

# SARANGANI SECURITIES INCORPORATED

Trading Participant of the Philippine Stock Exchange, Inc.  
A Member of SCCP and of the SIFP  
Unit 2 D1, Vernida 1 Condominium  
120 Amorsolo Street, Legaspi Village  
Makati City, Metro Manila  
Tel. Off. 8817-5806 \*8 817-5834 \*8840-4504  
Exch: 839-0671 \* 839-0672

CLIENT CODE \_\_\_\_\_

COMMISSION RATE (%) \_\_\_\_\_

DATE \_\_\_\_\_  
DATE STARTED: \_\_\_\_\_

## Customer Account Information Form

Account Type ( ) Cash ( ) Discretionary ( ) Margin  
Client Type ( ) Individual ( ) Joint ( ) ITF  
( ) Corporation ( ) Partnership

### Individual or Joint Accounts

Name of Customer* Surname	First Name	Middle Name	Tax Identification No. *
Other Name/s Used*	SSS/GSIS No. *		Civil Status *
Date of Birth*	Place of Birth*	Mother's Maiden Name *	Name of Spouse *
Present Residence*	Tel. No. *		FAX No.
Permanent Residence *	Tel. No. *		FAX No.
Occupation *	Nationality *	A.C.R No.,if applicable	Mobile No.* E-Mail Address
Name of Employer/Business* Address*	Nature of Business*	Tel. No.*	FAX No.

### Corporate or Institutional Accounts

Name of Customer *	Tax Identification No. *			
Business Address*	Tel. No. * Fax No.			
Nationality *	Date of Incorporation *	Country of Incorporation *	Nature of Business *	E-Mail Address:
Names of personnel authorized to transact business on behalf of the Company: *				
Name	Position	Signature		
_____	_____	_____		
_____	_____	_____		
_____	_____	_____		

#### This account can be operated on the instructions of:

any one signature     any two or \_\_\_\_\_ Signatures     others, pls. specify \_\_\_\_\_

#### NOTE: PLEASE ANSWER ALL QUESTIONS, IF NOT APPLICABLE WRITE "N.A."

Are you an officer or director of a PSE-listed company? \*     Yes     No    If yes:

Name	Position
_____	_____
_____	_____
_____	_____

Are you associated/related with any Broker Dealer? \*     Yes     No    If yes:

Company Name	Position
_____	_____

#### Invoice confirmation to be sent through: \* (Select one)

( ) Messenger/Courier, at    ( ) Facsimile    ( ) E-Mail/ Electronic Document    ( ) Others, pls. specify

<input type="checkbox"/> Present Residence	<input type="checkbox"/> Present Residence	_____
<input type="checkbox"/> Permanent Residence	<input type="checkbox"/> Permanent Residence	_____
<input type="checkbox"/> Business Address	<input type="checkbox"/> Business Address	_____

Do you require a duplicate copy of confirmation to be sent to another person? \*     Yes     No

If yes, Send to:    Name: \_\_\_\_\_    Relationship: \_\_\_\_\_  
Address: \_\_\_\_\_    Tel./Fax: \_\_\_\_\_

#### Do you agree to be provided with quarterly statement of accounts unless advised in writing otherwise?

Yes     No

#### Do you agree to be provided with proxy form for outstanding shares held in the custody of SARANGANI SECURITIES, INC. upon your request?

Yes     No

Do you authorize SARANGANI SECURITIES, INC. to forward your dormant account to Securities and Exchange Commission due to inactivity within the past 3 years?     Yes     No. If No, state why? \_\_\_\_\_

