



MEMORANDUM – 2020-033

To : **All Trading Participants**

Subject : **Employee Movement**

Date : **4 December 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 November 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
25-Nov-20	KATAKAWA	KOICHI	PRESIDENT/ DIRECTOR	-	BDO NOMURA SECURITIES INC.	RESIGNATION
25-Nov-20	YAMAKAWA	TAKASHI	DIRECTOR	-	BDO NOMURA SECURITIES INC.	RESIGNATION
25-Nov-20	TORRES	JUAN MIGUEL N.	-	SALESMAN	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
23-Nov-20	DELA RAPA	ANN GLORAINE D.	-	CUSTOMER SERVICE ASSOCIATE (PROJECT-BASED)	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
23-Nov-20	OJA	CHARLENE FAE V.	-	CUSTOMER SERVICE ASSOCIATE (PROJECT-BASED)	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
23-Nov-20	TE	JOSE MANUEL H.	-	ASSOCIATED PERSON CONSULTANT	SUNSECURITIES, INC.	NEW EMPLOYMENT
18-Nov-20	CHING	DOLORES A.	CORPORATE SECRETARY	-	ASTRA SECURITIES CORPORATION	RESIGNATION (no clearance required)
18-Nov-20	ANG	BARNABY BARRETT T.	SALESMAN AND EXECUTIVE VICE PRESIDENT	SALESMAN, EXECUTIVE VICE PRESIDENT AND CORPORATE	ASTRA SECURITIES CORPORATION	RE-DESIGNATION
17-Nov-20	OBCEMEA	IRENE LUZ L.	COMPLIANCE ASSISTANT	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
17-Nov-20	ESPEJO	RACHEL ANNE D.	SALESMAN	-	CAMPOS, LANUZA & COMPANY, INC.	RESIGNATION
12-Nov-20	CANSANA	BALTAZAR S.A.	DIRECTOR	-	AAA SOUTHEAST EQUITIES, INC.	RETIREMENT
12-Nov-20	CABANGON	WILLIAM MATTHEW M.	-	DIRECTOR	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT
11-Nov-20	RODRIGUEZ	KRISTINE PAULINE R.	-	SALESMAN	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT
09-Nov-20	TORRES	MARIE ASHLEY S.	HEAD, CLIENT RELATIONS	-	BPI SECURITIES CORPORATION	RESIGNATION (cleared)
09-Nov-20	KUO	STEVEN NORRIS C.	-	SALESMAN	CAMPOS, LANUZA & COMPANY, INC.	NEW EMPLOYMENT

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05-Nov-20	TIOTUICO	LEONIDES C.	TRADER/ SALESMAN	-	IMPERIAL DE GUZMAN, ABALOS & CO., INC.	RESIGNATION
04-Nov-20	VELASCO	MARCO NINO M.	EQUITIES INVESTMENT MANAGER/ SALESMAN	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
04-Nov-20	GODINO	JAQUELINE DIANA S.	-	CUSTOMER SERVICE ASSOCIATE (PROJECT-BASED)	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
04-Nov-20	HISPANO	CADIZ C.	-	CUSTOMER SERVICE ASSOCIATE (PROJECT-BASED)	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
04-Nov-20	CRUZ	KARL ANDREW O.	-	CUSTOMER SERVICE ASSOCIATE (PROJECT-BASED)	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
04-Nov-20	DELA PENA	EL JOHN A.	-	CUSTOMER SERVICE ASSOCIATE (PROJECT-BASED)	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
03-Nov-20	OMAPAS	JAE SHARLLO S.	-	IT ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
03-Nov-20	DE JESUS	ALDWIN MARTIN L.	-	SERVICE QUALITY & ACCOUNT MANAGEMENT MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
03-Nov-20	MADERAJE	NEIL ANDREW L.	-	RESEARCH ANALYST	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
02-Nov-20	CHUAUNSU	DOMINIC RAINIER M.	RESEARCH ANALYST	-	BDO SECURITIES CORPORATION	RESIGNATION (cleared)
02-Nov-20	BRITO	MA. FRANCESCA JENNINA B.	RESEARCH ANALYST	-	BDO SECURITIES CORPORATION	RESIGNATION (cleared)
01-Nov-20	YU	NIEL F.	CLIENT ACQUISITION OFFICER	-	BPI SECURITIES CORPORATION	RESIGNATION (cleared)
30-Oct-20	WHALLEY	MARTIN ANSEL V.	-	ASST. COMPLIANCE OFFICER/ ACTING ASSOCIATED PERSON	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
28-Oct-20	REVILLAME	RONALD A.	I.T. OFFICER	HEAD (OIC) - I.T. DEPARTMENT	BPI SECURITIES CORPORATION	RE-DESIGNATION
27-Oct-20	LIBORO	RICHARD ANTHONY Y.	SALESMAN/ CERTIFIED INVESTMENT SOLICITOR	-	UNICAPITAL SECURITIES, INC.	UPDATE: RESIGNATION (cleared)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
26-Oct-20	TANHUI	KIMBERLY K.	-	RESEARCH ANALYST	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
20-Oct-20	ESPIRITU	CHARISSE N.	SETTLEMENT ASSOCIATE - CONTRACTUAL	-	CLSA PHILIPPINES, INC.	RESIGNATION (cleared)
16-Oct-20	ABRAHAM	MARIA THERESA I.	COMPLIANCE OFFICER	COMPLIANCE OFFICER/ ASSOCIATED PERSON	BDO NOMURA SECURITIES INC.	RE-DESIGNATION
16-Oct-20	ABAYA	ALDRIN A.	-	ACCOUNT OFFICER	BDO NOMURA SECURITIES INC.	NEW EMPLOYMENT
12-Oct-20	MONTELLANO	CHRISTIAN JOSEPH D.	-	SALES AND MARKETING ASSOCIATE	CHINA BANK SECURITIES CORP.	NEW EMPLOYMENT
15-Aug-20	FRANCISCO	JAIME FELICIANO E.	FINANCIAL CONTROLLER	-	CLSA PHILIPPINES, INC.	UPDATE: RESIGNATION (cleared)
24-Jul-20	PERALTA	JOEL P.	SETTLEMENT ASSOCIATE	-	CLSA PHILIPPINES, INC.	UPDATE: RESIGNATION (cleared)