



MEMORANDUM – 2016-033

To : All Trading Participants

Subject : Employee Movement

Date : 9 November 2016

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 October 2016.

For information and guidance.

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

GRACE M. CALUBAQUIB

Assistant Vice President

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
01-Sep-16	TORRES	ANGELO ANTONIO S.	-	INVESTMENT RESEARCH ANALYST/ SENIOR MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-16	RAYO	TRICIA EILEEN D.	-	TRADING FLOOR ASSISTANT	TRANS-ASIA SECURITIES, INC.	NEW EMPLOYMENT
15-Sep-16	HENNING	LUTZ P.	INDEPENDENT DIRECTOR	-	CUALOPING SECURITIES CORPORATION	RESIGNATION
15-Sep-16	BACARRO	REY GERARDO E.	-	INDEPENDENT DIRECTOR	CUALOPING SECURITIES CORPORATION	NEW EMPLOYMENT
15-Sep-16	-	GOH CHO KIAT JEFFREY	-	DIRECTOR	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
15-Sep-16	GOH	KEAT JIN	DIRECTOR	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
16-Sep-16	YAP	GENEVIEVE HAZEL S.	-	RESEARCH ANALYST	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
19-Sep-16	FAUSTO	JOSE ENRIQUE F.	-	RESEARCH ASSOCIATE	DEUTSCHE REGIS PARTNERS, INC.	NEW EMPLOYMENT
19-Sep-16	GONZALEZ	ANNA BERNADETTE E.	-	EQUITIES DEALER TRAINEE	DEUTSCHE REGIS PARTNERS, INC.	NEW EMPLOYMENT
22-Sep-16	MANCILLA	CHARMAINE LAURENE G.	-	SALES AGENT	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
22-Sep-16	CHUA	JOHN KENDRICK O.	-	SALES AGENT	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
23-Sep-16	YUMUL	DIOSDADO B.	GENERAL MANAGER/ NOMINEE APPLICANT	GENERAL MANAGER/NOMINEE APPLICANT/ DIRECTOR	IMPERIAL, DE GUZMAN, ABALOS & CO., INC.	RE-DESIGNATION
23-Sep-16	HESS	CLINTON ANDREW C.	PRESIDENT/DIRECTOR (EXECUTIVE)	DIRECTOR/VICE CHAIRMAN	IMPERIAL, DE GUZMAN, ABALOS & CO., INC.	RE-DESIGNATION
23-Sep-16	GOTUACO	ERIC ALBERT L.	INDEPENDENT DIRECTOR	PRESIDENT/DIRECTOR	IMPERIAL, DE GUZMAN, ABALOS & CO., INC.	RE-DESIGNATION
23-Sep-16	DREYFUS	HENRY JULES V.	-	INDEPENDENT DIRECTOR	IMPERIAL, DE GUZMAN, ABALOS & CO., INC.	NEW EMPLOYMENT
23-Sep-16	YU	KENNETH VINCENT U.	-	SALES AGENT	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
23-Sep-16	HUERTAS	CARL ERWIN L.	-	INFORMATION SYSTEMS OFFICER, IT	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
24-Sep-16	VELASCO	MARCO NIÑO M.	BUSINESS DEV'T OFFICER- CEBU	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
26-Sep-16	SANTARINA	MARK CRISMON V.	-	SALESMAN	MERIDIAN SECURITIES, INC.	NEW EMPLOYMENT
30-Sep-16	MACALTAO	CAROLYN G.	VP-SALESMAN	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION
30-Sep-16	PONO	ARACELI D.	ASSOCIATED PERSON/COMPLIANCE OFFICER	-	SECURITIES SPECIALISTS, INC.	RESIGNATION (cleared)
30-Sep-16	CANCIO	FERNANDO V.	PRESIDENT NOMINEE	-	SECURITIES SPECIALISTS, INC.	RESIGNATION
01-Oct-16	LIM	TAMMY B.	OPERATIONS HEAD	MANAGER - OPERATIONS HEAD	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Oct-16	ARGUELLES	CARLO LEONARDO D.	ASSISTANT MANAGER - MARKETING	MANAGER - MARKETING	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Oct-16	VILLAR	MARGA THERESE I.	MARKETING ASSISTANT	ASSISTANT MANAGER - MARKETING	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Oct-16	CHIW	ABIGAIL KATHRYN L.	-	RESEARCH OFFICER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
01-Oct-16	AGUDERA	DAN LOUIE D.	MESSENGER	-	CLSA PHILIPPINES, INC.	RESIGNATION (no clearance required)
01-Oct-16	REGALADO	JOELLA MARIE J.	RESEARCH ASSISTANT	-	SB EQUITIES, INC.	RESIGNATION (cleared)
03-Oct-16	PONO	MA. ARACELI D.	-	COMPLIANCE OFFICER	BDO NOMURA SECURITIES, INC.	NEW EMPLOYMENT
03-Oct-16	GOH	JEFFREY N.	-	TRAINEE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
03-Oct-16	SALAC	KRISTINA MICHAELA B.	-	TRAINEE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
03-Oct-16	ROQUE	ANNA KARENINA D.	-	MARKETING MANAGER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
03-Oct-16	DELOS REYES	EIRA MARIE M.	-	CUSTOMER SERVICE STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
03-Oct-16	NUNGAY	CHARISE C.	-	CUSTOMER SERVICE STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
03-Oct-16	SY	JOHN TIMOTHY	-	TRAINEE	KING'S POWER SECURITIES, INC.	NEW EMPLOYMENT
03-Oct-16	VALLESTEROS	MA. JENNIFER K.	-	JUNIOR ACCOUNTANT	SARANGANI SECURITIES, INC.	NEW EMPLOYMENT
03-Oct-16	CALISON	DOLORES S.	-	ASSOCIATED PERSON/COMPLIANCE OFFICER	SECURITIES SPECIALISTS, INC.	NEW EMPLOYMENT
03-Oct-16	ARROYO	DIOSDADO M.	-	PRESIDENT-NOMINEE	SECURITIES SPECIALISTS, INC.	NEW EMPLOYMENT
03-Oct-16	APAT	MARNELLE B.	-	BUSINESS DEV'T OFFICER-CEBU	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT

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04-Oct-16	SO	ARLY JANE B.	TELEPHONE CLERK	AUTHORIZED SALESMAN	STAR ALLIANCE SECURITIES CORP.	RE-DESIGNATION
05-Oct-16	YUPANGCO	LARA GABRIELLE V.	INTERN	-	CITISECURITIES, INC.	RESIGNATION (no clearance required)
05-Oct-16	LEGASPI	RONALDO S.	TRAINEE	CERTIFIED SECURITIES REPRESENTATIVE	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
08-Oct-16	LECAROS	JOSE ANGELO D.	RESEARCH ANALYST	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
10-Oct-16	CHIONGBIAN	ROSALINA PRISCILLA M.	DIRECTOR	-	SARANGANI SECURITIES, INC.	RESIGNATION
10-Oct-16	CHIONGBIAN	MARIE THERESE M.	-	DIRECTOR	SARANGANI SECURITIES, INC.	NEW EMPLOYMENT
10-Oct-16	ANTONINO	MARIA EDITA F.	-	DIRECTOR	SARANGANI SECURITIES, INC.	NEW EMPLOYMENT
11-Oct-16	VELASCO	KYLE JEMMRIC L.	-	RESEARCH ANALYST	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
12-Oct-16	TAN, JR.	MICHAEL F.	-	TRAINEE	A. T. DE CASTRO SECURITIES CORPORATION	NEW EMPLOYMENT
15-Oct-16	TORTOSA	ALVIN E.	MESSENGER	-	NIEVES SECURITIES, INC.	RESIGNATION (cleared)
16-Oct-16	CHAM	PATRICK T.	SALESMAN-DEALER	-	SB EQUITIES, INC.	RESIGNATION (cleared)
16-Oct-16	DELINGON	JOEY D.	MESSENGER	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (terminated without clearance)
17-Oct-16	MEDENILLA	DEXTER M.	-	MESSENGER	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
21-Oct-16	LIM	WILLEM RIAM Y.	INTERN	-	CITISECURITIES, INC.	RESIGNATION (no clearance required)
21-Oct-16	OLIVARES	JAZMINE CLARISSE B.	INTERN	-	CITISECURITIES, INC.	RESIGNATION (no clearance required)
24-Oct-16	SANCHEZ	JADE ALEXIS C.	-	ACCOUNTING STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
28-Oct-16	DONDIEGO	PATRICK JORDAN A.	FUND MANAGEMENT	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
28-Oct-16	RACADIO	JOSEPH MARK M.	DISPATCHER	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)