



MEMORANDUM – 2019-011

TO : ALL TRADING PARTICIPANTS

SUBJECT : SEC DIRECTIVE TO SUBMIT MONTHLY
SWORN STATEMENT (re: PSE SHARES)

DATE : 14 MARCH 2019

Please be reminded that under *Philippine Stock Exchange ("PSE") Memorandum No. 2010-0245* dated 21 May 2010 (hereto attached as Annex "A", sans attachments), all Trading Participants ("TPs") are required to submit **not later than 12:00 noon of the 15th day of the following month** a sworn statement relevant to PSE shares undertaken as of the end of every month. The monthly sworn statement shall attest to the following:

- 1.) The PSE shares held by TP under its client account/s lodged with the Philippine Depository and Trust Corporation ("PDTC") are all owned by its clients as of end of particular month.
- 2.) The PSE shares held by TP under its client account/s lodged with PDTC are not owned by another broker and not for the account of related persons of a broker, dealer, including its subsidiaries and affiliates and its directors, officers, principal stockholders and nominees to the PSE and the spouses and relatives up to the 4th civil degree by affinity or consanguinity thereof as of end of particular month.

The TP shall disclose in the same sworn statement if there is/are PSE share/s under its client account/s lodged with PDTC which is/are owned by another broker and/or for the account of related persons of a broker, dealer, including its subsidiaries and affiliates and its directors, officers, principal stockholders and nominees to the PSE and the spouses and relatives up to the 4th civil degree by affinity or consanguinity thereof. The name/s of the owner and the number of PSE shares shall also be disclosed. A sample monthly sworn statement is hereto attached as Annex "B".

The monthly sworn statements shall be submitted to the Capital Markets Integrity Corporation (CMIC), which will then transmit copies thereof to the Securities and Exchange Commission.

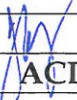

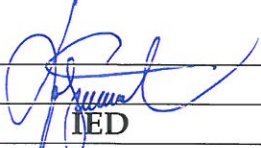

Non-submission of the sworn statement within the period prescribed above may warrant the imposition of disciplinary actions due to violations of the securities laws, including, but not limited to **Article I, Section 5 of the CMIC Rules¹** and **Article II, Section 2 of CMIC Rules²**.

For your compliance.



DAISY P. ARCE

President

			
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¹ Every TP shall prepare and file with CMIC, in such form and substance and within the period mandated by CMIC, such reports and other documents, which CMIC may order a TP to prepare and file to enforce compliance with the securities laws.

² A TP shall comply or cause compliance with any order of CMIC for a TP to (a) attend, (b) provide information, and/or (c) produce records and other documents under the control of the TP at any investigation or other proceedings of CMIC in connection with any matter within CMIC's jurisdiction to investigate and resolve under CMIC Rules or CMIC's enforcement of the securities laws.



MEMORANDUM

ANNEX

(A)

No. 2010-0245

The Philippine Stock Exchange, Inc.

_____ Trading Rules
_____ Membership Rules
_____ Listing Rules
_____ Computer Systems Update
_____ Administrative Matters
_____ Others

To : ALL TRADING PARTICIPANTS

Date : 21 May 2010

Subject : SEC directive for TPs to submit monthly sworn statement re: PSE shares

The Exchange received yesterday a directive dated 18 March 2010 from the Securities and Exchange Commission (SEC) requiring each Trading Participant (TP) to henceforth submit to the PSE Market Regulation Division (which will then transmit the documents to the SEC) a monthly sworn statement undertaken as of the end of every month, starting this month of May, to be submitted not later than every 15th of the following month. The said monthly sworn statement shall attest to the following:

1. The PSE shares held by the TP under its Client Account(s) lodged with the Philippine Depository and Trust Corporation (PDTC) are all owned by its clients as of end of particular month.
2. The PSE shares held by the TP under its Client Account(s) lodged with PDTC are NOT owned by another broker and not for the account of related persons of a broker, dealer including its subsidiaries and affiliates and its directors, officers, principal stockholders and nominees to the PSE and the spouses and relatives up to the 4th civil degree by affinity or consanguinity thereof as of end of particular month.

