



## ECONOMIC RESEARCH AND TRAINING DEPARTMENT

### NOTICE

**TO: All Prospective Capital Market Professionals**

**SUBJECT: CONDUCT OF A CERTIFICATION SEMINAR FOR PROSPECTIVE ASSOCIATED PERSONS/COMPLIANCE OFFICERS (EQUITIES MARKET) ON SEPTEMBER 25 & 26, 2018**

Notice is hereby given to all concerned that the Commission will be conducting a **two-day Certification Seminar for Prospective Associated Persons/Compliance Officers (Equities Market)** on **25 & 26 September 2018**. The seminar will be held at Banquet Hall 3, 2<sup>nd</sup> Floor, Secretariat Building, Philippine International Convention Center, Roxas Boulevard, Pasay City.

All interested participants are encouraged to file their accomplished registration forms on or before 5:00 p.m. of 07 September 2018 (Friday). Registration to this seminar, however, will be closed as soon as the desired number of participants is reached. Hence, the first-come, first-served policy shall be enforced.

The **Certification Seminar for Prospective Associated Persons/Compliance Officers** is a prerequisite to taking Phase 2 of the Certification/Licensure Examination, hence **mandatory** for all prospective capital market professionals, who are aiming for a license as Associated Persons/Compliance Officers (in the equities market).

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](mailto: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. It must be paid in Cash or Manager's Check payable to the Securities and Exchange Commission.

Issued on 22 August 2018.

  
**ROSE ANN S. ESPIRITU**  
Officer-in-Charge



## APPLICATION RECEIPT

Received the application for the Compliance Officers/Associated Persons Certification Examination (CO/APCE).

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

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.