



## MEMORANDUM – 2015-007

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 3 February 2015

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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 30 January 2015.

For information and guidance.

  
**CORNELIO C. GISON**  
*President*



| DATE OF EFFECTIVITY | LAST NAME   | FIRST NAME            | PREVIOUS POSITION               | PRESENT POSITION           | TRADING PARTICIPANT                          | REMARKS                                                         |
|---------------------|-------------|-----------------------|---------------------------------|----------------------------|----------------------------------------------|-----------------------------------------------------------------|
| 01-Dec-14           | RAI         | SHELLIENA B.          | TRAINEE                         | IT CLERK                   | QUALITY INVESTMENT & SECURITIES CORPORATION  | RE-DESIGNATION                                                  |
| 08-Dec-14           | CO          | JOHN ANTHONY G.       | -                               | CUSTOMER SUPPORT ASSOCIATE | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT                                                  |
| 15-Dec-14           | GIPIT       | DANNYLYN M.           | ASSOCIATE - SETTLEMENT          | -                          | UNICAPITAL SECURITIES, INC.                  | RESIGNATION (clearance under process)                           |
| 16-Dec-14           | DEL ROSARIO | BRYAN Z.              | -                               | CLIENT ACQUISITION OFFICER | BPI SECURITIES CORPORATION                   | NEW EMPLOYMENT                                                  |
| 16-Dec-14           | NUQUE       | BONVIN G.             | TRAINEE                         | FINANCIAL ANALYST          | STAR ALLIANCE SECURITIES CORPORATION         | RE-DESIGNATION                                                  |
| 19-Dec-14           | GUBALLA     | ANDREA MAE S.         | CONTRACTOR, EQUITY SALES        | -                          | UBS SECURITIES PHILIPPINES, INC.             | RESIGNATION (cleared)                                           |
| 23-Dec-14           | YU          | KENNETH LOGAN Y.      | INTERN, EQUITIES RESEARCH       | -                          | UBS SECURITIES PHILIPPINES, INC.             | RESIGNATION (no clearance required)                             |
| 29-Dec-14           | LIM         | GERALD B.             | MESSENGER                       | -                          | ALPHA SECURITIES CORPORATION                 | RESIGNATION (clearance under process)                           |
| 29-Dec-14           | DEL MUNDO   | LARA JEANNE A.        | NEW ACCOUNTS OFFICER            | -                          | COL FINANCIAL GROUP, INC.                    | RESIGNATION (clearance under process but may join other broker) |
| 29-Dec-14           | VELASCO     | MA. JIDGETTE V.       | VP EQUITY RESEARCH              | -                          | PHILIPPINE EQUITY PARTNERS, INC.             | RESIGNATION (cleared)                                           |
| 30-Dec-14           | REITHER     | MICHELLE GERALDINE G. | CERTIFIED SECURITIES SPECIALIST | -                          | ANGPING & ASSOCIATES SECURITIES, INC.        | RESIGNATION (cleared)                                           |
| 31-Dec-14           | ANG         | BENEDICT T.           | CERTIFIED SECURITIES SPECIALIST | -                          | ABACUS SECURITIES CORPORATION                | RESIGNATION (cleared)                                           |
| 31-Dec-14           | CHEN        | JOHNSON L.            | CERTIFIED SECURITIES SPECIALIST | -                          | ABACUS SECURITIES CORPORATION                | RESIGNATION (cleared)                                           |
| 31-Dec-14           | LIM         | GEOFFREY BRIAN G.     | AUTHORIZED SALESMAN             | -                          | STAR ALLIANCE SECURITIES CORPORATION         | RESIGNATION (no clearance required)                             |
| 31-Dec-14           | VALDEZ      | ARLENE S.             | ACCOUNTING CLERK                | -                          | VICSAL SECURITIES & STOCK BROKERAGE, INC.    | RESIGNATION (cleared)                                           |
| 01-Jan-15           | SALANG      | DIOSDADO C. JR.       | DIRECTOR & COO                  | SENIOR DIRECTOR & COO      | BPI SECURITIES CORPORATION                   | RE-DESIGNATION                                                  |
| 01-Jan-15           | GUTIERREZ   | MA. MARGARITA Z.      | -                               | ANALYST                    | BPI SECURITIES CORPORATION                   | NEW EMPLOYMENT                                                  |
| 01-Jan-15           | REYES       | RYAN V.               | -                               | IT MANAGER                 | HDI SECURITIES, INC.                         | NEW EMPLOYMENT                                                  |
| 01-Jan-15           | GARCIA      | TIRSO T. JR.          | -                               | TECHNICAL SUPPORT          | HDI SECURITIES, INC.                         | NEW EMPLOYMENT                                                  |

