

COMPLIANCE@colfinancial.com

From: [REDACTED]@sec.gov.ph [REDACTED]
[REDACTED]@sec.gov.ph>
Sent: March 05, 2021 10:29 AM
To: prvs=16980a76b3=compliance@colfinancial.com
Subject: Re: COL Financial_2020 Amended General Information Sheet_5 March 2021

Dear Customer,

SUCCESSFULLY ACCEPTED
(subject to verification and review of form and content of the attached document)

This serves as acknowledgement confirmation. Please print and submit together with the hard copies of the document.

Note: If the email is received on a Saturday, Sunday or holiday (non-working day) the receipt date shall be on the next working day.

Thank you.
SEC ICTD

AMENDED GENERAL INFORMATION SHEET (GIS)

FOR THE YEAR 2020

STOCK CORPORATION

GENERAL INSTRUCTIONS:

1. FOR USER CORPORATION: THIS GIS SHOULD BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE DATE OF THE ANNUAL STOCKHOLDERS' MEETING. DO NOT LEAVE ANY ITEM BLANK. WRITE "N.A." IF THE INFORMATION REQUIRED IS NOT APPLICABLE TO THE CORPORATION OR "NONE" IF THE INFORMATION IS NON-EXISTENT. IF THE ANNUAL STOCKHOLDERS' MEETING IS HELD ON A DATE OTHER THAN THAT STATED IN THE BY-LAWS, THE GIS SHALL BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS AFTER THE ELECTION OF THE DIRECTORS, TRUSTEES AND OFFICERS OF THE CORPORATION AT THE ANNUAL MEMBERS' MEETING.
2. IF NO MEETING IS HELD, THE CORPORATION SHALL SUBMIT THE GIS NOT LATER THAN JANUARY 30 OF THE FOLLOWING YEAR. HOWEVER, SHOULD AN ANNUAL STOCKHOLDERS' MEETING BE HELD THEREAFTER, A NEW GIS SHALL BE SUBMITTED/FILED.
3. THIS GIS SHALL BE ACCOMPLISHED IN ENGLISH AND CERTIFIED AND SWORN TO BY THE CORPORATE SECRETARY OF THE CORPORATION.
4. THE SEC SHOULD BE TIMELY APPRISED OF RELEVANT CHANGES IN THE SUBMITTED INFORMATION AS THEY ARISE. FOR CHANGES RESULTING FROM ACTIONS THAT AROSE BETWEEN THE ANNUAL MEETINGS, THE CORPORATION SHALL SUBMIT AMENDED GIS CONTAINING THE NEW INFORMATION TOGETHER WITH A COVER LETTER SIGNED THE CORPORATE SECRETARY OF THE CORPORATION. THE AMENDED GIS AND COVER LETTER SHALL BE SUBMITTED WITHIN SEVEN (7) DAYS AFTER SUCH CHANGE OCCURED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE RECEIVING SECTION AT THE SEC MAIN OFFICE, OR TO SEC SATELLITE OFFICES OR EXTENSION OFFICES. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE
6. ONLY THE GIS ACCOMPLISHED IN ACCORDANCE WITH THESE INSTRUCTIONS SHALL BE CONSIDERED AS HAVING BEEN FILED.
7. THIS GIS MAY BE USED AS EVIDENCE AGAINST THE CORPORATION AND ITS RESPONSIBLE DIRECTORS/OFFICERS FOR ANY VIOLATION OF EXISTING LAWS, RULES AND REGULATIONS

===== PLEASE PRINT LEGIBLY =====

CORPORATE NAME: COL FINANCIAL GROUP, INC.		DATE REGISTERED: 8/16/1999	
BUSINESS/TRADE NAME: COL FINANCIAL GROUP, INC.		FISCAL YEAR END: December 31	
SEC REGISTRATION NUMBER: A199910065		CORPORATE TAX IDENTIFICATION NUMBER (TIN): 203-523-208-000	
DATE OF ANNUAL MEETING PER BY-LAWS: Any Date in March		WEBSITE/URL ADDRESS: www.colfinancial.com	
ACTUAL DATE OF ANNUAL MEETING: 06/02/2020		E-MAIL ADDRESS:	
COMPLETE PRINCIPAL OFFICE ADDRESS: 24/F East Tower, PSE Centre, Exchange Road, Ortigas Center, Pasig City		FAX NUMBER: 8634-6958	
COMPLETE BUSINESS ADDRESS: Same as above		OFFICIAL E-MAIL ADDRESS compliance@colfinancial.com	ALTERNATE E-MAIL ADDRESS corporatesecretary@colfinancial.com
OFFICIAL MOBILE NUMBER 0961 078 5433		ALTERNATE MOBILE NUMBER 0917 836 5242	
NAME OF EXTERNAL AUDITOR & ITS SIGNING PARTNER: SYCIP, GORRES, VELAYO & CO. Janeth T. Nuñez-Javier		SEC ACCREDITATION NUMBER (if applicable): SGV-0012-FR-5 (Group A)/ Janeth T. Nunez-Javier 1328-AR-1	TELEPHONE NUMBER(S): 8636-5411
PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGED IN: Online Brokerage Services		INDUSTRY CLASSIFICATION: STOCKBROKER	GEOGRAPHICAL CODE:

===== INTERCOMPANY AFFILIATIONS =====

PARENT COMPANY	SEC REGISTRATION NO.	ADDRESS
SUBSIDIARY/AFFILIATE	SEC REGISTRATION NO.	ADDRESS
COL SECURITIES (HK) LIMITED		8M, 803 LUK YU BUILDING 24-26 STANLEY ST., CENTRAL, HONG KONG
COL CASH MANAGEMENT UNITIZED MUTUAL FUND INC.	CS201915032	27/F EAST TOWER, PSE CTR., EXCHANGE RD. ORTIGAS CTR. PASIG CITY
COL EQUITY INDEX UNITIZED MUTUAL FUND INC.	CS201915047	27/F EAST TOWER, PSE CTR., EXCHANGE RD. ORTIGAS CTR. PASIG CITY
COL INVESTMENT MANAGEMENT INC.	CS201915046	27/F EAST TOWER, PSE CTR., EXCHANGE RD. ORTIGAS CTR. PASIG CITY

NOTE: USE ADDITIONAL SHEET IF NECESSARY

GENERAL INFORMATION SHEET

STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====

Corporate Name: COL FINANCIAL GROUP, INC.

A. Is the Corporation a covered person under the Anti Money Laundering Act (AMLA), as amended? (Rep. Acts. 9160/9164/10167/10365) Yes No

Please check the appropriate box:

<p>1.</p> <p><input type="checkbox"/> a. Banks</p> <p><input type="checkbox"/> b. Offshore Banking Units</p> <p><input type="checkbox"/> c. Quasi-Banks</p> <p><input type="checkbox"/> d. Trust Entities</p> <p><input type="checkbox"/> e. Non-Stock Savings and Loan Associations</p> <p><input type="checkbox"/> f. Pawnshops</p> <p><input type="checkbox"/> g. Foreign Exchange Dealers</p> <p><input type="checkbox"/> h. Money Changers</p> <p><input type="checkbox"/> i. Remittance Agents</p> <p><input type="checkbox"/> j. Electronic Money Issuers</p> <p><input type="checkbox"/> k. Financial Institutions which Under Special Laws are subject to Bangko Sentral ng Pilipinas' (BSP) supervision and/or regulation, including their subsidiaries and affiliates.</p>	<p>4. <input type="checkbox"/> Jewelry dealers in precious metals, who, as a business, trade in precious metals</p>
<p>2.</p> <p><input type="checkbox"/> a. Insurance Companies</p> <p><input type="checkbox"/> b. Insurance Agents</p> <p><input type="checkbox"/> c. Insurance Brokers</p> <p><input type="checkbox"/> d. Professional Reinsurers</p> <p><input type="checkbox"/> e. Reinsurance Brokers</p> <p><input type="checkbox"/> f. Holding Companies</p> <p><input type="checkbox"/> g. Holding Company Systems</p> <p><input type="checkbox"/> h. Pre-need Companies</p> <p><input type="checkbox"/> i. Mutual Benefit Association</p> <p><input type="checkbox"/> j. All Other Persons and entities supervised and/or regulated by the Insurance Commission (IC)</p>	<p>5. <input type="checkbox"/> Jewelry dealers in precious stones, who, as a business, trade in precious stone</p>
<p>3.</p> <p><input checked="" type="checkbox"/> a. Securities Dealers</p> <p><input checked="" type="checkbox"/> b. Securities Brokers</p> <p><input type="checkbox"/> c. Securities Salesman</p> <p><input type="checkbox"/> d. Investment Houses</p> <p><input type="checkbox"/> e. Investment Agents and Consultants</p> <p><input type="checkbox"/> f. Trading Advisors</p> <p><input type="checkbox"/> g. Other entities managing Securities or rendering similar services</p> <p><input type="checkbox"/> h. Mutual Funds or Open-end Investment Companies</p> <p><input type="checkbox"/> i. Close-end Investment Companies</p> <p><input type="checkbox"/> j. Common Trust Funds or Issuers and other similar entities</p> <p><input type="checkbox"/> k. Transfer Companies and other similar entities</p> <p><input type="checkbox"/> l. Other entities administering or otherwise dealing in currency, commodities or financial derivatives based there on</p> <p><input type="checkbox"/> m. Entities administering or otherwise dealing in valuable objects</p> <p><input type="checkbox"/> n. Entities administering or otherwise dealing in cash Substitutes and other similar monetary instruments or property supervised and/or regulated by the Securities and Exchange Commission (SEC)</p>	<p>6. Company service providers which, as a business, provide any of the following services to third parties:</p> <p><input type="checkbox"/> a. acting as a formation agent of juridical persons</p> <p><input type="checkbox"/> b. acting as (or arranging for another person to act as) a director or corporate secretary of a company, a partner of a partnership, or a similar position in relation to other juridical persons</p> <p><input type="checkbox"/> c. providing a registered office, business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or arrangement</p> <p><input type="checkbox"/> d. acting as (or arranging for another person to act as) a nominee shareholder for another person</p>
<p>7. Persons who provide any of the following services:</p> <p><input type="checkbox"/> a. managing of client money, securities or other assets</p> <p><input type="checkbox"/> b. management of bank, savings or securities accounts</p> <p><input type="checkbox"/> c. organization of contributions for the creation, operation or management of companies</p> <p><input type="checkbox"/> d. creation, operation or management of juridical persons or arrangements, and buying and selling business entities</p>	<p>8. <input type="checkbox"/> None of the above</p>
<p>Describe nature of business:</p>	

B. Has the Corporation complied with the requirements on Customer Due Diligence (CDD) or Know Your Customer (KYC), record-keeping, and submission of reports under the AMLA, as amended, since the last filing of its GIS? Yes No

**GENERAL INFORMATION SHEET
STOCK CORPORATION**

===== PLEASE PRINT LEGIBLY =====

CORPORATE NAME: COL FINANCIAL GROUP, INC.

CAPITAL STRUCTURE

AUTHORIZED CAPITAL STOCK				
	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP) (No. of shares X Par/Stated Value)
	Common	10,000,000,000	0.10	1,000,000,000.00
TOTAL		10,000,000,000	TOTAL P	1,000,000,000.00

SUBSCRIBED CAPITAL							
FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
	29	Common	3,463,755,950		0.10	346,375,595.00	72.77%
TOTAL			3,463,755,950	TOTAL	TOTAL P	346,375,595.00	72.77%

FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
Chinese	1	Common	1,000,000		0.10	100,000.00	0.02%
Malaysian	1	Common	10,000		0.10	1,000.00	0.00%
American	1	Common	10,000		0.10	1,000.00	0.00%
Japanese	1	Common	10		0.10	1.00	0.00%
Various	1	Common	1,295,224,040		0.10	129,522,404.00	27.21%
Percentage of Foreign Equity:			TOTAL	TOTAL	TOTAL P	129,624,405.00	27.23%
			1,296,244,050	TOTAL	TOTAL P	476,000,000.00	100.00%

PAID-UP CAPITAL							
FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP	
	29	Common	3,463,755,950	0.10	346,375,595.00	72.77%	
TOTAL			3,463,755,950	TOTAL P	346,375,595.00	72.77%	
FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP	
Chinese	1	Common	1,000,000	0.10	100,000.00	0.02%	
Malaysian	1	Common	10,000	0.10	1,000.00	0.00%	
American	1	Common	10,000	0.10	1,000.00	0.00%	
Japanese	1	Common	10	0.10	1.00	0.00%	
Various	1	Common	1,295,224,040	0.10	129,522,404.00	27.21%	
27.23 %			TOTAL	TOTAL P	129,624,405.00	27.23%	
			1,296,244,050	TOTAL PAID-UP P	476,000,000.00	100.00%	

