



## MEMORANDUM – 2019-015

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 4 April 2019

---

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 March 2019.

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
06-Feb-19	LACBAWAN	JOY ANGELI A.	-	FINANCIAL ANALYST	DEUTSCHE REGIS PARTNERS INC.	NEW EMPLOYMENT
06-Feb-19	LEE	KON	VICE PRESIDENT	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION (cleared)
08-Feb-19	DE GRACIA	RENIER P.	-	CONTRACTUAL - MOTORIZED MESSENGER	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
08-Feb-19	LOPEZ	STEPHANY CRIS J.	-	CONTRACTUAL - LIAISON CLERK	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
11-Feb-19	VIADO	JERALYN A.	SETTLEMENT OFFICER	-	SUPREME STOCKBROKER, INC.	RESIGNATION
11-Feb-19	BESMONTE	KAREN DANIELE	-	RESEARCH ANALYST	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
11-Feb-19	ESPINA	JOHNIR L.	ASSOCIATE, SETTLEMENTS	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION (cleared)
11-Feb-19	SANDIG	RICO G.	-	CONTRACTUAL - MESSENGER	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
14-Feb-19	KATO	AYUMI A.	BUSINESS DEVELOPMENT ASSOCIATE	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (cleared)
15-Feb-19	RAYMOND	BRIAN ALDRICH	SALESMAN	-	F. YAP SECURITIES, INC.	RESIGNATION (cleared)
15-Feb-19	DUMOL	LOURDES F.	RESEARCH ANALYST	-	BDO SECURITIES CORPORATION	RESIGNATION (cleared)
15-Feb-19	GO	DIANNE NICOLE O.	RESEARCH ANALYST	-	BDO SECURITIES CORPORATION	RESIGNATION (cleared)
15-Feb-19	RACE	MARK ROME M.	-	HEAD OF SALES	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
15-Feb-19	DIAZ DE RIVERA	JOHN VINCENT B.	ALTERNATE CORPORATE SECRETARY	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (cleared)
16-Feb-19	SANIEL	JAN MICHAEL P.	-	RESEARCH ANALYST	BPI SECURITIES CORPORATION	NEW EMPLOYMENT

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
16-Feb-19	LEE	KAREN F.	SALES TRADER/ DEALER	DEALER/ TRADER	SALISBURY BKT SECURITIES CORPORATION	RE-DESIGNATION
16-Feb-19	CO	RONALD EMMANUEL A.	DEPARTMENT HEAD - OPERATIONS (SM)	DEPARTMENT HEAD - OPERATIONS (AVP)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Feb-19	BELTRAN	ANDRO LEO I.	DEPARTMENT HEAD - BUSINESS DEVELOPMENT (SM)	DEPARTMENT HEAD - BUSINESS DEVELOPMENT (AVP)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Feb-19	TINIMBANG	JERVIS C.	DEPARTMENT HEAD - INSTITUTIONAL DEALING (SM)	DEPARTMENT HEAD - INSTITUTIONAL DEALING (AVP)	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Feb-19	ZARCAL	LUIS MIGUEL M.	EQUITY RESEARCH ASSOCIATE - JL4	EQUITY RESEARCH ANALYST - JAM	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Feb-19	HAGURING	MARY GRACE S.	NEW ACCOUNTS ASSOCIATE - JL4	NEW ACCOUNTS OFFICER - JAM	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Feb-19	BORGA	JOHN ANTHONY M.	BUSINESS DEVELOPMENT OFFICER	SECTION HEAD - VISAYAS BUSINESS DEVELOPMENT	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
16-Feb-19	SAMSON	ROBERTO MARCO N.	BUSINESS DEVELOPMENT OFFICER	SECTION HEAD - MINDANAO BUSINESS DEVELOPMENT	FIRST METRO SECURITIES BROKERAGE CORPORATION	RE-DESIGNATION
18-Feb-19	LUCANAS	KARYL S.	-	SETTLEMENT OFFICER	GLOBALINKS SECURITIES & STOCKS, INC.	NEW EMPLOYMENT
18-Feb-19	CANAVE	SARAH JANE P.	-	ACCOUNTING HEAD	SB EQUITIES, INC.	NEW EMPLOYMENT
18-Feb-19	ESPINA	JOHNIR SERGS L.	ASSOCIATE, RESEARCH ANALYST	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (no clearance required)
18-Feb-19	ARELLANO	HILARIO M.	-	CONTRACTUAL - MESSENGER (DAVAO)	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
18-Feb-19	BAUTISTA	BERNADINE B.	-	RESEARCH ASSISTANT	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
22-Feb-19	BARRENECHEA III	FERMIN D.	INDEPENDENT DIRECTOR	-	J. P. MORGAN SECURITIES PHILS, INC.	RESIGNATION (no clearance required)
22-Feb-19	CORONEL	MA. DIGNA M.	-	INDEPENDENT DIRECTOR	J. P. MORGAN SECURITIES PHILS, INC.	NEW EMPLOYMENT

