



MEMORANDUM – 2016-008

To : ALL TRADING PARTICIPANTS

Subject : Online Filing/Submission of the Risk Based Capital Adequacy (RBCA) Report through Electronic Mail

Date : 16 March 2016

As per the letter of 15 March 2016 of the Securities and Exchange Commission to disseminate the notice relative to the online filing of the Risk Based Capital Adequacy (RBCA) reports through electronic mail, attached, for information and guidance, is the Commission's directive, together with the corresponding notice and the pertinent annexes.


CORNELIO C. GISON
President 



Republic of the Philippines
Department of Finance
Securities and Exchange Commission
SEC Building, EDSA, Greenhills, Mandaluyong City
MARKETS AND SECURITIES REGULATION DEPARTMENT

March 15, 2016

CAPITAL MARKETS INTEGRITY CORPORATION

Unit E – 27th Floor, Tower 1 & Exchange Plaza
Ayala Avenue, Makati City
Fax No.: (+632) 6596001

Attention: **ATTY. CORNELIO C. GISON**
President & CEO

Gentlemen:

This is to inform you that the Markets and Securities Regulation Department (MSRD) is looking into the online filing of the Risk Based Capital Adequacy Report (RBCA) reports through email.

To ensure the security of the electronic filings and the non-repudiation of its authenticity, the Information and Communications Technology Department (ICTD) of the Commission informed the MSRD to adopt the Public Key Infrastructure (PKI), spearheaded by the Information and Communications Technology Office (ICTO) of the Department of Science and Technology (DOST).

In preparation of its implementation, the following activities shall be undertaken:

- Naming of principal and alternate representatives of broker dealer companies.
- PKI Orientation for the principal and alternate representatives of broker dealer companies.
- Applications for digital certificates of broker dealers will be processed by ICTO. Sample application form for individuals is found in Annex A and its checklist of documents is contained in Annex B.
- Mandatory personal appearance of those applying for digital certificates before a Registration Authority (RA) for face-to-face validation. On the agreed time and date, this can be done at the SEC premises in coordination with ICTO.

In this regard, please disseminate to your members the attached notice.

For your strict compliance.

Very truly yours,


VICENTE GRACIANO P. FELIZMENIO, JR.

Director



Republic of the Philippines
Department of Finance
Securities and Exchange Commission
SEC Building, EDSA, Greenhills, Mandaluyong City
MARKETS AND SECURITIES REGULATION DEPARTMENT

NOTICE

The Markets and Securities Department (MSRD) of the Commission will be implementing the online filing/submission of the Risk Based Capital Adequacy (RBCA) Report through email.

To ensure the security of the electronic filings and the non-repudiation of its authenticity it is essential to adopt Public Key Infrastructure (PKI) provided by Information and Communications Technology Office of the Department of Science and Technology (ICTO-DOST). The PKI uses a Public Key Cryptography for the encryption and decryption of a digital data. The Public Key Cryptography creates a Digital Signature that vouches and validates the origin, authenticity and integrity of a message, digital document or other data file.

Prior to the issuance of a digital certificate, principal and alternate representatives of the Broker Dealer need to fill out an application form and undergo mandatory personal appearance before the Registration Authority (ICTO-DOST). The face-to-face validation and registration to be administered by ICTO-DOST will be done at the SEC by schedule right after the conduct of the orientation seminar.

In this regard, Broker Dealers are required not later than March 23, 2016 to identify/name two (2) representatives as principal and alternate who are responsible for the submission of the RBCA Reports and fill out/submit the form for the Individual PKI Application for Digital Signature (Annex A).


Administration of the face-to-face validation and PKI Orientation by ICTO-DOST shall be on April 5, April 19, and April 27 and May 3 as scheduled by the MSRD.

Should there be further questions, please do not hesitate to call any of the Specialists of the Department's Markets & Intermediaries Division at telephone number (632) 584 7164.

For your strict compliance.


VICENTE GRACIANO P. FELIZMENIO, JR.
Director

Annex A

 PHILIPPINE NATIONAL PKI ICTD Bldg., C.P. Garcia Ave., U.P. Diliman Quezon City Tel. nos.: (02) 920-0101 : 928-6105	
APPLICATION FOR DIGITAL CERTIFICATE	
Application ID Number (For Official Use only)	□□□□□□□□□□□□□□□□
Instructions: 1. Please fill the form in BLOCK LETTERS ONLY. 2. All fields are mandatory. 3. Present one (1) copy and the original documents to our Registration Authority for verification and attestation. 4. Any information that is not verified shall not be included in certificates. 5. Any discrepancy or inconsistency in the form will lead to delay and/or rejection.	
1. CERTIFICATE CLASS 1A Individual	
2. CERTIFICATE TYPE 2A <input type="checkbox"/> Signing 2B <input type="checkbox"/> Authentication	
3. METHOD OF ACTIVATION 3A <input type="checkbox"/> USB Token 3B <input type="checkbox"/> Online Download	
4. APPLICANT'S DETAILS	
4A Last Name	4B First Name
4C Name Extension (JR/SR/II)	4D Middle Name
4E Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	4F Nationality
4G Date of Birth (MM/DD/YYYY)	
4H TIN	4I SSS No.
4J GSIS No.	4K Philhealth No.
4L Pag-ibig No.	
4M Organization or Agency	
4N Organizational Unit (Optional)	
Spouse Name	
4O Last Name	4P First Name
4Q Name Extension (JR/SR/II)	4R Middle Name
5. CONTACT DETAILS	
Residential Address	
5A Unit/Room/House No.	5B Street
5C Barangay	5D Municipality/City
5E Province	5F Zip Code
5G Landline No.	5H Mobile No.
5I Email Address	5J Alternate E-mail Address
Office Address	
5K Unit/Room/Floor No.	5L Building
5M Street	5N Barangay
5O Province	5P Municipality/City
5Q Landline No.	5R Zip Code
5S Email Address	5T Fax No.
PKI RA Form 2014-01A Revised Date March 2014	

3.0 Use of PNPKI Digital Certificate

The subscriber shall use the certificate for its lawful and intended use only. The certificate shall be used in accordance with its Key-Usage field extensions. All issued certificate by PNPKI cannot be used for purposes other than what is allowed in this subscriber agreement and by the CPS. PNPKI shall not be liable for any claims arising from prohibited use.

3.1 Acceptance of a Digital Certificate

The following conduct constitutes certificate acceptance:

- a) A certificate shall be deemed accepted when it is in the subscriber or representative's control;
- b) Failure of the subscriber to object to the certificate or its content within five (5) calendar days; or
- c) The subscriber uses the certificate.

3.2 Revocation of Digital Certificates

A certificate shall be revoked when the bind between the subject and the subject's public key is no longer valid.

An end-user subscriber certificate can be requested for revocation under any of the following conditions:

- a) When a verified request for revocation is received by PNPKI CA or RA;
- b) When any of the information found in the certificate is changed or no longer applicable;
- c) When the Private Key, or the media holding the Private Key, associated with the certificate is compromised;
- d) When the PNPKI CA determines that the end-user entity is no longer complying with the requirements of by the CPS and this subscriber agreement; or
- e) When the PNPKI CA has the reason to believe that the certificate was issued in a manner that is not in accordance with the procedures required by the CPS and this subscriber agreement.
- g) When subscriber requested revocation of the Certificate;

4.0 Subscriber Obligations

This Agreement governs the subscriber's application for, acceptance, and use of, a digital certificate issued by the RA.

- a. The provisions of the Root CA CP/CPS, GovCA CP/CPS, and other pertinent documents are binding upon the subscriber.
- b. All the information provided in the digital certificate application form is true and correct.
- c. The use of the digital certificate shall be for the sole use of the subscriber.
- d. The subscriber will not, under any circumstances, allow any other person to use the digital certificate. Any such use by another person constitutes a compromise of the associated private key, requiring the revocation of the digital certificate.
- e. The subscriber shall protect the confidentiality of the private key associated with his or her digital certificate as well as any PIN number or other means used to activate the private key.
- f. The subscriber shall remain solely responsible for the maintenance of the confidentiality of the certificate.

CHECKLIST OF DOCUMENTS FOR INDIVIDUAL

For Subscribers or authorized representatives, the CAs and/or its RAs shall ensure that the identity information is verified by prior compliance with the following:

- Duly accomplished application form
- Unified Multi-Purpose Identification (UMID) compliant card. (Photocopy),
- Birth Certificate or valid Philippine Passport. (Photocopy),
- 1 passport size ID picture, AND
- Personal appearance to the RA Officer for face-to-face verification.

