



MEMORANDUM – 2024-024

TO : ALL TRADING PARTICIPANTS
SUBJECT : EMPLOYEE MOVEMENT
DATE : 06 SEPTEMBER 2024

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 August 2024.

For information and guidance.

(original signed)

GERARD B. SANVICTORES

President

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| ACD | FHRAD | IED | SD |

| DATE OF EFFECTIVITY | LAST NAME | FIRST NAME | PREVIOUS POSITION | PRESENT POSITION | TRADING PARTICIPANT | REMARKS |
|---------------------|------------|---------------------|--|--|---|---------------------------------------|
| 29-Feb-24 | ESCAREZ | CAMILLA S. | USI OPERATIONS JUNIOR ASSOCIATE | - | UNICAPITAL SECURITIES, INC. | RESIGNATION (cleared) |
| 5-Jul-24 | DINGLE | RAMESES JOSEPH N. | TRADE LIFECYCLE ANALYST (OUTSOURCED) | - | J. P. MORGAN SECURITIES PHILIPPINES, INC. | UPDATE: RESIGNATION (cleared) |
| 15-Jul-24 | ANICETO | MYLES BENEDICT S. | SALESPERSON | - | CLSA PHILIPPINES, INC. | UPDATE: RESIGNATION (cleared) |
| 15-Jul-24 | MIEMBRO | MELLEIN KHEINZEN F. | RECONCILLATION STAFF | - | AB CAPITAL SECURITIES, INC. | RESIGNATION (clearance under process) |
| 15-Jul-24 | BALATAZO | AMELIA S. | - | SALESMAN | ARMSTRONG SECURITIES, INC. | NEW EMPLOYMENT |
| 16-Jul-24 | MAGAT | MARRY JOY G. | - | ACCOUNTING ASSISTANT - ASSOCIATE | SB EQUITIES, INC. | NEW EMPLOYMENT |
| 16-Jul-24 | CRUZ | RACHELLE | - | RESEARCH ANALYST | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |
| 16-Jul-24 | NER | RENE JOSEPH P. | - | VICE PRESIDENT - SALESMAN | AB CAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 17-Jul-24 | SANTIBAÑEZ | RUTH BEA L. | SALES SUPPORT/ONLINE TRADING ASSISTANT | LICENSED SALESMAN/ONLINE TRADING ASSISTANT | AP SECURITIES, INC. | RE-DESIGNATION |
| 19-Jul-24 | FLORES | ALLAN T. | - | SALESMAN/ AGENT | A. T. DE CASTRO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 19-Jul-24 | CUSTODIO | ROSEMARIE T. | SETTLEMENT ASSISTANT | - | SARANGANI SECURITIES, INC. | RESIGNATION |
| 19-Jul-24 | TABING | MA. MYLA R. | - | SETTLEMENT ASSISTANT | SARANGANI SECURITIES, INC. | NEW EMPLOYMENT |
| 22-Jul-24 | LEUTERIO | MIRA ALEXANDRA B. | - | JUNIOR OPS DEV ENGINEER | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | NEW EMPLOYMENT |
| 22-Jul-24 | FORMOSO | RICKY V. | SYSTEMS ANALYST & PROGRAMMER | - | AB CAPITAL SECURITIES, INC. | RESIGNATION (clearance under process) |
| 23-Jul-24 | BUHAIN | DOMINIC LEANDRE D. | DEALER | - | CLSA PHILIPPINES, INC. | UPDATE: RESIGNATION (cleared) |

