

INFORMATION AND COMMUNICATIONS TECHNOLOGY DEPARTMENT

NOTICE

TO : All **Publicly Listed Companies, Registered Issuers of Securities, and Reporting Companies, Capital Market Intermediaries and Institutions** under the supervision of the Markets and Securities Regulation Department (MSRD); and

All **Registered Issuer of Securities, Investment Companies, and Public Companies** under the supervision of Corporate Governance and Finance Department (CGFD)

SUBJECT : **Submission of Secondary Reports through eFAST**

DATE 5 March 2025

In line with the Ease of Doing Business and Efficient Government Service Delivery Act of 2018 or Republic Act No. 11032, which requires all government agencies to adopt zero-contact policy and to automate business related transactions, and SEC Memorandum Circular No.3, Series of 2021 and SEC Memorandum Circular No. 18, Series of 2023, subject companies are hereby advised that the following reportorial documents under CGFD and MSRD jurisdiction shall be submitted in **pdf format** through the Electronic Filing and Submission Tool (eFAST), <https://efast.sec.gov.ph>, effective **28 March 2025**.

Form Type / Description	Submission Type	Period Covered	Prescribed Format
<i>Publicly Listed Company, Registered Issuer of Securities¹, Investment Company and Public Company²</i>			
SEC_Form_17-A (Annual Report)	Original Filing, Amendment	Fiscal Year	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/issuer-of-securities/#gsc.tab=0
SEC_Form_17-C (Current Report)	Original Filing, Amendment	Date of Report	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/issuer-of-securities/#gsc.tab=0

¹ Registered Issuer is a company that: (1) issues securities to the public that are listed in an Exchange; (2) has sold a class of its securities pursuant to a registration under Section 12 of the Securities Regulation Code

² Public company means any corporation with a class of equity securities listed on an Exchange, or with assets in excess of Fifty Million Pesos (PhP 50,000,000.00) and has two hundred (200) or more holders each holding at least one hundred (100) shares of a class of its equity securities.

Form Type / Description	Submission Type	Period Covered	Prescribed Format
SEC_Form_17-EX (Notice of Suspension of Filing Report under Section 17 of the SRC)	As Needed	Date of Report	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/issuer-of-securities/#gsc.tab=0
SEC_Form_17-L (Notice of Inability to File AR or QR)	As Needed	Period Ended Date of Required Filing	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/issuer-of-securities/#gsc.tab=0
SEC_Form_17-Q (Quarterly Report)	Original Filing, Amendment	For the Quarterly Period Ended	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/issuer-of-securities/#gsc.tab=0
Capital Market Intermediaries³			
SEC_Form_30.1 (Affiliated Transactions of Broker Dealers)	Variable	Date of Report	Pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/broker-dealers-in-securities/#gsc.tab=0
SEC_Form_30.2_QCR (Quarterly Compliance Report)	Quarterly	For the Quarter Ended	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/broker-dealers-in-securities/#gsc.tab=0
SEC_Form_34.11 (Annual Report – Chinese Wall Rules)	Annual	For the Year Ended	pdf
MCR (Monthly Complaint Report)	Monthly	For the Month Ended	pdf
SEC_Form_36-AR (Transfer Agent Annual Report)	Annual	For the Year Ended	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/transfer-agent/#gsc.tab=0
SEC_Form_36-ER (Transfer Agent Exception Report)	Variable	Submission Date (as indicated in the report)	pdf
SEC_Form_36-TA (Registration Form / Amendment Form for Transfer Agents)	Amendment	Submission Date (as indicated in the report)	pdf
SEC_Form_39-AR (Annual Audited Financial Statement)	Annual	For the Year Ended	pdf

³ Capital Market Intermediaries: include Broker-Dealers, Investment Houses, Securities Dealers, Underwriters, Investment Advisers, and REIT Fund Managers, all of whom play key roles in facilitating transactions and ensuring the smooth operation of capital markets.

Form Type / Description	Submission Type	Period Covered	Prescribed Format
SEC_Form_52-AR (Annual Audited Financial Report)	Annual	For the Year Ended	pdf
SEC_Form_ICA_MFD-AR (Annual Report of Investment Company Adviser/Mutual Fund Distributor)	Annual	For the Fiscal/Calendar Year Ended	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/investment-company-adviser/#gsc.tab=0
SEC_Form_ICA_MFD-IA (Report on any change/s in the information contained in the SEC Form ICA-IA for Investment Company Advisers)	Amendment	Submission Date (as indicated in the report)	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/investment-company-adviser/#gsc.tab=0
SEC_Form_ICA_MFD-QR (Quarterly Report of Investment Company Adviser/Mutual Fund Distributor)	Quarterly	For the Quarter Ended	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/investment-company-adviser/#gsc.tab=0
SEC_Form_IH-14_AR (Annual Report of Investment Houses and Underwriter of Securities)	Annual	For the Year Ended	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/investment-houses-underwriters-of-securities/#gsc.tab=0
SEC_Form_IH-14_QPR (Quarterly Progress Report of Investment Houses and Underwriter of Securities)	Quarterly	For the Quarter Ended	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/investment-houses-underwriters-of-securities/#gsc.tab=0
SEC_Form_IHU-IA (Report on any change/s in the information contained in the SEC Form IHU-IA)	Amendment	Submission Date (as indicated in the report)	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/investment-houses-underwriters-of-securities/#gsc.tab=0
WSP (Written Supervisory Procedures)	Annual, Amendment (<i>if there is an amendment</i>)	Submission Date (as indicated in the report)	pdf
SEC_Form-IHU_GSED-CO-AP (Application for Registration of Associated Person/ Compliance Officer of Investment House/Underwriter of Securities and Government	Amendment	Submission Date (as indicated in the report)	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/investment-houses-underwriters-of-securities/#gsc.tab=0

