



# HDI SECURITIES INC.

Unit 2305A The Orient Square Bldg.  
F. Ortigas Jr. Road, Ortigas Center  
Pasig City, Philippines

TEL Nos.: 6877955 to 57, 9106188 FAX: 9106189  
email: info@hdisecurities.com website: www.hdisecurities.com

## CUSTOMER ACCOUNT INFORMATION FORM

For HDIS USE **ACCOUNT NO.:**

**INDIVIDUAL**     **JOINT** *please check if*     **PRIMARY ACCOUNT HOLDER**     **SECONDARY ACCOUNT HOLDER**

### ACCOUNT TYPE

**CASH**     **DISCRETIONARY**     **MARGIN**

### PERSONAL INFORMATION

<b>Full Name</b>	<i>Last name</i>	<i>First name</i>	<i>Middle name</i>
<b>Residential Address</b>	<i>House No.</i>	<i>Street</i>	<i>Barangay</i>
		<i>Town/ City</i>	<i>Country/Zip code</i>
<b>Gender</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female	<b>Birth Date</b> <i>(Month/Day/Year)</i>	
<b>Status</b>	<input type="checkbox"/> Single <input type="checkbox"/> Separated <input type="checkbox"/> Married <input type="checkbox"/> Widowed	<b>Name of Spouse:</b>	
<b>Nationality</b>	<input type="checkbox"/> Filipino <input type="checkbox"/> Resident Foreigner <input type="checkbox"/> Non-Resident Foreigner	<b>Specify Nationality:</b>	
<b>Contact Details</b>	<b>Mobile</b>	<b>Landline</b>	<b>Email</b>
<b>TIN/ SSS No./ GSIS No.</b>	<b>TIN</b>	<b>SSS</b>	<b>GSIS</b>

### ADDITIONAL INFORMATION

<b>Employment Status</b>	<input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/> Others _____
<b>Employer/Business</b> <i>(if applicable)</i>	
<b>Office Address</b> <i>(Town/City/Province)</i>	<i>House No.</i> <i>Street</i> <i>Barangay</i> <i>Town/ City</i> <i>Country/Zip code</i>
<b>Office Tel. No.</b>	<b>Fax</b>

### DISCLOSURES

Is your Employer a Registered Broker / Dealer?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, specify company name: _____</i>
Are you an Officer, Director, Salesman or Shareholder of another Trading Participant?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, identify the company and describe the relationship: _____</i>
Are you an Officer/ Director of an Exchange-listed company?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, indicate the name of Corporation: _____ Position: _____</i>
Do you have an account with other Broker/s/Dealer/s?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please <del>sign</del> Broker/s/Dealer/s name: _____</i>
Do you have an existing account with HDI Securities?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, please identify account number /name: _____</i>
Are duplicate confirmations required?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, identify to whom to be sent and relationship to customer: _____</i>

### FINANCIAL AND INVESTMENT PROFILE

<b>Investment Objective</b>	<input type="checkbox"/> Capital Preservation <input type="checkbox"/> Growth <input type="checkbox"/> Long Term Investment <input type="checkbox"/> Speculation
<b>Source/s of Income</b>	<input type="checkbox"/> Salary <input type="checkbox"/> Retirement <input type="checkbox"/> Business <input type="checkbox"/> Investments <input type="checkbox"/> Others <i>(please specify)</i>
<b>Assets</b>	<input type="checkbox"/> Less than Php 500,000 <input type="checkbox"/> Less than Php 1Million <input type="checkbox"/> Less than Php 5Million <input type="checkbox"/> 5 Million or higher
<b>Net Worth</b>	<input type="checkbox"/> Less than Php 500,000 <input type="checkbox"/> Less than Php 1Million <input type="checkbox"/> Less than Php 5Million <input type="checkbox"/> 5 Million or higher
<b>Annual Income</b>	<input type="checkbox"/> Less than Php 500,000 <input type="checkbox"/> Less than Php 1Million <input type="checkbox"/> Less than Php 5Million <input type="checkbox"/> 5 Million or higher

Should you refuse to disclose the financial information required, please indicate reason/s:

### BANK INFORMATION

<b>Bank Account Name</b>	
<b>Bank Name and Address</b>	
<b>Bank Account Number</b>	

### DELIVERY AND MAILING INSTRUCTIONS

On Jan. 08, 2015, Securities and Exchange Commission granted HDI Securities, Inc. exemptive relief from SRC Rule 30.2-2 and SRC Rule 52.1-8. All confirmation invoices, monthly statement of account and all other communication shall be sent via electronic mail to customer's email address. From date of receipt, client has report any differences until 12:00 noon of the next business day, otherwise it will be considered as correct.

