



## SECURITIES AND EXCHANGE COMMISSION

Secretariat Building, PICC Complex, Roxas Boulevard, Pasay City, 1307 Metro Manila Philippines

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**The following document has been received:**

**Receiving:** AARON PAGKATIPUNAN

**Receipt Date and Time:** March 15, 2022 05:07:37 PM

### Company Information

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**SEC Registration No.:** A200202061

**Company Name:** SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND INC.

**Industry Classification:** J66930

**Company Type:** Stock Corporation

### Document Information

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**Document ID:** OST1031520228255495

**Document Type:** General Information Sheet

**Document Code:** GIS

**Period Covered:** July 14, 2021

**Submission Type:** Amendment, Annual Meeting

**Remarks:** None

## STOCK CORPORATION

1. FOR USER CORPORATION: THIS GIS SHOULD BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS FROM THE DATE OF THE ANNUAL STOCKHOLDERS' MEETING. DO NOT LEAVE ANY ITEM BLANK. WRITE "N.A." IF THE INFORMATION REQUIRED IS NOT APPLICABLE TO THE CORPORATION OR "NONE" IF THE INFORMATION IS NON-EXISTENT. IF THE ANNUAL STOCKHOLDERS' MEETING IS HELD ON A DATE OTHER THAN THAT STATED IN THE BY-LAWS, THE GIS SHALL BE SUBMITTED WITHIN THIRTY (30) CALENDAR DAYS AFTER THE ELECTION OF THE DIRECTORS, TRUSTEES AND OFFICERS OF THE CORPORATION AT THE ANNUAL MEMBERS' MEETING.
2. IF NO MEETING IS HELD, THE CORPORATION SHALL SUBMIT THE GIS NOT LATER THAN JANUARY 30 OF THE FOLLOWING YEAR. HOWEVER, SHOULD AN ANNUAL STOCKHOLDERS' MEETING BE HELD THEREAFTER, A NEW GIS SHALL BE SUBMITTED/FILED.
3. THIS GIS SHALL BE ACCOMPLISHED IN ENGLISH AND CERTIFIED AND SWORN TO BY THE CORPORATE SECRETARY OF THE CORPORATION.
4. THE SEC SHOULD BE TIMELY APPRISED OF RELEVANT CHANGES IN THE SUBMITTED INFORMATION AS THEY ARISE. FOR CHANGES RESULTING FROM ACTIONS THAT AROSE BETWEEN THE ANNUAL MEETINGS, THE CORPORATION SHALL SUBMIT AMENDED GIS CONTAINING THE NEW INFORMATION TOGETHER WITH A COVER LETTER SIGNED THE CORPORATE SECRETARY OF THE CORPORATION. THE AMENDED GIS AND COVER LETTER SHALL BE SUBMITTED WITHIN SEVEN (7) DAYS AFTER SUCH CHANGE OCCURED OR BECAME EFFECTIVE.
5. SUBMIT FOUR (4) COPIES OF THE GIS TO THE RECEIVING SECTION AT THE SEC MAIN OFFICE, OR TO SEC SATELLITE OFFICES OR EXTENSION OFFICES. ALL COPIES SHALL UNIFORMLY BE ON A4 OR LETTER-SIZED PAPER. THE PAGES OF ALL COPIES SHALL USE ONLY ONE SIDE
6. ONLY THE GIS ACCOMPLISHED IN ACCORDANCE WITH THESE INSTRUCTIONS SHALL BE CONSIDERED AS HAVING BEEN FILED.
7. THIS GIS MAY BE USED AS EVIDENCE AGAINST THE CORPORATION AND ITS RESPONSIBLE DIRECTORS/OFFICERS FOR ANY VIOLATION OF EXISTING LAWS, RULES AND REGULATIONS

