

ECONOMIC RESEARCH AND TRAINING DEPARTMENT (ERTD)

NOTICE

TO : **ALL SEC CERTIFICATION EXAMINATION APPLICANTS**

SUBJECT : **CONDUCT OF SEC CERTIFICATION EXAMINATION IN CEBU IN JUNE 2024**

DATE : **29 MAY 2024**

The Commission announces its schedule of Certification Examination in the SEC Cebu Extension Office and its corresponding application process for June 2024. Passing the Certification Examinations are mandatory for individuals aspiring to become registered Equities Securities Salesmen, Fixed Income Market Salesmen, Investment Solicitors and Compliance Officers/Associated Persons for Broker-Dealers in the Equities Market.

I. Examination Schedule Date

Date: 26 June 2024 (Wednesday)
Application Period: 30 May to 14 June 2024

Successfully registered examinees will be informed of the examination venue and time via email.

II. Mode of Examination

The examination is in-person and proctored. The examination will be conducted through pen and paper.

III. Examination Fee

The fee per person per schedule for either Phase 1 or Phase 2, is PhP1,500.00. A transaction fee, determined by the SEC's partner payment channels, will apply on the total fee. The payment is non-transferrable and non-refundable.

IV. Application and Payment

Only paid applications will be scheduled for examination, based on a **first-come, first-served** policy. The schedules will be automatically closed once all available slots are filled. Walk-in applicants will not be accommodated.

Procedure:

1. Click on the link below to download the appropriate application form.

Phase 1	Phase 2
Fillable PDF (v.2022)	Fillable PDF (v.2022)
Editable Excel format (v.2022)	Editable Excel format (v.2022)

The Application Form must be submitted in a Portable Document Format (PDF) file.

- The duly accomplished and signed Application Form, together with a scanned copy of one valid identification (ID) card (see list below), should be submitted within the prescribed registration period through email to certification@sec.gov.ph, with the following details:

Subject line of email: [LOCATION] [Examination applied for] Exam Application: Complete Name

*Examples: Email Subject: CEBU Phase 1 Exam Application: Juan C. Dela Cruz
CEBU Phase 2 7A CIS Exam Application: Juan C. Dela Cruz*

Body/Content of email:

- Complete name of applicant
- Examination applied for
- Contact numbers of applicant
- If the application is company-sponsored, indicate the payor and address that should reflect in the electronic official receipt (e-OR).

List of acceptable identification (ID) cards	
• Philippine Identification (PhilID)	• NBI Clearance
• SSS ID	• Latest Passport
• UMID	• Latest Driver's License
• PRC License	• Police Clearance
• PWD ID	• Solo Parent ID
• Comelec Voter's ID	• CSC Eligibility Card
• BIR/Taxpayer's ID	• Alien Certificate of Registration Identity Card
• PhilHealth ID	• Company/Office ID
• Postal ID	• Latest School ID
• Barangay ID	

To prevent any delay, applicants should ensure that all required information, ID photos, valid ID card, preferred schedules are complete prior to submission of the application.

- If the application requirements are compliant, the applicant will receive a Payment Assessment Form (PAF) thru email from certification@sec.gov.ph. Applicants must pay the examination fee **within three (3) working days** after the issuance of the PAF.
- If the application requirements are non-compliant, the applicant will receive an email from certification@sec.gov.ph on the deficiencies for compliance. Upon receipt of the applicant's reply, and all requirements have been complied with, the application will proceed as indicated in Item 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. Successfully paid applicants will receive an e-OR through the email address indicated upon payment.
- Immediately after payment, applicants must send a copy of the e-OR through the same email thread upon submission of application.
- Once payment is verified, the applicant will receive an email and Application Receipt confirming the examination schedule. Applicants from nearby provinces are advised to wait for this email before booking their travel to the place of examination.

Note: Requests for rescheduling, regardless of cause or reason, are not allowed. Non-appearance on the day of the examination would mean forfeiture of payment.

V. What to Bring on Examination Day

On the day of the examination, examinees should bring the following:

1. One (1) original valid ID card (see List of acceptable ID cards)
2. One (1) blue or black ballpoint pen;
3. One (1) basic/ordinary calculator (scientific/financial/programmable calculators are not allowed);
4. 70% Isopropyl or Ethyl Alcohol for personal use; and
5. Hard copy or electronic copy of the Application Receipt (second page of the Application Form with confirmed schedule)

The examination slots per session and schedule are subject to change in compliance with applicable public declaration of work suspension or non-working holidays that may take effect within the period covered. Should any of these arise, the concerned examinees shall be notified accordingly for rescheduling of their examination.

For 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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