



ECONOMIC RESEARCH AND TRAINING DEPARTMENT

NOTICE

TO: All Prospective Capital Market Professionals

SUBJECT: CONDUCT OF A CERTIFICATION SEMINAR FOR PHASE 2 (PROSPECTIVE EQUITIES SECURITIES SALESMEN) OF THE SEC CERTIFICATION EXAMINATION ON FEBRUARY 26-27, 2019

Notice is hereby given to all concerned that the Commission will be conducting a **two-day Certification Seminar for Prospective Equities Securities Salesmen** on **26-27 February 2019**. 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 accomplished registration forms on or before 5:00 p.m. of 15 February (Friday). Registration to this seminar, however, will be on a first-come, first-served basis due to limited slots. Therefore, registration will be closed once all available slots are filled.

The **Certification Seminar for Prospective Equities Securities Salesmen** is designed to help prospective capital market professionals prepare for the SEC Certification Examination for Phase 2. It is a prerequisite to taking Phase 2 of the Certification/Licensure Examination, hence **mandatory** for all prospective capital market professionals, who plan to apply for a license as Equities Securities Salesman.

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

Issued on 31 January 2019.


ROSE ANN S. ESPIRITU
Officer-in-Charge

APPLICATION RECEIPT

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

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.

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.