



SECURITIES AND EXCHANGE COMMISSION

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The following document has been received:

Receiving: Mark Anthony Oseña

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Company Information

SEC Registration No.: AS94003532

Company Name: LOCKTON PHILIPPINES INSURANCE & REINSURANCE BROKERS, INC.

Industry Classification: J68200

Company Type: Stock Corporation

Document Information

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Acceptance of this document is subject to review of forms and contents

GENERAL INFORMATION SHEET (GIS)
FOR THE YEAR **2023**
STOCK CORPORATION

GENERAL INSTRUCTIONS:

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 AFTER THE ELECTION OF THE DIRECTORS, TRUSTEES AND OFFICERS OF THE CORPORATION AT THE ANNUAL MEMBERS' 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 AMENDED GIS CONTAINING THE NEW INFORMATION TOGETHER WITH A COVER LETTER SIGNED BY THE CORPORATE SECRETARY OF THE CORPORATION. THE AMENDED GIS AND COVER LETTER SHALL BE SUBMITTED WITHIN SEVEN (7) DAYS AFTER SUCH CHANGE OCCURED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE RECEIVING SECTION AT THE SEC MAIN OFFICE, OR TO SEC SATELLITE OFFICES OR EXTENSION OFFICES. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE
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: LOCKTON PHILIPPINES INSURANCE & REINSURANCE BROKERS, INC.		DATE REGISTERED: 19 April 1994	
BUSINESS/TRADE NAME: LOCKTON PHILIPPINES INSURANCE & REINSURANCE BROKERS, INC.		FISCAL YEAR END: December 31	
SEC REGISTRATION NUMBER: AS094-003532		CORPORATE TAX IDENTIFICATION NUMBER (TIN) 003-832-821-000	
DATE OF ANNUAL MEETING PER BY-LAWS: Every 31st day of March		WEBSITE/URL ADDRESS: global.lockton.com	
ACTUAL DATE OF ANNUAL MEETING: 16 June 2023		E-MAIL ADDRESS: info.ph@lockton.com	
COMPLETE PRINCIPAL OFFICE ADDRESS: 29th Floor, Rufino Pacific Tower, 6784 Ayala Avenue, Makati City, Metro Manila		FAX NUMBER: 8811-0069 / 8811-0093	
COMPLETE BUSINESS ADDRESS: 29th Floor, Rufino Pacific Tower, 6784 Ayala Avenue, Makati City, Metro Manila		ALTERNATE MOBILE NO. +63 917 542 2128	
OFFICIAL E-MAIL ADDRESS info.ph@lockton.com	ALTERNATE E-MAIL ADDRESS aigina.Ogali@lockton.com	OFFICIAL MOBILE NO. +639178009207	ALTERNATE MOBILE NO. +63 917 542 2128
NAME OF EXTERNAL AUDITOR & ITS SIGNING PARTNER: Navarro Amper & Co.		SEC ACCREDITATION NUMBER (if applicable)	TELEPHONE NUMBER(S): +632 8811 0388
PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGE IN: Act as broker in procuring, negotiating, receiving, managing and forwarding applications for all types of insurance and reinsurance.		INDUSTRY CLASSIFICATION: Insurance Broker	GEOGRAPHICAL CODE:

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

PARENT COMPANY	SEC REGISTRATION NO.	ADDRESS
N/A	N/A	N/A
SUBSIDIARY/AFFILIATE	SEC REGISTRATION NO.	ADDRESS
LOCKTON OVERSEAS LIMITED	N/A	The St. Botolph Building 138 Houndsditch LONDON EC3A 7AG

NOTE : USE ADDITIONAL SHEET IF NECESSARY.

