



## SECURITIES AND EXCHANGE COMMISSION

Secretariat Building, PICC Complex, Roxas Boulevard, Pasay City, 1307 Metro Manila Philippines

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**The following document has been received:**

**Receiving:** ARIEL FETALVO

**Receipt Date and Time:** August 23, 2021 04:07:36 AM

### Company Information

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**SEC Registration No.:** A199910065

**Company Name:** COL Financial Group, Inc.

**Industry Classification:**

**Company Type:**

### Document Information

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**Document ID:** OST1082320218112533

**Document Type:** GENERAL\_INFORMATION\_SHEET

**Document Code:** GIS

**Period Covered:** May 21, 2021

**Submission Type:** Amendment

**Remarks:** None

<b>AMENDED GENERAL INFORMATION SHEET (GIS)</b> FOR THE YEAR 2021 <b>STOCK CORPORATION</b>			
<b>GENERAL INSTRUCTIONS:</b> 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 =====			
<b>CORPORATE NAME:</b> <div style="text-align: center;">COL FINANCIAL GROUP, INC.</div>			<b>DATE REGISTERED:</b> <div style="text-align: center;">8/16/1999</div>
<b>BUSINESS/TRADE NAME:</b> <div style="text-align: center;">COL FINANCIAL GROUP, INC.</div>			<b>FISCAL YEAR END:</b> <div style="text-align: center;">December 31</div>
<b>SEC REGISTRATION NUMBER:</b> <div style="text-align: center;">A199910065</div>			
<b>DATE OF ANNUAL MEETING PER BY-LAWS:</b> <div style="text-align: center;">Any Date in March</div>			<b>CORPORATE TAX IDENTIFICATION NUMBER (TIN)</b> <div style="text-align: center;">203-523-208-000</div>
<b>ACTUAL DATE OF ANNUAL MEETING:</b> <div style="text-align: center;">05/21/2021</div>			<b>WEBSITE/URL ADDRESS:</b> <div style="text-align: center;">www.colfinancial.com</div>
<b>COMPLETE PRINCIPAL OFFICE ADDRESS:</b> <div style="text-align: center;">24/F East Tower, Philippine Stock Exchange Centre, Exchange Road, Ortigas Center, Pasig City</div>			<b>E-MAIL ADDRESS:</b> 
<b>COMPLETE BUSINESS ADDRESS:</b> <div style="text-align: center;">24/F East Tower, Tektite Towers (formerly Philippine Stock Exchange Centre), Exchange Road, Ortigas Center, Pasig City</div>			<b>FAX NUMBER:</b> <div style="text-align: center;">8634-6958</div>
<b>OFFICIAL E-MAIL ADDRESS</b> <div style="text-align: center;">compliance@colfinancial.com</div>	<b>ALTERNATE E-MAIL ADDRESS</b> <div style="text-align: center;">corporatesecretary@colfinancial.com</div>	<b>OFFICIAL MOBILE NUMBER</b> <div style="text-align: center;">0961 078 5433</div>	<b>ALTERNATE MOBILE NUMBER</b> <div style="text-align: center;">0917 836 5242</div>
<b>NAME OF EXTERNAL AUDITOR &amp; ITS SIGNING PARTNER:</b> <div style="text-align: center;">SYCIP, GORRES, VELAYO &amp; CO. Janeth T. Nuñez-Javier</div>		<b>SEC ACCREDITATION NUMBER (if applicable):</b> <div style="text-align: center;">SGV-0012-FR-5 (Group A)/ Janeth T. Nunez-Javier 1328-AR-1</div>	<b>TELEPHONE NUMBER(S):</b> <div style="text-align: center;">8636-5411</div>
<b>PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGED IN:</b> <div style="text-align: center;">Online Brokerage Services</div>		<b>INDUSTRY CLASSIFICATION:</b> <div style="text-align: center;">STOCKBROKER</div>	<b>GEOGRAPHICAL CODE:</b> 
===== INTERCOMPANY AFFILIATIONS =====			
<b>PARENT COMPANY</b>	<b>SEC REGISTRATION NO.</b>	<b>ADDRESS</b>	
<b>SUBSIDIARY/AFFILIATE</b>	<b>SEC REGISTRATION NO.</b>	<b>ADDRESS</b>	
COL SECURITIES (HK) LIMITED		RM. 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:

1.

