

Account Opening Form (Institutions)



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.

Unless the context requires otherwise, you and your refer to the investor/institution and/or its Authorized Representative(s), as may be applicable, 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 requirements to any of our Relationship Managers (RM), Mutual Fund (MF) Representatives, Client Service Centers, or through an e-mail to RequestSLAMCI@sunlife.com. All signed documents sent via e-mail shall be treated as original copies. For inquiries, please send an e-mail to sunlink@sunlife.com. Please write legibly using **CAPITAL LETTERS**. Write **N/A** if the question is not applicable. Mark the box(es) with a "✓" to indicate your choice(s), then sign the form only when completely filled out.

A Investor Information				
1. Type of Institution				
Sole Proprietorship		Partnership		Corporation
Religious		Cooperative		Others
2. Name of Institution				
3. Current Office Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]				4. Zip Code
5. Registration Certificate No.	6. Registration Date (e.g. 12-31-2019)	Month	Day	Year
		-	-	
7. Philippine Tax Identification No. (TIN)				
8. Nature of Business				9. Business Phone (Country Code, Area Code, & Tel. No., e.g. +63285558888)
				+
10. Estimated Capitalization in PHP*				11. Country of Incorporation
<10M		10M - 50M		51M - 100M
				>100M

*Not mandatory for Sun RISE clients

B Contact Person Information	
Contact Person is the individual authorized by the institution to access or verify information. All transactions should be initiated and approved by the Authorized Representative(s).	
12. Name of Contact Person (Last Name, First Name, M.I.)	13. Designation
14. E-mail Address	15. Business Phone (Country Code, Area Code, & Tel. No., e.g. +63285558888)
	+

C Initial Investment Details				
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.				
16. Fund Name (1)	16a. Sales Load	Front-End Load*	Back-End Load**	Others
	16b. Amount Paid	PHP	USD	
	16c. Amount in Words			
16d. Payment Details				
Cash		Direct Deposit to SLAMCI Bank Account		
Check (To be processed only upon receipt of cleared funds)		Name of the Bank:		
Check No.:		Telegraphic Transfer		
Drawee Bank:		Others		

C Initial Investment Details (Continuation)

17. Fund Name (2)	17a. Sales Load	Front-End Load*	Back-End Load**	Others
	17b. Amount Paid	PHP	USD	
	17c. Amount in Words			
17d. Payment Details				
Cash		Direct Deposit to SLAMCI Bank Account		
Check (To be processed only upon receipt of cleared funds)		Name of the Bank:		
Check No.:		Telegraphic Transfer		
Drawee Bank:		Others		
18. Fund Name (3)	18a. Sales Load	Front-End Load*	Back-End Load**	Others
	18b. Amount Paid	PHP	USD	
	18c. Amount in Words			
18d. Payment Details				
Cash		Direct Deposit to SLAMCI Bank Account		
Check (To be processed only upon receipt of cleared funds)		Name of the Bank:		
Check No.:		Telegraphic Transfer		
Drawee Bank:		Others		
19. Source of Funds				
Existing investments in other instruments (time deposits, etc.)		Proceeds from sale of assets (real estate, etc.)		
Income from operations/donations/contributions		Other sources, please specify:		

D Settlement Bank Account Enrollment (if applicable)

Enrollment of settlement bank account is subject to the following guidelines:

- Only **one settlement bank account** shall be enrolled **per currency, per MF Account**. You may use the same settlement bank account for your other MF Account(s), provided it/they pertain(s) to the same accountholders.
- Your settlement bank account name must be **exactly the same** (in order, format, and joint account type when applicable) as the MF Account Name to be created, in order for redemption and other proceeds to be credited by the bank.
- SLAMCI will credit **all future redemptions and other proceeds from all Funds** to your enrolled settlement bank account. We will not be liable for delays in, or unsuccessful crediting of redemption and other proceeds due to errors or discrepancies in bank account name and/or other information provided.
- Any new enrollment or updates to your settlement details is subject to SLAMCI's review and will supersede previously enrolled settlement bank accounts.

