



MEMORANDUM – 2015-014

To : All Trading Participants

Subject : REMINDER ON THE SUBMISSION OF VARIOUS REPORTS TO
CMIC

Date : 7 May 2015

This is to remind all the Trading Participants to comply with the submission of various reports to the Capital Markets Integrity Corporation as set forth on the succeeding page.

For information and guidance.


CORNELIO C. GISON
President

CMIC Requirements	Deadline
Monthly RBCA Report	On or before the 15th of the following month
Pledge of Commitment for all salesmen, traders, dealers, agents and Associated Persons	First Friday of January
List of Directors, Officers, Agents, and Employees	First Friday of January & July of each year
List of Directors, Officers, Agents, and Employees with the Personnel Information Sheet of each director, agent or Employee	Prior to commencement of their trading operations
Director, Officer, Agent, or Employee Movement	Within 30 trading days from the date of effectivity
Copy furnished notification of Withheld Employee	Within 30 trading days from the resignation or termination for whose clearance has been withheld
Quarterly Compliance Report	15th day of January, April, July, October
Yearly Schedule/ Timetable of the Implementation of Training Program	3rd Friday of January
Annual Audited Financial Report	Per CMIC Rule: Within 110 days after the close of fiscal year December 31 unless the SEC provides a different deadline.
Annex C (Information of the External Auditor and Audit Engagement with the TP)	60 calendar days prior to the submission of Annual Audited Financial Report
Application for Voluntary Suspension of trading operation	At least thirty (30) trading days prior to the intended date of cessation of trading operations
Written statement confirming the existence or absence of any undisclosed information that could have triggered subject transactions (in case of restriction, halt or suspension of trading by a Trading Participant of a particular listed security	Not later than 4:00 p.m. of the relevant day
Filing of a written Complaint with CMIC	Within six (6) months from knowledge of

against any Trading Participant for Trading-related Irregularities or other violations of the Securities Laws	its commission
Names of the beneficial owners of listed securities involved in possible Unusual Trading Activities or possible Trading-related Irregularities	Within five (5) days
Certification from the management of the Trading Participant that the Risk Management procedures have been consistently followed	First Friday of January
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
Application for Early Settlement	Bi-annual basis before the early settlement
Disclosure for Early Settlement	From the date of early settlement until the actual settlement
PSE Shares Disclosure	T+1
Done-Through Report	T+1, 12nn