

# AMENDED GENERAL INFORMATION SHEET (GIS)

FOR THE YEAR 2017

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 FROM THE ACTUAL DATE OF THE ANNUAL STOCKHOLDERS' 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 ONLY THE AFFECTED PAGE OF THE GIS THAT RELATES TO THE NEW INFORMATION TOGETHER WITH A COVER LETTER SIGNED BY THE CORPORATE SECRETARY OF THE CORPORATION. THE PAGE OF THE GIS AND COVER LETTER SHALL BE SUBMITTED WITHIN SEVEN (7) DAYS AFTER SUCH CHANGE OCCURRED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE CENTRAL RECEIVING SECTION, GROUND FLOOR, SEC BLDG., EDSA, MANDALUYONG CITY. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER WITH A STANDARD COVER PAGE. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE. CORPORATIONS SUBMITTING A COPY OF THEIR GIS ONLINE OR VIA INTERNET SHALL SUBMIT ONE (1) HARD COPY OF THE GIS, TOGETHER WITH A CERTIFICATION UNDER OATH BY ITS CORPORATE SECRETARY THAT THE COPY SUBMITTED ONLINE CONTAINS THE EXACT DATA IN THE HARD COPY.
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: <b>COL FINANCIAL GROUP, INC.</b>		DATE REGISTERED: <b>8/16/1999</b>
BUSINESS/TRADE NAME: <b>COL FINANCIAL GROUP, INC.</b>		FISCAL YEAR END: <b>December 31</b>
SEC REGISTRATION NUMBER: <b>A199910065</b>		CORPORATE TAX IDENTIFICATION NUMBER (TIN): <b>203-523-208-000</b>
DATE OF ANNUAL MEETING PER BY-LAWS: <b>ANY DAY IN MARCH</b>		WEBSITE/URL ADDRESS: <b>www.colfinancial.com</b>
ACTUAL DATE OF ANNUAL MEETING: <b>March 30, 2017</b>		E-MAIL ADDRESS:
COMPLETE PRINCIPAL OFFICE ADDRESS: <b>24/F East Tower, PSE Centre, Exchange Road, Ortigas Center, Pasig City</b>		FAX NUMBER: <b>634-6958</b>
COMPLETE BUSINESS ADDRESS: <b>same as above</b>		TELEPHONE NUMBER(S): <b>636-5411</b>
NAME OF EXTERNAL AUDITOR & ITS SIGNING PARTNER: <b>SYCIP, GORRES, VELAYO &amp; CO. Janeth T. Nuñez-Javier</b>	SEC ACCREDITATION NUMBER (if applicable): <b>SGV-0012-FR-4/ Janeth T. Nunez-Javier 1328-AR-1</b>	GEOGRAPHICAL CODE:
PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGED IN: <b>Online Brokerage Services</b>	INDUSTRY CLASSIFICATION: <b>STOCKBROKER</b>	

## ===== INTERCOMPANY AFFILIATIONS =====

PARENT COMPANY	SEC REGISTRATION NO.	ADDRESS
SUBSIDIARY/AFFILIATE	SEC REGISTRATION NO.	ADDRESS
COL SECURITIES (HK) LIMITED		RM. 803 LUK YU BUILDING 24-26 STANLEY ST., CENTRAL HONG KONG

