



MEMORANDUM – 2017-010

To : All Trading Participants

Subject : Employee Movement

Date : 5 May 2017

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 30 April 2017.

For information and guidance.

A handwritten signature in black ink, appearing to read 'Daisy P. Arce', is positioned above the printed name and title.

DAISY P. ARCE

Officer-In-Charge

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
01-Mar-17	ONDIS	PERCIVAL D.	-	COMPANY DRIVER	DEUTSCHE REGIS PARTNERS INC.	NEW EMPLOYMENT
01-Mar-17	DE CHAVEZ	NEPHTALIE L.	COMPANY DRIVER	-	DEUTSCHE REGIS PARTNERS INC.	RESIGNATION (clearance under process)
13-Mar-17	SEE	JEFF RADLEY C.	-	SALESMAN/AGENT	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
15-Mar-17	CARLOS	THERESE D.	ON THE JOB TRAINEE	-	DA MARKET SECURITIES, INC.	RESIGNATION (did not request for clearance)
15-Mar-17	DE LEON	MADONNA D.	RELATIONSHIP MANAGER	CLIENT EXPERIENCE MANAGER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
15-Mar-17	MAGHARI	SHEILA A.	RELATIONSHIP MANAGER	CLIENT EXPERIENCE MANAGER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
15-Mar-17	LEE	BEVERLY MAE C.	RELATIONSHIP MANAGER	CLIENT EXPERIENCE MANAGER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
15-Mar-17	SO	MARIAN CATHLEEN C.	RELATIONSHIP MANAGER	CLIENT EXPERIENCE MANAGER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
15-Mar-17	MONTERO	MARY MARGARET J.	RELATIONSHIP MANAGER	CLIENT EXPERIENCE MANAGER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
16-Mar-17	ESQUIVEL	JANEL INGRID KIERSTEN C.	-	OPERATIONS MANAGER	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
17-Mar-17	MABBORANG	MERJAMES B.	SETTLEMENT HEAD	-	PNB SECURITIES, INC.	TERMINATION
20-Mar-17	MAGHIRANG	ARABELLE C.	-	SENIOR INVESTMENT ANALYST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
22-Mar-17	BERNABE	LIZA	-	EXECUTIVE, SETTLEMENTS	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	NEW EMPLOYMENT
27-Mar-17	MCCOY	ANNA KRISSELDA S.	-	RETAIL BUSINESS DEV'T. OFFICER	BDO NOMURA SECURITIES INC.	NEW EMPLOYMENT
28-Mar-17	MONTELIBANO	MARK EMMANUEL S.	TRAINEE	CERTIFIED SECURITIES REPRESENTATIVE	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
29-Mar-17	CASTILLO	JANICE AUGGIE B.	-	RETAIL BUSINESS DEV'T. OFFICER	BDO NOMURA SECURITIES INC.	NEW EMPLOYMENT
31-Mar-17	ROXAS	ANNA BEA B.	IT/OFFICE CLERK	-	MERCANTILE SECURITIES, CORPORATION	RESIGNATION
01-Apr-17	DELOS REYES	EIRA MARIE M.	CUSTOMER SERVICE STAFF	CUSTOMER SERVICE ASSISTANT	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Apr-17	BRIONES, JR.	DANILO M.	-	MESSENGER	SOLAR SECURITIES, INC.	NEW EMPLOYMENT
01-Apr-17	CABRERA	EDSON D.	-	MESSENGER	CLSA PHILIPPINES., INC.	NEW EMPLOYMENT
01-Apr-17	JOCSON	RICHARD C.	-	IT DEPARTMENT HEAD	EASTERN SECURITIES DEVT. CORPORATION	NEW EMPLOYMENT
03-Apr-17	DOMINGO	LAWRENCE MATHEW A.	-	RETAIL BUSINESS DEV'T. OFFICER	BDO NOMURA SECURITIES INC.	NEW EMPLOYMENT

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03-Apr-17	AZURIN	LEXTER FREDERICH L.	-	ASSISTANT VICE PRESIDENT - SENIOR EQUITY ANALYST	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
03-Apr-17	BAUTISTA	GABRIEL J.	SALESMAN	-	TANSENGCO & COMPANY, INC.	RESIGNATION
03-Apr-17	SALAC	KRISTINA MICHAELA B.	TRAINEE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (no clearance required)
03-Apr-17	GOH	JEFFREY N.	TRAINEE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (no clearance required)
03-Apr-17	SUNDIAM	ROWENA M.	-	CERTIFIED SECURITIES REPRESENTATIVE	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
03-Apr-17	MONGOTE	LESTER	-	AUTHORIZED OFFICER, HEAD OF GROUP CORPORATE SERVICES	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
03-Apr-17	MARCELINO	FRANCIS C.	-	SETTLEMENT ASSISTANT	DW CAPITAL, INC.	NEW EMPLOYMENT
04-Apr-17	DEL ROSARIO	DAVID ANGELO T.	SALESMAN	-	CLSA PHILIPPINES., INC.	RESIGNATION (clearance under process)
04-Apr-17	SALAC	KRISTINA MICHAELA B.	-	MARKETING INTERN	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
04-Apr-17	GOH	JEFFREY N.	-	MARKETING INTERN	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
04-Apr-17	ALMIREZ	CYNTHIA A.	-	DIRECTOR	UCPB SECURITIES, INC.	NEW EMPLOYMENT
05-Apr-17	TAN	FLORENCE THERESE A.	-	SALES TRADER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
08-Apr-17	ROQUE	ANNA KARENINA D.	MARKETING MANAGER	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
11-Apr-17	YU	RONALD MARTIN L.	INDEPENDENT TRADER	-	CITISECURITIES, INC.	RESIGNATION (clearance under process but may join other broker)
13-Apr-17	OFILADA	ATTY. RISSA	ASSOCIATED PERSON	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION
13-Apr-17	APULENCIA	CYRILE L.	HR STAFF	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)
13-Apr-17	ROSALES	EMMALYN E.	ACCOUNTING SPECIALIST	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
16-Apr-17	CHOA-SHI	VASSY VERONICA S.	TRADER	-	BDO NOMURA SECURITIES INC.	RESIGNATION
17-Apr-17	STA. MARIA	REINIER C.	TRAINEE	SALESMAN	TANSENGCO & COMPANY, INC.	RE-DESIGNATION
17-Apr-17	ENERIO	ARIANNE C.	-	ADMIN STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
17-Apr-17	FAJARDO	BENNETTE EDWARD JOHN G.	-	ANALYST	CLSA PHILIPPINES., INC.	NEW EMPLOYMENT
17-Apr-17	CAPUNO	ELMER F.	AVP-OPERATIONS	AP	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RE-DESIGNATION
18-Apr-17	GARRIDO	JASMIN S.	-	ASSOCIATED PERSON	SARANGANI SECURITIES, INC.	NEW EMPLOYMENT
20-Apr-17	ANSAY	BEVERLY L.	SETTLEMENT HEAD	-	DW CAPITAL, INC.	RESIGNATION (clearance under process)