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
22-Feb-19	ARUGAY	ALFIE C.	DRIVER	-	HDI SECURITIES, INC.	RESIGNATION (no clearance required)
25-Feb-19	FAJARDO	JOHN KENNARD T.	HEAD OF EQUITY	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (cleared)
26-Feb-19	CONSTANTINO	CRISTINA E.	-	SETTLEMENT OFFICER	SUPREME STOCKBROKER, INC.	NEW EMPLOYMENT
26-Feb-19	LIM	MARK ANDREW A.	MANAGER - TRADING & DEALING	HEAD OF TRADING & DEALING	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION
26-Feb-19	CASANO	RAMON EMILIO Y.	SENIOR TRADER/ DEALER	SENIOR EQUITIES DEALER	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION
26-Feb-19	MENCHACA	JUAN MIGUEL G.	EXECUTION DEALER	EQUITIES DEALER	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION
26-Feb-19	ANICETO	MYLES BENEDICT S.	EXECUTION DEALER	EQUITIES DEALER	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION
26-Feb-19	SAN JOSE	ROLANDO A.	TRADER	EXECUTION TRADER	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION
26-Feb-19	GONZALES	JANINE MARIE M.	CORPORATE ACCESS/ ADMIN STAFF	BUSINESS DEVELOPMENT ASSOCIATE	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION
26-Feb-19	CHUAHIOCK	MARC C.	-	SALESMAN	A & A SECURITIES, INC.	NEW EMPLOYMENT
26-Feb-19	SANTILLAN	PIA E.	ACCOUNTING HEAD	-	SB EQUITIES, INC.	RESIGNATION (cleared)
26-Feb-19	BONADOR	JONALYN G.	-	ACCOUNTING SPECIALIST	HDI SECURITIES, INC.	NEW EMPLOYMENT
28-Feb-19	OCAMPO	J. MARIANO P.	CERTIFIED SECURITIES REPRESENTATIVE	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
28-Feb-19	CRUZ	LUISA LEAH L.	SALESMAN	-	SINCERE SECURITIES CORPORATION	RESIGNATION (cleared)
28-Feb-19	CABIAS	FELY B.	OFFICE CLERK	-	JSG SECURITIES, INC.	RESIGNATION (no clearance required)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
28-Feb-19	ALDEZA	JOHN V.	ACCOUNTING CLERK	-	GLOBALINKS SECURITIES & STOCKS, INC.	RESIGNATION
28-Feb-19	BALANTE	MARIELLE P.	SETTLEMENT OFFICER	-	GLOBALINKS SECURITIES & STOCKS, INC.	RESIGNATION
28-Feb-19	PUCYUTAN	JUANITO M.	ACCOUNTANT	-	DEUTSCHE REGIS PARTNERS INC.	RESIGNATION (clearance under process)
28-Feb-19	SALAZAR	NORLITA C.	DOCUMENTATION SPECIALIST	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
28-Feb-19	ARAMBULO	MARIA JACQUELINE L.	DATA PROTECTION OFFICER	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)
28-Feb-19	OLIVEROS	EDWIN G.	AVP, INFORMATION TECHNOLOGY	DATA PROTECTION OFFICER & AVP, INFORMATION	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RE-DESIGNATION
28-Feb-19	DE GUZMAN	MANOLO MICHAEL	DIRECTOR AND CHAIRMAN OF THE BOARD	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)
28-Feb-19	PRASERTSINTANAH	PORNCHAI	-	DIRECTOR AND CHAIRMAN OF THE BOARD	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
01-Mar-19	BORNALES	MARIA ALONDRA F.	-	OFFICE CLERK	JSG SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-19	CRUZ	LUISA LEAH L.	-	TRADER	LUY'S SECURITIES COMPANY, INC.	NEW EMPLOYMENT
01-Mar-19	GOH	JEFFREY N.	MARKETING INTERN	-	COL FINANCIAL PHILIPPINES	RESIGNATION (clearance under process)
01-Mar-19	LUBAY	SHEILA MAE R.	ACCOUNTING ASSISTANT	-	S. J. ROXAS & COMPANY, INC.	RESIGNATION
01-Mar-19	BELLEZA	GERALDINE E.	OFFICER-IN-CHARGE - SETTLEMENT	SETTLEMENT ASSISTANT	SALISBURY BKT SECURITIES CORPORATION	RE-DESIGNATION
01-Mar-19	BALANTE	MARIELLE P.	-	SETTLEMENT OFFICER	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
01-Mar-19	GENOVE	MA. ROSENDA D.	-	JUNIOR ACCOUNTANT	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
01-Mar-19	CRUZ	MANUEL P.	EXECUTIVE VICE PRESIDENT	EXECUTIVE VICE PRESIDENT/ SALESPERSON	PAPA SECURITIES CORPORATION	RE-DESIGNATION
01-Mar-19	SYQUIATCO	TIMOTHY JAMES S.	-	SALESPERSON	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
01-Mar-19	CASTILLO	CESAR D.	MIDDLE OFFICE ANALYST	SALES - DEALER	SB EQUITIES, INC.	RE-DESIGNATION
02-Mar-19	MARZAN, JR.	ANTHONY C.	CUSTOMER SUPPORT OFFICER	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
04-Mar-19	MALLARI, JR.	WENCESLAO A.	-	RESEARCH DIRECTOR	STRATEGIC EQUITIES CORPORATION	NEW EMPLOYMENT
04-Mar-19	CASTRO	ROYCE EMMANUEL D.	OJT - RESEARCH	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
04-Mar-19	HASSAN	ROLLY H.	JUNIOR ASSOCIATE, MESSENGER/ COLLECTOR	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (no clearance required)
04-Mar-19	AGUILLON	ALTAIR GRACE A.	-	SALESMAN - AGENT	SB EQUITIES, INC.	NEW EMPLOYMENT
05-Mar-19	ROBERTO	FE P.	ADMINISTRATIVE ASSISTANT	-	R. COYIUTO SECURITIES, INC.	RESIGNATION (no clearance required)
05-Mar-19	LINGA	CHERNOBYLE P.	TREASURY ASSISTANT - CONTRACTUAL	TREASURY STAFF	R. COYIUTO SECURITIES, INC.	RE-DESIGNATION
07-Mar-19	CABRAL	MARTHA MAY C.	OPERATIONS STAFF, COG-TOD, CBC	-	CHINA BANK SECURITIES CORP. (formerly ATC SECURITIES,	RESIGNATION (no clearance required)
08-Mar-19	ABAD	EMMA M.	-	DIRECTOR	AAA SOUTHEAST EQUITIES, INC.	NEW EMPLOYMENT
08-Mar-19	CANCIO	AMBROCIA D.	DIRECTOR	-	AAA SOUTHEAST EQUITIES, INC.	RESIGNATION
11-Mar-19	GONZALES	RICHARD C.	-	WEBSITE DEVELOPER	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
11-Mar-19	VALERIO	MARIO A.	-	SALESMAN	SUNSECURITIES, INC.	NEW EMPLOYMENT



DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
11-Mar-19	CHUAUNSU	DOMINIC RAINIER M.	-	RESEARCH ANALYST	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
12-Mar-19	MANUEL	JAYNIEL CARL S.	TRAINEE	TRADER	EASTERN SECURITIES DEVT. CORPORATION	RE-DESIGNATION
13-Mar-19	ANG	CARINA T.	-	TRADER	SOLAR SECURITIES, INC.	NEW EMPLOYMENT
13-Mar-19	YU	MANUEL P.	-	TRADER	SOLAR SECURITIES, INC.	NEW EMPLOYMENT
15-Mar-19	LOPEZ	HOMER JUAN V.	OFFICE CLERK	-	R.S. LIM & COMPANY, INC.	TERMINATION
16-Mar-19	FAJARDO	JOHN KENNARD T.	-	DEPUTY CEO	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-19	VILLACORTA	DARLENE GRACE A.	-	CLIENT RELATIONS ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
18-Mar-19	DELA PENA	JENESIS A.	-	SALESMAN	FIDELITY SECURITIES, INC.	NEW EMPLOYMENT
18-Mar-19	POBLETE	ERJAN PAUL M.	-	AGENT	FIDELITY SECURITIES, INC.	NEW EMPLOYMENT
18-Mar-19	YU	BIANCA LAURENN R.	-	ACCOUNTANT	VC SECURITIES CORPORATION	NEW EMPLOYMENT
18-Mar-19	ILAGAN	MARCELLE LEA V.	ADMINISTRATIVE ASSISTANT	OPERATIONS MANAGER	PAPA SECURITIES CORPORATION	RE-DESIGNATION
18-Mar-19	GO	NORMAN JAY F.	-	ASSISTANT VICE PRESIDENT - HEAD OF INSTITUTIONAL SALES	RCBC SECURITIES, INC.	NEW EMPLOYMENT
20-Mar-19	ROMANO	RODOLFO P.	-	DRIVER	HDI SECURITIES, INC.	NEW EMPLOYMENT
21-Mar-19	JAVIER	KIM MANUEL	JUNIOR SETTLEMENTS STAFF	-	AP SECURITIES, INC.	RESIGNATION
21-Mar-19	STO. DOMINGO	CHERRY JOY B.	MIDDLE OFFICE ASSISTANT	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
21-Mar-19	VILLAR	LYKA B.	FINANCE STAFF - CONTRACTUAL	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
29-Mar-19	GINDAP	ARTHUR GERARD D.	-	INDEPENDENT DIRECTOR	COL FINANCIAL PHILIPPINES	NEW EMPLOYMENT
29-Mar-19	LITMAN	JOEL	DIRECTOR	-	COL FINANCIAL PHILIPPINES	RESIGNATION (no clearance required)
31-Mar-19	RECTO	EDNALYN D.	MARKETING OFFICER	-	PAPA SECURITIES CORPORATION	RESIGNATION