

QUARTERLY PHYSICAL REPORT OF OPERATION
As of 30 September 2025

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

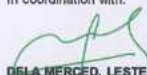
Particulars 1	UACS Code 2	1st Quarter 3	2nd Quarter 4	Physical Target (FY 2025) 3rd Quarter 54th Quarter 6		Total 7	1st Quarter 8	Physical Accomplishment (FY 2025) 2nd Quarter 93rd Quarter 104th Quarter 11			Total 12	Variance 13	Remarks 14
SCORE - SRC and RCC Compliance of Regulated Entities													
1) Average Compliance rate of regulated entities increased						75.78%	-	-	-				Year-end Target
2) Percentage of retail participation in the capital market/various investment products increased						1.52%	-	-	-				Year-end Target
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%	100.00%		100.00%	0.00%	Q1 = 25 of 25 Q2 = 23 of 23 Q3 = 6 of 6
B. Ordinary Corporations													
CRMD		7.50%	7.50%	7.50%	7.50%	30.0%	16.84%	15.02%	43.48%		18.84%	-11.16%	Q1 = 8,029 of 47,669 Q2 = 7,161 of 47,669 Q3 = 20,725 of 47,669 Total = 35,915 of 190,675
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%	30.36%	26.32%		22.85%	-7.15%	Q1 = 12,315 of 35,667 Q2 = 10,894 of 35,879 Q3 = 9,326 of 35,427 Total = 32,535 of 142,401
C. Investment Companies/ Funds (Audit)		100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%		100.00%	0.00%	Q1 = 79 of 79 Q2 = 79 of 79 Q3 = 79 of 79
D. Proprietary/ Non-Proprietary Securities Issuers		100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%		100.00%	0.00%	Q1 = 96 of 96 Q2 = 96 of 96 Q3 = 95 of 95
E. PLCs		100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%	100.00%		100.00%	0.00%	Q1 = 283 of 283 Q2 = 283 of 283 Q3 = 283 of 283
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%	100%	100%		100.00%	40.00%	Q1 = 508 of 508 Q2 = 656 of 656 Q3 = 1,160 of 1,160

SEC CANI – 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	242	248		695	132
												Investment promotion advocacy campaigns are composed of the ff: • Seminars/webinars - Q1 = 94 Q2 = 98 Q3 = 118 • Media Engagement - Q1 = 111 Q2 = 144 Q3 = 130

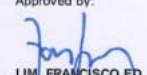
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