

Description	How to file	Where to file	Email Subject Line/Head
<p>18-AS and SEC Form 23-A/23-B)</p> <ul style="list-style-type: none"> ● Corporate Governance Institutional Training Providers (CG-ITPs) Advance Report of CG Trainings (without request for exemption from speaker accreditation) ● Completion Reports of CG-ITPs ● Integrated Annual Corporate Governance Report (I-ACGR) ● Material Related Party Transactions (RPT) Policy ● Manual on Corporate Governance for Public Companies and Registered Issuers ● Manual on Corporate Governance for Publicly-Listed Companies (PLCs) ● Advisement Report on Material RPTs ● Compliance Officer's Certificate (CG Form-2020) ● Sworn Certification in compliance with SEC Memorandum Circular No. 18, Series of 2019 ● SEC Form 1 – Existing Online Lending Platform ● SEC Form 2 – Prospective Online Lending Platform ● AMLA Compliance Form ● Revised Manual on Corporate Governance for financing companies, if applicable ● SEC Form MCG-2009 – Compliance Officer's Certification on the extent of compliance with the Manual on Corporate Governance for financing companies ● Corporate Secretary's Certification on Attendance in Board Meetings for financing companies 	<p><i>documents, companies that will file via courier services are highly encouraged to send a scanned copy of the document to CGFD's email at cgfd@sec.gov.ph</i></p>		<p><i>Example: CGFD_ ABC Investment Fund Corporation_SEC Form 17-C_20April2021.</i></p>
<p><u>B. Documents currently not covered by the OST under SEC M.C. No. 3, s. 2021 which require payment of filing/processing fees</u></p>			

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<ul style="list-style-type: none"> Registration Statement (SEC Form 12-1) 	Via email only <i>Note: To ensure prompt and timely receipt and review of documents and to avoid duplicity in the recording of documents by CGFD and ICTD, submissions via courier services through SEC</i>	cgfd_ld@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_SEC Form_SEC 12-1_20April2021.</i>
<ul style="list-style-type: none"> Application for License to Act as Investment Company (SEC ICA Form 7-A) 	<i>Express Nationwide Submission (SENS) shall no longer be allowed for items covered by 1 (B) of this Notice.</i>	cgfd_ld@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_SEC Form_SEC ICA Form 7-A_20April2021.</i>
<ul style="list-style-type: none"> Information Statement (SEC Form 20-IS) 		cgfd_ld@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_SEC Form 20-IS_20April2021</i>
<ul style="list-style-type: none"> Tender Offer Report (SEC Form 19-1) 		cgfd_ld@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_SEC Form 19-1_20April2021</i>
<ul style="list-style-type: none"> Request for Confidentiality 		cgfd_ld@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_Request for Confidentiality_20April2021</i>
<ul style="list-style-type: none"> Petition for Voluntary Revocation 		cgfd_ld@sec.gov.ph	Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_Petition for Voluntary Revocation_20April2021</i>
<ul style="list-style-type: none"> Request for Exemptive Relief and other Request for Exemption 		cgfd_ld@sec.gov.ph for investment companies, issuers of proprietary and non-proprietary securities, and public companies cgfd_cgd@sec.gov.ph for CG ITPs and publicly-	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_Request for Exemption_20April2021</i>

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		listed companies under the supervision of CGFD cgfd_md2@sec.gov.ph for lending and financing companies	
<ul style="list-style-type: none"> Request for Exemption from Speaker Accreditation on CG Trainings 		cgfd_cgd@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_Request for Exemption From Speaker Accreditation_20April2021</i>
<ul style="list-style-type: none"> Request for Approval of In-house CG Trainings 		cgfd_cgd@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_Request for Approval of In-house CG Trainings_20April2021</i>
<ul style="list-style-type: none"> Application for Accreditation as CG-ITP 		cgfd_cgd@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_Request for Accreditation as CG ITP_20April2021</i>
<ul style="list-style-type: none"> Application for Renewal of Accreditation as CG-ITP 		cgfd_cgd@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_Request for Renewal of Accreditation as CG ITP_20April2021</i>
<ul style="list-style-type: none"> Annual Information Statement (AIS) 		cgfd_md2@sec.gov.ph	CGFD_Complete Name of the Company_Type of Document_Date Submitted <i>Example: CGFD_XYZ Corporation_Annual Information Statement_20April2021</i>
<i>C. Documents currently not covered by the OST under SEC M.C. No. 3, s. 2021 which do not require payment of filing/processing fees</i>			
<ul style="list-style-type: none"> Application for Accreditation of Microfinance NGO (MNRC Memorandum Circular No. 4, series of 2018) 	Via email only	mnrc_secretariat@sec.gov.ph	MNRC_Complete Name of the Company_Type of Document_Date Submitted

