



MEMORANDUM – 2023-030

To : All Trading Participants

Subject : Employee Movement

Date : 01 December 2023

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 30 November 2023.

For information and guidance.

(original signed)

GERARD B. SANVICTORES

President

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DATE OF EFFECTIVITY	LAST NAME	FIRST NAME	PREVIOUS POSITION	PRESENT POSITION	TRADING PARTICIPANT	REMARKS
15-Dec-23	RODRIGUEZ	CHRISTELLE LOUISE B.	DISBURSEMENT OFFICER	-	GOLDEN TOWER SECURITIES HOLDINGS, INC.	RESIGNATION
1-Dec-23	VICENCIO	JOSELITO C., JR.	NOMINEE, DIRECTOR, SALESMAN	-	CREDIT SUISSE SECURITIES (PHILIPPINES), INC.	RESIGNATION (cleared)
29-Nov-23	ALVARADO	JOHN RENZ S.	-	RESEARCH ANALYST	CLSA PHILIPPINES, INC.	NEW EMPLOYMENT
27-Nov-23	LACAP	THALIA LUISA C.	RECEPTIONIST	SETTLEMENTS ANALYST	CLSA PHILIPPINES, INC.	RE-DESIGNATION
24-Nov-23	CHU	GABRIEL MARTIN LAO A.	INSTITUTIONAL BUSINESS GROUP ASSOCIATE	INSTITUTIONAL EQUITY DEALER	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
20-Nov-23	SANTOS	JEFFREY Z.	-	ASSOCIATE – LEGAL ENTITY CONTROLLER	J. P. MORGAN SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
20-Nov-23	LEH	CANDICE EMILY L.	CERTIFIED EQUITY AND UITF SPECIALIST	CERTIFIED EQUITY AND FUND SPECIALIST	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
20-Nov-23	VALONES	MARK ROLAND A.	CERTIFIED EQUITY SPECIALIST	CERTIFIED EQUITY AND MUTUAL FUND SPECIALIST	COL FINANCIAL GROUP, INC.	RE-DESIGNATION
17-Nov-23	ESTRADA	JONATHAN R.	ANALYST – ASIAN TECHNICAL RESEARCH	RESEARCH ASSOCIATE	CLSA PHILIPPINES, INC.	RE-DESIGNATION
16-Nov-23	ULARTE	MA. PAMELA	-	ADMINISTRATIVE SERVICES ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
16-Nov-23	SY	SERENA RHENE T.	-	ASSOCIATE RELATIONSHIP MANAGER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
16-Nov-23	CASOCOT	NEIL BRIAN M.	-	ACCOUNT SERVICES OFFICER	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
16-Nov-23	SALINOG	JACKIE LOU D.	AM-IC, ACCOUNTING UNIT	-	RCBC SECURITIES, INC.	RESIGNATION (clearance under process)

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16-Nov-23	ESTACIO-CRUZ	WENDY B.	-	RESEARCH DEPUTY HEAD	UNICAPITAL SECURITIES, INC.	NEW EMPLOYMENT
16-Nov-23	GARRUCHO	REGINA ROSARIO P.	EQUITIES INVESTMENT ADVISOR / AGENT	HEAD OF AGENCY SALES / EQUITIES INVESTMENT ADVISOR / AGENT	UNICAPITAL SECURITIES, INC.	RE-DESIGNATION
16-Nov-23	PANGILINAN	JEANELLE ALYSON S.	-	I.T. PRODUCT QUALITY ANALYST	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT
15-Nov-23	CATALO	JOYCE ANN D.	-	ACCOUNTING CLERK	RCBC SECURITIES, INC.	NEW EMPLOYMENT
15-Nov-23	ALCARAZ	VIVIEN FLORELLE R.	-	ADMIN AND DISBURSEMENT OFFICER	GOLDEN TOWER SECURITIES HOLDINGS, INC.	NEW EMPLOYMENT
13-Nov-23	ATUN	STELLA ALYSSA VINA	-	GRAPHIC ARTIST	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
10-Nov-23	UY	PAMELA JANE C.	-	SALESPERSON	PAPA SECURITIES CORPORATION	NEW EMPLOYMENT
9-Nov-23	RAMOS	JEWEL MIRAFLOR I.	-	OPERATIONS ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
9-Nov-23	RESURRECCION	JOHN LOUISE L.	-	RELATIONSHIP ASSOCIATE	FIRST METRO SECURITIES BROKERAGE CORPORATION	NEW EMPLOYMENT
8-Nov-23	ANGELES	LOUISE JUDIELLE R.	SALES ASSOCIATE	SALESPERSON	PAPA SECURITIES CORPORATION	RE-DESIGNATION
6-Nov-23	PASIL	REMEDIOS C.	FINANCE ASSOCIATE	-	J. P. MORGAN SECURITIES PHILIPPINES, INC.	RETIREMENT
6-Nov-23	SANTARINA	MARK CRISMON V.	LICENSED SALESMAN/ HEAD OF I.T. & ONLINE TRADING	LICENSED SALESMAN/ ONLINE TRADING	GLOBALINKS SECURITIES & STOCKS, INC.	RE-DESIGNATION
6-Nov-23	PIMENTEL	IANTHE KIRSTEN P.	-	GRAPHIC DESIGNER	COL FINANCIAL GROUP, INC.	NEW EMPLOYMENT

