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 15 & 16 OCTOBER 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 15 & 16 October 2019. The seminar will be held at Meeting Room 9, 3rd Floor, Delegation 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 Monday, 30 September 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 for applying for 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 will 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 _____ August 2019.

ROSBANN E ESPIRITU
Officer-in-Charge
Economic Research and Training Department
SEC CERTIFICATION PROGRAMS
CERTIFICATION SEMINAR – PHASE 1
Registration Form
(version 2019)

Please print in CAPITAL LETTERS.

*1. APPLICANT’S NAME
Last Name

Given Name

Middle Name

*2. COMPLETE RESIDENCE ADDRESS (Indicate House/Bldg./Lot/Unit No., Street, Barangay, City)

*3. BIRTHDATE
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*4. SEX

*5. EMAIL ADDRESS

*6. MOBILE NUMBER

7. TELEPHONE NUMBER

8. NAME OF EMPLOYER FIRM

9. EMPLOYER’S MAIN ADDRESS

*10. I swear and affirm that I have read and understood the [provisions of the] Examination Guidelines as well as the items and instructions in this form. I further attest to the veracity and truthfulness of the information I have provided herein to the best of my knowledge and that I may be subject to administrative, civil, or criminal sanctions and penalties if I give false or misleading information herein. I also consent to the processing of the personal data I provided in the application form in the manner set forth herein. In the event I passed the certification examination, I am allowing the SEC to publish my name for the information of the public.

_________________________  ____________________________
MONTH / DAY / YEAR        SIGNATURE OF APPLICANT
APPLICATION RECEIPT

TO BE ACCOMPLISHED BY THE SEC-ERTD PROCESSOR ONLY

Received the application for CERTIFICATION SEMINAR – PHASE 1 to be held on:

DATE: ____________________________

TIME: ____________________________

VENUE: ____________________________

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 (sleeveless shirt, shorts/short pants and slippers are not allowed). We suggest to bring a blazer 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.