



MEMORANDUM – 2020-021

To : All Trading Participants

Subject : Employee Movement

Date : 3 July 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 June 2020.

For information and guidance.

(original signed)
DAISY P. ARCE
President

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| ACD | FHRAD | IED | SD |

| DATE OF EFFECTIVITY | LAST NAME | FIRST NAME | PREVIOUS POSITION | PRESENT POSITION | PRESENT EMPLOYER | REMARKS |
|---------------------|-------------|-------------------|--|---|---|-------------------------------------|
| 23-Jun-20 | OLAÑO | JAMES PAUL N. | OPERATIONS ASSISTANT, COG-CBC | - | CHINA BANK SECURITIES CORP. | RESIGNATION (no clearance required) |
| 23-Jun-20 | AMPARO | BEVERLY D. | TRADING FLOOR ASSISTANT | - | PAPA SECURITIES CORPORATION | RESIGNATION (cleared) |
| 22-Jun-20 | LU | ARBEE B. | SALESMAN | - | PAPA SECURITIES CORPORATION | RESIGNATION (cleared) |
| 19-Jun-20 | CHUA | JEFFERSON U. | TRADER | - | PAPA SECURITIES CORPORATION | RESIGNATION (cleared) |
| 19-Jun-20 | HAMA | TETSUJI | PRESIDENT & CEO/ PSE NOMINEE-APPLICANT | PRESIDENT & CEO/ PSE NOMINEE/ CHIEF AML-CFT | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | RE-DESIGNATION |
| 19-Jun-20 | ORO | VICENTE T. | VICE PRESIDENT, COMPLIANCE OFFICER/ ASSOCIATED PERSON, | VICE PRESIDENT, COMPLIANCE OFFICER/ | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | RE-DESIGNATION |
| 19-Jun-20 | DEL ROSARIO | KEREN MICHELLE P. | - | ASSISTANT CORPORATE SECRETARY | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC. | NEW EMPLOYMENT |
| 18-Jun-20 | DIAZ | LEVI P. | SETTLEMENT OFFICER | - | CAMPOS, LANUZA & COMPANY, INC. | RETIREMENT |
| 18-Jun-20 | GARBO | DELMA O. | CASHIER | - | CAMPOS, LANUZA & COMPANY, INC. | RETIREMENT |
| 18-Jun-20 | IGMASIM | VIRGILIO O. | SALESMAN | - | CAMPOS, LANUZA & COMPANY, INC. | RETIREMENT |
| 18-Jun-20 | LANTING | MARCOS M. | SALESMAN | - | CAMPOS, LANUZA & COMPANY, INC. | RETIREMENT |
| 18-Jun-20 | ORALE | CRISOSIMO M. | ASSOCIATE FOR TREASURY | - | CAMPOS, LANUZA & COMPANY, INC. | RETIREMENT |
| 18-Jun-20 | SAJO JR. | MARIO D | MESSENGER/ COLLECTOR | - | CAMPOS, LANUZA & COMPANY, INC. | RETIREMENT |
| 16-Jun-20 | MARCOS | JOSEPH SIMON A. | RESEARCH & MARKETING ASST. | - | REGINA CAPITAL DEVT. CORPORATION | RESIGNATION |
| 15-Jun-20 | GUANZON | JULITO E. | MESSENGER | - | ASIASEC EQUITIES, INC. | RESIGNATION |

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| 15-Jun-20 | MAAMO | KYLE L. | - | SALESMAN | TIMSON SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Jun-20 | MONTAÑEZ | LEZANDRO E. | - | SALESMAN | TIMSON SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Jun-20 | PILLARINA | RAFAEL G. | - | MESSENGER | TIMSON SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Jun-20 | KOMATSU | LEILI M. | - | SECRETARY/ CLERK | TIMSON SECURITIES, INC. | NEW EMPLOYMENT |
| 12-Jun-20 | RAMOS | JERICO R. | EQUITY RESEARCH ANALYST | - | PAPA SECURITIES CORPORATION | RESIGNATION (cleared) |
| 08-Jun-20 | TRINIDAD | LUCKY JOHN S. | KYC SPECIALIST | IT SPECIALIST | BPI SECURITIES CORPORATION | RE-DESIGNATION |
| 08-Jun-20 | VEJAR | ROJIE J. | - | DRIVER/ MESSENGER | TRANS-ASIA SECURITIES, INC. | NEW EMPLOYMENT |
| 05-Jun-20 | OLARTE | NORLENDO C. | MESSENGER | - | TRANS-ASIA SECURITIES, INC. | RESIGNATION (did not apply for clearance) |
| 05-Jun-20 | SALONGA | HEIDY R. | ACCOUNTANT | - | J. M. BARCELON AND COMPANY, INC. | RESIGNATION (cleared) |
| 05-Jun-20 | JAVIER | KIMBERLY A. | - | ACCOUNTANT | J. M. BARCELON AND COMPANY, INC. | NEW EMPLOYMENT |
| 05-Jun-20 | DELA PASION | JOSEPH ANDRE P. | HEAD OF CUSTOMER SERVICE | - | ABACUS SECURITIES CORPORATION | RESIGNATION (cleared) |
| 04-Jun-20 | OCIER | HENRY N. | DIRECTOR - VICE PRESIDENT | DIRECTOR | EASTERN SECURITIES DEVT. CORPORATION | RE-DESIGNATION |
| 03-Jun-20 | ARJONILLO | RABONNI FRANCIS B. | CHAIRMAN OF THE BOARD | - | FIRST METRO SECURITIES BROKERAGE CORPORATION | RETIREMENT |
| 03-Jun-20 | DUMLAO | JOSE PATRICIO A. | - | CHAIRMAN | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT |
| 03-Jun-20 | SANTILLAN | LEANDRO ANTONIO G. | - | DIRECTOR | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT |

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| 02-Jun-20 | GARCIA | DIVINE G. | - | ASSISTANT TO THE VP OPERATIONS AND | EASTERN SECURITIES DEVT. CORPORATION | NEW EMPLOYMENT |
| 02-Jun-20 | FAJARDO | JOHN KENNARD T. | DEPUTY CEO AND NOMINEE - APPLICANT | DEPUTY CEO AND NOMINEE | BPI SECURITIES CORPORATION | RE-DESIGNATION |
| 02-Jun-20 | WARD | RODNEY G. | DIRECTOR | - | PHILIPPINE EQUITY PARTNERS, INC. | RESIGNATION |
| 01-Jun-20 | PULUMBARIT | ZANE ANDREW A. | - | BUSINESS DEVELOPMENT ANALYST | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 01-Jun-20 | CALIBOSO | MARJORIE F. | - | FINANCE ASSOCIATE - OUTSOURCED | J. P. MORGAN SECURITIES PHILS, INC. | NEW EMPLOYMENT |
| 01-Jun-20 | GARDE | JOENEL L. | - | COMPANY DRIVER | R.S. LIM & COMPANY, INC. | NEW EMPLOYMENT |
| 01-Jun-20 | LOPEZ | ROSIAN S. | - | ACCOUNTING ASSISTANT | VENTURE SECURITIES, INC. | NEW EMPLOYMENT |
| 01-Jun-20 | BAUTISTA | ARTHUR A. | INDEPENDENT DIRECTOR | - | UCPB SECURITIES, INC. | RESIGNATION (did not apply for clearance) |
| 01-Jun-20 | TANJUAKIO | ALAN P. | - | INDEPENDENT DIRECTOR | UCPB SECURITIES, INC. | NEW EMPLOYMENT |
| 01-Jun-20 | GAITE | JOSE FERNANDO VICTOR M. | VICE PRES. FOR SALES AND MARKETING & SALESMAN | SALESMAN | BA SECURITIES, INC. | RE-DESIGNATION |
| 01-Jun-20 | PINEDA | ROUMEL | MESSENGER | - | THE FIRST RESOURCES MGMT. SECURITIES CORP. | RESIGNATION (no clearance) |
| 01-Jun-20 | LIANZA | VERMOND S. | MESSENGER | - | TIMSON SECURITIES, INC. | RESIGNATION (cleared) |
| 31-May-20 | CABALI | NYMPHA G. | VP- OPERATIONS/ AUTHORIZED TRADER | - | R. COYIUTO SECURITIES, INC. | RETIREMENT |
| 31-May-20 | GUMBAN | FREDDIE C. | MESSENGER | - | R. COYIUTO SECURITIES, INC. | RETIREMENT |
| 31-May-20 | BERNARDINO | SHELLA A. | MARKETING ASST/ TRADER | - | ASIASEC EQUITIES, INC. | RESIGNATION |

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| 31-May-20 | CORPUZ | ERWIN M. | DRIVER | - | A & A SECURITIES, INC. | RESIGNATION (cleared) |
| 31-May-20 | MALINAO | MANUEL ANGELO P. | ACCOUNTING STAFF | - | BDO SECURITIES CORPORATION | RESIGNATION (clearance under process) |
| 31-May-20 | JAYME | FRANCO ANTONIO A. | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | RESIGNATION (clearance under process) |
| 29-May-20 | AUTIDA | LODEN B. | OJT | - | YU & COMPANY, INC. | RESIGNATION |
| 28-May-20 | MAGALONG | PIA TERESA T. | EQUITY ANALYST | - | REGINA CAPITAL DEVT. CORPORATION | RESIGNATION |
| 27-May-20 | HERNANDEZ | RAPHAEL JOURDAN M. | SALESMAN TRAINEE | EQUITIES DEALER | SB EQUITIES, INC. | RE-DESIGNATION |
| 26-May-20 | DI | NATALIE G. | ASST. TREASURER | ASST. CORP. SECRETARY | INVESTORS SECURITIES, INC. | RE-DESIGNATION |
| 16-May-20 | PAGUILIGAN | THEA PHILLINE M. | INVESTMENT ANALYST | - | IGC SECURITIES, INC. | RESIGNATION |
| 14-May-20 | GATCHALIAN | COLLEEN T. | - | RESEARCH ANALYST | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |
| 29-Feb-20 | SAYDOQUEN | JOSE I. | MESSENGER | - | S. J. ROXAS & COMPANY, INC. | RETIREMENT |