



MEMORANDUM – 2017-024

To : All Trading Participants

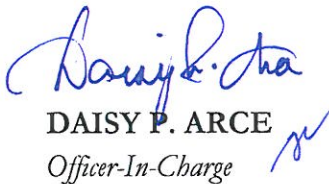
Subject : Employee Movement

Date : 5 October 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 September 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
16-Jul-17	PONO	ARACELI D.	ASSOCIATED PERSON	-	BDO NOMURA SECURITIES INC.	UPDATE: RESIGNATION (cleared)
14-Aug-17	DE VERA	ANAROSE R.	-	OPERATIONS & ADMIN ASSISTANT	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
17-Aug-17	SANTARINA	MARC CHRISTIAN V.	ASSOCIATE	ASSOCIATE - EQUITY SALES ONLINE	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
18-Aug-17	NOROÑA	MIA HENSEL M.	TRAINEE	TRADING FLOOR ASSISTANT	I. B. GIMENEZ SECURITIES, INC.	RE-DESIGNATION
29-Aug-17	REMOLLENA	ELIZABETH E.	MANAGER/ACCOUNTING	SENIOR MANAGER/ACCOUNTING	BDO NOMURA SECURITIES INC.	RE-DESIGNATION
29-Aug-17	HUANG	THOMAS EARLL A.	MANAGER/RESEARCH OFFICE	MANAGER 2/RESEARCH OFFICE	BDO NOMURA SECURITIES INC.	RE-DESIGNATION
31-Aug-17	LOKIN	LOUISE MICHIKO B.	INTERN	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (no clearance required)
31-Aug-17	PADUA	LIWAYWAY R.	ACCOUNTANT	-	DW CAPITAL, INC.	RESIGNATION (cleared)
31-Aug-17	SANTIAGO	MARY JANE T.	ACCOUNTING CLERK	-	R. NUBLA SECURITIES, INC.	RESIGNATION (cleared)
31-Aug-17	GOCO	REYNALDO R.	DIRECTOR	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
31-Aug-17	VITAL	VICTOR L.	-	DIRECTOR	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
01-Sep-17	PRAGEDES	ROWENA C.	HR STAFF	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
01-Sep-17	TEODORO	MARISOL M.	-	DIRECTOR, PRESIDENT AND CEO	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES, INC.)	NEW EMPLOYMENT
01-Sep-17	MUTUC	PETER M.	-	BUSINESS DEVELOPMENT DIRECTOR	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES, INC.)	NEW EMPLOYMENT
01-Sep-17	CALIJA	MARIA DULCE B.	-	INVESTOR CENTER MANAGER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
01-Sep-17	ASTURIAS	LEODA AUREA C.	SENIOR MANAGER	ASST. VICE PRESIDENT	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Sep-17	DAGURO	PREMILYN C.	SENIOR PROGRAMMER	ASST. MANAGER	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Sep-17	OPULENCIA	JUAN ALFONSO S.	-	RESEARCH ANALYST	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-17	BANZON	MILAGROS R.	-	ACCOUNTANT	DW CAPITAL, INC.	NEW EMPLOYMENT
01-Sep-17	NARIO	RHOVIN CRISTIAN M.	-	RISK OFFICER	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-17	MERCADO	RASTINE MACKIE D.	-	SENIOR RESEARCH ANALYST	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES, INC.)	NEW EMPLOYMENT
04-Sep-17	CHANG	MA. WINCEL D.	ASSOCIATED PERSON	ASSOCIATED PERSON/ DATA PRIVACY OFFICER	EASTERN SECURITIES DEVT. CORPORATION	RE-DESIGNATION

