

TRADE-RELATED TRANSFER FORM



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TRANSFER INSTRUCTION

REGISTRY SERVICES

TRADE-RELATED TRANSFER		DATE
NAME OF REGISTERED HOLDER/INVESTOR:		
SECURITY NAME:		SECURITY ID/ ISIN NO.
AMOUNT FOR TRANSFER:	AMOUNT IN WORDS:	
PURCHASE DATE (for Bank Issues):	TAX STATUS: <input type="checkbox"/> FTX (Taxable 20%) <input type="checkbox"/> NWT (Tax-Exempt 0%) Others: _____	GRADUATED TAX STATUS (for Bank Issues): <input type="checkbox"/> FT20 (20%) <input type="checkbox"/> FT12 (12%) <input type="checkbox"/> FT05 (5%)
TRADE DATE:	SETTLEMENT DATE:	
NAME OF BROKER:		
I/We hereby authorize and instruct PDTC to transfer the security in relation to a trade with abovementioned details: From (existing location): <p style="margin-left: 40px;">My/our existing Registry Account Number _____                  My/our Custodian's (_____) Registry Account Number _____.</p> To (destination, settlement location): <p style="margin-left: 40px;">My/our Broker's (_____) Depository Account Number _____                  My/our Custodian's (_____) Depository Account Number _____                  My/our existing Depository Account Number _____                  My/our Custodian's (_____) Registry Account Number _____                  My/our existing Registry Account Number _____                  Registry Account Name _____</p> <p><input type="checkbox"/> NON-STOCK &amp; NON-PROFIT (For Corporation claiming tax-exemption)      TAX STATUS: <input type="checkbox"/> FTX (Taxable 20%)  <input type="checkbox"/> NWT (Tax-Exempt 0%)      GRADUATED TAX STATUS (for Bank Issues):  <input type="checkbox"/> FT20 (20%) <input type="checkbox"/> FT12 (12%) <input type="checkbox"/> FT05 (5%)                  Others: _____</p> I/We hereby confirm the currency and correctness of the information herein provided and likewise confirm that the foregoing transfer instruction is legal, valid and binding and may be fully and unconditionally relied upon by PDTC. I/We likewise confirm that I/we have paid the applicable taxes in relation to the transaction; and should the same be incorrect, I/we agree to be liable for additional taxes, duties, assessments or governmental charges with respect thereto. I/We hold PDTC free and harmless from any liability, loss or damage that may arise from its execution of the foregoing instruction. I/We recognize and agree that the transfer is subject to the PDTC Registry Rules that are in force and effect.		
AUTHORIZED SIGNATORY		AUTHORIZED SIGNATORY
As the accredited dealer/broker, we hereby confirm the secondary trade from the abovementioned Registered Holder/ Investor of subject security in the amount as stated and that the applicable taxes in relation to the transaction have been paid. We declare the truth, completeness, currency and correctness of the information given in connection with this transfer instruction, and that the same is legal, valid, and binding pursuant to the authority duly granted and may be fully and unconditionally relied upon by PDTC. We hold PDTC free and harmless from any liability, loss or damage that may arise from the execution of this instruction. We recognize and agree that the transfer is subject to the PDTC Registry Rules that are in force and effect.		
AUTHORIZED SIGNATORY [Broker]		AUTHORIZED SIGNATORY [Broker]
Email Address of Endorsing Entity: _____		
Note: Deadline for the submission of this Registration Instruction and all other required documents for same day processing is 12:00 noon, settlement date. Deadline for submission of account opening requests, expanded delivery vs. payment (eDvP) enrollment of Registry Account, and relevant documents, is 12:00 noon, one business day prior to the transfer. The Broker shall provide the relevant forms which the investor will fill-up.		

DOCUMENTARY REQUIREMENTS TO BE ATTACHED

Payment of P100.00 per side of the trade-related transfer (payable by the Transferor or Transferee), and P100.00 as account opening fee (for new holders), payable to PDTC in check, upon submission of the request/s.

FOR INDIVIDUAL INVESTORS:

Identification documents of the Registered Holder;
Two (2) duly accomplished signature cards containing the specimen signature of the Registered Holder, validated /signed by the Broker's authorized signatory/ies, whose authority/ies and specimen signatures have been submitted to PDTC; and
Authorization Letter, if applicable, for the distribution of payments such as cash dividends, interest or coupon and/or principal payment.
Such other documents as may be reasonably required by the Broker(s) / Registrar in implementation of its internal policies regarding "knowing your customer" and anti-money laundering.

