



MEMORANDUM – 2021-010

To : All Trading Participants

Subject : Employee Movement

Date : 8 April 2021

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 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
31-Mar-21	CARDENAS	FERLIE MARIZ C.	EQUITY SALES TRADER	-	BPI SECURITIES CORPORATION	RESIGNATION (clearance under process)
29-Mar-21	VELASCO	JIDGETTE V.	-	RESEARCH CONSULTANT	SB EQUITIES, INC.	NEW EMPLOYMENT
28-Mar-21	MADRIAGA	CHERRY MAE D.	NEW ACCOUNTS ASSISTANT	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
18-Mar-21	ROSAÑES	ANDREW T.	-	LICENSED SALESMAN	VENTURE SECURITIES, INC.	NEW EMPLOYMENT
16-Mar-21	ENARCISO	ROWELYN M.	-	ACCOUNTING ASSISTANT	SALISBURY BKT SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-21	RUIZ	RAUL P.	DIRECTOR/ ACTING PRESIDENT/ HEAD OF	DIRECTOR/ PRESIDENT/ HEAD OF RESEARCH	RCBC SECURITIES, INC.	RE-DESIGNATION
16-Mar-21	CLAVINEZ	MA. ANDREA CLAUDETTE C.	-	SECURITIES SETTLEMENT OFFICER	SB EQUITIES, INC.	NEW EMPLOYMENT
16-Mar-21	FRANCISCO	KATRINA U.	-	CLIENT RELATIONS ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-21	MANDI	PATRICK JOSEPH P.	-	ACCOUNT OPENING ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-21	RODRIGUEZ	MIGUEL JOAQUIN E.	-	DEALER TRAINEE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-21	BALINGIT	RAMON ALFREDO III	-	TRADER TRAINEE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Mar-21	KUA	REANA JEAN	-	ACCOUNTING ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
15-Mar-21	TAN	LANCE KENRICK S.	-	TRADING ASSISTANT	CTS GLOBAL EQUITY GROUP, INC. (FORMERLY	NEW EMPLOYMENT
15-Mar-21	MARZO	ARIAN JASMIN B	CLIENT EXPERIENCE ASSOCIATE	MARKETING COMMUNICATIONS ASSOCIATE	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
15-Mar-21	SAN MIGUEL	MARY GRACE B.	CLIENT EXPERIENCE ASSOCIATE	MARKETING COMMUNICATIONS ASSOCIATE	COL FINANCIAL GROUP, INC.	RE-DESIGNATION

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15-Mar-21	TEMPORAL	CARLOS ANGELO O.	-	JUNIOR RESEARCH ANALYST	AP SECURITIES, INC.	NEW EMPLOYMENT
15-Mar-21	DUMAOG	MARGIE	ACCOUNTING ASSISTANT	-	LUY'S SECURITIES COMPANY, INC.	RESIGNATION
15-Mar-21	HIGUE	DON JOHN R.	-	SYSTEMS AND DATABASE ADMINISTRATOR	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
15-Mar-21	LOVERO	JASMIN MARY B.	-	NEW ACCOUNTS ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
12-Mar-21	FERRER	JOANA	ACCOUNTING ASSISTANT	-	APEX PHILIPPINES EQUITIES CORPORATION	RESIGNATION
10-Mar-21	GO	EDWARD C.	PRESIDENT/NOMINEE	VICE CHAIRMAN/NOMINEE	INVESTORS SECURITIES, INC.	RE-DESIGNATION
10-Mar-21	SY	ALINE G.	VICE PRESIDENT/TREASURER/AP	PRESIDENT	INVESTORS SECURITIES, INC.	RE-DESIGNATION
10-Mar-21	DI	NATALIE G.	CORPORATE SECRETARY	CORPORATE SECRETARY/TREASURER	INVESTORS SECURITIES, INC.	RE-DESIGNATION
10-Mar-21	LANTIN	AURORA D.	-	VICE PRESIDENT/CONTROLLER	INVESTORS SECURITIES, INC.	NEW EMPLOYMENT
10-Mar-21	GO	BARBARA D.	DIRECTOR/VICE PRESIDENT	DIRECTOR	INVESTORS SECURITIES, INC.	RE-DESIGNATION
08-Mar-21	POBLETE	JOHN JOSEPH C.	-	GRAPHIC ARTIST	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
08-Mar-21	PARULAN	PAULINE T.	-	CUSTOMER SERVICE ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
08-Mar-21	SISON	LUIGI MATTHEW D.	-	RESEARCH ASSISTANT	CTS GLOBAL EQUITY GROUP, INC. (FORMERLY	NEW EMPLOYMENT
08-Mar-21	GAMMAD	DENIELLE C.	-	TRADE ASSOCIATE	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
04-Mar-21	TEVES	ANN NICOLE T.	-	ACCOUNTING ASSISTANT	UCPB SECURITIES, INC.	NEW EMPLOYMENT