===== PLEASE PRINT LEGIBLY =====

<b>CORPORATE NAME:</b> SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND, INC.			<b>DATE REGISTERED:</b>  2/13/2002  <b>FISCAL YEAR END:</b>  December 31
<b>BUSINESS/TRADE NAME:</b> SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND, INC.			
<b>SEC REGISTRATION NUMBER:</b>  A200202061			
<b>DATE OF ANNUAL MEETING PER BY-LAWS:</b>  EVERY FOURTH WEDNESDAY OF MAY			<b>CORPORATE TAX IDENTIFICATION NUMBER (TIN)</b>  216-214-876-000
<b>ACTUAL DATE OF ANNUAL MEETING:</b>  14 July 2021			<b>WEBSITE/URL ADDRESS:</b>  www.sunlife.com.ph
<b>COMPLETE PRINCIPAL OFFICE ADDRESS:</b> SUN LIFE CENTRE, 5TH AVENUE CORNER RIZAL DRIVE, BONIFACIO GLOBAL CITY, 1634 TAGUIG CITY			<b>E-MAIL ADDRESS:</b> AnnaKatrina.Kabigting-lbero@sunlife.com
<b>COMPLETE BUSINESS ADDRESS:</b> SUN LIFE CENTRE, 5TH AVENUE CORNER RIZAL DRIVE, BONIFACIO GLOBAL CITY, 1634 TAGUIG CITY			<b>FAX NUMBER:</b>  (632) 8849 9727
<b>OFFICIAL E-MAIL ADDRESS</b> sunlife_sec_communications@sunlife.com	<b>ALTERNATE E-MAIL ADDRESS</b> sunlife_sec_communications2@sunlife.com	<b>OFFICIAL MOBILE NUMBER</b> 0999 - 9917178	<b>ALTERNATE MOBILE NUMBER</b> 0917-8024021
<b>NAME OF EXTERNAL AUDITOR &amp; ITS SIGNING PARTNER:</b> NAVARRO AMPER & CO. / DELOITTE TOUCHE TOHMATSU - JOEFFREY MARK FERRER		<b>SEC ACCREDITATION NUMBER (if applicable):</b> 0001-FR-5	<b>TELEPHONE NUMBER(S):</b> (632) 8555 8888
<b>PRIMARY PURPOSE/ACTIVITY/INDUSTRY PRESENTLY ENGAGED IN:</b> INVESTMENT COMPANY		<b>INDUSTRY CLASSIFICATION:</b> N.A.	<b>GEOGRAPHICAL CODE:</b> N.A.

## ===== INTERCOMPANY AFFILIATIONS =====

PARENT COMPANY	SEC REGISTRATION NO.	ADDRESS
N.A	N.A	N.A
SUBSIDIARY/AFFILIATE	SEC REGISTRATION NO.	ADDRESS
N.A	N.A	N.A

NOTE: USE ADDITIONAL SHEET IF NECESSARY

**AMENDED GENERAL INFORMATION SHEET**

**STOCK CORPORATION**

===== PLEASE PRINT LEGIBLY =====

**Corporate Name:** **SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND, INC.**

**A. Is the Corporation a covered person under the Anti Money Laundering Act (AMLA), as amended? (Rep. Acts. 9160/9164/10167/10365)** ☒ **Yes** ☐ **No**

**Please check the appropriate box:**

**1.**

- ☐ a. Banks
- ☐ b. Offshore Banking Units
- ☐ c. Quasi-Banks
- ☐ d. Trust Entities
- ☐ e. Non-Stock Savings and Loan Associations
- ☐ f. Pawnshops
- ☐ g. Foreign Exchange Dealers
- ☐ h. Money Changers
- ☐ i. Remittance Agents
- ☐ j. Electronic Money Issuers
- ☐ k. Financial Institutions which Under Special Laws are subject to Bangko Sentral ng Pilipinas' (BSP) supervision and/or regulation, including their subsidiaries and affiliates.

**2.**

- ☐ a. Insurance Companies
- ☐ b. Insurance Agents
- ☐ c. Insurance Brokers
- ☐ d. Professional Reinsurers
- ☐ e. Reinsurance Brokers
- ☐ f. Holding Companies
- ☐ g. Holding Company Systems
- ☐ h. Pre-need Companies
- ☐ i. Mutual Benefit Association
- ☐ j. All Other Persons and entities supervised and/or regulated by the Insurance Commission (IC)

