

J. SECURITIES AND EXCHANGE COMMISSION

STRATEGIC OBJECTIVES

SECTOR OUTCOME

Sound, stable and supportive macroeconomic environment sustained

ORGANIZATIONAL OUTCOME

Corporate and Capital Market Infrastructure strengthened

PERFORMANCE INFORMATION

ORGANIZATIONAL OUTCOMES (OOs) / PERFORMANCE INDICATORS (PIs)

BASELINE

2019 TARGETS

Corporate and Capital Market Infrastructure strengthened

CORPORATE AND CAPITAL MARKET DEVELOPMENT PROGRAM

Outcome Indicator(s)

1. Value of securities registered increased	PhP 31.3B	PhP177.13B
2. Total number of applications for registration, licensure and accreditation processed and approved increased	119,108	135,754
3. Percentage of investment scams / complaints reported by the public and investigated by SEC increased	100%	100%

Output Indicator(s)

1. Number of planned policy measures promulgated / implemented (including memorandum circulars, public consultations, etc.)	13	13
2. Percentage requests for technical assistance that are acted upon within the prescribed timeframe	100%	100%
3. Number of applications for certification examination for capital market participants processed and approved	848	848

CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM

Outcome Indicator(s)

1. Percentage of target regulated entities and individuals monitored and evaluated as compliant with SEC rules and regulations increased	0	10%
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Output Indicator(s)

1. Percentage of license or permit applications and renewals processed within standard processing timeframe	100%	100%
2. Number of target entities monitored and evaluated	53,489	66,642
3. Percentage of errant firms and individuals imposed the appropriate fines and / or penalties	100%	100%