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|---------------------|------------|----------------------|---|-------------------------------|--|--|
| 25-Jul-24 | WONG | MAX AARON | - | DIRECTOR | VENTURE SECURITIES, INC. | NEW EMPLOYMENT |
| 25-Jul-24 | LAU | KA HO | - | DIRECTOR | VENTURE SECURITIES, INC. | NEW EMPLOYMENT |
| 25-Jul-24 | TANCO | MARTIN K. | DIRECTOR | - | VENTURE SECURITIES, INC. | RESIGNATION (no clearance required) |
| 25-Jul-24 | BAUTISTA | YOLANDA M. | DIRECTOR | - | VENTURE SECURITIES, INC. | RESIGNATION (no clearance required) |
| 26-Jul-24 | SUBIDO | FRANCIS FERDINAND D. | SENIOR RESEARCH ANALYST | - | AP SECURITIES, INC. | RESIGNATION |
| 26-Jul-24 | JACA | CHRISTIAN ROBIN D. | MANAGER - BUSINESS DEVELOPMENT | - | ABACUS SECURITIES CORPORATION | RESIGNATION (clearance under process) |
| 26-Jul-24 | HABLA | LOUISE M. | CUSTOMER CARE AND SALES ASSOCIATE | SALES AND MARKETING ASSOCIATE | PHILSTOCKS FINANCIAL, INC. | RE-DESIGNATION |
| 29-Jul-24 | DE LA CRUZ | JOHN ALFRED O. | - | ACCOUNTING ASSISTANT | EASTERN SECURITIES DEVELOPMENT CORPORATION | NEW EMPLOYMENT |
| 31-Jul-24 | MOLINA | JONALYN L. | CLIENT EXPERIENCE SUPERVISOR | - | COL FINANCIAL GROUP, INC. | RESIGNATION (clearance under process) |
| 31-Jul-24 | TIN | JARROD LEIGHTON | EQUITY RESEARCH INTERN | - | BPI SECURITIES CORPORATION | RESIGNATION (end of contract) |
| 31-Jul-24 | SAMALEA | FRANCIS OLIVER | ACCOUNTING CLERK | - | FIDELITY SECURITIES, INC. | RESIGNATION (clearance under process) |
| 31-Jul-24 | SABINO | JOSIE P. | ASSOCIATED PERSON / COMPLIANCE OFFICER - VICE | - | PHILSTOCKS FINANCIAL, INC. | RESIGNATION |
| 31-Jul-24 | CAI | LANCE RAFAEL | INTERN | - | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | RESIGNATION |
| 31-Jul-24 | SEVERINO | MARIBEL O. | EQUITIES INVESTMENT ADVISER/ SALESMAN | - | UNICAPITAL SECURITIES, INC. | RESIGNATION (cleared) |
| 31-Jul-24 | VALDEZ | JOHN SANTINI G. | OPERATIONS SUPPORT - ANALYST | - | J. P. MORGAN SECURITIES PHILIPPINES, INC. | UPDATE: RESIGNATION (cleared) |

| DATE OF EFFECTIVITY | LAST NAME | FIRST NAME | PREVIOUS POSITION | PRESENT POSITION | TRADING PARTICIPANT | REMARKS |
|---------------------|-----------|-------------------------|--|--|---|--|
| 1-Aug-24 | MAGSINO | ARNEL GABRIEL MARTIN L. | TRADER | - | LANDBANK SECURITIES, INC. | RESIGNATION (clearance under process) |
| 1-Aug-24 | DEOMANO | PARK LYNDON A. | - | GROUP COMPLIANCE SR. MGR. | UNICAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 1-Aug-24 | LACA | NORMITA J. | - | SETTLEMENT ASSISTANT | A. T. DE CASTRO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 1-Aug-24 | PERA | DENISE MIKKA A. | RELATIONSHIP ASSOCIATE | RELATIONSHIP OFFICER | FIRST METRO SECURITIES BROKERAGE CORPORATION | RE-DESIGNATION |
| 1-Aug-24 | BISCOCHO | LADY DIANE P. | PRODUCT DEVELOPMENT OFFICER | DEPARTMENT HEAD - PRODUCT DEVELOPMENT | FIRST METRO SECURITIES BROKERAGE CORPORATION | RE-DESIGNATION |
| 1-Aug-24 | JADLOCON | LUCITA G. | - | ASSOCIATED PERSON / COMPLIANCE OFFICER | PHILSTOCKS FINANCIAL, INC. | NEW EMPLOYMENT |
| 1-Aug-24 | FLORES | MA. KRISTINA C. | - | OFFICE CLERK | R.S. LIM & COMPANY, INC. | NEW EMPLOYMENT |
| 1-Aug-24 | LEE | NADINE G. | - | SALES ASSOCIATE | MAYBANK SECURITIES INC. (formerly MAYBANK ATR KIM ENG SECURITIES, INC.) | NEW EMPLOYMENT |
| 1-Aug-24 | DELA PENA | EL JOHN A. | CUSTOMER SERVICE ASSOCIATE | SENIOR CUSTOMER SERVICE ASSOCIATE | ABACUS SECURITIES CORPORATION | RE-DESIGNATION |
| 1-Aug-24 | ESPIRITU | JEFFERLINE O. | TEAM LEAD, NEW ACCOUNTS | CLIENT EXPERIENCE TEAM LEAD | ABACUS SECURITIES CORPORATION | RE-DESIGNATION |
| 1-Aug-24 | MEDRANO | CLARIZE MARIE B. | OFFICER-IN-CHARGE - OPERATIONS | HEAD OF OPERATIONS | ABACUS SECURITIES CORPORATION | RE-DESIGNATION |
| 1-Aug-24 | MONGOTE | LESTER P. | ASSOCIATE DIRECTOR, HEAD OF GROUP CORPORATE SERVICES | ASSOCIATE DIRECTOR, HEAD OF REAL ESTATE AND SERVICES | UBS SECURITIES PHILIPPINES INC. | RE-DESIGNATION |
| 1-Aug-24 | GO | MATTHEW TIMOTHY V. | - | TRADING OFFICER | INVESTORS SECURITIES, INC. | NEW EMPLOYMENT |
| 1-Aug-24 | PENA | JORGE S. | SALESMAN (AGENT) | - | AB CAPITAL SECURITIES, INC. | DECEASED |
| 1-Aug-24 | PARLADE | RYAN VINCENT L. | EQUITY ANALYST | EQUITY TRADER | THE FIRST RESOURCES MGMT. SECURITIES CORP. | RE-DESIGNATION |

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| 1-Aug-24 | MORANO | JANAH PATRICIA O. | - | JUNIOR SOFTWARE ENGINEER | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | NEW EMPLOYMENT |
| 1-Aug-24 | TORRES | JAN CHRISTIAN L. | - | JUNIOR SOFTWARE ENGINEER | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | NEW EMPLOYMENT |
| 2-Aug-24 | BIACORA | RACHELLE ANNE P. | INTERN | - | CLSA PHILIPPINES, INC. | RESIGNATION (no clearance required) |
| 5-Aug-24 | DELA LLANA | ABEGAIL F. | - | TAX ASSOCIATE | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT |
| 5-Aug-24 | BAEL | TRISHA D. | - | INTERN | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | NEW EMPLOYMENT |
| 6-Aug-24 | LALLABBAN | KASHMIR | INTERN | - | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | RESIGNATION |
| 6-Aug-24 | FUENSALIDA | RICA JOY B. | - | ADMIN ASSISTANT | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 6-Aug-24 | NEBRIDA | RUTH ANGELA M. | - | ADMIN ASSISTANT | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 8-Aug-24 | MANZANO | MICHELLE B. | TRADING FLOOR ASSISTANT | CUSTOMER ACCOUNT ASSOCIATE | DAVID GO SECURITIES CORPORATION | RE-DESIGNATION |
| 8-Aug-24 | INOFERIO | HOMER JOSHUA T. | FINANCIAL ANALYST | CSR EQUITIES TRADER | CTS GLOBAL EQUITY GROUP, INC. | RE-DESIGNATION |
| 9-Aug-24 | MALINAO | MANUEL ANGELO P. | SALESMAN | - | ARMSTRONG SECURITIES, INC. | RESIGNATION |
| 9-Aug-24 | TANG | JOSEPH SAMUEL H. | SALESMAN (AGENT) | - | AB CAPITAL SECURITIES, INC. | RESIGNATION (cleared) |
| 10-Aug-24 | DELLOSA | RYAN B. | ASSOCIATED PERSON | - | GOLDEN TOWER SECURITIES & HOLDINGS, INC. | RESIGNATION (cleared) |
| 12-Aug-24 | TANG | JOSEPH SAMUEL H. | - | INSTITUTIONAL SALES | CLSA PHILIPPINES, INC. | NEW EMPLOYMENT |
| 12-Aug-24 | AGLIPAY | MIKAELA | - | EQUITY RESEARCH INTERN | BPI SECURITIES CORPORATION | NEW EMPLOYMENT |