**3.**

- ☐ a. Securities Dealers
- ☐ b. Securities Brokers
- ☐ c. Securities Salesman
- ☐ d. Investment Houses
- ☐ e. Investment Agents and Consultants
- ☐ f. Trading Advisors
- ☐ g. Other entities managing Securities or rendering similar services
- ☒ h. Mutual Funds or Open-end Investment Companies
- ☐ i. Close-end Investment Companies
- ☐ j. Common Trust Funds or Issuers and other similar entities
- ☐ k. Transfer Companies and other similar entities
- ☐ l. Other entities administering or otherwise dealing in currency, commodities or financial derivatives based there on
- ☐ m. Entities administering of otherwise dealing in valuable objects
- ☐ n. Entities administering or otherwise dealing in cash Substitutes and other similar monetary instruments or property supervised and/or regulated by the Securities and Exchange Commission (SEC)

**4.** ☐ Jewelry dealers in precious metals, who, as a business, trade in precious metals

**5.** ☐ Jewelry dealers in precious stones, who, as a business, trade in precious stone

**6.** Company service providers which, as a business, provide any of the following services to third parties:

- ☐ a. acting as a formation agent of juridical persons
- ☐ b. acting as (or arranging for another person to act as) a director or corporate secretary of a company, a partner of a partnership, or a similar position in relation to other juridical persons
- ☐ c. providing a registered office, business address or accommodation, correspondence or administrative address for a company, a partnership or any other legal person or arrangement
- ☐ d. acting as (or arranging for another person to act as) a nominee shareholder for another person

**7.** Persons who provide any of the following services:

- ☐ a. managing of client money, securities or other assets
- ☐ b. management of bank, savings or securities accounts
- ☐ c. organization of contributions for the creation, operation or management of companies
- ☐ d. creation, operation or management of juridical persons or arrangements, and buying and selling business entities

**8.** ☐ None of the above

Describe nature of business:

Investment Company

**B. Has the Corporation complied with the requirements on Customer Due Diligence (CDD) or Know Your Customer (KYC), record-keeping, and submission of reports under the AMLA, as amended, since the last filing of its GIS?**

☒ **Yes** ☐ **No**



**AMENDED GENERAL INFORMATION SHEET**  
STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====

<b>CORPORATE NAME:</b>		<b>SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND, INC.</b>					
<b>CAPITAL STRUCTURE</b>							
<b>AUTHORIZED CAPITAL STOCK</b>							
		<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (USD)</b> (No. of shares X Par/Stated Value)		
		Common	33,200,000	1.00	33,200,000.00		
<b>TOTAL</b>			<b>33,200,000</b>	<b>TOTAL P</b>	<b>33,200,000.00</b>		
<b>SUBSCRIBED CAPITAL</b>							
<b>FILIPINO</b>	<b>NO. OF STOCK-HOLDERS</b>	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (USD)</b>	<b>% OF OWNERSHIP</b>
	1,882	Common	8,007,087	8,007,087	1.00	8,007,087.00	99.00%
<b>TOTAL</b>			<b>8,007,087</b>	<b>TOTAL</b>	<b>TOTAL P</b>	<b>8,007,087.00</b>	
<b>FOREIGN (INDICATE BY NATIONALITY)</b>	<b>NO. OF STOCK-HOLDERS</b>	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>NUMBER OF SHARES IN THE HANDS OF THE PUBLIC **</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (USD)</b>	<b>% OF OWNERSHIP</b>
American	9	Common	4,474	4,474	1.00	4,474.00	0.06%
Australian	1	Common	20,656	20,656	1.00	20,656	0.26%
British	5	Common	15,736	15,736	1.00	15,736	0.19%
Canadian	1	Common	1,955	1,955	1.00	1,955	0.02%
Chinese	18	Common	28,823	28,823	1.00	28,823	0.36%
Dutch	1	Common	104	104	1.00	104	0.00%
Indian	1	Common	1,424	1,424	1.00	1,424	0.02%
Japanese	1	Common	950	950	1.00	950	0.01%
Singaporean	1	Common	3,743	3,743	1.00	3,743	0.05%
Swedish	1	Common	3,086	3,086	1.00	3,086	0.04%
US Citizen	1	Common	266	266	1.00	266	0.00%
<b>Percentage of Foreign Equity :</b>			<b>TOTAL</b>	<b>81,217</b>	<b>TOTAL</b>	<b>TOTAL P</b>	<b>81,217.00</b>
					<b>TOTAL SUBSCRIBED</b>	<b>P</b>	<b>8,088,304.00</b>
<b>PAID-UP CAPITAL</b>							
<b>FILIPINO</b>	<b>NO. OF STOCK-HOLDERS</b>	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (USD)</b>		
	1,882	Common	8,007,087	1.00	8,007,087.00		
<b>TOTAL</b>			<b>8,007,087</b>	<b>TOTAL</b>	<b>P</b>	<b>8,007,087.00</b>	
<b>FOREIGN (INDICATE BY NATIONALITY)</b>	<b>NO. OF STOCK-HOLDERS</b>	<b>TYPE OF SHARES *</b>	<b>NUMBER OF SHARES</b>	<b>PAR/STATED VALUE</b>	<b>AMOUNT (USD)</b>		
American	9	Common	4,474	1.00	4,474.00		
Australian	1	Common	20,656	1.00	20,656.00		
British	5	Common	15,736	1.00	15,736.00		
Canadian	1	Common	1,955	1.00	1,955.00		
Chinese	18	Common	28,823	1.00	28,823.00		
Dutch	1	Common	104	1.00	104.00		
Indian	1	Common	1,424	1.00	1,424.00		
Japanese	1	Common	950	1.00	950.00		
Singaporean	1	Common	3,743	1.00	3,743.00		
Swedish	1	Common	3,086	1.00	3,086.00		
US Citizen	1	Common	266	1.00	266.00		
<b>1.00 %</b>			<b>TOTAL</b>	<b>81,217</b>	<b>TOTAL</b>	<b>P</b>	<b>81,217.00</b>
					<b>TOTAL PAID-UP</b>	<b>P</b>	<b>8,088,304.00</b>

