Securities and Exchange Commission
PHILIPPINES

SEC MEMORANDUM CIRCULAR NO. 15
Series of 2019

TO: **ALL SEC REGISTERED DOMESTIC CORPORATIONS REQUIRED TO SUBMIT THE GENERAL INFORMATION SHEET (GIS)**

SUBJECT: **AMENDMENT OF SEC MEMORANDUM CIRCULAR NO. 17, SERIES OF 2018 ON THE REVISION OF THE GENERAL INFORMATION SHEET (GIS) TO INCLUDE BENEFICIAL OWNERSHIP INFORMATION *("2019 REVISION OF THE GIS")***

By the authority vested in the Securities and Exchange Commission (SEC) under Republic Act No. 11232 otherwise known as the Revised Corporation Code of the Philippines (RCC) and pursuant to its mandate to assist in the implementation of the Anti-Money Laundering Act (AMLA), as amended, and the Terrorist Financing Prevention and Suppression Act (TFPSA) and their respective Implementing Rules and Regulations, the Commission *En Banc* in its meeting on 09 July 2019 approved the herein amended version of SEC Memorandum Circular No. 17, Series of 2018 on the Revision of the General Information Sheet (GIS) to Include Beneficial Ownership Information.

SECTION 1. Coverage. This Memorandum Circular shall apply to all SEC registered stock and non-stock domestic corporations required to submit the GIS under existing laws, rules and regulations.

SECTION 2. Definition of Terms. –

2.1. ***"Beneficial Owner"*** refers to any natural person(s) who ultimately own(s) or control(s) or exercise(s) ultimate effective control over the corporation. This definition covers the natural person(s) who actually own or control the corporation as distinguished from the legal owners as defined herein. Such beneficial ownership may be determined on the basis of the following:

Category	Description
A	Natural person(s) owning, directly or indirectly or through a chain of ownership, at least twenty-five percent (25%) of the voting rights, voting shares or capital of the reporting corporation. This is without prejudice to ownership thresholds that may be imposed by other regulators.
B	Natural person(s) who exercise control over the reporting corporation, alone or together with others, through any contract, understanding, relationship, intermediary or tiered entity.
C	Natural person(s) having the ability to elect a majority of the board of directors/trustees, or any similar body, of the corporation.
D	Natural person(s) having the ability to exert a dominant influence over the management or policies of the corporation.

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E Natural person(s) whose directions, instructions or wishes in conducting the affairs of the corporation are carried out by majority of the members of the board of directors of such corporation who are accustomed or under an obligation to act in accordance with such person's directions, instructions or wishes.

F Natural person(s) acting as stewards of the properties of corporations, where such properties are under the care or administration of said natural person(s).

G Natural person(s) who actually own or control the reporting corporation through nominee shareholders or nominee directors acting for or on behalf of such natural persons.

H Natural person(s) ultimately owning or controlling or exercising ultimate effective control over the corporation through other means not falling under any of the foregoing categories.

I Natural person(s) exercising control through positions held within a corporation (i.e., responsible for strategic decisions that fundamentally affect the business practices or general direction of the corporation such as the members of the board of directors or trustees or similar body within the corporation; or exercising executive control over the daily or regular affairs of the corporation through a senior management position). This category is only applicable in exceptional cases where no natural person is identifiable who ultimately owns or exerts control over the corporation, the reporting corporation having exhausted all reasonable means of identification and provided there are no grounds for suspicion.

2.2. ***"Beneficial Ownership Information"*** refers to the identification documents or information on the beneficial owner of the corporation as required under this Circular.

2.3. ***"Direct Ownership"*** refers to ownership of shares in the reporting corporation and not through ownership of shares in a corporate shareholder nor any intermediate layers of corporate shareholders.

2.4. ***"Dominant Influence"*** refers to a situation in which the instructions or directions given by any natural person, who may or may not be a stockholder of the reporting corporation, on the management or policies of the corporation, are always or almost always followed or carried out.

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

2.6. ***"Grandfather Rule"*** refers to the "method by which the percentage of Filipino equity in a corporation engaged in nationalized and/or partly nationalized areas of activities, provided for under the Constitution and other nationalization laws, is computed, in cases where corporate shareholders are present, by attributing the nationality of the second or even subsequent tier of ownership to determine the nationality of the corporate shareholder." [1]

For the purpose of this Memorandum Circular, the reference to the Grandfather Rule shall be limited only to the method of computing the percentage of indirect ownership in determining the beneficial owner of the reporting corporation and shall not affect its applicability in determining the nationality of a corporate shareholder.

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[1] Villanueva, Cesar Lapuz, Philippine Corporate Law p. 54, cited in Narra Mining and Development Corp., et al. vs. Redmont Consolidated Mines Corp., G.R. No. 195580, January 28, 2015.

2.7. ***"Indirect Ownership"*** refers to the type of ownership through one's percentage of ownership in a corporate shareholder of a corporation or through layers of corporate shareholders.

2.8. ***"Legal Owner"*** means the natural or juridical person who, in accordance with the pertinent provisions of Philippine law, owns or has the controlling ownership interest over the corporation or has the ability of taking relevant decisions within the corporation and impose those resolutions.

2.9. ***"Multiple Layers"*** refers to the layers of corporations comprising the ownership structure of the reporting corporation.

2.10. ***"Reporting Corporation"*** refers to the corporation submitting or required to submit the GIS to the Commission.

2.11. ***"Senior Managing Official"*** refers to the natural person who exercises executive control over the daily or regular affairs of the corporation through a senior management position, such as a chief executive officer (CEO), chief financial officer (CFO), managing or executive director, or president.

2.12. ***"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 twenty-five percent (25%) of the voting shares or capital of a corporation 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;

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 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.

2.13. ***"Voting right"***, as used in Section 4(i) and Category A under Section 2.1, refers to the right of the members of a Non-Stock Corporation to vote which may be limited, broadened, or denied in the Articles of Incorporation or the By-Laws.

SECTION 3. Disclosure of Beneficial Ownership Information. – To ensure timely access to adequate, accurate and current information on the beneficial ownership and control of SEC registered corporations by competent authorities, all SEC registered corporations are required to take reasonable measures to obtain and hold up-to-date information on their beneficial owners as defined herein and to disclose the same in a timely manner in the GIS. 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. Date of Birth;
d. Nationality;
e. Tax identification number; and
f. Percentage of ownership, if applicable.

Such information, however, shall not be uploaded to the Commission's publicly accessible electronic database. Said information shall, nonetheless, be made accessible or available in a timely manner to competent authorities for law enforcement and other lawful purposes.

SECTION 4. Identification of Beneficial Owner. Beneficial ownership shall be determined as follows:

i. The identity of the natural person(s) who ultimately has controlling ownership interest in the corporation.

For purposes of determining beneficial ownership, any natural person directly or indirectly, or through a chain of ownership, owning at least twenty-five percent (25%) of the voting shares or capital of the corporation, or at least twenty-five percent (25%) of the voting rights therein, as may be applicable, shall be considered as a beneficial owner.

In the event that the entity owning at least twenty-five percent (25%) of the reporting corporation is an estate, trust or partnership, the natural person owning or controlling the estate, trust or partnership shall be disclosed as beneficial owner.

ii. The identity of the natural persons (if any) exercising control of the corporation through other means.

iii. The *identity of the natural persons composing the Board of Directors/Trustees or any similar body and/or the senior managing official of the reporting corporation.*

This is only in exceptional circumstances where no natural person can be identified as ultimately owning or controlling or exercising ultimate effective control over the corporation through controlling ownership interest, controlling voting rights, or through other means. The reporting corporation must be able to show that it has exhausted all other means of identifying the beneficial owner. This is subject to verification and strict monitoring by the Commission.

SECTION 5. Determination of Natural Person Who Ultimately Owns the Corporation Through Indirect Ownership. In determining the natural person(s) who ultimately owns the corporation, the percentage of ownership shall be computed using the methodology applied in the "Grandfather Rule". The natural person(s) who ultimately owns at least twenty-five percent (25%) of the voting shares or capital of the reporting corporation through ownership of shares in a corporate stockholder or through multiple layers of corporate stockholders shall be considered as a Beneficial Owner. To arrive at the actual percentage of beneficial ownership in the reporting corporation, both the direct and indirect shareholdings in the corporation shall be considered.

To guide reporting corporations in determining indirect ownership applying the method used in the Grandfather Rule, an example is attached to this Circular as Annex **"A."**

SECTION 6. Members of the Board of Directors/Trustees or Any Similar Body and/or Senior Managing Official as Beneficial Owner/s in Exceptional Cases. In exceptional cases where no natural person is identifiable who ultimately owns or exerts control over the corporation, the reporting corporation having exhausted all other means of identification and provided there are no grounds for suspicion, may consider the natural persons composing the Board of Directors/Trustees or any similar body and/or the senior managing official of the reporting corporation to be the beneficial owner(s).

In the event that another corporation and not a natural person ultimately owns at least twenty-five percent (25%) of the voting shares or capital of the reporting corporation computed in accordance with the methodology used in the Grandfather Rule, the members of the Board of Director/Trustees or any similar body and/or senior managing official of such corporation may be considered as beneficial owner(s) of the reporting corporation.

It is to be emphasized herein that this will be subject to strict monitoring and verification by the Commission. Any clear indication that this was resorted to despite evidence showing that the corporation has beneficial owner(s) with controlling ownership interest or through other means as defined herein shall be considered as a prima facie evidence of a violation of this Circular and the making of a false statement in the GIS.

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

For corporations with multiple layers of corporate stockholders, an updated GIS shall be submitted within the same seven-day period. In the event that the corporation with such multiple layers fails to do so, it shall submit the updated GIS within thirty (30) working days from the time such change occurred or became effective with an explanation for the failure to submit the same within the prescribed period.

SECTION 8. Obligation of Directors/Trustees and Officers. The Directors/Trustees and Officers of the reporting corporation shall exercise the due diligence required in ensuring that the requirement to disclose its beneficial owner in the GIS is complied with. This due diligence requirement is deemed complied with if reasonable measures are undertaken to obtain and hold updated information on the beneficial owner(s) of the corporation as defined herein and to ensure that such information is timely disclosed in the GIS. Such reasonable measures include the adoption of written procedures for obtaining, updating and recording beneficial ownership information and in timely disclosing the same in the GIS submitted to the Commission by the Corporate Secretary. Board and Senior Management oversight in ensuring that such procedures are observed shall likewise be required as part of the due diligence measures.

SECTION 9. Validating Information – The Commission may, at any reasonable time, verify the beneficial ownership information provided in the GIS through an on-site inspection of the books and records of the corporation and/or through other means available which may include but not limited to information that may be obtained from other sources such as the books and records of other corporate entities and data gathered by law enforcement and other government agencies and/or the Anti-Money Laundering Council (AMLC) in the exercise of their respective functions.

SECTION 10. Modifications in the GIS. For purposes of incorporating the modifications as provided for and adopted in this Circular, the Beneficial Ownership Declaration Page and the Attestation Page in the GIS shall be in the form as appearing in the corresponding pages in **Annex "B" (GIS for Stock Corporations)** and **Annex "C" (GIS for Non-Stock Corporations)** hereof.

SECTION 11. Penalties.

i. **Failure to Disclose.** If after due notice and hearing, the Commission finds that the reporting corporation has committed a violation of this Circular by failing to disclose, without any lawful cause, its Beneficial Owner in accordance with the provisions thereof, the reporting corporation shall be penalized as follows:

For Stock Corporations with retained earnings of less than Php500,000.00:

a. For the first violation.....Php10,000.00
b. For the second violation.....Php20,000.00
c. For the third violation.....Php50,000.00
d. For the fourth and subsequent violations.....Php100,000.00

For Non-Stock Corporations with fund balance of less than Php500,000.00:

a. For the first violation.....Php5,000.00
b. For the second violation.....Php10,000.00
c. For the third violation.....Php20,000.00
d. For the fourth and subsequent violations.....Php50,000.00

For Stock Corporations with retained earnings or Non-Stock Corporations with fund balance of Php500,000.00 or more but less than Php5,000,000.00, the penalties shall be twice the amount of the penalties imposed for those with retained earnings or fund balance of less than Php500,000.00.

For Stock Corporations with retained earnings or Non-Stock Corporations with fund balance of Php5,000,000.00 or more but less than Php10,000,000.00, the penalties shall be thrice the amount imposed for those with retained earnings or fund balance of less than Php500,000.00.

For Stock Corporations with retained earnings or Non-Stock Corporations with fund balance of Php10,000,000.00 or more, the penalties shall be four times the penalties imposed for those with retained earnings or fund balance of less than Php500,000.00.

The failure to submit the GIS with the required beneficial ownership information shall be prima facie proof of such violation.

ii. **Liability of Directors/Trustees and/or Officers of the Corporation.** If the Commission, after due notice and hearing, finds that the directors/trustees and/or officers of the reporting corporation, without any lawful cause, failed to exercise the due diligence required in ensuring compliance with the requirement to disclose beneficial ownership information in accordance with Section 9 hereof resulting in no beneficial owner(s) as defined herein being timely disclosed in the GIS or in the non-submission of the GIS containing such information within the prescribed period, the following penalties shall be imposed upon such directors, trustees and/or officers:

a. For the first violation.....Php5,000.00
b. For the second violation.....Php10,000.00
c. For the third violation.....Php20,000.00
d. For the fourth and subsequent violations.....Php50,000.00

The absence of written procedures and policies for obtaining, updating and recording beneficial ownership information and for the timely disclosure thereof to the Commission, as provided in Section 9 hereof, or the lack of Board or senior management oversight to ensure compliance with such policies and procedures, shall be prima facie proof of the failure to exercise the due diligence required. Every submission of the GIS without the required beneficial ownership information or every instance of non-submission or late submission of such GIS, arising from the failure to exercise the due diligence required, shall be considered as a prima facie violation of the duty to exercise due diligence by said directors/trustees and/or officers.

iii. The foregoing penalties are without prejudice to the imposition of other applicable penalties as provided for under the RCC, SRC and other rules and regulations of the Commission.

SECTION 12. Submission of GIS in Electronic Format. The submission of the GIS in electronic format pursuant to SEC Memorandum Circular No. 6, Series of 2006 is hereby suspended until further notice.

SECTION 13. Submission of the GIS with the Required Beneficial Ownership Information. The GIS Form as provided for in this Circular shall be used by corporations whose GIS are due for submission beginning **31 July 2019**.

SECTION 14. Amendment/Repeal. All rules, regulations, orders, circulars and issuances of the Commission that are inconsistent with this Memorandum Circular are hereby amended and/or repealed accordingly.

SECTION 15. Separability Clause. If any portion or provision of this Circular is declared unconstitutional or invalid, the other portions or provisions hereof, which are not affected thereby shall continue in full force and effect.