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| 12-Aug-24 | DULATRE | BIANCA ALYSSON A. | - | ACCOUNTING ASSOCIATE | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | NEW EMPLOYMENT |
| 12-Aug-24 | LLANTO | JOSHUA RAPHAEL N. | - | CERTIFIED MUTUAL FUND SPECIALIST | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 12-Aug-24 | SARMIENTO | PIETRO ANTONIO R. | - | CERTIFIED MUTUAL FUND SPECIALIST | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 13-Aug-24 | LU | BAI | DIRECTOR | - | UBS SECURITIES PHILIPPINES INC. | RESIGNATION |
| 13-Aug-24 | COLLARD | PHILIP DAVID | - | DIRECTOR | UBS SECURITIES PHILIPPINES INC. | NEW EMPLOYMENT |
| 14-Aug-24 | MADRID | JONATHAN GABRIEL G. | RESEARCH ANALYST | - | PHILIPPINE EQUITY PARTNERS, INC. | RESIGNATION |
| 14-Aug-24 | GARALDE | REYNOLD C. | EQUITY TRADE ASSOCIATE | EQUITY TRADE ASSOCIATE - SALESMAN | UNICAPITAL SECURITIES, INC. | RE-DESIGNATION |
| 14-Aug-24 | CABELIZA | TESSALONICA V. | - | EQUITIES INVESTMENT ADVISER - SALESMAN | UNICAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 14-Aug-24 | CABALLERO | ROBERT KENNY T. | - | EQUITIES INVESTMENT ADVISER - SALESMAN | UNICAPITAL SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Aug-24 | PONO | MA. ARACELI D. | - | ASSOCIATED PERSON | SEEDBOX SECURITIES, INC. | NEW EMPLOYMENT |
| 15-Aug-24 | CRUZ | SHERRYL R. | SETTLEMENT HEAD | - | PNB SECURITIES, INC. | RESIGNATION |
| 16-Aug-24 | OBARA | SOHEI | DIRECTOR | - | COL FINANCIAL GROUP, INC. | RESIGNATION (no clearance required) |
| 16-Aug-24 | MIZUNO | KOSUKE | - | DIRECTOR | COL FINANCIAL GROUP, INC. | NEW EMPLOYMENT |
| 16-Aug-24 | REICHERT | ISABEL | EQUITY RESEARCH INTERN | - | BPI SECURITIES CORPORATION | RESIGNATION (end of internship) |
| 16-Aug-24 | ALBITO | JOSHUA T. | - | COMPLIANCE ASSOCIATE | GUILD SECURITIES, INC. | NEW EMPLOYMENT |

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| 16-Aug-24 | ELEGINO | HANNAH SOFIA R. | - | ASSOCIATE ACCOUNT OFFICER | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 16-Aug-24 | TUAZON | YSABELLA MARIA ANGELA A. | - | ASSOCIATE ACCOUNT OFFICER | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 16-Aug-24 | SANTOS | ROBERT RENDELL G. | - | ASSOCIATE ACCOUNT OFFICER | BDO SECURITIES CORPORATION | NEW EMPLOYMENT |
| 16-Aug-24 | MALINAO | MANUEL ANGELO P. | - | TRADER | LANDBANK SECURITIES, INC. | NEW EMPLOYMENT |
| 16-Aug-24 | DELOS REYES | KATHY D. | - | SETTLEMENT ACCOUNTING ASSISTANT 2 | LANDBANK SECURITIES, INC. | NEW EMPLOYMENT |
| 16-Aug-24 | SY | JANINE AUBREY S. | STUDENT INTERN | - | LUNA SECURITIES, INC. (formerly VSEC.COM, INC.) | RESIGNATION |
| 19-Aug-24 | ELLO | MARK AIN JAMES | - | JUNIOR QA ENGINEER | DRAGONFI SECURITIES, INC. (formerly TRI-STATE SECURITIES, INC.) | NEW EMPLOYMENT |
| 19-Aug-24 | KAWABATA | JEFFREY S. | - | INFORMATION SECURITY OFFICER | FIRST METRO SECURITIES BROKERAGE CORPORATION | NEW EMPLOYMENT |
| 21-Aug-24 | GARNACE | PETER LOUISE D. | EQUITY RESEARCH ASSOCIATE | - | FIRST METRO SECURITIES BROKERAGE CORPORATION | RESIGNATION (clearance under process) |
| 2-Sep-24 | ILAG | GREGG ADRIAN R. | SENIOR RESEARCH ANALYST | - | BDO SECURITIES CORPORATION | RESIGNATION |