



MEMORANDUM – 2015-004

To : All Trading Participants
Subject : Trading Participants' Seminar
Date : 22 January 2015

The Capital Markets Integrity Corporation ("CMIC") has organized a seminar for Trading Participants ("TPs") on **9, 11 & 13 February 2015** from **8:30 AM to 4:00 PM** at the **AIM Conference Center Manila (Function Rooms 1-4), Benavidez Cor., Trasierra St. Legaspi Village, Makati City**. Accordingly, CMIC has invited speakers to discuss the following subject matters:

1. *Best Audit Practices and Review of Risk Based Capital Adequacy ("RBCA");*
2. *CMIC Rules and Other Securities Laws Areas of Concern; and*
3. *Foreign Account Tax Compliance Act ("FATCA").*

CMIC has set several dates to accommodate all the prospective attendees. All relevant topics will be discussed on the same day and TPs' representative/s may only attend one of the aforesaid dates.

This event aims to benefit all associated persons, compliance officers, accountants, and/or other personnel of the TPs. A minimal fee of PhP3,000.00 will be charged to cover food and seminar costs. Registration will be on a first come, first served basis. The first fifteen (15) TPs to register for a given date may send not more than two (2) representatives.

Deadline of registration and payment is on **30 January 2015**. TPs may pay either in cash or through checks. Cash payments may be made at the CMIC office (Unit 27-E1 Tower 1 & Exchange Plaza, Ayala Triangle, Ayala Avenue, Makati City) and the same will be collected by **Ms. Anne Correa-Gabriel**. On the other hand, checks should be payable to "**Capital Markets Integrity Corporation**".

In view of the foregoing, TPs are requested to fill out the attached **Commitment Form** to confirm attendance and submit the same personally at the CMIC office or through fax (+632 856 3058) or email (info@cmic.com.ph). For inquiries, please contact +632 819 4492 and look for **Mr. Francis A. Medina**.

For information and guidance.


GRACE M. CALUBAQUIB
Asst. Vice President



The Capital Markets Integrity Corporation

cordially invites the Trading Participants to a

Trading Participants' Seminar

to be held on 09, 11 & 13 February 2015 from 8:30 AM to 4:00 PM
at the **AIM Conference Center Manila** (Function Rooms 1-4,
Benavidez Cor., Trasierra St. Legaspi Village, Makati City

The topics that will be discussed are the following:

*Best Audit Practices and review of Risk Based Capital Adequacy ("RBCA");
CMIC Rules and Other Securities Laws Areas of Concern; and
Foreign Account Tax Compliance Act ("FATCA").*

Send representatives to this seminar and improve your company's level of compliance

Registration fee:
PhP 3,000.00 per attendee

The **registration** will start at **8:30AM**
And the seminar proper will start promptly at 9:00 AM

For reservations, please accomplish the attached Commitment Form and send to fax # 856-3058
Or email (info@cmic.com.ph) or contact Francis A. Medina (819-4492)

COMMITMENT FORM

Date: _____

Name of Trading Participant: _____

Tel. No.: _____

Desired Dates (please fill out at least two (2) desired dates just in case the other dates are already full):

1. _____

2. _____

Seminar Attendee (Name/Position)

1. _____

2. _____

Reservation made by:

Name and Signature (include Position)