

## Mutual Fund Customer Information & US Person Declaration (For Institutional Accounts)

Please fill-out this form completely. Details provided herein will form the basis of all future transactions on your Mutual Funds Account/s. A notice in writing should be received by BPI Investment Management, Inc. ("BIMI"), thru our authorized Certified Investment Solicitors &/or accredited distributors, in case you wish to change any information/instruction herein.  
**Please write heavily or type as you are making (3) copies.**

### SECTION I – ACCOUNT ID

Existing BIMI Mutual Funds Investor?  YES  NO

#### Investment Account Services:

Your Mutual Fund investment account will automatically be enrolled to receive electronic statements. Place an (x) on the box provided if you prefer otherwise:

Mutual Fund Account Number: \_\_\_\_\_ Date: \_\_\_\_\_

Do not enrol in electronic statements & opt for delivery of paper statements.

### SECTION II – CORPORATE / INSTITUTIONAL INFORMATION

Name: \_\_\_\_\_ TIN: \_\_\_\_\_

Address: \_\_\_\_\_

Business Phone:	Fax:	Location of Business: <input type="checkbox"/> Philippines Only <input type="checkbox"/> Multinational	Country of Registration/Incorporation:	Nature/Line of Business*:
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Directors, Partners, Trustee &/or Senior Officers (please use additional sheet if necessary)	Nationality	Citizenship	Position**	Address
1.				
2.				
3.				
4.				
5.				

Stockholders with at least 20% share of stocks (please use additional sheet if necessary)	Nationality	Citizenship	% owned	Address
1.				
2.				

Beneficial Owners (if any) (please use additional sheet if necessary)	Nationality	Citizenship	% owned	Address
1.				
2.				

Authorized Signatories (if any) (please use additional sheet if necessary)	Position	Business Email Address	Telephone Number	Address
1.				
2.				
3.				

Authorized Representative/s / Contact Person/s (please use additional sheet if necessary)	Position	Business Email Address	Telephone Number	Address
1.				
2.				

### SECTION III – FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) SELF-CERTIFICATION

#### ENTITY'S FATCA CLASSIFICATION

IMPORTANT NOTE: The information that your Entity will provide in this document forms part of BIMI's new account on-boarding procedures in compliance with the requirements of the FATCA. Select ONE and put a tick mark on the circle that corresponds to the Entity's FATCA classification and provide relevant document/information under Instruction.

Classification	Instruction
<input type="radio"/> Specified US Entity	- Please indicate the Entity's US TIN: _____ - Submit an IRS Form W-9
<input type="radio"/> US Entity Others	None
<input type="radio"/> Foreign Financial Institution (FFI) in a Partner Jurisdiction (Model 1 or Model 2 Intergovernmental Agreement)	Please indicate the Entity's GIIN: _____
<input type="radio"/> FFI with GIIN (Global Intermediary Identification Number)	Please indicate the Entity's GIIN: _____
<input type="radio"/> FFI GIIN not needed	Please submit an IRS Form W-8 BEN E
<input type="radio"/> Non-Participating Foreign Financial Institution (NPFFI)	Not allowed to open
<input type="radio"/> Non-Financial Foreign Entity (NFFE) – Active	None
<input type="radio"/> Non-Financial Foreign Entity (NFFE) – Passive with Controlling US Person	- Complete the table (A) below on details of Controlling US Person - All Controlling US Person listed in the table must accomplished separate FATCA Self Certification Form – Individual and submit an IRS Form W-9
<input type="radio"/> Non-Financial Foreign Entity (NFFE) – Passive without Controlling US Person	None

Table A- Details on Controlling US Person

Name of Controlling US Person	Address	US TIN

### SECTION IV – CLIENT CERTIFICATION AND AUTHORIZATION

By affixing our signature below (which shall also serve as our specimen signatures), we hereby certify that the information we provided herein is true, accurate and complete, and we agree to notify/update BIMI of any change in any of the information supplied in this form.

We certify that the information we provided herein is true, accurate and complete, and we agree to notify/update BIMI of any change in any of the information supplied in this form. BIMI shall not be responsible for our failure to update this form. We further warrant that, prior to submitting to BIMI any information (including personal information) of an individual, we have obtained all necessary authorizations and consents as may be required by applicable confidentiality and data privacy laws or agreement to enable BIMI to process such information.

