



Republic of the Philippines
SECURITIES AND EXCHANGE COMMISSION
SEC Building, EDSA, Greenhills
Mandaluyong City

Compliance and Enforcement Department



In the Matter of
**OXFORD INTERNATIONAL
MANAGEMENT, INC.**

CED(PED) Case No. 01-2613

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O R D E R

Subject of numerous complaints from its foreign investors/clients is OXFORD INTERNATIONAL MANAGEMENT, INC. (OXFORD FOR BREVITY), who claims that they had been defrauded of their investments in connection with its investment solicitation and foreign securities dealing/brokering activities.

Records show that subject corporation is duly registered with the Commission on 23 April 1991 per SEC Registration No. 189641 and latest purpose of which is primarily:

"to act as management consultants and advisers of individuals, entities, and corporations located outside the Philippines and in this connection to undertake or contract for researches, studies and surveys on the global and regional economic environment with emphasis on emerging growth of world economies and with a view to identifying prospective investment opportunities and for this purpose to provide information on the latest market development potentials for client overseas. To promote and assist prospective investors who desire to enter into joint agreements with Philippine entities or individuals, to provide venture capital where needed; and finally, to provide administrative support services to individuals, clients and investors, such as providing monitoring, communications, mailing, billing and other clerical and secretarial services in connection therewith."

Per Market Regulation Department (MRD) certification dated 25 April 2001, OXFORD has not been issued any secondary license to act as broker/dealer in securities,

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investment house and dealer in government securities. Accordingly, the said corporation is not authorized to engage and/or solicit investments from clients within the Philippines or outside the country.

In this connection, you are hereby ordered to show cause within ten (10) days from receipts hereof why the **CEASE and DESIST ORDER** should not be made permanent. Likewise, the act is not within the primary purpose of the subject corporation, being an ULTRA VIRES ACT is ground for suspension or revocation of corporate franchise under PD 902-A and may render the corporation and its responsible officers and directors liable under the Securities Regulation Code (SRC).

In view of the serious misrepresentation undertaken by OXFORD by acting as broker/dealer in securities without the necessary license issued by the Commission, there is an imperative need for said corporation to be enjoined from further acting as broker/dealer in securities, if only to safeguard and protect the interest of the investing public in general and image of our country in the international business in particular.

WHEREFORE, pursuant to the authority vested in the Commission, OXFORD INTERNATIONAL MANAGEMENT, INC, its officers, directors, agents, representatives and any and all persons claiming and acting under their authority, are hereby ordered to immediately CEASE and DESIST from further soliciting/accepting investments from the public.

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In accordance with the provisions of Section 64.3 of the Republic Act 8799, otherwise known as the Securities Regulation Code, the parties subject of this **Cease and Desist Order** may file a request for lifting thereon within five (5) days from receipt hereof.

SO ORDERED.

May 10, 2001, Mandaluyong City, Metro Manila


JOSE TOMAS C. SYQUIA
Assistant Director