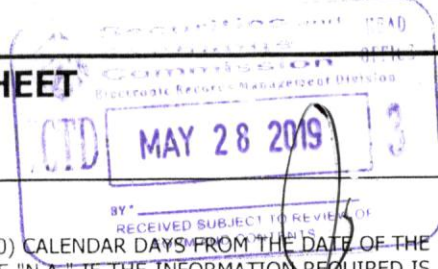


GENERAL INFORMATION SHEET

FOR THE YEAR **2019**
STOCK CORPORATION



GENERAL INSTRUCTION:

1. FOR USER CORPORATION: THIS GIS SHOULD BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE DATE OF THE ANNUAL STOCKHOLDERS' MEETING. **DO NOT LEAVE ANY ITEM BLANK.** WRITE "N.A." IF THE INFORMATION REQUIRED IS NOT APPLICABLE TO THE CORPORATION OR "NONE" IF THE INFORMATION IS NON-EXISTENT. IF THE ANNUAL STOCKHOLDERS MEETING IS HELD ON A DATE OTHER THAN THAT STATED IN THE BY-LAWS, THE GIS SHALL BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE ACTUAL DATE OF THE ANNUAL STOCKHOLDERS' MEETING.
2. IF NO MEETING IS HELD, THE CORPORATION SHALL SUBMIT THE GIS NOT LATER THAN JANUARY 30 OF THE FOLLOWING YEAR. HOWEVER, SHOULD AN ANNUAL STOCKHOLDERS' MEETING BE HELD THEREAFTER, A NEW GIS SHALL BE SUBMITTED/FILED.
3. THIS GIS SHALL BE ACCOMPLISHED IN ENGLISH AND CERTIFIED AND SWORN TO BY THE CORPORATE SECRETARY OF THE CORPORATION.
4. THE SEC SHOULD BE TIMELY APPRISED OF RELEVANT CHANGES IN THE SUBMITTED INFORMATION AS THEY ARISE. FOR CHANGES RESULTING FROM ACTIONS THAT AROSE BETWEEN THE ANNUAL MEETINGS, THE CORPORATION SHALL SUBMIT ONLY THE AFFECTED PAGE OF THE GIS THAT RELATES TO THE NEW INFORMATION TOGETHER WITH A COVER LETTER SIGNED BY THE CORPORATE SECRETARY OF THE CORPORATION. THE PAGE OF THE GIS AND COVER LETTER SHALL BE SUBMITTED WITHIN SEVEN (7) DAYS AFTER SUCH CHANGE OCCURRED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE CENTRAL RECEIVING SECTION, GROUND FLOOR, SEC BLDG., EDSA, MANDALUYONG CITY. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER WITH A STANDARD COVER PAGE. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE. CORPORATIONS SUBMITTING A COPY OF THEIR GIS ONLINE OR VIA INTERNET SHALL SUBMIT ONE (1) HARD COPY OF THE GIS, TOGETHER WITH A CERTIFICATION UNDER OATH BY ITS CORPORATE SECRETARY THAT THE COPY SUBMITTED ONLINE CONTAINS THE EXACT DATA IN THE HARD COPY.
6. **ONLY THE GIS ACCOMPLISHED IN ACCORDANCE WITH THESE INSTRUCTIONS SHALL BE CONSIDERED AS HAVING BEEN FILED.**
7. THIS GIS MAY BE USED AS EVIDENCE AGAINST THE CORPORATION AND ITS RESPONSIBLE DIRECTORS/OFFICERS FOR ANY VIOLATION OF EXISTING LAWS, RULES AND REGULATIONS.

