



MEMORANDUM – 2024-008

TO : ALL TRADING PARTICIPANTS

SUBJECT : EMPLOYEE MOVEMENT

DATE : 01 MARCH 2024

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 29 February 2024.

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 |
|---------------------|-----------|-------------------|--------------------------------|---|--|---------------------------------------|
| 26-Feb-24 | IRINCO | ELAH SALVE | ASSOCIATED PERSON | AML COMPLIANCE OFFICER AND ASSOCIATED PERSON | NEW WORLD SECURITIES CO., INC. | RE-DESIGNATION |
| 20-Feb-24 | BIACORA | RACHELLE ANNE | - | EQUITY RESEARCH INTERN | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |
| 19-Feb-24 | CARORO | ANGELINA G. | BUSINESS DEVELOPMENT ASSOCIATE | - | LANDBANK SECURITIES, INC. (formerly UCPB SECURITIES, INC.) | RESIGNATION |
| 19-Feb-24 | GARCIA | MA. RAQUEL R. | ASSOCIATED PERSON | SALESMAN | MDR SECURITIES, INC. | RE-DESIGNATION |
| 19-Feb-24 | PALERO | WILLIAM C. | CASH MANAGEMENT OFFICER | - | GUILD SECURITIES, INC. | RESIGNATION (clearance under process) |
| 16-Feb-24 | RAMOS | JEWEL MIRAFLOR I. | OPERATIONS ASSOCIATE | - | FIRST METRO SECURITIES BROKERAGE CORPORATION | RESIGNATION (clearance under process) |
| 16-Feb-24 | GONZALES | MICHELLE ANNE D. | - | CLIENT ACQUISITION ASSISTANT SUPERVISOR | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 15-Feb-24 | CASOCOT | NEIL BRIAN M. | ACCOUNT SERVICES OFFICER | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 15-Feb-24 | PADRE | MARYDEL M. | COMPLIANCE AND RISK ASSOCIATE | ASSOCIATED PERSON AND COMPLIANCE AND RISK ASSOCIATE | CHINA BANK SECURITIES CORPORATION | RE-DESIGNATION |
| 15-Feb-24 | LATUMBO | GERRY C. | - | SALES AGENT | VENTURE SECURITIES, INC. | NEW EMPLOYMENT |
| 14-Feb-24 | PINEDA | KAYE ANN GRACE D. | HR ASSISTANT | - | COL FINANCIAL GROUP, INC. | RESIGNATION (clearance under process) |
| 14-Feb-24 | BELLEZA | GERALDINE | SETTLEMENT OFFICER | - | ARMSTRONG SECURITIES, INC. | RESIGNATION |
| 13-Feb-24 | BUENA | JEANETTE C. | ASSOCIATED PERSON | - | UPCC SECURITIES CORPORATION | RESIGNATION |

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| 12-Feb-24 | ALMARIO | MYLENE T. | RELATIONSHIP MANAGER - OIC | - | BDO SECURITIES CORPORATION | RESIGNATION |
| 12-Feb-24 | ARELLANO | MA. THERESA P. | AUTHORIZED SALESMAN | - | INVESTORS SECURITIES, INC. | RESIGNATION (cleared) |
| 12-Feb-24 | CRUZ | BIANCA DENISE | - | INTERN | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | NEW EMPLOYMENT |
| 12-Feb-24 | TORRECHILLA | HANNA JEAN A. | - | ACCOUNTANT | THE FIRST RESOURCES MANAGEMENT AND SECURITIES CORPORATION | NEW EMPLOYMENT |
| 10-Feb-24 | BERNABE | MARY JOY U. | ADMIN SPECIALIST | - | PNB SECURITIES, INC. | RESIGNATION |
| 8-Feb-24 | UY | JUSTIN GABRIEL Y. | SALES TRADER | ASSOCIATE DIRECTOR, SALES TRADER | UBS SECURITIES PHILIPPINES INC. | RE-DESIGNATION |
| 8-Feb-24 | ESPIRITU | AILEEN JOY J. | AUTHORIZED OFFICER, TREASURER, CHIEF FINANCE OFFICER, HEAD OF FINANCE | ASSOCIATE DIRECTOR, TREASURER, CHIEF FINANCE OFFICER, HEAD OF FINANCE | UBS SECURITIES PHILIPPINES INC. | RE-DESIGNATION |
| 8-Feb-24 | CAPUNO | MARILYN P. | SETTLEMENT OFFICER | AUTHORIZED OFFICER, SETTLEMENT OFFICER | UBS SECURITIES PHILIPPINES INC. | RE-DESIGNATION |
| 7-Feb-24 | CLEOFAS | JERARD F. | - | IT CONSULTANT | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 5-Feb-24 | ABLAN | LOIS KEITH G. | - | OPERATIONS ASSOCIATE | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT |
| 5-Feb-24 | MENDOZA | JOEY M. | - | SETTLEMENT OFFICER | GOLDEN TOWER SECURITIES & HOLDINGS, INC. | NEW EMPLOYMENT |
| 5-Feb-24 | SOLAS | MIKHAEL IVAN | - | EQUITY RESEARCH INTERN | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |
| 5-Feb-24 | CAMU | JOHN ANDREW S. | - | JAVA DEVELOPER | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | NEW EMPLOYMENT |

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| 2-Feb-24 | PABRUA | MARIA TERESA AGNES B. | ACCOUNTANT | ASSOCIATED PERSON | VC SECURITIES CORPORATION | RE-DESIGNATION |
| 1-Feb-24 | BUENAVENTURA III | LUIS R. | CENTER HEAD | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | FREIRES | GOLDA L. | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | LI | JACKIE LOU J. | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | ADLAWAN | MARIA LOURDES P. | ASSOCIATE RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | GAMAY | MARIVIC L. | ASSOCIATE RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | CLEMENTIR | CARLO M. | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | DAGATAN | ALONNAH JEAN O. | ASSOCIATE RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | ENGLIS | ARLYN JOY G. | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | GO | GLADYS EVAMARIE C. | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | USTARE | TRICIA D. | RELATIONSHIP MANAGER | - | BDO SECURITIES CORPORATION | TRANSFER TO BDO PRIVATE BANK |
| 1-Feb-24 | BENIG | MEALYN A. | - | RELATIONSHIP MANAGER | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Feb-24 | LIM | DENNIS | - | CERTIFIED SECURITIES REPRESENTATIVE | ABACUS SECURITIES CORPORATION | NEW EMPLOYMENT |

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| 1-Feb-24 | TUMALE | JAY-AR U. | - | CERTIFIED SECURITIES REPRESENTATIVE | ABACUS SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Feb-24 | CALMA | CATHERINE JOYCE M. | ACCOUNTING STAFF | - | COL FINANCIAL GROUP, INC. | RESIGNATION (clearance under process) |
| 1-Feb-24 | CASTAÑOS | NATHANIEL PHILLIP D. | FINANCIAL ANALYST | CSR EQUITIES TRADER | CTS GLOBAL EQUITY GROUP, INC. | RE-DESIGNATION |
| 1-Feb-24 | TEODORO | JUAN ALFONSO G. | - | EQUITY RESEARCH ANALYST | TIMSON SECURITIES, INC. | NEW EMPLOYMENT |
| 1-Feb-24 | ISAGANI | KEN MARIANO III C. | ASSOCIATE DIRECTOR / HEAD OF DEALING | DIRECTOR / HEAD OF DEALING | REGIS PARTNERS, INC. | RE-DESIGNATION |
| 1-Feb-24 | GARCIA | ALFRED BENJAMIN R. | SENIOR RESEARCH ANALYST | RESEARCH HEAD | AP SECURITIES, INC. | RE-DESIGNATION |
| 1-Feb-24 | HENSON | VICTOR ANDREW | SALESMAN | SALES DEPARTMENT HEAD | AP SECURITIES, INC. | RE-DESIGNATION |
| 1-Feb-24 | GUCE | RIZA | CERTIFIED SECURITIES SPECIALIST (CSR) | CSR - OIC (RETAIL SALES) | AP SECURITIES, INC. | RE-DESIGNATION |
| 1-Feb-24 | PARAYNO | JU-ANN R. | CERTIFIED SECURITIES SPECIALIST (CSR) | CSR - OIC (INSTITUTIONAL SALES) | AP SECURITIES, INC. | RE-DESIGNATION |
| 1-Feb-24 | GARCIA | SETH RENMAR | TECHNICAL ANALYST | ONLINE ADMINISTRATOR | AP SECURITIES, INC. | RE-DESIGNATION |
| 1-Feb-24 | ESPERE | MARIFE C. | CSR/ ONLINE ADMINISTRATOR | CSR- ONLINE SUPPORT | AP SECURITIES, INC. | RE-DESIGNATION |
| 1-Feb-24 | QUELLO | ARNEL D. | - | ADMIN ASSOCIATE | PNB SECURITIES, INC. | NEW EMPLOYMENT |
| 1-Feb-24 | MORANTE | ANGELO D. | OPERATIONS ASSOCIATE | ACCOUNT MAINTENANCE ASSOCIATE | FIRST METRO SECURITIES BROKERAGE CORPORATION | RE-DESIGNATION |

