

QUARTERLY PHYSICAL REPORT OF OPERATION  
As of 2016 December 31

Department: Department of Finance (DOF)  
 Appropriations: Current Year Appropriations  
 Agency: Securities and Exchange Commission  
 Operating Unit: N/A  
 Organization Code (UACS): 11011000000

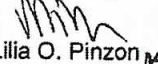
Particulars	UACS CODE	Physical Targets					Physical Accomplishments					Variance as of December 31 2016	Remarks
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total		
1	2	3	4	5	6	7=(3+4+5+6)	8	9	10	11	12=(8+9+10+11)	13	14
Part A													
I. Operations													
MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT SERVICES	000003010000000												
PI SET 1 - Policy measures implemented to enhance the regulatory framework and foster continued growth of the capital market in particular and the business sector in general													
Quantity													
No. of planned measures promulgated/implemented		3	3	2	2	10	2	6	7	5	20	10	SEC MCs are issued based on the necessity to provide timely and relevant regulation, guidance and/or clarification to regulated entities and individuals.
Quality													
Percentage of measures promulgated/implemented that are rated good or better		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
Timeliness													

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1	2	3	4	5	6	7=(3+4+5+6)	8	9	10	11	12=(8+9+10+11)	13	14
Percentage of measures promulgated/implemented within the prescribed timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
PI SET 2 - Technical Assistance													
Quantity													
Number of technical assistance rendered		0	0	0	0	0	171	169	317	231	888	888	The number of technical assistance rendered depends on the number of requests received.
Quality													
Percentage of clients who rate the technical assistance as good or better		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
Timeliness													
Percentage of requests for technical assistance that are acted upon within the prescribed timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES	000003020000000												
Registration/ Licensing Services													
Quantity													
Number of registrations approved and licenses issued		2875	2875	2875	2875	11,500	20,856	22,893	40,524	34,835	119,108	107,608	The number of registrations approved and licenses issued depends on the number of applications received and the conduciveness of the economic environment.
Quality													

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1	2	3	4	5	6	7=(3+4+5+6)	8	9	10	11	12=(8+9+10+11)	13	14
Percentage of applications processed pursuant to standard processing procedures and timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
Timeliness													
Percentage of license or permit applications and renewals processed within standard processing timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
Monitoring													
Quantity													
Number of target entities/reports/disclosures monitored and evaluated		17,695	17,695	17,695	17,695	70,780	29,985	59,709	45,587	49,283	182,784	112,004	The sum of 182,784 accounts for the total monitored and evaluated broken down as: a) 53,489 entities regularly monitored and evaluated, of which 606 capital market participants are not cumulative, and b) 129,295 reports/disclosures monitored and evaluated
Quality													
Percentage of target entities/reports/disclosures monitored and evaluated pursuant to standard monitoring and evaluating parameters		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
Timeliness													
Percentage of target entities/reports/disclosures monitored		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	

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1	2	3	4	5	6	7=(3+4+5+6)	8	9	10	11	12=(8+9+10+11)	13	14
and evaluated within standard timeframe													
Enforcement													
Quantity													
Percentage of errant firms and individuals imposed the appropriate fines and/or penalties		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
Quality													
Percentage of enforcement activities undertaken in accordance with rules, regulations and standards		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
Timeliness													
Percentage of enforcement activities undertaken within standard timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	


Prepared By:

  
Lilia O. Pinzon

Planning Services Head/Planning Officer

Date: 27/Jan/2017

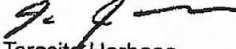
In coordination with:

  
Lester V. Dela Merced

Financial Services Head/Budget Officer

Date: 30/Jan/2017

Approved By:

  
Teresita Herbosa

Agency Head/Department Secretary

Date: 07/Feb/2017

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