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.		4. <input type="checkbox"/> Jewelry dealers in precious metals, who, as a business, trade in precious metals	
<input type="checkbox"/> a. Banks <input type="checkbox"/> b. Offshore Banking Units <input type="checkbox"/> c. Quasi-Banks <input type="checkbox"/> d. Trust Entities <input type="checkbox"/> e. Non-Stock Savings and Loan Associations <input type="checkbox"/> f. Pawnshops <input type="checkbox"/> g. Foreign Exchange Dealers <input type="checkbox"/> h. Money Changers <input type="checkbox"/> i. Remittance Agents <input type="checkbox"/> j. Electronic Money Issuers <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.		5. <input type="checkbox"/> Jewelry dealers in precious stones, who, as a business, trade in precious stone	
2.		6. Company service providers which, as a business, provide any of the following services to third parties:	
<input type="checkbox"/> a. Insurance Companies <input type="checkbox"/> b. Insurance Agents <input type="checkbox"/> c. Insurance Brokers <input type="checkbox"/> d. Professional Reinsurers <input type="checkbox"/> e. Reinsurance Brokers <input type="checkbox"/> f. Holding Companies <input type="checkbox"/> g. Holding Company Systems <input type="checkbox"/> h. Pre-need Companies <input type="checkbox"/> i. Mutual Benefit Association <input type="checkbox"/> j. All Other Persons and entities supervised and/or regulated by the Insurance Commission (IC)		<input type="checkbox"/> a. acting as a formation agent of juridical persons <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  <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  <input type="checkbox"/> d. acting as (or arranging for another person to act as) a nominee shareholder for another person	
3.		7. Persons who provide any of the following services:	
<input checked="" type="checkbox"/> a. Securities Dealers <input checked="" type="checkbox"/> b. Securities Brokers <input type="checkbox"/> c. Securities Salesman  <input type="checkbox"/> d. Investment Houses <input type="checkbox"/> e. Investment Agents and Consultants <input type="checkbox"/> f. Trading Advisors <input type="checkbox"/> g. Other entities managing Securities or rendering similar services <input type="checkbox"/> h. Mutual Funds or Open-end Investment Companies <input type="checkbox"/> i. Close-end Investment Companies <input type="checkbox"/> j. Common Trust Funds or Issuers and other similar entities <input type="checkbox"/> k. Transfer Companies and other similar entities <input type="checkbox"/> l. Other entities administering or otherwise dealing in currency, commodities or financial derivatives based there on <input type="checkbox"/> m. Entities administering or otherwise dealing in valuable objects <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)		<input type="checkbox"/> a. managing of client money, securities or other assets <input type="checkbox"/> b. management of bank, savings or securities accounts <input type="checkbox"/> c. organization of contributions for the creation, operation or management of companies <input type="checkbox"/> d. creation, operation or management of juridical persons or arrangements, and buying and selling business entities	
		8. <input type="checkbox"/> 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



**GENERAL INFORMATION SHEET**  
STOCK CORPORATION

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

<b>CORPORATE NAME:</b> COL FINANCIAL GROUP, INC.							
<b>CAPITAL STRUCTURE</b>							
<b>AUTHORIZED CAPITAL STOCK</b>							
	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (PhP)</b> (No. of shares X Par/Stated Value)			
	Common	1,000,000,000	1.00	1,000,000.00			
<b>TOTAL</b>		<b>1,000,000,000</b>	<b>TOTAL P</b>	<b>1,000,000.00</b>			
<b>SUBSCRIBED CAPITAL</b>							
<b>FILIPINO</b>	<b>NO. OF STOCK-HOLDERS</b>	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (PhP)</b>	<b>% OF OWNERSHIP</b>
	25	Common	350,790,620		1.00	350,790,620.00	73.70%
<b>TOTAL</b>		<b>350,790,620</b>	<b>TOTAL</b>	<b>TOTAL P</b>	<b>350,790,620.00</b>		<b>73.70%</b>
<b>FOREIGN (INDICATE BY NATIONALITY)</b>	<b>NO. OF STOCK-HOLDERS</b>	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (PhP)</b>	<b>% OF OWNERSHIP</b>
Chinese	1	Common	100,000		1.00	100,000.00	0.02%
Malaysian	1	Common	1,000		1.00	1,000.00	0.00%
American	1	Common	1,000		1.00	1,000.00	0.00%
Japanese	1	Common	1		1.00	1.00	0.00%
Various	1	Common	125,107,379		1.00	125,107,379.00	26.28%
<b>Percentage of Foreign Equity:</b>		<b>TOTAL</b>	<b>125,209,380</b>	<b>TOTAL</b>	<b>TOTAL P</b>	<b>125,209,380.00</b>	<b>26.30%</b>
<b>TOTAL SUBSCRIBED P</b>						<b>476,000,000.00</b>	<b>100.00%</b>
<b>PAID-UP CAPITAL</b>							
<b>FILIPINO</b>	<b>NO. OF STOCK-HOLDERS</b>	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (PhP)</b>	<b>% OF OWNERSHIP</b>	
	25	Common	350,790,620	1.00	350,790,620.00	73.70%	
<b>TOTAL</b>		<b>350,790,620</b>	<b>TOTAL P</b>	<b>350,790,620.00</b>		<b>73.70%</b>	
<b>FOREIGN (INDICATE BY NATIONALITY)</b>	<b>NO. OF STOCK-HOLDERS</b>	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (PhP)</b>	<b>% OF OWNERSHIP</b>	
Chinese	1	Common	100,000	1.00	100,000.00	0.02%	
Malaysian	1	Common	1,000	1.00	1,000.00	0.00%	
American	1	Common	1,000	1.00	1,000.00	0.00%	
Japanese	1	Common	1	1.00	1.00	0.00%	
Various	1	Common	125,107,379	1.00	125,107,379.00	26.28%	
<b>26.30 %</b>		<b>TOTAL</b>	<b>125,209,380</b>	<b>TOTAL P</b>	<b>125,209,380.00</b>	<b>26.30%</b>	
<b>TOTAL PAID-UP P</b>					<b>476,000,000.00</b>	<b>100.00%</b>	

