



MEMORANDUM – 2017-028


TO : ALL TRADING PARTICIPANTS

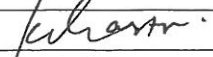
SUBJECT : PUBLIC KEY INFRASTRUCTURE (PKI) BROKER ID

DATE : 05 DECEMBER 2017

On 4 December 2017, the Capital Markets Integrity Corporation (CMIC) received from the Securities and Exchange Commission (SEC) a letter dated 27 November 2017 directing CMIC to disseminate to all trading participants (TP) its Public Key Infrastructure (PKI) Broker IDs pursuant to SEC Memorandum Circular No. 12, Series of 2017 on the online submission of RBCA Reports.

For reference, attached is the copy of the Commission's directive together with the copy of the assigned PKI Broker IDs for each TP.


GRACE M. CALUBAQUIB
Officer-in-Charge

			
ACD	FRHAD	IED	SD



MARKETS AND SECURITIES REGULATION DEPARTMENT

November 27, 2017

CAPITAL MARKETS INTEGRITY CORPORATION

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

Attention: **Atty. Daisy Arce**
Officer-in-Charge

Subject: **Public Key Infrastructure (PKI) Broker ID**

Gentlemen:

This refers to SEC Memorandum Circular No. 12 Series of 2017 on the online submission of RBCA Reports done via email message to msrd_mid@sec.gov.ph.

Section 3 of the Circular prescribes the format and filename of the RBCA Report and requires the use of PKI Broker ID to be indicated in the "subject" portion of the email message and as part of the filename of the report.

In this regard, attached herewith is the list of the assigned PKI Broker ID for your dissemination to your Trading Participants.

Further, regarding the prescribed filename of the RBCA Report, please note that <yyyymmdd> refers to the end of the covered period of the report. For example, for RBCA Report covering the period ending 30 November 2017, the filename should indicate <20171130>.

Finally, please be reminded that under Section 8 the commencement of the on-line submission of the RBCA reports shall be beginning **05 December 2017** covering the RBCA requirements computed as of end November 2017, provided that Broker Dealers have submitted the **"TERMS OF USE FOR ONLINE SUBMISSION OF RBCA REPORT"** attached as Annex A of the Circular.

Please be guided accordingly.

Very truly yours,




VICENTE GRACIANO P. FELIZMENIO, JR.
Director

	Broker Name	Broker PKI Code/ID
1	A & A SECURITIES, INC.	A_AND_A
2	A. T. DE CASTRO SECURITIES CORPORATION	ATCASTRO
3	AAA SOUTHEAST EQUITIES, INC.	AAA
4	AB CAPITAL SECURITIES, INC.	ABCAPSEC
5	ABACUS SECURITIES CORPORATION	ABACUS
6	ALAKOR SECURITIES CORPORATION	ALAKOR
7	ALPHA SECURITIES CORPORATION	ALPHA
8	ANSALDO, GODINEZ & COMPANY, INC.	ANSALDO
9	AP SECURITIES, INC.	ANGPING
10	APEX PHILS. EQUITIES CORPORATION	APEX
11	ARMSTRONG SECURITIES, INC.	ARMSTRONG
12	ASIA PACIFIC CAPITAL EQUITIES & SECURITIES CORPORATION	ASIA_PAC
13	ASIASEC EQUITIES, INC.	ASIASEC
14	ASTRA SECURITIES CORPORATION	ASTRA
15	AURORA SECURITIES, INC.	AURORA
16	B. H. CHUA SECURITIES CORPORATION	BH_CHUA
17	BA SECURITIES, INC.	BA
18	BDO SECURITIES CORPORATION	BDO
19	BELSON SECURITIES, INC.	BELSON
20	BENJAMIN CO CA & COMPANY, INC.	BENJAMIN
21	BERNAD SECURITIES, INC.	BERNAD
22	BPI SECURITIES CORPORATION	BPI
23	CAMPOS, LANUZA & COMPANY, INC.	CAMPOS
24	CENTURY SECURITIES, CORPORATION	CENTURY
25	CHINA BANK SECURITIES, INC.	CHINABANK
26	CITISECURITIES, INC.	CITISEC
27	CLSA PHILS., INC.	CLSA
28	COHERCO SECURITIES, INC.	COHERCO
29	COL FINANCIAL PHILIPPINES	COL
30	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	CSUISSE
31	CUALOPING SECURITIES CORPORATION	CUALOPING
32	DA MARKET SECURITIES, INC.	DAMARKET
33	DAVID GO SECURITIES CORPORATION	DAVID_GO
34	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	DBP_DWA
35	DEUTSCHE REGIS PARTNERS INC.	DEUTSCHE
36	DIVERSIFIED SECURITIES, INC.	DVRSFIED
37	DW CAPITAL, INC.	DW_CAPTL
38	E. CHUA CHIACO SECURITIES, INC.	E_CHUA

