



MEMORANDUM – 2023-022

To : **All Trading Participants**

Subject : **Employee Movement**

Date : **06 October 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 September 2023.

For information and guidance.

(original signed)

GERARD B. SANVICTORES

President

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| ACD | FHRAD | IED | SD |

| DATE OF EFFECTIVITY | LAST NAME | FIRST NAME | PREVIOUS POSITION | PRESENT POSITION | TRADING PARTICIPANT | REMARKS |
|---------------------|-------------|---------------------|--|---------------------|---|--|
| 29-Aug-23 | SAMPANG | RICHARD ROCH Y. | ASSOCIATE RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 30-Aug-23 | ADONIS | LANY C. | ACCOUNT SERVICES OFFICER | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 30-Aug-23 | BUGAYONG | PATRICK NEIL S. | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 1-Sep-23 | NUNGAY | CHARISE C. | CUSTOMER SERVICE ASSOCIATE | - | COL FINANCIAL GROUP, INC. | RESIGNATION (clearance under process) |
| 1-Sep-23 | DELA CRUZ | JOAN THERESE L. | ANALYST (OUTSOURCED) | - | J. P. MORGAN SECURITIES PHILIPPINES, INC. | RESIGNATION (no clearance required) |
| 16-Sep-23 | JAIN | DEEPAK | OPERATIONS SUPPORT -VP (OUTSOURCED) | - | J. P. MORGAN SECURITIES PHILIPPINES, INC. | RESIGNATION (no clearance required) |
| 1-Sep-23 | CHAN | JORDAN LEWIS S. | FINANCIAL ANALYST | CSR EQUITIES TRADER | CTS GLOBAL EQUITY GROUP, INC. | RE-DESIGNATION |
| 10-Jan-23 | MENDIETA | ENRIQUE MIGUEL G. | CORPORATE RELATIONSHIP MANAGER | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 14-Jan-23 | BERNAL | ZHARINA C. | HR ASSOCIATE | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 18-Feb-23 | BANDAO | MICHELLE B. | HR SPECIALIST | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 22-Feb-23 | QUERIJERO | KATHLEEN ALEXIS L. | CUSTOMER SERVICE ASSOCIATE | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 16-Feb-23 | ARANDA | AILEEN GERALDINE S. | SENIOR EQUITY INVESTMENTS ADVISOR, PRIVATE CLIENTS | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 1-Mar-23 | ROQUE-OLSON | MARIBEL D. | EVENTS ASSOCIATE | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |

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| 16-Mar-23 | GARCIA | ARIANNE T. | NEW ACCOUNTS SPECIALIST | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 18-Mar-23 | NICOLAS | FRANCES ROLFA B. | RESEARCH ANALYST | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 1-Jun-23 | INOSANTE | ALYZA P. | DIGITAL SALES ASSOCIATE | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 1-Jun-23 | YAPANA | ANGELINE JOY D. | ACCOUNTING ASST. SUPERVISOR | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 17-Jun-23 | KUA | BIANCO DIEGO C. | MARKETING COMMUNICATIONS ASSOCIATE | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 21-Jun-23 | MENIADO | IVY P. | ADMIN ASSISTANT | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 23-Jun-23 | OLARTE | MA. ABBEY GALE C. | SECRETARY TO THE PRESIDENT | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 28-Jun-23 | TARCENIO | GINA B. | GRAPHIC DESIGNER | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 1-Jul-23 | AMBON | ANGELICA L. | HR SPECIALIST | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 1-Jul-23 | DELOS REYES | EIRA MARIE M. | CUSTOMER SERVICE SPECIALIST | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 14-Jan-23 | SAPUSAO | PATRICIA P. | RISK MANAGEMENT STAFF | - | CTS GLOBAL EQUITY GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 4-Mar-23 | MEJIA | OSCAR BENJAMIN JR. P. | CSR EQUITIES TRADER | - | CTS GLOBAL EQUITY GROUP, INC. | UPDATE: RESIGNATION (cleared) |
| 15-Jul-23 | CRUZ | NICHOLE KATE A. | ACCOUNTING ASSISTANT | - | CTS GLOBAL EQUITY GROUP, INC. | UPDATE: RESIGNATION (cleared) |

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| 1-Sep-23 | LIRIO | PIA | - | CLIENT RELATIONS ASSOCIATE | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Sep-23 | REYES | MARGARETTE ANNE M. | ACCOUNTING ASSISTANT MANAGER | - | APEX PHILS. EQUITIES CORPORATION | RESIGNATION (no clearance required) |
| 1-Sep-23 | YORO | HANZ IRVIN S. | DATA PROTECTION OFFICER, CHINA BANKING CORPORATION ("CBC") | - | CHINA BANK SECURITIES CORPORATION | RESIGNATION (no clearance required) |
| 1-Sep-23 | QUIRING | MARY ANTONETTE E. | TREASURER AND BUSINESS OPERATIONS DIRECTOR | - | CHINA BANK SECURITIES CORPORATION | RESIGNATION (clearance under process) |
| 1-Sep-23 | CELSO | ANABELLE G. | BUSINESS OPERATIONS ASSOCIATE | ACTING TREASURER AND OFFICER- IN-CHARGE, BUSINESS OPERATIONS UNIT | CHINA BANK SECURITIES CORPORATION | RE-DESIGNATION |
| 1-Sep-23 | LINSANGAN | JESSE R. | - | DATA PROTECTION OFFICER | CHINA BANK SECURITIES CORPORATION | NEW EMPLOYMENT |
| 4-Sep-23 | DEOMAMPO | NINA RIZA M. | - | ACCOUNTING ASSISTANT | A. T. DE CASTRO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Sep-23 | NILO | MICAELA R. | - | SETTLEMENT ASSISTANT | LANDBANK SECURITIES, INC. (formerly UCPB SECURITIES, INC.) | NEW EMPLOYMENT |
| 31-Aug-23 | NITUMA | ROMNICK R. | SYSTEM ADMINISTRATOR | - | WEALTH SECURITIES, INC. | RESIGNATION |
| 31-Aug-23 | BALANTE | MARIELLE P. | SETTLEMENT OFFICER | - | SALISBURY SECURITIES CORPORATION (Formerly: SALISBURY BKT SECURITIES CORPORATION) | RESIGNATION (clearance under process) |
| 18-Aug-23 | REYES | JOSUA B. | I.T. STAFF | - | MERCANTILE SECURITIES, CORPORATION | RESIGNATION (did not apply for clearance) |
| 1-Sep-23 | REAL | MARK BRYAN T. | - | SALESMAN | BA SECURITIES, INC. | NEW EMPLOYMENT |

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| 25-Aug-23 | ABRAHANO | AIRA MAE F. | ACCOUNTING ASSISTANT | SENIOR ACCOUNTANT | EASTERN SECURITIES DEVT. CORPORATION | RE-DESIGNATION |
| 31-Aug-23 | DE LA CRUZ | ANDY WILLING D. | SENIOR FINANCIAL ANALYST | - | EASTERN SECURITIES DEVT. CORPORATION | RESIGNATION (clearance under process) |
| 7-Aug-23 | DIA | KAYESHA S. | GENERAL CLERK | DATA PROTECTION OFFICER | R. NUBLA SECURITIES, INC. | RE-DESIGNATION |
| 14-Aug-23 | DE LEON | CLAUDETTE PATRICIA ANN | - | MARKETING ASSOCIATE | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | NEW EMPLOYMENT |
| 11-Aug-23 | AMADO | LORENZO ANGELO D. | FINANCIAL MARKETS ASSOCIATE | - | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | RESIGNATION |
| 1-Sep-23 | ROSETE | JAMAICA L. | SETTLEMENTS ASSOCIATE | COMPLIANCE ANALYST/ASSOCIATED PERSON | CLSA PHILIPPINES, INC. | RE-DESIGNATION |
| 19-Aug-23 | PONCIANO | STEPHEN GLENN V. | INTERN | - | CLSA PHILIPPINES, INC. | RESIGNATION (no clearance required) |
| 19-Aug-23 | BAUTISTA | FRANZ JOSEPH D. | INTERN | - | CLSA PHILIPPINES, INC. | RESIGNATION (no clearance required) |
| 14-Aug-23 | FLORES | DARILL A. | - | IT CONSULTANT | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 14-Aug-23 | BALMOJA | ROY DENIEL L. | - | IT CONSULTANT | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 10-Aug-23 | REYES | NATASHA T. | - | RESEARCH ASSOCIATE | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 14-Aug-23 | LACAP | THALIA LUISA C. | - | RECEPTIONIST | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 22-Aug-23 | BUHAIN | DOMINIC LEANDRE D. | RESEARCH ASSISTANT | DEALER | CLSA PHILIPPINES, INC. | RE-DESIGNATION |

