

NOTICE

Subject: SEC CERTIFICATION WEBINAR 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

Application Platform: [iMessage](mailto:imessage@sec.gov.ph) (imessage.sec.gov.ph)

Certification Webinar	Schedule	Registration Period
Phase 1 of the SEC Certification Examinations	12-13 August 2026; 8:00 AM to 5:00 PM	25 June to 31 July 2026
Equity Securities Salesmen (ESS)	16-17 September 2026; 8:00 AM to 5:00 PM	25 June to 4 September 2026
Associated Persons/Compliance Officers (AP/CO) for Broker Dealer	14-15 October 2026; 8:00 AM to 5:00 PM	25 June to 2 October 2026

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 Corporation of the Philippines Rules
AP/CO
- 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. Each topic discussion will be followed by a dedicated Question-and-Answer session with the Resource Person.

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
Associated Persons/Compliance Officers (AP/CO) for Broker Dealer	Mandatory for Phase 2 7D AP/CO examination applicants

Phase 1 examination passers who intend to take the Phase 2 examination for ESS and/or AP/CO 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

- 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 Ticket. Once logged in, search for "Registration for the SEC Certification Webinar for Prospective Capital Market Professionals" in the service box. Complete all required fields and review the information provided before submitting the ticket.
- 6.3 Receive Payment Instructions. The registrant will receive a response through the same iMessage ticket containing payment instructions.
- 6.4 Make the Payment. Pay the corresponding fee through the Electronic System for Payment to SEC (eSPAYSEC) 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 iMessage ticket for confirmation.
- 6.5 Receive Schedule Confirmation. Once the registrant has successfully submitted the e-OR and the SEC has verified it, the registrant will receive a confirmation indicating the schedule.

Access to the SEC Body of Knowledge (SEC BOOK) for Phase 1 shall be granted to the registered email address of Phase 1 webinar participant.

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.

Examination slots per session and schedule are subject to change in accordance with any applicable public declaration of work suspension or non-working holidays that may take effect during the examination date. Should such circumstances arise, the affected examinees will be notified with instructions to reschedule their examination at no additional cost.

For any further queries regarding the foregoing, interested parties are advised to contact the Economic Research and Training Department–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 25 June 2026 in Makati City, Philippines.