We further acknowledge to have read, understood and agreed to be bound by the terms and conditions, which may be amended from time to time, set forth at the reverse side hereof and have signified our acceptance as party to the Agreement. Our maintenance and continued use of our investment account shall constitute as our acceptance and agreement to the applicable specific terms and conditions.

We likewise agree that BIMI, its parent, subsidiaries and affiliates (collectively, the "BPI Group of Companies") and marketing partners and third parties, whether within or outside the Philippines (the "Program Partners") and their respective authorized representatives, agents and service providers, under an obligation of confidentiality, may pursue marketing initiatives and communicate such customer offerings and promotional opportunities to us through email, SMS, mail, telephone calls, social media, e-commerce and telemarketing platforms or any other means of communication or channels which BIMI or such member of the BPI Group of Companies may deem appropriate for the purpose.

By signing this form or by continuing to maintain or use our investment account, we agree that all personal information of individuals related to us, our transactions, business and credit relationships, accounts or account information or records which are with you, made available or submitted to you, whether through electronic means or such other modes deemed appropriate by BIMI, or are in your possession or updated from time to time, may

be collected, obtained, used, stored, consolidated, processed, profiled, benchmarked, shared to and disclosed, by and between BIMI and any member of the BPI Group of Companies, their successors and assigns, and their respective authorized representatives, agents and service providers, for any or all the purposes described in the Data Privacy Statement published at its website and deemed incorporated by reference in this form.

The foregoing constitutes our express consent under the applicable confidentiality and data privacy laws of the Philippines and other jurisdictions and we agree to hold BIMI, each member of the BPI Group of Companies, the Program Partners and their respective directors, officers, employees, authorized representatives, agents and service providers, free and harmless from any and all liabilities, claims, damages, suits, costs, and expenses resulting from or in connection with the implementation of the purposes and authorities conferred by us hereunder.

We authorize BIMI to rely upon our declaration herein and, if the Entity is (i) a Specified US Entity (ii) a NFFE Passive with Controlling US Person or (iii) a NPFFI, that render the account/s reportable under FATCA, we consent to the reporting and disclosure of the required information by the Bank to the Internal Revenue Services (IRS) and/or Bureau of Internal Revenue (BIR) in compliance with FATCA. In consideration of the foregoing, we agree to hold BIMI, its directors, officers, employees, representatives and agents free and harmless from any liability, action and suits, costs, and expenses, arising from or in connection with BIMI's compliance with FATCA regulations and/or as a result of disclosure made to the US IRS and/or BIR.

We likewise agree that this constitutes our consent to the disclosure of account information under RA10173 and other similar or related laws.

We have understood the product features, inherent risks and other pertinent information about the FUND/s and we agree to be bound by such other conditions stated in the FUND's Prospectus.

We further acknowledge and confirm that no solicitation whatsoever of the FUND/s has/have been made by Sales Agents in jurisdictions where the same is prohibited by law.

#### AUTHORIZED SIGNATORIES

#### FOR INTERNAL USE ONLY: TO BE FILLED UP BY AUTHORIZED PERSONNEL

PRINTED NAME	SIGNATURE	Please sign twice:
a. _____	a. _____	a. _____
b. _____	b. _____	b. _____
c. _____	c. _____	c. _____

#### Assessment : Entity is a:

Specified US Entity  NPFFI  
 NFFE Passive with Controlling US Person  Others

I declare that the required account opening verification has been performed on the documents for the customer listed above, and that the information provided is true, correct, and updated.

Name of Certified Investment Solicitor: \_\_\_\_\_

CIS License No: _____	Date: _____
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**THIS IS NOT A DEPOSIT PRODUCT. EARNINGS ARE NOT ASSURED AND PRINCIPAL AMOUNT INVESTED IS EXPOSED TO RISK OF LOSS. THIS PRODUCT CANNOT BE SOLD TO YOU UNLESS ITS BENEFITS AND RISKS HAVE BEEN THOROUGHLY EXPLAINED. IF YOU DO NOT FULLY UNDERSTAND THIS PRODUCT, DO NOT PURCHASE OR INVEST IN IT.**

**CUSTOMER INFORMATION SHEET - LIST OF VALUES**

Nature of Business*		
ACT — Accounting / Bookkeeping / Tax Practice /	EIC — Economically Inactive (Not employed or no business)	NGO — Foundation (NGO)
ADS — Advertising / Marketing / Sales Activities	EMB — Embassies / Foreign Consulates	OPS — Other Professional Services (like Delivery, Photography, Catering, Interior Design, Fashion, Design Styling, etc.)
AGR — Agriculture / Hunting / Forestry / Animal Farming /Fishing	ENT — Entertainment (Recreational / Cultural / Sporting Services like Party Planning Services, Event Organizing, Carnival Rides Rental, Fireworks, Displays, Media Network, Film Production)	PUB — Publishing / Printing / Reproduction of Recorded Media
BFB — Banking - Foreign Banks	FDI — Food Industry / Food Manufacturing / Food Preparation / Processing / Food Packaging	PWN — Pawnshops
BHS — Beauty and Health Services (like Spa, Beauty parlors, Fitness Centers)	FIN — Financial Services	RCY — Recycling
BLR — Banking — Local — Rural	FXD — FX Dealer / Money Changer	REL — Real Estate (like development, sales, etc.)
BLU — Banking — Local — Universal / Commercial / Savings	GAC — Gaming Clubs / Casino	REM — Remittance Agent
BNK — Banking	GOV — Government Service – NP	REP — Repairs Services
BPO — Business Process Outsourcing (like Call Centers, Billing / Credit / Collections)	INS — Insurance Activities	SAN — Sanitation / Cleaning / Housekeeping Services (like Janitorial Services, Building Maintenance, Laundry, etc.)
BRO — Brokerage	LEG — Legal Practice	SHP — Maritime or Shipping
CHA — Charities	LSE — Leasing / Rental Activities (like Land, Building, Machinery, etc.)	TOU — Tourism (like Hotels, Inns, Resorts, Tour Agencies, Restaurants)
CMT — Commodities Trader	MED — Medical Services (includes caregiving)	TRA — Wholesale / Retail Trade
COM — Communication (Telecommunications includes postal)	MFG — Manufacturing (Non-food, like Garments, Vehicles, Jewelry, Heavy Equipment, etc.)	TRN — Transport (Air, Water or Land)
CSY — Consultancy (like Computer-related Consultancy- hardware/software, Technical Engineering/Architectural, Scientific Related Consultation, Business Consultancy)	MIL — Military NP	UTL — Utilities (Electricity, Gas & Water Supply)
CTN — Construction (like Building, Plumbing, Electrical, Carpentry)	MIN — Mining	WAT — Collection, Purification and Distribution of Water
EDU — Education (including private tutorials, special education)	MNF — Manning or Employment Agencies Foreign	OTH — Others, please specify
	MNL — Manning or Employment Agencies Local	
Nature of Work (Job Title)**		
CLE — Clerical / Rank and File	MGT — Top Management / Senior Level	TEC — Technical / Computer
MGR — Mgr / Supervisor / Middle Level	SAL — Sales Rep	FOP — Foreign PEP
PRO — Professional	EIC — Economically Inactive Clients	SEA — OFW-Sea-based/Seafarer
CON — Contractual / Probationary	OFW — OFW-Land-based	OTH — Others, Please Specify

**TERMS AND CONDITIONS**

The INVESTOR/s hereby participate/s in the mutual funds (“FUNDS”) managed by BPI Investment Management, Inc. (“BIMI”), a wholly owned subsidiary of the Bank of the Philippine Islands. Without limiting the Terms and Conditions of the FUNDS’ Prospectus, the INVESTOR/s fully agree/s to the following:

**AUTHORITY OF THE FUNDS’ DULY AUTHORIZED REPRESENTATIVES.**

**FUND MANAGER.** BIMI shall exercise absolute control, direction and management of the investments of the FUNDS.

**SERVICE ADMINISTRATOR.** BIMI shall provide administrative support to the FUND’s backroom/operational and reportorial requirements.

**SALES AGENTS.** The FUND shall be sold only through duly licensed and authorized sales agents of BIMI, as well as other authorized distributors and their licensed sales agents.

**FUND VALUATION.** The investments of the FUND shall be valued using the valuation method defined in the FUND’s Prospectus.

**MANNER OF PARTICIPATION.** Every transaction of an INVESTOR/s shall be made via the purchase of a whole number of the FUND’s shares of stock arrived at by dividing the transaction amount, net of any applicable sales load, by the applicable Net Asset Value per Share / Net Asset Value per Unit (NAVps / NAVpU).

**EVIDENCE OF PARTICIPATION.** A system-generated Transaction Advice shall be issued by the FUND, through BIMI, as evidence of contributions of the INVESTOR/s into the FUND.

**MANNER OF ADMISSION/SUBSCRIPTION.** The FUND shall be sold only through the FUND’s SEC accredited Certified Investment Solicitor (CISol) &/or distribution channels. Contributions into the FUND shall be computed on the basis of the applicable NAVps / NAVpU, net of the applicable sales load. In case of insufficient funding for whatever reason, the entire subscription order will not be processed.

**MANNER OF REDEMPTION.** Redemptions out of the FUND shall be computed on the basis of the applicable NAVps / NAVpU on the day the redemption order is received, subject to the applicable cut-off time. Proceeds of the redemption, net of any applicable redemption fee, shall be paid out not later than seven (7) banking days from the date of BIMI’s receipt of the Fund Order Form. Should a partial redemption result in the investment falling below the required minimum maintaining balance, the entire balance shall be paid to the INVESTOR/s by crediting the nominated settlement account or by check, as may be applicable.

The FUNDS shall be entitled to collect an Early Redemption Fee based on the amount redeemed, in accordance with the respective Prospectus of the FUND.

All redemption proceeds shall be payable to the INVESTOR/s on record only.

**SELECTED FEATURES OF THE FUND.** For the effective and efficient management of the FUND, the FUND, through BIMI, in accordance with applicable rules, shall set, and retain the option to change from time to time, the minimum holding period for each investment in the FUND, the amounts for initial and additional contributions, partial redemptions, and the required minimum maintaining balance for investment in the FUND. The INVESTOR/s’ continued investment in the FUNDS after the effective date of such revision and/or change shall be deemed to constitute as acceptance of the changes and/or revisions without reservation.

**JOINT ACCOUNTS.** The operation of and withdrawals of the funds in “AND” joint accounts must be signed or authorized by all the co-INVESTORS. In cases of “OR” joint accounts, any one of the co-INVESTORS is authorized to operate the funds and to effect any withdrawal therefrom. In case of two (2) or more Individual Investors, the risk profile of the Primary Investor shall be the basis of the applicable profiling and financial planning discipline.

**CUT-OFF TIME PER TRANSACTION.** For the effective and efficient management of the FUND, the FUND through BIMI, shall set and shall retain the option to change from time to time, such rules as the cut-off times and value dates for each type of transaction.

**INSTRUCTIONS.** All instructions, oral or written, whether original, facsimile or via electronic-mail, given or purported to have been given by the persons authorized to operate the account as designated in this Agreement (or otherwise in writing), are binding on the INVESTOR/s. The FUND may, through BIMI, at its discretion, conclusively rely and act on any such instructions, and shall not in any way be liable for any loss which the INVESTOR/s may incur as a result of the FUND’s reliance and action on any such instruction.

**COMMUNICATION AND NOTICES.** All communications, whether by mail, telephone, facsimile, electronic-mail, messenger or otherwise, sent to the INVESTOR’s contact information appearing in the records of BIMI, shall constitute personal delivery to the INVESTOR/s. All communications shall be directed to said last known nominated address appearing in BIMI’s records unless a written notice of change of address is received by BIMI at least five (5) banking days prior to the delivery of communication or notice to the INVESTOR/s. All communications sent to the INVESTOR’s address, email address or fax number shall be conclusive as to their correctness in the absence of any written objection received by BIMI within five (5) banking days from delivery thereof.

**REPORTS.** A report shall be submitted to the INVESTOR/s at least once every quarter. The report shall consist, among others, of the INVESTOR/s’ summary of investments showing the number of shares/units in the FUND, the total cost and market value thereof, the unrealized income/(loss), and a transactions activity report showing contributions and redemptions made during the period covered.

**ADJUSTMENTS.** BIMI is authorized by the INVESTOR/s to correct any error or mistake in the INVESTOR’s account without need of prior notice or consent.

**DISTRIBUTION OF FUND EARNINGS.** The total income of the FUND shall be allocated to the respective INVESTOR/s in proportion to their respective investment. The unrealized income of each INVESTOR is the difference between the applicable NAVps / NAVpU over the average acquisition cost of the INVESTOR’s shares/units, multiplied by the number of shares/units held by the INVESTOR/s. Realization of any income, or conversely, any loss, of the INVESTOR/s occurs when shares/units are partially or fully redeemed. Further, the FUND/s, in accordance with applicable laws, may from time to time, declare dividends.

