

# COVER SHEET

A 1 9 9 9 1 0 0 6 5

S.E.C. Registration Number

COL FINANCIAL GROUP, INC.

(Company's Full Name)

24 / F EAST TOWER PSE CENTRE  
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 3        
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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LCU

Document I.D.

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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. **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** 6.  (SEC Use Only)  
Province, country or other jurisdiction of incorporation 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, 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](http://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.

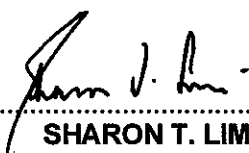
2. In light of the recent correspondence from its subsidiary, COL Securities (HK) Limited, on its intended cessation of brokerage business, the appointment of authorized representatives to vote the Company's shares approving such closure at any meeting called for the purpose.

## 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

**16 February 2024**  
Date



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

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S.E.C. Registration Number

COL FINANCIAL GROUP, INC.

(Company's Full Name)

24 / F EAST TOWER TECTITE  
TOWERS EXCHANGE ROAD ORTIGAS  
CENTER PASIG CITY

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

Atty. Sharon T. Lim

Contact Person

8636-54-11

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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
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1. **1 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  
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6.  (SEC Use Only)  
Industry Classification Code:
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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 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**

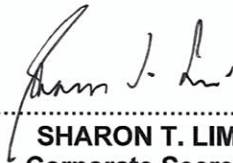
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issuer

**1 March 2024**

Date



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

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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

CURRENT REPORT UNDER SECTION 17  
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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
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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 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**

# COVER SHEET

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S.E.C. Registration Number

COL FINANCIAL GROUP, INC.

(Company's Full Name)

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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. **26 April 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. **Metro Manila, Philippines**  
Province, country or other jurisdiction of incorporation
6. Industry Classification Code:  (SEC Use Only)
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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 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**

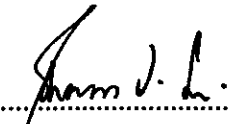
Pursuant to the requirements of the Securities Regulation Code, the issuer has duly caused this report to be signed on its behalf by the undersigned hereunto duly authorized.

**COL Financial Group, Inc.**

Issue

**26 April 2024**

Date

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

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(Company's Full Name)

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1	2	3	1
<i>Month</i>		<i>Day</i>	
<i>Fiscal Year</i>			

**SEC FORM 17-C**

FORM TYPE

0	4		
<i>Month</i>		<i>Day</i>	
<i>Annual Meeting</i>			

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total Number of Stockholders

Domestic

none

Foreign

Total Amount of Borrowings

To be accomplished by SEC Personnel concerned

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SECURITIES AND EXCHANGE COMMISSION

SEC FORM 17-C

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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 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:

Edward K. Lee	-	Chairman
Alexander C. Yu	-	Vice Chairman
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

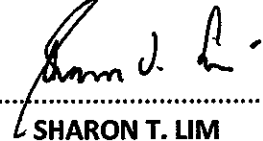
Thank you.

### 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



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

26 April 2024

Date

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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

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Company Telephone Number

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Fiscal Year

**SEC FORM 17-C**

FORM TYPE

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*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 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 quarter 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.

Issuer

17 May 2024

Date

.....  
**STEPHANIE FAYE B. REYES**  
Assistant Corporate Secretary