



Republic of the Philippines
Department of Finance
Securities and Exchange Commission
Secretariat Building, PICC Complex
Pasay City

DOCUMENTARY REQUIREMENTS: FINANCING COMPANY - HEAD OFFICE

1. Cover Sheet
2. All documents required for incorporation
 - a. Name Reservation Payment Confirmation
 - b. Articles of Incorporation
 - c. Treasurer's Affidavit with Waiver to Examine and Verify Deposit
 - d. By-Laws
3. Application Form
4. Information Sheet
5. Personal Information Sheet of Directors & Officers
 - Using the prescribed format & notarized
6. Valid NBI Clearance of ALL Incorporators and Stockholders
 - With right thumb print and signature
 - Reflecting the residential address as stated in the Information Sheet & Articles of Incorporation (AI)/General Information Sheet (GIS)
7. Additional Requirements for FOREIGN Directors and Officers
 - a. Photocopy of Alien Certificate of Registration Card/Immigrant Certificate of Residence Card*
 - b. Photocopy of Passport Showing Valid Visa or Stay in the Philippines*
 - c. Clearance from the Bureau of Immigration
8. Clearance from Bangko Sentral ng Pilipinas
 - If applicant is a subsidiary or affiliate of a bank and/or non-bank financial institution with quasi-banking license
9. Manual on Corporate Governance
 - If foreign participation in voting stock is more than 40%; or
 - If total assets is PhP50M or more; or
 - If commercial paper issuer, either exempt or registered
10. Board Resolution on the Adoption of Manual on Corporate Governance certified by the Corporate Secretary
11. 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 *Money Laundering and Terrorist Financing Prevention Program (MTPP)* 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) or with attached email confirmation sent by the AMLD-EIPD stating that the Sworn Certification was duly received.
12. Format of Disclosure Statement on Loan/Credit Transactions
13. Notarized Bank Certificate of Deposit

Additional Requirements for Existing Registered Corporations

1. Report of an Independent CPA on the conduct and result of the verification procedures required under SEC Memorandum Circular 6, Series of 2008 (MC6S08)
2. Management Representation required under MC6S08
3. Latest required General Information Sheet
4. Latest required Audited Financial Statements; or Notarized Interim Financial Statements signed by the President and Treasurer

5. All documents required for Filing of Amended Articles of Incorporation/Certificate of Increase in Capital Stock
6. Monitoring Clearance from appropriate Department/CRMD Division

Notes:

1. Submit original + 3 copies.
2. Use size A4 bond paper.
3. **Only applications which are complete and compliant in form and substance shall be issued the Payment Assessment Form.**

* All photocopies shall be verified against the original