

QUARTERLY PHYSICAL REPORT OF OPERATION  
As of December 31, 2019

Department: Department of Finance (DOF)  
Agency: Securities and Exchange Commission  
Organization Code: 11 011 0000000

Particulars	UACS CODE	Physical Target (Budget Year)					Physical Accomplishment (Budget Year)					Variance	Remarks
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total		
1	2	3	4	5	6	7	8	9	10	11	12	13	14
<b>CORPORATE AND CAPITAL MARKET DEVELOPMENT PROGRAM</b>	31010000000000												
OO : Corporate and Capital Market Infrastructure													
Outcome Indicator(s)													
1. Value of securities registered increased											PHP 204,788		
2. Total number of applications for registration, licensure and accreditation processed and approved increased											143,121		
3. Percentage of investment scams/ complaints reported by the public and investigated by SEC increased											100%		
Output Indicator(s)													
1. Number of planned policy measures promulgated/ implemented (including memorandum circulars, public consultations, etc.)							14	12	6	6	38	25	
2. Percentage requests for technical assistance that are acted upon within the prescribed timeframe							100%	100%	100%	100%	100%	0	167,445 technical assistance rendered.
3. Number of applications for certification examination for capital market participants processed and approved							765	970	1,323	1,559	4,557	3,709	
<b>CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM</b>	31020000000000												
OO : Corporate and Capital Market Infrastructure													
Outcome Indicator(s)													
1. Percentage of target regulated entities and individuals monitored and evaluated as compliant with SEC rules and regulations increased											12.5%		
Output Indicator(s)													
1. Percentage of license or permit applications and renewals processed within standard processing timeframe							100%	100%	89%	99%	97%	(3%)	The minimal percentage of applications processed beyond processing time (3%) is due to the complexity of said applications which entail more stringent compliance requirements and in-depth analysis.
2. Number of target entities monitored and evaluated							33,515	20,503	21,642	45,706	121,366	54,724	
3. Percentage of errant firms and individuals imposed the appropriate fines and/or penalties							100%	100%	100%	100%	100%	0	81,783 firms and individuals imposed the appropriate fines and/or penalties.

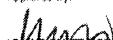
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