Securities and Exchange Commission
PHILIPPINES

SEC Memorandum Circular No. 17
Series of 2018

TO : **ALL SEC REGISTERED DOMESTIC CORPORATIONS**

SUBJECT : **REVISION OF THE GENERAL INFORMATION SHEET (GIS) TO INCLUDE BENEFICIAL OWNERSHIP INFORMATION**

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Pursuant to its mandate to assist in the implementation of the Anti-Money Laundering Act (AMLA), as amended, and to ensure timely access to adequate, accurate and current information on the beneficial ownership and control of SEC registered corporations and prevent their misuse for money laundering and terrorist financing purposes, the Securities and Exchange Commission ("SEC", "Commission") hereby issues this Memorandum Circular.

SECTION 1. Coverage. – This Memorandum Circular shall apply to all SEC registered domestic corporations, both stock and non-stock.

SECTION 2. Definition of Terms. –

2.1. ***"Beneficial Owner"*** refers to any natural person who:

(1) Ultimately owns or controls the corporation; or

(2) Has ultimate effective control over the corporation.

2.2. ***"Ultimate Effective Control"*** refers to any situation in which ownership/control is exercised through actual or a chain of ownership or by means other than direct control. This may be achieved through, but not limited to, any of the following situations:

a) direct or indirect ownership of at least 25% of any category of voting shares or capital of a legal person, arrangement, understanding, relationship or otherwise has or shares voting power, which includes the power to vote, or to direct the voting of, such security; and/or investment returns or power, which includes the power to dispose of, or to direct, the disposition of such security; *Provided*, that a person shall be deemed to have an indirect beneficial ownership interest in any security which is:

(i) held by members of his/her immediate family sharing the same household;

(ii) held by a partnership in which he/she is a general partner;

(iii) held by a corporation of which he/she is the controlling shareholder; or

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(iv) subject to any contract, arrangement or understanding which gives him/her voting power or investment power with respect to such securities: *Provided, however,* that a person shall not be deemed to be a beneficial owner of securities held by him/her for the benefit of third parties or in customer or fiduciary accounts in the ordinary course of business, so long as such shares were acquired by such person without the purpose or effect of changing or influencing control of the issuer.

b) the ability to elect a majority of the board of directors, or any similar body, of a legal person or arrangement; or

c) any situation in which:

(i) a person has the ability in fact to exert a dominant influence over the management or policies of a legal person or arrangement; or

(ii) a majority of the members of the board of directors of a such legal person or arrangement, or any equivalent body, are accustomed or under an obligation, whether formal or informal, to act in accordance with a given person's directions, instructions or wishes in conducting the affairs of the legal person or arrangement.

2.3. ***"GIS"*** refers to the General Information Sheet.

SECTION 3. Disclosure of Beneficial Ownership. - To ensure timely access to adequate, accurate and current information on the beneficial ownership and control of SEC registered corporations, all SEC registered corporations are required to disclose their beneficial owners as defined herein. Accordingly, the GIS is hereby revised to include such information.

The following information on the beneficial owner shall be provided, to wit:

a. Complete name which shall include the surname, given name, middle name and name extension (i.e., Jr., Sr., III);

b. Specific residential address;

c. Nationality;

d. Tax identification number; and

e. Percentage of ownership, if applicable.

This requirement on the disclosure of beneficial ownership shall be initially complied with beginning 01 January 2019.

SECTION 4. Determination of Beneficial Ownership. - Where a corporation is owned through multiple layers, any intermediate layers of the company's ownership structure should be fully identified. Such information shall be declared in the GIS and illustrated in an ownership chart to be attached thereto clearly showing the intermediate layers with their respective ownership amounts.

SECTION 5. Updating of Beneficial Ownership Information. – The SEC shall be timely apprised of all relevant changes in the submitted beneficial ownership information contained in the GIS as they arise. An updated GIS shall be submitted to the SEC within seven (7) days after such change occurred or became effective.

SECTION 6. Validating Information. – The Commission shall validate the beneficial ownership information provided in the GIS through an on-site inspection of the books and records of the corporations and/or through other means available.

SECTION 7. Effectivity. – This Circular shall take effect immediately after its publication in a national newspaper of general circulation.

Pasay City, Philippines, 27 November 2018.

FOR THE COMMISSION:

EMILIO B. AQUINO
Chairperson

GENERAL INFORMATION SHEET (GIS)

FOR THE YEAR _____

STOCK CORPORATION

GENERAL INSTRUCTIONS:

1. FOR USER CORPORATION: THIS GIS SHOULD BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE DATE OF THE ANNUAL STOCKHOLDERS' MEETING. **DO NOT LEAVE ANY ITEM BLANK.** WRITE "N.A." IF THE INFORMATION REQUIRED IS NOT APPLICABLE TO THE CORPORATION OR "NONE" IF THE INFORMATION IS NON-EXISTENT. IF THE ANNUAL STOCKHOLDERS' MEETING IS HELD ON A DATE OTHER THAN THAT STATED IN THE BY-LAWS, THE GIS SHALL BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE ACTUAL DATE OF THE ANNUAL STOCKHOLDERS' MEETING.
2. IF NO MEETING IS HELD, THE CORPORATION SHALL SUBMIT THE GIS NOT LATER THAN JANUARY 30 OF THE FOLLOWING YEAR. HOWEVER, SHOULD AN ANNUAL STOCKHOLDERS' MEETING BE HELD THEREAFTER, A NEW GIS SHALL BE SUBMITTED/FILED.
3. THIS GIS SHALL BE ACCOMPLISHED IN ENGLISH AND CERTIFIED AND SWORN TO BY THE CORPORATE SECRETARY OF THE CORPORATION.
4. THE SEC SHOULD BE TIMELY APPRISED OF RELEVANT CHANGES IN THE SUBMITTED INFORMATION AS THEY ARISE. FOR CHANGES RESULTING FROM ACTIONS THAT AROSE BETWEEN THE ANNUAL MEETINGS, THE CORPORATION SHALL SUBMIT ONLY THE AFFECTED PAGE OF THE GIS THAT RELATES TO THE NEW INFORMATION TOGETHER WITH A COVER LETTER SIGNED BY THE CORPORATE SECRETARY OF THE CORPORATION. THE PAGE OF THE GIS AND COVER LETTER SHALL BE SUBMITTED WITHIN SEVEN (7) DAYS AFTER SUCH CHANGE OCCURRED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE CENTRAL RECEIVING SECTION, GROUND FLOOR, SEC BLDG., EDSA, MANDALUYONG CITY. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER WITH A STANDARD COVER PAGE. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE. CORPORATIONS SUBMITTING A COPY OF THEIR GIS ONLINE OR VIA INTERNET SHALL SUBMIT ONE (1) HARD COPY OF THE GIS, TOGETHER WITH A CERTIFICATION UNDER OATH BY ITS CORPORATE SECRETARY THAT THE COPY SUBMITTED ONLINE CONTAINS THE EXACT DATA IN THE HARD COPY.
6. **ONLY THE GIS ACCOMPLISHED IN ACCORDANCE WITH THESE INSTRUCTIONS SHALL BE CONSIDERED AS HAVING BEEN FILED.**
7. THIS GIS MAY BE USED AS EVIDENCE AGAINST THE CORPORATION AND ITS RESPONSIBLE DIRECTORS/OFFICERS FOR ANY VIOLATION OF EXISTING LAWS, RULES AND REGULATIONS

========== PLEASE PRINT LEGIBLY ==========

CORPORATE NAME:	**DATE REGISTERED:**
BUSINESS/TRADE NAME:	**FISCAL YEAR END:**
SEC REGISTRATION NUMBER:	
DATE OF ANNUAL MEETING PER BY-LAWS:	**CORPORATE TAX IDENTIFICATION NUMBER (TIN)**
ACTUAL DATE OF ANNUAL MEETING:	**WEBSITE/URL ADDRESS:**
COMPLETE PRINCIPAL OFFICE ADDRESS:	**E-MAIL ADDRESS:**
COMPLETE BUSINESS ADDRESS:	**FAX NUMBER:**
NAME OF EXTERNAL AUDITOR & ITS SIGNING PARTNER: **SEC ACCREDITATION NUMBER (if applicable):**	**TELEPHONE NUMBER(S):**

PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGED IN:	**INDUSTRY CLASSIFICATION:**	**GEOGRAPHICAL CODE:**

========== INTERCOMPANY AFFILIATIONS ==========

PARENT COMPANY	*SEC REGISTRATION NO.*	*ADDRESS*
SUBSIDIARY/AFFILIATE	**SEC REGISTRATION NO.**	**ADDRESS**

NOTE: USE ADDITIONAL SHEET IF NECESSARY

GENERAL INFORMATION SHEET

STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

Corporate Name:

A. Is the Corporation a covered person under the Anti Money Laundering Act (AMLA), as amended? (Rep. Acts. 9160/9164/10167/10365) ○ Yes ○ No

Please check the appropriate box:

1.

