

QUARTERLY PHYSICAL REPORT OF OPERATION
As of 2017 December 31

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

Particulars	UACS CODE	Physical Targets					Physical Accomplishments					Variance as of December 31 2017	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												
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													
Number of planned measures promulgated/implemented		3	3	2	2	10	5	7	4	3	19	9	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													
Percentage of measures													

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promulgated/implemented within the prescribed timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
Technical Assistance													
Quantity													
Number of technical assistance rendered		0	0	0	0	0	236	65,109	24,342	23,454	113,141	113,141	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		9,673	9,673	9,673	9,673	38,692	33,081	82,297	64,016	38,009	217,403	178,711	The number of registrations approved and licenses issued depends on the number of applications received and the conduciveness of the economic environment.
Quality													
Percentage of applications processed pursuant to standard processing procedures and timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	

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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		37,353	37,353	37,352	37,352	149,410	55,979	87,108	46,109	39,960	229,156	79,746	The number of reports/disclosures monitored and evaluated depends on the regulated entities' compliance with reportorial requirements, among others.
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 and evaluated within standard timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	
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													

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undertaken within standard timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	

Prepared By:


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Planning Services Head/Planning Officer

Date: 30/Jan/2018

In coordination with:


Lester V. Dela Merced
Financial Services Head/Budget Officer
Date: 30/Jan/2018

Approved By:


Teresita Herbosa

Agency Head/Department Secretary

Date: 01/Feb/2018

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