



# MEMORANDUM – 2020-026

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 7 August 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 31 July 2020.

For information and guidance.

  
**DAISY P. ARCE**  
*President*

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DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
27-Jul-20	GASACAO	HARRIETTE C.	PRODUCT DEVELOPMENT OFFICER	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
27-Jul-20	DALISAY	JIM THOMAS ISHMAEL D.	EQUITY ANALYST	-	PAPA SECURITIES CORPORATION	RESIGNATION (cleared)
27-Jul-20	BELARMINO	JUSTIN ALBERT D.	-	ACCOUNTING ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
27-Jul-20	TACDER	REYNALDO NIÑO JR. G.	SALES TRAINEE	SALES AGENT	BPI SECURITIES CORPORATION	RE-DESIGNATION
24-Jul-20	FAUSTO	JOSE ENRIQUE F.	RESEARCH ASSOCIATE	-	REGIS PARTNERS INC.	RESIGNATION (clearance under process)
20-Jul-20	DE CASTRO	SALUD D.	VICE CHAIRMAN/ SENIOR VICE PRESIDENT/ TREASURER	CHAIRMAN/ PRESIDENT	A. T. DE CASTRO SECURITIES CORPORATION	RE-DESIGNATION
20-Jul-20	DE CASTRO	MARTIN D.	VICE PRESIDENT	TREASURER	A. T. DE CASTRO SECURITIES CORPORATION	RE-DESIGNATION
16-Jul-20	ROSAÑES	ANDREW T.	-	TRADING MANAGER	THE FIRST RESOURCES MGMT. SECURITIES CORP.	NEW EMPLOYMENT
16-Jul-20	VARELA	MARIA ANGELICA M.	-	SALES AND TRADING ASSOCIATE	CHINA BANK SECURITIES CORP.	NEW EMPLOYMENT
16-Jul-20	MUSNGI	ZOREN PHILIP A.	-	RESEARCH ASSOCIATE	CHINA BANK SECURITIES CORP.	NEW EMPLOYMENT
14-Jul-20	LAMMERSKOTTER	LARS RAPHAEL J.	-	SALES TRAINEE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
13-Jul-20	DE CASTRO	ALEJANDRO T.	CHAIRMAN/ PRESIDENT/ NOMINEE	-	A. T. DE CASTRO SECURITIES CORPORATION	RETIREMENT/ DEATH
13-Jul-20	ANHAO	ROMIL S.	-	ACCOUNTING CLERK	GOLDEN TOWER SECURITIES & HOLDINGS, INC.	NEW EMPLOYMENT
09-Jul-20	AMPARO	BEVERLY D.	-	OPERATIONS ASSISTANT	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT
09-Jul-20	DAYRIT	AURELIO NOEL G.	-	DIRECTOR	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
09-Jul-20	GOH	CHO KIAT JEFFREY	DIRECTOR	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
06-Jul-20	ALCARAZ	LESLIE GWEN IRIS R.	-	ASSOCIATED PERSON	GOLDEN TOWER SECURITIES & HOLDINGS, INC.	NEW EMPLOYMENT
03-Jul-20	LACAP	DAN TUDOR D.	JUNIOR ASSOCIATE, EQUITY TRADE JUNIOR ASSOCIATE,	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
03-Jul-20	TAN	JEMIMAH CHRISTIANNE M.	ACTING AP	-	GOLDEN TOWER SECURITIES & HOLDINGS, INC.	RESIGNATION (cleared)
01-Jul-20	ALCARAZ	LESLIE GWEN IRIS R.	ASST. COMPLIANCE OFFICER	-	BA SECURITIES, INC.	RESIGNATION (cleared)
01-Jul-20	ROSANES	ANDREW T.	SALESMAN/ AGENT	-	AAA SOUTHEAST EQUITIES, INC.	RESIGNATION (cleared)
01-Jul-20	LEE	JASON C.	RESEARCH ANALYST	AUTHORIZED AGENT	WEALTH SECURITIES, INC.	RE-DESIGNATION
01-Jul-20	MASALUNGA	NORMA M.	CONSULTANT	-	WESTLINK GLOBAL EQUITIES, INC.	RESIGNATION (cleared)
01-Jul-20	ABRAHAM	MARIA THERESA I.	-	COMPLIANCE OFFICER	BDO NOMURA SECURITIES, INC	NEW EMPLOYMENT
01-Jul-20	LAGUA	MONICA CHAMANE D.	BUSINESS DEVELOPMENT ASSOCIATE	NEW ACCOUNTS ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
01-Jul-20	ABRAHAM	MARIA THERESA I.	COMPLIANCE OFFICER/ASSOCIATED	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
01-Jul-20	GUARIN	JAN DERRICK S.	-	EQUITY RESEARCH ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
01-Jul-20	ROXAS	GILBERT M.	-	MESSENGER	MERCANTILE SECURITIES, CORPORATION	NEW EMPLOYMENT
01-Jul-20	MACADAEG	HIGINIO O.JR.	CHAIRMAN/ DIRECTOR	-	UCPB SECURITIES, INC.	RESIGNATION (did not apply for clearance)
01-Jul-20	CHING	CALVIN S.	-	ASST. TREASURER	KING'S POWER SECURITIES, INC.	NEW EMPLOYMENT