I/We hereby certify that the information given in this Customer Account Information Form is true and correct to the best of my knowledge. I/We have read and agree to be governed by the terms and conditions relative to this Account as enumerated in the following pages, as well as by the rules and regulations of The Philippine Stock Exchange, Securities and Exchange Commission, Bangko Sentral ng Pilipinas, the Anti-Money Laundering Council, the Bureau of Internal Revenue, and other appropriate governmental agencies.

Signature of Client Over Printed Name

Date

Signature of Person authorized to exercise discretion in account

Date

### For HDIS USE ONLY:

### Requirements for Account Opening:

Salesman/Referred by:	<ol style="list-style-type: none"> <li>1. Completely filled-up CAIF</li> <li>2. Specimen Signature Cards (2 copies)</li> <li>3. Signed Trading Agreement</li> <li>4. Photocopy of (2) valid IDs               <ol style="list-style-type: none"> <li>i. <b>Resident Foreigner</b> <ul style="list-style-type: none"> <li>- Photocopy of Alien Certificate of Registration issued by the Bureau of Immigration.</li> </ul> </li> <li>ii. <b>Non-Resident Foreigner</b> <ul style="list-style-type: none"> <li>- Authenticated identity documents by the Philippine Embassy or Consulate.</li> </ul> </li> </ol> </li> </ol>
Processed by:	
Date Opened:	
Approved By:	

HDI SECURITIES INC.

MEMBER: THE PHILIPPINE STOCK EXCHANGE

## Online Securities Trading Agreement

This is to confirm my understanding that HDI Securities, Inc. (HDISI), a licensed broker-dealer by the Securities and Exchange Commission (SEC) and a member of the Philippine Stock Exchange, Inc. (PSE) will act as my broker for my transactions in securities. I also understand that HDITrade is the Online Securities Trading Facility of (HDISI). I also confirm that all my orders for purchases or sales of securities shall be subject to the prevailing rules of the PSE, to the regulation of the SEC and other regulating agencies and to the following agreements:

