

“FORM A”

**Name of Insurance Broker/Reinsurance Broker/Both Insurance and Reinsurance Broker
As of December 31, 20__**

LIST OF DOCUMENTS TO BE SUBMITTED BY INSURANCE AND/OR REINSURANCE BROKER

PARTICULARS

		Via IC Portal	
		PDF	EXCEL
_____	1. Attestation Certificate (Form B)	X	
_____	2. Audited Financial Statements, signed and stamped “Received” by the Bureau of Internal Revenue (BIR) and the Securities and Exchange Commission (SEC) <i>(attach email notification if submitted electronically)</i>	X	
_____	3. Premium-related account Schedule (Form C) , signed by authorized representative	X	X
_____	4. Statement of Business Operations (SBO) as of December 31, 20__, signed by the chief accountant and <i>Reconciliation schedule</i> certified by the external auditor (Form D)	X	X
_____	5. Latest General Information Sheet filed with the SEC	X	
_____	6. Errors and Omissions Policies	X	
_____	7. Certificate of Authority/License	X	
_____	8. BIR Form 1702RT stamped “Received” by the BIR <i>(attach email notification if submitted electronically)</i>	X	
_____	9. Minutes of the Board of Directors and Stockholders’ Meetings	X	
_____	10. Board Resolution’s for appropriation of Retained Earnings/ Dividend Declaration, <i>if any</i>	X	
_____	11. Amendment/s to the Articles of Incorporation and/or By-laws, <i>if any</i>	X	

Detailed Schedules and Supporting Documents of the following accounts:

_____	12. Clients’ Money on Hand and in Banks (Form C)		
	i. Certification/s from Fund Custodian/s as of December 31, 20__	X	
	ii. Bank reconciliation statements as of December 31, 20__ and January 31, 20__	X	X
	iii. Bank statements and passbooks for the month ended December 20__ and January 20__	X	

_____ 13. **Premium and Commissions Receivable/ Premiums Payable (Form C)**

- i. Detailed schedule with the following information:
 - Name of Insurance Company
 - Type of Product
 - Inception Date
 - Movement in the Premium Balances
 - a. Beginning balances
 - b. Premiums for the year
 - c. Premiums collected
 - d. Premiums collected not yet remitted (Payables)
 - e. Direct remittances, if any
 - f. Cancelled Policies
 - g. Aging of receivable and payable (within and over 90 days)
 - h. Allowance for impairment

Note: Totals should tie up with the (1) total production per SBO (2) receivable/payable per AFS; any differences should be reconciled

 - Commission, VAT on Commission
 - Net Due to (Premiums Payable)
 - Date Collected
 - Date Remitted
- ii. Proof of collection and remittances of within 90 and over 90 days due such as official/acknowledgement receipts, bank validated deposit slips, passbook/bank statements - **upon request**

X	X
X	

Note: The list above is not exhaustive and the IC examiners may request additional schedule/documents during the verification/examination.

Submitted by:

Signature over Printed Name and Designation

Received by: _____

Date Received: _____