

Citicorp Financial Services and Insurance Brokerage Philippines Inc. (CFSI)

Key Officers

1. Marie Christine Z. Morillo

- Title: CFSI Treasurer / Investment Product Head
- Level: Vice President
- Work Experience:
 - CFSI, Investment Product Head – since Apr 2020
 - BDO Private Bank, Portfolio Manager – Jun 2014 to Apr 2020
 - Metrobank, Fund Manager – Aug 2010 to Jun 2014
 - Sun Life Asset Management Company, Strategic Development Manager – Apr 2008 to Aug 2010
 - BDO Unibank, Investment Officer – Dec 2006 to Apr 2008
 - Equitable PCI Bank, Management Trainee – Jun to Dec 2006
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
2020 Philippines AML, Sanctions and Anti-Bribery Training	1	Citibank
Fraud Awareness 2020	1	Citibank
Data Privacy Act of the Philippines	1	Citibank

2. Klarivel Merano

- Title: Klarivel Garces-Merano
- Level: Vice President
- Work Experience:
 - CFSI Chief Finance Officer – since Nov 2017
 - Citibank N.A. Philippines, Finance Reporting Senior Manager - since Jul 2017
 - Citi Square Building Corp, CCBC Holdings Inc, Chief Finance Officer since May 2014
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
2020 Annual Information Security Refresher for Employees in APAC	1	Citibank
2020 Overview of Philippine Laws and Regulations	1.5	Citibank
2020 Philippines AML, Sanctions and Anti-Bribery Training [for Employees]	1.5	Citibank

2020 Privacy and Records Management Awareness [Employees]	0.5	Citibank
Course 1 - U.S. Prudential Bank Supervision 2020	0.5	Citibank
Course 2 - U.S. Banks & Bank Holding Companies: Powers and Permissible Activities 2020	0.5	Citibank
Course 3 - U.S. Bank Affiliate Transactions	0.5	Citibank
Course 4 - Other Key U.S. Bank Regulations with Citi-wide Applicability 2020	0.5	Citibank
Global Conduct Risk 2020 [for Employees]	0.5	Citibank
Global Initiative: 2020 Code of Conduct	1	Citibank
Global Initiative: 2020 U.S. Bank Prudential Regulatory Compliance	0	Citibank
The Data Privacy Act of the Philippines	1	Citibank

3. Katherine Lipana

- Title: Compliance Officer/Associated Person/Data Privacy Officer/Chief Risk Officer
- Level: Senior Vice President
- Work Experience:
 - CFSI Compliance Officer/Associated Person/DPA/CRO – since Mar 2007
 - Citibank N.A. Philippines, Senior Compliance Officer - since May 2003
 - Citibank N.A., Philippines, Quality Assurance Officer – Apr 2000 to Apr 2003
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
2020 Annual Compliance Refresher – BSP Circular 1048 - BSP Regulations on Financial Consumer Protection	1	Citibank
2020 Annual Information Security Refresher for Employees in APAC	1	Citibank
2020 Asia (APAC and EMEA) GCB Annual Compliance Refresher	1	Citibank
2020 Overview of Philippine Laws and Regulations	1.5	Citibank
2020 Philippines AML, Sanctions and Anti-Bribery Training [for Employees]	1.5	Citibank
2020 Privacy and Records Management Awareness [Employees]	0.5	Citibank
2020 Volcker Rule for GCB Employees	0.5	Citibank

Complaints/Concerns Management Refresher for Employees	0.5	Citibank
Course 1 - U.S. Prudential Bank Supervision 2020	0.5	Citibank
Course 2 - U.S. Banks & Bank Holding Companies: Powers and Permissible Activities 2020	0.5	Citibank
Course 3 - U.S. Bank Affiliate Transactions	0.5	Citibank
Course 4 - Other Key U.S. Bank Regulations with Citi-wide Applicability 2020	0.5	Citibank
Global Conduct Risk 2020 [for Employees]	0.5	Citibank
Global Initiative: 2020 Code of Conduct	1	Citibank
Global Initiative: 2020 U.S. Bank Prudential Regulatory Compliance	0	Citibank
ICRM Procedure for Third Party Compliance Oversight 2020	0.5	Citibank
ICRM Procedure Issues Management Procedures 2020	1	Citibank
Insider Trading Policies, EU Market Abuse Regulation and Insider Lists Requirements 2020	0.5	Citibank
Sales Practices 2020 for Employees	1	Citibank
The Data Privacy Act of the Philippines	1	Citibank
Training on Handling of Freeze Order and Identification of Related and Materially-Linked Accounts 2020	1	Citibank

4. Jose Arsenio Hortaleza

- Title: Alternate AML Compliance Officer
- Level: Senior Vice President
- Work Experience:
 - Country Citibank N.A. Phils AML Compliance Officer – since Oct 2019
 - Citibank N.A. Philippines, AML Compliance Officer - Jun 2016 – Sep 2019
 - ING, ORM Head – Aug 2014 – May 2016
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
2020 Annual Information Security Refresher for Employees in APAC	1	Citibank
2020 Overview of Philippine Laws and Regulations	1.5	Citibank
2020 Philippines AML, Sanctions and Anti-Bribery Training [for Employees]	1.5	Citibank

2020 Privacy and Records Management Awareness [Employees]	0.5	Citibank
Global Conduct Risk 2020 [for Employees]	0.5	Citibank
Global FIU AML Case Review and Investigations Operating Program English	1	Citibank
Global Initiative: 2020 Code of Conduct	1	Citibank
Global Red Flag List Standard 2020	1	Citibank
Global Shell Companies Overview	1	Citibank
The Data Privacy Act of the Philippines	1	Citibank
Training on Handling of Freeze Order and Identification of Related and Materially-Linked Accounts 2020	1	Citibank

5. Margarita Maria Ines Munoz

- Title: CFSI Operations Officer
- Level: Assistant Vice President
- Work Experience:
 - Citiphone Officer – since April 1994 – Sept 1998 2007
 - Citibank N.A. Philippines, Branch Banking Officer (CSO and BOSM) - from August 1998 to Sept 2012
 - Citibank N.A. Philippines Trust Operations and Accounting Head – Sept 2012 – Sept 2017
 - CFSI Operations Head – April 2018 - current
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
2020 Annual Compliance Refresher – BSP Circular 1048 - BSP Regulations on Financial Consumer Protection	1	Citibank
2020 Annual Information Security Refresher for Employees in APAC	1	Citibank
2020 Asia (APAC and EMEA) GCB Annual Compliance Refresher	1	Citibank
2020 Overview of Philippine Laws and Regulations	1.5	Citibank
2020 Philippines AML, Sanctions and Anti-Bribery Training [for Employees]	1.5	Citibank
2020 Privacy and Records Management Awareness [Employees]	0.5	Citibank

Complaints/Concerns Management Refresher for Employees	0.5	Citibank
Global Conduct Risk 2020 [for Employees]	0.5	Citibank
Global Initiative: 2020 Code of Conduct	1	Citibank
Refresher on Covered Transactions Reporting Process	1	Citibank
The Data Privacy Act of the Philippines	1	Citibank

6. Peter Anthony Pantangco

- Title: CFSI Governance Head
- Level: Vice President
- Work Experience:
 - CFSI Governance Head
 - CFSI Fixed Income Product Manager – Sep 2005 to Oct 2020
 - Citibank, N.A. Philippines | Retail Branch Banking Compliance Officer – Jun 2001 to Aug 2005
 - Citibank, N.A. Philippines | Consumer Investments Business Officer – Apr 2000 to May 2001
 - Citibank, N.A. Philippines | Citiphone Officer – Oct 1996 to Mar 2000
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
2020 Annual Compliance Refresher – BSP Circular 1048 - BSP Regulations on Financial Consumer Protection	1	Citibank
2020 Annual Information Security Refresher for Employees in APAC	1	Citibank
2020 Asia (APAC and EMEA) GCB Annual Compliance Refresher	1	Citibank
2020 Overview of Philippine Laws and Regulations	1.5	Citibank
2020 Philippines AML, Sanctions and Anti-Bribery Training [for Employees]	1.5	Citibank
2020 Privacy and Records Management Awareness [Employees]	0.5	Citibank
2020 Volcker Rule for GCB Employees	0.5	Citibank
Global Conduct Risk 2020 [for Employees]	0.5	Citibank
Global Initiative: 2020 Code of Conduct	1	Citibank
The Data Privacy Act of the Philippines	1	Citibank

7. Avigeil Tan

- Title: Sales and Distribution Network Head
- Level: Senior Vice President
- Work Experience:
 - CFSI Sales Network Head since Jan 2019

- CFSI Sales Head Hub – Jan 2015 to Jan 2019
- Citibank NA Sales Head Cebu branch – Jan 2011 to Jan 2015
- Citibank Relationship Manager since May 2003 to Aug 2007
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
Complaints/Concerns Management Refresher for Employees	0.5	Citibank
2020 Annual Information Security Refresher for Employees in APAC	1	Citibank
2020 Philippines AML, Sanctions and Anti-Bribery Training [for Employees]	1.5	Citibank
2020 Asia (APAC and EMEA) GCB Annual Compliance Refresher	1	Citibank
2020 Privacy and Records Management Awareness [Employees]	0.5	Citibank
Refresher on Covered Transactions Reporting Process	1	Citibank
2020 Annual Compliance Refresher – BSP Circular 1048 - BSP Regulations on Financial Consumer Protection	1	Citibank
Salient Reminders on Insurance Selling	0.5	Citibank
Salient Reminders for Insurance Sellers 2020	0.07	Citibank
2020 Overview of Philippine Laws and Regulations	1.5	Citibank
Global Conduct Risk 2020 [for Employees]	0.5	Citibank
Global Initiative: 2020 Code of Conduct	1	Citibank
The Data Privacy Act of the Philippines	1	Citibank
Asia-EMEA GCB Regional Retail Bank - Branch Sales Professional Conduct Attestation 2020	1	Citibank
Global Initiative: Manual Payment Processing (MPP) 2019	1	Citibank
Global AML Payment Intermediary Standard 2019	0.5	Citibank

8. Sherwin Chan

- Title: Insurance Business Head
- Level: Vice President
- Work Experience:
 - Insurance Business Head, Jun 2021 onwards
 - OIC, Insurance Business Head – Dec 2020 to Jun 2021
 - Head, Insurance Specialists Team – Aug 2017 to Jun 2021
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
2020 Annual Compliance Refresher – BSP Circular 1048 - BSP Regulations on Financial Consumer Protection	1	Citibank
2020 Annual Information Security Refresher for Employees in APAC	1	Citibank

2020 Asia (APAC and EMEA) GCB Annual Compliance Refresher	1	Citibank
2020 Overview of Philippine Laws and Regulations	1.5	Citibank
2020 Philippines AML, Sanctions and Anti-Bribery Training [for Employees]	1.5	Citibank
2020 Privacy and Records Management Awareness [Employees]	0.5	Citibank
Complaints/Concerns Management Refresher for Employees	0.5	Citibank
Global AML Payment Intermediary Standard 2019	0.5	Citibank
Global Conduct Risk 2020 [for Employees]	0.5	Citibank
Global Initiative: 2020 Code of Conduct	1	Citibank
Salient Reminders for Insurance Sellers 2020	0.07	Citibank
Salient Reminders on Insurance Selling	0.5	Citibank
The Data Privacy Act of the Philippines	1	Citibank

Corporate Secretary

- Name: Atty. Mark Vergara
- Trainings completed in 2020:

Topic of Training	No. of Hours	Conducted By
Corporate Restructuring and Insolvency	1.5	MVGS
Professional Development: Client and Business Development Post COVID-19	1.5	MVGS
Professional Development: Digital Lawyering	1.5	MVGS
Salient Features and Issues: Bayanihan to Recover as One Act	1.5	MVGS