

**COMPANY REGISTRATION AND MONITORING DEPARTMENT
LIST OF CAPITAL MARKET PROFESSIONALS**

**BROKER/DEALER in Securities
NEW REGISTRANTS**

| # | CR # | NAME | TYPE |
|---|------|------|------|
|---|------|------|------|

SEPTEMBER 2016

| | | | |
|----------------------|---------------|---|----|
| 01-2016-00280 | | INFINITY TRADERS SECURITIES CORP. | |
| 1 | 02-2008-02746 | SALANG JR, DIOSDADO CHUA | AP |
| 01-2004-00040 | | DBP-DAIWA CAPITAL MARKET PHILIPPINES, INC. | |
| 1 | 02-2013-08190 | ANICETO, MYLES BENEDICT SANTOS | S |
| 01-2004-00132 | | DW CAPITAL, INC. | |
| 1 | 02-2016-12426 | ANSAY, BEVERLY LOPEZ | S |
| 01-2004-00046 | | EASTERN SECURITIES DEVELOPMENT CORP | |
| 1 | 02-2016-12424 | CASTILLO, KELLY JOHN | S |
| 01-2004-00061 | | GLOBALINKS SECURITIES & STOCKS INC. | |
| 1 | 02-2016-12399 | CHAM, ROSITA CHUA | AP |
| 01-2004-00019 | | MAYBANK ATR KIM ENG SECURITIES, INC. | |
| 1 | 02-2016-11965 | BAUTISTA, CAMILLE MARIA REMEDIOS YUMUL | S |
| 2 | 02-2014-09768 | DE MESA, MARK GIERON ESGUERRA | S |
| 01-2004-00007 | | PHILSTOCKS FINANCIAL, INC. | |
| 1 | 02-2016-12427 | STA. MARIA, REINIER CANLAS | S |
| 01-2004-00106 | | PNB SECURITIES INC. | |
| 1 | 02-2012-07241 | PASCUA, CRISTINE GUIEB | S |
| 01-2004-00121 | | SB EQUITIES, INC. | |
| 1 | 02-2016-12400 | WATIWAT, BRYAN ESGUERRA | S |
| 01-2013-00277 | | TIMSON SECURITIES, INC. | |
| 1 | 02-2011-05944 | RAMOS, CARMELYN SANCHEZ | AP |

AUGUST 2016

| | | | |
|----------------------|---------------|------------------------------|---|
| 01-2004-00021 | | BA SECURITIES, INC. | |
| 1 | 02-2016-12278 | ANDRES, ANA VICTORIA IGNACIO | S |
| 2 | 02-2016-12279 | MIGUEL, CRISTIAN RONQUILLO | S |

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| | | | |
| | | 01-2004-00027 | BPI SECURITIES CORPORATION |
| 1 | 02-2014-09978 | BUNAGAN, JANA CHRISTIANE CHUA | S |
| | | | |
| | | 01-2004-00047 | EAST WEST CAPITAL CORPORATION |
| 1 | 02-2016-12365 | CASTRO II, FREDERICK SANTOS | S |
| | | | |
| | | 01-2004-00068 | HDI SECURITIES, INC. |
| 1 | 02-2016-12276 | UY, JESLEY TAN | S |
| | | | |
| | | 01-2004-00019 | MAYBANK ATR KIM ENG SECURITIES, INC. |
| 1 | 02-2014-09564 | LEYVA, KIM CRISHA DELIJA | S |
| 2 | 02-2016-12344 | RODRIGUEZ, JOSE GERARDO BARRION | S |
| | | | |
| | | 01-2004-00103 | PHIL-PROGRESS SECURITIES CORPORATION |
| 1 | 02-2016-12280 | ONG, VIRGILIO TRINIDAD | AP |
| | | | |
| | | 01-2004-00007 | PHILSTOCKS FINANCIAL, INC. |
| 1 | 02-2016-12353 | ARMADA, EVELYN ICAMEN | S |
| 2 | 02-2016-12354 | BARRERA, RICARDO VERZOSA | S |
| 3 | 02-2016-12391 | SANTOS, KAREN KATE DIZON | S |
| | | | |
| | | 01-2004-00116 | REGINA CAPITAL DEVELOPMENT CORPORATION |
| 1 | 02-2016-12366 | LEGASPI, ANNA MAE GAGARIN | S |
| | | | |
| | | 01-2013-00277 | TIMSON SECURITIES, INC. |
| 1 | 02-2014-09964 | CENTINO, EARL CLUGH | S |
| | | | |
| | | 01-2004-00144 | WEALTH SECURITIES, INC. |
| 1 | 02-2009-04063 | UY, ANJELICA BONIFACIO | S |
| | | | |
| | | 01-2004-00145 | WESTLINK GLOBAL EQUITIES, INC. |
| 1 | 02-2016-12277 | GARCELLANO, HECTOR PONCE DE LEON | S |
| | | | |
| | | 01-2004-00149 | YU AND COMPANY, INC. |
| 1 | 02-2016-12294 | ODULIO, JARED BARATA | S |
| | | | |