NOTE: USE ADDITIONAL SHEET IF NECESSARY

\* Common, Preferred or other classification

\*\* Other than Directors, Officers, Shareholders owning 10% of outstanding shares.

**AMENDED GENERAL INFORMATION SHEET**

STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====

<b>CORPORATE NAME:</b> SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND, INC.								
<b>DIRECTORS / OFFICERS</b>								
NAME/CURRENT RESIDENTIAL ADDRESS	NATIONALITY	INC'R	BOARD	GENDER	STOCK HOLDER	OFFICER	EXEC. COMM.	TAX IDENTIFICATION NUMBER
1. <b>BENEDICTO C. SISON</b> [REDACTED]	Filipino and American	N	C	M	Y	Chairman	CG/M	[REDACTED]
2. <b>VALERIE N. PAMA</b> [REDACTED]	Filipino	N	M	F	Y	President	N.A.	[REDACTED]
3. <b>CESAR LUIS F. BATE</b> [REDACTED]	Filipino	N	I	M	Y	N	A&C/ M and CG/C	[REDACTED]
4. <b>OSCAR S. REYES</b> [REDACTED]	Filipino	N	I	M	Y	N	A&C/C and CG/M	[REDACTED]
5. <b>CIELITO F. HABITO</b> [REDACTED]	Filipino	N	I	M	Y	N	A&C/M	[REDACTED]
6. <b>MA. JEMILYN S. CAMANIA</b> [REDACTED]	Filipino	N	N	F	N	Compliance Officer, Data Protection Officer & Money Laundering Reporting Officer	N.A.	[REDACTED]
7. <b>SHERWIN S. SAMPANG</b> [REDACTED]	Filipino	N	N	M	N	Treasurer	N.A.	[REDACTED]
8. <b>ANNA KATRINA C. KABIGTING-IBERO</b> [REDACTED]	Filipino	N	N	F	N	Corporate Secretary	N.A.	[REDACTED]
9. <b>FRANCES IANNA S. CANTO</b> [REDACTED]	Filipino	N	N	F	N	Asst. Corporate Secretary	N.A.	[REDACTED]
10. nothing follows								
11.								
12.								
13.								
14.								
15.								
<b>INSTRUCTION:</b> FOR SEX COLUMN, PUT "F" FOR FEMALE, "M" FOR MALE. FOR BOARD COLUMN, PUT "C" FOR CHAIRMAN, "M" FOR MEMBER, "I" FOR INDEPENDENT DIRECTOR. FOR INC'R COLUMN, PUT "Y" IF AN INCORPORATOR, "N" IF NOT. FOR STOCKHOLDER COLUMN, PUT "Y" IF A STOCKHOLDER, "N" IF NOT. FOR OFFICER COLUMN, INDICATE PARTICULAR POSITION IF AN OFFICER, FROM VP UP INCLUDING THE POSITION OF THE TREASURER, SECRETARY, COMPLIANCE OFFICER AND/OR ASSOCIATED PERSON. FOR EXECUTIVE COMMITTEE, INDICATE "C" IF MEMBER OF THE COMPENSATION COMMITTEE; "A" FOR AUDIT COMMITTEE; "N" FOR NOMINATION AND DISCIPLINE COMMITTEE. ADDITIONALLY WRITE "C" AFTER SLASH IF CHAIRMAN AND "M" IF MEMBER.								