GENERAL INFORMATION SHEET

STOCK CORPORATION

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

CORPORATE NAME:

LOCKTON PHILIPPINES INSURANCE & REINSURANCE BROKERS, 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	100,000	P100.00	10,000,000.00
TOTAL		100,000	TOTAL P	10,000,000.00

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
	Five (5)	Common	66,670		P100.00	6,667,000.00	66.67%
TOTAL			66,670		TOTAL P	6,667,000.00	66.67%
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
British	Two (2)	Common	33,329		P100.00	3,332,900.00	33.33%
Chinese	One (1)	Common	1		P100.00	100.00	0.00%
Percentage of Foreign Equity: TOTAL			33,330		TOTAL P	3,330,000.00	33.33%
					TOTAL SUBSCRIBED P	10,000,000.00	100%

PAID-UP CAPITAL

FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES*	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (Php)	% OF OWNER-SHIP
	Five (5)	Common	66,670	P100.00	6,667,000.00	66.67%
TOTAL			66,670		TOTAL P	6,667,000.00
FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES*	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (Php)	% OF OWNER-SHIP
British	Two (2)	Common	33,329	P100.00	3,332,900.00	33.33%
Chinese	One (1)	Common	1	P100.00	100.00	0.00%
TOTAL			33,330		TOTAL P	3,333,000.00
					TOTAL PAID-UP P	10,000,000.00
						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:

LOCKTON PHILIPPINES INSURANCE & REINSURANCE BROKERS, INC.

DIRECTORS/OFFICERS

NAME AND CURRENT RESIDENTIAL ADDRESS	NATIONALITY	INC'R	BOARD	GENDER	STOCK HOLDER	OFFICER	EXEC. COMM.	TAX IDENTIFICATION NUMBER
1. ELFREN S. CRUZ 146 Don Rufino Avenue Tahanan Village Sucat, Parañaque City, Metro Manila	Filipino	N	C	M	Y	Chairman/ Treasurer & Chief Finance Officer/ Corporate Secretary	N/A	157-394-480
2. VICTORIO C. VALLEDOR 102 Kanlaon Street, Ayala Alabang Village Muntinlupa City, Metro Manila	Filipino	Y	M	M	Y	President & Chief Executive Officer	N/A	106-971-494
3. MANUEL C. QUIJANO 339 Batangas South Ayala Alabang Village 1780, Muntinlupa City	Filipino	N	M	M	Y	Vice-President & Chief Operating Officer	N/A	110-143-103
4. PATERNO ESMAQUEL Unit 1706 Prestige Tower Condominium, F. Ortigas Jr. Road, Ortigas Center, Pasig City	Filipino	N	M	M	Y	N/A	N/A	105-358-174
6. AIGINA KRISTEL V. OGALI Unit 1202 Manila Residences Tower II Taft Avenue, Manila	Filipino	N	N/A	F	N	Assistant Corporate Secretary	N/A	252-986-412
7. RICHARD HENRICK I. BELTRAN V&A Law Center, 11 th Avenue corner 39 th Street, Bonifacio Global City 1634 Metro Manila	Filipino	N	N/A	M	N	Assistant Corporate Secretary	N/A	443-202-748
8. [VACANT]								

INSTRUCTIONS:

FOR SEX COLUMN, PUT "F" FOR FEMALE, "M" FOR MALE.
 FOR BOARD COLUMN, PUT "C" FOR CHAIRMAN, "M" FOR MEMBER.
 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:

LOCKTON PHILIPPINES INSURANCE & REINSURANCE BROKERS, INC.

TOTAL NUMBER OF STOCKHOLDERS: **Six (8)**

NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH: **Two (2)**

TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS: **PhP879,205,655.00**

STOCKHOLDER'S INFORMATION

NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED			% OF OWNER-SHIP	AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)			
1. VICTORIO C. VALLEDOR Filipino 102 Kanlaon Street, Ayala Alabang Village Muntinlupa City, Metro Manila	Common	66,662	6,666,200.00	66.67%	6,666,200.00	106-971-494
	TOTAL	66,662	6,666,200.00			
2. LOCKTON OVERSEAS LIMITED British St. Botolph Building, 138 Houndsditch, London EC3AG	Common	33,328	3,332,800.00	33.33%	3,332,800.00	242-763-168
	TOTAL	33,328	3,332,800.00			
3. ELFREN S. CRUZ Filipino 146 Don Rufino Avenue Tahanan Village Sucat, Parañaque City, Metro Manila	Common	3	300.00	0.00%	300.00	157-394-480
	TOTAL	3	300.00			
4. JOHN C. KAW Filipino 108 General Concepcion Street Caloocan City, Metro Manila	Common	3	300.00	0.00%	300.00	107-742-746
	TOTAL	3	300.00			
5. DAVID STEPHEN WHITEWOOD British St. Botolph Building 138 Houndsditch London EC 31 7AG	Common	1	100.00	0.00%	100.00	453-094-659
	TOTAL	1	100.00			
6. YIP KAM KEUNG ALEX Chinese Suite 903, 9 Floor, PCCW Tower Taikoo Place, 979 King's Road Island East, Hong Kong	Common	1	100.00	0.00%	100.00	741-834-730
	TOTAL	1	100.00			
7. MANUEL C. QUIJANO Filipino 339 Batangas South Ayala Alabang Village 1780, Muntinlupa City	Common	1	100.00	0.00%	100.00	110-143-103
	TOTAL	1	100.00			
8. PATERNO ESMAQUEL Filipino Unit 1706 Prestige Tower Condominium, F. Ortigas Jr. Road, Ortigas Center, Pasig City	Common	1	100.00	0.00%	100.00	105-358-174
	TOTAL	1	100.00			
TOTAL AMOUNT OF SUBSCRIBED CAPITAL			10,000,000.00	100%		
TOTAL AMOUNT OF PAID-UP CAPITAL					10,000,000.00	

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:

LOCKTON PHILIPPINES INSURANCE & REINSURANCE BROKERS, INC.

1. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION	AMOUNT (Php)	DATE OF BOARD RESOLUTION	
1.1 STOCKS	N/A	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	N/A	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	
3. TREASURY SHARES	NO. OF SHARES	% AS TO THE TOTAL NO. OF SHARES ISSUED	
	N/A	N/A	
4. UNRESTRICTED/UNAPPROPRIATED RETAINED EARNINGS AS OF END OF LAST FISCAL YEAR: PhP244,904,495.00			
5. DIVIDENDS DECLARED DURING THE IMMEDIATELY PRECEDING YEAR : PhP220,000,000.00			
TYPE OF DIVIDEND	AMOUNT (Php)	DATE DECLARED	
5.1 CASH			
5.2 STOCK			
5.3 PROPERTY			
TOTAL P			
6. ADDITIONAL SHARES ISSUED DURING THE PERIOD:			
DATE	NO. OF SHARES	AMOUNT	
SECONDARY LICENSE/REGISTRATION WITH SEC AND OTHER GOV'T AGENCY:			
NAME OF AGENCY:	SEC	BSP	IC
TYPE OF LICENSE/REGN.	N/A	N/A	IB-09-2022-R / RB-03-2022-R
DATE ISSUED:	N/A	N/A	1 January 2022
DATE STARTED OPERATIONS:	N/A	N/A	19 April 1994
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
N/A	30	68	98

NOTE: USE ADDITIONAL SHEET IF NECESSARY

I, **RICHARD HENRICK I. BELTRAN**, Assistant Corporate Secretary of the above mentioned corporation, declare under penalty of perjury that all matters set forth in this GIS 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 attest that all the information in this GIS are being submitted in compliance with the rules and regulations of the Securities and Exchange Commission (SEC) the collection, processing, storage and sharing of said information being necessary to carry out the functions of public authority for the performance of the constitutionally and statutorily mandated functions of the SEC as a regulatory agency.

I further attest that I have been authorized by the Board of Directors/Trustees to file this GIS with the SEC.

I understand that the Commission may place the corporation under delinquent status for failure to submit the reportorial requirements three (3) times, consecutively or intermittently, within a period of five (5) years (*Section 177, RA No. 11232*).


Done this _____ day of JUL 14 2023 2023 in TAGUIG City.



RICHARD HENRICK I. BELTRAN
Signature over printed name

SUBSCRIBED AND SWORN TO before me in TAGUIG City on JUL 14 2023 2023, affiant personally appeared before me presenting and exhibiting competent evidence of his identity, PP# P6245813B bearing his photograph and signature, issued by the DFA Manila on 09 FEB 2021.

