

P W 1 5 - A

R O X A S H O L D I N G S , I N C .

(Company's Full Name)

1 4 T H F L O O R , N E T O N E C E N T E R
2 6 T H C O R . 3 R D A V E N U E B O N I F A C I O
G L O B A L C I T Y , T A G U I G , M . M .

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

ATTY. AIMEE E. PEDAYO

8771-7800

September 30
Month Day
Fiscal Year2021
GENERAL INFORMATION SHEET

Form Type

February 3rd Wed.
Month Day
Annual Meeting

Secondary License Type, If Applicable

Department Requiring this Document

Amended Articles Number/Section

Total Amount of Borrowings

Total No. of Stockholders

Domestic Foreign

TO BE ACCOMPLISHED BY SEC PERSONNEL CONCERNED

File Number

Document I.D.

LCU

Cashier

STAMPS

Remarks = pls. Use black ink for scanning purposes



GENERAL INFORMATION SHEET (GIS)

FOR THE YEAR 2021

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:	ROXAS HOLDINGS, INC.	DATE REGISTERED:	31-Oct-30
BUSINESS/TRADE NAME:	N/A	FISCAL YEAR END:	September 30
SEC REGISTRATION NUMBER:	PW 15-A	CORPORATE TAX IDENTIFICATION NUMBER (TIN)	000-290-538-000
DATE OF ANNUAL MEETING PER BY-LAWS:	Every 2nd Wednesday of March of each year	WEBSITE/URL ADDRESS:	N/A
ACTUAL DATE OF ANNUAL MEETING:	March 17, 2021		
COMPLETE PRINCIPAL OFFICE ADDRESS:	14F Net One Center, 26th Street cor. 3rd Ave. Bonifacio Global City, Taguig, Metro Manila		

COMPLETE BUSINESS ADDRESS:

PRINCIPAL E-MAIL ADDRESS	ALTERNATE E-MAIL ADDRESS	PRINCIPAL CELLPHONE NO.	ALTERNATE CELLPHONE NO.	TELEPHONE NUMBER(S):
corporatesecretary@rhi.com.ph	aimee.pedayo@rhi.com.ph / hazel.cabara@rhi.com.ph	09985914710	09985995941	8771-7800 to 05
NAME OF EXTERNAL AUDITOR & ITS SIGNING PARTNER:		SEC ACCREDITATION NUMBER (if applicable):		
SGV & Co. / Aileen L. Saringan		0096-AR-4 (Group A)		
PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGED IN:		INDUSTRY CLASSIFICATION:	GEOGRAPHICAL CODE:	
Holding and Investment Company			N/A	

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

PARENT COMPANY	SEC REGISTRATION NO.	ADDRESS
FIRST AGRI HOLDINGS CORPORATION	N/A	10F MGO Bldg. Legaspi cor. Dela Rosa St., Makati City
FP NATURAL RESOURCES HOLDINGS BV	N/A	Prins Bernhardplein 200, 1097 JB Amsterdam, The Netherlands
SUBSIDIARY/AFFILIATE	SEC REGISTRATION NO.	ADDRESS
CENTRAL AZUCARERA DON PEDRO, INC.	A200105204	14F, Net One Center, 26th cor. 3rd Ave., BGC, Taguig
CENTRAL AZUCARERA DE LA CARLOTA, INC.	CS200253516	14F, Net One Center, 26th cor. 3rd Ave., BGC, Taguig
ROXOL BIOENERGY CORPORATION	CS200803267	14F, Net One Center, 26th cor. 3rd Ave., BGC, Taguig
SAN CARLOS BIOENERGY, INC.	CS200508967	San Carlos Ecozone, Brgys. Palampas and Punao, San Carlos City, Negros Occidental
ROXAS POWER CORPORATION	CS200810985	Units 1 & 2 Landing, JP Laurel St., Nasugbu, Batangas
RHI AGRI-BUSINESS DEVELOPMENT CORPORATION	CS201503434	14F, Net One Center, 26th cor. 3rd Ave., BGC, Taguig
ROXAS PACIFIC BIOENERGY CORPORATION	CS201502639	14F, Net One Center, 26th cor. 3rd Ave., BGC, Taguig
RHI PACIFIC COMMERCIAL CORP.	CS201517914	14F, Net One Center, 26th cor. 3rd Ave., BGC, Taguig
NORTHEASTERN PORT AND STORAGE CORPORATION	CS200728594	Emerald Arcade City Center, FC Ladosma Avenue, San Carlos City, Negros

GENERAL INFORMATION SHEET

STOCK CORPORATION

PLEASE PRINT LEGIBLY

Corporate Name:

ROXAS HOLDINGS, 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.

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

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)

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

GENERAL INFORMATION SHEET
STOCK CORPORATION

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

CORPORATE NAME: ROXAS HOLDINGS, 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	2,000,000,000	1.00	2,000,000,000.00
TOTAL		2,000,000,000	TOTAL P	2,000,000,000.00

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
		COMMON	1,023,903,953	254,207,734	1.00	1,023,903,953.00	66.14
		less Treasury shares	17,643,480				
TOTAL			1,041,547,433	TOTAL	TOTAL P	1,023,903,953.00	

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
Various		COMMON	524,031,846		1.00	524,031,846.00	33.86
Percentage of Foreign Equity :		TOTAL	524,031,846	TOTAL	TOTAL P	524,031,846.00	
TOTAL SUBSCRIBED P						1,547,935,799.00	

PAID-UP CAPITAL

FILIPINO	NO. OF STOCK- HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
		COMMON	1,023,903,953	1.00	1,023,903,953.00	66.14
TOTAL			1,023,903,953	TOTAL P	1,023,903,953.00	
FOREIGN (INDICATE BY NATIONALITY)	NO. OF STOCK- HOLDERS	TYPE OF SHARES *	NUMBER OF SHARES	PAR/STATED VALUE	AMOUNT (PhP)	% OF OWNERSHIP
		COMMON	524,031,846	1.00	524,031,846.00	33.86
33.85 %		TOTAL	524,031,846	TOTAL P	524,031,846.00	
TOTAL PAID-UP P					1,547,935,799.00	

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: ROXAS HOLDINGS, INC.								
DIRECTORS / OFFICERS								
NAME/CURRENT RESIDENTIAL ADDRESS	NATIONALITY	INC'R	BOARD	GENDER	STOCK HOLDER	OFFICER	EXEC. COMM.	TAX IDENTIFICATION NUMBER
1. PEDRO E. ROXAS 6 Ipi Road, South Forbes Park, Makati City	FILIPINO	N	C	M	Y	Chairman	N/M	104-738-165
2. MANUEL V. PANGILINAN 10th Floor PLDT MGO Building, Dela Rosa corner Legaspi St.,	FILIPINO	N	M	M	Y	Vice Chairman	C/C	914-481-801
3. RAY C. ESPINOSA Unit 25H, One McKinley Place, 28th Street, Crescent Park West, BGC, Taguig	FILIPINO	N	M	M	Y	N/A	N/A	113-248-118
4. ALEX ERLITO S. FIDER 18 19 & 17/Flrs, Liberty Ctr. 104 H. Dela Costa St. Salcedo Village, Makati City	FILIPINO	N	M	M	Y	N/A	N/A	107-043-050
5. CHRISTOPHER H. YOUNG PLDT, 12th Floor, Ramon Cojuangco Bldg., Makati Ave., Makati City	BRITISH	N	M	M	Y	N/A	A/M	178-235-537
6. OSCAR J. HILADO #32 Unit 308, Florante St., Brgy. Plainview, Mandaluyong City	FILIPINO	N	M	M	Y	N/A	A/C/M; N/C	123-535-799
7. ARLYN S. VILLANUEVA 9F 902 Antel Corporate Centre, 121 Valer St., Salcedo Village, Makati City	FILIPINO	N	M	F	Y	N/A	A/C	103-501-444-000
8. SANTIAGO T. GABIONZA, JR. 20/F 139 Corporate Center, 139 Valero St., Salcedo Village, Makati City	FILIPINO	N	M	M	Y	N/A	N/C/M	106-915-999
9. CELSO T. DIMARUCUT 124 Nicanor Abelardo cor. Conchita Cruz Dr., BF Executive, Paranaque City	FILIPINO	N	M	M	Y	President & CEO	N/A	117-990-083
10. GEORGE T. CHEUNG 101 Fairwood St. McKinley Hill Village, Taguig	FILIPINO	N	N/A	M	N	VP - Chief Comm. Officer/Chief Risk Officer	N/A	460-704-473
11. CYNTHIA L. DE LA PAZ #18 Capitol Golf Townhomes & Golfers Villas, Diliman, Quezon City	FILIPINO	N	N/A	F	N	Corporate Secretary	N/A	107-043-122
12. AIMEE E. PEDAYO 41 Sta. Monica, Kapitolyo, Pasig City	FILIPINO	N	N/A	F	N	Asst. Corporate Secretary	N/A	273-720-041-000
13. MA. HAZEL L. RABARA-RETARDO #21 Jalaur Triangle NIA Village, Quezon City	FILIPINO	N	N/A	F	N	VP - Head of Legal and Treasury/Treasurer	N/A	214-216-562
14. FREDERICK E. REYES Unit 1, Hillside Residences, Sigma Drive, Alpha Village, Capitol Hills, Quezon City	FILIPINO	N	N/A	M	N	VP - Human Resources	N/A	101-847-858
15. JAYNEL R. SULANGI 7307 Marcelo Ave., Phase 3, Marcelo Green Vil. Paranaque City	FILIPINO	N	N/A	M	N	VP - ICT	N/A	407-471-477
16. JOSE MANUEL L. MAPA 12 Strawflower St., Lexington Garden Village, Pasig City	FILIPINO	N	N/A	M	N	VP - GM ADC	N/A	150-569-038
17. PILIPINO T. CAYETANO Blk. 17 Lot 9, Sonata St. La Residencia De Sta. Rosa Subd. Sta. Rosa, Laguna	FILIPINO	N	N/A	M	N	VP - CMO, CACI & RBC	N/A	138-561-574
18. JULIUS G. RUGAS Lot 7, Blackberry Medowood Executive Village, Bacoor, Cavite	FILIPINO	N	N/A	M	N	VP - Head of Refined Sugar Operations	N/A	138-561-574
19. VERONICA C. CORTEZ ACM Woodstock Homes, B39 L15, PH 3, Alapan I-A, Imus, Cavite	FILIPINO	N	N/A	F	N	VP - Head of Finance & Admin	N/A	217-875-713
20. JOSEPHINE M. LOGROÑO 117 Washington St., Green Park Village, Pasig City	FILIPINO	N	N/A	F	N	AVP - Internal Audit	N/A	912-370-417
21. JAYPEE V. JIMENEZ #108 Carnation St. Palmera Spring 1	FILIPINO	N	N/A	M	N	AVP - Proc. & Mat. Mgmt.	N/A	242-975-443-000

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.2014) ELECTION COMMITTEE. ADDITIONALLY WRITE "C" AFTER SLASH IF CHAIRMAN AND "M" IF MEMBER.

GENERAL INFORMATION SHEET
STOCK CORPORATION

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

CORPORATE NAME: ROXAS HOLDINGS, INC.						
TOTAL NUMBER OF STOCKHOLDERS: 2,080			NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH: 1,856			
TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS: 11,181,265,081.00						
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (PhP)	% OF OWNER-SHIP		
1. PCD NOMINEE CORPORATION Filipino 6764 Ayala Ave, Legazpi Village, Makati, Metro Manila	C	902,927,903.00	902,927,903.00	58.33%	902,927,903.00	000-138-757-000
	TOTAL		902,927,903	902,927,903.00		
2. PCD NOMINEE CORPORATION Non-Filipino 6764 Ayala Ave, Legazpi Village, Makati, Metro Manila	C	523,850,839	523,850,839	33.84%	523,850,839.00	000-599-760-000
	TOTAL		523,850,839	523,850,839.00		
3. ROXAS & COMPANY, INC. Filipino 7/F Cacho Gonzalez Building, 101 Aguirre, Legazpi Village, Makati, 1226 Metro Manila	C	99,624,995	99,624,995	6.44%	99,624,995.00	102-574-830
	TOTAL		99,624,995	99,624,995.00		
4. OTHERS (Indicate the number of the remaining stockholders)	C	21,532,062	21,532,062	1.39%	21,532,062.00	
	TOTAL		21,532,062.00	21,532,062		
5.	C					
	TOTAL					
6.	C					
	TOTAL					
7.						
	TOTAL					
TOTAL AMOUNT OF SUBSCRIBED CAPITAL			1,547,935,799	100.00%	1,547,935,799.00	
TOTAL AMOUNT OF PAID-UP CAPITAL						

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

Note: For PDC 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.

2020

GENERAL INFORMATION SHEET
STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====			
CORPORATE NAME: ROXAS HOLDINGS, INC.			
1. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION	AMOUNT (PhP)	DATE OF BOARD RESOLUTION	
1.1 STOCKS	list of subsidiaries, p1	N/A	
1.2 BONDS/COMMERCIAL PAPER (Issued by Private Corporations)	N/A	N/A	
1.3 LOANS/ CREDITS/ ADVANCES	N/A	N/A	
1.4 GOVERNMENT TREASURY BILLS	N/A	N/A	
1.5 OTHERS	N/A	N/A	
2. INVESTMENT OF CORPORATE FUNDS IN ACTIVITIES UNDER ITS SECONDARY PURPOSES (PLEASE SPECIFY:)		DATE OF BOARD RESOLUTION	DATE OF STOCKHOLDERS RATIFICATION
N/A		N/A	N/A
3. TREASURY SHARES		NO. OF SHARES	% AS TO THE TOTAL NO. OF SHARES ISSUED
		17,643,480	
4. UNRESTRICTED/UNAPPROPRIATED RETAINED EARNINGS AS OF END OF LAST FISCAL YEAR			
5. DIVIDENDS DECLARED DURING THE IMMEDIATELY PRECEDING YEAR:			
TYPE OF DIVIDEND	AMOUNT (PhP)	DATE DECLARED	
5.1 CASH	N/A	N/A	
5.2 STOCK	N/A	N/A	
5.3 PROPERTY	N/A	N/A	
TOTAL	P	N/A	
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.	N/A	N/A	N/A
DATE ISSUED:			
DATE STARTED OPERATIONS:			
TOTAL ANNUAL COMPENSATION OF DIRECTORS DURING THE PRECEDING FISCAL YEAR (in PhP)	TOTAL NO. OF OFFICERS 44 (including Senior Managers, Managers, Asst. Managers & Assoc. Managers)	TOTAL NO. OF RANK & FILE EMPLOYEES 4	TOTAL MANPOWER COMPLEMENT 44

NOTE: USE ADDITIONAL SHEET IF NECESSARY

BENEFICIAL OWNERSHIP DECLARATION

SEC REGISTRATION NUMBER:

PW 15-A

CORPORATE NAME:

ROXAS HOLDINGS, INC.

Instructions:

1. Identify the Beneficial Owner/s of the corporation as described in the Categories of Beneficial Ownership in items A to I below. List down as many as you can identify. You may use an additional sheet if necessary.
2. Fill in the required information on the beneficial owner in the fields provided for.
3. In the "Category of Beneficial Ownership" column, indicate the letter(s) corresponding thereto. In the event that the person identified as beneficial owner falls under several categories, indicate all the letters corresponding to such categories.
4. If the category is under letter "I", indicate the position held (i.e., Director/Trustee, President, Chief Executive Officer, Chief Operating Officer, Chief Financial Officer, etc.).
5. Do not leave any item blank. Write "N/A" if the information required is not applicable or "NONE" if non-existent.

"Beneficial Owner" refers to any natural person(s) who ultimately own(s) or control(s) or exercise(s) ultimate effective control over the corporation. This definition covers the natural person(s) who actually own or control the corporation as distinguished from the legal owners. Such beneficial ownership may be determined on the basis of the following:

Category

Description

- Natural person(s) owning, directly or indirectly or through a chain of ownership, at least twenty-five percent (25%) of the voting rights, voting shares or capital of the reporting corporation.
- Natural person(s) who exercise control over the reporting corporation, alone or together with others, through any contract, understanding, relationship, intermediary or tiered entity.
- Natural person(s) having the ability to elect a majority of the board of directors/trustees, or any similar body, of the corporation.
- Natural person(s) having the ability to exert a dominant influence over the management or policies of the corporation.
- Natural person(s) whose directions, instructions, or wishes in conducting the affairs of the corporation are carried out by majority of the members of the board of directors of such corporation who are accustomed or under an obligation to act in accordance with such person's directions, instructions or wishes.
- Natural person(s) acting as stewards of the properties of corporations, where such properties are under the care or administration of said natural person(s).
- Natural person(s) who actually own or control the reporting corporation through nominee shareholders or nominee directors acting for or on behalf of such natural persons.
- Natural person(s) ultimately owning or controlling or exercising ultimate effective control over the corporation through other means not falling under any of the foregoing categories.
- Natural person(s) exercising control through positions held within a corporation (i.e., responsible for strategic decisions that fundamentally affect the business practices or general direction of the corporation such as the members of the board of directors or trustees or similar body within the corporation; or exercising executive control over the daily or regular affairs of the corporation through a senior management position). This category is only applicable in exceptional cases where no natural person is identifiable who ultimately owns or exerts control over the corporation, the reporting corporation having exhausted all reasonable means of identification and provided there are no grounds for suspicion.

