



# BEST, Inc.

Bonds, Equities, Securities and Traders, Inc.

2/F Basic Petroleum Building, 104 Don C. Palanca Street, Legaspi Village, Makati City 1229  
Direct Lines: +632 8128803 / +632 8433396 • Fax: +632 8941153  
Mobile: +639178368903 / +639189796004 • E-mail: helpdesk@myoptimafunds.com

Type of account

<input type="checkbox"/> Individual	<input type="checkbox"/> Joint OR	<input type="checkbox"/> Joint AND
<input type="checkbox"/> Others		

## CUSTOMER ACCOUNT INFORMATION FORM

### INFORMATION ABOUT THE PRIMARY ACCOUNT HOLDER

(Please accomplish completely and legibly)

Name (Last Name, First Name, Middle Name)	
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Civil Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Separated
Citizenship <input type="checkbox"/> Filipino <input type="checkbox"/> Others _____	
Name of Spouse (If Applicable)	
Residential Address (No., Street, Town/District, City/Province, Postal/Zip Code, Country)	
Date of Birth (Month/Day/Year)	Place of Birth (Town/Province/City)
Number of Dependents (If Applicable)	Tel No./Mobile No (Including Country Code And Area Code)
Email Address	Facsimile No (Including Country Code And Area Code)
Educational Background <input type="checkbox"/> Primary <input type="checkbox"/> Secondary <input type="checkbox"/> Tertiary <input type="checkbox"/> Post Graduate <input type="checkbox"/> Others _____	Employment Status <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed <input type="checkbox"/> Others _____
Tax Identification Number	SSS or GSIS Identification Number
Name of employer/Name of Business (If Owned)	Nature of Business
Office Tel No/Fax No (+Country Code And Area Code)	Years with employer/Years of Business (If Owned)
Employer Address/Business Address (No., Street/Building Town/District City/Province Postal/Zip Code Country)	

### FINANCIAL AND INVESTMENT PROFILE

Liquid Net Worth (in Php) <input type="checkbox"/> < 500,000 <input type="checkbox"/> < 1.0 Million <input type="checkbox"/> < 5.0 Million <input type="checkbox"/> < 10.0 Million <input type="checkbox"/> Over 10.0 Million	Total Net Worth (in Php) <input type="checkbox"/> < 500,000 <input type="checkbox"/> < 1.0 Million <input type="checkbox"/> < 5.0 Million <input type="checkbox"/> < 10.0 Million <input type="checkbox"/> Over 10.0 Million
Annual Income (in Php) <input type="checkbox"/> < 250,000 <input type="checkbox"/> < 500,000 <input type="checkbox"/> < 750,000 <input type="checkbox"/> < 1.0 Million <input type="checkbox"/> Over 1.0 Million	Primary Source of Income <input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Investment <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Investment Objectives <i>List 1 to 4 in order of priority</i> <input type="checkbox"/> Growth <input type="checkbox"/> Capital Preservation <input type="checkbox"/> Speculation <input type="checkbox"/> Long Term Investment	Investment Experience <input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive
Risk Tolerance <input type="checkbox"/> Conservative <input type="checkbox"/> Moderate <input type="checkbox"/> Aggressive	Investment Knowledge <input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive
Approximate Amount of Capital Available for Investment (in Php)	

### DISCLOSURES

Are you a corporate officer or director, or do you own 10% or more of a PSE listed or publicly held Company? <input type="checkbox"/> No <input type="checkbox"/> Yes (Specify Name) _____
Are you an officer or employee of another Broker/Dealer? <input type="checkbox"/> No <input type="checkbox"/> Yes (Specify Name) _____
Do you have an account(s) with other stockbrokerage firms or mutual fund companies? <input type="checkbox"/> No <input type="checkbox"/> Yes (Specify Name) _____

**INFORMATION ABOUT THE SECOND ACCOUNT HOLDER**

*(Please accomplish completely and legibly)*

Name (Last Name, First Name, Middle Name)		
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Civil Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Separated	Citizenship <input type="checkbox"/> Filipino <input type="checkbox"/> Others _____
Name of Spouse (If Applicable)		
Residential Address (No, Street, Town/District, City/Province, Postal/Zip Code, Country)		
Date of Birth (Month/Day/Year)	Place of Birth (Town/Province/City)	
Number of Dependents (If Applicable)	Tel No./Mobile No (Including Country Code And Area Code)	
Email Address	Facsimile No (Including Country Code And Area Code)	
Educational Background <input type="checkbox"/> Primary <input type="checkbox"/> Secondary <input type="checkbox"/> Tertiary <input type="checkbox"/> Post Graduate <input type="checkbox"/> Others _____	Employment Status <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed <input type="checkbox"/> Others _____	
Tax Identification Number	SSS or GSIS Identification Number	
Name of employer/Name of Business (If Owned)	Nature of Business	
Office Tel No/Fax No (+Country Code And Area Code)	Years with employer/Years of Business (If Owned)	
Employer Address/Business Address (No., Street/Building Town/District City/Province Postal/Zip Code Country)		

