



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 23 & 24 APRIL 2019

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 23 & 24 April 2019**. The seminar will be held at Meeting Room 7, 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 April 2019.

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 (copy attached) 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.

A seminar fee of Nine Thousand Six Hundred Pesos (P9,600.00) shall also be paid upon submission of the accomplished 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 15 March 2019.


ROSE ANN S. ESPIRITU
Officer-in-Charge

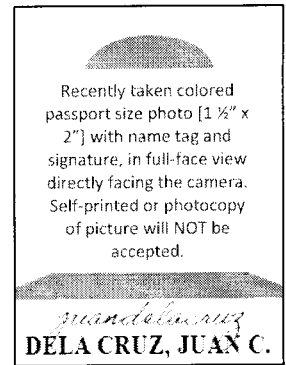
APPLICATION RECEIPT

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, as well as an extension cord.
3. Seminar participants are advised to bring a jacket or cardigan, as some may find the seminar room quite cold.
4. Seminar participants who cannot attend the seminar on the date/s applied for may send a replacement, but must notify the ERTD-Training Division at least three (3) days prior to the start of the seminar.

IMPORTANT!

- ♦ Seminar payments are non-refundable, but are transferrable.
- ♦ Non-appearance on the seminar day would mean forfeiture of seminar payment.
- ♦ The Commission reserves the right to postpone, move or cancel a seminar in case of natural calamities and/or other justifiable causes.