Account Opening

Sun Life Asset Management

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 Financial 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 in the course of opening a mutual fund account will be used to allow 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 completed form and a copy of your valid ID as well as of your co-investor's to any of our Client Service Centers. For inquiries, please send an email to sunlink@sunlife.com. Please write legibly by using **capital letters.** Write N/A if question is not applicable. Mark the box(es) with an "X" to indicate your choice(s) then sign the form only when completely filled out.

A Principal Investor Information

1. Type of Account ☐ Individual ☐ Joint
2. For joint account, please choose one: ☐ Joint AND (all signatures must be present for all transactions) ☐ Joint OR (at least one of the signatures must be present for all transactions)
3. Name of Investor
   - Last Name
   - First Name
   - Middle Name
   - Other Legal Name
4. Permanent Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O Box is not acceptable)]
5. Zip Code
6. Present Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O Box is not acceptable)] ☐ Same as Permanent Home Address
7. Zip Code
8. Mobile Phone (country code, mobile no., e.g. +639123456789) +
9. Birthdate (e.g. 08-AUG-1990) Day – Month – Year
10. Citizenship
11. Work Phone (country code, area code, & tel. no., e.g. +63285558888) +
12. Home Phone (country code, area code, & tel. no., e.g. +63285558888) +
13. Gender ☐ Male ☐ Female
14. Birthplace (City/Province/State and Country)
15. Preferred Mailing Address ☐ Permanent Home Address ☐ Work Address ☐ Present Home Address
16. E-mail Address
17. Occupation
18. Gross Annual Income
19. Name of Employer/Business
20. Nature of Work/Business
21. Work Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]
22. Zip Code
23. SSS No. or GSIS No.
24. Philippine Tax Identification No. (TIN) – –
25. ID Presented
26. ID No.
27. 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 any individual who falls under the following categories: a natural born U.S. citizen, a naturalized citizen of the United States of America, non-U.S. citizen who resides in the United States of America for income tax purposes, or a permanent resident of the United States of America with a valid Permanent Resident Card (Green Card).

**Please refer to https://www.irs.gov/individuals/international-taxpayers/substantial-presence-test for more information about "U.S. persons."*

28. 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).*

29. If you are a U.S. Person but do not have a U.S. TIN, please indicate the reason below:
    - ☐ I am waiting for the U.S. TIN that I have applied for and will submit it within 15 days upon receipt.
    - ☐ I have not yet applied or do not have a U.S. TIN. Please explain why in the box below.

B Co-Investor Information (if applicable)

30. Name of Investor

Last Name

First Name

Middle Name

Other Legal Name

31. Permanent Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]

32. Zip Code

33. Present Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]

☐ Same as Permanent Home Address

34. Zip Code

35. Mobile Phone (country code, mobile no., e.g. +639123456789)

+

36. Birthdate (e.g. 08-AUG-1990) Day – Month – Year

37. Citizenship

38. Work Phone (country code, area code, & tel no., e.g. +63285558888)

+

39. Home Phone (country code, area code, & tel no., e.g. +63285558888)

+

40. Gender

☐ Male

☐ Female

41. Birthplace (City/Province/State and Country)

42. Preferred Mailing Address

☐ Permanent Home Address ☐ Work Address

☐ Present Home Address

43. E-mail Address

44. Occupation

45. Gross Annual Income

46. Name of Employer/Business

47. Nature of Work/Business

48. Work Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]

49. Zip Code

50. SSS No. or GSIS No.

51. Philippine Tax Identification No. (TIN)

– –

52. ID Presented

53. ID No.

54. 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 any individual who falls under the following categories: a natural born U.S. citizen, a naturalized citizen of the United States of America, non-U.S. citizen who resides in the United States of America for income tax purposes, or a permanent resident of the United States of America with a valid Permanent Resident Card (Green Card).

**Please refer to https://www.irs.gov/individuals/international-taxpayers/substantial-presence-test for more information about "U.S. persons."*

55. 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).*

56. If you are a U.S. Person but do not have a U.S. TIN, please indicate the reason below:

☐ I am waiting for the U.S. TIN that I have applied for and will submit it within 15 days upon receipt.

☐ I have not yet applied or do not have a U.S. TIN. Please explain why in the box below.

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

57. Name of Minor

Last Name

First Name

Middle Name

58. Relationship to the Investor/Trustee

59. Birthplace (City/Province/State and Country)

60. 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.

61. 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

62. Most Important Investment Goal
- ☐ Prepare for retirement
- ☐ Purchase a property
- ☐ Open a business
- ☐ Provide for education
- ☐ Grow your money
- ☐ Others, please specify

63. How familiar are you with investing?
- ☐ No experience at all
- ☐ Some experience (you have mutual funds, UITFs or VUL)
- ☐ A little experience (you have bank deposits)
- ☐ Advanced experience (you have direct investment in stocks/bonds)

64. You currently or used to have (please check all that apply):
- ☐ Life Insurance
- ☐ Pre-need Plan
- ☐ Mutual Funds
- ☐ Bank Deposits
- ☐ Bonds
- ☐ Stocks
- ☐ Own Business
- ☐ Real Estate Property
- ☐ Pooled Funds
- ☐ 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.

A - TIME HORIZON:

How long can you keep your money invested?

[1] ☐ 1 - 5 years
[2] ☐ 6 - 10 years
[3] ☐ 11 - 15 years
[4] ☐ More than 15 years

B - RISK AND RETURN:

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.

C - FINANCIAL SITUATION:

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.

Total Score	Score	Investment Profile
[ ]	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 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.**

65. Fund Name (1)

Sales Load: ☐ Front-End Load* ☐ Back-End Load** ☐ Others

Amount Paid: ☐ PHP ☐ USD , , , .

Amount in Words:

Payment Details
- ☐ Cash
- ☐ Check (To be processed only upon receipt of cleared funds. To apply for the waived clearing privilege, fill out the Request for Waived Clearing by MF Representative form.)

Check No.:

Drawee Bank:

- ☐ Direct Deposit to SLAMCI Bank Account

Name of the Bank:

- ☐ Transfer from Sun Life Insurance Policy / Plan Agreement
- ☐ Telegraphic Transfer
- ☐ Others

66. Fund Name (2)

Sales Load: ☐ Front-End Load* ☐ Back-End Load** ☐ Others

Amount Paid: ☐ PHP ☐ USD , , , .

Amount in Words:

Payment Details
- ☐ Cash
- ☐ Check (To be processed only upon receipt of cleared funds. To apply for the waived clearing privilege, fill out the Request for Waived Clearing by MF Representative form.)

Check No.:

Drawee Bank:

- ☐ Direct Deposit to SLAMCI Bank Account

Name of the Bank:

- ☐ Transfer from Sun Life Insurance Policy / Plan Agreement
- ☐ Telegraphic Transfer
- ☐ Others

67. 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 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

G 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
		— —	

H 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 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 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.

I 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.

I Terms and Conditions (Continuation)

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
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, 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.

J 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. 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).
c. 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.
d. 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.
e. You have received, read, and understood the Funds' prospectuses, financial statements, policies, and these terms and conditions.
f. 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.
g. 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.
h. 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 — Please sign here	84. Date of Signing (e.g. 08-AUG-1990) Day – Month – Year
85. Printed Name and Signature of Co-Investor — Please sign here	86. Date of Signing (e.g. 08-AUG-1990) Day – Month – Year

87. Would you like to receive personalized communications and product offers from SLAMCI, Sun Life of Canada (Philippines), Inc. (SLOCPI)?
☐ **Yes** ☐ **No**

K 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).

88. Printed Name and Signature of MF Representative/Relationship Manager/Broker — Please sign here	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. **Required***: 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		