

FY 2015 FINANCIAL PLAN
(In Thousand Pesos)

Department: Department of Finance (DOF)

Agency: Securities and Exchange Commission

Operating Unit:

Organization Code (UACS): 11011000000

| Particulars | UACS CODE | Current Year's Obligation | | | Budget Year Obligation Program | | | | | | | | | | |
|---|-----------|-----------------------------|------------------------------|-----------|--------------------------------|-----------------------|---------|---------|---------|-----------------|----------------------------------|----|----|----|------------------------|
| | | Actual Jan.1- Sept.30 | Estimate Oct.1- Dec.31 | Total | Total | COMPREHENSIVE RELEASE | | | | | FOR LATER RELEASE(Negative List) | | | | |
| | | | | | | Q1 | Q2 | Q3 | Q4 | Sub Total | Q1 | Q2 | Q3 | Q4 | Sub Total |
| 1 | 2 | 3 | 4 | 5= 3+4 | 6= 11+16 | 7 | 8 | 9 | 10 | 11= 7+8+9+10 | 12 | 13 | 14 | 15 | 16= 12+13+ 14+15 |
| Part A | | 249,069 | 291,614 | 540,683 | 588,280 | 147,062 | 147,062 | 147,062 | 147,094 | 588,280 | | | | | |
| Specific Budgets of National Government Agencies | | 249,069 | 291,614 | 540,683 | 574,729 | 143,676 | 143,676 | 143,676 | 143,701 | 574,729 | | | | | |
| General Administration and Support | 100000000 | 118,609 | 251,625 | 370,234 | 387,168 | 96,791 | 96,791 | 96,791 | 96,795 | 387,168 | | | | | |
| General management and supervision | 100010000 | 118,609 | 251,625 | 370,234 | 387,168 | 96,791 | 96,791 | 96,791 | 96,795 | 387,168 | | | | | |
| PS | | 54,570 | 167,468 | 222,038 | 222,421 | 55,605 | 55,605 | 55,605 | 55,606 | 222,421 | | | | | |
| MOOE | | 63,881 | 82,315 | 146,196 | 132,647 | 33,161 | 33,161 | 33,161 | 33,164 | 132,647 | | | | | |
| CO | | 158 | 1,842 | 2,000 | 32,100 | 8,025 | 8,025 | 8,025 | 8,025 | 32,100 | | | | | |
| Support to Operations | 200000000 | 8,696 | 6,000 | 14,696 | 17,314 | 4,327 | 4,327 | 4,327 | 4,333 | 17,314 | | | | | |
| Development, maintenance and administration of information systems, databases and website | 200010000 | 5,421 | 1,978 | 7,399 | 10,017 | 2,504 | 2,504 | 2,504 | 2,505 | 10,017 | | | | | |
| PS | | 4,018 | 261 | 4,279 | 4,528 | 1,132 | 1,132 | 1,132 | 1,132 | 4,528 | | | | | |
| MOOE | | 1,403 | 1,717 | 3,120 | 3,120 | 780 | 780 | 780 | 780 | 3,120 | | | | | |
| CO | | | | | 2,369 | 592 | 592 | 592 | 593 | 2,369 | | | | | |
| Conduct of public seminars and related activities for | | | | | | | | | | | | | | | |

