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# **Company Information**

SEC Registration No.: CS200417430

Company Name: SUN LIFE PROSPERITY GS FUND, INC.

Industry Classification: J66960 Company Type: Stock Corporation

## **Document Information**

**Document ID:** OST1093020228790845

**Document Type:** General Information Sheet

**Document Code: GIS** 

Period Covered: July 13, 2022

Submission Type: Amendment, Annual Meeting

Remarks: None

Acceptance of this document is subject to review of forms and contents

### FOR THE YEAR 2022

### STOCK CORPORATION

#### GENERAL INSTRUCTIONS:

- 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			=	
CORPORATE NAME:	DATE REGISTERED: 11/3/2004				
BUSINESS/TRADE NAME:	FISCAL YEAR END:				
SEC REGISTRATION NUMBER:	CS200417430			December 31	
DATE OF ANNUAL MEETING PER BY-LAV	CORPORATE TAX IDENTIFICATION NUMBER (TIN)				
	EVERY FOURTH MONDAY OF JUNE			234-719-406-000	
ACTUAL DATE OF ANNUAL MEETING:				WEBSITE/URL ADDRESS:	
	13 July 2022			www.sunlife.com.ph	
COMPLETE PRINCIPAL OFFICE ADDRESS	8			E-MAIL ADDRESS:	
SUN LIFE CENTRE, 5TH AVEN	IUE CORNER RIZAL DRIVE, BONIFACIO GLOBA	L CITY, 1634 T	AGUIG CITY	AnnaKatrina.Kabigting- Ibero@sunlife.com	
COMPLETE BUSINESS ADDRESS:				FAX NUMBER:	
SUN LIFE CENTRE, 5TH AVEN	UE CORNER RIZAL DRIVE, BONIFACIO GLOBA	L CITY, 1634 T.	AGUIG CITY	(632) 8849 9727	
OFFICIAL E-MAIL ADDRESS	ALTERNATE E-MAIL ADDRESS	OFFICIAL	L MOBILE NUMBER	ALTERNATE MOBILE NUMBER	
sunlife_sec_communications@sunlife.com	sunlife_sec_communications2@sunlife.com	0999 - 9917178		0917-8024021	
NAME OF EXTERNAL AUDITOR & ITS SIG	NING PARTNER:	SEC ACCREDITAT	TION NUMBER (if applicable)	TELEPHONE NUMBER(S):	
NAVARRO AMPER & CO. / DELOITTE TOU	JCHE TOHMATSU - JOEFFREY MARK FERRER	SEC	A.N. 0004-SEC	(632) 8555 8888	
PRIMARY PURPOSE/ACTIVITY/INDUSTI	RY PRESENTLY ENGAGED IN:	INDUSTRY CI	ASSIFICATION:	GEOGRAPHICAL CODE:	
INVESTME	ENT COMPANY		N.A.	N.A.	
=======================================	======= INTERCOMPANY AFFILIATION	ONS =====			
PARENT COMPANY	SEC REGISTRATIO	N NO.	AI	DDRESS	
N.A	N.A			N.A	
SUBSIDIARY/AFFILIAT	TE SEC REGISTRATIO	N NO.	AI	ADDRESS	
N.A	N.A			N.A	
	NOTE: USE ADDITIONAL SHEET I	F NECESSARY			

AMENDED GENERAL INFORMATION SHEET								
STOCK CORPORATION								
======= PLEASE PRINT LEG								
F0971 #31 17 17 17 17 17 17 17 17 17 17 17 17 17	SPERITY GS FUND, INC.							
A. Is the Corporation a covered person under the Anti Mone (AMLA), as amended? (Rep. Acts. 9160/9164/10167/103								
Please check the appropriate box:								
1.								
a. Banks	Jewelry dealers in precious metals, who, as a							
b. Offshore Banking Units	business, trade in precious metals							
c. Quasi-Banks								
d. Trust Entities								
e. Non-Stock Savings and Loan Associations								
f. Pawnshops								
g. Foreign Exchage Dealers	5.  Jewelry dealers in precious stones, who, as a							
h. Money Changers	business, trade in precious stone							
i. Remittance Agents								
j. Electronic Money Issuers								
<ul> <li>k. Financial Institutions which Under Special Laws are subject to Bangko Sentral ng Pilipinas' (BSP) supervision and/or regulation,</li> </ul>	Company service providers which, as a business,							
including their subsidiaries and affiliates.	<ol> <li>provide any of the following services to third</li> </ol>							
2.	parties:							
a. Insurance Companies	pur des.							
b. Insurance Agents	a. acting as a formation agent of juridical persons							
c. Insurance Brokers	b. acting as (or arranging for another person to act as)							
d. Professional Reinsurers	a director or corporate secretary of a company, a							
e. Reinsurance Brokers	partner of a partnership, or a similar position in							
f. Holding Companies	relation to other juridical persons							
g. Holding Company Systems								
h. Pre-need Companies	c. providing a registered office, business address or							
i. Mutual Benefit Association	accommodation, correspondence or administrative							
j. All Other Persons and entities supervised and/or regulated by the	address for a company, a partnership or any other							
Insurance Commission (IC)	legal person or arrangement							
3.								
a. Securities Dealers	d. acting as (or arranging for another person to act as)							
b. Securities Brokers	a nominee shareholder for another person							
c. Securities Salesman	7. Persons who provide any of the following services:							
d. Investment Houses	a. managing of client money, securities or other assets							
e. Investment Agents and Consultants								
f. Trading Advisors	<ul> <li>b. management of bank, savings or securities accounts</li> </ul>							
g. Other entities managing Securities or rendering similar services								
h. Mutual Funds or Open-end Investment Companies	<ul> <li>c. organization of contributions for the creation, operation or management of companies</li> </ul>							
i. Close-end Investment Companies	operation of management of companies							
j. Common Trust Funds or Issuers and other similar entities	d. creation, operation or management of juridical							
<ul> <li>k. Transfer Companies and other similar entities</li> <li>l. Other entities administering or otherwise dealing in currency,</li> </ul>	persons or arrangements, and buying and selling							
commodities or financial derivatives based there on	business entities							
m. Entities administering of otherwise dealing in valuable objects	8. None of the above							
n. Entities administering or otherwise dealing in variable objects	Describe Investment Company							
other similar monetary instruments or property supervised and/or								
regulated by the Securities and Exchange Commission (SEC)	business:							
	The sample approximation							
B. Has the Corporation complied with the requirements on Custor	ner Due Diligence							
(CDD) or Know Your Customer (KYC), record-keeping, and sub								
under the AMLA, as amended, since the last filing of its GIS?	See Address Cont. Manager							

GIS\_STOCK(v.2020) Page 2

STOCK CORPORATION

SUN LIFE PROSPERITY GS FUND, INC. CORPORATE NAME: CAPITAL STRUCTURE AUTHORIZED CAPITAL STOCK AMOUNT (PhP) NUMBER OF TYPE OF SHARES \* PAR/STATED VALUE (No. of shares X Par/Stated Value) SHARES 1,000,000,000 0.01 10,000,000.00 Common 10,000,000.00 TOTAL P TOTAL 1,000,000,000 SUBSCRIBED CAPITAL NUMBER OF NO. OF SHARES IN THE PAR/STATED % OF NUMBER OF FILIPINO STOCK-**TYPE OF SHARES\*** AMOUNT (PhP) OWNERSHIP SHARES HANDS OF THE VALUE HOLDERS PUBLIC \*\* 0.0 814,208.45 98.47% 873 Common 81,420,845 81,420,845 TOTAL 81,420,845 TOTAL TOTAL P 814,208.45 NUMBER OF FOREIGN NO. OF % OF SHARES IN THE PAR/STATED NUMBER OF AMOUNT (PhP) STOCK-TYPE OF SHARES \* (INDICATE BY SHARES HANDS OF THE VALUE OWNERSHIP NATIONALITY) HOLDERS PUBLIC \*\* 8,704.36 1.05% 870,436 870,436 0.01 Chinese Common 297,582 297,582 0.01 2,975.82 0.36% German Common 47,157 0.06% 47,157 0.0 471.5 Indian Common 33,231 33,231 0.01 332.31 0.04% Taiwanese Common 12,406 12,406 0.01 124.06 0.02% Common Japanese 0.01 0.01% 6,345 63.45 6,345 British Common 1,267,157 TOTAL TOTAL 12,671.57 Percentage of Foreign Equity: TOTAL TOTAL SUBSCRIBED 826,880.02 PAID-UP CAPITAL NO. OF NUMBER OF % OF PAR/STATED VALUE AMOUNT (PhP) TYPE OF SHARES \* FILIPINO STOCK-OWNERSHIP SHARES HOLDERS 0.01 814,208.45 873 Common TOTAL 814,208.45 TOTAL 81,420,845 FOREIGN NO. OF % OF NUMBER OF PAR/STATED VALUE AMOUNT (PhP) TYPE OF SHARES \* (INDICATE BY STOCK-OWNERSHIP SHARES HOLDERS NATIONALITY) 8,704.36 0.01 1.05% Chinese Common 870,436 2,975.82 0.01 0.36% 297,582 Common German 0.01 471.57 0.06% 47,157 Indian Common 33,231 12,406 0.01 332.31 0.04% Taiwanese Common 0.01 0.02% Japanese 124.06 Common 6,345 63.45 0.01 0.01% British Common TOTAL 12,671.57 TOTAL 1,267,157 100.00 % TOTAL PAID-UP 826,880.02

NOTE: USE ADDITIONAL SHEET IF NECESSARY

Common, Preferred or other classification

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

STOCK CORPORATION

CORPORATE NAME:	SUN LIFE PRO			FFICEF				
NAME/CURRENT RESIDENTIAL ADDRESS	NATIONALITY	INC'R		GENDER	STOCK HOLDER	OFFICER	EXEC. COMM.	TAX IDENTIFICATIO NUMBER
1. BENEDICTO C. SISON	-	N	С	М	Y	Chairman	CG/M	
2. VALERIE N. PAMA		N	М	F	Y	President	N.A.	
3. ALELI ANGELA G, QUIRINO		N	1	F	Y	N	A&C/ M	
4. OSCAR S. REYES		N	I	М	Y	N	A&C/C and CG/M	
5. CIELITO F. HABITO		N	1	М	Y	N	A&C/M and CG/C	
6. MA. JEMILYN S. CAMANIA		N	N	F	N	Compliance Officer, Data Protection Officer & Money Laundering Reporting Officer	N.A.	
7. IEANEMAR S. TALAMAN		N	N	E	<u>N</u>	Treasurer	N.A.	
8. ANNA KATRINA C. KABIGTING-IBERO		N	N	F	N	Corporate Secretary	N.A.	
9. FRANCES IANNA S. CANTO		N	N	F	N	Asst. Corporate Secretary	N.A.	
10. nothing follows								
11.								
12.								
13.								
14.								
15.			¥31					_

### NSTRUCTION:

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
CIS\_STOKN(16220) ON COMMITTEE. ADDITIONALLY WRITE "C" AFTER SLASH IF CHAIRMAN AND "M" IF MEMBER.
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STOCK CORPORATION

CORPORATE NAME:	SUN LIFE P	ROSPERITY	GS FUND, INC.			
TOTAL NUMBER OF STOCKHOLDERS:	882		OO OR MORE 876			
TOTAL ASSETS BASED ON LATEST AUDITED FI	NANCIAL STATE	MENTS:	PHP 162,088,150			
	STO	CKHOLDER'S	INFORMATION			·
		SHARES	SUBSCRIBED		AMOUNT PAID (PhP)	TAX IDENTIFICATION NUMBER
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	ТУРЕ	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP		
1 BENEDICTO C. SISON	common	1	0.01			
				0.00%	0.01	
	TOTAL	1	0.01			
2. VALERIE N. PAMA	common	1	0.01			
	-			0.00%	0.01	
	TOTAL	1	0.01			
3. ALELI ANGELA G. QUIRINO	common	1	0.01			
				0.00%	0.01	
	TOTAL	1	0.01	314.4.29	25.00.00	
4. OSCAR S. REYES	common	1	0.01			
				1994 09 9 10 40 AM	06/2004-04/00	
				0.00%	0.01	
	TOTAL	1	0.01			
5. CIELITO F. HABITO	common	1	0.01			
		-		0.00%	0.01	
	TOTAL	1	0.01			
6. OTHERS	common	82,687,997	826,879.97			
* List of Top 20 shareholders submitted separately (confidential) to the SEC-CGFD on				100.00%	826,879.97	
11 August 2022	TOTAL	82,687,997	826,879.97			
7. nothing follows						
	TOTAL					
TOTAL AMOUNT O		CAPITAL	00 ( 000 00			
TOTAL AMOUNT O	1 JODJCRIBEI		826,880.02 UNT OF PAID-UP CA	APITAL		826,880.02

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.

STOCK CORPORATION

=======================================	=======	PLEASE PRIN	T LEGIBLY =====			======
CORPORATE NAME:	SUN LIFE	PROSPERITY	GS FUND, INC.			
TOTAL NUMBER OF STOCKHOLDERS:			NO. OF STOCKHOLI SHARES EACH:	DERS WITH 10	O OR MORE	
TOTAL ASSETS BASED ON LATEST AUDITED FIN	ANCIAL STAT	EMENTS:				
	ST	OCKHOLDER'S	INFORMATION			
		SHARES	AMOUNT			
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	ТҮРЕ	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP	PAID (PhP)	TAX IDENTIFICATION NUMBER
8.						
				4		
				-		
9.						
_						
10.		17				
10.	-			-		
11.				-		
	-					
12.						
				-		
	-			_		
13.						
					2	
14.	-					
P 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2						
TOTAL AMOUNT O	E CHECCHIP	ED CAPITAL				
TOTAL AMOUNT O	LOUDSCRID		OUNT OF PAID-UP	CAPITAL	1	
				NAME OF THE PROPERTY OF THE PARTY OF THE PAR		

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.

STOCK CORPORATION

=======================================		PLEASE PRI	NT LEGIBLY ====		=======	======
CORPORATE NAME:	SUN LIFE	PROSPERITY	GS FUND, INC.			
TOTAL NUMBER OF STOCKHOLDERS:			NO. OF STOCKHOLI SHARES EACH:	DERS WITH 10	O OR MORE	
TOTAL ASSETS BASED ON LATEST AUDITED FIN	ANCIAL STAT	EMENTS:	<del></del>			
	ST	OCKHOLDER'S	INFORMATION			
		SHARES	AMOUNT			
NAME, NATIONALITY AND CURRENT RESIDENTIAL ADDRESS	ТҮРЕ	NUMBER	AMOUNT (PhP)	% OF OWNER- SHIP	PAID (PhP)	TAX IDENTIFICATION NUMBER
15.						
				4		
				-		
16.						
17.						
***				1		
18.				-		
				1		
18.						
				-		
				-		
20.						
				-		
21.				+		
				1		
	L CHESCONO.	ED CADUTE				
TOTAL AMOUNT O	F SUBSCRIB	THE SECTION STREET, SECTION S.	UNT OF PAID-UP	CADITAL		
		TOTAL AMI	DON'T OF PAID-OP	CAFIIAL		

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.

STOCK CORPORATION

CORDODATE NAME.		- PLEA	SE PRINT LEGIBLY	22222222	=======	****************		
CORPORATE NAME:	SUN LIFE PROSPERIT	Y GS FUN	ID, INC.					
1. INVESTMENT OF CORP FUNDS IN ANOTHER CO		AMOUNT (PhP)			DATE OF BOARD RESOLUTION			
1.1 STOCKS			21,894,771.65			N.A.		
1.2 BONDS/COMMER by Private Corpor			99,046,300.00		N.A.			
1.3 LOANS/ CREDITS	/ ADVANCES	N.A.				N.A.		
1.4 GOVERNMENT TE	REASURY BILLS		N.A.			N.A.		
1.5 OTHERS			10,000,000.00			N.A.		
2. INVESTMENT OF CORF SECONDARY PURPOSE		VITIES U	NDER ITS	DATE OF BO RESOLUTIO	Charles Co.	DATE OF STOCKHOLDERS RATIFICATION		
	N.A.			N.A.		N.A.		
3. TREASURY SHARES				NO. OF SHARES		% AS TO THE TOTAL NO. OF SHARES ISSUED		
		318,829,287			37	79.41%		
4. UNRESTRICTED/UNAF				AST FISCAL YE	AR: N.A.			
5. DIVIDENDS DECLAREI		ATELY PE		000000000000000000000000000000000000000				
ТҮРЕ	OF DIVIDEND		AMOUNT (PhP)			DATE DECLARED		
5.1 CASH				N.A.		N.A.		
5.2 STOCK				N.A.	N.A.			
5.3 PROPERTY		TOTAL	P	N.A.		N.A.		
6. ADDITIONAL SHARES	ISSUED DURING THE P	ERIOD: N	.A.					
DATE	NO. OF	SHARES			AMOU	NT		
SECONDARY LICENSE/RE NAME OF AGENCY:	GISTRATION WITH SEC SEC	AND OT	HER GOV'T AGENCY BSF			IC		
TYPE OF LICENSE/REGN.	Certificate of Incorporation/Regist	ration	N.A.		N.A.			
DATE ISSUED:	23-Nov-04		N.A.		N.A.			
DATE STARTED OPERATIONS:	1-Mar-05		N.A.	X		N.A.		
TOTAL ANNUAL CO DIRECTORS DURING TH YEAR (in	IE PRECEDING FISCAL	TOTAL	NO. OF OFFICERS	TOTAL NO. OI		TOTAL MANPOWER COMPLEMENT		
375,4	90		6	0		0		

I. ANNA KATRINA C. KABIGTING-IBERO Corporate Secretary of SUN LIFE PROSPERITY GS 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 KATRINAC. KABIGTING-IBERO (Signature over printed name)

PASAY CITY

2 9 SEP 2022

by affiant who SUBSCRIBED AND SWORN TO before me in \_ on personally appeared before me and exhibited to me her Driver's License No. walid until September 1, 2032.

Doc. No. Page No. Book No.

Series of 2022

OTARY PUBLIC

nt No. M-66 / Until 12-31-2022 Roll No. 45790 / IBP Lifetime No. 94897 / 7-3-03 PTR O.R. No. 3521012 / 1-4-22 / Pasay City

MCLE No. VI-0015565 / 01-14-19