



MEMORANDUM – 2020-015

To : **All Trading Participants**

Subject : **Employee Movement**

Date : **8 May 2020**

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 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
24-Apr-20	HENSON	PAMELA CARLA G.	INSTITUTIONAL SALES	-	BPI SECURITIES CORPORATION	RESIGNATION
23-Apr-20	SANTOS	HAZEL MARGERIE V.	SECURITIES SETTLEMENT OFFICER	-	APEX PHILS. EQUITIES CORPORATION	RESIGNATION (clearance under process)
22-Apr-20	PEDERNA	MA. JANINE V.	-	CORPORATE SECRETARY	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
21-Apr-20	ACOSTA	DAVID CRIS F.	CSR EQUITIES TRADER	-	CTS GLOBAL EQUITY GROUP, INC.	RESIGNATION (clearance under process)
21-Apr-20	CASTILLO	JEROME CARLO S.	FINANCIAL ANALYST	-	CTS GLOBAL EQUITY GROUP, INC.	RESIGNATION (clearance under process)
16-Apr-20	MATAMOROSA	JESSA MAE S.	MARKETING SPECIALIST	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
15-Apr-20	ONG	LESTER	CORPORATE SECRETARY	TREASURER	BPI SECURITIES CORPORATION	RE-DESIGNATION
15-Apr-20	ROCAMORA	TIMOTHY JOHN G.	-	CORPORATE SECRETARY	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
13-Apr-20	MONTEROSA	LLEWELYN R.	-	SECURITIES SETTLEMENT OFFICER	APEX PHILS. EQUITIES CORPORATION	NEW EMPLOYMENT
11-Apr-20	HWANG	ANGELINE ANN H.	INDEPENDENT DIRECTOR	-	CHINA BANK SECURITIES CORP.	DECEASED
05-Apr-20	HUERTAS	CARL ERWIN L.	INFORMATION SYSTEMS OFFICER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
04-Apr-20	LLANDA	KAYZER C.	RESEARCH ANALYST	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
04-Apr-20	TAY	DEXTER A.	CHIEF COMPLIANCE OFFICER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
02-Apr-20	BOCO	DIANA E.	ACCOUNTING ASSISTANT	SETTLEMENT CLERK	VENTURE SECURITIES, INC.	RE-DESIGNATION
02-Apr-20	BUMALAY	KRYSTEL MAY B.	SETTLEMENT CLERK	-	VENTURE SECURITIES, INC.	RESIGNATION (clearance under process)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
01-Apr-20	GONZALES	RICHARD C.	WEBSITE DEVELOPER (P2P TRADE ONLINE)	-	PAPA SECURITIES CORPORATION	RESIGNATION (cleared)
01-Apr-20	LIM	KATE JENNIFER C.	RESEARCH AND MARKETING OFFICER	-	PAPA SECURITIES CORPORATION	RESIGNATION (cleared)
01-Apr-20	LU	ARBEE B.	BUSINESS HEAD (P2P TRADE ONLINE)/SALESMAN	SALESMAN	PAPA SECURITIES CORPORATION	RE-DESIGNATION
01-Apr-20	LUMANLAN	THERESA JOY F.	MARKETING RELATIONSHIP OFFICER	-	BDO NOMURA SECURITIES INC.	RESIGNATION
01-Apr-20	MACAYAN	JANNA CARISSE O.	CUSTOMER CARE SPECIALIST (P2P TRADE ONLINE)	-	PAPA SECURITIES CORPORATION	RESIGNATION (cleared)
01-Apr-20	MAGANA	MELODY F.	CUSTOMER CARE SPECIALIST (P2P TRADE ONLINE)	-	PAPA SECURITIES CORPORATION	RESIGNATION (cleared)
01-Apr-20	PAMA	HANS KERVIN T.	MESSENGER (PROBATIONARY)	MESSENGER (REGULAR)	STRATEGIC EQUITIES CORPORATION	RE-DESIGNATION
01-Apr-20	TINGA, JR.	DANTE R.	REGISTERED SALESMAN/ INSTITUTIONAL SALES HEAD	-	BDO NOMURA SECURITIES INC.	RESIGNATION
31-Mar-20	IDOLOR	TERESA O.	OPERATIONS HEAD	-	MERCANTILE SECURITIES, CORPORATION	RESIGNATION
31-Mar-20	RELOJO	KRISTINE MAE D.	ALTERNATE CORPORATE SECRETARY	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION
31-Mar-20	TIANGCO	SANTIAGO A.	CORPORATE SECRETARY	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION
25-Mar-20	LIM	WILLIAM T.	-	DIRECTOR	PNB SECURITIES, INC.	NEW EMPLOYMENT
17-Mar-20	ROBLEDO	NORBEN M.	MESSENGER/ COLLECTOR	-	MERCANTILE SECURITIES, CORPORATION	RESIGNATION
15-Mar-20	RETANA	NOELITO C.	MESSENGER	-	MERCANTILE SECURITIES, CORPORATION	RESIGNATION
15-Mar-20	VAZQUEZ	ROSANA MARIA LUISA D.	SALESPERSON	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (cleared)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
13-Mar-20	CERUJANO	JACKIE LOU N.	GENERAL CLERK	-	SINCERE SECURITIES CORPORATION	RESIGNATION (cleared)
13-Mar-20	GRAU	MARIA ISABEL D.	RESEARCH ANALYST	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
10-Mar-20	ALORA	JINKY A.	-	COMPLIANCE OFFICER	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
10-Mar-20	MANAHAN	ELSON B.	-	DATA PRIVACY OFFICER	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
09-Mar-20	BENAVIDEZ	NORBERT B.	-	SYSTEM ADMINISTRATOR	REGIS PARTNERS INC.	NEW EMPLOYMENT
01-Jan-20	ABAQUITA	MICAELA GABRIELLE L.	ASSOCIATE DIRECTOR/ RESEARCH ANALYST	DIRECTOR/ HEAD OF RESEARCH	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION
01-Jan-20	LIM	MARC ANDREW A.	ASSOCIATE DIRECTOR/ HEAD OF TRADING & DEALING	DIRECTOR/ HEAD OF TRADING & DEALING	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION