



## MEMORANDUM – 2015-015

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 8 May 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 April 2015.

For information and guidance.

  
**CORNELIO C. GISON**  
*President*

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
30-Jun-14	FARINAS	KAREN G.	DEALER	-	PHILIPPINE EQUITY PARTNERS, INC.	RESIGNATION (clearance under process)
06-Mar-15	SAN JOAQUIN	ANTHONY D. R.	AGM/ ASSOCIATED PERSON	AGM/ SALESMAN/ TRADER	INTRA-INVEST SECURITIES, INC.	RE-DESIGNATION
12-Mar-15	LASTRILLA	CRISTINA L.	SALES AND RESEARCH COORDINATOR	-	CLSA PHILIPPINES, INC.	RESIGNATION (no clearance required)
13-Mar-15	MARQUINA	REYNALDO C.	ASSOCIATE - ACCOUNTING	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
15-Mar-15	ANGKIANGCO	JHANDREA W.	SPECIALIST	-	BPI SECURITIES CORPORATION	RESIGNATION (clearance under process)
16-Mar-15	ABARCA	LEO CESAR M.	-	FRONT OFFICE ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-15	PEREGRINO	DOLORES D.	-	SALES AND RESEARCH COORDINATOR	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
16-Mar-15	LUMANLAN	THERESA JOY F.	-	SECTION HEAD - CUSTOMER SUPPORT	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-Mar-15	CERVANTES	JEREMY B.	-	EQUITY RESEARCH ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
17-Mar-15	TICZON	EDICER G.	ACCOUNTANT	-	I. ACKERMAN & COMPANY, INC.	RESIGNATION (clearance under process)
23-Mar-15	PILAPIL	KHYLE NICCOLO S.	-	RESEARCH ANALYST	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	NEW EMPLOYMENT
27-Mar-15	DE GUZMAN	JAN CAMILLUS C.	IT OFFICER - SYSTEMS ANALYST	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
30-Mar-15	JOSE	FRANCISCO JAVIER E.	-	TREASURER	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
30-Mar-15	DEE	MICHAEL BERNARD S.	SALESPERSON	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (cleared)
31-Mar-15	TUMALIUAN	MARIA CORAZON T.	CUSTOMER SERVICE STAFF	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
31-Mar-15	ESCOTIDO	THEDANI T.	ACCOUNTING ASSISTANT	-	ALPHA SECURITIES CORPORATION	RESIGNATION (clearance under process)
31-Mar-15	LANUZA	CAMILLA MARIE V.	CLERICAL ASSISTANT	-	CAMPOS, LANUZA & COMPANY, INC.	RESIGNATION (no clearance required)
31-Mar-15	MARQUEZ	JOHN S.	-	SETTLEMENTS ASSOCIATE (CONTRACTUAL)	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
31-Mar-15	BASCO	CHERRY JOY D.	ASSISTANT SETTLEMENT CLERK	-	DW CAPITAL, INC.	RESIGNATION (cleared)
31-Mar-15	LIM	JUDY U.	ACCOUNTING OFFICER	-	EASTERN SECURITIES DEVELOPMENT	RESIGNATION (cleared)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
					CORPORATION	
31-Mar-15	DELA CRUZ	MICHELLE S.	ASSOCIATED PERSON	-	GOLDEN TOWER SECURITIES & HOLDINGS, INC.	RESIGNATION (did not apply for clearance to join other broker)
31-Mar-15	LIM	RAMON L.	PRESIDENT/ DIRECTOR/ NOMINEE	-	PNB SECURITIES, INC.	RETIREMENT
31-Mar-15	SANTOS	KATRINA V.	EQUITY TRADER	-	RCBC SECURITIES, INC.	RESIGNATION (did not apply for clearance to join other broker)
31-Mar-15	SANICO	NATHANIEL A.	RESEARCH ANALYST	-	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	RESIGNATION (cleared)
31-Mar-15	CASTIVA	JENNIFER I.	ADMIN CLERK	-	YU & COMPANY, INC.	RESIGNATION (clearance under process)
31-Mar-15	CASIHAN	ZOSIMO JR. N.	INDEPENDENT DIRECTOR	-	MARIAN SECURITIES, INC.	RESIGNATION
31-Mar-15	REYES	RIA C.	SECURITIES CUSTODIAN	-	SALISBURY BKT SECURITIES CORPORATION	RESIGNATION
01-Apr-15	SAMONTE	ALFREDO D. SR.	-	TRAINEE	A. T. DE CASTRO SECURITIES CORPORATION	NEW EMPLOYMENT
01-Apr-15	ENRIQUEZ	RICARDO E.	-	VICE PRESIDENT	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
01-Apr-15	ASTURIAS	LEODA AUREA C.	-	SENIOR MANAGER	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
01-Apr-15	TUMALIUAN	MARIA CORAZON T.	-	CERTIFIED SECURITIES REPRESENTATIVE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
01-Apr-15	LIM	MA. ANA EMMANUELLE N.	-	TELEPHONE CLERK	BELSON SECURITIES, INC.	NEW EMPLOYMENT
01-Apr-15	ANG	ANGELA BEATRICE	SALES TRAINEE	SALES AGENT	BPI SECURITIES CORPORATION	RE-DESIGNATION
01-Apr-15	SANCHEZ	ENRIQUE RAFHAEL	-	SALES AGENT	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Apr-15	SANCHEZ	ENRIQUE RAFHAEL	CEBU SALES ASSOCIATE - SPECIALIST	-	BPI SECURITIES CORPORATION	RESIGNATION (clearance under process)
01-Apr-15	LAO	LORNA D.	-	TREASURY ASSISTANT	EASTERN SECURITIES DEVELOPMENT CORPORATION	NEW EMPLOYMENT
01-Apr-15	BANADA	MARY ROSE F.	-	HUMAN RESOURCES GENERALIST	EASTERN SECURITIES DEVELOPMENT CORPORATION	NEW EMPLOYMENT
01-Apr-15	YANGA	BIANCA PAULINE C.	CUSTOMER SUPPORT ASSOCIATE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
01-Apr-15	BOLAZO	NUMERIANO B.	CHIEF COMPLIANCE OFFICER	EXECUTIVE VICE PRESIDENT, CHIEF COMPLIANCE OFFICER	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION

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01-Apr-15	MANALAYSAY	RAPHAEL T.	SENIOR VICE PRESIDENT, FOREIGN INSTITUTIONAL SALES	EXECUTIVE VICE PRESIDENT, FOREIGN INSTITUTIONAL SALES	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	ROY	KEITH JOSEPH S.	VICE PRESIDENT, HEAD OF SALES DEALING AND TRADING	SENIOR VICE PRESIDENT, HEAD OF SALES DEALING AND TRADING	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	TAN	KATHERINE T.	ASSISTANT VICE PRESIDENT, RESEARCH	VICE PRESIDENT, RESEARCH	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	FORMALES	MINNIE I.	SENIOR MANAGER, ASSISTANT COMPLIANCE OFFICER	ASSISTANT VICE PRESIDENT, ASSISTANT COMPLIANCE OFFICER	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	ROQUE	RICHARD ALLEN D.	PRODUCT DEVELOPMENT & INCENTIVES HEAD	ASSISTANT VICE PRESIDENT, PRODUCT DEVELOPMENT & INCENTIVES HEAD	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	CHAN	HANNAH CECILLE L.	ASSISTANT MANAGER, FINANCIAL PLANNER FOR PRODUCT & SERVICES	MANAGER, FINANCIAL PLANNER FOR PRODUCT & SERVICES	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	REYES	PAULA RENEE M.	MULTIMEDIA GRAPHICS DESIGNER	ASSISTANT MANAGER, MULTIMEDIA GRAPHICS DESIGNER	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	MAGHIRANG	ARABELLE C.	RESEARCH ANALYST	ASSISTANT MANAGER, RESEARCH ANALYST	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	JIMENEZ	JACLYN P.	RESEARCH ANALYST	ASSISTANT MANAGER, RESEARCH ANALYST	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Apr-15	SULAYAO	VICENTE G. JR.	TELEPHONE CLERK	-	R & L INVESTMENTS, INC.	RESIGNATION (without clearance)
01-Apr-15	GATCHALIAN	GENER M.	-	INDEPENDENT DIRECTOR	MARIAN SECURITIES, INC.	NEWLY ELECTED
01-Apr-15	BALALA	BENEDICT M.	-	OPERATIONS MANAGER/ SETTLEMENT HEAD	MERIDIAN SECURITIES, INC.	NEW EMPLOYMENT
03-Apr-15	LIM	IAN JOREN P.	INTERN, EQUITIES RESEARCH	-	UBS SECURITIES PHILIPPINES, INC.	END OF INTERNSHIP
04-Apr-15	TEE	MARKWIN L.	-	DIRECTOR	PREMIUM SECURITIES, INC.	NEW APPOINTMENT
06-Apr-15	MASAYDA	AMIE D.	ACCOUNTING SPECIALIST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
06-Apr-15	LALICON	ANDREI	-	GRAPHIC ARTIST - CONTRACTUAL	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
06-Apr-15	PONTINO	NILLETH MAE ANN V.	-	PCG ASSOCIATE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
06-Apr-15	MACAPUGAY	AVA DIORELLA C.	-	PCG ASSOCIATE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
06-Apr-15	ANDRADE	MICHAEL ANGELO R.	-	TRADER/ SALESMAN	EAST WEST CAPITAL CORPORATION	NEW EMPLOYMENT

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06-Apr-15	DE JESUS	MELINDA M.	-	SERVICE QUALITY CONSULTANT	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
06-Apr-15	MABUTE	MARY JAIMEIelyn T.	-	INVESTMENT ANALYST	IGC SECURITIES, INC.	NEW EMPLOYMENT
06-Apr-15	BUITA	CATHERINE P.	-	ADMINISTRATIVE ASSISTANT	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
06-Apr-15	OCAMPO	PEAVEY M.	-	ASSISTANT MANAGER, WEB & TECHNICAL SOLUTIONS SPECIALIST	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
06-Apr-15	LISBONA	MANUEL ANTONIO G.	DEPUTY HEAD	ACTING PRESIDENT/ DIRECTOR/ NOMINEE	PNB SECURITIES, INC.	RE-DESIGNATION
06-Apr-15	DE LARA	VICTOR AARON G.	-	RESEARCH ANALYST	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	NEW EMPLOYMENT
06-Apr-15	CRUZ	LEA S.	-	ASSOCIATE - ACCOUNTING	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
06-Apr-15	MENDIOLA	MA. THELMA A.	-	INDEPENDENT DIRECTOR	YU & COMPANY, INC.	NEW EMPLOYMENT
06-Apr-15	DELFINO	NERIZA M.	-	INDEPENDENT DIRECTOR	YU & COMPANY, INC.	NEW EMPLOYMENT
06-Apr-15	WANG	SONNY K.	INDEPENDENT DIRECTOR	-	YU & COMPANY, INC.	RESIGNATION (cleared)
06-Apr-15	LIM	MARTIN A.	INDEPENDENT DIRECTOR	-	YU & COMPANY, INC.	RESIGNATION (cleared)
06-Apr-15	MUESCO	CLAUDINE A.	-	STUDENT PRACTICUM	YU & COMPANY, INC.	NEW EMPLOYMENT
06-Apr-15	GAITE	JOSE FERNANDO VICTOR M.	-	CONSULTANT	MERIDIAN SECURITIES, INC.	NEW EMPLOYMENT
07-Apr-15	SAITO	SOICHI	PRESIDENT/ CEO/ NOMINEE/ DIRECTOR	-	DBP-DAIWA CAPITAL MARKETS PHILS., INC.	RESIGNATION (cleared)
07-Apr-15	NAKANISHI	KENJI	-	PRESIDENT/ CEO/ NOMINEE/ DIRECTOR	DBP-DAIWA CAPITAL MARKETS PHILS., INC.	NEWLY ELECTED
07-Apr-15	YANAGISAWA	SHIKO	-	DIRECTOR	DBP-DAIWA CAPITAL MARKETS PHILS., INC.	NEWLY ELECTED
07-Apr-15	AKUZAWA	TETSUO	DIRECTOR	-	DBP-DAIWA CAPITAL MARKETS PHILS., INC.	RESIGNATION (cleared)
08-Apr-15	JACINTO	GENEROSA D.	NOMINEE	-	EASTERN SECURITIES DEVELOPMENT CORPORATION	RESIGNATION (cleared)
10-Apr-15	SANTOS	SARAH NICOLE T.	-	TRAINEE	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
10-Apr-15	MATEO	MANUEL B.	OPERATIONS MANAGER/ SETTLEMENT HEAD	-	MERIDIAN SECURITIES, INC.	RESIGNATION



