

**APPLICATION FOR INCLUSION IN THE LIST OF
ACCREDITED/SELECTED EXTERNAL AUDITORS - INDIVIDUAL**

Please put a check mark (✓) inside the appropriate box



Type of Application Initial Renewal

Applying for Category A Category B Category C

In the List of SEC BSP IC

Type of applicant Sole Practitioner Partner Firm/Co. _____

Applicant Details

Name of Applicant: _____

Date of Birth: _____ Place of Birth: _____ Age: _____

Business Address: _____

Telephone No.: _____ Fax No.: _____ E-mail Address: _____

CPA License No.: _____ Date Granted: _____ Expiration Date: _____

BOA Accreditation No.: _____ Date Granted: _____ Expiration Date: _____

Experience in Audit

Number of years in audit practice (as manager, lead partner, engagement quality control reviewer, or its equivalent): _____

Please provide details where audit experience was obtained:

No.	Name of Audit Firm	Responsibility/Role*	Duration	
			From	To

**Manager, Lead Partner, Engagement Quality Control Reviewer or its equivalent
[Use separate sheet of paper if the space provided is not enough. The separate sheet of paper should be signed under oath.]*

Audit Clients Profile (Please see prescribed form attached)

**For Initial Application, kindly provide a complete List of Clients (previous and current). For Renewal Application, kindly provide a complete List of Clients for the last five (5) years. Please attach a notarized separate sheet if the space provided is insufficient.*

Accompanying documents

- Copy of valid and updated Board of Accountancy's (BOA) Certificate of Accreditation with the list of qualified partner/s of the firm as certified by the BOA (as applicable).
- Notarized certification that the applicant has attended or participated in training for at least 120 hours in subjects like international financial reporting and auditing standards, corporate governance, taxation, code of ethics and regulatory requirements of the BSP, IC and SEC relevant to the practice and qualified as a form of compliance with the Continuing Professional Development Program of the PRC/BOA.
- Copy of Quality Assurance Manual/Amended Quality Assurance Manual.
- For SEC applicants, a notarized certificate that the applicant has fundamental knowledge of the regulatory requirements on each of the secondary licensees of the Commission.
- For initial application of partner-applicants, certification from managing partner or signing partner (current and/or former) indicating the detailed participation of the applicant in the audit of the firm's corporate-clients and various positions held in the firm.
- In case there is change in any document submitted during the initial application for accreditation, the amended/updated document should be submitted.

Declaration

1. I have meet all the qualification requirements.
2. I or any member of my immediate family within the second degree of consanguinity or affinity does not have direct or indirect financial interest in the BSP Supervised Financial Institutions (BSFIs) concerned.
3. I do not have outstanding loans or any credit accommodations (except credit card obligations which are normally available to other credit card holders and fully secured auto and housing loans that are not past due) with the BSFI.
4. I was not an officer or director of the BSFI or its subsidiaries and affiliates during the one-year preceding the date of the initiation of the audit.
5. I will maintain my working papers for at least ten (10) years to support the conclusions in the audit report and make them available to the financial sector regulators' authorized representative/s when required to do so.

6. I understand and authorize the SEC to process, share and obtain data/information from the BSP and IC relative to my application for inclusion in the List of Accredited/Selected External Auditors, which shall not constitute a breach of my data privacy pursuant to Data Privacy Act of 2012.
7. I certify that the particulars given in this application and all accompanying documents are true and correct.
8. I confirm that all communications regarding the application for accreditation may be sent or transmitted by the SEC through electronic mail (e-mail) address and shall be considered as official transmittal by the SEC pursuant to e-Commerce Act of 2000.

**For non-BSP applicants, items 2 to 4 are no longer applicable*

Applicant's signature over printed name

SUBSCRIBED and sworn to before me this _____ day of _____, affiant exhibiting to me his/her (valid identification document/s) No. _____, issued at _____ on _____.

Notary Public

Doc. No.
Page No.
Book No.
Series of

