

# COVER SHEET

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S.E.C. Registration Number

C O L F I N A N C I A L G R O U P , I N C .

(Company's Full Name)

2 4 / F E A S T T O W E R T E K T I T E  
T O W E R S E X C H A N G E R O A D O R T I G A S  
C E N T E R P A S I G C I T Y

(Business Address: No. Street City/Town/Province)

Atty. Sharon T. Lim

Contact Person

8636-54-11

Company Telephone Number

1 2      3 1  
Month      Day  
Fiscal Year

**SEC FORM 17-C**

FORM TYPE

0 4                 
Month      Day  
Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total Number of Stockholders

Total Amount of Borrowings  
Domestic      Foreign

To be accomplished by SEC Personnel concerned

File Number

LCU

Document I.D.

Cashier

STAMPS

Remarks = pls. Use black ink for scanning purposes

SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
OF THE SECURITIES REGULATION CODE  
AND SRC RULE 17.2(c) THEREUNDER

1. **16 March 2020**  
Date of Report (Date of earliest event reported)
2. SEC Identification Number **A199910065** 3. BIR Tax Identification No. **203523208**
4. **COL Financial Group, Inc.**  
Exact name of issuer as specified in its charter
5. **Manila, Philippines** 6.  (SEC Use Only)  
Province, country or other jurisdiction of incorporation Industry Classification Code:
7. **24/F East Tower, PSE Centre, Exchange Road, Ortigas Center, Pasig City 1605**  
Address of principal office Postal Code
8. **(02) 8636-5411**  
Issuer's telephone number, including area code
9. **Not Applicable**  
Former name or former address, if changed since last report
10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b><u>Common Shares</u></b>	<b><u>476,000,000</u></b>

- .....
11. Indicate the item numbers reported herein: **Item #9**

**Item 9. Other Events**

In light of the COVID-19 situation, and in support of the government's call for social distancing, the Board of Directors of COL Financial Group, Inc. (the "Company") resolved on 16 March 2020 to postpone the Company's 2020 Annual Stockholders' Meeting from 3 April 2020 to a later date to be determined once the health authorities have declared the crisis to be over.

Attached is an Affidavit of Postponement of the Annual Stockholders' Meeting signed by the Company's President, Mr. Conrado F. Bate.

**SIGNATURES**

Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**  
Issuer

**16 March 2020**  
Date



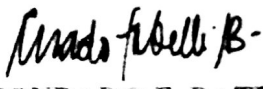
.....  
**SHARON T. LIM**  
Corporate Secretary

REPUBLIC OF THE PHILIPPINES)  
CITY OF PASIG ) S.S.

**AFFIDAVIT OF POSTPONEMENT OF  
ANNUAL STOCKHOLDERS' MEETING**

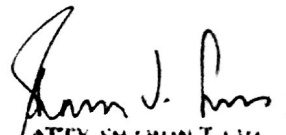
I, **CONRADO F. BATE**, of legal age, Filipino and with office address at 24/F East Tower, Philippine Stock Exchange Centre, Exchange Road, Ortigas Center, Pasig City, after having been duly sworn in accordance with law, do hereby certify that:

1. I am the President and Chief Executive Officer of COL FINANCIAL GROUP, INC. (the "Company"), a corporation organized and existing under the laws of the Philippines, with principal office address at 24/F East Tower, Philippine Stock Exchange Centre, Exchange Road, Ortigas Center, Pasig City.
2. The Corporation has previously given notice of its Annual Stockholders' Meeting which is to be held on 3 April 2020.
3. In light of the current health situation involving the spread of the Corona Virus Disease 2019 (COVID-19) in the country, the Board of Directors of the Company resolved to postpone the 2020 Annual Stockholders' Meeting to a later date to be determined once the health authorities have declared that the crisis is over.
4. I am executing this affidavit in compliance with the reporting requirements of the Securities and Exchange Commission.

  
**CONRADO F. BATE**  
President and CEO

SUBSCRIBED AND SWORN TO BEFORE ME this 16<sup>th</sup> day of March 2020, at Pasig City, affiant exhibited to me his Passport Number No. P8211336A issued at DFA Manila on 3 August 2018.

Doc. No. 400 ;  
Page No. 81 ;  
Book No. ✓ ;  
Series of 2020

  
ATTY. SHARON T. LIM  
Notary Public for the Cities of Pasig,  
San Juan and Municipality of Pateros  
Until 12-31-21/ Appt. No. 103 (2020-2021)  
2703C East Tower, Phil. Stock Exchange Centre  
Exchange Rd., Ortigas Center, Pasig City 1605  
Roll No. 53601/ IBP No. 096494/ 12-05-19/ RSM  
PTR No. 5242149/01-07-20/Pasig City  
MCLE Compliance No. VI-0010529/04-14-22/Pasig

# COVER SHEET

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S.E.C. Registration Number

C O L F I N A N C I A L G R O U P , I N C .

(Company's Full Name)

2 4 / F E A S T T O W E R P S E C E N T R E  
E X C H A N G E R O A D O R T I G A S C E N T E R  
P A S I G C I T Y

(Business Address: No. Street City/Town/Province)

Atty. Sharon T. Lim

Contact Person

8636-54-11

Company Telephone Number

1 2    3 1  
*Month    Day*  
Fiscal Year

**SEC FORM 17-C**

FORM TYPE

0 3        
*Month    Day*  
Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total Number of Stockholders

Total Amount of Borrowings  
Domestic

Total Amount of Borrowings  
Foreign  
none

To be accomplished by SEC Personnel concerned

File Number

LCU

Document I.D.

Cashier

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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
OF THE SECURITIES REGULATION CODE  
AND SRC RULE 17.2(c) THEREUNDER

1. **3 April 2020**  
Date of Report (Date of earliest event reported)
2. SEC Identification Number **A199910065**
3. BIR Tax Identification No. **203523208**
4. **COL Financial Group, Inc.**  
Exact name of issuer as specified in its charter
5. **Manila, Philippines**  
Province, country or other jurisdiction of incorporation
6. Industry Classification Code:  (SEC Use Only)
7. **24/F East Tower, PSE Centre, Exchange Road, Ortigas Centre, Pasig City** **1605**  
Address of principal office Postal Code
8. **(02) 8636-5411**  
Issuer's telephone number, including area code
9. **Not applicable**  
Former name or former address, if changed since last report
10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b>Common Shares</b>	<b>476,000,000</b>

- .....
11. Indicate the item numbers reported herein: **Item #9**
-

**Item 9. Other Events**

Please be informed that at the Special Meeting of the Board of Directors of COL Financial Group, Inc. held today, 3 April 2020, the Board approved the declaration and payment from the unappropriated retained earnings of the Company as of 31 December 2019, the following cash dividends:

- a. Regular Cash Dividend of ₱0.18 per share, payable on 27 May 2020 to stockholders of record as of 30 April 2020; and
- b. Special Cash Dividend of ₱0.52 per share, payable on 27 May 2020 to stockholders of record as of 30 April 2020.

Thank you.

**SIGNATURES**

Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issue

**3 April 2020**

Date



.....  
**SHARON T. LIM**  
Corporate Secretary

## CERTIFICATION

I, **Sharon T. Lim**, AVP/Head of Legal and Compliance Department, is a duly authorized representative of COL Financial Group, Inc. ("the Company"), with SEC registration number A199910065 and with principal office address at 24/F East Tower, Philippine Stock Exchange Centre, Exchange Road, Ortigas Center, do hereby certify and state that:

- 1) The Company will comply with the guidelines for the alternative filing of reports and/or documents through electronic mail with the Securities and Exchange Commission through the Corporate Governance and Finance Department (CGFD) issued on 30 March 2020 in light of the imposition of an Enhanced Community Quarantine and Stringent Social Distancing Measures over Luzon to prevent the spread of the 2019 Coronavirus Disease (COVID-2019).
- 2) The information contained in SEC Form 17-C dated 3 April 2020 ("SEC Form 17-C") is true and correct based on the records of the Company.
- 3) The Company hereby undertakes to: a) submit hard or physical copies of SEC Form 17-C with proper notarization (where applicable) and certification; b) pay the filing fees (where applicable); c) pay the penalties due (where applicable); and d) other impositions (where applicable), within ten (10) calendar days from the date of the lifting of the Enhanced Community Quarantine period and resumption of SEC's normal working hours.
- 4) I am fully aware that non-submission of hard/physical copies of reports as well as certification that they refer to one and the same document submitted online, within ten (10) calendar days from the lifting of the Enhanced Community Quarantine period and resumption of SEC's normal working hours, shall invalidate the reports, applications, compliance, requests and other documents submitted via email. Hence, the corresponding penalties under existing rules and regulations of the Commission shall apply without prejudice to the imposition of penalties under Section 54 of the Securities Regulation Code and other applicable existing rules and regulations for failure to comply with the orders of the Commission.
- 5) I am executing this certification on 3 April 2020 to attest to the truthfulness of the foregoing facts and for whatever legal purpose it may serve.



**SHARON T. LIM**

AVP/Head of Legal and Compliance Department  
Phil. Passport No. P1784587A



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(Company's Full Name)

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E X C H A N G E R O A D O R T I G A S C E N T E R  
P A S I G C I T Y

(Business Address: No. Street City/Town/Province)

Atty. Sharon T. Lim

Contact Person

8636-54-11

Company Telephone Number

1 2    3 1  
*Month    Day*  
Fiscal Year

**SEC FORM 17-C**

FORM TYPE

0 3        
*Month    Day*  
Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total Number of Stockholders

Total Amount of Borrowings  
Domestic

none  
Foreign

To be accomplished by SEC Personnel concerned

File Number

LCU

Document I.D.

Cashier

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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
OF THE SECURITIES REGULATION CODE  
AND SRC RULE 17.2(c) THEREUNDER

1. **30 April 2020**  
Date of Report (Date of earliest event reported)
2. SEC Identification Number **A199910065** 3. BIR Tax Identification No. **203523208**
4. **COL Financial Group, Inc.**  
Exact name of issuer as specified in its charter
5. **Manila, Philippines** 6.  (SEC Use Only)  
Province, country or other jurisdiction of incorporation Industry Classification Code:
7. **24/F East Tower, PSE Centre, Exchange Road, Ortigas Center, Pasig City 1605**  
Address of principal office Postal Code
8. **(02) 8636-5411**  
Issuer's telephone number, including area code
9. **Not Applicable**  
Former name or former address, if changed since last report
10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b><u>Common Shares</u></b>	<b><u>476,000,000</u></b>

- .....
11. Indicate the item numbers reported herein: **Item #9**

## Item 9. Other Events

Please be informed that the Board of Directors of COL Financial Group, Inc. ("COL" or "the Company"), during its meeting held today, 30 April 2020, approved the setting of the Annual Stockholders' Meeting on 2 June 2020, Tuesday, 2:00 p.m.

In light of the COVID-19 global pandemic, the Company will not be conducting a physical annual stockholders' meeting.

The annual stockholders' meeting will be streamed live, and stockholders may attend and participate by remote communication and vote in absentia or by proxy, using the online portal and in accordance with the procedure to be disclosed in the Information Statement and published in the Company's website at [www.colfinancial.com](http://www.colfinancial.com).

Only stockholders of record at the close of business on 15 May 2020 are entitled to notice of and to vote at said meeting and any adjournment thereof. As per By-Laws, the Stock and Transfer Books of the Company will be closed from 18 May 2020 to 22 May 2020.