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6-Nov-23	PASIL	REMEDIOS C.	FINANCE ASSOCIATE	-	J. P. MORGAN SECURITIES PHILIPPINES, INC.	UPDATE: RESIGNATION (cleared)
4-Nov-23	DE JESUS	DRISANA MAIRI S.	JAM - SALES TRAINEE	-	RCBC SECURITIES, INC.	RESIGNATION (clearance under process)
3-Nov-23	LIMBO	EMMANUEL L.	-	MESSENGER/ UTILITY OFFICE	R.S. LIM & COMPANY, INC.	NEW EMPLOYMENT
3-Nov-23	ANDRES	ANA VICTORIA I.	SALESMAN	-	BA SECURITIES, INC.	RESIGNATION
3-Nov-23	YAP	JESSIE MARIE C.	-	HEAD OF SUPPORT SERVICES	BDO SECURITIES CORPORATION	NEW EMPLOYMENT
3-Nov-23	DONA	SHIRLEY C.	-	ACCOUNTING ASSISTANT	ALAKOR SECURITIES CORPORATION	NEW EMPLOYMENT
1-Nov-23	POLO	ANGELO M.	IT CONSULTANT	-	CLSA PHILIPPINES, INC.	RESIGNATION (no clearance required)
1-Nov-23	ROSALES	RANDOLF JING C.	ADMIN AND HR ASSISTANT	-	ABACUS SECURITIES CORPORATION	RESIGNATION
1-Nov-23	TAGLUCOP	NOELYN A.	-	ACCOUNT SPECIALIST	RCBC SECURITIES, INC.	NEW EMPLOYMENT
1-Nov-23	DEL ROSARIO	BRIAN CHRISTOPHER Z.	-	AVP - HEAD OF MARKET EDUCATION	RCBC SECURITIES, INC.	NEW EMPLOYMENT
1-Nov-23	GONDRA	ZARAH ALINE V.	EQUITY RESEARCH ASSOCIATE	-	FIRST METRO SECURITIES BROKERAGE CORPORATION	RESIGNATION (clearance under process)
1-Nov-23	MANALO	ERIKA RAE	-	CLIENT RELATIONS ASSOCIATE	BPI SECURITIES CORPORATION	NEW EMPLOYMENT
1-Nov-23	LAPAGAO	JAMES	-	MESSENGER	CHINA BANK SECURITIES CORPORATION	NEW EMPLOYMENT

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1-Nov-23	DUNGCA	ALVIN	MESSENGER	-	CHINA BANK SECURITIES CORPORATION	RESIGNATION
1-Nov-23	FRANCISCO	KENNETH S.	AUTHORIZED SIGNATORY, COG-TD,CBC	-	CHINA BANK SECURITIES CORPORATION	RESIGNATION
1-Nov-23	GARCIA	ANNA LORRAINE P.	SERVICING OFFICER, COG-TOD, CBC	-	CHINA BANK SECURITIES CORPORATION	RESIGNATION
1-Nov-23	MAGTALAS	ROGELIO A.	TELEPHONE CLERK	-	B. H. CHUA SECURITIES CORPORATION	RESIGNATION
1-Nov-23	GARDOSE	ZULEIN MAY I.	ASSISTANT CORPORATE SECRETARY	CSS AND LEGAL OFFICER/ CORPORATE SECRETARY	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	RE-DESIGNATION
31-Oct-23	DELA PEÑA	CARMELITA T.	CORPORATE SECRETARY AND ACTING TREASURER	CHAIRMAN OF THE BOARD	H.E. BENNETT SECURITIES, INC.	RE-DESIGNATION
31-Oct-23	GUTIERREZ	MYRNA T.	-	ACTING CORPORATE SECRETARY AND TREASURER	H.E. BENNETT SECURITIES, INC.	NEW EMPLOYMENT
31-Oct-23	BICAR	CARLA MAY S.	TREASURY ASSISTANT – CONTRACTUAL	TREASURY ASSISTANT – INDEPENDENT CONTRACTOR	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	RE-DESIGNATION
31-Oct-23	FERNANDEZ	FRANCO	INTERN	-	DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.)	RESIGNATION
31-Oct-23	DE GUZMAN	REGINA SIMONA B.	CSS OFFICER / CORPORATE SECRETARY	-	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	RESIGNATION (cleared)
25-Oct-23	ESTACIO-CRUZ	WENDY B.	RESEARCH ANALYST	-	CLSA PHILIPPINES, INC.	RESIGNATION (clearance under process)
25-Oct-23	SUPERABLE	NONALYN S.	CORPORATE SECRETARY	-	J. P. MORGAN SECURITIES PHILIPPINES, INC.	RESIGNATION (no clearance required)

