



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 25 & 26 OCTOBER 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 25 & 26 October 2018**. The seminar will be held at Banquet Hall 3, 2nd Floor, Secretariat Building, Philippine International Convention Center (PICC) Complex, Roxas Boulevard, Pasay City. All interested participants are encouraged to file their registration forms on or before 5:00 p.m. of 05 October 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:

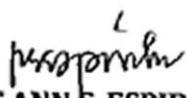
Topic/Module 1 - Fundamentals of Securities
Topic/Module 2 - Economic Principles and Market Theories
Topic/Module 3 - Fundamentals of Securities Regulation
Topic/Module 4 - Corporate Governance
Topic/Module 5 - Risk Management
Topic/Module 6 - Anti-Money Laundering

Phase 2, on the other hand, is the specialized or industry specific examination and has only one module.

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 18 September 2018.


ROSE ANN S. ESPIRITU
Officer-in-Charge