

J. SECURITIES AND EXCHANGE COMMISSION

STRATEGIC OBJECTIVES

SECTOR OUTCOME

1. Resilient and Inclusive Financial System
2. Good Governance

ORGANIZATIONAL OUTCOME

Corporate and Capital Market Structure Strengthened

PERFORMANCE INFORMATION

ORGANIZATIONAL OUTCOMES (Oos) / PERFORMANCE INDICATORS (PIs)

BASELINE

2017 TARGETS

Corporate and Capital Market Structure Strengthened

Volume and value of IPOs, securities and corporate bonds registered and value of authorized capital stock and foreign direct investments increased

5% increase from the average of the last three (3) years

Total number of applications for registration, licensure and accreditation processed and approved increased	37,565 (FY 2015 actual registrations approved)	38,692 (3% increase from FY 2015 actual registrations approved)
Total number of regulated entities and individuals monitored and evaluated as compliant with SEC rules and regulations increased	145,058 (FY 2015 actual number of entities / reports / disclosures monitored and evaluated)	149,410 (3% increase from the actual number of entities / reports / disclosures monitored and evaluated)

MAJOR FINAL OUTPUTS (MFOs) / PERFORMANCE INDICATORS (PIs)

2017 Targets
MFO 1: CORPORATE AND CAPITAL MARKET DEVELOPMENT SERVICES

Policy measures implemented to enhance the regulatory framework and foster continued growth of the capital market in particular and the business sector in general

Number of planned measures promulgated/implemented	10
Percentage of measures promulgated/implemented that are rated good or better	100%
Percentage of measures promulgated/implemented within the prescribed timeframe	100%

Technical Assistance

Number of technical assistance rendered	0
Percentage of clients who rate the technical assistance as good or better	100%
Percentage of requests for technical assistance that are acted upon within the prescribed timeframe	100%

MFO 2: CORPORATE AND CAPITAL MARKET REGULATION SERVICES**Registration/Licensing Services**

Number of registrations approved and licenses issued	38,692
Percentage of applications processed pursuant to standard processing procedures and timeframe	100%
Percentage of license or permit applications and renewals processed within standard processing timeframe	100%

Monitoring

Number of target entities/reports/disclosures monitored and evaluated	149,410
Percentage of target entities/reports/disclosures monitored and evaluated pursuant to standard monitoring and evaluating parameters	100%
Percentage of target entities/reports/disclosures monitored and evaluated within standard timeframe	100%

Enforcement

Percentage of errant firms and individuals imposed the appropriate fines and/or penalties	100%
Percentage of enforcement activities undertaken in accordance with rules, regulations and standards	100%
Percentage of enforcement activities undertaken within standard timeframe	100%