



MEMORANDUM – 2019-033

To : **All Trading Participants**

Subject : **Employee Movement**

Date : **6 December 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 November 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
04-Oct-19	BINUYA	KATRINA CYNDIE O.	ACTING HEAD OF FINANCE AND ACCOUNTING	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
14-Oct-19	GARCIA	SETH RENMAR M.	-	SETTLEMENT CLERK	AP SECURITIES, INC.	NEW EMPLOYMENT
15-Oct-19	CANALES	MADILYN B.	SETTLEMENT ASSISTANT	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (without clearance)
15-Oct-19	FUNGO	ROMEL B.	RECON SPECIALIST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (without clearance)
16-Oct-19	TUMALE	JAY AR U.	SALES TRAINEE	-	ABACUS SECURITIES CORPORATION	RESIGNATION
21-Oct-19	NUNEZ	JOSE JR. A.	-	INDEPENDENT DIRECTOR	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
21-Oct-19	HAMA	TETSUJI	-	PRESIDENT & CEO, DIRECTOR	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
21-Oct-19	KIMURA	TETSUYA	-	DIRECTOR	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
21-Oct-19	NAKANISHI	KENJI	PRESIDENT & CEO, DIRECTOR, PSE NOMINEE	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (cleared)
21-Oct-19	FUKANO	SHOJIRO	DIRECTOR	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (cleared)
21-Oct-19	MALLARI	RUBY M.	HEAD OF SETTLEMENTS	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION (clearance under process)
21-Oct-19	CHUA-NICDAO	VANESSA GUIAN C.	MANAGER , SETTLEMENTS	HEAD OF SETTLEMENTS	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RE-DESIGNATION
24-Oct-19	WAGAN	MARK V.	SENIOR ASSOCIATE, SETTLEMENTS	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION (clearance under process)
24-Oct-19	MONSERRAT	MARYL JASMIN G.	-	HR ADMINISTRATIVE ASSISTANT	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
25-Oct-19	BACANI	MARGARET ANN C.	AUTHORIZED AGENT	-	WEALTH SECURITIES, INC.	RESIGNATION (cleared)

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25-Oct-19	OMEGA	ANALYN B.	AUTHORIZED CLERK	-	WEALTH SECURITIES, INC.	RESIGNATION (cleared)
28-Oct-19	ATENGCO	KYLIE	CUSTOMER SERVICE ASSOCIATE	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
28-Oct-19	ONG	DONAL VINCENT	-	ANALYST	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	NEW EMPLOYMENT
31-Oct-19	FLORENTINO	GERALD O.	PRESIDENT AND DIRECTOR	-	RCBC SECURITIES, INC.	RESIGNATION
31-Oct-19	ALIDO	MICHAEL JOHN S.	GENERAL CLERK	-	RCBC SECURITIES, INC.	RESIGNATION
31-Oct-19	JARABE	EIRAH JEANNE Q.	IT SUPPORT	-	WEALTH SECURITIES, INC.	RESIGNATION (cleared)
31-Oct-19	GARCIA	RAQUEL R.	VICE PRESIDENT/ ASSOCIATED PERSON	VICE PRESIDENT	MDR SECURITIES, INC.	RE-DESIGNATION
01-Nov-19	DELOS SANTOS	REGINA SOCORRO S.	MANAGER, SETTLEMENTS	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
01-Nov-19	RAYO	TRICIA EILEEN D.	TRADING ASSISTANT	-	TRANS-ASIA SECURITIES, INC.	RESIGNATION (did not apply for clearance)
04-Nov-19	OMEGA	ANALYN B.	-	TRADER TRAINEE	R. COYIUTO SECURITIES, INC.	NEW EMPLOYMENT
04-Nov-19	AMON	ALAIN KATHLEEN B.	-	ASSOCIATE, SETTLEMENT	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
04-Nov-19	COCABO	MICHAEL JEFFERSON J.	CSR EQUITIES TRADER	-	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	RESIGNATION (clearance under process)
04-Nov-19	CHAN	KERWIN MALCOLM Y.	-	RESEARCH ANALYST	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
04-Nov-19	MANUEL	JAYNIEL CARL S.	SALESMAN/ TRADER	-	EASTERN SECURITIES DEVT. CORPORATION	RESIGNATION (clearance under process)
04-Nov-19	MELLA	DANILO M., JR.	ACCOUNTING ASSOCIATE	-	THE FIRST RESOURCES MGMT. SECURITIES CORP.	RESIGNATION

