

**GUIDELINES FOR THE 2007 RENEWAL OF LICENSE  
OF INVESTMENT HOUSES, UNDERWRITERS OF SECURITIES,  
GOVERNMENT SECURITIES ELIGIBLE DEALERS  
AND THEIR ASSOCIATED PERSON/COMPLIANCE OFFICER**

- A. Filing of applications and their supporting documents will be accepted during the whole month of November 2006.
- B. Requirements:

**FOR IH / UNDERWRITER / GSED:**

- 1. Four (4) sets of duly accomplished **SEC Form IHU/GSED-RR** for Investment Houses, Underwriters of Securities, and GSEDs with original signatures of the company's President;
- 2. Copy of the company's current license;
- 3. Four (4) sets of duly accomplished **SEC Form IH-BO-RR** for Investment Houses with Branch Office with original signatures of the company's President, if applicable;
- 4. Copy of the company's Branch Office license/s, if applicable;
- 5. Continuing authorization for the Commission's duly authorized representative to verify the applicant's bank accounts (for IH and Underwriters only);
- 6. List of the Board of Directors, officers and employees with their corresponding positions/designations. The list should be duly signed as: (a) certified correct by the company's President; and (b) reviewed by the Associated Person/Compliance Officer;
- 7. Copy of its latest Audited Financial Statements stamped received by the SEC and latest Interim Financial Statements; and
- 8. Copy of its latest General Information Sheet stamped received by the SEC.

**FOR ASSOCIATED PERSON/COMPLIANCE OFFICER (renewal):**

- 1. Four (4) sets of duly accomplished **SEC Form IHU/GSED-RCO-AP** for Associated Persons/Compliance Officers with original signatures of the applicant;
- 2. Two (2) pcs. current 2x2 colored ID picture with the signature and printed name of the applicant affixed on the dorsal side of each ID picture. The ID pictures must be attached on the application form by stapling the ID picture on the top edge for easy inspection of the signature and printed name on its dorsal side;
- 3. Copy of the Associated Person/Compliance Officer's previous license; and
- 4. 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.

**FOR ASSOCIATED PERSON/COMPLIANCE OFFICER (new applicants):**

1. Four (4) sets of duly accomplished **SEC Form IHU/GSED-CO-AP** for Associated Persons/Compliance Officers with original signatures of the applicant;
2. Photocopy of valid identity cards (with picture)/passport of applicant, certified by the company's President;
3. If the applicant is a foreigner, certified true copy of valid work permit duly issued by the Department of Labor and Employment ("DOLE") or any appropriate agency;
4. Two (2) pcs. current 2x2 colored ID picture with signature at the back to be attached on the first two sets of the application form by stapling the ID picture on the top edge for easy inspection of the signature affixed on its dorsal side;
5. Evidence, preferably a certified true copy, that applicant has complied with applicable examination requirements and/or meets other educational, professional or technical qualifications;
6. Written evidence that an Investment House / Underwriter of Securities / GSED has agreed to employ applicant contingent upon the Commission's approval of his registration application; and
7. Bio-data under oath.

C. Renewal Filing Fees are as follows:

IH / Underwriter	Php 20,200.00
IH / Underwriter (engaged in dealing in government securities)	Php 30,300.00
Dealer in Government Securities	Php 20,200.00
Branch Office	Php 5,050.00
Associated Person/Compliance Officer (new applicants)	Php 3,030.00
Associated Person/Compliance Officer (renewal)	Php 1,515.00

- D. Present your application forms and supporting documents with the Securities Specialists of the Investment Houses Division of the Market Regulation Department (MRD) from **9:00am to 12:00nn and 1:00pm to 4:00pm only** before proceeding to the SEC's Central Receiving Unit for filing and payment at the ground floor. Payments in the form of cash or Manager's/Cashier's check payable to the "Securities and Exchange Commission" shall be accepted by the cashier.
- E. For soft copies of the above-mentioned SEC Forms, you may download them at [www.sec.gov.ph](http://www.sec.gov.ph). If you have additional queries, you may call the Department's Investment Houses Division at Telephone No. 725-8178.

**PLEASE BE GUIDED ACCORDINGLY.**