



MEMORANDUM – 2018-036

To : All Trading Participants

Subject : Employee Movement

Date : 7 December 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 November 2018.

For information and guidance.

A handwritten signature in blue ink, reading "Daisy P. Arce", is positioned above the printed name.

DAISY P. ARCE

President

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
15-Oct-18	BIATEN	JOEMARIE G.	-	TREASURER	PCCI SECURITIES BROKERS CORPORATION	NEW EMPLOYMENT
16-Oct-18	DAUZ	ALEXANDER LUDWIG L.	-	DIRECTOR, CHAIRMAN AND PRESIDENT	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
16-Oct-18	LICHAUCO	LORENZO SIXTO T.	DIRECTOR, CHAIRMAN AND PRESIDENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
22-Oct-18	MANGUGAN	MARICHELLE FAYE G.	-	RESEARCH ASSISTANT	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	NEW EMPLOYMENT
29-Oct-18	KERR	EVERLY BLESS L.	-	TRADER/ TRAINEE	SINCERE SECURITIES CORPORATION	NEW EMPLOYMENT
29-Oct-18	CRUZ	CARMELITA J.	INDEPENDENT DIRECTOR	-	J. M. BARCELON AND COMPANY, INC.	DECEASED
30-Oct-18	RELUNIA	ERNESTO III D.	IT MANAGER	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
30-Oct-18	CRUZ	RUFFIE NYHL S.	-	COPYWRITER	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
30-Oct-18	ARCEO	KRISTINE FAYE V.	-	MARKETING ASSISTANT	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
31-Oct-18	CRUZ	MANUEL P.	TRADER	-	ASIASEC EQUITIES, INC.	RESIGNATION (cleared)
31-Oct-18	FAMERO	LIBERTY P.	ASSOCIATED PERSON (APPOINTED)	ACCOUNTING HEAD	SINCERE SECURITIES CORPORATION	RE-DESIGNATION
31-Oct-18	GUTIERREZ	JOLLY C.	TRADER/ DEALER	-	SALISBURY BKT SECURITIES CORPORATION	RESIGNATION
01-Nov-18	SY	ANN MARIE P.	SALESMAN	-	GOLDSTAR SECURITIES, INC.	RESIGNATION (cleared)
01-Nov-18	PORMALEJO	JUDITH M.	COMPLIANCE OFFICER	COMPLIANCE OFFICER/ DATA PRIVACY OFFICER	GLOBALINKS SECURITIES & STOCKS, INC.	RE-DESIGNATION
05-Nov-18	LATIGAY	VIOLETA C.	-	ASSISTANT DATA PROTECTION OFFICER	SARANGANI SECURITIES, INC.	NEW EMPLOYMENT

