



SECURITIES AND EXCHANGE COMMISSION
SEC FORM IHU/GSED-RCO-AP
RENEWAL APPLICATION FOR COMPLIANCE OFFICER
OF AN INVESTMENT HOUSE/UNDERWRITER OF SECURITIES
GOVERNMENT SECURITIES ELIGIBLE DEALER

For the Year _____

(To be accomplished in four (4) copies with cover sheet; 3 copies for SEC & 1 receiving copy for the applicant)

Associated Person

Compliance Officer

Last Name	First Name	Middle Name	Certificate of Registration No.		
Current Residence Address			Phone No.	TIN	
Name of Employer Firm			Employer's Certificate of Registration No.		
Firm's Principal Business Address	Street	City	Province	Postal Code	
Branch ID#	Office of Employment Address Street	City	Province	Postal Code	

The above-named employer hereby makes application for the renewal registration of the above-named individual and hereby certifies that the information contained in his/her most recent filing of SEC Form IHU/GSED-CO-AP is true, correct, current, accurate and complete. All registered Compliance Officers are required to update SEC Form IHU/GSED-CO-AP information by submitting amendments whenever information on file becomes inaccurate for any reason within seven (7) days of any change to the information previously filed.

Staple applicant's
2x2 B&W ID picture
(with signature and printed name
at the back)

Printed Name / Signature of Company President

Printed Name / Signature of Applicant

Date

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For SEC only: AP Registration No. _____ **CO Registration No.** _____

- | | |
|---|-----------|
| 1. Two (2) pieces 2x2 B&W ID Picture with signature and printed name at the back | [] |
| 2. Photocopy of previous year's AP/CO license | [] |
| 3. For Associated Person, photocopy of the Certificates of Attendance to the SEC AP Seminar and the corresponding examination results for all Modules attended. For non-participants, an Undertaking that he/she will attend/take future Certification Seminars/Examinations. | [] |
| 4. Payment of renewal fee: | [] |
| Associated Person/Compliance Officer | Php 1,515 |

Signature of Processor

Date