



DATE

CUSTOMER NUMBER

3rd Floor, PLPI Building, 118 Gamboa Street, Legaspi Village, Makati City  
Tel. Nos. (02)812-8803 / 892-0164 Fax No. (02)894-1153  
Cel Nos. (0917)836-8903, (0918)979-6004 Email Address: optima@prudentiallife.com  
Website: www.myoptimafunds.com

# CLIENT INFORMATION SHEET

PLEASE PRINT CLEARLY

Optima Funds are managed by ATR KimEng Asset Management/ BPI Asset Management and made available through Bonds, Equities, Securities and Traders, Inc./ PLPI Financials and Insurance Brokers, Inc.

## CLIENT INFORMATION

<b>INVESTOR</b>	<b>NAME OF INVESTOR</b> (This is the name that will appear in your Statement of Account) <input type="checkbox"/> INSTITUTIONAL <input type="checkbox"/> INDIVIDUAL				
	<b>RESIDENCE ADDRESS</b>				
	No./Street			Village/Subdivision	
	Brgy./Area	Municipality	Province	Zip Code	
	<b>BUSINESS/OFFICE ADDRESS</b>				
	No./Street			Village/Subdivision	
	Brgy./Area	Municipality	Province	Zip Code	
	<b>PERSONAL DATA (For Individual Accounts ONLY)</b>				
	Birthdate (MM/DD/YY)	Sex <input type="checkbox"/> Male <input type="checkbox"/> Female	Civil Status	Nationality	Religion
	Residence Tel. No.	Business/Office Tel. No.	Cellphone/Pager	Facsimile No.	
Email Address	TIN No.	SSS No.	Sources of Income <input type="checkbox"/> Employment <input type="checkbox"/> Rental <input type="checkbox"/> Business <input type="checkbox"/> Investment		
Occupation	Name of Employer/Business		Mother's Full Maiden Name		
<b>CONTACT PERSON (For Institutional Accounts ONLY)</b>					
Name		Position	Contact Number/s	Business TIN No.	
<b>PREFERRED MAILING ADDRESS</b> <input type="checkbox"/> BUSINESS/OFFICE <input type="checkbox"/> RESIDENCE <input type="checkbox"/> PLPI BRANCH (Please indicate) _____					

<b>CO-INVESTOR</b>	<b>NAME OF CO-INVESTOR</b>			
	<b>RESIDENCE ADDRESS</b>			
	No./Street			Village/Subdivision
	Brgy./Area	Municipality	Province	Zip Code
	<b>BUSINESS/OFFICE ADDRESS</b>			
	No./Street			Village/Subdivision
	Brgy./Area	Municipality	Province	Zip Code
	<b>CONTACT DETAILS</b>			
	Residence Tel. No.	Position	Contact Number/s	Business TIN No.
	<b>FOR JOINT ACCOUNT PLEASE CHOOSE ONE</b> <input type="checkbox"/> AND (both signatures must be present for all transactions) <input type="checkbox"/> OR (any of these signatures may be present for all transactions)			

<b>ITF</b>	<b>IN TRUST FOR ACCOUNT (For Accounts where investor is a minor)</b>		
	LAST NAME	FIRST NAME	MIDDLE NAME
	Relationship to principal investor	Birthdate (MM/DD/YY)	Birthplace

# INVESTOR PROFILE QUESTIONNAIRE

This Investor Profile Questionnaire (IPQ) is done to profile the risk-return orientation of the client and the result is used as basis to recommend the various classes of Optima Funds. IPQ is done prior to opening of the account and maybe subsequently revised by the client at any time given changes in the clients' circumstances or preferences. In case of revision, the client should immediately request BEST, Inc. for a new profiling process and changes be made immediately to the investment in the Optima Funds, as applicable.

Please encircle the score on the right side corresponding to your choice on the left.

