

STATEMENT OF APPROPRIATIONS, ALLOTMENTS, OBLIGATIONS, DISBURSEMENTS AND BALANCES
As of the Quarter Ending December 31, 2014

FAR No. 1

Department : DEPARTMENT OF FINANCE
Agency : SECURITIES AND EXCHANGE COMMISSION
Operating Unit :
Organization Code (UACS) : 11011000000
Funding Source Code (as clustered) : 01101101

xx	Current Year Appropriations
	Supplemental Appropriations
	Continuing Appropriations

PARTICULARS	UACS CODE	Appropriations			Allotment				Current Year Obligations				Current Year Disbursements					Balances					
		Authorized Appropriations	Adjustments (transfer to/from Realignment)	Adjusted Appropriations	Allotment Received	Adjustments (Withdrawal, Realignment)	Transfer To	Transfer From	Adjusted Total Allotment	1st Qtr Ending Mar. 31	2nd Qtr ending June 30	3rd Qtr ending Sept. 30	4th Qtr ending Dec. 31	Total	1st Qtr Ending Mar. 31	2nd Qtr Ending June 30	3rd Qtr Ending Sept. 30	4th Qtr 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=(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																							
General Administration and Support																							
General Administration and Supervision	100000000	370,234,000	0	370,234,000	370,234,000	0	4,830,000	0	375,064,000	62,197,862	28,412,894	28,021,027	24,290,778	142,922,561	33,712,491	30,701,486	37,691,191	24,033,407	126,138,575	0	232,141,439	16,783,986	0
PS	501000000	222,038,000		222,038,000	222,038,000		4,830,000		226,868,000	23,483,232	17,602,104	13,484,366	7,400,287	61,969,989	21,442,327	19,343,021	12,966,140	5,324,486	59,075,973	0	164,898,011	2,894,015	
MOOE	502000000	146,196,000		146,196,000	146,196,000				146,196,000	38,714,630	10,810,790	14,378,484	16,503,071	80,406,975	12,270,164	11,358,465	24,663,631	18,321,304	66,613,564	0	65,789,025	13,793,411	0
CO	506000000	2,000,000		2,000,000	2,000,000				2,000,000	0	0	158,177	387,420	545,597			61,420	387,617	449,037	0	1,454,403	96,560	
Support to Operations																							
1. Development, maintenance and administration of information system, database and website	200000000	14,696,000	0	14,696,000	14,696,000	0	0	0	14,696,000	4,515,562	2,087,288	2,093,689	2,337,664	11,034,203	2,478,598	2,256,567	1,631,559	4,667,480	11,034,203	0	3,661,797	0	0
PS	200010000																			0			
MOOE	501000000	4,279,000		4,279,000	4,279,000				4,279,000	1,757,003	1,316,980	944,360	260,657	4,279,000	1,604,303	1,447,234	966,805	260,657	4,279,000	0	0	0	
CO	502000000	3,120,000		3,120,000	3,120,000				3,120,000	826,217	230,715	346,107	622,085	2,025,125	261,860	242,403		1,520,861	2,025,125	0	1,094,875	0	0
2. Conduct of public seminars and related activities for investment promotion and investor protection	200020000																			0			
PS		0		0	0															0			
MOOE	502000000	5,207,000		5,207,000	5,207,000				5,207,000	1,378,882	385,043	601,073	1,038,205	3,403,204	437,021	404,550	462,605	2,099,028	3,403,204	0	1,803,796	0	0
3. Development and dissemination of information materials for the public	200030000																			0			
MOOE	502000000	2,090,000		2,090,000	2,090,000				2,090,000	553,460	154,550	202,149	416,717	1,326,875	175,413	162,379	202,149	786,934	1,326,875	0	763,125	0	0
Operations																							
MFO 1 - Corporate and Capital Market Dev. Services																							
Capital Market Development Services																							
1. Formulation of policies, plans and programs for the capital market	300000000	33,045,000	0	33,045,000	33,045,000	0	0	0	33,045,000	8,750,752	2,443,586	281,000	6,600,488	18,055,827	2,773,452	2,567,379	5,142,379	7,572,617	18,055,826	0	14,989,173	0	0
PS	301010000																			0			
MOOE	501000000																			0			
CO	502000000	31,183,000		31,183,000	31,183,000				31,183,000	8,257,670	2,305,897	61,700	6,217,464	16,842,731	2,617,175	2,422,714	4,943,079	6,859,763	16,842,731	0	14,340,269	0	0
2. Provision of technical assistance and inter-agency activities	506000000			0	0				0					0					0	0			
PS	501000000													0					0				
MOOE	502000000	1,405,000		1,405,000	1,405,000				1,405,000	372,063	103,896		280,138	756,096	117,921	109,159		529,016	756,096	0	648,904	0	0
CO	506000000													0					0	0			
3. Rendering of Opinions and interpretative issuances	501000000													0					0				
PS	502000000	457,000		457,000	457,000				457,000	121,020	33,794	199,300	102,886	457,000	38,356	35,506	199,300	183,838	457,000	0	0	0	0
CO	506000000													0					0				
MFO 2 - Corporate and Capital Market Reg. Services																							
Registration, Compliance-Monitoring and Enforcement																							
1. Registration/licensing of corporations, capital market participant and securities and investment instruments	302000000	122,705,000	0	122,705,000	122,705,000	0	0	0	122,705,000	46,274,676	31,175,334	32,835,375	12,419,615	122,705,000	37,803,451	34,158,145	36,707,431	14,035,970	122,704,997	0	0	3	0
PS	302010000																						
MOOE	501000000	79,839,000		79,839,000	79,839,000				79,839,000	32,782,741	24,572,649	15,978,071	6,505,539	79,839,000	29,933,625	27,002,979	16,396,856	6,505,538	79,838,998	0	0	2	
CO	502000000	21,389,000		21,389,000	21,389,000				21,389,000	5,664,090	1,581,657	12,518,097	1,625,155	21,388,999	1,795,169	1,661,784	15,673,835	2,258,211	21,388,999	1	0	0	0
2. Conduct of audits, inspection, verification and/or examination of operations/activities	506000000	0	0	0	0				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
PS	302010000																						
MOOE	501000000																						
CO	502000000	1,742,000		1,742,000	1,742,000				1,742,000	461,305	128,816	1,151,879	0	1,742,000	146,205	135,342	1,460,452	0	1,741,999	0	0	0	0
3. Impositions of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	506000000													0					0				
PS	302010000																						
MOOE	501000000	14,681,000		14,681,000	14,681,000				14,681,000	6,028,174	4,518,482	1,772,293	2,362,051	14,681,000	5,504,272	4,965,377	1,849,300	2,362,051	14,681,000	0	0	0	0
CO	502000000	5,054,000		5,054,000	5,054,000				5,054,000	1,338,366	373,729	1,415,035	1,926,870	5,054,000	424,180	392,662	1,326,988	2,910,170	5,054,000	0	0	0	0
CO	506000000													0					0				