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|---|-----------|---------|--------|---------|---------|--------|--------|--------|--------|---------|--|--|--|--|
| investment-promotion and investor protection | 200020000 | 2,365 | 2,842 | 5,207 | 5,207 | 1,301 | 1,301 | 1,301 | 1,304 | 5,207 | | | | |
| MOOE | | 2,365 | 2,842 | 5,207 | 5,207 | 1,301 | 1,301 | 1,301 | 1,304 | 5,207 | | | | |
| Development and dissemination of information materials for the public | 200030000 | 910 | 1,180 | 2,090 | 2,090 | 522 | 522 | 522 | 524 | 2,090 | | | | |
| MOOE | | 910 | 1,180 | 2,090 | 2,090 | 522 | 522 | 522 | 524 | 2,090 | | | | |
| Operations | 300000000 | 121,764 | 33,989 | 155,753 | 170,247 | 42,558 | 42,558 | 42,558 | 42,573 | 170,247 | | | | |
| MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT SERVICES | 301000000 | 11,456 | 21,591 | 33,047 | 40,676 | 10,167 | 10,167 | 10,167 | 10,175 | 40,676 | | | | |
| Capital Market Development Services | 301010000 | 11,456 | 21,591 | 33,047 | 40,676 | 10,167 | 10,167 | 10,167 | 10,175 | 40,676 | | | | |
| Formulation of policies, plans and programs for capital market | 301010001 | 10,625 | 20,558 | 31,183 | 34,598 | 8,648 | 8,648 | 8,648 | 8,654 | 34,598 | | | | |
| MOOE | | 10,625 | 20,558 | 31,183 | 31,183 | 7,795 | 7,795 | 7,795 | 7,798 | 31,183 | | | | |
| CO | | | | | 3,415 | 853 | 853 | 853 | 856 | 3,415 | | | | |
| Provision of technical assistance and inter-agency activities | 301010002 | 476 | 930 | 1,406 | 5,621 | 1,405 | 1,405 | 1,405 | 1,406 | 5,621 | | | | |
| MOOE | | 476 | 930 | 1,406 | 1,405 | 351 | 351 | 351 | 352 | 1,405 | | | | |
| CO | | | | | 4,216 | 1,054 | 1,054 | 1,054 | 1,054 | 4,216 | | | | |
| Rendering of opinions and interpretative issuances | 301010003 | 355 | 103 | 458 | 457 | 114 | 114 | 114 | 115 | 457 | | | | |
| MOOE | | 355 | 103 | 458 | 457 | 114 | 114 | 114 | 115 | 457 | | | | |
| MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES | 302000000 | 110,308 | 12,398 | 122,706 | 129,571 | 32,391 | 32,391 | 32,391 | 32,398 | 129,571 | | | | |
| Registration, Compliance-Monitoring and Enforcement | 302010000 | 110,308 | 12,398 | 122,706 | 129,571 | 32,391 | 32,391 | 32,391 | 32,398 | 129,571 | | | | |
| Registration/licensing of | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | |
|--|-----------|--------|-------|---------|--------|--------|--------|--------|--------|--------|--|--|--|--|
| corporations, capital market participants, securities and investment instruments | 302010001 | 93,120 | 8,109 | 101,229 | 98,318 | 24,579 | 24,579 | 24,579 | 24,581 | 98,318 | | | | |
| PS | | 73,334 | 6,506 | 79,840 | 56,929 | 14,232 | 14,232 | 14,232 | 14,233 | 56,929 | | | | |
| MOOE | | 19,786 | 1,603 | 21,389 | 21,389 | 5,347 | 5,347 | 5,347 | 5,348 | 21,389 | | | | |
| CO | | | | | 20,000 | 5,000 | 5,000 | 5,000 | 5,000 | 20,000 | | | | |
| Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities | 302010002 | 1,742 | | 1,742 | 1,742 | 435 | 435 | 435 | 437 | 1,742 | | | | |
| MOOE | | 1,742 | | 1,742 | 1,742 | 435 | 435 | 435 | 437 | 1,742 | | | | |
| Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities | 302010003 | 15,446 | 4,289 | 19,735 | 29,511 | 7,377 | 7,377 | 7,377 | 7,380 | 29,511 | | | | |
| PS | | 12,319 | 2,362 | 14,681 | 24,457 | 6,114 | 6,114 | 6,114 | 6,115 | 24,457 | | | | |
| MOOE | | 3,127 | 1,927 | 5,054 | 5,054 | 1,263 | 1,263 | 1,263 | 1,265 | 5,054 | | | | |
| Retirement and Life Insurance Premiums | | | | | 13,551 | 3,386 | 3,386 | 3,386 | 3,393 | 13,551 | | | | |
| General Administration and Support | 100000000 | | | | 5,395 | 1,348 | 1,348 | 1,348 | 1,351 | 5,395 | | | | |
| General management and supervision | 100010000 | | | | 5,395 | 1,348 | 1,348 | 1,348 | 1,351 | 5,395 | | | | |
| PS | | | | | 5,395 | 1,348 | 1,348 | 1,348 | 1,351 | 5,395 | | | | |
| Support to Operations | 200000000 | | | | 426 | 106 | 106 | 106 | 108 | 426 | | | | |
| Development, maintenance and administration of information systems, databases and website | 200010000 | | | | 426 | 106 | 106 | 106 | 108 | 426 | | | | |
| PS | | | | | 426 | 106 | 106 | 106 | 108 | 426 | | | | |

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|--|-----------|---------|--------|---------|---------|--------|--------|--------|--------|---------|--|--|--|--|--|
| Operations | 300000000 | | | | 7,730 | 1,932 | 1,932 | 1,932 | 1,934 | 7,730 | | | | | |
| MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES | 302000000 | | | | 7,730 | 1,932 | 1,932 | 1,932 | 1,934 | 7,730 | | | | | |
| Registration, Compliance-Monitoring and Enforcement | 302010000 | | | | 7,730 | 1,932 | 1,932 | 1,932 | 1,934 | 7,730 | | | | | |
| Registration/licensing of corporations, capital market participants, securities and investment instruments | 302010001 | | | | 5,440 | 1,360 | 1,360 | 1,360 | 1,360 | 5,440 | | | | | |
| PS | | | | | 5,440 | 1,360 | 1,360 | 1,360 | 1,360 | 5,440 | | | | | |
| Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities | 302010003 | | | | 2,290 | 572 | 572 | 572 | 574 | 2,290 | | | | | |
| PS | | | | | 2,290 | 572 | 572 | 572 | 574 | 2,290 | | | | | |
| Part B | | | | | | | | | | | | | | | |
| Key Result Area(s) | | 121,764 | 33,989 | 155,753 | 177,977 | 44,490 | 44,490 | 44,490 | 44,507 | 177,977 | | | | | |
| KRA No. 1 - TRANSPARENCY, ACCOUNTABILITY AND OPEN GOVERNANCE | | 110,308 | 12,398 | 122,706 | 137,301 | 34,323 | 34,323 | 34,323 | 34,332 | 137,301 | | | | | |
| Operations | | 110,308 | 12,398 | 122,706 | 137,301 | 34,323 | 34,323 | 34,323 | 34,332 | 137,301 | | | | | |
| MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES | | 110,308 | 12,398 | 122,706 | 137,301 | 34,323 | 34,323 | 34,323 | 34,332 | 137,301 | | | | | |
| Registration, Compliance-Monitoring and Enforcement | | 110,308 | 12,398 | 122,706 | 137,301 | 34,323 | 34,323 | 34,323 | 34,332 | 137,301 | | | | | |
| Registration/licensing of corporations, capital market participants, securities and investment instruments | | 93,120 | 8,109 | 101,229 | 103,758 | 25,939 | 25,939 | 25,939 | 25,941 | 103,758 | | | | | |
| Conduct of audits, | | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | |
|---|--|--------|--------|--------|--------|--------|--------|--------|--------|--------|--|--|--|--|
| inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities | | 1,742 | | 1,742 | 1,742 | 435 | 435 | 435 | 437 | 1,742 | | | | |
| Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities | | 15,446 | 4,289 | 19,735 | 31,801 | 7,949 | 7,949 | 7,949 | 7,954 | 31,801 | | | | |
| KRA No. 3 - RAPID, INCLUSIVE AND SUSTAINED ECONOMIC GROWTH | | 11,456 | 21,591 | 33,047 | 40,676 | 10,167 | 10,167 | 10,167 | 10,175 | 40,676 | | | | |
| Operations | | 11,456 | 21,591 | 33,047 | 40,676 | 10,167 | 10,167 | 10,167 | 10,175 | 40,676 | | | | |
| MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT SERVICES | | 11,456 | 21,591 | 33,047 | 40,676 | 10,167 | 10,167 | 10,167 | 10,175 | 40,676 | | | | |
| Capital Market Development Services | | 11,456 | 21,591 | 33,047 | 40,676 | 10,167 | 10,167 | 10,167 | 10,175 | 40,676 | | | | |
| Formulation of policies, plans and programs for capital market | | 10,625 | 20,558 | 31,183 | 34,598 | 8,648 | 8,648 | 8,648 | 8,654 | 34,598 | | | | |
| Provision of technical assistance and inter-agency activities | | 476 | 930 | 1,406 | 5,621 | 1,405 | 1,405 | 1,405 | 1,406 | 5,621 | | | | |
| Rendering of opinions and interpretative issuances | | 355 | 103 | 458 | 457 | 114 | 114 | 114 | 115 | 457 | | | | |

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Approved By: *[Signature]*

Agency Head / Department Secretary