

HOW TO FILL OUT THE APPLICATION FORM

1. All fields with asterisk* are required information. Fill out the form using CAPITAL LETTERS.
2. Upload the required ID pictures and e-signatures on the first and second page of the form.

Sample ID photo

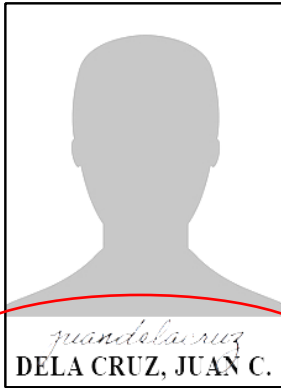


Photo specification requirements:

- Name tag and signature
- Size is 1 1/2" x 2" (passport size)
- Corporate attire (no wearing of sleeveless)
- Colored with white background
- Taken within the last 6 months
- In full-face view directly facing the camera
- Photos on the first and second pages must be identical

The use of ID picture taken using ID photo maker apps on smartphones is accepted.

3. Once all the required fields and pictures are complete, save the file in PDF with the applicant's COMPLETE NAME as the filename.
4. Send the duly accomplished application form, together with a scanned copy of one valid identification (ID) card (see list below) to certification@sec.gov.ph in advance with the following details:

Subject line of email: [Examination applying for] Exam Application: Complete Name

Example: Phase 2 7A CIS Exam Application: Juan C. Dela Cruz

Body/Content:

- Complete name of applicant
- Preferred examination dates (applicants must be available on the indicated dates)
- Examination applied for
- Contact numbers of applicant
- If the application is company-sponsored, indicate the payor and address that should reflect in the official receipt (OR).
- If the payment is in manager's check, indicate the company name and address that should reflect in the OR.

List of acceptable Philippine-issued identification (ID) cards:

- | | | | |
|--------------------------------------|----------------------|---------------------------|---|
| • Philippine Identification (PhilID) | • Comelec Voter's ID | • NBI Clearance | • CSC Eligibility Card |
| • SSS ID | • BIR/Taxpayer's ID | • Latest Passport | • Alien Certificate of Registration Identity Card |
| • UMID | • Philhealth ID | • Latest Driver's License | • Company/Office ID |
| • PRC License | • Postal ID | • Police Clearance | • Latest School ID |
| • PWD ID | • Barangay ID | • Solo Parent ID | |

Note:

- It is advisable to submit the application requirements as early as possible as there are instances that the examination slots are filling out fast.
- To prevent any delay, applicants should ensure that they are available on their preferred schedules and that all required information, ID photos and valid ID are correct and complete prior to submission of the application.
- Applicants for the Phase 2 examinations must have already passed the Phase 1 examination.
- Phase 2 applicants applying for more than one examination must submit their application requirements separately.
- Applicants must not have a pending examination result upon application.

For provincial examination applicants:

- Include the location in the subject email.
- Disregard the preferred dates and indicate the announced schedule instead.

[Click on this link for the application procedure and payment options](#)



Economic Research and Training Department

SEC CERTIFICATION PROGRAMS
CERTIFICATION EXAMINATION – PHASE 2

Application Form
 (version 2022)

PASTE YOUR PHOTO HERE
 Photo Specifications:

- Name tag with signature
- Size is 1 ½" x 2" (passport size)
- Corporate attire (no wearing of sleeveless)
- Colored with white background
- Taken within the last 6 months
- In full-face view directly facing the camera
- Photos on the first and second pages must be identical

Juan Dela Cruz
DELA CRUZ, JUAN C.

Note: All fields with asterisk * are required information. ONLY duly accomplished registration forms will be processed.

*Retake? (Y/N)	*Date of last exam (MM-DD-YEAR)
*Date passed Phase 1 Exam (MM-DD-YEAR)	
For SEC-ERTD Processor Only Verified by: _____ Initial: _____	

*Preferred Exam Date/s: (Please specify the dates according to priority. Only one date will be approved, subject to availability of schedule and slots.)	1.
	2.
	3.
	4.
For SEC-ERTD Processor Only Approved Exam Date:	Time: _____

***Certification Program applied for:**

PH 2 7A-Certified Investment Solicitors (CIS)
 PH 2 7B-Equities Securities Salesmen (ESS)
 PH 2 7C-Fixed Income Market Salesmen (FIMS)
 PH 2 7D-Compliance Officers/Associated Persons (CO/AP)
 PH 2 7E-Proprietary and Non-Proprietary Securities Salesmen (PNPSS)

For Phase 2 7B-ESS and Phase 2 7D-CO/AP applicants only
***Date attended Phase 2 Seminar** _____

For SEC-ERTD Processor Only
 Verified by: _____ Initial: _____

***1. APPLICANT'S NAME**

Last Name

Given Name

Middle Name

***2. COMPLETE RESIDENCE ADDRESS** (Indicate House/Bldg./Lot/Unit No., Street, Barangay, City)

*3. BIRTHDATE (MM-DD-YEAR) _____	*4. SEX _____	*5. EMAIL ADDRESS _____
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*6. MOBILE NUMBER _____	7. TELEPHONE NUMBER _____
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8. NAME OF EMPLOYER FIRM

9. EMPLOYER'S MAIN ADDRESS

***10.** I swear and affirm that I have read and understood the [provisions of the] Examination Guidelines as well as the items and instructions in this form. I further attest to the veracity and truthfulness of the information I have provided herein to the best of my knowledge and that I may be subject to administrative, civil, or criminal sanctions and penalties if I give false or misleading information herein. I also consent to the processing of the personal data I provided in the application form in the manner set forth herein. In the event I passed the certification examination, I am allowing the SEC to publish my name for the information of the public.

 MONTH/DAY/YEAR

 SIGNATURE OF APPLICANT

APPLICATION RECEIPT

***TO BE ACCOMPLISHED BY THE APPLICANT:**

Printed Name: _____

Signature: _____

PASTE YOUR PHOTO HERE

Photo Specifications:

- Name tag with signature
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Juan De la Cruz
DELA CRUZ, JUAN C.

FOR SEC-ERTD PROCESSOR USE ONLY.

Received the application for **CERTIFICATION EXAMINATION – PHASE 2** _____ to be held on:

DATE: _____

TIME: _____

VENUE: _____

Application processed by:

NAME & SIGNATURE OF ERTD PROCESSOR: _____

DATE: _____

Examination Proctor:

NAME & SIGNATURE OF PROCTOR: _____

DATE: _____

THINGS TO BRING ON EXAMINATION DAY:

1. One (1) original valid ID card (see List of acceptable Philippine-issued cards).
NO ID, NO EXAM. Examinee will be considered absent and examination payment will be forfeited if the examinee cannot present a valid ID card.
2. Proof of payment (hard copy or electronic copy);
3. This Application Receipt (hard copy or electronic copy);
4. One (1) blue or black ballpoint pen;
5. One (1) pencil (any type); and
6. One (1) ordinary calculator (scientific/financial/programmable calculators are not allowed).

Examinees must also comply with the other requirements indicated in the SEC Guidelines on the Health and Safety Protocols to be Observed in the Conduct of the SEC Certification Examinations During the COVID-19 Pandemic.

Note:

- Please be at the examination venue at least 15 minutes prior for the Head Office exam and 30 minutes for provincial.
- Attire is smart casual (sleeveless shirt, shorts/short pants and slippers are not allowed). Examinees are advised to bring a blazer, cardigan or jacket as some may find the examination room quite cold.
- The time limit for the Phase 2 examination is 2 hours.
- Examinees will be provided with one scratch paper.
- Only bottled water, tissue paper, eyeglasses, candy, medicine/liniment are allowed on the examination desk. The rest are prohibited.
- Non-appearance on the day of examination would mean forfeiture of examination payment.

WARNING: Any of the following constitutes an examination offense and will result in the permanent disqualification from taking any SEC examinations in the future and/or criminal prosecution:

1. Impersonating an examinee;
2. Consulting or having access to or in possession of unauthorized materials such as books, electronic devices, "codigo" and notes during the examination;
3. Aiding or attempting to aid another examinee or any other person during the examination;
4. Obtaining or attempting to obtain aid from another examinee or any other person during the examination;
5. Attempting to read the answer/s of another examinee;
6. Unruly behaviour or causing disturbance during an examination; and
7. Any deed (verbal or physical) deemed inappropriate or considered to be an examination offense by the proctor.

IMPORTANT!

◆ Results of examinations are final. Requests for rechecking, if any, shall not be entertained.

◆ The Commission reserves the right to postpone or suspend an examination in case of natural calamities and/or other justifiable causes.