

ENFORCEMENT STATISTICS – DECEMBER 2022		
Membership Category	Infraction Type	December 2022
Dealing Member (Banks)	Failure to meet the 35% Request-for-Quotes compliance	-
	Late submission of trade data	4
	Failure to place all firm quotes by 10:00 AM on all benchmark securities	10
	Settlement default	-
	Non-Submission of Member-Client Transaction	-
	Inaccurate trade report (Fixed Income)	-
	Inaccurate trade report (Foreign Exchange)	12
	OTC FX Futures Standard violation	1
	Failure to update Members' Authorized Representatives	-
	Total	27
	Fine (₱)	-
Associate Member (Inter-Dealer Brokers and Brokers)	Rendition of incomplete and inaccurate data	-
	Late/Non-submission of brokerage activity data/reports	-
	Total	-
	Fine (₱)	-
Registration Member (Quotations)	Late submission of Compliance Report	-
	Rollover of a commercial paper without approval	-
	Failure to effect repayment of the commercial paper on the maturity date	-
	Failure to regularize deferred requirements within the stipulated timeframe	-
	Failure to provide commercial paper quotation requirements within the stipulated timeframe	-
	Failure to adhere to the minimum commercial paper issue size requirement	-
	Failure of the sponsor to notify the Exchange of CP issued under the programme within the stipulated timeframe	-
	Total	-
	Fine (₱)	-