- 1.) I understand that for the purpose of selling, buying or performing other acts stated herein, I hereby irrevocably appoint and constitute HDISI, its officers, employees or successors-in-interest and/or assigns, as well as any subagent, broker, attorney-in-fact it may appoint for that purpose, as my true and lawful attorney with full power and authority to buy or sell, lend or borrow securities or otherwise on my account(s) (whether carried individually or jointly with others), to agree to the price of securities, execute bills of sale, receipt, assignments of all my right, title and interest to the purchaser(s) thereof of such other instruments in writing or documents as may be necessary and to deliver or accept delivery of the corresponding stocks certificates and/or HDISI may directly or indirectly do or cause to be done in accordance with the powers herein conferred all of which are hereby deemed ratified by me in all respects. For this purpose, HDISI shall be entitled to rely on any instructions, notices and communications which it believes to have originated from me and shall be bound thereby.
- 2.) I request to open an online securities trading account with HDISI which in my personal capacity will enable me to execute buy or sell stocks listed in the PSE via the internet and the electronic trading facility of HDISI subject to the prevailing rules of the PSE, to the regulation of the SEC and other regulating agencies and this agreement.
- 3.) I am legally capacitated to enter into this Agreement.
- 4.) I understand that any information, data and write-ups found in the HDISI website do not warrant or guarantee me any benefits and do not intend to solicit any action from me to buy or sell securities.
- 5.) I understand that my trading password is personal and confidential and I shall be solely responsible for its protection and use. Thus, all and any orders that are executed under my account are authorized by me and binding on me. HDISI, shall not be held liable for any unauthorized actions or transactions using my name and password, and for any other cause beyond HDISI's control.
- 6.) I agree to place a required minimum opening deposit of Php25,000.00, to submit all the forms and other documents requested upon me and warrant that all information are true and correct and the documents I will provide are legitimate and authentic.
- 7.) In consideration of the foregoing, I hereby agree to pay HDISI (i) Commission at the rate of .25% of the amount purchased or sold via the online securities trading account and in no case shall the commission be less than Php100.00 per order (ii) Settlement fees (iii) Depository and Clearing Fees (vi) Stock Transaction Tax, VAT and other levies and duties thereon.
- 8.) I acknowledge that my online securities trading account is subject to a Maintenance Fee of Php155.00 per month, beginning the following calendar month after I opened my account. This fee can be applied to commission charges from my account. If the commission charges from my account for the given calendar month is not sufficient to cover the fee, the difference is to be debited on my account. I also understand this fee is a pass-on fee from the PSE who has proprietary rights on the PSETradEx. PSETradEx is the online platform used by HDISI for its online trading. This maintenance fee may later increase or decrease upon the discretion of the PSE.
- 9.) I acknowledge that in order for me to execute a buy and/or sell transaction, sufficient funds and/or required securities should be in my account prior to acceptance of my order. I understand also that I am prohibited to make any short sales.
- 10.) I agree that in order to satisfy any obligation under my account or whenever in its sole discretion HDISI consider it necessary for its own protection, I hereby specifically authorize and empower HDISI, without need of prior and demand, to sell so much of the securities in my account(s) (whatever herein carried individually or jointly with others) and herein delivered as collateral, necessary for the payment of any of my obligations to HDISI. I hereby guarantee that such securities are free from all liens and encumbrances, it being expressly understood that in the event that any such liens are later discovered which prevent the subsequent negotiation of the securities, HDISI may, at its sole discretion, buy back the sold securities and collect from me whatever amount HDISI may incur by reason of such buyback, including damages which it may suffer or may be required to pay. I further authorize HDISI to buy, lend, borrow or arrange for the lending or borrowing of any and all securities from any one of my account(s), to transfer moneys or securities from any one of my account(s) to another, and to settle all outstanding obligations. It is hereby agree and understood that I shall at all

times be liable for the payment of any unpaid balance owing, if any, on my account(s) together with interest provided that I shall remain liable for any deficiency remaining in any such account(s) in event of liquidations.

11.) I hereby also authorize HDISI, without need of any further notice from me, to place my securities beneficially owned by me, either separately or in common with other securities, for any amount due from me on my account(s).

12.) I agree that HDISI shall be entitled to set off any amount payable by HDISI pursuant to this account against any amount owing from me pursuant to this account or any of my account(s) held or carried by HDISI either held individually or jointly with others which are due and demandable.

13.) While the securities subject of the foregoing terms and conditions are in HDISI's possession, their custody shall be governed by the Safekeeping Agreement which I have executed.

14.) In the event of any controversy or litigation arising out of this Agreement, HDISI shall be entitled to a reasonable compensation for attorney's fee and other costs. It is agreed that venue of action for any litigation shall be in the proper courts of City of Pasig, any other venue of suit being waived.

15.) I understand that the stock market is rapidly changing market and there is an inherent risk in incurring loss in securities transactions which shall be for my account. For this reason, I hereby hold HDISI free and harmless against any and all costs, losses, damages, fines, penalties and taxes which it may incur arising out of or in connection with the exercise of any of its functions and power herein authorized. I am solely responsible in all my investment and trading decisions, without dependence on HDISI, for all my transactions in or for my account.

16.) I understand the risks that comes with the use of online trading facility in as much as being electronic and system generated shall be for my account and I held HDISI, its officers and directors, employees and agents, licensors, contractors and sub-contractors, etc. free from any direct or indirect damages and liabilities.

17.) I understand that HDISI shall not be liable in case of hardware and software breakdown or malfunction, loss or damage of personal data due to viruses or bugs, loss of revenue or profit due to delays or interruption of internet connection, and any related incidents may it be technical or not.

18.) The benefit and burden of this Agreement is personal to me and shall both be assigned by me without HDISI's prior express written consent.

19.) I am responsible for knowing and monitoring the rights, terms, events such as reorganization, splits, etc. involving all my securities in my account. I am aware that some certain stocks or

securities may allow me some rights which may expire after inaction on my part to exercise such.

