

FY 2020 PHYSICAL TARGETS

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

Particulars	UACS Code	Physical Target (Budget Year)				
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total
1	2	3	4	5	6	7
<b>SCORE - SRC and RCC Compliance of Regulated Entities</b>						
<b>Outcome Indicators</b>						
1) Average Compliance rate of regulated entities increased						68%
2) Percentage of retail participation in the capital market/various investment products increased						1%
<b>Output Indicators</b>						
1) Percentage of regulated entities monitored						
A.Credit Rating Agencies/ Property Valuers		100%	100%	100%	100%	100%
B. External Auditors/Audit Firms		20%	20%	20%	20%	20%
C. Ordinary Corporations						
CRMD		20%	20%	20%	20%	20%
BEO, CDOEO, CEO, DEO		25%	25%	25%	25%	25%
BacEO, IEO, TEO		50%	50%	50%	50%	50%
LEO, ZEO		50%	50%	50%	50%	50%
D. Investment Companies/ Funds (Audit)		29%	29%	29%	29%	29%
E. Proprietary/ Non-Proprietary Securities Issuers		74%	74%	74%	74%	74%

Particulars	UACS Code	Physical Target (Budget Year)				
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<b>GEARING UP! – The Enforcement and Investor Protection Program</b>						
<b>Outcome Indicator</b>						
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						<b>80%</b>
<b>Output Indicator</b>						
1) Percentage of tips, referrals and complaints acted upon (i.e. acknowledged, verified, referred) within prescribed time		80%	80%	80%	80%	<b>80%</b>
<b>SEC CAN! – Communication, Advocacy and Network</b>						
<b>Outcome Indicator</b>						
1) Equity market capitalization relative to GDP (%) increased						<b>69.9%</b>
2) Size of local currency bond market in % of GDP increased						<b>37.83%</b>
<b>Output Indicator</b>						
1) Number of investment promotion advocacy campaigns conducted		<b>57</b>	<b>57</b>	<b>57</b>	<b>57</b>	<b>228</b>
OCS/ERTD/EIPD/CRMD/C GFD		3	3	3	3	12
EOs		54	54	54	54	216