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| 29-Aug-23 | BANGAYAN | NELSON | - | MESSENGER | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 1-Sep-23 | LAO | TRISTAN JAY G. | - | FINANCIAL ANALYST | CTS GLOBAL EQUITY GROUP, INC. | NEW EMPLOYMENT |
| 1-Sep-23 | SUNGA | JONA MAY D. | - | GENERAL ADMIN CLERK | RCBC SECURITIES, INC. | NEW EMPLOYMENT |
| 11-Aug-23 | NALINDAN | BARBARA D. | ACCOUNTANT | - | STAR ALLIANCE SECURITIES CORPORATION | RESIGNATION (cleared) |
| 6-Sep-23 | OBIEREZ | ANDRE MIKHAIL F. | - | AGENT / SALESMAN | PNB SECURITIES, INC. | NEW EMPLOYMENT |
| 9-Sep-23 | ECHIVERRI | KATHRYN RACHELLE D. | HEAD OF FUND SOURCE | - | COL FINANCIAL GROUP, INC. | RESIGNATION (clearance under process) |
| 17-Aug-23 | WONG | SALUSTIANO | PRESIDENT | - | BERNAD SECURITIES, INC. | RETIREMENT |
| 17-Aug-23 | WONG | ASUNCION | CORPORATE SECRETARY | - | BERNAD SECURITIES, INC. | RETIREMENT |
| 17-Aug-23 | WONG | ELPHEGE C. | VICE-PRESIDENT | PRESIDENT | BERNAD SECURITIES, INC. | RE-DESIGNATION |
| 17-Aug-23 | WONG | DAMASUS C. | CONSULTANT | VICE-PRESIDENT | BERNAD SECURITIES, INC. | RE-DESIGNATION |
| 17-Aug-23 | WONG | CAITLIN ANGELA C. | - | CORPORATE SECRETARY | BERNAD SECURITIES, INC. | NEW EMPLOYMENT |
| 17-Aug-23 | WONG | ETHAN MATTHEW C. | - | DIRECTOR | BERNAD SECURITIES, INC. | NEW EMPLOYMENT |
| 1-Sep-23 | PUNO | FELICIANO L. JR. | - | MESSENGER | MDR SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Sep-23 | COLLADO | JIMMY A. | MESSENGER | - | MDR SECURITIES, INC. | RETIREMENT |

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| 11-Sep-23 | LUBRINO | JASMIN E. | - | ADMIN STAFF | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 11-Sep-23 | PEREZ | COLYN P. | - | CUSTOMER SERVICE STAFF | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 16-Sep-23 | SALAGUSTE | GLENN ROMMEL H. | IT OPERATIONS MANAGER | - | COL FINANCIAL GROUP, INC. | RESIGNATION (clearance under process) |
| 15-Sep-23 | PERUCHO | JOSE CELESTINO E. | SALESMAN/ TRADER | - | MERCANTILE SECURITIES, CORPORATION | RESIGNATION (did not apply for clearance) |
| 31-Aug-23 | YANSON | JOHN MATTHEW M. | GENERAL ACCOUNTANT | - | GUILD SECURITIES, INC. | RESIGNATION (clearance under process) |
| 15-Sep-23 | ESPIRITU | AILEEN JOY J. | TREASURER; SPECIALIST REGULATORY REPORTING | - | CREDIT SUISSE SECURITIES (PHILIPPINES), INC. | RESIGNATION (clearance under process) |
| 31-Aug-23 | PICACHE | DANIELO C. | RESEARCH ANALYST | - | CREDIT SUISSE SECURITIES (PHILIPPINES), INC. | RESIGNATION (clearance under process) |
| 14-Sep-23 | FRANCISCO | HARRIET L. | SPECIALIST REGULATORY REPORTING | TREASURER; SPECIALIST REGULATORY REPORTING | CREDIT SUISSE SECURITIES (PHILIPPINES), INC. | RE-DESIGNATION |
| 1-Sep-23 | VILOG | PETER C. | TRANSACTION SERVICES MANAGER | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 1-Sep-23 | SY | FRANCESCA NICHOLE A. | - | ASSOCIATE RELATIONSHIP MANAGER | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 18-Sep-23 | MALDIA-SANTOS | ALYSSA CARLA G. | - | ASSOCIATE RELATIONSHIP MANAGER | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Sep-23 | GASPAR | MICHELLE N. | PAYMENT PROCESSING & SETTLEMENT TEAM HEAD- SECURITIES OPERATIONS | SECURITIES OPERATIONS HEAD / (OIC) PAYMENT PROCESSING & SETTLEMENT TEAM HEAD | BDO SECURITIES CORPORATION | RE-DESIGNATION |
| 15-Sep-23 | BIBAT | MERRY JOY D. | ACCOUNT SERVICES OFFICER | ASSOCIATE RELATIONSHIP MANAGER | BDO SECURITIES CORPORATION | RE-DESIGNATION |

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| 14-Sep-23 | CACHO | LORENA I. | CHIEF COMPLIANCE OFFICER AND ASSOCIATED PERSON | CHIEF COMPLIANCE OFFICER, ASSOCIATED PERSON AND CORPORATE SECRETARY (INTERIM) | CREDIT SUISSE SECURITIES (PHILIPPINES), INC. | RE-DESIGNATION |
| 24-Aug-23 | ABANES | MARIA ALPHECCA T. | ASSOCIATE DIRECTOR, ACTING HEAD OF OPERATIONS | ASSOCIATE DIRECTOR, HEAD OF OPERATIONS | UBS SECURITIES PHILIPPINES INC. | RE-DESIGNATION |
| 18-Sep-23 | ESPIRITU | AILEEN JOY J. | - | AUTHORIZED OFFICER, HEAD OF FINANCE | UBS SECURITIES PHILIPPINES INC. | NEW EMPLOYMENT |
| 18-Sep-23 | MADERAJE | NEIL ANDREW L. | - | RESEARCH ASSOCIATE | CHINA BANK SECURITIES CORPORATION | NEW EMPLOYMENT |
| 18-Sep-23 | LIBOON | TWINKLE PAULINE R. | - | DIGITAL MARKETING SR. ASSOCIATE | UNICAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Sep-23 | CONSTANTINO | CRISTINA E. | - | SETTLEMENT OFFICER | AB CAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Sep-23 | CORTEZ | CZARLOTTE CYRILE C. | ASSISTANT MANAGER - SETTLEMENT HEAD | COMPLIANCE OFFICER | AB CAPITAL SECURITIES, INC. | RE-DESIGNATION |
| 1-Sep-23 | TANG | JOSEPH SAMUEL H. | SALESMAN | AGENT (SALESMAN) | AB CAPITAL SECURITIES, INC. | RE-DESIGNATION |
| 1-Sep-23 | ADOLFO | KATHERINE A. | - | ACCOUNTANT | ALPHA SECURITIES CORPORATION | NEW EMPLOYMENT |
| 11-Sep-23 | JIMENEZ | FRANCISCO III V. | - | SALES TRAINEE | ALPHA SECURITIES CORPORATION | NEW EMPLOYMENT |
| 22-Aug-23 | OLIVEROS | EDWIN G. | - | CONSULTANT | AB CAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 19-Sep-23 | CHAN | JORDAN LEWIS S. | CSR EQUITIES TRADER | - | CTS GLOBAL EQUITY GROUP, INC. | RESIGNATION (clearance under process) |