**AMENDED GENERAL INFORMATION SHEET**  
STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====						
<b>CORPORATE NAME:</b>		<b>SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND, INC.</b>				
<b>TOTAL NUMBER OF STOCKHOLDERS:</b>		1,922		<b>NO. OF STOCKHOLDERS WITH 100 OR MORE SHARES EACH:</b>		1,910
<b>TOTAL ASSETS BASED ON LATEST AUDITED FINANCIAL STATEMENTS:</b>				USD 34,721,390		
STOCKHOLDER'S INFORMATION						
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	SHARES SUBSCRIBED				AMOUNT PAID (USD)	TAX IDENTIFICATION NUMBER
	TYPE	NUMBER	AMOUNT (USD)	% OF OWNERSHIP		
1. <b>BENEDICTO C. SISON</b> Filipino and American [REDACTED] [REDACTED]	common	1	1.00	0.00%	1.00	[REDACTED]
<b>TOTAL</b>		<b>1</b>	<b>1.00</b>			
2. <b>CESAR LUIS F. BATE</b> Filipino [REDACTED]	common	1	1.00	0.00%	1.00	[REDACTED]
<b>TOTAL</b>		<b>1</b>	<b>1.00</b>			
3. <b>OSCAR S. REYES</b> Filipino [REDACTED] [REDACTED]	common	1	1.00	0.00%	1.00	[REDACTED]
<b>TOTAL</b>		<b>1</b>	<b>1.00</b>			
4. <b>CIELITO F. HABITO</b> Filipino [REDACTED] [REDACTED]	common	1	1.00	0.00%	1.00	[REDACTED]
<b>TOTAL</b>		<b>1</b>	<b>1.00</b>			
5. <b>VALERIE N. PAMA</b> Filipino [REDACTED] [REDACTED]	common	1	1.00	0.00%	1.00	[REDACTED]
<b>TOTAL</b>		<b>1</b>	<b>1.00</b>			
6. <b>OTHERS</b>  *List of Top 20 shareholders submitted separately (confidential) to the SEC-CGFD on 11 August 2021.		8,088,299.00	8,088,299.00	100.00%	8,088,299.00	
<b>TOTAL</b>		<b>8,088,299.00</b>	<b>8,088,299.00</b>			
7. noting follows						
<b>TOTAL AMOUNT OF SUBSCRIBED CAPITAL</b>			<b>8,088,304.00</b>	<b>8,088,304.00</b>		
<b>TOTAL AMOUNT OF PAID-UP CAPITAL</b>						

INSTRUCTION: SPECIFY THE TOP 20 STOCKHOLDERS AND INDICATE THE REST AS OTHERS

*Note: For PDTC Nominee included in the list, please indicate further the beneficial owners owning more than 5% of any class of the company's voting securities. Attach separate sheet, if necessary.*