BACKGROUND INFORMATION	1 How old are you? a. 30 and under b. 31 to 40 c. 41 to 50 d. 51 to 65 e. Over 65	Score 10 8 6 4 2
	2 Approximately how many more years do you plan to work before retiring? a. I am retired b. 5 years or less c. 6 to 15 years d. 16 to 30 years e. More than 30 years	2 4 6 8 10
	3 What is your approximate annual income? a. Under Php 100,000.00 b. Php 100,001.00 - Php 250,000.00 c. Php 250,001.00 - Php 600,000.00 d. Php 600,001.00 - Php 1,000,000.00 e. Above Php 1,000,000.00	2 4 6 8 10
	4 How would you rate your immediate family's overall financial situation? a. Unstable - we have next to no savings b. Not very good - we have a fair amount of debt and little savings c. Fairly good - we do have some debts but have been able to save a bit d. Good - we have few debts and are quite secure e. Very good - we have paid off most of our debts and are now saving quite regularly	2 4 6 8 10
INVESTMENT OBJECTIVES AND RISK TOLERANCE	5 What is your major goal for your portfolio? a. The security of my retirement portfolio is my only priority b. While I do want my retirement portfolio to grow, I don't feel very comfortable with fluctuating returns c. I want a balance between growth and security in my retirement portfolio with some protection from the impact of inflation d. I'm primarily concerned with the overall growth of my retirement portfolio and I am less concerned about fluctuations in returns e. My sole objective in my retirement portfolio is maximum growth over the long term	2 4 6 8 10
	6 During the next five years, what portion of your portfolio do you expect to be withdrawing? a. 100% b. 75% c. 50% d. 25% e. 0%	2 4 6 8 10
	7 How would you rate your investment knowledge? a. Minimal - I consider my knowledge to be fairly limited b. Modest - I've been investing for a few years and I sometimes read the business press. c. Moderate - I've been investing for several years within a broad range of different assets. d. Good - I've been investing for quite a while and I've lived through at least one market downturn. e. Very good - I'm an experienced investor and I'm comfortable with all the ups and downs in the market	2 4 6 8 10
	8 Which of the following statements best describes your investment situation? a. All of my investments to date have been in Treasury Bills because I need the security of capital. b. Most of my investments were made to generate income and preserve capital, but I now need some capital growth c. Most of my investments tend to be mutual funds or unit investment trust funds, although they are generally not aggressive funds d. Most of my investments tend to be moderately aggressive. My objectives are long-term, therefore I don't often make changes unless my reasons for investing have changed. e. I tend to choose aggressive mutual funds or unit investment trust funds for long-term growth	2 4 6 8 10
	9 Assuming that you are investing for the long-term, what is the maximum drop in your portfolio's value that you could tolerate in any given year before feeling uncomfortable? a. I'd be uncomfortable with any loss b. A 5% drop is all that I could live with c. A 5% - 10% decline is something I could tolerate d. A 10% - 15% drop would be about all I could stand e. I could tolerate more than 15% decline	2 4 6 8 10
	10 Which of the following statements best describes your investment philosophy? a. Preserve capital b. Achieve modest income c. Achieve moderate asset growth and income d. Achieves strong asset growth and income e. Achieve maximum asset growth and income	2 4 6 8 10

PLEASE ADD ALL THE SCORES ON THE RIGHT SIDE TO GET THE TOTAL SCORE.

**YOUR TOTAL SCORE:**

YOUR PROFILE	YOUR SCORE	YOUR PROFILE	PROFILE DESCRIPTION	RECOMMENDED OPTIMA FUND/S
	25 & below	Risk Averse	Capital preservation is the paramount concern; would settle for lower but steady returns such as those found in traditional time deposits	—
	26 - 50	Conservative	Seeks a relatively stable return on investment that is slightly higher than the traditional term deposit and willing to take minor negative fluctuations in returns over a period of 1 year or less	Mix of: Prudential Fixed Income Fund Philippine Dollar Bond Fund ATRKE Total Return Bond Fund
	51 - 75	Growth-Oriented	Seeks a balance between growth in capital and income and is willing to take negative fluctuations in return for periods of 1 to 3 years.	Mix of: Prudential Fixed Income Fund Philippine Dollar Bond Fund ATRKE Total Return Bond Fund Diversified Balanced Fund Optima Balanced Fund
	76 & above	Aggressive	Growth and earning the highest returns are the main concerns of the investor and is willing to take negative fluctuations in return for periods of 3 years or longer including possible loss of initial investment.	Mix of: Diversified Balanced Fund Optima Balanced Fund Philippine Equity Fund Philippine Stock Index Fund ATRKE Asia Plus Recovery Fund ATRKE Equity Opportunity Fund

## DECLARATIONS

I hereby attest that (1) the information stated herein is accurate; and (2) I am not engaged in any of the unlawful activities listed in the Anti-Money Laundering Law; (3) that the funds I shall invest in the Optima Funds as managed by ATR KimEng Asset Management / BPI Asset Management, were not generated from any of the unlawful activities enumerated under the Anti-Money Laundering Law; (4) I have received, read and understood the most recent copy of the Prospectus/Information Memorandum and financial statement(s) and acknowledge the risk involved in these investments; and (5) I have also read and understood the terms and conditions and understand that investments will be valued once my funds have cleared the banking system.

