



MEMORANDUM – 2019-023

To : All Trading Participants

Subject : Employee Movement

Date : 6 September 2019

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 August 2019.

For information and guidance.

(Original Signed)

DAISY P. ARCE

President

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	TRADING PARTICIPANT	REMARKS
01-Jul-19	PROCHINA	FLOR B.	TRADER	-	UCPB SECURITIES, INC.	RESIGNATION (cleared)
04-Jul-19	VILLANUEVA	AEVEREE Z.	SALES AGENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
15-Jul-19	BATHAN	BEATRIZ NAOMI B.	-	BUSINESS DEVELOPMENT ASSOCIATE	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
16-Jul-19	DEE	AMANDA LOUISE O.	-	TRAINEE	R. NUBLA SECURITIES, INC.	NEW EMPLOYMENT
16-Jul-19	HAGURING	MARY GRACE S.	NEW ACCOUNTS OFFICER	SECTION HEAD - NEW ACCOUNTS	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	GO	ABEGAEL ISELLE G.	MARKETING OFFICER	UNIT HEAD - MARKETING	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	GUTIERREZ	KRISTI MARIE R.	JAM - EXECUTIVE ASSISTANT	AM - EXECUTIVE ASSISTANT	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	ORTILE	ANGELLIE N.	JL3 - OPERATIONS ASSOCIATE	JL - 4 OPERATIONS ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	RAMOS	MARK B.	JAM - IT OFFICER SYSTEMS ADMINISTRATION	AM - SYSTEMS AND DATABASE ADMINISTRATOR	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	BUSTAMANTE	SARAH JANE S.	AM - SECTION HEAD - CUSTOMER SUPPORT	SAM - SECTION HEAD - CUSTOMER SUPPORT	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	CUAN	HAZEL PHIWEE D.	M - EQUITY RESEARCH ANALYST	SM - EQUITY RESEARCH ANALYST	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	PACIA	BRIAN ERMIN C.	JAM - SECTION HEAD - EXPANDED SERVICES	AM - SECTION HEAD - EXPANDED SERVICES	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	LANDAYAN	CAMILLE LOUISE C.	JL3 - ACCOUNTING ASSOCIATE	JL4 - ACCOUNTING ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Jul-19	AGUILAR	ROYCE CHRISTOPHER A.	JL3 - EQUITY RESEARCH ASSOCIATE	JL4 - EQUITY RESEARCH ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
18-Jul-19	WY-CACAYAN	KRISTINA S.	ASSOCIATED PERSON AND COMPLIANCE DIRECTOR	ASSOCIATED PERSON AND COMPLIANCE & RISK DIRECTOR	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES, INC.)	RE-DESIGNATION

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19-Jul-19	SHIH	NARCISA	CORPORATE SECRETARY	INDEPENDENT DIRECTOR	KING'S POWER SECURITIES, INC.	RE-DESIGNATION
19-Jul-19	CHING	CARBERT THOMPSON	-	CORPORATE SECRETARY	KING'S POWER SECURITIES, INC.	NEW EMPLOYMENT
24-Jul-19	ARCANO	KENNETH RALPH B.	-	CERTIFIED SECURITIES REPRESENTATIVE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
25-Jul-19	CABARRUS	MIGUEL JAIME R.	INTERN	-	CLSA PHILIPPINES, INC.	RESIGNATION (no clearance required)
26-Jul-19	ROSAÑES	ANDREW T.	-	SALESMAN	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT
26-Jul-19	LOFRANCO	LIANNA ZION M.	RESEARCH INTERN	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (no clearance required)
30-Jul-19	BUENAVENTURA	ALYSZA MARIELLA O.	EXECUTIVE ASSISTANT	-	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES, INC.)	RESIGNATION (no clearance required)
31-Jul-19	TAMAWASHI	MISAKI P.	CUSTOMER SUPPORT ASSOCIATE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	DISMISSED (without clearance)
31-Jul-19	MARTIREZ	JAIME J.	ACTING PRESIDENT	PRESIDENT	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
31-Jul-19	LIBORO	RICHARD ANTHONY Y.	SALESMAN/ CERTIFIED INVESTMENT SOLICITOR	MANAGING DIRECTOR - SALES AND DISTRIBUTION, SALESMAN/ CERTIFIED INVESTMENT SOLICITOR	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
31-Jul-19	ANGELES	MYRNA B.	-	EXECUTIVE VICE PRESIDENT, CHIEF OPERATING OFFICER	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
31-Jul-19	FERNANDEZ	MA. CONCEPCION Y.	FIRST VICE PRESIDENT, SALES HEAD, OFFICER-IN-CHARGE	FIRST VICE PRESIDENT, NOMINEE, ACTING OFFICER-IN-CHARGE	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
31-Jul-19	UNGCO	MICHELLE CHRISTINE M.	-	SENIOR VICE PRESIDENT, GROUP CORPORATE PLANNING AND	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
31-Jul-19	FORMALES	MINNIE I.	-	VICE PRESIDENT, GROUP COMPLIANCE HEAD	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT

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31-Jul-19	TABIJE	CARINA N.	ASSOCIATED PERSON - ACCOUNTING	VICE PRESIDENT, GROUP ACCOUNTING HEAD, ASSOCIATED PERSON - ACCOUNTING	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
31-Jul-19	CHUA	MARGARITA C.	-	VICE PRESIDENT, GROUP HR HEAD	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
31-Jul-19	CAPARAS	MIGUEL FRANCISCO P.	-	DIRECTOR	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
31-Jul-19	FERNANDEZ	RICARDO D.	DIRECTOR	-	UNICAPITAL SECURITIES, INC.	RETIREMENT
31-Jul-19	ACHARON	JOAHANNA A.	-	ASSISTANT CORPORATE SECRETARY	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
31-Jul-19	GALANG	KARLA YSABEL L.	ASSISTANT CORPORATE SECRETARY	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
31-Jul-19	PALMA	JOHN PAUL Y.	MARKETING RELATIONSHIP OFFICER	MARKETING RELATIONSHIP OFFICER/ CSR LICENSEE	BDO NOMURA SECURITIES INC.	RE-DESIGNATION
31-Jul-19	ZAMORANOS	JENNIFER S.	ACCOUNTANT	-	AP SECURITIES, INC.	RESIGNATION
31-Jul-19	KABIGTING	RAMON VICENTE T.	CONSULTANT	-	PAPA SECURITIES CORPORATION	RESIGNATION
31-Jul-19	MANARPIIS	MARIE CATHERINE T.	FINANCE MANAGER	-	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES, INC.)	RESIGNATION (no clearance required)
31-Jul-19	YU	VALERIE O.	RESEARCH ASSISTANT	-	YU AND COMPANY, INC.	RESIGNATION
31-Jul-19	DUMAOG	MARGIE S.	-	ACCOUNTING CLERK	LUYS SECURITIES COMPANY, INC.	NEW EMPLOYMENT
31-Jul-19	GACUSAN	AURORA	CONSULTANT	-	THE FIRST RESOURCES MGMT. SECURITIES CORP.	RESIGNATION
31-Jul-19	SORIANO	PRESCILLA C.	EXECUTIVE VICE PRESIDENT	-	THE FIRST RESOURCES MGMT. SECURITIES CORP.	RESIGNATION

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01-Aug-19	LIBO-ON	ROMEL FRANCIS B.	RESEARCH ANALYST	SENIOR RESEARCH ANALYST	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
01-Aug-19	ANGELO	PAUL MICHAEL A.	EQUITY RESEARCH ANALYST	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
01-Aug-19	GABINERA	JONATHAN S.	-	SALESMAN	FIDELITY SECURITIES, INC.	NEW EMPLOYMENT
01-Aug-19	ALCANTARA	TIMOTHY F.	-	MANAGEMENT TRAINEE	YU AND COMPANY, INC.	NEW EMPLOYMENT
01-Aug-19	CHUA	MARVIN RENE T.	-	CSR EQUITIES TRADER	TIMSON SECURITIES, INC.	NEW EMPLOYMENT
01-Aug-19	TRINIDAD	LUCKY JOHN S.	KYC ASSOCIATE	KYC SPECIALIST	BPI SECURITIES CORPORATION	RE-DESIGNATION
01-Aug-19	DEL ROSARIO	NELLYN J.	ACCOUNT OPENING ASSOCIATE	ACCOUNT OPENING SPECIALIST	BPI SECURITIES CORPORATION	RE-DESIGNATION
01-Aug-19	DELA CRUZ	EMELINE T.	SECURITIES SETTLEMENT ASSOCIATE	SECURITIES SETTLEMENT SPECIALIST	BPI SECURITIES CORPORATION	RE-DESIGNATION
01-Aug-19	MATRIANO	JOSE CARLOS RAFAEL H.	-	DEALER TRAINEE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Aug-19	OLIVEROS	STEPHEN GABRIEL Y.	-	RESEARCH ANALYST	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES, INC.)	NEW EMPLOYMENT
01-Aug-19	ALMIREZ	WILLIAM ALASTAIR A.	-	BUSINESS DEVELOPMENT ASSOCIATE	UCPB SECURITIES, INC.	NEW EMPLOYMENT
02-Aug-19	CHUA	MICHAEL S.	-	DIRECTOR	DEUTSCHE REGIS PARTNERS INC.	NEW EMPLOYMENT
02-Aug-19	JAMON	JOEVIT F.	ACCOUNTING ASSOCIATE	-	THE FIRST RESOURCES MGMT. SECURITIES CORP.	RESIGNATION
05-Aug-19	CUEVAS	ELIZABETH G.	-	JUNIOR RESEARCH ANALYST	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
06-Aug-19	CHUA	JOHN KENDRICK O.	-	SALESMAN	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT

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07-Aug-19	DIAMANSE	RONNIE M.	-	MESSENGER	TRANS-ASIA SECURITIES, INC.	NEW EMPLOYMENT
08-Aug-19	CASTRO	FREDERICK II S.	-	SALESMAN	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
08-Aug-19	ADORZA	JOSEPH J.	MESSENGER	-	TRANS-ASIA SECURITIES, INC.	RESIGNATION (no clearance required)
08-Aug-19	NAGASHIMA	RYO	VP/ HEAD OF MARKETING	-	BDO NOMURA SECURITIES, INC.	RESIGNATION (no clearance required)
09-Aug-19	MAGHIRANG	ARABELLE C.	HEAD OF RESEARCH	-	PAPA SECURITIES CORPORATION	RESIGNATION
13-Aug-19	LANGANLANGAN	MC HAROLD D.	-	DEPARTMENT HEAD - FINANCIAL ACCOUNTING	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
13-Aug-19	DERPO	SAMANTHA E.	-	CUSTOMER SUPPORT ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
14-Aug-19	SANTOS	LILEYA D.	INTERN	-	CLSA PHILIPPINES, INC.	RESIGNATION (no clearance required)
14-Aug-19	QUIJANO	MA. TERESITA	ACCOUNTANT	-	BERNAD SECURITIES, INC.	DECEASED
15-Aug-19	OLIVAR	LECILE O.	GENERAL CLERK	-	GLOBALINKS SECURITIES & STOCKS, INC.	RESIGNATION
16-Aug-19	CUEVAS	ELIZABETH G.	JUNIOR RESEARCH ANALYST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (no clearance required)
16-Aug-19	LEYVA	KIM CRISHA D.	CERTIFIED SECURITIES REPRESENTATIVE	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
16-Aug-19	HERNANDEZ	ROM CHARIS N.	-	EXECUTIVE SECRETARY AND ADMINISTRATIVE ASSISTANT	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES, INC.)	NEW EMPLOYMENT
17-Aug-19	DE JESUS	FIRENZO D.	RESEARCH ANALYST	-	RCBC SECURITIES, INC.	RESIGNATION
19-Aug-19	PAULITE	TRISHA MARIE M.	-	HR STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT

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19-Aug-19	LACAP	DAN TUDOR D.	-	JUNIOR ASSOCIATE, EQUITY TRADE JUNIOR ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
19-Aug-19	ONG	ROBERTO MIGUEL B.	-	EQUITY RESEARCH ANALYST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
20-Aug-19	COMPLETO	ABEGAIL A.	ACCOUNTING CLERK	-	LUYS SECURITIES COMPANY, INC.	RESIGNATION
23-Aug-19	ESTACIO	WENDY B.	RESEARCH HEAD	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
26-Aug-19	AROGO	ALVIN JOSEPH A.	HEAD OF RESEARCH	-	PHILIPPINE EQUITY PARTNERS, INC.	RESIGNATION (cleared)
27-Aug-19	CALAOR	NYSSA EVITA D.	-	ADMIN STAFF, IFA	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
27-Aug-19	GONZALES	EMETERIO III D.	PRESIDENT/ BRANCH MANAGER	PRESIDENT/ BRANCH MANAGER/ HEAD OF RESEARCH	PHILIPPINE EQUITY PARTNERS, INC.	RE-DESIGNATION
28-Aug-19	CRUZ	KATRINA ANN B.	SALES ASSOCIATE	SALES TRADER	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION