



ECONOMIC RESEARCH AND TRAINING DEPARTMENT

NOTICE

TO : ALL PROSPECTIVE CAPITAL MARKET PROFESSIONALS

SUBJECT : SEC CERTIFICATION WEBINAR FOR PROSPECTIVE EQUITIES SECURITIES SALESMEN SCHEDULE IN APRIL AND APPLICATION PROCEDURE

DATE : 21 MARCH 2023

The Commission announces the conduct of SEC Certification Webinar for Prospective Equities Securities Salesmen (ESS).

I. Webinar Schedule

Date and Time of Webinar	Registration Period
18 and 19 April 2023 (Tuesday and Wednesday); 8:00 am to 5:00 pm	21 March - 14 April 2023

II. Topics

- Manipulative Devices and Schemes; Fraudulent and other Prohibited Practices
- Securities Regulation Code (SRC) Rules on Business Conduct
- Books and Records Rule
- Capital Markets Integrity Corporation (CMIC) Rules
- Risk Based Capital Adequacy (RBCA) Rules
- Philippine Stock Exchange (PSE) Trading Rules
- Philippine Depository & Trust Corporation (PDTC) Rules
- Securities Clearing and Corporation of the Philippines (SCCP) Rules

The two-day Certification Webinar will be conducted live using the Zoom platform. A Question and Answer session with the Resource Person is allotted after every topic discussion. It must be noted, however, that the webinars are not a review-type session.

III. Qualifications

The webinar is open for all interested individuals, of any age, Filipino or non-Filipino, degree or non-degree holder, employed or unemployed, SEC Certification Examination passer or not.

This webinar is mandatory for those who will be applying for the Phase 2-7B ESS Certification Examination. It is likewise open to the general public.

IV. Application and Payment

Application Form Link	https://bit.ly/ESSBatch1
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The webinar fee is PhP 7,000.00 per person.

1. Completely fill out and submit the Application Form in the link. The application is on a first-come, first-served basis and will be closed once all available slots are filled.
2. Successfully registered applicants will receive a Payment Assessment Form (PAF) through email. Payment should be made within the registration period. Failure to do so will mean automatic forfeiture of the reserved slot for the webinar.
3. The applicant must pay the examination fee online through the [Electronic System for Payment to SEC \(eSPAYSEC\)](#). Payment methods are via debit card, credit card, GCash and Maya. A transaction fee, determined by SEC's partner payment channels, will apply on the total fee. Successfully paid applicants will receive an e-OR through the email address indicated upon payment. Payment is non-refundable. [Click here to watch the eSPAYSEC instructional video.](#)
4. Immediately after payment, applicants must send a copy of the e-OR through the same email thread on the issuance of the PAF.
5. Once payment is verified, the registrant will receive the confirmation, webinar details and webinar materials through email from certification@sec.gov.ph.

Note: Failure to attend the webinar shall mean forfeiture of payment.

The webinar schedule is subject to change in compliance with applicable public health guidelines and/or public declaration of work suspension or non-working holiday that may take effect within the period covered. Should any of these arise, the concerned participants will be notified accordingly of the new webinar schedule.

Should there be further queries on the foregoing, interested parties are advised to get in touch with the ERTD – Market Professionals and Investor Education Division (MPIED) through email address certification@sec.gov.ph, landline 8818-7256 or mobile number (+63) 998-841-3545.

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