



# MEMORANDUM – 2025-020

**TO :** ALL TRADING PARTICIPANTS AND THE INVESTING PUBLIC

**SUBJECT :** SUBMISSION OF REPORTS AND OTHER DOCUMENTS TO CMIC

**DATE :** 23 June 2025

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Further to CMIC Memorandum 2025-004, and in line with efforts to streamline the submission of reports to the Capital Markets Integrity Corporation (“CMIC”), please be advised that, effective 1 July 2025, several reports required to be submitted by the trading participants (“TPs”) shall be transmitted exclusively through the PSE Electronic Disclosure Generation Technology (“PSE-EDGE”) or any other facility as may be duly authorized for this purpose. These reportorial requirements are the following:

REPORTS AND DOCUMENTS	DEADLINES OF SUBMISSION
List of Directors, Officers and Employees	First Friday of January and July of each year
Personnel Movement – New Appointments, Newly Hired, Re-designations, Resignations (within 30 trading days from the date of effectivity)	Within 30 trading days from the date of effectivity thereof
Done Through Transaction Report	T+1, 12 noon
Block Sale Reportorial Requirements	T+5
PSE Shares	T+1
30.1 Report on Affiliated Transactions by Broker Dealers	Within five (5) days after an affiliated transaction
Quarterly Compliance Reports	15 <sup>th</sup> day of January, April, July, October

As a prerequisite to utilizing the PSE-EDGE system, each TP is required to execute and submit a ***Privacy Consent Form***, in accordance with applicable data privacy laws and internal protocols. TPs who have already submitted the said form during the recent TP Seminar are already deemed compliant with the requirement.

For inquiries or assistance regarding access and submission procedures, kindly coordinate with CMIC’s Surveillance Department at **8876-4596 to 98**.

With regard to the *other* reportorial requirements, the relevant reports shall still be submitted via electronic mail. Compliance details are provided below.

REPORTS AND DOCUMENTS	DEADLINES OF SUBMISSION	RECIPIENTS
Monthly Complaint Report	15th day of the month	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Yearly Schedule/ Timetable for the Implementation of the Training Program	3rd Friday of January	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Annual Audited Financial Report or AAFR	Within 110 days after the close of the fiscal year or December 31	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Annex C: Information of the External Auditor and Audit Engagement of Trading Participant	60 calendar days prior to the submission of the AAFR	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Certification from the management of the trading participant that the risk management procedures have been consistently followed	First Friday of January	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Master Securities Lending Agreement (MSLA)	As needed	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Securities Lending Authorization Agreement (SLAA)	As needed	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Confirmation Notice for SBL Transaction	Prior to short selling	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
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	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
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	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Breach in RBCA Ratio, NLC and/or AI over NLC Ratio Report	Immediately after the breach	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Amended RBCA Computation	Within a reasonable time from the amendment	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Proof of Additional Deposit for Reserve Requirement	Prior to submission of the relevant Monthly RBCA Report	<a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>
Disclosure on Early Release of Trade Proceeds	Within one (1) trading day from the actual settlement	<a href="mailto:hradf@cmic.com.ph">hradf@cmic.com.ph</a> & <a href="mailto:ied@cmic.com.ph">ied@cmic.com.ph</a>

REPORTS AND DOCUMENTS	DEADLINES OF SUBMISSION	RECIPIENTS
Weekly PSE Shares Disclosure	12 noon of the first trading day of the following week	<a href="mailto:hradf@cmic.com.ph">hradf@cmic.com.ph</a>
Monthly Sworn Statement on PSE Shares	15th day of the month	<a href="mailto:hradf@cmic.com.ph">hradf@cmic.com.ph</a>
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	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
Notification as to withheld clearance of an employee	Within 30 trading days from resignation or termination of the employee whose clearance has been withheld	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
Written statement confirming the existence or absence of any undisclosed information that could have triggered subject transactions, in case of restriction, halt or suspension orders against a trading participant	Not later than 4:00pm of the relevant day	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
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	<a href="mailto:sd@cmic.com.ph">sd@cmic.com.ph</a>
Application for Voluntary Suspension of Trading Operations	At least thirty (30) trading days prior to the intended date of cessation of trading operations	<a href="mailto:info@cmic.com.ph">info@cmic.com.ph</a> & <a href="mailto:ied@cmic.com.ph">ied@cmic.com.ph</a>
Application for Subordinated Loan	As needed	<a href="mailto:info@cmic.com.ph">info@cmic.com.ph</a> & <a href="mailto:acd@cmic.com.ph">acd@cmic.com.ph</a>

The Monthly RBCA Report (which is submitted on the 20<sup>th</sup> day of the current month for RBCA report covering the period 1<sup>st</sup> to the 15<sup>th</sup> of the current month, and on the 5<sup>th</sup> day of the succeeding month for RBCA Report covering the period 16<sup>th</sup> to the 30<sup>th</sup>/31<sup>st</sup> 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](mailto:info@cmic.com.ph) and/or delivered by courier to CMIC's office at the PSE Tower, 5<sup>th</sup> Avenue corner 28<sup>th</sup> Street, Bonifacio Global City, Taguig.

**Finally, the submission of the reports or documents via the PSE-EDGE or other submission facility is *without* prejudice to the processes and requirements of other regulatory authorities and the courts, relevant laws, and subsequent directives from CMIC. Similarly, these reportorial requirements do not preclude CMIC from further enforcing the securities laws, through requests for production of documents and provision of information material to an examination or investigation, and conduct of onsite examinations, among other procedures.**

For your information and strict compliance.

*(original signed)*  
**GERARD B. SANVICTORES**  
*President*

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