



MEMORANDUM – 2014-014

To : All Trading Participants
Subject : Employee Movement
Date : 7 April 2014

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 March 2014.

For information and guidance.

A handwritten signature in black ink, appearing to read 'Grace M. Calubaquib'.

GRACE M. CALUBAQUIB

Officer-In-Charge

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PREVIOUS EMPLOYER	PRESENT EMPLOYER	REMARKS
03-Feb-14	GO	JAYSON UY	-	INDEPENDENT DIRECTOR	-	CAMPOS, LANUZA & COMPANY, INC.	NEWLY ELECTED
06-Feb-14	CHING	CHING YAN TAN	TREASURER/ VP-ADMIN	PRESIDENT/ CEO	NIEVES SECURITIES, INC.	NIEVES SECURITIES, INC.	RE-DESIGNATION
06-Feb-14	LAM	KOK DUEN	PRESIDENT	CHAIRMAN	NIEVES SECURITIES, INC.	NIEVES SECURITIES, INC.	RE-DESIGNATION
06-Feb-14	DYTOC	BONNER CHU	CEO	COO	NIEVES SECURITIES, INC.	NIEVES SECURITIES, INC.	RE-DESIGNATION
06-Feb-14	ABELLA	PETER	ASSISTANT TREASURER	TREASURER	NIEVES SECURITIES, INC.	NIEVES SECURITIES, INC.	RE-DESIGNATION
06-Feb-14	LEE	WILLIAM C.	INDEPENDENT DIRECTOR	-	NIEVES SECURITIES, INC.	-	RESIGNATION (with clearance to join other broker)
06-Feb-14	NG	WILLY GO	INDEPENDENT DIRECTOR	-	NIEVES SECURITIES, INC.	-	RESIGNATION (with clearance to join other broker)
06-Feb-14	DYTOC	FREDERICK SEE	-	INDEPENDENT DIRECTOR	-	NIEVES SECURITIES, INC.	NEW EMPLOYMENT
06-Feb-14	GO	DANIEL CHUA	-	INDEPENDENT DIRECTOR	-	NIEVES SECURITIES, INC.	NEW EMPLOYMENT
06-Feb-14	DEZA	MA. LAWRYN DE LEON	-	ASSOCIATED PERSON	BPI SECURITIES CORPORATION	SB EQUITIES, INC.	NEW EMPLOYMENT
10-Feb-14	REYES	ARISTOTLE JR. DIZON	-	TRADER	I. ACKERMAN & CO., INC.	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
10-Feb-14	PALOMO	ABIGAIL D.	-	RESEARCH INTERN	-	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
14-Feb-14	NARCISO	MARIA ARLYSA E.	ANALYST	-	AB CAPITAL SECURITIES, INC.	-	RESIGNATION (with clearance to join other broker)
17-Feb-14	BALAJADIA	JAN VINCENT GARCHITORENA	-	I.T. /PAM TRAINEE	-	A & A SECURITIES, INC.	NEW EMPLOYMENT
17-Feb-14	CORPUZ	LYNNETH G.	-	BRANCH ASSISTANT	-	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
17-Feb-14	RAMOS	JOYCE ANNE J.	-	EQUITY ANALYST	-	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
17-Feb-14	DE DIOS	ROSIELLE ANNE T.	-	BRANCH ASSISTANT	-	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
17-Feb-14	MAGSINO	ARNEL GABRIEL MARTIN L.	-	TRADING ASSISTANT	-	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT

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17-Feb-14	VISTAN	JOSE JR. T.	ASST. VICE PRESIDENT	VICE PRESIDENT	AB CAPITAL SECURITIES, INC.	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
17-Feb-14	UMALI	RENATO II M.	MANAGER	SENIOR MANAGER	AB CAPITAL SECURITIES, INC.	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
17-Feb-14	LIMBENGCO	ALEXANDER C.	TRADING ASSISTANT	ASSISTANT MANAGER	AB CAPITAL SECURITIES, INC.	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
17-Feb-14	ILAG	GREGG ADRIAN R.	ANALYST	ASSISTANT MANAGER	AB CAPITAL SECURITIES, INC.	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
17-Feb-14	DEE	CHERRY MAY TAN	-	RESEARCH ASSISTANT	-	SB EQUITIES, INC.	NEW EMPLOYMENT
17-Feb-14	ONG	JO ANN ABIGAIL SO	RESEARCH ANALYST	TRADER	SB EQUITIES, INC.	SB EQUITIES, INC.	RE-DESIGNATION
21-Feb-14	SAN PEDRO	CRISTOPHER ADRIAN TABAFUNDA	CERTIFIED SECURITIES REPRESENTATIVE	-	NIEVES SECURITIES, INC.	-	RESIGNATION (with clearance to join other broker)
26-Feb-14	ARGUELLES	CARLO LEONARDO D.	-	CERTIFIED SECURITIES REPRESENTATIVE	-	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
28-Feb-14	DEL ROSARIO	ROSALIE O.	ACCOUNTING OFFICER	-	ASIA PACIFIC CAPITAL EQUITIES AND SECURITIES CORPORATION	-	RESIGNATION (no clearance yet)
28-Feb-14	PAYONGAYONG	ADELINA DAVID	ASSOCIATED PERSON	-	DW CAPITAL, INC.	-	RESIGNATION (with clearance to join other broker)
28-Feb-14	PHOA	THOMSON BRIAN DY	CERTIFIED SECURITIES REPRESENTATIVE	-	NIEVES SECURITIES, INC.	-	RESIGNATION (with clearance to join other broker)
01-Mar-14	BAGAS	MARIA ASUNCION C.	-	ACCOUNTING HEAD	-	ASIA PACIFIC CAPITAL EQUITIES AND SECURITIES CORPORATION	NEW EMPLOYMENT
01-Mar-14	CABEZAS	CORAZON S.	-	ACCOUNTING STAFF	-	ASIA PACIFIC CAPITAL EQUITIES AND SECURITIES CORPORATION	NEW EMPLOYMENT
01-Mar-14	SAN LUIS	GRETCHEN H.	NEW ACCOUNTS OFFICER	-	COL FINANCIAL PHILIPPINES	-	RESIGNATION (clearance under process)
01-Mar-14	TEO	ELEANORE L.	MARKETING MANAGER	-	COL FINANCIAL PHILIPPINES	-	RESIGNATION (clearance under process)
01-Mar-14	LAGATA	FRANCIA P.	-	TRANSFER/	-	MOUNT PEAK	NEW EMPLOYMENT

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				SETTLEMENT CLERK		SECURITIES, INC.	
01-Mar-14	GAWECO	WINSTON S.	VP/ TRANSFER CLERK	VP	MOUNT PEAK SECURITIES, INC.	MOUNT PEAK SECURITIES, INC.	RE-DESIGNATION
01-Mar-14	FONG	WILT MORRIS JOSEPH PEREZ-RUBIO	-	CERTIFIED SECURITIES REPRESENTATIVE	-	ANGPING & ASSOCIATES SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-14	HUANG	ELLIE NICOLLE NOCOM	-	CERTIFIED SECURITIES REPRESENTATIVE	-	ANGPING & ASSOCIATES SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-14	ANG	STANLEY ANG	AVP - DIVISION HEAD, FINANCE, OPS, IT & ADMIN	VP - DIVISION HEAD, FINANCE, OPS, IT & ADMIN	FIRST METRO SECURITIES BROKERAGE CORPORATION	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
01-Mar-14	CHAN	CHRISTINE UY	SM - HEAD, ONLINE SALES	AVP - HEAD, ONLINE SALES	FIRST METRO SECURITIES BROKERAGE CORPORATION	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
01-Mar-14	ABANGAN	MARIANITO CABALLES	AGENT	ASSISTANT MANAGER	AB CAPITAL SECURITIES, INC.	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Mar-14	MALLILLIN	FRANCIS MEL G.	-	TRAINEE	-	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
01-Mar-14	LEH	CANDICE EMILY L.	-	TRAINEE	-	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
01-Mar-14	SUNGA	JOSE MARIA Z.	-	TRAINEE	-	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
03-Mar-14	ORTIZ	MARY KHAY S.	-	ACCOUNTING STAFF	-	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
03-Mar-14	BARRAMEDA	KEZIAH ELIKA V.	-	MARKETING & SALES ASSISTANT	-	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
03-Mar-14	CRISOSTOMO	PAUL JASON C.	RESEARCH ASSOCIATE & TRADER	-	I. ACKERMAN & CO., INC.	-	RESIGNATION (with clearance to join other broker)
03-Mar-14	LOZADA	CONNIE MACUGAY	ACCOUNTANT	ASSOCIATED PERSON	DW CAPITAL, INC.	DW CAPITAL, INC.	RE-DESIGNATION
03-Mar-14	INTIA	ROSEMARIE YVETTEE BERGADO	ASST. SETTLEMENT CLERK	IT ASSISTANT	DW CAPITAL, INC.	DW CAPITAL, INC.	RE-DESIGNATION
03-Mar-14	PADUA	LIWAYWAY REYES	-	ACCOUNTANT	-	DW CAPITAL, INC.	NEW EMPLOYMENT
03-Mar-14	ANG	RUWIE CO	-	FINANCIAL ANALYST	-	DW CAPITAL, INC.	NEW EMPLOYMENT
03-Mar-14	SY	KEVIN NEIL ATIENZA	VICE PRESIDENT	VICE PRESIDENT/ ASSOCIATED PERSON	WEALH SECURITIES, INC.	WEALH SECURITIES, INC.	RE-DESIGNATION