<b>FINANCIAL AND INVESTMENT PROFILE</b>		
Liquid Net Worth (in Php) <input type="checkbox"/> < 500,000 <input type="checkbox"/> < 1.0 Million <input type="checkbox"/> < 5.0 Million <input type="checkbox"/> < 10.0 Million <input type="checkbox"/> Over 10.0 Million		Total Net Worth (in Php) <input type="checkbox"/> < 500,000 <input type="checkbox"/> < 1.0 Million <input type="checkbox"/> < 5.0 Million <input type="checkbox"/> < 10.0 Million <input type="checkbox"/> Over 10.0 Million
Annual Income (in Php) <input type="checkbox"/> < 250,000 <input type="checkbox"/> < 500,000 <input type="checkbox"/> < 750,000 <input type="checkbox"/> < 1.0 Million <input type="checkbox"/> Over 1.0 Million		Primary Source of Income <input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Investment <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Investment Objectives <i>List 1 to 4 in order of priority</i> <input type="checkbox"/> Growth <input type="checkbox"/> Capital Preservation <input type="checkbox"/> Speculation <input type="checkbox"/> Long Term Investment		Investment Experience <input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive
Risk Tolerance <input type="checkbox"/> Conservative <input type="checkbox"/> Moderate <input type="checkbox"/> Aggressive	Investment Knowledge <input type="checkbox"/> None <input type="checkbox"/> Limited <input type="checkbox"/> Good <input type="checkbox"/> Extensive	Approximate Amount of Capital Available for Investment (in Php)

<b>DISCLOSURES</b>		
Are you a corporate officer or director, or do you own 10% or more of a PSE listed or publicly held Company? <input type="checkbox"/> No <input type="checkbox"/> Yes (Specify Name) _____		
Are you an officer or employee of another Broker/Dealer? <input type="checkbox"/> No <input type="checkbox"/> Yes (Specify Name) _____		
Do you have an account(s) with other stockbrokerage firms or mutual fund companies? <input type="checkbox"/> No <input type="checkbox"/> Yes (Specify Name) _____		

MAILING AND COMMUNICATION INSTRUCTIONS	
CUSTOMER BANK ACCOUNT DETAILS	
Bank Account Name	Bank Account Number
Bank Name and Branch Address <i>(Pls Indicate Complete Name And Address)</i>	

APPLICATION REQUIREMENTS AND INSTRUCTIONS									
<p>For Filipino residing in the Philippines:</p> <ol style="list-style-type: none"> <li>Photocopy of at least two (2) acceptable identification (please present original for verification) <ul style="list-style-type: none"> <li>Passport, Phil. Drivers License, SSS ID, Credit Card (w/Picture), Birth Certificate, Company ID (w/Picture) or other government acceptable IDs</li> </ul> </li> <li>Latest copy of any of the following <ul style="list-style-type: none"> <li>Public Utility Bill, Credit Card Statement or Bank Statement</li> </ul> </li> <li>Specimen Signature Cards (2)</li> </ol> <p>For Non-Filipinos residing in the Philippines, include a photocopy of current visa, alien certificate of registration (ACR) and proof of government permission to engage in business / employment; validity period of work permit must be at least one year from its date of issue.</p> <p>Additional Requirements for non Residents:</p> <ol style="list-style-type: none"> <li>Proof of Income Duly Certified by Employer</li> <li>Identification Documents authenticated by Philippine Embassy or Consulate</li> </ol> <p>I / we confirm that the information given by me/us is true and correct. I/we authorize Bonds, Equities, Securities and Traders, 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 grounds for legal action against me/us and the rejection or my/our application. I/we understand that should my/our application be denied, Bonds, Equities, Securities and Traders, Inc. has no obligation on its part to furnish the reason for such rejection.</p> <p>Signature(s)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; height: 40px;"></td> <td style="width: 5%;"></td> <td style="width: 45%; height: 40px;"></td> </tr> <tr> <td style="text-align: center;">Primary Account Holder</td> <td style="text-align: center;">Date</td> <td style="text-align: center;">Secondary Account Holder</td> </tr> <tr> <td></td> <td></td> <td style="text-align: center;">Date</td> </tr> </table>				Primary Account Holder	Date	Secondary Account Holder			Date
Primary Account Holder	Date	Secondary Account Holder							
		Date							

Referror/Salesman	Processed by	Approved by

**BROKER'S AGREEMENT**

I/We (the CLIENT) hereby engage the services of BONDS, EQUITIES, SECURITIES AND TRADERS, INC. (the BROKER) to act as our stockholder/agent and in view thereof agree to abide by the following provisions:

1. The CLIENT hereby represent and warrants that (i) for natural persons, he/she possesses the legal capacity, and is not suffering from any legal impediment, to execute this agreement and comply with all its terms and conditions, (ii) for judicial persons, that it is duly organized and existing in accordance with Philippine laws (if a domestic entity) or laws of the country of its origin (if a foreign entity) and that its representative / signatory to this agreement for and on its behalf, (iii) for foreign judicial persons, the execution, delivery, performance, and observance of the provisions of this agreement will not violate any laws of their country, and (iv) the signature(s) of the CLIENT or its representative appearing herein below is (are) the genuine, official and authorized signature(s) of said party in so far any transaction covered by this agreement with the BROKER is concerned and said signature may at all times be referred to by the BROKER for verification purposes for any transaction covered by this agreement.
2. Orders for the purchase and sale of securities made to the BROKER by the CLIENT shall be subject to the following conditions, provided that it is not inconsistent with any laws, rules, regulations, and policies issued by the Securities and Exchange Commission, Philippine Stock Exchange and Philippine Central Depository, or any agency of the Philippine Government;
  - (a) The CLIENT can make the order in writing, or verbally through telephone or through another person and the BROKER may rely upon or act in accordance with such orders. In acting upon the orders of the CLIENT, the BROKER shall exert its best effort in complying thereto but without any warranties that said orders will be fully carried-out.
  - (b) Once the BROKER issues and sends a confirmation notice, the CLIENT is immediately bound to the transaction involved therein and any agreement, condition, commitment, undertaking, or option, which the BROKER agreed to, must be complied with by the CLIENT. In pursuing any transaction for the CLIENT, the BROKER does not warrant the quality or condition of any security, or its issuer or seller.
  - (c) In a BUY ORDER, the CLIENT shall pay and remit to the BROKER the entire value of the purchase transaction including all related expenses within three (3) working days from the date the BROKER made the purchase, or earlier, if the prescribed settlement period is altered by the SEC/PSE. Upon purchase, the securities shall be registered in the name of the BROKER until the CLIENT pays fully the total transaction value. Once payment is made, the corresponding certificates shall be made out in the name of the CLIENT. Should the CLIENT fail to remit the required payment within the agreed period a 3.25% interest per month will be charged. Further, the BROKER at its option is authorized to dispose and sell the securities for the payment of the cost. Any shortfall between the purchase and disposition cost, any debit balance shall be paid by the CLIENT. Any outstanding debit balance shall also charged 3.25% interest per month. In case of SELL ORDERS, the CLIENT undertakes to deliver the stock certificates, including all documents evidencing ownership, to the BROKER within (3) working days from the date the securities are sold by the BROKER or earlier, if the prescribed settlement period is altered by the SEC/PSE. The proceeds of the sale shall be forwarded to the CLIENT WITHIN (3) working days from the submission of the certificate of stock to the BROKER.
  - (d) The BROKER, when acting upon any order or instruction of the CLIENT shall not be liable to any third party in any case any suit, litigation or controversy is filed arising from any transaction entered for and on behalf of the CLIENT. In case the BROKER is sued, the CLIENT shall assume full and sole responsibility and shall absolved from any liability whatsoever.
3. Any and all moneys or securities which are in the possession of the BROKER as security or collateral for the payment of any liability or unsettled obligation of the CLIENT to the BROKER, with full and complete authority to transfer, sell and convey, to third persons or acquire it for its own use when in the exclusive judgment of the BROKER such transfer, conveyance, sale or acquisition is necessary.
4. All communications whether by mail, telegraph, fax telephone, messenger or otherwise which is sent by the BROKER to the address or through the telephone number appearing in the account application form of the CLIENT shall be considered personally delivered to and received by the CLIENT. It is agreed that all the address or telephone numbers given by the CLIENT is conclusive as to its correctness except when the CLIENT forwards a written notice of change of telephone number or address and such notice was received by the BROKER at least twenty four (24) hours before any communication is sent.
5. In the event of any controversy or litigation arising out of this agreement, the BROKER'S books shall be final and conclusive of the amount due to the BROKER. The BROKER, in addition to other amounts which the court shall adjudicate, shall be entitled to recover liquidated damages, which shall not be less than twenty-five percent (25%) of the total amount claimed. The venue of all actions not falling within the exclusive jurisdiction of the Securities and Exchange Commission (SEC) must be filed with the trial courts of the City of Makati to the exclusion of all other similar courts of concurrent jurisdiction.
6. The BROKER and the CLIENT hereby agree that either party may produce telephonic recordings or computer records as evidence in any proceedings brought in connection with this Agreement and the CLIENT hereby agrees to the BROKER'S telephonic or electronic recording.
7. The BROKER reserves the right to close the CLIENT'S account if it remains inactive for a period of one (1) year.
8. This agreement shall take effect immediately, and shall not revoked by either party except five (5) days prior written notice to the other party. All transactions entered into before the effectivity of the revocation is binding and effective on the parties.

CONFORME:

NAME AND SIGNATURE OF AUTHORIZED SIGNATORY	Date	NAME AND SIGNATURE OF AUTHORIZED SIGNATORY	Date
--	------	--	------