



Form No. 004

## QUARTERLY FILING REQUIREMENTS QUESTIONNAIRE

MEMBER NAME: \_\_\_\_\_ Broker Code \_\_\_\_\_

1. Has the Member received any instruction from the PSE and/or SEC to reduce or suspend your trading activities?

2.  Yes  No

If Yes, please list activities restricted, e.g., margin trading, short-selling.

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

2. Are there any pending suit against the Member?

Yes  No

If Yes, if first time reported, please explain the nature of these suits. If previously reported, please provide the status of these suits.

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

3. Have any credit line or facility been cancelled by a financial institution?

Yes  No

If Yes, please state the reasons cited by the financial institution(s) for the cancellation.

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

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

Submitted by: \_\_\_\_\_  
(please sign over printed name)

Title: \_\_\_\_\_

SCCP will collect, record, store, use, disclose, and process your personal information consisting of name and signature for the purpose of this Quarterly Filing Requirements Questionnaire and for purposes relevant or incidental thereto. Said personal information will be retained for a period of 10 years and afterwards it will be safely destroyed. You have the rights under the Data Privacy Act such as rights to be informed, access, correct, object, withdraw, erasure or block, data portability, file complaint, and damages. You should be aware that there are risks in the processing of your personal information and for safeguards to protect it, kindly read our Privacy Policy at [www.sccp.com.ph](http://www.sccp.com.ph) or contact our Data Protection Officer at [dataprivacy@sccp.com.ph](mailto:dataprivacy@sccp.com.ph) to exercise your right or for any concern.