processing of your application.
- c) Compliance with the laws, rules and regulations governing our services (AMLA, PSE, CMIC, SCCP, SEC, and PDTC and other government agencies.)
- d) for purposes of its operations as securities broker

### **4. DATA SHARING AND RETENTION**

DMSI ensures that only authorized personnel of the company have access to your personal information.

DMSI may SHARE and DISCLOSE said information with relevant Government agencies such as (AMLA, PSE, CMIC, SEC and BIR as may be mandated by pertinent laws and regulations.

In addition, DMSI may share information but not limited to the following:

- a) Banks
- b) External auditors
- c) Local and Foreign authorities (for purpose of tax monitoring)
- d) Compliance with court
- e) Other lawful order

DMSI may retain, process, update and / or share your personal information for as long as necessary for the fulfillment of the purpose for which it was collected and such other purposes that have consented from time to time as in compliance with relevant rules and regulations.

## 5. DATA PRIVACY RIGHTS

Pursuant to the Data Privacy Act of 2012, (RA 10173) and its Implementing Rules and Regulations (IRR), DMSI also joins the privacy march to meet the full extent of data privacy and protection, exercise compliance and demonstrate respect of your rights defined in Sec. 16. Rights of the Data Subject. Namely;

- a) the right to be informed
- b) right to access
- c) right to object
- d) right to erasure or blocking
- e) right to damages
- f) right to file a complaint
- g) right to rectify
- h) the right to data portability

By providing your Personal Data to DMSI, you acknowledge that you have read, understood and agree to all the terms as set forth in this Privacy Statement.

Should you have any questions and or concerns regarding this Privacy Statement, DMSI's use of your Personal DATA, or your rights in relation thereto under the Data Privacy Act of 2012, please do not hesitate to contact our Data Protection Officer at the following No. (+632)8887-5457: (+63917)8633119 or email [fincaling@houseofdavidgroup.ph](mailto:fincaling@houseofdavidgroup.ph).

\_\_\_\_\_  
Authorized Officer Signature Over Printed Name

\_\_\_\_\_  
Authorized Officer Signature Over Printed Name