### SIGNATURES

Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**30 April 2020**

Date



.....  
**SHARON T. LIM**  
Corporate Secretary

## Certification

I, **Sharon T. Lim**, AVP/Head of Legal and Compliance Department, is a duly authorized representative of COL Financial Group, Inc. ("the Company"), with SEC registration number A199910065 and with principal office address at 24/F East Tower, Philippine Stock Exchange Centre, Exchange Road, Ortigas Center, do hereby certify and state that:

- 1) The Company will comply with the guidelines for the alternative filing of reports and/or documents through electronic mail with the Securities and Exchange Commission through the Corporate Governance and Finance Department (CGFD) issued on 30 March 2020 in light of the imposition of an Enhanced Community Quarantine and Stringent Social Distancing Measures over Luzon to prevent the spread of the 2019 Coronavirus Disease (COVID-2019).
- 2) The information contained in **SEC Form 17-C dated 30 April 2020** ("SEC Form 17-C") is true and correct based on the records of the Company.
- 3) The Company hereby undertakes to: a) submit hard or physical copies of SEC Form 17-C with proper notarization (where applicable) and certification; b) pay the filing fees (where applicable); c) pay the penalties due (where applicable); and d) other impositions (where applicable), within ten (10) calendar days from the date of the lifting of the Enhanced Community Quarantine period and resumption of SEC's normal working hours.
- 4) I am fully aware that non-submission of hard/physical copies of reports as well as certification that they refer to one and the same document submitted online, within ten (10) calendar days from the lifting of the Enhanced Community Quarantine period and resumption of SEC's normal working hours, shall invalidate the reports, applications, compliance, requests and other documents submitted via email. Hence, the corresponding penalties under existing rules and regulations of the Commission shall apply without prejudice to the imposition of penalties under Section 54 of the Securities Regulation Code and other applicable existing rules and regulations for failure to comply with the orders of the Commission.
- 5) I am executing this certification on 30 April 2020 to attest to the truthfulness of the foregoing facts and for whatever legal purpose it may serve.



**SHARON T. LIM**  
AVP/Head of Legal and Compliance Department  
Phil. Passport No. P1784587A

# COVER SHEET

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S.E.C. Registration Number

C O L F I N A N C I A L G R O U P , I N C .

(Company's Full Name)

2 4 / F E A S T T O W E R P S E C E N T R E  
E X C H A N G E R O A D O R T I G A S C E N T E R  
P A S I G C I T Y

(Business Address: No. Street City/Town/Province)

Atty. Sharon T. Lim

Contact Person

8636-54-11

Company Telephone Number

1 2    3 1  
*Month    Day*  
Fiscal Year

**SEC FORM 17-C**

FORM TYPE

0 3        
*Month    Day*  
Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total Number of Stockholders

Total Amount of Borrowings  
Domestic

none  
Foreign

To be accomplished by SEC Personnel concerned

File Number

LCU

Document I.D.

Cashier

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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
OF THE SECURITIES REGULATION CODE  
AND SRC RULE 17.2(c) THEREUNDER

- 1. 21 May 2020  
Date of Report (Date of earliest event reported)
- 2. SEC Identification Number A199910065 3. BIR Tax Identification No. 203523208
- 4. COL Financial Group, Inc.  
Exact name of issuer as specified in its charter
- 5. Manila, Philippines 6.  (SEC Use Only)  
Province, country or other jurisdiction of Industry Classification Code:  
incorporation
- 7. 24/F East Tower, PSE Centre, Exchange Road, Ortigas Center, Pasig City 1605  
Address of principal office Postal Code
- 8. (02) 8636-5411  
Issuer's telephone number, including area code
- 9. Not Applicable  
Former name or former address, if changed since last report
- 10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<u>Common Shares</u>	<u>476,000,000</u>

- .....
- 11. Indicate the item numbers reported herein: Item #9

## Item 9. Other Events

Further to the Company's April 3, 2020 disclosure with respect to its declaration of cash dividends, we would like to inform the Exchange and the investing public that the Record Date of April 30, 2020 and Payment Date of May 27, 2020 remain unchanged.

However, the COVID-19 global pandemic and the current quarantine rules have affected and severely restricted various services, including the delivery services used by the Company. Hence, the distribution of check payments for the dividends will be as follows:

1. For stockholders whose shares are lodged under PCD Nominee Corp. (PCD), the cash dividends will be remitted to PCD on May 27, 2020; and
2. For stockholders with certificated shares relying on physical check deliveries, the actual distribution of cash dividend checks will resume when the courier and mailing services are available.

