

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 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. **26 February 2021**
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>4,760,000,000</u>

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

Item 9. Other Events

Please be informed that at the meeting of the Board of Directors of COL Financial Group, Inc. (the "Company") held last 26 February 2021, the following resolutions were approved:

1. Operating Highlights for the year ended 31 December 2020
2. Setting of the Annual Stockholders' Meeting on 21 May 2021, Friday, 3:00pm.

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.

Only stockholders of record at the close of business on 16 April 2021 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 17 April 2021 to 23 April 2021.

3. Resignation of Ms. Catherine L. Ong as Director.
4. Election of Ms. Betty C. Siy-Yap and Mr. Roberto C. Benares as Independent Directors to fill the seats left vacant by the demise of Mr. Khoo Boo Boon and resignation of Ms. Catherine L. Ong.

Ms. Siy-Yap is the SVP and Chief Finance Officer and Chief Risk Officer of Manila Electric Company. She sits in the Board of Directors of Clark Electric Distribution Corporation, CIS Bayad Center, Inc., Meralco Industrial Engineering Services Corporation, MERALCO PowerGen Corporation, and MRail, Inc. She is the President of Lighthouse Overseas Insurance Limited, a Trustee of First Pacific Leadership Academy, Inc. and MVP Sports Foundation, Inc.

Mr. Benares currently sits in the Board of Directors of the Bank of Commerce, BlastAsia Corporation, and Quokka Development Corporation. He was the President and CEO of the Bank of Commerce from 2013 to 2018.

5. Appointment of Ms. Betty C. Siy-Yap to the Audit Committee and Mr. Roberto C. Benares to the Remuneration Committee.

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

26 February 2021

Date


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SHARON T. LIM
Corporate Secretary

COVER SHEET

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S.E.C. Registration Number

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(Company's Full Name)

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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
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Total Amount of Borrowings
Domestic Foreign

To be accomplished by SEC Personnel concerned

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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. **14 May 2021**
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

Common Shares

4,760,000,000

-
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, 14 May 2021, the Board approved the following:

1. Operations of and Financial Report of the Company for the quarter ended 31 March 2021. The Company's Quarterly Report on SEC Form 17-Q for said period will be filed on or before 20 May 2021.
2. Declaration and payment of below cash dividends from the unappropriated retained earnings of the Company as of 31 December 2020:
 - a. Regular Cash Dividend of Php0.020 per share; and
 - b. Special Cash Dividend of Php0.045 per share,both payable on 9 June 2021 to stockholders of record as of 28 May 2021.
3. Appointment, promotion, and/or reclassification of the following officers effective 17 May 2021:

Name	Position
Catherine L. Ong	SVP – Treasurer
Juan G. Barredo	FVP – Chief Customer Experience Officer
April Lynn L. Tan	FVP – Chief Investor Relations and Corporate Strategy
Lorena E. Velarde	FVP – Chief Financial Officer
Nikos J. Bautista	FVP – Chief Technology Officer
Melissa O. Ng	VP – Head of Operations
Sharon T. Lim	VP – Head of Legal & Compliance, Corporate Secretary
Gabriel Jose E. Mendiola	AVP – Head of Software Development
Joyce G. Chan	AVP – Head of Customer Support
Rea P. Orteza	AVP – Accounting Operations

4. Approval of the fees of directors.

Thank you.

SIGNATURES

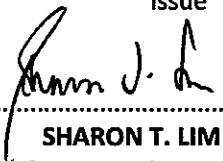
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

COL Financial Group, Inc.

