

Energy Regulatory Commission
Market Operations Service - Licensing & Market Monitoring Division

**Checklist of Requirements for Amendment of COC
For Change of Ownership**

Name of GENCO: _____

A. General Requirements

- 1. Application Form for Amendment of COC (COC Form No.1)
- 2. Company Profile (COC Form No. 2)

B. COC Application Fee

- 3. P3,000.00

C. Technical Qualification

- 4. Sworn Statement that each of the Facilities will comply with the PGC and PDC for the duration of the COC (Form No.4)
- 5. Sworn Statement that the company and its Generating Facilities will comply with the Wholesale Electricity Spot Market (WESM) Rules and Manuals for the duration of the COC, upon its registration with the WESM, when applicable (Form No.5)

D. Financial Capability

- 6. Complete set of Audited Financial Statements (AFS) covering the two (2) most recent twelve (12) month periods, (i.e., balance sheet, income statement, statement of cash flows, notes, audit opinion and the statement of management's responsibility on the financial statements)
- 7. Five (5) year financial plan

E. Ownership/Control

- 8. SEC – Amended Articles of Incorporation/ Amended Certificate of Registration
- 9. Latest General Information Sheet (GIS) of the applicant- Securities and Exchange Commission (SEC) Form
- 10. Sworn Statement that the applicant complies with and will continue to comply with the provisions on cross ownership and market share restrictions under Republic Act No. 9136, its Implementing Rules and Regulations, and these Revised Rules for the duration of the COC (Form No.6);

F. Other Requirements

11. Such other information or document that the ERC may require.

Evaluator's Comment/Recommendation:

Legend:

✓ - Submitted Document with Complete Entries
Inc. - Incomplete Entries on Submitted Forms

N/A - Not applicable

Note:

* Only forms/ documents with complete entries will be accepted; otherwise it will be returned to the applicant for re-submission of forms with complete entries

Documents Checked/Evaluated by: _____

Signature over Printed Name - Position/ Date