

Account Opening Internal Checklist Corporate

IMPORTANT NOTES & INSTRUCTIONS FOR SLIMTC CERTIFIED UITF SALES PERSONNEL:

- This form should be accomplished by the SLIMTC Certified UITF Sales Personnel and must be submitted via email to SLIMTC.UITFInquiries@sunlife.com, together with the accomplished forms and complete set of requirements of the Client/s.
- Ensure that all required SLIMTC Account Opening Forms and Client documents are accomplished and signed by the Client/s.
- Please write legibly using **CAPITAL LETTERS** and mark the box(es) with an “✓” once the applicant has completed the requirement.

A GENERAL INFORMATION

Advisor Code / RM Code

Company/Business Name

Company/Business Type

Corporation Cooperative Private Retirement Plans
 Sole Corporation Religious Institutions Covered Institutions
 Partnership Union Foreign Entities
 Others (please specify)

Product Type

Investment Management Account (IMA) Corporate Trust
 Retirement Plan Unit Investment Trust Fund (UITF)
 Others (please specify)

B FORMS AND DOCUMENT CHECKLIST

SLIMTC Account Opening Forms

Account Information Form - Institutional Client Suitability Assessment Form CSA Waiver (if applicable)
 Participating Trust Agreement Form General Risk Disclosure Statement Form UITF Order Form
 IRS Form W8-BEN-E (if applicable) Others (please specify)

Client Documents

Notarized Board Resolution /Secretary's Certificate Clear photocopy of valid IDs of Authorize Representative and Authorized Signatory/ies (Valid ID should be signature-bearing) General Information Sheet (Latest and Certified True Copy) Audited Financial Statement (Latest and Certified True Copy)
 License to Operate issued by Regulator (Certified True Copy)* - FOR COVERED INSTITUTIONS ONLY Provisional Certificate of Registration and/ or Certificate of Registration issued by the AMLC (Certified True Copy)* - FOR COVERED INSTITUTIONS ONLY Others (please specify below)
 Proof of Bank Ownership
 Bank Statement of Account Check Machine-validated Deposit Slip
 Certificate of Bank Deposits ATM Card showing the bank account number
 First Page of the Account Passbook Machine-validated Withdrawal Slip

For Certified UITF Sales Personnel

Screenshot of Video Call with Client (if onboarding is done via video conference)

C ADDITIONAL REQUIREMENTS BASED ON COMPANY/BUSINESS TYPE

Corporation	Sole Proprietorship	Partnership
<input type="checkbox"/> SEC Registration Certificate (Certified True Copy)* <input type="checkbox"/> Articles of Incorporation and By-Laws (Certified True Copy)* <input type="checkbox"/> Qualified Institutional Buyer Certification (Copy indicating License Number) if applicable	<input type="checkbox"/> DTI Certificate of Registration (Certified True Copy)* <input type="checkbox"/> Valid Business Permit (Certified True Copy)*	<input type="checkbox"/> Partners Resolution duly Certified by the Partners (Notarized or Certified True Copy)* <input type="checkbox"/> Articles of Partnership (Certified True Copy)*

<p>Cooperative</p> <ul style="list-style-type: none"> <input type="checkbox"/> Certificate of Registration issued by the CDA (Certified True Copy)* <input type="checkbox"/> Certificate of Compliance issued by the CDA (Certified True Copy)* <input type="checkbox"/> Articles of Cooperation (Certified True Copy)* <input type="checkbox"/> Cooperative Annual Progressive Report (CAPR) (Certified True Copy)* <input type="checkbox"/> List of Directors/Trustees/Others duly filed in CDA (Certified True Copy)* 	<p>Religious Institutions</p> <ul style="list-style-type: none"> <input type="checkbox"/> Notarized and Original Letter of Appointment of the Chief Archbishop/Bishop/Priest/Minister/Rabbi/Presiding Elder <input type="checkbox"/> Copy of the Commission (Certified True Copy)* <input type="checkbox"/> Certificate of Election (Certified True Copy) <input type="checkbox"/> Articles of Incorporation (Certified True Copy)* if SEC-Registered 	<p>Union</p> <ul style="list-style-type: none"> <input type="checkbox"/> Constitution or By-Laws (Certified True Copy)* <input type="checkbox"/> Beneficial Owners and Beneficiaries of the Union (Certified True Copy)* <input type="checkbox"/> Certificate of Registration issued by Regional Officers of the Bureau of Labor Relations, or Charter Certificate issued by the National Federation or Union (Certified True Copy)*
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<p>Private Retirement Plans</p> <ul style="list-style-type: none"> <input type="checkbox"/> Retirement Plan Rules and Regulations (Certified True Copy)* <input type="checkbox"/> Actuarial Valuation Report (Certified True Copy)* <input type="checkbox"/> BIR Tax Exemption Certificate (Certified True Copy) <input type="checkbox"/> Deed of Assignment (Successor Trusteeship) (Certified True Copy)* 	<p>Foreign Entities</p> <ul style="list-style-type: none"> <input type="checkbox"/> Original Consularized Mandatory Requirements 	<p>One Person Corporation</p> <ul style="list-style-type: none"> <input type="checkbox"/> Articles of Incorporation (Certified True Copy)*
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*Certified True Copy by the Corporate Secretary or other Authorized Officer of the institution.

FOR SLIMTC USE ONLY

Account Number

RELATIONSHIP MANAGER / CERTIFIED UITF SALES PERSONNEL NAME AND SIGNATURE

Printed Name

Signature

Place of signing (City/Municipality, Country)

Date Signed (e.g. mm-dd-yyyy)