



# MEMORANDUM – 2018-004

**To** : **All Trading Participants**

**Subject** : **Employee Movement**

**Date** : **5 February 2018**

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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 January 2018.

For information and guidance.

(Original Signed)  
**DAISY P. ARCE**  
*President*

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
09-Dec-17	ZAMORA	RAUL A.	SALESPERSON	-	PCCI SECURITIES BROKERS CORP.	DECEASED
16-Dec-17	CHAN	CLARISSE C.	-	COMPLIANCE ASSISTANT	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
20-Dec-17	GERMAN	JULIUS M.	SALES AND TRADING OFFICER	SALES AND TRADING DIRECTOR	CHINA BANK SECURITIES CORP. (formerly ATC Securities, Inc.)	RE-DESIGNATION
21-Dec-17	PINEDA	FERDINAND M.	SALESPERSON	-	PCCI SECURITIES BROKERS CORP.	RESIGNATION
23-Dec-17	LEE	RENE R.	NOMINEE, PRESIDENT & SALESMAN	-	R&L INVESTMENTS, INC.	DECEASED
26-Dec-17	JABON-ASI	PAMELA MAE G.	CORPORATE ACTIONS ASSOCIATE	CORPORATE ACTIONS SPECIALIST	BPI SECURITIES CORPORATION	RE-DESIGNATION
26-Dec-17	ADVINCULA	ELLEINA J.	ACCOUNT OPENING ASSOCIATE	ACCOUNT OPENING SPECIALIST	BPI SECURITIES CORPORATION	RE-DESIGNATION
27-Dec-17	TING	JUVY	INDEPENDENT DIRECTOR	-	DW CAPITAL, INC.	RESIGNATION
27-Dec-17	LU	SUSAN	INDEPENDENT DIRECTOR	-	DW CAPITAL, INC.	RESIGNATION
28-Dec-17	BARRETTO	MARJORIE M.	-	ACCOUNTANT	LITONJUA SECURITIES, INC.	NEW EMPLOYMENT
28-Dec-17	FERNANDEZ	CHARMAINE G.	-	SETTLEMENT	LITONJUA SECURITIES, INC.	NEW EMPLOYMENT
30-Dec-17	PONTINO	NILETH MAE ANN V.	DEALING ASSOCIATE, PCG	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
31-Dec-17	MACUGAY	JACQUELINE O.	ASSOCIATED PERSON (AP)	-	AP SECURITIES, INC.	RESIGNATION (cleared)
31-Dec-17	CASTILLO	MARIA ROWENA C.	CERTIFIED SECURITIES REPRESENTATIVE	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
31-Dec-17	BANGELES	CHARMAINE GAIL N.	CERTIFIED SECURITIES REPRESENTATIVE	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)

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31-Dec-17	ONGPIN	JOSE LUIS W.	CERTIFIED SECURITIES REPRESENTATIVE	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
31-Dec-17	SUNDIAM	ROWENA M.	CERTIFIED SECURITIES REPRESENTATIVE	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
01-Jan-18	MUTUC	PETER M.	BUSINESS DEVELOPMENT DIRECTOR	-	CHINA BANK SECURITIES CORP. (formerly ATC Securities, Inc.)	RESIGNATION
01-Jan-18	CHUA	RICARDO R.	CHAIRMAN	-	CHINA BANK SECURITIES CORP. (formerly ATC Securities, Inc.)	RESIGNATION
01-Jan-18	WHANG	WILLIAM C.	-	CHAIRMAN	CHINA BANK SECURITIES CORP. (formerly ATC Securities, Inc.)	NEW EMPLOYMENT
01-Jan-18	TAPIA	RYAN MARTIN L.	-	DIRECTOR	CHINA BANK SECURITIES CORP. (formerly ATC Securities, Inc.)	NEW EMPLOYMENT
01-Jan-18	PADUADA	JACINTO D.	COLLECTOR/MESSENGER	-	R. NUBLA SECURITIES, INC.	RESIGNATION (cleared)
01-Jan-18	MARTINEZ	EDMUND DANIEL P.	CONSULTANT	HEAD OF PREMIUM GROUP	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Jan-18	NAVARRO	CARLOS ROBERTO Q.	INVESTMENT OFFICER	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
01-Jan-18	MATUGUINAS	DONIE D.	HEAD OF SETTLEMENTS	-	CLSA PHILIPPINES, INC.	RESIGNATION (clearance under process)
01-Jan-18	GOMEZ	JOANA MARIE S.	ACCOUNTING ASSISTANT II	ACCOUNTING SUPERVISOR II	DA MARKET SECURITIES, INC.	RE-DESIGNATION
01-Jan-18	ABAD	JULIET T.	ACCOUNTING ASSISTANT I	ACCOUNTING ASSISTANT II	DA MARKET SECURITIES, INC.	RE-DESIGNATION
01-Jan-18	QUINTOS	CHRISTCHELLE Q.	CUSTOMER SERVICE SUPERVISOR	CUSTOMER SERVICE ASSOCIATE	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Jan-18	LEE	LUCY LINDA D.	-	OIC, GENERAL MANAGER & SALESMAN	R&L INVESTMENTS, INC.	NEW EMPLOYMENT
01-Jan-18	CARLOS	ORENS DOMINIQUE M.	SALESMAN/TRADER	-	HDI SECURITIES, INC.	RESIGNATION (no clearance required)

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01-Jan-18	BERNARDO	PAOLO VICENTE A.	SALESMAN/TRADER	-	HDI SECURITIES, INC.	RESIGNATION (clearance under process)
01-Jan-18	VITAL	VICTOR L.	DIRECTOR	CHAIRMAN/CEO/DIRECTOR/PRESIDENT/APPLICANT NOMINEE	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Jan-18	SANTOS, JR.	LAMBERTO M.	CHAIRMAN/CEO/PRESIDENT/NOMINEE	DIRECTOR/ADVISOR/CERTIFIED SECURITIES REP.	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Jan-18	DOLATRE	KATHRINE EUNICE L.	-	RESEARCH ANALYST	SB EQUITIES, INC.	NEW EMPLOYMENT
02-Jan-18	ROSUMAN	RAYMUND LOLO R.	-	INVESTMENT OFFICER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
02-Jan-18	MAGRACIA	ROY S.	IT MANAGER	-	CLSA PHILIPPINES, INC.	RESIGNATION (clearance under process)
03-Jan-18	TALEKAR	FALGUN I.	-	IT TECH OPS-SUPPORT SERVICES	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
03-Jan-18	HERNANDEZ	RAPHAEL JOURDAN M.	CERTIFIED SECURITIES SPECIALIST (CSR)	-	AP SECURITIES, INC.	RESIGNATION (cleared)
03-Jan-18	CHING	CARBERT T.	IT HEAD	-	KING'S POWER SECURITIES, INC.	RESIGNATION (cleared)
03-Jan-18	JARDIN	RHEA G.	FINANCE MANAGER	HR/ADMIN AND LEGAL SERVICES MANAGER	AP SECURITIES, INC.	RE-DESIGNATION
03-Jan-18	FONTANILLA	ROSEANNE JELYN D.	-	OPERATIONS TRAINEE	DA MARKET SECURITIES, INC.	NEW EMPLOYMENT
03-Jan-18	VICENA	JAYSON D.	CUSTOMER SERVICE OFFICER	CUSTOMER SERVICE OFFICER/TRADING FLOOR	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION
03-Jan-18	WHANG	LILY P.	CUSTOMER SERVICE OFFICER	CUSTOMER SERVICE OFFICER/TRADING FLOOR	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION
03-Jan-18	BUSTAMANTE	PAULO V.	-	COLLECTOR/MESSENGER	R. NUBLA SECURITIES, INC.	NEW EMPLOYMENT
08-Jan-18	GARCIA	MA. ALYSSA AILA M.	-	ACCOUNTING ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT

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08-Jan-18	ACOSTA	DAVID CRIS F.	-	FINANCIAL ANALYST	CITISECURITIES, INC.	NEW EMPLOYMENT
08-Jan-18	GO	DANIEL CHRISTOPHER P.	-	FINANCIAL ANALYST	CITISECURITIES, INC.	NEW EMPLOYMENT
08-Jan-18	CASTILLO	JEROME CARLO SJ.	-	FINANCIAL ANALYST	CITISECURITIES, INC.	NEW EMPLOYMENT
08-Jan-18	SALVATIERRA	KATRINA MARIE D.	CERTIFIED SECURITIES SPECIALIST (CSR)	-	AP SECURITIES, INC.	RESIGNATION (cleared)
08-Jan-18	MALAGA	APPLE O.	-	CLERK	S.J. ROXAS & CO., INC.	NEW EMPLOYMENT
08-Jan-18	LELINA	GRACE T.	EXECUTIVE SECRETARY	ADMINISTRATIVE HEAD	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
08-Jan-18	CANTOS	KARISHA S.	ADMINISTRATIVE SERVICES OFFICER	-	BPI SECURITIES CORPORATION	RESIGNATION
08-Jan-18	TANIOLA	MARIA KATHLEEN L.	PROJECT HIRE	-	BPI SECURITIES CORPORATION	RESIGNATION
08-Jan-18	DELA ROSA	EXCELEA L.	PROJECT HIRE	-	BPI SECURITIES CORPORATION	RESIGNATION
08-Jan-18	FERNANDO	TEM S.	PROJECT HIRE	-	BPI SECURITIES CORPORATION	RESIGNATION
09-Jan-18	PINEDA	FERDINAND M.	-	SALESPERSON/SALESMAN	R.S. LIM & CO., INC.	NEW EMPLOYMENT
15-Jan-18	ROSALES	OHARA JANE L.	NEW ACCOUNTS ASSISTANT	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
15-Jan-18	DAÑAS	LUDWIG P.	FINANCE STAFF - CONTRACTUAL	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
15-Jan-18	LARESMA	MARIA CECILIA G.	ADMINISTRATIVE OFFICER - OIC	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
15-Jan-18	GUTIERREZ	MARIA CARNILLE R.	ACCOUNTING ASSISTANT	ACCOUNTING HEAD/RESERVE ASSOCIATED PERSON	MERCANTILE SECURITIES, CORPORATION	RE-DESIGNATION

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15-Jan-18	IDOLOR	TERESA O.	ACCOUNTING HEAD	OPERATIONS HEAD	MERCANTILE SECURITIES, CORPORATION	RE-DESIGNATION
15-Jan-18	DOMERO	ALADDIN C.	SALESMAN/TRADER	SALESMAN	MERCANTILE SECURITIES, CORPORATION	RE-DESIGNATION
15-Jan-18	LLANETA	MYLENE GRACE L.	ACCOUNTING ASSISTANT	-	MERCANTILE SECURITIES, CORPORATION	RESIGNATION
16-Jan-18	CHAN	JOYCE G.	SALES SUPPORT MANAGER	CUSTOMER SUPPORT MANAGER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
16-Jan-18	DISUANCO	GRACE DAMIELLE S.	-	MARKETING ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
16-Jan-18	KASTEN	JACQUELINE P.	ASSOCIATED PERSON	-	UPCC SECURITIES CORPORATION	DECEASED
16-Jan-18	TAN	GEMMA ADELIN K.	RISK MANAGEMENT OFFICER	RESEARCH OFFICER	CITISECURITIES, INC.	RE-DESIGNATION
16-Jan-18	GRAGASIN	SHELA MAY	-	CASH SETTLEMENT ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Jan-18	IGUBAN	CHRISTINE D.	PROJECT HIRE	ADMINISTRATIVE SERVICES ASSOCIATE	BPI SECURITIES CORPORATION	RE-DESIGNATION
16-Jan-18	REYES	KIMBERLY MARIE S.	PROJECT HIRE	SHARE SETTLEMENT ASSOCIATE	BPI SECURITIES CORPORATION	RE-DESIGNATION
16-Jan-18	GARCHITORENA	RAFAEL P.	MANAGING DIRECTOR - RESEARCH/DIRECTOR	MANAGING DIRECTOR - RESEARCH	DEUTSCHE REGIS PARTNERS INC.	RE-DESIGNATION
16-Jan-18	DELA ROSA	GIOVANNI L.	MANAGING DIRECTOR - RESEARCH	MANAGING DIRECTOR - RESEARCH/DIRECTOR	DEUTSCHE REGIS PARTNERS INC.	RE-DESIGNATION
16-Jan-18	WEE	LOUIE CHRISTOPHER Y.	RESEARCH ASSISTANT	RESEARCH OFFICER	CITISECURITIES, INC.	RE-DESIGNATION
16-Jan-18	MEANA	MELANI G.	TRADER/DEALER	ELECTRONIC TRADER	SALISBURY BKT SECURITIES CORPORATION	RE-DESIGNATION
17-Jan-18	CAPULONG	KRISTINE ANGELICA D.	MARKETING ASSISTANT	MARKETING SPECIALIST	BPI SECURITIES CORPORATION	RE-DESIGNATION

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17-Jan-18	TEODORO	MARISOL M.	-	NOMINEE	CHINA BANK SECURITIES CORP. (formerly ATC Securities, Inc.)	NEW EMPLOYMENT
19-Jan-18	SOLIM	MERRIZZE IZLEEN T.	SALESMAN	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (cleared)
28-Jan-18	PANTE	SHIARA LORETTE M.	RISK MANAGEMENT TRAINEE	RISK MANAGEMENT OFFICER	CITISECURITIES, INC.	RE-DESIGNATION
31-Jan-18	NUBLA III	RALPH CHRISTOPHER P.	DIRECTOR/ASST. CORPORATE SECRETARY	DIRECTOR/ASST. CORPORATE SECRETARY/ SALESPERSON	R. NUBLA SECURITIES, INC.	RE-DESIGNATION
31-Jan-18	TAN	DENNIS PATRICK N.	DIRECTOR/PRESIDENT	DIRECTOR/ PRESIDENT/ SALESPERSON	R. NUBLA SECURITIES, INC.	RE-DESIGNATION