



## MEMORANDUM – 2017-002

**To :** All Trading Participants

**Subject :** Employee Movement

**Date :** 06 January 2017

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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 December 2016.

For information and guidance.

A handwritten signature in blue ink, appearing to read 'gmc'.

**GRACE M. CALUBAQUIB**

*Assistant Vice President*

| DATE OF EFFECTIVITY | LAST NAME   | FIRST NAME                | PREVIOUS POSITION                           | PRESENT POSITION                         | PRESENT EMPLOYER               | REMARKS        |
|---------------------|-------------|---------------------------|---|--|--------------------------------|----------------|
| 15-Jun-16           | ESCABUSA    | RAYDES C.                 | -   | EXTERNAL ACCOUNTANT                      | NEW WORLD SECURITIES CO., INC. | NEW EMPLOYMENT |
| 1-Jul-16            | NARVAEZ     | HERMENEGLIDO Z.           | -   | HEAD OF EQUITY RESEARCH                  | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 1-Jul-16            | TAN         | KIM ALEXIS N.             | -   | CLIENT RELATIONS ASSISTANT               | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 1-Jul-16            | MENDOZA     | MICHAEL CHRISTOPHER S.    | -   | IT ASSOCIATE                             | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 2-Jul-16            | PANG        | CHRISTINA U.              | FRONT OFFICE ASSOCIATE                      | -  | BPI SECURITIES CORPORATION     | RESIGNATION    |
| 9-Jul-16            | LIBORO      | RICHARD ANTHONY Y.        | HEAD, HNW ADVISORY SALES                    | -  | BPI SECURITIES CORPORATION     | RESIGNATION    |
| 15-Jul-16           | JARIEL      | JOWELL JASPER C.          | HNW SALES TRADER                            | -  | BPI SECURITIES CORPORATION     | RESIGNATION    |
| 6-Aug-16            | BAUTISTA    | CAMILLE MARIA REMEDIOS Y. | CLIENT RELATIONS ASSOCIATE                  | -  | BPI SECURITIES CORPORATION     | RESIGNATION    |
| 7-Aug-16            | BELDUA      | ROXANNE S.                | CLIENT ACQUISITION STAFF - CONTRACTUAL      | -  | BPI SECURITIES CORPORATION     | RESIGNATION    |
| 13-Aug-16           | LACSON      | HERMAN JOSE MARIA B.      | SENIOR RESEARCH ANALYST                     | -  | BPI SECURITIES CORPORATION     | RESIGNATION    |
| 16-Aug-16           | BUNAGAN     | JANA CHRISTIANE C.        | -   | TRADER                                   | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 1-Sep-16            | TEODORA     | ZARAH MARIE I.            | -   | CASH SETTLEMENT ASSOCIATE                | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 10-Sep-16           | MIAPE       | ALADIN T.                 | SPECIAL PROJECTS AND RECONCILIATION OFFICER | -  | BPI SECURITIES CORPORATION     | RESIGNATION    |
| 16-Sep-16           | VALERIO     | SIMON TRISTAN E.          | -   | HNW ADVISORY SALES OFFICER               | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 16-Sep-16           | VERSOZA     | RAFAEL IAN G.             | -   | PRODUCT AND BUSINESS DEVELOPMENT OFFICER | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 1-Oct-16            | AMORES      | CHRISTINE I.              | -   | BUSINESS OFFICE SPECIALIST               | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 5-Oct-16            | AMORES      | CHRISTINE I.              | BUSINESS OFFICE SPECIALIST                  | -  | BPI SECURITIES CORPORATION     | RESIGNATION    |
| 14-Oct-16           | CABAÑERO    | MARCO ANGELO P.           | -   | ENCODER-CONTRACTUAL                      | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 14-Oct-16           | CORONEL     | CHRISTIAN JAMES D.        | -   | ENCODER-CONTRACTUAL                      | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 14-Oct-16           | DEL ROSARIO | NELLYN J.                 | -   | ENCODER-CONTRACTUAL                      | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 14-Oct-16           | GUTIERREZ   | GAMMIE FRANCO D.          | -   | ENCODER-CONTRACTUAL                      | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 14-Oct-16           | VALEROS     | MARY BETH B.              | -   | ENCODER-CONTRACTUAL                      | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |
| 16-Oct-16           | JUNIO       | VALERIE ANN R.            | -   | ACCOUNT OPENING                          | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT |

| DATE OF EFFECTIVITY | LAST NAME   | FIRST NAME           | PREVIOUS POSITION              | PRESENT POSITION   | PRESENT EMPLOYER               | REMARKS               |
|---------------------|-------------|----------------------|--------------------------------|--|--------------------------------|-----------------------|
|                     |             |                      |                                | ASSOCIATE  |                                |                       |
| 16-Oct-16           | LAUDE       | JOHN KEITH M.        | -                              | CLIENT RELATIONS ASSOCIATE                                   | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT        |
| 26-Oct-16           | NOGRALES    | REYNALDO R.          | -                              | INDEPENDENT DIRECTOR   | MERIDIAN SECURITIES, INC.      | NEW EMPLOYMENT        |
| 26-Oct-16           | VARELA      | ATTY. MIGUEL B.      | INDEPENDENT DIRECTOR           | -  | MERIDIAN SECURITIES, INC.      | DECEASED              |
| 30-Oct-16           | TAÑEDO      | CORRINE HAZEL G.     | ANALYST                        | -  | CLSA PHILIPPINES, INC.         | RESIGNATION (cleared) |
| 31-Oct-16           | TANG        | ANA N.               | SALESMAN                       | -  | R. NUBLA SECURITIES, INC.      | RESIGNATION (cleared) |
| 31-Oct-16           | LUCIANO     | JOHN MARTIN L.       | RESEARCH ASSISTANT             | -  | BPI SECURITIES CORPORATION     | RESIGNATION           |
| 1-Nov-16            | ARAMBULO    | ARCHIMEDES I.        | HEAD, DEALING                  | HEAD, DEALING  | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | ONGPIN      | MARIANNA M.          | HEAD OF INSTITUTIONAL SALES    | HEAD, INSTITUTIONAL SALES                                    | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | DEL ROSARIO | BRIAN CHRISTOPHER Z. | CLIENT ACQUISITION OFFICER     | HEAD, CLIENT ACQUISITION OFFICER                             | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | VALERIO     | SIMON TRISTAN E.     | HNW ADVISORY SALES OFFICER     | OIC-HEAD, ACTIVE ADVISORY                                    | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | MATUTE      | MONICA ISABEL C.     | OIC, RETAIL INVESTORS SERVICES | OIC-HEAD, CLIENT SEGMENT INVESTOR GROUP AND CORPORATE ACCESS | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | CABRERA     | JENNY R.             | ACCOUNTING AND REPORTS OFFICER | OIC-HEAD, ACCOUNTING, FINANCE AND MIS                        | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | MENDOZA     | MADETH D.            | HEAD, CORPORATE ACTIONS        | CORPORATE ACTIONS OFFICER                                    | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | GANGCUANGCO | MARK ANTHONY C.      | HNW SALESTRADER                | EQUITY SALES TRADER  | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | PAGTAKHAN   | LORENZO MIGUEL L.    | CLIENT RELATIONS ASSOCIATE     | EQUITY SALES TRADER  | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | CANTOS      | KARISHA S.           | ACCOUNT OPENING OFFICER        | ADMINISTRATIVE SERVICES OFFICER                              | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 1-Nov-16            | VILLAFLOR   | GENESIS L.           | IT SPECIALIST                  | IT ASSOCIATE   | BPI SECURITIES CORPORATION     | RE-DESIGNATION        |
| 2-Nov-16            | PAREJA      | VICTORIANO MIGUEL M. | -                              | COMPLIANCE OFFICER   | BPI SECURITIES CORPORATION     | NEW EMPLOYMENT        |
| 8-Nov-16            | CARLOS      | JOHN EMMANUEL C.     | SALESMAN                       | -  | UPCC SECURITIES CORP.          | RESIGNATION           |
| 15-Nov-16           | FORCADAS    | LESITA J.            | ACCOUNTING HEAD                | -  | SINCERE SECURITIES CORPORATION | RESIGNATION           |
| 15-Nov-16           | FAMERO      | LIBERTY              | -                              | ACCOUNTING ASSISTANT   | SINCERE SECURITIES CORPORATION | NEW EMPLOYMENT        |

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|---------------------|------------------|--------------------|----------------------------------|-----------------------------|---|---|
| 15-Nov-16           | TORRES           | ANGELO ANTONIO S.  | INVESTMENT RESEARCH ANALYST      | -                           | BDO SECURITIES CORPORATION                  | RESIGNATION (cleared)   |
| 15-Nov-16           | CHIW             | ABIGAIL KATHRYN L. | RESEARCH OFFICER                 | -                           | BDO SECURITIES CORPORATION                  | RESIGNATION (cleared)   |
| 15-Nov-16           | HUANG            | THOMAS EARLL A.    | RESEARCH ANALYST                 | -                           | BDO SECURITIES CORPORATION                  | RESIGNATION (cleared)   |
| 15-Nov-16           | VALEROS          | MARY BETH B.       | ENCODER - CONTRACTUAL            | -                           | BPI SECURITIES CORPORATION                  | RESIGNATION   |
| 16-Nov-16           | TORRES           | ANGELO ANTONIO S.  | -                                | RESEARCH ANALYST            | BDO NOMURA SECURITIES INC.                  | NEW EMPLOYMENT  |
| 16-Nov-16           | CHIW             | ABIGAIL KATHRYN L. | -                                | RESEARCH ANALYST            | BDO NOMURA SECURITIES INC.                  | NEW EMPLOYMENT  |
| 16-Nov-16           | HUANG            | THOMAS EARLL A.    | -                                | RESEARCH ANALYST            | BDO NOMURA SECURITIES INC.                  | NEW EMPLOYMENT  |
| 20-Nov-16           | TAMASE           | PATRICIA ISABEL    | RESEARCH CORPORATE ACCESS        | -                           | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | RESIGNATION (cleared)   |
| 22-Nov-16           | TAN              | GONZALO            | -                                | TRADING ASSISTANT           | PREMIUM SECURITIES, INC.                    | NEW EMPLOYMENT  |
| 23-Nov-16           | GUTIERREZ        | GAMMIE FRANCO D.   | ENCODER - CONTRACTUAL            | -                           | BPI SECURITIES CORPORATION                  | RESIGNATION   |
| 25-Nov-16           | CHIONGSIAN-HUANG | MARY BRIDGET       | -                                | SALESMAN                    | F. YAP SECURITIES, INC.                     | NEW EMPLOYMENT  |
| 25-Nov-16           | CABAÑERO         | MARCO ANGELO P.    | ENCODER - CONTRACTUAL            | -                           | BPI SECURITIES CORPORATION                  | RESIGNATION   |
| 25-Nov-16           | CORONEL          | CHRISTIAN JAMES D. | ENCODER - CONTRACTUAL            | -                           | BPI SECURITIES CORPORATION                  | RESIGNATION   |
| 25-Nov-16           | DEL ROSARIO      | NELLYN J.          | ENCODER - CONTRACTUAL            | -                           | BPI SECURITIES CORPORATION                  | RESIGNATION   |
| 28-Nov-16           | LEIDO            | EDGARDO JR., B.    | -                                | OPERATIONS SENIOR ASSOCIATE | UNICAPITAL SECURITIES, INC.                 | NEW EMPLOYMENT  |
| 29-Nov-16           | BARNUEVO         | HAZEL U.           | SENIOR ACCOUNTANT                | -                           | AB CAPITAL SECURITIES, INC.                 | RESIGNATION   |
| 29-Nov-16           | JAVELLANA        | ISAAC JAMES C.     | CSR EQUITIES TRADER              | -                           | CITISECURITIES, INC.                        | RESIGNATION (clearance under process but may join other broker) |
| 29-Nov-16           | SANCHEZ          | ENRIQUE RAFHAEL C. | SALES AGENT                      | -                           | BPI SECURITIES CORPORATION                  | RESIGNATION   |
| 30-Nov-16           | ARCE             | TOBY ALLAN C.      | DEALER/TRADER                    | -                           | SALISBURY BKT SECURITIES CORP.              | RESIGNATION   |
| 30-Nov-16           | ORGA             | MARK GERARD C.     | INVESTMENT DEVELOPMENT OFFICER   | -                           | COL FINANCIAL GROUP, INC.                   | RESIGNATION (clearance under process but may join other broker) |
| 30-Nov-16           | LOCSIN           | ANTHONY T.         | TELEPHONE CLERK/PSETRADEX TRADER | -                           | A & A SECURITIES, INC.                      | RESIGNATION (cleared)   |

