

## Account Opening Checklist

To ensure that you have accomplished all the forms and requirements please check the list below.

### FOR INDIVIDUAL ACCOUNT

- ☐ Account Opening Form
- ☐ Investor Risk Profiling Questionnaire
- ☐ Signature Card (2 copies)
- ☐ One (1) Valid ID with Signature, must sign 3 times next to photocopied ID
- ☐ Investment Application Form
- ☐ Proof of payment (check or deposit slip)

### FOR JOINT "AND", "OR" ACCOUNT

- ☐ Account Opening Form
- ☐ Investor Risk Profiling Questionnaire
- ☐ Signature Card (2 copies)
- ☐ One (1) Valid ID with Signature, each signatory must sign 3 times next to photocopied ID
- ☐ Investment Application Form
- ☐ Proof of payment (check or deposit slip)

### FOR "IN TRUST FOR" (ITF) ACCOUNT

- ☐ Account Opening Form
- ☐ Investor Risk Profiling Questionnaire
- ☐ Signature Card (2 copies)
- ☐ One (1) Valid ID with Signature for each signatory, each signatory must sign 3 times next to photocopied ID
- ☐ Photocopied of birth certificate of beneficiary
- ☐ 1 Valid ID of beneficiary
- ☐ Investment Application Form
- ☐ Proof of payment (check or deposit slip)

#### Important:

- Check/deposit must be payable to the fund of your choice (i.e. "Philequity Fund, Inc.").
- All account holders must submit their TIN and SSS/GSIS numbers.
- Name and signature on the Account Opening Form and Signature Cards must match with IDs.

#### Settlement Bank Accounts:

Settlement Bank	Philequity Fund, Inc.	Philequity PSE Index Fund, Inc.	Philequity Dividend Yield Fund, Inc.	Philequity Peso Bond Fund, Inc.	Philequity Dollar Income Fund, Inc.
Banco de Oro	00-343-0000-151	00-343-0152-148	00-343-0247-769	00-343-0152-121	10-343-0140-646*
Eastwest Bank	49-02-00547-7	49-02-00642-2	49-02-02897-3	49-02-00552-3	
Unionbank	006-03-0-00010-1	006-03-0-01019-0	002-06002-626-5	006-03-0-01080-8	006-10-1-01130-5
RCBC	758-9707-081	758-9707-111	759-0083-385	758-9707-073	

\*subject to clearing

#### Note:

- Failure to comply with the above requirements will delay the processing of your account.
- Complete documents submitted by 12 o'clock noon will be processed with the corresponding NAVPS for the same day



ACCOUNT OPENING FORM (INDIVIDUAL)

2004-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City, Philippines 1605  
(+632) 689 8080 (+632) 706 0795 sales@philequity.net www.philequity.net

INSTRUCTIONS: Please type all information in CAPITAL LETTERS. Fill-out this form completely. Write N/A on fields that are not applicable and do not leave any blank spaces.

ACCOUNT NO. For PhilEquity Use Only

DATE mm/dd/yyyy

Account Name This is the name that will appear on your statements of account and other correspondence

Account Type

☐ Individual

☐ Joint “OR”

☐ Joint “AND”

☐ ITF

PRIMARY INVESTOR

Last Name\*

First Name\*

Middle Name\*

Present Address\* House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code

Permanent Address\* House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code

Civil Status

☐ Single

☐ Married

☐ Widowed

☐ Separated

Spouse's Name LN, FN, MN

Birthdate\*

Birthplace\*

Gender\*

☐ Male

☐ Female

Nationality\*

Contact No.\*

Mobile No.\*

Fax No.\*

Email\*

Occupation\*

Source of Funds\*

☐ Salary

☐ Retirement

☐ Business

☐ Investment

☐ Others

SSS / GSIS\*

TIN\*

Employer's / Business' Name\*

Office / Business Address\*

Nature of Employment / Business\*

Office / Business Contact No.\*

Annual Income

☐ below Php 300,000

☐ Php 300,000 - Php 500,000

☐ Php 500,000 - Php 1 Million

☐ Php 1 Million - Php 5 Million

☐ over Php 5 Million

CO-INVESTOR

Last Name\*

First Name\*

Middle Name\*

Present Address\* House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code

Permanent Address\* House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code

Civil Status

☐ Single

☐ Married

☐ Widowed

☐ Separated

Spouse's Name LN, FN, MN

Birthdate\*

Birthplace\*

Gender\*

☐ Male

☐ Female

Nationality\*

Contact No.\*

Mobile No.\*

Fax No.\*

Email\*

Occupation\*

Source of Funds\*

☐ Salary

☐ Retirement

☐ Business

☐ Investment

☐ Others

SSS / GSIS\*

TIN\*

Employer's / Business' Name\*

Office / Business Address\*

Nature of Employment / Business\*

Office / Business Contact No.\*

Annual Income

☐ below Php 300,000

☐ Php 300,000 - Php 500,000

☐ Php 500,000 - Php 1 Million

☐ Php 1 Million - Php 5 Million

☐ over Php 5 Million

BENEFICIARY if applicable

Last Name\*

First Name\*

Middle Name\*

Present Address\* House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code

Birthdate\*

Birthplace\*

Relationship to Primary Investor\*

Nature of Work\*

Source of Funds\*

☐ Salary

☐ Retirement

☐ Business

☐ Investment

☐ Others

ENROLLMENT TO MUTUAL FUND SERVICES

☐ Facsimile and Electronic Mail Instructions

☐ Electronic Delivery (i.e., Statement, Notice of Annual Stockholders Meeting, Confirmation)

DECLARATION

I/We hereby attest and acknowledge that:

1. I/We have presented authentic and legitimate identification documents and that all information given in this form is correct and complete. Should any information provided herein change, I/we undertake to inform PEMI of the same within 5 days from the occurrence of the change.

2. I/We am/are not engaged in any of the unlawful activities listed in the Anti-Money Laundering Act, as amended, and its implementing rules and regulations ("AMLA"). I/We further declare that the funds I/we will invest are not from any of the said unlawful activities. This declaration survives this document and shall be deemed to cover all investments I/we may subsequently make.

3. I/We have read and understood the contents of this form and the Fund's prospectus. I/We understand that any investment I/we make/s shall be subject to the terms and conditions set out in the Funds prospectuses.

4. I/We accept, consent and agree to abide by the General Terms and Conditions, a copy of which was provided to me/us together with any and all amendment made thereto from time to time.

5. The value of shares in mutual funds, including the Funds, may fluctuate from time to time, thus, returns are not guaranteed nor are historical returns an indication of future performance.

6. I/we hold PEMI, its officers and representatives, free and harmless from any and all claims, liabilities, damages and suits of whatever nature arising out of or in connection with the opening of this account.

