

**COMPANY REGISTRATION AND MONITORING DEPARTMENT  
LIST OF CAPITAL MARKET INSTITUTIONS**

**RENEWAL REGISTRANTS FOR 2014**

<b>BROKER/DEALER IN SECURITIES</b>		
<b>#</b>	<b>CR NO.</b>	<b>NAME OF COMPANY</b>
1	01-2004-00002	A.T. DE CASTRO SECURITIES CORPORATION
2	01-2004-00003	AAA SOUTHEAST EQUITIES, INC.
3	01-2004-00004	AB CAPITAL SECURITIES INC.
4	01-2004-00005	ABACUS SECURITIES CORPORATION •BINONDO BRANCH •CEBU BRANCH •DAVAO BRANCH
5	01-2004-00007	ACCORD CAPITAL EQUITIES CORPORATION
6	01-2004-00008	ALAKOR SECURITIES CORPORATION
7	01-2004-00009	ALPHA SECURITIES CORPORATION
8	01-2004-00011	ANGPING & ASSOCIATES SECURITIES, INC. •BACOLOD BRANCH
9	01-2010-00256	ANSALDO, GODINEZ & CO., INC.
10	01-2004-00013	APEX (PHILIPPINES) EQUITIES CORPORATION
11	01-2004-00014	ARMSTRONG SECURITIES, INC.
	01-2004-00016	ASIASEC EQUITIES INC.
13	01-2004-00017	ASTRA SECURITIES CORPORATION
14	01-2004-00018	ATC SECURITIES, INC.
15	01-2004-00020	AURORA SECURITIES, INC.
16	01-2004-00021	B A SECURITIES, INC.
17	01-2004-00022	B.H. CHUA SECURITIES CORPORATION
18	01-2004-00119	BDO SECURITIES CORPORATION
19	01-2004-00024	BELSON SECURITIES, INC.
20	01-2004-00025	BENJAMIN CO CA & COMPANY, INC.
21	01-2004-00026	BERNAD SECURITIES, INC.
22	01-2004-00108	BONDS, EQUITIES, SECURITIES AND TRADERS INC.
23	01-2004-00027	BPI SECURITIES CORPORATION
24	01-2004-00028	CAMPOS, LANUZA & COMPANY, INC.
25	01-2004-00030	CENTURY SECURITIES CORPORATION
26	01-2004-00034	CITISECURITIES, INC.
27	01-2004-00035	CLSA PHILIPPINES, INC.
28	01-2004-00036	COHERCO SECURITIES, INC.
29	01-2004-00033	COL FINANCIAL GROUP, INC.
30	01-2011-00274	CREDIT SUISSE SECURITIES (PHILIPPINES) INC.
31	01-2004-00037	CUALOPING SECURITIES CORPORATION
32	01-2004-00040	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.
33	01-2004-00041	DEUTSCHE REGIS PARTNERS, INC.
34	01-2004-00042	DIVERSIFIED SECURITIES, INC.
35	01-2004-00132	DW CAPITAL, INC.
36	01-2004-00043	E. CHUA CHIACO SECURITIES, INC.

