

**QUARTERLY PHYSICAL REPORT OF OPERATION**  
As of 2018 December 31

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

Particulars	UACS CODE	Physical Targets					Physical Accomplishments					Variance as of December 31 2018	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													
OO : Corporate and Capital Market Infrastructure strengthened													
CORPORATE AND CAPITAL MARKET DEVELOPMENT PROGRAM	3101000000000000												
Outcome Indicator(s)													
1. Value of securities registered increased					P 37.8B	P 37.8B				P 144.06 B	P 144.06	P 106.26 B	
2. Total number of applications for registration,					135,754	135,754				127,144	127,144	-8,610	The slight decrease in total number of applications processed and approved is due to the shift from manual company registration process in 2017 to automated company registration process in 2018. Under the former system, name verification was done through a separate system. Hence, it was counted as a separate process altogether. Whereas under the present system, name verification is integrated in the registration process itself. It is no longer counted as a separate process.
licensure and accreditation processed and approved increased													

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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
3. Percentage of investment scams/complaints reported					100%	100%				100%	100%	0	780 investment scams/complaints reported by the public and investigated by SEC
by the public and investigated by SEC increased													
Output Indicator(s)													
1. Number of planned policy measures promulgated/		4	3	3	3	13	8	4	7	5	24	11	
implemented (including memorandum circulars,													
public consultations, etc.)													
2. Percentage requests for technical assistance that		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	184,987 technical assistance rendered
are acted upon within the prescribed timeframe													
3. Number of applications for certification examination		212	212	212	212	848	184	417	939	1,013	2,553	1,705	
for capital market participants processed and													
approved													
CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM	310200000000000												
Outcome Indicator(s)													
1. Percentage of													

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		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
target regulated entities and individuals monitored and evaluated as compliant with SEC rules and regulations increased					10%	10%				15.08%	15.08%	5.08%	
Output Indicator(s)													
1. Percentage of license or permit applications and renewals processed within standard processing timeframe		100%	100%	100%	100%	100%	100%	100%	100%	100	100%	0	128,707 license or permit applications and renewals processed
2. Number of target entities monitored and evaluated		16,661	16,661	16,660	16,660	66,642	9,662	10,316	31,225	32,636	83,839	17,197	
3. Percentage of errant firms and individuals imposed the appropriate fines and/or penalties		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0	51,194 errant firms and individuals imposed the appropriate fines and/or penalties

Prepared By:

  
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Date: 10/Jan/2019

In coordination with:

  
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Financial Services Head/Budget Officer

Date: 11/Jan/2019

Approved By:

  
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Agency Head/Department Secretary

Date: 11/Jan/2019