






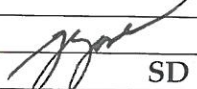
MEMORANDUM – 2018-029

TO : ALL TRADING PARTICIPANTS
SUBJECT : Submission of Data for 2019 Risk Assessment
DATE : 17 October 2018

In connection with the Capital Markets Integrity Corporation's ("CMIC") risk assessment of all Trading Participants ("TP") for the conduct of the 2019 Annual Regulatory Examination, the TPs are directed to provide the necessary details in the document attached hereto as "Annex A". The completed forms must be submitted via electronic mail to CMIC (acd@cmic.com.ph) not later than **24 October 2018**.

For your compliance.


DAISY P. ARCE
President

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ANNEX A

SUBJECT : DATA FOR 2018 RISK ASSESSMENT OF ALL TRADING PARTICIPANTS (TPs)

CUT-OFF DATE : 30 SEPTEMBER 2018

Broker Code	
Name of Trading Participant	
Total Market Value of all Customers' Security Positions as of cut-off date	
Total Number of TP's Active Clients as of cut-off date	
Total Current Assets as of cut-off date	

I hereby attest to the truthfulness and veracity of the foregoing information.

Name of Associated Person

A.P. License No.

Date