=====PLEASE PRINT LEGIBLY=====

CORPORATE NAME: FILIPINO FUND, INC.		DATE REGISTERED: 28 March 1995
BUSINESS/TRADE NAME: FILIPINO FUND, INC.		
SEC REGISTRATION NUMBER: AS091190385		FISCAL YEAR END: December 31
DATE OF ANNUAL MEETING PER BY-LAWS: Every 2nd Tuesday of May		CORPORATE TAX IDENTIFICATION NUMBER (TIN) 002-284-545-000
ACTUAL DATE OF ANNUAL MEETING: 14 May 2019		WEBSITE/URL ADDRESS: www.filipinofund.com.ph
COMPLETE PRINCIPAL OFFICE ADDRESS: Units 1911-1912, 19th Floor, PSE Tower, 5th Avenue corner 28th Street, Bonifacio Global City, Taguig City, Metro Manila, Philippines¹		E-MAIL ADDRESS: www.filipinofund.com.ph
COMPLETE BUSINESS ADDRESS: Units 1911-1912, 19th Floor, PSE Tower, 5th Avenue corner 28th Street, Bonifacio Global City, Taguig City, Metro Manila, Philippines		FAX NUMBER: 898-7597
NAME OF EXTERNAL AUDITOR & ITS SIGNING PARTNER: Sycip Gorres Velayo & Co. / Janet A. Paraiso, Partner	SEC ACCREDITATION NUMBER (if applicable) 0778-AR-3	TELEPHONE NUMBER(S): 898-7522
PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGE IN: Close-end Investment Company	INDUSTRY CLASSIFICATION: Listed Company	GEOGRAPHICAL CODE:

=====INTERCOMPANY AFFILIATIONS=====

PARENT COMPANY	SEC REGISTRATION NO.	ADDRESS
N.A.	N.A.	N.A.
SUBSIDIARY/AFFILIATE	SEC REGISTRATION NO.	ADDRESS
N.A.	N.A.	N.A.

NOTE : USE ADDITIONAL SHEET IF NECESSARY.

¹ In the 14 May 2019 Annual Stockholders' Meeting, the shareholders approved the Company's change of address. The Company will be amending its Articles of Incorporation to reflect such change.

GENERAL INFORMATION SHEET

STOCK CORPORATION

=====PLEASE PRINT LEGIBLY=====

CORPORATE NAME:

FILIPINO FUND, INC.
CAPITAL STRUCTURE

AUTHORIZED CAPITAL STOCK

	TYPE OF SHARES*	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (Php) (No. of shares x Par/Stated Value)
	Common	184,234,038	PhP1.00	PhP184,234,038
TOTAL		184,234,038	TOTAL P	PhP184,234,038

SUBSCRIBED CAPITAL

FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES*	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC**	PAR/STATED VALUE	AMOUNT (Php)	% OF OWNER-SHIP
	5,377	Common	49,857,431		1.00	49,857,431	99.3821%
TOTAL			49,857,431	TOTAL P		49,857,431	99.3821%

FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES*	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC**	PAR/STATED VALUE	AMOUNT (Php)	% OF OWNER-SHIP	
CHINESE	38	Common	52,090		1.00	52,090	.1038%	
AMERICAN	13	Common	13,250		1.00	13,250	.0264%	
HONDURAN	1	Common	3,155		1.00	3,155	.0063%	
BRITISH	2	Common	1,577		1.00	1,577	.0031%	
JAPANESE	1	Common	946		1.00	946	.0019%	
SPANISH	1	Common	757		1.00	757	.0015%	
INDIAN	1	Common	631		1.00	631	.0013%	
AUSTRALIAN	1	Common	420		1.00	420	.0008%	
BRUNEI	1	Common	252		1.00	252	.0005%	
OTHERS	1	Common	236,888		1.00	236,888	.4722%	
Percentage of Foreign Equity: TOTAL			309,966	TOTAL P		309,966	.6179%	
						TOTAL SUBSCRIBED P	50,167,397	100%

PAID-UP CAPITAL

FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES*	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (Php)	% OF OWNER-SHIP		
	5,377	Common	49,857,431	P1.00	49,857,431	99.3821%		
TOTAL			49,857,431	TOTAL P		49,857,431	99.3821%	
FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES*	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (Php)	% OF OWNER-SHIP		
CHINESE	38	Common	52,090	1.00	52,090	.1038%		
AMERICAN	13	Common	13,250	1.00	13,250	.0264%		
HONDURAN	1	Common	3,155	1.00	3,155	.0063%		
BRITISH	2	Common	1,577	1.00	1,577	.0031%		
JAPANESE	1	Common	946	1.00	946	.0019%		
SPANISH	1	Common	757	1.00	757	.0015%		
INDIAN	1	Common	631	1.00	631	.0013%		
AUSTRALIAN	1	Common	420	1.00	420	.0008%		
BRUNEI	1	Common	252	1.00	252	.0005%		
OTHERS	1	Common	236,888	1.00	236,888	.4722%		
TOTAL			309,966	TOTAL P		309,966	.6179%	
						TOTAL PAID-UP P	50,167,397	100%

NOTE: USE ADDITIONAL SHEET IF NECESSARY

* Common, Preferred or other classification

** Other than Directors, Officers, Shareholders owning 10% of outstanding shares.

GENERAL INFORMATION SHEET (STOCK CORPORATION)

=====PLEASE PRINT LEGIBLY=====

CORPORATE NAME:

FILIPINO FUND, INC.

D I R E C T O R S / O F F I C E R S

NAME AND NATIONALITY	INC'R	BOARD	SEX	STOCK HLDR.	OFFICER	EXEC. COMM.
1. MARGARET G. ANG Filipino	N	M	F	Y	President	N/Member
2. FRANK S. GAISANO Filipino	N	M	M	Y	N.A.	N/Chairman
3. JOHN G. TAN Filipino	N	M	M	Y	Independent Director	N.A.
4. EDWARD S. GO Filipino	N	M	M	Y	Independent Director	A/Chairman N/Member
5. BERNARDO M. VILLEGAS Filipino	N	C	M	Y	Independent Director	A/Member
6. ALJIM C. JAMANDRE Filipino	N	M	M	Y	N.A.	A/Member
7. VINCENT E. TOMANENG Filipino	N	M	M	Y	Corporate Secretary	N.A.
8. PAUL RODULFO B. IMPERIAL Filipino	N	N	M	N	Assistant Corporate Secretary	N.A.
9. MARY JENNIFER V. MUSNI Filipino	N	N	F	N	Treasurer	N.A.

INSTRUCTIONS:

FOR SEX COLUMN, PUT "F" FOR FEMALE, "M" FOR MALE.
 FOR BOARD COLUMN, PUT "C" FOR CHAIRMAN, "M" FOR MEMBER, "I" FOR INDEPENDENT DIRECTOR
 FOR INC'R COLUMN, PUT "Y" IF AN INCORPORATOR, "N" IF NOT.
 FOR STOCKHOLDER COLUMN, PUT "Y" IF A STOCKHOLDER, "N" IF NOT.
 FOR OFFICER COLUMN, INDICATE PARTICULAR POSITION IF AN OFFICER, FROM VP UP INCLUDING THE POSITION OF THE TREASURER, SECRETARY,
 COMPLIANCE OFFICER AND/OR ASSOCIATED PERSON.
 FOR EXECUTIVE COMMITTEE, INDICATE "C" IF MEMBER OF THE COMPENSATION COMMITTEE; "A" FOR AUDIT COMMITTEE; "N" FOR NOMINATION AND
 ELECTION COMMITTEE. ADDITIONALLY WRITE "C" AFTER SLASH IF CHAIRMAN AND "M" IF MEMBER.

GENERAL INFORMATION SHEET

STOCK CORPORATION

=====PLEASE PRINT LEGIBLY=====

CORPORATE NAME: **FILIPINO FUND, INC.**

TOTAL NUMBER OF STOCKHOLDERS: 5,437 NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH: 5,414

TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS: PhP213,698,861.00 (as of 31 December 2018)

STOCKHOLDER'S INFORMATION

NAME AND NATIONALITY	SHARES SUBSCRIBED			% OF OWNERSHIP	AMOUNT PAID (PhP)
	TYPE	NUMBER	AMOUNT (PhP)		
1. PCD NOMINEE CORPORATION Filipino (Note: Beneficial owner of more than 10%; Vicsal Development Corp.- 35,623,404 shares, representing 71.01%)	A	43,959,889	43,959,889.00	87.6264%	43,959,889.00
	TOTAL	43,959,889	43,959,889.00		
2. PCD NOMINEE CORPORATION Non-Filipino	A	236,888	236,888.00	0.4722%	236,888.00
	TOTAL	236,888	236,888.00		
3. ALLEN C. ROXAS Filipino	A	94,667	94,667.00	0.1887%	94,667.00
	TOTAL	94,667	94,667.00		
4. ALBERT GO ONG Filipino	A	90,250	90,250.00	0.1799%	90,250.00
	TOTAL	90,250	90,250.00		
5. REYMONT INC. Filipino	A	34,711	34,711.00	0.0692%	34,711.00
	TOTAL	34,711	34,711.00		
6. SEGUNDO SEANGIO AND/OR VIRGINIA SEANGIO Filipino	A	32,818	32,818.00	0.0654%	32,818.00
	TOTAL	32,818	32,818.00		
7. VICTOR HERNANDEZ BOCALING Filipino	A	31,555	31,555.00	0.0629%	31,555.00
	TOTAL	31,555	31,555.00		
8. KA SIONG TIU Filipino	A	31,555	31,555.00	0.0629%	31,555.00
	TOTAL	31,555	31,555.00		
9. LETICIA C. SY Filipino	A	27,957	27,957.00	0.0557%	27,957.00
	TOTAL	27,957	27,957.00		
TOTAL AMOUNT OF SUBSCRIBED CAPITAL			44,540,290.00	88.7833%	44,540,290.00
TOTAL AMOUNT OF PAID-UP CAPITAL					

INSTRUCTIONS: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS.

Note: For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet if necessary.

GENERAL INFORMATION SHEET STOCK CORPORATION

=====PLEASE PRINT LEGIBLY=====

CORPORATE NAME:

FILIPINO FUND, INC.

TOTAL NUMBER OF STOCKHOLDERS: 5,437

TOTAL NUMBER OF STOCKHOLDERS: 5,414

TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS: PhP213,698,861.00 (as of 31 December 2018)

STOCKHOLDER'S INFORMATION

NAME AND NATIONALITY	SHARES SUBSCRIBED			% OF OWNER-SHIP	AMOUNT PAID (PhP)
	TYPE	NUMBER	AMOUNT (PhP)		
10. EMMANUEL HERNANDEZ BOCALING Filipino	A	25,244	25,244.00	0.0503%	25,244.00
	TOTAL	25,244	25,244.00		
11. ROMEO TAN PE Filipino	A	25,244	25,244.00	0.0503%	25,244.00
	TOTAL	25,244	25,244.00		
12. INTERNATIONAL POLYMER CORP. Filipino	A	22,089	22,089.00	0.0440%	22,089.00
	TOTAL	22,089	22,089.00		
13. ANTONIO SUNTAY TANJANGCO Filipino	A	20,826	20,826.00	0.0415%	20,826.00
	TOTAL	20,826	20,826.00		
14. WILLINGTON W. CHUA Filipino	A	20,524	20,524.00	0.0409%	20,524.00
	TOTAL	20,524	20,524.00		
15. NORBERTO VALDIVIA SAUCO Filipino	A	20,195	20,195.00	0.0402%	20,195.00
	TOTAL	20,195	20,195.00		
16. ALEXANDER JO TANCHAN Filipino	A	19,879	19,879.00	0.0396%	19,879.00
	TOTAL	19,879	19,879.00		
17. MELY NGO LIM Filipino	A	18,933	18,933.00	0.0377%	18,933.00
	TOTAL	18,933	18,933.00		
18. JAN CED Filipino	A	18,933	18,933.00	0.0377%	18,933.00
	TOTAL	18,933	18,933.00		
19. MA. GEORGINA VERA PEREZ Filipino	A	18,933	18,933.00	0.0377%	18,933.00
	TOTAL	18,933	18,933.00		
20. PATRICK YAP TONG Filipino	A	18,933	18,933.00	0.0377%	18,933.00
	TOTAL	18,933	18,933.00		
21. OTHERS	A	5,397,374	5,397,374.00	10.7587%	5,397,374.00
	TOTAL	5,397,374	5,397,374.00		
TOTAL AMOUNT OF SUBSCRIBED CAPITAL			5,698,545.00	11.2163%	50,167,397.00
			TOTAL AMOUNT OF PAID-UP CAPITAL		

INSTRUCTIONS: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS.

Note: For PDM Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet if necessary.

GENERAL INFORMATION SHEET

STOCK CORPORATION

=====PLEASE PRINT LEGIBLY=====

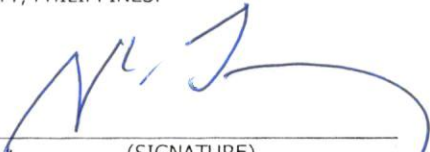
CORPORATE NAME:			
FILIPINO FUND, INC.			
1. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION	AMOUNT (PhP)	DATE OF BOARD RESOLUTION	
1.1 STOCKS	124,951,857	N.A.	
1.2 BONDS/COMMERCIAL PAPER (Issued by Private Corporations)	N.A.	N.A.	
1.3 LOANS/CREDITS/ADVANCES	N.A.	N.A.	
1.4 GOVERNMENT TREASURY BILLS	N.A.	N.A.	
1.5 OTHERS	80,008,599	N.A.	
2. INVESTMENT OF CORPORATE FUNDS IN ACTIVITIES UNDER ITS SECONDARY PURPOSES (PLEASE SPECIFY):	DATE OF BOARD RESOLUTION	DATE OF STOCKHOLDERS' RATIFICATION	
N.A.	N.A.	N.A.	
3. TREASURY SHARES	NO. OF SHARES	% AS TO THE TOTAL NO. OF SHARES ISSUED	
	55,105,000	29.91%	
4. UNRESTRICTED/UNAPPROPRIATED RETAINED EARNINGS AS OF END OF LAST FISCAL YEAR: Php61,447,176			
5. DIVIDENDS DECLARED DURING THE IMMEDIATELY PRECEDING YEAR :			
TYPE OF DIVIDEND	AMOUNT (PhP)	DATE DECLARED	
5.1 CASH	4,013,391.76	3/26/2018	
5.2 STOCK	N.A.	N.A.	
5.3 PROPERTY	N.A.	N.A.	
TOTAL P	4,013,391.76	N.A.	
6. ADDITIONAL SHARES ISSUED DURING THE PERIOD: <i>NONE</i>			
DATE	NO. OF SHARES	AMOUNT	
N.A.	N.A.	N.A.	
SECONDARY LICENSE/REGISTRATION WITH SEC AND OTHER GOV'T AGENCY:			
NAME OF AGENCY:	SEC	BSP	IC
TYPE OF LICENSE/REGN.	N.A.	N.A.	N.A.
DATE ISSUED:	N.A.	N.A.	N.A.
DATE STARTED OPERATIONS:	N.A.	N.A.	N.A.
TOTAL ANNUAL COMPENSATION OF DIRECTORS DURING THE PRECEDING FISCAL YEAR (in PhP)	TOTAL NO. OF OFFICERS	TOTAL NO. OF RANK & FILE EMPLOYEES	TOTAL MANPOWER COMPLEMENT
722,222	4	N.A.	4
NOTE: USE ADDITIONAL SHEET IF NECESSARY			

I, **VINCENT E. TOMANENG**, CORPORATE SECRETARY OF THE ABOVE-MENTIONED CORPORATION DECLARE UNDER THE PENALTY OF PERJURY, THAT ALL MATTERS SET FORTH IN THIS GENERAL INFORMATION SHEET, WHICH CONSISTS OF ~~15~~ (17) PAGES, HAVE BEEN MADE IN GOOD FAITH, DULY VERIFIED BY ME, AND, TO THE BEST OF MY KNOWLEDGE AND BELIEF, ARE TRUE AND CORRECT.

I HEREBY CERTIFY THAT THE PERSONS INDICATED AS MEMBERS OF THE BOARD OF DIRECTORS AND OFFICERS OF THE CORPORATION HAD CONSENTED IN WRITING TO BE NOMINATED AND ELECTED.

I UNDERSTAND THAT THE FAILURE OF THE CORPORATION TO FILE THIS GIS FOR FIVE (5) CONSECUTIVE YEARS SHALL BE CONSTRUED AS NON-OPERATION OF THE CORPORATION AND A GROUND FOR THE REVOCATION OF THE CORPORATION'S CERTIFICATE OF INCORPORATION. IN THIS EVENTUALITY, THE CORPORATION HEREBY WAIVES ITS RIGHT TO A HEARING FOR THE SAID REVOCATION.

DONE THIS ___ DAY OF _____ 2019 IN CEBU CITY, PHILIPPINES.


(SIGNATURE)

SUBSCRIBED AND SWORN TO BEFORE ME IN CEBU CITY, PHILIPPINES ON **MAY 27 2019**, AFFIANT PERSONALLY APPEARED BEFORE ME AND EXHIBITED TO ME HIS/HER COMPETENT EVIDENCE OF IDENTITY _____ ISSUED BY _____.



DOC. NO. 317 ;
PAGE NO. 64 ;
BOOK NO. 15 ;
SERIES OF 2019 .

MARICRIS E. BATHAN-LASCO.CPA
NOTARY PUBLIC
UNTIL DECEMBER 31, 2020
NOTARIAL COMMISSION NO. 117-09
PER No. 1648491-CC-12/19/18
IBP LIFETIME No. 00327/CEBU CITY
2/F BPI BLDG. MAGALLANES ST. CEBU CITY
ROLL No. 58408



GENERAL INFORMATION SHEET

(STOCK CORPORATION)

=====PLEASE PRINT LEGIBLY=====

CORPORATE NAME:

FILIPINO FUND, INC.

