

**SECURITIES AND EXCHANGE COMMISSION**

**SEC FORM AuF-002-R  
RENEWAL APPLICATION FOR ACCREDITATION OF AN AUDITING FIRM**

**Renewal Application for accreditation as auditing firm of  
(Please check appropriate box):**

	<b>Group A</b> <sup>1</sup>
	<b>Group B</b> <sup>2</sup>
	<b>Group C</b> <sup>3</sup>

1. Name of Firm:.....
2. SEC Accreditation No. .... Date Originally Granted: .....
3. SEC Certificate of Registration No. (if a registered partnership).....
4. BOA/PRC Registration No..... Date Granted: .....
5. Telephone Number .....Fax Number .....
- Complete Address:.....

**6. Information on Currently Employed Auditors and Signing Partner/s**

Full Name	Position	CPA Certificate/License Number	SEC Accreditation Number*	Status of SEC Accreditation

*\*Indicate whether under Group A, B or C.*

**7. Related Foreign CPA/Auditing Firm (if any):**

Name of Foreign Firm	Country	Nature and Extent of Relationship

<sup>1</sup> **Group A**

- (i) Public companies or those with total assets of at least P50 Million having 200 or more stockholders each owning 100 shares;
- (ii) Issuers of registered securities which have sold a class of securities pursuant to a registration under Section 12 of the Securities Registration Code (SRC); (iii) Issuers with a class of securities listed for trading in an Exchange.

<sup>2</sup> **Group B**

- (i) Pre-Need Companies; (ii) Investment Huse; (iii) Brokers and Dealers of Securities; (iv) Investment Companies; (v) Government Securities Eligible Dealers (GSEDs); (vi) Universal Banks Registered as Underwriters of Securities; (vii) Investment Company Advisers; (viii) Clearing Agency and Clearing Agency as Depository; (ix) Issuers of Registered Time Shares, Proprietary and Non-Proprietary Membership Certificates; (x) Stock and Securities Exchange/s; (xi) Special Purpose Vehicles registered pursuant to RA 9182.

<sup>3</sup> **Group C**

- (i) Financing Companies; (ii) Transfer Agents.

**8. Description of Changes in the Firm from Last Accreditation:**

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**9. Exhibits**

- i. Current PTR;
- ii. A certified true copy of the Certificate of Registration with BOA/PRC which is valid and effective;
- iii. Notarized certification that the firm is in compliance with the general qualification requirements under Section 5.2 of SEC Memorandum Circular No. 13 (Series of 2003) and its amendments ;
- iv. Copy of financial statements of the Firm's Top Two (2) Largest Clients based on Total Assets, which the firm audited for the immediately preceding completed fiscal year;
- v. Copy of the audited financial statements of the Firm for the last two (2) fiscal years;
- vi. Copy of Revised Quality Assurance Manual (if there are proposed amendments from last submission).

**10. Processing Fee**

This application for accreditation has been submitted along with the payment of the prescribed fee in the amount of \_\_\_\_\_ under O.R. No. \_\_\_\_\_.

I hereby submit this duly accomplished Application on behalf of \_\_\_\_\_(name of the firm) and certify that the information contained herein are true and correct.

\_\_\_\_\_  
Printed Name/Signature

\_\_\_\_\_  
Position

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**JURAT**

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