I acknowledge that no representation is being made that any securities or investment offered by B.E.S.T. Inc. and PLPI Financials and Insurance Brokers, Inc. as a Selling Agent will or is likely to achieve profits. B.E.S.T. Inc., PLPI Financials and Insurance Brokers, Inc. and its affiliates, directors, employees or agents will not be held liable or responsible for your investment decisions or for any losses that you may incur as a result of your investment offered by and coursed through B.E.S.T., Inc. and PLPI Financials and Insurance Brokers, Inc..

Accordingly, I should not rely solely on the statements or representation of B.E.S.T. Inc. in making any investment. An investor should seek further professional advice if he or she is uncertain of, or has not understood any aspect of the securities to invest in or the nature of risks involved in trading of securities specially those high risk securities.

I also acknowledge that should I decide to subsequently purchase shares/units, the transaction will not be processed into my account until the funds have finally cleared through the banking system and are available to ATR KimEng Asset Management / BPI Asset Management, for investment deployment. Upon final clearing of the funds through the banking system, I authorize Bonds, Equities, Securities and Traders, Inc. by virtue of my signature on this document to process all my subsequent transactions into my account. I acknowledge that the funds I shall invest will be subject to the required minimum amounts as prescribed in the Prospectus / Information Memorandum.

## SIGNATURES

INSTITUTIONAL	FOR INSTITUTIONAL ACCOUNTS		
	PLEASE RECOGNIZE	<input type="checkbox"/> Any One	<input type="checkbox"/> Any Two
	Authorized Signatory 1	Authorized Signatory 2	Authorized Signatory 3
	1 _____	1 _____	1 _____
	2 _____	2 _____	2 _____

INDIVIDUAL	FOR INDIVIDUAL ACCOUNTS	
	Signature of Principal Investor	Signature of Co-Investor (if any)
1 _____	1 _____	
2 _____	2 _____	

Original documents sent via:

Fund Representative     
  Mail     
  PLPI Branch (Please indicate) \_\_\_\_\_

**IMPORTANT:** Fax this form (front and back) to 894-1153 together with the required documents (indicated in the CHECKLIST OF REQUIREMENTS below) on or before the required cut-off time (please see the back of the Subscription/Redemption ticket for the cut-off times.)

# TO BE ACCOMPLISHED BY SERVICING FUND REPRESENTATIVE

I hereby attest that (1) I have obtained satisfactory evidence of and have the true and full identity, representative capacity, domicile, occupation/business purpose of the Client, as well as other required identifying information on the Client; (2) To the best of my knowledge, Client does not engage in any unlawful activities listed in the Anti-Money Laundering Law. I further declare that, to the best of my knowledge, the funds to be invested by the Client in the Optima Funds, as managed by ATR KimEng Asset Management / BPI Asset Management were not generated from any of the unlawful activities listed in the Anti-Money Laundering Law; (3) Should there be any adverse change in my opinion of the standing integrity or reputation of the Applicant, I shall inform Bonds, Equities, Securities and Traders, Inc. immediately; and (4) I understand and acknowledge that transactions will be processed only upon submission of complete information and documentary requirements.

	REFERRER	LICENSED AGENT	OPTIMA AUTHORIZED SIGNATORY
Name and Signature			
Fund Representative Code			

Checked by:	Date received:
-------------	----------------

## CHECKLIST OF REQUIREMENTS

### FOR ALL ACCOUNTS

- Client Information Sheet (This form)
- Subscription/Redemption Ticket
- Investor Profile Questionnaire
- Payment
  - Cash (Pls. Attach Provisional Receipt)
  - Check (Pls. Attach Provisional Receipt)
  - Through accredited banks (Pls. Attach Original Deposit Slip)
  - Others \_\_\_\_\_

### FOR ITF ACCOUNTS

- Beneficiary's Birth Certificate
- Confirmation of Trust

### FOR INDIVIDUAL ACCOUNTS

- 2 Valid ID's per investor

### FOR INSTITUTIONAL ACCOUNTS

- Certified True Copy of SEC Certificate of Registration
- Certified True Copy of Articles of Incorporation
- Certified True Copy of Articles of By-Laws
- Duly-signed Board Resolution authorizing purchase of sale
- Certification from Corporate Secretary indicating the percentage holdings according to the nationality of the stockholders of the corporation
- List of authorized signatories
- List of principal stockholders owning at least 2% of the principal capital
- List of the beneficial owners (if any)



**3rd Floor, PLPI Building, 118 Gamboa Street, Legaspi Village, Makati City.**  
**Tel. Nos. (02) 812-8803 / 892-0164 Fax No. (02) 894-1153**  
**Cel Nos. (0917) 836-8903, (0918) 979-6004 Email Address: [optima@prudentialife.com](mailto:optima@prudentialife.com)**  
**Website: [www.myoptimafunds.com](http://www.myoptimafunds.com)**