

ANNEX “A”

COVERED TRANSACTION REPORT (CTR)

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Sec form No. _____

(Complete all parts that apply—See instructions)

January 2002

1 Check all box(es) that apply:

- a Amends prior report b Individual Person
 c Multiple Persons d Corporation

Part I Person(s) Involved in Transaction(s)**Section A - Individual Person**

2 Individual's last name

3 First Name

4 Middle Name

5 Doing Business As

6 SSS, GSIS, TIN No.

7 Date of Birth

8 Address

9 Tel. Nos./Fax Nos.

10 Occupation/Business

11 Tel. Nos./Fax Nos.

12 Describe Method to Verify Identity

- a Driver's License c Alien Registration
 b Passport d Others _____

Issuing Authority _____

Number _____

Date Issued _____

Date of Expiry _____

Section B - Multiple Persons

2 Last name

3 First Name

4 Middle Name

a

a.1

a.2

b

b.1

b.2

c

c.1

c.2

5 Doing Business As

6 SSS, GSIS, TIN No.

7 Date of Birth

a

a.1

a.2

b

b.1

b.2

c

c.1

c.2

8 Addresses

9 Tel. Nos./Fax Nos.

a

a.1

a.2

b

b.1

b.2

c

c.1

c.2

10 Occupation/Business

11 Tel. Nos./Fax Nos.

12 Describe Methods to Verify Identity

First Individual

- a Driver's License c Alien Registration
 b Passport d Others _____

Issuing Authority _____

Number _____

Date Issued _____

Date of Expiry _____

Second Individual

- a Driver's License c Alien Registration
 b Passport d Others _____

Issuing Authority _____

Number _____

Date Issued _____

Date of Expiry _____

Third Individual

- a Driver's License c Alien Registration
 b Passport d Others _____

Issuing Authority _____

Number _____

Date Issued _____

Date of Expiry _____

Section C : Corporation		
13 Regulated Name	14 Registration No.	15 Date of registration
16 Address		17 Tel. Nos./Fax Nos.
18 Nature of Business		19 Tel. Nos./Fax Nos.
20 Describe Method to Verify Legal Existence		
a <input type="checkbox"/> Certificate of registration c <input type="checkbox"/> City/Municipal permits b <input type="checkbox"/> Articles of Incorporation/By-Laws d <input type="checkbox"/> Others _____		
Part II Amount and Type of Transaction (s) Check all boxes that apply.		
21 Amount of Cash _____		22 Date(s) of Transaction (s)
a <input type="checkbox"/> Philippine Peso b <input type="checkbox"/> US Dollar c <input type="checkbox"/> Others _____		
23 Account Numbers Involved and Affected		
24 Nature of Transaction: Describe. Use additional Sheets, if necessary.		
PART III Covered Institution Where Transaction(s) Take Place		
25 Name of Covered Institution		26 Nature of Business
27 Address		28 Tel. Nos./Fax Nos.
29 Name and Title of Person Who Made the Transaction		30 Date When Reported
31 Name and Title of Person Preparing this Report		32 Date This Report was Signed
33 Signature of Person Who Made the Transaction		34 Signature of Preparer
35 Name/Title of Person Approving this Report		36 Signature of Person Approving this Report
37 Copy of Authorization from Covered Institution of Persons Making, Preparing and Approving This Report		
a <input type="checkbox"/> Attached b <input type="checkbox"/> Not Attached. Reasons _____		

General Instructions

Who Must File.—Each covered institution must file SEC Form No. _____ (CTR) for each transaction by, through, or to the covered institution which involves a transaction in Philippine currency or its equivalent in foreign currency of more than Php4,000,000.00. Multiple transactions must be treated as a single transaction if the covered institution has knowledge that (1) they are by or on behalf of the same person, and (2) they result in currency received (Cash In) or currency disbursed (Cash Out) by the covered institution totaling more than Php4,000,000.00 in a series of transactions. A business day is a calendar day.

Identification Requirements.— **This is important!** All individuals conducting a reportable transaction(s) for themselves or for another person must be identified by means of an official document(s) from the covered institution as the person/s authorized to make such a report.

In completing the CTR, the covered institution must indicate on the form the method, type, and number of the identification of the account holder or customer used in the transaction. Statements such as “known customer” or “signature card on file” are not sufficient for form completion.

When and Where To File.—File this CTR within five (5) days from which the transaction occurred to:

**THE EXECUTIVE DIRECTOR
ANTI-MONEY LAUNDERING COUNCIL
BANGKO SENTRAL NG PILIPINAS
ROXAS BOULEVARD
PASAY CITY**

Penalties.—Civil and criminal penalties are provided by the law for failure to file a CTR or to supply information or for filing a false or fraudulent CTR.

Specific Instructions

1. Because of the limited space of the CTR, it may be necessary to submit additional information on attached sheets. Submit this additional information on plain paper attached to the CTR. Be sure to put the covered institution's, individual's or organization's name and identifying number (e.g., items 2, 3, 4, and 6 of the CTR) on any additional sheets so that if it becomes separated, it may be associated with the CTR.
2. Amounts may be aggregated. The threshold limit for mandatory filing of a covered transaction report an amount in excess of Php4,000,000.00. This covers the following transactions:
 - a. a single, series or combination of transactions a total amount in excess of Php4,000,000.00 or an equivalent in foreign currency based on the prevailing exchange rate where the client is not properly identified and/or the amount is not commensurate with his business or financial capacity, or is without any underlying legal or trade obligation, purpose, origin or economic justification.
 - b. A single, series or combination or pattern of unusually large and complex transactions in excess of Php4,000,000.00 or an equivalent in foreign currency based on the prevailing exchange rate, especially cash deposits and investments having no credible purpose or origin, underlying trade obligation or contract.
3. Enter the full address of the covered institution where the transaction occurred. If there are multiple transactions, provide information on the office or branch where any one of the transactions has occurred.
4. The CTR shall be signed by the employee(s) who dealt directly with customer in the transaction and who made the initial internal report within the covered institution, the Compliance Officer of the covered institution, who made the necessary evaluation of the transaction and a senior official of the covered institution with a rank not lower than senior vice-president, who approved the filing of the CTR.