<b>Investment Objective: *</b>				
<input type="checkbox"/> Speculation	<input type="checkbox"/> Growth	<input type="checkbox"/> Preservation of Capital	<input type="checkbox"/> Long-term investment	<input type="checkbox"/> others, pls. specify _____
<b>Financial Information: *</b>				
Annual Income	<input type="checkbox"/> Below 500K	<input type="checkbox"/> 500K- < 1M	<input type="checkbox"/> 1M - < 10M	<input type="checkbox"/> 10M and above
Assets	<input type="checkbox"/> Below 500K	<input type="checkbox"/> 500K- < 1M	<input type="checkbox"/> 1M - < 10M	<input type="checkbox"/> 10M and above
Net Worth	<input type="checkbox"/> Below 500K	<input type="checkbox"/> 500K- < 1M	<input type="checkbox"/> 1M - < 10M	<input type="checkbox"/> 10M and above
<b>Source of fund(s): * (For Individual / Joint Accounts)</b>				
<input type="checkbox"/> Savings	<input type="checkbox"/> Business Income	<input type="checkbox"/> Employment / Salary	<input type="checkbox"/> Revolving Purchase / Sale of Investments	
<input type="checkbox"/> Others, please specify _____				
<b>Registration and Settlement Instructions</b>				
Unless specified otherwise, your shares will be kept with Sarangani Securities, Inc. under its Nominee Account with the Philippine Depository Trust Co (PDTC). Sales proceeds and/or cash dividend are to be delivered / remitted to:				
<input type="checkbox"/> Preferred address as stated above	<input type="checkbox"/> Client's account with Sarangani Securities, Inc.	<input type="checkbox"/> Others _____		
<b>For Discretionary Account: (Submit notarized Special Power of Attorney)</b>				
N.A.				
Name and signature of person authorized to exercise discretion in the account*			Date discretion is granted*	
_____ Signature of client to confirm Discretionary Account Arrangement*				
In case customer is acting as trustee, nominee, agent or in any capacity for and on behalf of another, please disclose the true and full identity of the person/s on whose behalf a transaction is being conducted:*				
Name:	N.A.		Relationship to Account Holder:	_____
Address:	_____		Nationality:	_____
<b>Declaration</b>				
1. The information disclosed above and the documents submitted together with this customer account information form are true and accurate unless a written notice is sent to the broker to amend portion/s hereof.				
2. I/we understand that I/we may be required to provide additional information to submit documentary proof as to the information provided to the application and as when required by Sarangani Securities, Inc. Unless written notice to the contrary is given to you and actually received by you, the person whose specimen signatures provided below is / are authorized to operate this Account.				
<b>Signed for or in behalf of the above-named client/s</b>				
_____		_____	_____	
Name & Signature of Customer *		Initial	Name & Signature of Customer *	
			Initial	
<b>FOR BROKER USE ONLY</b>				
Institute Account? *	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Introduced / Referred by:	_____		_____	
	Salesman *		Signature *	
Approved by:	_____		_____	
	Partner, Officer or Manager *		Signature *	
Received by:	_____		_____	
	Associated Person *		Signature *	
<b>Requirements (For Individual)</b>				
1. Photocopies of two (2) valid IDs bearing clear picture and signature. (front and back portions) w/ specimen signature on the photocopies i.e. Passport, Driver's License, SSS / GSIS Card (digitized), Senior Citizen Card, Company ID, Birth Certificate and other government - issued photo IDs				
<b>For Corporation / Partnership</b>				
1. SEC Certificate of Registration **		5. Annual Report or Annual Audited Financial Statements **		
2. Articles of Incorporation & By Laws **		6. Photocopies of two (2) valid IDs for each signatory (front & back portions) w/ specimen signatures on the photocopies **		
3. Secretary's Certificate of board resolution authorizing the opening of account with Sarangani Securities, Inc., designating the officers authorized to operate the account with their specimen signatures appearing thereon.		** Copies and valid IDs must be duly certified to be authentic copies of the originals by either the Corporate Secretary, Compliance Officer or the Philippine Consulate in the country of the domicile.		
4. General Information Sheet**				

## TERMS & CONDITIONS:

In consideration of **Sarangani Securities, Inc.** (the "Broker Dealer") agreeing to act as broker dealer for the undersigned. I/we (the "Client) hereby consent and agree that:

1. The Signature(s) appearing on this form is/are and the official signature(s) of the above-named account and may be used for verification of the said signature(s) at all times and for all purposes.
2. The Client hereby represents and warrants as follows: (i) he/she is of legal age, has full capacity and is not otherwise disqualified from executing this agreement and complying with the terms and conditions hereof. If the Client is a corporate applicant, the Client furthermore represents and warrants that: (ii) it is a corporation duly organized, validly existing and in good standing under the laws of the Philippines and under the laws of its origin (in case of foreign corporation). (iii) all appropriate and necessary corporate and legal action has been taken by it to authorize the execution and delivery of this agreement and the performance and observance of the terms hereof, (iv) the signature of the signatories appearing on this form are duly authorized signatories of the corporation, and (v) in the case of foreign corporation, the execution, delivery, performance and observance of this agreement by the foreign corporation and the broker will not violate the laws of their jurisdiction and the laws of their jurisdiction allow them to enter into and perform this agreement.
3. Order for the purchase and sale of securities may be made by the Client in writing or by the word of mouth, through the telephone or through another person. The Broker Dealer is hereby authorized to rely upon and act in accordance with any and all of such orders. Any action taken by the Broker Dealer pursuant thereto shall be binding upon the Client when confirmation notice of such order is issued and sent by the Broker Dealer in accordance with Section 16 hereof.
4. All transactions shall be subject to the constitution, rules, regulations customs and usages of the exchange or markets (and its clearing house, if any) where executed.
5. The Broker Dealer shall exert its best efforts to place or execute any order of the Client for the purchase or sale of securities. The Broker Dealer does not warrant that any such order can be placed or executed. Any order by the Client for the purchase or sale of securities shall not be binding upon the Broker Dealer unless or until the Broker Dealer issues a confirmation notice such purchase or sale signed by its authorized signatories. Without a written confirmation by the Broker Dealer through its authorized signatories, the Broker Dealer shall not be bound to any purchase or sale of securities or any agreement, commitment, undertaking or option to purchase or sell or any other transaction, for of, or with the Client is fully aware that the salesman, sub-agent or correspondent soliciting or referring the Client, that the order or the transaction, does not have such authority to bind the Broker Dealer. Neither is the salesman or correspondent authorized to represent or warrant for the Broker Dealer concerning the quality or condition of any security of its issuer or seller, and if any such representation or warranty is made, the Broker Dealer shall not be responsible for the for the veracity or accuracy thereof.
6. For new clients, a hundred percent (100%) deposit is required before executing the initial BUY order. In addition, Corporate Clients must submit a True Copy of Secretary's Certificate of board resolution authorizing the opening of account with the Broker Dealer firm and designating the officers authorized to operate the account with their specimen signatures.
7. In case of any BUY order, the client shall, within three (3) trading days from the date of purchase by the Broker Dealer, pay the cost of the securities bought or ordered by the Broker Dealer in behalf of the client.. Shares of stocks purchased shall be delivered only upon full payment of the account and in any event, within three (3) trading days from the date of purchase. In case of SELL orders, the client shall within three (3) days from the date of sale by the Broker Dealer, deliver the shares of securities sold by the Broker Dealer in behalf of the client..
8. Any and all securities, or contracts relating thereto, now or hereafter held or carried by the Broker Dealer in any of the Client's account(s) (either individually or jointly with others); are to be held by the Broker Dealer as security or collateral for the payment of any liability to the Broker Dealer in any of said accounts, with the right on the part of the Broker Dealer to transfer moneys or from any one account(s) to another when in the sole and exclusive judgment of the Broker Dealer, such transfer may be necessary and all such securities may, from time to time, and without notice, be pledged and re pledged by the Broker Dealer, either separately or in common with other securities, for any amount due upon the Client's account(s) or for any greater amount without the Broker Dealer retaining possession or control for delivery a like amount of similar securities.
9. The Broker Dealer shall have the right, whenever in its sole and exclusive discretion, and whenever necessary for its protection, or in the event that (i) a petition in bankruptcy, or for appointment of a receiver is filed by or against the Client, or (ii) an attachment is levied against the Client's account(s) with the Broker Dealer, or (iii) the Client fails to comply with the provision of Section 7 hereof, and all cases, regardless of whether, the account is carried individually or jointly with others; (iv) to buy any or all securities and commodities which may be short in such account(s) as well as (v) to transfer moneys or securities from any of one of the account(s) or other, and to close any or all outstanding contracts, all without need of notice or demands for margin, or additional margin, additional security or collateral, or notice of sale or purchase, , or any other notice of advertisement , all which are hereby waived. Any such sales or purchases may be made at the discretion of the Broker Dealer on any exchange or other market where such business is then usually transacted or at public auction or private sale all without need of notice or demand all of which are hereby waived, and in case of sale at public auction or on exchange, the Broker Dealer may be purchasers for its own account. Notwithstanding the foregoing, the Client shall, at all times, be liable for the payment of any amount owing in any of its accounts with the Broker Dealer upon demand and the Client shall be liable for any deficiency remaining in any such accounts(s) in the event of liquidation thereof in whole or in part by the Broker Dealer or by the Client. For the purpose of selling, buying or performing other acts pursuant to the above paragraph, the Client hereby irrevocably appoints the Broker Dealer, its successors or assigns, as its attorney- in- fact with full power to sell, buy or act, for any of the account(s) of the Client (whether carried individually or jointly with others) to agree upon the price of said securities, execute bills of sales, receipts, assignments of all Client's right, title and interest to the purchaser(s) thereof. The Broker Dealer is also authorized to deliver or accept delivery of the corresponding stock certificates and/or any portion of the securities held under any of the account(s) of the Clients (whether carried individually or jointly with others) and herein pledged, to be transferred to the name of the Broker Dealer or its nominee. All acts and things which the Broker Dealer may do or cause to be done in accordance with the power herein conferred upon the Broker Dealer are hereby deemed ratified by the Client.
10. Any amount due from the Client to the Broker Dealer shall bear interest at a rate which shall be determined by the Broker Dealer and which rate shall be equivalent to the cost of the funds of the Broker Dealer for maintaining such balances.
11. It is agreed that in the event of any controversy or litigation arising out of this agreement, the books of the Broker Dealer shall be final and conclusive evidence of the amount due to the Broker Dealer. It is further agreed that this agreement and any controversy arising hereunder shall be subject to the provisions of the Philippine Constitution and rules and regulations of the Securities and Exchange Commission, Philippine Stock Exchange, the PSE Clearing House and customs, usages and practices of the foregoing, it being understood that said provisions, customs, usages and practices shall for all intents and purposes be deemed integral parts of this agreement. In the event of any controversy or litigation arising out of this agreement, the Broker Dealer shall be entitled to reimburse for all actual expenses of litigation as well as attorney's fees and cost of suit, all which shall be in an amount equivalent to not less than twenty five percent (25%) of the total amount of the Client's indebtedness then outstanding to the Broker Dealer. Venue for all litigation shall be in the proper courts of Makati, and the Client hereby waives any other applicable venue.
12. All communications, whether by mail, facsimile, e-mail, telephone, messenger or otherwise, sent to the address of the Client as given to the Broker Dealer from time to time, shall constitute personal delivery to the Client. Unless the Client otherwise notify the Broker Dealer in writing, notice sent to the address indicated herein shall constitute personal delivery to the Client. It is hereby agreed that all communications sent to the Client's indicated address

shall be conclusive and binding on the Client, in the absence of any written objection received by the Broker Dealer within twenty four (24) hours from the time the communication was sent to the said address. It is the responsibility of the Client to inform the Broker Dealer of any changes to this form.

13. Payments due or from Clients shall be made in the form of checks or bank deposits only. No cash payment shall be accepted. Corresponding fees shall be charged to both Buying and Selling transactions. For Buying transactions, the charges to be added to the proceeds are commission plus vat , PCD Fees, Transaction Fees and SCCP Fees. For Selling transactions, the charges to be deducted from the proceeds are commission plus vat, Sales Tax, PCD Fees, Transaction Fees and SCCP Fees.
14. The Broker Dealer has the right to hold all cash dividend checks of client who have not updated their Customer Account Information Form (CAIF). Release of such cash dividend checks will be contingent upon submission of said document.
15. The price of securities can and does fluctuate, and any individual security may experience upward or downward movements, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling securities.
16. Information in this Customer Account Information Form shall be treated with utmost confidentiality and shall not be disclosed to unauthorized persons; however, such confidentiality shall not apply to the Commission, SROs, clearing agencies, depositories and their authorized representatives that exercise regulatory and supervisory responsibilities, or to any order issued by the Commission pursuant to SRC Rule 30.2.9.
17. The Broker Dealer and the Client must notify each other in the event of any material change to the information provided in this agreement.
18. It is hereby further agreed that the terms and conditions printed on this agreement form part hereof as fully as if they were stated at length over the Client's signature(s) hereto affixed and they are therefore unconditionally agreed to.
19. This agreement shall take effect immediately, and shall not be revoked by a party except upon five (5) days prior written notice to the other party, and any event, notwithstanding such revocation, the terms hereof shall continue to be effective as against all transactions entered into by the Broker Dealer prior to receipt by the Broker Dealer of the written notice of revocation from the Client. The agreement shall insure in favor of the Broker Dealer's successors and assigns and shall continue until signed notice of revocation is received.
20. References to the Securities and Exchange Commission, Philippine Stock Exchange and the PSE Clearing House shall deemed to refer also to their successors in interest and assigns.
21. Under penalties of perjury I declare that I have examined this application including the accompanying schedules and Statements ,(if any) and to the best of my knowledge and belief, it is correct and complete.

**CONFORME:**

\_\_\_\_\_  
Authorized Signature of Account

\_\_\_\_\_  
Authorized Signature of Account

**ANNUAL STOCKHOLDERS' MEETING OF LISTED COMPANIES**

\_\_\_\_\_ I wish to attend the stockholders' meeting, please issue a proxy/certification in my name.

\_\_\_\_\_ I will appoint Sarangani Securities, Inc. or its designated proxy to represent me.

\_\_\_\_\_  
Authorized Signature of Account

\_\_\_\_\_  
Authorized Signature of Account

**AUTHORIZATION**

All communication such as but not limited to, confirmation of transactions, whether sent by mail, facsimile, e-mail, telephone, messenger or otherwise, delivery of which is required to be acknowledged may be received and acknowledged by duly designated representative whose signature on any said communication shall be deemed conclusive on me.

\_\_\_\_\_  
Authorized Signature of Account

\_\_\_\_\_  
Authorized Signature of Account

\_\_\_\_\_  
Name and Signature of Designated Representative

\_\_\_\_\_  
Name and Signature of Designated Representative

## SARANGANI SECURITIES, INC. DATA PRIVACY POLICY

Sarangani Securities, Inc. complies with the Data Privacy Act of 2012, its Implementing Rules and Regulations and other applicable laws and regulations. Sarangani Securities, Inc. is committed in safeguarding your privacy and ensuring that your personal and account information is protected. This Data Privacy Policy applies to all personal information that we collect from you for the purpose of providing you with our products and services.

When you accomplish the Customer Account Information Form (CAIF) in opening an account with Sarangani Securities, Inc., we may collect, use, and share your personal information for the processing of your buy, sell, settlement, and other transactions conducted through the Philippine Stock Exchange, Inc. We may share and disclose your personal information to third parties such as our service providers, and regulatory agencies. By giving us your personal information, you acknowledge and agree to the processing of your personal information following statutory and regulatory standards for data protection as well as the practices set out in this Data Privacy Policy.

### Collection of Personal Data

All identifiable information that you provide will only be used within the bounds of applicable Philippine Laws and other rules and regulations that may be issued by the Securities and Exchange Commission, its Self-Regulatory Organization (i.e. Philippine Stock Exchange, Capital Markets Integrity Corporation), Bangko Sentral ng Pilipinas. Non-identifiable data collected from website visitors will only be used to track and serve relevant content users and address their concerns, if any.

