



MEMORANDUM – 2022-017

To : **All Trading Participants**

Subject : **Employee Movement**

Date : **02 September 2022**

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 August 2022.

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 | TRADING PARTICIPANT | REMARKS |
|---------------------|-----------|-----------------------|-------------------------------------------------------------|----------------------------------------------------|-------------------------------------------------------------------------|---------------------------------------|
| 3-Oct-22 | CACHO | LORENA I. | DIRECTOR, TREASURER, CHIEF FINANCE OFFICER, HEAD OF FINANCE | - | UBS SECURITIES PHILIPPINES INC. | RESIGNATION |
| 1-Sep-22 | SIO | BRITNEY MEI C. | - | SALES AGENT | TOWER SECURITIES, INC. | NEW EMPLOYMENT |
| 27-Aug-22 | MARQUEZ | ALYSSA ROSE V. | SETTLEMENT OFFICER | - | CLSA PHILIPPINES, INC. | RESIGNATION (clearance under process) |
| 26-Aug-22 | ONG | ROBERTO MIGUEL B. | EQUITY ANALYST | - | PAPA SECURITIES CORPORATION | RESIGNATION |
| 22-Aug-22 | DURANTE | MARIBEL M. | OPERATIONS STAFF | - | CHINA BANK SECURITIES CORPORATION | RESIGNATION |
| 19-Aug-22 | BATE | CESAR LUIS F. | SALESMAN | - | A & A SECURITIES, INC. | RESIGNATION (cleared) |
| 19-Aug-22 | CARREON | KATRINA GO | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 18-Aug-22 | GARCIA | CELESTELLE THERESE S. | ASSISTANT COMPLIANCE OFFICER | ASSOCIATED PERSON AND ASSISTANT COMPLIANCE OFFICER | UNICAPITAL SECURITIES, INC. | RE-DESIGNATION |
| 18-Aug-22 | HENSON | VICTOR ANDREW V. | - | SENIOR SALES MANAGER/TRADER | AP SECURITIES, INC. | NEW EMPLOYMENT |
| 18-Aug-22 | JIMENEZ | MARA MAE L. | - | OIC OF FINANCE AND ACTING TREASURER | MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.) | NEW EMPLOYMENT |
| 16-Aug-22 | ASUNCION | LUIZ MIGUEL P. | AVP-INSTITUTIONAL SALES HEAD | - | RCBC SECURITIES, INC. | RESIGNATION (clearance under process) |
| 16-Aug-22 | ALEGADO | LADYLINE RANCEZ M. | - | ONBOARDING SPECIALIST | SB EQUITIES, INC. | NEW EMPLOYMENT |
| 16-Aug-22 | ASUNCION | ANNA BARBARA E. | HEAD OF ELECTRONIC TRADING | CONSULTANT | SALISBURY BKT SECURITIES CORPORATION | RE-DESIGNATION |
| 16-Aug-22 | REYES | JOAQUIN MIGUEL T. | - | RESEARCH ANALYST | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |

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| 15-Aug-22 | REYES | ELAINE B. | - | ACCOUNTING STAFF | CTS GLOBAL EQUITY GROUP, INC. | NEW EMPLOYMENT |
| 15-Aug-22 | OKITA | SEIJI | DIRECTOR | - | COL FINANCIAL GROUP, INC. | RESIGNATION (no clearance required) |
| 15-Aug-22 | OBARA | SOHEI | - | DIRECTOR | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 15-Aug-22 | ALCARAZ | ANNA LYNN C. | - | CUSTOMER SERVICE REPRESENTATIVE/COLLECTION-IN-CHARGE | INVESTORS SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Aug-22 | BARROSSO | EDILYN T. | OPERATIONS STAFF | - | CHINA BANK SECURITIES CORPORATION | RESIGNATION |
| 15-Aug-22 | OLIVEROS | ANDREA MARIELLE P. | - | RESEARCH ASSOCIATE | PAPA SECURITIES CORPORATION | NEW EMPLOYMENT |
| 14-Aug-22 | CLAVINEZ | MA. ANDREA CLAUDETTE C. | SETTLEMENT SPECIALIST | - | SB EQUITIES, INC. | RESIGNATION |
| 10-Aug-22 | RAMOS | CAMILLE BIANCA L. | - | BUSINESS OPERATIONS ASSOCIATE | CHINA BANK SECURITIES CORPORATION | NEW EMPLOYMENT |
| 10-Aug-22 | ESPINO | MARC CHRISTOPHER J. | RESEARCH ANALYST | - | CLSA PHILIPPINES, INC. | RESIGNATION (clearance under process) |
| 8-Aug-22 | CAYABAN | MARK DOMINICK L. | SENIOR COMPLIANCE ANALYST | SENIOR COMPLIANCE ANALYST / ASSOCIATED PERSON | CLSA PHILIPPINES, INC. | RE-DESIGNATION |
| 8-Aug-22 | BOSITA | GIL ANGELO L. | - | DIGITAL MARKETING ASSOCIATE | UNICAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 8-Aug-22 | SERRANO | MAR JOSEPH S. | - | EQUITY TRADER ASSOCIATE | UNICAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 8-Aug-22 | ESTACIO-CRUZ | WENDY B. | - | RESEARCH ANALYST | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 7-Aug-22 | MORGADO | ALDEN P. | FINANCE MANAGER | - | MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.) | RESIGNATION (clearance under process) |

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| 5-Aug-22 | LU | BAI | - | DIRECTOR | UBS SECURITIES PHILIPPINES INC. | NEW EMPLOYMENT |
| 5-Aug-22 | PEREZ | JUSTIN MICHAEL D. | ASSOCIATE RM | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 2-Aug-22 | RAYNES | LANI ROSE A. | SALES SUPPORT OFFICER | - | SB EQUITIES, INC. | RETIREMENT |
| 2-Aug-22 | GUARIN | JAN DERRICK S. | EQUITY RESEARCH ASSOCIATE | - | FIRST METRO SECURITIES BROKERAGE CORPORATION | RESIGNATION (clearance under process) |
| 1-Aug-22 | BERNAL | ZHARINA C. | - | HR ASSOCIATE | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 1-Aug-22 | CHENG | JUSTIN RICHMOND S. | SENIOR RESEARCH ANALYST | INSTITUTIONAL SALES TRADER | COL FINANCIAL GROUP, INC. | RE-DESIGNATION |
| 1-Aug-22 | BATICA | ROWEL T. | IT SUPPORT | - | GUILD SECURITIES, INC. | DECEASED |
| 1-Aug-22 | CADIGOY | ROGELIO C. | MARKETING ASST/ TRADER | AGENT/ TRADER | ASIASEC EQUITIES, INC. | RE-DESIGNATION |
| 1-Aug-22 | CABACES | MARIA FATIMA | - | COMPLIANCE STAFF | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Aug-22 | PENONIA | SHEILA MAE P. | - | OFFICE STAFF COORDINATOR | STAR ALLIANCE SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Aug-22 | LIM | FRANCES ANNE Y. | - | EQUITIES DEALER | REGIS PARTNERS, INC. | NEW EMPLOYMENT |
| 1-Aug-22 | MARTINEZ | FERNANDO B. | SALESPERSON | - | EAGLE EQUITIES, INC. | DECEASED |
| 1-Aug-22 | YARTE | GRAZIELI C. | - | CLERK | S. J. ROXAS & COMPANY, INC. | NEW EMPLOYMENT |
| 1-Aug-22 | QUINAIN | CHAD E. | - | ASSISTANT COMPLIANCE OFFICER | EASTERN SECURITIES DEVELOPMENT CORPORATION | NEW EMPLOYMENT |
| 1-Aug-22 | SALVADOR | VERONICA ARRON C. | - | BUSINESS OPERATIONS ASSOCIATE | CHINA BANK SECURITIES CORPORATION | NEW EMPLOYMENT |

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| 1-Aug-22 | SANTARINA | MARC CHRISTIAN V. | - | SALES & TRADING ASSOCIATE | CHINA BANK SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Aug-22 | GONZAGA | REYMART D. | FINANCE STAFF- CONTRACTUAL | - | MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.) | RESIGNATION (no clearance required) |
| 1-Aug-22 | LICHAUCO | MICHAEL M. | DEALER | RELATIONSHIP OFFICER | FIRST METRO SECURITIES BROKERAGE CORPORATION | RE-DESIGNATION |
| 1-Aug-22 | ITCHON | GABRIELLE THERESE A. | DIGITAL CHANNELS AND MARKETING ASSOCIATE | DIGITAL CHANNELS AND MARKETING OFFICER | FIRST METRO SECURITIES BROKERAGE CORPORATION | RE-DESIGNATION |
| 1-Aug-22 | TAROG | MARCO S. | BUSINESS DEVELOPMENT OFFICER | DEPARTMENT HEAD - PRIVATE CLIENTS | FIRST METRO SECURITIES BROKERAGE CORPORATION | RE-DESIGNATION |
| 1-Aug-22 | QUIMBA | BETHY P. | - | SETTLEMENT ANALYST | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 1-Aug-22 | MONSOD | KARL RANDOLPH H. | - | SENIOR IT ANALYST | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 1-Aug-22 | PRADO | CRISTIN JOY L. | - | SETTLEMENT ASSISTANT | SALISBURY BKT SECURITIES CORPORATION | NEW EMPLOYMENT |
| 31-Jul-22 | CATALOGO | RESEL M. | OFFICE STAFF COORDINATOR | - | STAR ALLIANCE SECURITIES CORPORATION | RESIGNATION |
| 31-Jul-22 | SANTARINA | MARC CHRISTIAN V. | SENIOR ASSOCIATE,TRADER SALESMAN | - | UNICAPITAL SECURITIES, INC. | RESIGNATION (cleared) |
| 30-Jul-22 | PRADO | CRISTIN JOY L. | SECURITIES CLERK | - | MDR SECURITIES, INC. | RESIGNATION |
| 30-Jul-22 | DINGAL | CYRUS A. | MESSENGER | SECURITIES CLERK | MDR SECURITIES, INC. | RE-DESIGNATION |
| 29-Jul-22 | FRANDO | MOSES | ASSOCIATE | SALESMAN | JSG SECURITIES, INC. | RE-DESIGNATION |
| 29-Jul-22 | CRUDO | PAOLO S. | IT CONSULTANT | - | UPCC SECURITIES CORPORATION | RESIGNATION |
| 28-Jul-22 | CHUA | WILSON | - | DIRECTOR AND CHAIRMAN | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |

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| 28-Jul-22 | CARLOS | JOSE RENE C. | - | DIRECTOR AND PRESIDENT | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 28-Jul-22 | ROMUALDEZ | ANDREW JULIAN K. | - | DIRECTOR | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 28-Jul-22 | SALANG, JR. | DIOSDADO C. | - | INDEPENDENT DIRECTOR | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 28-Jul-22 | ZERRUDO | FELIZ CESAR Z. | - | INDEPENDENT DIRECTOR | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 28-Jul-22 | OREJUDOS | GRETEL D. | - | TREASURER | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 28-Jul-22 | CHING | DIANE MADELYN | - | CORPORATE SECRETARY | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 28-Jul-22 | LIM | GABRIEL U. | PRESIDENT | - | ARMSTRONG SECURITIES, INC. | RESIGNATION |
| 28-Jul-22 | VILLANUEVA | NOEMI T. | TREASURER | - | ARMSTRONG SECURITIES, INC. | RESIGNATION |
| 28-Jul-22 | JUANITEZ | ROBEDETTE S. | OPERATIONS ASSISTANT | - | ARMSTRONG SECURITIES, INC. | RESIGNATION |
| 28-Jul-22 | KING | TONY O. | DIRECTOR, CHAIRMAN AND NOMINEE | - | ARMSTRONG SECURITIES, INC. | RESIGNATION |
| 28-Jul-22 | TE | ANTHONY | - | NOMINEE | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 28-Jul-22 | SAMPAYO | NILO C. | COMPLIANCE OFFICER / ASSOCIATED PERSON | - | ARMSTRONG SECURITIES, INC. | RESIGNATION **acting AP until 30 SEP 22 |
| 28-Jul-22 | CHUA | JAMES T. | TRADING OFFICER | - | ARMSTRONG SECURITIES, INC. | RESIGNATION **acting Trading Officer until 30 SEP 22 |
| 27-Jul-22 | OLARTE | KRISTINE D. | SETTLEMENT ASSISTANT | - | INVESTORS SECURITIES, INC. | RESIGNATION (without clearance) |
| 27-Jul-22 | ANG | JESSE | - | INDEPENDENT DIRECTOR | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |

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| 27-Jul-22 | SANTOS | ANGEL | INDEPENDENT DIRECTOR | - | BPI SECURITIES CORPORATION | RESIGNATION |
| 25-Jul-22 | LIPIT | ARIEL P. | MESSENGER | - | SARANGANI SECURITIES, INC. | RESIGNATION |
| 25-Jul-22 | MARIÑO | LEA F. | OPERATIONS MANAGER | BACK OFFICE MANAGER/ OPERATIONS MANAGER | R. NUBLA SECURITIES, INC. | RE-DESIGNATION |
| 25-Jul-22 | IMPERIO | KIM SHAIRA M. | - | ADMINISTRATIVE ASST. | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 25-Jul-22 | CLARIN | PAULINE L. | - | HEAD OF INVESTMENT STRATEGY AND PRODUCTS | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 22-Jul-22 | NUISA | AYLYN S. | DIGITAL CHANNELS AND MARKETING OFFICER | - | FIRST METRO SECURITIES BROKERAGE CORPORATION | RESIGNATION (clearance under process) |
| 15-Jul-22 | HENSON | VICTOR ANDREW V. | SENIOR MANAGER/CERTIFIED SECURITIES | - | AB CAPITAL SECURITIES, INC. | RESIGNATION (cleared) |
| 11-Jul-22 | ROSALES | ANDREA D. | - | RISK AND LIQUIDITY MANAGER | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 11-Jul-22 | JESALVA | RECHELLE H. | - | ADMINISTRATIVE ASST. | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 11-Jul-22 | VILLARIAS | DIOVILLE M. | ASSOCIATE DIRECTOR, FINANCIAL ACCOUNTANT | ASSOCIATE DIRECTOR, TREASURER, CHIEF FINANCE | UBS SECURITIES PHILIPPINES INC. | RE-DESIGNATION |
| 4-Jul-22 | CABRERA | HAZEL LYRA P. | - | TEAM HEAD | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 4-Jul-22 | DOMAGAS | CAMILLE FYNN M. | - | BUSINESS SYSTEMS ANALYST | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 4-Jul-22 | HERNANDEZ | GABRIEL IÑIGO M. | RESEARCH ANALYST | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 4-Jul-22 | GARCIA | CELESTELLE THERESE S. | ASSOCIATED PERSON | - | VICSAL SECURITIES & STOCK BROKERAGE, INC. | RESIGNATION (cleared) |
| 1-Jul-22 | RODRIGUEZ | CLARE SCIFI P. | ACCOUNTING ASSISTANT | - | MERIDIAN SECURITIES, INC. | RESIGNATION (no clearance required) |

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| 17-Jun-22 | VILLARICA | NENITA S. | - | INDEPENDENT DIRECTOR | RTG & CO., INC. | NEW EMPLOYMENT |
| 17-Jun-22 | GARRIDO | LEE S. | - | INDEPENDENT DIRECTOR | RTG & CO., INC. | NEW EMPLOYMENT |
| 17-Jun-22 | LOMOTAN | FELICITAS R. | DIRECTOR | - | RTG & CO., INC. | RESIGNATION |
| 17-Jun-22 | BINCE JR. | FELIPE B. | INDEPENDENT DIRECTOR | DIRECTOR | RTG & CO., INC. | RE-DESIGNATION |
| 17-Jun-22 | BACANI JR. | PATERNO C. | INDEPENDENT DIRECTOR | DIRECTOR | RTG & CO., INC. | RE-DESIGNATION |
| 15-Jan-22 | EMPRIDO | MIRRY CRIST L. | ACCOUNTING CLERK - CONTRACTUAL | - | MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.) | RESIGNATION (no clearance required) |