

FY 2019 FINANCIAL PLAN
(In Thousand Pesos)

BED No. 1

Department: Department of Finance (DOF)
Agency: Securities and Exchange Commission
Operating Unit: N/A
Organization Code (LIACS): 110110000000
Report Status: SUBMITTED

Particulars	UACS CODE	Current Year's Obligation			Budget Year Obligation Program										
		Actual Jan.1- Sept.30	Estimate Oct.1- Dec.31	Total	Total	COMPREHENSIVE RELEASE					FOR LATER RELEASE(Negative List)				
						Q1	Q2	Q3	Q4	Sub Total	Q1	Q2	Q3	Q4	Sub Total
1	2	3	4	5= 3+4	6= 11+16	7	8	9	10	11= 7+8+9+10	12	13	14	15	16= 12+13+ 14+15
III. Special Purpose Fund		2,188	276	2,464											
Pension and Gratuity Fund	101407	2,188	276	2,464											
Pension and Gratuity Fund	4008000000000000	2,188	276	2,464											
For payment of retirement and terminal leave benefits	400800000002000	2,188	276	2,464											
PS		2,188	276	2,464											
IV. Others		490,556	163,901	654,457											
Retirement and Life Insurance Premiums	104102	23,348	7,783	31,131											
General Administration and Support	1000000000000000	9,748	3,249	12,997											
PS		9,748	3,249	12,997											
Development, maintenance and administration of information systems, databases and website	200000100001000	767	256	1,023											
PS		767	256	1,023											
Registration/licensing of corporations, capital market participants, securities and investment instruments	310200100001000	9,753	3,251	13,004											
PS		9,753	3,251	13,004											
Imposition of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	310200100003000	3,080	1,027	4,107											
PS		3,080	1,027	4,107											
Specific Budgets of National Government Agencies	101101	467,208	156,118	623,326											
General Administration and Support	1000000000000000	255,392	85,512	340,904											

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1	2	3	4	5= 3+4	6= 11+16	7	8	9	10	11= 7+8+9+10	12	13	14	15	16= 12+13+ 14+15	
PS		98,041	33,062	131,103												
MOOE		157,351	52,450	209,801												
Development, maintenance and administration of information systems, databases and website	200000100001000	21,289	7,096	28,385												
PS		9,066	3,022	12,088												
MOOE		12,223	4,074	16,297												
Registration/licensing of corporations, capital market participants, securities and investment instruments	310200100001000	132,655	44,219	176,874												
PS		114,593	38,198	152,791												
MOOE		18,062	6,021	24,083												
Formulation of policies, plans and programs for capital market	310100100001000	18,164	6,055	24,219												
MOOE		18,164	6,055	24,219												
Conduct of public seminars and related activities for investment-promotion and investor protection	200000100002000	4,836	1,612	6,448												
MOOE		4,836	1,612	6,448												
Provision of technical assistance and inter-agency activities	310100100002000	569	190	759												
MOOE		569	190	759												
Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities	310200100002000	252	84	336												
MOOE		252	84	336												
Imposition of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	310200100003000	33,318	11,106	44,424												
PS		29,877	9,959	39,836												
MOOE		3,441	1,147	4,588												
Planning and research services	200000100003000	666	222	888												
MOOE		666	222	888												
Rendering of opinions and interpretative issuances	310100100003000	67	22	89												
MOOE		67	22	89												

Prepared By:


Dela Merced, Lester V.

Financial Services Head / Budget Officer

Date: 15/Nov/2018

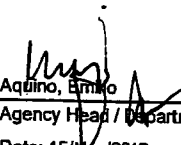
In coordination with:


Espiritu, Rose Ann

Planning Services Head / Planning Officer

Date: 15/Nov/2018

Approved By:


Aquino, Emilio

Agency Head / Department Secretary

Date: 15/Nov/2018

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FY 2019 FINANCIAL PLAN
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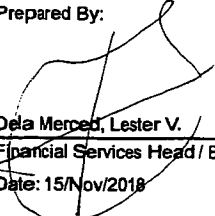
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						Q1	Q2	Q3	Q4	Sub Total	Q1	Q2	Q3	Q4	Sub Total	
1	2	3	4	5= 3+4	6= 11+16	7	8	9	10	11= 7+8+9+10	12	13	14	15	16= 12+13+ 14+15	
Part A					651,434	154,594	169,531	154,564	169,202	647,911	144	546			2,833	3,523
Specific Budgets of National Government Agencies	101101				618,427	146,342	161,280	146,332	160,950	614,904	144	546			2,833	3,523
General Administration and Support	1000000000000000				335,723	80,162	86,003	80,159	85,876	332,200	144	546			2,833	3,523
General management and supervision	100000100001000				332,200	80,162	86,003	80,159	85,876	332,200						
PS					139,462	31,978	37,818	31,975	37,691	139,462						
MOOE					192,738	48,184	48,185	48,184	48,185	192,738						
Administration of Personnel Benefits	100000100002000				3,523						144	546			2,833	3,523
PS					3,523						144	546			2,833	3,523
Support to Operations	2000000000000000				34,204	8,252	8,858	8,251	8,843	34,204						
Development, maintenance and administration of information systems, databases and website	200000100001000				28,625	6,858	7,462	6,857	7,448	28,625						
PS					14,437	3,311	3,915	3,310	3,901	14,437						
MOOE					14,188	3,547	3,547	3,547	3,547	14,188						
Conduct of public seminars and related activities for investment-promotion and investor protection	200000100002000				4,358	1,089	1,090	1,089	1,090	4,358						
MOOE					4,358	1,089	1,090	1,089	1,090	4,358						
Planning and research services	200000100003000				1,221	305	306	305	305	1,221						
MOOE					1,221	305	306	305	305	1,221						
Operations	3000000000000000				248,500	57,928	66,419	57,922	66,231	248,500						

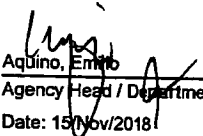
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1	2	3	4	5= 3+4	6= 11+16	7	8	9	10	11= 7+8+9+10	12	13	14	15	16= 12+13+ 14+15
OO : Corporate and Capital Market Infrastructure strengthened	3100000000000000				248,500	57,928	66,419	57,922	66,231	248,500					
CORPORATE AND CAPITAL MARKET DEVELOPMENT PROGRAM	3101000000000000				24,482	6,121	6,121	6,121	6,119	24,482					
Formulation of policies, plans and programs for capital market	310100100001000				23,143	5,786	5,786	5,786	5,785	23,143					
MOOE					23,143	5,786	5,786	5,786	5,785	23,143					
Provision of technical assistance and inter-agency activities	310100100002000				975	244	244	244	243	975					
MOOE					975	244	244	244	243	975					
Rendering of opinions and interpretative issuances	310100100003000				364	91	91	91	91	364					
MOOE					364	91	91	91	91	364					
CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM	3102000000000000				224,018	51,807	60,298	51,801	60,112	224,018					
Registration/licensing of corporations, capital market participants, securities and investment instruments	310200100001000				168,138	38,887	45,253	38,884	45,114	168,138					
PS					152,018	34,857	41,223	34,854	41,084	152,018					
MOOE					16,120	4,030	4,030	4,030	4,030	16,120					
Conduct of audits, inspection, verification and/or examination of operations/activities, including the corporate reports, financial records, and disclosures by regulated entities	310200100002000				1,267	317	317	317	316	1,267					
MOOE					1,267	317	317	317	316	1,267					

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1	2	3	4	5= 3+4	6= 11+16	7	8	9	10	11= 7+8+9+10	12	13	14	15	16= 12+13+ 14+15
Imposition of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	310200100003000				54,613	12,603	14,728	12,600	14,682	54,613					
PS					50,780	11,645	13,770	11,642	13,723	50,780					
MOOE					3,833	958	958	958	959	3,833					
Retirement and Life Insurance Premiums	104102				33,007	8,252	8,251	8,252	8,252	33,007					
General Administration and Support	1000000000000000				13,028	3,257	3,257	3,257	3,257	13,028					
General management and supervision	100000100001000				13,028	3,257	3,257	3,257	3,257	13,028					
PS					13,028	3,257	3,257	3,257	3,257	13,028					
Support to Operations	2000000000000000				1,326	331	331	332	332	1,326					
Development, maintenance and administration of information systems, databases and website	200000100001000				1,326	331	331	332	332	1,326					
PS					1,326	331	331	332	332	1,326					
Operations	3000000000000000				18,653	4,664	4,663	4,663	4,663	18,653					
OO : Corporate and Capital Market Infrastructure strengthened	3100000000000000				18,653	4,664	4,663	4,663	4,663	18,653					
CORPORATE AND CAPITAL MARKET REGULATORY PROGRAM	3102000000000000				18,653	4,664	4,663	4,663	4,663	18,653					
Registration/licensing of corporations, capital market participants, securities and investment instruments	310200100001000				14,020	3,505	3,505	3,505	3,505	14,020					
PS					14,020	3,505	3,505	3,505	3,505	14,020					

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Imposition of enforcement actions against errant entities subjected to compliance-monitoring and investigative activities	310200100003000				4,633	1,159	1,158	1,158	1,158	4,633					
PS					4,633	1,159	1,158	1,158	1,158	4,633					

Prepared By:

 Dela Merced, Lester V.
 Financial Services Head / Budget Officer
 Date: 15/Nov/2018

In coordination with:

 Espiritu, Rose Ann
 Planning Services Head / Planning Officer
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