Certificated stockholders may opt to receive their cash dividends by way of deposit to their respective bank or COL accounts. Those who wish to exercise this option may coordinate with the Company thru [corporatesecretary@colfinancial.com](mailto:corporatesecretary@colfinancial.com).

For other dividend-related concerns, stockholders and investors may reach the Company thru any of the following:

**COL FINANCIAL GROUP, INC. ("COL")**

Atty. Sharon T. Lim  
Corporate Secretary  
Email: [corporatesecretary@colfinancial.com](mailto:corporatesecretary@colfinancial.com)

**PROFESSIONAL STOCK TRANSFER, INC. ("PSTI")**

Ms. Jenny C. Serafica  
President  
Email: [Info@professionalstocktransfer.com](mailto:Info@professionalstocktransfer.com)

## SIGNATURES

Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer



.....  
**SHARON T. LIM**  
Corporate Secretary

**21 May 2020**

Date

## CERTIFICATION

I, **Sharon T. Lim**, AVP/Head of Legal and Compliance Department, is a duly authorized representative of COL Financial Group, Inc. (“the Company”), with SEC registration number A199910065 and with principal office address at 24/F East Tower, Philippine Stock Exchange Centre, Exchange Road, Ortigas Center, do hereby certify and state that:

- 1) The Company will comply with the guidelines for the alternative filing of reports and/or documents through electronic mail with the Securities and Exchange Commission through the Corporate Governance and Finance Department (CGFD) issued on 30 March 2020 in light of the imposition of an Enhanced Community Quarantine and Stringent Social Distancing Measures over Luzon to prevent the spread of the 2019 Coronavirus Disease (COVID-2019).
- 2) The information contained in SEC Form 17-C dated 21 May 2020 (“SEC Form 17-C”) is true and correct based on the records of the Company.
- 3) The Company hereby undertakes to: a) submit hard or physical copies of SEC Form 17-C with proper notarization (where applicable) and certification; b) pay the filing fees (where applicable); c) pay the penalties due (where applicable); and d) other impositions (where applicable), within ten (10) calendar days from the date of the lifting of the Enhanced Community Quarantine period and resumption of SEC’s normal working hours.
- 4) I am fully aware that non-submission of hard/physical copies of reports as well as certification that they refer to one and the same document submitted online, within ten (10) calendar days from the lifting of the Enhanced Community Quarantine period and resumption of SEC’s normal working hours, shall invalidate the reports, applications, compliance, requests and other documents submitted via email. Hence, the corresponding penalties under existing rules and regulations of the Commission shall apply without prejudice to the imposition of penalties under Section 54 of the Securities Regulation Code and other applicable existing rules and regulations for failure to comply with the orders of the Commission.
- 5) I am executing this certification on 21 May 2020 to attest to the truthfulness of the foregoing facts and for whatever legal purpose it may serve.



**SHARON T. LIM**

AVP/Head of Legal and Compliance Department  
Phil. Passport No. P1784587A



# COVER SHEET

A 1 9 9 9 1 0 0 6 5

S.E.C. Registration Number

COL FINANCIAL GROUP, INC.

(Company's Full Name)

24 / F EAST TOWER T E K T I T E  
TOWERS EXCHANGE ROAD ORTIGAS  
CENTER PASIG CITY

(Business Address: No. Street City/Town/Province)

Atty. Sharon T. Lim

Contact Person

8636-54-11

Company Telephone Number

1 2    3 1  
Month    Day  
Fiscal Year

SEC FORM 17-C

FORM TYPE

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Month    Day  
Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total Number of Stockholders

Total Amount of Borrowings

Domestic

none

Foreign

To be accomplished by SEC Personnel concerned

File Number

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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
OF THE SECURITIES REGULATION CODE  
AND SRC RULE 17.2(c) THEREUNDER