In the absence of UMID-compliant card, ANY TWO of the following cards are allowed as valid ID's based on BSP Circular 608 series of 2008:

- Passport,
- Driver's License,
- Professional Regulation Commission (PRC) ID,
- National Bureau of Investigation (NBI) Clearance,
- Police Clearance,
- Postal ID,
- Voter's ID/
- Government Service Insurance System (GSIS) e-Card,
- Social Security System (SSS) Card,
- Senior Citizen Card,
- Overseas Workers Welfare Administration (OWWA) ID,
- OFW ID,
- Seaman's Book,
- Alien Certification of Registration/Immigrant Certificate of Registration,
- Government Office and GOCC ID, e.g. Armed Forces of the Philippines (AFP ID),
- Home Development Mutual Fund (HDMF ID),
- Certification from the National Council for the Welfare of Disabled Persons (NCWDP),
- Department of Social Welfare and Development (DSWD) Certification,
- Integrated Bar Of The Philippines ID,
- Company IDs Issued by Private Entities or Institutions Registered with or Supervised or Regulated either by the BSP, SEC or IC,
- Submit a passport size photo taken within the last six (6) months,
- Phone number (mobile and/or landline),
- E mail address owned by the individual or authorized by the owner for use by the Subscriber,
- Latest copy of a bill showing the physical address of the applicant, where the PIN which will be used to activate a digital certificate shall be mailed; and
- Consent to verify the information submitted.

SCHEDULE OF FACE-TO-FACE VALIDATION & PKI ORIENTATION

	NAME	SCHEDULE
1	<u>A & A SECURITIES, INC.</u>	April 5, 2016
2	<u>A. T. DE CASTRO SECURITIES CORPORATION</u>	April 5, 2016
3	<u>AAA SOUTHEAST EQUITIES, INC.</u>	April 5, 2016
4	<u>AB CAPITAL SECURITIES, INC.</u>	April 5, 2016
5	<u>ABACUS SECURITIES CORPORATION</u>	April 5, 2016
6	<u>ALAKOR SECURITIES CORPORATION</u>	April 5, 2016
7	<u>ALPHA SECURITIES CORPORATION</u>	April 5, 2016
8	<u>ANSALDO, GODINEZ & COMPANY, INC.</u>	April 5, 2016
9	<u>AP SECURITIES, INC.</u>	April 5, 2016
10	<u>APEX PHILS. EQUITIES CORPORATION</u>	April 5, 2016
11	<u>ARMSTRONG SECURITIES, INC.</u>	April 5, 2016
12	<u>ASIA PACIFIC CAPITAL EQUITIES & SECURITIES CORPORATION</u>	April 5, 2016
13	<u>ASIASEC EQUITIES, INC.</u>	April 5, 2016
14	<u>ASTRA SECURITIES CORPORATION</u>	April 5, 2016
15	<u>ATC SECURITIES, INC.</u>	April 5, 2016
16	<u>AURORA SECURITIES, INC.</u>	April 5, 2016
17	<u>B. H. CHUA SECURITIES CORPORATION</u>	April 5, 2016
18	<u>BA SECURITIES, INC.</u>	April 5, 2016
19	<u>BDO SECURITIES CORPORATION</u>	April 5, 2016
20	<u>BELSON SECURITIES, INC.</u>	April 5, 2016
21	<u>BENJAMIN CO CA & COMPANY, INC.</u>	April 5, 2016
22	<u>BERNAD SECURITIES, INC.</u>	April 5, 2016
23	<u>BPI SECURITIES CORPORATION</u>	April 5, 2016
24	<u>CAMPOS, LANUZA & COMPANY, INC.</u>	April 5, 2016

25	<u>CENTURY SECURITIES CORPORATION</u>	April 5, 2016
26	<u>CITISECURITIES, INC.</u>	April 5, 2016
27	<u>CLSA PHILS., INC.</u>	April 5, 2016
28	<u>COHERCO SECURITIES, INC.</u>	April 5, 2016
29	<u>COL FINANCIAL PHILIPPINES</u>	April 5, 2016
30	<u>CREDIT SUISSE SECURITIES (PHILIPPINES), INC.</u>	April 5, 2016
31	<u>CUALOPING SECURITIES CORPORATION</u>	April 5, 2016
32	<u>DA MARKET SECURITIES, INC.</u>	April 5, 2016
33	<u>DAVID GO SECURITIES CORPORATION</u>	April 5, 2016
34	<u>DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.</u>	April 5, 2016
35	<u>DEUTSCHE REGIS PARTNERS INC.</u>	April 5, 2016
36	<u>DIVERSIFIED SECURITIES, INC.</u>	April 5, 2016
37	<u>DW CAPITAL, INC.</u>	April 19, 2016
38	<u>E. CHUA CHIACO SECURITIES, INC.</u>	April 19, 2016
39	<u>EAGLE EQUITIES, INC.</u>	April 19, 2016
40	<u>EASTERN SECURITIES DEVT. CORPORATION</u>	April 19, 2016
41	<u>EASTWEST CAPITAL CORPORATION</u>	April 19, 2016
42	<u>EQUITIWORLD SECURITIES, INC.</u>	April 19, 2016
43	<u>EVERGREEN STOCK BROKERAGE & SECURITIES, INC.</u>	April 19, 2016
44	<u>F. YAP SECURITIES, INC.</u>	April 19, 2016
45	<u>FIDELITY SECURITIES, INC.</u>	April 19, 2016
46	<u>FIRST INTEGRATED CAPITAL SECURITIES, INC.</u>	April 19, 2016
47	<u>FIRST METRO SECURITIES BROKERAGE CORPORATION</u>	April 19, 2016
48	<u>FIRST ORIENT SECURITIES, INC.</u>	April 19, 2016
49	<u>FRANCISCO ORTIGAS SECURITIES, INC.</u>	April 19, 2016

50	<u>G. D. TAN & COMPANY, INC.</u>	April 19, 2016
51	<u>GLOBALINKS SECURITIES & STOCKS, INC.</u>	April 19, 2016
52	<u>GOLDEN TOWER SECURITIES & HOLDINGS, INC.</u>	April 19, 2016
53	<u>GOLDSTAR SECURITIES, INC.</u>	April 19, 2016
54	<u>GUILD SECURITIES, INC.</u>	April 19, 2016
55	<u>H.E. BENNETT SECURITIES, INC.</u>	April 19, 2016
56	<u>HDI SECURITIES, INC.</u>	April 19, 2016
57	<u>I. B. GIMENEZ SECURITIES, INC.</u>	April 19, 2016
58	<u>IGC SECURITIES, INC.</u>	April 19, 2016
59	<u>IMPERIAL DE GUZMAN, ABALOS & CO., INC.</u>	April 19, 2016
60	<u>INTRA-INVEST SECURITIES, INC.</u>	April 19, 2016
61	<u>INVESTORS SECURITIES, INC.</u>	April 19, 2016
62	<u>J. M. BARCELON & COMPANY, INC.</u>	April 19, 2016
63	<u>J. P. MORGAN SECURITIES PHILS, INC.</u>	April 19, 2016
64	<u>JAKA SECURITIES CORPORATION</u>	April 19, 2016
65	<u>JSG SECURITIES, INC.</u>	April 19, 2016
66	<u>KING'S POWER SECURITIES, INC.</u>	April 19, 2016
67	<u>LARRGO SECURITIES COMPANY, INC.</u>	April 19, 2016
68	<u>LITONJUA SECURITIES, INC.</u>	April 19, 2016
69	<u>LOPEZ, LOCSIN, LEDESMA & COMPANY, INC.</u>	April 19, 2016
70	<u>LUCKY SECURITIES, INC.</u>	April 19, 2016
71	<u>LUY'S SECURITIES COMPANY, INC.</u>	April 19, 2016
72	<u>MACQUARIE CAPITAL SECURITIES (PHIL), INC.</u>	April 19, 2016
73	<u>MANDARIN SECURITIES CORPORATION</u>	April 27, 2016
74	<u>MARIAN SECURITIES, INC.</u>	April 27, 2016

75	<u>MAYBANK ATR KIMENG SECURITIES, INC.</u>	April 27, 2016
76	<u>MDR SECURITIES, INC.</u>	April 27, 2016
77	<u>MERCANTILE SECURITIES, CORPORATION</u>	April 27, 2016
78	<u>MERIDIAN SECURITIES, INC.</u>	April 27, 2016
79	<u>MOUNT PEAK SECURITIES, INC.</u>	April 27, 2016
80	<u>NEW WORLD SECURITIES CO., INC.</u>	April 27, 2016
81	<u>OPTIMUM SECURITIES CORPORATION</u>	April 27, 2016
82	<u>PAN ASIA SECURITIES CORPORATION</u>	April 27, 2016
83	<u>PAPA SECURITIES CORPORATION</u>	April 27, 2016
84	<u>PCCI SECURITIES BROKERS CORPORATION</u>	April 27, 2016
85	<u>PCIB SECURITIES, INC.</u>	April 27, 2016
86	<u>PHIL-PROGRESS SECURITIES CORPORATION</u>	April 27, 2016
87	<u>PHILS. EQUITY PARTNERS, INC.</u>	April 27, 2016
88	<u>PHILSTOCKS FINANCIAL, INC.</u>	April 27, 2016
89	<u>PLATINUM SECURITIES, INC.</u>	April 27, 2016
90	<u>PNB SECURITIES, INC.</u>	April 27, 2016
91	<u>PREMIUM SECURITIES, INC.</u>	April 27, 2016
92	<u>QUALITY INVESTMENT & SECURITIES CORPORATION</u>	April 27, 2016
93	<u>R & L INVESTMENTS, INC.</u>	April 27, 2016
94	<u>R. COYIUTO SECURITIES, INC.</u>	April 27, 2016
95	<u>R. NUBLA SECURITIES, INC.</u>	April 27, 2016
96	<u>R.S. LIM & COMPANY, INC.</u>	April 27, 2016
97	<u>RCBC SECURITIES, INC.</u>	April 27, 2016
98	<u>REGINA CAPITAL DEVT. CORPORATION</u>	April 27, 2016
99	<u>RTG & CO., INC.</u>	April 27, 2016

100	<u>S. J. ROXAS & COMPANY, INC.</u>	April 27, 2016
101	<u>SALISBURY BKT SECURITIES CORPORATION</u>	April 27, 2016
102	<u>SARANGANI SECURITIES, INC.</u>	April 27, 2016
103	<u>SB EQUITIES, INC.</u>	April 27, 2016
104	<u>SECURITIES SPECIALISTS, INC.</u>	April 27, 2016
105	<u>SINCERE SECURITIES CORPORATION</u>	April 27, 2016
106	<u>SOLAR SECURITIES, INC.</u>	April 27, 2016
107	<u>STANDARD SECURITIES CORPORATION</u>	April 27, 2016
108	<u>STAR ALLIANCE SECURITIES CORPORATION</u>	April 27, 2016
109	<u>STRATEGIC EQUITIES CORPORATION</u>	May 3, 2016
110	<u>SUMMIT SECURITIES, INC.</u>	May 3, 2016
111	<u>SUNSECURITIES, INC.</u>	May 3, 2016
112	<u>SUPREME STOCKBROKER, INC.</u>	May 3, 2016
113	<u>TANSENGCO & COMPANY, INC.</u>	May 3, 2016
114	<u>THE FIRST RESOURCES MGMT. & SECURITIES CORPORATION</u>	May 3, 2016
115	<u>TIMSON SECURITIES, INC.</u>	May 3, 2016
116	<u>TOWER SECURITIES, INC.</u>	May 3, 2016
117	<u>TRANS-ASIA SECURITIES, INC.</u>	May 3, 2016
118	<u>TRI-STATE SECURITIES, INC.</u>	May 3, 2016
119	<u>TRITON SECURITIES CORPORATION</u>	May 3, 2016
120	<u>UBS SECURITIES PHIL.</u>	May 3, 2016
121	<u>UCPB SECURITIES, INC.</u>	May 3, 2016
122	<u>UNICAPITAL SECURITIES, INC.</u>	May 3, 2016
123	<u>UOB-KAY HIAN SECURITIES (PHILIPPINES), INC.</u>	May 3, 2016
124	<u>UPCC SECURITIES CORPORATION</u>	May 3, 2016

125	VALUE QUEST SECURITIES CORPORATION	May 3, 2016
126	VENTURE SECURITIES, INC.	May 3, 2016
127	VICSAL SECURITIES & STOCK BROKERAGE, INC.	May 3, 2016
128	VSEC.COM, INC.	May 3, 2016
129	WEALTH SECURITIES, INC.	May 3, 2016
130	WESTLINK GLOBAL EQUITIES, INC.	May 3, 2016
131	WONG SECURITIES CORPORATION	May 3, 2016
132	YAO & ZIALCITA, INC.	May 3, 2016
133	YU & COMPANY, INC.	May 3, 2016
134	TRADITION FINANCIAL SERVICES PHILS., INC.	May 3, 2016
135	TULLETT PREBON (PHILS.), INC.	May 3, 2016
136	AFS PHILIPPINES, INC.	May 3, 2016
137	ICAP PHILIPPINES, INC.	May 3, 2016
138	G & W CLUBSHARES, INC.	May 3, 2016
139	GG & A CLUBSHARES, INC.	May 3, 2016
140	GOLFERS CLUBSHARES, INC.	May 3, 2016
141	YAPSTER e-TRADE, INC.	May 3, 2016
142	BOND, EQUITIES, SECURITIES & TRADERS, INC.	May 3, 2016
143	CITICORP FINANCIAL SERVICES & INSURANCE BROKERAGE PHILIPPINES, INC.	May 3, 2016
144	LEGACY EQUITIES, INC.	May 3, 2016