



## MEMORANDUM – 2014-007

**To** : All Trading Participants

**Subject** : Employee Movement


**Date** : 5 February 2014

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Pursuant to Art. IV., Sec. 5 of the CMIC Rules on Director, Officer, Agent or Employee Movement, Trading Participants shall notify CMIC of any director, officer, agent or Employee movement, whether hiring, resignation, re-designation, or termination of employment, within 30 days from effectivity thereof.

Accordingly, attached is the list of personnel movement submitted to CMIC as of 31 January 2014.

For information and guidance.

  
**GRACE M. CALUBAQUIB**  
*Officer-In-Charge*

| DATE OF EFFECTIVITY | LAST NAME  | FIRST NAME             | PREVIOUS POSITION                    | PRESENT POSITION     | PREVIOUS EMPLOYER                      | PRESENT EMPLOYER                            | REMARKS  |
|---------------------|------------|------------------------|--------------------------------------|----------------------|--|---|--|
| 01-Dec-13           | DUEN       | LAM KOK                | CHAIRMAN                             | PRESIDENT            | NIEVES SECURITIES, INC.                | NIEVES SECURITIES, INC.                     | ADDITIONAL DESIGNATION                               |
| 01-Dec-13           | DYTOC      | BONNER CHU             | -                                    | C. E. O.             | -                                      | NIEVES SECURITIES, INC.                     | NEW EMPLOYMENT                                       |
| 16-Dec-13           | LEE        | SEAN                   | -                                    | VICE PRESIDENT       | -                                      | MACQUARIE CAPITAL SECURITIES (PHILS.), INC. | NEW EMPLOYMENT                                       |
| 16-Dec-13           | PALUGA     | ANA ROSE C.            | -                                    | ADMIN ASSISTANT      | -                                      | BPI SECURITIES CORPORATION                  | NEW EMPLOYMENT                                       |
| 16-Dec-13           | WONG       | JORGE PAOLO WEE        | TRAINEE                              | -                    | KING'S POWER SECURITIES, INC.          | -   | RESIGNATION<br>(no clearance to join other broker)   |
| 31-Dec-13           | ADEL       | REMELYN CORPUZ         | SETTLEMENT CLERK                     | -                    | INVESTORS SECURITIES, INC.             | -   | RESIGNATION<br>(with clearance to join other broker) |
| 31-Dec-13           | BERNARDINO | SHELLA ANTONIO         | TRADING ASSISTANT                    | -                    | INVESTORS SECURITIES, INC.             | -   | RESIGNATION<br>(with clearance to join other broker) |
| 31-Dec-13           | HUANG      | LANNA LESLIE NOCOM     | CERTIFIED SECURITIES REPRESENTATIVE  | -                    | NIEVES SECURITIES, INC.                | -   | RESIGNATION<br>(clearance under process)             |
| 31-Dec-13           | LOCSIN     | EMMANUEL G.            | SENIOR MANAGER/<br>SECURITIES TRADER | SECURITIES TRADER    | UPCC SECURITIES CORPORATION            | UPCC SECURITIES CORPORATION                 | RE-DESIGNATION                                       |
| 31-Dec-13           | OCAMPO     | LUDIVINE S.            | OFFICE CLERK                         | -                    | JSG SECURITIES, INC.                   | -   | RESIGNATION<br>(no clearance to join other broker)   |
| 01-Jan-14           | ANARNA     | RICARDO T.             | INDEPENDENT DIRECTOR                 | -                    | ASTRA SECURITIES CORPORATION           | -   | RESIGNATION  |
| 01-Jan-14           | CHUA       | MITCHELL MORTON V.     | -                                    | INDEPENDENT DIRECTOR | -                                      | ASTRA SECURITIES CORPORATION                | NEW EMPLOYMENT                                       |
| 01-Jan-14           | SOTTO      | ERLASTER CAMACAN       | DIRECTOR/ PRESIDENT                  | -                    | BDO SECURITIES CORPORATION             | -   | RESIGNATION<br>(clearance under process)             |
| 02-Jan-14           | ANDRES     | CONRADO IV IGNACIO     | -                                    | TELEPHONE CLERK      | -                                      | WEALTH SECURITIES, INC.                     | NEW EMPLOYMENT                                       |
| 02-Jan-14           | INGCOCO    | JUDY P.                | -                                    | TELEPHONE CLERK      | TRANS-ASIA SECURITIES, INC.            | STAR ALLIANCE SECURITIES CORPORATION        | NEW EMPLOYMENT                                       |
| 02-Jan-14           | MINARDO    | JOSEPH BENJAMIN R.     | TRAINEE                              | TRADER               | A. T. DE CASTRO SECURITIES CORPORATION | A. T. DE CASTRO SECURITIES CORPORATION      | RE-DESIGNATION                                       |
| 02-Jan-14           | PASCUAL    | LAWRENCE ANDREI HALILI | TRAINEE                              | OFFICE ASSISTANT     | ALAKOR SECURITIES CORPORATION          | ALAKOR SECURITIES CORPORATION               | RE-DESIGNATION                                       |
| 02-Jan-14           | PAZCOGUIN  | NEIL ROYCE BIAG        | -                                    | SALES TRAINEE        | -                                      | WEALTH SECURITIES, INC.                     | NEW EMPLOYMENT                                       |

