



THE PHILIPPINE STOCK EXCHANGE, INC.

NAME OF TRADING PARTICIPANT: \_\_\_\_\_

DATE OF APPLICATION: \_\_\_\_\_

CHECKLIST OF REQUIREMENTS: **Resumption of Operations**

*A. General Requirements for PSE Board Approval*

	1. Letter advising the Exchange of Trading Participant's ("TP") intention to resume trading operations at least 30 <b>calendar</b> days prior to <b>proposed</b> effectivity date;
	2. Business address, location, telephone and fax numbers, and general e-mail address;
	3. Securities and Exchange Commission ("SEC") Order and SEC Certificate registering the corporation as broker-dealer of securities (compliance with the requirements under Section 28.1 of the Securities Regulation Code);
	4. Clearances from all appropriate PSE business units, SEC, Philippine Depository and Trust Corporation, Securities Clearing Corporation of the Philippines, and Capital Markets Integrity Corporation;
	5. List of all officers, employees, and agents indicating their names, positions, addresses, and contact numbers. TP must have an approved nominee, at least one (1) associated person and one (1) salesman and sufficient backroom personnel;
	6. Copy of SEC license of salesmen;
	7. Copy of SEC license of associated person/s;
	8. Payment of processing fee of Php200,000;
	9. Stockbroker bond of Php5 million and dealer bond of Php1 million or such amount as may be prescribed by the SEC;

*B. Other Application-Specific Requirements*

	1. Signed Acknowledgement as required under Article 3, Section 5 of the Rules Governing Trading Rights and TPs, unless previously submitted;
	2. Accomplished Trading Participant Info Sheet;
	3. Accomplished Lounge registration form;
	4. Affidavit of ownership structure as per PSE template
	5. Other requirements that may be prescribed by the Exchange.