



REPUBLIC OF THE PHILIPPINES
DEPARTMENT OF FINANCE
SECURITIES AND EXCHANGE COMMISSION

SEC Building, EDSA, Greenhills
City of Mandaluyong, Metro Manila

NON-TRADITIONAL SECURITIES & INSTRUMENTS DEPARTMENT

NOTICE TO THE PUBLIC

Notice is hereby given that **PHIL-ASIA CARE PLANS, INC.**, a pre-need company, has up to the present failed to comply with all the SEC requirements for the sale of pre-need plans. Therefore, it is not authorized to sell pre-need plans to the public.

The "CERTIFICATION" issued by this Department last 14 October 2008 still stands.

The approval of the company's "Increase of the Capital Stock" by the SEC last 15 December 2008 is only with respect to its compliance with the provisions of SEC Memorandum Circular No. 4, Series of 2002 on "Paid-Up Capital Requirements for Existing Pre-Need Companies." Said approval ***does not*** in any way authorize PHIL-ASIA CARE PLANS, INC. to sell pre-need plans to the public.

The SEC filed criminal cases against **PHIL-ASIA Care Plans, Inc./Vicente Afulugencia Sr., et al.** which are now pending before the Regional Trial Court, Branch 211 of Mandaluyong City for violation of Section 16 of Securities Regulation Code, docketed as MC03-6766-6769 and before the Metropolitan Trial Court, Branch 60 also of Mandaluyong City for falsification of private document, docketed as Criminal Case No. 102020.

Mandaluyong City, 5 February 2009.

A handwritten signature in black ink, appearing to read "Jose P. Aquino".

JOSE P. AQUINO
Acting Director



Republic of the Philippines
SECURITIES AND EXCHANGE COMMISSION
SEC Building, EDSA, Greenhills,
Mandaluyong City

Non-Traditional Securities and Instruments Department

Date

Name and Address of Pre-Need Corporation

Attention: Name
President

Gentlemen:

This refers to your application, filed in our Office on (Date of Application), for the closure of your Branch Office located at (Address of branch office)

Your company, having substantially complied with the requirements under Rule 34.2 of the New Pre-Need Rules, we hereby signify our approval on the closure of the aforementioned branch office applied for, which is to take effect on 31 December 200__.

Very truly yours,

Director JOSE P. AQUINO
Acting Director for NTD

PN Br. No. _____



Republic of the Philippines
SECURITIES AND EXCHANGE COMMISSION

SEC Building, EDSA, Greenhills
Mandaluyong City

NON-TRADITIONAL SECURITIES AND INSTRUMENTS DEPARTMENT

THIS IS TO CERTIFY that the branch office of **(Name of Pre-Need Corporation)** located at **(Address of Branch Office)** has been licensed and authorized to engage in the business of selling and/or offering for sale of pre-need plans subject to the provisions of applicable laws, rules and regulations of the Securities and Exchange Commission and the terms and conditions of Permit to Sell Pre-Need Plans and the Rules on Pre-Need Plans.

This license is valid until the company closes/transfers said branch office to another location upon proper notification to planholders and after approval by this Commission.

Issued inMandaluyong City....., Philippines this day of

Director JOSE P. AQUINO
Acting Director for NTD

PN Br. No. _____



Republic of the Philippines
SECURITIES AND EXCHANGE COMMISSION

SEC Building, EDSA, Greenhills
Mandaluyong City

NON-TRADITIONAL SECURITIES AND INSTRUMENTS DEPARTMENT

THIS IS TO CERTIFY that the branch office of **(Name of Pre-Need Corporation)** located at **(present address)** has been licensed and authorized to engage in the business of selling and/or offering for sale of pre-need plans subject to the provisions of applicable laws, rules and regulations of the Securities and Exchange Commission and the terms and conditions of Permit to Sell Pre-Need Plans and the Rules on Pre-Need Plans.

This license is valid until the company closes/transfers said branch office to another location upon proper notification to planholders and after approval by this Commission.

Issued inMandaluyong City....., Philippines this day of

(Formerly) _____
Director JOSE P. AQUINO
Acting Director for NTD



Republic of the Philippines
SECURITIES AND EXCHANGE COMMISSION

SEC Building, EDSA, Greenhills
Mandaluyong City

NON-TRADITIONAL SECURITIES AND INSTRUMENTS DEPARTMENT

CERTIFICATE OF REGISTRATION AND PERMIT TO OFFER SECURITIES FOR SALE

THIS IS TO CERTIFY that from the date hereof the securities of (Name of Pre-Need Corporation) covering (Number of Fixed Value Education/Life/Pension Plans) worth (Amount in Words) (Figures) have been registered and licensed and may now be sold and/or offered for sale in the Philippines subject to pertinent Rules and Regulations and to the prescribed terms and conditions of this Permit and Order No. _____ hereto attached.

The issuance of this Certificate of Registration and Permit to Offer For Sale or Sell Pre-Need Plans is permissive only and does not constitute a recommendation or endorsement of the securities permitted to be issued by (Name of Pre-Need Corporation)

Issued inMandaluyong City....., Philippines this day of(Month)..... 200.....

DIRECTOR JOSE P. AQUINO
Acting Director for NTD



Republic of the Philippines
SECURITIES AND EXCHANGE COMMISSION

SEC Building, EDSA, Greenhills
Mandaluyong City

NON-TRADITIONAL SECURITIES AND INSTRUMENTS DEPARTMENT

CERTIFICATE OF REGISTRATION AND LICENSE TO ACT AS SALESMAN

THIS IS TO CERTIFY that (Number of Salesmen in words) (figures) whose names appear in Annex "A" hereof are registered with and duly licensed by the Commission to sell and/or offer for sale (FIXED VALUE EDUCATION PLANS, LIFE PLANS AND PENSION PLANS) in the Philippines for (Name of Pre-Need Corporation) until **31 December 200**__ unless sooner suspended, cancelled or revoked for non-compliance with or violation of SEC rules and regulations, misrepresentation in the application, or termination of the engagement of services/employment by the company.

Issued in Philippines this day of

DIRECTOR JOSE P. AQUINO
Acting Director for NTD



Republic of the Philippines
SECURITIES AND EXCHANGE COMMISSION

SEC Building, EDSA, Greenhills
Mandaluyong City

NON-TRADITIONAL SECURITIES AND INSTRUMENTS DEPARTMENT

CERTIFICATE OF REGISTRATION AND LICENSE TO ACT AS SALESMAN

THIS IS TO CERTIFY that (Number of Salesmen in words) (figures) whose names appear in Annex "A" hereof are registered with and duly licensed by the Commission to sell and/or offer for sale (FIXED VALUE EDUCATION PLANS, LIFE PLANS AND PENSION PLANS of (Name of Pre-Need Corporation)) in the Philippines for (Name of General Agent). This license is valid from 1 January 200__ to 31 December 200__ unless sooner suspended, cancelled or revoked for non-compliance with or violation of SEC rules and regulations, misrepresentation in the application, or termination of the engagement of services/employment by the company.

Issued in _____, Philippines this _____ day of _____.

DIRECTOR JOSE P. AQUINO
Acting Director for NTTD



REPUBLIC OF THE PHILIPPINES
SECURITIES AND EXCHANGE COMMISSION
SEC Building, EDSA, Greenhills
Mandaluyong City

Non-Traditional Securities and Instruments Department

THIS IS TO CERTIFY that (Name of General Agent) is registered and authorized to act as **General Agent** of (Fixed Value Education Plans, Life Plans and Pension Plans) of (Name of Pre-Need Corporation) in the Philippines.

This license is valid from **1 January 200__** to **31 December 200__**, unless sooner suspended, cancelled or revoked for cause.

Issued in Mandaluyong City, Philippines, thisday of....., by virtue of the powers of the Commission vested by law.

Director JOSE P. AQUINO
Acting Director for NTD



REPUBLIC OF THE PHILIPPINES
SECURITIES AND EXCHANGE COMMISSION
SEC Building, EDSA, Greenhills
Mandaluyong City

Non-Traditional Securities and Instruments Department

CERTIFICATE OF REGISTRATION AND LICENSE TO ACT AS DEALER

THIS IS TO CERTIFY that (Name of Pre-Need Corporation) is duly registered with and authorized to act as **DEALER** in (Fixed Value Education/Life/Pension Plans) in the Philippines.

This license is valid from 1 January 200__ to 31 December 200__, unless sooner suspended, cancelled or revoked by the Commission.

Issued in Mandaluyong City, Philippines, this day of

Director JOSE P. AQUINO
Acting Director for NTTD