

# Auto-Invest Enrollment 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.

This form is used to enroll in the Auto-Invest Program. Upon enrollment, you may regularly invest in peso-denominated Funds through automatic deductions from your account in participating banks.

**IMPORTANT NOTES:**

You must accomplish and submit the completed Auto-Invest Enrollment Form and Bank Enrollment Form, if applicable, through any of our Mutual Fund (MF) Representatives, Client Service Centers, or at [slamc@sunlife.com](mailto:slamc@sunlife.com). If you applied via a bank's online enrollment platform, this Auto-Invest Enrollment Form may be submitted via email ([slamc@sunlife.com](mailto:slamc@sunlife.com)). Otherwise, please send to our Client Service Centers the hard copies of the Auto-Invest Enrollment Form and Bank Enrollment Form. Bank enrollment forms are available in our website ([sunlife.co/slamcifforms](http://sunlife.co/slamcifforms)). For inquiries, please send an e-mail to [sunlink@sunlife.com](mailto:sunlink@sunlife.com).

Please write legibly by using CAPITAL LETTERS. Write N/A if 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 Account Information**

<b>1. MF Account Number</b> (e.g. 01234567CF01)			
<b>2. MF Account Type</b>	Individual/Individual ITF	Joint AND/Joint AND ITF	Joint OR/Joint OR ITF
<b>3. MF Account Name</b>			

**B Auto-Invest Enrollment Information**

<p><b>IMPORTANT NOTES:</b></p> <p>A. You must have an existing bank account with any of SLAMCI's participating banks to enroll in the facility.</p> <p>B. If you are investing to a Fund(s) suited for a more aggressive risk profile, you may:</p> <ul style="list-style-type: none"> <li>Choose to update your risk profile by submitting the Investor Suitability Assessment Form (for individual/joint accounts) and then, signing the waiver as applicable, OR;</li> <li>Fill out the Suitability Waiver Acknowledgment ("waiver") below</li> </ul> <p><b>BANK SETTLEMENTS</b></p> <ul style="list-style-type: none"> <li>The chosen bank account will be debited a day prior to the scheduled investment date.</li> <li>The Auto-Invest enrollment will be deactivated after three (3) consecutive failed attempts to debit the chosen bank account.</li> <li>Should the debit date or investment date fall on a non-banking day, the actual debit or investment will occur on the next banking day.</li> </ul>	<p><b>4a. Bank Details</b></p> <p><i>Bank Name</i> <span style="float:right"><i>Bank Branch</i></span></p> <p><i>Bank Account Number</i> <span style="float:right"><i>Account Type</i></span></p> <p style="text-align:right">Savings <span style="margin-left: 100px;">Current</span></p>								
	<p><b>4b. Schedule of Investment</b></p> <table border="1" style="width:100%"> <tr> <td colspan="2"><i>4b1. Frequency</i></td> <td colspan="2"><i>4b2. Schedule</i></td> </tr> <tr> <td style="text-align:center">Quarterly</td> <td style="text-align:center">Monthly</td> <td style="text-align:center">Every 5<sup>th</sup></td> <td style="text-align:center">Every 20<sup>th</sup></td> </tr> </table>		<i>4b1. Frequency</i>		<i>4b2. Schedule</i>		Quarterly	Monthly	Every 5 <sup>th</sup>
<i>4b1. Frequency</i>		<i>4b2. Schedule</i>							
Quarterly	Monthly	Every 5 <sup>th</sup>	Every 20 <sup>th</sup>						

<p><b>5. Select Fund/s to Enroll</b></p> <p>Sun Life Prosperity World Equity Index Feeder Fund, Inc.</p> <p>Sun Life Prosperity World Income Fund, Inc.</p> <p>Sun Life of Canada Prosperity Philippine Equity Fund, Inc.</p> <p>Sun Life Prosperity Philippine Stock Index Fund, Inc. Sun</p> <p>Life of Canada Prosperity Balanced Fund, Inc.</p> <p>Sun Life of Canada Prosperity Bond Fund, Inc.</p> <p>Sun Life Prosperity GS Fund, Inc.</p> <p>Sun Life Prosperity Achiever Fund 2028, Inc. <span style="float:right">N/A</span></p> <p>Sun Life Prosperity Achiever Fund 2038, Inc. <span style="float:right">N/A</span></p> <p>Sun Life Prosperity Achiever Fund 2048, Inc. <span style="float:right">N/A</span></p> <p>Sun Life Prosperity Peso Starter Fund, Inc. <span style="float:right">-- No Sales Load --</span></p> <p>Other Fund:</p> <p>Other Fund:</p>	<p><b>6. Select Sales Load*</b></p> <p style="text-align:center"><i>Sun Life Employees and Advisors</i></p> <p><i>Front-End</i>    <i>Back-End</i></p>	<p><b>7. Indicate Investment Amount</b></p>
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\* **SALES LOAD DEFINITIONS.** 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.

**C Reduced Sales Load Option**

**8. 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 PHP100,000 in your own and qualified related\* mutual fund accounts, subject to SLAMCI's approval.*

Account Number(s)	Full Account Name (Last Name, First Name, Middle Name)	Relationship to Investor

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

**D Source of Funds**

**9. Please select the source(s) of funding you will use for your additional investment(s) (Select all that apply)**

Proceeds from Sale of Assets  
[Please specify asset(s) sold]

Time Deposits/Mutual Funds/Other Investments  
Allowance/Donation/Regular Remittances/Gift

[Pls. fill out section D.3. (Third Party Determination and Beneficial Owner Identification)]

Income from Business  
[Pls. specify business name and nature]

Income from Rentals  
Commissions/Professional Fees

Inheritance

[Pls. specify property(ies) inherited]

Salaries/Bonus from Employment/Retirement Fund/Pension/  
Matured Pre-need Plan/Insurance Policy Proceeds (e.g., death  
claims, endowment)

Other source(s) [Pls. specify]

Note: For further validation, SLAMCI may require additional due diligence requirements.

**E Suitability Waiver Acknowledgement**

If you are investing in to at least one (1) Fund that is suited for a more aggressive risk profile, please acknowledge the following declarations by marking the check box below and provide a reason why you opt to choose a fund suited for a more aggressive risk profile. You may also choose to update your risk profile by submitting the Investor Suitability Assessment Form (for individual/joint accounts) and then, signing the waiver as applicable.

**10. By selecting this, 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 this Investor Suitability Assessment.
- 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.

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

**F Terms and Conditions**

You may also refer to [sunlife.co/slamci-terms-and-conditions](https://sunlife.co/slamci-terms-and-conditions) for the full Terms and Conditions.

**Compliance with 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. Your rights include the right to be informed, access your data, rectify errors, object to processing, and file a complaint. For more information about your rights

and how we protect your data, you may access our privacy policy at <https://online.sunlife.com.ph/privacy>. Should you have any concerns in relation to your rights or the processing of your personal data, you may get in touch with our Data Protection Officer at [privacyconcern@sunlife.com](mailto:privacyconcern@sunlife.com). Learn more about the Company's privacy policy at <https://online.sunlife.com.ph/privacy>.

**Compliance with the Financial Consumer Protection Act of 2022 (R.A. 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.



**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 (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 on conducting transactions with designated persons and entities. In this regard, you authorize SLAMCI 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, or at least once 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 conditions, 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. 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 less any such fees.
- 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 SLAMCI and/or its financial advisors.
- p. 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. 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.

**H Investor's Acknowledgment and Agreement (Continuation)**

<b>12. Printed Name and Signature of Principal Investor / Institution's Authorized Representative (1)</b>  <div style="text-align: center;">— Please sign here —</div> <div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto;"></div>	<b>13. Date Signed*</b> (e.g., 31-Aug-2000) <div style="text-align: center;">Day      Month      Year</div>
<b>14. Printed Name and Signature of Co-Investor (1) / Institution's Authorized Representative (2)</b>  <div style="text-align: center;">— Please sign here —</div> <div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto;"></div>	<b>15. Date Signed*</b> (e.g., 31-Aug-2000) <div style="text-align: center;">Day      Month      Year</div>
<b>16. Printed Name and Signature of Co-Investor (2) / Institution's Authorized Representative (3)</b>  <div style="text-align: center;">— Please sign here —</div> <div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto;"></div>	<b>17. Date Signed*</b> (e.g., 31-Aug-2000) <div style="text-align: center;">Day      Month      Year</div>

**FOR OFFICE USE ONLY**

18. Date Received (e.g., 31-Aug-2000)	19. Time Received	20. Receiving Department/Office
21. Remarks		