

J. SECURITIES AND EXCHANGE COMMISSION

STRATEGIC OBJECTIVES

SECTOR OUTCOME : Sound, stable and supportive macroeconomic environment sustained

ORGANIZATIONAL
OUTCOME : Investor-based capital market and business sector broadened

PERFORMANCE INFORMATION

ORGANIZATIONAL OUTCOMES (OOs) / PERFORMANCE INDICATORS (PIs)	2022 GAA Targets	Actual
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Investor-based capital market and business sector broadened

CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM

SCORE - SRC AND RCC COMPLIANCE OF REGULATED ENTITIES

Outcome Indicator(s)

- | | | |
|---|-------|--------|
| 1. Average compliance rate of regulated entities increased | 60% | 84.57% |
| 2. Percentage of retail participation in the capital market/various investment products increased | 1.09% | 1.33% |

Output Indicator(s)

- | | | |
|---|------|---------|
| 1. Percentage of regulated entities monitored | 100% | 105.45% |
|---|------|---------|

GEARING UP! - THE ENFORCEMENT AND INVESTOR PROTECTION PROGRAM

Outcome Indicator(s)

- | | | |
|--|-----|------|
| 1. Case disposition rate (i.e. either filed in court with DOJ, dismissed by SEC, revoked by SEC, fined by SEC, archived by SEC within prescribed time) increased | 55% | 100% |
|--|-----|------|

Output Indicator(s)

- | | | |
|---|------|------|
| 1. Percentage of tips, referrals and complaints acted upon (i.e. acknowledged, verified, referred) within prescribed time | 100% | 100% |
|---|------|------|

SEC CAN! - COMMUNICATION, ADVOCACY AND NETWORK

Outcome Indicator(s)

- | | | |
|---|-------|-----|
| 1. Equity market capitalization relative to GDP (%) increased | 78.5% | 78% |
| 2. Size of local currency bond market to GDP (%) increased | 43.6% | 52% |

Output Indicator(s)

- | | | |
|--|-----|-------|
| 1. Number of investor education activities conducted | 333 | 3,355 |
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PERFORMANCE INFORMATION

ORGANIZATIONAL OUTCOMES (OOs) / PERFORMANCE INDICATORS (PIs)	Baseline	2023 Targets	2024 NEP Targets
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Investor-based capital market and business sector broadened

CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM

SCORE - SRC AND RCC COMPLIANCE OF REGULATED ENTITIES

Outcome Indicator(s)

- | | | | |
|---|-------|-------|--------|
| 1. Average compliance rate of regulated entities increased | 60% | 67.5% | 80.29% |
| 2. Percentage of retail participation in the capital market/various investment products increased | 1.09% | 1.37% | 1.36% |

Output Indicator(s)			
1. Percentage of regulated entities monitored	100%	100%	106.55%
GEARING UP! - THE ENFORCEMENT AND INVESTOR PROTECTION PROGRAM			
Outcome Indicator(s)			
1. Case disposition rate (i.e. either filed in court with DOJ, dismissed by SEC, revoked by SEC, fined by SEC, archived by SEC within prescribed time) increased	55%	100%	50% within processing time of 210 days (complex) and 365 days (highly technical). (In consideration of the full implementation of R.A. No. 11765 or the Financial Products and Services Consumer Act which will have a huge impact on the workload and rate of disposition)
Output Indicator(s)			
1. Percentage of tips, referrals and complaints acted upon (i.e. acknowledged, verified, referred) within prescribed time	100%	100%	50% within the period as prescribed under Section 5, R.A. No. 6713. (In view of the full implementation of R.A. No. 11765 or the Financial Products and Services Consumer Act which will have a huge impact on the workload and rate of disposition)
SEC CAN! - COMMUNICATION, ADVOCACY AND NETWORK			
Outcome Indicator(s)			
1. Equity market capitalization relative to GDP (%) increased	73.3%	95.80%	96.80%
2. Size of local currency bond market to GDP (%) increased	39.2%	51.95%	60.65%
Output Indicator(s)			
1. Number of investor education activities conducted	333	244	415