

FY 2016 FINANCIAL PLAN  
(In Thousand Pesos)

Department: Department of Finance (DOF)  
Agency: Securities and Exchange Commission  
Operating Unit: N/A  
Organization Code (U.A.C.): 110110000000

Particulars 1	UACS CODE 2	Current Year's Obligation				Budget Year Obligation Program														
		Actual Jan.1-Sept.30 3	Estimate Oct.1-Dec.31 4	Total 5= 3+4	Total 6= 11+16	COMPREHENSIVE RELEASE					FOR LATER RELEASE(Negative List)									
						Q1 7	Q2 8	Q3 9	Q4 10	Sub Total 11= 7+8+9+10	Q1 12	Q2 13	Q3 14	Q4 15	Sub Total 16= 12+13+ 14+15					
Part A																				
Specific Budgets of National Government Agencies		258,662	25,863	284,525	631,323	116,265	117,104	116,758	116,349	466,476	164,847									164,847
General Administration and Support	101101	243,064	25,844	268,908	615,451	112,298	113,137	112,791	112,378	450,604	164,847									164,847
General management and supervision	1000000000	112,879	11,294	124,173	359,406	48,291	49,130	48,784	48,354	194,559	164,847									164,847
PS	1030010001000000	112,879	11,294	124,173	193,165	48,291	48,291	48,291	48,291	193,165										
MOOE		80,255	419	80,674	60,324	15,081	15,081	15,081	15,081	60,324										
CO		32,624	10,875	43,499	132,841	33,210	33,210	33,210	33,211	132,841										
Administration of Personnel Benefits																				
PS	1030010002000000				166,241		839	493	62	1,394	164,847									164,847
Support to Operations					166,241		839	493	62	1,394	164,847									164,847
Development, maintenance and administration of information systems, databases and website	2000000000	10,669	1,375	12,044	89,596	22,398	22,398	22,398	22,402	89,596										
PS	1030020001000000	9,873	1,109	10,982	82,178	20,544	20,544	20,544	20,546	82,178										
MOOE		4,440	88	4,528	5,177	1,294	1,294	1,294	1,295	5,177										
CO		3,064	1,021	4,085	3,148	787	787	787	787	3,148										
Conduct of public seminars and related activities for investment-promotion and investor protection		2,369		2,369	73,853	18,463	18,463	18,463	18,464	73,853										
MOOE	1010020002000000	791	264	1,055	5,314	1,328	1,328	1,328	1,330	5,314										
Development and dissemination of information materials for the		791	264	1,055	5,314	1,328	1,328	1,328	1,330	5,314										
MOOE	1010020003000000	5	2	7	2,104	526	526	526	526	2,104										
Operations		5	2	7	2,104	526	526	526	526	2,104										
MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT	3000000000	119,516	13,175	132,691	166,449	41,609	41,609	41,609	41,622	166,449										
Capital Market Development Services	3010000000	34,868	10,682	45,550	33,666	8,416	8,416	8,416	8,418	33,666										
Formulation of policies, plans and programs for capital market	3010100000	34,868	10,682	45,550	33,666	8,416	8,416	8,416	8,418	33,666										
MOOE	1010030101000001	33,261	10,355	43,616	31,781	7,945	7,945	7,945	7,946	31,781										
CO		31,065	10,355	41,420	31,781	7,945	7,945	7,945	7,946	31,781										
Provision of technical assistance and inter-agency activities		2,196		2,196																
MOOE	1010030101000002	1,606	327	1,933	1,420	355	355	355	355	1,420										
CO		981	327	1,308	1,420	355	355	355	355	1,420										
Rendering of opinions and interpretative issuances		625		625																
MOOE	1010030101000003	1		1	465	116	116	116	117	465										
CO		1		1	465	116	116	116	117	465										
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION	3020000000	84,648	2,493	87,141	132,783	33,193	33,193	33,193	33,204	132,783										
Registration, Compliance-Monitoring and Enforcement	3020100000	84,648	2,493	87,141	132,783	33,193	33,193	33,193	33,204	132,783										
Registration/licensing of corporations, capital market participants, securities and investment instruments	1010030201000001	60,875	1,735	62,610	100,137	25,033	25,033	25,033	25,038	100,137										
PS		55,672		55,672	78,346	19,586	19,586	19,586	19,588	78,346										
MOOE																				
CO		5,203	1,735	6,938	21,791	5,447	5,447	5,447	5,450	21,791										

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Particulars	UACS CODE	Current Year's Obligation			Budget Year Obligation Program											
		Actual	Estimate	Total	Total	COMPREHENSIVE RELEASE					FOR LATER RELEASE (Negative List)					
		Jan.1-Sept.30	Oct.1-Dec.31	5= 3+4	6= 11+16	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	
Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities	101003020100002	25	8	33	1,779	444	444	444	447	1,779						
MOE		25	8	33	1,779	444	444	444	447	1,779						
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	101003020100003	23,748	750	24,498	30,867	7,716	7,716	7,716	7,719	30,867						
PS		23,717	740	24,457	25,682	6,420	6,420	6,420	6,422	25,682						
MOE		31	10	41	5,185	1,296	1,296	1,296	1,297	5,185						
Retirement and Life Insurance Premiums	104102	15,598	19	15,617	15,872	3,967	3,967	3,967	3,971	15,872						
General Administration and Support	1000000000	6,916	16	6,932	5,618	1,404	1,404	1,404	1,406	5,618						
General management and supervision	103001000100000	6,916	16	6,932	5,618	1,404	1,404	1,404	1,406	5,618						
PS		6,916	16	6,932	5,618	1,404	1,404	1,404	1,406	5,618						
Support to Operations	2000000000	423	3	426	484	121	121	121	121	484						
Development, maintenance and administration of information systems, databases and website	103002000100000	423	3	426	484	121	121	121	121	484						
PS		423	3	426	484	121	121	121	121	484						
Operations	3000000000	8,259		8,259	9,770	2,442	2,442	2,442	2,444	9,770						
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION	3020000000	8,259		8,259	9,770	2,442	2,442	2,442	2,444	9,770						
Registration, Compliance-Monitoring and Enforcement	3020100000	8,259		8,259	9,770	2,442	2,442	2,442	2,444	9,770						
Registration/licensing of corporations, capital market participants, securities and investment instruments	101003020100001	7,043		7,043	7,376	1,844	1,844	1,844	1,844	7,376						
PS		7,043		7,043	7,376	1,844	1,844	1,844	1,844	7,376						
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	101003020100003	1,216		1,216	2,394	598	598	598	600	2,394						
PS		1,216		1,216	2,394	598	598	598	600	2,394						
Part B		127,775	13,175	140,950	176,219	44,051	44,051	44,051	44,066	176,219						
Key Result Area(s)																
KRA No. 1 - TRANSPARENCY, ACCOUNTABILITY AND OPEN GOVERNANCE		92,907	2,493	95,400	142,553	35,635	35,635	35,635	35,648	142,553						
Operations		92,907	2,493	95,400	142,553	35,635	35,635	35,635	35,648	142,553						
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION		92,907	2,493	95,400	142,553	35,635	35,635	35,635	35,648	142,553						
Registration, Compliance-Monitoring and Enforcement		92,907	2,493	95,400	142,553	35,635	35,635	35,635	35,648	142,553						
Registration/licensing of corporations, capital market participants, securities and investment instruments		67,918	1,735	69,653	107,513	26,877	26,877	26,877	26,882	107,513						
Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities		25	8	33	1,779	444	444	444	447	1,779						
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities		24,964	750	25,714	33,261	8,314	8,314	8,314	8,319	33,261						
PS		34,868	10,682	45,550	33,666	8,416	8,416	8,416	8,418	33,666						
KRA No. 3 - RAPID, INCLUSIVE AND SUSTAINED ECONOMIC GROWTH																


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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		
Operations																	
MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT		34,868	10,682	45,550	33,666	8,416	8,416	8,416	8,418	33,666							
Capital Market Development Services		34,868	10,682	45,550	33,666	8,416	8,416	8,416	8,418	33,666							
Formulation of policies, plans and programs for capital market		34,868	10,682	45,550	33,666	8,416	8,416	8,416	8,418	33,666							
Provision of technical assistance and inter-agency activities		33,261	10,355	43,616	31,781	7,945	7,945	7,945	7,946	31,781							
Rendering of opinions and interpretative issuances		1,606	327	1,933	1,420	355	355	355	355	1,420							
		1		1	465	116	116	116	117	465							

Prepared By:  
  
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Financial Services Head / Budget Officer  
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In coordination  
  
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