



MEMORANDUM – 2015-024

To : All Trading Participants

Subject : Employee Movement

Date : 5 October 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 30 September 2015.

For information and guidance.

A handwritten signature in blue ink, appearing to read 'gmc', is positioned above the printed name.

GRACE M. CALUBAQUIB

Assistant Vice President

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
23-Jun-15	BALATBAT	FERNANDO R.	INDEPENDENT DIRECTOR	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
23-Jun-15	CARANDANG	RAMON A.	-	INDEPENDENT DIRECTOR	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
02-Aug-15	SISON	ANTONIO R.	DIRECTOR/ TREASURER	-	UPCC SECURITIES CORPORATION	RESIGNATION (no clearance required)
03-Aug-15	SAN PEDRO	CRISTOPHER ADRIAN T.	TRADER	-	EASTWEST CAPITAL CORPORATION	RESIGNATION (clearance under process)
03-Aug-15	ESGANA	CECIL KIM R.	ACTING ASSOCIATED PERSON	ASSOCIATED PERSON	WESTLINK GLOBAL EQUITIES, INC.	RE-DESIGNATION
04-Aug-15	GOSPODINOV	ALEX	-	ASSOCIATE DIRECTOR	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
04-Aug-15	MAYHEW	OWEN	-	DIVISION DIRECTOR	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
06-Aug-15	BOW	BOB	-	ASSOCIATE DIRECTOR	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
06-Aug-15	TEPAA	THOMAS CHARLES	-	EXECUTIVE	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
10-Aug-15	NGSUY	PATRICIA	-	INTERN	CITISECURITIES, INC.	NEW EMPLOYMENT
10-Aug-15	SCHMID	SARAH CRISTINA	-	INTERN	CITISECURITIES, INC.	NEW EMPLOYMENT
10-Aug-15	VALDE	BERNADETH V.	SETTLEMENT SUPERVISOR	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
11-Aug-15	AGUIRRE	RAMON JOSE E.	MANAGER	-	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	RESIGNATION (cleared)
14-Aug-15	DELA PERI	CLENT JOSEPH C.	APPLICATION SUPPORT STAFF	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
16-Aug-15	BACTONG	HERBERT JOEI L.	CHIEF TECHNOLOGY OFFICER - DIRECTOR	-	BPI SECURITIES CORPORATION	RESIGNATION (cleared)
19-Aug-15	GOCUACO	GAIL MARIE D.	-	RESEARCH ASSISTANT	PHILIPPINE EQUITY PARTNERS, INC.	NEW EMPLOYMENT
19-Aug-15	SCHMID	SARAH CRISTINA	INTERN	-	CITISECURITIES, INC.	RESIGNATION (no clearance required)
21-Aug-15	NGSUY	PATRICIA	INTERN	-	CITISECURITIES, INC.	RESIGNATION (no clearance required)
21-Aug-15	UY	JESLEY T.	TRAINEE	TRADING ASSISTANT	HDI SECURITIES, INC.	RE-DESIGNATION
24-Aug-15	SANTOS	ANNA MARIA PATRICIA D.	-	SALES AGENT	SB EQUITIES, INC.	NEW EMPLOYMENT
26-Aug-15	GUTIERREZ	MA. MARGARUTA Z.	HNW SALES TRADER	-	BPI SECURITIES CORPORATION	RESIGNATION (cleared)
27-Aug-15	MAROGA	LIZA	TRADER	-	SOLAR SECURITIES, INC.	RESIGNATION (no clearance required)
28-Aug-15	SALVADORA	GAYLE P.	RESEARCH ASSISTANT	-	PHILIPPINE EQUITY PARTNERS, INC.	RESIGNATION (cleared)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
					INC.	
31-Aug-15	CO	CECILIA H.	ACCOUNTING HEAD	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
01-Sep-15	LIM	TAMMY B.	HEAD CASHIER	ACCOUNTING HEAD	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Sep-15	ANG	MARIAN C.	ASSISTANT MANAGER AND RESEARCH OFFICER	-	BDO SECURITIES CORPORATION	RESIGNATION (clearance under process)
01-Sep-15	BASCUGUIN	BUENA M.	-	SHARES SETTLEMENT HEAD	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-15	TAGAYLO	REGINE Y.	-	ACCOUNTING MANAGER	CITISECURITIES, INC.	NEW EMPLOYMENT
01-Sep-15	FLORES	MATT ELVIS A.	-	TRAINEE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
01-Sep-15	SIY	MICHELLE G.	-	RELATIONSHIP OFFICER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
01-Sep-15	BELTRAN	ANDRO LEO I.	-	INSTITUTIONAL SALES OFFICER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
01-Sep-15	FORTIN	MARGIE M.	-	CORPORATE TREASURER	HDI SECURITIES, INC.	NEW EMPLOYMENT
01-Sep-15	RIVERA	MARIA THERESA O.	CORPORATE TREASURER	-	HDI SECURITIES, INC.	RESIGNATION (no clearance required)
01-Sep-15	GONZALES	JENNIFER U.	-	OFFICE CLERK	MERCANTILE SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-15	ESPINAR	AVIE JOY D.	-	SYSTEM ADMINISTRATOR	QUALITY INVESTMENT & SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-15	YU	WELLINGTON C.	CHAIRMAN OF THE BOARD	-	YU & COMPANY, INC.	RESIGNATION (no clearance required)
01-Sep-15	YU	LINCOLN C.	-	CHAIRMAN OF THE BOARD	YU & COMPANY, INC.	NEW EMPLOYMENT
01-Sep-15	BUITA	CATHERINE P.	ADMINISTRATIVE ASSISTANT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
02-Sep-15	MENDOZA	MICHAEL CHRISTOPHER S.	-	IT SUPPORT - CONTRACTUAL	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
02-Sep-15	SALVADOR	BILLY RAY R.	-	SALESMAN TRAINEE	SUNSECURITIES, INC.	NEW EMPLOYMENT
04-Sep-15	ELIZALDE	ANTONIO A.	TRAINEE, RESEARCH	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
07-Sep-15	LORENZO	CHRISTOPHER G.	-	TRAINEE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
07-Sep-15	MACANILAO	ALPHA IAN GENESIS L.	-	MARKETING & SALES ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
07-Sep-15	PADERNAL	MARY GRACE B.	-	FINANCIAL ACCOUNTING ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
07-Sep-15	ZALAMEDA	IVAN L.	SALES	-	SB EQUITIES, INC.	RESIGNATION (cleared)

