



REPUBLIC OF THE PHILIPPINES
SECURITIES AND EXCHANGE COMMISSION

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

COMPANY REGISTRATION AND MONITORING DEPARTMENT

LICENSING UNIT

CHECKLIST OF REQUIREMENTS

Name of Corporation:		Date:		Land Line Number:	
Application:	<input type="checkbox"/> INVESTMENT HOUSE <input type="checkbox"/> INVESTMENT HOUSE engaged in dealing Government Securities <input type="checkbox"/> UNDERWRITER OF SECURITIES engaged in dealing Government Securities				
Basic Requirements		Compliance		Remarks:	
1. Cover Sheet		-			
2. Application Form (IHU/IHU-A)		-			
3. Application (and supporting documents) for:					
a. at least 1 Compliance Officer; and		-			
b. at least 1 Certified Investment Solicitor		-			
4. Continuing authorization for the Commission's duly authorized representative to verify applicant's bank accounts. The authorization shall be for all banks wherein accounts are maintained by the applicant, its subsidiaries and affiliates and persons under common control with or by the applicant		-			
5. Proof of compliance with minimum capital requirements		-			
6. Bio-data of current Directors and Officers <ul style="list-style-type: none"> • using the prescribed format • notarized • with 2x2 ID picture 					
7. Registration approval from the BI of resident foreign Directors and Officers, if any		-			
8. Valid Work Permit from the DOLE of all foreign Stockholders, Officers and other foreigners connected in any capacity with the applicant		-			
9. Written Supervision and Control Procedures, including procedures to ensure compliance with PD 129 (IH Law), its IRR and other applicable rules pertaining to IH, and the SRC, including procedures for establishing and maintaining a "Chinese Wall" in accordance with SRC Rule 34.1-3		-			
10. Latest Audited Financial Statements AND Latest Interim Financial Statements <u>as of the end of the month prior to filing the application</u>		-			
11. Statement justifying its operations, signed by the President		-			
12. Organization Chart, including Branch Offices		-			
13. Certified copy of the Board Resolution attesting to particulars contained in the application		-			
14. Business Plan regarding proposed and/or current operations, including investment direction and volume		-			
15. Where more than 40% of the voting stock of the applicant is owned by foreigners: <ul style="list-style-type: none"> ▪ a copy of the Certification from the Embassy of the country of which the applicant is a national attesting to the fact that the laws of that country/state of the applicant allow Filipino citizens and corporations the same or similar rights OR ▪ an authenticated Certification by the authorized official of the appropriate foreign government of that country, attesting to the fact that the laws of that country/state of the applicant allow Filipino citizens and corporations the same or similar rights 		-			
16. For foreign applicants: <ul style="list-style-type: none"> ▪ Verification that the applicant has an EKB license from the BSP ▪ A copy the favorable 2nd endorsement from the BSP if the applicant has an EKB license, trust investment management & quasi banking functions & is a subsidiary of a bank 		-			
17. NBI Clearance of Directors and Officers		-			
18. Manual on Corporate Governance		-			
19. Manual on Anti Money Laundering		-			
20. Board Resolution on the Adoption of the Manuals		-			
21. All documents required for incorporation/ Filing of Amended Articles of Incorporation/Certificate of Increase in Capital Stock		-			

22. Monitoring Clearance from appropriate Department/Division, if applicable	-	
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Notes:		
➤ Submit original + 3 copies.	-	
➤ Use size A4 bond paper.	-	
➤ All documents executed abroad should be authenticated by the Philippine Embassy or Consular Office.	-	
➤ Documents which have been previously filed by an applicant need not be re-submitted; Provided there is a President's sworn statement: <ul style="list-style-type: none"> • indicating the particular document/s and the corresponding date/s if/they was/were submitted to the Commission; & • confirming that there was no change in the information contained in such document/ 	-	
➤ Only applications which are complete and compliant in form and substance shall be issued the Payment Assessment Form.		
Remarks:		

Authorized Representative
(Indicate full name and designation/title.)

Securities Counsel/Specialist