



# MEMORANDUM – 2021-030

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 05 November 2021

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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 October 2021.

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
31-Dec-21	SANTIAGO	JOSE DOMINGO M. III	EXECUTIVE DIRECTOR, HEAD OF RESEARCH	-	UBS SECURITIES PHILIPPINES, INC.	RESIGNATION
29-Oct-21	SILVA	CHRISTINA M.	SALESMAN	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
26-Oct-21	ARCEO	GIANINNA BIANCA A.	SALES, INSTITUTIONAL BUSINESS GROUP	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
25-Oct-21	LAMMERSKOTTER	LARS RAPHAEL J.	-	AGENT (SALESMAN)	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
21-Oct-21	BENAID	MARICRIS T.	SETTLEMENT ASSISTANT	SETTLEMENT HEAD	SECURITIES SPECIALISTS, INC.	RE-DESIGNATION
20-Oct-21	ARAUULLO	FELIPE P.	INDEPENDENT DIRECTOR	-	APEX PHILIPPINES EQUITIES CORPORATION	RESIGNATION
20-Oct-21	ONG	BASIL L.	-	INDEPENDENT DIRECTOR	APEX PHILIPPINES EQUITIES CORPORATION	NEW EMPLOYMENT
18-Oct-21	JOAQUIN	DENISE T.	-	RESEARCH ANALYST	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
18-Oct-21	TAMASE	PATRICIA ISABEL S	-	SALESMAN	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
16-Oct-21	SANCHEZ	JOY HILLEVI C.	AP/COMPLIANCE	-	SECURITIES SPECIALISTS, INC.	RESIGNATION (cleared)
16-Oct-21	ALCAYDE	RASHEL L.	TREASURY ASSOCIATE	-	PNB SECURITIES, INC.	RESIGNATION
15-Oct-21	GO	WILLIAM B.	DIRECTOR/ CHAIRMAN	DIRECTOR/ CHAIRMAN/ NOMINEE	INVESTORS SECURITIES, INC.	RE-DESIGNATION
15-Oct-21	GO	EDWARD C.	DIRECTOR/ VICE CHAIRMAN/ NOMINEE	DIRECTOR/ VICE CHAIRMAN	INVESTORS SECURITIES, INC.	RE-DESIGNATION
15-Oct-21	SEVILLA	LOURDES D.	SETTLEMENT HEAD	-	UPCC SECURITIES CORPORATION	RESIGNATION
15-Oct-21	DORONILA	KENT IAN A.	-	SETTLEMENT HEAD	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
15-Oct-21	AZURIN	LEXTER FREDERICH L.	ASSISTANT VICE PRESIDENT - SENIOR EQUITY ANALYST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
14-Oct-21	TEMBREVILLA	JUSTINE LAWRENCE J.	MANAGER, RESEARCH HEAD	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
11-Oct-21	DELLOSA	RYAN B.	ACCOUNTANT	ACTING ASSOCIATED PERSON/ DATA PROTECTION OFFICER	GOLDEN TOWER SECURITIES HOLDINGS, INC.	RE-DESIGNATION
11-Oct-21	ALCARAZ	LESLIE GWEN IRIS R.	ASSOCIATED PERSON/ DATA PROTECTION OFFICER	-	GOLDEN TOWER SECURITIES HOLDINGS, INC.	RESIGNATION (cleared)
11-Oct-21	OLIVER	RIEZE ROSE C.	-	SOCIAL MEDIA OFFICER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
11-Oct-21	AGUILA	GABRYLE D.	-	EQUITY RESEARCH HEAD	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
11-Oct-21	ALCARAZ	LESLIE GWEN IRIS R.	-	AP/COMPLIANCE	SECURITIES SPECIALISTS, INC.	NEW EMPLOYMENT
11-Oct-21	GENUINO	MIGUEL EMMANUEL G.	-	RESEARCH ASSOCIATE	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
11-Oct-21	TRIA II	GREGORIO JOSE	COMPLIANCE OFFICER AND RISK OFFICER	-	BPI SECURITIES CORPORATION	RESIGNATION
9-Oct-21	SANTIAGO	LARA KATRINA E.	HR SPECIALIST	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
7-Oct-21	FAUSTO	RALPH JONATHAN B.	-	EQUITY RESEARCH ANALYST	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
6-Oct-21	MAGSINO	ARNEL GABRIEL MARTIN L.	TRADER	-	UCPB SECURITIES, INC.	RESIGNATION (cleared)
6-Oct-21	MAGSINO	ARNEL GABRIEL MARTIN L	-	DEALER	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
5-Oct-21	FERNANDEZ	ARVIN ROMEL R.	DEALER	-	CLSA PHILIPPINES, INC.	RESIGNATION (clearance under process)
4-Oct-21	SANTOS	CARLA LUISA R.	-	EQUITIES SALES ANALYST/ NNASST - ASSISTANT	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
1-Oct-21	PANTIG	YOLANDA M.	DISBURSEMENTS OFFICER	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
1-Oct-21	FLORES	STEFFI NICOLE P.	-	LEGAL OFFICER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
1-Oct-21	CASTAÑOS	NATHANIEL PHILLIP D.	-	FINANCIAL ANALYST	CTS GLOBAL EQUITY GROUP, INC.	NEW EMPLOYMENT
1-Oct-21	LAZARO	ANGELICA THERESE Y.	CSR EQUITIES TRADER	-	CTS GLOBAL EQUITY GROUP, INC.	RESIGNATION (clearance under process)
1-Oct-21	LAYON	FERLIZA A.	-	CORPORATE ACCESS ASSOCIATE	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
1-Oct-21	AGUIRRE	RAMON JOSE E.	DIRECTOR, RESEARCH ANALYST, EQUITIES RESEARCH	DIRECTOR, HEAD OF RESEARCH	UBS SECURITIES PHILIPPINES, INC.	RE-DESIGNATION
1-Oct-21	DAVID	DALE DENNIS M.	-	INDEPENDENT DIRECTOR/MEMBER-AUDIT & COMPLIANCE COMMITTEE	DA MARKET SECURITIES, INC.	NEW EMPLOYMENT
1-Oct-21	CARRIEDO	JEM RIA C.	-	ASSOCIATE RM (RELATIONSHIP MANAGER)	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
1-Oct-21	ESCARTIN	JASON T.	RESEARCH ASSOCIATE	SALES AND MARKETING ASSOCIATE	CHINA BANK SECURITIES CORPORATION	RE-DESIGNATION
1-Oct-21	BAGUNU	ANGELU G.	-	ADMINISTRATIVE ASSOCIATE	THE FIRST RESOURCES MGMT. SECURITIES CORP.	NEW EMPLOYMENT
1-Oct-21	CABRITO	ANNABELLE O.	-	SETTLEMENT CLERK	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
1-Oct-21	HERNANDEZ	RAPHAEL JOURDAN M.	-	DEALER	MANDARIN SECURITIES CORPORATION	NEW EMPLOYMENT
1-Oct-21	ARABELO	HERBERT GLEN D.	SALES AND DEALING DIVISION HEAD	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
1-Oct-21	MOROS	RONABEL D.	CUSTOMER SUPPORT SECTION HEAD	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
30-Sep-21	AMPELOQUIO	MA. ANGELICA A	OFFICE CLERK - CONTRACTUAL	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
30-Sep-21	FARIÑAS	EUFEMIA G	TRADER/SALESMAN	-	GUILD SECURITIES, INC.	RESIGNATION (cleared)
30-Sep-21	EVANGELISTA	CAROL JANE K.	SENIOR DEALER	-	PHILIPPINE EQUITY PARTNERS, INC.	RESIGNATION
30-Sep-21	DAVID	REYNALDO S.	DIRECTOR/ MEMBER - AUDIT AND COMPLIANCE COMMITTEE	-	DA MARKET SECURITIES, INC.	RESIGNATION (no clearance required)
30-Sep-21	LAGUDA	MARIA CAMILLE B.	INDEPENDENT DIRECTOR	-	CLSA PHILIPPINES, INC.	RESIGNATION (no clearance required)
30-Sep-21	NOCUM	JAZEL M.	ACCOUNTING STAFF	-	REGINA CAPITAL DEVT. CORPORATION	RESIGNATION
29-Sep-21	BERNAL	MADELINE SOL	SECURITIES SETTLEMENT SUPERVISOR	-	ABACUS SECURITIES CORPORATION	RESIGNATION (clearance under process)
27-Sep-21	TOLEDO	ELAINE JOY V.	-	ON THE JOB TRAINING	UPCC SECURITIES CORPORATION	NEW EMPLOYMENT
26-Sep-21	TAMASE	PATRICIA ISABEL S	INSTITUTIONAL SALES OFFICER	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
25-Sep-21	ABOITIZ	LUIS MIGUEL O.	-	INDEPENDENT DIRECTOR	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
25-Sep-21	BELMONTE	JUAN KEVIN G.	-	INDEPENDENT DIRECTOR	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
25-Sep-21	SUAREZ	VAL ANTONIO B.	-	CORPORATE SECRETARY	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
25-Sep-21	ZALAMEA	MICHAEL B.	-	CHAIRMAN OF BOD/ INDEPENDENT DIRECTOR	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
25-Sep-21	SANTOS	LAMBERTO JR. M.	CHAIRMAN/ PRESIDENT & CEO	PRESIDENT & DIRECTOR	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
25-Sep-21	VISTAN	JOSE JR. L.	VICE PRESIDENT AND DIRECTOR	VICE PRESIDENT	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION

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25-Sep-21	QUINTOS	JOAQUIN IV E.	INDEPENDENT DIRECTOR	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (no clearance required)
25-Sep-21	TEVES	MARGARITO B.	INDEPENDENT DIRECTOR	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (no clearance required)
24-Sep-21	ROSUMAN	RAYMUND IOLO R.	INVESTMENT OFFICER	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
22-Sep-21	ALVAREZ	CLARE D.	CHAIRMAN/PRESIDENT	NOMINEE	GUILD SECURITIES, INC.	RE-DESIGNATION
20-Sep-21	DRAMAYO	CARL JOVEN	MESSENGER	-	SB EQUITIES, INC.	RESIGNATION (no clearance required)
20-Sep-21	SOLEDAD	LANCE GABRIEL U.	-	RESEARCH ASSOCIATE	CHINA BANK SECURITIES CORPORATION	NEW EMPLOYMENT
18-Sep-21	CRUZ	KATRINA ANN B.	SALES TRADER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
17-Sep-21	SOLEDAD	LANCE GABRIEL U.	JUNIOR RESEARCH ANALYST	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
16-Sep-21	CHAN	CLARISSE C.	-	COMPLIANCE ANALYST	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
9-Sep-21	LAMERSKOTTER	LARS RAPHAEL	SALES AGENT	-	BPI SECURITIES CORPORATION	RESIGNATION
1-Sep-21	ABADILLA	ROBERT A.	-	INDEPENDENT DIRECTOR	EAGLE EQUITIES, INC.	NEW EMPLOYMENT
1-Sep-21	YU	ANTHONY CHARLEMAGNE C.	INDEPENDENT DIRECTOR	-	EAGLE EQUITIES, INC.	RESIGNATION
1-Sep-21	DE GUZMAN	VINCENT ERIC P.	-	ASSOCIATE RM (RELATIONSHIP MANAGER)	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
27-Aug-21	HIGUE	DON JOHN R.	SYSTEMS AND DATABASE ADMINISTRATOR	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (cleared)
24-Aug-21	DE MESA	KING PATRICK A.	ASSOCIATE, EQUITY RESEARCH ASSOCIATE	-	UNICAPITAL SECURITIES, INC.	UPDATE: RESIGNATION (cleared)

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16-Aug-21	PERNES	JENNIER B.	-	ASSOCIATE RM (RELATIONSHIP MANAGER)	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
18-Jun-21	ALVAREZ	CLARE D.	CORPORATE SECRETARY/ TREASURER	CHAIRMAN AND PRESIDENT	GUILD SECURITIES, INC.	RE-DESIGNATION
18-Jun-21	FRANCISCO	PETER J.	DIRECTOR	TREASURER	GUILD SECURITIES, INC.	RE-DESIGNATION
18-Jun-21	LABRADOR	LILIAN M.	CASH/SETTLEMENT OFFICER	CORPORATE SECRETARY	GUILD SECURITIES, INC.	RE-DESIGNATION
18-Jun-21	BORJA	ANDRES N.	INDEPENDENT DIRECTOR	-	GUILD SECURITIES, INC.	RESIGNATION (no clearance required)
18-Jun-21	VANIDA	DANILO S.	INDEPENDENT DIRECTOR	-	GUILD SECURITIES, INC.	RESIGNATION (no clearance required)
18-Jun-21	LIM	BRYAN PATRICK C.	-	INDEPENDENT DIRECTOR	GUILD SECURITIES, INC.	NEW EMPLOYMENT
18-Jun-21	DINO	ROMINA PAULA A.	-	INDEPENDENT DIRECTOR	GUILD SECURITIES, INC.	NEW EMPLOYMENT