



MEMORANDUM – 2019-025

To : **All Trading Participants**

Subject : **Employee Movement**

Date : **8 October 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 30 September 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
02-Aug-19	DIZON, JR.	RODOLFO T.	-	ADMIN CLERK	ASIASEC EQUITIES, INC.	NEW EMPLOYMENT
03-Aug-19	DAPON	CHRISTINA R.	ACCOUNTING ASSISTANT	-	SB EQUITIES, INC.	RESIGNATION
08-Aug-19	GENOVE	MA. ROSENDA D.	JUNIOR ACCOUNTANT	-	SALISBURY BKT SECURITIES CORPORATION	RESIGNATION
09-Aug-19	DIAZ	REBECCA C.	ACCOUNTING CLERK	-	WEALTH SECURITIES, INC.	RESIGNATION (cleared)
09-Aug-19	MARQUEZ	MARIANNE A.	CSR EQUITIES TRADER	-	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	RESIGNATION (clearance under process)
13-Aug-19	YAP	MANUEL U.	DIRECTOR	-	F. YAP SECURITIES, INC.	DECEASED
16-Aug-19	CARORO	ANGELINA G.	-	BUSINESS DEVELOPMENT ASSOCIATE	UCPB SECURITIES, INC.	NEW EMPLOYMENT
16-Aug-19	FETIZA	ANGEL MAE A.	-	ACCOUNTING CLERK	WEALTH SECURITIES, INC.	NEW EMPLOYMENT
22-Aug-19	SORIANO	RUELITO Q.	INDEPENDENT DIRECTOR	-	APEX PHILS. EQUITIES CORPORATION	RESIGNATION
22-Aug-19	DUAVIT	ELVIRA VERONICA E.	-	INDEPENDENT DIRECTOR	APEX PHILS. EQUITIES CORPORATION	NEW EMPLOYMENT
26-Aug-19	ABRAHAM	JACKLYN P.	-	ACCOUNTING CLERK	ASIASEC EQUITIES, INC.	NEW EMPLOYMENT
26-Aug-19	AROGO	ALVIN JOSEPH A.	HEAD OF RESEARCH	-	PHILIPPINE EQUITY PARTNERS, INC.	RESIGNATION (cleared)
27-Aug-19	ONITA	MELISSA P.	-	ACCOUNTING ASSISTANT	LUCKY SECURITIES, INC.	NEW EMPLOYMENT
27-Aug-19	CABAYU	JOHN KELVIN C.	-	ACCOUNTING ASSISTANT	SB EQUITIES, 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

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29-Aug-19	MEDRANO	GERONIMO S.	ASSOCIATED PERSON	ASSOCIATED PERSON/ DATA PROTECTION OFFICER	IMPERIAL DE GUZMAN, ABALOS & CO., INC.	RE-DESIGNATION
30-Aug-19	ONG	MELANIE SHANNON S.	RESEARCH ANALYST	-	WEALTH SECURITIES, INC.	RESIGNATION (cleared)
30-Aug-19	MUNSAYAC II	EMILLE MARTIN C.	EQUITY ANALYST	-	PAPA SECURITIES CORPORATION	RESIGNATION
30-Aug-19	ESTEBAN	SHENNA A.	FILING CLERK	-	ASIASEC EQUITIES, INC.	RESIGNATION
30-Aug-19	TAN	ANN MARGARRET S.	ASST. OFFICE MANAGER	-	YU AND COMPANY, INC.	RESIGNATION
30-Aug-19	ESTILLERO	MARY ABIGAEL	GENERAL CLERK - CONTRACTUAL	-	RCBC SECURITIES, INC.	RESIGNATION
31-Aug-19	CO	MELISSA C.	ADMINISTRATIVE ASSISTANT	-	KING'S POWER SECURITIES, INC.	RESIGNATION (no clearance required)
31-Aug-19	ARROCO	JULIA-FRIDEE O.	TRAINING OFFICER	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
31-Aug-19	SADDUL	VANESSA M.	ADMIN SPECIALIST, IFA	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
31-Aug-19	JAVIER	JUSSA D.	CUSTOMER SERVICE/ CERTIFIED SECURTIES	-	ABACUS SECURITIES CORPORATION	RESIGNATION
31-Aug-19	KERR	EVERLY BLESS L.	SALESMAN/TRAINEE	-	SINCERE SECURITIES CORPORATION	RESIGNATION (cleared)
31-Aug-19	LITAP	PERFECTO JR. S.	ASSOCIATED PERSON & COMPLIANCE OFFICER	-	R. COYIUTO SECURITIES, INC.	RESIGNATION
31-Aug-19	ROA	HASSEVEL F.	ACCOUNTING ASSISTANT	-	LUCKY SECURITIES, INC.	RESIGNATION (no clearance)
31-Aug-19	CAYETANO	RANDELL D.	OFFICE CLERK	-	R AND L INVESTMENTS, INC.	RESIGNATION (clearance under process)
31-Aug-19	DEE	AMANDA LOUISE O.	TRAINEE	-	R. NUBLA SECURITIES, INC.	RESIGNATION (no clearance required)

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01-Sep-19	DELA CRUZ, JR.	ANDY WILLING	SENIOR RESEARCH ANALYST	INSTITUTIONAL SALES	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Sep-19	MALLILLIN	FRANCIS MEL G.	SENIOR EQUITY INVESTMENTS ADVISOR,	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
01-Sep-19	DELA CRUZ	RODOLFO III SIDRO	SENIOR ASSOCIATE, TRADER/SALESMAN	AGENT/SALESMAN	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Sep-19	ESPAYOS	ELIZABETH M.	-	CLIENT RELATIONS ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-19	CARAG	MONINA HONORE G.	-	RECEPTIONIST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-19	LU	ARBEE B.	EQUITY ANALYST	BUSINESS HEAD OF P2P TRADE ONLINE	PAPA SECURITIES CORPORATION	RE-DESIGNATION
01-Sep-19	ANG	ANNA LORRAINE D.	RESEARCH ANALYST	RESEARCH AND MARKETING OFFICER OF P2P TRADE	PAPA SECURITIES CORPORATION	RE-DESIGNATION
01-Sep-19	LIM	KATE JENNIFER C.	MARKETING OFFICER P2P TRADE ONLINE	RESEARCH AND MARKETING OFFICER OF P2P TRADE	PAPA SECURITIES CORPORATION	RE-DESIGNATION
02-Sep-19	DE VICENTE	DEVIN B.	-	JUNIOR RESEARCH ANALYST	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
02-Sep-19	CHUA	RALPH JACOB A.	-	IT PRODUCT MANAGER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
02-Sep-19	TEE	NEIL ANDREW G.	-	FINANCIAL ANALYST	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	NEW EMPLOYMENT
02-Sep-19	BUMANGLAG	ESTEBAN CARLOS F.	-	FINANCIAL ANALYST	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	NEW EMPLOYMENT
02-Sep-19	SANCHEZ	JOY HILEVI C.	-	ASSOCIATED PERSON - COMPLIANCE	SECURITIES SPECIALISTS, INC.	NEW EMPLOYMENT
02-Sep-19	LITAP	PERFECTO JR. S.	-	ASST. COMPLIANCE OFFICER/ ACTING ASSOCIATED PERSON	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
02-Sep-19	KERR	EVERLY BLESS L.	-	TRAINEE/ TRADING FLOOR ASSISTANT	A. T. DE CASTRO SECURITIES CORPORATION	NEW EMPLOYMENT

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02-Sep-19	JAVIER	JUSSA P.	-	TRADER	UCPB SECURITIES, INC.	NEW EMPLOYMENT
02-Sep-19	BOQUIRON	GIANTANA R.	-	SALES AND MARKETING ASSOCIATE	CHINA BANK SECURITIES CORPORATION	NEW EMPLOYMENT
02-Sep-19	RAQUEL	RAMEL T.	-	MESSENGER	S. J. ROXAS & COMPANY, INC.	NEW EMPLOYMENT
02-Sep-19	ONG	MELANIE SHANNON S.	-	RESEARCH ANALYST	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
02-Sep-19	CRUZ	MARK VINCENT H.	OPERATIONS ASSISTANT	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
04-Sep-19	MALLARI	WENCESLAO, JR. A.	RESEARCH DIRECTOR - PROBATIONARY	RESEARCH DIRECTOR - REGULAR	STRATEGIC EQUITIES CORPORATION	RE-DESIGNATION
04-Sep-19	LIM	HERCHEL IDA D.	-	ACCOUNTING ASSISTANT	S. J. ROXAS & COMPANY, INC.	NEW EMPLOYMENT
05-Sep-19	MANARIN	MARC DELVY T.	-	SALESMAN	FIDELITY SECURITIES, INC.	NEW EMPLOYMENT
05-Sep-19	DIAMANSE	RONNIE M.	MESSENGER	-	TRANS-ASIA SECURITIES, INC.	RESIGNATION (no clearance required)
06-Sep-19	CATRIZ	MARY JANE V.	DIGITAL MARKETING MANAGER	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
09-Sep-19	MENTA	DARYLL M.	-	NEW ACCOUNTS ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
09-Sep-19	CRUZ	JULES CYBER 1A22 G.	-	EQUITY RESEARCH ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
09-Sep-19	CRUZ	NICHOLE KATE A.	-	ACCOUNTING STAFF	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	NEW EMPLOYMENT
09-Sep-19	VILLAREAL	MARJORIE A.	-	CLERK	S. J. ROXAS & COMPANY, INC.	NEW EMPLOYMENT
11-Sep-19	ENCARNACION	MARGARITA L.	-	VICE PRESIDENT, GENERAL COUNSEL DIVISION	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT

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11-Sep-19	GREGORIO	KACEY M.	INDEPENDENT DIRECTOR	-	R AND L INVESTMENTS, INC.	RESIGNATION
11-Sep-19	VENTURA	ROMUALDO H.	-	INDEPENDENT DIRECTOR	R AND L INVESTMENTS, INC.	NEW EMPLOYMENT
12-Sep-19	TEMBREVILLA	JUSTIN LAWRENCE J.	ANALYST	-	UCPB SECURITIES, INC.	RESIGNATION (cleared)
12-Sep-19	CARANDANG	POLICARPIO D.	-	OPERATIONS SUPERVISOR	PHILIPPINE EQUITY PARTNERS, INC.	NEW EMPLOYMENT
15-Sep-19	DIAZ	FRANCIS PATRICK T.	HEAD, BUSINESS & SALES, PRIVATE CLIENTS GROUP	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
15-Sep-19	LIT	ALYSSA MAE U.	JUNIOR RESEARCH ANALYST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
16-Sep-19	CALISON	DOLORES S.	ASSOCIATED PERSON/ DATA PROTECTION OFFICER	-	SECURITIES SPECIALISTS, INC.	RESIGNATION (cleared)
16-Sep-19	SORIANO	CHRIZELLE ANNE V.	OPERATIONS ASSISTANT, COG-CBC	-	CHINA BANK SECURITIES CORPORATION	RESIGNATION (no clearance required)
16-Sep-19	GAITE	JOSE FERNANDO VICTOR M.	-	VICE PRES. FOR SALES AND MARKETING	BA SECURITIES, INC.	NEW EMPLOYMENT
16-Sep-19	TEMBREVILLA	JUSTIN LAWRENCE J.	-	MANAGER, RESEARCH HEAD	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
16-Sep-19	DAVID	MCHALE B.	-	ACCOUNTANT	GLOBALINKS SECURITIES & STOCKS, INC.	NEW EMPLOYMENT
16-Sep-19	MIRANDA	MICHAEL ALBERTO	-	SETTLEMENT ASSOCIATES	GLOBALINKS SECURITIES & STOCKS, INC.	NEW EMPLOYMENT
16-Sep-19	BRITO	MA. FRANCESCA JENNINA B.	-	RESEARCH ANALYST	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
16-Sep-19	ARGUEZA	RECHELLE C.	-	OPERATIONS ASSISTANT, COG-CBC	CHINA BANK SECURITIES CORPORATION	NEW EMPLOYMENT
16-Sep-19	AGERO	FRANKCO L.	-	TRADE ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT

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17-Sep-19	COYIUTO	MA. ROSALINA T.	ASSISTANT TREASURER	PRESIDENT/ DIRECTOR	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION
17-Sep-19	CARAGAN	VITO S.	PRESIDENT/ DIRECTOR	VP - ASSOCIATED PERSON/ COMPLIANCE OFFICER	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION
18-Sep-19	YU	ROBERT Y.	CORPORATE SECRETARY	-	NEW WORLD SECURITIES CO., INC.	DECEASED
20-Sep-19	CHU	JEANETTE Y.	AUTHORIZED SALESMAN	CORPORATE SECRETARY/ AUTHORIZED SALESMAN	NEW WORLD SECURITIES CO., INC.	RE-DESIGNATION
20-Sep-19	AGUADERA	JONAX BRYANT I.	-	TRAINEE	NEW WORLD SECURITIES CO., INC.	NEW EMPLOYMENT
20-Sep-19	SALOM	ATTY. R. JOHN CHRISTOPHER J.	CORPORATE SECRETARY	ASSOCIATED PERSON	INTRA-INVEST SECURITIES, INC.	RE-DESIGNATION
20-Sep-19	BAGACONZA	OLYMPIO D.	APPOINTED ASSOCIATED PERSON	CORPORATE SECRETARY	INTRA-INVEST SECURITIES, INC.	RE-DESIGNATION
23-Sep-19	GUARIN	JAN DERRICK S.	ON-THE-JOB TRAINEE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
23-Sep-19	RASCO	LAETISHA BELLE C.	ON-THE-JOB TRAINEE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
23-Sep-19	SALVADOR	CHRISTIAN ARNOLD R.	ON-THE-JOB TRAINEE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
23-Sep-19	YAP	FRANCES ANNE L.	ON-THE-JOB TRAINEE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
23-Sep-19	KHO	JUSTINE DALE Y.	-	ON-THE-JOB TRAINEE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
23-Sep-19	VALERIO	JEFFREY MICHAEL V.	-	NETWORK ADMINISTRATOR	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
24-Sep-19	YU	RODERICK Y.	-	DIRECTOR	NEW WORLD SECURITIES CO., INC.	NEW EMPLOYMENT
25-Sep-19	YAP	RONALD Y.	-	DIRECTOR	F. YAP SECURITIES, INC.	NEW EMPLOYMENT

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28-Sep-19	NUEVAS	CRISTINE ANN M.	CUSTOMER SERVICE ASST. SUPERVISOR	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
01-Oct-19	VALENCIANO	SONNY ARVIN C.	SALESMAN	-	BA SECURITIES, INC.	RESIGNATION (cleared)