



REPUBLIC OF THE PHILIPPINES
SECURITIES AND EXCHANGE COMMISSION
SEC Building, EDSA, Greenhills
City of Mandaluyong, Metro Manila

NOTICE

TO : ALL CAPITAL MARKET PARTICIPANTS
(INSTITUTIONS AND PROFESSIONALS)
AND OTHER CONCERNED PERSONS/ENTITIES

SUBJECT: LISTS OF CAPITAL MARKET PARTICIPANTS
(INSTITUTIONS AND PROFESSIONALS)

DATE : 27 APRIL 2015

NOTICE is hereby given that the lists of Capital Market Participants (Institutions and Professionals) are posted at the Commission's website, www.sec.gov.ph.

Subject lists are limited to:

1. Renewal Registrants - those issued Certificates of Registration/Licenses during the renewal period in November (or in December for late renewal) of the preceding year; and
2. New Registrants - those issued Certificates of Registration/Licenses for the particular year (updated monthly).

Terminations, suspensions and revocations of the Certificates of Registration/Licenses are not covered by subject lists.¹

NOTICE is also given that all the Renewal Registrants for 2015² were issued Perpetual Certificates of Registration/Licenses and all the New Registrants for 2015 onwards were/shall be issued Perpetual Certificates of Registration/Licenses.

Perpetual Certificates of Registration/Licenses are issued only once; after which, Renewal Registrants shall be issued Confirmation of the Renewal of License and Payment of the Annual Fees.

For further inquiries and clarifications on the subject, you may communicate with our Licensing Unit at the 3rd Floor of the SEC Building or at telephone numbers 584-7187 or 584-0920 to 23 local 272.


TERESITA J. HERBOSA
Chairperson

¹ Monitoring of Capital Market Participants (Institutions and Professionals) is under the jurisdiction of Markets and Securities Regulation Department.

² A. Renewal Registrants for 2012 of Brokers Dealers in Securities, Brokers in Securities, Dealers in Securities, Brokers in Proprietary Shares, and Voice Brokers, all Institutions only, were issued Perpetual Certificates of Registration/Licenses during their renewal period in 2011.

B. Transfer Agents shall be issued Perpetual Certificates of Registration/Licenses during their renewal period on May to June 2015.