In addition, the SEC required all TPs to disclose in the same sworn statement if there is/ are PSE shares under its Client(s) lodged with PDTC which is/ are owned by another broker and/ or for the account of related persons of a broker, dealer including its subsidiaries and affiliates and its directors, officers, principal stockholders and nominees to the PSE and the spouses and relatives up to the 4th civil degree by affinity or consanguinity thereof. The disclosure shall include the identity of the owner and number of PSE shares.

FID/CSD	Market Regulation Division	Issuer Regulation Division	Technology Division	Market Operations Division	Capitals Markets Dev't Division	Office of the General Council
Tel. # 688-7561/6887508	Tel. # 688-7541	Tel. # 688-7510	Tel. # 688-7480	Tel. # 819-4430	Tel. # 688-7534	Tel. # 688-7411



MEMORANDUM

The Philippine Stock Exchange, Inc.

_____ Trading Rules
_____ Membership Rules
_____ Listing Rules


_____ Computer Systems Update
_____ Administrative Matters
_____ Others

The said sworn statement shall be executed by the President and/ or the Associated Person of the TP. A sample form is attached herewith for your reference.

The deadline for submission of the monthly sworn statements to the PSE Market Regulation Division (attention to Ms. Vilma F. delos Angeles, MRD) is at 12:00 noon, on the 15th of every month, beginning on 15 June 2010.

For ease of reference we attach herewith a copy of the SEC directive and sample monthly sworn statement marked as Annexes "A" and "B", respectively.

For compliance.


JINKY A. ALORA
OIC and Asst. Vice-President
Market Regulation Division

FID/CSD	Market Regulation Division	Issuer Regulation Division	Technology Division	Market Operations Division	Capital's Markets Dev't Division	Office of the General Council
Tel. # 688-7561/6887508	Tel. # 688-7541	Tel. # 688-7510	Tel. # 688-7480	Tel. # 819-4430	Tel. # 688-7534	Tel. # 688-7411

REPUBLIC OF THE PHILIPPINES)
_____, METRO MANILA)S.S.

ANNEX "B"

AFFIDAVIT

The undersigned president/Associated Person of the Trading Participant, after having been duly sworn in accordance with law, hereby deposes and states that:

1. As of end of particular month, the Philippine Stock Exchange, Inc. ("PSE") shares held by the Trading Participant under its Client Account/s lodged with the Philippine Depository and Trust Corporation ("PDTC") are:

(Kindly check the appropriate box below)

- ☐ all owned by its clients
☐ NOT all owned by its clients

2. As of end of particular month, the PSE shares held by the Trading Participant under its Client Account/s lodged with the PDTC are:

(Kindly check the appropriate box and provide details)

☐ NOT owned by another broker and not for the account of related persons of a broker dealer including its subsidiaries and affiliates and its directors, officers, principal stockholders and nominees to the PSE and the spouses and relatives up to the 4th degree by affinity or consanguinity thereof.

☐ owned by another broker and/or for the account of related persons of a broker dealer including its subsidiaries and affiliates and its directors, officers, principal stockholders and nominees to the PSE and the spouses and relatives up to the 4th degree by affinity or consanguinity. The identity and number of shares of the broker and/or their related parties are as follows:

Broker-Dealer/ Related Parties	Name	Relatives up to the 4th Civil Degree of Consanguinity or Affinity	Number of Shares Held
Broker-Dealer			
Subsidiary			
Affiliate			
Nominee			
Directors			
	1		
	2		
	3		
	4		
	5		
Officers	1		
	2		
	3		
	3		
	4		
	5		
Principal Stockholders			
	1		
	2		

3. I am executing this affidavit for the purpose of complying with the requirements of the Securities and Exchange Commission.

IN WITNESS WHEREOF, I have hereunto set my hand this ____ day of _____
2019 in _____, Metro Manila.

Signature over printed name : _____

Position : _____

Trading Participant : _____

TP Address : _____

SUBSCRIBED AND SWORN to before me this ____ day of _____ 2019 at _____, Metro Manila, affiant who is personally known to me, exhibiting to me the following:

Affiant	Competent Evidence of Identity		Community Tax Certificate	
	Type of ID	ID Number and Expiry Date (if applicable)	Number	Date/Place Issued

Doc. No.:_____;

Page No.:_____;

Book No.:_____;

Series of 2019.