

<b>COMPANY NAME</b>	<b>PRUDENTIAL GUARANTEE AND ASSURANCE INC</b>	<b>Source Document / Location of Information</b>	<b>Yes / No</b>	<b>Point</b>	<b>REMARKS</b>
	<b>FINANCIAL YEAR END</b>	<b>2016</b>			
<b>D</b>	<b>Disclosure and Transparency</b>				
<b>D.1</b>	<b>Transparent ownership structure</b>				
D.1.1	Does the information on shareholdings reveal the identity of beneficial owners, holding 5% shareholding or more?	General Information Sheet	Y		
D.1.2	Does the company disclose the direct and indirect (deemed) shareholdings of major and/or substantial shareholders?	General Information Sheet	Y		
D.1.3	Does the company disclose the direct and indirect (deemed) shareholdings of directors (commissioners)?	General Information Sheet	Y		
D.1.4	Does the company disclose the direct and indirect (deemed) shareholdings of senior management?	General Information Sheet	Y		
D.1.5	Does the company disclose details of the subsidiaries, associates, joint ventures and special purpose enterprises/ vehicles (SPEs)/ (SPVs)?		N/A		The company has no subsidiaries
<b>D.2</b>	<b>Quality of Annual Report</b>				The company does not publish an annual report but some items are published in the AFS or GIS
	Does the company's annual report disclose the following items:				
D.2.1	Key risks	Audited Financial Statements	Y		
D.2.2	Corporate objectives	See Website	Y		
D.2.3	Financial performance indicators	Audited Financial Statements	Y		
D.2.4	Non-financial performance indicators		N		
D.2.5	Dividend policy		N		

D.2.6	Details of whistle-blowing policy		N		
D.2.7	Biographical details (at least age, qualifications, date of first appointment, relevant experience, and any other directorships of listed companies) of directors/commissioners		Y		
D.2.8	Training and/or continuing education programme attended by each director/commissioner	Training on Corporate Governance	Y		
D.2.9	Number of board of directors/commissioners meetings held during the year		N		
D.2.10	Attendance details of each director/commissioner in respect of meetings held		N		
D.2.11	Details of remuneration of the CEO and each member of the board of directors/commissioners		N		
	Corporate Governance Confirmation Statement		Y		
D.2.12	Does the Annual Report contain a statement confirming the company's full compliance with the code of corporate governance and where there is non-compliance, identify and explain reasons for each such issue?		N		
<b>D.3.</b>	<b>Disclosure of related party transactions (RPT)</b>				
D.3.1	Does the company disclose its policy covering the review and approval of material/significant RPTs?	Audited Financial Statements	Y		
D.3.2	Does the company disclose the name of the related party and relationship for each material/significant RPT?	Audited Financial Statements	Y		
D.3.3	Does the company disclose the nature and value for each material/significant RPT?	Audited Financial Statements	Y		
<b>D.4</b>	<b>Directors and commissioners dealings in shares of the company</b>				
D.4.1	Does the company disclose trading in the company's shares by insiders?		N/A		There is no trading of Company shares
<b>D.5</b>	<b>External auditor and Auditor Report</b>				
D.5.1	Are audit fees disclosed?		N		

	Where the same audit firm is engaged for both audit and non- audit services?		N/A		The company has no non-audit engagements
D.5.2	Are the non-audit fees disclosed?		N/A		The company has no non-audit engagements
D.5.3	Does the non-audit fees exceed the audit fees?		N/A		The company has no non-audit engagements
<b>D.6</b>	<b>Medium of communications</b>				
	Does the company use the following modes of communication?				
D.6.1	Quarterly reporting	Quarterly reports are regularly submitted to the Insurance Commission	Y		Quarterly reports are regularly submitted to the Insurance Commission
D.6.2	Company website		Y		See <a href="http://www.prudentialguarantee.com">www.prudentialguarantee.com</a>
D.6.3	Analyst's briefing		N/A		There is no trading of Company shares
D.6.4	Media briefings /press conferences	-	N/A		
<b>D.7</b>	<b>Timely filing/release of annual/financial reports</b>				
D.7.1	Is the audited annual financial report released within 120 days from the financial year end?	Audited Financial Statements	Y		
D.7.2	Is the audited annual financial report released within 90 days from the financial year end?		N		
D.7.3	Is the audited annual/financial report released within 60 days from the financial year end?		N		
D.7.4	Is the true and fairness/fair representation of the annual financial statement/reports affirmed by the board of directors/commissioners and/or the relevant officers of the company?	Statement of Management Responsibility for Financial Statements	Y		
<b>D.8</b>	<b>Company website</b>				
	Does the company have a website disclosing up-to-date information on the following:				
D.8.1	Business operations		Y		

D.8.2	Financial statements/reports (current and prior years)		Y		
D.8.3	Materials provided in briefings to analysts and media		N/A		There is no trading of Company shares
D.8.4	Shareholding structure	General Information Sheet	Y		
D.8.5	Group corporate structure	Organizational Chart	Y		
D.8.6	Downloadable annual report		N		The company does not publish an annual report but some items are published in the Audited Financial Statements and General Information Sheet
D.8.7	Notice of AGM and/or EGM	Notice of Annual Stockholders' Meeting	Y		
D.8.8	Company's constitution (company's by-laws, memorandum and articles of association)	Amended by-laws and Articles of Incorporation	Y		
D.8.9	All of the above (D.8.1 to D.8.8) are available in English		Y		
<b>D.9</b>	<b>Investor relations</b>				
D.9.1	Does the company disclose the contact details (e.g. telephone, fax, and email) of the officer responsible for investor relations?		N/A		There is no trading of Company shares