As defined under the Data Privacy Act of 2012, personal information is any information, from which the identity of an individual is apparent or can be reasonably and directly ascertained by the entity holding the information, or when put together with other information would directly and certainly identify the individual. In other words, it refers to any data that can be used to identify a person. This may include, among others:

- Personal contact information such as name, residential or office address, email address, birthdate, telephone/mobile phone number, nationality
- Proof of identification (government-issued identification cards or document) such as driver's license, passport, etc.
- Profession, job, occupation, business or trade
- Latest account and financial information (including source of funds)
- Employment details.
- Specimen signature/s

### Use of Personal Data

We use the information collected to deliver and provide the products and services that you have availed in order to:

- approve, facilitate, administer and process applications and transactions;
- daily operation or provision of financial products and services to you, managing or carrying out any of your transactions, requests or queries in connection with your contract with Sarangani Securities, Inc. transaction reporting; enforcement of our agreement with you;
- send you statements, notices and other such documents necessary for continued use of our products and services;
- enhance or upgrades Sarangani Securities, Inc. system infrastructure, operational, technical and other internal systems and processes maintained by or on behalf of Sarangani Securities, Inc.
- comply with/implement internal credit risk and control management, administration, audit, administrative processes, compliance functions/ programs/ policies; the terms and conditions governing our products and services pursuant to the rules and regulations of the Securities and Exchange Commission, its Self-Regulatory Organization, and Bangko Sentral ng Pilipinas; legal and regulatory requirements of government regulators, judicial, supervisory bodies, tax authorities or courts of competent jurisdiction;
- comply with applicable laws of the Philippines and those of other jurisdictions including the United States Foreign Account Tax Compliance Act (FATCA), the laws on the prevention of money laundering including the provisions of Republic Act No. 9160 (Anti-Money Laundering Act or AMLA of 2001), as amended and the implementation of know your customer and sanction screening checks;
- comply with legal and regulatory requirements of other government agencies and quasi regulatory bodies, responding to court orders and other instructions and requests from any local or foreign authorities including regulatory, governmental, tax and law enforcement authorities or other similar authorities;
- perform other such activities permitted by law or with your consent.

We ensure that the handling of your information adheres to the established security standards and procedures. Further, up-to-date technology is in place to prevent unauthorized access which undergoes continuous assessment designed to improve means in securing your privacy.

### Sharing of Personal Data

We assure you that we do not, and will not, share, rent or sell personal information to third parties outside of our company (or the group of companies of which we are a part of) without your consent. All our engagements with third party service providers shall be fully compliant with our obligation of confidentiality imposed on us under the applicable agreements and/or terms and conditions or any applicable laws that govern our relationship with you.

In some instances, we may share your personal information with our third parties as part of business operations, under an obligation of confidentiality. This means that we might share information with:

- other organizations or agencies or business partners that act as our service provider;
- government agencies when required by law or regulation or by competent order of the courts;
- other companies with whom you have provided consent to share information

**Protection of Personal Data**

The integrity, confidentiality and availability of your information are important to us. We strictly enforce our privacy policy by implementing stringent technological, organizational and physical security measures that are intended to protect your information from unauthorized access, use, alteration and disclosure. In addition, we train our employees to properly handle your information. Whenever we engage other companies to provide services for us, we require them to protect personal information aligned with our own security standards.

Nonetheless, we encourage you to be vigilant in protecting your personal data by ensuring that your personal information is not disclosed to others nor written where it may be accessible to others.

**Retention of Personal Data**

Sarangani Securities, Inc. takes reasonable steps to ensure that your personal information shall be retained for the period necessary to fulfill the purpose/s for which it was collected and such other purposes that you may have consented to from time to time or until such time as it is no longer required nor necessary to keep your information for any other legal, regulatory or business purposes.

