



# MEMORANDUM – 2019-017

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 3 May 2019

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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 April 2019.

For information and guidance.

*(Original Signed)*

**DAISY P. ARCE**

*President*

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
21-Jan-19	ROSANES	ANDREW T.	SALES AGENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
31-Jan-19	RODRIGUEZ	JOSE GERARDO B.	SALES AGENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
01-Mar-19	UY	ALBERT S.	BUSINESS DEVELOPMENT	ACCOUNTING OFFICER	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
01-Mar-19	ESPERO	ALLAN N.	IT OFFICER - SYSTEMS ANALYST	BUSINESS SYSTEMS ANALYST	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
01-Mar-19	RAMOS	MARK B.	IT OFFICER - SYSTEMS ANALYST	DATABASE ADMINISTRATOR	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
12-Mar-19	PE	CAROLINE U.	-	CONSULTANT - INSTITUTIONAL SALES	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
15-Mar-19	CORTIÑAS	JAY C.	ASSISTANT TRADER	TRADER	VC SECURITIES CORPORATION	RE-DESIGNATION
16-Mar-19	ARUTA	MA. CRISTINA B.	ACCOUNTING ASST. SUPERVISOR	-	COL FINANCIAL PHILIPPINES	RESIGNATION (clearance under process)
21-Mar-19	TAN	MICHELE B.	SALES ASSOCIATE	-	COL FINANCIAL PHILIPPINES	RESIGNATION (clearance under process)
22-Mar-19	VILLAR	LYKA B.	FINANCE STAFF - CONTRACTUAL	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
23-Mar-19	CRUZ	LOIS JANINE P.	HR ASSOCIATE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
23-Mar-19	MISA	MARIA NAOMI A.	EQUITY INVESTMENTS ADVISOR, PRIVATE CLIENTS GROUP	-	COL FINANCIAL PHILIPPINES	RESIGNATION (clearance under process)
25-Mar-19	MANALO	SHARIE V.	-	OPERATIONS ASSISTANT	PHILIPPINE EQUITY PARTNERS, INC.	NEW EMPLOYMENT
25-Mar-19	TAMAWASHI	MISAKI P.	-	CUSTOMER SUPPORT ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
31-Mar-19	ARAMBULO	MARIA JACQUELINE L.	VP - CCRO	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)

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31-Mar-19	ARGUELLES	LEONARDO JR. R.	PRESIDENT/ NOMINEE	-	UNICAPITAL SECURITIES, INC.	RETIREMENT
01-Apr-19	MARTIREZ	JAIME J.	-	PRESIDENT AND CEO	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
01-Apr-19	FERNANDEZ	MA. CONCEPCION Y.	FIRST VICE PRESIDENT, SALES HEAD	FIRST VICE PRESIDENT, SALES HEAD, OFFICER - IN - CHARGE	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Apr-19	YCAY	ERNEST MATTHEW B.	TRAINEE	-	COL FINANCIAL PHILIPPINES	RESIGNATION (clearance under process)
01-Apr-19	GLORIA	ANNA PAZ D.	-	SECRETARY	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
01-Apr-19	CHUA	MANUEL ADAMS R.	-	BUSINESS SYSTEMS ANALYST	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
01-Apr-19	ABAS	MA. DOLORES C.	COLLECTIONS SUPERVISOR	COLLECTIONS OFFICER	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	ANDRES	KHARIZZA MAE P.	NEW ACCOUNTS ASST.	NEW ACCOUNTS SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	BACTUNG	ZYNNCLYRR P.	HR ASST.	HR SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	BASILLA	MARIA YSABEL B.	DEALING ASSISTANT	DEALING SPECIALIST, PCG	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	COS	CARMELITA T.	ACCOUNTING ASSOCIATE	ACCOUNTING ASST. SUPERVISOR	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	CRUZ	HANNAH RAFFA G.	ACCOUNTING ASST.	ACCOUNTING SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	DE GUZMAN	CRISTINE T.	OPERATIONS SPECIALIST	OPERATIONS ASSOCIATE	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	DELA CRUZ	STEPHANIE ANNE	PRODUCT ASST., PCG	PRODUCT SPECIALIST, PCG	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	DISUANCO	GRACE DAMIELLE S.	MARKETING ASST.	MARKETING SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION

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01-Apr-19	DUEÑAS	DORA JANE T.	CUSTOMER SERVICE SPECIALIST	CUSTOMER SERVICE ASSOCIATE	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	ENERIO	ARIANNE C.	ADMIN ASST.	ADMIN SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	ETRATA	KRIZZA MAE E.	CUSTOMER SERVICE ASST.	CUSTOMER SERVICE SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	GALIMBA	JADE C.	ACCOUNTING SPECIALIST	ACCOUNTING ASST. SUPERVISOR	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	GARCIA	NATHALIE M.	COMPLIANCE OFFICER	COMPLIANCE MANAGER	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	GATDULA	JOANA ROSE E.	OPERATIONS ASST.	OPERATIONS SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	GO	MARY JOSEPHINE T.	NEW ACCOUNTS SPECIALIST	NEW ACCOUNTS ASSOCIATE	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	LINGAT	DANIELLE M.	COMMUNICATIONS OFFICER	COMMUNICATIONS MANAGER	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	MATAMOROSA	JESSA MAE S.	MARKETING ASST.	MARKETING SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	MONTEVERDE	MARIE CHERYLL ANNE J.	ADMIN OFFICER	ADMIN MANAGER	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	OLAÑO	ABIGAIL P.	NEW ACCOUNTS SPECIALIST	NEW ACCOUNTS ASSOCIATE	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	PAGARIGAN	VHERLENE ANNEA.	OPERATIONS STAFF	OPERATIONS ASSISTANT	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	PANTIG	YOLANDA M.	DISBURSEMENTS SUPERVISOR	DISBURSEMENTS OFFICER	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	PERALTA	ANNABEL A.	NEW ACCOUNTS ASST.	NEW ACCOUNTS SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	PINEDA	KATHRINA Q.	OPERATIONS ASST. SUPERVISOR	OPERATIONS SUPERVISOR	COL FINANCIAL PHILIPPINES	RE-DESIGNATION

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01-Apr-19	PONCE	KAREN AUTUMN S.	ADMIN ASST. SUPERVISOR	ADMIN SUPERVISOR	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	QUITON	JHOANNA MARIE J.	NEW ACCOUNTS ASST. SUPERVISOR	NEW ACCOUNTS SUPERVISOR	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	REGIO	CARMI F.	ADMIN ASST.	ADMIN SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	SABATER	ANN THERESE C.	DEALING ASSISTANT	DEALING SPECIALIST, PCG	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	SADDUL	VANESSAM.	ADMIN ASST., IFA	ADMIN SPECIALIST, IFA	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	SANCHEZ	JADE ALEXIS C.	ACCOUNTING ASST.	ACCOUNTING SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	SANTIAGO	LARA KATRINA E.	HR ASST.	HR SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	STO. DOMINGO	JANINA MARIE L.	NEW ACCOUNTS SPECIALIST	NEW ACCOUNTS ASSOCIATE	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	SUTINGCO	JENNIFER M.	ACCOUNTING ASST.	ACCOUNTING SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	TAPERLA	GLORY G.	OPERATIONS SPECIALIST	OPERATIONS ASSOCIATE	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	TUQUERO	CHARMANE B.	RESEARCH ADMIN SPECIALIST	RESEARCH ADMIN ASSOCIATE	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	VELARDE	KIMBERLY JOY P.	ACCOUNTING ASST.	ACCOUNTING SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	YAP	GERALDINE MAY A.	ACCOUNTING SPECIALIST	ACCOUNTING ASSOCIATE	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
01-Apr-19	YAPANA	ANGELINE JOY D.	ACCOUNTING ASST.	ACCOUNTING SPECIALIST	COL FINANCIAL PHILIPPINES	RE-DESIGNATION
02-Apr-19	BAMBER	RICHARD MARK ANTHONY	ACTING MANAGING DIRECTOR	-	SALISBURY BKT SECURITIES CORPORATION	RESIGNATION

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02-Apr-19	BAILEY	SIMON B.	-	MANAGING DIRECTOR	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
02-Apr-19	TERMULO JR.	BENIGNO C.	FINANCIAL ANALYST	CSR EQUITIES TRADER	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	RE-DESIGNATION
05-Apr-19	LICUP	MIKEAL T.	OJT - RESEARCH	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
05-Apr-19	BELENCION	BONNA LIZA A.	SALES ASSOCIATE	-	COL FINANCIAL PHILIPPINES	RESIGNATION (clearance under process)
05-Apr-19	LEE	LAWRENCE C.	VP - HEAD OF OPERATIONS	PRESIDENT AND CEO	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	RE-DESIGNATION
05-Apr-19	ONG	CATHERINE L.	PRESIDENT	SVP - CHIEF OPERATING OFFICER/ DIRECTOR	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	RE-DESIGNATION
05-Apr-19	YU	MICHELLE ANGELINE N.	-	DIRECTOR	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	NEW EMPLOYMENT
06-Apr-19	CALILUNG	CHARLEMAGNE T.	-	ASSISTANT CORPORATE SECRETARY	DA MARKET SECURITIES, INC.	NEW EMPLOYMENT
08-Apr-19	SALES	LORENZO JOSE Y.	TRADING FLOOR ASSISTANT	SALESMAN/ TRADER	R. NUBLA SECURITIES, INC.	RE-DESIGNATION
08-Apr-19	RODRIGUEZ	JOSE GERARDO B.	-	SALESMAN	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT
08-Apr-19	CUANGCO	BENJAMIN	TRADING FLOOR ASSISTANT	-	TRI-STATE SECURITIES, INC.	RETIREMENT
10-Apr-19	PUOD	MA. CARMELA T.	-	ACCOUNTING ASSISTANT	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
10-Apr-19	BAYOG	JUNALD P.	TRAINEE	FLOOR CLERK	SUNSECURITIES, INC.	RE-DESIGNATION
10-Apr-19	GACASA	NICHOL JOHN M.	TRAINEE	OFFSITE CLERK	SUNSECURITIES, INC.	RE-DESIGNATION
10-Apr-19	LONTOC	MICHAEL ANDREW G.	EQUITY TRADE JUNIOR ASSOCIATE	EQUITY TRADE JUNIOR ASSOCIATE, SALESMAN	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION

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10-Apr-19	CORPUS	MARY ANN M.	VP - HEAD OF OPERATIONS	VP - CHIEF COMPLIANCE OFFICER (INTERIM)	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RE-DESIGNATION
10-Apr-19	CAPUNO	ELMER F.	AVP - OPERATIONS	AVP - HEAD OF OPERATIONS (INTERIM)	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RE-DESIGNATION
10-Apr-19	ENARCISO	ROWELYN M.	-	FINANCE STAFF - CONTRACTUAL	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
11-Apr-19	LINA	MARIA ANGELICA BEA T.	SALES TRADER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
11-Apr-19	FRADES	JEFFERSON MARTIN A.	SR. IT ANALYST	-	CLSA PHILIPPINES, INC.	RESIGNATION (clearance under process)
11-Apr-19	ANSAY	BEVERLY L.	SALESMAN/ TRADER	-	EASTERN SECURITIES DEVT. CORPORATION	RESIGNATION (clearance under process)
11-Apr-19	LINA	MARIA ANGELICA BEA T.	SALES TRADER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
15-Apr-19	GO	STEPHANIE S.	VP/ AP/ DIRECTOR	VP/ AP/ DIRECTOR/ DPO	JSG SECURITIES, INC.	RE-DESIGNATION
16-Apr-19	ARCAS	ALVIN S.	HEAD, INFORMATION TECHNOLOGY	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
21-Apr-19	MANGUGAN	MARICHELLE FAYE G.	RESEARCH ASSISTANT	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION (clearance under process)
22-Apr-19	CAYABAN	MARK DOMINICK L.	-	ACCOUNT MANAGER	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT
22-Apr-19	LIWANAG	MARITHESS D.	-	NEW ACCOUNTS SPECIALIST	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
22-Apr-19	ENDAYA	JONATHAN BRYAN T.	-	SALES MANAGER	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
23-Apr-19	ESTORGE0	HONEY LYN C.	OFFICE CLERK	TRADING FLOOR ASSISTANT	JSG SECURITIES, INC.	RE-DESIGNATION