

## 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

<u>ORGANIZATIONAL OUTCOMES (00s) / PERFORMANCE INDICATORS (PIs)</u>	<u>2023 GAA Targets</u>	<u>Actual</u>
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	67.5%	82.50%
2. Percentage of retail participation in the capital market/various investment products increased	1.37%	1.12%
Output Indicator(s)		
1. Percentage of regulated entities monitored	100%	78.16%
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	100%	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	95.80%	76.36%
2. Size of local currency bond market to GDP (%) increased	51.95%	53.08%
Output Indicator(s)		
1. Number of investor education activities conducted	244	950

## PERFORMANCE INFORMATION

<u>ORGANIZATIONAL OUTCOMES (00s) / PERFORMANCE INDICATORS (PIs)</u>	<u>Baseline</u>	<u>2024 Targets</u>	<u>2025 NEP Targets</u>
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	71.11%	80.29%	75.88%
2. Percentage of retail participation in the capital market/various investment products increased	1.21%	1.36%	1.52%
Output Indicator(s)			
1. Percentage of regulated entities monitored	81.55%	106.55%	78.21%

## 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	100%		
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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)

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## Output Indicator(s)

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

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## SEC CAN! - COMMUNICATION, ADVOCACY AND NETWORK

## Outcome Indicator(s)

1. Equity market capitalization relative to GDP (%) increased	92.20%		
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96.80%

69.02%

2. Size of local currency bond market to GDP (%) increased	54.70%		
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60.65%

49.09%

## Output Indicator(s)

1. Number of investor education activities conducted	349		
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415

112