



2 x 2  
Coloured Picture

## SEC FORM ExA-001

### INITIAL APPLICATION FOR ACCREDITATION OF AN INDIVIDUAL EXTERNAL AUDITOR

Application for accreditation to act as external auditor of  
(Please check appropriate box):

**Group A** <sup>1</sup>

**Group B** <sup>2</sup>

**Group C** <sup>3</sup>

1. Name of Applicant: \_\_\_\_\_

2. Place & Date of Birth: \_\_\_\_\_ **Age:** \_\_\_\_\_

3. Business Address: \_\_\_\_\_

Telephone No. \_\_\_\_\_ **Fax No.** \_\_\_\_\_

4. Education:

Course	Name of School	Year Finished/Honors Received
Accountancy		
Other Collegiate Course/s		
Post-graduate		

5. PRC License Number: \_\_\_\_\_ **Date Granted** \_\_\_\_\_  
**Expiration Date** \_\_\_\_\_

6. BOA Accreditation No.: \_\_\_\_\_  
(If applicant is a Partner of a Firm, indicate  
Number of the Firm) **Date Granted** \_\_\_\_\_  
**Expiration Date** \_\_\_\_\_

7. Number of Years of Audit Experience (as in-charge, manager, partner or equivalent) \_\_\_\_\_

<sup>1</sup> **Group A**(i) Issuers of registered securities which have sold a class of securities pursuant to a registration under Section 12 of the Securities Registration Code (SRC) **except those issuers of registered timeshares, proprietary and non-proprietary membership certificates which are now covered in Group B**; (ii) Issuers with a class of securities listed for trading in an Exchange; (iii) Public companies or those which have total assets of at least Fifty Million Pesos (P50,000,000.00) or such amount as the Commission shall prescribe, and having two hundred (200) or more holders each holding at least One Hundred (100) shares of a class of its equity securities.

<sup>2</sup> **Group B** (i) Issuers of registered timeshares, proprietary and non-proprietary membership certificates; (ii) Investment Houses; (iii) Brokers and Dealers of Securities; (iv) Investment Companies; (v) Government Securities Eligible Dealers (GSEDs); (vi) Universal Banks Registered as Underwriters of Securities; (vii) Investment Company Advisers; (viii) Clearing Agency and Clearing Agency as Depository; (ix) Stock and Securities Exchange/s; (x) Special Purpose Vehicles registered pursuant to Special Purpose Vehicle Act of 2002, and its implementing rules; (xi) Special Purpose Corporation registered under the Securitization Act of 2004 and its implementing rules; (xii) Such other corporations which may be required by law to be supervised by the Commission.

<sup>3</sup> **Group C** (i) Financing Companies; (ii) Lending Companies; (iii) Transfer Agents.

8. Name of Audit Firm/Partnership Wherein Audit Experience was Obtained (If necessary, provide information in a separate sheet as Annex) \_\_\_\_\_

9. Audit Clients Profile:

Name of Corporate Clients	Period of Engagement	Amount of Total Assets

10. List of Trainings/Seminars Attended

Title of Seminar/Topics	Organizer	Date	No. of Hours

11. Exhibits

- i. Copy of the Certificate of Accreditation issued by the Board of Accountancy (BOA). In case of a partner of a firm, the certificate should include a list issued by the BOA which indicates the names of the qualified partner/s of the firm;
- ii. Quality Assurance Manual;
- iii. Copy of Audited Financial Statements (AFS) of the applicant's two (2) largest clients in terms of assets;
- iv. In case of an application for Group A, B or C accreditation, notarized certification that the applicant has fundamental knowledge of the regulatory requirements on each of the covered secondary licensees of the Commission;
- v. Copy of certificates of participation/attendance in relevant trainings and seminar.

For those availing a mutual recognition of accreditation granted by the Bangko Sentral ng Pilipinas (BSP) and Insurance Commission (IC), as allowed under SEC memorandum Circular No. 13, s. of 2009, only the following documents shall be attached to the application:

- i. Certificate of accreditation issued by BSP and IC;
- ii. Notarized certification that the application has fundamental knowledge of the regulatory requirements on companies under Group C;
- iii. Copy of the latest AFS of the applicant's largest clients in terms of assets.

## **12. Processing Fee**

This application for accreditation has been submitted along with the payment of the prescribed fee in the amount of \_\_\_\_\_ under O.R. No. \_\_\_\_\_.

**I hereby certify that the foregoing information are true and correct.**

**Lastly, I shall allow SEC to publish necessary information in relation to my accreditation.**

---

Applicant's Signature

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**J U R A T**