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04-Sep-17	IMBUIDO	MARTE Y.	-	IT ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
04-Sep-17	AVERILLA	RESIQUEL F.	-	IT STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
04-Sep-17	LUBAY	SHEILA R.	-	ACCOUNTING ASSISTANT	S. J. ROXAS & COMPANY, INC.	NEW EMPLOYMENT
04-Sep-17	LATIGAY	VIOLETA C.	-	DATA PROTECTOR OFFICER	SARANGANI SECURITIES, INC.	NEW EMPLOYMENT
04-Sep-17	DOMINGO	MA. ROMA S.	ASSOCIATED PERSON	ASSOCIATED PERSON/DATA PROTECTION OFFICER	R.S. LIM & COMPANY, INC.	RE-DESIGNATION
04-Sep-17	MAGSINO	ARNEL GABRIEL MARTIN L.	-	TRADER	UCPB SECURITIES, INC.	NEW EMPLOYMENT
05-Sep-17	ABLAY	ARTURO T.	TRADER ASSISTANT	DATA PROTECTION OFFICER	S. J. ROXAS & COMPANY, INC.	RE-DESIGNATION
05-Sep-17	RICO	PHILLIP K.	CHAIRMAN OF THE BOARD OF DIRECTORS	-	R. COYIUTO SECURITIES, INC.	RESIGNATION (deceased)
05-Sep-17	LITAP, JR.	PERFECTO S.	AP/COMPLIANCE OFFICER	AP/COMPLIANCE OFFICER/ DATA PROTECTION OFFICER	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION
06-Sep-17	TING	ANGELITO	SALESMAN	-	R.S. LIM & COMPANY, INC.	RESIGNATION (deceased)
06-Sep-17	VAZQUEZ	ROSANA MARIA LUISA D.	-	SALESMAN	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
06-Sep-17	MERIADO	ROSE P.	-	DATA PROTECTION OFFICER	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT
07-Sep-17	MONTERO	MARY MARGARET J.	CLIENT EXPERIENCE ASSOCIATE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
07-Sep-17	AGUILAR	NIÑA FEREN A.	ASSOCIATE DIRECTOR, ASSOCIATED PERSON/COMPLIANCE OFFICER/HEAD OF COMPLIANCE & OPERATIONAL RISK CONTROL	ASSOCIATE DIRECTOR, ASSOCIATED PERSON/COMPLIANCE OFFICER/HEAD OF COMPLIANCE & OPERATIONAL RISK CONTROL/DATA PROTECTION OFFICER	UBS SECURITIES PHIL., INC.	RE-DESIGNATION
08-Sep-17	WONG	CHUNG YIN	CHIEF FINANCIAL OFFICER	TREASURER/CFO	DW CAPITAL, INC.	RE-DESIGNATION
08-Sep-17	WONG	DAVIDSON N.	TREASURER	PRESIDENT/APPLICANT NOMINEE	DW CAPITAL, INC.	RE-DESIGNATION
08-Sep-17	ANGEL	JOSEPH ANGELO D.	-	DATA PRIVACY OFFICER	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	NEW EMPLOYMENT
11-Sep-17	DE CELIS	JERVIN S.	-	SALESMAN	TIMSON SECURITIES, INC.	NEW EMPLOYMENT
15-Sep-17	GANGOSO	ROCHELLE D.	COMPLIANCE ASSISTANT	-	RCBC SECURITIES, INC.	RESIGNATION
15-Sep-17	ANG	RICHMOND C.	SALES PERSON	-	DW CAPITAL, INC.	RESIGNATION (cleared)

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15-Sep-17	FLORES	MARIA MARGARITA B.	SALESMAN	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (cleared)
18-Sep-17	TERMULO, JR.	BENIGNO C.	-	FINANCIAL ANALYST	CITISECURITIES, INC.	NEW EMPLOYMENT
18-Sep-17	DELFIN	MIGUEL Z.	-	FINANCIAL ANALYST	CITISECURITIES, INC.	NEW EMPLOYMENT
18-Sep-17	QUEVEDO	TIMOTHY PAUL L.	-	FINANCIAL ANALYST	CITISECURITIES, INC.	NEW EMPLOYMENT
18-Sep-17	OCAMPO	JUSTIN R.	-	DIVISION DIRECTOR	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	NEW EMPLOYMENT
20-Sep-17	TENORIO	NINA FRANCESCA B.	-	RESEARCH ANALYST	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
22-Sep-17	ONG, JR.	LUCIANO M.	SALESMAN	-	S. J. ROXAS & COMPANY, INC.	RESIGNATION
25-Sep-17	CALAGUIAN	JUAN PAOLO A.	-	INTERN	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
25-Sep-17	YU	MICHELLE ANGELINE N.	FINANCIAL ANALYST	CSR EQUITIES TRADER	CITISECURITIES, INC.	RE-DESIGNATION
26-Sep-17	FELICIANO	KRISTIAN MARI R.	-	RESEARCH TRAINEE	YU & COMPANY, INC.	NEW EMPLOYMENT
28-Sep-17	VELASCO	KEVIN TRISTAN S.	CERTIFIED SECURITIES REPRESENTATIVE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process but may join other broker)