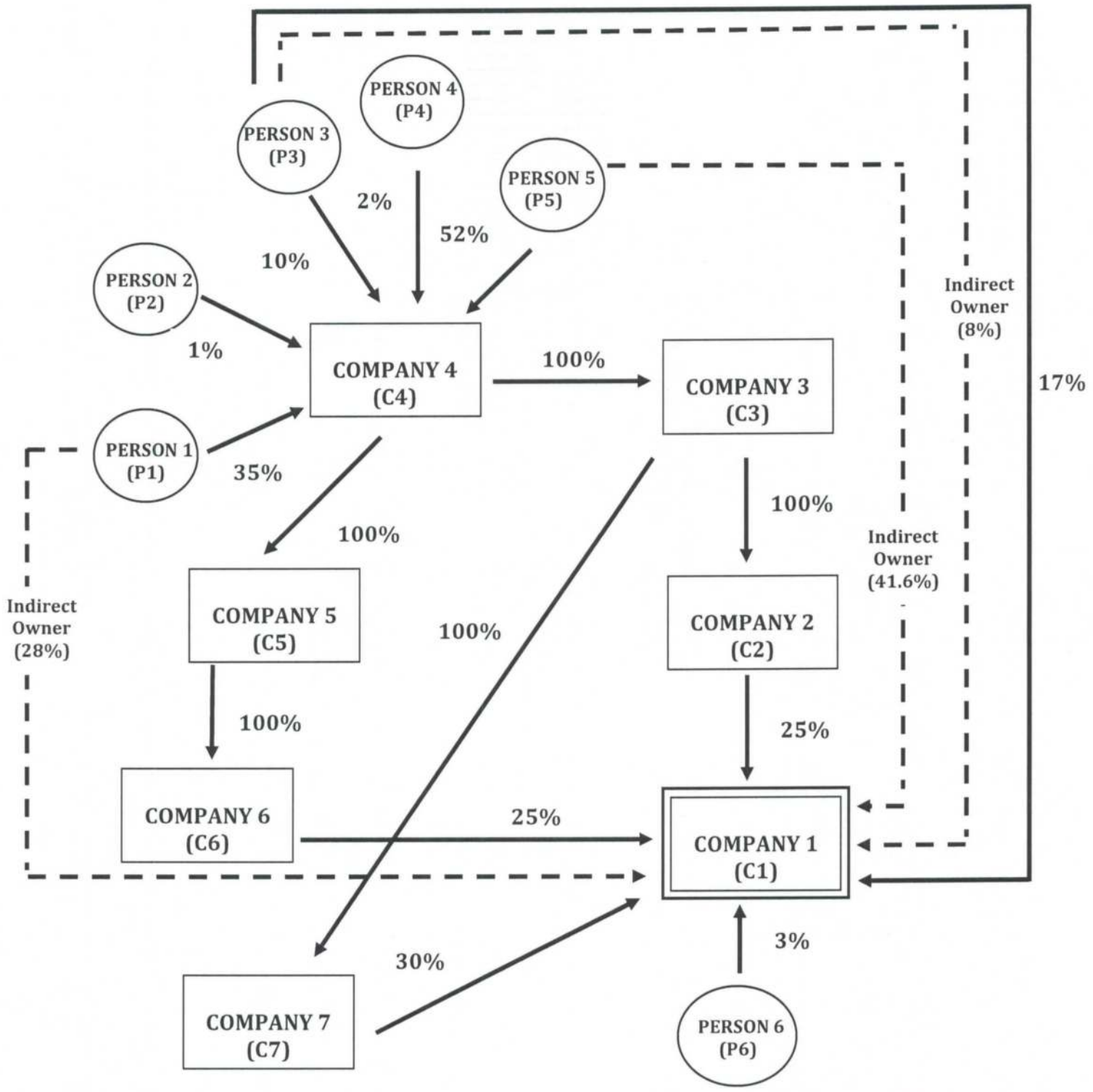
SECTION 16. Effectivity. This Memorandum Circular shall take effect immediately after its publication in two (2) national newspapers of general circulation and its posting in the Commission's website.

Pasay City, Philippines, 26 July 2019.

FOR THE COMMISSION:

EMILIO B. AQUINO
Chairperson

ANNEX "A"



PERSON 1, **PERSON 3** and **PERSON 5** are the beneficial owners of COMPANY 1.	
• **PERSON 1** indirectly owns 28% of COMPANY 1 computed as follows: %P1 x %C4 x %C3 x %C2 = 35% x 100% x 100% x 25% = **8.75% +** %P1 x %C4 x %C3 x %C7 = 35% x 100% x 100% x 30% = **10.50% +** %P1 x %C4 x %C5 x %C6 = 35% x 100% x 100% x 25% = **8.75%** **TOTAL 28.00%**	• **PERSON 5** indirectly owns 41.60% of COMPANY 1 computed as follows: %P5 x %C4 x %C3 x %C2 = 52% x 100% x 100% x 25% = **13.00% +** %P5 x %C4 x %C3 x %C7 = 52% x 100% x 100% x 30% = **15.60% +** %P5 x %C4 x %C5 x %C6 = 52% x 100% x 100% x 25% = **13.00%** **TOTAL 41.60%**

• **PERSON 3** indirectly owns 8% of COMPANY 1 computed as follows:
%P3 x %C4 x %C3 x %C2 = 10% x 100% x 100% x 25% = **2.50% +**
%P3 x %C4 x %C3 x %C7 = 10% x 100% x 100% x 30% = **3.00% +**
%P3 x %C4 x %C5 x %C6 = 10% x 100% x 100% x 25% = **2.50%**
SUBTOTAL 8.00%
PERSON 3 directly owns 12% of COMPANY 1 = **17.00%**
TOTAL 25.00%

GENERAL INFORMATION SHEET (GIS)

ANNEX "B"

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 AFTER THE ELECTION OF THE DIRECTORS, TRUSTEES AND OFFICERS OF THE CORPORATION AT 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 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 AMENDED GIS CONTAINING THE NEW INFORMATION TOGETHER WITH A COVER LETTER SIGNED THE CORPORATE SECRETARY OF THE CORPORATION. THE AMENDED GIS AND COVER LETTER SHALL BE SUBMITTED WITHIN SEVEN (7) DAYS AFTER SUCH CHANGE OCCURED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE RECEIVING SECTION AT THE SEC MAIN OFFICE, OR TO SEC SATELLITE OFFICES OR EXTENSION OFFICES. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE
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

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

I hereby attest that all the information in this GIS are being submitted in compliance with the rules and regulations of the Securities and Exchange Commission (SEC) the collection, processing, storage and sharing of said information being necessary to carry out the functions of public authority for the performance of the constitutionally and statutorily mandated functions of the SEC as a regulatory agency.

I further attest that I have been authorized by the Board of Directors/Trustees to file this GIS with the SEC.

I understand that the Commission may place the corporation under delinquent status for failure to submit the reportorial requirements three (3) times, consecutively or intermittently, within a period of five (5) years (*Section 177, RA No. 11232*).

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

BENEFICIAL OWNERSHIP DECLARATION

Instructions:

1. Identify the Beneficial Owner/s of the corporation as described in the Categories of Beneficial Ownership in items A to I below. List down as many as you can identify. You may use an additional sheet if necessary.
2. Fill in the required information on the beneficial owner in the fields provided for.
3. In the "Category of Beneficial Ownership" column, indicate the letter(s) corresponding thereto. In the event that the person identified as beneficial owner falls under several categories, indicate all the letters corresponding to such categories.
4. If the category is under letter "I", indicate the position held (i.e., Director/Trustee, President, Chief Executive Officer, Chief Operating Officer, Chief Financial Officer, etc.).
5. Do not leave any item blank. Write "N/A" if the information required is not applicable or "NONE" if non-existent.

"**Beneficial Owner**" refers to any natural person(s) who ultimately own(s) or control(s) or exercise(s) ultimate effective control over the corporation. This defination covers the natural person(s) who actualy own or control the corporation as destinguished from the legal owners. Such beneficial ownership may be determined on the basis of the following:

Category	**Description**
A	Natural person(s) owning, directly or indirectly or through a chain of ownership, at least twenty-five percent (25%) of the voting rights, voting shares or capital of the reporting corporation.
B	Natural person(s) who exercise control over the reporting corporation, alone or together with others, through any contract, understanding, relationship, intermediary or tiered entity.
C	Natural person(s) having the ability to elect a majority of the board of directors/trustees, or any similar body, of the corporation.
D	Natural person(s) having the ability to exert a dominant influence over the management or policies of the corporation.
E	Natural person(s) whose directions, instructions,or wishes in conducting the affairs of the corporation are carried out by majority of the members of the board of directors of such corporation who are accustomed or under an obligation to act in accordance with such person's directions, instructions or wishes.
F	Natural person(s) acting as stewards of the properties of corporations, where such properties are under the care or administration of said natural person(s).
G	Natural person(s) who actually own or control the reporting corporation through nominee shareholders or nominee directors acting for or on behalf of such natural persons.
H	Natural person(s) ultimately owning or controlling or exercising ultimate effective control over the corporation through other means not falling under any of the foregoing categories.
I	Natural person(s) exercising control through positions held within a corporation (i.e., responsible for strategic decisions that fundamentally affect the business practices or general direction of the corporation such as the members of the board of directors or trustees or simlar body within the corporation; or exercising executive control over the daily or regular affairs of the corporation through a senior mangement position). This category is only applicable in exceptional cases where no natural person is identifiable who ultimately owns or exerts control over the corporation, the reporting corporation having exhausted all reasonable means of identification and provided there are no grounds for suspicion.

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension (i.e., Jr., Sr., III)	**SPECIFIC RESIDENTIAL ADDRESS**	**NATIONALITY**	**DATE OF BIRTH**	**TAX IDENTIFICATION NO.**	**% OF OWNERSHIP[1] / % OF VOTING RIGHTS[2]**	**TYPE OF BENEFICIAL OWNER[3] Direct (D) or Indirect (I)**	**CATEGORY OF BENEFICIAL OWNERSHIP**

Note: This page is not for uploading on the SEC iView.

[1] For Stock Corporattions.

[2] For Non-Stock Corporattions.

[3] For Stock Corporattions.

GENERAL INFORMATION SHEET (GIS)

NON-STOCK CORPORATION

FOR THE YEAR _____

ANNEX "C"

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 STATED IN THE BY-LAWS, THE GIS SHALL BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS AFTER THE ELECTION OF THE DIRECTORS, TRUSTEES AND OFFICERS OF THE CORPORATION AT 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 SEVEN [7] DAYS AFTER SUCH CHANGES OCCURRED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE RECEIVING SECTION AT THE SEC MAIN OFFICE, OR TO SEC SATELLITE OFFICES OR EXTENSION OFFICES. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE.
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** ==========

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

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

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

I hereby attest that all the information in this GIS are being submitted in compliance with the rules and regulations of the Securities and Exchange Commission (SEC) the collection, processing, storage and sharing of said information being necessary to carry out the functions of public authority for the performance of the constitutionally and statutorily mandated functions of the SEC as a regulatory agency.

I further attest that I have been authorized by the Board of Directors/Trustees to file this GIS with the SEC.

I understand that the Commission may place the corporation under delinquent status for failure to submit the reportorial requirements three (3) times, consecutively or intermittently, within a period of five (5) years (*Section 177, RA No. 11232*).

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

BENEFICIAL OWNERSHIP DECLARATION

Instructions:

1. Identify the Beneficial Owner/s of the corporation as described in the Categories of Beneficial Ownership in items A to I below. List down as many as you can identify. You may use an additional sheet if necessary.
2. Fill in the required information on the beneficial owner in the fields provided for.
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D	Natural person(s) having the ability to exert a dominant influence over the management or policies of the corporation.
E	Natural person(s) whose directions, instructions,or wishes in conducting the affairs of the corporation are carried out by majority of the members of the board of directors of such corporation who are accustomed or under an obligation to act in accordance with such person's directions, instructions or wishes.
F	Natural person(s) acting as stewards of the properties of corporations, where such properties are under the care or administration of said natural person(s).
G	Natural person(s) who actually own or control the reporting corporation through nominee shareholders or nominee directors acting for or on behalf of such natural persons.
H	Natural person(s) ultimately owning or controlling or exercising ultimate effective control over the corporation through other means not falling under any of the foregoing categories.
I	Natural person(s) exercising control through positions held within a corporation (i.e., responsible for strategic decisions that fundamentally affect the business practices or general direction of the corporation such as the members of the board of directors or trustees or simlar body within the corporation; or exercising executive control over the daily or regular affairs of the corporation through a senior mangement position). This category is only applicable in exceptional cases where no natural person is identifiable who ultimately owns or exerts control over the corporation, the reporting corporation having exhausted all reasonable means of identification and provided there are no grounds for suspicion.

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension (i.e., Jr., Sr., III)	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	DATE OF BIRTH	TAX IDENTIFICATION NO.	% OF OWNERSHIP[1] / % OF VOTING RIGHTS[2]	TYPE OF BENEFICIAL OWNER[3] Direct (D) or Indirect (I)	CATEGORY OF BENEFICIAL OWNERSHIP

Note: This page is not for uploading on the SEC iView.

[1] For Stock Corporattions.

[2] For Non-Stock Corporattions.

[3] For Stock Corporattions.