Primary Investor Signature over Printed Name

Co-Investor Signature over Printed Name

DECLARATION OF THE MUTUAL FUND REPRESENTATIVE

I hereby attest and acknowledge that:

1. I have obtained satisfactory evidence and have verified the true and full identity of the Client, as well as required identifying information on the Client.

2. To the best of my knowledge, the Client does not engage in any unlawful activities listed in AMLA. I further declare that, to the best of my knowledge, the funds to be invested by the Client in the Funds, as managed by PEMI were not generated from any unlawful activities listed in AMLA.

3. Should there be any adverse change in my opinion of the standing integrity or reputation of the Applicant, I shall inform PEMI immediately.

4. I understand and acknowledge that transactions will be processed only upon submission of complete information and documentary requirements.

Certified Investment Solicitor Signature over Printed Name

CIS License Number

Date

PHILEQUITY USE ONLY

Distributor/Referred by

Account Officer

Processor

Date Processed

Authorizer

Date Authorized

ACCOUNT OPENING CHECKLIST

☐ Account Opening Form

☐ Risk Profiling Questionnaire

☐ 2 Signature Cards

☐ 1 Valid ID with specimen signature

If not Filipino Citizen additional requirements

☐ Copy of Alien Certificate of Registration

☐ Passport

☐ Report regarding Residence status & duration of allowed stay in the Philippines

For ITF Accounts additional requirements

☐ Birth Certificate

☐ Valid ID

If with Beneficiary additional requirements

☐ Birth Certificate

☐ Valid ID

Acceptable photograph bearing IDs are those issued by a government agency such as Passport, Driver's License, SSS card, GSIS E card, TIN ID, Philhealth Card, Professional Regulations (PRC) ID, Postal ID, Photo bearing Barangay ID/Certification, Gov't Office ID's issued by Gov't. instrumentalities (ex. AFP, HDMF, DepEd, etc), Firearms license, OWWA ID, OFW ID, Seaman's Book, Police Clearance, Voter's ID, Company ID, Alien Certificate of Registration (ACR)/ACR I-card, Immigrant Certificate of Registration, Senior Citizen, or Photo bearing credit card, Photo-bearing Health card issued by HMOs, etc. Otherwise it will be subject to validation.

Copy Distribution: Original - Philequity 2nd copy (blue) - Transfer Agent 3rd copy (yellow) - Investor / Client

TERMS AND CONDITIONS

**AGREEMENT.** These Terms and Conditions shall form part of your account/s with the PhilEquity Management Inc and shall be applicable to any future account that you may open with us. As used in the succeeding paragraphs, "we", "our", "us", and "PEMI" refer to Philequity Management Inc. The terms "you", "your" and "investor" refer to every person who has an account or opens an account with Philequity Management Inc.

**ACCEPTANCE.** In signing our account opening forms, signature cards, or by using our services and facilities, you agree to be bound by these Terms and Conditions and such other conditions further stated in the FUND's prospectus and its registration statements both under the Investment Company Act and the Securities Regulation Code filed with the Securities and Exchange Commission ("SEC").

**DISCLOSURE OF INFORMATION.** You certify that all information that you have provided or will provide to us is complete, true and correct and that all signatures on these documents are genuine. You acknowledge that we may be required by law, competent courts or government or regulatory bodies or other offices or agencies authorized by law to disclose information or data relating to you and your accounts. You understand and agree that we may be required to report your accounts, including the handling thereof, to the Securities and Exchange Commission, Anti-Money Laundering Council, and/or any other governmental or regulatory body.

**CUSTOMER INFORMATION UPDATE.** We, at our sole discretion, may update any and/or all your existing records with us using the latest customer information that we derive from you.

**ELIGIBLE APPLICANT.** Shares of the Fund may be held by any person of legal or any duly organized and existing corporation, or legal entity regardless of citizenship or nationality.

**a. JOINT "OR" ACCOUNTS.** The funds in your joint "or" account/s are owned entirely by any one of you jointly and severally, and shall be payable to and collectable by any one or more of you. Your joint "or" account authorizes us to allow and accept subscriptions and redemptions with any investors who are joint account holders and whose signatures are indicated in the specimen signature card, and automatically vests in any of you to do whatever is desired with the funds without the consent of the other co-investor.

Whenever one or more of you redeem from your joint "or" account, you are doing so with the explicit and sworn declaration under pain of perjury, that all your co-investor are still living on the date of redemption. Upon the death of a co-investor, the redemption proceeds in your joint "or" accounts shall be subject to applicable Philippine laws, regulations, and orders of courts of competent jurisdiction.

It is understood that all transactions made by anyone to your joint "or" accounts via our online facility are done with the consent of all co-investor.

**b. JOINT "AND" ACCOUNTS.** The funds in your joint "and" account are co-owned by all of you equally, and shall be payable to and collectible by all of you jointly during your lifetime. Your joint "and" accounts authorize us to allow and accept subscriptions and redemptions only with written consent, approval or signature of all the co-investor of the Joint "and" Account.

Whenever one or more of you redeem from your joint "and" account, you are doing so with the explicit and sworn declaration under pain of perjury, that all your co-investor are still living on the date of redemption. Upon the death of a co-investor, the redemption proceeds in your joint account shall be subject to applicable Philippine laws, regulations and orders of courts of competent jurisdiction.

**c. FOR THE ACCOUNT OF (FAO) OR IN TRUST FOR (ITF).** In opening an FAO or ITF account, you declare and acknowledge that the funds covered by the FAO/ITF account are being held by you as trustee, in trust for and for the sole benefit of the beneficiary/ies named in the account opening form.

You shall provide all documents that we require to establish the identity of the beneficiary/ies, the creation of the trust and the purpose of the opening of the FAO/ITF account. The FAO/ITF account shall be subject to such other terms as we may require.

You warrant and represent that the FAO/ITF account, including payment or release of the funds, is established for a legitimate purpose. You shall hold us free and harmless from any and all claims of whatever kind or nature arising out of or in connection with the establishment, release and/or disposition of the FAO/ITF account.

**Deceased Depositor.** Whatever funds remain in the FAO/ITF account upon your death shall be beneficially owned by the beneficiary/ies and shall accordingly be released to the said beneficiary/ies or to the latter's legal guardians or representative/s upon presentation of the appropriate identification and the required tax clearance. We may require your beneficiary/ies to provide us with an acceptable indemnity agreement, court order on appointment of legal guardian, and any other document that we may deem necessary.

