

When conducting our obligations to clients, associated persons and other business interests, USI uses the Personal Data and other customer, account or transaction information or records of the undersigned CLIENT and its agents or authorized representatives/signatories (together with Personal Data is referred to collectively as “Customer Information”) in compliance with Republic Act No. 10173, otherwise known as the “Data Privacy Act of 2012”(“DPA”) and its Implementing Rules and Regulations (IRR).

The use of Customer Information shall involve collection and receiving, processing, profiling and data sharing of Customer Information. The terms “Personal Data”, “data processing” (or as used herein, “processing”), “profiling”, and “data sharing “shall be construed and interpreted as such terms are defined under the DPA and its IRR.

In this regard, USI shall adhere to the provisions of the DPA and its IRR and related rules, regulations, and directives.

RIGHTS UNDER DATA PRIVACY LAW

The rights of the undersigned as generally provided under the DPA are as follows:

- To be informed of the Customer Information that USI collects and how these are processed;
- To object to the processing of Customer Information and/or withdraw your consent;
- To access or demand access to view practically everything that will happen to the Customer Information; or, to access or demand to view any occurrence to the Customer Information;
- To dispute and correct the inaccuracies or errors in our records of the Customer Information;
- To suspend or withdraw, order the blocking, removal or destruction of the Customer Information from USI system under and subject to certain conditions;
- To file a complaint and receive compensation for any damages the undersigned may have sustained; and
- To obtain a copy of the Customer Information that USI is processing.

CUSTOMER INFORMATION

The Customer Information that USI may collect and receive, process, profile and share, include:

- Biometric and other information that are unique to an individual, such as: name, age, date and place of birth, race, gender, education, specimen signature, SSS/GSIS/TIN/passport and other identification document details, photos and images; or information unique to a juridical entity, such as: business name, nature of business, certificate of registration, by-laws, directors/trustees and officers, agents/authorized representatives/signatories;
- Contact information, such as: telephone and mobile number/s; residential, work or office/business addresses; email addresses and social media accounts;
- Financial and business information, such as: job, occupation, profession, business or trade, credit, sources of funds, real/personal assets ; licenses, franchises or permits; tax filings/reports;
- Information on any case or proceeding filed before courts, government agencies or tribunals; All other personal information as may be required, such as: Know-Your-Customer data and documentation, other account/business on-boarding requirements; and IP addresses when accessing the USI website; and
- Updates or corrections of the above necessary and compatible with the purposes for which Customer Information was obtained or received.

PURPOSES OF USE

UCPB Securities Inc purposes of collecting and using Customer Information include the following:

- Marketing, operation, and delivery of products, services and facilities;
- Handling of transactions, queries or complaints;
- Analysis and management; monitoring and discharging of functions and implementing rights and responsibilities; business development; surveys;
- Supporting USI’s business operations and implementing and enhancing USI’s policies, operations, controls, and internal systems or infrastructures; and
- Fulfilling USI’s legal and regulatory obligations and reporting requirements; compliance with government requirements, treaty, agreement or policy; as required by or for the purpose of any

court, or legal process or examination, inquiry, audit or investigation of any government authority.

USI may share Customer Information within the following recipients and categories of data recipients (Authorized Data Recipients):

- Those authorized by law or regulation, such judicial, governmental, supervisory and regulatory agencies/entities, to collect/receive, process, profile and share Customer Information such as, but not limited to the following:
 - a. Service providers such as Stock Transfer offices, UGMC, LBC, Post Office and their respective agents and authorized representatives.
 - b. Members of the UCPB Group including but not limited to its branches, subsidiaries, affiliates and their respective agents and authorized representatives.

USI RESPONSIBILITIES

USI's responsibilities in accordance with the DPA are:

- To collect Customer Information with transparency, legitimate business purpose, proportionality, and to obtain undersigned's consent as the data subject;
- To exercise reasonable and appropriate measures to ensure the confidentiality and integrity of the Customer Information, and prevent its use for unauthorized purposes;
- To implement adequate safeguards in the processing and transmission of the Customer Information by duly vetted personnel or authorized service providers; and
- To store and protect Customer Information.

CONSENT

For the above purposes and extent, CLIENT (and its agents/authorized representatives herein) have read and fully understood the foregoing, and hereby gives his/her consent and confirmation of authority on data privacy and confidentiality of Customer Information as described above and as required under, but not limited to:

- Republic Act Nos. 1405 (Law on Secrecy of Deposits), 6426 (The Foreign Currency Deposit Act), 8791 (The General Banking Law of 2000) and 10173 (Data Privacy Act of 2012) and their amendatory laws; and
- The terms and conditions of the USI Data Privacy Statement as presently or hereafter implemented, and as may be amended from time to time, and accessible online at www.ucpbsec.com or such other address, platform or medium utilized by USI.

The consent and authority hereby given for the use of the Customer Information shall subsist, from the time it was collected or received, processed, profiled, and shared, for at least 10 years or retained for as long as necessary for the fulfillment of the specified and legitimate purpose, processing of legal claims or legitimate business purpose or as other laws or regulations oblige the use and retention of the Customer Information.

The undersigned undertakes to inform USI of any change in his/her Customer Information.

Conforme:

Client signature over Printed Name

Date: _____