Securities and Exchange Commission
PHILIPPINES

OFFICE OF THE CHAIRPERSON

SEC MEMORANDUM CIRCULAR No. 7
Series of 2020

TO: **ALL CONCERNED CORPORATIONS**

SUBJECT: **GUIDELINES ON PREVENTIVE MEASURES AGAINST COVID-19 IN THE HANDLING OF RECORDS AT THE SECURITIES AND EXCHANGE COMMISSION**

In accordance with and acting on the directive of the Office of the President to undertake appropriate measures to curtail and eliminate the Covid 19 threat embodied in Proclamation No. 922 dated 8 March 2020, and to provide adequate protection to the frontline service personnel of the Electronic Records Management Division, ICTD (ERMD-ICTD) from undue exposure to the risk of Covid-19, the Securities and Exchange Commission (SEC) is hereby adopting the following procedures at the ERMD-ICTD:

I. REQUEST FOR PLAIN/AUTHENTICATED COPY OF SEC DOCUMENTS:

Provide two (2) options for the request and retrieval of SEC documents, both plain and/or authenticated, through SEC Express System. Clients may use the following options:

1. Online Application. The public may request for SEC documents through a user-friendly, web-based interface that includes online payment and courier delivery of the requested document/s nationwide. The client may log on at www.secexpress.com

2. Call Center Facility. The public may call Hotline Number (02) 8-737-8888 for request, mode of payment and courier delivery of requested document/s nationwide.

NOTE: The existing Appointment System and Public Kiosk (ODRS) will be temporarily suspended to avoid face to face contact with the SEC Frontline Employees and the transacting public. All public requests shall pass through Online Application and Call Center Facility.

Published:
Manila Bulletin, March 18, 2020
Philippine Star, March 19, 2020

Securities and Exchange Commission
PHILIPPINES

OFFICE OF THE CHAIRPERSON

II. FILING/SUBMISSION OF REPORTS AND/OR OTHER DOCUMENTS TO SEC

A. Filing/submission of reports and other documents through the SEC Express Nationwide Submission (SENS) with the following procedures:

1. Client accomplishes and signs the SEC Express Nationwide Submission (checklist with undertaking, available in the SENS website).

2. Client attaches the checklist and the undertaking to the documents to be submitted.

3. Client proceeds to the courier of his/her choice and may or may not avail of the return copy. Request for return copy may be subject to the availability of service offer by the courier.

4. Courier delivers the documents to the SEC Office.

5. SEC Receiving Officer shall stamp the documents and "Received", put his initial on the documents and distribute copies of documents to the SEC department concerned.

B. Filing and submission of reports/documents through the Philippine Postal Corp. or through ordinary mail shall be subject to the following requirements:

1. Clients may file their reports/documents through Registered Mail with return card issued by the Philippine Postal Corp.; provided, that clients may file their reports/documents through ordinary mail or private courier duly accompanied by an affidavit of service, if registry service is not available in their official place of business.

2. For return copy, client shall enclose a self- addressed envelope with sufficient amount of stamp/postage.

C. The reports/documents submitted to the SEC through registered mail shall be considered filed on the date of mailing as shown by the post office stamp on the envelope or the registry receipt. Reports/documents submitted though ordinary mail or private courier shall be considered filed on the date of actual receipt thereof by the SEC.

D. Validation of forms and contents of reports/documents submitted shall be done by SEC Operating Department requiring the report.

Securities and Exchange Commission
PHILIPPINES

OFFICE OF THE CHAIRPERSON

E. All filings at the Head Office and Satellite Offices shall be temporarily suspended until further notice.

This Memorandum Circular shall take effect immediately.

16 March 2020, Pasay City.

EMILIO B. AQUINO
Chairman