**AMENDED GENERAL INFORMATION SHEET**  
STOCK CORPORATION

===== PLEASE PRINT LEGIBLY =====			
<b>CORPORATE NAME:</b> SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND, INC.			
<b>1. INVESTMENT OF CORPORATE FUNDS IN ANOTHER CORPORATION</b>	<b>AMOUNT (USD)</b>	<b>DATE OF BOARD RESOLUTION</b>	
1.1 STOCKS	35,677,833.90	N.A.	
1.2 BONDS/COMMERCIAL PAPER (Issued by Private Corporations)	949,840.71	N.A.	
1.3 LOANS/ CREDITS/ ADVANCES	N.A.	N.A.	
1.4 GOVERNMENT TREASURY BILLS	N.A.	N.A.	
1.5 OTHERS	N.A.	N.A.	
<b>2. INVESTMENT OF CORPORATE FUNDS IN ACTIVITIES UNDER ITS SECONDARY PURPOSES (PLEASE SPECIFY:)</b>	<b>DATE OF BOARD RESOLUTION</b>	<b>DATE OF STOCKHOLDERS RATIFICATION</b>	
N.A.	N.A.	N.A.	
<b>3. TREASURY SHARES</b>	<b>NO. OF SHARES</b>	<b>% AS TO THE TOTAL NO. OF SHARES ISSUED</b>	
	10,253,143	55.90%	
<b>4. UNRESTRICTED/UNAPPROPRIATED RETAINED EARNINGS AS OF END OF LAST FISCAL YEAR</b> USD 19,938,470			
<b>5. DIVIDENDS DECLARED DURING THE IMMEDIATELY PRECEDING YEAR:</b> 0			
<b>TYPE OF DIVIDEND</b>	<b>AMOUNT (USD)</b>	<b>DATE DECLARED</b>	
5.1 CASH	N.A.	N.A.	
5.2 STOCK	N.A.	N.A.	
5.3 PROPERTY	N.A.	N.A.	
<b>TOTAL</b>	<b>P</b>		
<b>6. ADDITIONAL SHARES ISSUED DURING THE PERIOD:</b> N.A.			
<b>DATE</b>	<b>NO. OF SHARES</b>	<b>AMOUNT</b>	
<b>SECONDARY LICENSE/REGISTRATION WITH SEC AND OTHER GOV'T AGENCY:</b>			
<b>NAME OF AGENCY:</b>	<b>SEC</b>	<b>B S P</b>	<b>I C</b>
<b>TYPE OF LICENSE/REGN.</b>	Open End Investment Company	N.A.	N.A.
<b>DATE ISSUED:</b>	13-Feb-02	N.A.	N.A.
<b>DATE STARTED OPERATIONS:</b>	1-Jul-02	N.A.	N.A.
<b>TOTAL ANNUAL COMPENSATION OF DIRECTORS DURING THE PRECEDING FISCAL YEAR (in USD)</b>	<b>TOTAL NO. OF OFFICERS</b>	<b>TOTAL NO. OF RANK &amp; FILE EMPLOYEES</b>	<b>TOTAL MANPOWER COMPLEMENT</b>
6,370	6	0	0

NOTE: USE ADDITIONAL SHEET IF NECESSARY


I, **ANNA KATRINA C. KABIGTING-IBERO**, Corporate Secretary of **Sun Life Prosperity Dollar Advantage Fund, Inc.**, declare under penalty of perjury that all matters set forth in this GIS have been made in good faith, duly verified by me and to the best of my knowledge and belief are true and correct.

I hereby attest that all the information in this GIS are being submitted in compliance with the rules and regulations of the Securities and Exchange Commission (SEC) the collection, processing, storage and sharing of said information being necessary to carry out the functions of public authority for the performance of the constitutionally and statutorily mandated functions of the SEC as a regulatory agency.

I further attest that I have been authorized by the Board of Directors/Trustees to file this GIS with the SEC.

I understand that the Commission may place the corporation under delinquent status for failure to submit the reportorial requirements three (3) times, consecutively or intermittently, within a period of five (5) years (*Section 177, RA No. 11232*).

Done this date and place indicated below.

  
**ANNA KATRINA C. KABIGTING-IBERO**  
(Signature over printed name)

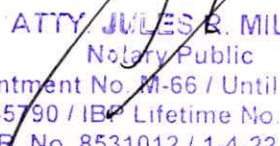
**PASAY CITY**

**15 MAR 2022**

**SUBSCRIBED AND SWORN TO** before me in \_\_\_\_\_ on \_\_\_\_\_ by affiant who personally appeared before me and exhibited to me her Driver's License No. \_\_\_\_\_ valid until September 1, 2022.

