



THE  
SECURITIES AND EXCHANGE COMMISSION

# Mandate and Functions



MANDATE

# WHO WE ARE

The Securities and Exchange Commission (SEC) is the national government regulatory agency charged with supervision over the corporate sector, the securities and investment instruments market and the capital market participants, and the protection of the investing public.

MANDATE

# WHAT WE DO



COMPANY  
REGISTRAR



SECURITIES  
REGULATOR

# PRIMARY LAWS

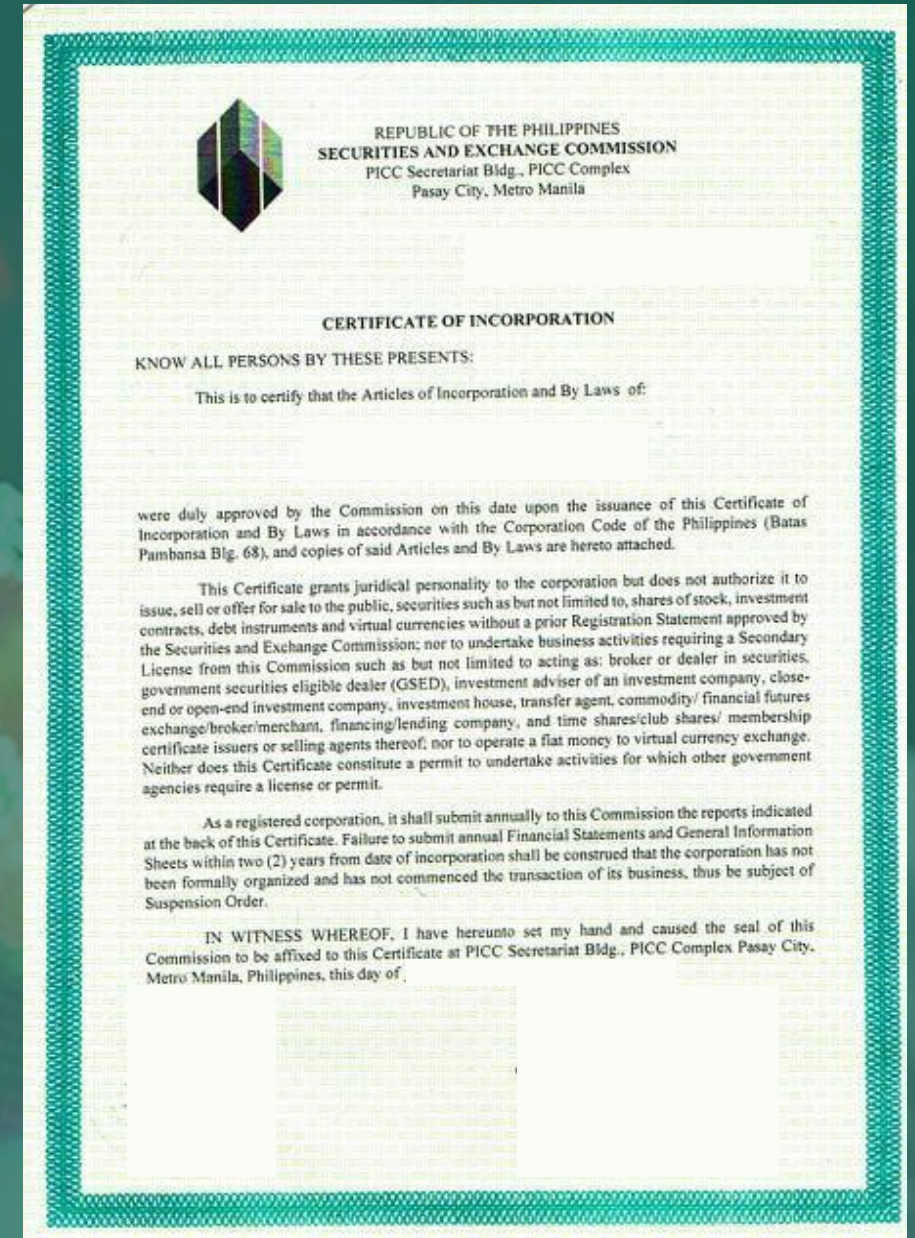
# REVISED

# CORPORATION

# CODE

Republic Act No. 11232, or the Revised Corporation Code of the Philippines, is aimed at improving ease of doing business in the country, affording more protection to corporations and stockholders and promoting good corporate governance.

The measure, which amended the almost four-decade-old Batas Pambansa Blg. 68, forms part of the present administration's legislative priorities. It aligns with the 10- point socio-economic agenda of the President, specifically in increasing the Philippine economy's competitiveness and improving the ease of doing business in the country.



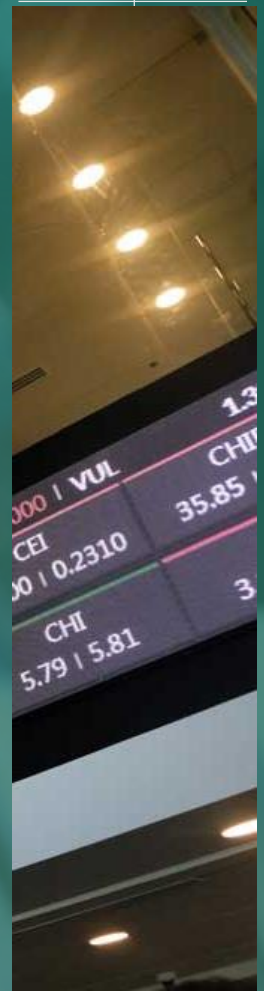
# PRIMARY LAWS

# SECURITIES

# REGULATION

# CODE

Republic Act No. 8799, or The Securities Regulation Code, provided for the reorganization of the SEC in 2000 to give greater focus on the Commission's role in capital market development, fostering good corporate governance and championing investor protection.



## RELATED LAWS

# EASE OF DOING BUSINESS ACT

As the gateway to doing business in the Philippines, the SEC is one of the lead agencies in implementing Republic Act No. 11032, otherwise known as the Ease of Doing Business and Efficient Government Service Delivery Act of 2018.



RELATED LAWS

# ANTI-MONEY LAUNDERING ACT

Continually enhances the country's  
anti-money laundering/ counter-terrorism financing  
(AML/CFT) regime in partnership with  
other Supervising Authorities



RELATED LAWS

# MICROFINANCE NONGOVERNMENT ORGANIZATIONS ACT

Supports and work in partnership with qualified NGOs  
in promoting financial inclusion through microfinance  
and its allied services



RELATED LAWS

# REAL ESTATE INVESTMENT TRUST ACT

Broadens the participation of Filipinos in the ownership of real estate in the Philippines through real estate investment trust (REIT) companies



## RELATED LAWS

# CREDIT INFORMATION SYSTEM ACT

Establishes a comprehensive and centralized credit information system for a more cost-effective credit and a healthier and more stable financial system

CREDIT REPORT CREATED ON 13/10/2019 10:45:19 PM

**CREDIT INFORMATION CORPORATION**  
6th Floor, Exchange Corner Building 107 V.A. Rufino Street corner Esteban Street  
Legaspi Village 1226, Makati City.  
Email: inquiry@creditinfo.gov.ph  
Telephone Nos.: (632) 893-7159 ; (632) 893-1971

CREDIT REPORT

Subject Matched  
19 10:44:38 PM

Request Date 13/10/2019 10:44:38 PM

| SUBJECT                        |                                                                                           |                                |                                                             |                             |
|--------------------------------|-------------------------------------------------------------------------------------------|--------------------------------|-------------------------------------------------------------|-----------------------------|
| <b>Subject Data</b>            |                                                                                           |                                |                                                             |                             |
| CLIC Subject Code              | *****                                                                                     | Last Update Date               | 30/04/2018                                                  |                             |
| Company Trade Name             | MANGO FRUIT CO.                                                                           | Official registered Trade Name | MANGO FRUIT CORPORATION                                     |                             |
| Legal Form                     | General partnership                                                                       | Nationality                    | PHILIPPINES                                                 |                             |
| Registration Date (dd/mm/yyyy) | 20/03/1990                                                                                | PSIC                           | 01299 - Growing of other fruits and perennial crops, n.e.c. |                             |
| Term of existence (dd/mm/yyyy) | 31/12/2099                                                                                | No. of Employees               | 1,300                                                       |                             |
| Resident                       | Yes                                                                                       | Firm Size                      | Medium (>15M up to <=100M)                                  |                             |
| Gross Income / Annual turnover | 2,300,000                                                                                 | Net taxable Income             | 415,000                                                     |                             |
| Monthly Expenses               | 29,000                                                                                    |                                |                                                             |                             |
| <b>Identification Code</b>     |                                                                                           |                                |                                                             |                             |
| TIN                            | 389000127                                                                                 | Last Update Date               | 30/04/2018                                                  |                             |
| SEC registration number        | REG3218888                                                                                | Last Update Date               | 30/04/2018                                                  |                             |
| <b>Addresses Data</b>          |                                                                                           |                                |                                                             |                             |
| Address Type                   | Full Address                                                                              | Owner/Lessee                   | Occupied since                                              | Last Update Date            |
| Company - Main Address         | 49900 MAKATI STREET, 1255, MAKATI SUBDIVISION, BARANGAY 1, MAKATI CITY, METRO MANILA, PH  | Rent                           | 11/11/2010                                                  | 30/04/2018                  |
| Company - Additional Address   | 45900 LEGAZPI AVENUE, 1255, MAKATI SUBDIVISION, BARANGAY 1, MAKATI CITY, METRO MANILA, PH | Rent                           | 11/11/2010                                                  | 30/04/2018                  |
| <b>Contact Data</b>            |                                                                                           |                                |                                                             |                             |
| Contact Type                   | Land line phone                                                                           | Contact                        | 992410000                                                   | Last Update Date 30/04/2018 |
| Contact Type                   | Additional land line phone                                                                | Contact                        | 6324590099                                                  | Last Update Date 30/04/2018 |

## RELATED LAWS

**LENDING COMPANY REGULATION ACT**

**FINANCING COMPANY ACT**

**INVESTMENT COMPANY ACT**

**INVESTMENT HOUSES ACT**

Regulates the establishment and operation  
of lending companies, financing companies  
and investment companies  
and investment houses

RELATED LAWS

# CIVIL CODE OF THE PHILIPPINES

Records contracts of partnership

RELATED LAWS

# RETAIL TRADE LIBERALIZATION ACT

Registration of foreign-owned partnerships and corporations formed and organized under Philippine laws which will engage or invest in the retail trade business



RELATED LAWS

# FOREIGN INVESTMENTS ACT

Monitor corporations and partnerships' compliance  
with the equity requirements of this Act



RELATED LAWS

# OMNIBUS INVESTMENTS CODE

Licenses multinational companies establishing a regional or area headquarters in the Philippines





RELATED LAWS

# SECURITIZATION ACT OF 2004

Creates a favorable market environment  
for asset-backed securities

RELATED LAWS

# ANTI-DUMMY LAW

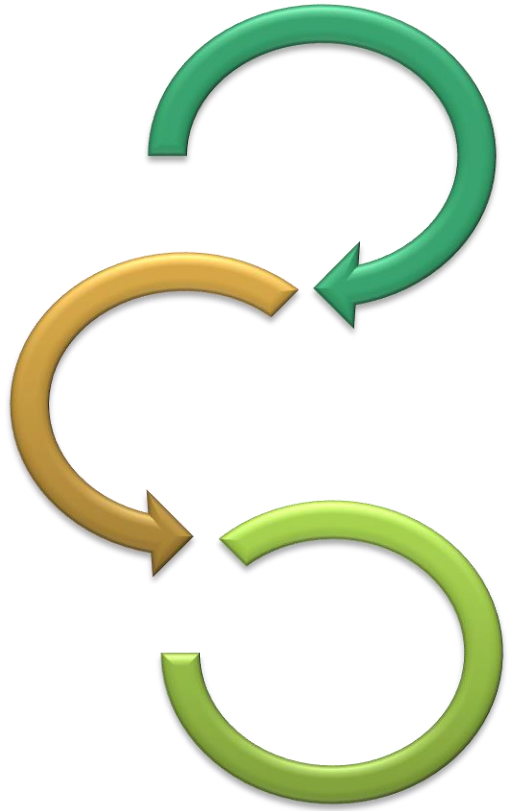
Penalize corporations violating any of the provisions of this Act





THE SECURITIES AND EXCHANGE COMMISSION  
**MISSION AND VISION**

# MISSION



We are the gateway to doing business in the Philippines. We provide a competitive and secure environment for easy company registration, efficient capital formation, and broad investor participation.

# VISION



By 2025, the SEC with its driven, highly-trained and customer-centric team of professionals, equipped with innovative technology and automated registration and data management systems, is the premier investor champion and catalyst of a broadened and informed investor-based capital market and business sector considered among the best in the Southeast Asian region.

THE SECURITIES AND EXCHANGE COMMISSION

# CORE VALUES

INTEGRITY

PROFESSIONALISM

ACCOUNTABILITY

TEAMWORK

INDEPENDENCE

INTEGRITY

PROFESSIONALISM

ACCOUNTABILITY

TEAMWORK

INDEPENDENCE

# INTEGRITY

We are ethical, honest, fair, and sincere  
in our private and public lives.

INTEGRITY

PROFESSIONALISM

ACCOUNTABILITY

TEAMWORK

INDEPENDENCE

# PROFESSIONALISM

We are capable and competent in performing our mandate, we excel in our fields of expertise, and we possess high ethical principles and standards which are essential in providing timely, quality, and committed public service.

INTEGRITY

PROFESSIONALISM

ACCOUNTABILITY

TEAMWORK

INDEPENDENCE

# ACCOUNTABILITY

We are responsible for our actions and decisions.

INTEGRITY

PROFESSIONALISM

ACCOUNTABILITY

TEAMWORK

INDEPENDENCE

# TEAMWORK

We collaborate to achieve our common goals and tasks in a seamless and efficient manner.

INTEGRITY

PROFESSIONALISM

ACCOUNTABILITY

TEAMWORK

INDEPENDENCE

# INDEPENDENCE

We act without fear or favor, and render sound judgment in the performance of our duties and responsibilities.



THE SECURITIES AND EXCHANGE COMMISSION

# QUALITY POLICY STATEMENT

# SEC QUALITY POLICY STATEMENT

We, the Securities and Exchange Commission, the prudent registrar and supervisor of the corporate sector, and the independent guardian of the capital market, commit to:

**S**erve our stakeholders with utmost integrity and professionalism in compliance with customer, legal, regulatory, and other applicable requirements;

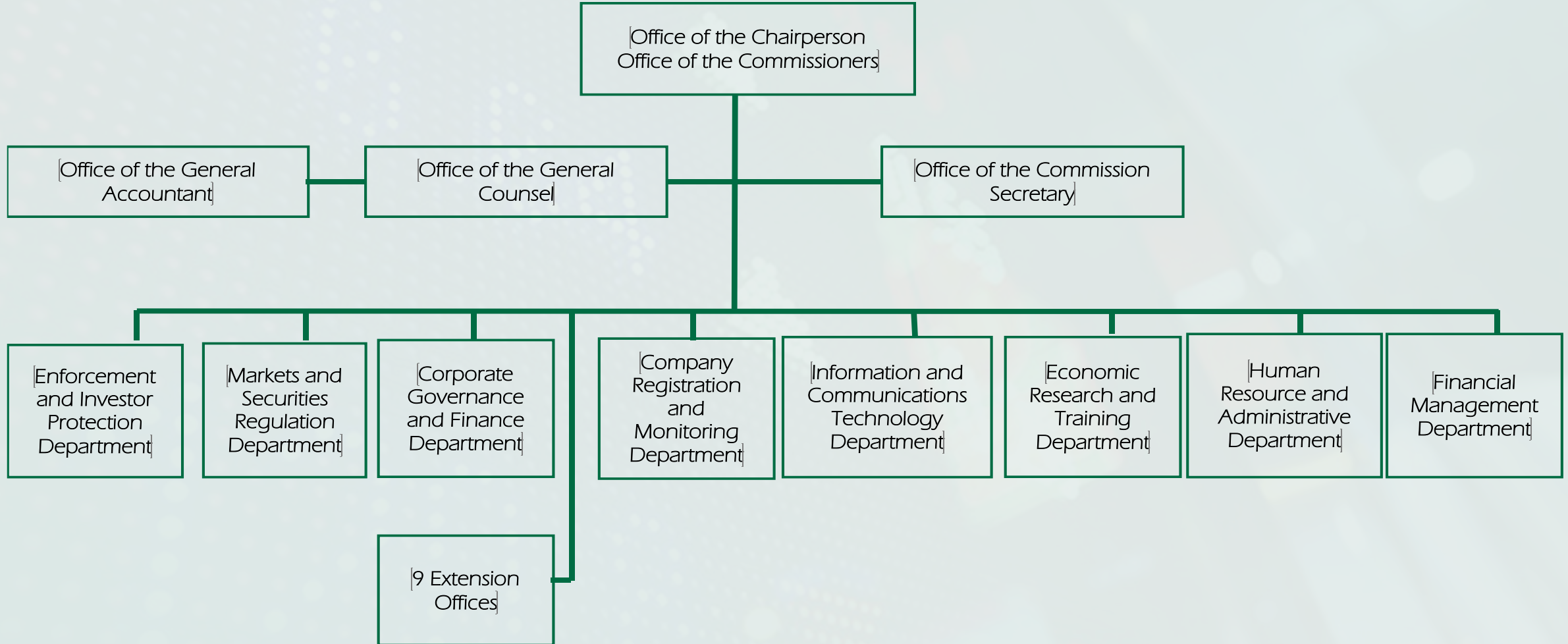
**E**xcel in performing our mandate through continuing institutional capability enhancement and effective resource management; and

**C**ontinually improve our quality management system in pursuit of service, excellence and commitment.



THE SECURITIES AND EXCHANGE COMMISSION

# ORGANIZATIONAL STRUCTURE





THE SECURITIES AND EXCHANGE COMMISSION

**RECENT RECOGNITIONS  
RECEIVED**

# SEC TAKES TOP HONORS IN UN SUSTAINABILITY REPORTING AWARDS



The United Nations Conference on Trade and Development (UNCTAD) recognized the SEC for promoting best practices in sustainability and reporting on the Sustainable Development Goals (SDGs).

UNCTAD presented the International Standards of Accounting and Reporting (ISAR) Honours to the Commission particularly for the issuance of the Sustainability Reporting Guidelines for Publicly Listed Companies through Memorandum Circular No. 4, Series of 2019

# SEC ADMITTED AS IFIAR MEMBER



The SEC has been admitted as member of the International Forum of Independent Audit Regulators (IFIAR). Established in 2006, IFIAR comprises independent audit regulators from 55 jurisdictions representing Africa, North America, South America, Asia, Oceania, and Europe.

IFIAR provides a platform for Members to exchange information about the audit environment and practical experiences and insights from their inspections of audit firms, enforcement practices, engagement with audit committees, audit quality indicator programs, firm culture reviews, and the overall audit market.

# SEC LANDS IN TOP 10 IN EXECUTIVE OUTLOOK SURVEY



The SEC landed anew in the Top 10 in the latest Executive Outlook Survey conducted by the Makati Business Club (MBC), in partnership with the Management Association of the Philippines, on the performance of government agencies.

The survey asked 100 executives from 100 companies whether they were satisfied or not satisfied with the performances of government agencies in the past year, from July 2018 to June 2019.

The SEC has consistently landed in the Top 10 in the past surveys conducted by MBC. The last survey on the performance of government offices, agencies and services was conducted in 2015.

# SEC CITED FOR ANTI-CORRUPTION PROGRAM



The Presidential Anti-Corruption Commission (PACC) has recognized the SEC for its upgraded system process which contributed to the curtailment of corruption in government.

SEC Chairperson Emilio B. Aquino received the bronze award during the celebration of the first founding anniversary of the PACC tasked to investigate alleged government corruption, on March 3 at Heroes Hall in Malacañang.

# STATE AUDIT AFFIRMS SEC FIGHT AGAINST CORRUPTION



The SEC received an “unqualified opinion” from the Commission on Audit (COA), as it upholds transparency, accountability and efficiency in the use of valuable taxpayers’ money.

“In our opinion, the accompanying financial statements present fairly, in all material respects, the financial position of the Securities and Exchange Commission as at December 31, 2018, and its financial performance, cash flows, changes in net assets/equity, comparison of budget and actual amounts for the year then ended, and notes to the financial statements, including a summary of significant policies in accordance with the Philippine Public Sector Accounting Standards,” State Auditor Concepcion C. Reyes noted in an independent auditor’s report dated April 25.

# SEC AWARDED FOR COMMITMENT TO IMPROVING QUALITY AND PRODUCTIVITY



The SEC was among the awardees of the Government Quality Management Committee (GQMC) during its Recognition Ceremony and Public Sector Quality and Productivity Improvement Forum last October 24 for demonstrating “commitment to improving quality and productivity by implementing reforms to enhance their daily operations and setting standards for their timeliness, quantity, and quality of their processes.”



This presentation was made for the launch of SECuring the Philippine Capital Market and Business Sector, a webinar series under the SEC Communication, Advocacy and Network Initiative 2020, on 12 August 2020.

This presentation is intended for information purposes only. It shall not be interpreted as standing rules or legal advice. It shall not restrict, in any way, the powers and functions of the Securities and Exchange Commission.