



ECONOMIC RESEARCH AND TRAINING DEPARTMENT

NOTICE

TO: All Prospective Capital Market Professionals

SUBJECT: CONDUCT OF A CERTIFICATION SEMINAR FOR PHASE 1 OF THE SEC CERTIFICATION EXAMINATION ON 24-25 APRIL 2018

Notice is hereby given to all concerned that the Commission will be conducting a **two-day Certification Seminar for Phase 1 of the SEC Certification Examination on 24-25 April 2018**. The seminar will be held at Banquet Hall 3, 2nd Floor, Secretariat Building, Philippine International Convention Center, Roxas Boulevard, Pasay City. All interested participants are encouraged to file their registration forms on or before 5:00 p.m. of 16 April 2018.

The certification seminar is designed to help prospective capital market professionals prepare for Phase 1 of the SEC Certification Examination, which is a prerequisite to Phase 2 of the SEC Certification Examination. Passing both phases is a requirement to applying for a license as a capital market professional.

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

Phase 2, on the other hand, is the specialized or industry specific examination.

Interested seminar participants must submit their accomplished registration forms to Ms. Abigail M. Camus of the Training Division, Economic Research and Training Department (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. Registration forms are downloadable from the SEC website through this link: <http://www.sec.gov.ph/services-2/capital-market-professionals-3/certification-examination-and-results/>.

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.

Issued on 02 April 2018.


ROSE ANN S. ESPIRITU
Officer-in-Charge



Economic Research and Training Department

SEC CERTIFICATION PROGRAMS
CERTIFICATION SEMINAR – PHASE 1

Registration Form

(version 2018)

Recently taken Passport Size Photo [1 1/2" x 2"] with Name Tag and signature. Self-printed or photocopy of picture will NOT be accepted.

NOTE: All fields with asterisk* are required information.

1. APPLICANT'S NAME (Print in capital letters.)

*Last Name

Grid for Last Name

*Given Name

Grid for Given Name

*Middle Name

Grid for Middle Name

Maiden Name (for married female applicants)

Grid for Maiden Name

*2. COMPLETE RESIDENCE ADDRESS

Large text box for Residence Address

*3. AGE

Grid for Age

*4. SEX

Text box for Sex

5. CITIZENSHIP

Text box for Citizenship

*6. MOBILE NO.

Text box for Mobile No.

*7. TELEPHONE NO.

Text box for Telephone No.

*8. E-MAIL

Text box for E-Mail

9. NAME OF EMPLOYER FIRM

Text box for Name of Employer Firm

10. EMPLOYER'S MAIN ADDRESS

Text box for Employer's Main Address

11. I swear and 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

Recently taken Passport Size Photo [1 1/2" x 2"] with Name Tag and signature. Self-printed or photocopy of picture will NOT be accepted.

Received the application for **CERTIFICATION SEMINAR – PHASE 1** to be held on:

DATE: _____

TIME: _____

VENUE: _____

Application processed by:

NAME & SIGNATURE OF ERTD STAFF: _____
(Signature over printed name)

DATE PROCESSED: _____

REMARKS: _____

TO BE ACCOMPLISHED BY THE APPLICANT:

Printed Name: _____
Signature: _____
Employer: _____

REMINDERS:

- 1. Please bring this Application Receipt and present it at the Registration Booth on the first day of the seminar.
- 2. Each seminar participant will receive a flash drive, containing the seminar materials. Kindly bring your own laptop, tablet or similar equipment that has a USB port. Kindly also bring an extension cord.
- 3. Seminar participants are advised to bring a jacket or cardigan, as some may find the room/venue quite cold.
- 4. Seminar participants (and/or his/her replacement) who cannot attend the seminar on the date/s applied for must inform the ERTD-Training Division at least three (3) days prior to the start of the seminar. Failure to do so will mean forfeiture of payment.

IMPORTANT!

- Seminar payments are non-refundable, but are transferrable.
- The Commission reserves the right to postpone, move or cancel a seminar in case of natural calamities and/or other justifiable causes.