Issue

14 May 2021

Date


.....
SHARON T. LIM
Corporate Secretary

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

Atty. Sharon T. Lim

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Total Number of Stockholders

Total Amount of Borrowings
Domestic

Total Amount of Borrowings
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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 2021**
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
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Title of Each Class

Number of Shares of Common Stock
Outstanding and Amount of Debt Outstanding

Common Shares

4,760,000,000

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

Item 9. Other Events

Please be informed that in at the Annual Stockholders' Meeting of COL Financial Group, Inc. held today, 21 May 2021, the following matters were taken up and approved by the stockholders:

1. Approval of the Minutes of the Annual Stockholders' Meeting held on 2 June 2020;
2. Approval of the President's Report;
3. Ratification of all Acts and Proceedings of the Board of Directors and Management for 2020;
4. Approval of the 2020 Audited Financial Statements;
5. Election of the following as members of the Board of Directors for the year 2021-2022:
 - a. Edward K. Lee
 - b. Alexander C. Yu
 - c. Hernan G. Lim
 - d. Conrado F. Bate
 - e. Raymond C. Yu
 - f. Paulwell Han
 - g. Wellington C. Yu
 - h. Kido Hokushin
 - i. Arthur G. Gindap - Independent Director
 - j. Betty C. Siy-Yap – Independent Director
 - k. Roberto C. Benares – Independent Director
6. Reappointment of SGV & Company as External Auditors for the ensuing year; and
7. Approval of the revised fees for the Board of Directors.

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
Arthur G. Gindap	-	Lead Independent Director
Conrado F. Bate	-	President and CEO
Catherine L. Ong	-	Treasurer
	-	Chief Audit Executive
	-	Chief Risk Officer
Lorena E. Velarde	-	Chief Financial 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
Roberto C. Benares	-	Member
Catherine L. Ong	-	Member

Audit Committee

Betty C. Siy-Yap	-	Chairman
Raymond C. Yu	-	Member
Hernan G. Lim	-	Member
Wellington C. Yu	-	Member

Nomination Committee

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

Thank you.

SIGNATURES

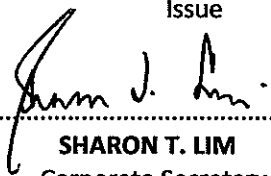
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

COL Financial Group, Inc.

Issue

21 May 2021

Date



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SHARON T. LIM
Corporate Secretary

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Atty. Sharon T. Lim

Contact Person

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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. **17 August 2021**
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, Tektite Towers, 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
Common Shares	4,760,000,000

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

Item 9. Other Events

Please be informed that at the meeting of the Board of Directors of COL Financial Group, Inc. (the "Company") held today, 17 August 2021, the following resolutions were approved:

1. Operations and Financial Report of the Company for the quarter ended 30 June 2020.
2. Acceptance of the resignation of Hokushin Kido as Director.
3. Election of Seiji Okita as Director and to serve for the remainder of the term.

Seiji Okita is currently the head of Global Business Development Section in International Business Planning Department of Daiwa Securities Group, Inc. He has extensive experience in the investment banking, sales and trading business. He started his career in Daiwa Securities Group, Inc. in 2001.

SIGNATURES

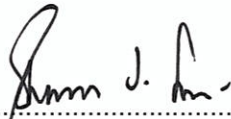
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

COL Financial Group, Inc.

Issuer

17 August 2021

Date



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SHARON T. LIM
Corporate Secretary

COVER SHEET

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S.E.C. Registration Number

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(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

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Month Day
Fiscal Year

SEC FORM 17-C

FORM TYPE

0	3		
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Month Day
Annual Meeting

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Secondary License Type, If Applicable

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Dept. Requiring this Doc.

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Amended Articles Number/Section

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Total Number of Stockholders

Total Amount of Borrowings

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Domestic

none

Foreign

To be accomplished by SEC Personnel concerned

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SECURITIES AND EXCHANGE COMMISSION

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1. **16 November 2021**
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
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<u>Common Shares</u>	<u>4,760,000,000</u>

-
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, 16 November 2021, the Operations and Financial Report of the Company for the quarter ended 30 September 2021 was approved.

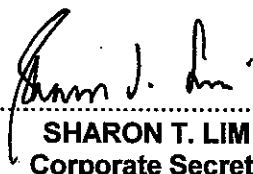
The Company's Quarterly Report on SEC Form 17-Q for the said period will be filed on or before 19 November 2021.

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 November 2021
Date


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SHARON T. LIM
Corporate Secretary