



MEMORANDUM – 2025-013

TO : ALL TRADING PARTICIPANTS

SUBJECT : Reminder on the Compliance with Article 28.1.2.5.2(o) of the 2015 Implementing Rules and Regulations of the Securities Regulation Code

DATE : 06 MAY 2025

Trading Participants ("TPs") are hereby reminded of their obligation to ensure compliance with Article 28.1.2.5.2(o) of the 2015 Implementing Rules and Regulations of the Securities Regulation Code (2015 SRC-IRR), which states:

"28.1.2.5.2(o). A Broker Dealer shall submit to the Commission and the SRO which has authority to supervise its trading participants a list of its directors, officers, salesmen and employees together with their respective photos taken within six (6) months before submission to the Commission, designations and specimen signatures. For initial compliance, the Broker Dealer shall submit such requirements within six (6) months from the effectivity of these rules. These requirements shall be updated every three (3) years thereafter."

TPs shall submit the required documents via email to **SD@cmic.com.ph** not later than **30 May 2025**.

For your compliance.

(original signed)
GERARD B. SANVICTORES
President

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