



MEMORANDUM – 2020-011

TO : THE INVESTING PUBLIC AND THE TRADING PARTICIPANTS
SUBJECT : CMIC CONTACT DETAILS AND REPORTORIAL REQUIREMENTS
DATE : 18 March 2020

In view of the circumstances attendant in the imposition of an enhanced community quarantine and stringent social distancing measures over the entire Luzon, please be advised of the following guidelines, which the Capital Markets Integrity Corporation (“CMIC”) has immediately put in force and shall be effective until further notice:

Contact Details

- For **inquiries by trading participants and other relevant matters**, please send an e-mail to info@cmic.com.ph or call any of the following contact numbers:

| | |
|--|----------------------------------|
| Audit and compliance matters | (+63)9673259479; (+63)9052725925 |
| Investigation and enforcement matters | (+63)9178545364 |
| Surveillance matters | (+63)9052725917; (+63)9673257507 |
| Finance, human resources, and administrative matters | (+63)9452066728 |

- For **investor concerns and other relevant matters**, please send an e-mail to info@cmic.com.ph, visit CMIC’s website (<http://www.cmic.com.ph>), and/or call any of the following contact numbers:

| |
|-----------------|
| (+63)9178545364 |
| (+63)9673259479 |

Reportorial Requirements

- As stated in *CMIC Memorandum 2020-010*, submission of certain reports or compliance with the reportorial requirements may be made via electronic mail/e-mail or, in case of the bi-monthly RBCA reports, via iPSE. Further, hard copies of specified reports shall be delivered to CMIC after the lifting of the enhanced community quarantine.

- For ongoing regular audits, the requested documents shall be submitted via e-mail to lemansilungan@cmic.com.ph and the e-mail addresses of the handling auditor/s, within the period previously given by CMIC. Relevant inquiries may be sent to the same e-mail addresses.
- **With regard to reports and/or documents that have been due since the commencement of the enhanced community quarantine and those due within the next seven calendar days, including the bi-monthly RBCA reports, the same should have been or should be submitted within the prescribed periods via the abovementioned means. *However*, in cases where, despite due efforts, the reports and/or requested documents have not been or cannot be filed within the required periods, the same should be submitted not later than 25 March 2020. Apart from the submitted reports, the trading participant must also state or notify CMIC of the reason behind the belated filing thereof. It must be emphasized that this exception only covers reports required to be submitted to CMIC.¹**

For your compliance and/or information.

(original signed)
DAISY P. ARCE
President

| | | | |
|------------|--------------|------------|-----------|
| | | | |
| ACD | FHRAD | IED | SD |

¹ Pursuant to Section 40.3 (c) of the Securities Regulation Code, among other securities laws. The cited provision states, *inter alia*, that “[in] the event of an emergency requiring action for the protection of investors, the maintenance of fair and orderly markets, or the safeguarding of securities and funds, a self-regulatory organization may put a proposed amendment into effect summarily xxx”