

Investor Information Form



The Sun Life Prosperity Funds, referred to as "Funds," are all managed and distributed by Sun Life Asset Management Company, Inc. (SLAMCI), a member of the Sun Life group of companies.

In this form, you and your refer to the investor, while we, us, our, and the Company refer to SLAMCI.

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

Any information provided in this form and when opening a mutual fund account will be used by the Company to identify you and/or verify your information. This is to ensure that we protect you, your application, and your transaction with the Company from being used for money laundering and terrorist financing activities.

IMPORTANT NOTES:

You must accomplish and submit the form and requirements to any of our Mutual Fund (MF) Representatives, Client Service Centers, or through an e-mail to RequestSLAMCI@sunlife.com. All signed documents sent via e-mail shall be treated as original copies. For inquiries, please send an e-mail to sunlink@sunlife.com.

Please write legibly using **CAPITAL LETTERS**. Write N/A if the question is not applicable. Mark the box(es) with a “✓” to indicate your choice(s), then sign the form only when completely filled out. Fields in **BOLD LETTERS** are **ALL MANDATORY**.

A	Investor Information			
1. Name of Investor				
Last Name		First Name		
Middle Name		Suffix (e.g., SR., JR., III)		
Other Legal Name				
2. Permanent Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]				3. Zip Code
4. Present Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)] Same as Permanent Home Address				5. Zip Code
6. Mobile Phone Number (preferably postpaid) (e.g., +63-9123456789) Country Code Mobile Number (10 digits) + - - - -		7. Birthdate (e.g., 14-MAY-2000)		8. Citizenship(s)/Nationality
9. Business/Work Phone Number (e.g., +63-02-85558888) Country Code Area Code Telephone Number (8 digits) + - - - -		10. Home Phone Number (e.g., +63-2-85558888) Country Code Area Code Telephone Number (8 digits) + - - - -		11. Sex (at birth) Male Female
12. Civil Status Single Married Common Law		13. Birthplace City Province/State Country		14. E-mail Address
15. Occupation		16. Nature of Business/Work		17. Name of Business/Employer
19. Work Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]				20. Zip Code
21. Preferred Mailing Address Permanent Home Address Present Home Address		22. SSS No. or GSIS No.		23. Philippine Tax Identification No. (TIN)
24. ID(s) Presented (Pls. refer to the Checklist for Account Opening for the list of acceptable IDs)		25. ID Number(s)		26. ID Expiry Date (e.g., 14-MAY-2024)



C | Compliance with the Anti-Money Laundering Act (AMLA) (Continuation)

34. Birthdate (e.g., 14-MAY-2024)	35. Birthplace City Province/State Country			36. Sex (at birth) Male Female
37. Philippine Tax Identification No. (TIN) - - -	38. Citizenship(s)/Nationality	39. Occupation	40. Home Phone/Mobile Number	

If the Third Party is an entity, please answer this section below:

41. Entity Name	42. Relationship to the Investor	43. Type of Entity (e.g., corporation/partnership, etc.)	44. Nature of Business
45. Philippine Tax Identification No. (TIN) - - -	46. Date of Incorporation (e.g., 14-MAY-2024)	47. Country of Incorporation	

D | Investor Suitability Assessment

Note: This assessment is for the co-investor only.

This assessment aims to determine your risk profile and investment experience. To enable Sun Life to offer products and services that are in line with your needs and risk profile, it is necessary that you provide accurate and sufficient information about your knowledge, experience, financial situation, financial capability (including ability to bear losses), and investment objectives (including risk tolerance). Otherwise, we are not in a position to accurately determine whether a particular product or service is appropriate to you, given the limited information available.

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. Your financial needs may change over time depending on your objective and situation.

Select the answers that most closely define your needs or best describe your situation.

48. LIQUIDITY – What portion of your investible/ financial assets* will be allocated for this investment?

*Cash, bank deposits, mutual funds/UITFs, stocks, or any asset easily converted to cash

- [1] Less than 5% [3] 5% to 15% [5] 16% to 25% [7] 26% to 35% [9] Over 35%

Note: SLAMCI does not recommend investing more than 20% of your investible/financial assets in a single product. In order to manage risks, it is recommended that you diversify your assets.

49. INVESTMENT OBJECTIVE – How would you best describe your investment objective and the level of risk you can take?

- [1] Capital Preservation: I want to secure my capital even if the investments provide low returns.
- [3] Regular Income: I prefer investments that provide a steady stream of income, as opposed to funds that widely fluctuate.
- [5] Income and Growth: I seek a regular flow of income but will accept some volatility for capital growth. I prefer investments that provide both opportunities to earn income and to grow over time.
- [7] Capital Growth: I seek long term growth with some income. I am comfortable with volatility in order to achieve capital growth.
- [9] Capital Appreciation: I seek capital appreciation and fully accept volatility. I prefer high-risk investments with high potential returns.

50. INVESTMENT HORIZON – How long can you keep your money invested to achieve your financial goals?

- [1] Less than one (1) year [5] Three (3) years to five (5) years [9] More than ten (10) years
 [3] One (1) year to two (2) years [7] Six (6) years to ten (10) years

51. KNOWLEDGE – How would you describe your knowledge of investments?

- [1] No knowledge
- [2] Limited (I have limited knowledge of investments outside of bank deposits.)
- [3] Moderate (I have some knowledge of investments like bonds, stocks, and pooled funds, e.g., mutual funds, UITFs.)
- [4] Good (I have a general knowledge of investments like bonds, stocks, pooled funds, and derivatives.)
- [5] Extensive (I have an extensive knowledge of investments like bonds, stocks, pooled funds, derivatives, and structured products.)

52. EXPERIENCE – How many years have you been investing in stocks, bonds, and mutual funds?

- [1] No experience [3] One (1) year to five (5) years [5] More than ten (10) years
 [2] Less than one (1) year [4] Six (6) years to ten (10) years

53. RISK TOLERANCE – How much are you willing to invest in higher-risk investments?

- [1] Less than 20% [3] 21% to 40% [5] 41% to 60% [7] 61% to 80% [9] Over 80%

D Investor Suitability Assessment (Continuation)

Note: This assessment is for the co-investor only.

54. FINANCIAL SITUATION – Which statement best describes your current financial situation? Please consider your regular expenses, your ability to repay outstanding loans, and your savings for emergencies and retirement.

- [1] I need this investment to supplement my current income.
- [3] I do not need this investment to supplement my current income; however, this could change in the next months.
- [5] I do not expect to use this investment to meet current requirements, but I would need to access these funds in an emergency.
- [7] My financial situation is stable, and I have sufficient cash flow to meet most of my requirements.
- [9] My financial situation is completely secure, and can meet my emergency requirements.

Add the points (numbers in brackets []) from questions 48 to 54) to get the total score.

This will determine your risk profile and the recommended Sun Life Prosperity Funds for you.

Total Score	
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Scoring Criteria	14 points and below	15 to 22 points	23 to 30 points	31 to 38 points	39 points and above
RISK PROFILE	CONSERVATIVE	MODERATE	BALANCED	GROWTH	AGGRESSIVE
Recommended Sun Life Prosperity Funds	<ul style="list-style-type: none"> • Peso Starter Fund (formerly Money Market Fund) • Dollar Starter Fund • Other Funds: 	<ul style="list-style-type: none"> • GS Fund • Bond Fund • Dollar Abundance Fund • Other Funds: 	<ul style="list-style-type: none"> • Balanced Fund • Achiever Funds 2028, 2038, and 2048 • Dollar Wellspring Fund • Other Funds: 	<ul style="list-style-type: none"> • Dollar Advantage Fund • World Income Fund • Other Funds: 	<ul style="list-style-type: none"> • Index Fund • Equity Fund • World Equity Index Feeder Fund • World Voyager Fund • Other Funds:

The result of this Investor Suitability Assessment (ISA) is valid for three (3) years from the date signed. However, we strongly recommend you review your investment risk profile at least once a year and inform us if there are major changes in your circumstances which will impact your existing risk profile. 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.

D.1. Suitability Waiver Acknowledgment

If you are investing in at least one (1) Fund that is suited for a more aggressive risk profile, please acknowledge the following declarations by marking the check box in item 55 and answering item 56 below. Otherwise, please skip this section.

55. You confirm that:
- a. You have decided to invest in a Fund(s) suited for a more aggressive risk profile.
 - b. You signify that you do not agree with and you are waiving the result of your most recent ISA.
 - c. You acknowledge that you shall bear the consequences of investing in a Fund(s) suited for a more aggressive risk profile.
 - d. You are fully aware of your current risk profile and fully understand the risk rating of the products and services that you are investing into. You hold SLAMCI, its representatives, employees, officers, directors and successors-in-interest, free and harmless from any and all liabilities, claims, opportunity cost, and causes of action of whatever kind or nature that may affect you as a result thereof.

56. Please provide a reason for investing in a Fund(s) suited for a more aggressive risk profile:

E 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 claims, losses, damages, or expenses directly arising from SLAMCI's fraud, willful misconduct, or gross negligence.

Right to Accept, Defer, 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. It may also defer processing of your subscriptions until your submission of complete or additional requirements and/or after payments have been posted based on applicable NAVPS/NAVPU. 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.

F Terms and Conditions (Continuation)

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 Foreign Account Tax Compliance Act (FATCA)

You will inform us within thirty (30) calendar days of any change in your circumstances, including but not limited to citizenship, and submit the applicable documents accordingly. You likewise acknowledge SLAMCI's statutory responsibility to provide your information, including but not limited to local or foreign tax status, to the appropriate authority.

Compliance with the Data Privacy Act of 2012 (R.A. No. 10173)

You agree that the Company can process your personal data to: a) implement your payment instructions; b) enforce/fulfil contractual rights/obligations; c) improve how it develops and provides services (including development of and improvement in its systems and business processes, data analytics, automated processing, artificial intelligence, etc.); d) comply with applicable laws or regulations, whether domestic or foreign; and e) manage risks and pursue its legitimate interests. You also agree: a) that 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; b) that your personal data shall be retained for the duration of the account(s) listed or existence of the related account(s) and/or upon the expiration of the retention limit set by Company standards, laws and regulations, counted from account closure; and c) with the Company's privacy policy at <https://apps.sunlife.com.ph/privacy>.

Compliance with the Financial Consumer Protection Act of 2022 (R.A. No. 11765)

If applicable, you confirm that you have received, read, and understood the Funds' prospectuses, and that your MF Advisor/ RM/ Broker has explained to you the financial statements, fundamental benefits and risks, policies, terms and condition, and pricing and other costs associated to the product.

You understand that SLAMCI reserves the right to provide recommendations for products offered by its affiliated companies, which may entail limited product availability. These recommendations may also be influenced by commissions or rebates received by the Company and/or its financial advisors.

Rights of Shareholders

1. Unless otherwise modified by the Fund(s), shareholders have the following rights:
2. Voting Rights – Each holder of a share in the Fund is entitled to one vote, in person or by proxy, for each share held by such shareholder.
3. Distribution of Dividends – Each shareholder has a right to any dividends declared by the Fund.
4. Denial of Pre-emptive Rights – No stockholder shall, because of his ownership of stock, have pre-emptive or other right to purchase, subscribe for, or take any part of any other securities convertible into or carrying options or warrants to purchase stock of the Fund.
5. Right of Redemption – The holder of any share of the Fund, upon its presentation to the Fund or to any of its duly authorized representatives, is entitled to receive by way of redemption approximately his proportionate share of the Fund's current net assets or the cash equivalent thereof. Payments for the redeemed shares shall be made within seven (7) banking days from receipt of the request for redemption.

6. Modification of Rights of Shareholders – The rights of shareholders of the Fund shall not be modified except by amendment of the Fund's Articles of Incorporation and/or By-Laws.
7. Dissolution Rights – Upon dissolution of the Fund, the Fund shall payout the applicable redemption price to its shareholders under a distribution process to be determined by the Board of Directors of the Fund. The Fund shall submit a Redemption Plan to the Commission prior to its dissolution.
8. Notification Rights – Shareholders are entitled to be notified of any material change to the Registration Statement and the Subscription Agreement. Shareholders shall be notified of any material change/s to the Registration Statement and/or the Subscription Agreement at least thirty (30) days prior to its effective date.
9. Reports and Statements – Shareholders shall receive accounts, reports and statements either in hard/physical copies or by electronic means. The shareholder has the option to request for a physical copy within one month from the notification of availability, and shall receive this within ten (10) business days from the date of written request or whenever practicable in case of any fortuitous events.

Rights of Unitholders

1. Unless otherwise modified by the Fund(s), unitholders have the following rights:
2. Distribution of Dividends – Each shareholder has a right to any dividends declared by the Fund.
3. Denial of Pre-emptive Rights – No stockholder shall, because of his ownership of stock, have pre-emptive or other right to purchase, subscribe for, or take any part of any other securities convertible into or carrying options or warrants to purchase stock of the Fund.
4. Right of Redemption – The holder of any share of the Fund, upon its presentation to the Fund or to any of its duly authorized representatives, is entitled to receive by way of redemption approximately his proportionate share of the Fund's current net assets or the cash equivalent thereof. Payments for the redeemed shares shall be made within seven (7) banking days from receipt of the request for redemption.
5. Modification of Rights of Shareholders – The rights of shareholders of the Fund shall not be modified except by amendment of the Fund's Articles of Incorporation and/or By-Laws.
6. Dissolution Rights – Upon dissolution of the Fund, the Fund shall payout the applicable redemption price to its shareholders under a distribution process to be determined by the Board of Directors of the Fund. The Fund shall submit a Redemption Plan to the Commission prior to its dissolution.
7. Notification Rights – Shareholders are entitled to be notified of any material change to the Registration Statement and the Subscription Agreement. Shareholders shall be notified of any material change/s to the Registration Statement and/or the Subscription Agreement at least thirty (30) days prior to its effective date.
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G Investor's Acknowledgment and Agreement

By signing below, 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 (TFFPSA).
- f. You consent to be bound by the obligations set out in the AMLA, TFFPSA, 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. Investments under the "front-end sales load" (e.g., World Equity Index Feeder Fund and Dollar Wellspring Fund) are subject to a holding period. Redemptions made during this time shall carry a fee. Investments under the "back-end sales load" will be subject to deferred sales fees corresponding to the amount and actual holding period.
- h. The sales load you choose is of your own choice and not solely based on the advice of your Mutual Fund (MF) Representative.
- i. 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.
- j. You confirm that you have received, read, and understood the Funds' prospectuses, and that your MF Advisor/RM/ Broker has explained to you the financial statements, fundamental benefits and risks, policies, terms and condition, and pricing and other costs associated to the product.
- k. 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.
- l. 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.

G Investor's Acknowledgment and Agreement (Continuation)

- m. 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.
- n. Your financial transactions are based on your continuing declaration and representation that your co-investor(s) is/are still living and SLAMCI may, at its discretion rely on such continuing declaration and representation. SLAMCI reserves the right to seek legal action in the event of any misrepresentation or fraud with regard to this request.
- o. You understand that SLAMCI reserves the right to provide recommendations for products offered by its affiliated companies, which may entail limited product availability. These recommendations may also be influenced by commissions or rebates received by the Company and/or its financial advisors.
- p. You have been advised about your current risk profile and fully understand the risk rating of the products and services that you are investing into. You agree to hold SLAMCI free and harmless and to bear the risk of your investment or financial decision under the following circumstances: (1) your needs and risk profile were based on inaccurate or insufficient information that you have provided; and (2) you decided to invest in products that are of higher risk rating than your risk profile.
- q. The account will be closed permanently and automatically after three (3) years of inactivity and zero (0) balance.

57. Printed Name and Signature of Investor <div style="text-align: center;">Please sign here</div>	58. Date Signed (e.g., 14-MAY-2024)
59. 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 Financial Plans, Inc. (SLFPI), and other members of the Sun Life group that may help you with your financial needs? Yes No	

FOR THE MUTUAL FUND (MF) REPRESENTATIVE'S / BROKER'S USE ONLY

Note: This declaration is for account change transactions only. If the investor is opening a joint account as co-investor, disregard this section.

By signing below, 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) and Investor Suitability Assessment (ISA) processes.
- c. To the best of your knowledge, the investor is not engaged in any unlawful activity as mentioned in the Anti-Money Laundering Act (AMLA); and any amount that the investor will invest comes from legitimate sources. If at any time, in your opinion, the credibility of the investor's financial sources becomes questionable, you are required to immediately inform SLAMCI in writing to provide any other information needed to comply with local and foreign laws.
- d. You have asked the investor to confirm that he/she is in the Philippines at the time of the transaction, and you have no reason to believe otherwise.
- e. You advised the investor(s) that transactions will only be processed upon submission of complete information, documentary requirements, and cleared funds.
- f. You have accurately represented the nature and structure of the product and/or service, terms and conditions, fundamental benefits and risks, detailed breakdown of the pricing, or any cost associated with the product and service.
- g. You performed sufficient research to align product selection with the investor's risk profile and informed the investor(s) that incomplete or inaccurate information regarding their financial knowledge and experience may impede the ability to accurately assess product suitability due to the limited information provided.
- h. You explained all the risks related to the investment, in case this differs from the recommended product(s).
- i. You made full disclosure to the investor(s) that you receive compensation on a commission basis from the sale of investment products.
- j. You agree to be bound by any disciplinary body and be subject to appropriate action for any confirmed violation of the above.

60. Recommended Fund(s)	61. Investor's Selected Fund(s)	
62. Select the mode by which KYC was conducted on the investor(s): In-person (face-to-face) Remote/digitally-enabled selling (via video conferencing applications)		
63. For remote/digitally-enabled selling transactions only: For KYC purposes, describe how you met or knew the investor(s).		
64. Printed Name and Signature of MF Representative/Broker <div style="text-align: center;">Please sign here</div>		65. A.R. No. Issued
67. MF Representative's Code	68. Branch	69. Lead Conversion Number

FOR OFFICE USE ONLY

70. Date Received (e.g., 14-MAY-2024)	71. Time Received	72. Receiving Department/Office
73. Remarks		