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25-Oct-23	RAYMUNDO	KENNETH Q.	ASST. CORPORATE SECRETARY	CORPORATE SECRETARY	J. P. MORGAN SECURITIES PHILIPPINES, INC.	RE-DESIGNATION
25-Oct-23	ABRAZALDO	JEFFREY ROGER T.	-	ASST. CORPORATE SECRETARY	J. P. MORGAN SECURITIES PHILIPPINES, INC.	NEW EMPLOYMENT
25-Oct-23	DAEN	GIBSON D.	INTERNAL AUDITOR	-	UNICAPITAL SECURITIES, INC.	RESIGNATION (cleared)
25-Oct-23	ESTACIO-CRUZ	WENDY B.	RESEARCH ANALYST	-	CLSA PHILIPPINES, INC.	UPDATE: RESIGNATION (cleared)
24-Oct-23	WONG	ETHAN MATTHEW C.	FINANCIAL ANALYST	CSR EQUITIES TRADER	CTS GLOBAL EQUITY GROUP, INC.	RE-DESIGNATION
24-Oct-23	BANAAG	GELLI B.	DRIVER-AGENCY	-	DBP-DAIWA CAPITAL MARKETS PHILIPPINES, INC.	CONTRACT TERMINATED
16-Oct-23	ESPERE	MARIFE C.	CSR/ TRADER	CSR/ONLINE ADMINISTRATOR	AP SECURITIES, INC.	RE-DESIGNATION
16-Oct-23	TOLENTINO	MARICEL N.	FINANCE STAFF	ADMINISTRATIVE OFFICER	AP SECURITIES, INC.	RE-DESIGNATION
16-Oct-23	DIARON	RONABIL M.	ASSOCIATED PERSON	ASSOCIATED PERSON/COMPLIANCE OFFICER	AP SECURITIES, INC.	RE-DESIGNATION
16-Oct-23	TAGLE	DANTE M., II	-	RESEARCH ASSISTANT	AP SECURITIES, INC.	NEW EMPLOYMENT
16-Oct-23	CIPRES	JOSE ANTONIO	-	RESEARCH ASSISTANT	AP SECURITIES, INC.	NEW EMPLOYMENT
16-Oct-23	DAGUINOD	PHILIP JOHN	-	IT STAFF	AP SECURITIES, INC.	NEW EMPLOYMENT
16-Oct-23	FAJARDO	JOHN KENNARD T.	-	VICE PRESIDENT FOR INSTITUTIONAL SALES AND TRADING	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT
16-Oct-23	DEL CASTILLO	ANDRES A.	-	RESEARCH ASSISTANT	AB CAPITAL SECURITIES, INC.	NEW EMPLOYMENT

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15-Oct-23	MAKALINTAL	VALERIE ANDRIE Q.	ACCOUNTING ASSISTANT	JUNIOR ACCOUNTANT	GUILD SECURITIES, INC.	RE-DESIGNATION
13-Oct-23	RODRIGUEZ	RACHELLEEN A.	RESEARCH ANALYST	HEAD, RESEARCH	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	RE-DESIGNATION
12-Oct-23	DE JESUS	JACQUI ANNE KELLY E.	HEAD, RESEARCH	-	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	RESIGNATION (cleared)
11-Oct-23	GARAN	CHARISSE M.	-	BROKERAGE CLERK	IMPERIAL DE GUZMAN, ABALOS & CO., INC.	NEW EMPLOYMENT
9-Oct-23	FLORIANO	JANINE E.	-	STUDENT INTERN	LUNA SECURITIES, INC. (formerly VSEC.COM, INC.)	NEW EMPLOYMENT
9-Oct-23	AFURONG	JUANITO L., JR.	COMPLIANCE ASSOCIATE	-	GUILD SECURITIES, INC.	RESIGNATION (clearance under process)
7-Oct-23	DIAZ	ENRIQUE JAVIER R.	PRODUCT HEAD, SALESMAN	SALESMAN	LUNA SECURITIES, INC. (formerly VSEC.COM, INC.)	RE-DESIGNATION
25-Sep-23	ESPIRITU	JACQUILINE O.	SETTLEMENTS OFFICER	-	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	RESIGNATION (cleared)
25-Sep-23	OLADO	RUTH MARA GRACE S.	TREASURY ASSISTANT - CONTRACTUAL	-	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	UPDATE: RESIGNATION (cleared)
21-Sep-23	DE JESUS	FIorenzo D.	RESEARCH ANALYST	-	MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.)	RESIGNATION (cleared)
19-Sep-23	CHAN	JORDAN LEWIS S.	CSR EQUITIES TRADER	-	CTS GLOBAL EQUITY GROUP, INC.	UPDATE: RESIGNATION (cleared)

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16-Sep-23	SALAGUSTE	GLENN ROMMEL H.	IT OPERATIONS MANAGER	-	COL FINANCIAL GROUP, INC.	UPDATE: RESIGNATION (cleared)
9-Sep-23	ECHIVERRI	KATHRYN RACHELLE D.	HEAD OF FUND SOURCE	-	COL FINANCIAL GROUP, INC.	UPDATE: RESIGNATION (cleared)
8-Sep-23	NOROÑA	MIA HENSEL M.	ACCOUNTING ASSISTANT	-	I. B. GIMENEZ SECURITIES, INC.	RESIGNATION (no clearance required)