



# MEMORANDUM – 2020-028

**To** : **All Trading Participants**

**Subject** : **Employee Movement**

**Date** : **2 October 2020**

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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 September 2020.

For information and guidance.

*(Original Signed)*  
**DAISY P. ARCE**  
*President*

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DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
28-Sep-20	NAVARRO	JEROLD Q.	-	ACCOUNTING OFFICER - CONTRACTUAL	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
27-Sep-20	PEVIDAL	JAYSON R.	MANAGER, IT SPECIALIST INFORMATION AND TECHNOLOGY	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
21-Sep-20	ARENAS	EVELYN P.	CFO AND HEAD OF FINANCE AND ACCOUNTING	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
17-Sep-20	CATALAN	FAITH ANGELIE E.	-	EQUITIES INVESTMENT ADVISER/ SALESMAN	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
17-Sep-20	BALBASTRO	MA. RODORA M.	ACCOUNTANT	-	J. M. BARCELON & CO., INC.	RESIGNATION (without clearance)
17-Sep-20	SALONGA	HEIDY R.	-	ACCOUNTANT	J. M. BARCELON & CO., INC.	NEW EMPLOYMENT
17-Sep-20	VIRAY	WIND SUZZANE B.	-	MARKETING ASST.	ASIASEC EQUITIES, INC.	NEW EMPLOYMENT
16-Sep-20	SAMBILE	KARLA C.	ACCOUNTANT	ACCOUNTING HEAD	ASTRA SECURITIES CORPORATION	RE-DESIGNATION
16-Sep-20	GARCIA	MA. JONIBEL F.	-	CUSTOMER INTELLIGENCE AND INSIGHT OFFICER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
15-Sep-20	FERNANDEZ	RANULFO D.	TRADER	-	BDO NOMURA SECURITIES INC.	RESIGNATION
15-Sep-20	SORIANO	ANDREI JORGE G.	-	JUNIOR RESEARCH ANALYST	AP SECURITIES, INC.	NEW EMPLOYMENT
14-Sep-20	JANAIRO	CHRISTIAN MARCO J.	RESEARCH ANALYST	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
14-Sep-20	CABAL	AMELIA B.	INDEPENDENT DIRECTOR	-	REGIS PARTNERS INC.	RESIGNATION (cleared)
14-Sep-20	BALANI	PRANAV V.	-	RESEARCH ASSOCIATE	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
11-Sep-20	LEE HOK	PAUL JOHN T.	TRADER	-	BDO SECURITIES CORPORATION	RESIGNATION (clearance under process)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
09-Sep-20	KOBAYASHI	JANN MICHIKO O.	ASSOCIATE, CUSTOMER SUPPORT ASSOCIATE	ASSOCIATE, CUSTOMER SUPPORT ASSOCIATE, SALESMAN	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
07-Sep-20	LACSON	ANDREA NICOLE M.	-	CUSTOMER SERVICE ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
07-Sep-20	SAVELLANO	JILLENE C.	-	LEGAL AND COMPLIANCE OFFICER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
07-Sep-20	RODRIGUEZ	RACHELLEEN A.	-	RESEARCH ANALYST	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
07-Sep-20	MARQUEZ	JOHN EXEQUIEL D.	-	IT OFFICER - CONTRACTUAL	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
07-Sep-20	DALAWANGBAYAN	VHIA D.	RECEPTIONIST - CONTRACTUAL	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION
07-Sep-20	TSANG	BEVERLY ANNE W.	-	RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
07-Sep-20	ROSETE	JAMAICA L.	-	SETTLEMENTS ASSOCIATE	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
04-Sep-20	JIMENEZ	ATTY. ILDEFONSO R.	CORPORATE SECRETARY	-	UCPB SECURITIES, INC.	RESIGNATION (did not apply for clearance)
04-Sep-20	CLAVERIA	ATTY. FLORENCE ROSALIND R.	-	CORPORATE SECRETARY	UCPB SECURITIES, INC.	NEW EMPLOYMENT
04-Sep-20	JAVIER	KIMBERLY A.	ACCOUNTANT	-	J. M. BARCELON & CO., INC.	RESIGNATION (no clearance required)
04-Sep-20	BALBASTRO	MA. RODORA M.	-	ACCOUNTANT	J. M. BARCELON & CO., INC.	NEW EMPLOYMENT
01-Sep-20	LAPLANA	ULYSSES JOVEN A.	-	CUSTOMER SERVICE ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-20	CABANGON	WILLIAM MATTHEW M.	PRESIDENT	PRESIDENT/ SALESMAN	AAA SOUTHEAST EQUITIES, INC.	RE-DESIGNATION
01-Sep-20	RAY	JUDITH R.	PROJECT MANAGER	-	BDO NOMURA SECURITIES INC.	RESIGNATION