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| 20-Sep-23 | BUAN | CHRISTINE C. | SEO - CONTENT WRITER | - | ABACUS SECURITIES CORPORATION | RESIGNATION |
| 18-Sep-23 | DIZON | PENNALIZA G. | - | ADMIN ASSISTANT | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 18-Sep-23 | BEROY | CEDIE S. | - | GRAPHIC DESIGNER | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 1-Sep-23 | SANTIAGO | JOANNA MARI R. | TRADING ASSISTANT | - | TRANS-ASIA SECURITIES, INC. | RESIGNATION (cleared) |
| 1-Sep-23 | REYES | MARY ANN D. | RELIEVER MESSENGER | - | TRANS-ASIA SECURITIES, INC. | RESIGNATION (cleared) |
| 1-Sep-23 | DAM | JUDY ANN D. | AD HOC I.T. SUPPORT | - | TRANS-ASIA SECURITIES, INC. | RESIGNATION (no clearance required) |
| 18-Sep-23 | PATRIMONIO | SYMONETTE LOIS S. | - | FINANCIAL ANALYST | CTS GLOBAL EQUITY GROUP, INC. | NEW EMPLOYMENT |
| 21-Sep-23 | GREENLAW | JOCELYN D. | - | EXECUTIVE VICE-PRESIDENT | DA MARKET SECURITIES, INC. | NEW EMPLOYMENT |
| 1-Sep-23 | ANTIOJO | GIAN CARLO H. | JUNIOR ACCOUNTANT | SECURITIES SETTLEMENT ASSOCIATE | AAA SOUTHEAST EQUITIES, INC. | RE-DESIGNATION |
| 31-Aug-23 | BARRIDO | JEFFREY A. | ACCOUNTING ASSOCIATE | - | THE FIRST RESOURCES MGMT. SECURITIES CORP. | RESIGNATION |
| 20-Sep-23 | LACADIN | JESSA MARIE T. | - | AGENT / SALESMAN | PNB SECURITIES, INC. | NEW EMPLOYMENT |
| 1-Sep-23 | GAMBOA | CHRISTIAN LOUIE D. | - | JUNIOR SOFTWARE ENGINEER | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | NEW EMPLOYMENT |
| 11-Sep-23 | JUAT | BRIAN GABRIEL B. | - | PRODUCT OFFICER | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | NEW EMPLOYMENT |

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| 15-Sep-23 | TAN | FRANCES JANADINE C. | GRAPHIC DESIGN INTERN | - | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | RESIGNATION |
| 15-Sep-23 | DIAZ | JULIAN LUIS R. | SOCIAL MEDIA AND MARKETING INTERN | - | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | RESIGNATION |
| 15-Sep-23 | CO | JENINA C. | WEBSITE DESIGN INTERN | - | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | RESIGNATION |
| 18-Sep-23 | GACURA | GEOCELL A. | - | STUDENT INTERN | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | NEW EMPLOYMENT |
| 29-Sep-23 | MANGAHAS | JOANA GRACE | SETTLEMENT | - | TRANS-ASIA SECURITIES, INC. | RESIGNATION (cleared) |
| 29-Sep-23 | ONG | EUGENE U. | SALESMAN | - | TRANS-ASIA SECURITIES, INC. | RESIGNATION (cleared) |
| 29-Sep-23 | TAN | SHARIE LINGLING B. | SETTLEMENT | - | TRANS-ASIA SECURITIES, INC. | RESIGNATION (no clearance required) |
| 29-Sep-23 | LEE | JENNIFER T. | ACCOUNTING | - | TRANS-ASIA SECURITIES, INC. | RESIGNATION (no clearance required) |
| 25-Sep-23 | SANTOS | CARLA LUISA R. | - | EQUITY SALES | PHILIPPINE EQUITY PARTNERS, INC. | NEW EMPLOYMENT |