



# MEMORANDUM – 2023-006

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 05 April 2023

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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 March 2023.

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	TRADING PARTICIPANT	REMARKS
27-Mar-23	TAN	KENDRICK CHARLES	-	TRADING ASSISTANT	MERCANTILE SECURITIES, CORPORATION	NEW EMPLOYMENT
27-Mar-23	HERBOSA	EMMANUEL G.	CHAIRMAN OF THE BOARD OF DIRECTORS	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (no clearance required)
27-Mar-23	DE JESUS	MICHAEL O.	-	CHAIRMAN OF THE BOARD OF DIRECTORS	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
27-Mar-23	ESPERO	ALLAN N.	-	PRODUCTION SUPPORT OFFICER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
26-Mar-23	LACSAMANA	MCLAINE CHRISTINE ABIGAIL	ASSOCIATED PERSON TRAINEE	-	WESTLINK GLOBAL EQUITIES, INC.	RESIGNATION (cleared)
24-Mar-23	RESPETO	JERIC JAYSON T.	OPERATIONS HEAD TRAINEE	OPERATIONS HEAD/ TREASURER	LANDBANK SECURITIES, INC. (formerly UCPB SECURITIES, INC.)	RE-DESIGNATION
22-Mar-23	PETEROS	MARJORY MAE A.	RELATIONSHIP MANAGER	-	BDO SECURITIES CORPORATION	RESIGNATION
21-Mar-23	TAN	KENDRICK CHARLES	TRADER/SALESMAN	-	HDI SECURITIES, INC.	RESIGNATION (cleared)
20-Mar-23	ROMAN	CARLO JOSEPH A.	-	SALES AGENT	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	NEW EMPLOYMENT
18-Mar-23	NICOLAS	FRANCES ROLFA B.	RESEARCH ANALYST	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
16-Mar-23	GARCIA	ARIANNE T.	NEW ACCOUNTS SPECIALIST	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
16-Mar-23	CAAMPUED	THRIZHA-ANNE	-	IT SPECIALIST	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-23	MEJIA	OSCAR BENJAMIN	-	INSTITUTIONAL DEALER	BPI SECURITIES CORPORATION	NEW EMPLOYMENT

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16-Mar-23	GACUSAN	DANIEL A.	-	TRANSACTION SERVICES OFFICER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-23	PEREGRINO	CRISTINE JOY L.	-	EXECUTIVE SECRETARY	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-23	CABALDA	FRITZ BRYAN E.	-	ASSOCIATE RALATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
15-Mar-23	FLORES	DANIEL D.G.	MESSENGER	-	SUNSECURITIES, INC.	RESIGNATION (cleared)
15-Mar-23	ROSALES	MA. CRISTINA T.	CUSTODY & NOMINEE SERVICES CLERK	-	ABACUS SECURITIES CORPORATION	RESIGNATION
15-Mar-23	MADERAJE	NEIL ANDREW L.	ASSOCIATE, RESEARCH ANALYST	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
14-Mar-23	TACDER	REYNALDO NINO	EQUITIES INVESTMENT ADVISER/SALESMAN	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
13-Mar-23	TANSENGCO	RAYMOND C.	ASSOCIATED PERSON	-	TANSENGCO & COMPANY, INC.	DECEASED
13-Mar-23	SAN AGUSTIN	KEVIN TIMOTHY T.	-	APPOINTED ASSOCIATED PERSON	TANSENGCO & COMPANY, INC.	NEW EMPLOYMENT
8-Mar-23	OABEL	POLINA MAE A.	-	COMPLIANCE OFFICER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
7-Mar-23	BALAORO	CZARINA ANN MAE M.	-	CAIF CUSTODIAN	EASTERN SECURITIES DEVELOPMENT CORPORATION	NEW EMPLOYMENT
6-Mar-23	DIZON	RALPH VINCENT V.	-	TRAINEE - ELECTRONIC TRADING	SALISBURY SECURITIES CORPORATION (Formerly: SALISBURY BKT SECURITIES CORPORATION)	NEW EMPLOYMENT
4-Mar-23	MEJIA	OSCAR BENJAMIN JR. P.	CSR EQUITIES TRADER	-	CTS GLOBAL EQUITY GROUP, INC.	RESIGNATION (clearance under process)