37	01-2004-00045	EAGLE EQUITIES, INC.
38	01-2004-00046	EASTERN SECURITIES DEVELOPMENT CORPORATION
39	01-2004-00047	EASTWEST CAPITAL CORPORATION
40	01-2004-00049	EQUITIWORLD SECURITIES, INC.
41	01-2004-00050	EVERGREEN STOCK BROKERAGE & SECURITIES, INC.
42	01-2004-00051	F. YAP SECURITIES, INC.
43	01-2004-00052	FIDELITY SECURITIES, INC.
44	01-2004-00053	FIRST INTEGRATED CAPITAL SECURITIES, INC.
45	01-2004-00095	FIRST METRO SECURITIES BROKERAGE CORPORATION
46	01-2004-00054	FIRST ORIENT SECURITIES, INC.
47	01-2004-00057	FRANCISCO ORTIGAS SECURITIES, INC.
48	01-2004-00059	G.D. TAN & CO., INC. PARAÑAQUE BRANCH
49	01-2004-00061	GLOBALINKS SECURITIES & STOCKS, INC.
50	01-2004-00062	GOLDEN TOWER SECURITIES AND HOLDINGS, INC.
51	01-2004-00063	GOLDSTAR SECURITIES, INC.
52	01-2004-00065	GUILD SECURITIES, INC.
53	01-2004-00066	H.E. BENNETT SECURITIES, INC.
54	01-2004-00068	HDI SECURITIES, INC.
55	01-2004-00070	I. ACKERMAN & COMPANY, INC.
56	01-2004-00071	I.B. GIMENEZ SECURITIES, INC.
57	01-2004-00072	IGC SECURITIES, INC.
58	01-2004-00073	IMPERIAL, DE GUZMAN, ABALOS & CO., INC.
59	01-2004-00076	INVESTORS SECURITIES, INC.
60	01-2004-00077	J.M. BARCELON & CO., INC.
61	01-2004-00165	J.P. MORGAN SECURITIES PHILIPPINES, INC.
62	01-2004-00078	JAKA SECURITIES CORPORATION
63	01-2004-00080	JSG SECURITIES, INC.
64	01-2004-00082	KING'S POWER SECURITIES, INC.
65	01-2004-00083	LARRGO SECURITIES CO., INC.
66	01-2004-00085	LITONJUA SECURITIES, INC.
67	01-2004-00086	LOPEZ, LOCSIN, LEDESMA & CO., INC.
68	01-2004-00087	LUCKY SECURITIES, INC.
69	01-2004-00088	LUYS SECURITIES CO., INC.
70	01-2004-00074	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.
71	01-2004-00089	MANDARIN SECURITIES CORPORATION
72	01-2004-00090	MARIAN SECURITIES, INC.
73	01-2004-00019	MAYBANK ATR KimEng Securities, Inc. (formerly: ATR KIMENG CAPITAL PARTNERS, INC.) •CEBU BRANCH •DAVAO BRANCH
74	01-2004-00091	MDR SECURITIES, INC.
75	01-2004-00092	MERCANTILE SECURITIES CORPORATION
76	01-2004-00093	MERIDIAN SECURITIES, INC.

77	01-2004-00094	MOUNT PEAK SECURITIES, INC.
78	01-2004-00097	NIEVES SECURITIES, INC.
79	01-2004-00098	OPTIMUM SECURITIES CORPORATION
80	01-2004-00099	PAN ASIA SECURITIES CORPORATION
81	01-2004-00100	PAPA SECURITIES CORPORATION
82	01-2004-00101	PCCI SECURITIES BROKERS CORPORATION
83	01-2004-00102	PCIB SECURITIES, INC.
84	01-2004-00104	PHILIPPINE EQUITY PARTNERS, INC.
85	01-2004-00103	PHIL-PROGRESS SECURITIES CORPORATION
86	01-2004-00105	PLATINUM SECURITIES, INC.
87	01-2004-00106	PNB SECURITIES, INC.
88	01-2004-00107	PREMIUM SECURITIES, INC.
89	01-2004-00110	QUALITY INVESTMENTS & SECURITIES CORP.
90	01-2004-00111	R & L INVESTMENTS, INC.
91	01-2004-00112	R. COYIUTO SECURITIES, INC. •BAGUIO BRANCH
92	01-2004-00113	R. NUBLA SECURITIES, INC.
93	01-2004-00114	R.S. LIM & COMPANY, INC.
94	01-2004-00115	RCBC SECURITIES, INC.
95	01-2004-00116	REGINA CAPITAL DEVELOPMENT CORPORATION •BAGUIO BRANCH •CAGAYAN DE ORO BRANCH •GREENHILLS BRANCH •ILOILO BRANCH •ORTIGAS CENTER, PASIG BRANCH
96	01-2004-00117	RTG & COMPANY, INC.
97	01-2004-00118	S.J. ROXAS & CO., INC.
98	01-2004-00109	SALISBURY BKT SECURITIES CORPORATION
99	01-2004-00120	SARANGANI SECURITIES, INC.
100	01-2004-00121	SB EQUITIES, INC.
101	01-2004-00122	SECURITIES SPECIALISTS, INC.
102	01-2004-00124	SINCERE SECURITIES CORPORATION
103	01-2004-00125	SOLAR SECURITIES, INC.
104	01-2004-00126	STANDARD SECURITIES CORPORATION
105	01-2012-00276	STAR ALLIANCE SECURITIES CORPORATION
106	01-2004-00127	STRATEGIC EQUITIES CORPORATION
107	01-2004-00128	SUMMIT SECURITIES, INC.
108	01-2010-00257	SUNSECURITIES, INC.
109	01-2004-00129	SUPREME STOCKBROKERS, INC.
110	01-2004-00131	THE FIRST RESOURCES MANAGEMENT AND SECURITIES CORPORATION
111	01-2004-00133	TOWER SECURITIES, INC. •BINONDO BRANCH
112		
113	01-2004-00134	TRAN-ASIA SECURITIES, INC.
114	01-2004-00135	TRI-STATE SECURITIES, INC.
115	01-2004-00136	TRITON SECURITIES CORPORATION
116	01-2004-00137	UBS SECURITIES PHILIPPINES, INC.
117	01-2004-00138	UCPB SECURITIES, INC.
118	01-2004-00139	UNICAPITAL SECURITIES, INC.
119	01-2004-00140	UOB-KAY HIAN SECURITIES (PHILIPPINES), INC.

120	01-2004-00141	UPCC SECURITIES CORPORATION
121	01-2004-00081	VALUE QUEST SECURITIES CORPORATION
122	01-2004-00142	VENTURE SECURITIES, INC.
123	01-2004-00143	VICSAL SECURITIES & STOCK BROKERAGE, INC.
124	01-2008-00252	VSEC.COM, INC.
125	01-2004-00144	WEALTH SECURITIES, INC.
126	01-2004-00145	WESTLINK GLOBAL EQUITIES, INC.
127	01-2004-00146	WONG SECURITIES CORPORATION
128	01-2004-00147	YAO & ZIALCITA, INC.
129	01-2004-00149	YU & COMPANY, INC.

**BROKER IN SECURITIES**

#	CR NO.	NAME OF COMPANY
1	01-2004-00001	A & A SECURITIES, INC.
2	01-2004-00015	ASIA PACIFIC CAPITAL EQUITIES & SECURITIES CORPORATION
3	01-2004-00031	CITICORP FINANCIAL SERVICES AND INSURANCE BROKERAGE PHILIPPINES, INC. •ALABANG, MUNTINLUPA BRANCH •BINONDO BRANCH •SAN JUAN BRANCH •MAKATI BRANCH •CEBU BRANCH
4	01-2004-00038	DA MARKET SECURITIES, INC.
5	01-2004-00039	DAVID GO SECURITIES CORPORATION
6	01-2004-00075	INTRA-INVEST SECURITIES, INC.
7	01-2004-00096	NEW WORLD SECURITIES CO., INC.
8	01-2004-00130	TANSENGCO & COMPANY, INC.
9	01-2004-00148	YAPSTER E-TRADE, INC.

**DEALER IN SECURITIES**

#	CR NO.	NAME OF COMPANY
1	01-2004-00084	LEGACY EQUITIES, INC.

**BROKER in PROPRIETARY SHARES**

#	CR NO.	NAME OF COMPANY
1	01-2004-00058	G & W CLUBSHARES, INC.
2	01-2004-00064	GOLFERS CLUB SHARES, INC.
3	01-2004-00060	G G & A CLUB SHARES BROKERS, INC.

**VOICE BROKER IN SECURITIES**

#	CR NO.	NAME OF COMPANY
1	01-2007-00172	AFS PHILIPPINES, INC.
2	01-2012-00275	GFI (HK) SECURITIES LLC
3	01-2005-00167	ICAP PHILIPPINES, INC.

4	01-2008-00253	TRADITION FINANCIAL SERVICES PHILIPPINES, INC.
5	01-2005-00168	TULLETT PREBON (PHILIPPINES) INC.

**INVESTMENT HOUSE**

#	CR NO.	NAME OF COMPANY
1	01-2008-00214	ABACUS CAPITAL & INVESTMENT CORPORATION
2	01-2008-00216	ASIAN ALLIANCE INVESTMENT CORPORATION
3	01-2010-00271	BA INVESTMENTS AND HOLDINGS, INC.
4	01-2008-00221	CITICORP CAPITAL PHILIPPINES, INC.
5	01-2008-00222	CLSA EXCHANGE CAPITAL, INC.
6	01-2008-00225	INSULAR INVESTMENT CORPORATION
7	01-2008-00226	INTERNATIONAL CAPITAL CORPORATION
8	01-2008-00227	INVESTMENT & CAPITAL CORPORATION OF THE PHILIPPINES
9	01-2008-00217	MAYBANK ATR KIMENG CAPITAL PARTNERS, INC.
10	01-2008-00229	PBC CAPITAL INVESTMENT CORPORATION
11	01-2008-00231	PENTA CAPITAL & INVESTMENT CORPORATION
12	01-2008-00233	PHILIPPINE REGIONAL INVESTMENT DEVELOPMENT CORPORATION
13	01-2008-00234	PNB CAPITAL AND INVESTMENT CORPORATION
14	01-2008-00236	SB CAPITAL INVESTMENT CORPORATION
15	01-2008-00237	SMBC METRO INVESTMENT CORPORATION
16	01-2008-00213	STATE INVESTMENT TRUST, INC. •CAGAYAN DE ORO BRANCH •DAVAO BRANCH •MANILA BRANCH
17	01-2008-00238	UBS INVESTMENTS PHILIPPINES INC.

**INVESTMENT HOUSE**

**ENGAGED IN DEALING GOVERNMENT SECURITIES**

#	CR NO.	NAME OF COMPANY	Functions*
1	01-2008-00209	AB CAPITAL & INVESTMENT CORPORATION	BD
2	01-2008-00215	AMALGAMATED INVESTMENT BANCORPORATION	B
3	01-2008-00219	BDO CAPITAL & INVESTMENT CORPORATION	BD
4	01-2008-00210	BPI CAPITAL CORPORATION	BD
5	01-2008-00211	FIRST METRO INVESTMENT CORPORATION •BACOLOD BRANCH •BINONDO BRANCH •CAGAYAN DE ORO BRANCH •CEBU BRANCH •DAVAO BRANCH •ILOILO BRANCH	BD
6	01-2004-00161	MULTINATIONAL INVESTMENT BANCORPORATION	BD
7	01-2008-00232	PHILIPPINE COMMERCIAL CAPITAL, INC.	BD

8	01-2008-00212	RCBC CAPITAL CORPORATION	BD
9	01-2008-00239	UNICAPITAL, INC.	D
10	01-2008-00251	VICSAL INVESTMENT, INC.	BD

\* BD = with Broker Dealer functions; B = with Broker functions; D = with Dealer functions

<b>UNDERWRITER OF SECURITIES</b>			
<b>ENGAGED IN DEALING GOVERNMENT SECURITIES</b>			
<b>#</b>	<b>CR NO.</b>	<b>NAME OF COMPANY</b>	<b>Functions*</b>
1	01-2009-00255	AUSTRALIA AND NEW ZEALAND BANKING GROUP LIMITED	BD
2	01-2008-00241	CHINA BANKING CORPORATION	BD
3	01-2008-00186	DEUTSCHE BANK AG	D
4	01-2005-00164	DEVELOPMENT BANK OF THE PHILIPPINES	BD
5	01-2008-00242	ING BANK N.V. MANILA BRANCH	BD
6	01-2008-00243	LAND BANK OF THE PHILIPPINES	BD
7	01-2008-00244	STANDARD CHARTERED BANK	BD
8	01-2008-00245	THE HONGKONG AND SHANGHAI BANKING CORPORATION LTD.-PHILIPPINE BRANCH	BD
9	01-2008-00246	UNIONBANK OF THE PHILIPPINES	BD
10	01-2008-00247	UNITED COCONUT PLANTERS BANK	BD

\* BD = with Broker Dealer functions; B = with Broker functions; D = with Dealer functions

<b>GOVERNMENT SECURITIES ELIGIBLE DEALER</b>			
<b>#</b>	<b>CR NO.</b>	<b>NAME OF COMPANY</b>	<b>Functions*</b>
1	01-2008-00176	ASIA UNITED BANK CORPORATION	D
2	01-2008-00179	BANK OF COMMERCE	BD
3	01-2008-00178	BDO UNIBANK, INC.	BD
4	01-2008-00180	BANK OF THE PHILIPPINE ISLANDS	BD
5	01-2008-00181	BDO PRIVATE BANK, INC.	BD
6	01-2008-00182	CTBC BANK (PHILIPPINES) CORP. (formerly: CHINATRUST [PHILIPPINES] COMMERCIAL BANK CORPORATION)	BD
7	01-2008-00183	CITIBANK N.A.	BD
8	01-2008-00184	CITIBANK SAVINGS, INC.	D
9	01-2008-00185	CITYSTATE SAVINGS BANK, INC.	D
10	01-2008-00187	EAST WEST BANKING CORPORATION	BD
11	01-2008-00191	HSBC SAVINGS BANK (PHILIPPINES), INC.	BD
12	01-2008-00192	JPMORGAN CHASE BANK, NATIONAL ASSOCIATION	BD
13	01-2008-00193	MALAYAN BANK SAVINGS & MORTGAGE BANK, INC.	D
14	01-2008-00194	MAYBANK PHILIPPINES, INCORPORATED	BD
15	01-2008-00195	METROPOLITAN BANK AND TRUST COMPANY	BD
16	01-2008-00196	PHILIPPINE BANK OF COMMUNICATIONS	D
17	01-2008-00197	PHILIPPINE BUSINESS BANK, INC. (A SAVINGS BANK)	BD
18	01-2008-00198	PHILIPPINE NATIONAL BANK	BD
19	01-2008-00199	PHILIPPINE POSTAL SAVINGS BANK, INC.	D

20	01-2008-00200	PHILIPPINE SAVINGS BANK	D
21	01-2008-00201	PHILIPPINE VETERANS BANK	BD
22	01-2008-00202	PLANTERS DEVELOPMENT BANK	D
23	01-2008-00203	RCBC SAVINGS BANK, INC.	D
24	01-2008-00204	RIZAL COMMERCIAL BANKING CORPORATION	BD
25	01-2008-00174	ROBINSONS BANK CORPORATION	BD
26	01-2008-00206	SECURITY BANK CORPORATION	BD
27	01-2008-00250	STERLING BANK OF ASIA INC. (A SAVINGS BANK)	BD
28	01-2008-00208	UCPB SAVINGS BANK, INC.	D

\* BD = with Broker Dealer functions; B = with Broker functions; D = with Dealer functions

<b>INVESTMENT COMPANY ADVISER</b>		
<b>#</b>	<b>CR NO.</b>	<b>NAME OF COMPANY</b>
1	01-2004-00159	ATR KIMENG ASSET MANAGEMENT, INC.
2	01-2004-00151	BPI INVESTMENT MANAGEMENT, INC.
3	01-2004-00152	COCOLIFE ASSET MANAGEMENT COMPANY, INC.
5	01-2008-00249	FIRST METRO ASSET MANAGEMENT (FMAMI), INC.
6	01-2004-00162	GREPALIFE ASSET MANAGEMENT CORPORATION
7	01-2010-00273	PARADIGM GLOBAL INVESTMENT MANAGEMENT, INC.
8	01-2004-00155	PHILAM ASSET MANAGEMENT, INC.
9	01-2004-00156	PHILEQUITY MANAGEMENT, INC.
10	01-2004-00157	SUN LIFE ASSET MANAGEMENT COMPANY, INC.
11	01-2008-00251	VICSAL INVESTMENT, INC.

<b>MUTUAL FUND DISTRIBUTOR</b>		
<b>#</b>	<b>CR NO.</b>	<b>NAME OF COMPANY</b>
1	01-2004-00108	BONDS, EQUITIES, SECURITIES AND TRADERS INC.
2	01-2008-00210	BPI CAPITAL CORPORATION
3	01-2004-00151	BPI INVESTMENT MANAGEMENT, INC.
4	01-2004-00031	CITICORP FINANCIAL SERVICES AND INSURANCE BROKERAGE PHILIPPINES, INC.
5	01-2004-00095	FIRST METRO SECURITIES BROKERAGE CORPORATION
6	01-2004-00169	RCBC CAPITAL CORPORATION
7	01-2004-00136	TRITON SECURITIES CORPORATION

**COMPANY REGISTRATION AND MONITORING DEPARTMENT  
LIST OF CAPITAL MARKET INSTITUTIONS**

**RENEWAL REGISTRANTS FOR 2014**

<b>TRANSFER AGENT</b>		
<b>#</b>	<b>CR NO.</b>	<b>NAME OF COMPANY</b>
1	01-2010-00272	AB STOCK TRANSFERS CORPORATION
2	01-2010-00258	ARSEL DEVELOPMENT CORPORATION
3	01-2010-00259	ASIAN TRANSFER & REGISTRY CORPORATION
4	01-2004-00159	ATR KIMENG ASSET MANAGEMENT INC.
5	01-2008-00178	BDO UNIBANK, INC.
6	01-2010-00260	BPI STOCK TRANSFER AGENCY
7	01-2008-00186	DEUTSCHE BANK AG
8	01-2005-00164	DEVELOPMENT BANK OF THE PHILIPPINES
9	01-2010-00261	FAST STOCK TRANSFERS, INC.
10	01-2008-00195	METROPOLITAN BANK AND TRUST COMPANY
11	01-2010-00263	PHILIPPINE DEPOSITORY & TRUST CORP.
12	01-2008-00198	PHILIPPINE NATIONAL BANK
13	01-2010-00264	PHILIPPINE TRUST COMPANY also known as PHILTRUST BANK
14	02-2010-00265	PRIME STOCK TRANSFER SERVICES, INC.
15	01-2010-00266	PROFESSIONAL STOCK TRANSFER, INC.
16	01-2008-00204	RIZAL COMMERCIAL BANKING CORP.
17	01-2010-00268	SECURITIES TRANSFER SERVICES, INC.
18	01-2010-00269	SMC STOCK TRANSFER SERVICE CORPORATION
19	01-2010-00270	STOCK TRANSFER SERVICE, INC.
20	01-2004-00157	SUN LIFE ASSET MANAGEMENT COMPANY, INC.
21	01-2008-00245	THE HONGKONG AND SHANGHAI BANKING CORPORATION LIMITED
22	01-2008-00246	UNION BANK OF THE PHILIPPINES