



REPUBLIC OF THE PHILIPPINES
SECURITIES AND EXCHANGE COMMISSION

SEC Building, EDSA, Greenhills
 City of Mandaluyong, Metro Manila

COMPANY REGISTRATION AND MONITORING DEPARTMENT

LICENSING UNIT

CHECKLIST OF REQUIREMENTS

Name of Corporation:		Date:		Land Line Number:	
Application:	INVESTMENT COMPANY ADVISER				
Basic Requirements		Compliance		Remarks:	
1. Cover Sheet		-			
2. Application Form (ICA-IA)		-			
3. Application (and supporting documents) for: a. at least 1 Compliance Officer; and b. at least 1 Certified Investment Solicitor		-			
4. Continuing authorization for the Commission's duly authorized representative to verify applicant's bank accounts		-			
5. Proof of compliance with minimum capital requirements		-			
6. Valid work permit of foreigners connected in any capacity with the applicant		-			
7. Copies of identity cards/passports of: a. Directors b. Officers c. Persons who control more than 10% of a class of voting securities of applicant		- - -			
8. Written Supervision and Control Procedures, including procedures for establishing and maintaining a "Chinese Wall"		-			
9. Schedule of minimum commission charges		-			
10. Latest Audited Financial Statements		-			
11. Where applicant has been in existence for more than one year, certified copies of Income Tax Returns for the two years preceding date of application		-			
12. Organization Chart, including Branch Offices		-			
13. Certified copy of the following documents, under oath, by the Corporate Secretary a. With respect to a foreign applicant, Certificate that the Board of Directors has authorized, in resolution, the President and Corporate Secretary to sign an irrevocable consent to service of process upon the Commission as service to the corporation b. Articles of Incorporation c. Board Resolution attesting to particulars contained in the application		- - -			
14. Business Plan regarding proposed and/or current operations, including projected volume of business		-			
15. If the applicant is not a member of or participant in an SRO, or has not applied for such membership or participation therein, a written undertaking that he will become a member or participant in an SRO in the near future		-			
16. Management and Distribution Agreement/s		-			
17. Manual on Corporate Governance		-			
18. Manual on Anti Money Laundering		-			
19. Board Resolution on the Adoption of the Manuals		-			
20. Proof of financial capacity of stockholders		-			
21. All documents required for incorporation/ Filing of Amended Articles of Incorporation/Certificate of Increase in Capital Stock		-			
22. Monitoring Clearance from appropriate Department/Division, if applicable		-			
		-			
Notes:					
> Submit original + 3 copies.		-			
> Use size A4 bond paper.		-			
> All documents executed abroad should be authenticated by the Philippine Embassy or Consular Office.		-			
> Only applications which are complete and compliant in form and substance shall be issued the Payment Assessment Form.					
Remarks:					

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

 Securities Counsel/Specialist