Currency (whichever is applicable)	Bank Name	Bank Account Number (SA/CA)
20. Philippine Peso (PHP) Settlement Bank Account		
21. US Dollar (USD) Settlement Bank Account		

Requirement for Proof(s) of Bank Account Ownership:

- As an extra validation measure, please provide **any one (1)** of the documents below as proof that you are the authorized owner(s) of the settlement bank account(s) nominated above:

a. Bank Statement of Account	d. Check	f. Machine-validated Withdrawal Slip
b. Certificate of Bank Deposits	e. ATM Card showing the bank account number	g. Machine-validated Deposit Slip
c. First Page of the Account Passbook		
- The bank account number(s) and the account name(s) must appear on **one (1) page** and should be readable and clear. **SLAMCI may require presentation of additional documents to validate your submission(s).**

E Terms and Conditions

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/

E Terms and Conditions (Continuation)

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.

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 Data Privacy Act of 2012 (R.A. No. 10173)

You agree that the Company can process your personal data to: a) implement your payment instructions; b) enforce/fulfill contractual rights/obligations; c) improve how it develops and provides services (including development of and improvement in its systems and business processes, data analytics, automated processing, artificial intelligence, etc.); d) comply with applicable laws or regulations, whether domestic or foreign; and e) manage risks and pursue its legitimate interests. You also agree: a) that 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; b) that your personal data shall be retained for the duration of the account(s) listed or existence of the related 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; and c) with the Company's privacy policy at <https://online.sunlife.com.ph/privacy>. Whenever you provide personal data pertaining to other individuals (including your clients, members, and employees), you warrant that you have obtained the consent of such individuals consistent with the foregoing purposes.

Rights of Unitholders

Unless otherwise modified by the Fund(s), unitholders have the following rights:

- Notification Rights.** Unitholders are entitled to be notified of any material change to the Registration Statement and the Subscription Agreement. Unitholders shall be notified of any material change(s) to the Registration Statement and/or the Subscription Agreement at least thirty (30) days prior to its effective date.
- Right of Redemption.** A unitholder is entitled to receive by way of redemption approximately his proportionate share of the Fund's current net assets or the cash equivalent thereof.
- Dissolution Rights.** Upon dissolution of the Fund, the Fund shall payout the applicable redemption price to its unitholders under a distribution process to be determined by the Board of Directors of the Fund. The Fund shall submit a Redemption Plan to the Securities and Exchange Commission (SEC) prior to its dissolution.
- Dividends. The unitholders are not entitled to any dividends.** The Fund may allow non-guaranteed unit-paying and/or income-paying feature(s), if so declared and approved by the Board of Directors of the Fund, and accordingly permitted by the SEC.
- Modification of Rights of Unitholders.** The rights of unitholders shall not be modified except by amendment of the Fund's Registration Statement or Subscription/Redemption Agreement.
- Reports and Statements.** Unitholders shall receive accounts, reports and statements either in hard/physical copies or by electronic means. The unitholder has the option to request for a physical copy within one month from the notification of availability, and shall receive this within ten (10) business days from the date of written request or whenever practicable in case of any fortuitous events.

Rights of Shareholders

Unless otherwise modified by the Fund(s), shareholders have the following rights:

- Voting Rights.** Each holder of a share in the Fund is entitled to one vote, in person or by proxy, for each share held by such shareholder. Each share of stock of the Fund is a voting stock with voting rights equal to every other outstanding share of stock of the same Fund.
- Right of Redemption.** A shareholder is entitled to receive by way of redemption approximately his proportionate share of the Fund's current net assets or the cash equivalent thereof.
- Dissolution Rights.** Upon dissolution of the Fund, the Fund shall payout the applicable redemption price to its shareholders under a distribution process to be determined by the Board of Directors of the Fund. The Fund shall submit a Redemption Plan to the Securities and Exchange Commission (SEC) prior to its dissolution.
- Dividends.** Each shareholder has a right to any dividends declared by the Fund, if so declared and approved by its Board of Directors and accordingly permitted by the SEC.
- Denial of Pre-Emptive Rights.** No shareholder shall, because of his ownership of stock, have pre-emptive or other right to purchase, subscribe for, or take any part of any other securities convertible into or carrying options or warrants to purchase stock of the Fund.
- Modification of Rights of Unitholders.** The rights of shareholders shall not be modified except by amendment of the Fund's Articles of Incorporation and/or By-Laws.
- Reports and Statements.** Shareholders shall receive accounts, reports and statements either in hard/physical copies or by electronic means. The shareholder has the option to request for a physical copy within one month from the notification of availability, and shall receive this within ten (10) business days from the date of written request or whenever practicable in case of any fortuitous events.

