

# COVER SHEET

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S.E.C. Registration Number

COL FINANCIAL GROUP, INC.

(Company's Full Name)

24 / F EAST TOWER TEKTITE  
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. **28 April 2023**  
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. **Metro Manila, Philippines**  
Province, country or other jurisdiction of incorporation
6. Industry Classification Code:  (SEC Use Only)
7. **24/F East Tower, Tektite Towers, 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 meeting of the Board of Directors of COL Financial Group, Inc. held today, 28 April 2023, the Board approved the declaration and payment from the unappropriated retained earnings of the Company as of 31 December 2022, the following cash dividends:

- a. Regular Cash Dividend of ₱0.0114 per share, and
- b. Special Cash Dividend of ₱ 0.0306 per share,

both payable on 2 June 2023 to stockholders of record as of 16 May 2023.

Thank you.

**SIGNATURES**

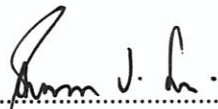
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**28 April 2023**

Date



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

# COVER SHEET

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S.E.C. Registration Number

COL FINANCIAL GROUP, INC.

(Company's Full Name)

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TOWERS EXCHANGE ROAD ORTIGAS  
CENTER PASIG CITY

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

Atty. Sharon T. Lim

Contact Person

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Month

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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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Document I.D.

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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

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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>4,760,000,000</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, 28 April 2023, the following matters were taken up and approved by the stockholders:

1. Approval of the Minutes of the Stockholders' Meeting held on 27 April 2022;
2. Approval of the President's Report;
3. Ratification of all Acts and Proceedings of the Board of Directors and Management for 2022;
4. Election of the following as members of the Board of Directors for the year 2023 - 2024:

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
Sohei Obara	-	Director
Arthur Gerrard Gindap	-	Independent Director
Betty C. Siy-Yap	-	Independent Director
Roberto C. Benares	-	Independent Director

5. Approval of the 2022 Audited Financial Statements; and
6. 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
Arthur Gerrard 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
Catherine L. Ong	-	Member
Roberto C. Benares	-	Member

### Audit Committee

Betty C. Siy-Yap	-	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

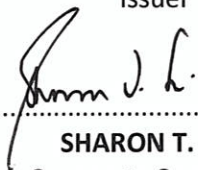
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**28 April 2023**

Date



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

# 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						
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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
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Contact Person

8636-54-11
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Company Telephone Number

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*Month*      *Day*  
Fiscal Year

<b>SEC FORM 17-C</b>
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FORM TYPE

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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
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Foreign

To be accomplished by SEC Personnel concerned

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File Number

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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. **8 March 2023**  
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.  (SEC Use Only)  
Industry Classification Code:
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
<b><u>Common Shares</u></b>	<b><u>4,760,000,000</u></b>

.....

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. ("COL" or "the Company"), held today, 8 March 2023, the following resolutions were approved:

1. Operating Highlights for the year ended 31 December 2022
2. Setting of the Annual Stockholders' Meeting on 28 April 2023, Friday, 2:00 p.m.

As approved by a majority of the Board of Directors, the Company will be conducting the annual stockholders' meeting by remote communication.

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).

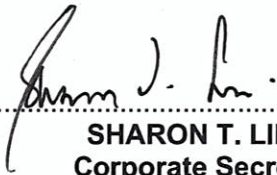
Only stockholders of record at the close of business on 24 March 2023 are entitled to notice of and to vote at said meeting and any adjournment thereof. The Stock and Transfer Books of the Company will be closed from 24 March 2023 to 14 April 2023.

**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

**8 March 2023**  
Date



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

# 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

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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. **27 March 2022**  
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
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Issuer's telephone number, including area code
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Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b><u>Common Shares</u></b>	<b><u>4,760,000,000</u></b>

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

**Item 9. Other Events**


Please be informed that at the Special Board Meeting of the Board of Directors of COL Financial Group, Inc. (the "Company") held today, 27 March 2023, the Board approved and authorized the release of its Audited Financial Statements for the period ended December 31, 2022.

**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

**27 March 2023**  
Date

  
.....  
**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 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

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*Month*      *Day*  
Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

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Amended Articles Number/Section

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Total Number of Stockholders

Total Number of Stockholders

Total Amount of Borrowings

Domestic

Domestic

none

Foreign

To be accomplished by SEC Personnel concerned

File Number

File Number

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Cashier

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. **18 May 2023**  
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:  
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Title of Each Class	Number of Shares of Common Stock Outstanding and Amount of Debt Outstanding
<b>Common Shares</b>	<b>4,760,000,000</b>

- .....
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, 18 May 2023, the Operations and Financial Report of the Company for the quarter ended 31 March 2023 was approved.

The Company's Quarterly Report on SEC Form 17-Q for the said period will be filed on or before 19 May 2023.

**SIGNATURES**

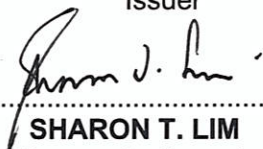
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**18 May 2023**

Date



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



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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

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8636-54-11

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**SEC FORM 17-C**

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*Month      Day*  
Annual Meeting

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Total Amount of Borrowings  
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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
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1. **16 August 2023**  
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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<b><u>Common Shares</u></b>	<b><u>4,760,000,000</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, 16 August 2023, the Operations and Financial Report of the Company for the quarter ended 30 June 2023 was approved.

The Company's Quarterly Report on the SEC Form 17-Q for said period will be filed on or before 22 August 2023.

**SIGNATURES**

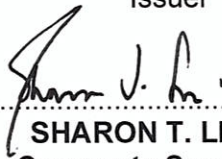
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**16 August 2023**

Date



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

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Fiscal Year

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*Month Day*  
Annual Meeting

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<b><u>Common Shares</u></b>	<b><u>4,760,000,000</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 November 2023, the Operations and Financial Report of the Company for the quarter ended 30 September 2023 was approved.

The Company's Quarterly Report on the SEC Form 17-Q for said period will be filed on or before 20 November 2023.

**SIGNATURES**

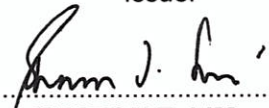
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**17 November 2023**

Date



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