



MEMORANDUM – 2017-013

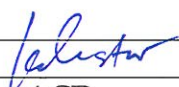


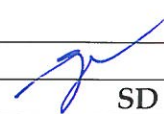
TO : THE INVESTING PUBLIC AND THE TRADING PARTICIPANTS

SUBJECT : LIST OF COMPLIANT TPs FOR THE 2016 ANNUAL REGULATORY AUDIT

DATE : 7 JULY 2017

Attached is the list of Trading Participants that were issued compliance letters by the Audit and Compliance Department of the Capital Markets Integrity Corporation in relation to the 2016 Annual Regulatory Audit.


DAISY E. ARCE
Officer-in-Charge

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|  ACD |  FHRAD |  IED |  SD |
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CAPITAL MARKETS INTEGRITY CORPORATION
AUDIT AND COMPLIANCE DEPARTMENT
LIST OF COMPLIANT TRADING PARTICIPANTS
2016 ANNUAL REGULATORY AUDIT
AS OF 06 JULY 2017

- 1 A & A SECURITIES, INC.
- 2 A.T. DE CASTRO SECURITIES CORPORATION
- 3 AAA SOUTHEAST EQUITIES, INC.
- 4 AB CAPITAL SECURITIES, INC.
- 5 ABACUS SECURITIES CORPORATION
- 6 ACCORD CAPITAL EQUITIES CORPORATION
- 7 ALAKOR SECURITIES CORPORATION
- 8 ALPHA SECURITIES CORPORATION
- 9 ANGPING & ASSOCIATES SECURITIES, INC.
- 10 APEX PHILS. EQUITIES CORPORATION
- 11 ARMSTRONG SECURITIES, INC.
- 12 ASIA PACIFIC CAPITAL EQUITIES & SECURITIES CORPORATION
- 13 ASTRA SECURITIES CORPORATION
- 14 ATC SECURITIES, INC.
- 15 AURORA SECURITIES, INC.
- 16 B. H. CHUA SECURITIES CORPORATION
- 17 BA SECURITIES, INC.
- 18 BDO SECURITIES CORPORATION
- 19 BELSON SECURITIES, INC.
- 20 BENJAMIN CO CA & COMPANY, INC.
- 21 BERNAD SECURITIES, INC.
- 22 BPI SECURITIES CORPORATION
- 23 CAMPOS, LANUZA & COMPANY, INC.
- 24 CENTURY SECURITIES CORPORATION
- 25 CITISECURITIES, INC.
- 26 CLSA PHILS., INC.
- 27 COHERCO SECURITIES, INC.
- 28 COL FINANCIAL PHILIPPINES
- 29 CREDIT SUISSE SECURITIES (PHILIPPINES), INC.
- 30 CUALOPING SECURITIES CORPORATION
- 31 DA MARKET SECURITIES, INC.
- 32 DAVID GO SECURITIES CORPORATION
- 33 DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.
- 34 DEUTSCHE REGIS PARTNERS INC.
- 35 DIVERSIFIED SECURITIES, INC.
- 36 DW CAPITAL, INC.
- 37 E. CHUA CHIACO SECURITIES, INC.
- 38 EAGLE EQUITIES, INC.
- 39 EASTERN SECURITIES DEVT. CORPORATION
- 40 EASTWEST CAPITAL CORPORATION
- 41 EQUITIWORLD SECURITIES, INC.
- 42 EVERGREEN STOCK BROKERAGE & SECURITIES, INC.
- 43 F.YAP SECURITIES, INC.
- 44 FIDELITY SECURITIES, INC.
- 45 FIRST INTEGRATED CAPITAL SEC., INC.