1. **2 June 2020**  
Date of Report (Date of earliest event reported)
2. SEC Identification Number **A199910065**
3. BIR Tax Identification No. **203523208**
4. **COL Financial Group, Inc.**  
Exact name of issuer as specified in its charter
5. **Manila, Philippines**  
Province, country or other jurisdiction of incorporation
6. Industry Classification Code:  (SEC Use Only)
7. **24/F East Tower, PSE Centre, Exchange Road, Ortigas Centre, Pasig City 1605**  
Address of principal office Postal Code
8. **(02) 8636-5411**  
Issuer's telephone number, including area code
9. **Not applicable**  
Former name or former address, if changed since last report
10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b><u>Common Shares</u></b>	<b><u>476,000,000</u></b>

- .....
11. Indicate the item numbers reported herein: **Item #9**

## Item 9. Other Events

Please be informed that at the Annual Stockholders' Meeting of **COL Financial Group, Inc.** held today, 2 June 2020, the following matters were taken up and approved by the stockholders:

1. Election of the following as members of the Board of Directors for the year 2020 - 2021:

Edward K. Lee	-	Chairman
Alexander C. Yu	-	Vice Chairman
Hernan G. Lim	-	Director
Conrado F. Bate	-	Director
Catherine L. Ong	-	Director
Raymond C. Yu	-	Director
Paulwell Han	-	Director
Wellington C. Yu	-	Director
Kido Hokushin	-	Director
Khoo Boo Boon	-	Lead Independent Director
Arthur Gerrard Gindap	-	Independent Director

2. Approval of the 2019 Audited Financial Statements; and
3. Approval of the Amendment of Articles IV and VII of the Corporation's Articles of Incorporation
4. Re-appointment of SGV & Co. as external auditors for the ensuing year.

Immediately after the stockholders' meeting, the newly elected directors convened for an organizational meeting to appoint/elect the following corporate officers and members of the various committees:

### 1. Officers

Edward K. Lee	-	Chairman
Alexander C. Yu	-	Vice Chairman
Conrado F. Bate	-	President and CEO
Catherine L. Ong	-	Treasurer and CFO
	-	Chief Audit Executive
	-	Chief Risk Officer
Sharon T. Lim	-	Corporate Secretary
	-	Compliance Officer
Juan G. Barredo	-	Assistant Corporate Secretary
Stephanie Faye B. Reyes	-	Assistant Corporate Secretary

## 2. Committees and Memberships

### Compensation and Remuneration Committee

Alexander C. Yu	-	Chairman
Wellington C. Yu	-	Member
Catherine L. Ong	-	Member

### Audit Committee

Khoo Boo Boon	-	Chairman
Raymond C. Yu	-	Member
Hernan G. Lim	-	Member
Wellington C. Yu	-	Member

### Nomination Committee

Arthur Gerrard Gindap	-	Chairman
Alexander C. Yu	-	Member
Sharon T. Lim	-	Member

Thank you.

## SIGNATURES

Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**2 June 2020**

Date



.....  
**SHARON T. LIM**  
Corporate Secretary

# COVER SHEET

A 1 9 9 9 1 0 0 6 5

S.E.C. Registration Number

COL FINANCIAL GROUP, INC.

(Company's Full Name)

24 / F EAST TOWER TECTITE  
TOWERS EXCHANGE ROAD ORTIGAS  
CENTER PASIG CITY

(Business Address: No. Street City/Town/Province)

Atty. Sharon T. Lim

Contact Person

8636-54-11

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Month Day  
Annual Meeting

Secondary License Type, If Applicable

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Amended Articles Number/Section

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Total Amount of Borrowings

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To be accomplished by SEC Personnel concerned

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AND SRC RULE 17.2(c) THEREUNDER

1. **19 June 2020**  
Date of Report (Date of earliest event reported)
2. SEC Identification Number **A199910065** 3. BIR Tax Identification No. **203523208**
4. **COL Financial Group, Inc.**  
Exact name of issuer as specified in its charter
5. **Manila, Philippines** 6.  (SEC Use Only)  
Province, country or other jurisdiction of incorporation Industry Classification Code:
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Address of principal office Postal Code
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Issuer's telephone number, including area code
9. **Not Applicable**  
Former name or former address, if changed since last report
10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b><u>Common Shares</u></b>	<b><u>476,000,000</u></b>

- .....
11. Indicate the item numbers reported herein: **Item #9**

**Item 9. Other Events**

Please be informed that at the Board of Directors meeting of COL Financial Group, Inc. ("the Company"), held today, 19 June 2020, the Operations and Financial Report of the Company for the quarter ended 31 March 2020 was approved.

