

STATEMENT OF APPROPRIATIONS, ALLOTMENTS, OBLIGATIONS, DISBURSEMENTS AND BALANCES

FAR 1

As of the Quarter Ending December 31, 2015

Department : DEPARTMENT OF FINANCE  
 Agency : SECURITIES AND EXCHANGE COMMISSION  
 Operating Unit :  
 Organization Code (UACS) : 11011000000  
 Funding Source Code (as clustered) : 01101101

xx	Current Year Appropriations
xx	Supplemental Appropriations
xx	Continuing Appropriations

PARTICULARS	UACS CODE	Appropriations			Allotment					Current Year Obligations				Current Year Disbursements				Balances						
		Authorized Appropriations	Adjustments (transfer to/from Realignment)	Adjusted Appropriations	Allotment Received	Adjustments (Withdrawal, Realignment)	Transfer To From		Adjusted Total Allotment	1st Qtr Ending Mar. 31	2nd Qtr ending June 30	3rd Qtr ending Sept. 30	4th Qtr ending Dec. 31	Total	1st Qtr Ending Mar. 31	2nd Qtr Ending June 30	3rd Qtr Ending Sept. 30	4th Qtr Ending Dec. 31	Total	Unreleased Appropriations	Unobligated Allotment	Unpaid Obligations (15-20) = (23+24)		
		3	4	5=(3+4)	6	7	8	9	10=(6+(-7)-8+9)	11	12	13	14	15=(11+12+13+14)	16	17	18	19	20=(16+17+18+19)	21=(5-10)	22=(10-15)	23	24	
<b>I. Agency Specific Budget</b>																								
General Administration and Support	100000000	387,168,000.00	-	387,168,000.00	387,168,000.00	-	-	-	387,168,000.00	41,755,530.80	45,343,147.81	25,780,334.79	180,232,404.32	293,111,417.72	30,235,922.74	41,401,454.91	36,304,492.25	66,905,252.44	174,747,122.34	-	94,056,582.28	115,460,142.76	2,904,152.62	-
PS	501000000	222,421,000.00	-	222,421,000.00	222,421,000.00	-	-	-	222,421,000.00	27,509,549.90	29,426,218.63	23,319,578.79	142,165,652.68	222,421,000.00	24,127,722.84	31,893,824.62	23,254,413.01	65,104,426.48	144,180,386.96	-	81,956,582.28	78,240,813.04	2,904,152.62	-
MOOE	502000000	132,647,000.00	-	132,647,000.00	132,647,000.00	-	-	-	132,647,000.00	15,916,929.18	2,460,756.00	38,066,751.84	70,690,417.72	6,106,199.90	9,707,830.29	13,050,079.24	1,700,825.95	30,566,735.38	-	13,100,000.00	17,250.25	-	-	
CO	506000000	32,100,000.00	-	32,100,000.00	32,100,000.00	-	-	-	32,100,000.00	-	-	-	-	-	-	-	-	1,901,030.38	-	-	467,969.62	-	-	
Support to Operations	200000000	17,314,000.00	-	17,314,000.00	17,314,000.00	-	-	-	17,314,000.00	4,269,099.15	5,880,426.50	820,641.68	1,673,419.80	12,343,587.11	4,005,642.82	4,979,882.41	1,208,576.30	1,581,557.72	11,775,659.25	-	4,870,412.89	567,927.86	-	
1. Development, maintenance and administration of information system, database and website	200010000	10,017,000.00	-	10,017,000.00	10,017,000.00	-	-	-	10,017,000.00	4,269,099.15	5,880,426.50	24,076.22	97,372.72	9,979,973.59	4,005,642.82	4,979,882.41	412,009.86	5,510.64	9,403,045.73	-	46,026.41	567,927.86	-	
PS	501000000	4,528,000.00	-	4,528,000.00	4,528,000.00	-	-	-	4,528,000.00	1,480,745.00	2,963,072.01	6,475.00	87,707.99	4,528,000.00	1,380,745.00	3,053,072.01	6,475.00	5,000.00	4,445,292.01	-	82,707.99	-	-	
