

FY 2018 FINANCIAL PLAN
(In Thousand Pesos)


Department: Department of Finance (DOF)
 Agency: Securities and Exchange Commission
 Operating Unit: N/A
 Organization Code (UACS): 110110000000
 Report Status: SUBMITTED

Particulars	UACS CODE	Current Year's Obligation			Budget Year Obligation Program											
		Actual Jan.1-Sept.30	Estimate Oct.1-Dec.31	Total 5= 3+4	Total 6= 11+16	COMPREHENSIVE RELEASE					FOR LATER RELEASE(Negative List)					
						Q1	Q2	Q3	Q4	Sub Total 11= 7+8+9+10	Q1	Q2	Q3	Q4	Sub Total 16= 12+13+ 14+15	
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		421,456	146,883	568,339												
Specific Budgets of National Government Agencies	101101	397,488	138,894	536,382												
General Administration and Support	0000010000000000	233,094	80,168	313,262												
General management and supervision	1030010001000000	233,094	80,168	313,262												
PS		118,854	42,088	160,942												
MOOE		114,240	38,080	152,320												
Support to Operations	0000020000000000	15,161	5,270	20,431												
Development, maintenance and administration of information systems, databases and website	1030020001000000	9,623	3,424	13,047												
PS		7,926	2,858	10,784												
MOOE		1,697	566	2,263												
Conduct of public seminars and related activities for investment-promotion and investor protection	1010020002000000	5,538	1,846	7,384												
MOOE		5,538	1,846	7,384												
Operations	0000030000000000	149,233	53,456	202,689												
MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT SERVICES	0000030100000000	8,581	2,860	11,441												
Capital Market Development																

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						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	
Services	000003010100000	8,581	2,860	11,441												
Formulation of policies, plans and programs for capital market	101003010100001	7,666	2,555	10,221												
MOOE		7,666	2,555	10,221												
Provision of technical assistance and inter-agency activities	101003010100002	901	300	1,201												
MOOE		901	300	1,201												
Rendering of opinions and interpretative issuances	101003010100003	14	5	19												
MOOE		14	5	19												
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES	000003020000000	140,652	50,596	191,248												
Registration, Compliance-Monitoring and Enforcement	000003020100000	140,652	50,596	191,248												
Registration/licensing of corporations, capital market participants, securities and investment instruments	101003020100001	136,002	48,589	184,591												
PS		121,924	43,896	165,820												
MOOE		14,078	4,693	18,771												
Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities	101003020100002	2	1	3												
MOOE		2	1	3												
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	101003020100003	4,648	2,006	6,654												

Particulars	UACS CODE	Current Year's Obligation			Budget Year Obligation Program											
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						Q1	Q2	Q3	Q4	Sub Total 11= 7+8+9+10	Q1	Q2	Q3	Q4	Sub Total 16= 12+13+ 14+15	
1	2	3	4	5=	6=	7	8	9	10	11=	12	13	14	15	16=	
PS		4,350	1,907	6,257												
MOOE		298	99	397												
Retirement and Life Insurance Premiums	104102	23,968	7,989	31,957												
General Administration and Support	000001000000000	11,761	3,920	15,681												
General management and supervision	103001000100000	11,761	3,920	15,681												
PS		11,761	3,920	15,681												
Support to Operations	000002000000000	723	241	964												
Development, maintenance and administration of information systems, databases and website	103002000100000	723	241	964												
PS		723	241	964												
Operations	000003000000000	11,484	3,828	15,312												
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES	000003020000000	11,484	3,828	15,312												
Registration, Compliance-Monitoring and Enforcement	000003020100000	11,484	3,828	15,312												
Registration/licensing of corporations, capital market participants, securities and investment instruments	101003020100001	10,226	3,409	13,635												
PS		10,226	3,409	13,635												
Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	101003020100003	1,258	419	1,677												
PS		1,258	419	1,677												
Recapitulation by MFO:		160,717	57,284	218,001												
MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT SERVICES	000003010000000	8,581	2,860	11,441												
MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES	000003020000000	152,136	54,424	206,560												

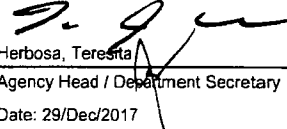
Prepared By:


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Financial Services Head / Budget Officer
Date: 29/Dec/2017

In coordination with:


Espiritu, Rose Ann
Planning Services Head / Planning Officer
Date: 29/Dec/2017

Approved By:


Herbosa, Teresita
Agency Head / Department Secretary
Date: 29/Dec/2017

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		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					661,863	158,214	173,560	158,227	171,480	661,481			382		382
Specific Budgets of National Government Agencies	101101				629,874	150,219	165,565	150,232	163,476	629,492			382		382
General Administration and Support	1000000000000000				316,269	76,371	81,910	76,375	81,231	315,887			382		382
General management and supervision	100000100001000				315,887	76,371	81,910	76,375	81,231	315,887					
PS					128,267	29,466	35,005	29,470	34,326	128,267					
MOOE					187,620	46,905	46,905	46,905	46,905	187,620					
Administration of Personnel Benefits	100000100002000				382								382		382
PS					382								382		382
Support to Operations	2000000000000000				43,021	10,466	11,087	10,469	10,999	43,021					
Development, maintenance and administration of information systems, databases and website	200000100001000				34,709	8,389	9,010	8,392	8,918	34,709					
PS					13,424	3,068	3,689	3,071	3,596	13,424					
MOOE					21,285	5,321	5,321	5,321	5,322	21,285					
Conduct of public seminars and related activities for investment-promotion and investor protection	200000100002000				6,469	1,617	1,617	1,617	1,618	6,469					
MOOE					6,469	1,617	1,617	1,617	1,618	6,469					
Planning and research services	200000100003000				1,843	460	460	460	463	1,843					
MOOE					1,843	460	460	460	463	1,843					
Operations	3000000000000000				270,584	63,382	72,568	63,388	71,246	270,584					
OO : Corporate and Capital Market Infrastructure strengthened	3100000000000000				270,584	63,382	72,568	63,388	71,246	270,584					

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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
CORPORATE AND CAPITAL MARKET DEVELOPMENT PROGRAM	3101000000000000				36,443	9,109	9,109	9,109	9,116	36,443					
Formulation of policies, plans and programs for capital market	310100100001000				34,443	8,610	8,610	8,610	8,613	34,443					
MOOE					34,443	8,610	8,610	8,610	8,613	34,443					
Provision of technical assistance and inter-agency activities	310100100002000				1,463	365	365	365	368	1,463					
MOOE					1,463	365	365	365	368	1,463					
Rendering of opinions and interpretative issuances	310100100003000				537	134	134	134	135	537					
MOOE					537	134	134	134	135	537					
CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM	3102000000000000				234,141	54,273	63,459	54,279	62,130	234,141					
Registration/licensing of corporations, capital market participants, securities and investment instruments	310200100001000				177,084	41,062	47,975	41,064	46,983	177,084					
PS					153,084	35,062	41,975	35,064	40,983	153,084					
MOOE					24,000	6,000	6,000	6,000	6,000	24,000					
Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities	310200100002000				1,883	470	470	470	473	1,883					
MOOE					1,883	470	470	470	473	1,883					

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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
Imposition of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	310200100003000				55,174	12,741	15,014	12,745	14,674	55,174					
PS					49,503	11,324	13,597	11,328	13,254	49,503					
MOOE					5,671	1,417	1,417	1,417	1,420	5,671					
Retirement and Life Insurance Premiums	104102				31,989	7,995	7,995	7,995	8,004	31,989					
General Administration and Support	1000000000000000				12,027	3,006	3,006	3,006	3,009	12,027					
General management and supervision	100000100001000				12,027	3,006	3,006	3,006	3,009	12,027					
PS					12,027	3,006	3,006	3,006	3,009	12,027					
Support to Operations	2000000000000000				1,235	308	308	308	311	1,235					
Development, maintenance and administration of information systems, databases and website	200000100001000				1,235	308	308	308	311	1,235					
PS					1,235	308	308	308	311	1,235					
Operations	3000000000000000				18,727	4,681	4,681	4,681	4,684	18,727					
OO : Corporate and Capital Market Infrastructure strengthened	3100000000000000				18,727	4,681	4,681	4,681	4,684	18,727					
CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM	3102000000000000				18,727	4,681	4,681	4,681	4,684	18,727					
Registration/licensing of corporations, capital market participants, securities and investment instruments	310200100001000				14,177	3,544	3,544	3,544	3,545	14,177					
PS					14,177	3,544	3,544	3,544	3,545	14,177					
Imposition of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	310200100003000				4,550	1,137	1,137	1,137	1,139	4,550					

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						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
PS					4,550	1,137	1,137	1,137	1,139	4,550					

Prepared By:

De la Merced, Lester V.
Financial Services Head / Budget Officer

Date: 29/Dec/2017

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