



## MEMORANDUM– 2016-025

**To :** All Trading Participants

**Subject :** Employee Movement


**Date :** 2 September 2016

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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 31 August 2016.

For information and guidance.

  
**GRACE M. CALUBAQUIB**  
*Assistant Vice President*

| DATE OF EFFECTIVITY | LAST NAME | FIRST NAME          | PREVIOUS POSITION                            | PRESENT POSITION        | PRESENT EMPLOYER   | REMARKS                             |
|---------------------|-----------|---------------------|--|-------------------------|--|-------------------------------------|
| 01-Jul-16           | ROQUE     | RICHARD ALLEN D.    | AVP, PRODUCT DEVELOPMENT AND INCENTIVES HEAD | -                       | MAYBANK ATR KIM ENG SECURITIES, INC.                     | RESIGNATION (cleared)               |
| 01-Jul-16           | LOPEZ     | CRISTINA D.         | ASST. VICE PRESIDENT, SETTLEMENTS            | -                       | MAYBANK ATR KIM ENG SECURITIES, INC.                     | RESIGNATION (cleared)               |
| 14-Jul-16           | VALDEZ    | RICHARD S.          | HEAD OF DOMESTIC SALES                       | -                       | SALISBURY BKT SECURITIES CORPORATION                     | RESIGNATION (clearance withheld)    |
| 15-Jul-16           | CAÑETE    | VICTORIA D.         | -  | ACCOUNTING STAFF        | ASIA PACIFIC CAPITAL EQUITIES AND SECURITIES CORPORATION | NEW EMPLOYMENT                      |
| 15-Jul-16           | TANAP     | RUBEN ALOVEN C.     | SALES TRAINEE                                | OFFICE ASSISTANT        | ALPHA SECURITIES CORPORATION                             | RE-DESIGNATION                      |
| 15-Jul-16           | EBONA     | DEAN M.             | SALESMAN                                     | -                       | MERIDIAN SECURITIES, INC.                                | RESIGNATION (cleared)               |
| 15-Jul-16           | BALALA    | BENEDICT M.         | OPERATIONS MANAGER/ SETTLEMENT HEAD          | SETTLEMENT HEAD         | MERIDIAN SECURITIES, INC.                                | RE-DESIGNATION                      |
| 15-Jul-16           | RANIS     | MA. PERPETUA M.     | ACCOUNTING ASSISTANT                         | SETTLEMENT ASSISTANT    | MERIDIAN SECURITIES, INC.                                | RE-DESIGNATION                      |
| 15-Jul-16           | BASA      | JOVITO P.           | SETTLEMENT ASSISTANT                         | TRADING ASSISTANT       | MERIDIAN SECURITIES, INC.                                | RE-DESIGNATION                      |
| 16-Jul-16           | AGUIRRE   | MICK MARTIN P.      | ANALYST                                      | -                       | CLSA PHILIPPINES, INC.                                   | RESIGNATION (cleared)               |
| 20-Jul-16           | CO        | FRANK G.            | -  | SALESMAN/AGENT          | PNB SECURITIES, INC.                                     | NEW EMPLOYMENT                      |
| 20-Jul-16           | BUSTO     | JOSEPH CESAR A.     | INTERN                                       | -                       | CITISECURITIES, INC.                                     | RESIGNATION (no clearance required) |
| 23-Jul-16           | YU        | ADRIAN ALEXANDER N. | INTERN                                       | -                       | CITISECURITIES, INC.                                     | RESIGNATION (no clearance required) |
| 25-Jul-16           | JAGUNAP   | JELYN R.            | -  | BACKROOM TRAINEE        | YU & COMPANY, INC.                                       | NEW EMPLOYMENT                      |
| 25-Jul-16           | DE MESA   | MARK GIERON E.      | -  | CLIENT SERVICES OFFICER | MAYBANK ATR KIM ENG SECURITIES, INC.                     | NEW EMPLOYMENT                      |
| 26-Jul-16           | TAN       | MICHELLE GEORGE P.  | INTERN                                       | -                       | CITISECURITIES, INC.                                     | RESIGNATION (no clearance required) |
| 28-Jul-16           | ORTIZ     | ANTONIO PAULINO P.  | INTERN                                       | -                       | CITISECURITIES, INC.                                     | RESIGNATION (no clearance required) |
| 29-Jul-16           | QUIOGUE   | FRANCISCO J.        | INTERN                                       | -                       | SB EQUITIES, INC.  | RESIGNATION (no clearance required) |
| 29-Jul-16           | CHUA      | JOHN JACINTO R.     | INTERN                                       | -                       | CITISECURITIES, INC.                                     | RESIGNATION (no clearance required) |