A. Is the Corporation a covered person under the Anti Money Laundering Act (AMLA), as amended? (Rep. Acts. 9160/9164/10167/10365) Yes No

Please check the appropriate box:

<p>1.</p> <ul style="list-style-type: none"> <input type="checkbox"/> a. Banks <input type="checkbox"/> b. Offshore Banking Units <input type="checkbox"/> c. Quasi-Banks <input type="checkbox"/> d. Trust Entities <input type="checkbox"/> e. Non-Stock Savings and Loan Associations <input type="checkbox"/> f. Pawnshops <input type="checkbox"/> g. Foreign Exchange Dealers <input type="checkbox"/> h. Money Changers <input type="checkbox"/> i. Remittance Agents <input type="checkbox"/> j. Electronic Money Issuers <input type="checkbox"/> k. Financial Institutions which Under Special Laws Are subject to Sentral ng Pilipinas' (BSP) supervision and/or regulation, including their subsidiaries and affiliates. 	<p>4. <input type="checkbox"/> Jewelry dealers in precious metals, who, as a business, trade in precious metals.</p> <hr/> <p>5. <input type="checkbox"/> Jewelry dealers in precious stones, who, as a business, trade in precious stone</p> <hr/> <p>6. Company service providers which, as a business, provide any of the following services to third parties:</p> <ul style="list-style-type: none"> <input type="checkbox"/> a. acting as a formation agent of juridical persons <input type="checkbox"/> b. acting as (or arranging for another person to act as) a director or corporate secretary of a company, a partner of a partnership, or a similar position in relation to other juridical persons <input type="checkbox"/> c. providing a registered office, business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or arrangement <input type="checkbox"/> d. acting as (or arranging for another person to act as) a nominee shareholder for another person
<p>2.</p> <ul style="list-style-type: none"> <input type="checkbox"/> a. Insurance Companies <input type="checkbox"/> b. Insurance Agents <input type="checkbox"/> c. Insurance Brokers <input type="checkbox"/> d. Professional Reinsurers <input type="checkbox"/> e. Reinsurance Brokers <input type="checkbox"/> f. Holding Companies <input type="checkbox"/> g. Holding Company Systems <input type="checkbox"/> h. Pre-need Companies <input type="checkbox"/> i. Mutual Benefit Association <input type="checkbox"/> j. All Other Persons and entities supervised and/or regulate by the Insurance Commission (IC) 	<p>7. Persons who provide any of the following services:</p> <ul style="list-style-type: none"> <input type="checkbox"/> a. managing of client money, securities or other assets <input type="checkbox"/> b. management of bank, savings or securities accounts <input type="checkbox"/> c. organization of contributions for the creation, operation or management of companies <input type="checkbox"/> d. creation, operation or management of juridical persons or arrangements, and buying and selling business entities <p style="text-align: center;"><input type="checkbox"/> None of the above</p> <p style="text-align: center;">Describe nature of business: Close-end Investment Company</p>
<p>3.</p> <ul style="list-style-type: none"> <input type="checkbox"/> a. Securities Dealers <input type="checkbox"/> b. Securities Brokers <input type="checkbox"/> c. Securities Salesman <input type="checkbox"/> d. Investment Houses <input type="checkbox"/> e. Investment Agents and Consultants <input type="checkbox"/> f. Trading Advisors <input type="checkbox"/> g. Other entities managing Securities or rendering similar services <ul style="list-style-type: none"> <input checked="" type="checkbox"/> h. Mutual Funds or Open-end Investment Companies <input type="checkbox"/> i. Close-end Investment Companies <input type="checkbox"/> j. Common Trust Funds or Issuers and other similar entities <input type="checkbox"/> k. Transfer Companies and other similar entities <input type="checkbox"/> l. Other entities administering or otherwise dealing in currency, commodities or financial derivatives based there on <input type="checkbox"/> m. Entities administering of otherwise dealing in valuable objects <input type="checkbox"/> n. Entities administering or otherwise dealing in cash Substitutes and other similar monetary instruments or property supervised and/or regulated by the Securities and Exchange Commission (SEC) 	

B. Has the Corporation complied with the requirements on Customer Due Diligence (CDD) or Know Your Customer (KYC), record-keeping, and submission of reports under the AMLA, as amended, since the last filing of its GIS? Yes No