



112132017005766



## SECURITIES AND EXCHANGE COMMISSION

SEC Building, EDSA, Greenhills, Mandaluyong City, Metro Manila, Philippines  
Tel: (632) 726-0931 to 39 Fax: (632) 725-5293 Email: mis@sec.gov.ph

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Company Information

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SEC Registration No. CS200803939  
Company Name TOP FRONTIER INVESTMENT HOLDINGS INC.  
Industry Classification Financial Holding Company Activities  
Company Type Stock Corporation

### Document Information

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COVER SHEET

C S 2 0 0 8 0 3 9 3 9

S. E. C. Registration Number

T O P F R O N T I E R

I N V E S T M E N T H O L D I N G S

I N C .

(Company's Full Name)

5 th F l o o r , E N Z O B l d g .

3 9 9 S e n . G i l P u y a t

A v e . , M a k a t i C i t y

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

Virgilio S. Jacinto

Contact Person

(02) 632-3143

Company Telephone Number

1 2

Month

3 1

Day

Compliance Report

FORM TYPE

0 7

Month

0 9

Day

Annual Meeting

Secondary License Type, If Applicable

Dept. Requiring this Doc.

Amended Articles Number/Section

Total No. of Stockholders

Domestic

Foreign

Total Amount of Borrowings

To be accomplished by SEC Personnel concerned

File Number

LCU

Document I. D.

Cashier

STAMPS

Remarks = pls. Use black ink for scanning purposes



December 13, 2017

**SECURITIES AND EXCHANGE COMMISSION**

Secretariat Building, PICC Complex,  
Roxas Boulevard, Pasay City, 1307

Attention: **Atty. Rachelle G. Remalante**  
Officer in Charge  
Corporate Governance and Finance Department

Re: Compliance with the Corporate Governance  
Training Requirement

Gentlemen:

We advise that, in compliance with SEC Memorandum Circular No. 20, Series of 2013, the following director and officer of Top Frontier Investment Holdings, Inc. have attended the corporate governance training seminar conducted by Risks, Opportunities, Assessment and Management (ROAM), Inc. on the date indicated below:

	<u>Name</u>	<u>Designation</u>	<u>Date Attended</u>
1.	Iñigo U. Zobel	Director & Chairman	December 11, 2017
2.	Ramon S. Ang	Director, President & CEO	December 11, 2017
3.	Ferdinand K. Constantino	Director	December 11, 2017
4.	Bella O. Navarra	Chief Finance Officer	December 11, 2017
5.	Maria Rosario B. Balanza	Investment Relations Officer	December 11, 2017
6.	Irene M. Cipriano	Assistant Corporate Secretary	December 11, 2017

For your information and reference, attached are copies of their respective Certificates of Attendance.

Very truly yours,

A handwritten signature in blue ink, appearing to read "V. Jacinto", is written over a faint, circular stamp or watermark.

**Virgilio S. Jacinto**  
Corporate Secretary  
and Compliance Officer



Risks, Opportunities, Assessment and  
Management (ROAM), Inc.

awards this

## CERTIFICATE OF COMPLETION

to

*Iñigo Zobel*

for having completed the seminar on

## CORPORATE GOVERNANCE

held on 11 December 2017 at  
SMC Head Office, San Miguel Avenue, Mandaluyong City

Benjamin I. Espiritu, Ph.D.  
President



**Risks, Opportunities, Assessment and  
Management (ROAM), Inc.**

awards this

## **CERTIFICATE OF COMPLETION**

to

*Ramon S. Ang*

for having completed the seminar on

## **CORPORATE GOVERNANCE**

held on 11 December 2017 at  
SMC Head Office, San Miguel Avenue, Mandaluyong City

**Benjamin I. Espiritu, Ph.D.**  
President



Risks, Opportunities, Assessment and  
Management (ROAM), Inc.

awards this

## CERTIFICATE OF COMPLETION

to

*Ferdinand K. Constantino*

for having completed the seminar on

## CORPORATE GOVERNANCE

held on 11 December 2017 at  
SMC Head Office, San Miguel Avenue, Mandaluyong City

  
Benjamin I. Espiritu, Ph.D.  
President



Risks, Opportunities, Assessment and  
Management (ROAM), Inc.

awards this

## CERTIFICATE OF COMPLETION

to

*Bella O. Navarra*

for having completed the seminar on

## CORPORATE GOVERNANCE

held on 11 December 2017 at  
SMC Head Office, San Miguel Avenue, Mandaluyong City

  
Benjamin I. Espiritu, Ph.D.  
President



Risks, Opportunities, Assessment and  
Management (ROAM), Inc.

awards this

## **CERTIFICATE OF COMPLETION**

to

*Irene M. Cipriano*

for having completed the seminar on

## **CORPORATE GOVERNANCE**

held on 11 December 2017 at  
SMC Head Office, San Miguel Avenue, Mandaluyong City

  
**Benjamin I. Espiritu, Ph.D.**  
President





Risks, Opportunities, Assessment and  
Management (ROAM), Inc.

awards this

## CERTIFICATE OF COMPLETION

to

*Ma. Rosario B. Balanza*

for having completed the seminar on

## CORPORATE GOVERNANCE

held on 11 December 2017 at  
SMC Head Office, San Miguel Avenue, Mandaluyong City

Benjamin I. Espiritu, Ph.D.  
President