F Compliance with the Foreign Account Tax Compliance Act (FATCA)

The Foreign Account Tax Compliance Act (FATCA) requires us to identify, collect, and report tax-related information of our clients. To allow SLAMCI to comply with these obligations, please submit a duly completed IRS Form depending on your circumstance(s):

US Status or Indicia	Required Document
US Entity	IRS Form W-9
Not a US Entity	IRS Form W-8 BEN-E

You also agree to inform us within thirty (30) calendar days of any change in your circumstances, which makes any information on a document inaccurate, and provide a new or updated document. You also agree that when we are required by law, regulation, or any authority, we shall provide all information about your local and/or foreign tax status or account(s) and disclose these to authorities or its representatives that are involved in processing, collecting, transferring, or disclosing such. In case a separate waiver is required to provide the required information to competent authorities, you will provide a waiver in an acceptable format.

For the latest version of the above forms, please refer to the IRS website (<https://www.irs.gov/forms-instructions>).

G Investor's Acknowledgment and Agreement

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. You have secured, and will maintain, all applicable government and regulatory licenses. You have never undergone the process of dissolution.
- d. 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.
- e. 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.
- f. 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).
- g. 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.
- h. 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, the Company 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 based on the NAVPS/NAVPU as of termination date.
- i. You hold SLAMCI free and harmless from any liability that may arise from any transfer, disclosure, processing, collection, use, storage, or destruction of your information.
- j. 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.
- k. You have received, read, and understood the Funds' prospectuses, financial statements, policies, and these terms and conditions.
- l. We can make adjustments to your account(s) to correct any error and modify or terminate any investor privilege, and 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.

22. Printed Name, Designation, and Signature of the Institution's Authorized Representative (1) <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px; text-align: center; font-size: 8px;">Please sign here</div>	23. Date Signed (e.g. 12-31-2019) <table style="width: 100%; border: none;"> <tr> <td style="text-align: center; width: 33%;">Month</td> <td style="text-align: center; width: 33%;">Day</td> <td style="text-align: center; width: 33%;">Year</td> </tr> <tr> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td></td> </tr> </table>	Month	Day	Year	-	-	
Month	Day	Year					
-	-						
24. Printed Name, Designation, and Signature of the Institution's Authorized Representative (2) <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px; text-align: center; font-size: 8px;">Please sign here</div>	25. Date Signed (e.g. 12-31-2019) <table style="width: 100%; border: none;"> <tr> <td style="text-align: center; width: 33%;">Month</td> <td style="text-align: center; width: 33%;">Day</td> <td style="text-align: center; width: 33%;">Year</td> </tr> <tr> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td></td> </tr> </table>	Month	Day	Year	-	-	
Month	Day	Year					
-	-						

26. Would you like to receive personalized communication and product offers from Sun Life Asset Management Company, Inc. (SLAMCI), Sun Life of Canada (Philippines), Inc. (SLOCPI), Sun Life Investment Management and Trust Corporation (SLIMTC), and other members of the Sun Life group that may help you with your financial needs? Yes No

H Declaration of Relationship Manager (RM)/Mutual Fund (MF) Representative

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. Any advisor who is confirmed to have violated the above requirements may be subject to 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).

27. Printed Name and Signature of RM/MF Representative <div style="border: 1px solid black; width: 100%; height: 20px; margin-top: 5px; text-align: center; font-size: 8px;">Please sign here</div>	28. A.R. No. Issued	29. Date Signed (e.g. 12-31-2019) <table style="width: 100%; border: none;"> <tr> <td style="text-align: center; width: 33%;">Month</td> <td style="text-align: center; width: 33%;">Day</td> <td style="text-align: center; width: 33%;">Year</td> </tr> <tr> <td style="text-align: center;">-</td> <td style="text-align: center;">-</td> <td></td> </tr> </table>	Month	Day	Year	-	-	
Month	Day	Year						
-	-							
30. MF Representative's Code	31. Branch							
32. Required: For KYC purposes, describe how you met or knew the institution in 250 words or less.								

For Office Use Only

33. Date Received	34. Time Received	35. Receiving Department/Office
36. Remarks		