



## The Philippine Stock Exchange, Inc.

- |                        |                              |
|------------------------|------------------------------|
| _____ Trading Rules    | _____ Computer System Update |
| _____ Membership Rules | _____ Administrative Matters |
| _____ Listing Rules    | <u>3</u> _____ Others        |

**TO :** All Trading Participants

**SUBJECT :** Refresher Course for Associated Persons' Certification Seminar

**DATE :** 3 March 2009

The Securities and Exchange Commission (SEC), in its Resolution No. 489 series of 2009, allowed employment of Broker/Dealers' Associated Persons (AP) who have not completed the certification process only until 31 March 2010. At the end of the said period, the SEC will be accepting only the applications for registration of APs who have passed the certification examination as required under SRC Rule 28.1-4 (D.iii). The Certification Exam is tentatively scheduled on 22-25 March 2010.

In line with this, the PSE-MRD in coordination with the SEC will be conducting a Refresher Course for those APs who have not passed the Certification Examination from Modules 1 to 5 at the PSE Investor's Lounge, The Philippine Stock Exchange, Inc., PSE Centre, Exchange Rd., Ortigas Center, Pasig City on 17-19 March 2010, 8:00 am to 5:00 pm. A minimal fee of PhP500.00 shall be charged to cover the course materials, and morning and afternoon snacks.

Interested participants may fill out attached application form and send it to PSE-MRD through fax no. 637-8811 or email to [vfdelosangeles@pse.com.ph](mailto:vfdelosangeles@pse.com.ph).

For your information and guidance.

  
**JINKY A. ALORA**  
 Assistant Vice President  
 Officer-In-Charge, Market Regulation Division

Finance / Admin / Membership	Market Regulatory Office	Listing & Disclosures Grp.	COO / Automated Trading Grp.	Business Dev't & Info. Group	CEO / Legal
Tel. No. 688-7560/7440/7460	Tel. No. 688-7559	Tel. No. 688-7501/7510	Tel. No. 688-7405/819-4400	Tel. No. 688-7590	Tel. No. 688-7400/819-4408

# APPLICATION FORM

for

## REFRESHER COURSE FOR ASSOCIATED PERSONS' CERTIFICATION SEMINAR

The Philippine Stock Exchange, Inc.-Market Regulation Division in  
coordination with Securities and Exchange Commission

**Trading Participant:** \_\_\_\_\_

Name	Module No.

**Schedule of Refresher Course for Associated Persons' Certification Seminar  
March 17-19, 2010**

<b>Date/Time</b>	<b>Module</b>	<b>Topic/Resource Speaker</b>
<b>March 17, 2010</b>		
8:00-10:00	1	Overview on the Role of the Associated Person <b>Atty. Oliver O. Leonardo</b>
10:00-12:00		Significant Features of the SRC and Other Regulations <b>Director Jose P. Aquino</b>
1:00-3:00	2	SRC Rules on Business Conduct <b>Atty. Julieanne R. Jorge-Santos</b>
3:00-5:00		PSE Code of Conduct for Trading Participants <b>Ms. Irynn V. Gianan</b>
<b>March 18, 2010</b>		
8:00-10:00	3	Sales Practice Rule <b>Atty. Oliver O. Leonardo</b>
10:00-12:00		Books and Records Rule <b>Atty. Julieanne R. Jorge-Santos</b>
1:00-3:00	4	Anti-Money Laundering Act and Other Related Rules <b>Atty. Gene James C. Alfajaro</b>
3:00-5:00		Code of Corporate Governance <b>Atty. Celso Virgilio C. Ylagan IV</b>
<b>March 19, 2010</b>		
9:00-11:00	5	Principles of Risk Management, Net Capital & Risk Based Capital Adequacy <b>Atty. Myrla B. Barribal</b>
1:00-3:00		Computing Risk Based Capital <b>Ms. Sandie Manzares</b>