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 AND NATIONALITY	INC'R	BOARD	SEX	STOCK HOLDER	OFFICER	EXEC. COMM.
1. EDWARD K. LEE FILIPINO	Y	C	M	Y	Chairman of the Board	
2. ALEXANDER C. YU FILIPINO	Y	M	M	Y	Vice-Chairman	N/M; C/M
3. CONRADO F. BATE FILIPINO	N	M	M	Y	Pres./Chief Exec. Officer	
4. CATHERINE L. ONG FILIPINO	Y	M	F	Y	SVP /Treasurer/ CFO	C/M
5. CAESAR A. GUERZON FILIPINO	Y		M	Y	SVP/Corporate Secretary	N/M
6. HERNAN G. LIM FILIPINO	N	M	M	Y	Director	A/M
7. RAYMOND C. YU FILIPINO	N	M	M	Y	Director	A/M
8. PAULWELL HAN CHINESE	N	M	M	Y	Director	
9. WELLINGTON C. YU FILIPINO	N	I	M	Y	Director	A/C; C/C
10. KHOO BOO BOON MALAYSIAN	N	I	M	Y	Director	N/C
11. JOEL LITMAN AMERICAN	N	M	M	Y	Director	
12. KIDO HOKUSHIN JAPANESE	N	M	M	Y	Director	
13. JUAN G. BARREDO FILIPINO	Y		M	Y	VP/Asst. Corp. Sec.	
14. NIKOS J. BAUTISTA FILIPINO	N		M	Y	VP/Chief Technology Officer	
15. LORENA E. VELARDE FILIPINO	N		F	Y	VP/Financial Controller	
16. APRIL LYNN L. TAN FILIPINO	N		F	Y	VP/Head of Research	
17. SHARON T. LIM FILIPINO	N		F	Y	Associated Person/Asst. Corp. Sec.	
18. REA P. ORTEZA FILIPINO	N		F	N	Associated Person	
19. NATHALIE M. GARCIA FILIPINO	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>		30		<b>NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:</b> 27	
<b>TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:</b>		8,492,075,405.00			
STOCKHOLDER'S INFORMATION					
NAME AND NATIONALITY	SHARES SUBSCRIBED				AMOUNT PAID (PhP)
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP	
1. PCD NOMINEE CORPORATION - FILIPINO Alexander C. Yu Edward K. Lee Conrado F. Bate	COMMON	181,918,706	181,918,706.00	38.22%	261,240,716.00
		35,470,550	35,470,550.00	7.45%	
		28,267,500	28,267,500.00	5.94%	
		15,583,960	15,583,960.00	3.27%	
	<b>TOTAL</b>	<b>261,240,716</b>	<b>261,240,716.00</b>		
2. PCD NOMINEE CORPORATION NON-FILIPINO Paulwell Han	COMMON	88,607,404	88,607,404.00	18.62%	125,107,379.00
		36,499,975	36,499,975.00	7.67%	
	<b>TOTAL</b>	<b>125,107,379</b>	<b>125,107,379.00</b>		
3. EDWARD K. LEE FILIPINO	COMMON	62,250,000	62,250,000.00		62,250,000.00
				13.08%	
	<b>TOTAL</b>	<b>62,250,000</b>	<b>62,250,000.00</b>		
4. ALEXANDER C. YU FILIPINO	COMMON	20,000,000	20,000,000.00		20,000,000.00
				4.20%	
	<b>TOTAL</b>	<b>20,000,000</b>	<b>20,000,000.00</b>		
5. VALENTINA L. ANG FILIPINO	COMMON	5,000,000	5,000,000.00		5,000,000.00
				1.05%	
	<b>TOTAL</b>	<b>5,000,000</b>	<b>5,000,000.00</b>		
6. LYDIA C. LEE FILIPINO	COMMON	1,000,000	1,000,000.00		1,000,000.00
				0.21%	
	<b>TOTAL</b>	<b>1,000,000</b>	<b>1,000,000.00</b>		
7. JESSALYNN L. TAN FILIPINO	COMMON	1,000,000	1,000,000.00		1,000,000.00
				0.21%	
	<b>TOTAL</b>	<b>1,000,000</b>	<b>1,000,000.00</b>		
<b>TOTAL AMOUNT OF SUBSCRIBED CAPITAL</b>			<b>475,598,095.00</b>	<b>99.92%</b>	<b>475,598,095.00</b>
<b>TOTAL AMOUNT OF PAID-UP CAPITAL</b>					

