



# MEMORANDUM – 2020-009

**TO : ALL TRADING PARTICIPANTS AND THE INVESTING PUBLIC**

**SUBJECT : SUBMISSION OF REPORTS AND OTHER DOCUMENTS TO CMIC**

**DATE : 9 MARCH 2020**

The Administration Office at the Philippine Stock Exchange (“PSE”) Tower in Taguig City issued today, 9 March 2020, *Circular No. 2020-02-009*, in relation to the prevention of, and safety measures against, the 2019 Novel Coronavirus or COVID-19. The circular states, among others, that “all tenant messengers are to remain in the PSE lobby, where a tenant representative will pick the deliveries up to their respective space”.

The office of the Capital Markets Integrity Corporation (“CMIC”) is located on the 10<sup>th</sup> floor of the PSE Tower. In order to lessen the risks brought about by COVID-19 and to facilitate the submission of reports and/or compliance by trading participants with the requirements of the securities laws, the following measures shall be immediately made effective and duly implemented until further notice:

**a. Via Electronic Mail**

The following reports, with their respective deadlines, may be submitted to CMIC via electronic mail:

CMIC REPORTS	DEADLINE OF SUBMISSION	E-MAIL ADDRESS RECIPIENT
Quarterly Compliance Report	15 <sup>th</sup> day of January, April, July, October	<a href="mailto:repulga@cmic.com.ph">repulga@cmic.com.ph</a>
Monthly Complaint Report	15 <sup>th</sup> day of the month	<a href="mailto:repulga@cmic.com.ph">repulga@cmic.com.ph</a>
Yearly Schedule/ Timetable for the Implementation of the Training Program	3 <sup>rd</sup> Friday of January	<a href="mailto:ldmendoza@cmic.com.ph">ldmendoza@cmic.com.ph</a>
Annual Audited Financial Report or AAFR	Within 110 days after the close of the fiscal year or December 31	<a href="mailto:mbsibayan@cmic.com.ph">mbsibayan@cmic.com.ph</a>
Annex C: Information of the External Auditor and Audit Engagement of Trading Participant	60 calendar days prior to the submission of the AAFR	<a href="mailto:ebmiranda@cmic.com.ph">ebmiranda@cmic.com.ph</a> ; <a href="mailto:ldmendoza@cmic.com.ph">ldmendoza@cmic.com.ph</a>
Certification from the management of the trading	First Friday of January	<a href="mailto:mbsibayan@cmic.com.ph">mbsibayan@cmic.com.ph</a>

participant that the risk management procedures have been consistently followed		
Disclosure on transaction on listed shares of corporations which would have been prohibited under Section 30.1 of the SRC	Within five (5) days after an affiliated transaction	<a href="mailto:redocena@cmic.com.ph">redocena@cmic.com.ph</a>
Daily PSE Shares Disclosure	T+1	<a href="mailto:repulga@cmic.com.ph">repulga@cmic.com.ph</a>
Weekly PSE Shares Disclosure	12 noon of the first trading day of the following week	<a href="mailto:repulga@cmic.com.ph">repulga@cmic.com.ph</a>
Master Securities Lending Agreement (MSLA)		<a href="mailto:jgbaccay@cmic.com.ph">jgbaccay@cmic.com.ph</a>
Securities Lending Authorization Agreement (SLAA)		<a href="mailto:jgbaccay@cmic.com.ph">jgbaccay@cmic.com.ph</a>
Confirmation Notice for SBL Transaction	Prior to short selling	<a href="mailto:jgbaccay@cmic.com.ph">jgbaccay@cmic.com.ph</a>
Certification of Submission of Bi-annual Summary Reports of Outstanding and Liquidated SBL Transactions and Stock Returns	Within five (5) calendar days from the filing thereof with the BIR	<a href="mailto:jgbaccay@cmic.com.ph">jgbaccay@cmic.com.ph</a>
Bi-annual Summary Reports of Outstanding and Liquidated SBL Transactions and Stock Returns	Within fifteen (15) calendar days after the end of every six-month period	<a href="mailto:jgbaccay@cmic.com.ph">jgbaccay@cmic.com.ph</a>
Breach in RBCA Ratio, NLC and/or AI over NLC Ratio Report	Immediately after the breach	<a href="mailto:lemansilungan@cmic.com.ph">lemansilungan@cmic.com.ph</a>
Amended RBCA Computation	Within a reasonable time from the amendment	<a href="mailto:mbsibayan@cmic.com.ph">mbsibayan@cmic.com.ph</a>
Proof of Additional Deposit for Reserve Requirement	Prior to submission of the relevant Monthly RBCA Report	<a href="mailto:mbsibayan@cmic.com.ph">mbsibayan@cmic.com.ph</a>
Disclosure on Early Release of Trade Proceeds	Within one (1) trading day from the actual settlement	<a href="mailto:matenorio@cmic.com.ph">matenorio@cmic.com.ph</a>
List of directors, officers, agents and employees	First Friday of January and July of each year	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
List of directors, officers, agents, and employees with the personnel information sheet of each director, agent or	Prior to commencement of trading operations	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>

employee, for new trading participants		
Director, officer, agent or employee movement	Within 30 trading days from the date of effectivity thereof	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
Notification as to withheld clearance of an employee	Within 30 trading days from resignation or termination of the employee whose clearance has been withheld	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
Written statement confirming the existence or absence of any undisclosed information that could have triggered subject transactions, in case of restriction, halt or suspension orders against a trading participant	Not later than 4:00pm of the relevant day	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
Names of beneficial owners of listed securities involved in possible unusual trading activities or possible trading-related irregularities	Within five (5) trading days from receipt of notice	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
done-through reports	T+1, 12 noon	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
Report on block sale – related transactions	T+5	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>

**b. Via iPSE**

The Monthly RBCA Report (which is submitted on the 20<sup>th</sup> day of the current month for RBCA report covering the period 1<sup>st</sup> to the 15<sup>th</sup> of the current month, and on the 5<sup>th</sup> day of the succeeding month for RBCA Report covering the period 16<sup>th</sup> to the 30<sup>th</sup>/ 31<sup>st</sup> of the current month) shall still be sent through iPSE.

**c. Via Personal Delivery**

Hard copies of the following reports and/or documents shall be delivered to CMIC:

- Monthly Sworn Statement on PSE Shares

For compliance purposes, soft copies of the affidavit may be sent initially, via electronic mail, to [ebmiranda@cmic.com.ph](mailto:ebmiranda@cmic.com.ph) and [ldmendoza@cmic.com.ph](mailto:ldmendoza@cmic.com.ph).

Hard copies of the affidavit may be received by CMIC from 9 am to 12 noon on the next trading day following the deadline of the submission thereof on the 15<sup>th</sup> day of the month. For example,



for the month of February, reports shall be received at the reception/lobby of the PSE Tower on Monday, 16 March 2020 from 9am to 12nn.

- Application for Voluntary Suspension of Trading Operations

For compliance purposes, a soft copy thereof may be sent in advance to [info@cmic.com.ph](mailto:info@cmic.com.ph). Procedures on the submission of the hard copy of the application are stated below.

- Application for Subordinated Loan

For compliance purpose, a soft copy thereof may be sent to [lemansilungan@cmic.com.ph](mailto:lemansilungan@cmic.com.ph). Procedures on the submission of the hard copy of the report are stated below.


For trading participants whose offices are located at the PSE Tower, CMIC shall receive at its office the above reports/ documents on trading days (Mondays to Fridays) from 8 am to 5 pm.

For TPs whose offices are located outside the PSE Tower, clients/customers of trading participants, and other market participants, CMIC, through its Executive Assistant, Ms. Myra A. Tenorio, or other authorized representative, shall receive the reports and/or other pertinent document at the reception/ lobby of the PSE Tower **only** on Wednesdays, from 9 am to 12 noon, and on Fridays, from 1 pm to 4 pm.

- With regard to reports that are not mentioned above and other documents, such as, but not limited to, correspondences relative to complaints from investors, claims from clients of closed or suspended trading participants, inquiries from market participants, and other analogous documents, the guidelines set by the Administration Office shall be considered.

In case of inquiries relative to this matter, please call (02)8876-4578, (02)8876-4585, or (02)8876-4580.

For your information.

  
DAISY E. ARCE  
President

			
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