



## MEMORANDUM – 2019-002

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 4 January 2019

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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 December 2018.

For information and guidance.

A handwritten signature in blue ink, reading 'Daisy P. Arce', is positioned above the printed name.

**DAISY P. ARCE**

*President*

| DATE OF EFFECTIVITY | LAST NAME  | FIRST NAME           | PREVIOUS POSITION                   | PRESENT POSITION                           | PRESENT EMPLOYER                             | REMARKS                               |
|---------------------|------------|----------------------|-------------------------------------|--|--|---------------------------------------|
| 31-Oct-18           | GAMO       | MICHAEL A.           | -                                   | CORPORATE SECRETARY                        | SB EQUITIES, INC.                            | NEW EMPLOYMENT                        |
| 31-Oct-18           | AQUINO     | MELISSA R.           | CORPORATE SECRETARY                 | -  | SB EQUITIES, INC.                            | RESIGNATION                           |
| 05-Nov-18           | BAMBER     | RICHARD MARK ANTHONY | -                                   | ACTING MANAGING DIRECTOR                   | SALISBURY BKT SECURITIES CORPORATION         | NEW EMPLOYMENT                        |
| 05-Nov-18           | MONTEMAYOR | RONA MAE O.          | OJT                                 | -  | FIRST METRO SECURITIES BROKERAGE CORPORATION | RESIGNATION (cleared)                 |
| 05-Nov-18           | CALLOS     | DIANNA MAE V.        | OJT                                 | -  | FIRST METRO SECURITIES BROKERAGE CORPORATION | RESIGNATION (cleared)                 |
| 06-Nov-18           | ONG        | ALBERT G.            | MANAGER/ SALESMAN                   | MANAGER/ SALESMAN/ DATA PROTECTION OFFICER | CENTURY SECURITIES, CORPORATION              | NEW EMPLOYMENT                        |
| 07-Nov-18           | CAPUNO     | MARILYN P.           | SETTLEMENT SUPPORT                  | SETTLEMENT OFFICER                         | UBS SECURITIES PHIL.                         | RE-DESIGNATION                        |
| 08-Nov-18           | BAUTISTA   | JERICO R.            | OJT                                 | -  | FIRST METRO SECURITIES BROKERAGE CORPORATION | RESIGNATION (cleared)                 |
| 12-Nov-18           | SANTOS     | SARAH NICOLE T.      | CONSULTANT                          | CONSULTANT/ SALESMAN                       | AB CAPITAL SECURITIES, INC.                  | RE-DESIGNATION                        |
| 12-Nov-18           | LAY        | EDGAR V.             | JUNIOR EQUITY ANALYST               | JUNIOR EQUITY ANALYST/ SALESMAN            | AB CAPITAL SECURITIES, INC.                  | RE-DESIGNATION                        |
| 12-Nov-18           | SY         | ANN MARIE P.         | -                                   | SALESMAN/ TRADER                           | HDI SECURITIES, INC.                         | NEW EMPLOYMENT                        |
| 14-Nov-18           | KATO       | AYUMI A.             | -                                   | BUSINESS DEVELOPMENT ASSOCIATE             | DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.  | NEW EMPLOYMENT                        |
| 15-Nov-18           | POBLETE    | ERJAN PAUL M.        | AGENT                               | -  | FIDELITY SECURITIES, INC.                    | RESIGNATION (clearance under process) |
| 15-Nov-18           | SYQUIATCO  | TIMOTHY JAMES S.     | CERTIFIED SECURITIES REPRESENTATIVE | -  | H.E. BENNETT SECURITIES, INC.                | UPDATE: RESIGNATION (cleared)         |
| 16-Nov-18           | BALANTE    | MARIELLE P.          | -                                   | SETTLEMENT OFFICER                         | GLOBALINKS SECURITIES & STOCKS, INC.         | NEW EMPLOYMENT                        |

| DATE OF EFFECTIVITY | LAST NAME     | FIRST NAME              | PREVIOUS POSITION                       | PRESENT POSITION                    | PRESENT EMPLOYER                             | REMARKS                               |
|---------------------|---------------|-------------------------|---|-------------------------------------|--|---------------------------------------|
| 19-Nov-18           | AYSON         | ARIAN D.                | -                                       | TRADING ASSISTANT                   | SALISBURY BKT SECURITIES CORPORATION         | NEW EMPLOYMENT                        |
| 19-Nov-18           | BUENAVISTA    | GLEN D.                 | -                                       | IT TECHNICAL SUPPORT                | SALISBURY BKT SECURITIES CORPORATION         | NEW EMPLOYMENT                        |
| 20-Nov-18           | VALENTOS, JR. | SALVADOR                | ACCOUNTANT                              | PRIMARY ASSOCIATED PERSON           | LUY'S SECURITIES COMPANY, INC.               | RE-DESIGNATION                        |
| 20-Nov-18           | VICTORIOSO    | ALICIA R.               | ASSOCIATED PERSON                       | SECONDARY ASSOCIATED PERSON         | LUY'S SECURITIES COMPANY, INC.               | RE-DESIGNATION                        |
| 23-Nov-18           | CARIASO       | ELAINE K.               | RESEARCH ASSISTANT                      | -                                   | ABACUS SECURITIES CORPORATION                | RESIGNATION (cleared)                 |
| 24-Nov-18           | FAROLAN       | RAMIR E.                | OIC - HEAD, ACCOUNTING, FINANCE AND MIS | -                                   | BPI SECURITIES CORPORATION                   | RESIGNATION                           |
| 26-Nov-18           | ARABELO       | HERBERT GLEN D.         | -                                       | DIVISION HEAD - INSTITUTIONAL SALES | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT                        |
| 26-Nov-18           | MUTYA         | MARLON P.               | -                                       | SALESMAN                            | SB EQUITIES, INC.                            | NEW EMPLOYMENT                        |
| 27-Nov-18           | DE LEON       | EDWIN P.                | -                                       | DRIVER                              | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT                        |
| 27-Nov-18           | DIAZ          | JOHN PATRICK R.         | CONTRACTUAL DRIVER                      | -                                   | CLSA PHILS., INC.                            | RESIGNATION (no clearance required)   |
| 28-Nov-18           | JHOCSON       | ANNA PATRICIA T.        | -                                       | ASSISTANT CORPORATE SECRETARY       | J. P. MORGAN SECURITIES PHILS, INC.          | NEW EMPLOYMENT                        |
| 30-Nov-18           | MERCADO       | MA. KATRINA PATRICIA G. | EQUITY RESEARCH ANALYST                 | -                                   | FIRST METRO SECURITIES BROKERAGE CORPORATION | RESIGNATION (clearance under process) |
| 30-Nov-18           | SUNGA         | VON HERBERT T.          | HEAD OF IT                              | -                                   | SALISBURY BKT SECURITIES CORPORATION         | RESIGNATION                           |
| 30-Nov-18           | CORTIÑAS      | JAY C.                  | TRADER                                  | -                                   | A. T. DE CASTRO SECURITIES CORPORATION       | RESIGNATION                           |
| 01-Dec-18           | REYES         | MA. ELEANOR C.          | RESEARCH HEAD                           | AVP - FINANCE HEAD                  | UNICAPITAL SECURITIES, INC.                  | RE-DESIGNATION                        |

| DATE OF EFFECTIVITY | LAST NAME | FIRST NAME         | PREVIOUS POSITION                          | PRESENT POSITION                         | PRESENT EMPLOYER                       | REMARKS                                |
|---------------------|-----------|--------------------|--|--|--|--|
| 01-Dec-18           | VILLAREAL | MARK JANIEL M.     | TRAINEE                                    | TRADER                                   | A. T. DE CASTRO SECURITIES CORPORATION | RE-DESIGNATION                         |
| 01-Dec-18           | LORES     | JOHN MICHAEL       | TRAINEE                                    | TRADER                                   | A. T. DE CASTRO SECURITIES CORPORATION | RE-DESIGNATION                         |
| 01-Dec-18           | WEE       | ENRIQUE            | SALESMAN                                   | -  | SB EQUITIES, INC.                      | RESIGNATION (cleared)                  |
| 01-Dec-18           | YAMAKAWA  | TAKASHI            | SVP/ CHIEF ADMIN OFFICER/<br>DIRECTOR      | DIRECTOR                                 | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | YAP       | WALTER FRANCIS A.  | AVP/ RELATIONS MANAGER                     | AVP/ MARKETING<br>RELATIONSHIP HEAD -    | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | TINIMBANG | LORIS C.           | JAM/ OPERATIONS                            | MARKETING RELATIONSHIP<br>OFFICER        | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | PALMA     | JOHN PAUL Y.       | ONLINE TRADING SALES<br>SUPPORT            | MARKETING RELATIONSHIP<br>OFFICER        | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | ABIGAN    | PAUL LOUIE T.      | JAM/ RETAIL SALES SUPPORT                  | MARKETING RELATIONSHIP<br>OFFICER        | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | MCCOY     | ANN KRISSELD A.    | AM/ RETAIL BUSINESS<br>DEVELOPMENT OFFICER | MARKETING RELATIONSHIP<br>OFFICER        | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | LUMANLAN  | TERESA JOY F.      | AM/ RETAIL BUSINESS<br>DEVELOPMENT OFFICER | MARKETING RELATIONSHIP<br>OFFICER        | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | PANOPIO   | ANNE DENISE P.     | RETAIL SALES SUPPORT OFFICER               | MARKETING RELATIONSHIP<br>OFFICER        | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | COLOMA    | ALYSSA ERICA M.    | RETAIL SALES OFFICER                       | MARKETING RELATIONSHIP<br>OFFICER        | BDO NOMURA SECURITIES INC.             | RE-DESIGNATION                         |
| 01-Dec-18           | PIRAMO    | LIRIO M.           | ACCOUNTANT                                 | TREASURER                                | HDI SECURITIES, INC.                   | RE-DESIGNATION                         |
| 01-Dec-18           | GONZALES  | ATHENA B.          | TREASURER                                  | -  | HDI SECURITIES, INC.                   | RESIGNATION<br>(no clearance required) |
| 03-Dec-18           | ENRIQUEZ  | KENNETH MERVIN A . | -  | IT APPLICATIONS<br>DEVELOPMENT ASSISTANT | COL FINANCIAL PHILIPPINES              | NEW EMPLOYMENT                         |

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|---------------------|-----------|---------------------|--|--|--------------------------------------|--|
| 03-Dec-18           | MIRAS     | PAULA PAMELA P.     | -  | ACCOUNTING STAFF                           | COL FINANCIAL PHILIPPINES            | NEW EMPLOYMENT                           |
| 03-Dec-18           | BILLON    | JESSA C.            | -  | ACCOUNTING STAFF                           | COL FINANCIAL PHILIPPINES            | NEW EMPLOYMENT                           |
| 03-Dec-18           | CORTIÑAS  | JAY C.              | -  | TRADING ASSISTANT                          | VC SECURITIES CORPORATION            | NEW EMPLOYMENT                           |
| 03-Dec-18           | TE        | MATTHEW ANDERSON C. | -  | RESEARCH ASSISTANT                         | PAPA SECURITIES CORPORATION          | NEW EMPLOYMENT                           |
| 03-Dec-18           | MACAPAGAL | VICTOR P.           | -  | IT HEAD                                    | UNICAPITAL SECURITIES, INC.          | NEW EMPLOYMENT                           |
| 03-Dec-18           | ESTACIO   | WENDY B.            | RESEARCH ANALYST                           | RESEARCH HEAD                              | UNICAPITAL SECURITIES, INC.          | RE-DESIGNATION                           |
| 03-Dec-18           | MATEL     | RINA G.             | SETTLEMENT CLERK                           | -  | PHIL-PROGRESS SECURITIES CORPORATION | RESIGNATION                              |
| 03-Dec-18           | SIOSON    | ANNALIZA A.         | -  | SETTLEMENT CLERK                           | PHIL-PROGRESS SECURITIES CORPORATION | NEW EMPLOYMENT                           |
| 03-Dec-18           | LIBUTAN   | AGATON M.           | -  | MESSENGER                                  | CLSA PHILS., INC.                    | NEW EMPLOYMENT                           |
| 04-Dec-18           | NARIO     | RHOVIN CRISTIAN M.  | RISK OFFICER                               | -  | BPI SECURITIES CORPORATION           | RESIGNATION                              |
| 05-Dec-18           | LOPEZ     | ATTY. RUBEN V.      | -  | DIRECTOR                                   | UCPB SECURITIES, INC.                | NEW EMPLOYMENT                           |
| 05-Dec-18           | WONG      | ANGELIN             | CORPORATE SECRETARY/<br>TREASURER/ GENERAL | CORPORATE SECRETARY/<br>TREASURER/ GENERAL | WONG SECURITIES CORPORATION          | RE-DESIGNATION                           |
| 05-Dec-18           | VILLARUEL | EDWARD P.           | IT STAFF                                   | -  | COL FINANCIAL PHILIPPINES            | RESIGNATION<br>(clearance under process) |
| 15-Dec-18           | MANLAPAZ  | ANGELICA P.         | FINANCE STAFF - CONTRACTUAL                | -  | MAYBANK ATR KIM ENG SECURITIES, INC. | RESIGNATION (cleared)                    |
| 15-Dec-18           | CHING     | EIRAH WYNONA S.     | OJT - RESEARCH                             | -  | MAYBANK ATR KIM ENG SECURITIES, INC. | RESIGNATION (cleared)                    |

| DATE OF EFFECTIVITY | LAST NAME | FIRST NAME    | PREVIOUS POSITION                   | PRESENT POSITION               | PRESENT EMPLOYER            | REMARKS                                  |
|---------------------|-----------|---------------|-------------------------------------|--------------------------------|-----------------------------|--|
| 17-Dec-18           | RECTO     | EDNALYN D.    | -                                   | MARKETING OFFICER              | PAPA SECURITIES CORPORATION | NEW EMPLOYMENT                           |
| 17-Dec-18           | DEE       | DONALD G.     | DIRECTOR                            | -                              | VC SECURITIES CORPORATION   | DECEASED                                 |
| 17-Dec-18           | LACSON    | EDGARDO G.    | -                                   | INDEPENDENT DIRECTOR           | VC SECURITIES CORPORATION   | NEW EMPLOYMENT                           |
| 18-Dec-18           | TABIJE    | CARINA N.     | -                                   | ASSOCIATED PERSON - ACCOUNTING | UNICAPITAL SECURITIES, INC. | NEW EMPLOYMENT                           |
| 18-Dec-18           | NINO      | FREDA C.      | -                                   | ASSOCIATED PERSON - ACCOUNTING | UNICAPITAL SECURITIES, INC. | NEW EMPLOYMENT                           |
| 21-Dec-18           | NGO       | VINCENT T.    | CSR EQUITIES TRADER                 | -                              | CITISECURITIES, INC.        | RESIGNATION<br>(clearance under process) |
| 26-Dec-18           | NGO       | EVANGELINE T. | CERTIFIED SECURITIES REPRESENTATIVE | -                              | AB CAPITAL SECURITIES, INC. | RESIGNATION<br>(clearance under process) |