NOTE: USE ADDITIONAL SHEET IF NECESSARY

* Common, Preferred or other classification

** Other than Directors, Officers, Shareholders owning 10% of outstanding shares.

GENERAL INFORMATION SHEET

STOCK CORPORATION

PLEASE PRINT LEGIBLY

CORPORATE NAME: COL FINANCIAL GROUP, INC.								
DIRECTORS / OFFICERS								
NAME/CURRENT RESIDENTIAL ADDRESS	NATIONALITY	INC'R	BOARD	GENDER	STOCK HOLDER	OFFICER	EXEC. COMM.	TAX IDENTIFICATION NUMBER
1. EDWARD K. LEE [REDACTED]	Filipino	Y	C	M	Y	Chairman of the Board		[REDACTED]
2. ALEXANDER C. YU [REDACTED]	Filipino	Y	M	M	Y	Vice-Chairman	C/C; N/M	[REDACTED]
3. CONRADO F. BATE [REDACTED]	Filipino	N	M	M	Y	Pres./Chief Exec. Officer		[REDACTED]
4. HERNAN G. LIM [REDACTED]	Filipino	N	M	M	Y		A/M	[REDACTED]
5. RAYMOND C. YU [REDACTED]	Filipino	N	M	M	Y		A/M	[REDACTED]
6. PAULWELL HAN [REDACTED]	Chinese	N	M	M	Y			[REDACTED]
7. WELLINGTON C. YU [REDACTED]	Filipino	N	M	M	Y		C/M; A/M	[REDACTED]
8. ARTHUR GERRARD GINDAP [REDACTED]	Filipino	N	I	M	Y		N/C	[REDACTED]
9. KIDO HOKUSHIN [REDACTED]	Japanese	N	M	M	Y			[REDACTED]
10. BETTY C. SIY-YAP [REDACTED]	Filipino	N	I	F	Y		A/C	[REDACTED]
11. ROBERTO C. BENARES [REDACTED]	Filipino	N	I	M	Y		C/M	[REDACTED]
12. CATHERINE L. ONG [REDACTED]	Filipino	N		F	Y	SVP/ Treasurer/ CFO	C/M	[REDACTED]
13. JUAN G. BARREDO [REDACTED]	Filipino	Y		M	Y	VP/Asst. Corp. Sec.		[REDACTED]
14. NIKOS J. BAUTISTA [REDACTED]	Filipino	N		M	Y	VP/Chief Technology Officer		[REDACTED]
15. LORENA E. VELARDE [REDACTED]	Filipino	N		F	Y	VP/ Financial Controller		[REDACTED]
16. APRIL LYNN L. TAN [REDACTED]	Filipino	N		F	Y	VP/Head of Research		[REDACTED]
17. SHARON T. LIM [REDACTED]	Filipino	N		F	Y	Associated Person/ Corp. Sec.	N/M	[REDACTED]
18. STEPHANIE FAYE B. REYES [REDACTED]	Filipino	N		F	N	AP /Asst Corp. Sec.		[REDACTED]
19. REA P. ORTEZA [REDACTED]	Filipino	N		F	N	Associated Person		[REDACTED]
20. NATHALIE M. GARCIA [REDACTED]	Filipino	N		F	N	Associated Person		[REDACTED]

INSTRUCTION:

FOR SEX COLUMN, PUT "F" FOR FEMALE, "M" FOR MALE.

FOR BOARD COLUMN, PUT "C" FOR CHAIRMAN, "M" FOR MEMBER, "I" FOR INDEPENDENT DIRECTOR.

FOR INC'R COLUMN, PUT "Y" IF AN INCORPORATOR, "N" IF NOT.

FOR STOCKHOLDER COLUMN, PUT "Y" IF A STOCKHOLDER, "N" IF NOT.

FOR OFFICER COLUMN, INDICATE PARTICULAR POSITION IF AN OFFICER, FROM VP UP INCLUDING THE POSITION OF THE TREASURER, SECRETARY, COMPLIANCE OFFICER AND/OR ASSOCIATED PERSON.

