# “FORM B”

**(Name of Insurance Commission-Regulated Broker Company)**

# As of December 31, 20\_\_

**CHECKLIST OF DOCUMENTARY REQUIREMENTS**

|  |
| --- |
| **Via IC Portal** |
| **PDF** | **EXCEL** |
| **X** |  |
| **X** |  |
| **X** | **X** |
| **X** |  |
| **X** |  |
| **X** |  |
| **X** |  |
| **X** |  |
| **X** |  |

# PARTICULARS

 1. Certification **(Form A)**

 2. Audited Financial Statements, signed and stamped “Received” by the Bureau of Internal Revenue (BIR) and the Securities and Exchange Commission (SEC)

*(attach email notification if submitted electronically)*

 3. Financial Information Form **(Form C)**, signed by the Finance Head

 *(sign the PDF copy of the Form’s Profile tab only)*

 4. Latest General Information Sheet filed with the SEC

 5. Copies of Latest Surety Bond and Errors and Omissions Policies

 6. Certificate/s of Authority/License

 7. Minutes of the Board of Directors and Stockholders’ Meetings or Annual Report, *if any*

 8. External Auditor’s Letter of Comments or Recommendations, *if any*

 9. Amendment/s to the Articles of Incorporation and/or By-laws, *if any*

## Note: The above list is not exhaustive, and the IC may request additional documents during the examination.

Prepared by:

Signature over Printed Name and Designation

Received by:

Date Received: