



**THE PHILIPPINE STOCK EXCHANGE, INC.**

NAME OF APPLICANT: \_\_\_\_\_

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

**CHECKLIST OF REQUIREMENTS: Application for New Nominee**

	1. Application letter from applicant-nominee stating intention to apply as Nominee of the Trading Participant;
	2. Sworn Corporate Secretary’s Certificate attesting to the designation or appointment by the company’s board of directors of the applicant as nominee;
	3. Recommendation letter from a Trading Participant in good standing of the Exchange;
	4. At least three (3) reference letters from reputable persons or institutions in the Philippines, one of which is a commercial bank;
	5. Curriculum Vitae with 2 copies of the latest passport size photograph;
	6. Clearance from the Philippine National Police and National Bureau of Investigation;
	7. Applicant’s latest Income Tax Return or other proof of income
	8. If previous employer is a Trading Participant, compliance with the cooling-off period and clearance from previous employer;
	9. Payment of entrance fee of Fifty Thousand Pesos (Php50,000.00);
	10. Letter of undertaking executed by the Trading Participant assuming responsibility for any and all actions of the applicant-nominee related to his/her functions as Nominee;
	11. General qualifications of Nominees: a. At least twenty-one (21) years of age; b. Legal residence in the Philippines; c. Must have all the qualifications; and d. None of the disqualifications as prescribed by the Rules Governing Trading Rights and Trading Participants;
	12. Foreign Nominee of Trading Participants shall submit the following: a. Copy of Alien Employment Permit or Alien Employment Registration Certificate issued by the Department of Labor and Employment; b. Copy of the Alien Certificate of Registration; c. Letter of Endorsement on behalf of the applicant issued by the consulate of the country of which the nominee-applicant is a citizen; and d. Character reference letter issued by a bank based in the applicant’s place of domicile.
	13. Written consent of the applicant-nominee authorizing PSE, Capital Markets Integrity Corporation, and the Securities Clearing Corporation of the Philippines to collect, record, store, use, disclose, process, and share among said entities his/her personal and sensitive personal information for purposes of his/her application as Nominee, TP’s operations, purposes relevant or incidental thereto, and legitimate interests of PSE;
	14. Signed letter authorizing the accredited third party bureau to conduct field verification on the applicant-nominee; and
	15. Other requirements that may be prescribed by the Exchange.