



MEMORANDUM – 2023-007

To : All Trading Participants

Subject : Employee Movement

Date : 05 May 2023

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 April 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
20-May-23	DELA CRUZ	ROSALIE O.	ASSOCIATE DIRECTOR, HEAD OF OPERATIONS	-	UBS SECURITIES PHILIPPINES INC.	RESIGNATION
2-May-23	FUENTES	TRACY B.	EXECUTIVE, SETTLEMENTS	-	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	RESIGNATION (clearance under process)
2-May-23	ICAMEN	BABETH	-	SENIOR ASSOCIATE, SETTLEMENTS	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
26-Apr-23	LERER	MA. SOCORRO JOHANNA B.	CHIEF COMPLIANCE OFFICER (APPOINTED PERSON)	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (clearance under process)
24-Apr-23	CACHO	LORENA I.	-	CHIEF COMPLIANCE OFFICER (APPOINTED PERSON)	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
20-Apr-23	CO	ANGELINE MARZANNE C.	FINANCIAL ANALYST	CSR EQUITIES TRADER	CTS GLOBAL EQUITY GROUP, INC.	RE-DESIGNATION
20-Apr-23	TEE	NEIL ANDREW G.	FINANCIAL ANALYST	CSR EQUITIES TRADER	CTS GLOBAL EQUITY GROUP, INC.	RE-DESIGNATION
19-Apr-23	DIZON	RALPH VINCENT V.	TRAINEE - ELECTRONIC TRADING	ELECTRONIC TRADER	SALISBURY SECURITIES CORPORATION (Formerly: SALISBURY BKT SECURITIES CORPORATION)	RE-DESIGNATION
19-Apr-23	CRISTOBAL	MARIA VIRGIE ANN A.	-	ACCOUNTING ASSISTANT	APEX PHILS. EQUITIES CORPORATION	NEW EMPLOYMENT
19-Apr-23	DEL ROSARIO	DIANE KAYE M.	ACCOUNTING ASSISTANT	-	APEX PHILS. EQUITIES CORPORATION	RESIGNATION
18-Apr-23	CORTEZ	EDWIN S.	-	COMPANY DRIVER/ MESSENGER	PREMIUM SECURITIES, INC.	NEW EMPLOYMENT
18-Apr-23	ESPANOL	AZUCENA P.	SALESMAN	-	AAA SOUTHEAST EQUITIES, INC.	RESIGNATION (cleared)
17-Apr-23	LAZARO	ELISON M.	-	MANAGING DIRECTOR	GLOBALINKS SECURITIES & STOCKS, INC.	NEW EMPLOYMENT

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17-Apr-23	BANDAL	MA. JASMIN R.	-	CUSTOMER SERVICE SPECIALIST	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
17-Apr-23	KUA	BIANCO DIEGO C.	-	MARKETING COMMUNICATIONS ASSOCIATE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
17-Apr-23	WOODWARD	MYRA M.	-	CLIENT EXPERIENCE ASSOCIATE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
17-Apr-23	ALBA	JANELLE ROSE O.	-	NEW ACCOUNTS ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
17-Apr-23	GARCIA	ALFRED BENJAMIN R.	-	SR RESEARCH ANALYST	AP SECURITIES, INC.	NEW EMPLOYMENT
17-Apr-23	RAMOS	JOANA BLANCA B.	-	CUSTOMER SUPPORT ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
16-Apr-23	RAMOS	CHRISTINE CHERISH D.	ASSOCIATED PERSON	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (clearance under process)
16-Apr-23	GAITE	JOSE FERNANDO VICTOR M.	SALESMAN	-	BA SECURITIES, INC.	RESIGNATION (cleared)
15-Apr-23	TRAMBULO	KRISTINE	TRADING ASSISTANT	-	MANDARIN SECURITIES CORPORATION	RESIGNATION
14-Apr-23	ONG	CATHERINE L.	SVP - CHIEF OPERATING OFFICER	SENIOR VICE-PRESIDENT	CTS GLOBAL EQUITY GROUP, INC.	RE-DESIGNATION
14-Apr-23	GARCIA	ALFRED BENJAMIN R.	SALESMAN	-	AB CAPITAL SECURITIES, INC.	RESIGNATION (cleared)
12-Apr-23	SARMIENTO JR.	DAVID	-	INDEPENDENT DIRECTOR	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
12-Apr-23	ANG	JESSE	INDEPENDENT DIRECTOR	-	BPI SECURITIES CORPORATION	RESIGNATION