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|---------------------|---------------|------------------------|-------------------------------|-------------------------------|---|---------------------------------------|
| 30-Nov-16           | MARTIREZ      | ATTY. AUGUSTO A.       | CHAIRMAN EMERITUS             | -                             | UNICAPITAL SECURITIES, INC.                 | DECEASED                              |
| 1-Dec-16            | IBARRA        | ATTY. JOAHNES CRIZELLE | CORPORATE SECRETARY           | -                             | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | RESIGNATION (cleared)                 |
| 1-Dec-16            | CAÑETE        | ATTY. SARAH JEAN       | ALTERNATE CORPORATE SECRETARY | -                             | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | RESIGNATION (cleared)                 |
| 1-Dec-16            | AZURIN        | ATTY. PAULA BEATRIZ L. | -                             | CORPORATE SECRETARY           | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | NEW EMPLOYMENT                        |
| 1-Dec-16            | SALANGUIT     | ATTY. MARITONI B.      | -                             | ALTERNATE CORPORATE SECRETARY | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | NEW EMPLOYMENT                        |
| 1-Dec-16            | ABAQUITA      | MICAELA GABRIELLE L.   | -                             | RESEARCH ANALYST              | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | NEW EMPLOYMENT                        |
| 1-Dec-16            | KILAYKO       | JERONIMO U.            | CHAIRMAN OF THE BOARD         | -                             | UCPB SECURITIES, INC.                       | RESIGNATION                           |
| 1-Dec-16            | MACADAEG      | HIGINIO O.             | -                             | CHAIRMAN OF THE BOARD         | UCPB SECURITIES, INC.                       | NEW EMPLOYMENT                        |
| 1-Dec-16            | TOGONON       | CELINA C.              | -                             | RESEARCH ASSISTANT            | ABACUS SECURITIES CORPORATION               | NEW EMPLOYMENT                        |
| 1-Dec-16            | SORETA        | RAYMOND C.             | -                             | INFORMATION SYSTEM ASSOCIATE  | ABACUS SECURITIES CORPORATION               | NEW EMPLOYMENT                        |
| 1-Dec-16            | DE LOS SANTOS | MERLENE G.             | -                             | TRADING ASSISTANT             | R. NUBLA SECURITIES, INC.                   | NEW EMPLOYMENT                        |
| 1-Dec-16            | LORICA        | ABIGAIL C.             | OPERATIONS HEAD               | ASSOCIATED PERSON             | UNICAPITAL SECURITIES, INC.                 | RE-DESIGNATION                        |
| 1-Dec-16            | BASCO         | FLORENTINO             | ASSOCIATED PERSON             | OPERATIONS HEAD               | UNICAPITAL SECURITIES, INC.                 | RE-DESIGNATION                        |
| 1-Dec-16            | LARGA         | JENNIFER S.            | -                             | BOOKKEEPER TRAINEE            | YU AND COMPANY, INC.                        | NEW EMPLOYMENT                        |
| 1-Dec-16            | DOMINGO       | ROGELIO C.             | -                             | MESSENGER                     | STAR ALLIANCE SECURITIES CORP.              | NEW EMPLOYMENT                        |
| 1-Dec-16            | MANZON        | JOANNA MAE A.          | -                             | EXECUTIVE ASSISTANT           | PAPA SECURITIES CORPORATION                 | NEW EMPLOYMENT                        |
| 1-Dec-16            | SERRANO       | ANNA LIZA L.           | BRE, HR                       | -                             | MAYBANK ATR KIM ENG SECURITIES, INC.        | RESIGNATION (clearance under process) |
| 1-Dec-16            | LUMANLAN      | THERESA JOY F.         | -                             | BUSINESS DEVELOPMENT OFFICER  | BDO NOMURA SECURITIES INC.                  | NEW EMPLOYMENT                        |
| 1-Dec-16            | PAETA         | QUERUBIN H.            | ACCOUNTING ASSISTANT          | SETTLEMENT ASSISTANT          | SB EQUITIES, INC.                           | RE-DESIGNATION                        |
| 1-Dec-16            | GINO          | ARNALDO S.             | MESSENGER                     | -                             | SOLAR SECURITIES, INC.                      | DECEASED                              |
| 1-Dec-16            | YU            | MARK KERWIN Y.         | SALESMAN/TRADER               | -                             | UNICAPITAL SECURITIES, INC.                 | RESIGNATION (non renewal of license)  |
| 1-Dec-16            | PARADERO      | MARLON JEFFREY N.      | SALESMAN/TRADER               | -                             | UNICAPITAL SECURITIES, INC.                 | RESIGNATION                           |



