



MEMORANDUM – 2018-027

To : **All Trading Participants**

Subject : **Employee Movement**

Date : **9 October 2018**

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 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
07-Jun-18	MENDOZA	GABRIEL FRANCISCO D.	RESEARCH ASSISTANT	-	CLSA PHILS., INC.	UPDATE: RESIGNATION (cleared)
01-Aug-18	DE GUZMAN	MANOLO MICHAEL	-	DIRECTOR AND CHAIRMAN OF THE BOARD	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
10-Aug-18	PRASERTSINTANAH	PORNCHAI	DIRECTOR AND CHAIRMAN OF THE BOARD	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)
13-Aug-18	GONZALES	JANINE MARIE M.	-	CORPORATE ACCESS/ ADMIN STAFF	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
16-Aug-18	BILLONES	JOHN PHILIP T.	BUSINESS DEVELOPMENT ASSOCIATE (JL3)	BUSINESS DEVELOPMENT ASSOCIATE (JL3)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	KLOTZ	DIVINA G.	OPERATIONS ASSOCIATE (JL3)	OPERATIONS ASSOCIATE (JL4)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	BERNARDO	JOHN GILBERT S.	CUSTOMER SUPPORT ASSOCIATE (JL4)	CUSTOMER SUPPORT ASSOCIATE (JAM)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	PADERNAL	MARY GRACE B.	ACCOUNTING ASSOCIATE (JL4)	ACCOUNTING OFFICER (JAM)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	BABALA	BERNARDO F.	OPERATIONS OFFICER - CASH SETTLEMENT (JAM)	OPERATIONS OFFICER - CASH SETTLEMENT (AM)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	LOBIANO	HERSHEY C.	SECTION HEAD - ADMINISTRATIVE SERVICES	SECTION HEAD - ADMINISTRATIVE SERVICES	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	GO	ABEGAEL ISELLE G.	MARKETING OFFICER (JAM)	MARKETING OFFICER (AM)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	ZARATE	FAYE ELOISA T.	MARKET MAKER (AM)	MARKET MAKER (SAM)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	PENTINIO	MARIE BEL R.	DEALER - INSTITUTIONAL TRADING (SAM)	DEALER - INSTITUTIONAL TRADING (M)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	ANGELES	REUBEN MARK A.	DEPARTMENT HEAD - EQUITY RESEARCH (AVP)	DEPARTMENT HEAD - EQUITY RESEARCH (VP)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Aug-18	PACIA	BRIAN ERMIN C.	OPERATIONS OFFICER - MARGIN AND MUTUAL FUNDS	SECTION HEAD - MARGIN AND MUTUAL FUNDS	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
20-Aug-18	ALFARO	JOANNA MAE C.	-	CLERK	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
20-Aug-18	BAGUIO	MARY PERPETUAL B.	-	CLERK	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
20-Aug-18	MADRIAGA	CHERRY MAE D.	NEW ACCOUNTS STAFF	NEW ACCOUNTS ASSISTANT	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
23-Aug-18	BAILEY	SIMON B.	DIRECTOR/PRESIDENT/NOMINEE	-	SALISBURY BKT SECURITIES CORPORATION	RESIGNATION
23-Aug-18	YAOKASIN, JR.	JIMMY T.	CHAIRMAN OF THE BOARD	CHAIRMAN OF THE BOARD/ PRESIDENT/ APPLICANT	SALISBURY BKT SECURITIES CORPORATION	RE-DESIGNATION
23-Aug-18	DIZON	ANNA CHRISTIE P.	VP-OPERATIONS/ CHIEF FINANCIAL OFFICER	VP-OPERATIONS/ CHIEF FINANCIAL OFFICER/ ACTING	SALISBURY BKT SECURITIES CORPORATION	RE-DESIGNATION
24-Aug-18	CASTILLO	KELLY J.	SALESMAN/ TRADER	-	EASTERN SECURITIES DEVT. CORPORATION	RESIGNATION (clearance under process)
28-Aug-18	ALAGON	ANGEL ANN BERNALENE H.	OFFICE TRAINEE	ACCOUNTING CLERK	SINCERE SECURITIES CORPORATION	RE-DESIGNATION
28-Aug-18	TORRES	ANGELO ANTONIO S.	SM/ RESEARCH OFFICER	-	BDO NOMURA SECURITIES INC.	RESIGNATION (no clearance required)
28-Aug-18	YAP	GENEVIEVE HAZEL S.	RESEARCH OFFICER/ ANALYST	-	BDO NOMURA SECURITIES INC.	RESIGNATION
28-Aug-18	DAVILA	SOCORRO DAYANA	SAVP/ BUSINESS DEVELOPMENT OFFICER	-	BDO NOMURA SECURITIES INC.	RESIGNATION (no clearance required)
30-Aug-18	YAPO	MARICRIS A.	JANITRESS	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION
31-Aug-18	BUEN	JANELLA WESLYN C.	OJT - RESEARCH	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
31-Aug-18	BUENVIAJE	BENJIE F.	SYSTEMS ADMINISTRATOR	-	DEUTSCHE REGIS PARTNERS INC.	RESIGNATION (clearance under process)
31-Aug-18	ONG	SPENCER G.	TRAINEE	-	R. NUBLA SECURITIES, INC.	RESIGNATION (no clearance required)

