

Name of Broker-Regulated Company  
As of December 31, 2024

CHECKLIST OF DOCUMENTARY REQUIREMENTS

PARTICULARS

- 1. Certification (**Form A**)
- 2. Audited Financial Statements, signed and stamped "Received" by the Bureau of Internal Revenue (BIR) and the Securities and Exchange Commission (SEC) (*attach email notification if submitted electronically*)
- 3. Financial Information Form (**Form C**), signed by the Finance Head (*sign the PDF copy of the Form's Profile tab only*)
- 4. Latest General Information Sheet filed with the SEC
- 5. Copies of Latest Surety Bond and Errors and Omissions Policies
- 6. Certificate of Authority/License
- 7. Minutes of the Board of Directors and Stockholders' Meetings or Annual Report, *if any*
- NONE 8. External Auditor's Letter of Comments or Recommendations, *if any*
- NONE 9. Amendment/s to the Articles of Incorporation and/or By-laws, *if any*

Via IC Portal	
PDF	EXCEL
X	
X	
X	X
X	
X	
X	
X	
X	

**Note: The list above is not exhaustive and the IC may request additional schedule/documents during the examination.**

Prepared by KRISTINA ANGEL THELMO-NAKAYAMA / ACTING COMPLIANCE OFFICER  
Signature over Printed Name and Designation

Received by: \_\_\_\_\_  
Date Received: \_\_\_\_\_