



ECONOMIC RESEARCH AND TRAINING DEPARTMENT (ERTD)

NOTICE

TO : ALL PROSPECTIVE CAPITAL MARKET PROFESSIONALS

SUBJECT : SEC CERTIFICATION WEBINAR FOR PROSPECTIVE COMPLIANCE OFFICERS/ASSOCIATED PERSONS FOR BROKER-DEALERS IN THE EQUITIES MARKET SCHEDULED ON OCTOBER 23-24, 2025 AND REGISTRATION PROCEDURE

The Commission announces the conduct of SEC Certification Webinar for Prospective Compliance Officers/Associated Persons (CO/AP) for Broker-Dealers in the Equities Market. This webinar is mandatory for those who will be applying for the Phase 2 7D CO/AP Certification Examination. It is likewise open to the general public.

I. Webinar Schedule

Date and Time of Webinar	Registration Period
23-24 October 2025 (Thursday and Friday) 9:00 am to 5:00 pm	19 August to October 10, 2025

II. Topics

- Manipulative Devices and Schemes; Fraudulent and other Prohibited Practices
- SRC Rules on Business Conduct
- Anti-Money Laundering Council Reportorial Requirements
- Books and Records Rule
- Role of Compliance Officers/Associated Persons
- Principles and Computing Risk-Based Capital Adequacy
- Capital Markets Integrity Corporation Rules
- Philippine Stock Exchange Trading Rules

The two-day Certification Webinar will be conducted via Zoom. Each topic discussion will be followed by a dedicated Question-and-Answer session with the Resource Person. However, please note that this webinar is not intended as a review session.

III. Webinar Fee

The fee is Php7,000.00 per person. A transaction fee, as determined by SEC's partner payment channels, will be applied to the total amount. Please note that all payments are non-transferable and non-refundable.

IV. Registration and Payment

Registration Form Link
https://bit.ly/COAPOct2025 

1. Completely fill out and submit the Registration Form in the link. The registration is on a first-come, first-served basis and will be closed once all available slots are filled.
2. Upon successful registration, applicants will receive a Payment Assessment Form (PAF) via email. Payment must be made within ten (10) calendar days from the date of issuance of the PAF, or before the end of the registration period, whichever comes first. Failure to make the payment within the specified timeframe will result in the automatic forfeiture of the reserved webinar slot.
3. The applicant must pay the examination fee online through the [Electronic System for Payment to SEC \(eSPAYSEC\)](#). Payment methods are via debit card, credit card, GCash and Maya. Successfully paid applicants will receive an e-OR through the email address indicated upon payment.
4. Immediately after payment, participants must send a copy of the e-OR through the same email thread on the issuance of the PAF.
5. Once payment is verified, the participant will receive the confirmation, webinar details and materials through email from certification@sec.gov.ph.

Note: Failure to attend the webinar shall mean forfeiture of payment.

The webinar schedule is subject to change in compliance with applicable public declaration of work suspension or non-working holidays that may be in effect within the period covered. Should any of these arise, the concerned participants will be notified accordingly of the new webinar schedule.

For further queries on the foregoing, interested parties are advised to get in touch with the ERTD – Market Professionals Development Division through email address certification@sec.gov.ph, landline 8818-7256 or mobile number (+63) 998-841-3545.

Issued on 19 August 2025 in Makati City, Philippines.