20.) I understand and concur that HDISI has the sole discretion to restrict or to cancel my online trading at any time without need of prior notice from me.

21.) I understand that confirmations, statement of accounts and memos (debit/credit memo, etc.) shall be emailed to the email address I provided and I understand my responsibility to promptly review and report accordingly any discrepancies noted. Otherwise, these shall be binding on me.

22.) HDISI, shall accept any updates or amendments to my personal information as communicated by me through my registered contact information and shall be as good as if I signed it in my CAIF. I further authorize HDISI to record and monitor any telephone or electronic communications with me.

23.) In case of joint accounts, it shall be expressly indicated whether the same is "and/or" or an "and" account, with all parties to said account signing there under. Where the context requires, the singular shall be deemed to include the plural. Unless otherwise indicated, a joint account shall be deemed to be an "and/or" account. For "and" accounts, prior to the execution of any instructions, orders or communication, the consent by all of the signatories must be obtained. For "and/or" account, prior to the execution of consents and signatories shall constitute sufficient authority for the execution of any instructions, orders, consents and communications which HDISI may believe to have originated from any one of the signatories and all of them shall be bound thereby. With respect to any action taken or not taken by HDISI in reliance upon instruction, orders, consents or communications believed by HDISI to be those of one of the signatories, HDISI shall be held free and harmless against any and all losses, damages, cost penalties, fines and taxes which may be incurred as a result thereof. Any liability arising herein shall be deemed to be joint and several liabilities of the signatories thereunder. Furthermore, and under pain of perjury, transactions made by any or all of us under "and/or" accounts are understood to have been made with explicit affirmation that all of us are still living on the date of such transactions, and that HDISI shall be kept free and harmless for its reliance upon such attestation. We further agree and declare that securities now hereafter in the account and shall be our joint property and owned by us, the account shall become the absolute property of the order of either of us or the survivor which shall be binding upon us and our heirs, next of kin legatee, assignors and personal representatives.

24.) This Agreement shall continue to be in full force and effect until signed notice of revocation is received by or from me, and in the case of such revocation, it shall continue to be valid and binding as to transactions entered prior thereto.

## TERMS AND CONDITIONS OF SAFEKEEPING AGREEMENT

- 25.) The securities subject of this Agreement (The "securities") are received for the reason(s) herein stated only, and no other than expressed herein. In case of any discrepancy, please notify HDISI within three (3) days from receipt. Any later objections will not be considered by HDISI.
- 26.) When required by HDISI, a charge in accordance with HDISI's prevailing Safekeeping Charge will be applied each month or fraction thereof during which the securities are held.
- 27.) HDISI will give the securities the same degree of physical care that it gives its own property, but does not assume responsibility beyond that. HDISI shall not be liable for any loss or damage to the securities or impairment of their value except those directly caused by acts amounting to fraud or negligence. HDISI shall not be responsible for any form of damages or liability arising from its performance of this Agreement.
- 28.) The securities may be kept by HDISI in its offices or maybe deposited with any depository at its discretion.
- 29.) The securities will be held in custody at my sole risk as regards any laws, decrees, regulations or mandates, fortuitous events, and/or any of war, warlike operation, seizure, destruction or impairment of property, promulgated and/or done by any government authority.
- 30.) It is agreed that HDISI has no responsibility for the collection of coupons, collections or dividends on the securities except as provided by law. HDISI also accepts no responsibility for the receipt and/or forwarding of any communication relative to securities.
- 31.) HDISI shall comply with all laws, writs or juridical or administrative orders, process or regulations without obligation to confirm. Or question the legality or constitutionality of such order, process or regulation. In the case of orders and processes, HDISIS shall be authorized to act on the basis of the documents or copies which purports and which HDISI at its discretion believes to be genuine without any duty to ascertain their authenticity.
- 32.) In case where HDISI is of the opinion that it will be subjected to any claim or demand for taxes, or required to comply with the law, order, process or regulation, it may withhold the payment of any sums due to me until HDISI shall receive an order or satisfactory ruling from administrative authorities or from the courts which would allow the release thereof under circumstances which in HDISI's opinion foreclose the possibility of liability attaching to HDISI; for this purpose, HDISI may, for my account, seek the assistance of any lawyer accountant or other expert.
- 33.) I agree to reimburse HDISI for all expenses, including attorney's fees, and for all charges and taxes incurred or paid in good faith by it, or because of my failure to comply my obligations hereunder. I further hold HDISI harmless for all claims, demands and liabilities which may be made against it. All sums due to HDISI shall be payable on the date due without the need of demand. Any of unpaid accounts shall bear interest at two (2%) percent a month, without need of demand.
- 34.) The securities shall be held or disposed by HDISI in accordance with terms and conditions of this Agreement and any other agreement between myself and HDISI relating to the securities, or in the absence thereof, at HDISI's discretion, at my order, provided that HDISI shall have the right to retain the securities pledged or in which HDISI has any securities interest until full payment of what may be due by reason of the deposit or otherwise to HDISI. In case of any claims made upon the securities by any third person, HDISI shall notify me of such claims and its discretion and without liability on its part, return the same or resort to the courts to interplead.
- 35.) All deposits and withdrawal of all, some or any of the securities made by me from HDISI's custody shall be signed and evidenced by appropriate receipts. Any receipt or acknowledgement signed by myself, my agent or representative is conclusive evidence of the delivery or withdrawal of the certificates of stock therein specified.
- 36.) Venue of any actions arising under the Agreement shall be in the proper courts of the City of Pasig, all other available venues of suits being waived.
- 37.) This Agreement shall take effect upon the confirmation of the purchase of the securities and shall continue in full force and effect until disposition thereof in the manner provided in this Agreement, unless otherwise terminated by HDISI or myself by giving the other at least (15) days prior written notice of termination.
- 38.) This Agreement, and deposits and withdrawals on this account are governed by the subject to the laws and applicable rules and regulations in effect from time to time in the Republic of the Philippines.