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|---------------------|-----------|--------------------------|------------------------------|----------------------------|---|----------------------------------|---|
| 03-Jan-14           | JIMENEZ   | CONCEPCION               | CONTRACTOR, FINANCE          | -                          | UBS SECURITIES PHILIPPINES, INC.            | -                                | RESIGNATION<br>(end of contract, no clearance required) |
| 03-Jan-14           | NGO       | KRISTOFFER LLOYD GAW     | CONSULTANT                   | SALESMAN                   | UNICAPITAL SECURITIES, INC.                 | UNICAPITAL SECURITIES, INC.      | RE-DESIGNATION  |
| 03-Jan-14           | QUESENG   | JOHN PAUL UY             | CSR/ TRADER                  | -                          | CITISECURITIES, INC.                        | -                                | RESIGNATION<br>(clearance under process)                |
| 06-Jan-14           | CUA       | MEREDITH HAZEL CHUA      | -                            | RESEARCH ANALYST           | -   | COL FINANCIAL PHILIPPINES        | NEW EMPLOYMENT  |
| 06-Jan-14           | FERNANDEZ | GASTON LUIS              | -                            | CONTRACTOR, EQUITIES SALES | -   | UBS SECURITIES PHILIPPINES, INC. | NEW EMPLOYMENT  |
| 06-Jan-14           | LIM       | EVITA PHOEBE CRUZ        | -                            | FINANCIAL ANALYST          | -   | CITISECURITIES, INC.             | NEW EMPLOYMENT  |
| 06-Jan-14           | SZE       | DAPHNE                   | -                            | INTERN, EQUITIES RESEARCH  | -   | UBS SECURITIES PHILIPPINES, INC. | NEW EMPLOYMENT  |
| 08-Jan-14           | BENEDICTO | RACHELLE ANNE JUAREZ     | SENIOR ASSOCIATE             | -                          | MACQUARIE CAPITAL SECURITIES (PHILS.), INC. | -                                | RESIGNATION<br>(clearance under process)                |
| 15-Jan-14           | DOMINGUEZ | KYLE MARK ANDREI FABREAG | SALESMAN                     | -                          | CAMPOS, LANUZA & COMPANY, INC.              | -                                | RESIGNATION<br>(with clearance to join other broker)    |
| 15-Jan-14           | LIM       | VITTORIO PAULO PANLILIO  | AGENT                        | -                          | TOWER SECURITIES, INC.                      | -                                | RESIGNATION<br>(with clearance to join other broker)    |
| 15-Jan-14           | MALALUAN  | MACARIO G.               | OFFICE CLERK                 | -                          | R. S. LIM & COMPANY, INC.                   | -                                | RESIGNATION<br>(no clearance to join other broker)      |
| 15-Jan-14           | MANAOIS   | JENALYN TABLAC           | CUSTOMER CARE REPRESENTATIVE | -                          | ACCORD CAPITAL EQUITIES CORPORATION         | -                                | RESIGNATION   |
| 15-Jan-14           | TY        | SAMANTHA                 | -                            | INTERN, EQUITIES RESEARCH  | -   | UBS SECURITIES PHILIPPINES, INC. | NEW EMPLOYMENT  |
| 16-Jan-14           | BANGAYAN  | JASON YOUNG              | -                            | I. T.                      | -   | A & A SECURITIES, INC.           | NEW EMPLOYMENT  |
| 16-Jan-14           | BONIFACIO | CELIA RESURECION         | ACCOUNTING-IN-CHARGE         | -                          | KING'S POWER SECURITIES, INC.               | -                                | RESIGNATION<br>(no clearance required)                  |
| 16-Jan-14           | DE LEON   | ALMA SANTOS              | ACCOUNTING ASSISTANT         | ACCOUNTING-IN-CHARGE       | KING'S POWER SECURITIES, INC.               | KING'S POWER SECURITIES, INC.    | RE-DESIGNATION  |
| 16-Jan-14           | JOSE      | RAMON SEDANO             | -                            | MESSENGER                  | -   | SUNSECURITIES, INC.              | NEW EMPLOYMENT  |
| 16-Jan-14           | MANGABA   | SALVACION P.             | -                            | IT ASSISTANT               | -   | BPI SECURITIES CORPORATION       | NEW EMPLOYMENT  |

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|---------------------|--------------|-----------------------|--|---|-------------------------------------|----------------------------------|--|
| 16-Jan-14           | RAMOS        | NIDA P.               | -  | HEAD, CUSTOMER SERVICES AND ACCOUNT OPENING | -                                   | BPI SECURITIES CORPORATION       | NEW EMPLOYMENT                                       |
| 20-Jan-14           | MANAOIS      | JENALYN TABLAC        | -  | CUSTOMER SERVICE OFFICER                    | ACCORD CAPITAL EQUITIES CORPORATION | COL FINANCIAL PHILIPPINES        | NEW EMPLOYMENT                                       |
| 21-Jan-14           | HUANG        | PHILIP SY             | DIRECTOR/ NOMINEE/ CERTIFIED SECURITIES REPRESENTATIVE | -   | NIEVES SECURITIES, INC.             | -                                | RESIGNATION<br>(clearance under process)             |
| 22-Jan-14           | CHUA         | AIMEE JANE            | -  | CONTRACTOR                                  | -                                   | UBS SECURITIES PHILIPPINES, INC. | NEW EMPLOYMENT                                       |
| 25-Jan-14           | GUEVARRA     | LAZARO JEROME CUNANAN | -  | DIRECTOR AND PRESIDENT                      | -                                   | BDO SECURITIES, INC.             | NEWLY ELECTED  |
| 27-Jan-14           | RAFAEL       | PENAFLO CRUZ          | AGENT  | AGENT/ TRADER                               | ASIASEC EQUITIES, INC.              | ASIASEC EQUITIES, INC.           | RE-DESIGNATION                                       |
| 01-Feb-14           | DELOS SANTOS | MERLENE GONZALES      | TRADER/ SALESMAN                                       | -   | E. CHUA CHIACO SECURITIES, INC.     | -                                | RESIGNATION<br>(with clearance to join other broker) |
| 16-Dec-14           | TAN          | LLOYD ANG             | SALESMAN   | -   | NIEVES SECURITIES, INC.             | -                                | RESIGNATION<br>(with clearance to join other broker) |