



Republic of the Philippines  
Department of Finance  
**Securities and Exchange Commission**  
SEC Bldg. EDSA, Greenhills, Mandaluyong City



**MARKET REGULATION DEPARTMENT**

**GUIDELINES FOR THE 2008 LICENSE RENEWAL  
OF INVESTMENT HOUSES / UNDERWRITERS OF SECURITIES /  
GOVERNMENT SECURITIES ELIGIBLE DEALERS AND THEIR  
ASSOCIATED PERSONS/COMPLIANCE OFFICERS**

- A. Filing of renewal applications and their supporting documents will be accepted during the **whole month of November 2007** only.
- B. Requirements:

**FOR INVESTMENT HOUSES / UNDERWRITERS / GSEDs:**

1. Four (4) sets of duly accomplished **SEC Form IHU/GSED-RR** for Investment Houses / Underwriters of Securities / GSEDs with original signature of the company's President on each of the copies.
2. Copy of the current license of the Investment House / Underwriter / Government Securities Eligible Dealer.
3. Continuing authorization (**SEC Form IHU-Authorization**) for the Commission's duly authorized representative to verify the applicant's bank accounts (for IH and Underwriters only).
4. Copy of its (a) latest Audited Financial Statements stamped received by the SEC; and (b) latest Interim Financial Statements as of September 30, 2007, certified correct by the company's Finance Officer and noted by the Associated Person/Compliance Officer.
5. Copy of the latest General Information Sheet stamped received by SEC.
6. List of the Board of Directors, officers and employees with their corresponding positions/designations. The list should be: (a) certified correct by the Associated Person/Compliance Officer; and (b) noted by the company's President.
7. For Investment Houses with branch office: (a) 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 on each of the copies; and (b) copy of the company's Branch Office license/s.
8. Payment of the renewal fees (inclusive of Legal Research Fee):

Investment House/Underwriter	Php 20,200.00
Investment House/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

**FOR ASSOCIATED PERSONS/COMPLIANCE OFFICERS:**

1. Four (4) sets of duly accomplished **SEC Form IHU/GSED-RCO-AP** for Associated Persons/Compliance Officers originally signed by the applicant on each of the copies.

2. Two (2) pieces current 2x2 B&W 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.
  4. For Associated Person, photocopy of the Certificates of Attendance to the SEC AP Seminar and the corresponding examination results for modules attended. For non-participants, an Undertaking that he will attend/take future Certification Seminars/Examinations.
  5. Payment of Renewal Fee (inclusive of Legal Research Fee): Php 1,515.00
- C. Present your application forms and supporting documents (sequentially arranged in accordance with the list of requirements in the pertinent SEC Form) 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 for initial assessment/evaluation and printing of the Payment Assessment Form (PAF) 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.
- D. 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.**