

**To : All Trading Participants**

**Subject : Employee Movement**

**Date : 4 August 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 July 2017.

For information and guidance.

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

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
23-Feb-17	GONZAGA	ELDEN C.	SETTLEMENT ASSISTANT	-	ALPHA SECURITIES CORPORATION	RESIGNATION (cleared)
01-Mar-17	TANAP	RUBEN ALOVEN C.	OFFICE ASSISTANT	SETTLEMENT ASSISTANT	ALPHA SECURITIES CORPORATION	RE-DESIGNATION
03-Apr-17	TAGOLGOL	CHARLENE L.	-	SALES TRAINEE	ALPHA SECURITIES CORPORATION	NEW EMPLOYMENT
02-May-17	ALDAY	CORAZON G.	OFFICE SUPERVISOR	-	PREMIUM SECURITIES INC.	RESIGNATION
02-May-17	TAN	SILAS O.	SALESMAN/AUTHORIZED TRADER	-	PREMIUM SECURITIES INC.	RETIREMENT
16-May-17	GOZUM	JANE MICHILLE D.	-	OPERATIONS CLERK	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
02-Jun-17	SAN JOAQUIN	MARK ANTHONY D.R.	ASSISTANT GENERAL MANAGER, SALESMAN AND TRADER	ASSISTANT GENERAL MANAGER	INTRA-INVEST SECURITIES INC.	RE-DESIGNATION
06-Jun-17	PAPA	JOAQUIN GABRIEL O.	-	ON THE JOB TRAINEE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
08-Jun-17	NOUVELOT	MAE L.	-	SALES AGENT	SB EQUITIES, INC.	NEW EMPLOYMENT
14-Jun-17	TAN	JUDY S.	-	INDEPENDENT DIRECTOR	ARMSTRONG SECURITIES, INC.	NEW EMPLOYMENT
14-Jun-17	TIRONA	JESUS G.	INDEPENDENT DIRECTOR	-	ARMSTRONG SECURITIES, INC.	RESIGNATION
15-Jun-17	GOSPODINOV	ALEX	ASSOCIATE DIRECTOR	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION (cleared)
15-Jun-17	SERDON	CHATRINA A.	ON-BOARDING SPECIALIST	-	SB EQUITIES, INC.	RESIGNATION (cleared)
19-Jun-17	LEE	KON	-	VICE PRESIDENT	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	NEW EMPLOYMENT
27-Jun-17	JIN	SOOHEUNG	-	MANAGING DIRECTOR	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	NEW EMPLOYMENT
29-Jun-17	CHAN	LAI HING	-	DIRECTOR	UBS SECURITIES PHIL., INC.	NEW EMPLOYMENT
29-Jun-17	GALANG	KARLA YSABEL L.	-	ASSISTANT CORPORATE SECRETARY	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
29-Jun-17	HOSIE	NEIL C.	DIRECTOR	-	DEUTSCHE REGIS PARTNERS INC.	RESIGNATION (cleared)
29-Jun-17	NUÑEZ	JOSE JR. A.	-	DIRECTOR	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
30-Jun-17	LARITA	LAWRENCE ANGELICA R.	SALES SUPPORT	-	AP SECURITIES, INC.	RESIGNATION
30-Jun-17	MACALTAO	CAROLINE G.	HEAD OF INSTITUTIONAL SALES - TRADING	-	SB EQUITIES, INC.	RESIGNATION (without clearance)

