



MEMORANDUM – 2015-029

To : All Trading Participants

Subject : Employee Movement

Date : 3 December 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 November 2015.

For information and guidance.


GRACE M. CALUBAQUIB
Assistant Vice President

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
15-May-15	MARTINEZ	BETTINA MAREE R.	EQUITIES RESEARCH ANALYST	-	J. P. MORGAN SECURITIES PHILS., INC.	RESIGNATION (cleared)
25-Sep-15	SARMIENTO	JEFFREY G.	TRADER/ SALESMAN	-	HDI SECURITIES, INC.	RESIGNATION (cleared)
30-Sep-15	EXCONDE	MARIA VERONICA P.	ASSOCIATED PERSON	-	STRATEGIC EQUITIES CORPORATION	RESIGNATION (cleared)
07-Oct-15	NARIO	IVAN CHRISTOPHER I.	SALESMAN	-	BDO SECURITIES, INC.	RESIGNATION (cleared)
20-Oct-15	MIAPE	ALADIN T.	OIC OF ACCOUNTING AND REPORTS UNIT	SPECIAL PROJECTS AND RECONCILIATION OFFICER	BPI SECURITIES CORPORATION	RE-DESIGNATION
21-Oct-15	SEBASTIAN	ANTHONY N.	ACCOUNTING ASSOCIATE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
22-Oct-15	REYES	REGULO GENEROSO R.	-	SALESMAN/ AGENT	PNB SECURITIES, INC.	NEW EMPLOYMENT
24-Oct-15	NUNGA	SUSAN D.	SPECIAL ASSISTANT TO PRESIDENT II	MANAGEMENT CONSULTANT	DA MARKET SECURITIES, INC.	RE-DESIGNATION
26-Oct-15	LORENA	JHONAS M.	-	IT NETWORK & SYSTEM ADMINISTRATOR	ASIASEC EQUITIES, INC.	NEW EMPLOYMENT
26-Oct-15	LARITA	LAWRENCE ANGELICA R.	-	TRADING FLOOR ASSISTANT	BELSON SECURITIES, INC.	NEW EMPLOYMENT
26-Oct-15	CRUZ	KRYSTYN MARIEL M.	-	ACCOUNTANT-TRAINEE	PREMIUM SECURITIES, INC.	NEW EMPLOYMENT
26-Oct-15	FABREGAS	AVE	ACCOUNTANT	-	PREMIUM SECURITIES, INC.	RESIGNATION
28-Oct-15	GARCIA	RHOGEN AUBREY L.	INTERN	-	COL FINANCIAL GROUP, INC.	RESIGNATION (no clearance required)
30-Oct-15	HUGO	VALERIE JEAN MARIE T.	EQUITY SALES ASSOCIATE	-	PHILIPPINE EQUITY PARTNERS, INC.	RESIGNATION (cleared)
30-Oct-15	SY	OLIVER DEXTER C.	TRADER	-	EVERGREEN STOCK BROKERAGE & SECURITIES, INC.	RESIGNATION (cleared)
30-Oct-15	DAGURO	HARLENE MITCH M.	ACCOUNTANT	-	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	RESIGNATION (cleared)
31-Oct-15	ALDANA	ATTY. DARYL C.	-	CORPORATE SECRETARY	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
31-Oct-15	IBARRA	ATTY. JOAHNES CRIZELLE T.	-	ALTERNATE CORPORATE SECRETARY	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
31-Oct-15	YBAÑEZ	ATTY. JOSEPH B.	CORPORATE SECRETARY	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (cleared)
31-Oct-15	ENRIQUEZ	JOHN PATRICK S.	-	NETWORK/ SYSTEMS SUPPORT	ASIASEC EQUITIES, INC.	RESIGNATION (did not request for clearance)

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31-Oct-15	DYCHIAO	ANDREW P.	SALESPERSON	-	BELSON SECURITIES, INC.	RESIGNATION (cleared)
31-Oct-15	NEVADO	WILLIAM C.	SHARES SETTLEMENT ASSOCIATE	-	BPI SECURITIES CORPORATION	RESIGNATION (clearance under process)
31-Oct-15	VELASCO	KEVIN TRISTAN S.	CSR EQUITIES TRADER	-	CITISECURITIES, INC.	RESIGNATION (clearance under process but may join other broker)
31-Oct-15	WONG	SANTIAGO L.	SALESMAN	-	GLOBALINKS SECURITIES & STOCKS, INC.	RESIGNATION (no clearance required)
02-Nov-15	VALDE	BERNADETH V.	-	SETTLEMENTS OFFICER	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
02-Nov-15	WEE	LOUIE CHRISTOPHER Y.	-	RESEARCH ASSISTANT	CITISECURITIES, INC.	NEW EMPLOYMENT
02-Nov-15	YU	JEREMY JOHNSON N.	-	FINANCIAL ANALYST	CITISECURITIES, INC.	NEW EMPLOYMENT
02-Nov-15	BILAZON	LIEZEL V.	-	JR. ACCOUNTANT II	EASTERN SECURITIES DEVELOPMENT CORPORATION	NEW EMPLOYMENT
02-Nov-15	OCIER	HENRY N.	DIRECTOR	DIRECTOR/ VICE PRESIDENT	EASTERN SECURITIES DEVELOPMENT CORPORATION	RE-DESIGNATION
02-Nov-15	TAN	LESLIE S.	VP SALES/ SALESMAN	SALESMAN	EASTERN SECURITIES DEVELOPMENT CORPORATION	RE-DESIGNATION
02-Nov-15	CHOA	LIZANNE KRYSTLE T.	-	TELEPHONE CLERK	EVERGREEN STOCK BROKERAGE & SECURITIES, INC.	NEW EMPLOYMENT
02-Nov-15	KASTEN	JACQUELINE P.	ACCOUNTANT	ASSOCIATED PERSON	UPCC SECURITIES CORPORATION	RE-DESIGNATION
02-Nov-15	DAVIS	PRINCESS D.	ACCOUNTING CLERK	ACCOUNTANT	UPCC SECURITIES CORPORATION	RE-DESIGNATION
02-Nov-15	JULIA	FELICISIMA S.	ACCOUNTANT	-	YAO & ZIALCITA, INC.	RETIREMENT
02-Nov-15	REYES	MARVIN T.	AUTHORIZED TRADER	-	YU & COMPANY, INC.	RESIGNATION (need to clear pending matters)
03-Nov-15	BERNARDO	PAOLO VICENTE A.	RESEARCH AND FINANCE ANALYST	RESEARCH AND FINANCE ANALYST/ SALESMAN/ TRADER	HDI SECURITIES, INC.	RE-DESIGNATION
03-Nov-15	WEE	PAUL L.	VICE CHAIRMAN/ NOMINEE	CHAIRMAN/ NOMINEE	PHILSTOCKS FINANCIAL, INC.	RE-DESIGNATION
03-Nov-15	BASE	CHRISTINE P.	ASSISTANT CORPORATE SECRETARY	DIRECTOR/ ASSISTANT CORPORATE SECRETARY	PHILSTOCKS FINANCIAL, INC.	RE-DESIGNATION
03-Nov-15	HERBOSA	ANTONIO B.	CHAIRMAN/ DIRECTOR	-	PHILSTOCKS FINANCIAL, INC.	RESIGNATION (cleared)
03-Nov-15	GAOIRAN	GENEVA CLAIRE O.	-	ACCOUNTING STAFF	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	NEW EMPLOYMENT

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04-Nov-15	ESCANER	CALIXTO P.	CERTIFIED SECURITIES REPRESENTATIVE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
04-Nov-15	BARDAJE	MARY ROSE D.	-	ON THE JOB TRAINEE	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
04-Nov-15	BENITO	KIMBERLY ROSE T.	-	ON THE JOB TRAINEE	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
06-Nov-15	PE	CAROLINE U.	SALES AGENT	-	SB EQUITIES, INC.	RESIGNATION (cleared)
07-Nov-15	ALMARZA	JESSA MARIE R.	OPERATIONS STAFF	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
09-Nov-15	LAZA	BRIAN RAY C.	SALES AGENT	-	VENTURE SECURITIES, INC.	RESIGNATION (cleared)
09-Nov-15	REYES-LAO	MARC I.	-	CERTIFIED SECURITIES REPRESENTATIVE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
09-Nov-15	CANOY	ANNA CRISTINA S.	-	HUMAN RESOURCES MANAGER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
09-Nov-15	YABUT	FRANCESCA VANESSA R.	TRADING ASSISTANT	-	THE FIRST RESOURCES MANAGEMENT & SECURITIES CORPORATION	RESIGNATION (cleared)
09-Nov-15	PURAY	ALEXANDER DAVID A.	TRAINEE	CERTIFIED SECURITIES REPRESENTATIVE	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
14-Nov-15	PALOMATA	MARILOU M.	ASSOCIATED PERSON	-	LUCKY SECURITIES, INC.	RESIGNATION (cleared)
16-Nov-15	ANG	RICHMOND C.	SALESPERSON	-	DW CAPITAL, INC.	RESIGNATION (cleared)
16-Nov-15	WY	KRISTINA S.	-	RISK OFFICER	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Nov-15	DIAZ	CHRISTIAN CARL P.	-	COMPLIANCE STAFF	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
23-Nov-15	YAP	GERALDINE MAY A.	-	ACCOUNTING STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
24-Nov-15	GARCIA	CELESTELLE THERESE S.	-	ASSOCIATED PERSON	VICSAL SECURITIES & STOCK BROKERAGE, INC.	NEW EMPLOYMENT
30-Nov-15	ESPINAR	AVIE JOY D.	SYSTEM ADMINISTRATOR	-	QUALITY INVESTMENT & SECURITIES CORPORATION	RESIGNATION (cleared)
31-Dec-15	MARQUEZ	JANZEN NICOLAE D.	AGENT/ SALESMAN	-	ASIASEC EQUITIES, INC.	RESIGNATION (no clearance required)
31-Dec-15	TAY	DOROTHY G.	SALESMAN	-	QUALITY INVESTMENT & SECURITIES CORPORATION	RESIGNATION (cleared)