


QUARTERLY PHYSICAL REPORT OF OPERATION
As of 30 September 2024

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


Particulars	UACS Code	Physical Target (FY 2024)					Physical Accomplishment (FY 2024)					Variance	Remarks
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter	Total		
1	2	3	4	5	6	7	8	9	10	11	12	13	14
SCORE - SRC and RCC													
Outcome Indicators													
1) Average Compliance rate of regulated entities increased						94.29%	-	-	-		-	-	Year-end target.
2) Percentage of retail participation in the capital market/ various investment products increased						1.36%	-	-	-		-	-	Year-end target.
Output Indicators													
1) Percentage of regulated entities monitored													
A. Credit Rating Agencies/ Property Valuers		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%	Q1 = 23 of 23 Q2 = 25 of 25 Q3 = 12 of 12
B. External Auditors/Audit Firms		70%	70%	70%	70%	70%	-	-	-		-	-	Note: EAs are no longer monitored per Supreme Court Decision on accreditation; Shifted to AFS monitoring of Top 1000 Corporations and regulated entities
C. Ordinary Corporations													
CRMD		7.5%	7.5%	7.5%	7.5%	30%	35.12%	15.32%	37.57%		29.16%	30.07%	Q1 = 17,364/50,211 Q2 = 7,693/50,211 Q3 = 18,863/50,211
Extension Offices (Bacolod, Baguio, Cagayan de Oro, Cebu, Davao, Iloilo, Legazpi, Tacloban, Tarlac, Zamboanga)		7.5%	7.5%	7.5%	7.5%	30%	20.57%	27.52%	37.34%		28.45%	29.84%	Q1 = 9,838/47,832 Q2 = 13,010/47,274 Q3 = 17,652/47,274

D. Investment Companies/ Funds (Audit)		65%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%	Q1 = 78/78 Q2 = 78/78 Q3 = 78/78
E. Proprietary/ Non-Proprietary Securities Issuers		100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%	Q1 = 96/96 Q2 = 96/96 Q3 = 96/96
F. PLCs		100%	100%	100%	100%	100%	211%	115%	210.43%		100%	110.43%	Q1 = 243/115 Q2 = 132/115 Q3 = 242/115
GEARING UP! – The Enforcement Outcome Indicator													
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						50%	-	-	-			-	Year-end target.
Output Indicator													
1) Percentage of tips, referrals and complaints acted upon (i.e. acknowledged, verified, referred) within prescribed time		50%	50%	50%	50%	50%	100%	100%	100%		100%	50%	Q1 = 1,901 /1,901 Q2 = 1,253/1,253 Q3 = 1,112/1,112
SEC CAN! – Communication, Advocacy and Network Outcome Indicator													
1) Equity market capitalization relative to GDP (%) increased						96.80%	-	-	-		-	-	Year-end target.
2) Size of local currency bond market in % of GDP increased						60.65%	-	-	-		-	-	Year-end target.
Output Indicator													
1) Number of investment promotion advocacy campaigns conducted		103	104	104	104	415	258	216	205		679	101	Investment promotion advocacy campaigns are composed of the ff: • Seminars/webinars - Q1 - 70 Q2 - 79 Q3 - 73 • Media Engagement - Q1 - 188 Q2 - 137 Q3 - 132


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