

STATEMENT OF APPROPRIATIONS, ALLOTMENTS, OBLIGATIONS, DISBURSEMENTS AND BALANCES
As of the Quarter Ending December 31, 2016

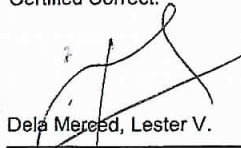
Department: Department of Finance (DOF)
Agency: Securities and Exchange Commission
Operating Unit: N/A
Organization Code (UACS): 11011000000
Fund Cluster: 01 - Regular Agency Fund

Authorization: 01 - Current Year Appropriations

Particulars	UACS CODE	Appropriation			Allotments					Current Year Obligations					Current Year Disbursements					Balances				
		Authorized Appropriation	Adjustments (Transfer To)/From, Realignment	Adjusted Appropriations	Allotments Received	Adjustments (Withdrawal, Realignment)	Transfer To	Transfer From	Adjusted Total Allotments	1st Quarter Ending March 31	2nd Quarter Ending June 30	3rd Quarter Ending Sept. 30	4th Quarter Ending Dec. 31	Total	1st Quarter Ending March 31	2nd Quarter Ending June 30	3rd Quarter Ending Sept. 30	4th Quarter Ending Dec. 31	Total	Unreleased Appropriations	Unobligated Allotment	Unpaid Obligations (15-20) = (23+24)		
																						Due and Demandable	Not Yet Due and Demandable	
1	2	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	
I. Agency Specific Budget																								
Specific Budgets of National Government Agencies	01101101																							
General Administration and Support	000001000000000	359,406,000.00		359,406,000.00	358,960,965.00				358,960,965.00	81,014,485.68	159,245,515.30	57,539,892.68	25,241,546.90	323,041,440.56	72,197,046.00	122,525,866.53	79,041,311.09	33,028,949.10	306,793,172.72	445,035.00	35,919,524.44	12,167,469.06	4,080,798.78	
General management and supervision	103001000100000	193,165,000.00		193,165,000.00	193,165,000.00				193,165,000.00	18,806,669.41	72,934,457.72	51,130,564.89	23,187,316.12	168,059,008.14	14,611,170.74	38,754,199.33	72,631,983.30	23,813,386.93	149,810,740.30		27,105,991.86	12,167,469.06	4,080,798.78	
PS		60,324,000.00		60,324,000.00	60,324,000.00				60,324,000.00	834,268.23	1,283,362.50	37,129,835.57	20,082,401.23	59,329,867.53			43,198,678.98	10,864,589.81	54,061,268.89		994,132.47	2,012,258.72	3,256,339.92	
MOOE		132,841,000.00		132,841,000.00	132,841,000.00				132,841,000.00	17,972,401.16	71,651,095.22	14,000,729.32	3,104,914.89	106,729,140.61	14,611,170.74	38,754,199.33	29,435,304.32	12,948,797.02	95,749,471.41		26,111,859.39	10,155,210.34	824,458.65	
Administration of Personnel Benefits	103001000200000	166,241,000.00		166,241,000.00	165,795,965.00				165,795,965.00	62,207,816.27	86,311,057.58	6,409,327.79	2,054,230.78	156,982,432.42	57,585,875.26	83,771,667.20	6,409,327.79	9,215,562.17	156,982,432.42	445,035.00	8,813,532.58			
PS		166,241,000.00		166,241,000.00	165,795,965.00				165,795,965.00	62,207,816.27	86,311,057.58	6,409,327.79	2,054,230.78	156,982,432.42	57,585,875.26	83,771,667.20	6,409,327.79	9,215,562.17	156,982,432.42	445,035.00	8,813,532.58			