FOR EXECUTIVE COMMITTEE, INDICATE "C" IF MEMBER OF THE COMPENSATION COMMITTEE, "A" FOR AUDIT COMMITTEE, "N" FOR NOMINATION

STOCK (v.2) AND ELECTION COMMITTEE. ADDITIONALLY WRITE "C" AFTER SLASH IF CHAIRMAN AND "M" IF MEMBER.

**GENERAL INFORMATION SHEET
STOCK CORPORATION**

===== PLEASE PRINT LEGIBLY =====						
CORPORATE NAME:		COL FINANCIAL GROUP, INC.				
TOTAL NUMBER OF STOCKHOLDERS:	34	NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:			32	
TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:		9,810,062,978.00				
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNERSHIP		
1. PCD NOMINEE CORPORATION Filipino Alexander C. Yu Edward K. Lee	Common	1,915,762,660	191,576,266.00	40.25%	256,823,691.00	[REDACTED]
		344,911,250	34,491,125.00	7.25%		
		307,563,000	30,756,300.00	6.46%		
	TOTAL	2,568,236,910	256,823,691.00	53.95%		
2. PCD NOMINEE CORPORATION Non-Filipino Paulwell Han	Common	904,584,290	90,458,429.00	19.00%	129,522,404.00	[REDACTED]
		390,639,750	39,063,975.00	8.21%		
	TOTAL	1,295,224,040	129,522,404.00	27.21%		
3. EDWARD K. LEE Filipino [REDACTED]	Common	622,500,000	62,250,000.00	13.08%	62,250,000.00	[REDACTED]
	TOTAL	622,500,000	62,250,000.00			
4. ALEXANDER C. YU Filipino [REDACTED]	Common	200,000,000	20,000,000.00	4.20%	20,000,000.00	[REDACTED]
	TOTAL	200,000,000	20,000,000.00			
5. VALENTINA L. ANG Filipino [REDACTED]	Common	50,000,000	5,000,000.00	1.05%	5,000,000.00	[REDACTED]
	TOTAL	50,000,000	5,000,000.00			
6. LYDIA C. LEE Filipino [REDACTED]	Common	10,000,000	1,000,000.00	0.21%	1,000,000.00	[REDACTED]
	TOTAL	10,000,000	1,000,000.00			
7. JESSALYNN L. TAN Filipino [REDACTED]	Common	10,000,000	1,000,000.00	0.21%	1,000,000.00	[REDACTED]
	TOTAL	10,000,000	1,000,000.00			
TOTAL AMOUNT OF SUBSCRIBED CAPITAL			475,596,095.00	99.92%	475,596,095.00	
TOTAL AMOUNT OF PAID-UP CAPITAL						

INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS

Note: For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.

**GENERAL INFORMATION SHEET
STOCK CORPORATION**

===== PLEASE PRINT LEGIBLY =====

CORPORATE NAME:		COL FINANCIAL GROUP, INC.				
TOTAL NUMBER OF STOCKHOLDERS:		34	NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:		32	
TOTAL ASSETS BASED ON LATEST AUDITED FS:		9,810,062,978.00				
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (Php)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (Php)	% OF OWNERSHIP		
8. HERNAN G. LIM Filipino ████████████████████	Common	1,000,000	100,000.00	0.02%	100,000.00	██████████
	TOTAL	1,000,000	100,000.00			
9. RAYMOND C. YU Filipino ████████████████████	Common	1,000,000	100,000.00	0.02%	100,000.00	██████████
	TOTAL	1,000,000	100,000.00			
10. PAULWELL HAN Chinese ████████████████████	Common	1,000,000	100,000.00	0.02%	100,000.00	██████████
	TOTAL	1,000,000	100,000.00			
11. CATHERINE L. ONG Filipino ████████████████████	Common	500,000	50,000.00	0.01%	50,000.00	██████████
	TOTAL	500,000	50,000.00			
12. SERAFIN P. BARRETTO, JR. Filipino ████████████████████	Common	120,000	12,000.00	0.00%	12,000.00	██████████
	TOTAL	120,000	12,000.00			
13. MANUEL S. ESTACION Filipino ████████████████████	Common	100,000	10,000.00	0.00%	10,000.00	██████████
	TOTAL	100,000	10,000.00			
14. WELLINGTON C. YU OR VICTORIA O. YU Filipino ████████████████████	Common	100,000	10,000.00	0.00%	10,000.00	██████████
	TOTAL	100,000	10,000.00			
TOTAL AMOUNT OF SUBSCRIBED CAPITAL			382,000.00	0.08%	382,000.00	
TOTAL AMOUNT OF PAID-UP CAPITAL						
INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS						
<i>Note: For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.</i>						