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04-Nov-19	VILLAREAL	MARJORIE A.	CLERK	SETTLEMENT CLERK	S.J. ROXAS & CO., INC.	RE-DESIGNATION
04-Nov-19	GAYOS	KARINA K.	-	ACCOUNTANT	A.T. DE CASTRO SECURITIES CORPORATION	NEW EMPLOYMENT
04-Nov-19	GOCO	REYNALDO R.	DIRECTOR	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (no clearance required)
05-Nov-19	BAYLON	ERICK JOHN M.	MANAGER, IT SPECIALIST	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
05-Nov-19	PORTACIO	HEHERSON G.	SALES AGENT	-	VENTURE SECURITIES, INC.	RESIGNATION (no clearance)
05-Nov-19	ALCARAZ	LESLIE GWEN IRIS R.	SALESMAN	ASST. COMPLIANCE OFFICER	BA SECURITIES, INC.	RE-DESIGNATION
05-Nov-19	DELOS SANTOS	REGINA SOCORRO S.	MANAGER, SETTLEMENTS	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
05-Nov-19	BAYLON	ERICK JOHN M.	MANAGER, IT SPECIALIST	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
06-Nov-19	FLORES	PHOEBE JAYNE O.	-	ACCOUNTING ASSISTANT	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
08-Nov-19	DE VENECIA	RICHARD BENEDICT F.	CSR EQUITIES TRADER	-	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	RESIGNATION (clearance under process)
11-Nov-19	ONG	JO ANNE ABIGAIL S.	SALES AGENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
11-Nov-19	ARCIAGA	KATHLEEN GAIL B.	-	CUSTOMER SERVICE ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
11-Nov-19	JAO	JANINA BIANCA A.	CSR EQUITIES TRADER	-	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	RESIGNATION (clearance under process)
12-Nov-19	LACAP	DAN TUDOR D.	JUNIOR ASSOCIATE, EQUITY TRADE JUNIOR ASSOCIATE	JUNIOR ASSOCIATE, EQUITY TRADE JUNIOR ASSOCIATE,	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
12-Nov-19	ANDRES	CONRADO I. IV	SALESMAN	-	BA SECURITIES, INC.	RESIGNATION (cleared)

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12-Nov-19	PANGAN	DARREN BLAINE T.	-	SALESMAN/ HEAD ONLINE	TIMSON SECURITIES, INC.	NEW EMPLOYMENT
12-Nov-19	GARCIA	RAQUEL R.	VICE PRESIDENT	VICE PRESIDENT/ SALESMAN	MDR SECURITIES, INC.	RE-DESIGNATION
13-Nov-19	LIM	CARMEN C.	SALESMAN	-	BELSON SECURITIES, INC.	DECEASED
18-Nov-19	DY TANG	ELMER JASON D.	SALESMAN	-	AP SECURITIES, INC.	RESIGNATION
18-Nov-19	KOA	MARK LEVINSON R.	TRADER/ HEAD ONLINE	TRADER	TIMSON SECURITIES, INC.	RE-DESIGNATION
18-Nov-19	AGERO	ANGELYNE ANN S.	AGENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
18-Nov-19	MANCILLA	CHARMAINE LAURENE G.	AGENT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
18-Nov-19	OMEGA	ANALYN B.	TRADER-TRAINEE	AUTHORIZED TRADER/ SALESMAN	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION
18-Nov-19	LIM	JAMIE ANNE L.	-	HR STAFF	CTS GLOBAL EQUITY GROUP, INC. (formerly CITISECURITIES)	NEW EMPLOYMENT
18-Nov-19	OBCEMEA	IRENE LUZ L.	-	COMPLIANCE ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
18-Nov-19	GRAU	MARIA ISABEL D.	-	RESEARCH ANALYST	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
18-Nov-19	OCIER	SEAN WILLIAM ESCOLAR Y.	RESEARCH ASSISTANT	AUTHORIZED AGENT	WEALTH SECURITIES, INC.	RE-DESIGNATION
18-Nov-19	CASTILO	MICHAEL FRANCIS U.	-	MARKET MAKER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
18-Nov-19	CHICO	IZZA MAE	-	TRANSFER CLERK	F. YAP SECURITIES, INC.	NEW EMPLOYMENT
19-Nov-19	RUIZ	RAUL P.	FVP - RESEARCH HEAD	DIRECTOR/ ACTING PRESIDENT AND HEAD OF RESEARCH	RCBC SECURITIES, INC.	RE-DESIGNATION

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19-Nov-19	CORTEZ	CZARLOTTE CYRILE C.	TRANSFER CLERK	-	F. YAP SECURITIES, INC.	RESIGNATION (cleared)
25-Nov-19	CORTEZ	CZARLOTTE CYRILE C.	-	SETTLEMENT ASSISTANT	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
27-Nov-19	VELASCO	MARCO NINO M.	BRANCH MANAGER, CEBU	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)