

**BY - LAWS**  
**OF**  
**CARITAS LIFE INSURANCE CORPORATION**

(Name of Corporation)

**ARTICLE I**

**SUBSCRIPTION, ISSUANCE AND TRANSFER OF SHARES**

**Section 1.** Subscriptions - Subscribers to the capital stock of the corporation shall pay the value of the stock in accordance with the terms and conditions prescribed by the Board of Directors. Unpaid subscriptions shall not earn interest unless determined by the Board of Directors.

**Section 2.** Certificate - The stockholder shall be entitled to one or more certificates for fully paid stock subscription in his name in the books of the corporation. The certificates shall contain the matters required by law and the Articles of Incorporation. They shall be in such form and design as may be determined by the Board of Directors and numbered consecutively. The certificate shall be signed by the President, countersigned by the Secretary or Assistant Secretary, and sealed with the corporate seal.

**Section 3.** Transfer of Shares - Subject to the restrictions, terms and conditions contained in the Articles of Incorporation, shares may be transferred, sold, assigned or pledged by delivery of the certificates duly indorsed by the stockholder, his attorney-in-fact, or other legally authorized person. The transfer shall be valid and binding on the corporation only upon record thereof in the books of the corporation. The Secretary shall cancel the stock certificates and issue new certificates to the transferee.

No share of stock against which the corporation holds unpaid claim shall be transferable in the books of the corporation.

All certificates surrendered for transfer shall be stamped "Cancelled" on the face thereof, together with the date of cancellation, and attached to the corresponding stub with the certificate book.

**Section 4.** Lost Certificates - In case any stock certificate is lost, stolen, or destroyed, a new certificate may be issued in lieu thereof in accordance with the procedure prescribed under Section 73 of the Corporation Code.

## ARTICLE II

### MEETINGS OF STOCKHOLDERS

**Section 1. Annual / Regular Meetings** - The annual / regular meetings of stockholders shall be held at the principal office on any date in ~~March~~ <sup>March 15</sup> of each year, if a legal holiday, then on the day following.

**Section 2. Special Meeting** - The special meetings of stockholders, for any purpose or purposes, may at any time be called by any of the following: (a) Board of Directors, at its own instance, or at the written request of stockholders representing a majority of the outstanding capital stock, (b) President.

**Section 3. Place of Meeting** - Stockholders meetings, whether regular or special, shall be held in the principal office of the corporation or at any place designated by the Board of Directors in the city or municipality where the principal office of the corporation is located.

**Section 4. Notice of Meeting** - Notices for regular or special meetings of stockholders may be sent by the Secretary by personal delivery or by mail at least two (2) weeks prior to the date of the meeting to each stockholder of record at his last known address. The notice shall state the place, date and hour of the meeting, and the purpose or purposes for which the meeting is called.

When the meeting of stockholders is adjourned to another time or place, it shall not be necessary to give any notice of the adjourned meeting if the time and place to which the meeting is adjourned are announced at the meeting at which the adjournment is taken. At the reconvened meeting, any business may be transacted that might have been transacted on the original date of the meeting.

**Section 5. Quorum** - Unless otherwise provided by law, in all regular or special meeting of stockholders, a majority of the outstanding capital stock must be present or represented in order to constitute a quorum. If no quorum is constituted, the meeting shall be adjourned until the requisite amount of stock shall be present.

**Section 6. Conduct of Meeting** - Meeting of the stockholders shall be presided over by the President, or in his absence, by a chairman to be chosen by the stockholders. The Secretary, shall act as Secretary of every meetings, but if not present, the chairman of the meeting shall appoint a secretary of the meeting.

**Section 7. Manner of Voting** - At all meetings of stockholders, a stockholder may vote in person or by proxy. Unless otherwise provided in the proxy, it shall be valid only for the meeting at which it has been presented to the Secretary. All proxies must be in the hands of the Secretary before the time set for the meeting. Proxies filed with the Secretary may be revoked by the stockholders either in an instrument in writing duly presented and recorded with the Secretary, prior to a scheduled meeting or by their personal presence at the meeting.

**Section 8.** Closing of Transfer Books or Fixing of Record Date - For the purpose of determining the stockholders entitled to notice of, or to vote at, any meeting of stockholders or any adjournment thereof or to receive payment of any dividend, the Board of Directors may provide that the stock and transfer books be closed for ten (10) working days immediately preceding such meeting.

### ARTICLE III

#### BOARD OF DIRECTORS

**Section 1.** Powers of the Board - Unless otherwise provided by law, the corporate powers of the corporation shall be exercised, all business conducted and all property of the corporation controlled and held by the Board of Directors to be elected by and from among the stockholders. Without prejudice to such powers as may be granted by law, the Board of Directors shall also have the following powers:

- a.) From time to time, to make and change rules and regulations not inconsistent with these by-laws for the management of the corporation's business and affairs;
- b.) To purchase, receive, take or otherwise acquire for and in the name of the corporation, any and all properties, rights, or privileges, including securities and bonds of other corporations, for such consideration and upon such terms and conditions as the Board may deem proper or convenient;
- c.) To invest the funds of the corporation in other corporations or for purposes other than those for which the corporation was organized, subject to such stockholders' approval as may be required by law;
- d.) To incur such indebtedness as the Board may deem necessary, to issue evidence of indebtedness including without limitation, notes, deeds of trust, bonds, debentures, or securities, subject to such stockholders approval as may be required by law, and/or pledge, mortgage, or otherwise encumber all or part of the properties of the corporation;
- e.) To establish pension, retirement, bonus, or other types of incentives or compensation plans for the employees, including officers and directors of the corporation;
- f.) To prosecute, maintain, defend, compromise or abandon any lawsuit in which the corporation or its officer are either plaintiffs or defendants in connection with the business of the corporation;



g.) To delegate, from time to time, any of the powers of the Board which may lawfully be delegated in the course of the current business of the corporation to any standing or special committee or to any officer or agent and to appoint any person to be agent of the corporation with such powers and upon such terms as may be deemed fit;

h.) To implement these by-laws and to act on any matter not covered by these by-laws, provided such matter does not require the approval or consent of the stockholders under the Corporation Code.

**Section 2. Election and Term** - The Board of Directors shall be elected during each regular meeting of stockholders and shall hold office for one (1) year and until their successors are elected and qualified.

**Section 3. Vacancies** - Any vacancy occurring in the Board of Directors other than by removal by the stockholders or by expiration of term, may be filled by the vote of at least a majority of the remaining directors, if still constituting a quorum; otherwise, the vacancy must be filled by the stockholders at a regular or at any special meeting of stockholders called for the purpose. A director so elected to fill a vacancy shall be elected only for the unexpired term of his predecessor in office.

The vacancy resulting from the removal of a director by the stockholders in the manner provided by law may be filled by election at the same meeting of stockholders without further notice, or at any regular or at any special meeting of stockholders called for the purpose, after giving notice as prescribed in these by-laws.

**Section 4. Meetings** - Regular meetings of the Board of Directors shall be held once a month on such dates and at places as the Chairman of the Board, or upon the request of a majority of the Directors.

**Section 5. Notice** - Notice of the regular or special meeting of the Board, specifying the date, time and place of the meeting, shall be communicated by the Secretary to each director personally, or by telephone, telegram, or by written message. A director may waive this requirement, either expressly or impliedly.

**Section 6. Quorum** - A majority of the number of directors as fixed in the Articles of Incorporation shall constitute a quorum for the transaction of corporate business and every decision of at least a majority of the directors present at a meeting at which there is a quorum shall be valid as a corporate act, except for the election of officers which shall require the vote of a majority of all the members of the Board.

**Section 7. Conduct of the Meetings** - Meetings of the Board of Directors shall be presided over by the Chairman of the Board, or in his absence, by any other director chosen by the Board. The Secretary, shall act as secretary of every meeting, if not present, the Chairman of the meeting, shall appoint a secretary of the meeting.

**Section 8.** Compensation - By- resolution of the Board, each director, shall receive a reasonable per diem allowance for his attendance at each meeting of the Board: As compensation, the Board shall receive and allocate an amount of not more than ten percent (10%) of the net income before income tax of the corporation during the preceding year. Such compensation shall be determined and apportioned among the directors in such manner as the Board may deem proper, subject to the approval of stockholders representing at least a majority of the outstanding capital stock at a regular or special meeting of the stockholders.

#### ARTICLE IV

#### OFFICER

**Section 1.** Election / Appointment - Immediately after their election, the Board of Directors shall formally organize by electing the President, the Vice-President, the Treasurer, and the Secretary at said meeting.

The Board may, from time to time, appoint such other officers as it may determine to be necessary or proper. Any two (2) or more compatible positions may be held concurrently by the same person, except that no one shall act as President and Treasurer or Secretary at the same time.

**Section 2.** President - The President shall be the Chief Executive Officer of the corporation and shall exercise the following functions:

- a.) To preside at the meetings of the stockholders;
- b.) To initiate and develop corporate objectives and policies and formulate long range projects, plans and programs for the approval of the Board of Directors, including those for executive training, development and compensation;
- c.) To supervise and manage the business affairs of the corporation upon the direction of the Board of Directors;
- d.) To implement the administrative and operational policies of the corporation under his supervision and control;
- e.) To appoint, remove, suspend or discipline employees of the corporation, prescribe their duties, and determine their salaries;
- f.) To oversee the preparation of the budgets and the statements of accounts of the corporation;
- g.) To represent the corporation at all functions and proceedings;

h.) To execute on behalf of the corporation all contracts, agreements and other instruments affecting the interests of the corporation which require the approval of the Board of Directors.

i.) To make reports to the Board of Directors and stockholders;

j.) To sign certificates of stock;

k.) To perform such other duties as are incident to his office or are entrusted to him by the Board of Directors.

**Section 4.** The Vice-President - He shall, if qualified, act as President in the absence of the latter. He shall have such other powers and duties as may from time to time be assigned to him by the Board of Directors or by the President.

**Section 5.** The Secretary - The Secretary must be a resident and a citizen of the Philippines. He shall have the following specific powers and duties:

a.) To record the minutes and transactions of all meetings of the directors and the stockholders and to maintain minute books of such meetings in the form and manner required by law;

b.) To keep record books showing the details required by law with respect to the stock certificates of the corporation, including ledgers and transfer books showing all shares of the corporation subscribed, issued and transferred;

c.) To keep the corporate seal and affix it to all papers and documents requiring a seal, and to attest by his signature all corporate documents requiring the same;

d.) To attend to the giving and serving of all notices of the corporation required by law or these by-laws to be given;

e.) To certify to such corporate acts, countersign corporate documents or certificates, and make reports or statements as may be required of him by law or by government rules and regulations.

f.) To act as inspector at the election of directors and, as such, to determine the number of shares of stock outstanding and entitled to vote, the shares of stock represented at the meeting, the existence of a quorum, the validity and effect of proxies, and to receive votes, ballots or consents, hear and determine questions in connection with the right to vote, count and tabulate all votes, determine the result, and do such acts as are proper to conduct the election.

g.) To perform such other duties as are incident to his office or as may be assigned to him by the Board of Directors or the President.

**Section 6.** The Treasurer - The Treasurer of the corporation shall have the following duties:

- a.) To keep full and accurate accounts of receipts and disbursements in the books of the corporation;
- b.) To have custody of, and be responsible for, all the funds, securities and bonds of the corporation;
- c.) To deposit in the name and to the credit of the corporation, in such bank as may be designated from time to time by the Board of Directors, all the moneys, funds, securities, bonds, and similar valuable effects belonging to the corporation which may come under his control;
- d.) To render an annual statements showing the financial condition of the corporation and such other financial reports as the Board of Directors, or the President may, from time to time require;
- e.) To prepare such financial reports, statements, certifications and other documents which may, from time to time, be required by government rules and regulations and to submit the same to the proper government agencies;
- f.) To exercise such powers and perform such duties and functions as may be assigned to him by the President.

**Section 7.** Term of Office - The term of office of all officers shall be one (1) year and until their successors are duly elected and qualified.

**Section 8.** Vacancies - If any position of the officers becomes vacant by reason of death, resignation, disqualification or for any other cause, the Board of Directors, by majority vote may elect a successor who shall hold office for the unexpired term.

**Section 9.** Compensation - The officers shall receive such remuneration as the Board of Directors may determine. A director shall not be precluded from serving the corporation in any other capacity as an officer, agent or otherwise, and receiving compensation therefor.

## ARTICLE V

### OFFICES

**Section 1.** The principal office of the corporation shall be located at the place stated in Article III of the Articles of Incorporation. The corporation may have such other branch offices, either within or outside the Philippines as the Board of Directors may designate.



## ARTICLE VI

### AUDIT OF BOOKS, FISCAL YEAR AND DIVIDENDS

**Section 1. External Auditor -** At the regular stockholders' meeting, the external auditor of the corporation for the ensuing year shall be appointed. The external auditor shall examine, verify and report on the earnings and expenses of the corporation.

**Section 2. Fiscal Year -** The fiscal year of the corporation shall begin on the first day of January and end on the last day of December of each year.

**Section 3. Dividends -** Dividends shall be declared and paid out of the unrestricted retained earnings which shall be payable in cash, property, or stock to all stockholders on the basis of outstanding stock held by them, as often and at such times as the Board of Directors may determine and in accordance with law.

## ARTICLE VII

### AMENDMENTS

**Section 1.** These by-laws may be amended or repealed or new by-laws adopted by the affirmative vote of at least a majority of the Board of Directors and the stockholders representing a majority of the outstanding capital stock at any stockholders' meeting called for that purpose. However, the power to amend, modify, repeal or adopt new by-laws may be delegated to the Board of Directors by the affirmative vote of stockholders representing not less than two-thirds of the outstanding capital stock; provided, however, that any such delegation of powers to the Board of Directors to amend, repeal or adopt new by-laws may be revoked only by the vote of stockholders representing a majority of the outstanding capital stock at a regular or special meeting.

## ARTICLE VIII

### SEAL

**Section 1. Form and Inscriptions -** The corporate seal shall be determined by the Board of Directors.



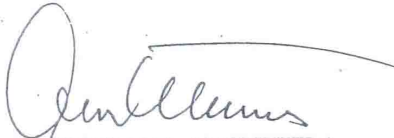
ARTICLE IX

ADOPTION CLAUSE

The foregoing by-laws were adopted by all the stockholders of the corporation on OCTOBER 30, 2003 at the principal office of the corporation.

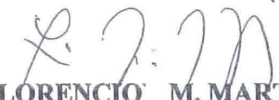
IN WITNESS WHEREOF, we, the undersigned stockholders present at said meeting and voting thereat in favor of the adoption of said by-laws, have hereunto subscribed our names this 30 day of OCTOBER, 2003 at MANILA.

(Note: 1. If filed with Articles of Incorporation, these by-laws should be signed by all incorporators;  
2. If filed after incorporation, should be signed by majority of the subscribers and should submit director's certificate for the adoption of the by-laws.)

  
AVENILO P. AVENTURA

  
JOSE A. YULDE

  
MARIANO T. KATIPUNAN JR.

  
FLORENCIO M. MARTINEZ

  
MANUEL S. REYES



Republic of the Philippines  
Department of Finance  
**INSURANCE COMMISSION**  
1071 United Nations Avenue  
Manila

Head Office:  
P. O. Box 3589 Manila  
FAX No. 522-14-34  
Tel. Nos. 523-84-61 to 70  
E-mail: oic@i-manila.com.ph

**2<sup>nd</sup> Indorsement**  
**November 5, 2003**

*Respectfully returned to the Securities and Exchange Commission, SEC Building, EDSA, Greenhills, Mandaluyong City, the attached Articles of Incorporation and By-Laws of **CARITAS LIFE INSURANCE CORPORATION** with the advice that this Commission interposes no objection to the registration thereof with that Commission.*

*The registrant should be advised, however, that it cannot act as an insurance company unless duly licensed to act as such by this Commission.*

**EDUARDO T. MALINIS**  
**Officer-In-Charge**

*Licensing*



# SEC-iRegister

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### RESERVATION NOTICE:

This certifies that the name **CARITAS LIFE INSURANCE CORP.** has been reserved from September 23, 2003 to December 22, 2003.

Reservation Reference No.  
RRN20030923025928122  
Payment Transaction No.  
refer to SEC teller

Reservation Fee (639) :  
120.0

Please pay within 4 days at any SEC office or selected Union Bank branches.

Payment made after September 29, 2003 will not be honored.

Please do not pay for your Name Reservation and Extension WITHIN THE SAME DAY via Funds Transfer. You may course your payment at any selected UnionBank branches or at the SEC Teller.

For any queries regarding your payments settled through UnionBank, please call 8300-832.

SEC-iRegister is our first step in advancing the use of online technologies in the delivery of quicker, more efficient, and better service to the public.

We hope that in the process, we are fostering the competitiveness of the Philippines and promoting its viability as a base for globally competitive business operations.

**NOTE:** The fact that the name is available at the date verified is not to be regarded as an approval of the registration of the company or any application for change of name. No expense for printing of materials using a verified name should be incurred until registration is effected. As this is a computer printout, any erasure or alteration on this document nullifies verification.

The applicant undertakes to change the reserved name in case another person or firm has acquired a prior right to the use of the said firm name or the same is deceptively or confusingly similar to one already registered.

Click the "PRINT" button to print this page (Reservation Notice) and present this form upon payment. After printing, click "Done".



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# SEC-iRegister

SEC-iRegister is our first step in advancing the use of online technologies in the delivery of quicker, more efficient, and better service to the public.

We hope that in the process, we are fostering the competitiveness of the Philippines and as a base for globally competitive business operations.

[receive payment](#) | [list payments made](#) | [logout](#)

### RESERVATION PAYMENT CONFIRMATION :

This certifies that the name CARITAS LIFE INSURANCE CORP. has been reserved from September 23, 2003 to December 22, 2003.

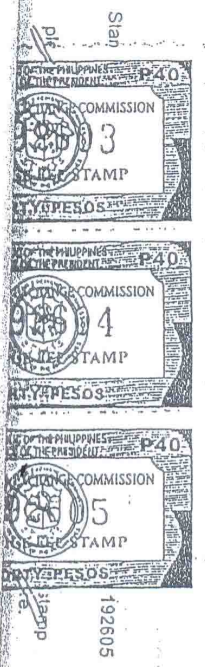
Reference Reservation Number : RRN20030923025928122

Payment Transaction No : ABC000122220  
Amount Paid : 120.0 PHP

NOTE: The fact that the name is available at the date verified is not to be regarded as an approval of the registration of the company or any application for change of name. No expense for printing of materials using a verified name should be incurred until registration is effected. As this is a computer printout, any erasure or alteration on this document nullifies verification.

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### SEARCH RESERVED/REGISTERED COMPANIES

Enter Keyword:

caritas



### RESERVED NAMES

CARITAS DE MARIA INC.,  
 CARITAS DEL STO. DOMINIC SAVIO INC.  
 CARITAS KALOOKAN INC.  
 CARITAS KALOOKAN INC.  
 FIDES SPES CARITAS FOUNDATION, INC.  
 FIDES, SPES ET CARITAS ORGANIZATION, INC.  
 MATEO VEINTICINCO CARITAS FOUNDATION, INC.  
 NINA'S CARITAS INC.