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11-Apr-23	OCAMPO	JOYCE I.	-	ACCOUNT SERVICES OFFICER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
9-Apr-23	DELOS REYES	BARRYMORE V.	CUSTOMER SERVICE ASSOCIATE	-	ABACUS SECURITIES CORPORATION	RESIGNATION
3-Apr-23	ABRAZADO	CHEYCEIL I.	SETTLEMENT ASSOCIATE	-	PNB SECURITIES, INC.	RESIGNATION
3-Apr-23	VELASCO	MA. JIDGETTE V.	-	FVP - HEAD OF RESEARCH	RCBC SECURITIES, INC.	NEW EMPLOYMENT
3-Apr-23	AGRAMON	KAYE CEE P.	-	USI OPERATIONS ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
3-Apr-23	MUNNANGI	REBECCA D.	-	INVESTMENT STRATEGIST	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
3-Apr-23	PRADO	LENNARD G.	-	RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
3-Apr-23	DELA CRUZ	JOAN THERESE L.	-	ANALYST (OUTSOURCED)	J. P. MORGAN SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
3-Apr-23	TEMPORAL	CARLOS ANGELO O.	-	RESEARCH ASST. MANAGER	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
3-Apr-23	ALCARAZ	VIVIEN FLORELLE R.	-	OFFICE CLERK	BA SECURITIES, INC.	NEW EMPLOYMENT
3-Apr-23	BUSTAMANTE	SARAH JANE S.	-	SECTION HEAD - CUSTOMER SUPPORT	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
1-Apr-23	WHANG	WILLIAM C.	CHAIRMAN OF THE BOARD	-	CHINA BANK SECURITIES CORPORATION	RESIGNATION (cleared)
1-Apr-23	COLET	JUAN PAOLO E.	-	DIRECTOR	CHINA BANK SECURITIES CORPORATION	NEW EMPLOYMENT

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1-Apr-23	UYAN	ROMEO D. JR.	VICE CHAIRMAN OF THE BOARD	CHAIRMAN OF THE BOARD	CHINA BANK SECURITIES CORPORATION	RE-DESIGNATION
1-Apr-23	TAPIA	RYAN MARTIN L.	DIRECTOR	VICE CHAIRMAN OF THE BOARD	CHINA BANK SECURITIES CORPORATION	RE-DESIGNATION
1-Apr-23	ROMERO	ANNA RAQUEL D.	ASSOCIATE OPERATIONS MANAGER (OUTSOURCED)	-	J. P. MORGAN SECURITIES PHILIPPINES, INC.	RESIGNATION (cleared)
1-Apr-23	LITAO	MARIA CECILIA M.	SETTLEMENT STAFF	-	B. H. CHUA SECURITIES CORPORATION	RESIGNATION
1-Apr-23	JARIN	HAYDEE M.	-	ASSOCIATE RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
1-Apr-23	ZAFRA	JOHN BRYAN	-	CLIENT RELATIONS ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
1-Apr-23	ABANES	MARIA ALPHECCA T.	ASSOCIATE DIRECTOR, OPERATIONS ANALYST	ASSOCIATE DIRECTOR, ACTING HEAD OF OPERATIONS	UBS SECURITIES PHILIPPINES INC.	RE-DESIGNATION
1-Apr-23	GUEVARRA	ATTY. ARLENE J.	CORPORATE SECRETARY	-	PAN ASIA SECURITIES CORPORATION	RESIGNATION
1-Apr-23	FERNANDEZ	ATTY. CARLOS LUIS P.	-	CORPORATE SECRETARY	PAN ASIA SECURITIES CORPORATION	NEW EMPLOYMENT
1-Apr-23	CAPALUNGAN	VENRAYGEN V.	-	TECHNICAL SUPPORT	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
1-Apr-23	MANALO	KRISTINE JOY S.	-	SYSTEMS ANALYST AND PROGRAMMER	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
1-Apr-23	ROSALES	CRISTINA T.	-	CUSTOMER SERVICE ASSISTANT	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
1-Apr-23	SACUEZA	REBECCA M.	MANAGER	SENIOR MANAGER	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION

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1-Apr-23	LIM	TAMMY B.	MANAGER	SENIOR MANAGER	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
1-Apr-23	ARGUELLES	CARLO LEONARDO D.	SENIOR MANAGER	ASST. VICE PRESIDENT	AB CAPITAL SECURITIES, INC.	RE-DESIGNATION
31-Mar-23	TEMPORAL	CARLOS ANGELO	RESEARCH ANALYST	-	AP SECURITIES, INC.	RESIGNATION (clearance under process)
31-Mar-23	CONCEPCION	MELANIE T.	SETTLEMENT HEAD	-	LUCKY SECURITIES, INC.	RESIGNATION (cleared)
31-Mar-23	DEL ROSARIO	ROSALIE	ACCOUNTING ASSOCIATE	-	BA SECURITIES, INC.	RESIGNATION (no clearance required)
31-Mar-23	SUNDIAM	SAMANTHA MARIE C.	-	ASSISTANT CORPORATE SECRETARY	MACQUARIE CAPITAL SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
31-Mar-23	TEMPORAL	CARLOS ANGELO	RESEARCH ANALYST	-	AP SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
28-Mar-23	HONRUBIA	FIDELI SAIRAH BEA	-	TRADING ASSISTANT	MANDARIN SECURITIES CORPORATION	NEW EMPLOYMENT
27-Mar-23	GANTANG	ANGELICA R.	-	HR ASSISTANT	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
27-Mar-23	RAFAEL	RACHELL T.	-	CUSTOMER SERVICE SPECIALIST	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
27-Mar-23	CODERA	IRIS T.	-	CUSTODY AND NOMINEE SERVICES STAFF	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
27-Mar-23	TORIO	MARIA CARMELITA D.	VICE PRESIDENT AND ASSOCIATED PERSON	VICE PRESIDENT, ASSOCIATED PERSON, DATA PROTECTION OFFICER	H.E. BENNETT SECURITIES, INC.	RE-DESIGNATION
27-Mar-23	DELA PEÑA	CARMELITA T.	CORPORATE SECRETARY	CORPORATE SECRETARY AND ACTING TREASURER	H.E. BENNETT SECURITIES, INC.	RE-DESIGNATION

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22-Mar-23	DEL CASTILLO	ANDRES A.	RESEARCH ASSISTANT	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)
21-Mar-23	YU	PAMELA JANE C.	SALES TRADER	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (cleared)
20-Mar-23	AGAPITO	GABRIEL ART P.	-	MULTIMEDIA ARTIST	DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.)	NEW EMPLOYMENT
18-Mar-23	REYES	JOEVAN C.	ACCOUNTING ASSISTANT	-	ALPHA SECURITIES CORPORATION	RESIGNATION (clearance under process)
17-Mar-23	ANGALA	MONALIZA S.	-	ACCOUNTING CLERK	ALPHA SECURITIES CORPORATION	NEW EMPLOYMENT
15-Mar-23	MENDOZA	NORA A.	-	ACCOUNTING CLERK	MDR SECURITIES, INC.	NEW EMPLOYMENT
8-Mar-23	ESPIRITU	AILEEN JOY J.	SPECIALIST REGULATORY REPORTING	TREASURER, SPECIALIST REGULATORY REPORTING	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RE-DESIGNATION
1-Mar-23	CAPINPIN	RONALYN A.	-	ACCOUNTING ASSISTANT	LUCKY SECURITIES, INC.	NEW EMPLOYMENT
1-Mar-23	VILLOSO	EVANGELINE F.	TRANSFER CLERK	SENIOR SETTLEMENT ASSOCIATE	DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.)	RE-DESIGNATION
27-Feb-23	MERCADO	JASTINE P.	-	OJT	TRANS-ASIA SECURITIES, INC.	NEW EMPLOYMENT
23-Jan-23	HONRUBIA	NELSON V.	-	ASSISTANT COMPLIANCE	BA SECURITIES, INC.	NEW EMPLOYMENT