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| 1-Feb-24 | GONZAGA | ANDREO M. | NEW ACCOUNTS OFFICER | ACCOUNT MAINTENANCE OFFICER | FIRST METRO SECURITIES BROKERAGE CORPORATION | RE-DESIGNATION |
| 1-Feb-24 | FLORES | CARL ANDREI C. | ACCOUNT MAINTENANCE ASSOCIATE | NEW ACCOUNTS ASSOCIATE | FIRST METRO SECURITIES BROKERAGE CORPORATION | RE-DESIGNATION |
| 1-Feb-24 | SATORRE | JENNIFER R. | - | DISBURSEMENT MANAGER | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 1-Feb-24 | VEDAD | JOSE MARIA G. | - | TRADE & PROCESSING SPECIALIST | UBS SECURITIES PHILIPPINES INC. | NEW EMPLOYMENT |
| 1-Feb-24 | BUGAYONG | AIZA G. | FO - IC - ACCOUNTING HEAD | JAM - IC - ACCOUNTING UNIT | RCBC SECURITIES, INC. | RE-DESIGNATION |
| 31-Jan-24 | SALVADOR | AARON M. | RESEARCH DIRECTOR | - | REGIS PARTNERS, INC. | RESIGNATION (cleared) |
| 31-Jan-24 | YASAY | RISSA JOY E. | ACCOUNTING ASSISTANT | - | SB EQUITIES, INC. | RESIGNATION |
| 30-Jan-24 | OBIEREZ | ANDREI MIKHAIL | SALESMAN | - | PNB SECURITIES, INC. | RESIGNATION |
| 29-Jan-24 | LORICA | ABIGAIL C. | - | ASSOCIATED PERSON AND COMPLIANCE OFFICER | UPCC SECURITIES CORPORATION | NEW EMPLOYMENT |
| 23-Jan-24 | FELICIANO JR. | RAYMUNDO F. | INDEPENDENT DIRECTOR | - | REGIS PARTNERS, INC. | RESIGNATION (cleared) |
| 23-Jan-24 | DEL ROSARIO | ALLISTER JAMES | - | MANAGEMENT TRAINEE (RESEARCH) | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |
| 23-Jan-24 | CARVAJAL | ALEXA MAE A. | RESEARCH ASSISTANT | - | MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.) | RESIGNATION (cleared) |
| 18-Jan-24 | RIOS | KIERVE D. | - | OPERATIONS STAFF | CHINA BANK SECURITIES CORPORATION | NEW EMPLOYMENT |

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| 16-Jan-24 | ARAGO | MARIA ROWENA J. | SECURITIES AND SETTLEMENT HEAD | - | IGC SECURITIES, INC. | RESIGNATION |
| 30-Dec-23 | AYCO | IRISH MAE S. | ADMIN ASSISTANT | - | COL FINANCIAL GROUP, INC. | UPDATE: RESIGNATION (cleared) |