- ☐ a. Banks
- ☐ b. Offshore Banking Units
- ☐ c. Quasi-Banks
- ☐ d. Trust Entities
- ☐ e. Non-Stock Savings and Loan Associations
- ☐ f. Pawnshops
- ☐ g. Foreign Exchage Dealers
- ☐ h. Money Changers
- ☐ i. Remittance Agents
- ☐ j. Electronic Money Issuers
- ☐ k. Financial Institutions which Under Special Laws are subject to Bangko Sentral ng Pilipinas' (BSP) supervision and/or regulation, including their subsidiaries and affiliates.

2.

- ☐ a. Insurance Companies
- ☐ b. Insurance Agents
- ☐ c. Insurance Brokers
- ☐ d. Professional Reinsurers
- ☐ e. Reinsurance Brokers
- ☐ f. Holding Companies
- ☐ g. Holding Company Systems
- ☐ h. Pre-need Companies
- ☐ i. Mutual Benefit Association
- ☐ j. All Other Persons and entities supervised and/or regulated by the Insurance Commission (IC)

3.

- ☐ a. Securities Dealers
- ☐ b. Securities Brokers
- ☐ c. Securities Salesman
- ☐ d. Investment Houses
- ☐ e. Investment Agents and Consultants
- ☐ f. Trading Advisors
- ☐ g. Other entities managing Securities or rendering similar services
- ☐ h. Mutual Funds or Open-end Investment Companies
- ☐ i. Close-end Investment Companies
- ☐ j. Common Trust Funds or Issuers and other similar entities
- ☐ k. Transfer Companies and other similar entities
- ☐ l. Other entities administering or otherwise dealing in currency, commodities or financial derivatives based there on
- ☐ m. Entities administering of otherwise dealing in valuable objects
- ☐ n. Entities administering or otherwise dealing in cash Substitutes and other similar monetary instruments or property supervised and/or regulated by the Securities and Exchange Commission (SEC)

4. ☐ Jewelry dealers in precious metals, who, as a business, trade in precious metals

5. ☐ Jewelry dealers in precious stones, who, as a business, trade in precious stone

6. Company service providers which, as a business, provide any of the following services to third parties:

- ☐ a. acting as a formation agent of juridical persons
- ☐ b. acting as (or arranging for another person to act as) a director or corporate secretary of a company, a partner of a partnership, or a similar position in relation to other juridical persons
- ☐ c. providing a registered office, business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or arrangement
- ☐ d. acting as (or arranging for another person to act as) a nominee shareholder for another person

7. Persons who provide any of the following services:

- ☐ a. managing of client money, securities or other assets
- ☐ b. management of bank, savings or securities accounts
- ☐ c. organization of contributions for the creation, operation or management of companies
- ☐ d. creation, operation or management of juridical persons or arrangements, and buying and selling business entities

8. ☐ None of the above

Describe nature of business:

B. Has the Corporation complied with the requirements on Customer Due Diligence (CDD) or Know Your Customer (KYC), record-keeping, and submission of reports under the AMLA, as amended, since the last filing of its GIS? ○ Yes ○ No

GENERAL INFORMATION SHEET
STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

CORPORATE NAME:

CAPITAL STRUCTURE

AUTHORIZED CAPITAL STOCK

	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP) (No. of shares X Par/Stated Value)
	TOTAL		TOTAL P	

SUBSCRIBED CAPITAL

FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
	TOTAL			TOTAL	TOTAL P		

FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
Percentage of Foreign Equity :	TOTAL			TOTAL	TOTAL P		
					TOTAL SUBSCRIBED P		

PAID-UP CAPITAL

FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
	TOTAL			TOTAL P		

FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
	TOTAL			TOTAL P		
				TOTAL PAID-UP P		

NOTE: USE ADDITIONAL SHEET IF NECESSARY

* Common, Preferred or other classification

** Other than Directors, Officers, Shareholders owning 10% of outstanding shares.

GENERAL INFORMATION SHEET

STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

CORPORATE NAME:

DIRECTORS / OFFICERS

NAME/CURRENT RESIDENTIAL ADDRESS	NATIONALITY	INC'R	BOARD	GENDER	STOCK HOLDER	OFFICER	EXEC. COMM.	TAX IDENTIFICATION NUMBER
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								
9.								
10.								
11.								
12.								
13.								
14.								
15.								

INSTRUCTION:

FOR SEX COLUMN, PUT "F" FOR FEMALE, "M" FOR MALE.
FOR BOARD COLUMN, PUT "C" FOR CHAIRMAN, "M" FOR MEMBER, "I" FOR INDEPENDENT DIRECTOR.
FOR INC'R COLUMN, PUT "Y" IF AN INCORPORATOR, "N" IF NOT.
FOR STOCKHOLDER COLUMN, PUT "Y" IF A STOCKHOLDER, "N" IF NOT.
FOR OFFICER COLUMN, INDICATE PARTICULAR POSITION IF AN OFFICER, FROM VP UP INCLUDING THE POSITION OF THE TREASURER, SECRETARY, COMPLIANCE OFFICER AND/OR ASSOCIATED PERSON.
FOR EXECUTIVE COMMITTEE, INDICATE "C" IF MEMBER OF THE COMPENSATION COMMITTEE; "A" FOR AUDIT COMMITTEE; "N" FOR NOMINATION AND ELECTION COMMITTEE. ADDITIONALLY WRITE "C" AFTER SLASH IF CHAIRMAN AND "M" IF MEMBER.

GENERAL INFORMATION SHEET

STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

CORPORATE NAME:

TOTAL NUMBER OF STOCKHOLDERS:	**NO. OF STOCKHOLDERS WITH 100 OR MORE SH.**

TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:

STOCKHOLDER'S INFORMATION

NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	**SHARES SUBSCRIBED**				**AMOUNT PAID (PhP)**	**TAX IDENTIFICATION NUMBER**
	TYPE	**NUMBER**	**AMOUNT (PhP)**	**% OF OWNER-SHIP**		
1						
	TOTAL					
2.						
	TOTAL					
3.						
	TOTAL					
4.						
	TOTAL					
5.						
	TOTAL					
6.						
	TOTAL					
7.						
	TOTAL					
TOTAL AMOUNT OF SUBSCRIBED CAPITAL				**0.00%**	**0.00**	
TOTAL AMOUNT OF PAID-UP CAPITAL						

INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS

Note: For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.

GENERAL INFORMATION SHEET

STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

CORPORATE NAME:	
TOTAL NUMBER OF STOCKHOLDERS:	NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:
TOTAL ASSETS BASED ON LATEST AUDITED FS:	

STOCKHOLDER'S INFORMATION

NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFCATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER-SHIP		
8.						
	TOTAL					
9.						
	TOTAL					
10.						
	TOTAL					
11.						
	TOTAL					
12.						
	TOTAL					
13.						
	TOTAL					
14.						
	TOTAL					
TOTAL AMOUNT OF SUBSCRIBED CAPITAL				0.00%	0.00	
TOTAL AMOUNT OF PAID-UP CAPITAL						

INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS

Note: *For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.*

GENERAL INFORMATION SHEET

STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

CORPORATE NAME:						
TOTAL NUMBER OF STOCKHOLDERS:			NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:			
TOTAL ASSETS BASED ON LATEST AUDITED FS:						
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER-SHIP		
15.						
	TOTAL					
16.						
	TOTAL					
17.						
	TOTAL					
18.						
	TOTAL					
19.						
	TOTAL					
20.						
	TOTAL					
21. OTHERS (Indicate the number of the remaining stockholders)						
	TOTAL					
TOTAL AMOUNT OF SUBSCRIBED CAPITAL				0.00%	0.00	
TOTAL AMOUNT OF PAID-UP CAPITAL						

INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS

Note: ***For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.***

GENERAL INFORMATION SHEET

STOCK CORPORATION

PLEASE PRINT LEGIBLY

CORPORATE NAME:

1. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION	AMOUNT (PhP)	DATE OF BOARD RESOLUTION
1.1 STOCKS		
1.2 BONDS/COMMERCIAL PAPER (Issued by Private Corporations)		
1.3 LOANS/ CREDITS/ ADVANCES		
1.4 GOVERNMENT TREASURY BILLS		
1.5 OTHERS		

2. INVESTMENT OF CORPORATE FUNDS IN ACTIVITIES UNDER ITS SECONDARY PURPOSES (PLEASE SPECIFY:)	DATE OF BOARD RESOLUTION	DATE OF STOCKHOLDERS RATIFICATION

3. TREASURY SHARES	NO. OF SHARES	% AS TO THE TOTAL NO. OF SHARES ISSUED

4. UNRESTRICTED/UNAPPROPRIATED RETAINED EARNINGS AS OF END OF LAST FISCAL YEAR

5. DIVIDENDS DECLARED DURING THE IMMEDIATELY PRECEDING YEAR:

TYPE OF DIVIDEND	AMOUNT (PhP)	DATE DECLARED
5.1 CASH		
5.2 STOCK		
5.3 PROPERTY		
TOTAL	P	

6. ADDITIONAL SHARES ISSUED DURING THE PERIOD:

DATE	NO. OF SHARES	AMOUNT

SECONDARY LICENSE/REGISTRATION WITH SEC AND OTHER GOV'T AGENCY:

NAME OF AGENCY:	SEC	B S P	I C
TYPE OF LICENSE/REGN.			
DATE ISSUED:			
DATE STARTED OPERATIONS:			

TOTAL ANNUAL COMPENSATION OF DIRECTORS DURING THE PRECEDING FISCAL YEAR (in PhP)	TOTAL NO. OF OFFICERS	TOTAL NO. OF RANK & FILE EMPLOYEES	TOTAL MANPOWER COMPLEMENT

NOTE: USE ADDITIONAL SHEET IF NECESSARY

BENEFICIAL OWNERSHIP DECLARATION

A. Natural person who ultimately owns or controls the corporation:

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension [i.e., Jr., Sr., III])	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	% OF OWNERSHIP	TAX IDENTIFICATION NO.

B. Natural person who exercises ultimate effective control[1] over the corporation:

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension [i.e., Jr., Sr., III])	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	% OF OWNERSHIP	TAX IDENTIFICATION NO.

CORPORATE STOCKHOLDERS:[2]

ULTIMATE BENEFICIAL OWNER (3)

CORPORATE NAME AND BUSINESS/TRADE NAME	COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension[i.e., Jr., Sr., III])	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	% OF OWNERSHIP	TAX IDENTIFICATION NO.

OTHER STOCKHOLDERS:

A. PARTNERSHIPS

ULTIMATE BENEFICIAL OWNER[4]

PARTNERSHIP NAME	COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension[i.e., Jr., Sr., III])	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	% OF OWNERSHIP	TAX IDENTIFICATION NO.

B. TRUSTS

ULTIMATE BENEFICIAL OWNER[5]

NAME	COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension[i.e., Jr., Sr., III])	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	% OF OWNERSHIP	TAX IDENTIFICATION NO.

1. Refer to the definition of ultimate effective control under Section 2.2. of SEC Memorandum Circular No. 17, series of 2018. 2. Indicate the intermediate layers of the company's ownership structure, if any, in a separate sheet and attach an ownership chart clearly showing the intermediate layers with their respective ownership amounts. 3. Refer to the definition of beneficial owner under Sections 2.1 and 2.2. of SEC Memorandum Circular No. 17, series of 2018. 4. Refers to the natural person who ultimately owns or controls the partnership or who exercises ultimate effective control over the partnership.
5. Identity of the persons who control the trust and make the investment decisions; trust beneficiaries and the trustee; and individuals who furnish funds into the trust.

I, _____, Corporate Secretary of _____ declare under penalty of perjury that all matters set forth in this GIS have been duly verified by me and to the best of my knowledge and belief are true and correct.

By indicating herein the personal information of the incorporators, stockholders, directors, officers, beneficial owners, external auditor, notary public and their agents, I attest that the aforementioned persons authorize the SEC to: (1) collect, process and store their personal information through the GIS forms and related documents, for the period allowed under the applicable laws and regulations; and (2) share with and make available the GIS to interested parties in order to pursue lawful purposes and legitimate interests, and comply with legal mandate.

I also attest that the company and the aforementioned persons authorized the undersigned to file this GIS with SEC, and the information provided herein are true, accurate, timely and complete.

I further attest that they are aware of their rights under the Data Privacy Act, including the right to be informed, to access, to object, to erasure or blocking, to damages, to file a complaint, to rectify and to data portability, and understand that there are procedures, conditions and exceptions to be complied with in order to exercise or invoke such rights.

I likewise understand that the failure of the corporation to file this GIS for five (5) consecutive years shall be construed as non-operation of the corporation and a ground for the revocation of the corporations' certificate of incorporation in this eventuality, the corporation hereby waives its right to hearing for the said revocation.

Done this _____ day of _____, 20 ____ in _____.

_____
(Signature over printed name)

SUBSCRIBED AND SWORN TO before me in _____ on _____ by affiant who personally appeared before me and exhibited to me his/her competent evidence of identity consisting of _____ issued at _____ on _____.

NOTARY PUBLIC

GENERAL INFORMATION SHEET (GIS)

NON-STOCK CORPORATION

FOR THE YEAR _____

GENERAL INSTRUCTIONS:

1. FOR USER CORPORATION: THIS GIS SHALL BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE DATE OF THE ANNUAL MEMBERS' MEETING AS STATED IN THE BY-LAWS. **DO NOT LEAVE ANY ITEM BLANK.** WRITE "N.A." IF THE INFORMATION REQUIRED IS NOT APPLICABLE TO THE CORPORATION OR "NONE" IF THE INFORMATION IS NON-EXISTENT.IF THE ANNUAL MEMBERS' MEETING IS HELD ON A DATE OTHER THAT THAT STATED IN THE BY-LAWS, THE GIS SHALL BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE ACTUAL DATE OF THE ANNUAL MEMBERS' MEETING.
2. IF NO MEETING IS HELD, THE CORPORATION SHALL SUBMIT THE GIS NOT LATER THAN JANUARY 30 OF THE FOLLOWING YEAR. HOWEVER, SHOULD AN ANNUAL MEMBERS' MEETING BE HELD THEREAFTER, A NEW GIS SHALL BE SUBMITTED/FILED.
3. THIS GIS SHALL BE ACCOMPLISHED IN ENGLISH AND CERTIFIED AND SWORN TO BY THE CORPORATE SECRETARY OF THE CORPORATION.
4. ALL CHANGES ARISING BETWEEN ANNUAL MEETINGS AND AFFECTING THE INFORMATION STATED IN THE GIS, SUCH AS THE DEATH, RESIGNATION OR CESSATION OF HOLDING OF OFFICE OF A DIRECTOR, TRUSTEE, OR OFFICER, SHALL BE REFLECTED IN AN AMENDED GIS LABELED AS SUCH AND THE CHANGES CLEARLY HIGHLIGHTED. THE AMENDED GIS SHALL BE SUBMITTED WITHIN THIRTY [30] DAYS AFTER SUCH CHANGES OCCURRED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE CENTRAL RECEIVING SECTION, GROUND FLOOR, SEC BLDG., EDSA, MANDALUYONG CITY. ALL COPIES SHALL BE ON A4 OR LETTER-SIZE PAPER WITH THE STANDARD COVER SHEET. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE. CORPORATIONS SUBMITTING A SOFT COPY OF THEIR GIS SHALL SUBMIT THREE (3) HARD COPIES OF THE GIS, TOGETHER WITH A CERTIFICATION UNDER OATH BY ITS PRESIDENT, CHIEF EXECUTIVE OFFICER, OR CORPORATE SECRETARY THAT THE SOFT COPY CONTAINS THE EXACT DATA IN THE HARD COPIES.
6. **ONLY THE GIS ACCOMPLISHED IN ACCORDANCE WITH THESE INSTRUCTIONS SHALL BE CONSIDERED AS COMPLIANT WITH EXISTING RULES AND REGULATIONS.**
7. THIS GIS MAY BE USED AS EVIDENCE AGAINST THE CORPORATION AND ITS RESPONSIBLE DIRECTORS/TRUSTEES/OFFICERS FOR ANY VIOLATION OF EXISTING LAWS, RULES AND REGULATIONS

========== **PLEASE PRINT LEGIBLY** ==========

CORPORATE NAME:		**DATE REGISTERED:**
BUSINESS/ TRADE NAME		**FISCAL YEAR END:**
SEC REGISTRATION NUMBER:		**CORPORATE TAX IDENTIFICATION NUMBER (TIN):**
DATE OF ANNUAL MEETING PER BY-LAWS:		**WEBSITE/URL ADDRESS:**
DATE OF ACTUAL MEETING:		**EMAIL ADDRESS:**
COMPLETE PRINCIPAL OFFICE ADDRESS:		**TELEPHONE NUMBER(S):**
COMPLETE BUSINESS ADDRESS:		**FAX NUMBER(S):**
PRIMARY PURPOSE ENGAGED IN:		

NAME OF EXTERNAL AUDITOR & SIGNING PARTNER:		**SEC ACCREDITATION NUMBER:**	**TELEPHONE NUMBER(S):**

IF ENGAGED IN MICROFINANCE BUSINESS, CHECK SERVICES

..... Deposits	..... Insurance Products
..... Loans	..... Payment Services
..... Money Transfer	..... Others

TO BE FILLED UP BY SEC PERSONNEL:

INDUSTRY CLASSIFICATION CODE:	**NATIONAL GEOGRAPHICAL CODE (NGC):**

GENERAL INFORMATION SHEET

NON-STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

orporate Name:

A. Is the Corporation a covered person under the Anti Money Laundering Act (AMLA), as amended? (Rep. Acts. 9160/9164/10167/10365) ○ Yes ◉ No

lease check the appropriate box:

1.

- ☐ a. Banks
- ☐ b. Offshore Banking Units
- ☐ c. Quasi-Banks
- ☐ d. Trust Entities
- ☐ e. Non-Stock Savings and Loan Associations
- ☐ f. Pawnshops
- ☐ g. Foreign Exchage Dealers
- ☐ h. Money Changers
- ☐ i. Remittance Agents
- ☐ j. Electronic Money Issuers
- ☐ k. Financial Institutions which Under Special Laws are subject to Bangko Sentral ng Pilipinas' (BSP) supervision and/or regulation, including their subsidiaries and affiliates.