**NOTARY PUBLIC**

Doc. No. 29  
Page No. 3  
Book No. N  
Series of 2022

  
**ATTY. JULES R. MILAN**  
Notary Public  
Appointment No. M-66 / Until 12-31-2022  
Roll No. 45790 / IBP Lifetime No. 04397 / 7-2-03  
PTR O.R. No. 8531012 / 1-4-22 / Pasay City  
MCLE No. VI-0016565 / 01-14-19



**BENEFICIAL OWNERSHIP DECLARATION  
FOR THE YEAR: 2021**

SEC REGISTRATION NUMBER: A200202061  
CORPORATE NAME: SUN LIFE PROSPERITY DOLLAR ADVANTAGE FUND, INC.

**Instructions:**

1. Identify the Beneficial Owner/s of the corporation as described in the Categories of Beneficial Ownership in items A to I below. List down as many as you can identify. You may use an additional sheet if necessary.
2. Fill in the required information on the beneficial owner in the fields provided for.
3. In the "Category of Beneficial Ownership" column, indicate the letter(s) corresponding thereto. In the event that the person identified as beneficial owner falls under several categories, indicate all the letters corresponding to such categories.
4. If the category is under letter "I", indicate the position held (i.e., Director/Trustee, President, Chief Executive Officer, Chief Operating Officer, Chief Financial Officer, etc.).
5. Do not leave any item blank. Write "N/A" if the information required is not applicable or "NONE" if non-existent.

"Beneficial Owner" refers to any natural person(s) who ultimately own(s) or control(s) or exercise(s) ultimate effective control over the corporation. This definition covers the natural person(s) who actually own or control the corporation as distinguished from the legal owners. Such beneficial ownership may be determined on the basis of the following:

Category	Description
A	Natural person(s) owning, directly or indirectly or through a chain of ownership, at least twenty-five percent (25%) of the voting rights, voting shares or capital of the reporting corporation.
B	Natural person(s) who exercise control over the reporting corporation, alone or together with others, through any contract, understanding, relationship, intermediary or tiered entity.
C	Natural person(s) having the ability to elect a majority of the board of directors/trustees, or any similar body, of the corporation.
D	Natural person(s) having the ability to exert a dominant influence over the management or policies of the corporation.
E	Natural person(s) whose directions, instructions, or wishes in conducting the affairs of the corporation are carried out by majority of the members of the board of directors of such corporation who are accustomed or under an obligation to act in accordance with such person's directions, instructions or wishes.
F	Natural person(s) acting as stewards of the properties of corporations, where such properties are under the care or administration of said natural person(s).
G	Natural person(s) who actually own or control the reporting corporation through nominee shareholders or nominee directors acting for or on behalf of such natural persons.
H	Natural person(s) ultimately owning or controlling or exercising ultimate effective control over the corporation through other means not falling under any of the foregoing categories.
I	Natural person(s) exercising control through positions held within a corporation (i.e., responsible for strategic decisions that fundamentally affect the business practices or general direction of the corporation such as the members of the board of directors or trustees or similar body within the corporation; or exercising executive control over the daily or regular affairs of the corporation through a senior management position). This category is only applicable in exceptional cases where no natural person is identifiable who ultimately owns or exerts control over the corporation, the reporting corporation having exhausted all reasonable means of identification and provided there are no grounds for suspicion.

COMPLETE NAME (Surname, Given Name, Middle Name, Name Extension (i.e., Jr., Sr., III))	SPECIFIC RESIDENTIAL ADDRESS	NATIONALITY	DATE OF BIRTH	TAX IDENTIFICATION NO.	% OF OWNERSHIP <sup>1</sup> / % OF VOTING RIGHTS <sup>2</sup>	TYPE OF BENEFICIAL OWNER <sup>3</sup> Direct (D) or Indirect (I)	CATEGORY OF BENEFICIAL OWNERSHIP
*List of Top 20 shareholders submitted separately (confidential) to the SEC-CGFD on 11 August 2021.							

*Note: This page is not for uploading on the SEC iView.*

<sup>1</sup> For Stock Corporations.

<sup>2</sup> For Non-Stock Corporations.

<sup>3</sup> For Stock Corporations.