### REGISTERED NAMES

ALD CARITAS FOUNDATION INC.  
 BISHOP CAMINA CARITAS FOUNDATION INC.  
 CARITAS ALUMNI SCHOLARS ASSN. INC.  
 CARITAS BATAAN, INC.  
 CARITAS COMPOUND WORKERS ASSN. INC.  
 CARITAS DAVAO FOUNDATION INC.  
 CARITAS DON BOSCO SCHOOL INC.  
 CARITAS HEALTH SHIELD INC.  
 CARITAS LIMAY FOUNDATION INC.  
 CARITAS LINGAYEN ASSN. INC.  
 CARITAS LIPA LENDING CORP.  
 CARITAS LIVELIHOOD COMMUNITY ASSN. INC.  
 CARITAS LUCENA INC.  
 CARITAS MANILA INC.  
 CARITAS MARIAE FOUNDATION INC.  
 CARITAS NUEVA SEGOVIA FOUNDATION INC.  
 CARITAS PAMPANGA INC.  
 CARITAS SISTERS OF MIYAZAKI INC.  
 CARITAS VALENCIA ASSN. INC.  
 CARITAS ZAMBOANGA, INC.  
 CEBU CARITAS INC.  
 L.G. CARITAS MUNDI INC.  
 SUPERIOR OF THE RELIGIOUS SOCIETY OF CARITAS SISTERS OF MIYASAKI INC.  
 VERITAS & CARITAS CHILD CENTER INC.

# UNIONBANK OF THE PHILIPPINES

www.unionbankph.com

006-03-00145

OCTOBER 30, 2003

THE SECURITIES AND EXCHANGE COMMISSION  
EDSA, Mandaluyong, Metro Manila

Greetings:

This is to certify that there is on deposit with this bank the sum of  
PESO: ONE HUNDRED MILLION PESOS AND XX CENTAVOS  
(100,000,000.00).

under Savings Account No. 10-006-002550-9 in the name of  
MARIANO T. KATIPUNAN JR. TITF CARITAS LIFE INSURANCE  
CORPORATION which is in the process of incorporation.

The said deposit is clear and free from lien, restriction, condition or hold-out and  
may be withdrawn in behalf of said corporation upon presentation of proof of  
incorporation thereof.

*[Signature]*  
RAZIEL S. VENTURA  
AUTHORIZED SIGNATORY

Republic of the Philippines)  
S.S.

CITY OF MANILA

SUBSCRIBED AND SWORN to me this 30th day of Oct. 2003 affiant exhibited to me his/her  
residence certificate no. 1521681 issued at A.C. on 1/06/03

Doc.No. 297  
Page No. 100  
Book No. F  
Series of 1003

Notary Public  
Until December 31, 2003  
ATTY. ELEUPER M. MARTINEZ  
NOTARY PUBLIC  
UNTIL DEC. 31, 2003  
P.T. NO. 174210/01-21-03/M.L.A.  
L. NO. 251810/02-13-02/CA02









**REGISTRATION DATA SHEET**  
**CAPITAL STOCK/INCORPORATORS/DIRECTORS/OFFICERS INFORMATION**  
(FOR DOMESTIC STOCK CORPORATION ONLY)

SEC NUMBER \_\_\_\_\_

PAGE 3 OF 3

FILL-UP INSTRUCTIONS: Type or print legibly. Light-shaded boxes and codes are to be filled up by the SEC, including the SEC number.

COMPANY NAME

CARITAS LIFE INSURANCE CORPORATION

INCORPORATORS / STOCKHOLDERS / DIRECTORS / OFFICERS (Use additional sheets, if necessary.)

NAME  
(Company Name, if company)  
(Last Name, First Name, MI, Middle Surname, if person)

SEC. NO. /  
 BIRTHDATE

CODE NATIONALITY/ BRD

INC' OFFR  
 H CODE

SHARE SHARE  
 CODE TYPE

NO. OF  
 SHARES

SUBSCRIBED CAPITAL

PAID-UP CAPITAL

NO. OF DIRECTORS: 2 NO. OF STOCKHOLDERS: 10 TOTALS 750,000 75,000,000.00 75,000,000.00

FOREIGN EQUITY BREAKDOWN (Refer to the back of this page for instructions on how to fill-up this section.)