GENERAL INFORMATION SHEET
STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====			
CORPORATE NAME: COL FINANCIAL GROUP, INC.			
1. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION	AMOUNT (PhP)	DATE OF BOARD RESOLUTION	
1.1 STOCKS	287,300,000.00		
1.2 BONDS/COMMERCIAL PAPER (Issued by Private Corporations)			
1.3 LOANS/ CREDITS/ ADVANCES			
1.4 GOVERNMENT TREASURY BILLS			
1.5 OTHERS			
2. INVESTMENT OF CORPORATE FUNDS IN ACTIVITIES UNDER ITS SECONDARY PURPOSES (PLEASE SPECIFY:)	DATE OF BOARD RESOLUTION	DATE OF STOCKHOLDERS RATIFICATION	
3. TREASURY SHARES	NO. OF SHARES	% AS TO THE TOTAL NO. OF SHARES ISSUED	
4. UNRESTRICTED/UNAPPROPRIATED RETAINED EARNINGS AS OF END OF LAST FISCAL YEAR: PhP734,236,566.00			
5. DIVIDENDS DECLARED DURING THE IMMEDIATELY PRECEDING YEAR:			
TYPE OF DIVIDEND	AMOUNT (PhP)	DATE DECLARED	
5.1 CASH	Regular: P0.18/share; Special P0.52/share	04/30/2020	
5.2 STOCK			
5.3 PROPERTY			
TOTAL	Php0.70 per share		
6. ADDITIONAL SHARES ISSUED DURING THE PERIOD:			
DATE	NO. OF SHARES	AMOUNT	
SECONDARY LICENSE/REGISTRATION WITH SEC AND OTHER GOV'T AGENCY:			
NAME OF AGENCY:	SEC	BSP	IC
TYPE OF LICENSE/REGN.	Broker/Dealer in Securities, Mutual Fund Distributor		
DATE ISSUED:	11/15/2019		
DATE STARTED OPERATIONS:	01/01/2001		
TOTAL ANNUAL COMPENSATION OF DIRECTORS DURING THE PRECEDING FISCAL YEAR (in PhP)	TOTAL NO. OF OFFICERS	TOTAL NO. OF RANK & FILE EMPLOYEES	TOTAL MANPOWER COMPLEMENT
1,750,000.00	10	130	140

NOTE: USE ADDITIONAL SHEET IF NECESSARY

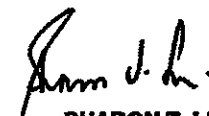
I, Sharon T. Lim, Corporate Secretary of COL Financial Group, Inc. declare under penalty of perjury that all matters set forth in this GIS have been made in good faith, duly verified by me and to the best of my knowledge and belief are true and correct.

I hereby attest that all the information in this GIS are being submitted in compliance with the rules and regulations of the Securities and Exchange Commission (SEC) the collection, processing, storage and sharing of said information being necessary to carry out the functions of public authority for the performance of the constitutionally and statutorily mandated functions of the SEC as a regulatory agency.

I further attest that I have been authorized by the Board of Directors/Trustees to file this GIS with the SEC.

I understand that the Commission may place the corporation under delinquent status for failure to submit the reportorial requirements three (3) times, consecutively or intermittently, within a period of five (5) years (Section 177, RA No. 11232).

Done this 4th day of March, 2021 in Pasig City.



SHARON T. LIM

(Signature over printed name)

SUBSCRIBED AND SWORN TO before me in Pasig City on 4 March 2021 by affiant who personally appeared before me and exhibited to me her competent evidence of identity consisting of Passport No. [REDACTED] issued at [REDACTED] on [REDACTED]

ATTY. STEPHANIE FAYE B. REYES

For the Cities of Pasig, San Juan
and Municipality of Pateros

Expiring on 31 December 2020

Appointment No. 61 (2019-2020) Pasig City

Roll No. 64239

PTR No. 5242827/01.05.21/Pasig City

IBP LRN 13768/RSM

MCLE Compliance No. VI-0014740/11.13.18

2703C East Tower PSE Centre, Exchange Rd.,
Ortigas Center, Pasig City

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