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JULY 2016

| | | | |
|----------------------|---------------|--|----|
| 01-2004-00034 | | | |
| 1 | 02-2016-12182 | CITISECURITIES, INC. YU, JEREMY JOHNSON NG | S |
| | | | |
| 01-2004-00033 | | | |
| 1 | 02-2004-01382 | COL FINANCIALS GROUP, INC. RODRIGUEZ, JANET RACHO | S |
| | | | |
| 01-2004-00101 | | | |
| 1 | 02-2016-12239 | PCCI SECURITIES BROKERS CORP. RAYMOND, BRIAN ALDRICH ARRIETA | S |
| | | | |
| 01-2004-00104 | | | |
| 1 | 02-2016-12195 | PHILIPPINE EQUITY PARTNERS, INC. JAVIER, RAFAEL ALFONSO BUNCIO | S |
| 2 | 02-2016-12196 | VERGARA, CAROLINE SANTIAGO | S |
| 3 | 02-2016-12197 | YU JR, CARLOS RANCHEZ | S |
| | | | |
| 01-2004-00007 | | | |
| 1 | 02-2016-12191 | PHILSTOCKS FINANCIAL, INC. EUSTAQUIO, JESSE NEIL CRUZ | S |
| | | | |
| 01-2004-00106 | | | |
| 1 | 02-2014-08844 | PNB SECURITIES INC. CO, FRANK GO | S |
| | | | |
| 01-2004-00145 | | | |
| 1 | 02-2008-02697 | WESTLINK GLOBAL EQUITIES, INC. KABIGTING, MAY CATHERINE MOJICA | AP |
| | | | |

JUNE 2016

| | | | |
|----------------------|---------------|---|----|
| 01-2004-00017 | | | |
| 1 | 02-2016-12096 | ASTRA SECURITIES CORPORATION BINUYA, MARICAR LALO | AP |
| | | | |
| 01-2004-00035 | | | |
| 1 | 02-2011-05585 | CLSA PHILIPPINES, INC. SIBAL, MARIA ELISA ANDREA PAMANDANAN | S |
| | | | |
| 01-2004-00059 | | | |
| 1 | 02-2016-12098 | G.D. TAN & CO., INC. TIENG, JAMES GREGORY TAN | AP |
| | | | |
| 01-2004-00093 | | | |
| 1 | 02-2005-01863 | MERIDIAN SECURITIES, INC. MABIOG, ALBERTO MILLAN | S |
| | | | |
| 01-2004-00121 | | | |
| 1 | 02-2015-10594 | SB EQUITIES, INC. NAVAL, CATHYLIN BITUIN | S |

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|----------------------|---------------|------------------------------------|------|
| 2 | 02-2015-10529 | VALDEZ, JEREMY PAUL ANGELES | S |
| | | | |
| | | | |
| 01-2004-00129 | | SUPREME STOCKBROKERS, INC. | |
| 1 | 02-2016-12087 | BALATAZO, AMELIA SUBILLAGA | S |
| | | | |
| | | | |
| 01-2013-00277 | | TIMSON SECURITIES, INC. | |
| 1 | 02-2016-12061 | KOA, MARK LEVINSON RAMIREZ | S |
| | | | |
| | | | |
| 01-2004-00139 | | UNICAPITAL SECURITIES, INC. | |
| 1 | 02-2013-08019 | DELA CRUZ III, RODOLFO SIDRO | S |
| | | | |
| | | | |