PARTICULARS	Appropriations				Allotment				Current Year Obligations				Current Year Disbursements					Balances					
	UACS CODE	Authorized Appropriations	Adjustments (transfer to/ from Realignment)	Adjusted Appropriations	Allotment Received	Adjustments (Withdrawal, Realignment)	Transfer To	Transfer From	Adjusted Total Allotment	1st Qtr Ending Mar. 31	2nd Qtr ending June 30	3rd Qtr ending Sept. 30	4th Qtr ending Dec. 31	Total	1st Qtr Ending Mar. 31	2nd Qtr Ending June 30	3rd Qtr Ending Sept. 30	4th Qtr 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=(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
Sub-total, Agency Specific Budget		540,680,000		540,680,000	540,680,000	0	4,830,000	0	545,510,000	121,738,851	64,119,103	63,211,091	45,648,545	294,717,590	76,767,991	69,683,576	81,172,560	50,304,474	277,928,601		250,792,410	17,171,606	1
PS	5010000000	320,837,000		320,837,000	320,837,000		4,830,000		325,667,000	64,051,150	48,010,215	32,179,090	16,528,534	160,768,989	58,484,527	52,758,611	32,179,101	14,452,732	157,874,971		164,898,011	2,894,017	
MOOE	5020000000	217,843,000		217,843,000	217,843,000				217,843,000	57,687,702	16,108,888	30,873,824	28,732,591	133,403,005	18,283,464	16,924,965	48,932,039	35,469,125	119,609,593		84,439,995	13,793,411	1
CO	5060000000	2,000,000		2,000,000	2,000,000				2,000,000	0	158,177	387,420	545,597	0	0	61,420	382,617	444,037			1,454,403	484,177	
11. Automatic Appropriations																							
RLIP	5010301000	15,497,000		15,497,000	15,497,000	0	0	0	15,497,000	6,809,274	4,522,427	2,903,209	1,262,089	15,497,000	4,645,465	6,682,560	2,904,209	1,264,766	15,497,000		0	0	
MOOE																							
CO																							
Sub-total, Automatic Appropriations		15,497,000		15,497,000	15,497,000				15,497,000	6,809,274	4,522,427	2,903,209	1,262,089	15,497,000	4,645,465	6,682,560	2,904,209	1,264,766	15,497,000		0	0	
PS	5010000000	15,497,000		15,497,000	15,497,000				15,497,000	6,809,274	4,522,427	2,903,209	1,262,089	15,497,000	4,645,465	6,682,560	2,904,209	1,264,766	15,497,000		0	0	
MOOE	5020000000																						
CO	5060000000																						
III. Special Purpose Funds																							
Pension Gratuity Funds																							
Terminal Benefits	01101407																						
	5010403001						1,106,649		1,106,649	89,237	262,168	135,414	619,830	1,106,649	89,237	262,168	135,414	619,830	1,106,649		0	0	
GRAND TOTAL		556,177,000	0	556,177,000	556,177,000	0	5,936,649	0	562,113,649	128,637,362	68,903,698	66,249,714	47,530,464	311,321,239	81,502,693	76,628,304	84,212,183	52,189,070	294,532,250	0	250,792,410	17,171,605	1
PS	5010000000	336,334,000	0	336,334,000	336,334,000	0	5,936,649	0	342,270,649	70,949,661	52,794,811	35,217,713	18,410,453	177,372,637	63,219,229	59,703,339	35,218,724	16,337,328	174,478,620	0	164,898,012	2,894,017	
