QUARTERLY PHYSICAL REPORT OF OPERATION
As of 31 March 2025

Department: Department of Finance (DOF)
Agency: Securities and Exchange Commission (SEC)
Organization Code: 11 011 0000000

Particulars	UACS Code	Physical Target (FY 2025)					Physical Accomplishment (FY 2025)					Variance	Remarks
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total		
1	2	3	4	5	6	7	8	9	10	11	12	13	14
SCORE - SRC and RCC Compliance of Regulated Entities													
1) Average Compliance rate of regulated entities increased						**75.78%**	**-**						***Year-end Target*** **A. Broker Dealer-100%** **B. SROs-100%** **C. PLCs (MSRD)-100%** **PLCs (CGFD)-80%** **D. External Auditors-75%** **E. Asset Valuer/Credit Rating Agencies-75%** **F. Investment Companies-92%** **G. Ordinary Corporations (CRMD)-20%** **Ordinary Corporations (EOs)-40%**
2) Percentage of retail participation in the capital market/various investment products increased						**1.52%**	**-**						***Year-end Target*** **A. Equity-4.25%** **B. Bonds-1.11%** **C. REIT-0.40%** **D. Crowdfunding-0.30%**
Output Indicators													
1) Percentage of regulated entities monitored													
A.Credit Rating Agencies/ Property Valuers		**100.00%**	**100.00%**	**100.00%**	**100.00%**	**100.00%**	**100.00%**				**100.00%**	**0.00%**	**Q1 = 25 of 25**
B. Ordinary Corporations													
CRMD		**7.50%**	**7.50%**	**7.50%**	**7.50%**	**30.0%**	**16.84%**				**16.84%**	**9.34%**	**Q1 = 8,029 of 47,669**
Extension Offices (Bacolod, Baguio, Butuan, Cagayan de Oro, Cebu, Davao, Iloilo, Legazpi, Tacloban, Tarlac, Zamboanga)		**7.50%**	**7.50%**	**7.50%**	**7.50%**	**30.0%**	**34.53%**				**34.53%**	**27.03%**	**Q1 = 12,315 of 35,667**
C. Investment Companies/ Funds (Audit)		**100.00%**	**100.00%**	**100.00%**	**100.00%**	**100.00%**	**100.00%**				**100.00%**	**0.00%**	**Q1 = 79 of 79**
D. Proprietary/ Non-Proprietary Securities Issuers		**100.00%**	**100.00%**	**100.00%**	**100.00%**	**100.00%**	**100.00%**				**100.00%**	**0.00%**	**Q1 = 96 of 96**
E. PLCs		**100.00%**	**100.00%**	**100.00%**	**100.00%**	**100.00%**	**89.95%**					**-10.05%**	Company assignment transitions and staff reassignment reduced capacity. Monitoring efforts have been adjusted and will be intensified next quarter to meet and recover the target. **Q1 = 358 of 398**

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GEARING UP! – The Enforcement and Investor Protection Program													
Outcome Indicator													
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						**60%**	**-**	**-**	**-**		**-**		***Year-end Target***
Output Indicator													
1) Percentage of tips, referrals and complaints acted upon (i.e. acknowledged, verified, referred) within prescribed time		**60.00%**	**60.00%**	**60.00%**	**60.00%**	**60.00%**	**100%**					**40.00%**	**Q1 = 508 of 508**
SEC CAN! – Communication, Advocacy and Network													
Outcome Indicator													
1) Equity market capitalization relative to GDP (%) increased						**69.02%**	**-**	**-**	**-**		**-**		***Year-end Target***
2) Size of local currency bond market in % of GDP increased						**49.09%**	**-**	**-**	**-**		**-**		***Year-end Target***
Output Indicator													
1) Number of investment promotion advocacy campaigns conducted		**73**	**73**	**73**	**73**	**292**	**205**				**205**	**132**	Investment promotion advocacy campaigns are composed of the ff: ● Seminars/webinars - **Q1 =** 94 **● Media Engagement -** **Q1 =** 111

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