

NOTICE

Subject: SEC CERTIFICATION WEBINARS SCHEDULES AND REGISTRATION PROCEDURE

The Commission announces the conduct of SEC Certification Webinars for Prospective Capital Market Professionals and its registration procedure.

These webinars are primarily intended for individuals who will be taking the corresponding certification examinations, which are part of the requirements for registration as a capital market professional. However, the general public is also welcome to attend.

All interested parties are advised to take the time to read, understand, and follow the registration procedure accordingly:

1. Webinar Schedule

Certification Webinar	Schedule	Registration Period
Phase 1 of the SEC Certification Examinations	19-20 February 2026	16 January to 6 February 2026
Equity Securities Salesmen (ESS)	5-6 March 2026	16 January to 20 February 2026
Compliance Officers/Associated Person (CO/AP) for Broker Dealers in the Equities Market	12-13 March 2026	16 January to 27 February 2026

The two-day webinar will be conducted via Zoom. Each topic discussion will be followed by a dedicated Question-and-Answer session with the Resource Person.

2. Webinar Topics

Phase 1
Technical Foundation - Module 1: Fundamentals of Securities - Module 2: Economic Principles and Market Theories - Module 3: Risk Management Regulation - Module 4: Fundamentals of Securities Regulation - Module 5: Corporate Governance - Module 6: Anti-Money Laundering
ESS
- Manipulative Devices and Schemes; Fraudulent and other Prohibited Practices - Securities Regulation Code Rules on Business Conduct - Books and Records Rule - Capital Markets Integrity Corporation Rules - Risk-Based Capital Adequacy Rules - Philippine Stock Exchange Trading Rules - Philippine Depository & Trust Corporation Rules - Securities Clearing and Corporation of the Philippines Rules

CO/AP for BDs in the Equities Market
• Manipulative Devices and Schemes; Fraudulent and other Prohibited Practices • Securities Regulation Code 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

3. Mode of Conduct

The SEC Certification Webinars shall be conducted online via the Zoom platform. Access details shall be provided to duly registered participants prior to the scheduled webinar.

4. Webinar Attendance Requirement

Certification Webinar	Attendance Requirement
Phase 1 of the SEC Certification Examinations	Recommended
Equity Securities Salesmen (ESS)	Mandatory for Phase 2 7B ESS examination applicants
Compliance Officers/Associated Person (CO/AP) for Broker Dealers in the Equities Market	Mandatory for Phase 2 7D CO/AP examination applicants

Phase 1 examination passers who intend to take the Phase 2 examination for ESS and/or CO/AP are advised to attend the corresponding webinar.

5. Webinar Fee

The webinar fee is PhP7,000.00 per person, per schedule, which includes access to the resource persons' materials.

A transaction fee, determined by the SEC's partner payment channels, will be applied to the total fee. Please note that all payments are non-transferable and non-refundable.

6. Registration and Payment Procedure

Platform: [iMessage](#)

- 6.1** Access iMessage. Access iMessage at imessage.sec.gov.ph using a registered Electronic SEC Universal Registration Environment (eSECURE) account. If no account exists, create an account first through esecure.sec.gov.ph.

Note: Completion of the eSECURE Credentialing process is not required to access the iMessage.

- 6.2** Submit the Application Ticket. Once logged in, search the "Registration for the SEC Certification Webinar for Prospective Capital Market Professionals". Complete all required fields and review the information provided before submitting the application ticket.
- 6.3** Receive Payment Instructions. Applicant will receive a response through the same ticket containing instructions for payment. Applicant will also receive a copy of the response through their registered email address.
- 6.4** Make a Payment. Pay the corresponding fee through the Electronic System for Payment to SEC (ePAYSEC) at espaysec.sec.gov.ph. After successful payment, submit a copy of the electronic official receipt (e-OR), which is automatically sent to the registered email address provided upon payment, to the existing ticket for confirmation of the schedule.

- 6.5 Receive Schedule Confirmation.** Once e-OR has been successful submitted and verified by the SEC, the applicant will receive a confirmation indicating the schedule. A copy of the confirmation will also be sent to the registered email address.

7. Rescheduling and Non-Attendance

- Requests for rescheduling, regardless of cause or reason, will not be granted.
- Non-attendance on the scheduled webinar dates will result in forfeiture of the webinar fee.

The webinar schedules are subject to change in compliance with applicable public declaration of work suspension or non-working holidays that may be in force 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 (MPDD) through the following:

- Email: mpdd-ertd@sec.gov.ph
- Landline: (+63) 2-8818-7256
- Mobile: (+63) 998-841-3545

Issued on 16 January 2026 in Makati City, Philippines.