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11-Apr-15	DE GUZMAN	RYAN B.	MESSENGER	-	ALPHA SECURITIES CORPORATION	RESIGNATION (clearance under process)
13-Apr-15	ONG	JOHN ALDRICH C.	CONSULTANT	SALESMAN/AGENT	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
13-Apr-15	ESPINOCILLA	ALIX EMMANUEL C.	-	SALESMAN/AGENT	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
13-Apr-15	HALILI	ALYSSA JEAN V.	-	ON THE JOB TRAINEE	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
15-Apr-15	AMORANTO	ROBIN JUSTIN D.	TRADER	-	GOLDEN TOWER SECURITIES & HOLDINGS, INC.	RESIGNATION (did not apply for clearance to join other broker)
16-Apr-15	CHAN	CINDY THERESE B.	-	CHIEF FINANCIAL OFFICER	A & A SECURITIES, INC.	NEW EMPLOYMENT
16-Apr-15	VINASOY	ABIGAIL	FULLFILLMENT BANKING CONTRACTUAL	ACCOUNT OPENING ASSOCIATE	BPI SECURITIES CORPORATION	RE-DESIGNATION
16-Apr-15	ESTOLEYDES	VIOLETA M.	COMPLIANCE ASSISTANT	LEGAL & COMPLIANCE ASSISTANT	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
16-Apr-15	MAGHARI	SHEILA A.	CUSTOMER SERVICE OFFICER	RELATIONSHIP MANAGER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
16-Apr-15	NEPOMUCENO	ERIKA JOY R.	ACCOUNTING ASSISTANT SUPERVISOR	ACCOUNTING SUPERVISOR	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
16-Apr-15	CUARTERON	SHEENA FAYE N.	-	ACCOUNTING STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
16-Apr-15	CO	RONALD EMMANUEL A.	BUSINESS DEVELOPMENT OFFICER	DEPARTMENT HEAD - OPERATIONS	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-Apr-15	JERUSALEM	WINEFREDA B.	-	ACCOUNTANT	VENTURE SECURITIES, INC.	NEW EMPLOYMENT
16-Apr-15	AGUIRRE	MICHELE A.	-	MANAGEMENT TRAINEE	YU & COMPANY, INC.	NEW EMPLOYMENT
16-Apr-15	REYES	MARVIN T.	-	MANAGEMENT TRAINEE	YU & COMPANY, INC.	NEW EMPLOYMENT
20-Apr-15	ENRIQUEZ	JOHN PATRICK S.	-	NETWORK/ SYSTEMS SUPPORT	ASIASEC EQUITIES, INC.	NEW EMPLOYMENT
20-Apr-15	DE LEON	MADONNA D.	-	RELATIONSHIP MANAGER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
20-Apr-15	PASCUA	JINKEE N.	-	NEW ACCOUNTS OFFICER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
24-Apr-15	RAMOS	JOYCE ANNE J.	RESEARCH ANALYST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
30-Apr-15	BAUTISTA	PEARL CHARISSE D.	-	ASSISTANT CORPORATE SECRETARY	J. P. MORGAN SECURITIES PHILS., INC.	NEW EMPLOYMENT
04-May-15	ESPERO	ALLAN N.	-	IT OFFICER - SYSTEMS ANALYST	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
04-May-15	TORRES	GRACE ANNE L.	-	ON THE JOB TRAINEE	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT