

B Client Suitability Assessment

This assessment aims to determine your risk profile and investment experience. 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 current objectives and situation.

Choose the statement that most closely defines your needs or best describes your situation.

22. **LIQUIDITY** - What percent of your investible/financial assets* will be set aside for this investment?
 *cash, bank deposits, mutual funds/UITFs, stocks, or any asset easily converted to cash

Less than 5%	5% to 15%	16% to 25%	26% to 35%	Over 35%
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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.

23. **KNOWLEDGE** - How much is 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 mutual funds.)
- [4] Good (I have general knowledge of investments like bonds, stocks, mutual funds, and derivatives.)
- [5] Extensive (I have extensive knowledge of investments like bonds, stocks, mutual funds, derivatives, and structured products.)

24. **EXPERIENCE** - How many years have you been investing in stocks, bonds and mutual funds?

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

25. **OBJECTIVE** - How would you best describe your investment objective and the level of risk you can take?

- [1] Capital preservation: I want my capital secured even if the investments provide low returns.
- [3] Regular Income: I prefer investments that provide a predictable flow 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.

26. **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%
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27. **TIME HORIZON** - How long can you keep your money invested to achieve your financial goals?

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

28. **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 a sufficient cash flow to meet most of my requirements.
- [9] My financial situation is completely secure, and I can meet emergency requirements.

Add the points indicated in the brackets (questions 23 to 28) corresponding to your choice to get the total score. Your total score will determine your risk profile and the recommended Funds for you.

Total Score []	CONSERVATIVE - up to 14 points <i>Peso Starter Fund</i> Others:	MODERATE - up to 22 points <i>GS Fund</i> <i>Bond Fund</i> Others:	BALANCED - up to 30 points <i>Balanced Fund</i> <i>Achiever Funds</i> Others:
	GROWTH - up to 38 points <i>Dynamic Fund</i> Others:	AGGRESSIVE - up to 46 points <i>Index Fund</i> <i>Equity Fund</i> Others:	

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.

C Monthly Investment Details

Sun RISE is an investment program which allows you to invest through automatic monthly contributions from your salary. Please indicate the Fund which your contributions will be invested in.

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.

29. Fund Name	Sales Load:	
	Front-End Load*	Back-End Load**

D 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.

30. Have you or any immediate relatives* and close associates** (living or deceased) ever held or are currently holding an elected or appointed government position in the Philippines or another country? Yes No If yes, kindly provide details below:

Name(s)	Relationship(s)	Government Agency(ies) and position(s)

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

** Close associates refer to persons who are widely and publicly known to maintain a particularly close relationship with the politically exposed person (PEP), and include persons who are in a position to conduct substantial domestic and international financial transactions on behalf of the PEP.

E Electronic Transactions

You may view your transaction history and make subsequent transactions online. Contact your MF Representative or Relationship Manager to learn how to register for an online account.

You may also email SLAMCI at 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.

F 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).

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 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 (Republic Act No. 10173)

You agree that the Company shall process your personal data 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 throughout the existence of your account(s) and/or upon the later of the expiration of the retention limit set by Company standards, 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://apps.sunlife.com.ph/privacy>.

G Investor's Acknowledgment and Agreement

You confirm that:

- a. All information provided in this form are true, correct, and complete. All agreements made with SLAMCI are set out in this form.
- b. You have received, read, and understood the Funds' prospectuses, financial statements, policies, and these terms and conditions.
- c. 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.
- d. You are a Filipino citizen residing in the Philippines and you are not a US person under FATCA regulations.

G Investor's Acknowledgment and Agreement (Continuation)

- e. You are not a US citizen or a Green Card holder/US permanent resident and you have not stayed for more than thirty (30) days in the United States in the past year.
- f. You have no intentions or plans to be physically present in the United States for more than 30 days next year, and then again in the following year.
- g. You are the only beneficial owner of this account.
- h. 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).
- i. 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.
- j. 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.
- 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.

31. Selected Fund	32. If you have selected a Fund suited for a more aggressive risk profile than your own, please provide a reason:		
33. Printed Name and Signature of Investor	Please sign here	34. Date of Signing (e.g. 08-AUG-1990)	Day Month Year — — —

35. Would you like to receive personalized communication and product offers from SLAMCI, Sun Life of Canada (Philippines), Inc. (SLOCPI), Sun Life Financial Plans, Inc. (SLFPI), and other members of the Sun Life Financial group that may help with your financial needs? **Yes** **No**

H 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. Non-compliance with KYC and due diligence process shall be reported to the Compliance and Ethics Committee (CEC) for 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).

36. Printed Name and Signature of MF Representative/Relationship Manager/Broker	Please sign here	37. A.R. No. Issued	38. Date of Signing (e.g. 08-AUG-1990) Day Month Year — — —
39. Representative's Code	40. Branch		
41. Required* : Relationship with the investor			

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

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42. Date Received	43. Time Received	44. Receiving Department/Office
45. Remarks		