



MEMORANDUM – 2018-028

TO : ALL TRADING PARTICIPANTS

SUBJECT : Risk Based Capital Adequacy (RBCA)
Report for the period of October 31, 2018

DATE : 11 October 2018

On 10 October 2018, The Capital Markets Integrity Corporation (CMIC) received from the Securities and Exchange Commission (SEC) a letter dated 08 October 2018 directing CMIC to disseminate to all trading participants its memo on the submission of the RBCA Report covering the period ending October 31, 2018.

For reference, attached is the copy of the Commission's directive.

DAISY P. ARCE
President

ACD
FHRAD
IED
SD

**MARKETS AND SECURITIES REGULATION DEPARTMENT**

October 8, 2018

CAPITAL MARKETS INTEGRITY CORPORATION

10th Floor, PSE Tower
5th Avenue corner 28th Street
Bonifacio Global City, Taguig 1634
Fax no: 659-6001
Tel no: 876-4580

CMIC 100CT18 PM 1:20:38
RECEIVED BY MYM

Attention: Atty. Daisy P. Arce
President

Subject: Risk Based Capital Adequacy (RBCA)
Report for the period October 31, 2018

Gentlemen:

This is in connection with the Risk Based Capital Adequacy (RBCA) Report covering the period ending October 31, 2018 which shall be filed with the Commission on or before November 5, 2018 as required pursuant to SRC Rule 49.1.1.3 of the 2015 SRC IRR.

In this regard and considering that November 1 & 2, 2018 have been declared holiday and November 3 & 4, 2018 falls on a weekend, please be informed that the Commission En Banc in its meeting on October 8, 2018, resolved to give all registered Brokers Dealers in securities until November 7, 2018 to submit the RBCA Report for the period ending October 31, 2018. Submission after the said date shall be considered in violation of the abovementioned rule subject to penalties pursuant to SEC Memorandum Circular No. 6, series of 2005.

Kindly disseminate the foregoing to your trading participants.

Very truly yours,


VICENTE GRACIANO P. FELIZMENIO, JR.
Director

10/10
SCANNED