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03-Mar-21	POBLETE	JOHN JOSEPH C.	GRAPHIC ARTIST (PROJECT-BASED)	-	ABACUS SECURITIES CORPORATION	RESIGNATION
03-Mar-21	SALAZAR	NORLITA	CUSTOMER SERVICE ASSOCIATE (PROJECT-BASED)	-	ABACUS SECURITIES CORPORATION	RESIGNATION
01-Mar-21	BASCON	ROLAND BILLY S.	-	RESEARCH ANALYST	RCBC SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-21	KUA	IAN GABRIEL IGNACIO O.	-	RESEARCH ANALYST	RCBC SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-21	HISPANO	CADIZ C.	-	ONLINE BUSINESS MANAGER	ABACUS SECURITIES CORPORATION	NEW EMPLOYMENT
01-Mar-21	LAUDE	CHRISTOPHER EDWARD E.	-	SENIOR MARKETING MANAGER	TIMSON SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-21	LAUDE	MICHAEL PHILIP E.	-	MARKETING MANAGER	TIMSON SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-21	LAUDE	TIMOTHY MATTHEW E.	-	ASSISTANT MARKETING MANAGER	TIMSON SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-21	GUEVARRA	LAZARO JEROME C.	DIRECTOR , PRESIDENT AND PSE NOMINEE	-	BDO SECURITIES CORPORATION	RESIGNATION (cleared)
01-Mar-21	DELA MERCED	AILEEN A.	-	ACCOUNT ADMIN	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
01-Mar-21	QUIMPO II	JOSE EDUARDO A.	-	PRESIDENT & DIRECTOR	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
01-Mar-21	ULANGCA	THAMARA C.	-	OPERATIONS ASSOCIATE	UNICAPITAL SECURITIES, INC	NEW EMPLOYMENT
01-Mar-21	GUELAS	WHENZY C.	-	ACCOUNTING STAFF	R. NUBLA SECURITIES, INC.	NEW EMPLOYMENT
01-Mar-21	RAMOS	BRENZIS RANIER M.	-	ASSOCIATE DIRECTOR, HEAD OF COMPLIANCE	UBS SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
01-Mar-21	BARTOLOME	VERA JOYCE	-	ACCOUNTANT	LUY'S SECURITIES COMPANY, INC.	NEW EMPLOYMENT

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01-Mar-21	CALIJA	MARIA DULCE B.	INVESTOR CENTER MANAGER	-	COL FINANCIAL GROUP, INC.	RESIGNATION (clearance under process)
01-Mar-21	BUSTAMANTE	SARAH JANE S.	SECTION HEAD - CUSTOMER SUPPORT	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
01-Mar-21	SANCHEZ	LUIS LORENZO M.	-	COMPLIANCE ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
28-Feb-21	BACOLONGAN	MANILYN I.	ASSOCIATE, CAIF SPECIALIST	-	UNICAPITAL SECURITIES, INC	RESIGNATION (clearance under process)
28-Feb-21	CASTRO	NOIMIE FELICIA P.	MARKETING ASST/ GRAPHIC DESIGNER	-	ABACUS SECURITIES CORPORATION	RESIGNATION (clearance under process)
26-Feb-21	GO	DIANE NICOLE O.	RESEARCT ANALYST OFFICER	-	BDO SECURITIES CORPORATION	RESIGNATION (cleared)
26-Feb-21	ONG	CATHERINE L.	DIRECTOR/ SVP/ TREASURER/ CHIEF FINANCIAL OFFICER AND	SVP/ TREASURER/ CHIEF FINANCIAL OFFICER AND HEAD	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
26-Feb-21	SIY-YAP	BETTY C.	-	INDEPENDENT DIRECTOR	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
26-Feb-21	BENARES	ROBERTO C.	-	INDEPENDENT DIRECTOR	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
26-Feb-21	ICASIANO	DERRICK MIKEANGELO D.	CUSTOMER SERVICE ASSOCIATE	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
26-Feb-21	DIAZ	CHRISTIAN CARL P.	AUTHORIZED OFFICER, ASSOCIATED PERSON/	-	UBS SECURITIES PHILIPPINES, INC.	RESIGNATION
24-Feb-21	HISPANO	CADIZ C.	CUSTOMER SERVICE ASSOCIATE (PROJECT-BASED)	-	ABACUS SECURITIES CORPORATION	RESIGNATION
23-Feb-21	PRASERTSINTANAH	PORNCHAI	DIRECTOR AND CHAIRMAN OF THE BOARD	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)
23-Feb-21	REYNO	ALBERTO B.	INDEPENDENT DIRECTOR	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)
23-Feb-21	DOMINGUEZ	LEO G.	INDEPENDENT DIRECTOR	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (no clearance required)

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23-Feb-21	UY	MARK ROBERT H.	-	DIRECTOR AND CHAIRMAN OF THE BOARD	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	NEW EMPLOYMENT
15-Feb-21	GERONIMO	ARMI MARGARITA M.	CUSTOMER'S ACCOUNT SUPERVISOR	-	GOLDEN TOWER SECURITIES & HOLDINGS, INC.	RESIGNATION (without clearance)
15-Feb-21	SIMPAO	MARVIN ROY S.	-	COMPLIANCE OFFICER	MAYBANK ATR KIM ENG SECURITIES, INC.	NEW EMPLOYMENT
15-Feb-21	FAUSTO	JOSE ENRIQUE F.	-	CERTIFIED SECURITIES REPRESENTATIVE	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
15-Feb-21	CHUA	FREDERICK EVAN T.	SR. INVESTMENT ANALYST	-	ABACUS SECURITIES CORPORATION	RESIGNATION (cleared)
15-Feb-21	MONTEROSO	MARY ANN DOMINIQUE I.	-	RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
08-Feb-21	MANUEL	JONALYN G.	-	ACCOUNTING CLERK	WEALTH SECURITIES INC.	NEW EMPLOYMENT
05-Feb-21	PANELO	MISPAH JOY N	FINANCE OFFICER	-	MAYBANK ATR KIM ENG SECURITIES, INC.	UPDATE: RESIGNATION (cleared)
01-Feb-21	SANTIAGO	REGINALD ANGELO H.	-	MAKATI CENTER - TEAM HEAD	BDO SECURITIES CORPORATION	NEW EMPLOYMENT