



# MEMORANDUM – 2021-004

**To** : All Trading Participants

**Subject** : Employee Movement

**Date** : 5 February 2021

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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 January 2021.

For information and guidance.

*(original signed)*  
**DAISY P. ARCE**  
*President*

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DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	PRESENT EMPLOYER	REMARKS
20-Feb-21	SISAYAN	KERVIN	ANALYST, RESEARCH DEPARTMENT	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION
13-Feb-21	DY	AARON MICHAEL P.	EQUITY SALES TRADER	-	BPI SECURITIES CORPORATION	RESIGNATION (clearance under process)
01-Feb-21	GUIANG	GEORGIA V.	HEAD - INSTITUTIONAL SALES	-	BPI SECURITIES CORPORATION	RESIGNATION (clearance under process)
29-Jan-21	CO	JENNIFER	SALESMAN/ TRADER	-	KING'S POWER SECURITIES, INC.	RESIGNATION (cleared)
29-Jan-21	VICS	SONIA	SALESMAN/ TRADER	-	KING'S POWER SECURITIES, INC.	RESIGNATION (cleared)
29-Jan-21	LACABA	MANUEL	MESSENGER/ COLLECTOR	-	KING'S POWER SECURITIES, INC.	RESIGNATION (cleared)
28-Jan-21	BARREDO	JUAN G.	VP/ HEAD OF SALES AND CUSTOMER SUPPORT/ ASST.	VP/ CHIEF CUSTOMER EXPERIENCE OFFICER/ ASST.	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
26-Jan-21	DY	BENITO K.	EXEC-VICE PRESIDENT/ AGENT	-	TOWER SECURITIES, INC.	RESIGNATION
25-Jan-21	MACALALAD	LYDELL L.	-	IT	A & A SECURITIES, INC.	NEW EMPLOYMENT
25-Jan-21	DEL ROSARIO	EARL IAN W.	-	CUSTOMER SERVICE ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
25-Jan-21	VELASCO	BARRYMORE C.	-	CUSTOMER SERVICE ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
25-Jan-21	DELOS SANTOS	KERVIN Z.	-	USI OPERATIONS ASSOCIATE	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
25-Jan-21	PEREZ	HOMER B.	SALESMAN	-	PAPA SECURITIES CORPORATION	RETIREMENT
23-Jan-21	SANTIAGO	REGINALD ANGELO H.	EQUITY INVESTMENTS ADVISOR, PRIVATE CLIENTS	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
20-Jan-21	DAEN	GIBSON D.	-	INTERNAL AUDITOR	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT

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20-Jan-21	BALMEO	WINSTON T.	ACCOUNTING ASSISTANT	-	UCPB SECURITIES, INC.	RESIGNATION (did not apply for clearance)
18-Jan-21	YUMUL	REGINA LEANNE B.	-	RM ASSISTANT	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
18-Jan-21	CRUZ	JULES CYBER 1A22 G.	-	RESEARCH ASSOCIATE	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
16-Jan-21	PINEDA	VANIA JESSICA S.	RESEARCH ANALYST	-	RCBC SECURITIES, INC.	RESIGNATION (no clearance required)
15-Jan-21	MAGHIBON	GONZALO S.	MESSENGER	-	PREMIUM SECURITIES, INC.	RESIGNATION
15-Jan-21	LARGO	ANDREA AMOR T.	SETTLEMENT ASSOCIATE	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (clearance under process)
15-Jan-21	ACEBUCHE	ANTHONY C.	UTILITY CLERK (ON PROBATION)	-	MDR SECURITIES, INC.	RESIGNATION
13-Jan-21	MORADA	ANN BRECHELLE	-	ACCOUNTING ASSISTANT	APEX PHILS. EQUITIES CORPORATION	NEW EMPLOYMENT
11-Jan-21	AUSTRIA	ERIKA JANINE G.	-	COMPLIANCE STAFF	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
11-Jan-21	WEE	LOUIE CHRISTOPHER Y.	RESEARCH OFFICER	-	CTS GLOBAL EQUITY GROUP, INC.	RESIGNATION (clearance under process)
11-Jan-21	GUINTO	BENEDICT ALLAN T.	-	RESEARCH ANALYST	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
11-Jan-21	VALDEZ	RICHARD S.	LICENSED SALESMAN	-	GLOBALINKS SECURITIES & STOCKS, INC.	RESIGNATION
08-Jan-21	BAURA	EUGENE T.	-	SALESMAN	WESTLINK GLOBAL EQUITIES, INC.	NEW EMPLOYMENT
07-Jan-21	VELASCO	MARCO NINO M.	-	CERTIFIED SECURITIES REPRESENTATIVE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
06-Jan-21	MARTINEZ	EDMUND DANIEL P.	-	VICE PRESIDENT - DIGITAL MARKETING AND WEALTH	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT

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06-Jan-21	MENCHACA	JUAN MIGUEL G.	SENIOR ASSOCIATE, SALES TRADING	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION
04-Jan-21	DAGAL	EDWARD S.	-	OPERATIONS DIRECTOR	REGIS PARTNERS INC.	NEW EMPLOYMENT
04-Jan-21	DALAWANGBAYAN	VHIA D.	-	ADMIN STAFF - CONTRACTUAL	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
04-Jan-21	MATURGO	ANGELO C.	-	MESSENGER - CONTRACTUAL	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
04-Jan-21	MIRANDA	LUISA ELEAZAR	ASSOCIATED PERSON	-	AP SECURITIES, INC.	RESIGNATION
04-Jan-21	DAM	JUDY ANN D.	-	AD HOC I.T. SUPPORT	TRANS-ASIA SECURITIES, INC.	NEW EMPLOYMENT
04-Jan-21	DE GUZMAN	RAMON JR. S.	-	AD HOC ADMI ASSISTANT	TRANS-ASIA SECURITIES, INC.	NEW EMPLOYMENT
04-Jan-21	CAAGUSAN	BERNARDO C.	AUTHORIZED AGENT	-	WEALTH SECURITIES, INC.	RESIGNATION (cleared)
04-Jan-21	DELA PAZ	RUBEN V.	AUTHORIZED AGENT	-	WEALTH SECURITIES, INC.	RESIGNATION (cleared)
04-Jan-21	BUADO	ATTY. RODELLO	-	LEGAL CONSULTANT	PAN ASIA SECURITIES CORPORATION	NEW EMPLOYMENT
04-Jan-21	MAPILI	RENDELL	-	ACCOUNTANT	THE FIRST RESOURCES MGMT. SECURITIES CORP.	NEW EMPLOYMENT
04-Jan-21	YU	NIEL F.	-	CENTER HEAD	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
04-Jan-21	LEAL	PEACHIE B.	-	CUSTOMER SUPPORT HEAD	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
04-Jan-21	ABRAHAM	MARIA THERESA I.	COMPLIANCE OFFICER	ASSOCIATED PERSON/ COMPLIANCE OFFICER	BDO SECURITIES CORPORATION	RE-DESIGNATION
04-Jan-21	DECENA	KRISTOPER ISRAEL A.	MARKETING RELATIONSHIP OFFICER	TRADER	BDO SECURITIES CORPORATION	RE-DESIGNATION

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04-Jan-21	ABIGAN	PAUL LOUIE T.	TRADING OFFICER	TRADER	BDO SECURITIES CORPORATION	RE-DESIGNATION
01-Jan-21	BARNES	SARAH JANE P.	SYSTEMS AND NETWORK MANAGER	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
01-Jan-21	LEE	EDMUND C.	DIRECTOR	DIRECTOR/ CHIEF FINANCE OFFICER	CTS GLOBAL EQUITY GROUP, INC.	RE-DESIGNATION
01-Jan-21	LORENZO	SHEENA ANN K.	-	INVESTOR RELATIONS OFFICER	CTS GLOBAL EQUITY GROUP, INC.	NEW EMPLOYMENT
01-Jan-21	CATUBAY	ARIEL R.	MESSENGER - CONTRACTUAL	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (cleared)
01-Jan-21	LITAP	PERFECTO JR. S.	OIC COMPLIANCE HEAD/ ASSOCIATED PERSON/ DPO	-	MAYBANK ATR KIM ENG SECURITIES, INC.	RESIGNATION (clearance under process)
01-Jan-21	BENAVIDEZ	VICTOR V.	AUTHORIZED TRADER	-	ALAKOR SECURITIES CORPORATION	RESIGNATION
01-Jan-21	GUEVARRA	CECILIA B.	ASSOCIATED PERSON	CONSULTANT	ALAKOR SECURITIES CORPORATION	RE-DESIGNATION
01-Jan-21	GARCIA	SUNSHINE L.	ACCOUNTING ASSISTANT	ASSOCIATED PERSON	ALAKOR SECURITIES CORPORATION	RE-DESIGNATION
01-Jan-21	PEREZ	HOMER B.	TREASURER/ SALESMAN	SALESMAN	PAPA SECURITIES CORPORATION	RE-DESIGNATION
01-Jan-21	ESCARTIN	JASON T.	EQUITY ANALYST	-	PAPA SECURITIES CORPORATION	RESIGNATION (cleared)
01-Jan-21	NAZARRO	JESTIN T.	RESEARCH ASSISTANT	EQUITY ANALYST	PAPA SECURITIES CORPORATION	RE-DESIGNATION
01-Jan-21	VERASTIGUE	KARL L.	-	EQUITY ANALYST	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
01-Jan-21	EUGENIO	MONICA THERESE P.	-	TREASURER	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
01-Jan-21	PAPA	BIANCA THERESEM V.	-	ADMINISTRATIVE ASSISTANT	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT

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01-Jan-21	LEE	VICENTE T.	AUTHORIZED CLERK	-	STANDARD SECURITIES CORPORATION	DECEASED
01-Jan-21	TORRES	ANGELO ANTONIO S.	-	HEAD - RESEARCH	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
01-Jan-21	LIM	FRANCES ANNE Y.	-	INSTITUTIONAL SALES TRAINEE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
31-Dec-20	ANGELES	MYRNA B.	EXECUTIVE VICE PRESIDENT, CHIEF OPERATING OFFICER	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
31-Dec-20	TORRES	ANGELO ANTONIO S.	RESEARCH OFFICER	-	BDO SECURITIES CORPORATION	RESIGNATION (clearance under process)
31-Dec-20	CHAVEZ	DOMINGO T.	MESSENGER/ COLLECTOR	-	R.S. LIM & COMPANY, INC.	RESIGNATION
31-Dec-20	COCAMAS	MATRANILLO F.	MESSENGER/ UTILITY	-	R.S. LIM & COMPANY, INC.	RESIGNATION
31-Dec-20	GARDE	JOENEL L.	COMPANY DRIVER	-	R.S. LIM & COMPANY, INC.	RESIGNATION
31-Dec-20	LIM	SARAH JANE Y.	SALESMAN	-	HDI SECURITIES, INC.	RESIGNATION
31-Dec-20	CARPELA	ATTY. ALEX	LEGAL CONSULTANT	-	PAN ASIA SECURITIES CORPORATION	RESIGNATION
31-Dec-20	MANALO	AURELIA M.	SECRETARY	-	YAO & ZIALCITA, INC.	RESIGNATION
31-Dec-20	HIZON	KAREN LOUISE H.	ASSOCIATE DIRECTOR, RESEARCH ANALYST, EQUITIES	-	UBS SECURITIES PHILIPPINES, INC.	RESIGNATION
29-Dec-20	VELASCO	ESTELA MAE U.	CUSTOMER SERVICE STAFF	-	ABACUS SECURITIES CORPORATION	RESIGNATION (clearance under process)
28-Dec-20	BERZAMINA	LEONA G.	SETTLEMENT/STOCK CUSTODIAN	-	UCPB SECURITIES, INC.	RESIGNATION
23-Dec-20	DEL CARMEN	YHANTZEL JOHN L.	TRAINEE	-	SALISBURY BKT SECURITIES CORPORATION	RESIGNATION

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23-Dec-20	BALAJADIA	JAN VINCENT G.	IT	-	A & A SECURITIES, INC.	RESIGNATION (cleared)
17-Dec-20	YAP	CLARE ANN T.	-	INDEPENDENT DIRECTOR	CHINA BANK SECURITIES CORP.	NEW EMPLOYMENT
14-Dec-20	JACINTO	MARY ANN C.	EXECUTIVE, RESEARCH DEPARTMENT	-	MACQUARIE CAPITAL SECURITIES (PHIL), INC.	RESIGNATION
07-Dec-20	VILLARUBIA	RAMON RABBINI P.	-	CUSTOMER SUPPORT OFFICER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
04-Dec-20	GALAMGAM	CHRISTINE JOY M.	ACCOUNTING ASSISTANT	-	APEX PHILS. EQUITIES CORPORATION	RESIGNATION
03-Dec-20	VALDEZ	RICHARD S.	-	LICENSED SALESMAN	GLOBALINKS SECURITIES & STOCKS, INC.	NEW EMPLOYMENT
01-Dec-20	PICAZO	ERICA MARIA S.	-	ASSISTANT CORPORATE SECRETARY	LOPEZ, LOCSIN, LEDESMA & COMPANY, INC.	NEW EMPLOYMENT