My signature below affirms conformity to the foregoing conditions and evidences my receipt of a copy of this Customer's Reference Agreement.

\_\_\_\_\_  
Customer Signature over Printed Name



MEMBER: THE PHILIPPINE STOCK EXCHANGE

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Pasig City, Philippines  
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email: info@hdisecurities.com website: www.hdisecurities.com

**INDIVIDUAL SPECIMEN SIGNATURE CARD**

**Name**

\_\_\_\_\_  
Last Name First Name Middle Name

**Address**

\_\_\_\_\_  
Street No. Town/District City/Province ZIP Code Country

Tel/Mobile No. TIN Nationality

(For individual applicants, please sign twice)

1. \_\_\_\_\_ 2. \_\_\_\_\_

1. \_\_\_\_\_ 2. \_\_\_\_\_

**Signature Verified By:**

IMPORTANT: Certificate will not be issued unless a specimen signature of the stock holder is on file with the transfer agents of the company. PLEASE FILL OUT THIS CARD AND RETURN TO HDI SECURITIES, INC. Unit 2305A The Orient Square Building, F. Ortigas Jr. Road, Ortigas Center, Pasig City Philippines.



MEMBER: THE PHILIPPINE STOCK EXCHANGE

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**INDIVIDUAL SPECIMEN SIGNATURE CARD**

**Name**

\_\_\_\_\_  
Last Name First Name Middle Name

**Address**

\_\_\_\_\_  
Street No. Town/District City/Province ZIP Code Country

Tel/Mobile No. TIN Nationality

(For individual applicants, please sign twice)

1. \_\_\_\_\_ 2. \_\_\_\_\_

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03 October 2016

To Our Valued Client

Dear Sir/Madam:

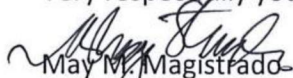
In accordance to the 2015 SRC IRR (SRC Rule 30.2.5). Please be advised that the following commissions and charges for services we are rendering are being implemented:

1. COMMISSION RATE: Agreed rate by the trader and the client, but not more than one percent (1%) of the value of each transaction, whether purchase or sale.  
Minimum Commission : One hundred (Php100.00) per transaction (Traditional Accounts); while Twenty (Php20.00) for HDiTrade (Online Account);
2. VALUE ADDED TAX (VAT) of 12% of the Commission;
3. SCCP Service Fee 1/100 of 1% or 0.0001 of the Transaction Value;
4. CTGF Contribution of 1/500 of 1% or 0.00002 of the Transaction Value;
5. PSE Transaction Fee of 1/200 of 1% or 0.00005 of the Transaction Value;
6. SEC Fee of 1/200 of 1% or 0.00005 of the Transaction Value;
7. SIPF Contribution of 1/1000 of 1% or 0.00001 of the Transaction Value;
8. Stock Transaction Tax of .006 of the Transaction Value (for Selling Transaction Only).
9. Account Maintenance Fee or Inactivity Fee of One Hundred Fifty (Php150.00) per month, which may be deducted from your cash balance, if any, or from the proceeds of your selling transaction.  
Account Maintenance Fee of One Hundred Fifty Five (Php155.00) for HDiTrade (Online) Account.
10. EQ Trade Fee of Seventy Five (Php75.00) per Issue for the transfer of securities from HDI to Other Broker/s.

Should you have further clarifications on this matter. Please contact the undersigned or Ms. Joanne Juntilla at Telephone Numbers 687-7955 or 57.

Thank you very much.

Very respectfully yours,

  
May M. Magistrado  
Associated Person

\_\_\_\_\_  
Client's Conforme (signature over printed name)

## Data Privacy Consent Form

Your privacy is our priority. At HDI Securities, Inc. (“HDI Securities”), the identities and privacy of our existing and prospective customers are valuable to us. We are dedicated to protecting the information disclosed to us. As such we have enacted this Privacy Policy, which shall be updated from time to time to keep in pace with our commitment to maintain the privacy and confidentiality of the information entrusted to us. While information plays a large role in our ability to provide good quality service we know that our most important asset is the good quality service, we know that our most important asset is the customers’ trust and confidence in us. Thus, keeping customer information secured, and using it in a manner most ideal for our clients and consistent only with the legitimate purpose for which it was collected are sacred principles HDI Securities. With this in mind, here is our pledge to you as HDI Securities customer.

### We will:

1. Value the trust you place in us and respect the confidential nature of the information you disclose in the course of our broker-customer relationship;
  2. Limit the collection and use of customer information to what we believe are indispensable and necessary to service your accounts and administer our business;
  3. Restrict employee access to customer information to those who need to know in order to provide services to you;
  4. Continuously educate our employees to reinforce the importance of confidentiality and customer privacy;
  5. Maintain appropriate security standards and procedures to protect information about you;
  6. Respond quickly to your request to correct or rectify inaccurate information; and
  7. Strictly adhere to the provisions of Republic Act No. 10173, or otherwise known as “The Data Privacy Act of 2012” and its Implementing Rules and Regulations
- You can count on us to protect the privacy of the information you have entrusted to us and to provide you with the responsive professional service you deserve.

### How we obtain personal information

HDI Securities takes great care to protect your personal information. When we use it, we do so with utmost respect for your privacy. HDI Securities may happen to collect public and non-public personal information about you from any of the following sources:

1. Client Account Information Form (CAIF) that you accomplish as such name, address, Tax Identification Number, Social Security number, birth date, assets and income, among others;
2. Transactional activity in your account which may include trading history and balances, and other similar activities;
3. Other interactions with HDI Securities, including but not limited to personal or phone discussions with our staff, information you enter into our website, emails, correspondences, and survey questionnaires and/or materials which we may provide to help us improve the services, performance and products of HDI Securities; and Other sources with your consent or with the consent of your representative – (i.e. from other Brokers if you transfer positions into HDI Securities)

### Why we obtain personal information

We use your personal information to service and maintain your account; process transactions in your account; respond to your inquiries or your representative; carry out regulatory checks and comply with our obligations to any relevant regulatory authority; and to develop and

for future references in the event that there would be valid order by a court or other governmental body or as would be required by law

### How we share information about you with third parties

HDI Securities does not share personal information about our customers with unaffiliated third parties for use in marketing their products and services.

