



# MEMORANDUM – 2018-016

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 1 June 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 May 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
15-Mar-18	TABAC	JONATHAN T.	CO/AP/DATA PRIVACY OFFICER	CHIEF COMPLIANCE OFFICER/AP/DPO	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
22-Mar-18	PINEDA	MICAELA PAOLA L.	ASSISTANT MANAGER, INSTITUTIONAL SALES	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
31-Mar-18	CASANO	BRYLYN O.	OPERATIONS ASSISTANT	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
10-Apr-18	OCO	MIGUEL JERICO T.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
10-Apr-18	HENSON	VICTOR ANDREW V.	SENIOR MANAGER	SENIOR MANAGER/ CERTIFIED SECURITIES REPRESENTATIVE	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
10-Apr-18	GALOLO	VANESSA G.	OFFICE CLERK	-	JSG SECURITIES, INC.	RESIGNATION (clearance under process)
10-Apr-18	HORARIO	CHINA PEARL M.	INTERN	-	HDI SECURITIES, INC.	RESIGNATION (end of internship period)
13-Apr-18	LASACA	RAFAELA V.	SALESMAN	-	VICSAL SECURITIES & STOCK BROKERAGE, INC.	RESIGNATION (cleared)
15-Apr-18	ANDRES	KHARIZZA MAE P.	NEW ACCOUNTS STAFF	NEW ACCOUNTS ASSISTANT	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
16-Apr-18	MONTEREY	VICHELINE C.	-	ON THE JOB TRAINEE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-Apr-18	FIGUEROA	MICHELLE DIVINA Y.	-	ON THE JOB TRAINEE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-Apr-18	MESA	PATRICK	-	ON THE JOB TRAINEE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-Apr-18	NUQUE	JOHN ERIC	-	ON THE JOB TRAINEE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-Apr-18	LASACA	RAFAELA V.	-	MARKETING ASSISTANT	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
18-Apr-18	PEREZ	ISAIAH JOHN T.	SALESMAN/ TRADER	-	HDI SECURITIES, INC.	RESIGNATION (clearance under process)

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19-Apr-18	LOZADA	CONNIE M.	COMPLIANCE OFFICER	COMPLIANCE OFFICER/ ASSOCIATED PERSON	BDO NOMURA SECURITIES, INC.	RE-DESIGNATION
23-Apr-18	DESEO	ROGELIO JR. C.	DEALER - ONLINE SALES	DEALER - INSTITUTIONAL TRADING	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
23-Apr-18	MENDOZA	MICHAEL CHRISTOPHER S.	I.T. ASSOCIATE	-	BPI SECURITIES CORPORATION	RESIGNATION
23-Apr-18	MACAYAN	JANNA CARISSE O.	-	RECEPTIONIST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
26-Apr-18	MARTIREZ	JUAN PAOLO G.	-	CERTIFIED INVESTMENT SOLICITOR	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
26-Apr-18	DAM	CHRISTINA Y.	EVP/ ASSOCIATED PERSON	EVP/ ASSOCIATED PERSON/ DPO	TRANS-ASIA SECURITIES, INC.	RE-DESIGNATION
26-Apr-18	DAUZ	ALEXANDER LUDWIG L.	DIRECTOR & HEAD OF SALES	HEAD OF SALES	CLSA PHILIPPINES, INC.	RE-DESIGNATION
26-Apr-18	LAO	RUBY MARGARET T.	HEAD OF SALES TRADING	DIRECTOR & HEAD OF SALES TRADING	CLSA PHILIPPINES, INC.	RE-DESIGNATION
27-Apr-18	MALICSI	CHUKKA T.	MARKETING ASSOCIATE	-	UNICAPITAL SECURITIES, INC.	RESIGNATION
28-Apr-18	DIMAFELIX	PAULA CAMILLE R.	CORPORATE ACTIONS SPECIALIST	-	BPI SECURITIES CORPORATION	RESIGNATION
30-Apr-18	LINA	SOLOMON P.	OFFICER-IN-CHARGE (DAVAO BRANCH)/	SALESMAN	ABACUS SECURITIES CORPORATION	RE-DESIGNATION
30-Apr-18	BAUSTISTA	JOSE ALEXANDRO MARIA C.	-	SALES AND TRADING ADMINISTRATIVE ASSISTANT	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
30-Apr-18	GABINERA	JONATHAN S.	-	DOMESTIC INSTITUTIONAL SALES	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
30-Apr-18	DELA CRUZ	BENEDICTO M.	MESSENGER	-	I.B. GIMENEZ SECURITIES, INC.	RESIGNATION (clearance under process)
30-Apr-18	MUTYA	MARLON P.	MARKETING ASSISTANT	-	ASIASEC EQUITIES, INC.	RESIGNATION (cleared)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
30-Apr-18	REYES	KIMBERLY MARIE S.	SECURITIES SETTLEMENT ASSOCIATE	CORPORATE ACTIONS ASSOCIATE	BPI SECURITIES CORPORATION	RE-DESIGNATION
30-Apr-18	PADERNOS	JENNY ROSE P.	SETTLEMENT ASSISTANT	-	SARANGANI SECURITIES, INC.	RESIGNATION
01-May-18	LUY TAN	MARJORIE T.	-	OFFICER-IN-CHARGE (DAVAO BRANCH)	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
01-May-18	HONRUBIA	NELSON V.	AVP, COMPLIANCE/ INTERNAL AUDIT	ASSOCIATED PERSON	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
01-May-18	VICTORIOSO	ALICIA R.	-	ASSOCIATED PERSON	LUYS SECURITIES CO., INC.	NEW EMPLOYMENT
01-May-18	ESTIPONA	MARION CLAIRE L.	-	OFFICE CLERK	MOUNT PEAK SECURITIES, INC.	NEW EMPLOYMENT
01-May-18	LEONG	CHRISTINA P.	VP FOR RESEARCH	VP FOR RESEARCH/ SETTLEMENT HEAD	EASTERN SECURITIES DEVT. CORPORATION	RE-DESIGNATION
01-May-18	SY	REBECCA E.	SETTLEMENT HEAD	-	EASTERN SECURITIES DEVT. CORPORATION	RETIREMENT
02-May-18	REYES	FRANCES LORAIN E. C.	-	MARKETING SUPERVISOR - EVENTS	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
02-May-18	LUARTES	FREDERIK JASON G.	-	IT APPLICATIONS DEVELOPMENT ASSOCIATE	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
02-May-18	MAGANA	MELODY F.	RECEPTIONIST	CUSTOMER CARE SPECIALIST	PAPA SECURITIES CORPORATION	RE-DESIGNATION
02-May-18	ARBOLEDA	NOEMI ANNE G.	-	SETTLEMENT ASSOCIATE	VC SECURITIES CORPORATION	NEW EMPLOYMENT
02-May-18	GARCIA	ALFRED BENJAMIN R.	CERTIFIED SECURITIES REPRESENTATIVE	ASST. MANAGER	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
02-May-18	SALES	LORENZO JOSE Y.	-	TRADING FLOOR ASSISTANT	R. NUBLA SECURITIES, INC.	NEW EMPLOYMENT
03-May-18	MARZAN	LEONARDO C.	-	SALESMAN	SINCERE SECURITIES CORPORATION	NEW EMPLOYMENT

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04-May-18	NIEGAS	RONALD N.	-	MESSENGER	I.B. GIMENEZ SECURITIES, INC.	NEW EMPLOYMENT
04-May-18	DIMAFELIX	PAULA CAMILLE R.	-	OPERATIONS ANALYST	DEUTSCHE REGIS PARTNERS, INC.	NEW EMPLOYMENT
05-May-18	DAVID	REYNALDO S.	TREASURER	-	DA MARKET SECURITIES, INC.	RESIGNATION
05-May-18	NUNGA	MIA BIANCA D.	BOARD OF DIRECTOR	BOARD OF DIRECTOR/ TREASURER	DA MARKET SECURITIES, INC.	RE-DESIGNATION
07-May-18	GARCIA	ARIANNE T.	-	NEW ACCOUNTS ASSISTANT	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
08-May-18	BAUSTISTA	JOSE ALEXANDRO MARIA C.	SALES AND TRADING ADMINISTRATIVE	SALESMAN	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RE-DESIGNATION
09-May-18	DIZON	DONNA G.	ACCOUNTANT	-	VENTURE SECURITIES, INC.	RESIGNATION (no clearance)
15-May-18	FLORES	JOHN M.	IT HEAD	IT HEAD/ DATA PRIVACY OFFICER	PAPA SECURITIES CORPORATION	RE-DESIGNATION
15-May-18	DINO	MARIE BELEN F.	INDEPENDENT DIRECTOR	ACCOUNTANT	PAPA SECURITIES CORPORATION	RE-DESIGNATION
15-May-18	ANG	ANNA LORRAINE V.	-	RESEARCH ANALYST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
15-May-18	PACLA	PATRICK RAYMUND G.	-	INDEPENDENT DIRECTOR	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
15-May-18	LEE	RACHELE LINDSAY Y.	-	RETAIL SALES ONLINE OFFICER	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
16-May-18	BAUTISTA	PEARL CHARISSE D.	CORPORATE SECRETARY	-	J.P. MORGAN SECURITIES PHILIPPINES, INC.	RESIGNATION (no clearance required)
16-May-18	CARINO	MARIANNE M.	ASSISTANT CORPORATE SECRETARY	-	J.P. MORGAN SECURITIES PHILIPPINES, INC.	RESIGNATION (no clearance required)
16-May-18	HIPOLITO	KATHLEEN KIRBY P.	-	CORPORATE SECRETARY	J.P. MORGAN SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT

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16-May-18	RODRIGUEZ	MARIA ALYSSA V.	-	ASSISTANT CORPORATE SECRETARY	J.P. MORGAN SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
16-May-18	MALABANAN	NYSSA MAE M.	-	SECURITIES SETTLEMENT ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-May-18	YAPANA	ANGELINE JOY D.	-	ACCOUNTING ASSISTANT	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
16-May-18	ONGSINGCO	MAYO JOSE B.	-	VICE CHAIRMAN/ MEMBER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-May-18	CORTEZ	ABELARDO V.	-	INDEPENDENT DIRECTOR	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-May-18	TAN	ERWIN G.	-	INDEPENDENT DIRECTOR	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-May-18	YU	ROBERT T.	VICE CHAIRMAN/ MEMBER	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
16-May-18	SOLIVEN	PHILIP G.	INDEPENDENT DIRECTOR	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
16-May-18	ABOLA	VICTOR A.	INDEPENDENT DIRECTOR	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
18-May-18	CAPUNO	ELMER F.	ASSOCIATED PERSON	AVP - OPERATIONS	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RE-DESIGNATION
18-May-18	DIZON	CHRISTINE CHERISH M.	-	ASSOCIATED PERSON	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
19-May-18	TELAGEN	JOYLIN F.	EQUITY RESEARCHER/ TRADER	TRADER	I.B. GIMENEZ SECURITIES, INC.	RE-DESIGNATION
21-May-18	MANLAPAZ	ANGELICA P.	-	FINANCE STAFF - CONTRACTUAL	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
21-May-18	TAN	FLORENCE THERESE A.	-	SALES ASSOCIATE	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
23-May-18	DELA ROSA	KRIZZIE P.	FINANCE STAFF - CONTRACTUAL	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
24-May-18	ONG	JO-ANNE ABIGAIL S.	JUNIOR DEALER	SALES AGENT	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Jun-18	ALFONSO	RALPH ZAIN C.	TRADER	-	EASTERN SECURITIES DEVT. CORPORATION	RESIGNATION (clearance under process)