**d. CORPORATE AND PARTNERSHIP ACCOUNTS.** In opening a partnership or corporate account, you shall submit to us a Secretary's Certificate of a Resolution of the Partners of your partnership or of the Board of Directors of your corporation, in accordance with your articles of partnership or incorporation and by-laws, allowing your partnership or corporation to open an account and invest with us as well as the name and title of the signatories authorized to sign on behalf of your partnership or corporation. You shall provide us with certified true copies of your Registration Certificate with the Securities and Exchange Commission (SEC) and your articles of partnership or incorporation and by-laws, which we will retain in our records.

**NET ASSET VALUE PER SHARE (NAVPS).** The NAV per share is defined as the difference of total assets less its total liabilities divided by the number of shares outstanding. The NAV per share is computed on each banking day. For purposes hereof, "banking day" means any of the days in a week when the banks are not required or authorized by law to close for business in Metro Manila.

**CUTOFF TIME PER TRANSACTION.** The daily cut-off time for submission of the investment application and redemption order forms shall be 12:00 noon.

**ACCEPTANCE OF PURCHASE.** Applications to purchase are subject to confirmation by PEMI as to the amount of shares, the applicable NAVPS and the final approval by the investment manager. We will process transactions only upon its receipt of complete information, documentary requirements and funds from you within the cut-off time. Thus, your funds must have cleared through the banking system and available to the funds for investment deployment.

**PURCHASE PRICE.** The principal amount of the investment shall purchase the corresponding number of Fund shares at the purchase price, which is the prevailing NAVPs at the time of acceptance of the investment application form plus the sales load fee. The NAVPs for the following banking day will be used for purchases after the daily cut off time.

**MINIMUM INVESTMENT.** Application for investment must be for a minimum size as indicated in the Fund prospectus. Any and all investments shall be paid in full. Registration of any foreign investment with the Bangko Sentral ng Pilipinas shall be the responsibility of the investor. All documents relating to BSRD should be provided to PEMI.

**RIGHT TO ACCEPT/REJECT & SCALE DOWN APPLICATIONS.** We reserve the right to accept, reject or reduce the number of shares applied for in any application as its sole discretion and in such manner that it may deem appropriate. In the event the application is not accepted as a whole or in part, we will refund the corresponding investment to you without interest, within (7) banking days from submission of the form.

**DEPOSIT FOR FUTURE SUBSCRIPTION.** In case of deficiency of registered shares, shares that have been applied for will be considered as deposit for future subscription until such time that the Fund has registered new shares with the Securities and Exchange Commission. As such, the deposit for future subscription will be based on the Fund's NAVPs at the time of the deposit and any withdrawal from said deposit will likewise be computed using the Fund's NAVPs at the time of the withdrawal.

**ACCEPTANCE OF REDEMPTION.** We will honor redemptions at any day that it is open for business. The redemption price of shares surrendered for redemption before the daily cut off time shall be the next computed NAVPs. Request for redemptions received by the fund after the cut-off time shall be considered received the following business day and processed accordingly. Payments for shares redeemed must be effected within seven (7) banking days from receipt of the request for redemption.

**REDEMPTION PROCEEDS.** All checks/proceeds will be payable to the investors on record only. We reserve the right to not act upon redemptions/payouts to parties other than the investor on record.

**FUND TRANSFERS.** We will immediately transfer the funds in behalf of the investor following its customary procedures and subjected to bank charges but in no case shall we be liable for delays or additional charges that occur due to acts of correspondent or intermediary financial institutions or through any cause beyond our control.

For USD transfers, we may, at its discretion, convert into Philippine Currency the funds transferred to the investor at the prevailing foreign exchange rate on the day such funds are transferred. PEMI's statement in writing that it has effected such conversion shall be conclusive.

**LOST OR STALE CHECK.** In case of lost or stale check, we are not obliged to replace or honor a request for stop payment unless it complies with all requirements including charges that we may incur and deem necessary to protect its interest.

**DELIVERY OF STOCK CERTIFICATES.** In the interest of economy and convenience, certificates for shares purchased will only be issued if so requested in writing. Shares are recorded on a stock register by the Corporation's duly appointed Transfer Agent and shareholders who do not elect to receive stock certificates have the same rights of ownership as if certificates had been issued to them. A Confirmation Notice (CN) shall evidence your subscription into the Fund.

Stock Certificate evidencing ownership of shares shall only be issued by the transfer agent upon the written request of the shareholder. Cost of issuance of stock certificate will be for the account of the shareholder.

**INSTRUCTIONS.** All instructions, oral or written, whether original, facsimile, via electronic-mail or thru our online facility, given or purported to have been given by the persons authorized to operate the account as designated in the Account Opening Form (or otherwise in writing), are binding on the investor. We, may at our discretion, conclusively rely and act on any such instructions, and shall not in any way be liable for any loss which you may incur as a result of the Fund's reliance and action on any such instruction.

**FACSIMILE, ELECTRONIC MAIL AND ONLINE INSTRUCTIONS.** You acknowledge that by enrolling in this facility you are authorizing us to process and treat all documents sent via fax, e-mail or thru our online facility, except initial investments, bearing your signature/s as original documents. You understand that this facility is only applicable to your additional subscriptions, redemptions, or switches upon our receipt of fax and/or e-mail documents and forms bearing your signature.

In case of discrepancy in subscription amount indicated in the Investment Application Form and amount remitted to us, or should the signature in the fax and/or email document not match those in your signature cards, we reserves the right not to process the said transaction. On the other hand, in case the amount to be redeemed or transferred is lower than the remaining balance in a Fund/s, you authorize us to redeem or transfer the available balance, and to close your account in the Fund/s.

You undertake to reimburse/indemnify us for all costs, payments, damages and expenses, which we may be liable for or which we may incur or have incurred in the implementation of your faxed and signed transactions, even if same occurs through inadvertence or accident only.

**COMMUNICATIONS AND NOTICES.** All communications, whether by mail, facsimile, electronic-mail, messenger or otherwise, sent to the address appearing in our records shall constitute personal delivery to you. All communications shall be directed to your last known address unless we received a written notice of change of address within five (5) banking days prior to the delivery of communication or notice. All communications sent to your address or fax number shall be conclusive as to their correctness in the absence of any written objection received by us within five (5) banking days from delivery thereof.

**ELECTRONIC DELIVERY.** You acknowledge that by enrolling in this facility you are authorizing us to enroll your account/s to PEMI's Electronic Delivery Facility. You understand that upon confirmation of enrollment in this facility, you will receive your Statement of Account/s (SOA) as well as transaction Confirmation Notices (CN) as password protected PDF attachments to an email sent to the indicated email address of the primary investor in the Account Opening Form.

**STATEMENTS AND REPORTS.** You will receive a regular statement of account in such frequency as we may be determined. We may also issue a certification and annual report, as may be requested by the investor.