Support to Operations	000002000000000	89,596,000.00		89,596,000.00	89,596,000.00				89,596,000.00	8,202,392.25	1,637,549.36	1,405,323.12	76,295,404.55	87,541,269.28	5,941,047.72	3,083,161.69	2,179,211.01	57,503,135.65	68,706,556.07		2,054,730.72	3,805,420.65	15,029,292.56	
Development, maintenance and administration of information systems, databases and website	103002000100000	82,178,000.00		82,178,000.00	82,178,000.00				82,178,000.00	1,615,100.48	1,501,128.57	964,504.98	76,279,004.55	80,359,738.58	1,087,310.09	2,021,643.26	942,125.17	57,486,207.65	61,537,286.17		1,818,261.42	3,800,859.85	15,021,792.56	
PS		5,177,000.00		5,177,000.00	5,177,000.00				5,177,000.00	214,070.80	406,834.31	371,589.98	2,527,079.05	3,519,574.14	208,798.34	402,135.87	353,385.37	2,484,674.15	3,448,993.73		1,657,425.86	48,787.85	21,792.56	
MOOE		3,148,000.00		3,148,000.00	3,148,000.00				3,148,000.00	1,401,029.58	1,094,294.26	592,915.00	53.50	3,088,292.44	878,511.75	1,619,507.39	588,739.80	1,533.50	3,088,292.44		59,707.56			
CO		73,853,000.00		73,853,000.00	73,853,000.00				73,853,000.00				73,751,872.00	73,751,872.00				55,000,000.00	55,000,000.00		101,128.00	3,751,872.00	15,000,000.00	
Conduct of public seminars and related activities for investment-promotion and investor protection	101002000000000	5,314,000.00		5,314,000.00	5,314,000.00				5,314,000.00	4,913,803.95	123,781.17	25,819.14	16,400.00	5,079,803.26	4,845,537.63	45,100.00	158,976.83	16,928.00	5,067,542.46		234,196.74	4,760.80	7,500.00	
MOOE		5,314,000.00		5,314,000.00	5,314,000.00				5,314,000.00	4,913,803.95	123,781.17	25,819.14	16,400.00	5,079,803.26	4,845,537.63	45,100.00	158,976.83	16,928.00	5,067,542.46		234,196.74	4,760.80	7,500.00	
Development and dissemination of information materials for the public	101002000300000	2,104,000.00		2,104,000.00	2,104,000.00				2,104,000.00	1,674,087.82	12,639.62	415,000.00		2,101,727.44	8,200.00	1,015,418.43	1,078,109.01		2,101,727.44		2,272.56			
MOOE		2,104,000.00		2,104,000.00	2,104,000.00				2,104,000.00	1,674,087.82	12,639.62	415,000.00		2,101,727.44	8,200.00	1,015,418.43	1,078,109.01		2,101,727.44		2,272.56			
Operations	000003000000000	186,449,000.00		186,449,000.00	186,449,000.00				186,449,000.00	17,699,097.40	26,138,388.53	16,023,080.29	69,104,483.96	128,965,050.18	15,974,234.67	25,516,801.06	17,969,353.77	67,501,011.23	126,961,400.73		57,483,949.82	1,102,747.78	900,901.67	
MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT SERVICES	000003010000000	33,666,000.00		33,666,000.00	33,666,000.00				33,666,000.00	789,964.33	543,312.08	588,980.04	29,800.00	1,952,056.45	621,491.46	565,432.62	688,005.44	29,800.00	1,904,729.52		31,713,943.55	47,326.93		
Capital Market Development Services	000003010100000	33,666,000.00		33,666,000.00	33,666,000.00				33,666,000.00	789,964.33	543,312.08	588,980.04	29,800.00	1,952,056.45	621,491.46	565,432.62	688,005.44	29,800.00	1,904,729.52		31,713,943.55	47,326.93		
Formulation of policies, plans and programs for capital market	101003010100001	31,781,000.00		31,781,000.00	31,781,000.00				31,781,000.00	678,373.79	543,312.08	585,466.44	29,800.00	1,836,952.31	512,238.92	565,432.62	682,153.84	29,800.00	1,789,625.38		29,944,047.69	47,326.93		
MOOE		31,781,000.00		31,781,000.00	31,781,000.00				31,781,000.00	678,373.79	543,312.08	585,466.44	29,800.00	1,836,952.31	512,238.92	565,432.62	682,153.84	29,800.00	1,789,625.38		29,944,047.69	47,326.93		
Provision of technical assistance and inter-agency activities	101003010100002	1,420,000.00		1,420,000.00	1,420,000.00				1,420,000.00	64,962.00		1,500.00		66,462.00	62,624.00		3,838.00		66,462.00		1,353,538.00			
MOOE		1,420,000.00		1,420,000.00	1,420,000.00				1,420,000.00	64,962.00		1,500.00		66,462.00	62,624.00		3,838.00		66,462.00		1,353,538.00			
Rendering of opinions and interpretative issuances	101003010100003	465,000.00		465,000.00	465,000.00				465,000.00	46,628.54		2,013.60		48,642.14	46,628.54		2,013.60		48,642.14		416,357.86			
MOOE		465,000.00		465,000.00	465,000.00				465,000.00	46,628.54		2,013.60		48,642.14	46,628.54		2,013.60		48,642.14		416,357.86			
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES	000003020000000	152,783,000.00		152,783,000.00	152,783,000.00				152,783,000.00	16,909,133.07	25,595,076.45	15,434,100.25	69,074,683.96	127,012,993.73	15,352,743.21	24,951,368.44	17,281,348.33	67,471,211.23	125,056,671.21		25,770,006.27	1,055,420.85	900,901.67	
Registration, Compliance-Monitoring and Enforcement	000003020100000	152,783,000.00		152,783,000.00	152,783,000.00				152,783,000.00	16,909,133.07	25,595,076.45	15,434,100.25	69,074,683.96	127,012,993.73	15,352,743.21	24,951,368.44	17,281,348.33	67,471,211.23	125,056,671.21		25,770,006.27	1,055,420.85	900,901.67	
Registration/licensing of corporations, capital market participants, securities and investment instruments	101003020100001	110,137,000.00		110,137,000.00	110,137,000.00				110,137,000.00	16,048,342.74	24,244,793.79	14,311,408.42	39,435,925.30	94,040,470.25	14,557,810.98	23,602,627.68	16,100,096.74	38,181,106.92	92,441,642.32		16,096,529.75	724,177.40	874,650.53	
PS		85,556,000.00		85,556,000.00	85,556,000.00				85,556,000.00	12,449,833.77	15,326,775.48	13,515,336.37	39,096,525.30	80,388,470.92	11,014,976.18	16,108,311.53	13,832,259.36	37,857,495.92	78,813,042.99		5,187,529.08	700,777.40	874,650.53	
MOOE		22,781,000.00		22,781,000.00	22,781,000.00				22,781,000.00	3,598,508.97	8,918,018.31	796,072.05	339,400.00	13,651,999.33	3,542,834.80	7,494,316.15	2,267,837.38	323,611.00	13,628,599.33		9,129,000.67	23,400.00		
CO		1,800,000.00		1,800,000.00	1,800,000.00				1,800,000.00												1,800,000.00			
Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities	101003020100002	1,779,000.00		1,779,000.00	1,779,000.00				1,779,000.00	5,000.00				5,000.00	5,000.00				5,000.00		1,774,000.00			
MOOE		1,779,000.00		1,779,000.00	1,779,000.00				1,779,000.00	5,000.00				5,000.00	5,000.00				5,000.00		1,774,000.00			

Particulars	UACS CODE	Appropriation			Allotments			Current Year Obligations							Current Year Disbursements					Balances				
		Authorized Appropriation	Adjustments (To)/From, Realignment	Adjusted Appropriations	Allotments Received	Adjustments (Withdrawal, Realignment)	Transfer To	Transfer From	Adjusted Total Allotments	1st Quarter Ending March 31	2nd Quarter Ending June 30	3rd Quarter Ending Sept. 30	4th Quarter Ending Dec. 31	Total	1st Quarter Ending March 31	2nd Quarter Ending June 30	3rd Quarter Ending Sept. 30	4th Quarter Ending Dec. 31	Total	Unreleased Appropriations	Unobligated Allotment	Unpaid Obligations (15-20) = (23+24)		
																						Due and Demandable	Not Yet Due and Demandable	
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	101003020100003	40,867,000.00		40,867,000.00	40,867,000.00			40,867,000.00	855,790.33	1,350,282.66	1,122,691.83	29,638,758.66	32,967,523.48	789,932.23	1,348,740.76	1,181,251.59	29,290,104.31	32,610,028.89		7,899,476.52	331,243.45	26,251.14		
PS		35,682,000.00		35,682,000.00	35,682,000.00			35,682,000.00	700,184.50	1,281,233.52	1,110,203.80	29,629,629.66	32,701,251.48	679,084.50	1,268,833.52	1,114,863.56	29,290,975.31	32,343,756.89		2,980,748.52	331,243.45	26,251.14		
MOOE		5,185,000.00		5,185,000.00	5,185,000.00			5,185,000.00	155,605.83	89,049.14	12,488.03	9,129.00	266,272.00	110,847.73	79,907.24	66,388.03	9,129.00	266,272.00		4,918,728.00				
Sub-Total, Agency-Specific		635,451,000.00		635,451,000.00	635,005,965.00			635,005,965.00	106,916,575.33	187,021,453.19	74,968,296.09	170,641,435.41	539,547,760.02	94,112,328.39	151,125,829.28	99,189,875.87	158,033,095.98	502,461,129.52	445,035.00	95,458,204.98	17,075,637.49	20,010,993.01		
PS		352,980,000.00		352,980,000.00	352,534,965.00			352,534,965.00	76,406,173.57	104,589,263.39	58,536,293.51	93,389,866.02	332,921,598.49	69,488,734.28	101,550,948.12	64,906,515.06	89,703,297.46	325,849,494.92	445,035.00	19,613,368.51	3,093,067.42	4,179,034.15		
MOOE		206,818,000.00		206,818,000.00	206,818,000.00			206,818,000.00	30,510,401.76	82,432,189.80	16,432,002.58	3,499,697.39	132,874,291.53	24,623,594.11	49,574,881.16	34,283,360.81	13,329,798.52	121,811,634.60		73,943,708.47	10,230,698.07	831,958.86		
Fin Ex																								
CO		75,653,000.00		75,653,000.00	75,653,000.00			75,653,000.00					73,751,872.00	73,751,872.00			55,000,000.00	55,000,000.00		1,901,128.00	3,751,872.00	15,000,000.00		
II. Automatic Appropriations																								
Retirement and Life Insurance Premiums	01104102																							
General Administration and Support	000001000000000	5,618,000.00	13,218,233.00	18,836,233.00	18,836,233.00			18,836,233.00	4,084,594.16	1,533,405.84		13,218,233.00	18,836,233.00	2,115,628.92	3,502,371.08		11,541,741.37	17,159,741.37				53,762.28	1,622,729.35	
General management and supervision	103001000100000	5,618,000.00	13,218,233.00	18,836,233.00	18,836,233.00			18,836,233.00	4,084,594.16	1,533,405.84		13,218,233.00	18,836,233.00	2,115,628.92	3,502,371.08		11,541,741.37	17,159,741.37				53,762.28	1,622,729.35	
PS		5,618,000.00	13,218,233.00	18,836,233.00	18,836,233.00			18,836,233.00	4,084,594.16	1,533,405.84		13,218,233.00	18,836,233.00	2,115,628.92	3,502,371.08		11,541,741.37	17,159,741.37				53,762.28	1,622,729.35	
Support to Operations	000002000000000	484,000.00		484,000.00	484,000.00			484,000.00	13,710.24	127,889.76	342,400.00		484,000.00	13,710.24	127,889.76	342,400.00		484,000.00						
Development, maintenance and administration of information systems, databases and website	103002000100000	484,000.00		484,000.00	484,000.00			484,000.00	13,710.24	127,889.76	342,400.00		484,000.00	13,710.24	127,889.76	342,400.00		484,000.00						
PS		484,000.00		484,000.00	484,000.00			484,000.00	13,710.24	127,889.76	342,400.00		484,000.00	13,710.24	127,889.76	342,400.00		484,000.00						
Operations	000003000000000	9,770,000.00		9,770,000.00	9,770,000.00			9,770,000.00	3,387,060.58	5,398,455.93	984,483.49		9,770,000.00	2,980,200.46	5,805,316.05	984,483.49		9,770,000.00						
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES	000003020000000	9,770,000.00		9,770,000.00	9,770,000.00			9,770,000.00	3,387,060.58	5,398,455.93	984,483.49		9,770,000.00	2,980,200.46	5,805,316.05	984,483.49		9,770,000.00						
Registration, Compliance-Monitoring and Enforcement	000003020100000	9,770,000.00		9,770,000.00	9,770,000.00			9,770,000.00	3,387,060.58	5,398,455.93	984,483.49		9,770,000.00	2,980,200.46	5,805,316.05	984,483.49		9,770,000.00						
Registration/licensing of corporations, capital market participants, securities and investment instruments	101003020100001	7,376,000.00		7,376,000.00	7,376,000.00			7,376,000.00	3,267,607.48	3,817,602.63	290,789.89		7,376,000.00	2,877,293.68	4,207,916.43	290,789.89		7,376,000.00						
PS		7,376,000.00		7,376,000.00	7,376,000.00			7,376,000.00	3,267,607.48	3,817,602.63	290,789.89		7,376,000.00	2,877,293.68	4,207,916.43	290,789.89		7,376,000.00						
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	101003020100003	2,394,000.00		2,394,000.00	2,394,000.00			2,394,000.00	119,453.10	1,580,853.30	693,693.60		2,394,000.00	102,906.78	1,597,399.62	693,693.60		2,394,000.00						
PS		2,394,000.00		2,394,000.00	2,394,000.00			2,394,000.00	119,453.10	1,580,853.30	693,693.60		2,394,000.00	102,906.78	1,597,399.62	693,693.60		2,394,000.00						
Sub-Total, Automatic Appropriations		15,872,000.00	13,218,233.00	29,090,233.00	29,090,233.00			29,090,233.00	7,485,364.98	7,059,751.53	1,326,883.49	13,218,233.00	29,090,233.00	5,109,639.62	9,435,576.89	1,326,883.49	11,541,741.37	27,413,741.37				53,762.28	1,622,729.35	
PS		15,872,000.00	13,218,233.00	29,090,233.00	29,090,233.00			29,090,233.00	7,485,364.98	7,059,751.53	1,326,883.49	13,218,233.00	29,090,233.00	5,109,639.62	9,435,576.89	1,326,883.49	11,541,741.37	27,413,741.37				53,762.28	1,622,729.35	
MOOE																								
Fin Ex																								
CO																								
III. Special Purpose Fund																								
Miscellaneous Personnel Benefits Fund	01101406		4,454,950.00	4,454,950.00	4,454,950.00			4,454,950.00					4,454,950.00	4,454,950.00				4,454,950.00	4,454,950.00					
Miscellaneous Personnel Benefits Fund	000009070000000		4,454,950.00	4,454,950.00	4,454,950.00			4,454,950.00					4,454,950.00	4,454,950.00				4,454,950.00	4,454,950.00					
Performance-Based Bonus	103009070100000		4,454,950.00	4,454,950.00	4,454,950.00			4,454,950.00					4,454,950.00	4,454,950.00				4,454,950.00	4,454,950.00					
PS			4,454,950.00	4,454,950.00	4,454,950.00			4,454,950.00					4,454,950.00	4,454,950.00				4,454,950.00	4,454,950.00					
Pension and Gratuity Fund	01101407		28,045,643.00	28,045,643.00	28,045,643.00			28,045,643.00	4,792,239.51	676,245.36	22,577,152.87		28,045,637.74	4,756,232.26	712,252.61	22,498,346.65		27,966,831.52		5.26			78,806.22	
Pension and Gratuity Fund	000009080000000		28,045,643.00	28,045,643.00	28,045,643.00			28,045,643.00	4,792,239.51	676,245.36	22,577,152.87		28,045,637.74	4,756,232.26	712,252.61	22,498,346.65		27,966,831.52		5.26			78,806.22	
For payment of retirement and terminal leave benefits	282009080200000		28,045,643.00	28,045,643.00	28,045,643.00			28,045,643.00	4,792,239.51	676,245.36	22,577,152.87		28,045,637.74	4,756,232.26	712,252.61	22,498,346.65		27,966,831.52		5.26			78,806.22	
PS			28,045,643.00	28,045,643.00	28,045,643.00			28,045,643.00	4,792,239.51	676,245.36	22,577,152.87		28,045,637.74	4,756,232.26	712,252.61	22,498,346.65		27,966,831.52		5.26			78,806.22	
Sub-Total, SPF			32,500,593.00	32,500,593.00	32,500,593.00			32,500,593.00	4,792,239.51	676,245.36	22,577,152.87	4,454,950.00	32,500,587.74	4,756,232.26	712,252.61	22,498,346.65	4,454,950.00	32,421,781.52		5.26			78,806.22	
PS			32,500,593.00	32,500,593.00	32,500,593.00			32,500,593.00	4,792,239.51	676,245.36	22,577,152.87	4,454,950.00	32,500,587.74	4,756,232.26	712,252.61	22,498,346.65	4,454,950.00	32,421,781.52		5.26			78,806.22	
MOOE																								
Fin Ex																								
CO																								
GRAND TOTAL		651,323,000.00	45,718,826.00	697,041,826.00	696,596,791.00			696,596,791.00	119,194,179.82	194,757,450.08	98,872,332.45	189,314,618.41	601,138,580.76	103,978,100.27	161,273,658.78	123,015,106.01	174,029,787.35	562,296,652.41	445,035.00	95,458,210.24	17,129,399.77	21,712,528.58		
PS		368,852,000.00	45,718,826.00	414,570,826.00	414,125,791.00			414,125,791.00	88,683,778.06	112,325,260.28	82,440,329.87	111,063,049.02	394,512,417.23	79,354,508.18	111,698,777.82	105,699,988.83	385,485,017.8							

Certified Correct:


Dela Mercedes, Lester V.

Budget Officer

Date: 09/Feb/2017

Certified Correct:


Esguerra, Dondie

Chief Accountant

Date:

Recommended By:


Banghina, Melaida

Director, FMS

Date: 09/Feb/2017

Approved By:


Herbosa, Teresita

Agency Head/Department

Date: 10/Feb/2017

This report was generated using the Unified Reporting System

STATEMENT OF APPROPRIATIONS, ALLOTMENTS, OBLIGATIONS, DISBURSEMENTS AND BALANCES
As of the Quarter Ending December 31, 2016

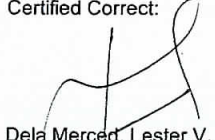
Department: Department of Finance (DOF)
Agency: Securities and Exchange Commission
Operating Unit: N/A
Organization Code (UACS): 11011000000
Fund Cluster: 01 - Regular Agency Fund


Authorization: 02 - Continuing Appropriations


Particulars	UACS CODE	Appropriation			Allotments			Current Year Obligations					Current Year Disbursements				Balances						
		Authorized Appropriation	Adjustments (To)/From, Realignment)	Adjusted Appropriations	Allotments Received	Adjustments (Withdrawal, Realignment)	Transfer To	Transfer From	Adjusted Total Allotments	1st Quarter Ending March 31	2nd Quarter Ending June 30	3rd Quarter Ending Sept. 30	4th Quarter Ending Dec. 31	Total	1st Quarter Ending March 31	2nd Quarter Ending June 30	3rd Quarter Ending Sept. 30	4th Quarter Ending Dec. 31	Total	Unreleased Appropriations	Unobligated Allotment	Unpaid Obligations (15-20) = (23+24)	
1	2	3	4	5=(3+4)	6	7	8	9	10=(8+(-17)+9)	11	12	13	14	15=(11+12+13+14)	16	17	18	19	20=(16+17+18+19)	21=(5-16)	22=(10-15)	23	24
I. Agency Specific Budget																							
Specific Budgets of National Government Agencies	01102101																						
General Administration and Support	000001000000000	94,056,582.33		94,056,582.33	94,056,582.33				94,056,582.33	70,520.00	1,657,589.71	42,254,131.65	42,121,472.92	86,103,714.28	70,520.00	469,573.54	38,946,760.99	30,527,223.27	70,014,077.80	7,952,868.05	3,522,778.49	12,566,857.99	
General management and supervision	103001000100000	94,056,582.33		94,056,582.33	94,056,582.33				94,056,582.33	70,520.00	1,657,589.71	42,254,131.65	42,121,472.92	86,103,714.28	70,520.00	469,573.54	38,946,760.99	30,527,223.27	70,014,077.80	7,952,868.05	3,522,778.49	12,566,857.99	
PS																							
MOOE		61,956,582.33		61,956,582.33	61,956,582.33				61,956,582.33	70,520.00	1,467,594.71	30,154,131.65	30,111,034.93	61,803,281.29	70,520.00	469,573.54	26,656,765.99	30,527,223.27	57,724,082.80	153,301.04	3,522,778.49	556,420.00	
CO		32,100,000.00		32,100,000.00	32,100,000.00				32,100,000.00		189,995.00	12,100,000.00	12,010,437.99	24,300,432.99			12,289,995.00		12,289,995.00	7,799,567.01			12,010,437.99
Support to Operations	000002000000000	4,970,413.00		4,970,413.00	4,970,413.00				4,970,413.00		469,500.00	8,374.62	3,943,902.42	4,421,777.04			98,374.62	379,500.00	477,674.62				
Development, maintenance and administration of information systems, databases and website	103002000100000	46,026.00		46,026.00	46,026.00				46,026.00										46,026.00				
MOOE		46,026.00		46,026.00	46,026.00				46,026.00										46,026.00				
Conduct of public seminars and related activities for investment-promotion and investor protection	101002000200000	2,839,487.00		2,839,487.00	2,839,487.00				2,839,487.00		469,500.00	2,549.62	2,132,936.51	2,604,986.13			92,549.62	379,500.00	472,049.62	234,500.87	1,934,936.51	198,000.00	
MOOE		2,839,487.00		2,839,487.00	2,839,487.00				2,839,487.00		469,500.00	2,549.62	2,132,936.51	2,604,986.13			92,549.62	379,500.00	472,049.62	234,500.87	1,934,936.51	198,000.00	
Development and dissemination of information materials for the public	101002000300000	2,084,900.00		2,084,900.00	2,084,900.00				2,084,900.00			5,825.00	1,810,965.91	1,816,790.91			5,825.00		5,825.00	268,109.09	1,810,965.91		
MOOE		2,084,900.00		2,084,900.00	2,084,900.00				2,084,900.00			5,825.00	1,810,965.91	1,816,790.91			5,825.00		5,825.00	268,109.09	1,810,965.91		
Operations	000003000000000	44,830,713.38		44,830,713.38	44,830,713.38				44,830,713.38			3,827,676.58	15,743,753.02	19,571,429.58			2,811,245.91	8,239,294.54	11,050,540.45	25,259,283.00	6,846,689.82	1,674,199.31	
MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT SERVICES	000003010000000	5,706,035.38		5,706,035.38	5,706,035.38				5,706,035.38			136,378.48	519,007.93	655,386.41			78,778.48	41,805.00	120,583.48	5,050,648.97	477,202.93	57,600.00	
Capital Market Development Services	000003010100000	5,706,035.38		5,706,035.38	5,706,035.38				5,706,035.38			136,378.48	519,007.93	655,386.41			78,778.48	41,805.00	120,583.48	5,050,648.97	477,202.93	57,600.00	
Formulation of policies, plans and programs for capital market	101003010100001	1,234,719.38		1,234,719.38	1,234,719.38				1,234,719.38			3,867.38	7,500.00	11,367.38			3,867.38		3,867.38	1,223,352.00	7,500.00		
MOOE		15,689.00		15,689.00	15,689.00				15,689.00			3,867.38	7,500.00	11,367.38			3,867.38		3,867.38	4,321.62	7,500.00		
CO		1,219,030.38		1,219,030.38	1,219,030.38				1,219,030.38											1,219,030.38			
Provision of technical assistance and inter-agency activities	101003010100002	4,015,416.00		4,015,416.00	4,015,416.00				4,015,416.00			123,394.71	254,559.40	377,954.11			65,794.71	41,805.00	107,599.71	3,637,461.89	212,754.40	57,600.00	
MOOE		424,451.00		424,451.00	424,451.00				424,451.00			65,794.71	141,499.40	207,294.11			65,794.71	41,805.00	107,599.71	217,156.89	99,694.40		
CO		3,590,965.00		3,590,965.00	3,590,965.00				3,590,965.00			57,600.00	113,060.00	170,660.00						3,420,305.00	113,060.00	57,600.00	
Rendering of opinions and interpretative issuances	101003010100003	455,900.00		455,900.00	455,900.00				455,900.00			9,116.39	256,948.53	266,064.92			9,116.39		9,116.39	189,835.08	256,948.53		
MOOE		455,900.00		455,900.00	455,900.00				455,900.00			9,116.39	256,948.53	266,064.92			9,116.39		9,116.39	189,835.08	256,948.53		
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES	000003020000000	39,124,678.00		39,124,678.00	39,124,678.00				39,124,678.00			3,691,298.08	15,224,745.09	18,916,043.17			2,732,467.43	8,197,489.54	10,929,956.97	20,208,634.83	6,369,466.89	1,616,599.31	
Registration, Compliance-Monitoring and Enforcement	000003020100000	39,124,678.00		39,124,678.00	39,124,678.00				39,124,678.00			3,691,298.08	15,224,745.09	18,916,043.17			2,732,467.43	8,197,489.54	10,929,956.97	20,208,634.83	6,369,466.89	1,616,599.31	
Registration/licensing of corporations, capital market participants, securities and investment instruments	101003020100001	32,384,278.00		32,384,278.00	32,384,278.00				32,384,278.00			3,416,902.24	8,948,250.51	12,365,152.75			2,458,071.59	7,281,611.01	9,739,682.60	20,019,125.25	1,666,639.50	958,830.65	
MOOE		12,384,278.00		12,384,278.00	12,384,278.00				12,384,278.00			3,416,902.24	8,948,250.51	12,365,152.75			2,458,071.59	7,281,611.01	9,739,682.60	19,125.25	1,666,639.50	958,830.65	
CO		20,000,000.00		20,000,000.00	20,000,000.00				20,000,000.00											20,000,000.00			
Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities	101003020100002	1,717,400.00		1,717,400.00	1,717,400.00				1,717,400.00				1,590,035.44	1,590,035.44				886,000.00	886,000.00	127,364.56	546,106.78	157,928.66	
MOOE		1,717,400.00		1,717,400.00	1,717,400.00				1,717,400.00				1,590,035.44	1,590,035.44				886,000.00	886,000.00	127,364.56	546,106.78	157,928.66	
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	101003020100003	5,023,000.00		5,023,000.00	5,023,000.00				5,023,000.00			274,395.84	4,586,459.14	4,960,854.98			274,395.84	29,878.53	304,274.37	62,145.02	4,156,740.61	499,840.00	
MOOE		5,023,000.00		5,023,000.00	5,023,000.00				5,023,000.00			274,395.84	4,586,459.14	4,960,854.98			274,395.84	29,878.53	304,274.37	62,145.02	4,156,740.61	499,840.00	
Sub-Total, Agency-Specific		143,857,708.71		143,857,708.71	143,857,708.71				143,857,708.71	70,520.00	2,127,089.71	46,090,182.83	61,809,128.36	110,096,920.50	70,520.00	469,573.54	41,856,381.52	39,146,017.81	81,542,492.87	33,760,787.81	14,115,370.73	14,439,057.30	
PS																							
MOOE		86,947,713.33		86,947,713.33	86,947,713.33				86,947,713.33	70,520.00	1,937,094.71	33,932,582.83	49,585,630.37	85,625,827.91	70,520.00	469,573.54	29,566,386.52	39,146,017.81	69,252,497.87	1,321,885.42	14,002,310.73	2,371,019.31	

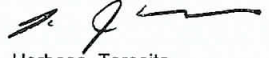
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Particulars	UACS CODE	Appropriation			Allotments			Current Year Obligations					Current Year Disbursements					Balances							
		Authorized Appropriation	Adjustments (Transfer To/From, Realignment)	Adjusted Appropriations	Allotments Received	Adjustments (Withdrawal, Realignment)	Transfer To	Transfer From	Adjusted Total Allotments	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total	Unreleased Appropriations	Unobligated Allotment	Unpaid Obligations (15-20) = (23+24)			
										Ending March 31	Ending June 30	Ending Sept. 30	Ending Dec. 31		Ending March 31	Ending June 30	Ending Sept. 30	Ending Dec. 31				Due and Demandable	Not Yet Due and Demandable		
1	2	3	4	5=(3+4)	6	7	8	9	10=(8+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		
Fin Ex																									
CO		56,909,995.38		56,909,995.38	56,909,995.38				56,909,995.38		189,995.00	12,157,600.00	12,123,497.99	24,471,092.99			12,289,995.00		12,289,995.00		32,438,902.39	113,060.00	12,068,037.99		
II. Automatic Appropriations																									
Retirement and Life Insurance Premiums	01104102																								
General Administration and Support																									
General management and supervision	103001000100000																								
PS																									
Support to Operations																									
Development, maintenance and administration of information systems, databases and website	103002000100000																								
PS																									
Operations																									
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES																									
Registration, Compliance-Monitoring and Enforcement																									
Registration/licensing of corporations, capital market participants, securities and investment instruments	101003020100001																								
PS																									
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	101003020100003																								
PS																									
Sub-Total, Automatic Appropriations																									
PS																									
MODE																									
Fin Ex																									
CO																									
III. Special Purpose Fund																									
Sub-Total, SPF																									
PS																									
MODE																									
Fin Ex																									
CO																									
GRAND TOTAL		143,857,708.71		143,857,708.71	143,857,708.71				143,857,708.71	70,520.00	2,127,089.71	46,090,182.83	61,809,128.36	110,096,920.90	70,520.00	469,573.54	41,856,381.52	39,146,017.81	81,542,492.87		33,760,787.81	14,115,370.73	14,439,057.30		
PS																									
MODE																									
Fin Ex																									
CO																									
GRAND TOTAL		86,947,713.33		86,947,713.33	86,947,713.33				86,947,713.33	70,520.00	1,937,094.71	33,932,582.83	49,685,630.37	85,625,827.91	70,520.00	469,573.54	29,566,386.52	39,146,017.81	69,252,497.87		1,321,885.42	14,002,310.73	2,371,019.31		
PS																									
MODE																									
Fin Ex																									
CO																									
GRAND TOTAL		56,909,995.38		56,909,995.38	56,909,995.38				56,909,995.38		189,995.00	12,157,600.00	12,123,497.99	24,471,092.99			12,289,995.00		12,289,995.00		32,438,902.39	113,060.00	12,068,037.99		

Certified Correct:

 Dela Merced, Lester V.
 Budget Officer
 Date: 09/Feb/2017

Certified Correct:

 Esquerra, Dondie
 Chief Accountant
 Date:

Recommended By:

 Barania, Adelaida
 Director, FMS
 Date: 09/Feb/2017

Approved By:

 Herbosa, Teresita
 Agency Head/Department
 Date: 10/Feb/2017