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|                     |                      |                                |  |  |                                  | (non renewal of license)  |
| 1-Dec-16            | ESPINOCILLA          | ALIX EMMANUEL C.               | SALESMAN/TRADER                                  | -  | UNICAPITAL SECURITIES, INC.      | RESIGNATION<br>(non renewal of license)                               |
| 5-Dec-16            | MARTIN               | EFREN F.                       | AUTHORIZED OFFICER, DEPUTY<br>HEAD OF OPERATIONS | -  | UBS SECURITIES PHILIPPINES, INC. | RESIGNATION (cleared)   |
| 5-Dec-16            | ELAMPARO             | KARLO R.                       | ASSISTANT TO INSTITUTIONAL<br>SALES EXECUTIVE    | SALES EXECUTIVE                            | PAPA SECURITIES CORPORATION      | RE-DESIGNATION  |
| 5-Dec-16            | AMOR                 | MENILYN O.                     | -  | JUNIOR PROGRAMMER                          | AB CAPITAL SECURITIES, INC.      | NEW EMPLOYMENT  |
| 5-Dec-16            | RODRIGUEZ            | JANET R.                       | CSR  | CSR/ INVESTOR CENTER<br>MANAGER            | COL FINANCIAL GROUP, INC.        | RE-DESIGNATION  |
| 9-Dec-16            | DEL ROSARIO V        | VICENTE EDUARDO L.             | CSR EQUITIES TRADER                              | -  | CITISECURITIES, INC.             | RESIGNATION (clearance under<br>process but may join other<br>broker) |
| 12-Dec-16           | PONO                 | MA. ARACELI D.                 | COMPLIANCE OFFICER                               | ASSOCIATED<br>PERSON/COMPLIANCE<br>OFFICER | BDO NOMURA SECURITIES INC.       | RE-DESIGNATION  |
| 12-Dec-16           | BLANQUERA            | NIKKI I.                       | -  | ACCOUNTING ASSISTANT                       | SB EQUITIES, INC.                | NEW EMPLOYMENT  |
| 14-Dec-16           | CHIONGSIAN-<br>HUANG | MARY BRIDGET                   | SALESMAN   | -  | F. YAP SECURITIES, INC.          | RESIGNATION (cleared)   |
| 14-Dec-16           | ENCINAS              | KIMBERLY ANNE O.               | RISK SUPPORT - CONTRACTUAL                       | -  | BPI SECURITIES CORPORATION       | RESIGNATION   |
| 15-Dec-16           | TINGA, JR.           | DANTE R.                       | RESEARCH OFFICER                                 | -  | BDO SECURITIES CORPORATION       | RESIGNATION (cleared)   |
| 15-Dec-16           | TAN                  | DOMINIQUE RAPHAELLA<br>ANNE T. | TRAINEE  | -  | R. NUBLA SECURITIES, INC.        | RESIGNATION<br>(no clearance required)                                |
| 15-Dec-16           | NUBLA                | LARISSA ANGELICA P.            | TRAINEE  | -  | R. NUBLA SECURITIES, INC.        | RESIGNATION<br>(no clearance required)                                |
| 15-Dec-16           | DIMAGIBA JR.         | ATTY. ARSENIO M.               | CORPORATE SECRETARY                              | -  | DAVID GO SECURITIES CORP.        | RESIGNATION (cleared)   |
| 15-Dec-16           | BULATAO              | FLORA D.                       | ACCOUNTANT                                       | ACCOUNTANT AND<br>CORPORATE SECRETARY      | DAVID GO SECURITIES CORP.        | RE-DESIGNATION  |
| 16-Dec-16           | TINGA, JR.           | DANTE R.                       | -  | RESEARCH ANALYST                           | BDO NOMURA SECURITIES INC.       | NEW EMPLOYMENT  |
| 16-Dec-16           | ENCINAS              | KIMBERLY ANNE O.               | -  | COMPLIANCE ASSISTANT                       | BPI SECURITIES CORPORATION       | NEW EMPLOYMENT  |
| 16-Dec-16           | ZULUETA              | JEANETTE B.                    | -  | INDEPENDENT DIRECTOR                       | UNICAPITAL SECURITIES, INC.      | NEW EMPLOYMENT  |
| 16-Dec-16           | UY                   | ANSON T.                       | -  | DIRECTOR                                   | UNICAPITAL SECURITIES, INC.      | NEW EMPLOYMENT  |

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|---------------------|-----------|-----------------|----------------------|--------------------|----------------------|--|
| 19-Dec-16           | SANTILLAN | PIA E.          | ACCOUNTING ASSISTANT | ACCOUNTING ANALYST | SB EQUITIES, INC.    | RE-DESIGNATION                         |
| 22-Dec-16           | UNLAY     | LUIS GABRIEL S. | INTERN               | -                  | CITISECURITIES, INC. | RESIGNATION<br>(no clearance required) |