



Republic of the Philippines
Department of Trade and Industry
Securities and Exchange Commission
SEC Bldg. EDSA, Greenhills, Mandaluyong City

SEC Office Order No. 254, series of 2009

TO : All Departments and Special Offices Concerned

SUBJECT : Procedures and Guidelines for the Implementation of the Computer-Assisted Paper Submission Module

General

1. This issuance formally authorizes the deployment of the Computer-Assisted Paper Submission Module which allows for the real time capture of the receipt information of reports submitted to the SEC by its regulated companies. This module also expedites the scanning process and the uploading of the scanned reports/documents of the SEC i-View.
2. To ensure the proper implementation of this Computer-Assisted Paper submission module, the following procedures and guidelines are hereby adopted. These procedures and guidelines shall govern the following:
 - a. Reports personally submitted to SEC, as indicated in Item I;
 - b. Reports submitted by SEC registered companies and other company-related documents thru mail or courier, and other company-related documents submitted directly to the operating department, as indicated in Item II;
 - c. Non-company related documents filed at SEC, as indicated in Item III;
 - d. Company related documents issued by SEC, as indicated in Item IV;
 - e. Application for registration of primary licenses (new registration and amendments), as indicated in Item V;
 - f. Application for secondary license as indicated in Item VI, for the data capture and scanning of application for registration and licenses approved by SEC; and,
 - g. Contingency procedures as indicated in Item VII.

Specific

- I. *For reports personally submitted by SEC registered companies and other company-related documents*
 - A. Receiving Unit: Central Receiving and Records Division (CRRD), Ground Floor
 - B. Number of Copies for Filing: Five (5) copies
 - C. Procedures:
 1. Filer gets queue number from the dispenser and waits for his number to be called.
 2. CRU Receiving Officer:
 - a. Calls client in queue based on the number from the dispenser.
 - b. Accesses the e-terminal and verifies the information on the report submitted by client and inputs said information and/or edits document details when necessary.

- c. If the document is acceptable, generates Acknowledgement Page/Bar Code Page and attaches the same to the receiving copy.
 - d. If the document is not acceptable, generates Deficiency Checklist, and returns the same to the filer together with the rejected report documents.
3. For accepted documents, CRRD distributes the same in accordance with the following distribution list:

Number of copies	Recipient
One (1)	Operating Department (CFD/CRMD/MRD/NTD)
One (1)	Imaging/Microfilming/ Archival
One (1)	Public Reference Unit (PRU)
One (1)	Filer's Copy
One (1)	ERID*

* GIS and AFS only

4. Micrographics Unit scans the archival copy of the documents for uploading to SEC i-View.

Option/Alternative Procedure: Provision for Use of Self Service and E-Queue Terminal

1. Filer, using the SEC PC terminal located at the Ground floor, accesses the e-service/self-service facility and inputs the following filer's information:
 - Filer's Name
 - SEC Number/Company Name
 - Type of Report
 - Period Date
2. CRU Receiving Officer:
 - a. Calls Client in queue based on the number from the self service terminal;
 - b. Accesses the e- terminal and verifies the information on the report submitted by client and inputs said information and/or edits document details when necessary;
 - c. If the document is acceptable, generates Acknowledgement Page/Bar Code Page and attaches the same to the receiving copy;
 - d. If the document is not acceptable, generates Deficiency Checklist and returns the same to the filer together with the rejected documents.
3. CRRD distributes the documents in accordance with the following distribution list:

Number of copies	Recipient
One (1)	Operating Department (CFD/CRMD/MRD/NTD)
One (1)	Imaging/Microfilming/ Archival
One (1)	Public Reference Unit (PRU)
One (1)	Filer's Copy
One (1)	ERID*

* GIS and AFS only

4. Micrographics Unit scans the archival copy of the documents for uploading to SEC i-View.

II. For reports submitted by SEC registered companies and other company-related documents thru mail or courier/Reports and other company-related documents submitted directly to the operating department thru mail or courier

- A. Receiving Unit: Central Receiving and Records Division (CRRD), Ground Floor/
Operating Department concerned
- B. Number of Copies for Filing: Five (5) copies or depending on the number of copies received thru mail
- C. Procedures:
 - 1. Receiving Officer of the Department/CRRD:
 - a. Accesses the e-terminal module and inputs the following information:
 - SEC Number/Company Name
 - Report Type
 - Period Date
 - (for CRRD only) If document is received thru government postal services, indicates in the "Remarks" box, the mailing date
 - b. Generates Acknowledgement Page/Bar Code Page and attaches the same to the document.
 - 2. Operating department transmits to CRRD-HRAD copies of the document received with the attached bar code page.
 - 3. Upon receipt of document, CRRD-HRAD checks for bar code page, if none, returns the document to originating operating department.
 - 4. CRRD-HRAD staff distributes copies of the documents to designated recipients.
 - 5. Micrographics Unit scans the Archival copy of the documents for uploading to SEC i-View.

III. For non-company related documents filed with SEC

- 1. CRRD Receiving Officer:
 - a. Accesses the e-terminal module and inputs the following information:
 - Sender's information
 - Addressee
 - Date Received
 - Appropriate remarks if required
 - b. Forwards the mail receipt information to the addressee/department/office concerned
- 2. Department (designated user/s) concerned:
 - a. Views document receipt information from its inbox, with facility to forward them to the appropriate recipients.
- 3. a. Micrographics Unit scans the documents for viewing by the addressee.
 - b. CRRD-HRAD staff transmits the documents (hard copy) to addressee.

IV. For company-related documents issued by the Departments requiring scanning, such as Orders, Show-Cause and the like.

1. Department-designated personnel
 - a. Accesses the e-terminal module and inputs the following information:
 - SEC Number/Company Name
 - Date Issued (inputted in the date receipt field)
 - Form/Document Type
 - If document issued requires payment, input amount paid
2. Generates bar code page and attaches the same to the document for scanning.
3. Upon receipt of documents, CRRD checks for bar code; if none, returns document to originating operating department.
4. Micrographics Unit scans archival copy of the documents for uploading to SEC i-View.

V. For application for Registration of Primary Licenses (New Registration and Amendments)

- A. Receiving Unit: Company Registration and Monitoring Dept. (CRMD), 2nd floor
- B. Number of Copies for Filing: Five (5) copies
- C. Procedures:
 1. Applicant submits to/files the paid application with the Receiving Officer of CRMD.
 2. CRMD checks completeness of the submitted document; if incomplete, returns the same to the applicant.
 3. CRMD encodes the receipt information and approval information to the SEC i-Register/Excel file.
 4. CRMD transmits four (4) copies of approved application to CRRD-HRAD with an attached batch control sheet for releasing and distribution of documents.
 5. CRRD releases approved application to clients and distributes the documents in accordance with the following distribution list.

Number of copies	Recipient
One (1)	Operating Department (CFD/CRMD/MRD/NTD)
One (1)	Imaging/Microfilming/ Archival
One (1)	Public Reference Unit (PRU)
One (1)	Filer's Copy

VI. For Application for Secondary License

- A. Receiving Unit: Corporation Finance Dept. (CFD), 6th flr
Market Regulation Dept. (MRD), 6th flr
Non-Traditional Securities Dept. (NTD) 10th flr
- B. Number of Copies for Filing: Five (5) copies

C. Procedures:

1. Applicant submits to/files the paid application with the Receiving Officer of Department Concerned
2. Department concerned checks completeness of the submitted document; if incomplete, returns the same to the applicant.
3. Department concerned encodes the receipt information and approval information to SEC i-Register.
4. Department concerned releases approved application.
5. Department concerned distributes approved application for registration and licensing in accordance with the distribution list; and ensures that the copy for Micrographics Unit has a covering batch control sheet.

Number of copies	Recipient
One (1)	Filer/Client
One (1)	Imaging/Microfilming/Archival
One (1)	Department Copy
One (1)	PRU copy

6. Micrographics scans the archival copy of the documents for uploading to SEC i-View.

VII. Contingency Procedures

The following contingency procedures shall be adopted in case of systems breakdown, during peak period of filing of AFS, and on the last day for filing of reports by corporations with secondary licenses. Essentially, the contingency procedures outlined below cover reports personally submitted by SEC registered companies and other company-related documents.

- A. Receiving Unit: Central Receiving and Records Division (CRRD), Ground Floor
- B. Number of Copies for Filing: Five (5) copies
- C. Procedures;

1. CRU Receiving Officer:
 - a. Calls client in queue based on the number from the self service terminal;
 - b. Checks the document; if the same is not acceptable, returns the same to filer;
 - c. Acknowledges all copies of reports filed using dater;
 - d. Affixes signature on all the documents stamp received;
 - e. Distributes the documents in accordance with the following distribution list:

Number of copies	Recipient
One (1)	Operating Department (CFD/CRMD/MRD/NTD)
One (1)	Imaging/Microfilming/ Archival Immediately to encoder
One (1)	Public Reference Unit (PRU)

One (1)	Filer's Copy
One (1)	ERID*

* GIS and AFS only

2. CRRD Encoder:

- o Accesses the E-terminal, verifies the information inputted by the filer and edits document details when necessary.
- o Generates Acknowledgement Page/Bar Code Page and attaches the same to the receiving archival copy for filming.

3. Micrographics Unit scans the archival copy of the documents for uploading to SEC i-View.

For strict compliance of all concerned.

4. August 2009
Mandaluyong City

F. B. Barin
F. B. BARIN
Chairperson