- ☐ a. Banks  
☐ b. Offshore Banking Units  
☐ c. Quasi-Banks  
☐ d. Trust Entities  
☐ e. Non-Stock Savings and Loan Associations  
☐ f. Pawnshops  
☐ g. Foreign Exchange Dealers  
☐ h. Money Changers  
☐ i. Remittance Agents  
☐ j. Electronic Money Issuers  
☐ k. Financial Institutions which Under Special Laws are subject to Bangko Sentral ng Pilipinas' (BSP) supervision and/or regulation, including their subsidiaries and affiliates.

2.

- ☐ a. Insurance Companies  
☐ b. Insurance Agents  
☐ c. Insurance Brokers  
☐ d. Professional Reinsurers  
☐ e. Reinsurance Brokers  
☐ f. Holding Companies  
☐ g. Holding Company Systems  
☐ h. Pre-need Companies  
☐ i. Mutual Benefit Association  
☐ j. All Other Persons and entities supervised and/or regulated by the Insurance Commission (IC)

3.

- ☒ a. Securities Dealers  
☒ b. Securities Brokers  
☐ c. Securities Salesman  
☐ d. Investment Houses  
☐ e. Investment Agents and Consultants  
☐ f. Trading Advisors  
☐ g. Other entities managing Securities or rendering similar services  
☐ h. Mutual Funds or Open-end Investment Companies  
☐ i. Close-end Investment Companies  
☐ j. Common Trust Funds or Issuers and other similar entities  
☐ k. Transfer Companies and other similar entities  
☐ l. Other entities administering or otherwise dealing in currency, commodities or financial derivatives based there on  
☐ m. Entities administering or otherwise dealing in valuable objects  
☐ 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)

4. ☐ Jewelry dealers in precious metals, who, as a business, trade in precious metals

5. ☐ Jewelry dealers in precious stones, who, as a business, trade in precious stone

6. Company service providers which, as a business, provide any of the following services to third parties:

- ☐ a. acting as a formation agent of juridical persons  
☐ 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  
☐ 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  
☐ d. acting as (or arranging for another person to act as) a nominee shareholder for another person

7. Persons who provide any of the following services:

- ☐ a. managing of client money, securities or other assets  
☐ b. management of bank, savings or securities accounts  
☐ c. organization of contributions for the creation, operation or management of companies  
☐ d. creation, operation or management of juridical persons or arrangements, and buying and selling business entities

8. ☐ None of the above

Describe  
nature of  
business:

**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

## STOCK CORPORATION

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

CORPORATE NAME: COL FINANCIAL GROUP, INC.

## CAPITAL STRUCTURE

AUTHORIZED CAPITAL STOCK	
Authorized	10,000,000
Issued	10,000,000
Outstanding	10,000,000

	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
	<b>TOTAL</b>	<b>10,000,000,000</b>	<b>TOTAL P</b>	<b>1,000,000,000.00</b>

	10,000,000,000	TOTAL P	1,000,000,000.00
<b>SUBSCRIBED CAPITAL</b>			

FILIPINO	NO. OF STOCKHOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
	29	Common	3,458,204,949		0.10	345,820,494.90	72.65%
TOTAL			3,458,204,949	TOTAL	TOTAL P	345,820,494.90	72.65%

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	2	Common	11		0.10	1.10	0.00%	
Various	1	Common	1,300,775,040		0.10	130,077,504.00	27.33%	
Percentage of Foreign Equity :			TOTAL	1,301,795,051	TOTAL	P	130,179,505.10	27.35%
TOTAL SUBSCRIBED						P	476,000,000.00	100.00%

