

FREQUENTLY ASKED QUESTIONS

Who is Alpha Securities?

ALPHA SECURITIES CORPORATION, a proud member of the Philippine Stock Exchange, was established in September 29, 1989. The company is now on its 30th year of giving quality service to the public investor. The management and staff are well known for its integrity and competence. Its primary objective is to protect its customers in accordance with the SEC Rules and regulations.

Address: Unit 3003, 30th Flr. One Corporate Center, J. Vargas St., corner Meralco Ave., Ortigas Center, Pasig City

Tel Nos: Trunkline 84779959

Direct Lines: 86546806, 86546807, & 8654-6828

Trading Floors: 88391976, 88391685 & 88389600

Fax No: 8654-6799

Email Address: alphaseconline@gmail.com – online trading

alphaseccorp@yahoo.com - sales & accounting

alphasec@pldtdsl.net - admin

Account Opening

a. **Who can open an Online Trading Account?**

- i. Any person of legal age and of any nationality can open an online trading account with Alpha Securities as long as they meet the requirements.
- ii. A legitimate juridical person may also apply for an online trading account provided an authorized person is designated by the company to transact on behalf of the company.

b. **How can I open an Online Trading Account?**

- i. Interested person may download the following forms in our website under the "FORMS" menu:
 - Customer Account Information Form
 - Customer Specimen Signature Card
 - Online Trading Agreement

Kindly fill out the required data.

- ii. Upon accomplishment, deliver the original copies of the forms along with the requirements to Alpha Securities Business office.
- iii. The firm will review the application. Upon approval, you will be given your log in details so you can start your online trading.

c. **What are the requirements in opening an online account?**

- i. *Individual Account*
 - a. 2 copies of any government issued identification cards, e.i:
 - SSS
 - TIN card
 - UMID
 - Passport (required for non citizen applicant)
- ii. *Corporate Account*
 - SEC Registration
 - Articles & By laws
 - Board Resolution authorizing the opening of account with Alpha Securities
 - Secretary's Certificate setting forth the name and signature of officers authorized to operate the account /person authorize to transact on behalf of the company
 - Identification cards of the Authorized Signatories

Note: A valid email account is needed, and
Proof of billing (bearing the same address of the applicant)

Orders and Transaction

a. **Rules on Posting, Modifying and Cancelling of orders**

- Only limit order types are allowed.
- Price of the order should be within the static threshold of the security
- All foreign orders take into account the Foreign Ownership limit
- Rules on posting orders during the different market phases shall always be observed
- Combining of normal lots and odd lots is not allowed

b. **When can I start Trading?**

- i. You can start trading once your funds have been cleared. It usually takes 3 days depending on the bank's clearing time. An email will then be sent to you containing your log in details.

c. **How can I view My Orders**

- i. All orders placed in the market can be viewed by clicking the Order Book Icon.

d. **Boardlot and tick size**

Price		Tick Size	Lot Size
From	To		
0.0001	0.0099	0.0001	1,000,000
0.0100	0.0490	0.0010	100,000
0.0500	0.2490	0.0010	10,000
0.2500	0.4950	0.0050	10,000
0.5000	4.9900	0.0100	1,000
5.0000	9.9900	0.0100	100
10.0000	19.9800	0.0200	100
20.0000	49.9500	0.0500	100
50.0000	99.9500	0.0500	10
100.0000	199.9000	0.10	10
200.0000	499.8000	0.2000	10
500.0000	999.5000	0.5000	10
1000.0000	1999.0000	1.0000	5
2000.0000	4998.0000	2.0000	5
5000.0000	UP	5.0000	5

Place take note that orders with volume less than the Board Lot are considered as OddLot and can be posted in an OddLot Market.

e. **In case of emergency, can I call your office to assist me in placing my orders?**

- i. Yes. You may call the office or any salesman assigned (pls. refer to contact numbers posted to Alpha's website).

f. **Charges and fees related to an executed transaction**

Buy and Sell:

***Commission	- Minimum of .0025 or Php200.00 whichever is higher (No. of Shares x Price x .0025)
Vat on commission	- 12% on commission
SCCP	- .01% (of the gross trade amount)
PSE Trans. Fee	- .005% (of the gross trade amount)
** Sales Tax	- (No. of Shares x Price x .006)

Note: **Sales Tax is applicable only on Selling Transactions

*** Commission for Traditional Account is .0025 or Php 200 whichever is higher,
Online Trading = .0025 or Php20.00 for Online Trading whichever
is higher

Deposit and withdrawal

a. **How can I deposit my stock cert.?**

- i. Bring the signed stock certificate to our office.
- ii. Please bring with you the following requirements:
2 valid ID's and payment for lodgment
- iii. Alpha Securities will deliver said certificate to the Stock transfer Agent for clearing purposes.
- iv. Once cleared, the shares will be credited to your account.

b. **How do I transfer my shareholding from other broker to Alpha Securities?**

Send us a copy of the request duly acknowledged by other broker and we will coordinate with the Settlement in-charge.

c. **Transfer of my shares from Alpha Securities to another broker**

A request letter originally signed by the client should be received by Alpha Securities and pay the processing fee for EQ-trade. (Please refer to table of applicable fees and charges)

d. **How to fund my Account?**

A cash /check deposit is to be made to ALPHA SECURITIES CORPORATION bank account at BDO SA# 2580052735 or BPI #4011-0026-55.

A scanned copy sent via e mail or fax copy of deposit slip should be provided to Alpha Sec.

Seminar

a. **Is there any seminar/lecture to be conducted by the Alpha Securities to guide its new clients in using its online trading facility?**

Yes, there will be some sort of one time seminar for new online clients. This serves as a way of making them familiar with the online trading facility's key features and how it works.

Account Maintenance

a. **Update of Stock Position and online account balance**

Update of stock position and account balance will be done every day in the morning at 7 a.m. For immediate information on account changes, please call **(02) 8654-6828 / cp# 09175385463** or send an email to alphaseconline@gmail.com or alphaseccorp@yahoo.com

b. **Can I buy stocks as much as I want?**

You can buy stocks as much as your funds may cover. The same thing as you can sell only the number of your shares you have in your position.

c. **Do you give your client credit line or margin account?**

Yes, but subject for special approval. It is usually 50% the market value of the client's stock position (blue chips only or selected issues). For details, please call office.

Re setting of Password and update of Client's info.

To validate any changes on client's information, an updated Customer Account Information Form should be submitted to Alpha Sec.

You may contact us at 8654-6828, 8654-6806, 8654-6807 or email at lphaseconline@gmail.com