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3-Mar-23	ADVINCULA	MARIVIC M.	ACCOUNTING ASSISTANT	-	GOLDSTAR SECURITIES, INC.	RESIGNATION (cleared)
3-Mar-23	CORPUZ	KATRINA ANTONETTE V.	EQUITY RESEARCH JUNIOR ASSOCIATE	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
2-Mar-23	QUINAIN	CHAD E.	ASST. COMPLIANCE OFFICER	-	EASTERN SECURITIES DEVELOPMENT CORPORATION	RESIGNATION (clearance under process)
2-Mar-23	CHIA	KIM TECK	CHAIRMAN	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	CHIA	TZU CHERN	DIRECTOR	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	CHIA	SU YNN	DIRECTOR	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	FERNANDO	PAMELA MAUREEN	CORPORATE SECRETARY	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	VILLON	RICHARD JOHN	INDEPENDENT DIRECTOR	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	YU	MARGARET	INDEPENDENT DIRECTOR	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	NICOLAS	CONCHITA	CONSULTANT	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	LLASOS-ORTEGA	MA. PAZ	CORPORATE LEGAL COUNSEL	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	AVILA-MAGSINO	MARGARITA	LEGAL ASSISTANT	-	HDI SECURITIES, INC.	RESIGNATION
2-Mar-23	NG	BONGIE	-	CORPORATE SECRETARY	HDI SECURITIES, INC.	NEW EMPLOYMENT

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2-Mar-23	CABOCHENG	GIANNA MARGAUX	-	DIRECTOR	HDI SECURITIES, INC.	NEW EMPLOYMENT
2-Mar-23	JAVELLANA	BEN	-	INDEPENDENT DIRECTOR	HDI SECURITIES, INC.	NEW EMPLOYMENT
2-Mar-23	TAN	STEPHANIE JANSTEIN	-	INDEPENDENT DIRECTOR	HDI SECURITIES, INC.	NEW EMPLOYMENT
2-Mar-23	CABO CHENG	GEORGIE	PRESIDENT / TRADER	CHAIRMAN & PRESIDENT / TRADER	HDI SECURITIES, INC.	RE-DESIGNATION
2-Mar-23	CABOCHENG	JANET	TRADER	CORPORATE SECRETARY / TRADER	HDI SECURITIES, INC.	RE-DESIGNATION
2-Mar-23	NG	MALCOLM	MANAGEMENT TRAINEE	DIRECTOR	HDI SECURITIES, INC.	RE-DESIGNATION
2-Mar-23	PIRAMO	LIRIO	TREASURER	INTERNAL AUDITOR	HDI SECURITIES, INC.	RE-DESIGNATION
1-Mar-23	ROQUE-OLSON	MARIBEL	EVENTS ASSOCIATE	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
1-Mar-23	TIU	PATRICIA LILEI	FINANCIAL WRITER	MARKETING ASSOCIATE	DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.)	RE-DESIGNATION
1-Mar-23	ACENA	MARIA HEIDI H.	OPERATIONS OFFICER	-	BDO SECURITIES CORPORATION	RETIREMENT
1-Mar-23	DIESTRO	ANALISA C.	ACCOUNTING OFFICER	-	BDO SECURITIES CORPORATION	TRANSFER TO BDO UNIBANK
1-Mar-23	LUCIANO	JOHN MARTIN L.	INSTITUTIONAL EQUITY SALES	CSR	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
1-Mar-23	LONGCAYANA	MYPE C.	-	SETTLEMENT STAFF	B. H. CHUA SECURITIES CORPORATION	NEW EMPLOYMENT

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1-Mar-23	HERRERA	MA. ANGELYN DIAN O.	OFFICE ASSISTANT	-	ALAKOR SECURITIES CORPORATION	RESIGNATION
1-Mar-23	ROSARIA	ROSENDA R.	-	OFFICE ASSISTANT	ALAKOR SECURITIES CORPORATION	NEW EMPLOYMENT
1-Mar-23	CO	RONALD EMMANUEL A.	-	DIVISION HEAD - OPERATIONS & IT	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
28-Feb-23	OLMILLA	JANELYN FEE L.	ASSOCIATE RM	-	BDO SECURITIES CORPORATION	RESIGNATION
28-Feb-23	FLORES	CARMINA APRIL C.	RELATIONSHIP MANAGER	-	BDO SECURITIES CORPORATION	RESIGNATION
28-Feb-23	CO	RONALD EMMANUEL A.	SECURITIES OPERATIONS HEAD	-	BDO SECURITIES CORPORATION	RESIGNATION
28-Feb-23	PABLO	CHRISTIAN JOSHUA F.	-	OJT	SALISBURY SECURITIES CORPORATION (Formerly: SALISBURY BKT SECURITIES CORPORATION)	NEW EMPLOYMENT
27-Feb-23	GOMES	CHRISTINE ANN L.	-	ACCOUNTING ASSISTANT	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
27-Feb-23	VELASCO	JIDGETTE V.	RESEARCH CONSULTANT	-	SB EQUITIES, INC.	RESIGNATION (no clearance required)
25-Feb-23	AYENZA	VEMALYN C.	CAIF CUSTODIAN	-	EASTERN SECURITIES DEVELOPMENT CORPORATION	RESIGNATION (clearance under process)
22-Feb-23	GOMES	JARRED JOHANNSEN S.	RESEARCH ANALYST	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)
16-Feb-23	RAZ	JOHN MICHAEL M.	-	HEAD OF SALES	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
16-Feb-23	COSCOLLUELA	AILEEN GERALDINE A.	-	RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT

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16-Feb-23	MEJIA	JANETH C.	-	SALESMAN	DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.)	NEW EMPLOYMENT
16-Feb-23	CORONEL	MARIE CHERISE P.	CLIENT SERVICES HEAD	CLIENT SERVICES HEAD AND PRIME CUSTOMER SUPPORT HEAD (CONCURRENT)	BDO SECURITIES CORPORATION	RE-DESIGNATION
16-Feb-23	VILLARUBIA	RAMON RABBINI P.	DOCUMENTATION & PROCESS OFFICER	OPERATIONS OFFICER	BDO SECURITIES CORPORATION	RE-DESIGNATION
16-Feb-23	RAYNES	LANI ROSE A.	SALES AGENT TRAINEE	-	SB EQUITIES, INC.	RESIGNATION
16-Feb-23	CAYABAN	MARK DOMINICK L.	-	ASSOCIATED PERSON	SB EQUITIES, INC.	NEW EMPLOYMENT
15-Feb-23	QUIMPO	MARIELLE MARGARET D.	-	COMPLIANCE OFFICER	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
15-Feb-23	DELA CRUZ	FRANCIS V.	-	MESSENGER- CONTRACTUAL	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	NEW EMPLOYMENT
14-Feb-23	NALINDAN	BARBARA D.	-	ACCOUNTANT	STAR ALLIANCE SECURITIES CORPORATION	NEW EMPLOYMENT
11-Feb-23	JACELA	DIONISIO Y.	-	AGENT	IMPERIAL, DE GUZMAN, ABALOS & CO., INC.	NEW EMPLOYMENT
10-Feb-23	FELICILDA	HERMI T.	SECURITIES SETTLEMENT STAFF	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
7-Feb-23	COTONES	EDUARDO A.	MESSENGER- CONTRACTUAL	-	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	RESIGNATION (no clearance required)
26-Jan-23	MIRANDA	MARK LESTER B.	GENERAL CLERK	-	FIRST ORIENT SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
31-Dec-22	JOSUE	ANTONIO C.	LICENSE SALESMAN	-	MDR SECURITIES, INC.	RESIGNATION