PAID-UP CAPITAL.	TOTAL SUBSCRIBED	476,000,000.00	100.00%
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FILIPINO	NO. OF STOCK-HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
	29	Common	3,458,204,949	0.10	345,820,494.90	72.65%
TOTAL			3,458,204,949	TOTAL P	345,820,494.90	72.65%
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	2	Common	11	0.10	1.10	0.00%
Various	1	Common	1,300,775,040	0.10	130,077,504.00	27.33%
27.35 % TOTAL			1,301,795,051	TOTAL P	130,179,505.10	27.35%
				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		Y	C	M	Y	Chairman of the Board		
2. ALEXANDER C. YU		Y	M	M	Y	Vice-Chairman	C/C; N/M	
3. CONRADO F. BATE		N	M	M	Y	Pres./Chief Exec. Officer		
4. HERNAN G. LIM		N	M	M	Y		A/M	
5. RAYMOND C. YU		N	M	M	Y		A/M	
6. PAULWELL HAN		N	M	M	Y			
7. WELLINGTON C. YU		N	M	M	Y		C/M; A/M	
8. ARTHUR GERRARD GINDAP		N	I	M	Y		N/C	
9. SEIJI OKITA		N	M	M	Y			
10. BETTY C. SIY-YAP		N	I	F	Y		A/C	
11. ROBERTO C. BENARES		N	I	M	Y		C/M	
12. CATHERINE L. ONG		N		F	Y	SVP-Treasurer	C/M	
13. JUAN G. BARREDO		Y		M	Y	FVP-Chief Cust Exp Officer/Asst Corp Sec		
14. NIKOS J. BAUTISTA		N		M	Y	FVP-Chief Technology Officer		
15. LORENA E. VELARDE		N		F	Y	FVP-Chief Financial Officer		
16. APRIL LYNN L. TAN		N		F	Y	FVP-Chief Investor Relations		
17. MELISSA O. NG		N		F	Y	VP - Head of Operations		
18. SHARON T. LIM		N		F	Y	Corp Sec/AP/VP-Legal	N/M	
19. STEPHANIE FAYE B. REYES		N		F	N	AP /Asst Corp. Sec		
20. NATHALIE M. GARCIA		N		F	N	Associated Person		

## 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 AND ELECTION COMMITTEE. ADDITIONALLY WRITE "C" AFTER SLASH IF CHAIRMAN AND "M" IF MEMBER.

**GENERAL INFORMATION SHEET**  
STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====						
<b>CORPORATE NAME:</b>		COL FINANCIAL GROUP, INC.				
<b>TOTAL NUMBER OF STOCKHOLDERS:</b>		33		<b>NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:</b>		30
<b>TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:</b>				13,695,063,881.00		
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  Alexander C. Yu Edward K. Lee	Common	1,918,329,660	191,832,966.00	40.30%	256,268,591.00	
		336,442,250	33,644,225.00	7.07%		
		307,914,000	30,791,400.00	6.47%		
	<b>TOTAL</b>	2,562,685,910	256,268,591.00	53.84%		
2. PCD NOMINEE CORPORATION  Paulwell Han	Common	902,616,290	90,261,629.00	18.96%	130,077,504.00	
		398,158,750	39,815,875.00	8.36%		
	<b>TOTAL</b>	1,300,775,040	130,077,504.00	27.33%		
3. EDWARD K. LEE	Common	622,500,000	62,250,000.00	13.08%	62,250,000.00	
	<b>TOTAL</b>	622,500,000	62,250,000.00			
4. ALEXANDER C. YU	Common	200,000,000	20,000,000.00	4.20%	20,000,000.00	
	<b>TOTAL</b>	200,000,000	20,000,000.00			
5. VALENTINA L. ANG	Common	50,000,000	5,000,000.00	1.05%	5,000,000.00	
	<b>TOTAL</b>	50,000,000	5,000,000.00			
6. LYDIA C. LEE	Common	10,000,000	1,000,000.00	0.21%	1,000,000.00	
	<b>TOTAL</b>	10,000,000	1,000,000.00			
7. JESSALYNN L. TAN	Common	10,000,000	1,000,000.00	0.21%	1,000,000.00	
	<b>TOTAL</b>	10,000,000	1,000,000.00			
<b>TOTAL AMOUNT OF SUBSCRIBED CAPITAL</b>			475,596,095.00	<b>99.92%</b>	<b>475,596,095.00</b>	
<b>TOTAL AMOUNT OF PAID-UP CAPITAL</b>						

