



**SECURITIES AND EXCHANGE COMMISSION
APPLICATION FOR REGISTRATION
AS MUTUAL FUND DISTRIBUTOR**

For the year _____

*(To be accomplished in 4 copies with cover sheet;
3 copies for SEC, 1 copy for applicant's file)*

NOTE: TO BE USED BY APPLICANTS WHO ARE CURRENT HOLDERS OF SECONDARY LICENSE/S ISSUED BY SEC

Please check applicable box	
<input type="checkbox"/> NEW REGISTRATION	<input type="checkbox"/> RENEWAL REGISTRATION
Name of Applicant:	Certificate of Registration No. TIN#
Applicant's Main Address:	Tel. No. Fax No. E-mail Address:
Name of Certified Investment Solicitor/s:	Certificate of Registration # of CIS:
Contact Person:	Designation:
Name of Investment Company Adviser:	Address:
Name of Fund(s) Managed/Distributed:	
# of Branch Office/s offering services as mutual fund distributor:	Location of Branch Office/s:
Other services offered by the applicant. Please check applicable box/es:	
<input type="checkbox"/> Broker-Dealer in Securities	<input type="checkbox"/> Others (please specify):
<input type="checkbox"/> Broker-Dealer in Proprietary Shares	

The above-named applicant hereby makes its application for registration and hereby certifies that the information contained is true, correct, current, accurate and complete. Applicants are required to update all information in SEC Form MFD by submitting amendments whenever the information on file becomes inaccurate for any reason within seven (7) days of any change to the information previously filed.

Reviewed by:

Printed Name and Signature of
Associated Person/Compliance Officer

Printed Name/Signature of Company President

Date

Subscribed and sworn to before me this ____ day of _____, 201__, exhibited to me his/her valid identity card _____ issued at _____ on _____

Notary Public

Doc No. _____;
Page No. _____;
Book No. _____;
Series _____;

- Covering letter duly signed by the company's President identifying the names, the respective Certificate of Registration numbers and TINs of the applicant's CIS;
- Copy of the Mutual Fund Distributor's previous license;
- Termination Notice (SEC Form ICA T) or a copy thereof duly stamped received by the SEC (if already filed) for CIS who were issued licenses but are no longer connected with the company or whose licenses will not be renewed for the next licensing year;
- Photocopy of the current distribution agreement between the ICA/MFD and the firm duly certified by the Associated Person/Compliance Officer (valid for the whole licensing year) OR board resolution from both the MFD and ICA/MFD confirming the existence and validity of their distribution agreement, for renewal purposes;
- Written undertaking containing the conditions set by the SEC made under oath and signed by an authorized officer of the applicant (new applicants only);
- Amended Written Supervisory Procedures to include procedures under the distribution agreement (new applicants only); and
- Payment of fee – PhP3,030.00