



MEMORANDUM – 2024-002

TO : ALL TRADING PARTICIPANTS AND THE INVESTING PUBLIC

SUBJECT : SUBMISSION OF REPORTS AND OTHER DOCUMENTS TO CMIC

DATE : 26 JANUARY 2024

The trading participants are advised that, **effective from 29 January 2024 (Monday)**, the following reports and documents shall be submitted to the Capital Markets Integrity Corporation (“CMIC”) via electronic mail:

REPORTS AND DOCUMENTS	DEADLINES OF SUBMISSION	RECIPIENTS
Quarterly Compliance Report	15 th day of January, April, July, October	acd@cmic.com.ph
Monthly Complaint Report	15 th day of the month	acd@cmic.com.ph
Yearly Schedule/ Timetable for the Implementation of the Training Program	3 rd Friday of January	acd@cmic.com.ph
Annual Audited Financial Report or AAFR	Within 110 days after the close of the fiscal year or December 31	acd@cmic.com.ph
Annex C: Information of the External Auditor and Audit Engagement of Trading Participant	60 calendar days prior to the submission of the AAFR	acd@cmic.com.ph
Certification from the management of the trading participant that the risk management procedures have been consistently followed	First Friday of January	acd@cmic.com.ph
Master Securities Lending Agreement (MSLA)	As needed	acd@cmic.com.ph
Securities Lending Authorization Agreement (SLAA)	As needed	acd@cmic.com.ph
Confirmation Notice for SBL Transaction	Prior to short selling	acd@cmic.com.ph

Certification of Submission of Bi-annual Summary Reports of Outstanding and Liquidated SBL Transactions and Stock Returns	Within five (5) calendar days from the filing thereof with the BIR	acd@cmic.com.ph
Bi-annual Summary Reports of Outstanding and Liquidated SBL Transactions and Stock Returns	Within fifteen (15) calendar days after the end of every six-month period	acd@cmic.com.ph
Breach in RBCA Ratio, NLC and/or AI over NLC Ratio Report	Immediately after the breach	acd@cmic.com.ph
Amended RBCA Computation	Within a reasonable time from the amendment	acd@cmic.com.ph
Proof of Additional Deposit for Reserve Requirement	Prior to submission of the relevant Monthly RBCA Report	acd@cmic.com.ph
Disclosure on Early Release of Trade Proceeds	Within one (1) trading day from the actual settlement	hradf@cmic.com.ph & ied@cmic.com.ph
Daily PSE Shares Disclosure	T+1	hradf@cmic.com.ph
Weekly PSE Shares Disclosure	12 noon of the first trading day of the following week	hradf@cmic.com.ph
Monthly Sworn Statement on PSE Shares	15th day of the month	hradf@cmic.com.ph
Disclosure on transaction on listed shares of corporations which would have been prohibited under Section 30.1 of the SRC	Within five (5) days after an affiliated transaction	sd@cmic.com.ph
List of directors, officers, agents and employees	First Friday of January and July of each year	sd@cmic.com.ph
List of directors, officers, agents, and employees with the personnel information sheet of each director, agent or employee, for new trading participants	Prior to commencement of trading operations	sd@cmic.com.ph
Director, officer, agent or employee movement	Within 30 trading days from the date of effectivity thereof	sd@cmic.com.ph
Notification as to withheld clearance of an employee	Within 30 trading days from resignation or termination of the employee whose clearance has been withheld	sd@cmic.com.ph
Written statement confirming the existence or absence of any undisclosed information that could have triggered subject transactions,	Not later than 4:00pm of the relevant day	sd@cmic.com.ph

in case of restriction, halt or suspension orders against a trading participant		
Names of beneficial owners of listed securities involved in possible unusual trading activities or possible trading-related irregularities	Within five (5) trading days from receipt of notice	sd@cmic.com.ph
Done-Through Transactions Report	T+1, 12 noon	sd@cmic.com.ph
Report on Block Sale (Related Transactions)	T+5	sd@cmic.com.ph
Application for Voluntary Suspension of Trading Operations	At least thirty (30) trading days prior to the intended date of cessation of trading operations	info@cmic.com.ph & ied@cmic.com.ph
Application for Subordinated Loan	As needed	info@cmic.com.ph & acd@cmic.com.ph

Nonetheless, the Monthly RBCA Report (which is submitted on the 20th day of the current month for RBCA report covering the period 1st to the 15th of the current month, and on the 5th day of the succeeding month for RBCA Report covering the period 16th to the 30th/ 31st of the current month) shall still be sent through *iPSE*.

As to the reports and documents not included in the foregoing list, such as correspondences relative to complaints from investors (*e.g.*, complaint form, answer, reply, and rejoinder), claims from clients of closed or suspended trading participants (*e.g.*, affidavit of claim, claim processing sheet, EQ Trade letter request), and inquiries or requests from market participants (*e.g.*, request for issuance of clearance certificate and request for information), these may be sent via electronic mail to info@cmic.com.ph and/or delivered by courier to CMIC's office at the PSE Tower, 5th Avenue corner 28th Street, Bonifacio Global City, Taguig.

Finally, CMIC emphasizes that the submission of the reports or documents via electronic mail and/or by courier is *without* prejudice to the processes and requirements of other regulatory authorities and the courts, relevant laws, and subsequent directives from CMIC.

For your information and strict compliance.

(Original signed)

GERARD B. SANVICTORES

President

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