



## MEMORANDUM – 2017-009

**To :** All Trading Participants

**Subject :** Employee Movement

**Date :** 10 April 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 March 2017.

For information and guidance.

  
**DAISY F. ARCE**  
*Officer-In-Charge* 

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
26-Dec-16	EVANGELISTA	JACQUI ANNE KELLY L.	ANALYST	-	CLSA PHILIPPINES, INC.	UPDATE: RESIGNATION (cleared)
04-Feb-17	MENDOZA	ANGELINE B.	DIGITAL MARKETING OFFICER	-	UNICAPITAL SECURITIES, INC.	RESIGNATION
16-Feb-17	CATRIZ	MARY JANE V.	-	DIGITAL MARKETING OFFICER	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
17-Feb-17	OBIEREZ	ANDRE MIKHAIL F.	-	SALESMAN	MERIDIAN SECURITIES, INC.	NEW EMPLOYMENT (pending SEC application)
17-Feb-17	SOLILAPSI	EDGAR B.	-	MANAGEMENT CONSULTANT	MERIDIAN SECURITIES, INC.	NEW EMPLOYMENT
20-Feb-17	ALEJANDRO	KRISTIAN JAMES M.	-	IT STAFF	A & A SECURITIES, INC.	NEW EMPLOYMENT
20-Feb-17	VILLASIN	COLEEN FAYE J.	-	ON-BOARDING SPECIALIST	SB EQUITIES, INC.	NEW EMPLOYMENT
20-Feb-17	SZE	DAPHNE ASHLEY L.	-	RESEARCH ASSISTANT	SB EQUITIES, INC.	NEW EMPLOYMENT
20-Feb-17	VENZUELA	KRISTINE C.	-	CORPORATE SECRETARY	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
20-Feb-17	NAVARRA	ELLIE CHRIS C.	CORPORATE SECRETARY	-	UNICAPITAL SECURITIES, INC.	RESIGNATION
24-Feb-17	SY	MARVINE LAWRENCE C.	-	CERTIFIED SECURITIES SPECIALIST	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
24-Feb-17	VILLAR	MARGA THERESE I.	ASST. MANAGER-MARKETING	ASST. MANAGER-MARKETING/CERTIFIED SECURITIES REP.	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
27-Feb-17	BODOLLO	RALPH CHRISTIAN G.	-	RESEARCH ASSISTANT	SB EQUITIES, INC.	NEW EMPLOYMENT
28-Feb-17	PURAY	ALEXANDER DAVID A.	CERTIFIED SECURITIES REPRESENTATIVE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
28-Feb-17	LUBELOS	ABDULGAPOR	MESSENGER	-	CLSA PHILIPPINES, INC.	RESIGNATION (no clearance required)
28-Feb-17	DANDAN	KYLE JOSHUA C.	-	CERTIFIED SECURITIES REPRESENTATIVE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
28-Feb-17	DE JESUS	FIorenzo D.	ACCOUNT EXECUTIVE/SALES	-	PNB SECURITIES, INC.	RESIGNATION
01-Mar-17	CARAGAN	VITO S.	VICE PRESIDENT/ASSOCIATED PERSON	CONSULTANT	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION
01-Mar-17	LITAP, JR.	PERFECTO S.	-	ACTING ASSOCIATED PERSON	R. COYIUTO SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-17	PE	GERALD R.	FINANCIAL ANALYST	SALESMAN/TRADER	R. NUBLA SECURITIES, INC.	RE-DESIGNATION
01-Mar-17	NG	PATRICIA ADRIENNE P.	MARKETING ASSOCIATE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
						broker)
01-Mar-17	DY	ANDRE MIKAEL L.	-	SALES/RESEARCH ASSISTANT	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
01-Mar-17	AGUIRRE	MINERVA	-	ACCOUNTANT	PREMIUM SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-17	BONGO	CHARLENE C.	ACCOUNTANT	ACCOUNTING ASSISTANT	PREMIUM SECURITIES, INC.	RE-DESIGNATION
01-Mar-17	OLAÑO	ABIGAIL P.	NEW ACCOUNTS ASSISTANT	NEW ACCOUNTS SPECIALIST	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Mar-17	STO. DOMINGO	JANINA MARIE L.	NEW ACCOUNTS STAFF	NEW ACCOUNTS ASSISTANT	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Mar-17	FELICIANO	DANI ROSE P.	OJT	-	YU & COMPANY, INC.	RESIGNATION
01-Mar-17	EBRADA	DIANA G.	OJT	-	YU & COMPANY, INC.	RESIGNATION
01-Mar-17	BULATAO	FLORA D.	ACCOUNTANT AND CORPORATE SECRETARY	ACCOUNTANT	DAVID GO SECURITIES CORPORATION	RE-DESIGNATION
01-Mar-17	PARKER	ATTY. DAISY L.	-	CORPORATE SECRETARY	DAVID GO SECURITIES CORPORATION	NEW EMPLOYMENT
04-Mar-17	PASCUAL	SHERMIN MAE D.	ACCOUNTING STAFF	-	CITISECURITIES, INC.	RESIGNATION (clearance under process but may join other broker)
04-Mar-17	GONZAGA	LUIS LORENZO C.	TRAINEE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
04-Mar-17	TAN	MYLES JACOB S.	TRAINEE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
06-Mar-17	AZURIN	LEXTER FREDERICH L.	AVP-EQUITY RESEARCH	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	TAN	MYLES JACOB S.	-	MARKETING INTERN	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
06-Mar-17	GONZAGA	LUIS LORENZO C.	-	MARKETING INTERN	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
06-Mar-17	LOPEZ	HIRENE	CHAIRMAN/PRESIDENT	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	SYQUIA	CARLOS	TREASURER	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	SABLE	RUSTICA	CORPORATE SECRETARY	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	PONTIGON	ELITA	GENERAL CLERK	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	SAN PEDRO	SERAFIN	SECURITIES CLERK	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	MEDRANO	VICENTE JR.	MESSENGER	-	ATC SECURITIES, INC.	RESIGNATION (cleared)

