



REPUBLIC OF THE PHILIPPINES  
**SECURITIES AND EXCHANGE COMMISSION**  
 Ground Floor, Secretariat Building, PICC  
 City of Pasay, Metro Manila

**LICENSING UNIT**

**CHECKLIST OF REQUIREMENTS**

<b>Name of Corporation:</b>		<b>Date:</b>		<b>Land Line Number:</b>
<b>Application:</b>	<b>MUTUAL FUND DISTRIBUTOR</b>			
<b>Basic Requirements</b>		<b>Compliance</b>	<b>Remarks:</b>	
1. Cover Sheet		-		
2. Application Form		-		
3. Application (and supporting documents) for: a. at least 1 Compliance Officer/Associated Person; and b. at least 1 Certified Investment Solicitor		-		
4. Cover letter, signed by the President, identifying the: ▪ Names ▪ Certificate of Registration Numbers ▪ Tax Identification Numbers of the applicant's CIS		-		
5. Photocopy of the current Distribution Agreement • between the ICA/MFD and the applicant • certified by the AP/CO • valid for the whole licensing year		-		
6. Written undertaking • containing the conditions set by the SEC (with format) • signed by an authorized officer of the applicant • under oath		-		
7. Amended Written Supervisory Procedures • to include procedures under the Distribution Agreement		-		
8. Sworn Certification required under SEC Memorandum Circular No. 29, Series of 2020 ▪ Shall include an undertaking that the applicant shall submit hard and soft copies of its MTTP to the AMLD-EIPD within ten (10) days from receipt of its Certificate of Registration and/or secondary license from the Commission • Stamped received by the Anti-Money Laundering Division of the Enforcement and Investor Protection Department (AMLD-EIPD)				
9.. Monitoring Clearance from appropriate Department/Division, if applicable		-		
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<b>Notes:</b>				
➢ Submit original + 3 copies.		-		
➢ Use size A4 bond paper.		-		
➢ All documents executed abroad should be authenticated by the Philippine Embassy or Consular Office.		-		
➢ <b>Only applications which are complete and compliant in form and substance shall be issued the Payment Assessment Form.</b>				
<b>Remarks:</b>				

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

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**Securities Counsel/Specialist**