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 =====					
<b>CORPORATE NAME:</b>		COL FINANCIAL GROUP, INC.			
<b>TOTAL NUMBER OF STOCKHOLDERS:</b>		30		NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH: 29	
<b>TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:</b>		8,492,075,405.00			
STOCKHOLDER'S INFORMATION					
NAME AND NATIONALITY	SHARES SUBSCRIBED				AMOUNT PAID (PhP)
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP	
8. HERNAN G. LIM FILIPINO	COMMON	100,000	100,000.00	0.02%	100,000.00
	<b>TOTAL</b>	<b>100,000</b>	<b>100,000.00</b>		
9. RAYMOND C. YU FILIPINO	COMMON	100,000	100,000.00	0.02%	100,000.00
	<b>TOTAL</b>	<b>100,000</b>	<b>100,000.00</b>		
10. PAULWELL HAN CHINESE	COMMON	100,000	100,000.00	0.02%	100,000.00
	<b>TOTAL</b>	<b>100,000.00</b>	<b>100,000.00</b>		
11. CATHERINE L. ONG FILIPINO	COMMON	50,000	50,000.00	0.01%	50,000.00
	<b>TOTAL</b>	<b>50,000.00</b>	<b>50,000.00</b>		
12. SERAFIN P. BARRETTO JR. FILIPINO	COMMON	12,000	12,000.00	0.00%	12,000.00
	<b>TOTAL</b>	<b>12,000.00</b>	<b>12,000.00</b>		
13. MANUEL S. ESTACION FILIPINO	COMMON	10,000	10,000.00	0.00%	10,000.00
	<b>TOTAL</b>	<b>10,000.00</b>	<b>10,000.00</b>		
14. WELLINGTON C. YU OR VICTORIA O. YU FILIPINO	COMMON	10,000	10,000.00	0.00%	10,000.00
	<b>TOTAL</b>	<b>10,000.00</b>	<b>10,000.00</b>		
<b>TOTAL AMOUNT OF SUBSCRIBED CAPITAL</b>			382,000.00	<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