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06-Mar-17	CAILAN	ROMEO	ASST. SECURITIES CLERK	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	SERRA	NANDY	TELEPHONE CLERK	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	LOPEZ	ANTONIO	INDEPENDENT DIRECTOR	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
06-Mar-17	BAUSTISTA	MERCELITA	INDEPENDENT DIRECTOR	-	ATC SECURITIES, INC.	RESIGNATION (cleared)
08-Mar-17	ESQUIVEL	JANEL INGRID KIERSTEN C.	OPERATIONS SPECIALIST	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
10-Mar-17	CALAYCAY	JUSTINO JR. B.	MARKETING AND RESEARCH HEAD	-	A & A SECURITIES, INC.	RESIGNATION (cleared)
11-Mar-17	MORENO	ROJEN GRACE R.	ADMIN STAFF	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
13-Mar-17	REGIO	CARMI F.	-	ADMIN STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
13-Mar-17	MONTERO	MARY MARGARET J.	-	RELATIONSHIP OFFICER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
14-Mar-17	ANG	NICOLE KELVIN S.	CSR EQUITIES TRADER	-	CITISECURITIES, INC.	RESIGNATION (clearance under process but may join other broker)
15-Mar-17	MACEDA	SORSOX A.	ACCOUNTANT	-	CUALOPING SECURITIES CORPORATION	TERMINATION
17-Mar-17	CHIONGBIAN-HUANG	MARY BRIDGET M.	-	SALESMAN	MERIDIAN SECURITIES, INC.	NEW EMPLOYMENT
20-Mar-17	OTIDA	ROSE ANN F.	-	ACCOUNTING CLERK	WONG SECURITIES CORPORATION	NEW EMPLOYMENT
20-Mar-17	MISA	MARIA NAOMI A.	-	TRAINEE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
20-Mar-17	DE GUZMAN	LORENA S.	ACCOUNTING ASSISTANT	-	DW CAPITAL INC.	RESIGNATION (cleared)
22-Mar-17	BACTUNG	ZYNNCLYRR P.	-	HR STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
27-Mar-17	LITAP, JR.	PERFECTO S.	ACTING ASSOCIATED PERSON	ASSOCIATED PERSON/COMPLIANCE OFFICER	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION