



**B Co-Investor Information (if applicable)**

29. Name of Investor Last Name First Name Middle Name Other Legal Name			
30. Permanent Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]			31. Zip Code
32. Present Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)] Same as Permanent Home Address			33. Zip Code
34. Mobile Phone (country code, mobile no., e.g. +639123456789) +	35. Birthdate (e.g. 08-AUG-1990) Day                      Month                      Year –                      –		36. Citizenship
37. Work Phone (country code, area code, & tel no., e.g. +63285558888) +	38. Home Phone (country code, area code, & tel no., e.g. +63285558888) +	39. Gender Male Female	
40. Birthplace (City/Province/State and Country)	41. Preferred Mailing Address Permanent Home Address                      Work Address Present Home Address		42. E-mail Address
43. Occupation	44. Gross Annual Income	45. Name of Employer/Business	46. Nature of Work/Business
47. Work Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]			48. Zip Code
49. SSS No. or GSIS No.		50. Philippine Tax Identification No. (TIN) –                      –	
51. ID Presented	52. ID No.	53. ID Expiry Date (e.g. 08-AUG-1990) Day                      Month                      Year –                      –	

**Compliance with the Foreign Account Tax Compliance Act (FATCA)**

The following information is collected for regulatory compliance.

A "U.S. Person" is (i) an individual who is a born or naturalized citizen of the United States; (ii) a non-U.S. citizen of the United States that is a resident of the United States for income tax purposes; or (iii) an individual that holds a valid U.S. Permanent Resident Card (commonly referred to as a "Green Card").

For additional information on determining whether you are a resident of the United States for income tax purposes, please see <https://www.irs.gov/individuals/international-taxpayers/substantial-presence-test> or consult your tax advisor.

54. Are you a U.S. Person?                      Yes                      No  
If Yes, please indicate your U.S. Taxpayer Identification Number (TIN) below.

\*Your U.S. TIN may be any of the following: U.S. Social Security Number (SSN), Employer Identification Number (EIN), or Individual Taxpayer Identification Number (ITIN). **If you are a U.S. Person but do not have a U.S. TIN, this application will not be processed.**

**C In-Trust-For (if opening an account for a minor)**

55. Name of Minor Last Name First Name Middle Name		
56. Relationship to the Investor/Trustee	57. Birthplace (City/Province/State and Country)	58. Birthdate (e.g. 08-AUG-1990) Day                      Month                      Year –                      –

**Note:** A Confirmation of In-Trust-For (ITF) Arrangement must be submitted together with a copy of the Birth Certificate or Passport of the minor for all ITF accounts.

**D Investor Suitability Assessment**

*To be answered by the PRINCIPAL INVESTOR only:* This assessment will let you know your risk profile and investment experience based on the information you provide. Your financial needs may change over time depending on your current objectives and situation. This assessment is for reference only and is not to be taken as an advice from SLAMCI on how to manage your investment. No guarantee is given as to the accuracy or completeness of this test.

59. Net Investible Assets	PHP 1,000,000 and below	PHP 1,000,001 - PHP 5,000,000	PHP 5,000,001 - PHP 10,000,000	Over PHP 10,000,000
60. Most Important Investment Goal	Prepare for retirement Grow your money	Purchase a property Others, please specify	Open a business	Provide for education
61. How familiar are you with investing?	No experience at all A little experience (you have bank deposits)		Some experience (you have mutual funds, UITFs or VUL) Advanced experience (you have direct investment in stocks/bonds)	
62. You currently or used to have (please check all that apply):	Life Insurance Stocks	Pre-need Plan Own Business	Mutual Funds Real Estate Property	Bank Deposits Pooled Funds Bonds Others

Choose the statement that most closely defines your needs or best describes your situation. After completing the assessment, add the points in brackets corresponding to your choice to get the total score.

<p><b>A - TIME HORIZON:</b> How long can you keep your money invested? [ 1 ] 1 - 5 years [ 3 ] 11 - 15 years [ 2 ] 6 - 10 years [ 4 ] More than 15 years</p> <p><b>B - RISK AND RETURN:</b> How would you best describe your attitude towards investing and the level of risk you can take? [ 1 ] Seeks capital preservation. Stable returns are preferred as opposed to funds that fluctuate widely. [ 2 ] Comfortable with volatility, and ready to accept fluctuations affecting less than half of my investments. [ 3 ] Comfortable with volatility, and ready to accept fluctuations affecting more than half of my investments. [ 4 ] Seeks capital appreciation. Fully accepts volatility to ensure higher returns over the long term.</p>	<p><b>C - FINANCIAL SITUATION:</b> Which statement best describes your financial situation? [ 1 ] This investment will supplement current income. [ 2 ] This investment is not needed to supplement current income, however this could change. [ 3 ] Should an unexpected situation arise, there may be a need to access these funds. [ 4 ] Can meet emergency requirements without withdrawing these funds.</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="text-align: center;"><b>Total Score</b></td> <td style="text-align: center;"><b>Score</b></td> <td style="text-align: center;"><b>Investment Profile</b></td> </tr> <tr> <td style="text-align: center;">[            ]</td> <td style="text-align: center;">3 to 6</td> <td style="text-align: center;">Conservative</td> </tr> <tr> <td></td> <td style="text-align: center;">7 to 9</td> <td style="text-align: center;">Moderately Aggressive</td> </tr> <tr> <td></td> <td style="text-align: center;">10 to 12</td> <td style="text-align: center;">Aggressive</td> </tr> </table>	<b>Total Score</b>	<b>Score</b>	<b>Investment Profile</b>	[            ]	3 to 6	Conservative		7 to 9	Moderately Aggressive		10 to 12	Aggressive
<b>Total Score</b>	<b>Score</b>	<b>Investment Profile</b>											
[            ]	3 to 6	Conservative											
	7 to 9	Moderately Aggressive											
	10 to 12	Aggressive											

We strongly recommend you review your investment risk profile at least once a year. When a major change occurs in your personal situation, make sure your investment decisions continue to match your needs.

The allocation of your investment should be consistent with your assessed risk profile based on the results of this assessment. Should you decide otherwise at any time, you are responsible for the decision and any of its effects. SLAMCI, its agents, employees, or directors, will not be liable to you for any claims, loss, or action as a result of your decision.

**E Initial Investment Details**

You may invest regularly from your account with any of SLAMCI's participating banks. To register, fill out the Auto-Invest Enrollment Form. If the investment is coursed through an advisor, always request for an Acknowledgment Receipt (A.R.).

**Note:** \* Front-end load are charges to be paid by the investor at the time of investment.  
\*\* Back-end load are charges to be paid by the investor at the time of redemption, based on the number of years invested.

63. Fund Name ( 1 )	Sales Load:	Front-End Load*	Back-End Load**	Others
	Amount Paid:	PHP    USD	,	,
	Amount in Words:			
Payment Details		Direct Deposit to SLAMCI Bank Account		
Cash	Name of the Bank:			
Check (To be processed only upon receipt of cleared funds)	Transfer from Sun Life Insurance Policy / Plan Agreement			
Check No.:	Telegraphic Transfer			
Drawee Bank:	Others			
64. Fund Name ( 2 )	Sales Load:	Front-End Load*	Back-End Load**	Others
	Amount Paid:	PHP    USD	,	,
	Amount in Words:			
Payment Details		Direct Deposit to SLAMCI Bank Account		
Cash	Name of the Bank:			
Check (To be processed only upon receipt of cleared funds)	Transfer from Sun Life Insurance Policy / Plan Agreement			
Check No.:	Telegraphic Transfer			
Drawee Bank:	Others			
65. Source of Funds		Existing investments in other instruments (time deposits, etc.)		
		Income / bonus from employment		
		Proceeds from sale of assets (real estate, etc.)		
		Inheritance		
		Matured pre-need plan / insurance policy		
		Other sources, please specify:		

**F Settlement Bank Account Enrollment (if applicable)**

Enrollment of settlement bank account is subject to the following guidelines:

- Only **one settlement bank account** shall be enrolled **per currency, per MF Account**. You may use the same settlement bank account for your other MF Account(s), provided it/they pertain(s) to the same accountholder(s).
- Your settlement bank account name must be **exactly the same** (in order, format, and joint account type when applicable) as the MF Account Name to be created, in order for redemption and other proceeds to be credited by the bank.
- SLAMCI will credit **all future redemptions and other proceeds from all Funds** to your enrolled settlement bank account. We will not be liable for delays in, or unsuccessful crediting of redemption and other proceeds due to errors or discrepancies in bank account name and/or other information provided.
- Any new enrollment or updates to your settlement details is subject to SLAMCI's review and will supersede previously enrolled settlement bank accounts.

Currency (whichever is applicable)	Bank Name	Bank Account Number (SA/CA)
66. Philippine Peso (PHP) Settlement Bank Account		
67. US Dollar (USD) Settlement Bank Account		

Requirement for Proof(s) of Bank Account Ownership:

- As an extra validation measure, please provide **any one (1)** of the documents below as proof that you are the authorized owner(s) of the settlement bank account(s) nominated above:
  - a. Bank Statement of Account
  - b. Certificate of Bank Deposits
  - c. First Page of the Account Passbook
  - d. Check
  - e. ATM Card showing the bank account number
  - f. Machine-validated Withdrawal Slip
  - g. Machine-validated Deposit Slip
- The bank account number(s) and the account name(s) must appear on **one (1) page** and should be readable and clear. **SLAMCI may require presentation of additional documents to validate your submission(s).**

**G Reduced Sales Load Option**

68. **Lower Front-End Sales Load** (If you wish to reduce your sales load to 1.5% or lower, VAT exclusive)  
You may apply for this privilege if you have an aggregate investment of at least PHP 100,000 in your own and qualified related\* mutual fund accounts, subject to SLAMCI's approval.

\*Refers to parents, spouse, children, siblings, grandparents, and grandchildren.

Account Number	Full Account Name (Last Name, First Name, M.I.)	Relationship to Investor

**H Compliance with the Anti-Money Laundering Act (AMLA)**

**Politically Exposed Person Determination**

The Anti-Money Laundering Act requires us to establish and record the identity of politically exposed persons and their immediate relatives.

69. Have you, any of your co-investor(s), or any immediate relatives\* (living or deceased) ever held or are currently holding an elected or appointed government position of this country or another?      Yes      No

If Yes, specify Name and Position

\*Refers to parents, spouse or common law partner, children, siblings, and in-laws.

**Third Party/Beneficial Owner Determination**

A third party/beneficial owner is a person or institution who funds, owns, or controls the account on behalf of the investor(s). The third party/beneficial owner has full control of all activities or transactions connected with the account.

70. Is there any Third Party/Beneficial Owner, other than the owner, who:

a) funds any of the investments?	Yes	No
b) has access, use, or any kind of financial interest in the account?	Yes	No
c) on whose behalf the transaction or activity is being conducted?	Yes	No

If there is a Third Party/Beneficial Owner, provide details below:

71. Name (Last, First, M.I.) / Business Name		72. Relationship to the Investor	73. Occupation
74. Permanent Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]			75. Zip Code
76. Birthdate (e.g. 08-AUG-1990) Day      Month      Year —      —      —	77. Birthplace (City/Province/State and Country)	78. Philippine Tax Identification No. (TIN) —      —	
79. Type of Entity (e.g. corporation/partnership, etc.)	80. Nature of Business	81. Date of Incorporation (e.g. 08-AUG-1990) Day      Month      Year —      —      —	82. Country of Incorporation

**I Electronic Transactions**

By opening an account, your e-mail will be automatically registered to our "My Sun Life Client Portal" at [www.sunlife.com.ph](http://www.sunlife.com.ph) where you can view your account, Electronic Statement(s) of Account (e-SOA), and make subsequent transactions.

You may also e-mail SLAMCI at [RequestSLAMCI@sunlife.com](mailto:RequestSLAMCI@sunlife.com) so we can process the applicable documents for your subsequent transactions. Subsequent transactions include: additional investments, redemptions, and/or fund switches. All signed documents sent by email shall be treated as original copies. Transactions received after the cut-off time will be processed on the next business day.

You are responsible for the security of your account and data. SLAMCI is not liable for losses resulting from data transfer delays, unauthorized access, or misuse of your online account.

**J Terms and Conditions**

**Eligible Investor**

Any person of legal age, regardless of citizenship or nationality, may hold shares/units of the Fund(s).

**Purchase Price**

The principal amount of investment shall purchase the corresponding number of Fund shares/units at the applicable Net Asset Value Per Share (NAVPS)/Net Asset Value Per Unit (NAVPU), less any sales load and taxes. The applicable NAVPS/NAVPU will be used for purchases made within the daily cut-off time.

**Redemption and Fund Switch**

SLAMCI shall honor valid redemption and fund switch requests any day it is open for business. A duly-endorsed Stock Certificate/Certificate of Participation, if issued, shall serve as proof of redemption. Shares/Units of the Fund will be redeemed using the applicable NAVPS/NAVPU at the close of business on the same day, less any applicable charges and taxes, if SLAMCI receives the redemption and fund switch request by the cut-off time. If the request is received after the cut-off time, the price will be the applicable NAVPS/NAVPU of the next business day. Applicable NAVPS/NAVPU to be used for switch-in will be based on the applicable settlement date of each Fund.

Proceeds from the request, less fees and taxes (if any), shall be available within seven (7) banking days from the receipt of the request. SLAMCI reserves the right to change the daily cut-off time as may be allowed by law.

**Limited Liability**

You agree to hold SLAMCI, its affiliates, employees and agents free and harmless from and against any and all claims, losses, including opportunity loss, damages, or expenses due to failure or delay to process your transaction(s), or inability to accept your transaction(s), except those losses, damages, or expenses directly arising from SLAMCI's willful misfeasance, bad faith, gross negligence, or reckless disregard of the duties involved in the conduct of its office.

**Right to Accept or Reject Subscriptions; Adjustment of Account**

SLAMCI reserves the right to accept or reject any application at its sole discretion, as determined by the law or its policies. If this application is not accepted in whole or in part, SLAMCI will refund the corresponding investment to the investor without interest, within ten (10) business days from the date of submission of this application. SLAMCI is authorized to close your account(s) or effect any adjustments on any of your account(s),

to correct any error or mistake committed, without need for any further instrument or consent.

**Delivery of Stock Certificate/Certificate of Participation**

A Stock Certificate/Certificate of Participation shall be issued upon a written request from the investor. Shareholders/Unitholders who do not elect to receive Stock Certificates/Certificates of Participation have the same rights of ownership as if certificates had been issued to them.

**Applicable Laws**

This application and related documents shall be governed by and interpreted in accordance with local or foreign laws that apply to SLAMCI. Any legal action arising thereupon shall be filed exclusively before the courts of Makati City, Philippines.

This application is governed by the terms and conditions of the Prospectuses of the Sun Life Prosperity Funds.

**Compliance with the FATCA**

The Company has a statutory liability to provide your information to the appropriate authority. In case of any change in your circumstances, including but not limited to citizenship, you shall inform the Company within 30 days of such change, and accordingly submit the applicable documents.

**Compliance with the Data Privacy Act of 2012 (Republic Act No. 10173)**

You agree that the Company shall process your personal data, whenever applicable to: a) evaluate your application and administer your account; b) process transactions and enforce/fulfill contractual rights/obligations; c) improve the provision of products and services (including improvement in systems and business processes, data analytics, automated processing, etc.); d) comply with legal obligations, as well as laws and regulations (domestic or foreign); and e) manage risks and pursue its legitimate interests, including verification and obtaining additional personal data from third party sources. The Company may disclose your personal data to its affiliates, service providers, and other third parties for processing consistent with the foregoing purposes, who shall be bound by contractual or other reasonable means to protect your personal data. Your personal data shall be retained for the duration or existence of your account(s) and/or upon the later of the expiration of the retention limit set by Company standards, and by laws and regulations, counted from account closure. You certify that you understand and agree with the declarations and authorizations above and the Company's privacy policy at <https://online.sunlife.com.ph/privacy>.

**K Investor's Acknowledgment and Agreement**

You confirm that:

- a. You are performing this transaction while in the Philippines.
- b. All information provided in this form are true, correct, and complete. All agreements made with SLAMCI are set out in this form.
- c. If applicable, you declare under pain of criminal and/or civil liability that you are the owner of the stated settlement bank account(s). We will not be liable if the proceeds are credited to an erroneous bank account due to your fault or negligence. Bank charges, if any, will be taken from your account.
- d. If applicable, crediting of redemption and other proceeds to your designated settlement bank account number or account name fully releases and discharges SLAMCI from any claims or liabilities related thereto.
- e. The funds where the investments are sourced from were not generated from, or in any way related to, any of the unlawful activities listed in the Anti-Money Laundering Act (AMLA) and the Terrorism Financing Prevention and Suppression Act (TFPSA).
- f. You consent to be bound by the obligations set out in the AMLA, TFPSA, and relevant United Nations Security Council Resolutions (UNSCR) relating to the prevention and suppression of terrorism, terrorist financing, and financing of proliferation of weapons of mass destruction, including the freezing and unfreezing actions as well as prohibitions from conducting transactions with designated persons and entities. In this regard, you authorize the Company to freeze and unfreeze your account pursuant to UNSCR and issuances of the Anti-Money Laundering Commission (AMLC), regardless of the filing of civil forfeiture proceedings.
- g. You agree to immediately send the required/updated information to SLAMCI if any of the information has changed, every three (3) years after account opening or anytime upon SLAMCI's request. Otherwise, we may refuse to accept additional subscriptions and fund switches, or terminate your account, in which case you shall receive the redemption value of your shares/units based on the NAVPS/NAVPU as of termination date.
- h. You have received, read, and understood the Funds' prospectuses, financial statements, policies, and these terms and conditions.
- i. Electronic or digital signatures or sign-in-wraps utilized in this form shall have the same force and effect as a manual signature. You understand the risks and assume full responsibility for all your electronic transactions, and warrant that SLAMCI can rely on your electronic signatures and/or instructions via electronic means. We do not assume any responsibility for technical errors, failure to access, delay or any similar occurrences beyond our reasonable control.
- j. We can make adjustments to your account(s) to correct any error and modify or terminate any investor privilege, and that we have the right to terminate your account for any violations of our policies and charge you a fee. Should you violate any of our terms/conditions/policies, we may terminate your account and charge a fee, in which case you shall receive the redemption value of your shares/units based on the applicable NAVPS/NAVPU as of termination date.
- k. For Joint OR and AND accounts, shares/units shall be divided proportionately among the investors, rounded down to the nearest whole number for shares or two (2) decimal places for units. Any excess shall belong to the principal investor.

83. Printed Name and Signature of Investor <div style="text-align: right; margin-right: 50px;">Please sign here</div> <div style="border: 1px solid black; width: 150px; height: 30px; margin-left: auto;"></div>	84. Date of Signing (e.g. 08-AUG-1990) <table style="float: right; margin-left: 20px;"> <tr> <td>Day</td> <td>Month</td> <td>Year</td> </tr> <tr> <td style="text-align: center;">—</td> <td style="text-align: center;">—</td> <td style="text-align: center;">r</td> </tr> </table>	Day	Month	Year	—	—	r
Day	Month	Year					
—	—	r					
85. Printed Name and Signature of Co-Investor <div style="text-align: right; margin-right: 50px;">Please sign here</div> <div style="border: 1px solid black; width: 150px; height: 30px; margin-left: auto;"></div>	86. Date of Signing (e.g. 08-AUG-1990) <table style="float: right; margin-left: 20px;"> <tr> <td>Day</td> <td>Month</td> <td>Year</td> </tr> <tr> <td style="text-align: center;">—</td> <td style="text-align: center;">—</td> <td style="text-align: center;">r</td> </tr> </table>	Day	Month	Year	—	—	r
Day	Month	Year					
—	—	r					

**87. Would you like to receive personalized communication and product offers from Sun Life Asset Management Company, Inc. (SLAMCI), Sun Life of Canada (Philippines), Inc. (SLOCPI), Sun Life Investment Management and Trust Corporation (SLIMTC), and other members of the Sun Life group that may help you with your financial needs?**      **Yes**      **No**

**L Declaration of Mutual Fund Representative/Relationship Manager/Broker**

You confirm that:

- a. You obtained satisfactory evidence to establish the accuracy of the information in this form and the investor's true identity.
- b. You met the investor personally or via video conference to perform the appropriate Know-Your-Client (KYC) process.
- c. You performed the appropriate KYC process based on the AMLA and Company policies, and you shall inform us immediately of your opinion about the investor's integrity/reputation.
- d. Any advisor who is confirmed to have violated the above requirements may be subject to appropriate action.
- e. You advised the investor(s) that transactions will only be processed upon submission of complete information, documentary requirements, and cleared funds.
- f. You performed sufficient research to ensure that the product(s) selected is consistent with the result of the investor's risk profile assessment.
- g. You explained all the risks related to the investment, in case this differs from the recommended product(s).

88. Printed Name and Signature of MF Representative/Relationship Manager/Broker <div style="border: 1px solid black; width: 100px; height: 20px; margin-left: 200px; text-align: center; font-size: 8px;">Please sign here</div>	89. A.R. No. Issued	90. Date of Signing (e.g. 08-AUG-1990) Day                      Month                      Year —                                      —
91. Representative's Code	92. Branch	93. Lead Conversion Number
94. <b>Required*</b> : Relationship with the investor(s)		

**Note:** For KYC purposes, describe how you met or knew the investor(s) in 250 words or less.

For Office Use Only		
95. Date Received	96. Time Received	97. Receiving Department/Office
98. Remarks		