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- 46 FIRST METRO SEC. BRKGE. CORP
- 47 FIRST ORIENT SECURITIES, INC.
- 48 G. D. TAN & COMPANY, INC.
- 49 GLOBALINKS SECURITIES & STOCKS, INC.
- 50 GOLDEN TOWER SEC. & HOLDINGS, INC.
- 51 GOLDSTAR SECURITIES, INC.
- 52 GUILD SECURITIES, INC.
- 53 H.E. BENNETT SECURITIES, INC.
- 54 HDI SECURITIES, INC.
- 55 I. B. GIMENEZ SECURITIES, INC.
- 56 IGC SECURITIES, INC.
- 57 IMPERIAL DE GUZMAN, ABALOS & CO., INC.
- 58 INTRA-INVEST SECURITIES, INC.
- 59 INVESTORS SECURITIES, INC.
- 60 J. M. BARCELON & COMPANY, INC.
- 61 J. P. MORGAN SECURITIES PHILS, INC.
- 62 JAKA SECURITIES CORPORATION
- 63 JSG SECURITIES, INC.
- 64 KING'S POWER SECURITIES, INC.
- 65 LARRGO SECURITIES COMPANY, INC.
- 66 LOPEZ, LOCSIN, LEDESMA & COMPANY, INC.
- 67 LUY'S SECURITIES COMPANY, INC.
- 68 MACQUARIE SECURITIES (PHIL), INC.
- 69 MANDARIN SECURITIES CORPORATION
- 70 MARIAN SECURITIES, INC.
- 71 MAYBANK ATR KIMENG SECURITIES, INC.
- 72 MDR SECURITIES, INC.
- 73 MERCANTILE SECURITIES, CORPORATION
- 74 MERIDIAN SECURITIES, INC.
- 75 MOUNT PEAK SECURITIES, INC.
- 76 NEW WORLD SECURITIES CO., INC.
- 77 OPTIMUM SECURITIES CORPORATION
- 78 PAN ASIA SECURITIES CORPORATION
- 79 PAPA SECURITIES CORPORATION
- 80 PCCI SECURITIES BROKERS CORPORATION
- 81 PCIB SECURITIES, INC.
- 82 PHIL-PROGRESS SECURITIES CORPORATION
- 83 PHILS. EQUITY PARTNERS, INC.
- 84 PLATINUM SECURITIES, INC.
- 85 PNB SECURITIES, INC.
- 86 PREMIUM SECURITIES, INC.
- 87 QUALITY INVESTMENT & SECURITIES CORPORATION
- 88 R & L INVESTMENTS, INC.
- 89 R. COYIUTO SECURITIES, INC.
- 90 R. NUBLA SECURITIES, INC.

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- 91 R.S. LIM & COMPANY, INC.
- 92 RCBC SECURITIES, INC.
- 93 REGINA CAPITAL DEVT. CORPORATION
- 94 RTG & CO., INC.
- 95 S.J. ROXAS & COMPANY, INC.
- 96 SALISBURY BKT SECURITIES CORPORATION
- 97 SARANGANI SECURITIES, INC.
- 98 SECURITIES SPECIALISTS, INC.
- 99 SINCERE SECURITIES CORPORATION
- 100 SOLAR SECURITIES, INC.
- 101 STANDARD SECURITIES CORPORATION
- 102 STAR ALLIANCE SECURITIES CORPORATION
- 103 STRATEGIC EQUITIES CORPORATION
- 104 SUMMIT SECURITIES, INC.
- 105 SUPREME STOCKBROKER, INC.
- 106 TANSENGCO & COMPANY, INC.
- 107 THE FIRST RESOURCES MGMT. & SECURITIES CORPORATION
- 108 TIMSON SECURITIES, INC.
- 109 TOWER SECURITIES, INC.
- 110 TRANS-ASIA SECURITIES, INC.
- 111 TRI-STATE SECURITIES, INC.
- 112 TRITON SECURITIES CORPORATION
- 113 UBS SECURITIES PHIL.
- 114 UCPB SECURITIES, INC.
- 115 UNICAPITAL SECURITIES, INC.
- 116 UOB-KAY HIAN SECURITIES (PHILIPPINES), INC.
- 117 UPCC SECURITIES CORPORATION
- 118 VALUE QUEST SECURITIES CORPORATION
- 119 VENTURE SECURITIES, INC.
- 120 VICSAL SECURITIES & STOCK BROKERAGE, INC.
- 121 VSEC.COM, INC.
- 122 WEALTH SECURITIES, INC.
- 123 WESTLINK GLOBAL EQUITIES, INC.
- 124 WONG SECURITIES CORPORATION
- 125 YAO & ZIALCITA, INC.
- 126 YU & COMPANY, INC.