



SECURITIES AND EXCHANGE COMMISSION

FY 2019 PBB Status

The Commission's broad regulatory scope covers the corporate sector, capital market participants, securities and investment instruments, and the investing public. The Securities Act (Commonwealth Act. No. 83) established the SEC in 1936 mainly to administer the registration of securities, exchanges, brokers, dealers and salesmen.

STREAMLINING AND PROCESS IMPROVEMENT		Compliant	GOOD GOVERNANCE CONDITIONS						
SUPPORT TO OPERATIONS			Transparency Seal					Compliant	
ISO 9001:2015 Certification of QMS		Compliant	PhilGEPS Posting					Compliant	
GENERAL ADMINISTRATION AND SUPPORT SERVICES									
PFM reporting requirements to COA and DBM			Other Cross-Cutting Requirements						
COA Financial Reports		Compliant	SALN Review and Compliance Procedure					Compliant	
Sustained Compliance to prior years' AAR		Compliant	Compliance with FOI Program					Compliant	
			Agency's System of Rating and Ranking					Compliant	
PROCUREMENT REQUIREMENTS			BUDGET UTILIZATION RATE		2015	2016	2017	2018	2019
FY 2019 APP-NON CSE		Compliant	Obligations BUR		84%	85%	100%	91%	100%
Indicative FY 2020 APP NON-CSE		Compliant			79%	82%	93%	62%	88%
FY 2020 APP-CSE		Compliant			Disbursement BUR				
FY 2018 APCPI Results		Compliant							
Undertaking of Early Procurement		Compliant							