**Rights of Clients**

The Data Privacy Act of 2012 and its Implementing Rules and Regulations afford our clients certain rights. In exercising these rights, you may:

- Object to the processing of your personal information;
- Opt not to share your information with other companies that we have business with provided that such information is not critical nor required by applicable laws and regulations in maintaining the services that you have availed from us;
- Access your data;
- Modify inaccurate data or update information;
- Update your information;
- Request for deletion or suppression of data

**How to Contact Us**

For any queries, clarifications or requests on any aspect of this Data Privacy Policy, the exercise of your rights pertaining to your personal information or to provide any feedback that you may have about our processing of personal information, you may contact our Data Protection Officer through the following:

Data Privacy Officer  
 Sarangani Securities, Inc.  
 Unit 2 D1 Vernida I Condominium  
 120 Amorsolo St., Legaspi Village  
 Makati City 1229  
 Telephone Number: 63-2-840-4504  
 Fax Number: 63-2-817-5815  
 E-mail Address: sarangani95@yahoo.com

Due to the rapidly evolving changes in brokerage and technology, we may update this Policy Statement and all revisions will be posted on this site.

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**DATA PRIVACY CONSENT**

In compliance with the Data Privacy Act (DPA) of 2012, and its implementing Rules and Regulations (IRR) effective since September 8, 2016, I agree and authorize Sarangani Securities, Inc. to use my Personal Data in accordance with their Data Privacy Policy as stated above.

\_\_\_\_\_  
 Name and Signature of Stockholder

\_\_\_\_\_  
 Date

1. ARE YOU A POLITICALLY EXPOSED PERSON (PEP)? YES \_\_\_\_\_ NO \_\_\_\_\_
2. ARE YOU RELATED TO A POLITICALLY EXPOSED PERSON (PEP)? YES \_\_\_\_\_ NO \_\_\_\_\_

If you answered yes, to any of the 2 questions above, kindly fill up the questionnaire below:

**QUESTIONNAIRE FOR POLITICALLY EXPOSED PERSON (PEP)**

**“Politically Exposed Person”** refers to an individual who is or has been entrusted with prominent public position in (a) the Philippines with substantial authority over policy, operations or the use or allocation of government-owned resources; (b) a foreign State; or (c) and international organization.

To comply with the requirements of the provisions on Politically Exposed Persons (PEPS) under Rule 9-A.1 of the 2016 Revised Implementing Rules and Regulations (RIRR) of Republic Act No. 9160, also known as the “Anti-Money Laundering Act of 2001”, please answer the following questions correctly:

1	Are You in your domicile state/state of permanent residence holding a senior public position (e.g. state president, prime minister, deputy minister (or equivalent)?)	YES	NO
2	Are You a member of parliament/member of a legislature?	YES	NO
3	Are You a member of the Supreme Court, Constitutional Court or another high court which passes non-appealable verdicts (except in exceptional cases)?	YES	NO
4	Are You a judge of a financial court or member of the council of the central bank?	YES	NO
5	Are You an ambassador, consul or a high ranked military officer?	YES	NO
6	Are You member of the managing or supervisory board of (majority) state-owned legal entities?	YES	NO
7	Are You related to an immediate family member of the person stated under 1-6: 1. Spouse or brother or sister 2. Common-law-partner 3. Child or spouse of the child or common-law-partner of the child 4. Parent	YES YES YES YES	NO NO NO NO
8	Are You a personal or professional associate of the mentioned person(s) who Commonly benefits from the assets or from an established business relationship or from another form of close business contact with the upper stated person(s)?	YES	NO
9	Has a time period of at least 12 months expired since the termination of any of the upper mentioned senior public position?	YES	NO
10	If You are a Politically Exposed Person please state: The sources of the assets or funds which will be the subject of the business relationship or transaction:		

We hereby thank you for your kind assistance in completing this Questionnaire.

By signing this document, I hereby confirm under the penalties of perjury that the given data is correct and true.

Printed Name and Signature: ✓ \_\_\_\_\_

Date: ✓ \_\_\_\_\_

Noted by: **SARANGANI SECURITIES, INC.**

**IAN F. ANTONINO**  
Vice President

**MARY CAROLINE C. SISON**  
Vice President