



MEMORANDUM – 2020-001

To : All Trading Participants

Subject : Employee Movement

Date : 3 January 2020

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 2019.

For information and guidance.

(Original signed)

DAISY P. ARCE

President

DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
30-Oct-19	NASOL	JAMES B.	-	MESSENGER	SB EQUITIES, INC.	NEW EMPLOYMENT
01-Nov-19	MAULEON	MARCO R.	RESEARCH ANALYST	-	SB EQUITIES, INC.	RESIGNATION (cleared)
11-Nov-19	GURIMBAO	ABIGAE L. G.	-	ACCOUNTING SPECIALIST	HDI SECURITIES, INC.	NEW EMPLOYMENT
11-Nov-19	TAN JR.	LUCIO	NOMINEE & PRESIDENT	-	PAN ASIA SECURITIES CORPORATION	DECEASED
11-Nov-19	MENDOZA	JENNELEA B.	-	CLERK	S.J. ROXAS & CO., INC.	NEW EMPLOYMENT
12-Nov-19	CO	FRANCISCO	INDEPENDENT DIRECTOR	-	CUALOPING SECURITIES CORPORATION	RESIGNATION
12-Nov-19	SANGA	JOSEPHINE C.	-	INDEPENDENT DIRECTOR	CUALOPING SECURITIES CORPORATION	NEW EMPLOYMENT
15-Nov-19	BATAC	MARY ANNE D.	-	SECURITIES TRADER FOR FIXED INCOME TRADING	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
15-Nov-19	FUENTES	KYRA ADELAINE M.	-	RELATIONSHIP ASSISTANT	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
15-Nov-19	LIM	SELENE BERNICE L.	-	RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
15-Nov-19	LIMBO	ROVIE ROSE D.	-	RELATIONSHIP ASSISTANT	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
15-Nov-19	ORBINA	MARIA SHEREENE P.	-	RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
15-Nov-19	WOO	ELYN D.	-	RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
18-Nov-19	PAMOR	MARJORIE M.	-	ASSOCIATED PERSON	WEALTH SECURITIES, INC.	NEW EMPLOYMENT
18-Nov-19	YU	KENNETH LOGAN Y.	-	SALES TRADER	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT

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20-Nov-19	BONADOR	JONALYN G.	ACCOUNTING SPECIALIST	-	HDI SECURITIES, INC.	RESIGNATION (no clearance required)
21-Nov-19	QUIRAY	CLAIRE S.	AUTHORIZED SALESMAN	-	REGINA CAPITAL DEVT. CORPORATION	RESIGNATION (clearance under process)
21-Nov-19	JANI	EKHWAN B.	DIRECTOR	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
22-Nov-19	LUY	IRENE T.	-	PRESIDENT	PAN ASIA SECURITIES CORPORATION	NEW EMPLOYMENT
22-Nov-19	VIJENDRAN	RAJIV	-	DIRECTOR	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
22-Nov-19	AGERO	FRANCKO L.	TRADE ASSOCIATE	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
26-Nov-19	BELEN	MARJORIE D.	CUSTOMER SERVICE CLERK/ CERTIFIED SECURITIES	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
27-Nov-19	VELASCO	MARCO NINO M.	BRANCH MANAGER, CEBU	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
29-Nov-19	HUANG	THOMAS EARL A.	-	RESEARCH ANALYST OFFICER	BDO NOMURA SECURITIES INC.	NEW EMPLOYMENT
30-Nov-19	SEE	JEFF RADLEY C.	AGENT/ SALESMAN	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
30-Nov-19	CHAN	KIRK PATRICK G.	AUTHORIZED TRADER	-	YU & COMPANY, INC.	RESIGNATION
30-Nov-19	TORIO	EDISEO V.	AGENT	-	WESTLINK GLOBAL EQUITIES, INC.	RESIGNATION (cleared)
30-Nov-19	ESTONILO	MAUREEN ALICIA L.	HR STAFF	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
30-Nov-19	SALES	MARIA BERNADETTE Y.	TRAINEE	-	R. NUBLA SECURITIES, INC.	RESIGNATION (no clearance required)
01-Dec-19	SALVATIERRA	KATRINA MARIE D.	JUNIOR DEALER/ SALESMAN	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)

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01-Dec-19	LIBORO	RICHARD ANTHONY Y.	MANAGING DIRECTOR - SALES AND DISTRIBUTION,	SALESMAN/ CERTIFIED INVESTMENT SOLICITOR	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
01-Dec-19	DELA CRUZ	ANDY WILLING JR.	INSTITUTIONAL SALES	INSTITUTIONAL SALES, INSTITUTIONAL BUSINESS	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Dec-19	DELA CRUZ	STEPHANIE ANNE	PRODUCT SPECIALIST, PRIVATE CLIENTS GROUP	EQUITY DEALER, INSTITUTIONAL BUSINESS	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Dec-19	BASILLA	MARIA YSABEL B.	DEALING SPECIALIST, PRIVATE CLIENTS GROUP	EQUITY DEALER, INSTITUTIONAL BUSINESS	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Dec-19	SABATER	ANN THERESE C.	DEALING SPECIALIST, PRIVATE CLIENTS GROUP	SALES DEALER, INSTITUTIONAL BUSINESS GROUP	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Dec-19	TANG	JOSEPH SAMUEL H.	HEAD, INSTITUTIONAL SALES, PRIVATE CLIENTS GROUP	HEAD, INSTITUTIONAL SALES, INSTITUTIONAL BUSINESS	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
01-Dec-19	GARCIA	MA. RAQUEL R.	VICE PRESIDENT/ SALESMAN	VICE PRESIDENT/ SALESMAN/ CORPORATE SECRETARY	MDR SECURITIES, INC.	RE-DESIGNATION
01-Dec-19	MANUEL	AMALIA LOURDES R.	DIRECTOR/ VP/ CORPORATE SECRETARY/ ASSOCIATED	DIRECTOR/ VP/ASSOCIATED PERSON	MDR SECURITIES, INC.	RE-DESIGNATION
01-Dec-19	MENESES	JUDIE Q.	SETTLEMENT CLERK	-	BA SECURITIES, INC.	RESIGNATION (cleared)
02-Dec-19	FELICILDA	ANGELINE B.	ASSISTANT MANAGER, ACCOUNTING	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
02-Dec-19	LARANANG	MARK DAVE R.	RESEARCH ANALYST	-	CHINA BANK SECURITIES CORP.	RESIGNATION (cleared)
02-Dec-19	FRADEJAS	SHANE MAE L.	-	OFFICE CLERK	R.S. LIM & COMPANY, INC.	NEW EMPLOYMENT
02-Dec-19	FELICILDA	ANGELINE B.	ASSISTANT MANAGER, ACCOUNTING	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
02-Dec-19	SALVATIERRA	KATRINA MARIE D.	JUNIOR DEALER/ SALESMAN	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
02-Dec-19	BELEN	MARJORIE D.	-	TRADER	UCPB SECURITIES, INC.	NEW EMPLOYMENT

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05-Dec-19	MORON	EDNA E.	SETTLEMENT CLERK	-	S.J. ROXAS & CO., INC.	RESIGNATION
05-Dec-19	MONSERRAT	MARYL JASMIN	HR ADMINISTRATIVE ASSISTANT	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
06-Dec-19	BAUTISTA	GABRIEL J.	-	CERTIFIED SALES REPRESENTATIVE	TANSENGCO & COMPANY, INC.	NEW EMPLOYMENT
06-Dec-19	STA. MARIA	REINIER C.	-	CERTIFIED SALES REPRESENTATIVE	TANSENGCO & COMPANY, INC.	NEW EMPLOYMENT
09-Dec-19	MONTEMAYOR	CHARMAINE A.	JUNIOR TRADER	SETTLEMENTS OFFICER	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
09-Dec-19	REYES	JAZZELYN F.	JUNIOR TRADER	SETTLEMENTS OFFICER	MAYBANK ATR KIM ENG SECURITIES, INC.	RE-DESIGNATION
09-Dec-19	CAJAYON	ATTY. EUNICE	CORPORATE SECRETARY	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RESIGNATION (cleared)
09-Dec-19	TIONGCO	ATTY. SANTIAGO	ASSISTANT CORPORATE SECRETARY	CORPORATE SECRETARY	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	RE-DESIGNATION
09-Dec-19	RELOJO	ATTY. KRISTINE MAE D.	-	ASSISTANT CORPORATE SECRETARY	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	NEW EMPLOYMENT
10-Dec-19	UNGAB	JENNILYN	OFFICE STAFF - TRAINEE	ACCOUNTING STAFF	CUALOPING SECURITIES CORPORATION	RE-DESIGNATION
10-Dec-19	MAGNAYE	MARIA ARVINA	OFFICE STAFF - TRAINEE	ACCOUNTING STAFF	CUALOPING SECURITIES CORPORATION	RE-DESIGNATION
11-Dec-19	TINIMBANG	AYRA KATRINA S.	CUSTOMER SUPPORT OFFICER	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
12-Dec-19	MANCILLA	BLYTHE JAYNE O.	TREASURER/ COMPLIANCE OFFICER	TREASURER/ COMPLIANCE OFFICER/ ASSOCIATED PERSON	GOLDSTAR SECURITIES, INC.	RE-DESIGNATION
13-Dec-19	CLAMANO	BRYAN JAMES N.	SALESMAN/ AGENT	-	AAA SOUTHEAST EQUITIES, INC.	RESIGNATION
13-Dec-19	SEE	JEFF RADLEY C.	-	BUSINESS DEVELOPMENT OFFICER	MERCANTILE SECURITIES, CORPORATION	NEW EMPLOYMENT

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16-Dec-19	DY-TANG	ELMER JASON D.	-	EQUITIES INVESTMENT ADVISER/ SALESMAN	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
16-Dec-19	RAMOS	JERICO R.	-	EQUITY RESEARCH ANALYST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
16-Dec-19	SAMORANO	FRANCES NICOLE L.	-	ASSISTANT MANAGER - RESEARCHER/ANALYST	RCBC SECURITIES, INC.	NEW EMPLOYMENT
16-Dec-19	ALBALADEJO	ALFRANCIS C.	-	RESEARCH ANALYST	CHINA BANK SECURITIES CORP.	NEW EMPLOYMENT
17-Dec-19	DOMINGO	TEODORA C.	SR ACCOUNTS STAFF	-	REGINA CAPITAL DEVT. CORPORATION	RESIGNATION (cleared)
21-Dec-19	GESALAN	MARIA ADELUISA R.	SUPERVISOR, TRADER/ SALESMAN	AGENT/ SALESMAN	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
31-Dec-19	POBLETE	ERJAN PAUL M.	AGENT	-	FIDELITY SECURITIES, INC.	RESIGNATION (clearance under process)
31-Dec-19	SANTILLAN	RHEA MARI C.	SALESMAN	-	FIDELITY SECURITIES, INC.	RESIGNATION (clearance under process)
02-Jan-20	AGDAMAG	SANDRA C.	-	ASSOCIATED PERSON	FIRST ORIENT SECURITIES, INC.	NEW EMPLOYMENT