

GENERAL INFORMATION SHEET (GIS)

REGIONAL OPERATING HEADQUARTERS AND REGIONAL HEADQUARTERS OF MULTINATIONAL COMPANIES

FOR THE YEAR _____

GENERAL INSTRUCTIONS:

1. FOR USER CORPORATION: THIS GIS SHOULD BE SUBMITTED:
 - a.) WITHIN THIRTY (30) DAYS AFTER THE ISSUANCE OF THE SEC CERTIFICATE OF REGISTRATION AND LICENSE AND
 - b.) WITHIN THIRTY (30) DAYS FROM THE ANNIVERSARY DATE OF THE ISSUANCE OF THE SEC CERTIFICATE OF REGISTRATION LICENSE, **DO NOT LEAVE ANY ITEM BLANK.** WRITE "N.A." IF THE INFORMATION REQUIRED IS NOT APPLICABLE OR "NONE" IF THE INFORMATION IS NON-EXISTENT.
2. THIS GIS SHALL BE ACCOMPLISHED IN ENGLISH AND CERTIFIED AND SWORN TO BY THE CORPORATE SECRETARY OF THE
3. 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 MULTINATIONAL COMPANY AND ITS RESPONSIBLE OFFICERS FOR ANY VIOLATION OF EXISTING LAWS, RULES AND REGULATIONS

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REGIONAL OPERATING HEADQUARTERS

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REGIONAL HEADQUARTERS

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

NAME OF MULTINATIONAL COMPANY:			
BUSINESS/TRADE NAME:		SEC LICENSE NUMBER:	
DATE OF ISSUANCE OF SEC LICENSE:		CORPORATE TAX IDENTIFICATION NUMBER (TIN):	
COUNTRY WHERE ORGANIZED:		WEBSITE/URL ADDRESS:	
FISCAL YEAR END:		EMAIL ADDRESS:	
COMPLETE OFFICE ADDRESS IN THE PHILIPPINES:		TELEPHONE/FAX NUMBER(S):	
BUSINESS AS STATED IN THE SEC LICENSE:			
COMPLETE NAME AND ADDRESS OF THE RESPONSIBLE OFFICER TO WHOM SUMMONS MAY BE SERVED:		TELEPHONE/FAX NUMBER(S):	
		TIN NO.	
INWARD REMITTANCE AS OF THE END OF THE FISCAL YEAR:	AMOUNT	DATE	
ASSIGNED CAPITAL (For ROHQ):		ACCUMULATED INCOME/FUND BALANCE BASED ON THE FINANCIAL STATEMENT OF THE PRECEDING FISCAL YEAR	

NOTE: USE ADDITIONAL SHEET IF NECESSARY

GENERAL INFORMATION SHEET

REGIONAL OPERATING HEADQUARTERS AND REGIONAL HEADQUARTERS OF MULTINATIONAL COMPANIES

===== 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 Exchange 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 or 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					
REGIONAL OPERATING HEADQUARTERS AND REGIONAL HEADQUARTERS OF MULTINATIONAL COMPANIES					
===== PLEASE PRINT LEGIBLY =====					
NAME OF MULTINATIONAL COMPANY:					
OFFICERS AND PERSONNEL OF THE REGIONAL OPERATING HEADQUARTERS/REGIONAL HEADQUARTERS:			NO. OFFICERS AND PERSONEL:		
TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:					
NAME	POSITION/TITLE	SEX	NATIONALITY	SALARY	TIN NO.
CURRENT, COMPLETE RESIDENTIAL ADDRESS					
1.					
2.					
3.					
4.					
5.					

I, _____, Resident Agent of _____,

DECLARE UNDER THE PENALTY OF PERJURY, THAT ALL MATTERS SET FORTH IN THIS GENERAL INFORMATION SHEET WHICH CONSISTS OF TWO (2) PAGES HAVE BEEN MADE IN GOOD FAITH, DULY VERIFIED BY ME AND , ARE TRUE AND CORRECT BASED ON MY PERSONAL KNOWLEDGE AND ON AUTHENTIC RECORDS AT HAND.

I UNDERSTAND THAT THE FAILURE OF THE CORPORATION TO FILE THIS GIS FOR FIVE (5) CONSECUTIVE YEARS SHALL BE CONSTRUED AS NON-OPERATION OF THE REGIONAL OPERATING HEADQUARTERS/REGIONAL HEADQUARTERS AND A GROUND FOR THE REVOCATION OF THE REGIONAL OPERATING HEADQUARTERS/REGIONAL HEADQUARTERS' SEC LICENSE TO DO BUSINESS IN THE PHILIPPINES. IN THIS EVENTUALITY, THE CORPORATION HEREBY WAIVES ITS RIGHT TO A HEARING FOR THE SAID REVOCATION.

DONE THIS _____ DAY OF _____, 20 _____ IN _____.

SIGNATURE

SUBSCRIBE AND SWORN TO BEFORE ME IN _____, PHILIPPINES ON _____,

AFFIANT PERSONALLY APPEARED BEFORE ME AND EXHIBIT TO ME HIS/HER COMPETENT EVIDENCE OF IDENTITY _____

ISSUED AT _____ ON _____.

NOTARY PUBLIC FOR
Notarial Commission
Commission Expires on December 31, _____
Roll of Attorney Number
PTR No.
IBP No.
Office Address

DOC NO.: _____
PAGE NO.: _____
BOOK NO.: _____