**LIABILITY OF INVESTMENT MANAGER.** The price of shares in the mutual fund may rise as well as fall depending on prevailing market conditions. Thus, any "income expectation" or like terms is neither assumed nor guaranteed and it does not entitle the investor to a fixed interest or return on investment. Past performance is not a guaranty of future performance. The investment manager shall not be liable for any loss or depreciation in the value of the fund or in the value of the investor's shareholdings unless attributable to the investment manager's act of fraud, willful default, gross negligence or evident bad faith.

**TAXES, EXPENSES AND FEES.** The investment manager is authorized, without prior notice to the investor, to incur and deduct from the fund, taxes relative to the acquisition and disposition of investments, expenses (including but not limited to audit and legal fees, documentary stamps, etc.) and in consideration of services rendered herein, the investment manager shall collect on every valuation date a management fee based on the investor's proportionate share of the Net Asset Value (NAVPS) of the Fund.

**APPLICABLE LAW AND VENUE OF SUIT.** These Terms and Conditions shall be covered and construed in accordance with the laws of the Philippines. The investor's irrevocable consents that any dispute, claim, action or suit arising out of or in relation to these terms and conditions shall be instituted in any competent court or administrative body in Metro Manila, Philippines and the investor submits to and accepts, generally and unconditionally, the jurisdiction of any such court or administrative body.

**The Applicant is advised to read the prospectus and the registration statement filed with the Securities and Exchange Commission (SEC) for a complete description of the Securities. These Securities have not been approved or disapproved by the SEC nor has the SEC passed upon the accuracy of the prospectus of registration statement. Any representation to the contrary is a criminal offense.**

**INSTRUCTIONS:** Please type all information in CAPITAL LETTERS. Fill-out this form completely. Write N/A on fields that are not applicable and do not leave any blank spaces.

**TRANSACTION DETAILS**

<b>Account Name</b>			
<b>Account Number</b>			
<b>Fund Name</b>			
<b>Investment Type</b>	<input type="checkbox"/> Initial	<input type="checkbox"/> Additional	<input type="checkbox"/> Reinvestment from _____
<b>Amount</b>		<b>Currency</b>	<input type="checkbox"/> Peso <input type="checkbox"/> Dollar
<b>Amount in Words</b>			




**PAYMENT DETAILS / OPTIONS**

<b>Mode of Payment</b>	<input type="checkbox"/> Check <input type="checkbox"/> Telegraphic Transfer	<input type="checkbox"/> Direct Deposit <input type="checkbox"/> Bills Payment	<input type="checkbox"/> Post Dated Check <input type="checkbox"/> Others _____
<b>IF CHECK PAYMENT*</b> (Checks should be payable to "Fund Name – For investment of [Investors Account Name])			
<b>Check No.</b>		<b>Bank/Branch</b>	<b>Date</b>
<b>IF DIRECT DEPOSIT / BILLS PAYMENT DETAILS</b>			
<b>Reference No.</b>		<b>Bank/Branch</b>	<b>Date</b>

\*Subject to receipt of good funds

**DECLARATION**

I/We hereby declare that all information disclosed is correct, complete and truly stated. I/We hereby declare that I/We am/are authorized to make this investment and that the amount invested in the Fund/s is through legitimate sources only. I/We am/are fully aware that only upon submission of complete information and documentary requirements will the transaction be processed. I/We have understood and have relied solely upon the General Terms and Conditions and the Fund's Prospectus.

		
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**Authorized Signatory**  
Signature over Printed Name

**Authorized Signatory**  
Signature over Printed Name

**Authorized Signatory**  
Signature over Printed Name

**IMPORTANT REMINDERS**

- ✓ As proof of your investment, a Confirmation Notice will be sent to you not later than 7 banking days with the number of shares purchased and the Net Asset Value Per Share (NAVPS) booked.
- ✓ Documents and transactions received before the 12 noon cut-off will be processed within the same business day using the NAVPS for the day. Anything received past cut-off shall be processed the next business day applying the corresponding NAVPS for that day.
- ✓ Investment Application Form and validated deposit slip, copy of check issued should be:
  - i. Submitted directly to: PhilEquity Management Inc. 2004-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City
  - ii. If enrolled to Facsimile and Electronic Mail Instructions: Fax to (632) 706 0795 or email to sales@philequity.net. The document will be processed based on the time when the faxed / email document was received by PEMI.

**DISTRIBUTOR / AGENT ACKNOWLEDGEMENT**

<b>Date Received</b>		<b>Distributor / Branch</b>	
<b>Received by</b>			

**PHILEQUITY USE ONLY**

<b>Value Date</b>		<b>Sales Load Rate</b>	
<b>Processor</b>		<b>Authorizer</b>	
<b>Date Processed</b>		<b>Date Authorized</b>	

2004-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City, Philippines 1605

(+632) 689 8080

(+632) 706 0795

sales@philequity.net

www.philequity.net

OBJECTIVES:

The purpose of **Investor Risk Profiling Questionnaire (IRPQ)** is to understand your capacity to accept investment risk and will guide you in selecting your investments.

INSTRUCTIONS:

Please choose the statement that most closely defines your needs or best describes your situation. Check the box that corresponds to your choice.

Account Name	
Account Number	

QUESTIONNAIRE				
WHAT TYPE OF INVESTOR ARE YOU?	A	B	C	D
1. My age is between	<input type="checkbox"/> above 65 years	<input type="checkbox"/> 51 to 65 years	<input type="checkbox"/> 36 to 50 years	<input type="checkbox"/> 18 to 35 years
2. My net worth is	<input type="checkbox"/> below 1 Million	<input type="checkbox"/> 1 to 5 Million	<input type="checkbox"/> 5 to 20 Million	<input type="checkbox"/> Above 20 Million
3. The percentage of my total assets that I plan to invest	<input type="checkbox"/> More than 75%	<input type="checkbox"/> 50% to 75%	<input type="checkbox"/> 25% to 50%	<input type="checkbox"/> Less than 25%
4. My goal/objective in investing is	<input type="checkbox"/> Capital Preservation	<input type="checkbox"/> Regular Cash Flow	<input type="checkbox"/> Capital Growth and Regular Cash Flow	<input type="checkbox"/> Capital Appreciation
5. I would need to withdraw my investments in	<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> 1 to 2 years	<input type="checkbox"/> 2 to 5 years	<input type="checkbox"/> More than 5 years
6. My experience as an investor is	<input type="checkbox"/> Little Knowledge	<input type="checkbox"/> Basic	<input type="checkbox"/> Average	<input type="checkbox"/> Expert
7. I am most comfortable with the following	<input type="checkbox"/> Return of 10% and loss of 5%	<input type="checkbox"/> Return of 20% and loss of 15%	<input type="checkbox"/> Return of 30% and loss of 20%	<input type="checkbox"/> Return of 40% and loss of 30%
8. I am comfortable with a drop in my investment of	<input type="checkbox"/> Less than 10%	<input type="checkbox"/> 10% to 20%	<input type="checkbox"/> 20% to 40%	<input type="checkbox"/> More than 40%

DECLARATION OF MUTUAL FUND REPRESENTATIVE

☐ Client Acknowledgement

I hereby declare that I have read, understood and personally accomplished this entire IRPQ and that the answers I have given are accurate and complete. I understand that the results indicated is only a representation of my risk profile and the suggested investment products are based on my score. I am aware that this type of investment does not provide guarantee against losses. This is also to confirm that I shall formally notify PEMI should there be any change in my risk profile.