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|---------------------|-------------|---------------------------|--------------------------------------|--------------------------------------------|----------------------------------------------|-------------------------------------|
| 01-Jan-15           | SINIO       | HERMINIO                  | MESSENGER                            | -                                          | RTG & COMPANY, INC.                          | RETIRED                             |
| 01-Jan-15           | LIM         | EARL MICHAEL L.           | SALESMAN/ AGENT                      | -                                          | SB EQUITIES, INC.                            | RESIGNATION (cleared)               |
| 01-Jan-15           | ROGERO      | ATTY. LAURENCE R.         | INDEPENDENT DIRECTOR                 | -                                          | TANSENGCO & COMPANY, INC.                    | RESIGNATION (no clearance required) |
| 01-Jan-15           | CHUA        | ATTY. YVETTE P.           | -                                    | INDEPENDENT DIRECTOR                       | TANSENGCO & COMPANY, INC.                    | NEWLY ELECTED                       |
| 01-Jan-15           | BERNARDO    | RENATO R.                 | AGENT                                | -                                          | UCPB SECURITIES, INC.                        | RESIGNATION                         |
| 01-Jan-15           | PADUA       | ALFREDO B.                | AUTHORIZED AGENT                     | -                                          | WEALTH SECURITIES, INC.                      | RESIGNATION (cleared)               |
| 01-Jan-15           | UY          | ANGELICA B.               | AUTHORIZED AGENT                     | -                                          | WEALTH SECURITIES, INC.                      | RESIGNATION (cleared)               |
| 01-Jan-15           | YAO         | WELLINGTON ANTHONY C. JR. | AUTHORIZED AGENT                     | -                                          | WEALTH SECURITIES, INC.                      | RESIGNATION (cleared)               |
| 02-Jan-15           | YU          | CARLOS R. JR.             | -                                    | EQUITY ANALYST                             | PHILIPPINE EQUITY PARTNERS, INC.             | NEW EMPLOYMENT                      |
| 05-Jan-15           | SANTOS      | MIRIAM R.                 | -                                    | ACCOUNTING SPECIALIST                      | AB CAPITAL SECURITIES, INC.                  | NEW EMPLOYMENT                      |
| 05-Jan-15           | PERALTA     | MYLENE A.                 | -                                    | ACCOUNTING SPECIALIST                      | AB CAPITAL SECURITIES, INC.                  | NEW EMPLOYMENT                      |
| 05-Jan-15           | DELFIN      | ADRIAN S.                 | MARKETING ASSISTANT/ TELEPHONE CLERK | MARKETING ASSISTANT/ TRADER                | ASIASEC EQUITIES, INC.                       | RE-DESIGNATION                      |
| 05-Jan-15           | JAVELLANA   | ISAAC JAMES C.            | -                                    | FINANCIAL ANALYST                          | CITISECURITIES, INC.                         | NEW EMPLOYMENT                      |
| 05-Jan-15           | DANDAN      | KYLE JOSHUA C.            | -                                    | FINANCIAL ANALYST                          | CITISECURITIES, INC.                         | NEW EMPLOYMENT                      |
| 05-Jan-15           | ANG         | NICOLE KELVIN S.          | -                                    | FINANCIAL ANALYST                          | CITISECURITIES, INC.                         | NEW EMPLOYMENT                      |
| 05-Jan-15           | DEL ROSARIO | VICENTE EDUARDO L. V      | -                                    | FINANCIAL ANALYST                          | CITISECURITIES, INC.                         | NEW EMPLOYMENT                      |
| 05-Jan-15           | NGO         | VINCENT T.                | -                                    | FINANCIAL ANALYST                          | CITISECURITIES, INC.                         | NEW EMPLOYMENT                      |
| 05-Jan-15           | GANHINHIN   | IRA P.                    | -                                    | INSTITUTIONAL SALES/ SALES DEALING OFFICER | COL FINANCIAL GROUP, INC.                    | NEW EMPLOYMENT                      |
| 05-Jan-15           | ALFONSO     | RALPH ZAIN C.             | -                                    | SALESMAN                                   | EASTERN SECURITIES DEVELOPMENT CORPORATION   | NEW EMPLOYMENT                      |
| 05-Jan-15           | YANGA       | BIANCA PAULINE C.         | -                                    | CUSTOMER SUPPORT ASSOCIATE                 | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT                      |
| 05-Jan-15           | ABAJON      | MHELVIN F.                | -                                    | INSTITUTIONAL SALES DEPARTMENT HEAD        | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT                      |
| 05-Jan-15           | CASTILLON   | DARLENE JOY E.            | ACCOUNTING ASSISTANT                 | ACCOUNTANT                                 | GOLDEN TOWER SECURITIES & HOLDINGS, INC.     | RE-DESIGNATION                      |

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|---------------------|------------|---------------------|---------------------------------|---------------------------|-------------------------------------------|-----------------------------------------------------------------|
|                     |            |                     |                                 |                           | HOLDINGS, INC.                            |                                                                 |
| 05-Jan-15           | CURAMMENG  | MARISSA F.          | -                               | ACCOUNTANT                | I. B. GIMENEZ SECURITIES, INC.            | NEW EMPLOYMENT                                                  |
| 05-Jan-15           | SECAPURI   | LYN R.              | -                               | GENERAL CLERK             | R. NUBLA SECURITIES, INC.                 | NEW EMPLOYMENT                                                  |
| 05-Jan-15           | AQUINO     | LOURIANN A.         | -                               | CONTRACTUAL               | RTG & COMPANY, INC.                       | NEW EMPLOYMENT                                                  |
| 05-Jan-15           | OLAR       | ANECITA R.          | -                               | HUMAN RESOURCE MANAGER    | VICSAL SECURITIES & STOCK BROKERAGE, INC. | NEW EMPLOYMENT                                                  |
| 05-Jan-15           | BASTASA    | EMILY R.            | -                               | ACCOUNTING STAFF          | VICSAL SECURITIES & STOCK BROKERAGE, INC. | NEW EMPLOYMENT                                                  |
| 05-Jan-15           | BACANI     | CARMELINO P.        | AUTHORIZED TRADER               | AGENT                     | YU & COMPANY, INC.                        | RE-DESIGNATION                                                  |
| 06-Jan-15           | LUCERO     | JONATHAN M.         | -                               | CONTRACTUAL               | RTG & COMPANY, INC.                       | NEW EMPLOYMENT                                                  |
| 07-Jan-15           | HUANG      | LANNA LESLIE N.     | CERTIFIED SECURITIES SPECIALIST | -                         | ANGPING & ASSOCIATES SECURITIES, INC.     | RESIGNATION (cleared)                                           |
| 08-Jan-15           | APARICI    | LITO C.             | -                               | MESSENGER                 | NEW WORLD SECURITIES, INC.                | NEW EMPLOYMENT                                                  |
| 09-Jan-15           | GUZMAN     | PHILIPPE ALBERT L.  | CSR EQUITIES TRADER             | -                         | CITISECURITIES, INC.                      | RESIGNATION (clearance under process but may join other broker) |
| 12-Jan-15           | AGUIRRE    | JHONSEN T.          | ACCOUNTING STAFF                | -                         | BPI SECURITIES CORPORATION                | RESIGNATION (clearance under process)                           |
| 12-Jan-15           | LOZANO     | FRANCHESKA ,.       | -                               | INTERN, EQUITIES RESEARCH | UBS SECURITIES PHILIPPINES, INC.          | NEW EMPLOYMENT                                                  |
| 12-Jan-15           | LIM        | IAN JOREN P.        | -                               | INTERN, EQUITIES RESEARCH | UBS SECURITIES PHILIPPINES, INC.          | NEW EMPLOYMENT                                                  |
| 13-Jan-15           | PAGADUAN   | JOY PAUL L.         | TRAINEE                         | SALESMAN/ TRADER          | HDI SECURITIES, INC.                      | RE-DESIGNATION                                                  |
| 13-Jan-15           | LIM        | SARAH JANE Y.       | TRAINEE                         | SALESMAN/ TRADER          | HDI SECURITIES, INC.                      | RE-DESIGNATION                                                  |
| 13-Jan-15           | GARCELLANO | HECTOR P.           | TRADING FLOOR ASSISTANT         | -                         | REGINA CAPITAL DEVELOPMENT CORPORATION    | RESIGNATION (cleared)                                           |
| 13-Jan-15           | VIERNES    | CRIS JEAN B.        | -                               | ON THE JOB TRAINEE        | UPCC SECURITIES CORPORATION               | NEW EMPLOYMENT                                                  |
| 15-Jan-15           | SY         | ELIAS D.            | CERTIFIED SECURITIES SPECIALIST | -                         | NIEVES SECURITIES, INC.                   | RESIGNATION (cleared)                                           |
| 15-Jan-15           | GARCELLANO | HECTOR P.           | -                               | SALES AGENT               | WESTLINK GLOBAL EQUITIES, INC.            | NEW EMPLOYMENT                                                  |
| 19-Jan-15           | MONTERO    | PAULINE MARGARET R. | SETTLEMENT CLERK                | MARKETING ASSOCIATES      | INVESTORS SECURITIES, INC.                | RE-DESIGNATION                                                  |
| 19-Jan-15           | VILLAJUAN  | JULIE ANNE D.       | TELEPHONE CLERK                 | -                         | TRANS-ASIA SECURITIES, INC.               | RESIGNATION (no clearance required)                             |
| 19-Jan-15           | DE GUZMAN  | KRISTINE MAE A.     | OFFICE CLERK                    | TELEPHONE CLERK           | TRANS-ASIA SECURITIES, INC.               | RE-DESIGNATION                                                  |

