Certification Seminar for Prospective Equities Securities Salesmen (ESS)

Date: 11-12 December 2017
Time: 9:00 am to 5:00 pm
Venue: Meeting Room 6

How to Register

1. Submit a fully accomplished registration form personally or through your authorized representative to Ms. Abigail Camus at Economic Research and Training Department (ERTD). The registration form can be downloaded from this link


   Securities and Exchange Commission
   West Wing, Ground Floor, Secretariat Building, PICC, Pasay City
   8:00am-5:00pm

2. Wait for the issuance of your Payment Assessment Form (PAF). Registration fee is PhP 9,600 and is non-refundable.

3. Pay to the cashier. Aside from cash payment, we also accept manager's check payable to the Securities and Exchange Commission.

4. After payment, return to ERTD and submit the cashier-validated PAF for proper documentation.

Deadline for registration is 12:00 nn, Friday, 8 December 2017.
We can only accommodate 60 participants. Registration is on a first-come, first-served basis.

For your questions/clarifications, please call the Ms. Camus at contact numbers
818-7256 / 818-0921 local 243 / 0917-5769108

By: Training Division, ERTD

Noted:

Lilia O. Pinzon
Officer-in-Charge, ERTD
Economic Research and Training Department

CERTIFICATION PROGRAM FOR EQUITIES SECURITIES SALESMEN (CPESS)
Registration Form
(version 2017)

Retake? YES NO Date of last exam D D M M Y Y

1. APPLICANT'S NAME (Print in capital letters.)
   Last Name
   Given Name
   Middle Name
   Maiden Name (for married female applicants)

2. COMPLETE RESIDENCE ADDRESS

3. BIRTHDATE
   M M D D Y Y Y

4. AGE

5. SEX

6. CIVIL STATUS

7. APPLICANT'S TIN
   - - - - - - - - - - - -

8. TELEPHONE NO.

9. MOBILE NO.

10. E-MAIL

11. CITIZENSHIP

12. EDUCATIONAL ATTAINMENT

13. DEGREE RECEIVED

14. UNIVERSITY/SCHOOL

15. YEAR GRADUATED

16. NAME OF EMPLOYER FIRM

17. EMPLOYER'S MAIN ADDRESS

18. BRANCH NAME (If applicable)

19. EMPLOYMENT DATE

20. BRANCH'S ADDRESS (If applicable)

21. Please indicate in the box the activity/ies you will take by writing “SE” for seminar and exam, “E” for examination only, and “S” for seminar only.

   PHASE 1 PHASE 2: ☐ Mutual Funds ☐ Equities ☐ Fixed Income ☐ AP/CO ☐ Timeshares

22. I swear and affirm that (a) I have read and understood the [provisions of the] Examination Guidelines as well as the items and instructions on this form, and (b) if I am taking the Exam only, I have attended the pre-requisite seminar for the said exam module that I will take. I further attest to the veracity and truthfulness of the information I have provided herein to the best of my knowledge and that I may be subject to administrative, civil, or criminal sanctions and penalties if I give false or misleading information herein.

   MONTH / DAY / YEAR
   SIGNATURE OF APPLICANT
APPLICATION RECEIPT

Received the application for Equities Securities Salesmen Certification Examination (ESSCE).

☐ PHASE 1

PHASE 2 (Please tick the appropriate box)

☐ Mutual Funds ☐ Equities ☐ Fixed Income ☐ AP/CO ☐ Timeshares

TIME: ______________ DATE: ___________________ VENUE: ___________________

To be accomplished by the applicant:

Printed Name: ____________________________________________

Signature: _______________________________________________

Employer: _______________________________________________

Bring the following on the examination day:
1. This Application Receipt;
2. One (1) blue or black ballpoint pen;
3. One (1) 10-digit calculator, preferably battery powered; and
4. Valid government-issued or company sponsor-issued ID card with photo, applicant’s signature and signature of agency/company head.

Note:
- Refrain from bringing any electronic communication device or any material aside from those listed above.
- Come in smart casual attire.
- Please be at the examination venue at least 15 minutes before the start of examination.

WARNING: Any of the following constitutes an examination offense and will result in the permanent disqualification from taking any SEC examinations in the future and/or criminal prosecution:
1. Impersonating an examinee;
2. Consulting or having access to or in possession of unauthorized materials such as books, electronic devices, “codigo” and notes during the examination;
3. Aiding or attempting to aid another examinee or any other person during the examination;
4. Obtaining or attempting to obtain aid for another examinee or any other person during the examination;
5. Attempting to read the answer/s of another examinee;
6. Unruly behaviour or causing disturbance during an examination; and
7. Any deed (verbal or physical) deemed inappropriate or considered to be an examination offense by the proctor.

IMPORTANT!
- Seminar and examination payments are non-refundable and shall be forfeited if not availed of within the year of payment.
- Schedule of examinations are subject to change without prior notice.
- Results of examinations are final. Requests for rechecking, if any, shall not be entertained.