MOOE	502000000	3,120,000.00	-	3,120,000.00	3,120,000.00	-	-	-	3,120,000.00	2,786,354.15	258,354.49	17,600.22	9,664.73	3,073,973.59	2,624,897.62	25,780.02	405,534.86	510.64	3,056,723.34	-	46,026.41	-	-	
CO	506000000	2,369,000.00	-	2,369,000.00	2,369,000.00	-	-	-	2,369,000.00	-	-	-	-	2,369,000.00	-	1,901,030.38	-	-	1,901,030.38	-	-	467,969.62	-	
2. Conduct of public seminars and related activities for investment promotion and investor protection	200020000	5,207,000.00	-	5,207,000.00	5,207,000.00	-	-	-	5,207,000.00	-	-	791,466.44	1,576,047.08	2,367,513.52	-	-	-	791,466.44	1,576,047.08	2,367,513.52	-	2,839,466.48	-	
PS	501000000	5,207,000.00	-	5,207,000.00	5,207,000.00	-	-	-	5,207,000.00	-	-	791,466.44	1,576,047.08	2,367,513.52	-	-	-	791,466.44	1,576,047.08	2,367,513.52	-	2,839,466.48	-	
MOOE	502000000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
3. Development and dissemination of information materials for the public	200030000	2,090,000.00	-	2,090,000.00	2,090,000.00	-	-	-	2,090,000.00	-	-	5,100.00	-	5,100.00	-	-	-	5,100.00	-	5,100.00	-	2,084,900.00	-	
PS	501000000	2,090,000.00	-	2,090,000.00	2,090,000.00	-	-	-	2,090,000.00	-	-	5,100.00	-	5,100.00	-	-	-	5,100.00	-	5,100.00	-	2,084,900.00	-	
MOOE	502000000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Operations																								
MFO 1 - Corporate and Capital Market Dev. Services	300000000	40,876,000.00	-	40,876,000.00	40,876,000.00	-	-	-	40,876,000.00	9,471,264.08	21,252,488.89	4,143,445.40	102,766.24	34,969,964.41	8,429,089.22	20,573,609.35	5,865,499.60	246.14	34,867,444.31	-	5,706,035.59	102,520.10	-	-
Capital Market Development Services	301010000																							
1. Formulation of policies, plans and programs for the capital market	301010001	34,598,000.00	-	34,598,000.00	34,598,000.00	-	-	-	34,598,000.00	9,470,164.08	20,627,453.69	3,162,896.40	102,766.24	33,363,280.41	8,426,989.22	19,948,674.35	4,884,950.60	246.14	33,260,760.31	-	1,234,719.59	102,520.10	-	
PS	501000000	31,183,000.00	-	31,183,000.00	31,183,000.00	-	-	-	31,183,000.00	9,470,164.08	18,431,484.07	3,162,896.40	102,766.24	31,167,310.79	8,426,989.22	17,752,604.73	4,884,950.60	246.14	31,064,790.69	-	15,889.21	102,520.10	-	
MOOE	502000000	3,415,000.00	-	3,415,000.00	3,415,000.00	-	-	-	3,415,000.00	-	2,195,969.62	-	-	2,195,969.62	-	2,195,969.62	-	-	2,195,969.62	-	1,219,030.38	-	-	
CO	506000000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
2. Provision of technical assistance and inter-agency activities	301010002	5,621,000.00	-	5,621,000.00	5,621,000.00	-	-	-	5,621,000.00	-	625,935.00	980,549.00	-	1,605,584.00	-	625,935.00	980,549.00	-	1,605,584.00	-	4,015,416.00	-	-	
PS	501000000	1,405,000.00	-	1,405,000.00	1,405,000.00	-	-	-	1,405,000.00	-	-	980,549.00	-	980,549.00	-	980,549.00	-	-	980,549.00	-	424,451.00	-	-	
MOOE	502000000	4,216,000.00	-	4,216,000.00	4,216,000.00	-	-	-	4,216,000.00	-	625,935.00	-	-	625,935.00	-	625,935.00	-	-	625,935.00	-	3,590,965.00	-	-	
CO	506000000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
3. Rendering of Opinions and interpretative issuances	301010003	457,000.00	-	457,000.00	457,000.00	-	-	-	457,000.00	1,100.00	-	-	-	1,100.00	-	-	-	-	1,100.00	-	455,900.00	-	-	
PS	501000000	457,000.00	-	457,000.00	457,000.00	-	-	-	457,000.00	1,100.00	-	-	-	1,100.00	-	-	-	-	1,100.00	-	455,900.00	-	-	
MOOE	502000000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
CO	506000000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
MFO 2 - Corporate and Capital Market Reg. Services	302000000	129,571,000.00	-	129,571,000.00	129,571,000.00	-	-	-	129,571,000.00	60,561,447.56	26,367,966.97	7,718,583.32	5,798,424.20	90,446,322.05	43,899,965.60	32,886,967.04	7,869,719.51	4,012,999.89	88,648,652.04	-	38,124,877.95	1,796,670.01	-	
Registration/licensing of corporations, capital market participants and securities and investment instruments	302010000																							
1. Registration/licensing of corporations, capital market participants and securities and investment instruments	302010001	98,318,000.00	-	98,318,000.00	98,318,000.00	-	-	-	98,318,000.00	41,642,696.93	15,171,880.60	4,160,342.22	5,059,902.30	65,933,722.05	35,971,690.68	20,592,504.86	4,299,478.41	3,916,999.89	64,780,673.94	-	32,384,277.95	1,153,048.11	-	
PS	501000000	56,929,000.00	-	56,929,000.00	56,929,000.00	-	-	-	56,929,000.00	40,987,844.93	14,884,026.32	4,160,342.22	1,257,128.75	56,929,000.00	35,868,858.91	19,652,630.45	136,136.19	160,178.44	55,820,803.96	-	11,081,980.01	-	-	
MOOE	502000000	21,389,000.00	-	21,389,000.00	21,389,000.00	-	-	-	21,389,000.00	554,852.00	487,854.28	4,160,342.22	3,801,673.55	9,004,722.05	102,831.77	939,874.51	4,160,342.22	3,756,821.45	8,959,869.95	-	12,384,277.95	44,852.10	-	
CO	506000000	20,000,000.00	-	20,000,000.00	20,000,000.00	-	-	-	20,000,000.00	-	-	-	-	-	-	-	-	-	-	-	20,000,000.00	-	-	
2. Conduct of audits, inspection, verification and/or examination of operations/activities	302010002	1,742,000.00	-	1,742,000.00	1,742,000.00	-	-	-	1,742,000.00	-	-	24,600.00	-	24,600.00	-	-	-	-	24,600.00	-	1,717,400.00	-	-	
PS	501000000	1,742,000.00	-	1,742,000.00	1,742,000.00	-	-	-	1,742,000.00	-	-	24,600.00	-	24,600.00	-	-	-	-	24,600.00	-	1,717,400.00	-	-	
MOOE	502000000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
CO	506000000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
3. Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	302010003	29,511,000.00	-	29,511,000.00	29,511,000.00	-	-	-	29,511,000.00	9,018,750.63	11,195,986.37	3,533,641.10	739,921.80	24,488,000.00	7,929,274.92	12,274,462.98	3,545,641.10	96,000.00	23,844,378.10	-	5,023,000.00	643,621.90	-	
PS	501000000	24,457,000.00	-	24,457,000.00	24,457,000.00	-	-	-	24,457,															