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31-Aug-18	DELA RAPA	ANN GLORAINE D.V.	CUSTOMER SERVICE CLERK	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
31-Aug-18	PURIFICACION	JOHN KENNETH D.	RECONCILIATION SPECIALIST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
31-Aug-18	SAMBIAL	ROSELYN D.	-	JANITRESS	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
01-Sep-18	DAGOHOY	RITCHEL A.	BRANCH OIC	TRADING ASSISTANT	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Sep-18	VELASCO	MARCO NIÑO M.	SALES AGENT	BRANCH MANAGER, CEBU	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Sep-18	DE JUAN	KRISSIA S.	-	ACCOUNT OPENING ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-18	LAT	KRYSTAL JOY T.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-18	GIMENEZ	HANNAH CLARICE N.	-	PROJECT HIRE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-18	LAZARO	ANGELICA THERESE Y.	FINANCIAL ANALYST	CSR EQUITIES TRADER	CITISECURITIES, INC.	RE-DESIGNATION
01-Sep-18	VILLAREAL	MARK JANIEL M.	-	TRAINEE	A. T. DE CASTRO SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-18	APATAN	QUEENNE MARIE D.	NEW ACCOUNTS STAFF	NEW ACCOUNTS ASSISTANT	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Sep-18	BAQUIRAN	MARIA ELLEN O.	-	CONSULTANT	YU AND COMPANY, INC.	NEW EMPLOYMENT
03-Sep-18	SAN MIGUEL	MARY GRACE B.	-	CLIENT EXPERIENCE ASSOCIATE	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
03-Sep-18	RAMOS	ERIKA PAULINE A.	-	GRAPHIC DESIGNER	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
03-Sep-18	RODRIGUEZ	MARIA ALYSSA V.	ASSISTANT CORPORATE SECRETARY	-	J. P. MORGAN SECURITIES PHILS, INC.	RESIGNATION (no clearance required)

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03-Sep-18	NGO	RAENELLE EAN A.	-	EQUITY RESEARCH ANALYST	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
03-Sep-18	ANGELO	PAUL MICHAEL A.	-	EQUITY RESEARCH ANALYST	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
03-Sep-18	RAGRAGIO, JR.	JULIAN VICTOR M.	-	ASSOCIATE	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
04-Sep-18	SEVERINO	TRICIA F.	EQUITY RESEARCH ANALYST - INTERN	-	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	RESIGNATION (clearance under process)
07-Sep-18	LEE	RACHELE LINDSAY Y.	RETAIL SALES ONLINE OFFICER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
07-Sep-18	NOGRALES	MARSEILLE N.	SECTION HEAD - INSTITUTIONAL SALES	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION
09-Sep-18	MANUEL	ZENY H.	JR ACCOUNTANT I	-	EASTERN SECURITIES DEVT. CORPORATION	RESIGNATION (no clearance required)
09-Sep-18	OCO	MIGUEL JERICO T.	PROJECT HIRE	-	BPI SECURITIES CORPORATION	RESIGNATION
10-Sep-18	RANIS	MARIA PERPETUA M.	-	TRADER/SALESMAN	SECURITIES SPECIALISTS, INC.	NEW EMPLOYMENT
10-Sep-18	DALISAY	JIM THOMAS ISHMAEL D.	-	EQUITY ANALYST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
10-Sep-18	PATRICIO	JOHN REY B.	-	CUSTOMER SERVICE CLERK	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
12-Sep-18	QUE	JEANNE RICHELLE G.	-	ON THE JOB TRAINEE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
12-Sep-18	YAOKASIN, JR.	JIMMY T.	CHAIRMAN OF THE BOARD/ PRESIDENT/ APPLICANT	CHAIRMAN OF THE BOARD/ PRESIDENT/ NOMINEE	SALISBURY BKT SECURITIES CORPORATION	RE-DESIGNATION
12-Sep-18	DIZON	ANNA CHRISTIE P.	CHIEF FINANCIAL OFFICER/ ACTING NOMINEE/ VP -	CHIEF FINANCIAL OFFICER	SALISBURY BKT SECURITIES CORPORATION	RE-DESIGNATION
13-Sep-18	TAN	KIM ALEXIS N.	CLIENT RELATIONS ASSOCIATE	CLIENT RELATIONS SPECIALIST	BPI SECURITIES CORPORATION	RE-DESIGNATION

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13-Sep-18	REYES	RENEEANN MITZ G.	CASH SETTLEMENT ASSOCIATE	CASH SETTLEMENT SPECIALIST	BPI SECURITIES CORPORATION	RE-DESIGNATION
13-Sep-18	GATLA	MEYRILL A.	ON THE JOB TRAINEE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION
14-Sep-18	RAPIRAP	JEROME C.	OPERATIONS ASSOCIATE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION
15-Sep-18	ONG	JONATHAN S.	TECHNICAL ANALYST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
15-Sep-18	SABILLO	MARY JOY P.	TEA LADY	-	CLSA PHILS., INC.	RESIGNATION (no clearance required)
15-Sep-18	BELARMINO	DANILO G.	CONSULTANT	-	R.S. LIM & COMPANY, INC.	RESIGNATION
16-Sep-18	MONTEMAYOR	RIZALDY M.	ASSISTANT CORPORATE SECRETARY	-	RTG & CO., INC.	RESIGNATION
16-Sep-18	DY	AARON MICHAEL P.	-	EQUITY SALES TRAINEE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
17-Sep-18	ARROCO	JULIA-FRIDEE O.	-	TRAINING OFFICER	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
17-Sep-18	BARNES	SARAH JANE P.	-	SYSTEMS AND NETWORK MANAGER	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
17-Sep-18	GREGORIO	VICKY B.	-	TEA LADY	CLSA PHILS., INC.	NEW EMPLOYMENT
17-Sep-18	TORRES	ANGELO ACESYL S.	-	TRADING ASSISTANT	MERCANTILE SECURITIES, CORPORATION	NEW EMPLOYMENT
17-Sep-18	ANG	MICK JAIRO M.	-	SALESMAN	FIDELITY SECURITIES, INC.	NEW EMPLOYMENT
17-Sep-18	CABANTOG	CONNIE M.	-	DIRECTOR	GLOBALINKS SECURITIES & STOCKS, INC.	NEW EMPLOYMENT
17-Sep-18	VALDEZ	RICHARD S.	DIRECTOR	-	GLOBALINKS SECURITIES & STOCKS, INC.	RESIGNATION

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17-Sep-18	BACANI	SEKEN C.	-	DIRECTOR	STRATEGIC EQUITIES CORPORATION	NEW EMPLOYMENT
17-Sep-18	CAPALAD	JERONIMO M.	-	CONSULTANT	R.S. LIM & COMPANY, INC.	NEW EMPLOYMENT
17-Sep-18	CABANTOG	EDUARDO D.L.	-	DIRECTOR	GLOBALINKS SECURITIES & STOCKS, INC.	NEW EMPLOYMENT
20-Sep-18	TOMADA	CARA SANCHIA M.	-	MARKETING ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
21-Sep-18	SANTOS	SARAH NICOLE T.	TRADER/ SALESMAN	-	AP SECURITIES, INC.	RESIGNATION
24-Sep-18	TORRES	ANGELO ACESYL S.	TRADING ASSISTANT	-	MERCANTILE SECURITIES, CORPORATION	RESIGNATION
24-Sep-18	GASACAO	HARRIETTE C.	-	PRODUCT DEVELOPMENT OFFICER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
24-Sep-18	ANGELES	KRISTINE JOY T.	-	ACCOUNTING SUPERVISOR	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
24-Sep-18	GUERZON	CAESAR A.	CORPORATE SECRETARY	-	CITISECURITIES, INC.	DECEASED
24-Sep-18	GUERZON	CAESAR A.	SVP - CORPORATE SECRETARY	-	COL FINANCIAL PHILIPPINES	DECEASED
25-Sep-18	DAUZ	ALEXANDER LUDWIG L.	HEAD OF SALES	-	CLSA PHILS., INC.	RESIGNATION (clearance under process)
30-Sep-18	BAQUIRAN	MARIA ELLEN O.	COMPLIANCE CONSULTANT	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (no clearance required)
01-Oct-18	POBLETE	ERJAN PAUL M.	SALESMAN	AGENT	FIDELITY SECURITIES, INC.	RE-DESIGNATION