MOOE	5020000000	217,843,000	0	217,843,000	217,843,000	0	0	0	217,843,000	57,687,702	16,108,888	30,873,824	28,732,591	133,403,005	18,283,464	16,924,965	48,932,039	35,469,125	119,609,593	0	84,439,995	13,793,411	1
CO	5060000000	2,000,000	0	2,000,000	2,000,000	0	0	0	2,000,000	0	0	158,177	387,420	545,597	0	0	61,420	382,617	444,037	0	1,454,403	484,177	0
Recapitulation by MFO:																							
MFO 1	3010000000	33,045,000	0	33,045,000	33,045,000	0	0	0	33,045,000	8,750,752	2,443,586	261,000	6,600,488	18,055,827	2,773,452	2,567,379	5,142,379	7,572,617	18,055,826	0	14,989,173	0	0
MFO 2	3020000000	122,705,000	0	122,705,000	122,705,000	0	0	0	122,705,000	46,274,676	31,175,334	32,835,375	12,419,615	122,705,000	37,803,451	34,158,145	36,707,431	14,035,970	122,704,997	0	0	3	0
OF WHICH																							
Key Program/Project:																							
Priority area: Rapid, inclusive and sustained economic growth		33,045,000		33,045,000	33,045,000				33,045,000	8,750,752	2,443,586	261,000	6,600,488	18,055,827	2,773,452	2,567,379	5,142,379	7,572,617	18,055,826				
1. Formulation of policies, plans, and programs for capital market		31,183,000	0	31,183,000	31,183,000	0	0	0	31,183,000	8,257,670	2,305,897	61,700	6,217,464	16,842,731	2,617,175	2,422,714	4,943,079	6,859,763	16,842,731	0	14,340,269	0	0
2. Provision of technical assistance and inter-agency activities		1,405,000	0	1,405,000	1,405,000	0	0	0	1,405,000	372,063	103,896	0	280,138	756,096	117,921	109,159	0	529,016	756,096	0	648,904	0	0
3. Rendering opinions and interpretative issuance		457,000	0	457,000	457,000	0	0	0	457,000	121,020	33,794	199,300	102,886	457,000	38,356	35,506	199,300	183,838	457,000	0	0	0	0
Priority area: Anti-corruption/transparent, accountable and participatory governance		122,705,000		122,705,000	122,705,000				122,705,000	46,274,676	31,175,334	32,835,375	12,419,615	122,705,000	37,803,451	34,158,145	36,707,431	14,035,970	122,704,997				
4. Registration/licensing of corporations, capital market participants, securities and investments instruments		101,228,000	0	101,228,000	101,228,000	0	0	0	101,228,000	38,446,831	26,154,307	28,496,168	8,130,694	101,228,000	31,728,794	28,664,763	32,070,691	8,763,749	101,227,997	0	0	2	0
5. Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities		1,742,000	0	1,742,000	1,742,000	0	0	0	1,742,000	461,305	128,816	1,151,879	0	1,742,000	146,205	135,342	1,460,452	0	1,741,999	0	0	0	0
6. Imposition of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities		19,735,000	0	19,735,000	19,735,000	0	0	0	19,735,000	7,366,540	4,892,211	3,187,328	4,288,921	19,735,000	5,928,452	5,358,039	3,176,288	5,272,221	19,735,000	0	0	0	0

Certified Correct:	Certified Correct:	Recommending Approval:	Approved by:
Thouret I. Dela Cruz	Renato A. Santos	Adelaida C. Navarro-Banaria	Teresita J. Herbosa
Division Head, Budget Division	Division Head, Accounting Division	Diretor, Financial Management Department	Chairperson