We may share personal information with the following entities:

- Unaffiliated service providers (securities clearinghouses and other entities who may provide services at HDISI’s direction);
- Government agencies, other regulatory bodies and law enforcement officials (only with a valid written order by a court or other governmental body or as otherwise required by law -);
- Other organizations, with your consent or as directed by your representative (for example, if you request HDI Securities to issue a certificate on the existence of your account with us), or as permitted or required by law (for example, for fraud prevention); and
- Our service providers are obligated to keep the personal information we share with them confidential and use it only to provide services specified by HDI Securities.

### How We Protect Your Information

We comply with applicable laws and regulations regarding the protection of personal information. We will store and process your information on the HDI Securities computers wherever located and in any other medium. We maintain physical, electronic and procedural safeguards that restrict access to your personal information. We use industry leading security technologies, including layered security and access controls over personal information. These safeguards are reviewed as necessary and may be adjusted in response to advances in technology and the latest security threats or trends. We also train our employees about privacy and our commitment to protect your personal information.

### Privacy online

Privacy, security, and service in HDI Securities’ online operations are just as critical as the rest of our business. We use firewall barriers, encryption techniques and authentication procedures, among others, to maintain the security of your online session and to protect HDISI’s accounts and systems from unauthorized access. When you visit HDI Securities’ website, we may collect technical and navigational information, such as device type, browser type, Internet protocol address, pages visited, and average time spent on HDI Securities’ websites. We use this information for a variety of purposes, such as maintaining the security of your online session, facilitating site navigation, improving HDI Securities website design and functionality, and personalizing your experience on HDI Securities website. Additionally, the following policies and practices apply when you are online.

### Cookies and similar technologies

We use cookies and similar technologies to support the operation of HDI Securities websites. Cookies are small amounts of data that a website sends to a web browser on a visitor’s computer. Our cookies help us to collect information about visitors to HDI Securities websites, including date and time of visits, pages viewed, amount of time spent on our sites, or general information about the device used to access the site. HDI Securities cookies are also used for security purposes. You can refuse or delete cookies. Most browsers and mobile devices offer their own settings to manage cookies. If you refuse a cookie when on a HDI Securities website, or if you delete cookies, you may experience some inconvenience in your use of HDI Securities website. For example, you

may not be able to sign in and access your account, or we may not be able to recognize you, your device, or your online preferences. We do not share personally identifiable information about our customers with third-party service providers, and these service providers do not collect such information on our behalf. We have security standards and procedures in place designed to prevent unauthorized access to your accounts and personal information. A key part of this process ensures that all information we have about you is accurate and up-to-date. If you ever discover inaccuracies in our data or if your personal information changes, we urge you to notify us immediately.

#### **Protect Your Password**

One way to guard against unauthorized access or intrusion to your account is to keep your HDI Securities Online password private. Note: HDI Securities does not have access to your password. You are solely responsible for the confidentiality, protection and use of the password and/or access number that provides electronic access to your account. Any orders or instructions that are received under your account number and password are authorized and binding on you. Here are some suggestions on how to choose and safeguard your password: Do not share your password with anyone. Do not write your password down. Type your password each time it is required of you. Do not save your password on the site entry screen or develop a shortcut to reproducing your password. Avoid using easily guessed words such as your name, user id, or any variation thereof (backwards, changing case, etc.). Avoid words referring to anything noticeable about you: the name of your spouse, child, and pet, your favorite basketball team, or literary character. Avoid any combination of your office number, address, birthday, or anniversary. Avoid any combination of your license-plate number, your social-security number. If you feel that your password is no longer secure, please change it immediately.

#### **Calls**

You authorized HDISI to log, record and monitor calls made or received by us to maintain high quality service standards, to check instructions, for your protection and ours. How long will we keep your personal information on file? We will retain information about you after the closure of your account for as long as it is permitted or required for legal, regulatory, fraud prevention and audit purposes.

#### **Additional information**

If you are a former customer, this privacy policy shall also retroactively apply to you. We treat your information with the same care as we do information about current customers. HDI Securities offers several options for accessing and, if necessary, correcting your account information. You can review your information using your statements or through our telephone or email services. You may also write or call us with your request for information; specific Internet addresses, mailing addresses and telephone numbers which are listed on your statements and other correspondence. Customer Service Support. If you have any queries regarding privacy issues then please email us at [info@hdisecurities.com](mailto:info@hdisecurities.com) or call us (632) 877955 to 56.

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