The Company's Quarterly Report on SEC Form 17-Q for the said period will be filed on or before 30 June 2020.

Thank you.

**SIGNATURES**

Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**19 June 2020**

Date



.....  
**ATTY. SHARON T. LIM**  
*Corporate Secretary*

# COVER SHEET

A 1 9 9 9 1 0 0 6 5

S.E.C. Registration Number

C O L F I N A N C I A L G R O U P , I N C .

(Company's Full Name)

2 4 / F E A S T T O W E R P S E C E N T R E  
E X C H A N G E R O A D O R T I G A S C E N T E R  
P A S I G C I T Y

(Business Address: No. Street City/Town/Province)

Atty. Sharon T. Lim

Contact Person

8636-54-11

Company Telephone Number

1 2    3 1  
*Month    Day*  
Fiscal Year

**SEC FORM 17-C**

FORM TYPE

0 3      
*Month    Day*  
Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total Number of Stockholders

Total Amount of Borrowings  
Domestic

none  
Foreign

To be accomplished by SEC Personnel concerned

File Number

LCU

Document I.D.

Cashier

STAMPS

Remarks = pls. Use black ink for scanning purposes



SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
OF THE SECURITIES REGULATION CODE  
AND SRC RULE 17.2(c) THEREUNDER

1. **17 August 2020**  
Date of Report (Date of earliest event reported)
2. SEC Identification Number **A199910065** 3. BIR Tax Identification No. **203523208**
4. **COL Financial Group, Inc.**  
Exact name of issuer as specified in its charter
5. **Manila, Philippines** 6.  (SEC Use Only)  
Province, country or other jurisdiction of incorporation Industry Classification Code:
7. **24/F East Tower, PSE Centre, Exchange Road, Ortigas Centre, Pasig City 1605**  
Address of principal office Postal Code
8. **(02) 8636-5411**  
Issuer's telephone number, including area code
9. **Not Applicable**  
Former name or former address, if changed since last report
10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b><u>Common Shares</u></b>	<b><u>476,000,000</u></b>

- .....
11. Indicate the item numbers reported herein: **Item #9**

**Item 9. Other Events**

Please be informed that at the Board of Directors meeting of COL Financial Group, Inc. ("the Company"), held today, 17 August 2020, the Operations and Financial Report of the Company for the quarter ended 30 June 2020 was approved.

The Company's Quarterly Report on SEC Form 17-Q for the said period will be filed on or before 19 August 2020.

Thank you.

**SIGNATURES**

Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**17 August 2020**

Date



.....  
**ATTY. SHARON T. LIM**  
*Corporate Secretary*

# COVER SHEET

A 1 9 9 9 1 0 0 6 5

S.E.C. Registration Number

COL FINANCIAL GROUP, INC.

(Company's Full Name)

24 / F EAST TOWER T E K T I T E  
TOWERS EXCHANGE ROAD ORTIGAS  
CENTER PASIG CITY

(Business Address: No. Street City/Town/Province)

Atty. Sharon T. Lim

Contact Person

8636-54-11

Company Telephone Number

1 2    3 1  
Month    Day  
Fiscal Year

SEC FORM 17-C

FORM TYPE

0 4        
Month    Day  
Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total Number of Stockholders

Total Amount of Borrowings

Domestic

none

Foreign

To be accomplished by SEC Personnel concerned

File Number

\_\_\_\_\_

LCU

Document I.D.

\_\_\_\_\_

Cashier

STAMPS

Remarks = pls. Use black ink for scanning purposes

SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
OF THE SECURITIES REGULATION CODE  
AND SRC RULE 17.2(c) THEREUNDER

1. **13 November 2020**  
Date of Report (Date of earliest event reported)
2. SEC Identification Number **A199910065** 3. BIR Tax Identification No. **203523208**
4. **COL Financial Group, Inc.**  
Exact name of issuer as specified in its charter
5. **Manila, Philippines** 6.  (SEC Use Only)  
Province, country or other jurisdiction of incorporation Industry Classification Code:
7. **24/F East Tower, PSE Centre, Exchange Road, Ortigas Centre, Pasig City 1605**  
Address of principal office Postal Code
8. **(02) 8636-5411**  
Issuer's telephone number, including area code
9. **Not Applicable**  
Former name or former address, if changed since last report
10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b><u>Common Shares</u></b>	<b><u>476,000,000</u></b>

- .....
11. Indicate the item numbers reported herein: **Item #9**

**Item 9. Other Events**

Please be informed that at the Board of Directors meeting of COL Financial Group, Inc. ("the Company"), held today, 13 November 2020, the Operations and Financial Report of the Company for the quarter ended 30 September 2020 was approved.

The Company's Quarterly Report on SEC Form 17-Q for the said period will be filed on or before 23 November 2020.

Thank you.

**SIGNATURES**

Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer



.....  
**ATTY. SHARON T. LIM**  
*Corporate Secretary*

**13 November 2020**

Date

# SECURITIES AND EXCHANGE COMMISSION

## SEC FORM 17-C

### CURRENT REPORT UNDER SECTION 17 OF THE SECURITIES REGULATION CODE AND SRC RULE 17.2(c) THEREUNDER

1. Date of Report (Date of earliest event reported)  
Dec 28, 2020
2. SEC Identification Number  
A199910065
3. BIR Tax Identification No.  
203-523-208-000
4. Exact name of issuer as specified in its charter  
COL Financial Group, Inc.
5. Province, country or other jurisdiction of incorporation  
Manila, Philippines
6. Industry Classification Code(SEC Use Only)
7. Address of principal office  
24/F East Tower, PSE Centre, Exchange Road, Ortigas Center, Pasig City  
Postal Code  
1605
8. Issuer's telephone number, including area code  
(02) 8636-5411
9. Former name or former address, if changed since last report  
Not applicable
10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA

Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
Common Shares	476,000,000

11. Indicate the item numbers reported herein  
Item #9

*The Exchange does not warrant and holds no responsibility for the veracity of the facts and representations contained in all corporate disclosures, including financial reports. All data contained herein are prepared and submitted by the disclosing party to the Exchange, and are disseminated solely for purposes of information. Any questions on the data contained herein should be addressed directly to the Corporate Information Officer of the disclosing party.*

## COL Financial Group, Inc. COL

**PSE Disclosure Form 4-8 - Change in Directors and/or Officers  
(Resignation/Removal or Appointment/Election)  
References: SRC Rule 17 (SEC Form 17-C) and  
Section 4.4 of the Revised Disclosure Rules**

**Subject of the Disclosure**

Resignation of Mr. Khoo and Mr. Martinez

**Background/Description of the Disclosure**

Resignation of Mr. Khoo and Mr. Martinez

**Resignation/Removal or Replacement**

Name of Person	Position/Designation	Effective Date of Resignation/Cessation of term (mmm/dd/yyyy)	Reason(s) for Resignation/Cessation
Khoo Boo Boon	Independent Director	Dec/26/2020	Deceased
Edmund Daniel P. Martinez	AVP - Head of Premium Business Group	Dec/24/2020	Personal

**Election or Appointment**

Name of Person	Position/Designation	Date of Appointment/Election (mmm/dd/yyyy)	Effective Date of Appointment Election (mmm/dd/yyyy)	Shareholdings in the Listed Company		Nature of Indirect Ownership
				Direct	Indirect	
-	-	-	-	-	-	-

**Promotion or Change in Designation**

Name of Person	Position/Designation		Date of Approval (mmm/dd/yyyy)	Effective Date of Change (mmm/dd/yyyy)	Shareholdings in the Listed Company		Nature of Indirect Ownership
	From	To			Direct	Indirect	
-	-	-	-	-	-	-	-

**Other Relevant Information**

None