



## MEMORANDUM – 2017-029

**To** : All Trading Participants  
**Subject** : Employee Movement  
**Date** : 5 December 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 30 November 2017.

For information and guidance.

**GRACE M. CALUBAQUIB**

*Officer-in-Charge*

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
30-Jun-17	LIBORO	FRANCISCO M.	PRESIDENT AND DIRECTOR	-	PCCI SECURITIES BROKERS CORPORATION	RETIREMENT
30-Jun-17	LAGO	JOSEPH JAMES F.	-	OFFICER-IN-CHARGE	PCCI SECURITIES BROKERS CORPORATION	NEW EMPLOYMENT
03-Jul-17	LAGO	JOSEPH JAMES F.	OFFICER-IN-CHARGE	AVP - HEAD OF RESEARCH, OFFICER-IN-CHARGE AND DIRECTOR	PCCI SECURITIES BROKERS CORPORATION	RE-DESIGNATION
09-Oct-17	LINTUCO	GLORIA G.	-	ACCOUNTING ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
09-Oct-17	MEDINA	NOEL B.	-	RESEARCH AND FINANCE ANALYST	HDI SECURITIES, INC.	NEW EMPLOYMENT
09-Oct-17	DE MESA	MARK GIERON E.	CLIENT SERVICES OFFICER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
10-Oct-17	TADIPA	KAYESHA D.	-	GENERAL CLERK	R. NUBLA SECURITIES, INC.	NEW EMPLOYMENT
13-Oct-17	LEYVA	KIM CRISHA D.	SALES AGENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
14-Oct-17	ASUNCION	LUIZ MIGUEL P.	JUNIOR DEALER	-	CLSA PHILIPPINES, INC.	RESIGNATION (cleared)
15-Oct-17	DIZON, JR.	RODOLFO T.	MESSENGER	-	ASIASEC EQUITIES, INC.	RESIGNATION (no clearance required)
16-Oct-17	ASUNCION	LUIZ MIGUEL	-	SALESMAN	SB EQUITIES, INC.	NEW EMPLOYMENT
17-Oct-17	BACOLONGAN	MANILYN I.	-	CAIF ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
23-Oct-17	VILLARRUZ	CHRISTINE MAY D.	-	MARKETING ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
23-Oct-17	KWAN	ROBERT T.	TELEPHONE CLERK	-	EASTERN SECURITIES DEVELOPMENT CORPORATION	RESIGNATION (no clearance required)
23-Oct-17	DEL ROSARIO	CAITRIN DOMINI LARISSA S.	SALES AGENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
25-Oct-17	PASAMONTE	RONALDO B.	-	MESSENGER	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
25-Oct-17	TESORERO JR.	CLODUALDO D.	MESSENGER	-	EASTERN SECURITIES DEVELOPMENT CORPORATION	RESIGNATION (no clearance required)
25-Oct-17	BONILLA	CLARO P.	COO AND APPLICANT	COO AND NOMINEE	BPI SECURITIES CORPORATION	RE-DESIGNATION

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
			NOMINEE			
30-Oct-17	BARBOZA	FRANK GERARD J.	SALESMAN	-	AP SECURITIES, INC.	RESIGNATION
30-Oct-17	MAGLASANG	ANALIZA D.	TRAINEE	-	A.T. DE CASTRO SECURITIES CORP	RESIGNATION
31-Oct-17	SARREAL	LOVELL A.	SVP, SENIOR ANALYST	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
31-Oct-17	SANTANA	MA. CAROLINA T.	VICE PRESIDENT/TRADER/CO- HEAD, MARKETING UNIT	-	BDO SECURITIES CORPORATION	RETIREMENT
31-Oct-17	LARCE	ORVEN R.	MESSENGER	-	SALISBURY BKT SECURITIES CORPORATION	RESIGNATION (no clearance required)
31-Oct-17	VIRAY	CASPER P.	TELEPHONE CLERK	-	ASIASEC EQUITIES, INC.	RESIGNATION
01-Nov-17	TAN	ANN MARGARRET S.	MANAGEMENT TRAINEE	ASSISTANT OFFICE MANAGER	YU AND COMPANY, INC.	RE-DESIGNATION
01-Nov-17	TURINGAN	MARJORIE V.	-	MUTUAL FUND OPERATIONS SPECIALIST	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
01-Nov-17	PORNETE	MA. LUZ L.	SALES DEALER	HEAD DEALER	SB EQUITIES, INC.	RE-DESIGNATION
02-Nov-17	BOLAZO	NUMERIANO B.	EXECUTIVE VICE PRESIDENT, CHIEF COMPLIANCE OFFICER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
02-Nov-17	MAGANA	MELODY F.	-	RECEPTIONIST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
02-Nov-17	FERNANDEZ	ARVIN ROMEL R.	-	DEALER	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
02-Nov-17	ESPIRITU	CHARISSE N.	SENIOR SETTLEMENTS ASSOCIATE	SETTLEMENTS OFFICER	CLSA PHILIPPINES, INC.	RE-DESIGNATION
02-Nov-17	SERDON	CHATRINA A.	-	MARKETING ASSISTANT	ASIASEC EQUITIES, INC.	NEW EMPLOYMENT
02-Nov-17	PERA	DENISE MIKKA A.	-	OPERATIONS ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORP.	NEW EMPLOYMENT
02-Nov-17	PEREZ	CHERRY MAE S.	-	NEW ACCOUNTS ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORP.	NEW EMPLOYMENT
02-Nov-17	DEL PUERTO	JAIME M.	RESEARCH ANALYST	-	CHINA BANK SECURITIES CORPORATION (formerly ATC	RESIGNATION