**LIABILITY OF BIMI.** Nothing in these Terms and Conditions shall be construed as a guaranty of return or income; nor does it entitle the INVESTOR/s to a fixed rate of return on the money invested by him/her in the FUND. BIMI shall not be liable for any loss or depreciation in the value of the FUND or in the value of INVESTOR’s investment unless attributable to BIMI’s act of fraud, willful default, gross negligence or evident bad faith. It is understood that mutual funds are not bank deposit products, not guaranteed by BIMI not covered by the Philippine Deposit Insurance Corporation, and that losses, if any, are for the sole account of the INVESTOR/s.

**TAXES, EXPENSES AND FEES.** BIMI is authorized, without prior notice to the INVESTOR/s, to 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, BIMI shall collect on every valuation date management and distribution fees based on the INVESTOR’s proportionate share of the previous day’s NAVps / NAVpU of the FUND in the percentage as disclosed in the FUND’s Prospectus.

**CHARACTER / NATURE OF THE AGREEMENT.** It is understood that upon signing of this Agreement, the INVESTOR/s undertakes to consider this Agreement as the uniform / consolidated arrangement which shall govern all types of Mutual Funds managed by BIMI.

In case the INVESTOR/s decide/s to subsequently subscribe to any FUNDS managed by BIMI, the Terms and Conditions of this Agreement shall prevail, as there will be only one Agreement to be signed at the beginning of the period to which FUNDS managed by BIMI and the INVESTOR/s have mutually entered into for the participation of the INVESTOR/s.

Further, all Terms and Conditions stated in the provisions of this Agreement, insofar as the same shall be consistent and applicable to the type / nature of the FUND availed of by the INVESTOR/s, shall be controlling, and no other covenant shall be recognized, unless otherwise specifically enumerated in a separate agreement mutually acceptable to the FUNDS managed by BIMI and the INVESTOR/s, a court of competent jurisdiction, or other competent authority.

**MISREPRESENTATION/ FRAUD.** The INVESTOR/s attest/s that all information provided herein are true, correct and accurate. The INVESTOR/s further attest/s that the amounts invested in the FUNDS are derived from legitimate sources. In case of fraud or misrepresentation, it is agreed and understood that BIMI has the option to close/terminate the account/s at anytime without prior notice to the INVESTOR/s and the outstanding shares / units shall immediately be sold at the prevailing NAVps / NAVpU, and shall be subject to the applicable redemption fee and/or penalty. In such case, BIMI reserves the right to reject any subsequent subscriptions to the FUNDS.

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

**FUND TRANSFER.** BIMI will immediately transfer the funds on behalf of the INVESTOR/s following its customary procedures and subjected to bank charges but in no case shall BIMI be liable for delays or additional charges that occur due to acts of correspondent or intermediary financial institutions or through any cause beyond the control of BIMI.

**MANUALLY INITIATED FUND TRANSFER.** BIMI has the absolute discretion to act or not to act upon, or to confirm instructions via telephone or e-mail prior to processing, any manually-initiated funds transfer application or other instructions received via messenger/agent/representative. BIMI shall not be liable for any failure or delay in the processing or the application as a result of BIMI electing to defer action prior to receiving confirmation.

In consideration of BIMI agreeing to accept and act upon such instruction via messenger/agent/representative, the INVESTOR/s hereby irrevocably undertake that BIMI, its directors, officers, employees and representatives, shall not be held liable for any costs, losses, liabilities, damages, and expenses whatsoever arising out of or in connection with BIMI accepting or acting upon such instruction. The INVESTOR/s irrevocably undertake/s to indemnify and hold BIMI, its directors, officers, employees and representatives free and harmless from any costs, losses, liabilities, damages, and expenses

**TERMINATION/ SUSPENSION OF ACCOUNT/USE.** BIMI reserves the right to terminate the INVESTOR’s account or suspend the INVESTOR’s current or future use of the same in whole or in part, such as not processing any redemption order if, among others, the INVESTOR/s violate(s) these Terms and Conditions, pose a security threat, or the INVESTOR/s provide any information that is untrue, inaccurate, not current or incomplete, or the INVESTOR/s fails to submit any updated document required by BIMI, or when the account, in the opinion of BIMI, is being used or suspected to be used for fraudulent, criminal or unlawful activities or for any cause whatsoever, at any time without prior notice and the losses attributable to the termination of the account, if any, shall be for the account of the INVESTOR/s.