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07-Sep-15	CAMPOS	RAMON GERARDO D.	-	INTERN, EQUITIES RESEARCH	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
10-Sep-15	ADVIENTO	RAMON PETER E.	VICE PRESIDENT, RESEARCH DEPARTMENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
10-Sep-15	BUCAG	ALFONSO LUIS B.	-	CONTRACTOR, CLIENT TRADING AND EXECUTION	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
11-Sep-15	FONTANILLA	JOSE PAOLO C.	SR. INVESTMENT ANALYST	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
14-Sep-15	GARCIA	NATHALIE M.	-	COMPLIANCE OFFICER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
14-Sep-15	LAUREL	JOSE ARSENIO S.	-	TRAINEE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
14-Sep-15	ANTONINO	IAN F.	VICE PRESIDENT/ CHIEF OPERATING OFFICER	VICE PRESIDENT	SARANGANI SECURITIES, INC.	RE-DESIGNATION
14-Sep-15	FONTANILLA	JOSE PAOLO C.	-	SENIOR RESEARCH ANALYST	SB EQUITIES, INC.	NEW EMPLOYMENT
15-Sep-15	ILAGAN	MARITES D.	SALES AGENT	-	SB EQUITIES, INC.	RESIGNATION (cleared)
15-Sep-15	ABAD	BERNARD O.	-	CORPORATE SECRETARY	TRI-STATE SECURITIES, INC.	NEW EMPLOYMENT
15-Sep-15	ESPINOSA	KRISTINE M.	CORPORATE SECRETARY	-	TRI-STATE SECURITIES, INC.	RESIGNATION (no clearance required)
16-Sep-15	MATUTE	MONICA ISABEL C.	HNW SALES TRADER	SPECIAL PROJECTS	BPI SECURITIES CORPORATION	RE-DESIGNATION
16-Sep-15	ADRIANO	MACIE V.	ASSISTANT MANAGER - SOCIAL MEDIA MANAGEMENT	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
18-Sep-15	SALVADOR	BILLY RAY R.	SALESMAN TRAINEE	SALESMAN/ ACCOUNT EXECUTIVE	SUNSECURITIES, INC.	RE-DESIGNATION
19-Sep-15	ESCALONA	PEARL HOPE MICHELLE S.	AP & COMPLIANCE OFFICER	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
21-Sep-15	GO	MALCOLM MILTON T.	-	ENGAGEMENT OFFICER	PHILSTOCKS FINANCIAL, INC.	NEW EMPLOYMENT
21-Sep-15	MORALES	GENECIO C. JR.	-	SALESMAN	PHILSTOCKS FINANCIAL, INC.	NEW EMPLOYMENT
21-Sep-15	TAW	CHLOE NICOLE D.	-	CUSTOMER CARE ASSOCIATE	PHILSTOCKS FINANCIAL, INC.	NEW EMPLOYMENT
23-Sep-15	ENRIQUEZ	FERNANDO M.	AUTHORIZED AGENT	-	WEALTH SECURITIES, INC.	RESIGNATION (cleared)
24-Sep-15	VILLACRUZ	GISSA M.	-	ADMINISTRATIVE STAFF (CONTRACTUAL), SETTLEMENTS	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
04-Oct-15	BONIAO	KRISTINE R.	CONTRACTUAL - CUSTOMER CARE ASSOCIATE	-	PHILSTOCKS FINANCIAL, INC.	RESIGNATION