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01-Sep-20	HOLGANZA	WILLIAM JEFFERSON B.	-	ASSOCIATE	JSG SECURITIES, INC.	NEW EMPLOYMENT
01-Sep-20	IDIESCA	NOEL S. JR.	-	ASSOCIATE	JSG SECURITIES, INC.	NEW EMPLOYMENT
01-Sep-20	CUALES	JOSEPH OWEN A.	-	ASSOCIATE	JSG SECURITIES, INC.	NEW EMPLOYMENT
01-Sep-20	RAY	JUDITH R.	-	SYSTEM SUPPORT ANALYST/ PROJECT MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
01-Sep-20	MANUEL	JAYNIEL CARL S.	MARKETING ASSISTANT	SALESMAN	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Sep-20	LAO	BEATRIZ R.	-	TREASURER	GOLDEN TOWER SECURITIES HOLDINGS, INC.	NEW EMPLOYMENT
01-Sep-20	KUO	STEVEN NORRIS C.	DIRECTOR/ VICE PRESIDENT/ TREASURER/ TRADER SUPERVISOR	TRADER	GOLDEN TOWER SECURITIES HOLDINGS, INC.	RE-DESIGNATION
01-Sep-20	LARESMA	MARIA CECILIA G.	CSS OFFICER/ CORPORATE SECRETARY	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION
30-Aug-20	LEABRES	ROGERICK A.	SENIOR ASSOCIATE	ASSISTANT MANAGER	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
28-Aug-20	UY	JUSTIN GABRIEL Y.	EQUITIES SALES	-	UBS SECURITIES PHILIPPINES, INC.	RESIGNATION
27-Aug-20	BARCELON	JOSE W.	DIRECTOR	DIRECTOR-SALESMAN	J. M. BARCELON & CO., INC.	RE-DESIGNATION
24-Aug-20	LAMMERSKOTTER	LARS RAPHAEL J.	SALES TRAINEE	SALES AGENT	BPI SECURITIES CORPORATION	RE-DESIGNATION
21-Aug-20	DOMINGO	ROTZCHELETTE A.	STAFF (SPECIAL PROJECT)	-	HDI SECURITIES, INC.	RESIGNATION (no clearance required)
20-Aug-20	DINEROS	RICA MAE	JUNIOR ACCOUNTING	-	THE FIRST RESOURCES MGMT. SECURITIES CORP.	RESIGNATION (no clearance required)
18-Aug-20	VENERACION	VOLTAIRE D.	CHIEF TECHNOLOGY OFFICER	-	BPI SECURITIES CORPORATION	RESIGNATION (cleared)

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17-Aug-20	VIRAY	WIND SUZZANE B.	ASST. TRADER	-	UPCC SECURITIES CORPORATION	RESIGNATION
17-Aug-20	MARASIGAN	DANA SHAE R.	CUSTOMER SERVICE ASSOCIATE	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
17-Aug-20	GUMPAL	ANGELI ANNE L.	-	CSS OFFICER/ CORPORATE SECRETARY	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
16-Aug-20	DE LARA	VICTOR AARON G.	-	RESEARCH ANALYST	MANDARIN SECURITIES CORPORATION	NEW EMPLOYMENT
15-Aug-20	FRANCISCO	JAIME FELICIANO E.	FINANCIAL CONTROLLER	-	CLSA PHILIPPINES, INC.	RESIGNATION (clearance under process)
08-Aug-20	TAN	CHARLES CONROY W.	INTERN	-	HDI SECURITIES, INC.	RESIGNATION (no clearance required)
05-Aug-20	ABALLE	VANESSA V.	-	FINANCIAL CONTROLLER	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
04-Aug-20	BASAS	AMANCIO JR.	MESSENGER	-	LUCKY SECURITIES, INC.	RETIREMENT
03-Aug-20	LARIOSIA	ERNESTO C.	MESSENGER	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
01-Aug-20	LICHAUCO	LORENZO SIXTO T.	-	DIRECTOR	SB EQUITIES, INC.	NEW EMPLOYMENT
31-Jul-20	SALCEDO	ALFONSO L. JR.	DIRECTOR	-	SB EQUITIES, INC.	RESIGNATION (no clearance required)
04-Apr-20	TAY	DEXTER A.	CHIEF COMPLIANCE OFFICER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
11-Feb-20	ALICANTE	JOYCE T.	SENIOR ASSOCIATE, ONLINE - MIDDLE OFFICE	-	UNICAPITAL SECURITIES, INC.	UPDATE: RESIGNATION (cleared)