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05-Nov-18	CRUZ	MANUEL P.	-	EXECUTIVE VICE PRESIDENT	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
05-Nov-18	GIMENEZ	FE IRENE R.	-	DIRECTOR/ TREASURER	I. B. GIMENEZ SECURITIES, INC.	NEW EMPLOYMENT
05-Nov-18	GIMENEZ	THEA ARCELY R.	DIRECTOR/ TREASURER	-	I. B. GIMENEZ SECURITIES, INC.	RESIGNATION (no clearance required)
05-Nov-18	KOH	ADRIAN	VICE PRESIDENT	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION (cleared)
05-Nov-18	FLORES	FLORDELIZA C.	JUNIOR ACCOUNTANT	-	EASTERN SECURITIES DEVT. CORPORATION	RESIGNATION (no clearance required)
05-Nov-18	REIDENBACH	KATHRYN ROSE D.	-	INDEPENDENT DIRECTOR	J. M. BARCELON AND COMPANY, INC.	NEW EMPLOYMENT
05-Nov-18	GOBING	JAMES EDWARD O.	MANAGER	MANAGER/ TRADING FLOOR ASSISTANT	LUCKY SECURITIES, INC.	RE-DESIGNATION
05-Nov-18	TORRES	ANGELO ANTONIO S.	-	AVP/ RESEARCH OFFICER	BDO NOMURA SECURITIES INC.	NEW EMPLOYMENT
07-Nov-18	JAMORA	RAYMOND FRANCIS MARIA C.	-	CORPORATE SECRETARY	STRATEGIC EQUITIES CORPORATION	NEW EMPLOYMENT
07-Nov-18	ADAN	JAN MARI D.	CORPORATE SECRETARY	-	STRATEGIC EQUITIES CORPORATION	RESIGNATION
09-Nov-18	LIM	SHARON T.	ASSOCIATED PERSON/ ASST. CORPORATE SECRETARY/ AVP/	ASSOCIATED PERSON/ CORPORATE SECRETARY/ AVP/	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
09-Nov-18	REYES	STEPHANIE FAYE B.	LEGAL MANAGER	LEGAL MANAGER/ ASSISTANT CORPORATE SECRETARY	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
12-Nov-18	PESTAÑO	LOUIE VINCENT R.	-	DOMESTIC INSTITUTIONAL SALES	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
15-Nov-18	AGUILLON	ALTAIR GRACE A.	MARKETING MANAGER	-	PAPA SECURITIES CORPORATION	RESIGNATION
15-Nov-18	POBLETE	ERJAN PAUL M.	AGENT	-	FIDELITY SECURITIES, INC.	RESIGNATION (clearance under process)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
15-Nov-18	SYQUIATCO	TIMOTHY JAMES S.	CERTIFIED SECURITIES REPRESENTATIVE	-	H.E. BENNETT SECURITIES, INC.	RESIGNATION (clearance under process)
16-Nov-18	MEANA	MELANI G.	ELECTRONIC TRADER	-	SALISBURY BKT SECURITIES CORPORATION	RESIGNATION
16-Nov-18	TIU	CARLO B.	-	TRADING ASSISTANT	ASIASEC EQUITIES, INC.	NEW EMPLOYMENT
16-Nov-18	MINA	ULYSSES G.	OIC/ NOMINEE	-	UCPB SECURITIES, INC.	RESIGNATION (did not apply for clearance)
16-Nov-18	CAMAGAY	MAVIS C.	TRADER	OFFICER - IN - CHARGE/ TRADER	UCPB SECURITIES, INC.	RE-DESIGNATION
16-Nov-18	ROBERTO	FE P.	-	ADMINISTRATIVE ASSISTANT	R. COYIUTO SECURITIES, INC.	NEW EMPLOYMENT
19-Nov-18	DAUZ	ALEXANDER LUDWIG L.	DIRECTOR, CHAIRMAN AND PRESIDENT	DIRECTOR, CHAIRMAN AND PRESIDENT/ SALESMAN	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
19-Nov-18	LIM	SHARON T.	-	CORPORATE SECRETARY	CITISECURITIES, INC.	NEW EMPLOYMENT
19-Nov-18	REYES	STEPHANIE FAYE B.	-	ASSISTANT CORPORATE SECRETARY	CITISECURITIES, INC.	NEW EMPLOYMENT
19-Nov-18	TIJULAN	MARIEL G.	OFFICE CLERK	-	STRATEGIC EQUITIES CORPORATION	RESIGNATION
20-Nov-18	DELFIN	MIGUEL Z.	FINANCIAL ANALYST	CSR EQUITIES TRADER	CITISECURITIES, INC.	RE-DESIGNATION
20-Nov-18	QUEVEDO	TIMOTHY PAUL L.	FINANCIAL ANALYST	CSR EQUITIES TRADER	CITISECURITIES, INC.	RE-DESIGNATION
27-Nov-18	NEVADO	CARLA FRANCESCA I.	ACCOUNTING ASST. SUPERVISOR	-	COL FINANCIAL PHILIPPINES	RESIGNATION (clearance under process)