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<p>http://www.sec.gov.ph/wp-content/uploads/2018/01/2018MNRCIssuances-MCNo4.pdf)</p> <ul style="list-style-type: none"> Annual Submission of Reports by Accredited Microfinance NGOs (MNRC Memorandum Circular No. 2, series of 2020 https://www.sec.gov.ph/mnrc-mc-2020/mnrc-mc-no-02-s-2020/) <ul style="list-style-type: none"> Copies of GIS, AFS, NSPO Forms, COEPs filed with SEC; SFFS for MF-NGOs; Loan Portfolio and Aging Report; Operations Report; and Updated Report Card Template, whether as a large or small MF-NGO 			<p>Example: MNRC_XYZ Microfinance_Application for Accreditation_20April2021</p> <p>MNRC_Complete Name of the Company_Type of Document_Date Submitted</p> <p>Example: MNRC_XYZ Microfinance_Annual Submission_20April2021</p>
<ul style="list-style-type: none"> Company's letter-reply to/ in compliance with the Department's letters and orders Reply to show cause/ comment/ advisement letter Other requests or correspondence 		<p>cgfd_md2@sec.gov.ph for financing and lending companies, foundations, and accredited micro finance NGOs</p> <p>cgfd_ld@sec.gov.ph for investment companies, issuers of proprietary and non-proprietary securities, and public companies</p> <p>cgfd_cgd@sec.gov.ph for CG-ITPs and PLCs under the supervision of CGFD</p> <p>mnrc_secretariat@sec.gov.ph for MNRC related concerns</p>	<p>CGFD_Complete Name of the Company_Type of Document_Date Submitted</p> <p>Example: <i>CGFD_XYZ Corporation_Letter-reply_20April2021</i></p> <p><i>CGFD_XYZ Corporation_Reply to Show Cause Letter_20April2021</i></p>
D. Year 2021 filing of AFS, GIS, and other covered reports under Sec. 2 of SEC M.C. No. 3, s. 2021			
<ul style="list-style-type: none"> Audited Financial Statements GIS Sworn Statement for Foundation Special Form for Financial Statements (SFFS) including the following: 	Via OST only	OST	Please see https://www.sec.gov.ph/mc-2021/mc-no-03-s-2021/ for the specific formats.

Description	How to file	Where to file	Email Subject Line/Head
<ul style="list-style-type: none"> i. PHFS - SFFS for Investment Companies and Publicly-Held Companies enumerated in Section 17.2 of the SRC ii. LCFS, LCIF - SFFS for Lending Companies iii. FCFS, FCIF - SFSS for Financing Companies ● Affidavit of Non -Holding of Annual Meeting 			
<p>**NOTE: If technical errors were encountered while submitting documents via OST, you may screenshot the error, print it, and attach to the hard copies of your submission. The report/s, together with the screenshot of the error, may be filed to the SEC via SENS or to the receiving unit over the counter.</p>			

2. Requirements for submission of documents under 1 (B) and (C) above.

Unless otherwise required by the Commission, the submission of documents via email for items covered by Item 1 (B) and (C) of this Notice shall constitute as full and final submission, such that, the covered company shall no longer be required to file hard copies of the same provided all the requirements for each type of document are complied with.

Description	Requirements
<p>A. Documents which require notarization</p> <ul style="list-style-type: none"> ● Registration Statement (SEC Form 12-1) ● Application for License to Act as Investment Company (SEC ICA Form7-A) ● Petition for Voluntary Revocation ● Annual Information Statement ● Application for Accreditation of Microfinance NGO ● Annual Submission of Reports by Accredited Microfinance NGOs: <ul style="list-style-type: none"> -SFFS for MF-NGOs - Loan Portfolio and Aging Report - Operations Report 	<ul style="list-style-type: none"> a. Scanned copies of documents with physical/wet signatures b. Proof of Payment of filing fee, if applicable
<p>B. Documents which do not require notarization</p> <ul style="list-style-type: none"> ● Request for Confidentiality ● Information Statement (SEC Form 20-IS) ● Tender Offer Report (SEC Form 19-1) ● Request for Confidentiality ● Request for Exemptive Relief and other Request for Exemption 	<ul style="list-style-type: none"> a. Scanned copies of documents with physical/wet signatures b. Notarized certification that information contained in the reports are true and correct c. Proof of Payment of filing fee, if applicable

