



MEMO FOR BROKERS – 2012-014

To : All Trading Participants
Subject : Employee Movement
Date : 16 November 2012

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.

For information and guidance


GRACE M. CALUBAQUIB
Officer-In-Charge


MARIE GRACE A. SANTOS
Officer-In-Charge

DATE OF EFFECTIVITY	NAME OF EMPLOYEE	PREVIOUS POSITION	PRESENT POSITION	PREVIOUS EMPLOYER	PRESENT EMPLOYER	REMARKS
8/31/12	ANJELICA B. UY	Salesman	-	Nieves Securities, Inc.	-	RESIGNATION
9/7/12	DAWN R. ROXAS	Office Clerk	-	J.M. Barcelon & Company, Inc.	-	RESIGNATION
9/7/12	RAYMARK MANZON	-	Office Clerk	-	J.M. Barcelon & Company, Inc.	NEW APPOINTMENT
9/12/12	ANTONIO F.V. GREGORIO III	Independent Director	-	Angping & Associates Securities, Inc.	-	RESIGNATION
9/12/12	TERESITA C. MARBIBI	-	Independent Director	-	Angping & Associates Securities, Inc.	NEW APPOINTMENT
9/17/12	CHERRY JOY BASCO	-	Accounting Clerk	-	DW Capital, Inc.	NEW APPOINTMENT
9/17/12	JOSE ALEJANDRO P. CLAPAROLS	-	Trainee	-	DA Maket Securities, Inc.	NEW APPOINTMENT
9/24/12	DANIEL MAROGY	Research Analyst	-	CLSA Philippines, Inc.	-	RESIGNATION
9/28/12	FLORENTINO E. SANTOS	Independent Director	-	The First Resources Management & Securities Corporation	-	RESIGNATION
9/28/12	CRISPINA R. PINEDA	-	Independent Director	-	The First Resources Management & Securities Corporation	NEW APPOINTMENT
9/28/12	FRANCISCO F. DEL ROSARIO, JR.	Chairman	-	DBP-Daiwa Capital Markets Phils, Inc.	-	RETIREMENT
9/29/12	JANE A. BALMORES	Accounting Staff	-	COL Financial Group, Inc.	-	RESIGNATION
9/30/12	MARC ANDREW A. LIM	Assistant Sales Dealer/Trader	-	DBP-Daiwa Capital Markets Phils, Inc.	-	RESIGNATION
9/30/12	ERLINDA V. DIZON	-	Director	-	Supreme Stockbrokers, Inc.	NEW APPOINTMENT
9/30/12	LAMBERTO C. DIZON	Director	-	Supreme Stockbrokers, Inc.	-	RESIGNATION
9/30/12	WILFREDO BEREBER	Driver	-	Summit Securities, Inc.	-	RETIREMENT
10/1/12	GEORGE EMIL S. HUANG	Agent	-	Asiasec Equities, Inc.	-	RESIGNATION
10/1/12	JOAN BEATRICE Y. NGO	-	Accounting Clerk	-	Wealth Securities, Inc.	NEW APPOINTMENT
10/1/12	EUCLID SCHUYLER O. TENG	-	Authorized Agent	-	Wealth Securities, Inc.	NEW APPOINTMENT
10/1/12	CHRISTOPHER JOSEPH YAM	Junior Analyst	Authorized Agent	Wealth Securities, Inc.	Wealth Securities, Inc.	RE-DESIGNATION
10/1/12	ANJELICA B. UY	-	Research Assistant	-	Wealth Securities, Inc.	NEW APPOINTMENT
10/1/12	MARC ANDREW A. LIM	Equities Dealer	Salesman Trainee	DBP-Daiwa Capital Markets Phils, Inc.	Deutsche Regis Partners, Inc.	NEW APPOINTMENT
10/1/12	MARJETTE M. PANELO	-	Settlements Consultant	-	Deutsche Regis Partners, Inc.	NEW APPOINTMENT
10/4/12	RAMON EMILIO Y. CASANO	Telephone Clerk	Assistant Trader/ Dealer	DBP-Daiwa Capital Markets Phils,	DBP-Daiwa Capital Markets Phils,	RE-DESIGNATION