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
01-Jul-20	SHIH	ROYCE CHRISTOPHER N.	-	ASST. CORPORATE SECRETARY	KING'S POWER SECURITIES, INC.	NEW EMPLOYMENT
01-Jul-20	DEL CARMEN	YHANTZEL JOHN L.	-	TRAINEE	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
01-Jul-20	DE JESUS	JACQUI ANNE KELLY E.	-	SENIOR RESEARCH ANALYST	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
01-Jul-20	ESMANI	JESSIE MAE L.	TRADING ASSISTANT/ CSR	AGENT (SALESMAN)	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Jul-20	APATAN	QUEENNE MARIE D.	NEW ACCOUNTS ASSISTANT	NEW ACCOUNTS SPECIALIST	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Jul-20	CHENG	JUSTIN RICHMOND S.	RESEARCH ANALYST	SENIOR RESEARCH ANALYST	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Jul-20	ENRIQUEZ	IRISH RAYCHELLE ANN T.	NEW ACCOUNTS SPECIALIST	NEW ACCOUNTS ASSOCIATE	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Jul-20	FUENTES	MARIANNE A.	OPERATIONS STAFF	OPERATIONS ASSISTANT	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Jul-20	QUERIJERO	KATHLEEN ALEXIS L.	CUSTOMER SERVICE SPECIALIST	CUSTOMER SERVICE ASSOCIATE	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Jul-20	SABATER	ANN THERESE C.	SALES DEALER, INSTITUTIONAL BUSINESS GROUP	SALES TRADER, INSTITUTIONAL BUSINESS GROUP	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
30-Jun-20	LOZADA	CONNIE M.	COMPLIANCE OFFICER/ AP/ DPO	-	BDO NOMURA SECURITIES, INC	RESIGNATION (cleared)
30-Jun-20	GAWECO	HESTER S.	VICE PRESIDENT/ TREASURER/ DIRECTOR	-	MOUNT PEAK SECURITIES, INC.	RESIGNATION
30-Jun-20	GAWECO	CAROLINE G.	OFFICE STAFF	VICE PRESIDENT/ TREASURER/ DIRECTOR	MOUNT PEAK SECURITIES, INC.	RE-DESIGNATION
30-Jun-20	ILAGAN	JIMMY A.	LICENSED SALESMAN	AGENT	GLOBALINKS SECURITIES & STOCKS, INC.	RE-DESIGNATION
29-Jun-20	LEGASPI	RONALDO S.	CSR	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)

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29-Jun-20	PIOL	ALVIN L.	DISBURSEMENT CLERK	OIC, GENERAL ADMIN & DOCUMENTATION UNIT	RCBC SECURITIES, INC.	RE-DESIGNATION
29-Jun-20	SORIANO	JANINE ELIZABETH C.	FO - IC, COLLECTION AND DISBURSEMENT UNIT	FO - IC, CASH MANAGEMENT UNIT	RCBC SECURITIES, INC.	RE-DESIGNATION
29-Jun-20	SAMBAT	GENEVA A.	FO - IC, ACCOUNT OPENING UNIT	FO - IC, DISBURSEMENT UNIT	RCBC SECURITIES, INC.	RE-DESIGNATION
23-Jun-20	CASTILLO	MARVIN B.	-	MESSENGER	GLOBALINKS SECURITIES & STOCKS, INC.	NEW EMPLOYMENT
20-Jun-20	BITUIN	KIM HARLEY T.	EQUITY RESEARCH ASSOCIATE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
19-Jun-20	PARK	EDWARD	-	DIRECTOR	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
19-Jun-20	HARTLEY	ANDREW ERIC	DIRECTOR	-	CLSA PHILIPPINES, INC.	RESIGNATION (no clearance required)
16-Jun-20	QUIAPO	JESSA T.	-	TRANSFERS CLERK	A & A SECURITIES, INC.	NEW EMPLOYMENT
16-Jun-20	MANUEL	JAYNIEL CARL S.	-	MARKETING ASSISTANT	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
09-Jun-20	MUNSOD	JANA D.	SECURITIES CLERK	ACCOUNTING CLERK	MDR SECURITIES, INC.	RE-DESIGNATION
09-Jun-20	MABIOG	PATRICIA MEI P.	TELEPHONE CLERK	-	MDR SECURITIES, INC.	RESIGNATION
05-Jun-20	ALBALADEJO	ALFRANCIS C.	RESEARCH ANALYST	-	CHINA BANK SECURITIES CORP.	RESIGNATION (clearance under process)
25-May-20	TAN	KATHERINE T.	SVP, RESEARCH	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
05-Apr-20	HUERTAS	CARL ERWIN L.	INFORMATION SYSTEMS OFFICER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
04-Apr-20	LLANDA	KAYZER C.	RESEARCH ANALYST	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)