



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

Enforcement and Investor Protection Department

INVESTOR ALERT

22 December 2015

The Securities and Exchange Commission received reports that an individual formerly connected with the Philippine Stock Exchange ("PSE") is allegedly pooling funds from the public to be invested in PSE-listed stocks under the name of his company. He promises return as high as 50% for a short period of time. Per verification, the said individual is neither a registered salesman nor is his company registered with the Commission to conduct investment-taking from the public.

The said perpetrator has obtained the confidence of the public through the public seminars/lectures on investments in stock market he conducts and represented himself as associated with the PSE and certain registered brokers.

The scheme as described above appears to constitute fraudulent transactions under Section 26 and violation Section 28 of the Securities Regulation Code and its Implementing Rules and Regulations.

In this regard, the public is hereby advised to exercise caution in dealing with this person and in investing their money in what appears to be a high yield investment.

The Commission urges anyone who has knowledge or information about the scheme as described above to report to the Commission or for those who have already been a victim by the above person to execute an affidavit so that the appropriate action and/or proceeding be initiated by the Commission to protect the investing public.

ENFORCEMENT AND INVESTOR PROTECTION DEPARTMENT

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