

DOCUMENTS/INFORMATION ON ORGANIZATIONAL STRUCTURE AND OPERATIONAL POLICIES

(Appendix to Sec. 173 on Submission of certain required information)

1. Chart of the firm's organizational structure or any substitute therefore;
2. Name of departments/units/offices with their respective functions and responsibilities;
3. Designations of positions in each department/unit/office with the respective duties and responsibilities;
4. Manual of Instructions or the like embodying the operational policies/ procedures of each department/unit/ office, covering such areas as:
 - a. Signing/delegated authority;
 - b. Procedure/flow of paper work; and
 - c. Other matters;
5. Memoranda-Circulars or the like issued covering organizational and operational policies;
6. Sample copies of each of the forms/ reports used by each office/unit/ department other than those submitted to the Bangko Sentral; and
7. Such other documents/information that may be required from time to time by the supervisory/regulatory department concerned.