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30-Jun-17	SAN JOAQUIN	MARK ANTHONY D.R.	ASSISTANT GENERAL MANAGER	ASSISTANT GENERAL MANAGER/ASSOCIATED PERSON	INTRA-INVEST SECURITIES INC.	RE-DESIGNATION
30-Jun-17	YAP	GENEVIEVE HAZEL S.	RESEARCH OFFICER/ANALYST	-	BDO SECURITIES CORPORATION	RESIGNATION (cleared)
01-Jul-17	ALIBUDBUD	AIMELOU S.	SECTION HEAD - NEW ACCOUNTS	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
01-Jul-17	DIMZON	JIERO JOHN D.	SALESMAN	AGENT-STOCK BROKER	ALPHA SECURITIES CORPORATION	RE-DESIGNATION
01-Jul-17	ENRIQUEZ	IRISH RAYCHELLE ANN T.	NEW ACCOUNTS STAFF	NEW ACCOUNTS ASSISTANT	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Jul-17	GO	MARY JOSEPHINE T.	-	NEW ACCOUNTS ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
01-Jul-17	LI	ALEX L.	ACCOUNTING HEAD	SETTLEMENT HEAD	SB EQUITIES, INC.	RE-DESIGNATION
01-Jul-17	SADDUL	VANESSA M.	-	ADMIN ASSISTANT, IFA	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
01-Jul-17	SORIANO	JANINE ELIZABETH C.	IC-DISBURSEMENT & COLLECTION	FIRST OFFICER, IC-DISBURSEMENT & COLLECTION	RCBC SECURITIES, INC.	RE-DESIGNATION
01-Jul-17	TAGOLGOL	CHARLENE L.	SALES TRAINEE	ACCOUNTING STAFF	ALPHA SECURITIES CORPORATION	RE-DESIGNATION
01-Jul-17	VALENZUELA	ELAINE G.	OPERATIONS STAFF	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
01-Jul-17	YAP	GENEVIEVE HAZEL S.	-	RESEARCH OFFICER/ANALYST	BDO NOMURA SECURITIES INC.	NEW EMPLOYMENT
03-Jul-17	DE LUNA	ROMARIE NATIAH B.	-	MARKETING ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
03-Jul-17	ERLANO	REUBEN MATTHEW R.	-	ON THE JOB TRAINEE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
03-Jul-17	FELICIANO	CRIZEL M.	-	OFFICE TRAINEE	YU AND COMPANY, INC.	NEW EMPLOYMENT
03-Jul-17	LAY	EDGAR V.	-	JUNIOR EQUITY ANALYST	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
03-Jul-17	PACIA	BRIAN ERMIN C.	-	OPERATIONS OFFICER - MARGIN AND MUTUAL FUNDS	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
03-Jul-17	TENG	CHRISTINE S.	-	SALESMAN/TRADER	PREMIUM SECURITIES INC.	NEW EMPLOYMENT
04-Jul-17	MACALE	MARIEL ANGELA L.	-	INTERN	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
05-Jul-17	ABIQUE	LETICIA D.	ASSOCIATED PERSON	-	CHINABANK SECURITIES CORPORATION (Formerly ATC Securities, Inc.)	RESIGNATION
05-Jul-17	KHOO	ASHLEY L.	ANALYST	-	MACQUARIE CAPITAL SECURITIES	RESIGNATION

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					(PHIL), INC.	(clearance under process)
05-Jul-17	MENESES	SHARI MAE O.	OFFICE TRAINEE	-	YU AND COMPANY, INC.	RESIGNATION
06-Jul-17	CHUA	GENEVIEVE C.	-	ASSISTANT TREASURER	MERCANTILE SECURITIES CORPORATION	NEW EMPLOYMENT
06-Jul-17	ILAG	GREGG ADRIAN R.	RESEARCH ASSISTANT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
06-Jul-17	LOPEZ	MA. GEORGINA A.	DIRECTOR	-	SARANGANI SECURITIES, INC.	RESIGNATION
09-Jul-17	GO	CHERYL L.	MANAGER, CEBU BRANCH	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
10-Jul-17	DELA CRUZ	JUAN PAULO R.	-	DEALER	SB EQUITIES, INC.	NEW EMPLOYMENT
10-Jul-17	GATDULA	JOANA ROSE E.	-	OPERATIONS ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
10-Jul-17	LOKIN	LOUISE MICHIKO B.	-	INTERN	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
12-Jul-17	HALAGAO	JIAH L.	-	CONTRACTUAL (CLERK)	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
12-Jul-17	REYES	PAULA RENEE M.	ASSISTANT MANAGER, MULTIMEDIA GRAPHICS DESIGNER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
13-Jul-17	PALMA	JOHN PAUL Y.	SALES REPRESENTATIVE/TRADER	-	UCPB SECURITIES, INC.	RESIGNATION (cleared)
14-Jul-17	TE PAA	THOMAS CHARLES A.	EXECUTIVE, SALES TRADING	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION (clearance under process)
15-Jul-17	AVILA	EDUARDO C.	ASSOCIATE DIRECTOR, DEPUTY HEAD OF FINANCE	-	UBS SECURITIES PHIL., INC.	RESIGNATION (cleared)
15-Jul-17	DE RAMOS	MARK ATHUR S.	SALESMAN	-	SINCERE SECURITIES CORPORATION	RESIGNATION (cleared)
15-Jul-17	DELFIN	ADRIAN S.	MARKETING ASST/TRADER	-	ASIASEC EQUITIES, INC.	RESIGNATION
15-Jul-17	RECTO	JUAN LUIS T.	INTERN	-	CITISECURITIES, INC.	RESIGNATION (no clearance required)
16-Jul-17	PONO	MA. ARACELI D.	ASSOCIATED PERSON	-	BDO NOMURA SECURITIES INC.	RESIGNATION
17-Jul-17	CASTILLO	CESAR D.	-	MIDDLE OFFICE ANALYST	SB EQUITIES, INC.	NEW EMPLOYMENT
17-Jul-17	CIMA FRANCA	JUSTIN JOB K.	-	EQUITY RESEARCH ANALYST	CREDIT SUISSE SECURITIES (PHILIPPINES) INC	NEW EMPLOYMENT

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17-Jul-17	DELA CRUZ	STEPHANIE ANNE	-	PRODUCT ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
17-Jul-17	DELA CRUZ	ROSALIE O.	-	ASSOCIATE DIRECTOR, HEAD OF OPERATIONS	UBS SECURITIES PHIL., INC.	NEW EMPLOYMENT
17-Jul-17	DELFIN	ADRIAN S.	-	JUNIOR DEALER	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
17-Jul-17	ILAG	GREGG ADRIAN R.	-	JUNIOR ANALYST	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
17-Jul-17	MACENAS	MARINEL D.	-	HR SUPERVISOR	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
17-Jul-17	MATAMOROSA	JESSA MAE S.	-	MARKETING ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
17-Jul-17	NGAN	BENJAMIN CALEB F.	-	RESEARCH ANALYST	RCBC SECURITIES, INC.	NEW EMPLOYMENT
17-Jul-17	PALMA	JOHN PAUL Y.	-	ONLINE TRADING SALES SUPPORT	BDO NOMURA SECURITIES INC.	NEW EMPLOYMENT
17-Jul-17	SAMBILLO	MA. MARGARETH L.	-	DELIVERY DISPATCH ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
17-Jul-17	SANTARINA	MARC CHRISTIAN V.	-	ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
17-Jul-17	SULLIVAN	THOMAS SEAN	SALESMAN	-	CLSA PHILIPPINES, INC.	RESIGNATION (clearance under process)
17-Jul-17	VALDEZ	JEREMY PAUL A.	SALESMAN-DEALER	-	SB EQUITIES, INC.	RESIGNATION (cleared)
20-Jul-17	NOROÑA	MIA HENSEL M.	-	TRAINEE	I.B. GIMENEZ SECURITIES, INC.	NEW EMPLOYMENT
20-Jul-17	WANG	WILLIAM C.	-	DIRECTOR	CHINABANK SECURITIES CORPORATION (Formerly ATC Securities, Inc.)	NEW EMPLOYMENT
20-Jul-17	YU	LILIAN	-	DIRECTOR	CHINABANK SECURITIES CORPORATION (Formerly ATC Securities, Inc.)	NEW EMPLOYMENT
21-Jul-17	ASILO	FRANCIS ALVIN V.	CORPORATE SECRETARY	-	J.P. MORGAN SECURITIES PHIL., INC.	RESIGNATION (no clearance required)
22-Jul-17	BRONDIAL	MARJORIE M.	HR SUPERVISOR	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
22-Jul-17	NATIVIDAD	GENEVIEVE M.	ACCOUNTING ASSISTANT	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
24-Jul-17	CARGULLO	FERLYN JOY C.	-	SALES ASSOCIATE	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT



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24-Jul-17	ROGADOR	ARA MAE L.	TRADING FLOOR ASSISTANT	-	I.B. GIMENEZ SECURITIES, INC.	RESIGNATION (no clearance required)
25-Jul-17	SALVATIERRA	KATRINA MARIE D.	-	CSR	AP SECURITIES, INC.	NEW EMPLOYMENT
26-Jul-17	ALMIREZ	CYNTHIA A.	DIRECTOR	-	UCPB SECURITIES, INC.	RESIGNATION
26-Jul-17	BAUTISTA	PEARL CHARISSE D.	ASSISTANT CORPORATE SECRETARY	CORPORATE SECRETARY	J.P. MORGAN SECURITIES PHIL., INC.	RE-DESIGNATION
26-Jul-17	CARIÑO	MARIANNE M.	-	ASSISTANT CORPORATE SECRETARY	J.P. MORGAN SECURITIES PHIL., INC.	NEW EMPLOYMENT
26-Jul-17	CATABRAN	EULOGIO V.	DIRECTOR	-	UCPB SECURITIES, INC.	RESIGNATION
26-Jul-17	CIMAFRANCA, JR.	FILEMON S.	-	DIRECTOR	UCPB SECURITIES, INC.	NEW EMPLOYMENT
26-Jul-17	CORPIN	DAVID P.	-	DIRECTOR	UCPB SECURITIES, INC.	NEW EMPLOYMENT
26-Jul-17	DE LA SERNA, JR.	VICTOR P.	-	DIRECTOR	UCPB SECURITIES, INC.	NEW EMPLOYMENT
26-Jul-17	FULGENCIO	STELLA MA. A.	DIRECTOR	-	UCPB SECURITIES, INC.	RESIGNATION
27-Jul-17	MACASAET	MARIFE M.	ADMINISTRATIVE CLERK, OPERATOR/RECEPTIONIST	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)