



ECONOMIC RESEARCH AND TRAINING DEPARTMENT

NOTICE

TO: All Prospective Capital Market Professionals

SUBJECT: Conduct of Certification Seminars for Phase 1 of the SEC Certification Examination

Notice is hereby given to all concerned that the Commission, through the Economic Research and Training Department (ERTD), will be conducting **two-day Certification Seminars for Phase 1 of the SEC Certification Examination** in order for the examinees to be better prepared in taking the examination.

This initiative is timely, given the recent updates in pertinent rules, laws and regulations and the subsequent revisions made to the SEC Certification Examination questions. All prospective capital market professionals are, therefore, encouraged to attend the seminar.

The pilot two-day seminar for Phase 1 has been scheduled on **20-21 March 2018** at the SEC Head Office, Secretariat Building, Philippine International Convention Center, Roxas Boulevard, Pasay City. Phase 1 covers Modules 1-6 of the SEC Certification Program, as follows:

- Topic/Module 1 - Fundamentals of Securities
- Topic/Module 2 - Economic Principles and Market Theories
- Topic/Module 3 - Fundamentals of Securities Regulation
- Topic/Module 4 - Corporate Governance
- Topic/Module 5 - Risk Management
- Topic/Module 6 - Anti-Money Laundering

Interested seminar participants may submit their accomplished registration forms to Ms. Abigail M. Camus of the Training Division, ERTD, which is located at the West Wing, Ground Floor, Secretariat Building, PICC. Ms. Camus may be reached through telephone number (02) 818-7256 or email address amcamus@sec.gov.ph. A seminar fee of Nine Thousand Six Hundred Pesos (P9,600.00) shall also be paid upon submission of the registration form. It shall cover the seminar materials, meals for the two-day seminar, and related expenses, and must be paid in Cash or Manager's Check payable to the Securities and Exchange Commission.

For this pilot seminar, we are offering **limited slots only**. Interested participants are, therefore, advised to submit their registration forms, along with their payment, on or before **5:00 p.m. of March 14, 2018**. The **first-come-first-served basis** policy shall be strictly enforced. Slots can be reserved only upon payment of the seminar fee.

Succeeding seminars for Phase 1 shall be scheduled and conducted, with corresponding announcements posted on the Commission's website.

Issued on 08 March 2018.


LILIA O. PINZON
Officer-in-Charge