<div><div><div></div><div></div></div><div>VERIFIED SIGNATURE</div></div>	
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Primary Investor *Signature over Printed Name*

Date

☐ Client Acknowledgement and Waiver (For clients investing in products with higher risks)

I hereby declare that I have read, understood and personally accomplished this entire IRPQ and that the answers I have given are accurate and complete.

I hereby waive the results of my risk assessment and have decided to invest instead in another fund which has a risk level that is higher than what is recommended. I fully understand that I am taking more risks in exchange for possible higher returns. I expressly agree to assume such risks. I shall indemnify and hold harmless the members of PEMI, its directors, officers and employees for any claim, suit, action, loss, damage or expense which might such indemnified persons and/or I may incur as a result of my decision to invest in products with higher risks.

<div><div><div></div><div></div></div><div>VERIFIED SIGNATURE</div></div>	
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Primary Investor *Signature over Printed Name*

Date

CONFORMITY OF CO-INVESTORS

I/We hereby accept the results of the IRPQ of the Profiled Client, and agree and confirm that the same shall be used as the basis/reference for the investments of the account/s opened/ to be opened.

<div><div><div></div><div></div></div><div>VERIFIED SIGNATURE</div></div>	<div><div><div></div><div></div></div><div>VERIFIED SIGNATURE</div></div>
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Co-Investor 1 *Signature over Printed Name*

Co-Investor 2 *Signature over Printed Name*

DECLARATION OF MUTUAL FUND REPRESENTATIVE

I hereby attest and acknowledge that I have explained in detail and discussed with the client the:

1. Results of the IRPQ

2. Basis for my recommendation

3. Basic terms and conditions of the recommended investment which are also found in the Fund's prospectus provided to the client

<div><div><div></div><div></div></div><div>VERIFIED SIGNATURE</div></div>		
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Certified Investment Solicitor *Signature over Printed Name*

CIS License Number

Date

RISK PROFILING RESULTS			
Letter	Total Per Letter	Weight	Total
A		x 4	
B		x 6	
C		x 8	
D		x 10	
		Grand Total	

TOTAL SCORE	RISK PROFILE	DESCRIPTION	RECOMMENDED INVESTMENT
30 - 49	Conservative (Low)	Your investment horizon is short and you prefer to take minimal risk. Security is your most important concern.	Bond Funds
50 - 69	Balanced (Medium)	Your investment horizon is long enough to benefit from a balance between growth and security. You are willing to accept some risk for potential higher returns over time.	Bond Funds Balanced Funds or Combination of Bonds and Equity Funds
70 - 80	Aggressive (High)	Your investment horizon is long enough to benefit from an aggressive growth orientation. Your main concern is growth of money that will be invested for a long period of time. You are comfortable riding out the ups and downs in the market for potential higher long-term results.	Bond Funds Balanced Funds or Combination of Bonds and Equity Funds Equity Funds



## SIGNATURE CARD (INDIVIDUAL)

ACCOUNT NO. *For PhilEquity Use Only*

2004-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City, Philippines 1605

(+632) 689 8080 (+632) 706 0795 sales@philequity.net www.philequity.net

Type of Account	<input type="checkbox"/> Individual	<input type="checkbox"/> Joint "OR"	<input type="checkbox"/> Joint "AND"	<input type="checkbox"/> ITF
Account Name				
Address				
Telephone No.		Email		
For Joint Accounts	<input type="checkbox"/> AND (all signatures must be present for all transactions) <input type="checkbox"/> OR (any of these signatures may be present for all transactions)			

### PLEASE SIGN THREE (3) TIMES

Primary Investor <i>First, Middle, Last Name</i>	Co-Investor 1 <i>First, Middle, Last Name</i>	Co-Investor 2 <i>First, Middle, Last Name</i>
1	1	1
2	2	2
3	3	3

### PHILEQUITY USE ONLY

Signed in the presence of / Date	Verified By / Date	Approved By / Date
----------------------------------	--------------------	--------------------



## SIGNATURE CARD (INDIVIDUAL)

ACCOUNT NO. *For PhilEquity Use Only*

2004-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City, Philippines 1605

(+632) 689 8080 (+632) 706 0795 sales@philequity.net www.philequity.net

Type of Account	<input type="checkbox"/> Individual	<input type="checkbox"/> Joint "OR"	<input type="checkbox"/> Joint "AND"	<input type="checkbox"/> ITF
Account Name				
Address				
Telephone No.		Email		
For Joint Accounts	<input type="checkbox"/> AND (all signatures must be present for all transactions) <input type="checkbox"/> OR (any of these signatures may be present for all transactions)			

### PLEASE SIGN THREE (3) TIMES

Primary Investor <i>First, Middle, Last Name</i>	Co-Investor 1 <i>First, Middle, Last Name</i>	Co-Investor 2 <i>First, Middle, Last Name</i>
1	1	1
2	2	2
3	3	3

### PHILEQUITY USE ONLY

Signed in the presence of / Date	Verified By / Date	Approved By / Date
----------------------------------	--------------------	--------------------



WRITE LEGIBLY

For **Joint Account**, write the name of primary investor and co-investor.

For **ITF Account**, write the name of the primary investor followed by the full name of the ITF.

Your name should match against the submitted **valid ID**.

Indicate the information of the **Co-Investor**.

Should you have a **3rd Co-Investor**, kindly fill up another copy of AOF.

Indicate the information of the **Primary Investor**.

For **Joint Account**, check if "Joint AND" or "JOINT OR"

Write the **email address** you want to use for receiving notifications.

Source of Fund is **mandatory**.

If your occupation is **self-employed**, write the name of business.

To send instructions electronically and through fax, make sure to check the box.

Your **signature** should match against the signature on your submitted ID.

To receive Confirmation Notices and SOA, make sure to check the box.

