



## SEC FORM AuF-002

### INITIAL APPLICATION FOR ACCREDITATION OF AN AUDITING FIRM

Application for accreditation as auditing firm for:  
(Please check appropriate box):

- Group A <sup>1</sup>
- Group B <sup>2</sup>
- Group C <sup>3</sup>

1. Name of Firm \_\_\_\_\_

2. SEC Certificate of Registration No. (if a registered partnership) \_\_\_\_\_

3. BOA/PRC Accreditation No.: \_\_\_\_\_ Date Granted: \_\_\_\_\_  
Expiration Date: \_\_\_\_\_

4. Business Address: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Fax No. \_\_\_\_\_

5. Information on Currently Employed Auditors and Signing Partner/s:

Full Name	Position	CPA Certificate /License No.	SEC Accreditation Number*	Status of SEC Accreditation

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<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.

Full Name	Position	CPA Certificate /License No.	SEC Accreditation Number*	Status of SEC Accreditation

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\* Indicate Group Category, i.e., A,B, C or D. If not yet accredited, so indicate and disclose covered companies by group category including date of filing of application for accreditation. (Use separate sheet when necessary which must be certified as true and correct.

**6. Affiliate Foreign CPA/Auditing Firm (if any)**

Name of Foreign Firm	Country	Nature and Extent of Relationship

**7. Exhibits**

- i. Copy of the **Certificate of Accreditation issued by the Board of Accountancy (BOA)**. It should include a copy of the list issued by BOA which indicates the names of the qualified partner/s of the firm;
- ii. Quality Assurance Manual;

For firms availing of a mutual recognition of the accreditation of the Bangko Sentral ng Pilipinas (BSP) and Insurance Commission (IC), as allowed under SEC Memorandum Circular No. 13 s. 2009, the foregoing documents shall not be required, only the copy of certificate of accreditation issued by BSP or IC shall accompany the application with the SEC.

**8. 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 on the firm and its partners in relation to their accreditations.**

\_\_\_\_\_  
Name and Signature of Managing Partner

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

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

**J U R A T**