

# Request for Additional Investment



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 NOTES:**

You must accomplish and submit the completed form and requirements through any of our Mutual Fund (MF) Representatives, Client Service Centers, or our e-mail at 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 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.

**A General Information**

1. Account Number (e.g. 12345678CF01)	2. Type of Account	Individual Corporate	Joint AND Joint OR
3a. Name of Investor			
Last Name			
First Name			MI.
3b. Company Name (for Corporate Account)			

**B Additional Investment Details**

You may invest regularly from your account with any of SLAMCI's participating banks. To register, fill out the Auto-Invest Enrollment Form. If the investment is coursed through an advisor, always request for an Acknowledgment Receipt (A.R.).

**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.

4a. Fund Name ( 1 )	Sales Load	Front-End Load*	Back-End Load**	Others
	Amount Paid	PHP    USD	,            ,            ,            .	
	Amount in Words			
Payment Details				
Cash		Direct Deposit to SLAMCI Bank Account		
Check (To be processed only upon receipt of cleared funds)		Name of Bank:		
Check No.:		Transfer from Sun Life Insurance Policy / Plan Agreement		
Drawee Bank:		Telegraphic Transfer		
		Others		
4b. Fund Name ( 2 )	Sales Load	Front-End Load*	Back-End Load**	Others
	Amount Paid	PHP    USD	,            ,            ,            .	
	Amount in Words			
Payment Details				
Cash		Direct Deposit to SLAMCI Bank Account		
Check (To be processed only upon receipt of cleared funds)		Name of Bank:		
Check No.:		Transfer from Sun Life Insurance Policy / Plan Agreement		
Drawee Bank:		Telegraphic Transfer		
		Others		
5. If required by regulatory or internal requirements (kindly consult an MF Representative), please provide the following: <b>(5a) Taxpayer Identification Number (TIN) and (5b) Settlement Bank Account</b>				
5a. <b>Taxpayer Identification Number (TIN)</b> - Details to be provided below will update existing records, if any. If there are more than three (3) accountholders in the case of joint accounts, please furnish another copy of this page.				
Name(s) of Investor(s)			TIN	
			-            -	
			-            -	
			-            -	

**B Additional Investment Details (Continuation)**

**5b. Settlement Bank Account**

Use my/our existing settlement bank account(s) for the purpose(s) of this additional investment request (then, proceed to item 6)

Enroll/update default settlement bank account(s), provide details below:

(Note: Any new enrollment or updates to your settlement details is subject to SLAMCI's review and will supersede previously enrolled settlement bank accounts.)

Philippine Peso (PHP) Settlement Bank Account	US Dollar (USD) Settlement Bank Account
<p>Bank Name</p> <p>Bank Account Number (SA/CA)</p> <p>Enroll as the default PHP settlement bank of the following MF Account Number(s) (Note: This option is allowed only when the MF Account Number(s) pertain(s) to the same accountholder/s)</p>	<p>Bank Name</p> <p>Bank Account Number (SA/CA)</p> <p>Enroll as the default USD settlement bank of the following MF Account Number(s) (Note: This option is allowed only when the MF Account Number(s) pertain(s) to the same accountholder/s)</p>

The above enrollment 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 accountholder(s).
- Your settlement bank account name must be **exactly the same** (in order, format, and joint account type when applicable) as your MF Account Name, 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.

**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
  - b. Certificate of Bank Deposits
  - c. First Page of the Account Passbook
  - d. Check
  - e. ATM Card showing the bank account number
  - f. Machine-validated Withdrawal Slip
  - g. Machine-validated Deposit 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).**

**6. Source of Funds**

Existing investments in other instruments (time deposits, etc.)	Inheritance
Income / bonus from employment	Matured pre-need plan / insurance policy
Proceeds from sale of assets (real estate, etc.)	Other sources, please specify:

**7. Telephone Number** (country code, area code, & tel. no., e.g. +63 2 8555 8888)

Indicate telephone number where we can reach you for any questions or concerns that we may have regarding this additional investment.

**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 PHP 100,000 in your own and qualified related\* mutual fund accounts, subject to SLAMCI's approval.

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

Account Number	Full Account Name (Last Name, First Name, M.I.)	Relationship to Investor

**D Terms and Conditions**

**Eligible Investor**

Any person of legal age, regardless of citizenship or nationality, may hold shares/units of the Fund(s).

**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/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.

**D Terms and Conditions (Continuation)****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 Foreign Account Tax Compliance Act (FATCA)**

The Company has a statutory liability to provide your information to the appropriate authority. In case of any change in your circumstances, including but not limited to citizenship, you shall inform the Company within 30 days of such change, and accordingly submit the applicable documents.

**Compliance with the Data Privacy Act of 2012 (Republic Act No. 10173)**

You (i) agree to the processing of your personal data in accordance with, and for the purposes declared in, Sun Life's Privacy Policy available at <https://online.sunlife.com.ph/privacy>, and for the additional purpose of implementing your request/instructions herein, and (ii) reaffirm your consent to the processing of your personal data as recorded in your most recent application form, and acknowledge that such consent continues to be in full force and effect.

**E Investor's Acknowledgment and Agreement**

You confirm that:

- You are performing this transaction while in the Philippines.
- 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.
- 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.
- 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.
- 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.
- The sales load you choose is of your own choice and not solely based on the advice of your Mutual Fund (MF) Representative.
- SLAMCI will process your investment after submission of complete requirements and after payments have been posted.
- The funds used for this investment are not from illegal activities as listed in the Anti-Money Laundering Act. 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).
- You understand, accept, and comply with all the terms and conditions of this form, the Funds' latest prospectus, and all the laws, regulations, and policies governing the investment.
- 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.
- 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.
- 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.

<b>9. Printed Name and Signature of Investor/Authorized Representative</b> <div style="text-align: center;">Please sign here</div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<b>10. Date of Signing</b> (e.g. 08-AUG-1990)      Day      Month      Year <div style="text-align: center;">—      —      —</div>
<b>11. Printed Name and Signature of Co-Investor/Authorized Representative</b> <div style="text-align: center;">Please sign here</div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<b>12. Date of Signing</b> (e.g. 08-AUG-1990)      Day      Month      Year <div style="text-align: center;">—      —      —</div>

**13. 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

**F Declaration of Mutual Fund Representative/Relationship Manager/Broker**

You guarantee that, to the best of your knowledge, the investor is not engaged in any unlawful activity as mentioned in the Anti-Money Laundering Act (AMLA); and any amount that the investor will invest comes from legitimate sources. If at any time, in your opinion, the credibility of the investor's financial sources becomes questionable, you are required to immediately inform SLAMCI in writing to provide any other information needed to comply with local and foreign laws.

<b>14. Printed Name and Signature of MF Representative/Relationship Manager/Broker</b> <div style="text-align: center;">Please sign here</div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<b>15. A.R. No. Issued</b>	<b>16. Date of Signing</b> (e.g. 08-AUG-1990) Day      Month      Year <div style="text-align: center;">—      —      —</div>
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**For Office Use Only**

<b>17. Date Received</b>	<b>18. Time Received</b>	<b>19. Receiving Department/Office</b>
<b>20. Remarks</b>		