Description	Requirements
<ul style="list-style-type: none"> • Request for Exemption from Speaker Accreditation on CG Trainings • Request for Approval of In-house CG Trainings • Application for Accreditation as CG ITP • Application for Renewal of Accreditation as CG-ITP • Annual Submission of Reports by Accredited Microfinance NGOs - Updated Report Card Template, whether as a large or small MF-NGO • Company's letter-reply to/ in compliance with the Department's letters and orders • Reply to show cause/ comment/ advisement letter • Other requests or correspondence 	

Notarized Certification - This refers to the sworn certification of the person who prepared the report or document on behalf of the covered company that the information contained therein is **true and correct**. This certification must be attached to the same email together with the subject document to be filed. The "person" referred to in this Notice is the director, officer or any person duly authorized by the company to file the document. All covered companies are advised to use the **attached template**¹ for the required Notarized Certification.

Note: All submissions/requests/compliance made via email at cgfd_ld@sec.gov.ph or cgfd_cgd@sec.gov.ph or cgfd_md2@sec.gov.ph or mnrc_secretariat@sec.gov.ph shall only be considered officially received if the relevant filing fee has been paid and/or the required notarized certification, if applicable, has been attached to the document.

3. Processing of Requests for the Issuance of a Payment Assessment Form (PAF) to pay penalties and/or processing/filing fees

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.

The following format shall be used in the subject head:

CGFD_NAME OF COMPANY_REQUEST FOR PAF_DATE OF EMAIL.

4. Payment of Annual Fees

a. Payment of Annual Fees of Lending and Financing Companies

Lending and financing companies are advised to send their requests for electronic copies of the PAF via email to cgfd_md2@sec.gov.ph.

b. Payment of Annual Fees of Unitized Mutual Funds

Unitized Mutual Funds are advised to send their requests for electronic copies of the PAF via email to cgfd_ld@sec.gov.ph

¹ Hereto attached as Annex A

5. Request for Monitoring and Issuance of Monitoring Sheet/Clearance

a) Requests for monitoring of covered companies shall be sent via email to the following addresses:

Companies	Addressee
Publicly-Listed Companies under the supervision of CGFD	cgfd_cgd@sec.gov.ph
Investment Companies Issuers of Proprietary and Non-Proprietary Securities Public Companies	cgfd_ld@sec.gov.ph
Foundations Accredited Microfinance NGOs Financing Companies Lending Companies	cgfd_md2@sec.gov.ph

The following format shall be used in the subject head:

CGFD_NAME OF COMPANY_REQUEST FOR MONITORING_DATE OF EMAIL

b) The list of documentary requirements and procedures for Financing Companies, Lending Companies, Foundations, and Accredited Microfinance NGOs are provided in these links:

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:

<https://www.sec.gov.ph/microfinance-ngo-regulatory-council/request-for-monitoring-2/>

All information contained in previous Notices that are inconsistent with any of the Guidelines provided in this Notice shall be deemed modified and amended accordingly.

All inquiries pertaining to CGFD matters and application/s shall be sent via email at cgfd@sec.gov.ph.

Please be guided accordingly.

Certification

I, _____ (name), the _____(position) of _____ (company name), a corporation duly registered under and by virtue of the laws of the Republic of the Philippines, with SEC registration number ____ and with principal office at _____, on oath state:

- 1) That I have caused this _____ (document) to be prepared on behalf of _____ (company);
- 2) That I have read and understood its contents which are true and correct based on my own personal knowledge and/or on authentic records;
- 3) That the company ____ (state name of company) will comply with the requirements set forth in SEC Notice dated _____ to effect a complete and official submission of reports and/or documents through electronic mail;
- 4) That I am fully aware that submitted documents which require pre-evaluation and/or payment of processing fee shall be considered complete and officially received only upon payment of a filing fee; and
- 5) That the e-mail account designated by the company pursuant to SEC Memorandum Circular No. 28, s. 2020 shall be used by the company in its online submissions to CGFD.

IN WITNESS WHEREOF, I have hereunto set my hand this _____ day of _____, 20_____.

Affiant

SUBSCRIBED AND SWORN to before me this _____ day of _____, 20____, in _____ City, Philippines.

NOTARY PUBLIC