

Date:

TO: MANDARIN SECURITIES CORPORATION

**Attention:** Ms. Katherine L. Shih  
Vice President

Dear Ms. Shih,

I am writing to formally request the processing of a **cross transaction trade** involving the following stock:

Stock : \_\_\_\_\_  
No. of Shares: \_\_\_\_\_  
Price: \_\_\_\_\_

**Total Gross Amount:** Php \_\_\_\_\_

**Parties to the Transaction**

**Buyer:**

**Seller:**

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Account Code: \_\_\_\_\_

Account Code: \_\_\_\_\_

**Settlement Terms**

1. **Direct Settlement:**  
The Buyer and Seller agree to settle the gross amount of the transaction directly between themselves, without routing the fund settlement through the broker.
2. **Transaction Charges:**  
Each party agrees to settle their respective transaction fees and other applicable charges directly to the broker.
3. **Settlement Deadline:**  
Both parties must settle the charges on the due date ( **T+2** )

**Special Requirement in Case of Deceased Party:**

In the event that either the Buyer or Seller is deceased, the transaction shall only proceed upon submission of **all required legal documents**, including but not limited to:

- A certified true copy of the **Death Certificate**
- **Proof of legal heirs or executor** (e.g., Extra-judicial Settlement of Estate, Court Appointment of Executor/Administrator)
- **Notarized authorization or deed of assignment** from the heirs
- Any other documents required by the broker or regulatory authority

Please process the cross transaction in accordance with these terms. Should you require any further documentation or information, please do not hesitate to contact me.

Thank you very much.

**Buyer's Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_

**Seller's Signature:** \_\_\_\_\_

**Name:** \_\_\_\_\_