

SECURITIES AND EXCHANGE COMMISSION
SEC FORM 28.1-1
APPLICATION FOR CONTINUATION OF BROKER - DEALER REGISTRATION
For the year _____

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

Please check the applicable box/es:

<input type="checkbox"/> Broker in Securities	<input type="checkbox"/> PSE Trading Participant
<input type="checkbox"/> Dealer in Securities	<input type="checkbox"/> Member- Philippine Dealing Exchange Corp.
<input type="checkbox"/> Broker in Proprietary Shares	<input type="checkbox"/> Non-Exchange Trading Participant
<input type="checkbox"/> Dealer in Proprietary Shares	<input type="checkbox"/> Member-Phil. Association of Securities Broker
<input type="checkbox"/> Voice Broker in Government Securities	Dealers, Inc. (PASBDI)
<input type="checkbox"/> ATS Broker Dealer in Securities	<input type="checkbox"/> Member-Phil. Association of Club Shares Brokers, Inc. (PACSBI)
<input type="checkbox"/> Broker in OTC Market	<input type="checkbox"/> Engages in Market Making Transactions
<input type="checkbox"/> Dealer in OTC Market	

Name of Applicant:	Certificate of Registration No.:
	TIN:
Applicant's main address:	Tel. No.
	Fax No.
	E-mail:
Contact Person and Designation	No. of Branch Office:
No. of Associated Person(s):	No. of Salesperson(s):

The above-named applicant hereby makes application for the continuation of its registration and hereby certifies that the information contained in its most recent filing of SEC Form 28.1-1 is true, correct, current, accurate and complete.

Printed Name and Signature of Authorized Signatory

Reviewed By:

Designation in the Company

Printed Name and Signature of Associated Person

Date

For SEC only: BD Registration No. _____

- | | |
|---|-----|
| 1. Covering letter identifying the list of branch office/salespersons/associated persons to be registered w/ their corresponding Certificate of Registration Nos. duly certified by the President and Associated Person | [] |
| 2. Original copy of Surety Bond for firms with less than P100M capitalization (not applicable to broker in proprietary shares) | [] |
| Dealer P 1M | [] |
| Broker 5M | [] |
| 3. Payment of annual fee: | |
| Broker-Dealer P 20,200 | [] |
| Broker only or Dealer only 10,100 | [] |

Signature of Processor

Date