*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:		30	NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:		29
TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:		8,492,075,405.00			
STOCKHOLDER'S INFORMATION					
NAME AND NATIONALITY	SHARES SUBSCRIBED				AMOUNT PAID (PhP)
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP	
15. SERNANDO FILIO FILIPINO	COMMON	5,000	5,000.00	0.00%	5,000.00
	TOTAL	5,000	5,000.00		
16. ROSARIO GARA FILIPINO	COMMON	5,000	5,000.00	0.00%	5,000.00
	TOTAL	5,000	5,000.00		
17. MYRA P. VILLANUEVA FILIPINO	COMMON	5,000	5,000.00	0.00%	5,000.00
	TOTAL	5,000	5,000.00		
18. CAESAR A. GUERZON FILIPINO	COMMON	1,000	1,000.00	0.00%	1,000.00
	TOTAL	1,000	1,000.00		
19. KHOO BOO BOON MALAYSIAN	COMMON	1,000	1,000.00	0.00%	1,000.00
	TOTAL	1,000	1,000.00		
20. HAPI ILOILO CORPORATION FILIPINO	COMMON	1,000	1,000.00	0.00%	1,000.00
	TOTAL	1,000	1,000.00		
21. OTHERS (Indicate the number of the remaining stockholders)  10	COMMON	1,905	1,905.00	0.00%	1,905.00
	TOTAL	1,905	1,905.00		
TOTAL AMOUNT OF SUBSCRIBED CAPITAL			19,905.00	0.00%	19,905.00
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 =====			
<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		2,102,563.00	
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:</b> PhP441,444,178			
<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: P0.14/share; Special P0.46/share	March 30, 2017
5.2 STOCK			
5.3 PROPERTY			
<b>TOTAL</b>		P.60 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>B S P</b>	<b>I C</b>
<b>TYPE OF LICENSE/REGN.</b>	Broker/Dealer in Securities, Mutual Fund Distributor		
<b>DATE ISSUED:</b>	29-Nov-16		
<b>DATE STARTED OPERATIONS:</b>	1-Jan-01		
<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>
P 890,000	8	110	118

NOTE: USE ADDITIONAL SHEET IF NECESSARY



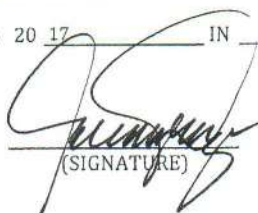
I, CAESAR G. GUERZON CORPORATE SECRETARY OF THE ABOVE-MENTIONED  
(Name) (Position)

DECLARE UNDER THE PENALTY OF PERJURY, THAT ALL MATTERS SET FORTH IN THIS GENERAL INFORMATION SHEET WHICH CONSISTS OF TWELVE (12) PAGES 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 CERTIFY THAT THE PERSONS INDICATED AS MEMBERS OF THE BOARD OF DIRECTORS AND OFFICERS OF THE CORPORATION HAD CONSENTED IN WRITING TO BE NOMINATED AND ELECTED.

I UNDERSTAND THAT THE FAILURE OF THE CORPORATION TO FILE THIS GIS FOR FIVE (5) CONSECUTIVE YEARS SHALL BE CONSTRUED AS NON-OPERATION OF THE CORPORATION AND A GROUND FOR THE REVOCATION OF THE CORPORATION'S CERTIFICATE OF INCORPORATION. IN THIS EVENTUALITY, THE CORPORATION HEREBY WAIVES ITS RIGHT TO A HEARING FOR THE SAID REVOCATION.

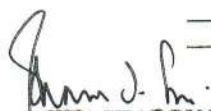
DONE THIS 5TH DAY OF JUNE, 20 17 IN PASIG

  
(SIGNATURE)

SUBSCRIBED AND SWORN TO BEFORE ME IN PASIG CITY/PROVINCE, PHILIPPINES ON  
**JUN 05 2017** AFFIANT PERSONALLY APPEARED BEFORE ME AND EXHIBITED TO ME HIS/HER COMPETENT  
EVIDENCE OF IDENTITY PP#EC6883267 ISSUED AT DFA NCR EAST ON MARCH 1, 2016

NOTARY PUBLIC FOR  
Notarial Commission No. \_\_\_\_\_  
Commission expires on December 31, \_\_\_\_\_  
Roll of Attorney Number \_\_\_\_\_  
PTR No. \_\_\_\_\_  
IBP No. \_\_\_\_\_  
Office Address: \_\_\_\_\_

DOC. NO.: 465  
PAGE NO.: 94  
BOOK NO.: IV  
SERIES OF: 2017

  
**ATTY. SHARON T. LIM**  
Notary Public for the Cities of Pasig, Taguig, &  
San Juan and Municipality of Pateros  
Until 12-31-17/ Appt. No 20 (2016-2017)  
2401B East Tower, Phil Stock Exchange Centre  
Exchange Rd., Ortigas Center, Pasig City 1605  
Roll No. 53601/ IBP No. 1054074/ 12-16-16/ RSM  
PTR No. 2516893/ 01-06-17/ Pasig  
MCLE Compliance No. V-0010052/ 08-26-15/ Pasig