PhilEquity		ACCOUNT OPENING FORM (INDIVIDUAL)	
2104-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd (+632) 689 8080 (+632) 706 0795 invest@philequity.net <b>INSTRUCTIONS:</b> Please type all information in CAPITAL LETTERS. Fill-c		<b>ACCOUNT NO.</b> For PhilEquity Use Only <b>DATE</b> mm/dd/yyyy	
<b>1 Account Name</b> This is the name that will appear on your statements of account and other correspondence		<b>Account Type</b> <input type="checkbox"/> Individual <input type="checkbox"/> Joint "OR" <input type="checkbox"/> Joint "AND" <input type="checkbox"/> ITF	
<b>PRIMARY INVESTOR</b>			
<b>4 Last Name*</b>		<b>First Name*</b>	
<b>Present Address*</b> House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code			
<b>Permanent Address*</b> House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code			
<b>Civil Status</b> <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Separated		<b>Spouse's Name</b> LN, FN, MN	
<b>Birthdate*</b>		<b>Birthplace*</b>	
<b>Contact No.*</b>		<b>Mobile No.*</b>	
<b>Source of Funds*</b> <input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Business <input type="checkbox"/> Investment <input type="checkbox"/> Others		<b>TIN*</b>	
<b>Employer's / Business' Name*</b>		<b>Office /</b>	
<b>CO-INVESTOR</b>		<b>Employer's / Business' Name*</b>	
<b>Last Name*</b>		<b>First Name*</b>	
<b>Present Address*</b> House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code			
<b>Permanent Address*</b> House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code			
<b>Civil Status</b> <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Widowed <input type="checkbox"/> Separated		<b>Spouse's Name</b> LN, FN, MN	
<b>Birthdate*</b>		<b>Birthplace*</b>	
<b>Contact No.*</b>		<b>Mobile No.*</b>	
<b>Occupation*</b>		<b>Source of Funds*</b> <input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Business <input type="checkbox"/> Investment <input type="checkbox"/> Others	
<b>SSS / GSIS*</b>		<b>TIN*</b>	
<b>Office / Business Address*</b>		<b>Employer's / Business' Name*</b>	
<b>Nature of Employment / Business*</b>		<b>Office / Business Contact No.*</b>	
<b>Annual Income</b> <input type="checkbox"/> below Php 300,000 <input type="checkbox"/> Php 300,000 - Php 500,000 <input type="checkbox"/> Php 500,000 - Php 1 Million <input type="checkbox"/> Php 1 Million - Php 5 Million <input type="checkbox"/> over Php 5 Million			
<b>BENEFICIARY if applicable</b>			
<b>Last Name*</b>		<b>First Name*</b>	
<b>Present Address*</b> House/Bldg. No., Street, Subdivision/District, Town/City, Province, Country, Zip Code			
<b>Birthdate*</b>		<b>Birthplace*</b>	
<b>Nature of Work*</b>		<b>Relationship to Primary Investor*</b>	
<b>Source of Funds*</b> <input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Business <input type="checkbox"/> Investment <input type="checkbox"/> Others		<b>TIN*</b>	
<b>ENROLLMENT TO MUTUAL FUND SERVICES</b>			
<input type="checkbox"/> Facsimile and Electronic Mail Instructions <input type="checkbox"/> Electronic Delivery (i.e., Statement, Notice of Annual Stockholders Meeting, Confirmation)			
<b>DECLARATION</b>			
I/We hereby attest and acknowledge that: 1. I/We have presented authentic and legitimate identification documents and that all information given in this form is correct and complete. Should any information provided herein change, I/we undertake to inform PEMI of the same within 5 days from the occurrence of the change. 2. I/We am/are not engaged in any of the unlawful activities listed in the Anti-Money Laundering Act, as amended, and its implementing rules and regulations ("AMLA"). I/we further declare that the funds I/we will invest are not from any of the said unlawful activities. This declaration survives this document and shall be deemed to cover all investments I/we may subsequently make. 3. I/We have read and understood the contents of this form and the Fund's prospectus. I/We understand that any investment I/we make/s shall be subject to the terms and conditions set out in the Funds prospectuses. 4. I/We accept, consent and agree to abide by the General Terms and Conditions, a copy of which was provided to me/us together with any and all amendment made thereto from time to time. 5. The value of shares in mutual funds, including the Funds, may fluctuate from time to time, thus, returns are not guaranteed nor are historical returns an indication of future performance. 6. I/we hold PEMI, its officers and representatives, free and harmless from any and all claims, liabilities, damages and suits of whatever nature arising out of or in connection with the opening of this account.			
<b>Primary Investor Signature over Printed Name</b>		<b>Co-Investor Signature over Printed Name</b>	
<b>DECLARATION OF THE MUTUAL FUND REPRESENTATIVE</b>			
I hereby attest and acknowledge that: 1. I have obtained satisfactory evidence and have verified the true and full identity of the Client, as well as required identifying information on the Client. 2. To the best of my knowledge, the Client does not engage in any unlawful activities listed in AMLA. I further declare that, to the best of my knowledge, the funds to be invested by the Client in the Funds, as managed by PEMI were not generated from any unlawful activities listed in AMLA. 3. Should there be any adverse change in my opinion of the standing integrity or reputation of the Applicant, I shall inform PEMI immediately. 4. I understand and acknowledge that transactions will be processed only upon submission of complete information and documentary requirements.			
<b>Certified Investment Solicitor Signature over Printed Name</b>		<b>CIS License Number</b>	
<b>Date</b>		<b>Date</b>	
<b>PHILEQUITY USE ONLY</b>			
<b>Distributor/Referred by</b>		<b>Account Officer</b>	
<b>Processor</b>		<b>Date Processed</b>	
<b>Authorizer</b>		<b>Date Authorized</b>	
<b>ACCOUNT OPENING CHECKLIST</b>			
<input type="checkbox"/> Account Opening Form <input type="checkbox"/> Risk Profiling Questionnaire <input type="checkbox"/> 2 Signature Cards <input type="checkbox"/> 1 Valid ID with specimen signature			
<b>If not Filipino Citizen additional requirements</b>		<b>If with Beneficiary additional requirements</b>	
<input type="checkbox"/> Copy of Alien Certificate of Registration <input type="checkbox"/> Passport <input type="checkbox"/> Report regarding Residence status & duration of allowed stay in the Philippines		<input type="checkbox"/> Birth Certificate <input type="checkbox"/> Valid ID <input type="checkbox"/> Birth Certificate <input type="checkbox"/> Valid ID	
Acceptable photograph bearing IDs are those issued by a government agency such as Passport, Driver's License, SSS card, GSIS E card, TIN ID, PhilHealth Card, Professional Regulations (PRC) ID, Postal ID, Photo bearing Barangay ID/Certification, Gov't Office ID's issued by Gov't, instrumentalities (ex. AFP, DMF, DepEd, etc), Firearms License, COWWA ID, OFW ID, Seaman's Book, Police Clearance, Voter's ID, Company ID, Alien Certificate of Registration (ACR)/ACR I-card, Immigrant Certificate of Registration, Senior Citizen, or Photo bearing credit card, Photo-bearing Health card issued by HMOs, etc. Otherwise it will be subject to validation.			
Copy Distribution: Original - PhilEquity 2nd copy (blue) - Transfer Agent 3rd copy (yellow) - Investor / Client			



WRITE LEGIBLY

For **Joint Account**, write the name of primary investor and co-investor.

For **ITF Account**, write the name of the primary investor followed by the full name of the ITF.

Should be signed by **Primary Investor**. Your signature should match against the signature on your submitted ID.

Should be signed by **Primary Investor**. Your signature should match against the signature on your submitted ID.

Make sure to answer all questions.

Should be signed by **All Co-Investors**. Your signature should match against the signature on your submitted ID.



## INVESTOR RISK PROFILING QUESTIONNAIRE (INDIVIDUAL)

DATE mm/dd/yyyy

2004-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City, Philippines 1605  
 (+632) 689 8080 (+632) 706 0795 sales@philequity.net www.philequity.net

**OBJECTIVES:** The purpose of **Investor Risk Profiling Questionnaire (IRPQ)** is to understand your capacity to accept investment risk and will guide you in selecting your investments.  
**INSTRUCTIONS:** Please choose the statement that most closely defines your needs or best describes your situation. Check the box that corresponds to your choice.

1 **Account Name** \_\_\_\_\_  
**Account Number** \_\_\_\_\_

### QUESTIONNAIRE

WHAT TYPE OF INVESTOR ARE YOU?	A	B	C	D
1. My age is between	<input type="checkbox"/> above 65 years	<input type="checkbox"/> 51 to 65 years	<input type="checkbox"/> 36 to 50 years	<input type="checkbox"/> 18 to 35 years
2. My net worth is	<input type="checkbox"/> below 1 Million	<input type="checkbox"/> 1 to 5 Million	<input type="checkbox"/> 5 to 20 Million	<input type="checkbox"/> Above 20 Million
3. The percentage of my total assets that I plan to invest	<input type="checkbox"/> More than 75%	<input type="checkbox"/> 50% to 75%	<input type="checkbox"/> 25% to 50%	<input type="checkbox"/> Less than 25%
4. My goal/objective in investing is	<input type="checkbox"/> Capital Preservation	<input type="checkbox"/> Regular Cash Flow	<input type="checkbox"/> Capital Growth and Regular Cash Flow	<input type="checkbox"/> Capital Appreciation
5. I would need to withdraw my investments in	<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> 1 to 2 years	<input type="checkbox"/> 2 to 5 years	<input type="checkbox"/> More than 5 years
6. My experience as an investor is	<input type="checkbox"/> Little Knowledge	<input type="checkbox"/> Basic	<input type="checkbox"/> Average	<input type="checkbox"/> Expert
7. I am most comfortable with the following	<input type="checkbox"/> Return of 10% and loss of 5%	<input type="checkbox"/> Return of 20% and loss of 15%	<input type="checkbox"/> Return of 30% and loss of 20%	<input type="checkbox"/> Return of 40% and loss of 30%
8. I am comfortable with a drop in my investment of	<input type="checkbox"/> Less than 10%	<input type="checkbox"/> 10% to 20%	<input type="checkbox"/> 20% to 40%	<input type="checkbox"/> More than 40%

### DECLARATION OF INVESTOR

#### Client Acknowledgement

I hereby declare that I have read, understood and personally accomplished this entire IRPQ and that the answers I have given are accurate and complete. I understand that the results indicated is only a representation of my risk profile and the suggested investment products are based on my score. I am aware that this type of investment does not provide guarantee against losses. This is also to confirm that I shall formally notify PEMI should there be any change in my risk profile.

3  

Primary Investor Signature over Printed Name

Date

#### Client Acknowledgement and Waiver (For clients investing in products with higher risks)

I hereby declare that I have read, understood and personally accomplished this entire IRPQ and that the answers I have given are accurate and complete.  
 I hereby waive the results of my risk assessment and have decided to invest instead in another fund which has a risk level that is higher than what is recommended. I fully understand that I am taking more risks in exchange for possible higher returns. I expressly agree to assume such risks. I shall indemnify and hold harmless the members of PEMI, its directors, officers and employees for any claim, suit, action, loss, damage or expense which might such indemnified persons and/or I may incur as a result of my decision to invest in products with higher risks.


4  

Primary Investor Signature over Printed Name

Date

### CONFORMITY OF CO-INVESTORS

I/We hereby accept the results of the IRPQ of the Profiled Client, and agree and confirm that the same shall be used as the basis/reference for the investments of the account/s opened/ to be opened.

5  




Co-Investor 1 Signature over Printed Name

Co-Investor 2 Signature over Printed Name

### DECLARATION OF MUTUAL FUND REPRESENTATIVE

I hereby attest and acknowledge that I have explained in detail and discussed with the client the:

- Results of the IRPQ
- Basis for my recommendation
- Basic terms and conditions of the recommended investment which are also found in the Fund's prospectus provided to the client

Certified Investment Solicitor Signature over Printed Name

CIS License Number

Date

### RISK PROFILING RESULTS


Letter	Total Per Letter	Weight	Total
A		x 4	
B		x 6	
C		x 8	
D		x 10	
		Grand Total	

TOTAL SCORE	RISK PROFILE	DESCRIPTION	RECOMMENDED INVESTMENT
30 - 49	Conservative (Low)	Your investment horizon is short and you prefer to take minimal risk. Security is your most important concern.	Bond Funds
50 - 69	Balanced (Medium)	Your investment horizon is long enough to benefit from a balance between growth and security. You are willing to accept some risk for potential higher returns over time.	Bond Funds Balanced Funds or Combination of Bonds and Equity Funds
70 - 80	Aggressive (High)	Your investment horizon is long enough to benefit from an aggressive growth orientation. Your main concern is growth of money that will be invested for a long period of time. You are comfortable riding out the ups and downs in the market for potential higher long-term results.	Bond Funds Balanced Funds or Combination of Bonds and Equity Funds Equity Funds

Copy Distribution: Original - PhilEquity 2nd copy (yellow) - Investor / Client

WRITE LEGIBLY

Make sure to submit *two (2) copies* of Signature Cards.