| DATE OF EFFECTIVITY | LAST NAME | FIRST NAME       | PREVIOUS POSITION                                   | PRESENT POSITION                | PRESENT EMPLOYER   | REMARKS  |
|---------------------|-----------|------------------|---|---------------------------------|--|--|
| 29-Jul-16           | ACMA      | MELISA O.        | INDEPENDENT DIRECTOR                                | -                               | SUPREME STOCKBROKERS, INC.                               | RESIGNATION<br>(no clearance required)                             |
| 29-Jul-16           | LEJANO    | RONALDO N.       | ASSOCIATE DIRECTOR, HEAD OF OPERATIONS              | -                               | UBS SECURITIES PHILIPPINES INC.                          | RESIGNATION (cleared)  |
| 30-Jul-16           | MALIGRO   | JERWIN JOVES C.  | TRADING AND SUPPORT OPERATIONS PERSONNEL            | -                               | COL FINANCIAL GROUP, INC.                                | RESIGNATION<br>(clearance under process but may join other broker) |
| 30-Jul-16           | ESGUERRA  | NORAVEL S.       | ACCOUNTING SPECIALIST                               | -                               | COL FINANCIAL GROUP, INC.                                | RESIGNATION<br>(clearance under process but may join other broker) |
| 30-Jul-16           | ALMAZAR   | JASMINE MARIE B. | INTERN  | -                               | COL FINANCIAL GROUP, INC.                                | RESIGNATION<br>(no clearance required)                             |
| 30-Jul-16           | CHAN      | JEREMY MARK T.   | INTERN  | -                               | COL FINANCIAL GROUP, INC.                                | RESIGNATION<br>(no clearance required)                             |
| 30-Jul-16           | MANDANAS  | MATTHEW M.       | INTERN  | -                               | CITISECURITIES, INC.                                     | RESIGNATION<br>(no clearance required)                             |
| 31-Jul-16           | WATIWAT   | BRYAN E.         | LICENSED TRADER                                     | -                               | A.T. DE CASTRO SECURITIES CORPORATION                    | RESIGNATION (cleared)  |
| 31-Jul-16           | CABEZAS   | CORAZON S.       | ACCOUNTING STAFF                                    | -                               | ASIA PACIFIC CAPITAL EQUITIES AND SECURITIES CORPORATION | RESIGNATION<br>(clearance under process)                           |
| 31-Jul-16           | OREJUDOS  | GRETEL D.        | ASSISTANT VICE PRESIDENT/OPERATIONS UNIT            | -                               | BDO SECURITIES CORPORATION                               | RETIREMENT   |
| 01-Aug-16           | LEGASPI   | ANNA MAE G.      | -   | AUTHORIZED SALESMAN             | REGINA CAPITAL DEVELOPMENT CORPORATION                   | NEW EMPLOYMENT   |
| 01-Aug-16           | VELARDE   | JED L.           | -   | BUSINESS MANAGER/WEALTH TRAINER | COL FINANCIAL GROUP, INC.                                | NEW EMPLOYMENT   |
| 01-Aug-16           | DOLOTINA  | EMELINE ANN O.   | -   | INDEPENDENT DIRECTOR            | SUPREME STOCKBROKERS, INC.                               | NEW EMPLOYMENT   |
| 01-Aug-16           | LUZ       | LORENZO L.       | EXEC. VICE PRESIDENT/ECONOMIST AND HEAD OF RESEARCH | -                               | MAYBANK ATR KIM ENG SECURITIES, INC.                     | RESIGNATION<br>(clearance under process)                           |
| 01-Aug-16           | WATIWAT   | BRYAN E.         | -   | TRADE SPECIALIST                | SB EQUITIES, INC.  | NEW EMPLOYMENT   |
| 02-Aug-16           | ROGADOR   | ARA MAE L.       | TRAINEE   | TRADING FLOOR ASSISTANT         | I. B. GIMENEZ SECURITIES, INC.                           | RE-DESIGNATION   |
| 05-Aug-16           | LICHAUCO  | LORENZO SIXTO T. | BOARD OF DIRECTOR                                   | -                               | SB EQUITIES, INC.  | RESIGNATION (cleared)  |

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|---------------------|-----------|---------------------|-------------------------|------------------------|--|--|
| 06-Aug-16           | PILAPIL   | LESLEI ANN P.       | INTERN                  | -                      | CITISECURITIES, INC.                             | RESIGNATION<br>(no clearance required)                             |
| 06-Aug-16           | QUINTIN   | IAN BERNARD D.      | INTERN                  | -                      | CITISECURITIES, INC.                             | RESIGNATION<br>(no clearance required)                             |
| 06-Aug-16           | SY        | AUDRIC ALPHONSE C.  | INTERN                  | -                      | CITISECURITIES, INC.                             | RESIGNATION<br>(no clearance required)                             |
| 06-Aug-16           | GREGORIO  | JUSTIN CARLO P.     | INTERN                  | -                      | CITISECURITIES, INC.                             | RESIGNATION<br>(no clearance required)                             |
| 08-Aug-16           | APULENCIA | CYRILE L.           | -                       | HR STAFF               | COL FINANCIAL GROUP, INC.                        | NEW EMPLOYMENT   |
| 08-Aug-16           | CHENG     | JUSTIN RICHMOND S.  | -                       | RESEARCH ANALYST       | COL FINANCIAL GROUP, INC.                        | NEW EMPLOYMENT   |
| 08-Aug-16           | LINGAT    | DANIELLE M.         | -                       | COMMUNICATIONS OFFICER | COL FINANCIAL GROUP, INC.                        | NEW EMPLOYMENT   |
| 08-Aug-16           | ODULIO    | JARED B.            | MANAGEMENT TRAINEE      | AUTHORIZED TRADER      | YU & COMPANY, INC.                               | RE-DESIGNATION   |
| 08-Aug-16           | RAYMOND   | BRIAN ALDRICH A.    | ANALYST                 | TRADER                 | PCCI SECURITIES BROKERS CORPORATION              | RE-DESIGNATION   |
| 08-Aug-16           | BADIOLA   | RAMON EMMANUEL B.   | -                       | EQUITY TRADER          | MERIDIAN SECURITIES, INC.                        | NEW EMPLOYMENT   |
| 09-Aug-16           | SAMONTE   | LITO V.             | -                       | MESSENGER/COLLECTOR    | A.T. DE CASTRO SECURITIES CORPORATION            | NEW EMPLOYMENT   |
| 10-Aug-16           | ARCENAS   | TRISHA ROSARY F.    | RELATIONSHIP MANAGER    | -                      | COL FINANCIAL GROUP, INC.                        | RESIGNATION<br>(clearance under process but may join other broker) |
| 10-Aug-16           | AROGO     | ALVIN JOSEPH A.     | HEAD OF RESEARCH        | -                      | CREDIT SUISSE SECURITIES (PHILIPPINES), INC.     | RESIGNATION  |
| 11-Aug-16           | ALFILER   | FELIX ENRICO R.     | INDEPENDENT DIRECTOR    | -                      | PNB SECURITIES, INC.                             | RESIGNATION  |
| 12-Aug-16           | CALIXTO   | THERESE             | ASSOCIATE               | -                      | MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC. | RESIGNATION  |
| 13-Aug-16           | YANG      | JUSTIN VINCENT L.   | INTERN                  | -                      | CITISECURITIES, INC.                             | RESIGNATION<br>(no clearance required)                             |
| 13-Aug-16           | IGNACIO   | MARIA ANTOINETTE U. | MARKETING OFFICER       | -                      | COL FINANCIAL GROUP, INC.                        | RESIGNATION<br>(clearance under process but may join other broker) |
| 13-Aug-16           | BORJA     | PATRICIA S.         | NEW ACCOUNTS SPECIALIST | -                      | COL FINANCIAL GROUP, INC.                        | RESIGNATION<br>(clearance under process but may join other broker) |

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| 15-Aug-16           | CO         | ALVIN O.                  | -                                    | STOCKHOLDER/DIRECTOR        | TRI-STATE SECURITIES, INC.                       | NEW EMPLOYMENT                           |
| 15-Aug-16           | CASTILLO   | KELLY J.                  | -                                    | TRAINEE                     | EASTERN SECURITIES DEVELOPMENT CORPORATION       | NEW EMPLOYMENT                           |
| 15-Aug-16           | BAUTISTA   | CAMILLE MARIA REMEDIOS Y. | -                                    | RETAIL SALES ONLINE OFFICER | MAYBANK ATR KIM ENG SECURITIES, INC.             | NEW EMPLOYMENT                           |
| 16-Aug-16           | FUENTES    | MARIANNE A.               | -                                    | OPERATIONS STAFF            | COL FINANCIAL GROUP, INC.                        | NEW EMPLOYMENT                           |
| 16-Aug-16           | VELARDE    | KIMBERLY JOY P.           | -                                    | ACCOUNTING STAFF            | COL FINANCIAL GROUP, INC.                        | NEW EMPLOYMENT                           |
| 17-Aug-16           | CENTINO    | EARL C.                   | -                                    | SALESMAN/TRADER             | TIMSON SECURITIES, INC.                          | NEW EMPLOYMENT                           |
| 20-Aug-16           | TIU        | ALEXANDER ADRIAN O.       | SENIOR MANAGER                       | -                           | AB CAPITAL SECURITIES, INC.                      | RESIGNATION<br>(clearance under process) |
| 22-Aug-16           | BONDOC     | CAMILLE S.                | -                                    | NEW ACCOUNTS STAFF          | COL FINANCIAL GROUP, INC.                        | NEW EMPLOYMENT                           |
| 22-Aug-16           | SO         | MARIAN CATHLEEN C.        | -                                    | RELATIONSHIP OFFICER        | COL FINANCIAL GROUP, INC.                        | NEW EMPLOYMENT                           |
| 22-Aug-16           | BALASABAS  | DANILO G.                 | -                                    | MESSENGER                   | STAR ALLIANCE SECURITIES CORPORATION             | NEW EMPLOYMENT                           |
| 22-Aug-16           | LORICA     | ABIGAIL                   | ASSOCIATED PERSON/COMPLIANCE OFFICER | -                           | TIMSON SECURITIES, INC.                          | RESIGNATION                              |
| 23-Aug-16           | TRINIDAD   | FRANCO LUIS C.            | INTERN                               | -                           | COL FINANCIAL GROUP, INC.                        | RESIGNATION<br>(no clearance required)   |
| 24-Aug-16           | GARCELLANO | HECTOR P.                 | CONSULTANT                           | SALESMAN                    | WESTLINK GLOBAL EQUITIES, INC.                   | RE-DESIGNATION                           |
| 25-Aug-16           | ANICETO    | MYLES BENEDICT S.         | -                                    | EXECUTION TRADER            | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.      | NEW EMPLOYMENT                           |
| 30-Aug-16           | ESGANA     | CECIL KIM R.              | ASSOCIATED PERSON                    | -                           | WESTLINK GLOBAL EQUITIES, INC.                   | RESIGNATION<br>(clearance under process) |
| 30-Aug-16           | KABIGTING  | MAY CATHERINE M.          | ACCOUNTANT                           | ASSOCIATED PERSON           | WESTLINK GLOBAL EQUITIES, INC.                   | RE-DESIGNATION                           |
| 01-Sep-16           | ALDAY      | FRANCIS NICOLI L.         | -                                    | SALESMAN TRAINEE            | R. COYIUTO SECURITIES, INC.                      | NEW EMPLOYMENT                           |
| 02-Sep-16           | SINGSON    | GRACE KAREN               | VICE PRESIDENT                       | -                           | MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC. | RESIGNATION                              |