DATE OF EFFECTIVITY	NAME OF EMPLOYEE	PREVIOUS POSITION	PRESENT POSITION	PREVIOUS EMPLOYER	PRESENT EMPLOYER	REMARKS
				Inc.	Inc.	
10/5/12	ROY B. BERANO	Customer Service Staff	-	Abacus Securities Corporation	-	RESIGNATION
10/8/12	PAMELA JOYCE G. ANG	-	Sales Assistant	Maybank ATR Kim Eng Securities, Inc.	Macquarie Capital Securities (Philippines), Inc.	NEW APPOINTMENT
10/12/12	RACHEL ANNE D. ESPEJO	-	Salesman	-	Campos Lanuza & Co., Inc.	NEW APPOINTMENT
10/12/12	MARK LORENZO M. REYES	-	Salesman	-	Campos Lanuza & Co., Inc.	NEW APPOINTMENT
10/12/12	LOVIE OSMAN	Backroom Accounting Trainee	-	Yu and Company, Inc.	-	RESIGNATION
10/15/12	ELIZE B. MIRANO	-	General Clerk	-	Globalinks Securities & Stocks, Inc.	NEW APPOINTMENT
10/15/12	HANS S. WEE III	Salesman	-	Abacus Securities Corporation	-	RESIGNATION
10/15/12	ROBERT N. CUARTERON	Hardware, Software and Web Support Staff	Applications Development Personnel	COL Financial Group, Inc.	COL Financial Group, Inc.	RE-DESIGNATION
10/15/12	RAUL B. OCMER	Technical Services & Facilities Coordinator	Network Personnel	COL Financial Group, Inc.	COL Financial Group, Inc.	RE-DESIGNATION
10/15/12	JOSE EFRAIM A. TOLEDO	Network and Operations Staff Support	Telecommunications Personnel	COL Financial Group, Inc.	COL Financial Group, Inc.	RE-DESIGNATION
10/15/12	REY ANDREW I. LUCERO	Hardware and Web Support Staff	Trading Support Operations Personnel	COL Financial Group, Inc.	COL Financial Group, Inc.	RE-DESIGNATION
10/15/12	JERWIN JOVES C. MALIGRO	Hardware and Web Support Staff	Trading Support Operations Personnel	COL Financial Group, Inc.	COL Financial Group, Inc.	RE-DESIGNATION
10/16/12	JOSE ALEJANDRO P. CLAPAROLS	Trainee	Salesman/Trader	DA Maket Securities, Inc.	DA Maket Securities, Inc.	RE-DESIGNATION
10/16/12	JOSEPH MARTIN A. NOGRALES	-	Certified Securities Representative	-	COL Financial Group, Inc.	NEW APPOINTMENT
10/16/12	JOHN KARL M. GASING	Accounting Clerk	-	R. Nubla Securities, Inc.	-	RESIGNATION
10/22/12	JONATHAN ESTRADA	-	Anakyst-Asian Technical Research	-	CLSA Philippines, Inc.	NEW APPOINTMENT
10/30/12	HERMENIGILDO NARVAEZ	Head of Research	-	Credit Suisse Securities (Philippines), Inc.	-	RESIGNATION
10/31/12	JOSE CELESTINO E. PERUCHO	Authorized Clerk and Salesman	-	I. Ackerman & Co., Inc.	-	RESIGNATION
11/1/12	ATTY. MARIA CAMILLE LAGUDA	-	Independent Director	-	CLSA Philippines, Inc.	NEW APPOINTMENT

DATE OF EFFECTIVITY	NAME OF EMPLOYEE	PREVIOUS POSITION	PRESENT POSITION	PREVIOUS EMPLOYER	PRESENT EMPLOYER	REMARKS
11/1/12	DOMINGA ELAINE P. VICENTE	Channel Manager	-	BPI Securities Corporation	Bank of the Philippine Islands	RE-DESIGNATION
11/1/12	KRISTINA H. CRUZ	-	Accountant	-	R. Nubla Securities, Inc.	NEW APPOINTMENT
11/1/12	MARY JANE T. SANTIAGO	-	Accounting Clerk	-	R. Nubla Securities, Inc.	NEW APPOINTMENT
11/5/12	LEA JANNAH P. DUCE	-	HR Staff	-	COL Financial Group, Inc.	NEW APPOINTMENT
11/5/12	LEA CRUZ	-	Backroom Accounting Personnel	-	Yu and Company, Inc.	NEW APPOINTMENT
11/7/12	VANESSA C. GUILLO	HR Assistant Supervisor	-	COL Financial Group, Inc.	-	RESIGNATION
11/13/12	ALVIN TAN	-	Head of Research	-	Credit Suisse Securities (Philippines), Inc.	NEW APPOINTMENT
11/19/12	CHONG CHUANG LIM	-	Trader Trainee	-	Yu and Company, Inc.	NEW APPOINTMENT