**SIGNATURE CARD (INDIVIDUAL)**  

ACCOUNT NO. For PhilEquity Use Only

2104-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City, Philippines 1605  
 (+632) 689 8080 (+632) 706 0795 invest@philequity.net www.philequity.net

<b>1</b>	<b>Type of Account</b> <input type="checkbox"/> Individual <input type="checkbox"/> Joint "OR" <input type="checkbox"/> Joint "AND" <input type="checkbox"/> ITF	
	<b>Account Name</b>	
	<b>Address</b>	
	<b>Telephone No.</b>	<b>Email</b>
	<b>For Joint Accounts</b> <input type="checkbox"/> AND (all signatures must be present for all transactions) <input type="checkbox"/> OR (any of these signatures may be present for all transactions)	
<b>3</b>	PLEASE SIGN THREE (3) TIMES	
	<b>Primary Investor</b> <small>First, Middle, Last Name</small>	<b>Co-Investor 1</b> <small>First, Middle, Last Name</small>
	<b>1</b>	<b>1</b>
	<b>2</b>	<b>2</b>
	<b>3</b>	<b>3</b>
	PHILEQUITY USE ONLY	
	<b>Signed in the presence of / Date</b>	<b>Approved By / Date</b>

For *Joint Account*, check if "Joint AND" or "JOINT OR"

Sign three (3) times with the same signature on the space provided.

Your *signature* should match against the signature on your submitted ID.

For *Joint Account*, write the name of primary investor and co-investor.

For *ITF Account*, write the name of the primary investor followed by the full name of the ITF.

Investor may opt to include his short signature.  
Provided an ID bearing the same will be presented

**List of Acceptable IDs**

Passport, Driver's License, SSS card, GSIS E-card, TIN ID, Phil Health Card, Professional Regulation (PRC) ID, Postal ID, Photo-bearing Barangay ID/Certification, Gov't Office ID's issued by Gov't instrumentalities (ex. AFP, HDMF, DepEd, etc.), Firearms license, OWWA ID, Seaman's Book, Police Clearance, Voter's ID, Company ID, Alien Certificate of Registration (ACR)/ACR I-card, Immigrant Certificate of Registration, and Senior Citizen.

**Sign three times** on the side of the photocopy of your ID. Your signature should match against the signature on your submitted ID.

REPUBLIKA NG PILIPINAS / REPUBLIC OF THE PHILIPPINES			
PASAPORTE PASSPORT		URI / Type	Kodigo ng bansa / Country code
		Pasaporte Bq / Passport no.	
		Apelyido / Surname	
		Pangalan / Given names	
		Panggitnang apelyido / Middle name	
		Araw ng kapanganakan / Date of birth	Nagpapalaganap / Authority
Kasarian / Sex	Pook ng kapanganakan / Place of birth		
Araw ng pagkaloob / Date of issue	Magkapatungyarihang nagkaloob / Issuing authority		
Araw ng pagkawalang bisa / Valid until	Lagda ng pinagkalooban / Holder's signature		

WRITE LEGIBLY

For **Joint Account**, write the name of primary investor and co-investor.

For **ITF Account**, write the name of the primary investor followed by the full name of the ITF.

Choose from the following funds:

- PhilEquity Fund Inc.
- PhilEquity Dividend Yield Fund Inc.
- PhilEquity PSE Index Fund Inc.
- PhilEquity Peso Bond Fund Inc.
- PhilEquity Dollar Income Fund Inc.

## PhilEquity

East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City, Philippines 1605  
 39 8080 (+632) 706 0795 invest@philequity.net www.philequity.net

INSTRUCTIONS: Please type all information in CAPITAL LETTERS. Fill-out this form completely. Write N/A on fields that are not applicable and do not leave any blank spaces.

### INVESTMENT APPLICATION FORM

DATE mm/dd/yyyy

IAF NO.

#### TRANSACTION DETAILS

Account Name			
Account Number			
Fund Name			
Investment Type	<input type="checkbox"/> Initial	<input type="checkbox"/> Additional	<input type="checkbox"/> Reinvestment from
Amount		Currency	<input type="checkbox"/> Peso <input type="checkbox"/> Dollar
Amount in Words			

#### PAYMENT DETAILS / OPTIONS

Mode of Payment	<input type="checkbox"/> Check	<input type="checkbox"/> Direct Deposit	<input type="checkbox"/> Post Dated Check
	<input type="checkbox"/> Telegraphic Transfer	<input type="checkbox"/> Bills Payment	<input type="checkbox"/> Others
IF CHECK PAYMENT* (Checks should be payable to "Fund Name - For investment of (Investors Account Name))			
Check No.	Bank/Branch	Date	
IF DIRECT DEPOSIT / BILLS PAYMENT DETAILS			
Reference No.	Bank/Branch	Date	

\*Subject to receipt of good funds

#### DECLARATION

I/We hereby declare that all information disclosed is correct, complete and truly stated. I/We hereby declare that I/We am/are authorized to make this investment and that the amount invested in the Fund/s is through legitimate sources only. I/We am/are fully aware that only upon submission of complete information and documentary requirements will the transaction be processed. I/We have understood and have relied solely upon the General Terms and Conditions and the Fund's Prospectus.

 <b>Authorized Signatory</b> Signature over Printed Name	 <b>Authorized Signatory</b> Signature over Printed Name	 <b>Authorized Signatory</b> Signature over Printed Name
---	---	---

#### IMPORTANT REMINDERS

- ✓ As proof of your investment, a Confirmation Notice will be sent to you not later than 7 banking days with the number of shares purchased and the Net Asset Value Per Share (NAVPS) booked.
- ✓ Documents and transactions received before the 12 noon cut-off will be processed within the same business day using the NAVPS for the day. Anything received past cut-off shall be processed the next business day applying the corresponding NAVPS for that day.
- ✓ Investment Application Form and validated deposit slip, copy of check issued should be:
  - Submitted directly to: PhilEquity Management Inc. 2004-A, East Tower, Philippine Stock Exchange Centre, Exchange Rd., Pasig City
  - If enrolled to Facsimile and Electronic Mail Instructions: Fax to (632) 706 0795 or email to sales@philequity.net. The document will be processed based on the time when the faxed / email document was received by PEMI.

#### DISTRIBUTOR / AGENT ACKNOWLEDGEMENT

Date Received		Distributor / Branch	
Received by			

#### PHILEQUITY USE ONLY

Value Date		Sales Load Rate	
Processor		Authorizer	
Date Processed		Date Authorized	

Copy Distribution: Original - PhilEquity 2nd copy (blue) - Transfer Agent 3rd copy (yellow) - Investor / Client

Leave blank. Account Number will be provided once account has been opened.

All investors must sign. Your signature should match against the signature on your submitted ID.