Claim No.:\_\_\_\_\_\_\_\_

Received by:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

###### CLAIM PROCESSING SHEET

(For Individual Clients)

|  |  |
| --- | --- |
| TRADING PARTICIPANT |  |
| Name of Client/s |  |
| Address |  |
| Contact Numbers |  |

I/We certify that I/we maintain an account with this trading participant with the following details:

**Stocks:**

 Name of Issue No. of shares

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*(use separate sheet/s, if necessary)*

**Cash:**

Payable to Broker \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Receivable from Broker \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

***Privacy Notice***

*CMIC will collect, record, retain, use, store, disclose, and process your personal information consisting of name, address, and contact number/s for the purpose of processing your claim. You have the rights of the data subject provided under Section 16 of the Data Privacy Act such as the right to be informed of the processing of your information, rights to access, correct or rectify, object, erasure or blocking, data portability, file complaint, and right to damages. Your personal information may also be required to be disclosed to external parties such as the Securities Investors Protection Fund, Inc. (“SIPF”), external auditor, or regulators for purposes related to your claim. You should be aware that there are risks involved in the processing of your personal information. For the safeguards adopted to protect your personal information, kindly visit our website* [*www.cmic.com.ph*](http://www.cmic.com.ph) *for the Privacy Policy. To update, correct or access your personal information, you may contact the CMIC at* *dataprivacy@cmic.com.ph* *or our Data Protection Officer at the said email address for any concern.*

*I/We certify that all the foregoing facts are true and correct. I/We consent to the (a) collection, recording, retention, storage, use, disposal, disclosure, and processing by CMIC of my/our personal information indicated above for the purpose of processing my/our claim and for purposes relevant or incidental thereto and the (b) disclosure by CMIC to SIPF, external auditors, or regulators for the same purposes.*

 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Signature of Client

Signature verified by:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Name and Position)

###### TO BE ACCOMPLISHED BY AUDITOR

Balance as per records:

Stocks:

Name of Issue Number of shares

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Cash:

Payable to Broker \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Receivable from Broker \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Other findings:

Verified by: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 (Name and Position)

Approved for release of payment: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 (Name and Position)