



MEMORANDUM – 2016-001

To : All Trading Participants

Subject : Deadlines for Submission of Various Reports

Date : 04 January 2016

We are reminding all Trading Participants (TPs) to comply with the deadlines for the submission of various reports to the Capital Markets Integrity Corporation (CMIC) as set forth in the succeeding page.

In addition, the deadline for all reports that are required to be submitted on the First Friday of January has been moved to 8 January 2016, Friday.

For strict compliance.


CORNELIO C. GISON
President

CMIC Requirements	Deadline
Monthly RBCA Report	As of 31 December 2015: On or before 15 th of the following month Succeeding periods: To be announced upon implementation of the new SRC-IRR
Pledge of Commitment for all salesmen, traders, dealers, agents, and Associated Persons	First Friday of January
List of Directors, Officers, Agents, and Employees with Personal Identification Sheet of each director, agent, or employee	First Friday of January & July of each year
Director, Officer, Agent, or Employee Movement	Within thirty (30) trading days from date of effectivity
Copy furnished notification of Withheld Employee	Within 30 trading days from the resignation or termination of whose clearance has been withheld
Quarterly Compliance Report	15th of January, April, July, and October
Yearly Schedule/Timetable of the Implementation of the Training Program	3rd Friday of January
Annual Audited Financial Report (AAFR)	Per CMIC Rule: Within 110 days after the close of fiscal year or December 31 unless the SEC provides a different timetable
Annex C (Information of the External Auditor and Audit Engagement of TP)	60 calendar days prior to the submission of the AAFR
Application for Voluntary Suspension of trading operations	At least 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 TP of a particular listed security)	Not later than 4:00 p.m. of the relevant day
Filing of a written Complaint with CMIC against any TP for trading-related irregularities or other violations of the Securities Laws	Within six (6) months from knowledge of its commission
Names of beneficial owners of listed securities involved in possible Unusual Trading Activities or possible Trading-regulated Irregularities	Within five (5) days

<i>CMIC Requirements</i>	<i>Deadline</i>
Certification from the management of the TP 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 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 after the related transaction/s

For Securities Borrowing and Lending (SBL) transactions, if applicable:

<i>Documentation</i>	<i>Requirement</i>
Master Securities Lending Agreement (MSLA)	<p>The Lender/Lending Agent and the Borrower shall execute an MSLA which shall comply with the requirements provided in Sections 6 and 7 of the SBL Revenue Regulations. In addition:</p> <ul style="list-style-type: none"> (i) The Borrower shall register the MSLA with the BIR in accordance with Section 8 of the SBL Revenue Regulation <i>prior to the execution of the first SBL transaction</i>; and, (ii) The Borrower shall inform its counterparty as soon as practicable, of the fact of registration of the MSLA with the BIR
Securities Lending Authorization Agreement (SLAA)	A person acting as Lending Agent on behalf of another person shall execute an SLAA duly executed by the latter <i>before the first SBL transaction on behalf of the said person</i>

<i>Documentation</i>	<i>Requirement</i>
Confirmation Notice	Each SBL transaction shall be evidenced by a Confirmation Notice (<i>in the format substantially prescribed in SBLF3</i>) that specifies the details of the SBL transaction and shall be kept and maintained by both parties
Certification of Submission of Bi-annual Summary Reports of Outstanding and Liquidated SBL Transactions and Stock Returns	In the format substantially prescribed in SBLF5, said report must be submitted <i>within five (5) calendar days from the filing thereof with the BIR.</i>
Bi-annual Summary Reports of Outstanding and Liquidated SBL Transactions and Stock Returns	All TPs who participate in SBL shall submit, <i>within fifteen (15) calendar days after the end of every six months</i> , a summary of all its SBL transactions (<i>in the format provided in SBLF2a & 2b</i>) to the CMIC as additional report to the RBCA requirement