

## TRANSFER OF SHARES OF DECEASED STOCKHOLDER

### A. JUDICIAL SETTLEMENT (DOCUMENTS):

1. NSO/PSA certified true copy of death certificate
2. NSO/PSA certified true copies of marriage certificate (surviving spouse/married surviving child/children) and/or birth certificates of the child/children (if with surviving child/children)
3. Clear and legible two (2) copies of valid government identification cards each of the surviving heir
4. Original copy/ies of the stock certificates issued in the name of the deceased stockholder
5. Specimen Signature Cards of the surviving heirs (available at RCBC Stock Transfer Office)
6. Original copy of the signed and notarized copy of the Special Power of Attorney if all or one of the surviving heirs is represented by his/her attorney-in-fact. If one of the surviving heir is residing outside of the Philippines, the notarized Special Power of Attorney (together with the valid government identification card) should be presented to the nearest Philippine consul for authentication and the original DFA authenticated documents should be submitted to RCBC Stock Transfer.
7. Certified true copy of the Petition (probate of a last will and testament, partition, judicial settlement) by the legal counsel bearing stamped received by the proper court.
8. Certified true copy/ies by the branch clerk of court of the proper court of the Orders/Decisions on the following:
  - (i) Appointing the administrator/executor
  - (ii) Approving the posting of heir's bond from a reputable bonding company and taking of oath of the court-appointed administrator/executor
  - (iii) Approving the petition/partition/list of inventory report/s
  - (iv) Certificate of Finality of the order approving the probate of a last will and testament, partition or judicial settlement
9. Original/certified true copy of the BIR issued Certificate Authorizing Registration (CAR)/Tax Clearance specifically covering the shares of stock
10. Proof of paid estate tax
11. Transfer Instruction Letter (Available at RCBC Stock Transfer Office)
12. Transfer Fee ( Php 100.00 / issuance & Php 20.00 / cancellation)

## **B. EXTRA-JUDICIAL SETTLEMENT (DOCUMENTS):**

1. NSO/PSA certified true copy of death certificate
2. NSO/PSA certified true copies of marriage certificate (surviving spouse/married surviving child/children) and/or birth certificates of the child/children (if with surviving child/children)
3. Clear and legible two (2) copies of valid government identification cards each of the surviving heir
4. Original copy/ies of the stock certificates issued in the name of the deceased stockholder
5. Specimen Signature Cards of the surviving heirs (available at RCBC Stock Transfer Office)
6. Original copy of the signed and notarized copy of the Special Power of Attorney if all or one of the surviving heirs is represented by his/her attorney-in-fact. If one of the surviving heir is residing outside of the Philippines, the notarized Special Power of Attorney (together with the valid government identification card) should be presented to the nearest Philippine consul for authentication and the original DFA authenticated documents should be submitted to RCBC Stock Transfer
7. Original copy of the petition for extra-judicial settlement of estate of deceased stockholder (bearing stamped received by the registry of deeds where the deceased stockholder last resided)
8. Original copy of the heirs bond from a reputable bonding company (bearing stamped received by the registry of deeds where the deceased stockholder last resided) in an amount equivalent to the value of the personal property involved as certified under oath by the parties concerned and conditioned upon the payment of any just claim that may be filed under Section 4 of Rule 74 of the Rules of Court, as revised
9. Notarized original Waiver of Rights for fractional shares; if applicable
10. Original copy of the Affidavit of Publication covering the petition for extra-judicial settlement
11. Copies of newspaper issues where the petition for extra-judicial settlement was published (to be published once a week for three (3) consecutive week in a newspaper of general circulation)
13. Original/certified true copy of the BIR issued Certificate Authorizing Registration (CAR)/Tax Clearance specifically covering the shares of stock
14. Proof of paid estate tax
15. Transfer Instruction Letter (Available at RCBC Stock Transfer Office)
16. Transfer Fee ( Php 100.00 / issuance & Php 20.00 / cancellation)

**NOTE:**

1. **TO THE SURVIVING HEIR/S OF DECEASED STOCKHOLDER, WE HEREBY ADVISE YOU TO SEEK ASSISTANCE FROM YOUR PERSONAL LEGAL COUNSELS IN THE PREPARATION OF DOCUMENTS AND ITS SUBMISSION TO THE PROPER GOVERNMENT AGENCIES IN RELATION TO THE SETTLEMENT OF ESTATE OF DECEASED STOCKHOLDER, EITHER JUDICIALLY OR EXTRA-JUDICIALLY, IN ACCORDANCE WITH THE RULES OF COURT, PRESIDENTIAL DECREE NO. 1529, OTHER APPLICABLE LAWS, IMPLEMENTING RULES AND REGULATIONS (AND FUTURE LAWS).**
2. The Petition for Extra-Judicial Settlement of Estate of Deceased Stockholder must state the following: (a) the decedent left no will, (b) the decedent left no debt, (c) each heir's relationship to the decedent (e.g. spouse, son, daughter, father, mother, etc), (d) they are the decedent's only surviving heirs, (e) an enumeration and a brief description of the decedent's properties, both real and personal, which the heirs are now dividing among themselves. THE PETITION SHOULD EXPRESSLY MENTION THE SPECIFIC SHARES TO BE TRANSFERRED.
3. The following legal documents must be Consularized or Apostille if they were issued abroad:
  - (i) Death certificate
  - (ii) Marriage certificate
  - (iii) Birth certificate
  - (iv) Special Power of Attorney (SPA)
4. Secure a Certification of Market Price at the Time of Death from the Philippine Stock Exchange Head Office.  
You may contact them to these landline numbers or visit their website [www.pse.com.ph](http://www.pse.com.ph) for the requirements and fee for the certification.  
PSE 8688-7413 / 8876-4888
5. In securing the Heir's Bond, kindly take note of the following:
  - (i) the Bond must be issued per Company/Stocks
  - (ii) it must indicate the Company/Stocks as Obligee
  - (iii) Surety Bond as Heir's Bond is not acceptable
  - (iv) are held and firmly bound unto to the Issuer/Company and RCBC not to the Registry of Deeds

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-Nothing follows-

## **SINGLE TO MARRIED (Change of Name)**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the shareholder)
2. NSO/PSA COPY OF MARRIAGE CERTIFICATE  
(IF ISSUED ABROAD – Consularized or Apostilled)
3. SPECIMEN SIGNATURE CARD (see attached form)
4. COPY OF TWO (2) VALID GOVERNMENT IDs
5. TRANSFER INSTRUCTION LETTER (see attached form)
6. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

**MARRIED TO SINGLE due to Deceased Husband (Change of Name)**

1. Original stock certificate duly endorsed by the stockholder
2. NSO/PSA copy of Marriage Certificate  
(IF ISSUED ABROAD – Consularized or Apostille)
3. Birth Certificate - Wife (PSA copy)
4. NSO/PSA copy of Death Certificate
5. Copy of valid govt IDs
6. Specimen signature card (see attached form)
7. Transfer Instruction Letter (see attached form)
8. Processing Fee - Php100.00 / issuance & Php20.00 / cancellation

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-Nothing follows-

**MARRIED TO SINGLE due to Annulment (Change of Name)**

1. Original stock certificate duly endorsed by the stockholder
2. NSO/PSA copy of Birth & Marriage Certificates  
Note: Any documents issued by a foreign country must be Consularized or Apostille
3. Annulment Papers certified true copy by Clerk of Court
4. Certificate of Finality certified true copy by Clerk of Court
5. Copy of valid govt IDs
6. Specimen signature card (See attached form)
7. Transfer Instruction Letter (See attached form)
8. Processing Fee - Php100.00 / issuance & Php20.00 / cancellation

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-Nothing follows-

## INDIVIDUAL TO INDIVIDUAL (No Sale Involved)

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Transferor)
2. DEED OF TRANSFER OF RIGHTS or DONATION (Indicate Cert. No. and No. of Shares) – **Notarized**
3. PAYMENT OF DONOR'S TAX / CAR (BIR OFFICE)
4. TWO (2) VALID GOVERNMENT ID'S WITH PHOTO AND CLEAR SIGNATURE OF THE TRANSFEROR & TRANSFEREE
5. SPECIMEN SIGNATURE CARD DULY SIGNED BY TRANSFEROR & TRANSFEREE (see attached form)
6. TRANSFER INSTRUCTION LETTER (see attached form)
7. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

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-Nothing follows-

## **INDIVIDUAL TO INDIVIDUAL (With Sale Involved)**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Transferor)
2. DEED OF SALE (Indicate Cert. No. and No. of Shares) - **Notarized**
3. FILING OF CAPITAL GAIN TAX (BIR Office)
4. TWO (2) VALID GOVERNMENT IDS OF THE TRANSFEROR & TRANSFEREE with photo and signature
5. SPECIMEN SIGNATURE CARD DULY SIGNED BY TRANSFEROR & TRANSFEREE (see attached form)
6. TRANSFER INSTRUCTION LETTER (see attached form)
7. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

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-Nothing follows-



## **INDIVIDUAL TO INDIVIDUAL (No Sale Involved)**

### **Physically & Mentally Incapacitated**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Transferor)
3. DEED OF TRANSFER OF RIGHTS (duly executed by the legal guardian duly appointed by the court in favor of the TRANSFEREE when the circumstances warrants) (Indicate Cert. No. and No. of Shares) – **Notarized**
4. PAYMENT OF DONOR'S TAX / CAR (BIR OFFICE)
5. MEDICAL CERTIFICATE - notarized
6. AFFIDAVIT TO THUMBMARK (executed by attending physician and spouse or children of stockholder)
7. HOLD HARMLESS UNDERTAKING executed by the spouse or children of stockholder (if stockholder is physically & mentally incapacitated)
8. DOCTOR'S valid government ID bearing his photo and signature (photocopy is acceptable unless originally seen by an officer of the Stock Transfer Agent with the original copy)
9. TWO (2) government VALID ID'S OF THE TRANSFEROR & TRANSFEREE with photo and signature
10. SPECIMEN SIGNATURE CARD DULY SIGNED BY TRANSFEROR & TRANSFEREE (see attached form)
11. TRANSFER INSTRUCTION LETTER (see attached form)
12. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## **CORPORATION TO CORPORATION (No Sale Involved)**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Authorized Signatory of the Company)
2. PAYMENT OF DONOR'S TAX / CAR (BIR Office)
3. DEED OF TRANSFER OF RIGHTS (Indicate Cert. No. and No. of Shares) - **Notarized**
4. TWO VALID government ID'S OF AUTHORIZED SIGNATORY/IES & CORPORATE SECRETARY with photo and signature
5. BASIC CORPORATE PAPERS OF BOTH PARTIES (see listed below)
6. SPECIMEN SIGNATURE CARD - Duly signed by Authorized Signatories of Both Parties & authenticated by the Corp. Sec. (see attached form)
7. TRANSFER INSTRUCTION LETTER (see attached form)
8. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## **BASIC CORPORATE PAPERS**

1. Secretary's Certificate Specifying The Authorized Signatories of the Company and approval by the board of directors/shareholders to assign/transfer or to acquire/accept the shares  
(Original copy and notarized) (if photocopy is presented it must be certified true copy by the Corp. Secretary)
2. Articles of Incorporation and By-Laws (certified true copy by the Corp. Secretary)
3. Latest General Information Sheet (certified true copy by the Corp. Secretary)

## **CORPORATION TO CORPORATION (With Sale Involved)**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Authorized Signatory of the Company)
2. FILING OF CAPITAL GAIN TAX / CAR (BIR Office)
3. PAYMENT OF DOCUMENTARY STAMP (BIR Office)
4. DEED OF SALE (Indicate Cert. No. and No. of Shares) - **Notarized**
5. TWO VALID GOVERNMENT ID'S OF AUTHORIZED SIGNATORY & CORPORATE SECRETARY with photocopy and signature
6. BASIC CORPORATE PAPERS OF BOTH PARTIES (see listed below)
7. SPECIMEN SIGNATURE CARD - Duly signed by authorized signatory of the corporation duly authenticated by the Corp. Sec. (see attached form)
8. TRANSFER INSTRUCTION LETTER (see attached form)
9. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## **BASIC CORPORATE PAPERS**

1. Secretary's Certificate Specifying The Authorized Signatories of the Company and approval by the board of directors/shareholders to sell/dispose/assign/transfer or to acquire/purchase the shares (Original copy and notarized) (if photocopy is presented it must be certified true copy by the Corp. Secretary)
2. Articles of Incorporation and By-Laws (certified true copy by the Corp. Secretary)
3. Latest General Information Sheet (certified true copy by the Corp. Secretary)

## **INDIVIDUAL TO CORPORATION (No Sale Involved)**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Transferor)
2. PAYMENT OF DONOR'S TAX / CAR (BIR OFFICE)
3. DEED OF TRANSFER OF RIGHTS (Indicate Cert. No. and No. of Shares) - **Notarized**
4. TWO (2) GOVERNMENT VALID ID'S OF THE TRANSFEROR & TRANSFEREE authorized signatory and Corporate Secretary with photo and signature
5. BASIC CORPORATE PAPERS OF THE COMPANY TRANSFEREE (see listed below)
6. SPECIMEN SIGNATURE CARD DULY SIGNED BY TRANSFEROR & TRANSFEREE'S authorized signatories (see attached form)
- 7 TRANSFER INSTRUCTION LETTER (see attached form)
- 8 TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## **BASIC CORPORATE PAPERS**

1. Secretary's Certificate Specifying The Authorized Signatories of the Company (Transferee) and approval by the board of directors/shareholders to acquire/accept the shares  
(Original copy and notarized) (if photocopy is presented it must be certified true copy by the Corp. Secretary)
2. Articles of Incorporation and By-Laws (certified true copy by the Corporate Secretary)
3. Latest General Information Sheet (certified true copy by the Corp). Secretary

## INDIVIDUAL TO CORPORATION (With Sale Involved)

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Transferor)
2. FILING OF CAPITAL GAIN TAX / CAR (BIR OFFICE)
3. PAYMENT OF DOCUMENTARY STAMP (BIR OFFICE)
4. DEED OF SALE (Indicate Cert. No. and No. of Shares) - **Notarized**
5. TWO (2) VALID government ID'S OF THE TRANSFEROR & TRANSFEREE's authorized signatory/ies and Corporate Secretary
6. SPECIMEN SIGNATURE CARD DULY SIGNED BY TRANSFEROR & TRANSFEREE (see attached form)
7. TRANSFER INSTRUCTION LETTER (see attached form)
8. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## BASIC PAPERS

1. Secretary's Certificate Specifying The Authorized Signatories of the Company (Transferee) and approval by the board of directors/shareholders to acquire/purchase the shares (Original copy and notarized) (if photocopy is presented it must be certified true copy by the Corp. Secretary)
2. Articles of Incorporation and By-Laws (certified true copy by the Corporate Secretary)
3. Latest General Information Sheet (certified true copy by the Corp). Secretary

## **CORP. / SINGLE PROP. TO INDIVIDUAL (No Sale Involved)**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Authorized Signatory)
2. DEED OF TRANSFER OF RIGHTS (Indicate Cert. No. and No. of Shares) - **Notarized**
3. PAYMENT OF DONOR'S TAX / CAR (BIR OFFICE)
- 4 TWO (2) VALID GOVERNMENT ID'S OF THE TRANSFEROR & TRANSFEREE WITH photo and signature
5. CERTIFICATE OF REGISTRATION ISSUED BY THE DEPARTMENT OF TRADE & INDUSTRY (for Single Proprietorship)
6. BASIC CORPORATE PAPERS OF THE COMPANY (see listed below)
7. SPECIMEN SIGNATURE CARD DULY SIGNED BY TRANSFEROR (authorized signatory/ies & TRANSFEREE (see attached form)
8. TRANSFER INSTRUCTION LETTER (see attached form)
9. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## **BASIC CORPORATE PAPERS**

1. Secretary's Certificate Specifying The Authorized Signatories of the Company (transferor) approval by the board of directors/shareholders to assign/transfer the shares (Original copy and notarized) (if photocopy is presented it must be certified true copy by the Corp. Secretary)
2. Articles of Incorporation and By-Laws (certified true copy by the Corporate Secretary)
3. Latest General Information Sheet (certified true copy by the Corporate Secretary)

## **CORP. / SINGLE PROP. TO INDIVIDUAL (With Sale Involved)**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Authorized Signatory)
2. FILING OF CAPITAL GAIN TAX / CAR (BIR OFFICE)
3. PAYMENT OF DOCUMENTARY STAMP (BIR OFFICE)
4. DEED OF SALE (Indicate Cert. No. and No. of Shares) - **Notarized**
5. TWO (2) VALID GOVERNMENT ID'S OF THE TRANSFEROR & TRANSFEREE WITH photo and signature
5. CERTIFICATE OF REGISTRATION ISSUED BY THE DEPARTMENT OF TRADE & INDUSTRY (for Single Proprietorship)
6. BASIC CORPORATE PAPERS OF THE COMPANY (see listed below)
7. SPECIMEN SIGNATURE CARD DULY SIGNED BY TRANSFEROR (authorized signatory/ies & TRANSFEREE (see attached form)
8. TRANSFER INSTRUCTION LETTER (see attached form)
9. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## **BASIC CORPORATE PAPERS**

1. Secretary's Certificate Specifying The Authorized Signatories of the Company (transferor) approval by the board of directors/shareholders to assign/transfer the shares (Original copy and notarized) (if photocopy is presented it must be certified true copy by the Corp. Secretary)
2. Articles of Incorporation and By-Laws (certified true copy by the Corporate Secretary)
3. Latest General Information Sheet (certified true copy by the Corporate Secretary)

## **CORPORATION (Change in Corporate Name)**

1. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Authorized Signatory of the Company)
2. BASIC CORPORATE PAPERS OF THE COMPANY (see listed below)
3. Two (2) valid government ID's of the Authorized Signatories and the Corporate Secretary with photo and signature
4. SPECIMEN SIGNATURE CARD - Duly signed by the Authorized Signatory authenticated by the Corp. Sec. (see attached form)
5. TRANSFER INSTRUCTION LETTER (see attached form)
6. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## **BASIC CORPORATE PAPERS**

1. Secretary's Certificate Specifying The Authorized Signatories of the Company and approval of the board to change the name of the corporation (Original copy and notarized) (if photocopy is presented it must be certified true copy by the Corp. Secretary)
2. Amended Articles of Incorporation and By-Laws (certified true copy by the Corp. Secretary)
3. Latest General Information Sheet (certified true copy by the Corporate Secretary)



## **CORPORATION (Correction of Corporate Name)**

1. Formal letter request for correction of name
2. ORIGINAL STOCK CERTIFICATE (Duly endorsed by the Authorized Signatory of the Company)
3. BASIC CORPORATE PAPERS OF THE COMPANY (see listed below)
4. Negative Certification from Securities and Exchange Commission (SEC)
5. Notarized Affidavit of Corporate Name Discrepancy executed by the Corp. Secretary
6. Copy of valid government ID's of the Authorized Signatories and the Corporate Secretary with photo and signature (certified true copy by the Corp. Secretary)
7. SPECIMEN SIGNATURE CARD - Duly signed by the Authorized Signatory and authenticated by the Corp. Sec. (see attached form)
8. TRANSFER INSTRUCTION LETTER (see attached form)
9. TRANSFER FEE (P100.00 / issuance & P20.00 / cancellation)

## **BASIC CORPORATE PAPERS**

1. Secretary's Certificate Specifying The Authorized Signatories of the Company (Original copy and notarized)
2. Articles of Incorporation and By-Laws (certified true copy by the Corp. Secretary)
3. Latest GIS (certified true copy by the Corp. Secretary)

## TRANSFER FROM SSS FAO ACCOUNT

1. ORIGINAL STOCK CERTIFICATES DULY ENDORSED BY THE STOCKHOLDER
2. UPDATED CERTIFICATION OF FULL PAYMENT FROM SSS (ORIGINAL COPY)
3. COPY OF SSS ID OF STOCKHOLDER
4. SPECIMEN SIGNATURE CARD (SEE ATTACHED FORM)
5. TRANSFER INSTRUCTION LETTER (SEE ATTACHED FORM)
6. TRANSFER FEE PHP 100.00 / ISSUANCE ; PHP 20.00 / CANCELLATION

**NOTE:** If shareholder is unable to present an SSS ID, Please provide a SSS WEB INQUIRY EMPLOYEE STATIC INFORMATION from any SSS branch or download from SSS website indicating the correct and complete information such as name, birthdate, SSS number and address that matches with client's valid IDs or matches with the records in the system.

## **TRANSFER FROM GSIS FAO ACCOUNT**

1. ORIGINAL STOCK CERTIFICATES DULY ENDORSED BY THE STOCKHOLDER
2. UPDATED CERTIFICATION OF FULL PAYMENT FROM GSIS (ORIGINAL COPY)
3. COPY OF VALID GOVT IDS OF THE STOCKHOLDER
4. COPY OF GSIS ID OF THE SIGNATORY OF THE CERTIFICATION (WITH SIGNATURE)
5. SPECIMEN SIGNATURE CARD (SEE ATTACHED FORM)
6. TRANSFER INSTRUCTION LETTER (SEE ATTACHED FORM)
7. TRANSFER FEE PHP 100.00 / ISSUANCE ; PHP 20.00 / CANCELLATION

## **TRANSFER FROM IN TRUST FOR (ITF) ACCOUNT**

1. ORIGINAL STOCK CERTIFICATE DULY ENDORSED BY THE BENEFICIARY
2. COPY OF VALID GOVT IDS OF THE BENEFICIARY
3. NSO/PSA COPY OF BIRTH CERTIFICATE
4. SPECIMEN SIGNATURE CARD (SEE ATTACHED FORM)
5. TRANSFER INSTRUCTION LETTER SIGNED (SEE ATTACHED FORM)
6. TRANSFER FEE PHP 100.00 / ISSUANCE ; PHP 20.00 / CANCELLATION

**NOTE:** The Beneficiary must be of legal age.

## **CORRECTION OF NAME (FOR OTHER ISSUE)**

1. Letter request for correction of name
2. Original stock certificate (with signature at the back)
3. Notarized Joint Affidavit of Two Disinterested Persons (see attached sample template)
4. Copy of valid gov't IDs of Affiants
5. Notarized Sworn Affidavit of Name Discrepancy (see attached sample template)
6. Birth and Marriage Certificates of Stockholder (NSO/PSA copy)
7. Copy of valid govt ID's of Stockholder preferably one is the govt issued Passport
8. Specimen signature card (see attached form)
9. Transfer Instruction Letter (see attached form)
10. Payment - Php 100.00 per Issuance / Php 20.00 per Cancellation