Date

SECURITIES AND EXCHANGE COMMISSION

SEC Bldg., EDSA, Greenhills, Mandaluyong City

Attention: CRMD Licensing Unit

Subject : Application for Payment of Annual Fees

of Capital Market Participants

Gentlemen:

(Name of Capital Market Institution), through the undersigned President, hereby applies for the payment of annual fee as (Type of Registration/License), including the annual fees for the following Branches: (Enumerate Branches) and, of the (State Number of Professionals Included in the List) Capital Market Professionals listed in the Annexes, for the year (Indicate Year).

The undersigned President certifies that all the information contained in the Application Form for Payment of Annual Fees and in the said Annexes is true, correct, current, accurate and complete.

The undersigned Associated Persons/Compliance Officers undertake to attend Certification Seminars and take Certification Examinations, for Associated Persons/Compliance Officers, to be administered by the Securities and Exchange Commission in the future.[[1]](#footnote-1)

The undersigned understand and agree that should any of the information given is found to be false in any respect, the Commission shall, after notice and hearing, suspend or revoke the registration/license and the persons responsible therefor shall be dealt with in accordance with law.

Thank you.

Very truly yours,

President

Signature over Printed Name

Associated Person/Compliance Officer

Signature over Printed Name

Associated Person/Compliance Officer

Signature over Printed Name

Subscribed and sworn to before me this \_\_\_\_\_\_ day of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ 20\_\_\_; signatories exhibited to me their valid identification cards:

|  |  |  |  |
| --- | --- | --- | --- |
|  | Valid ID | Date Issued | Place Issued |
| President |  |  |  |
| AP/CO |  |  |  |
| AP/CO |  |  |  |

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1. For Investment Houses, Investment Houses Engaged in Dealing Government Securities, Underwriters of Securities Engaged in Dealing Government Securities, Government Securities Eligible Dealers, and Investment Company Advisers only. [↑](#footnote-ref-1)