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 =====

<b>CORPORATE NAME:</b> COL FINANCIAL GROUP, INC.						
<b>TOTAL NUMBER OF STOCKHOLDERS:</b> 33			<b>NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:</b> 30			
<b>TOTAL ASSETS BASED ON LATEST AUDITED FS:</b> 13,695,063,881.00						
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP		
8. HERNAN G. LIM	Common	1,000,000	100,000.00	0.02%	100,000.00	
	<b>TOTAL</b>	<b>1,000,000</b>	<b>100,000.00</b>			
9. RAYMOND C. YU	Common	1,000,000	100,000.00	0.02%	100,000.00	
	<b>TOTAL</b>	<b>1,000,000</b>	<b>100,000.00</b>			
10. PAULWELL HAN	Common	1,000,000	100,000.00	0.02%	100,000.00	
	<b>TOTAL</b>	<b>1,000,000</b>	<b>100,000.00</b>			
11. CATHERINE L. ONG	Common	500,000	50,000.00	0.01%	50,000.00	
	<b>TOTAL</b>	<b>500,000</b>	<b>50,000.00</b>			
12. SERAFIN P. BARRETTO, JR.	Common	120,000	12,000.00	0.00%	12,000.00	
	<b>TOTAL</b>	<b>120,000</b>	<b>12,000.00</b>			
13. MANUEL S. ESTACION	Common	100,000	10,000.00	0.00%	10,000.00	
	<b>TOTAL</b>	<b>100,000</b>	<b>10,000.00</b>			
14. WELLINGTON C. YU OR VICTORIA O. YU	Common	100,000	10,000.00	0.00%	10,000.00	
	<b>TOTAL</b>	<b>100,000</b>	<b>10,000.00</b>			
<b>TOTAL AMOUNT OF SUBSCRIBED CAPITAL</b>			<b>382,000.00</b>	<b>0.08%</b>	<b>382,000.00</b>	
<b>TOTAL AMOUNT OF PAID-UP CAPITAL</b>						
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 =====

<b>CORPORATE NAME:</b> COL FINANCIAL GROUP, INC.						
<b>TOTAL NUMBER OF STOCKHOLDERS:</b> 33			<b>NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:</b> 30			
<b>TOTAL ASSETS BASED ON LATEST AUDITED FS:</b> 13,695,063,881.00						
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP		
15. MYRA P. VILLANUEVA	Common	60,000	6,000.00	0.00%	6,000.00	
	<b>TOTAL</b>	<b>60,000</b>	<b>6,000.00</b>			
16. SERNANDO FILIO	Common	50,000	5,000.00	0.00%	5,000.00	
	<b>TOTAL</b>	<b>50,000</b>	<b>5,000.00</b>			
17. ROSARIO GARA	Common	50,000	5,000.00	0.00%	5,000.00	
	<b>TOTAL</b>	<b>50,000</b>	<b>5,000.00</b>			
18. KHOO BOO BOON	Common	10,000	1,000.00	0.00%	1,000.00	
	<b>TOTAL</b>	<b>10,000</b>	<b>1,000.00</b>			
19. HAPI ILOILO CORPORATION	Common	10,000	1,000.00	0.00%	1,000.00	
	<b>TOTAL</b>	<b>10,000</b>	<b>1,000.00</b>			
20. JOEL LITMAN	Common	10,000	1,000.00	0.00%	1,000.00	
	<b>TOTAL</b>	<b>10,000</b>	<b>1,000.00</b>			
21. OTHERS (15)	Common	29,050	2,905.00	0.00%	2,905.00	
	<b>TOTAL</b>	<b>29,050</b>	<b>2,905.00</b>			
<b>TOTAL AMOUNT OF SUBSCRIBED CAPITAL</b>			21,905.00	0.00%	<b>21,905.00</b>	
<b>TOTAL AMOUNT OF PAID-UP CAPITAL</b>						
INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS						
<small>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.</small>						



