



ECONOMIC RESEARCH AND TRAINING DEPARTMENT

NOTICE

TO: All Prospective Capital Market Professionals

SUBJECT: CONDUCT OF A CERTIFICATION SEMINAR FOR PROSPECTIVE COMPLIANCE OFFICERS/ASSOCIATED PERSONS (EQUITIES MARKET) ON 16 & 17 JULY 2019

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 16 & 17 July 2019**. The seminar will be held at Meeting Room 7, 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 01 July 2019 (Monday). 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 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) 584-8326 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 15 May 2019.


ROSE ANN S. ESPIRITU
Officer-in-Charge

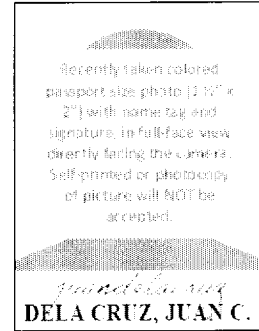
APPLICATION RECEIPT

For ERTD Processor Only
 Received the application for **CERTIFICATION SEMINAR – PHASE 2** to be held on:

DATE: _____

TIME: _____

VENUE: _____



Application processed by:
CERTIFICATION PROGRAM (Tick the appropriate box):

CPESS **CPCO/AP**

Legend:
 CPESS - Certification Program for Equities Securities Salesmen
 CPCO/AP - Certification Program for Compliance Officers/Associated Persons (Equities Market)

Application processed by:
 NAME & SIGNATURE OF ERTD STAFF: _____ DATE: _____

TO BE ACCOMPLISHED BY THE APPLICANT:

Printed Name: _____

Signature: _____

REMINDERS:

1. Please bring a valid ID to enter the building and bring this Application Receipt and present it at the Registration Booth on the first day of the seminar.
2. Attire is smart casual (shorts and slippers are not allowed). We suggest to bring a jacket or cardigan, as some may find the seminar room quite cold.
3. Snacks and lunch will be provided.
4. Parking slots are on a first-come, first-served basis.
5. 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 five (5) 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.