May 2016

| | | | |
|----------------------|---------------|--|----|
| 01-2004-00004 | | AB CAPITAL SECURITIES, INC. | |
| 1 | 02-2016-11936 | ANG, MICK JAIRO MARTIN | S |
| | | | |
| | | | |
| 01-2004-00102 | | BDO NOMURA SECURITIES, INC. (FORMERLY: PCIB SECURITIES, INC.) | |
| 1 | 02-2011-05210 | CHOA-SHI, VASSY VERONICA SALVADOR | S |
| 2 | 02-2014-09299 | FERNANDEZ, ARVIN ROMEL RACHO | S |
| | | | |
| | | | |
| 01-2004-00027 | | BPI SECURITIES CORPORATION | |
| 1 | 02-2016-11935 | WY, KRISTINA SALVADOR | AP |
| 2 | 02-2016-11965 | BAUTISTA, CAMILLE MARIA REMEDIOS YUMUL | S |
| 3 | 02-2016-12029 | PAGTAKHAN, LORENZO MIGUEL LEE | S |
| 4 | 02-2016-11964 | TORRES, MARIE ASHLEY SOLIMAN | S |
| | | | |
| | | | |
| 01-2004-00095 | | FIRST METRO SECURITIES BROKERAGE CORPORATION | |
| 1 | 02-2016-11954 | ABRAHAM, MARIA THERESA INTERNO | AP |
| | | | |
| | | | |
| 01-2004-00068 | | HDI SECURITIES, INC. | |
| 1 | 02-2012-07489 | BARACHINA, MARIAN SANTIAGO | S |
| | | | |
| | | | |
| 01-2004-00019 | | MAYBANK ATR KIM ENG SECURITIES, INC. | |
| 1 | 02-2016-11934 | LACHICA, GERALEN CARDOZA | S |
| 2 | 02-2014-08684 | ONG, JO-ANNE ABIGAIL SO | S |
| 3 | 02-2016-11559 | SANTOS, SARAH NICOLE TIU | S |
| | | | |
| | | | |
| 01-2004-00007 | | PHILSTOCKS FINANCIAL, INC. | |

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|----------------------|---------------|---------------------------------------|------|
| 1 | 02-2015-10528 | GAITE, JOSE FERNANDO VICTOR MENDOZA | S |
| 2 | 02-2009-03693 | SIU, BENG | S |
| 3 | 02-2016-11962 | SO, ARLY JANE BERMUNDO | S |
| | | | |
| 01-2004-00115 | | RCBC SECURITIES, INC. | |
| 1 | 02-2012-06794 | LIM, KIMBERLY JANE CO | S |
| 2 | 02-2016-11963 | TAN, KENNY JUSTIN UY | S |
| | | | |
| 01-2004-00121 | | SB EQUITIES, INC. | |
| 1 | 02-2016-11956 | CHAM, PATRICK TIU | S |
| 2 | 02-2016-11955 | HAIGH, PHILIP MARK TY | S |
| | | | |
| 01-2004-00139 | | UNICAPITAL SECURITIES, INC. | |
| 1 | 02-2014-09705 | HIZON, PAOLO ANGELO CALLADO | S |
| 2 | 02-2016-12015 | MASLOG, DANIEL RAÑON | S |
| | | | |
| 01-2004-00144 | | WEALTH SECURITIES, INC. | |
| 1 | 02-2016-11528 | ANDRES, ANN TAMAMI IGNACIO | S |
| | | | |
| 01-2004-00145 | | WESTLINK GLOBAL EQUITIES, INC. | |
| 1 | 02-2004-00433 | ILAGAN, NOLIMAR LAT | S |
| | | | |

April 2016

| | | | |
|----------------------|---------------|---|----|
| 01-2004-00119 | | BDO SECURITIES CORPORATION | |
| 1 | 02-2004-00093 | BEBOSO, MICHELLE PEREZ | S |
| | | | |
| 01-2004-00033 | | COL FINANCIALS GROUP, INC. | |
| 1 | 02-2016-1823 | LAUREL, JOSE ARSENIO SANTAMARIA | S |
| | | | |
| 01-2016-00282 | | NOVEL SECURITIES, INC. | |
| 1 | 02-2016-11833 | CRUZ, JOSHUA CORNELIUS PAUL | AP |
| 2 | 02-2012-06624 | YU, LAWRENCE KRISTOFFER LU | S |
| | | | |
| 01-2004-00104 | | PHILIPPINE EQUITY PARTNERS, INC. | |
| 1 | 02-2016-11834 | COCUACO, GAIL MARIE DY | S |
| 2 | 02-2016-11835 | FELIX, PHILIP ALBERT PROCIONCULA | S |
| | | | |
| 01-2004-00113 | | R. NUBLA SECURITIES, INC. | |
| 1 | 02-2016-11822 | LEE, RACHELE LINDSAY YU | S |
| | | | |

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|----------------------|---------------|--|------|
| 01-2004-00131 | | THE FIRST RESOURCES MANAGEMENT AND SECURITIES CORPORATION | |
| 1 | 02-2013-07959 | LALAGUNA, MA. SHERDAN DE GUZMAN | AP |
| | | | |
| 01-2004-00145 | | WESTLINK GLOBAL EQUITIES, INC. | |
| 1 | 02-2016-11781 | MUNOZ, RAFAEL ONG | S |
| | | | |

MARCH 2016

| | | | |
|----------------------|---------------|---|----|
| 01-2016-00280 | | INFINITY TRADERS SECURITIES CORP. | |
| 1 | 02-2014-09770 | MARTINO, LUIGI MARTIN LLANES | AP |
| 2 | 02-2004-00017 | ALFONSO, BELMA ATIENZA | S |
| 3 | 02-2014-09964 | CENTINO, EARL CLUGH | S |
| 4 | 02-2004-00292 | DIPASUPIL, LOURDES CELESTIAL GOMEZ | S |
| 5 | 02-2004-00662 | PATAG, CARISSA JUNIO | S |
| | | | |
| 01-2004-00027 | | BPI SECURITIES CORPORATION | |
| 1 | 02-2016-11773 | MANZARES, SANDIE FALSARIO | AP |
| | | | |
| 01-2004-00028 | | CAMPOS, LANUZA & CO., INC. | |
| 1 | 02-2016-11772 | LANUZA, CHIARA ROSARIO JULIA VERZOSA | S |
| | | | |
| 01-2004-00046 | | EASTERN SECURITIES DEVELOPMENT CORP | |
| 1 | 02-2013-07808 | CHANG, MA. WINCEL DIANSUY | AP |
| 2 | 02-2016-11770 | ONG, JEFFERSON PESTAÑO | S |
| | | | |
| 01-2004-00068 | | HDI SECURITIES, INC. | |
| 1 | 02-2004-00971 | GO, JULIE CUA | S |
| | | | |
| 01-2004-00077 | | JM BARCELON & CO., INC. | |
| 1 | 02-2016-11638 | MAGTAGNOB, CRISTETA UNTALAN | AP |
| | | | |
| 01-2004-00083 | | LARRGO SECURITIES COMPANY, INC. | |
| 1 | 02-2016-11658 | OJALES, DONNEL ATIENZA | S |
| | | | |
| 01-2004-00019 | | MAYBANK ATR KIM ENG SECURITIES, INC. | |
| 1 | 02-2008-02392 | CONDE, MA. CRISTINA MENEZ | S |
| 2 | 02-2016-11717 | DAGOHOY, RITCHEL ATACADOR | S |
| | | | |
| 01-2004-00091 | | MDR SECURITIES, INC. | |

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|---|---------------|--|------|
| 1 | 02-2004-00350 | GARCIA, MA. RAQUEL RECTO | AP |
| 2 | 02-2004-00577 | MANUEL, AMALIA LOURDES RECTO | S |
| 01-2004-00102 | | | |
| PCIB SECURTIES, INC. | | | |
| 1 | 02-2004-00327 | FERNANDEZ JR, RANULFO DIODINA | S |
| 01-2004-00104 | | | |
| PHILIPPINE EQUITY PARTNERS, INC. | | | |
| 1 | 02-2016-11636 | BONDAD, CRISSA MARIE UMALI | S |
| 01-2004-00103 | | | |
| PHIL-PROGRESS SECURITIES CORPORATION | | | |
| 1 | 02-2016-11722 | MORA, RICHELLE FERNANDEZ | AP |
| 01-2004-00115 | | | |
| RCBC SECURITIES, INC. | | | |
| 1 | 02-2006-02069 | LITAP JR, PERFECTO SALUPEN | AP |
| 01-2004-00109 | | | |
| SALISBURY BKT SECURITIES CORPORATION | | | |
| 1 | 02-2010-05246 | ESPINOSA, ANNA BARBARA MAGNO | S |
| 2 | 02-2016-11656 | PATERSON, THOMAS JOHN | S |
| 3 | 02-2004-00665 | PE, CAROLINE UY | S |
| 01-2004-00139 | | | |
| UNICAPITAL SECURITIES, INC. | | | |
| 1 | 02-2010-04874 | HUANG, LANNA LESLIE NOCOM | S |
| 2 | 02-2011-05286 | REITHER, MICHELLE GERALDINE GONZALEZ | S |
| 3 | 02-2012-06496 | SAN PEDRO, CRISTOPHER ADRIAN TABAFUNDA | S |
| 01-2016-00281 | | | |
| VC SECURITIES CORPORATION | | | |
| 1 | 02-2016-11767 | ANG, JULIE LO | AP |
| 2 | 02-2016-11768 | LAPUT, CARLO CHUA | S |

FEBRUARY 2016

| | | | |
|------------------------------------|---------------|-----------------------------------|---|
| 01-2004-00004 | | | |
| AB CAPITAL SECURITIES, INC. | | | |
| 1 | 02-2016-11624 | BANGELES, CHARMAINE GAIL NUÑEZ | S |
| 2 | 02-2011-05830 | CERVANTES, CHRISTPHER GOLPO | S |
| 01-2004-00027 | | | |
| BPI SECURITIES CORPORATION | | | |
| 1 | 02-2015-10176 | VALDECAÑAS, FRANCESCO ADEL TORRES | S |
| 01-2004-00132 | | | |
| DW CAPITAL INC. | | | |
| 1 | 02-2014-09355 | ANG, RICHMOND CO | S |

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|----------------------|---------------|---|------|
| 01-2004-00095 | | FIRST METRO SECURITIES BROKERAGE CORPORATION | |
| 1 | 02-2016-11569 | DESEO JR, ROGELIO CABUROG | S |
| 2 | 02-2013-08032 | GUZMAN, PHILIPPE ALBERT LUNA | S |
| 3 | 02-2016-11568 | LUMANLAN, THERESA JOY FERNANDEZ | S |
| 4 | 02-2013-07594 | SANCHEZ, MA. JESSICA CHRISTINE PONCE | S |
| 01-2004-00019 | | MAYBANK ATR KIM ENG SECURITIES, INC. | |
| 1 | 02-2016-11570 | MONTEMAYOR, CHARMAINE ABULENCIA | S |
| 2 | 02-2016-11571 | REYES, JAZZELYN FERNANDEZ | S |
| 01-2004-00007 | | PHILSTOCKS FINANCIAL, INC. | |
| 1 | 02-2016-11558 | BERNARDINO, MIKHAIL PIERREANGELO ASUNCION | S |
| 2 | 02-2013-08018 | CO, JOHN ANTHONY GO | S |
| 3 | 02-2016-11566 | DE CELIS, JERVIN SAN LUIS | S |
| 4 | 02-2016-11557 | GO, MALCOLM MILTON TELOON | S |
| 5 | 02-2016-11559 | SANTOS, SARAH NICOLE TIU | S |
| 01-2004-00112 | | R. COYIUTO SECURITIES, INC. | |
| 1 | 02-2016-11565 | CORPUZ, RENZ ANGELO PAREL | S |
| 01-2012-00276 | | STAR ALLIANCE SECURITIES CORP. | |
| 1 | 02-2004-00352 | GARCIA, GILPATRICK RODRIGUEZ | S |

JANUARY 2016

| | | | |
|----------------------|---------------|--|---|
| 01-2004-00011 | | AP SECURITIES, INC. | |
| 1 | 02-2016-11563 | CALISON, KRIS AARON SUBIDA | S |
| 2 | 02-2016-11514 | SEE, JEFF RADLEY CHUA | S |
| 01-2004-00016 | | ASIASEC EQUITIES, INC. | |
| 1 | 02-2016-11515 | ARCEO, GIANINNA BIANCA ANORE | S |
| 01-2004-00033 | | COL FINANCIALS GROUP, INC. | |
| 1 | 02-2016-11526 | MACAPUGAY, AVA DIORELLA CORTEZ | S |
| 2 | 02-2014-08799 | NOYNAY, JOSEPH BRIAN SERRANO | S |
| 3 | 02-2016-11527 | PONTINO, NILLETH MAE ANN VILLASANTA | S |
| 01-2004-00046 | | EASTERN SECURITIES DEVELOPMENT CORP | |
| 1 | 02-2016-11528 | ANDRES, ANN TAMAMI IGNACIO | S |
| 2 | 02-2016-11529 | CATALAN, FAITH ANGELIE ESCOL | S |
| 01-2004-00106 | | PNB SECURITIES, INC. | |

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|---|---------------|-----------------------|------|
| 1 | 02-2016-10960 | LAZA, BRIAN RAY CADAG | S |
| | | | |
| | | | |