NATIONALITY CODE \* NATIONALITY DESCRIPTION \* N/A \* TOTAL FOREIGN EQUITY

SUBSCRIBED CAPITAL OF

INDIVIDUALS

P

P

P

P

P

COMPANY (IES)

P

P

P

P

P

TOTAL SUBSCRIBED CAPITAL

P

P

P

P

P

PAID-UP CAPITAL OF

P

P

P

P

P

COMPANY (IES)

P

P

P

P

P

TOTAL PAID-UP CAPITAL

P

P

P

P

P

PERCENTAGE OF FOREIGN EQUITY:

CERTIFIED CORRECT: MANUEL S. REVES

POSITION: INCORPORATOR

DATE: 10/29/03

PROCESSING ATTORNEY:

PROCESSING EXAMINER:

DATA CONTROL CLERK:

DATA ENCODER:

DATE REVIEWED:

10-03

DATE REVIEWED:

DATE REVIEWED:

DATE ENCODED:

INSTRUCTIONS FOR FILLING UP THE COLUMNS:  
 PAR / NO PAR (P / N) FILIPINO/FOREIGN (F/N)  
 OWNED INDICATOR -  
 P - PAR F - FILIPINO  
 N - NO PAR N - NON-FILIPINO/  
 FOREIGN FOREIGN

WITH PAID-IN  
 SUPPLUS  
 Y - YES  
 N - NO

BOARD (BRD)  
 INDICATOR -  
 C - CHAIRMAN  
 M - MEMBER  
 N - NEITHER

INCORPORATOR (INCOR)  
 INDICATOR  
 I - INCORPORATOR  
 S - STOCKHOLDER  
 N - NEITHER

OFFICER (OFF) INDICATOR -  
 PTE - PRESIDENT  
 CEO - CHIEF EXECUTIVE OFFICER  
 CFO - TREASURER  
 COO - CHIEF OPERATING OFFICER  
 COS - CORPORATE SECRETARY

LEG - LEGAL COUNCIL  
 AUD - EXTERNAL AUDITOR  
 GOV - GOVERNMENT REPRESENTATIVE  
 OTH - OTHERS  
 N - NONE



Republic of the Philippines

## Securities and Exchange Commission

### TO THE PUBLIC

#### *CHECKLIST FOR ACCEPTABLE FILINGS*

(Per MC #2 ser. 1996 and RSA Rule 3-4)

THE SEC CENTRAL RECEIVING UNIT WILL REJECT FILINGS WHICH DO NOT SATISFY THE FOLLOWING CONDITIONS:

- Original + 4 conformed copies with COVER SHEET ON EACH COPY for SEC purposes, plus one (1) copy with cover sheet for registrant
- All copies must be conformed, i.e. must contain consistent information both as filed and as based upon any changes
- Complete business name and address, fiscal year (month/day), and form type code, amendment flag (if amendment), and report period end date (if report) on cover sheet.
- All filings except primary license applications should include on cover sheet the SEC ID number assigned to the company.
- All amendments to filings should include on cover sheet the initial file number assigned to the specific filing being amended.
- Paper size is A4 or letter size (8 1/2" x 11")
- Black printing on white unglazed paper. Onion skin and carbon paper not acceptable.
- Only one side of paper is utilized (except prospectus in securities registrations)
- Complete supporting documents and exhibits with each copy

AFTER PRE-CONFERENCE AT EXPRESS LANE OR IN A DEPARTMENT, AND BEFORE PROCEEDING TO THE CENTRAL RECEIVING, please check that the above criteria are met to avoid the rejection of your filings at Central Receiving. In addition, please observe the following measures to assist our Receiving Officers and Cashiers:

- All copies are bundled up with use of binder clip and each copy stapled or clipped. DO NOT USE FASTENER TO BUNDLE UP 5 COPIES for this will make it difficult for the Receiving and Cashier Units to process document.
- Initialed "OK/PAY" stamp or remark is indicated on the upper left corner of cover sheet.
- Filings need not be put in folder.