



CORPORATE GOVERNANCE AND FINANCE DEPARTMENT

NOTICE

TO : INVESTMENT COMPANIES, REGISTERED ISSUERS OF PROPRIETARY AND NON-PROPRIETARY SHARES/TIMESHARES, PUBLIC COMPANIES, FINANCING COMPANIES, LENDING COMPANIES, FOUNDATIONS, ACCREDITED MICROFINANCE NGOs, CORPORATE GOVERNANCE INSTITUTIONAL TRAINING PROVIDERS AND PUBLICLY-LISTED COMPANIES UNDER THE SUPERVISION OF THE CORPORATE GOVERNANCE AND FINANCE DEPARTMENT (CGFD)

**SUBJECT : 1. RECEIVING AND FILING OF REPORTS, LETTERS AND REQUESTS
2. ISSUANCE OF PAYMENT ASSESSMENT FORM
3. PAYMENT OF ANNUAL FEES
4. REQUEST FOR MONITORING AND ISSUANCE OF MONITORING SHEET
5. SUBMISSION OF HARD/ PRINTED COPIES OF DOCUMENTS**

DATE : 08 JUNE 2020

In view of the declaration of General Community Quarantine in Metro Manila starting 01 June 2020, the subject companies are hereby advised of the following:

1. RECEIVING AND FILING OF REPORTS, LETTERS AND REQUESTS

The CGFD Office in PICC Complex, Pasay City is now open from Monday to Friday (8:00 AM to 3:00PM), to receive hard copies of Information Statement (SEC Form 20-IS), Registration Statement (SEC Form 12-1), Registration under Section 7 of the Investment Company Act (ICA-7-1) and Tender Offer Report (SEC Form 19-1); requests for exemption and Exemptive Relief under the Securities Regulation Code; and applications for voluntary revocation.

2. ISSUANCE OF PAYMENT ASSESSMENT FORM FOR THE PAYMENT OF PROCESSING/FILING FEE, ANNUAL FEES, AND PENALTIES

CGFD-covered companies may request for, and be issued, electronic copies of the PAF by sending a request therefor via email to cgfd@sec.gov.ph.

3. PAYMENT OF ANNUAL FEES

Lending and Financing Companies with Annual Fees that fell due during the Enhanced Community Quarantine (ECQ) on *16 March 2020 up to 15 June 2020* are now required to settle and pay their Annual Fees **starting 15 June 2020 until 28 June 2020.**

4. REQUEST FOR MONITORING AND ISSUANCE OF MONITORING SHEET

Requests for monitoring of the following companies shall be sent via email (cgfd_md@sec.gov.ph):

- Lending Companies
- Financing Companies
- Foundations
- Accredited Microfinance NGOs

The list of documentary requirements and procedures are provided in the links provided below:

- For Lending Companies and Financing Companies
<http://www.sec.gov.ph/lending-companies-and-financing-companies/request-for-monitoring/>
- For Foundations and Accredited Microfinance NGOs
<http://www.sec.gov.ph/microfinance-ngo-regulatory-council/request-for-monitoring/>

5. SUBMISSION OF HARD/PRINTED COPIES OF DOCUMENTS

a. PREVIOUSLY FILED VIA EMAIL

The hard copies of reports, letters and requests previously filed via email since the commencement of the ECQ on *16 March 2020 up to 05 June 2020* are now required to be filed within ten (10) business days from **08 June 2020, or until 23 June 2020** via SEC Express Nationwide Submission (SENS) through any courier or registered mail.

b. NEW SUBMISSION

The hard copies of reports, letters, requests and other documents shall be filed via SENS through any courier or registered mail, provided that an advance copy of the submitted document is sent via email (cgfd@sec.gov.ph) starting **June 8, 2020 and thereafter.**

All inquiries pertaining to CGFD matters and application/s shall be sent via email (cgfd@sec.gov.ph). The CGFD may also be reached at telephone numbers (+632) 8818-5476 and 8818-5952.

Please be guided accordingly.