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03-Mar-14	GO	NORMAN JAY FRANCISCO	EQUITY SALES OFFICER	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	-	RESIGNATION (clearance under process)
03-Mar-14	ALCANTARA	MYLENE SUING	-	FILINF CLERK	-	WEALH SECURITIES, INC.	NEW EMPLOYMENT
03-Mar-14	MARTINEZ	MICHAEL ZARCO	-	MESSENGER	-	DEUTSCHE REGIS PARTNERS, INC.	NEW EMPLOYMENT
04-Mar-14	CONCEPCION	JOSE JIMENEZ	-	FINANCIAL ANALYST	-	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
06-Mar-14	GOMEZ	VICENTE MARTIN L.	SECTOR ANALYST	-	CITISECURITIES, INC.	-	RESIGNATION (clearance under process)
06-Mar-14	MACAPUGAY	PATRICIA ANNE L.	NEW ACCOUNTS OFFICER	-	COL FINANCIAL PHILIPPINES	-	RESIGNATION (clearance under process)
06-Mar-14	REITHER	DOMINIQUE G.	CERTIFIED SECURITIES REPRESENTATIVE	-	NIEVES SECURITIES, INC.	-	RESIGNATION (clearance under process)
07-Mar-14	GO	IRENE S.	TRADER/ SALESMAN	-	MERCANTILE SECURITIES CORPORATION	-	RESIGNATION (with clearance to join other broker)
07-Mar-14	BENAID	MARICRIS T.	SETTLEMENT CLERK	-	MERCANTILE SECURITIES CORPORATION	-	RESIGNATION (with clearance to join other broker)
10-Mar-14	MONTEJO	THOM HIGGINS MELA	TELEPHONE CLERK	AUTHORIZED TRADER	YAO & ZIALCITA, INC.	YAO & ZIALCITA, INC.	RE-DESIGNATION
10-Mar-14	ALVARRO	ROSALIND CABUSO	CLERK	SETTLEMENT CLERK	MERCANTILE SECURITIES CORPORATION	MERCANTILE SECURITIES CORPORATION	RE-DESIGNATION
10-Mar-14	BENAID	MARICRIS TENGCO	-	SETTLEMENT STAFF	-	SECURITIES SPECIALISTS, INC.	NEW EMPLOYMENT
10-Mar-14	REITHER	MICHELLE GERALDINE G.	CERTIFIED SECURITIES REPRESENTATIVE	-	NIEVES SECURITIES, INC.	-	RESIGNATION (with clearance to join other broker)
12-Mar-14	CHUA	VANI LION TIA	LICENSED SALESMAN	-	SALISBURY BKT SECURITIES CORPORATION	-	RESIGNATION (with clearance to join other broker)
12-Mar-14	GRANDE	RICARDO RENATO GOMEZ	TELEPHONE CLERK	-	S. J. ROXAS & COMPANY, INC.	-	RESIGNATION (no clearance required)
14-Mar-14	REYES	REGULO GENEROSO IV R.	CERTIFIED SECURITIES REPRESENTATIVE	-	NIEVES SECURITIES, INC.	-	RESIGNATION (with clearance to join other broker)
15-Mar-14	BEGONIA	ANNALYN R.	HR SUPERVISOR	-	COL FINANCIAL PHILIPPINES	-	RESIGNATION (clearance under process)

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17-Mar-14	BALAJADIA	JAN VINCENT GARCHITORENA	I.T. /PAM TRAINEE	I.T. /PAM TRADER	A & A SECURITIES, INC.	A & A SECURITIES, INC.	RE-DESIGNATION
17-Mar-14	SILERIO	DANICA LOUISE Y.	-	HR STAFF	-	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
17-Mar-14	PECSON	JANEULLE CLAIRE B.	-	OPERATIONS STAFF	-	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
17-Mar-14	GO	IRENE S.	-	SALESMAN/ TRADER	MERCANTILE SECURITIES CORPORATION	INVESTORS SECURITIES, INC.	NEW EMPLOYMENT
17-Mar-14	VELASCO	MARCO NIÑO MONDRAGON	-	BUSINESS DEVELOPMENT OFFICER	-	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
18-Mar-14	ZULUETA	SHERYLL P.	CUSTOMER RELATIONS OFFICER	-	COL FINANCIAL PHILIPPINES	-	RESIGNATION (clearance under process)
18-Mar-14	CHUA	VANI LION TIA	-	CERTIFIED SECURITIES REPRESENTATIVE	-	NIEVES SECURITIES, INC.	NEW EMPLOYMENT
18-Mar-14	SAAVEDRA	KRISTLE CHUA	-	CERTIFIED SECURITIES REPRESENTATIVE	-	NIEVES SECURITIES, INC.	NEW EMPLOYMENT
20-Mar-14	CHUA	MICHAEL C.	CERTIFIED SECURITIES REPRESENTATIVE	-	NIEVES SECURITIES, INC.	-	RESIGNATION (with clearance to join other broker)
25-Mar-14	BRONDIAL	MARJORIE M.	-	HR SUPERVISOR	-	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
01-Apr-14	PROWEL	JEANNIELLE B.	-	STUDENT PRACTICUM	-	YU & COMPANY, INC.	NEW EMPLOYMENT