**GENERAL INFORMATION SHEET**  
STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====			
<b>CORPORATE NAME:</b> COL FINANCIAL GROUP, INC.			
<b>1. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION</b>	<b>AMOUNT (PhP)</b>	<b>DATE OF BOARD RESOLUTION</b>	
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			
<b>2. INVESTMENT OF CORPORATE FUNDS IN ACTIVITIES UNDER ITS SECONDARY PURPOSES (PLEASE SPECIFY:)</b>		<b>DATE OF BOARD RESOLUTION</b>	<b>DATE OF STOCKHOLDERS RATIFICATION</b>
<b>3. TREASURY SHARES</b>		<b>NO. OF SHARES</b>	<b>% AS TO THE TOTAL NO. OF SHARES ISSUED</b>
<b>4. UNRESTRICTED/UNAPPROPRIATED RETAINED EARNINGS AS OF END OF LAST FISCAL YEAR: PhP735,377,034</b>			
<b>5. DIVIDENDS DECLARED DURING THE IMMEDIATELY PRECEDING YEAR:</b>			
<b>TYPE OF DIVIDEND</b>	<b>AMOUNT (PhP)</b>	<b>DATE DECLARED</b>	
5.1 CASH	Regular: P0.020; Special: P0.045	05/14/2021	
5.2 STOCK			
5.3 PROPERTY			
<b>TOTAL</b>	Php0.065 per share		
<b>6. ADDITIONAL SHARES ISSUED DURING THE PERIOD:</b>			
<b>DATE</b>	<b>NO. OF SHARES</b>	<b>AMOUNT</b>	
<b>SECONDARY LICENSE/REGISTRATION WITH SEC AND OTHER GOV'T AGENCY:</b>			
<b>NAME OF AGENCY:</b>	<b>SEC</b>	<b>BSP</b>	<b>IC</b>
<b>TYPE OF LICENSE/REGN.</b>	Broker/Dealer in Securities, Mutual Fund Distributor		
<b>DATE ISSUED:</b>	11/24/2020		
<b>DATE STARTED OPERATIONS:</b>	01/01/2001		
<b>TOTAL ANNUAL COMPENSATION OF DIRECTORS DURING THE PRECEDING FISCAL YEAR (in PhP)</b>	<b>TOTAL NO. OF OFFICERS</b>	<b>TOTAL NO. OF RANK &amp; FILE EMPLOYEES</b>	<b>TOTAL MANPOWER COMPLEMENT</b>
1,750,000.00	11	126	137

NOTE: USE ADDITIONAL SHEET IF NECESSARY


I, **Stephanie Faye B. Reyes**, Assistant 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.

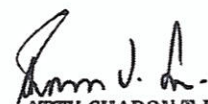
I understand that the Commission may place the corporation under delinquent status for failure to submit the reportorial requirements three (3) times, consecutively or intermittently, within a period of five (5) years (Section 177, RA No. 11232).

Done this 27<sup>th</sup> day of August 2021 in Pasig City.

  
**STEPHANIE FAYE B. REYES**  
(Signature over printed name)

**SUBSCRIBED AND SWORN TO** before me in Pasig City on 27<sup>th</sup> August 2021 by affiant who personally appeared before me and exhibited to me her competent evidence of identity consisting of Passport No. \_\_\_\_\_ issued on \_\_\_\_\_.

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Series of 2021

  
**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. 135384/12-17-20/RSM  
PTR No. 5242826/01-05-21/Pasig City  
MCLE Compliance No. VI-0010529/04-14-22/Pasig