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension (i.e., Jr., Sr., III))	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	DATE OF BIRTH	TAX IDENTIFICATION NO.	% OF OWNERSHIP ¹ / % OF VOTING RIGHTS ²	TYPE OF BENEFICIAL OWNER ³ Direct (D) or Indirect (I)	CATEGORY OF BENEFICIAL OWNERSHIP
Pedro E. Roxas (through Roxas & Company, Inc.)	6 Ipil Road, South Forbes Park, Makati City	Filipino	19-Mar-56	104-738-165	20.56%	I & D	I (Chairman of RCI)
Manuel V. Pangilinan (through First Pacific Natural Resources Holdings BV)	10th Floor PLDT MGO Building, Dela Rosa corner Legaspi St., Legaspi Village, Makati City	Filipino	14-Jul-46	914-481-801	30.22%	I & D	I (Managing Director & CEO)

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Ray C. Espinosa (through First Pacific Natural Resources Holdings BV)	Unit 25H, One McKinley Place, 28th St., Crescent Park West, BGC, Taguig	Filipino	27-Apr-56	113-248-118	30.22%	I & D	I (Associate Director)
Christopher H. Young (through First Pacific Natural Resources Holdings BV)	PLDT, 12th Floor, Ramon Cojuangco Bldg., Makati Ave., Makati City	British	25-Jul-57	178-235-537	30.22%	I & D	I (Executive Director & CFO)

Note: This page is not for uploading on the SEC iView.

¹ For Stock Corporations.

² For Non-Stock Corporations.

³ For Stock Corporations.

2020

PDTC PARTICIPANTS AS OF MARCH 31, 2021

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OUTSTANDING BALANCES FOR A SPECIFIC COMPANY

Company Code - ROX0000000000

Business Date: March 31, 2021

BPNAME	HOLDINGS
FIRST METRO SECURITIES BROKERAGE CORP.	974,453,580
MAYBANK ATR KIM ENG SECURITIES, INC.	303,986,978
RCBC SECURITIES, INC.	72,126,189
THE HONGKONG AND SHANGHAI BANKING CORP. LTD. -CLIENTS' ACCT.	14,255,998
BDO SECURITIES CORPORATION	9,736,642
RCBC TRUST & INVESTMENT DIVISION - VARIOUS TAXABLE ACCTS	7,632,277
SB EQUITIES, INC.	6,515,938
ASTRA SECURITIES CORPORATION	5,265,800
STRATEGIC EQUITIES CORP.	3,996,133
PAPA SECURITIES CORPORATION	3,913,334
BPI SECURITIES CORPORATION	3,502,072
COL Financial Group, Inc.	3,487,912
PHILSTOCKS FINANCIAL INC	2,295,681
E. CHUA CHIACO SECURITIES, INC.	1,870,719
ABACUS SECURITIES CORPORATION	1,282,981
VALUE QUEST SECURITIES CORPORATION	1,245,000
EASTERN SECURITIES DEVELOPMENT CORPORATION	815,768
TOWER SECURITIES, INC.	807,334
EVERGREEN STOCK BROKERAGE & SEC., INC.	799,671
TANSENGCO & CO., INC.	716,315
G.D. TAN & COMPANY, INC.	698,000
WEALTH SECURITIES, INC.	586,417
GOLDEN TOWER SECURITIES & HOLDINGS, INC.	501,550
HDI SECURITIES, INC.	499,985
DAVID GO SECURITIES CORP.	491,252
REGINA CAPITAL DEVELOPMENT CORPORATION	369,099
R. COYIUTO SECURITIES, INC.	358,148
ANSALDO, GODINEZ & CO., INC.	261,281
PREMIUM SECURITIES, INC.	255,999
QUALITY INVESTMENTS & SECURITIES CORPORATION	234,778
UNICAPITAL SECURITIES INC.	233,509
MANDARIN SECURITIES CORPORATION	221,880
GUILD SECURITIES, INC.	188,014
AP SECURITIES INCORPORATED	183,910
CAMPOS, LANUZA & COMPANY, INC.	157,629
IGC SECURITIES INC.	157,453
WESTLINK GLOBAL EQUITIES, INC.	155,306
PNB SECURITIES, INC.	153,598
INVESTORS SECURITIES, INC.	138,500
CHINA BANK SECURITIES CORPORATION	134,196
SOLAR SECURITIES, INC.	130,537
REGIS PARTNERS, INC.	128,120
F. YAP SECURITIES, INC.	117,694
CTS GLOBAL EQUITY GROUP, INC.	109,710
TRITON SECURITIES CORP.	95,344
A & A SECURITIES, INC.	91,988
R & L INVESTMENTS, INC.	80,630
PHILIPPINE EQUITY PARTNERS, INC.	78,977