	Broker Name	Broker PKI Code/ID
39	EAGLE EQUITIES, INC.	EAGLE
40	EASTERN SECURITIES DEVT. CORPORATION	EASTERN
41	EASTWEST CAPITAL CORPORATION	EASTWEST
42	EQUITIWORLD SECURITIES, INC.	EQWORLD
43	EVERGREEN STOCK BROKERAGE & SECURITIES, INC.	EVERGRN
44	F. YAP SECURITIES, INC.	F_YAP
45	FIDELITY SECURITIES, INC.	FIDELITY
46	FIRST INTEGRATED CAPITAL SECURITIES, INC.	FINCAP
47	FIRST METRO SECURITIES BROKERAGE CORPORATION	FIRSTMET
48	FIRST ORIENT SECURITIES, INC.	F_ORIENT
49	G. D. TAN & COMPANY, INC.	GD_TAN
50	GLOBALINKS SECURITIES & STOCKS, INC.	G_LINK
51	GOLDEN TOWER SECURITIES & HOLDINGS, INC.	G_TOWER
52	GOLDSTAR SECURITIES, INC.	GOLDSTAR
53	GUILD SECURITIES, INC.	GUILD
54	H.E. BENNETT SECURITIES, INC.	BENNETT
55	HDI SECURITIES, INC.	HDI
56	I. B. GIMENEZ SECURITIES, INC.	GIMENEZ
57	IGC SECURITIES, INC.	IGC
58	IMPERIAL DE GUZMAN, ABALOS & CO., INC.	IMPERIAL
59	INTRA-INVEST SECURITIES, INC.	INTRAINV
60	INVESTORS SECURITIES, INC.	INVESTOR
61	J. M. BARCELON & COMPANY, INC.	BARCELON
62	J. P. MORGAN SECURITIES PHILS, INC.	JPMORGAN
63	JAKA SECURITIES CORPORATION	JAKA
64	JSG SECURITIES, INC.	JSG
65	KING'S POWER SECURITIES, INC.	KINGS
66	LARRGO SECURITIES COMPANY, INC.	LARRGO
67	LITONJUA SECURITIES, INC.	LITONJUA
68	LOPEZ, LOCSIN, LEDESMA & COMPANY, INC.	LOPEZ
69	LUCKY SECURITIES, INC.	LUCKY
70	LUY'S SECURITIES COMPANY, INC.	LUYS
71	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	MACQUAR
72	MANDARIN SECURITIES CORPORATION	MANDARIN
73	MARIAN SECURITIES, INC.	MARIAN
74	MAYBANK ATR KIMENG SECURITIES, INC.	ATR
75	MDR SECURITIES, INC.	MDR

	Broker Name	Broker PKI Code/ID
76	MERCANTILE SECURITIES, CORPORATION	MRCNTILE
77	MERIDIAN SECURITIES, INC.	MERIDIAN
78	MOUNT PEAK SECURITIES, INC.	MTPEAK
79	NEW WORLD SECURITIES CO., INC.	NEW_WRLD
80	NIEVES SECURITIES, INC.	NIEVES
81	NOVEL SECURITIES, INC.	NOVEL
82	OPTIMUM SECURITIES CORPORATION	OPTIMUM
83	PAN ASIA SECURITIES CORPORATION	PAN_ASIA
84	PAPA SECURITIES CORPORATION	PAPA
85	PCCI SECURITIES BROKERS CORPORATION	PCCI
86	PCIB SECURITIES, INC.	PCIB
87	PHIL-PROGRESS SECURITIES CORPORATION	PROGRESS
88	PHILS. EQUITY PARTNERS, INC.	PEP
89	PHILSTOCKS FINANCIAL, INC.	PHILSTOCKS
90	PLATINUM SECURITIES, INC.	PLATINUM
91	PNB SECURITIES, INC.	PNB
92	PREMIUM SECURITIES, INC.	PREMIUM
93	QUALITY INVESTMENT & SECURITIES CORPORATION	QUALITY
94	R & L INVESTMENTS, INC.	R_AND_L
95	R. COYIUTO SECURITIES, INC.	COYIUTO
96	R. NUBLA SECURITIES, INC.	R_NUBLA
97	R.S. LIM & COMPANY, INC.	RS_LIM
98	RCBC SECURITIES, INC.	RCBC
99	REGINA CAPITAL DEVT. CORPORATION	REGINA
100	RTG & CO., INC.	RTG
101	S. J. ROXAS & COMPANY, INC.	SJ_ROXAS
102	SALISBURY BKT SECURITIES CORPORATION	SALISBUR
103	SARANGANI SECURITIES, INC.	SARNGGNI
104	SB EQUITIES, INC.	SB-EQTY
105	SECURITIES SPECIALISTS, INC.	S_SPCLST
106	SINCERE SECURITIES CORPORATION	SINCERE
107	SOLAR SECURITIES, INC.	SOLAR
108	STANDARD SECURITIES CORPORATION	STANDARD
109	STAR ALLIANCE SECURITIES CORPORATION	STAR_ALL
110	STRATEGIC EQUITIES CORPORATION	STRATEQ
111	SUMMIT SECURITIES, INC.	SUMMIT
112	SUNSECURITIES, INC.	SUNSEC

	Broker Name	Broker PKI Code/ID
113	<u>SUPREME STOCKBROKER, INC.</u>	SUPREME
114	<u>TANSENGCO & COMPANY, INC.</u>	TNSENGCO
115	<u>THE FIRST RESOURCES MGMT. & SECURITIES CORPORATION</u>	FIRSTRES
116	<u>TIMSON SECURITIES, INC.</u>	TIMSON
117	<u>TOWER SECURITIES, INC.</u>	TOWER
118	<u>TRANS-ASIA SECURITIES, INC.</u>	TRANSASIA
119	<u>TRI-STATE SECURITIES, INC.</u>	TRISTATE
120	<u>TRITON SECURITIES CORPORATION</u>	TRITON
121	<u>UBS SECURITIES PHIL.</u>	UBS
122	<u>UCPB SECURITIES, INC.</u>	UCPB
123	<u>UNICAPITAL SECURITIES, INC.</u>	UNICAP
124	<u>UOB-KAY HIAN SECURITIES (PHILIPPINES), INC.</u>	UOB-KAY
125	<u>UPCC SECURITIES CORPORATION</u>	UPCC
126	<u>VALUE QUEST SECURITIES CORPORATION</u>	VALUEQST
127	<u>VC SECURITIES CORP.</u>	VC SEC
128	<u>VENTURE SECURITIES, INC.</u>	VENTURE
129	<u>VICSAL SECURITIES & STOCK BROKERAGE, INC.</u>	VICSAL
130	<u>VSEC.COM, INC.</u>	VSEC
131	<u>WEALTH SECURITIES, INC.</u>	WEALTH
132	<u>WESTLINK GLOBAL EQUITIES, INC.</u>	WESTLINK
133	<u>WONG SECURITIES CORPORATION</u>	WONG
134	<u>YAO & ZIALCITA, INC.</u>	YAO
135	<u>YU & COMPANY, INC.</u>	YU