FOR CORPORATE AND OTHER JURIDICAL ENTITY INVESTORS:

An original notarized Certificate of the Corporate Secretary of the Registered Holder setting forth resolutions of the Registered Holder's Board of Directors authorizing the purchase of the Bonds and designating the signatories, with their specimen signatures, for the said purposes;
Copies of its Articles of Incorporation and By-laws and latest amendments thereof, together with the Certificate of Incorporation issued by the SEC or equivalent government institution, stamped and signed as certified as true copies by the SEC or by the Registered Holder's Corporate Secretary, or by an equivalent officer/s who is/are authorized signatory/ies;
Ownership structure of the Registered Holder;
A list of the natural persons who are the beneficial owners of the parent company of the Registered Holder;
Two (2) duly accomplished signature cards containing the specimen signatures of the Registered Holder's authorized signatories, validated by its Corporate Secretary or by an equivalent officer/s who is/are authorized signatory/ies, and further validated/signed by the Broker's authorized signatory/ies whose authority/ies and specimen signatures have been submitted to PDTC;
Identification document(s) of Registered Holder's authorized signatories;
Identification document(s) of at least two (2) of the Registered Holder's Directors, including the managing director, if any; identification documents of beneficial owners who own at least 10% of the capital stock of the Registered Holder; identification document of the Corporate Secretary or of the signing equivalent officer/s; and
Such other documents as may be reasonably required by the Broker(s) / Registrar in implementation of its internal policies regarding "knowing your customer" and anti-money laundering.
5. Authorization Letter, if applicable, for the distribution of payments such as cash dividends, interest or coupon and/or principal payment.

Identification Documents Shall Consist Of: Any one (1) of the following valid identification documents bearing a recent photo, and which is not expired: Passport, Driver's License, Professional Regulation Commission (PRC) ID, National Bureau of Investigation (NBI) Clearance, Police Clearance, Postal ID, Voter's ID, Barangay Certification, Government Service Insurance System (GSIS) e-Card, Social Security System (SSS) Card, Senior Citizen Card, Overseas Workers Welfare Administration (OWWA) ID, OFW ID, Seaman's Book, Alien Certification of Registration/Immigrant Certificate of Registration, Government Office and GOCC ID, e.g. Armed Forces of the Philippines (AFP ID), Home Development Mutual Fund (HDMF ID), Certification from the National Council for the Welfare of Disabled Persons (NCWDP), Department of Social Welfare and Development (DSWD) Certification, Integrated Bar of the Philippines ID, Company IDs issued by private entities or institutions registered with or supervised or regulated either by the BSP, SEC OR IC, or school ID duly signed by the principal or head of the school (for students who are beneficiaries of REMITTANCES/FUND TRANSFERS who are not yet of voting age)

IF CLAIMING TAX EXEMPTION, ATTACH:

Certified true copy of the tax exemption certificate, ruling or opinion from the Bureau of Internal Revenue confirming the exemption or preferential rate;
A duly notarized undertaking, in the prescribed form, declaring and warranting its tax exempt status or preferential rate entitlement, undertaking to immediately notify the Issuer and the Registrar of any suspension/revocation of the Investor's tax exemption certificates or preferential privilege and agreeing to indemnify and hold the Issuer and the Registrar free and harmless against any claims, actions, suits and liabilities resulting from the non-withholding of the required tax
Such other documentary requirements as may be required under the applicable regulations of the relevant taxing or other authorities which for purposes of claiming tax treaty withholding rate benefits shall include evidence of the applicability of a tax treaty and consularized proof of the Applicant's legal domicile in the relevant treaty state, and confirmation from the SEC that the entity is not doing business in the Philippines.

IF FOREIGN INVESTOR CLAIMING APPLICABILITY OF A TAX TREATY, ATTACH:

Valid proof of applicability of tax treaty;
Consularized proof of tax domicile issued by the relevant tax authority;
SEC confirmation that entity is not doing business in the Philippines;
Such other documents that PDTC may deem reasonably and necessary to require.

NOTE: The Registrar shall not be responsible for monitoring if tax payment has been properly remitted by the Broker, shall not be required to request proof of said payment by the Broker, and shall be held indemnified, free, and harmless from any claims, charges, and assessments from the foregoing.

FOR PDTC USE ONLY

Table with 3 columns: RECEIVED BY/DATE, MAKER/DATE, CHECKER/DATE