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BPNAME	HOLDINGS
SUMMIT SECURITIES, INC.	77,583
AB CAPITAL SECURITIES, INC.	62,448
EAGLE EQUITIES, INC.	61,662
GLOBALINKS SECURITIES & STOCKS, INC.	61,348
JSG SECURITIES, INC.	60,560
TIMSON SECURITIES, INC.	60,000
FIRST ORIENT SECURITIES, INC.	53,800
YAO & ZIALCITA, INC.	51,000
RCBC TRUST & INVESTMENT DIVISION	50,797
LOPEZ, LOCSIN, LEDESMA & CO., INC.	50,000
UCPB SECURITIES, INC.	45,242
NEW WORLD SECURITIES CO., INC.	45,000
PAN ASIA SECURITIES CORP.	45,000
DIVERSIFIED SECURITIES, INC.	40,000
ALPHA SECURITIES CORP.	37,214
EQUITIWORLD SECURITIES, INC.	34,952
MERCANTILE SECURITIES CORP.	31,600
JAKA SECURITIES CORP.	27,768
MOUNT PEAK SECURITIES, INC.	25,240
R. S. LIM & CO., INC.	22,621
I. B. GIMENEZ SECURITIES, INC.	20,616
OPTIMUM SECURITIES CORPORATION	20,338
DA MARKET SECURITIES, INC.	20,000
E.SECURITIES, INC.	17,160
IMPERIAL, DE GUZMAN, ABALOS & CO., INC.	16,248
YU & COMPANY, INC.	16,144
BA SECURITIES, INC.	15,085
RTG & COMPANY, INC.	14,652
LUYS SECURITIES COMPANY, INC.	13,999
B. H. CHUA SECURITIES CORPORATION	13,512
THE FIRST RESOURCES MANAGEMENT & SECURITIES CORP.	13,114
INTRA-INVEST SECURITIES, INC.	13,112
VENTURE SECURITIES, INC.	12,680
FIDELITY SECURITIES, INC.	11,300
EAST WEST CAPITAL CORPORATION	10,224
TRENDLINE SECURITIES CORPORATION	9,996
BENJAMIN CO CA & CO., INC.	9,960
BELSON SECURITIES, INC.	7,799
CITIBANK N.A.	6,084
A. T. DE CASTRO SECURITIES CORP.	5,228
AAA SOUTHEAST EQUITIES, INCORPORATED	5,000
R. NUBLA SECURITIES, INC.	4,056
ASIAN CAPITAL EQUITIES, INC.	3,900
SALISBURY BKT SECURITIES CORPORATION	3,588
ASIASEC EQUITIES, INC.	2,028
PLATINUM SECURITIES, INC.	2,028
MARINO OLONDRIZ Y CIA	1,404
EQUITABLE SECURITIES (PHILS.) INC.	612
S.J. ROXAS & CO., INC.	350
MDR SECURITIES, INC.	338
PHILEO ALLIED SECURITIES (PHILIPPINES), INC.	216
HK SECURITIES, INC.	131
APEX PHILIPPINES EQUITIES CORPORATION	112
I. ACKERMAN & CO., INC.	28
J.M. BARCELON & CO., INC.	28
CENTRAL AZUCARERA DE DON PEDRO	11

BPNAME

HOLDINGS

Total**1,426,754,742**

If no written notice of any error or correction is received by PDTC within five (5) calendar days from receipt hereof, you shall be deemed to have accepted the accuracy and completeness of the details indicated in this report.

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