Book No. 156 ;
Doc No. 33 ;
Page No. I ;
Series of 2023.



JEHO EDRIC F. FAJARDO
Notary Public for Taguig City, Philippines
Appointment No. 122 (2023-2024), Until 31 December 2024
Roll No. 78794, Makati Chapter
IBP No. 232009 – 06/20/22
PTR No. 9569346 – 01/05/23 – Makati City
V&A LAW CENTER 11th Avenue corner 39th Street,
Bonifacio Triangle, Bonifacio Global City 1634, Metro Manila

BENEFICIAL OWNERSHIP DECLARATION

SEC REGISTRATION NUMBER	:	AS094-003532
CORPORATE NAME	:	LOCKTON PHILIPPINES INSURANCE & REINSURANCE BROKERS, INC.

Instructions:

1. Identify the Beneficial Owner/s of the corporation as described in the Categories of Beneficial Ownership in items A to I below. List down as many as you can identify. You may use an additional sheet if necessary.
2. Fill in the required information on the beneficial owner in the fields provided for.
3. In the "Category of Beneficial Ownership" column, indicate the letter(s) corresponding thereto. In the event that the person identified as beneficial owner falls under several categories, indicate all the letters corresponding to such categories.
4. If the category is under letter "I", indicate the position held (i.e., Director/Trustee, President, Chief Executive Officer, Chief Operating Officer, Chief Financial Officer, etc.).
5. Do not leave any item blank. Write "N/A" if the information required is not applicable or "NONE" if non-existent.

"Beneficial Owner" refers to any natural person(s) who ultimately own(s) or control(s) or exercise(s) ultimate effective control over the corporation. This definition covers the natural person(s) who actually own or control the corporation as distinguished from the legal owners. Such beneficial ownership may be determined on the basis of the following:

Category

Description

- A Natural person(s) owning, directly or indirectly or through a chain of ownership, at least twenty-five percent (25%) of the voting rights, voting shares or capital of the reporting corporation.
- B Natural person(s) who exercise control over the reporting corporation, alone or together with others, through any contract, understanding, relationship, intermediary or tiered entity.
- C Natural person(s) having the ability to elect a majority of the board of directors/trustees, or any similar body, of the corporation.
- D Natural person(s) having the ability to exert a dominant influence over the management or policies of the corporation.
- E Natural person(s) whose directions, instructions, or wishes in conducting the affairs of the corporation are carried out by majority of the members of the board of directors of such corporation who are accustomed or under an obligation to act in accordance with such person's directions, instructions or wishes.
- F Natural person(s) acting as stewards of the properties of corporations, where such properties are under the care or administration of said natural person(s).
- G Natural person(s) who actually own or control the reporting corporation through nominee shareholders or nominee directors acting for or on behalf of such natural persons.
- H Natural person(s) ultimately owning or controlling or exercising ultimate effective control over the corporation through other means not falling under any of the foregoing categories.
- I Natural person(s) exercising control through positions held within a corporation (i.e., responsible for strategic decisions that fundamentally affect the business practices or general direction of the corporation such as the members of the board of directors or trustees or similar body within the corporation; or exercising executive control over the daily or regular affairs of the corporation through a senior management position). This category is only applicable in exceptional cases where no natural person is identifiable who ultimately owns or exerts control over the corporation, the reporting corporation having exhausted all reasonable means of identification and provided there are no grounds for suspicion.

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension (i.e., Jr., Sr., III))	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	DATE OF BIRTH	TIN	% OF OWNERSHI P1 / % OF VOTING RIGHTS ²	TYPE OF BENEFICIAL OWNER ³ Direct (D) or Indirect (I)	CATEGOR Y OF BENEFICI AL OWNERS HIP
VICTORIO C. VALLEDOR	102 Kanlaon Street, Ayala Alabang Village, Muntinlupa City, Metro Manila	Filipino	27 October 1947	106-971-494	66.67%	D	A

Note: This page is not for uploading on the SEC iView.

¹ For Stock Corporations.

² For Non-Stock Corporations.

³ For Stock Corporations.