



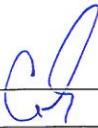

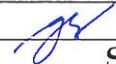
MEMORANDUM – 2016-017

TO : THE INVESTING PUBLIC AND THE TRADING PARTICIPANTS
SUBJECT : PUBLICATION OF DISCIPLINARY ACTIONS
DATE : 09 JUNE 2016

As mandated by Article XII, Section 6 of the Capital Markets Integrity Corporation (CMIC) Rules, which states, in part, that CMIC shall publish at its website the sanctions imposed on trading participants (TPs), attached is a list of the TPs sanctioned by CMIC, together with details on the securities laws violated and the corresponding penalties.

It must be emphasized that the list covers the cases recently decided by CMIC, but does not include matters that are pending resolution by the Board of Directors of the CMIC (CMIC Board) or where the period to appeal to the CMIC Board has not yet lapsed.


CORNELIO C. GISON
President

			
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TRADING PARTICIPANTS	SECURITIES LAW/S VIOLATED	SANCTION/S IMPOSED
Ansaldo, Godinez & Company, Inc.	<p>Article VII, Section 19 of the CMIC Rules</p> <p>Article VIII, Section 2 (2.6) (A) (A.6) (a) (a.1) of the CMIC Rules</p> <p>Article VI, Section 2 of the CMIC Rules in relation to Securities Regulation Code ("SRC") Rule 30.2-6 (2) (3) and 28.1-4 (7)</p>	<p>Monetary penalty</p> <p>Monetary penalty</p> <p>Monetary penalty</p>
Bernad Securities, Inc.	<p>SRC Rule 30.2 (5)</p> <p>Article IX, Section 1 (a) of the CMIC Rules</p> <p>Article IX, Section 1 (c) of the CMIC Rules</p>	<p>Monetary penalty</p> <p>Monetary penalty</p> <p>Monetary penalty</p>
B.H. Chua Securities Corporation	<p>Article VIII, Section A.7 (b) (b.3) of the CMIC Rules</p> <p>Annex A (XV) of the Implementing Guidelines of the Revised Trading Rules</p> <p>Article VI, Section 2 of the CMIC Rules, in relation to SRC Rule 30.2-6 (2) (3) and 28.1-4 (7)</p>	<p>Monetary penalty</p> <p>Written reprimand</p> <p>Monetary penalty</p>
COL Financial Group, Inc.	Item 6 (M) of Rule 52.1 of the 2004 Implementing Rules and Regulations of the SRC, in relation to Article VII, Section 1 (m) of the CMIC Rules	Monetary penalty

	Article VI, Section 2 of the CMIC Rules, in relation to Rule 28.1 (4) (G) of the 2004 Implementing Rules and Regulations of the SRC	Monetary penalty
PCCI Securities Brokers Corporation	Article VII, Section 8 of the CMIC Rules, in relation to SRC Rule 48.1	Monetary penalty
	Article VI, Section 2 of the CMIC Rules, in relation to SRC Rule 30.2-6 (2) (3) and 28.1-4 (7)	Monetary penalty
Venture Securities, Inc.	Article V, Section 1 (a) and (e) of the CMIC Rules	Monetary penalty
	Article V, Section 3 (a) and (b) of the CMIC Rules	Monetary penalty