

# Request for Redemption/Fund Switch



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.

**IMPORTANT NOTES:**

You must accomplish and submit the form and requirements to any of our Mutual Fund (MF) Representatives, Client Service Centers, or through an e-mail to [RequestSLAMCI@sunlife.com](mailto: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](mailto: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. 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 Corporate/Institutional	Joint AND/Joint AND ITF Joint OR/Joint OR ITF
<b>3. MF Account Name</b>			

**B Redemption Details**

**Notes on Redemptions and Fund Switches:**

- a. SLAMCI shall redeem the entire Fund in your favor if:
  - Redemption amount is greater than the Fund's remaining balance, and/or;
  - The Fund value will drop below its maintaining balance [based on the latest available Net Asset Value Per Share (NAVPS)/Net Asset Value Per Unit (NAVPU)] as a result of the redemption.
- b. If you are switching to a Fund(s) suited for a more aggressive risk profile, you may:
  - Fill out the Suitability Waiver Acknowledgment ("waiver") below, OR;
  - Choose to update your risk profile by submitting the Investor Suitability Assessment Form (for individual/joint accounts) or the Investor Suitability Assessment (Institutions) (for corporate/institutional accounts), and then signing the waiver as applicable.
- c. 10% Back-End Waived Redemption: This special shareholder's privilege allows for 10% redemption back-end fee to be waived for redemption of back-end shares/units. To avail, the following conditions must be met:
  - a. Client must have Php 5,000,000 (or its USD equivalent) worth of back-end shares/units AUM upon redemption;
  - b. This privilege is for partial redemption only and won't apply for full redemption;
  - c. This can only be availed once a year. If a client does not avail in a year, the chance to waive will not be carried over to the next year and shall be forfeited.
  - d. A 10% of back-end fee shall be computed based on the 10% of each fund's back-end shares/units as of December 31 of previous year.
  - e. If the client does not indicate application numbers, redemption will still be processed as FIFO regardless if there are application number(s) that no longer have exit fee.

**4. Indicate whether the redemption will be by Number of Shares/Units (proceed to 4a) OR by Amount (proceed to 4b)**

4a. By Number of Shares/Units	
Fund Name	Number of Shares/Units* to be Redeemed
(1)	Redeem/Switch all (selecting this will automatically redeem ALL shares/units) Redeem/Switch partially, indicate number below:
(2)	Redeem/Switch all (selecting this will automatically redeem ALL shares/units) Redeem/Switch partially, indicate number below:
(3)	Redeem/Switch all (selecting this will automatically redeem ALL shares/units) Redeem/Switch partially, indicate number below:

4b. By Amount	
Fund Name	Amount** to be Redeemed
(1)	PHP USD
(2)	PHP USD
(3)	PHP USD

\* The number of redeemable shares/units will be based on the latest available NAVPS/NAVPU. The net settlement amount will be computed only upon the availability of the Fund's applicable price at the close of business on the same day.  
 \*\* The amount stated may be considered gross of back-end sales load and other charges. Thus, the net settlement amount may be lower.



**B Redemption Details (Continuation)**

5. Additional Instructions **Note: As a default, we will redeem shares/units first in first out (FIFO) from your account. You may indicate specific application number or certificate number here for Direct application redemptions. Write N/A if not applicable.**

**6. Reason for Redemption**  
 Financial requirement, specify \_\_\_\_\_ Transfer to other investments \_\_\_\_\_ Others \_\_\_\_\_

**C Settlement Details**

**7. Please select mode of settlement for your redemption proceeds.**

7.1 Switch to another Fund (specify Fund name)

**IMPORTANT:** If you are switching to any of our income-paying Funds, please fill out Taxpayer Identification Number (TIN) below for each accountholder and a Settlement Bank Account (SBA) in 7.2 for crediting of redemption, proceeds, and cash dividends. Details to be provided below will supersede your existing TIN and SBA information.

Name(s) of Investor(s)	TIN
	- -
	- -
	- -

If you are switching out of no-load Funds, select the sales load of your destination fund:

Front-End Load \_\_\_\_\_ Back-End Load \_\_\_\_\_ Others \_\_\_\_\_

7.2 Direct Credit to a Settlement Bank Account (SBA)

To an **ENROLLED SBA** (Bank Account on record will be used)

To this **NEW SBA - For Enrollment** (subject to the following guidelines):

- a. Only one (1) SBA shall be enrolled per currency, per MF Account. You may use the same SBA for your other MF Account(s), provided it/they pertain(s) to the same accountholder(s).
- b. Your SBA 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.
- c. SLAMCI will credit all future redemptions and other proceeds from all Funds to your enrolled SBA. 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.
- d. Any new enrollments or updates to your settlement details are subject to SLAMCI's review and will supersede previously enrolled SBAs.

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

I/We agree to enroll the above account as our Settlement Bank Account for the following MF account (s):

Type of Fund	MF Account 1	MF Account 2	MF Account 3	MF Account 4	MF Account 5
Peso MF					
USD MF					

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 SBA(s) nominated above:
  - a. Bank Statement of Account
  - b. Certificate of Bank Deposits
  - c. First Page of Account Passbook
  - d. Check
  - e. ATM Card showing the Bank Account number
  - f. Machine-validated Deposit Slip
  - g. Machine-validated Withdrawal Slip
- 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).**

**C Settlement Details (Continuation)**

7.3 Payment for Sun Life policies (specify policy/application number)

7.4 Pick up check(s) at Client Service Center (CSC) (specify a location)

Name of Authorized Representative to collect check(s) (Optional):

*AUTHORIZATION: This is to authorize your representative, whose name and signature appear above, to pick up your redemption check at your designated CSC. Representatives are required to submit the following before the check will be released: (1) a copy of a valid ID of principal investor and co-investor(s), if any, and (2) a copy of a primary ID of the representative. Please note that your MF account name will also be the payee name in the check.*

— Please sign here —

**8. Back End Waive Option** If your current investment value is at least PHP5,000,000.00 (or its USD equivalent) as of redemption date, you are eligible to avail of our once a year early redemption privilege offer. Check the box if you wish to avail of this now.

*I want to avail of the 10% Back End Waived Redemption (once a year privilege)*

**D Suitability Waiver Assessment**

If you are investing in or switching 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) or the Investor Suitability Assessment (Institutions) (for corporate/institutional accounts), and then signing the waiver as applicable.

9. 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.

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

**E Terms and Conditions**

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

**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). 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 claims, losses, damages, or expenses directly arising from SLAMCI's fraud, willful misconduct, or gross negligence.

**Right to Accept, Defer, 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. It may also defer processing of your subscriptions until your submission of complete or additional requirements and/or after payments have been posted based on applicable NAVPS/NAVPU. 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.

**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 Foreign Account Tax Compliance Act (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 (R.A. No. 10173)**

You agree that Sun Life Asset Management Company, Inc. (SLAMC), Sun Life of Canada (Philippines), Inc. (SLOCPI), and Sun Life Investment Management and Trust Corporation (SLIMTC), collectively "Sun Life Philippines" or "Sun Life group," shall process your personal data to: a) evaluate your application and administer your account as a Sun Life Philippines' client; 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. Sun Life Philippines likewise uses automated processes, including artificial intelligence, to perform document verification by analyzing visual, data, and metadata elements. This automated analysis helps Sun Life Philippines assess the legitimacy of the documents you have submitted.

Sun Life Philippines may disclose your personal data with its each other, its affiliates, service providers, regulators, and other third parties for purposes consistent with the foregoing, and to: (1) centralize and update your data; (2) simplify your application experience such as by pre-populating data fields; (3) simplify Know-Your-Client and risk rating processes, where possible; and 4) automated processing or profiling (e.g. marketing profiling).

Your rights include the right to be informed, access your data, rectify errors, object to automated processing or profiling, and file a complaint. For more information about your rights and how we protect your data, you may access our privacy policy at <https://www.sunlife.com/sl/pslf-philippines/en/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).

Your personal data shall be retained throughout the existence of your account(s) and/or upon the later of the expiration of the retention limit set by Sun Life Philippines' standards, 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://www.sunlife.com/sl/pslf-philippines/en/privacy/>.

**E Terms and Conditions (Continuation)**

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

**Compliance with the Financial Consumer Protection Act of 2022 (R.A. No. 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

**F Investor's Acknowledgment and Agreement**

You confirm that:

- a. You are performing fund switch transactions 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. Please inform us immediately if any of the information provided has changed.
- 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. You have read, understood, and accepted the terms and conditions in this form that the value of your shares/units in the Fund, when redeemed, would be at the applicable redemption price as defined in the Fund's prospectus.
- f. 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.
- g. 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.
- h. 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.
- i. 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 less any such fees.
- j. 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.
- k. 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 CompanySLAMCI and/or its financial advisors.
- l. You have been advised about your current risk profile and fully understand the risk rating of the products and services that you are investing into. 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.

**11. Proxy Voting**

By signing below, I/we, hereby nominate and appoint the incumbent Sun Life Prosperity Funds President, with right of substitution and revocation, to represent and vote all shares registered in my/our name and/or such shares as I am/we are authorized to represent and vote for any and all matters presented during the Annual Stockholders' Meeting and all Stockholders' Meetings thereafter (i.e. Special and Continuation meetings), for a period of five (5) years from date of this document. I/we understand that information about these matters will be provided to me by mail (by physical or electronic transmission) and will be accessible via the Sun Life website.

The authority under this Proxy shall cover all existing and future subscriptions in any Sun Life Prosperity Funds, including: New investment, Additional investments (top-ups), and Fund Switches. The Proxy shall remain valid for the same period as when it was originally signed. This proxy shall be effective until withdrawn by me/us through notice in writing, or superseded by subsequent proxy, delivered to the Corporate Secretary at least ten (10) days before the Annual Stockholders' Meeting or any adjournments and postponements thereof, but shall cease to apply in instances where I/we personally attend the meeting.

<p><b>12. Printed Name and Signature of Principal Investor / Institution's Authorized Representative (1)</b></p> <p style="text-align: center;">Please sign here</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p><b>13. Date Signed</b> (e.g. 14-MAY-2024)</p>
<p><b>14. Printed Name and Signature of Co-Investor (1) / Institution's Authorized Representative (2)</b></p> <p style="text-align: center;">Please sign here</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p><b>15. Date Signed</b> (e.g. 14-MAY-2024)</p>
<p><b>16. Printed Name and Signature of Co-Investor (2) / Institution's Authorized Representative (3)</b></p> <p style="text-align: center;">Please sign here</p> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<p><b>17. Date Signed</b> (e.g. 14-MAY-2024)</p>

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<p>18. Date Received (e.g. 14-MAY-2024)</p>	<p>19. Time Received</p>	<p>20. Receiving Department/Office</p>
<p>21. Remarks</p>		