Form Type / Description	Submission Type	Period Covered	Prescribed Format
Securities Eligible Dealers and Amendments thereto)			
SEC_Form-28-BDA (Changes in the Information provided in the application form to the Commission)	Amendment	Submission Date (as indicated in the report)	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/broker-dealers-in-securities/#gsc.tab=0
SEC_Form-28-S_AP_AMD (Changes in the Information provided in the application form to the Commission)	Amendment	Submission Date (as indicated in the report)	pdf https://www.sec.gov.ph/reportorial-requirements/corporations-with-secondary-licenses/broker-dealers-in-securities/#gsc.tab=0
PSE-Shares-Broker_side (Report on Names of Persons Transacting PSE Shares, Annex A)	Variable	Submission Date (as indicated in the report)	pdf
List-DOE (List of Directors, Officers and Employees)	Annual	For the Year Ended	pdf
Sch_Min_Comm (Schedule of Minimum Commission Rates)	Annual	For the Year Ended	pdf
Hiring_Report_on_Traine es (Report on the hiring of trainees)	Variable	Submission Date (as indicated in the report)	pdf
BD-TRP (Training Program)	Annual	For the Year Ended	pdf
SEC_Form_ICA-CO_AMD (Changes in the Information provided in the application form to the Commission)	Amendment	Submission Date (as indicated in the report)	pdf
SEC_Form_ICA-CIS_AMD (Changes in the Information provided in the application form to the Commission)	Amendment	Submission Date (as indicated in the report)	pdf
SEC_Form_REIT_FM-IA (Changes in the Information provided in the application form to the Commission)	Amendment	Submission Date (as indicated in the report)	pdf

The SEC Headquarters, 7907 Makati Avenue
Salcedo Village, Bel-air, Makati City
0728
☎ (+63) 916 240 0785 www.sec.gov.ph |
imessagemo@sec.gov.ph
Direct Line: (+63) 8818 8178

**INVESTORS
IN PEOPLE**
We invest in people



Form Type / Description	Submission Type	Period Covered	Prescribed Format
SEC_Form_REIT_FM_CO (Changes in the Information provided in the application form to the Commission)	Amendment	Submission Date (as indicated in the report)	pdf
Investment Company			
LCP (Liquidity Contingency Plan for Investment Companies)	Regular	Submission Date (as indicated in the report)	pdf https://www.sec.gov.ph/wp-content/uploads/2025/02/2025Forms_LCP-coversheet_24Feb2025_final-1.pdf
SEC_Form_ICA-CDV-MR (Monthly Reports for Corporate Debt Vehicle)	Original Filing, Amendment	Period Covered (as indicated in the report)	pdf https://www.sec.gov.ph/wp-content/uploads/2025/02/2025Forms_SE C-Form-ICA-CDV-MR_24Feb2025_final.pdf
SEC_Form_ICA-CDV-IFS (Interim Financial Statements for Corporate Debt Vehicle)	Original Filing, Amendment	Period Covered (as indicated in the report)	pdf https://www.sec.gov.ph/wp-content/uploads/2025/02/2025Forms_SE C-Form-ICA-CDV-IFS_24Feb2025_final.pdf
SEC_Form_ICA - CDV Report (CDV Report on the Commencement and Termination of Offering Period)	Original Filing, Amendment	Letter Date	pdf https://www.sec.gov.ph/wp-content/uploads/2025/02/2025Forms_SEC-Form-ICA-CDV-Report_24Feb2025_final.pdf

Moreover, please be advised that the email submission of the abovementioned reports through ictdsubmission@sec.gov.ph, msrds submission@sec.gov.ph, cgfd ld@sec.gov.ph or any other SEC email address **will no longer be accepted from the prescribed effectivity date**. For avoidance of doubt, submission of the reports thru the said email addresses on or after the aforementioned effectivity date shall be deemed as **NOT FILED**.

The reckoning date of receipt of reports is the date the report was initially submitted to the eFAST, if the filed report is compliant with the existing requirements. A report which was reverted or rejected is considered not filed or not received. Thus, please be aware of the following common reasons for reports to be reverted:

1. Poor image quality
(e.g. cut and paste signature, blurred, unreadable, and camera scan/picture, high-resolution scan of more than 150 dpi)
2. Horizontal image orientation
3. Wrong company profile
4. Wrong period covered
5. Wrong submission type

Please be guided accordingly.

Thank you.