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
					Securities, Inc.)	
03-Nov-17	UY	DAYANARA JOGIE S.	SALESMAN	-	YU AND COMPANY, INC.	RESIGNATION
03-Nov-17	WONG	DIANNE N.	ASSOCIATED PERSON	ASSOCIATED PERSON/DATA PROTECTION OFFICER	DW CAPITAL INC.	RE-DESIGNATION
04-Nov-17	JOSEPH	KIM ELYZA R.	CSR EQUITIES TRADER	-	CITISECURITIES, INC.	RESIGNATION (clearance under process)
06-Nov-17	MARQUEZ	ALYSSA ROSE V.	-	SETTLEMENTS ASSOCIATE	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
07-Nov-17	ALDAMIA	BUENAFE B.	ASSISTANT CORPORATE SECRETARY	-	CUALOPING SECURITIES CORPORATION	RESIGNATION
08-Nov-17	GERMAN	JULIUS M.	TRADER	-	UCPB SECURITIES, INC.	RESIGNATION (cleared)
08-Nov-17	REYES	ARSENIO M.	-	ASSISTANT CORPORATE SECRETARY	CUALOPING SECURITIES CORPORATION	NEW EMPLOYMENT
09-Nov-17	DELA ROSA	EXCELEA L.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
09-Nov-17	TANIOLA	MARIA KATHLEEN V.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
09-Nov-17	GADUGDOG	CATHERINE U.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
09-Nov-17	HUBAY	LADELYN N.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
10-Nov-17	SECO	JOHN ROY L.	ASSISTANT COMPLIANCE	-	PCCI SECURITIES BROKERS CORPORATION	RESIGNATION
10-Nov-17	REYES	KIMBERLY MARIE S.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
10-Nov-17	FELICIANO	KRISTIAN MARI R.	RESEARCH TRAINEE	-	YU AND COMPANY, INC.	RESIGNATION
10-Nov-17	AGERO	ANGELYNE ANN S.	-	SALESMAN	EASTERN SECURITIES DEVELOPMENT CORPORATION	NEW EMPLOYMENT
10-Nov-17	ASUNCION	JUAN PAULO	DEALER	-	SB EQUITIES, INC.	RESIGNATION
13-Nov-17	FERNANDO	TEM S.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
13-Nov-17	CORDERO	NICOLE ISSACHAR C.	GENERAL ACCOUNTING ASSISTANT MANAGER	ACCOUNTING OFFICER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
15-Nov-17	BARRERA	RICARDO V.	-	SALESPERSON	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
16-Nov-17	GERMAN	JULIUS M.	-	SALES AND TRADING OFFICER	CHINA BANK SECURITIES CORPORATION	NEW EMPLOYMENT

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
					(formerly ATC Securities, Inc.)	
16-Nov-17	GUTIERREZ	MARIA CARNILLE R.	-	ACCOUNTING ASSISTANT	MERCANTILE SECURITIES CORPORATION	NEW EMPLOYMENT
16-Nov-17	LUNA	ARMANDO M.	VICE PRESIDENT/ASSOCIATED PERSON	VICE PRESIDENT/ASSOCIATED PERSON/COMPLIANCE OFFICER-DATA PRIVACY OFFICER	MERCANTILE SECURITIES CORPORATION	RE-DESIGNATION
17-Nov-17	IGUBAN	CHRISTINE G.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
17-Nov-17	UY	LUCKY DICKINSON T.	-	AGENT/SALES	SB EQUITIES, INC.	NEW EMPLOYMENT
20-Nov-17	OLEQUINO	ALLAN JUN A.	-	MESSENGER	EASTERN SECURITIES DEVELOPMENT CORPORATION	NEW EMPLOYMENT
20-Nov-17	DIMZON	JIERO JOHN D.	AGENT-STOCK BROKER	-	ALPHA SECURITIES CORPORATION	RESIGNATION (cleared)
20-Nov-17	TAN	DELFIN L.	MESSENGER	-	EASTERN SECURITIES DEVELOPMENT CORPORATION	RESIGNATION (no clearance required)
21-Nov-17	TAN	SUSANA C.	SALESMAN	-	A & A SECURITIES, INC.	RESIGNATION (cleared)
27-Nov-17	HERMOSISIMA	CHRISTOPHER ALBERT C.	SALESMAN	-	CAMPOS, LANUZA & CO., INC.	RESIGNATION (did not apply for clearance)
30-Nov-17	BISNAR	JOHN CHRISTIAN O.	SALESMAN/TRADER	-	DA MARKET SECURITIES, INC.	RESIGNATION