



MEMORANDUM – 2017-022




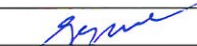
TO : THE INVESTING PUBLIC AND THE TRADING PARTICIPANTS

SUBJECT : UPDATED LIST OF COMPLIANT TP_s FOR THE 2016 ANNUAL REGULATORY AUDIT

DATE : 20 SEPTEMBER 2017

Further to Memorandum 2017-013 dated 07 July 2017, attached is the complete 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 F. ARCE
Officer-in-Charge

			
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CAPITAL MARKETS INTEGRITY CORPORATION
AUDIT AND COMPLIANCE DEPARTMENT
LIST OF COMPLIANT TRADING PARTICIPANTS
2016 ANNUAL REGULATORY AUDIT

- 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 ANSALDO, GODINEZ & COMPANY, INC.
- 11 APEX PHILS. EQUITIES CORPORATION
- 12 ARMSTRONG SECURITIES, INC.
- 13 ASIA PACIFIC CAPITAL EQUITIES & SECURITIES CORPORATION
- 14 ASIASEC EQUITIES, INC.
- 15 ASTRA SECURITIES CORPORATION
- 16 ATC SECURITIES, INC.
- 17 AURORA SECURITIES, INC.
- 18 B. H. CHUA SECURITIES CORPORATION
- 19 BA SECURITIES, INC.
- 20 BDO SECURITIES CORPORATION
- 21 BELSON SECURITIES, INC.
- 22 BENJAMIN CO CA & COMPANY, INC.
- 23 BERNAD SECURITIES, INC.
- 24 BPI SECURITIES CORPORATION
- 25 CAMPOS, LANUZA & COMPANY, INC.
- 26 CENTURY SECURITIES CORPORATION
- 27 CITISECURITIES, INC.
- 28 CLSA PHILS., INC.
- 29 COHERCO SECURITIES, INC.
- 30 COL FINANCIAL PHILIPPINES
- 31 CREDIT SUISSE SECURITIES (PHILIPPINES), INC.
- 32 CUALOPING SECURITIES CORPORATION
- 33 DA MARKET SECURITIES, INC.
- 34 DAVID GO SECURITIES CORPORATION
- 35 DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.
- 36 DEUTSCHE REGIS PARTNERS INC.
- 37 DIVERSIFIED SECURITIES, INC.
- 38 DW CAPITAL, INC.
- 39 E. CHUA CHIACO SECURITIES, INC.
- 40 EAGLE EQUITIES, INC.
- 41 EASTERN SECURITIES DEVT. CORPORATION
- 42 EASTWEST CAPITAL CORPORATION
- 43 EQUITIWORLD SECURITIES, INC.
- 44 EVERGREEN STOCK BROKERAGE & SECURITIES, INC.
- 45 F.YAP SECURITIES, INC.

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2016 ANNUAL REGULATORY AUDIT

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

CAPITAL MARKETS INTEGRITY CORPORATION
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2016 ANNUAL REGULATORY AUDIT

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