



Republic of the Philippines
Securities and Exchange Commission
SEC Bldg. EDSA, Greenhills, Mandaluyong City

NOTICE

TO : MARKET PARTICIPANTS AND ALL CONCERNED

SUBJECT : EFFECTIVITY OF THE 2015 SRC RULES
ON NOVEMBER 09, 2015

DATE : NOVEMBER 05, 2015

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Please be informed that the ***2015 Implementing Rules and Regulations of the Securities Regulation Code*** or “**2015 SRC Rules**” will take effect on **November 09, 2015**, following publication in Manila Bulletin and the Philippine Star, on Sunday, October 25, 2015.

Queries in relation to the implementation of the 2015 SRC Rules maybe be directed to the offices of the Commission indicated in the attached guide.

For your guidance.

Office of the Commission Secretary



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2015 SRC RULES	OFFICE IN CHARGE
Rule 24.2 Short Sales	
Rule 28 Brokers and Dealers	
Rule 29 Protection of Customer Accounts	
Rule 30.1 Monitoring of Affiliated Transactions by Broker Dealers	
Rule 32 Exchanges & Securities Trading Markets	
Rule 33 Registration of Exchange	
Rule 34 Segregation of Broker and Dealer Transactions	
Rule 35 Additional Fees of Exchanges	
Rule 36 Transfer Agents and Clearing & Settlement	
Rule 37 Innovative and Other Trading Markets	
Rule 39.1.1 SRO which is an Organized Exchange	
Rule 39.1.2 Associations of Brokers and Dealers and Other SROs	
Rule 39.1.3 Regulatory Responsibilities Among SROs	
Rule 39.1.4 Registrars of Qualified Buyers	
Rule 40 Registration, Rulemaking, Oversight of SROs	
Rule 41 Clearing Agency	
Rule 42 Clearing Agencies and Securities Depositories	
Rule 43 Uncertificated Securities	
Rule 44 Records of Clearing Agencies	
Rule 45 Pledging of Uncertificated Securities	
Rule 46 Issuer's Responsibility for Wrongful Transfer	
Rule 47 Power of SEC with Respect to Securities Ownership	
Rule 48 Margin and Credit	
Rule 49.1 Risk Based Capital Adequacy (RBCA)	
Rule 49.2 Customer Protection Reserves and Custody of Securities	
Rule 52.1 Accounts and Records, Reports, Examination	
Rule 72.2 Procedure for Filing Request for Exemptive Relief	

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 Services Division)
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<p>Rule 8 Registration of Securities Rule 9 Exempt Securities Rule 10 Exempt Transactions Rule 12 Filing Requirements Under the Code Rule 13 Suspension or Revocation of Registration of Securities Rule 14 Amendments on the RS and Prospectus Rule 15 Procedures Revocation or Suspension of Registration Rule 17 Reportorial Requirements Rule 18 Reports to be Filed by Certain Beneficial Owners Rule 19 Tender Offers Rule 20 Disclosures to Stockholders Prior to Meetings Rule 21 Fees for Tender Offers and Certain Proxy Solicitations Rule 22 Internal Record Keeping and Accounting Controls Rule 23 Reports to be Filed by Directors, Officers and Stockholders Rule 66.3 Confidential Treatment of Information Filed with SEC Rule 72.1 General Rules and Regulations for Filing of SEC Forms Rule 72.2 Procedure for Filing Request for Exemptive Relief</p>	<p style="text-align: center;">MSRD-SRD (Securities Registration Division)</p> <p>Phone: 584-6080 584-8508</p> <p>Email: mrd@sec.gov.ph</p>
<p>Rule 11 Commodity Futures Contracts Rule 24.1 Manipulative Practices Rule 25 Option Trading Rule 26 Fraudulent Transactions Rule 27 Insider Trading Rule 53 Investigations, Injunctions and Prosecutions of Offenses Rule 54.3 Enforcement of Administrative Sanctions Rule 55.1 Settlement Offers Rule 72.2 Procedure for Filing Request for Exemptive Relief</p>	<p style="text-align: center;">EIPD (Enforcement & Investor Protection Department)</p> <p>Phone: 584-6337 584-8709</p>
<p>Rule 38 Independent Directors Rule 72.1 General Rules and Regulations for Filing of SEC Forms Rule 72.2 Procedure for Filing Request for Exemptive Relief</p>	<p style="text-align: center;">CGFD (Corporate Governance & Finance Department)</p> <p>Phone: 584-66103 584-7264</p>
<p>Rule 39.1.5 Rules Governing Credit Rating Agencies Rule 72.2 Procedure for Filing Request for Exemptive Relief</p>	<p style="text-align: center;">OGA (Office of the General Accountant)</p> <p>Phone: 584-9763</p>