

**SECURITIES AND EXCHANGE COMMISSION
ANTI-MONEY LAUNDERING COMPLIANCE FORM**

1.
Date
2. SEC Registration Number 3. BIR Tax Identification No.
4.
Exact name of the covered institution as specified in its Certificate of Registration
5.
Secondary License Date Granted
6. 7. (SEC Use Only)
Province, country or other Industry Classification Code:
jurisdiction of incorporation
8.
Address of principal office
9. 10.
Company's telephone number Name of Compliance Officer
10.
Former name or former address, if applicable

SIGNATURE

After reasonable inquiry and to the best of our knowledge and belief, the undersigned certify that the responses and explanations set forth in the attached AML-CF are true, complete and correct.

Signed in the City of on theof, 2011.

By: _____
Compliance Officer

President

Republic of the Philippines
SECURITIES AND EXCHANGE COMMISSION
SEC Building EDSA, Greenhills,
Mandaluyong City

ANTI-MONEY LAUNDERING COMPLIANCE FORM

GENERAL INSTRUCTIONS

(1) Purpose/objective

- (a) This Anti-Money Laundering Compliance Form (AML-CF) was adopted in order to effectively implement the provisions of the Anti-Money Laundering Act (AMLA), as amended, and its Revised Implementing Rules and Regulations (RIRR), as well as to determine extent of compliance therewith by the covered institutions supervised by the Commission as supervising authority under the AMLA.

(2) Preparation of this Filing

- (a) This document may be considered as a blank form to be filled up, except if the responses would require more spaces in which case, separate pages with the proper captions shall be submitted with the form.
- (b) This page containing the general instructions is not to be filed with the form.
- (c) Topics or subjects in the blank form are divided into three (3) parts: (i) Customer Due Diligence, (ii) Monitoring, recording and reporting, and (iii) Training of the covered institution's personnel and staff. Prefaced to the first part is a general provision relating to the adoption of the Anti-Money Laundering Operating Manual by the covered institution.

(3) Institutions covered

- (a) This form applies to the following covered institutions defined by way of enumeration under SEC Memorandum Circular No. 2, Series of 2010, the "Revised Guidelines in the Preparation of the Anti-Money Laundering Operating Manual For SEC Covered Institutions" and pursuant to the provisions of Sec. 3 (a)(3) of R.A. 9160, as amended by R.A. 9194: (a) Securities Brokers, Dealers and Salesmen, Associated Person of a broker or dealer; (b) Investment Houses and other similar entities managing securities or rendering services as Investment Agent, Advisor or Consultant; (c) Mutual Fund Companies, Closed-End Investment Companies; (d) Common Trust Fund Companies, closed-end investment companies; (e) Financing companies and lending companies, both with more than 40% foreign participation in its voting stock or with paid-up capital of Php10Million or more; (d) Other entities administering or otherwise dealing in currency, commodities or financial derivatives based thereon, cash substitutes and other similar monetary instruments or property, supervised or regulated by the Commission.

(4) Signature and Filing

- (a) This blank form is to be filled up by the covered institution and submitted to the Commission within a period of ten (10) working days from receipt, order or directive for its submission, and which will be signed by the officers listed therein.
- (b) Non-submission of this form within the prescribed period shall warrant the on-site examination or audit by the Commission of the covered institution to verify its compliance with the provisions of the AMLA, as amended, the RIRR and the circulars or orders issued by the Anti-Money Laundering Council or by the Commission.
- (c) Submitted forms shall be assessed to determine whether on-site examination or audit of a covered institution/s is necessary or a random validation process will suffice. The on-site audit or examination shall be conducted either during the performance of the respective regular audit by the operating department of the Commission or during a thematic audit for the specific purpose of determining compliance with the AMLA, as amended.

(5) Period Covered

- (a) This form shall cover the period from the time of the adoption of the Operating Manual by the covered institution pursuant to SEC Memoranda Circulars No. 1 Series of 2002, No. 12 Series of 2004, and No. 2, Series of 2010, up to the time of filing of this Form.