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# SEC FORM 17-C

1.	16 February 2024 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
	<u>Common Shares</u> <u>4,760,000,000</u>
 11.	Indicate the item numbers reported herein: <u>Item #9</u>

Please be informed that at the meeting of the Board of Directors of COL Financial Group, Inc. ("COL" or "the Company"), held today, 16 February 2024, the following resolutions were approved:

1. Setting of the Annual Stockholders' Meeting on 26 April 2024, 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.

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 25 March 2024 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 25 March 2024 to 26 April 2024.

2. In light of the recent correspondence from its subsidiary, COL Securities (HK) Limited, on its intended cessation of brokerage business, the appointment of authorized representatives to vote the Company's shares approving such closure at any meeting called for the purpose.

#### **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

**16 February 2024** Date

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# SEC FORM 17-C

1.	1 March 2024 Date of Report (Date of earliest event report	ted)
2.	SEC Identification Number <u>A199910065</u> 3.	BIR Tax Identification No. 203523208
4.	COL Financial Group, Inc.  Exact name of issuer as specified in its cha	rter
5.	Manila, Philippines Province, country or other jurisdiction of incorporation	6. (SEC Use Only) Industry Classification Code:
7.	24/F East Tower, Tektite Towers, Exchan Address of principal office	ge Road, Ortigas Center, Pasig City 1605 Postal Code
8.	(02) 8636-5411 Issuer's telephone number, including area of	code
9.	Not Applicable Former name or former address, if changed	d since last report
10	. Securities registered pursuant to Sections 8 RSA	3 and 12 of the SRC or Sections 4 and 8 of the
	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	: <u>Item #9</u>

Please be informed that at the Meeting of the Board of Directors of COL Financial Group, Inc. held today, 1 March 2024, the Board approved the promotion of Ms. Joyce G. Chan as VP – Head of Client Services effective on even date.

#### **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

1 March 2024

Date

SHARON T. LIM Corporate Secretary

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# SEC FORM 17-C

1.	20 March 2024 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
	<u>Common Shares</u> <u>4,760,000,000</u>
11.	. Indicate the item numbers reported herein: Item #9

Please be informed that at the meeting of the Board of Directors of COL Financial Group, Inc. held today, 20 March 2024, the Board approved and authorized the release of its Audited Financial Statements for the period ended December 31, 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

20 March 2024

Date

STEPHANIE FAYE B. REYES
Assistant Corporate Secretary

S.E.C. Registration Number

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# SEC FORM 17-C

1.	Date of Report (Date of earliest event reported)
2.	SEC Identification Number <u>A199910065</u>
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
	<u>Common Shares</u> 4,760,000,000
 11.	Indicate the item numbers reported herein: <u>Item #9</u>

Please be informed that at the meeting of the Board of Directors of COL Financial Group, Inc. held today, 26 April 2024, the Board approved the declaration and payment from the unappropriated retained earnings of the Company as of 31 December 2023, the following cash dividends:

- a. Regular Cash Dividend of #0.0186 per share, and
- b. Special Cash Dividend of ₽ 0.0465 per share,

both payable on 5 June 2024 to stockholders of record as of 17 May 2024.

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

26 April 2024

Date

SHARON T. LIM

Corporate Secretary

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# SEC FORM 17-C

L.	Date of Report (Date of earliest event reported)	
2.	SEC Identification Number <u>A199910065</u>	
3.	BIR Tax Identification No. 203523208	
1.	COL Financial Group, Inc.  Exact name of issuer as specified in its charter	
5.	Metro Manila, Philippines Province, country or other jurisdiction of incorporation	
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3.	(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 I	RSA
	Title of Each Class  Number of Shares of Common Stock  Outstanding and Amount of Debt Outstand	ling
	<u>Common Shares</u> <u>4,760,000,000</u>	
11.	. Indicate the item numbers reported herein: Item #9	

Please be informed that at the Annual Stockholders' Meeting of **COL Financial Group, Inc.** held today, 26 April 2024, the following matters were taken up and approved by the stockholders:

- 1. Approval of the Minutes of the Stockholders' Meeting held on 28 April 2023;
- 2. Approval of the President's Report;
- 3. Ratification of all Acts and Proceedings of the Board of Directors and Management for 2023;
- 4. Election of the following as members of the Board of Directors for the year 2024 2025:

Chairman Edward K. Lee Vice Chairman Alexander C. Yu Hernan G. Lim Director Conrado F. Bate 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 2023 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

L SHARON T. LIM Corporate Secretary

26 April 2024 Date

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# SEC FORM 17-C

1.	17 May 2024  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
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
	<u>Common Shares</u> <u>4,760,000,000</u>
11.	Indicate the item numbers reported herein: <u>Item #9</u>

Please be informed that at the meeting of the Board of Directors of COL Financial Group, Inc. (the "Company") held today, 17 May 2024, the Operations and Financial Report of the Company for the guarter ended 31 March 2024 was approved.

The Company's Quarterly Report on SEC Form 17-Q for the period will be filed on or before 20 May 2024.

#### **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.

17 May 2024 Date

STEPHANIE FAYE B. REYES

Assistant Corporate Secretary

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	Contact Person Company Telephone Number																											
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# SEC FORM 17-C

1.	16 August 2024 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.	Address of principal office Postal Code								
8.	lssuer's telephone number, including area code								
9.	Not Applicable     Former name or former address, if changed since last report								
10	10. Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA								
		umber of Shares of Common Stock Outstanding and Amount of Debt Outstanding							
	Common Shares	4,760,000,000							
11	11. Indicate the item numbers reported herein: Item #9								

Please be informed that at the meeting of the Board of Directors of COL Financial Group, Inc. ("COL" or "the Company"), held today, 16 August 2024, the following resolutions were approved:

- 1. Operations and Financial Report of the Company for the quarter ended 30 June 2024.
- 2. Acceptance of the resignation of Mr. Sohei Obara as Director.
- 3. Election of Mr. Kosuke Mizuno as Director and to serve for the remainder of the term of Mr. Sohei Obara.

Mr. Kosuke Mizuno is currently appointed as Head of Asia & Oceania within Daiwa Securities Group Inc. Mr. Mizuno has spent 32 years working in the securities industry in countries all across the globe, namely, Hong Kong, Singapore, Japan, and the United States. He has held various senior positions within the Daiwa group and has acquired extensive business knowledge and supervisory experience with respect to business management. He graduated from Keio University in 1992 with a Bachelor of Arts Degree in Economics and completed the Stanford Executive Program in 2023 at Stanford Business School.

- 4. Stock dividend declaration with the following details:
  - a. The stock dividend declaration is equivalent to 25% of the Corporation's outstanding capital stock amounting to 1,190,000,000 shares with par value of Php0.10 per share.
  - b. The issuance of 1,190,000,000 common shares with par value of Php0.10 per share from the authorized and unissued capital stock of the Corporation for distribution as stock dividends.
  - c. Fractional shares shall be paid in cash, based on the closing price on record date and computed up to two (2) decimal places.
  - d. The record date for entitlement to the stock dividends shall be on 23 October 2024 and the payment date shall be on 14 November 2024.
  - e. The stock dividend declaration shall be submitted for approval of the stockholders representing at least two-thirds (2/3) of the outstanding capital stock of the Corporation in a special stockholders' meeting to be held on 27 September 2024, Friday, 2:00 P.M.
- 5. Setting a special stockholders' meeting on 27 September 2024, Friday, 2:00 P.M.

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

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 4 September 2024 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 4 September 2024 to 27 September 2024.

## **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 2024 Date

SHARON T. LIM
Corporate Secretary

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Dep	SEC FORM 17-C  Month Day Fiscal Year  FORM TYPE  Month Day Annual Meeting  Secondary License Type, If Applicable  Dept. Requiring this Doc.  Amended Articles Number/Section  Total Amount of Borrowings																											
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## SEC FORM 17-C

11.	Indicate the item numbers reported herein: <u>Item #9</u>
	<u>Common Shares</u> <u>4,760,000,000</u>
	Title of Each Class  Number of Shares of Common Stock  Outstanding and Amount of Debt  Outstanding
10.	Securities registered pursuant to Sections 8 and 12 of the SRC or Sections 4 and 8 of the RSA
9.	Not Applicable Former name or former address, if changed since last report
8.	(02) 8636-5411 Issuer's telephone number, including area code
7.	24/F East Tower, Tektite Towers, Exchange Road, Ortigas Center, Pasig City 1605  Address of principal office Postal Code
5.	Manila, Philippines Province, country or other jurisdiction of incorporation  6. (SEC Use Only) Industry Classification Code:
4.	COL Financial Group, Inc. Exact name of issuer as specified in its charter
2.	SEC Identification Number A199910065 3. BIR Tax Identification No. 203523208
1.	27 September 2024 Date of Report (Date of earliest event reported)

At the Special Stockholders' Meeting of COL Financial Group, Inc. ("COL" or "the Company") held today, 27 September 2024, stockholders representing at least 2/3 of the outstanding capital stock of the Company, approved and ratified the resolutions of the Board of Directors dated 16 August 2024 to declare stock dividends as follows:

- 1. The stock dividend declaration is equivalent to 25% of the Corporation's outstanding capital stock amounting to Php119,000,000 or 1,190,000,000 common shares with par value of Php0.10 per share.
- The issuance of 1,190,000,000 common shares with par value of Php0.10 per share from the authorized and unissued capital stock of the Corporation for distribution as stock dividends.
- 3. Fractional shares shall be paid in cash, based on the closing price on record date and computed up to two (2) decimal places.
- 4. The record date for entitlement to the stock dividends shall be on 23 October 2024 and the payment date shall be on 14 November 2024.

#### **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 27 September 2024

Date

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	Contact Person Company Telephone Number																											
Dep	SEC FORM 17-C  Month Day Fiscal Year  FORM TYPE  Month Day Annual Meeting  Secondary License Type, If Applicable  Dept. Requiring this Doc.  Amended Articles Number/Section  Total Amount of Borrowings																											
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# SEC FORM 17-C

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

1.	1. <u>15 November 2024</u> Date of Report (Date of earliest event reported)	
2.	2. SEC Identification Number <u>A199910065</u> 3. BIR Tax Identification N	No. <u>203523208</u>
4.	COL Financial Group, Inc.  Exact name of issuer as specified in its charter	
5.	5. Manila, Philippines 6. Province, country or other jurisdiction of incorporation 6. Industry Classificat	EC Use Only) ion Code:
7.	7. 24/F East Tower, Tektite Towers, Exchange Road, Ortigas Center Address of principal office	r, Pasig City 1605 Postal Code
8.	8. <u>(02) 8636-5411</u> Issuer's telephone number, including area code	
9.	9. Not Applicable Former name or former address, if changed since last report	
10.	10. Securities registered pursuant to Sections 8 and 12 of the SRC or S	ections 4 and 8 of the RSA
		res of Common Stock mount of Debt Outstanding
	Common Shares 5,949,9	<u>99,998</u>
 11.	11. Indicate the item numbers reported herein: Item #9	

SEC Form 17-C December 2003

Please be informed that at the meeting of the Board of Directors of COL Financial Group, Inc. (the "Company") held today, 15 November 2024, the following resolutions were approved:

- 1. Operations and Financial Report of the Company for the quarter ended 30 September 2024.
- 2. Setting of the Annual Stockholders' Meeting on 25 April 2025, 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.

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 24 March 2025 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 24 March 2025 to 25 April 2025.

#### **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.	<u>15 November 2024</u>
Issuer	Date
(originally signed)	
SHARON T. LIM Corporate Secretary	