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|---------------------|-----------|---------------------|---------------------------------|------------------------------|-----------------------------------------|--------------------------------------------------------------------|
| 23-Jan-15           | MARCON    | MERYL MAE S.        | SENIOR MANAGER,<br>CHANNEL HEAD | -                            | MAYBANK ATR KIM ENG SECURITIES, INC.    | RESIGNATION<br>(clearance under process)                           |
| 25-Jan-15           | CABRERA   | CARL DAVID E.       | MET ASSOCIATE                   | SALESMAN                     | ACCORD CAPITAL EQUITIES<br>CORPORAITION | RE-DESIGNATION                                                     |
| 25-Jan-15           | JUNA      | ELDON GLENN M.      | SALES ASSOCIATE                 | -                            | ACCORD CAPITAL EQUITIES<br>CORPORAITION | RESIGNATION<br>(clearance under process)                           |
| 25-Jan-15           | AMANTE    | VERMONT PAUL G.     | -                               | MET ASSOCIATE                | ACCORD CAPITAL EQUITIES<br>CORPORAITION | NEW EMPLOYMENT                                                     |
| 26-Jan-15           | DY        | MAUREEN PHILLINE C. | -                               | HR & ADMIN SUPERVISOR        | ACCORD CAPITAL EQUITIES<br>CORPORAITION | NEW EMPLOYMENT                                                     |
| 26-Jan-15           | LIM       | KRISTINE JOY P.     | CUSTOMER SERVICE<br>OFFICER     | -                            | COL FINANCIAL GROUP, INC.               | RESIGNATION (clearance under<br>process but may join other broker) |
| 26-Jan-15           | ESTARES   | ELIZABETH M.        | ACCOUNTANT                      | -                            | I. B. GIMENEZ SECURITIES, INC.          | RESIGNATION<br>(no clearance required)                             |
| 26-Jan-15           | ESGANA    | CECIL KIM R.        | -                               | ASSOCIATED PERSON<br>TRAINEE | WESTLINK GLOBAL EQUITIES, INC.          | NEW EMPLOYMENT                                                     |