



MEMORANDUM – 2015-002

To : All Trading Participants

Subject : Employee Movement

Date : 7 January 2015

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 29 December 2014.

For information and guidance.


CORNELIO C. GISON

President



DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	TRADING PARTICIPANT	REMARKS
03-Nov-14	DE LEON	ROSEMARIE D.	TRADER	-	PCCI SECURITIES BROKERS CORPORATION	RESIGNATION (no clearance required)
03-Nov-14	MARCELO	KATHLEEN V.	SENIOR ASSOCIATE, DEALER	SENIOR ASSOCIATE, SALES	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	RE-DESIGNATION
07-Nov-14	LIM	AUSTINE AGGIE T.	CERTIFIED SECURITIES REPRESENTATIVE	-	ANGPING & ASSOCIATES SECURITIES, INC.	RESIGNATION (cleared)
10-Nov-14	LIM	TAMMY B.	-	ASSISTANT MANAGER	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
10-Nov-14	LIM	GERALD B.	-	MESSENGER	ALPHA SECURITIES CORPORATION	NEW EMPLOYMENT
11-Nov-14	BORROMEO	CARLO C.	JUNIOR DEALER	-	CLSA PHILIPPINES, INC.	RESIGNATION
14-Nov-14	CO	DAPHNE L.	ASSISTANT HEAD OF OPERATION	CORPORATE SECRETARY	EASTERN SECURITIES DEVELOPMENT CORPORATION	RE-DESIGNATION
14-Nov-14	HALILI	EDUARDO C.	CORPORATE SECRETARY	-	EASTERN SECURITIES DEVELOPMENT CORPORATION	RESIGNATION (no clearance required)
14-Nov-14	OMEGA	CRISTY LORREN M.	TRADING ASSISTANT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
17-Nov-14	CARLOS	ARNOLD E.	-	IT CONSULTANT HEAD	TIMSON SECURITIES, INC.	NEW EMPLOYMENT
17-Nov-14	MACUGAY	JACQUELINE O.	-	ASSOCIATED PERSON	ANGPING & ASSOCIATES SECURITIES, INC.	NEW EMPLOYMENT
17-Nov-14	MARTINEZ	EDWIN N.	-	SALES AGENT	SB EQUITIES, INC.	NEW EMPLOYMENT
17-Nov-14	SY	OLIVER DEXTER C.	-	TELEPHONE CLERK	EVERGREEN STOCK BROKERAGE & SECURITIES, INC.	NEW EMPLOYMENT
18-Nov-14	CORPUZ	DIANNE A.	-	AGENT	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
19-Nov-14	CRUZ	ALEXIS MAE M.	TRADING PARTNER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
20-Nov-14	FERNANDEZ	ADONIS G.	-	MESSENGER/ DRIVER	HDI SECURITIES, INC.	NEW EMPLOYMENT
24-Nov-14	ALCANTARA	AUSTIN CLAUDE S.	-	ASSISTANT CORPORATE SECRETARY	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
24-Nov-14	ESCOTIDO	THEDANI T.	-	ACCOUNTING ASSISTANT	ALPHA SECURITIES CORPORATION	NEW EMPLOYMENT
24-Nov-14	ORTUA	MARIA CHRISTINA C.	ASSISTANT CORPORATE SECRETARY	-	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)
26-Nov-14	PEREZ	AMANDO JOSE J.	-	TRAINEE	HDI SECURITIES, INC.	NEW EMPLOYMENT
28-Nov-14	HERNANDEZ	MARY KRICHILLE D.	INTERN, EQUITIES RESEARCH	-	UBS SECURITIES PHILIPPINES, INC.	RESIGNATION (no clearance required)
28-Nov-14	SARMIENTO	JEFFREY G.	-	TRAINEE	HDI SECURITIES, INC.	NEW EMPLOYMENT

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30-Nov-14	MIRANDA	MICHAEL A.	-	SETTLEMENT OFFICER	PLATINUM SECURITIES, INC.	NEW EMPLOYMENT
30-Nov-14	NATIVIDAD	ANGELO MIGUELL T.	JUNIOR ANALYST	-	DA MARKET SECURITIES, INC.	RESIGNATION (cleared)
30-Nov-14	YUMOL	RAFAEL I.	SETTLEMENT OFFICER	-	PLATINUM SECURITIES, INC.	RESIGNATION (no clearance required)
01-Dec-14	BRIONES	CARINA B.	-	OFFICE CLERK TRAINEE	YU & COMPANY, INC.	NEW EMPLOYMENT
01-Dec-14	COS	CARMELITA T.	-	ACCOUNTING STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
01-Dec-14	GARCIA	JUAN ALFONSO L.	RESEARCH ASSISTANT	COMPLIANCE ASSISTANT	ASIASEC EQUITIES, INC.	RE-DESIGNATION
01-Dec-14	JOYA	MARK A.	CTO	-	ACCORD CAPITAL EQUITIES CORPORATION	RESIGNATION (no clearance required)
01-Dec-14	KATAYAMA	MAMIKO	-	DIRECTOR	DBP-DAIWA CAPITAL MARKETS PHILIPPINES	NEWLY ELECTED
01-Dec-14	QUE	ANNABELLE T.	AUTHORIZED TRADER	-	YU & COMPANY, INC.	RESIGNATION (cleared)
01-Dec-14	SAMBAT	GENEVA A.	IC, VERIFICATION UNIT	IC, ACCOUNT OPENING	RCBC SECURITIES, INC.	RE-DESIGNATION
01-Dec-14	TORELLA	ZYRA D.	MANAGEMENT ACCOUNTANT	-	ACCORD CAPITAL EQUITIES CORPORATION	RESIGNATION (no clearance required)
01-Dec-14	MANGUIAT	CHRISTINE L.	-	ACCOUNTANT	A. T. DE CASTRO SECURITIES CORPORATION	NEW EMPLOYMENT
02-Dec-14	BUNAGAN	JANA C.	TRAINEE	JUNIOR DEALER	CLSA PHILIPPINES, INC.	RE-DESIGNATION
02-Dec-14	TALANAY	CHRISTINE ANNE A.	-	ACCOUNTING SPECIALIST	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
02-Dec-14	VIERNES	CRIS JEAN B.	-	OJT	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
03-Dec-14	ALONSAGAY	GREZEL R.	TELEPHONE CLERK	-	WONG SECURITIES CORPORATION	RESIGNATION (no clearance required)
03-Dec-14	PINEDA	RAMON MANUEL M.	TELEPHONE CLERK	AUTHORIZED TRADER	ALAKOR SECURITIES CORPORATION	RE-DESIGNATION
05-Dec-14	CHAN	KIRK PATRICK G.	MANAGEMENT TRAINEE	AUTHORIZED TRADER	YU & COMPANY, INC.	RE-DESIGNATION
05-Dec-14	CLAUDIO	CORAZON C.	ACCOUNTING ASSISTANT	-	VENTURE SECURITIES, INC.	RESIGNATION (did not ask for clearance to join other broker)
05-Dec-14	SISAYAN	CHRISTINE C.	ADMIN CLERK	-	YU & COMPANY, INC.	RESIGNATION (cleared)
09-Dec-14	DELOS SANTOS	EULOGIO Q.	SETTLEMENT STAFF	-	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	RESIGNATION (without clearance)
09-Dec-14	KHOO	ASHLEY L.	-	ANALYST	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT

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09-Dec-14	MAUNES	RODOLFO JR. S.	-	RESEARCH HEAD	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	NEW EMPLOYMENT
10-Dec-14	CASTAÑO	JOAQUIN M.	CERTIFIED SECURITIES REPRESENTATIVE/ TRADER	-	TANSENGCO & CO., INC.	DECEASED
10-Dec-14	PAGADUAN	JOY PAUL L.	-	TRAINEE	HDI SECURITIES, INC.	NEW EMPLOYMENT
11-Dec-14	NEYRA	RACHELLE ANNE	-	TRAINEE	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
12-Dec-14	LIM	CHRISTIAN RAY V.	-	RESEARCH ANALYST	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	NEW EMPLOYMENT
14-Dec-14	FRANCO	MA. KATRINA C.	CORPORATE SECRETARY	-	UPCC SECURITIES CORPORATION	RESIGNATION (cleared)
15-Dec-14	ABAD	ATTY. BERNARD O.	-	CORPORATE SECRETARY	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
15-Dec-14	MORENO	ROJEN GRACE R.	-	ADMIN STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
18-Dec-14	HEREDIA	HAROLD KENT P.	INVESTMENT ANALYST	-	CITISECURITIES, INC.	RESIGNATION (clearance under process but may join other broker)
19-Dec-14	GARAY	ATTY. CARLOS N.	CORPORATE SECRETARY	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES	RESIGNATION (no clearance required)
19-Dec-14	SEBELLO	JON ALVIN C.	MARKETING EVENTS & TRAINING ASSOCIATES	-	ACCORD CAPITAL EQUITIES CORPORATION	RESIGNATION (clearance under process)
22-Dec-14	YAP	MARIA ANTONETTE L.	AGENT	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
29-Dec-14	IWASAKI	YOSUKI Y.	TRAINEE	-	UPCC SECURITIES CORPORATION	RESIGNATION (no clearance required)
29-Dec-14	NEYRA	ROBYN T.	TRAINEE	-	UPCC SECURITIES CORPORATION	RESIGNATION (no clearance required)
29-Dec-14	ONG	KRIS J.	TRAINEE	-	UPCC SECURITIES CORPORATION	RESIGNATION (no clearance required)
31-Dec-14	ADONA	DANILO SR. P.	SALESPERSON	-	HDI SECURITIES, INC.	RESIGNATION (did not ask for clearance to join other broker)
31-Dec-14	ORATE	KATRINA B.	AGENT	-	CAMPOS, LANUZA & COMPANY, INC.	ON-LEAVE FOR ONE YEAR
31-Dec-14	PANIS	RYAN REY C.	SALES ASSOCIATES	-	ACCORD CAPITAL EQUITIES CORPORATION	RESIGNATION (clearance under process)
04-Jan-15	APOSTOL	CARLA MARIE S.	MARKETING ASSISTANT	-	BPI SECURITIES CORPORATION	RESIGNATION (clearance under process)