2.

- ☐ a. Insurance Companies
- ☐ b. Insurance Agents
- ☐ c. Insurance Brokers
- ☐ d. Professional Reinsurers
- ☐ e. Reinsurance Brokers
- ☐ f. Holding Companies
- ☐ g. Holding Company Systems
- ☐ h. Pre-need Companies
- ☐ i. Mutual Benefit Association
- ☐ j. All Other Persons and entities supervised and/or regulated by the Insurance Commission (IC)

3.

- ☐ a. Securities Dealers
- ☐ b. Securities Brokers
- ☐ c. Securities Salesman
- ☐
- ☐ d. Investment Houses
- ☐ e. Investment Agents and Consultants
- ☐ f. Trading Advisors
- ☐ g. Other entities managing Securities or rendering similar services
- ☐ h. Mutual Funds or Open-end Investment Companies
- ☐ i. Close-end Investment Companies
- ☐ j. Common Trust Funds or Issuers and other similar entities
- ☐ k. Transfer Companies and other similar entities
- ☐ l. Other entities administering or otherwise dealing in currency, commodities or financial derivatives based there on
- ☐ m. Entities administering of otherwise dealing in valuable objects
- ☐ n. Entities administering or otherwise dealing in cash Substitutes and other similar monetary instruments or property supervised and/or regulated by the Securities and Exchange Commission (SEC)

4. ☐ Jewelry dealers in precious metals, who, as a business, trade in precious metals

5. ☐ Jewelry dealers in precious stones, who, as a business, trade in precious stone

6. Company service providers which, as a business, provide any of the following services to third parties:

- ☐ a. acting as a formation agent of juridical persons
- ☐ b. acting as (or arranging for another person to act as) a director or corporate secretary of a company, a partner of a partnership, or a similar position in relation to other juridical persons
- ☐ c. providing a registered office, business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or arrangement
- ☐ d. acting as (or arranging for another person to act as) a nominee shareholder for another person

7. Persons who provide any of the following services:

- ☐ a. managing of client money, securities or other assets
- ☐ b. management of bank, savings or securities accounts
- ☐ c. organization of contributions for the creation, operation or management of companies
- ☐ d. creation, operation or management of juridical persons or arrangements, and buying and selling business entities

8. ☐ None of the above

Describe nature of business:

B. Has the Corporation complied with the requirements on Customer Due Diligence (CDD) or Know Your Customer (KYC), record-keeping, and submission of reports under the AMLA, as amended, since the last filing of its GIS? ○ Yes ◉ No

GENERAL INFORMATION SHEET

NON-STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

CORPORATE NAME:

DIRECTORS / OFFICERS

NAME AND CURRENT RESIDENTIAL ADDRESS	NATIONALITY	INCORPORATOR	BOARD	SEX	OFFICER	TAX IDENTIFICATION NUMBER
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						
15.						

INSTRUCTIONS:

FOR SEX COLUMN, PUT "F" FOR FEMALE,"M" FOR MALE.
FOR INCORPORATOR COLUMN, PUT "Y" IF AN INCORPORATOR, "N" IF NOT.
FOR BOARD COLUMN, PUT "C" FOR CHAIRMAN, "M" FOR MEMBER.
FOR OFFICER COLUMN, INDICATE PARTICULAR POSITION IF AN OFFICER, SUCH AS:

PRE-PRESIDENT — CEO - CHIEF EXEC. OFFICER — CFO - TREASURER
COO - CHIEF OPERATING OFFICER — COS - CORPORATE SECRETARY — LEG - LEGAL COUNSEL
AUD - EXTERNAL AUDITOR — GOV - GOVERNMENT REPRESENTATIVE — OTR - OTHERS — N - NONE

GENERAL INFORMATION SHEET

NON-STOCK CORPORATION

========== PLEASE PRINT LEGIBLY ==========

CORPORATE NAME:

1. INTERCOMPANY AFFILIATIONS

PARENT COMPANY	SEC REG. NO.	ADDRESS
AFFILIATE	**SEC REG. NO.**	**ADDRESS**

NOTE: USE ADDITIONAL SHEET IF NECESSARY

2. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION	AMOUNT (*in* PhP)	DATE OF BOARD RESOLUTION
2.1 STOCKS		
2.2 BONDS/COMMERCIAL PAPER (issued by private corporations)		
2.3 LOANS/ CREDITS/ ADVANCES		
2.4 GOVERNMENT TREASURY BILLS		
2.5 OTHERS		

3. INVESTMENT OF CORPORATE FUNDS IN ACTIVITIES UNDER ITS SECONDARY PURPOSES (PLEASE SPECIFY:)	DATE OF BOARD RESOLUTION	DATE OF MEMBERS' RATIFICATION
3.1		
3.2		
3.3		
3.4		
3.5		

4. FUND BALANCE *(in PhP)*:

5. SECONDARY LICENSE/REGISTRATION/AUTHORITY/ACCREDITATION OTHER GOVERNMENT AGENCY:

5.1 NAME OF AGENCY:	BANGKO SENTRAL NG PILIPINAS	INSURANCE COMMISSION	DEPARTMENT OF EDUCATION	COMMISSION ON HIGHER EDUCATION	TECHNICAL EDUCATION AND SKILLS DEVELOPMENT AUTHORITY	DEPARTMENT OF SOCIAL WELFARE AND DEVELOPMENT
5.2 DATE ISSUED:						
5.3 DATE STARTED OPERATIONS:						

6.TOTAL ANNUAL COMPENSATION OF DIRECTORS/TRUSTEES DURING THE PRECEDING FISCAL YEAR (in PhP)	7. TOTAL NO. OF OFFICERS	8. TOTAL NO. OF RANK & FILE EMPLOYEES	9. TOTAL MANPOWER COMPLEMENT

NOTE: USE ADDITIONAL SHEET IF NECESSARY

BENEFICIAL OWNERSHIP DECLARATION

A. Natural person who ultimately owns or controls the corporation:

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension [i.e., Jr., Sr., III])	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	TAX IDENTIFICATION NO.

B. Natural person who exercises ultimate effective control[1] over the corporation:

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension [i.e., Jr., Sr., III])	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	TAX IDENTIFICATION NO.

CORPORATE CONTRIBUTORS/DONORS:[2]

ULTIMATE BENEFICIAL OWNER (3)

CORPORATE NAME AND BUSINESS/TRADE NAME	COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension[i.e., Jr., Sr., III])	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	TAX IDENTIFICATION NO.

OTHER CONTRIBUTORS/DONORS:

A. PARTNERSHIPS

ULTIMATE BENEFICIAL OWNER[4]

PARTNERSHIP NAME	COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension[i.e., Jr., Sr.,	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	TAX IDENTIFICATION NO.

B. TRUSTS

ULTIMATE BENEFICIAL OWNER[5]

NAME	COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension[i.e., Jr., Sr.,	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	TAX IDENTIFICATION NO.

1. Refer to the definition of ultimate effective control , as may be applicable, under Section 2.2. of SEC Memorandum Circular No. 17, series of 2018.
2. Indicate the intermediate layers of the company's ownership structure, if any, in a separate sheet and attach an ownership chart clearly showing the intermediate layers with their respective ownership amounts.
3. Refer to the definition of beneficial owner under Sections 2.1 and 2.2. of SEC Memorandum Circular No. 17, series of 2018.
4. Refers to the natural person who ultimately owns or controls the partnership or who exercises ultimate effective control over the partnership.
5. Identity of the persons who control the trust and make the investment decisions; trust beneficiaries and the trustee; and individuals who furnish funds into the trust.

I, _____, Corporate Secretary of _____ declare under penalty of perjury that all matters set forth in this GIS have been duly verified by me and to the best of my knowledge and belief are true and correct.

By indicating herein the personal information of the incorporators, stockholders, directors, officers, beneficial owners, external auditor, notary public and their agents, I attest that the aforementioned persons authorize the SEC to: (1) collect, process and store their personal information through the GIS forms and related documents, for the period allowed under the applicable laws and regulations; and (2) share with and make available the GIS to interested parties in order to pursue lawful purposes and legitimate interests, and comply with legal mandate.

I also attest that the company and the aforementioned persons authorized the undersigned to file this GIS with SEC, and the information provided herein are true, accurate, timely and complete.

I further attest that they are aware of their rights under the Data Privacy Act, including the right to be informed, to access, to object, to erasure or blocking, to damages, to file a complaint, to rectify and to data portability, and understand that there are procedures, conditions and exceptions to be complied with in order to exercise or invoke such rights.

I likewise understand that the failure of the corporation to file this GIS for five (5) consecutive years shall be construed as non-operation of the corporation and a ground for the revocation of the corporations' certificate of incorporation in this eventuality, the corporation hereby waives its right to hearing for the said revocation.

Done this _____ day of _____, 20 ____ in _____.

_____
(Signature over printed name)

SUBSCRIBED AND SWORN TO before me in _____ on _____ by affiant who

NOTARY PUBLIC