Client Suitability Assessment Form

Sun Life Investment Management

IMPORTANT NOTES & INSTRUCTIONS:

The accomplished and signed **Client Suitability Assessment Form** must be submitted via email to your SLIMTC Relationship Manager or to your Certified UITF Sales Personnel, along with the required documents.

For Joint Accounts, SLIMTC shall only require the Primary Account Holder/s to complete the CSA Form. **Secondary Account Holder/s** should proceed to the Client Acknowledgment portion directly.

This CSA will be used in assessing your investment profile based on your investment objectives, cash flow requirements, tolerance to risk, and financial profile. There are no right or wrong answers. Simply indicate what is most applicable to you under the circumstances cited. Please ensure that all questions are answered before submitting the form to SLIMTC.

Account Number ______________________

Date Accomplished *(mm-dd-yyyy)* ______________________

**For submission of this document as part of account opening, kindly leave this blank. Otherwise, please provide your account number.*

Client Type

☐ Corporate ☐ Individual

CSA Type

☐ New ☐ Updating of last CSA dated: ______________________

Client name/s

____

FOR CUSP / RM USE ONLY

Advisor Code / RM Code

____

A INVESTMENT OBJECTIVE AND RISK PROFILE

1. How many years of investment experience do you have?	☐ No experience	☐ Less than one year	☐ One year to less than three years	☐ Three years to less than five years	☐ Five years or above
2. What portion of your assets will be invested and managed by SLIMTC?	☐ Less than 5%	☐ 5% to 15%	☐ More than 15% to 25%	☐ More than 25% to 50%	☐ More than 50%
3. Will you require the ability to withdraw your investment from SLIMTC?	☐ Yes, I/we need to withdraw regular income and may use a portion of the principal in the next 12 months	☐ Yes, I/we need to withdraw regular income but may not use the principal in the next 12 months	☐ I/We do not need to withdraw regular income nor use the principal in the next 2 to 3 years	☐ I/We do not need to withdraw regular income nor use the principal in the next 4 to 5 years	☐ I/We do not need to withdraw regular income nor use the principal for more than 5 years
4. In general, what is the time period intended for your investment?	☐ 1 year or less	☐ More than 1 year to less than 2 years	☐ More than 2 years to less than 5 years	☐ More than 5 years but less than 10 years	☐ More than 10 years or more
5. What is your key investment objective?	☐ I/We want to preserve capital and generate short term steady returns. Exposure includes but not limited to savings, time deposits, money market funds, etc.	☐ I/We am/are willing and able to expose my/our funds to a minimal degree of risk and fluctuation to achieve modest returns over the short term. Exposure is predominantly fixed income with a small portion in equities.	☐ I/We am/are willing and able to expose my/our funds to a moderate level of risk and fluctuation to achieve income and capital growth over the medium term. Almost equal exposure in fixed income and equities	☐ I/We am/are willing and able to expose my/our funds to higher degree of risk and fluctuation to achieve higher income and capital growth over the medium term. Exposure is predominantly equities with a small portion in fixed income	☐ I/We am/are willing and able to accept significantly higher risks involving absolute/uncorrelated returns and even possible loss of investment for potentially higher long-term results. Exposure is predominantly, if not all, in equities.
6.a. FOR CORPORATE INVESTORS ONLY					
6.a.1.How much is your company's approximate investible funds?	☐ Less than PhP 500 million	☐ PhP 500 billion to less than PhP 1 billion	☐ PhP 1 billion to less than PhP 3 billion	☐ PhP 3 billion to less than PhP 5 billion	☐ PhP 5 billion and above
6.a.2. How much is your company's approximate financial commitments?	☐ Less than PhP 500 million	☐ PhP 500 billion to less than PhP 1 billion	☐ PhP 1 billion to less than PhP 3 billion	☐ PhP 3 billion to less than PhP 5 billion	☐ PhP 5 billion and above
6.b. FOR INDIVIDUAL INVESTORS ONLY					
6.b.1. How much is your approximate investible funds?	☐ Less than PhP 1 million	☐ PhP 1 million to less than PhP 5 million	☐ PhP 5 million to less than PhP 20 million	☐ PhP 20 million to less than PhP 100 million	☐ PhP 100 million and above
6.b.2. How much is your approximate financial commitments?	☐ Less than PhP 1 million	☐ PhP 1 million to less than PhP 5 million	☐ PhP 5 million to less than PhP 20 million	☐ PhP 20 million to less than PhP 100 million	☐ PhP 100 million and above

TOTAL SCORE		CLIENT SUITABILITY RESULTS - RISK PROFILE
	☐ Conservative	Client prefers an investment where the primary goal is to prevent the loss of principal.
	☐ Moderately Conservative	Client is willing and able to expose funds to a minimal degree of risk and fluctuation to achieve modest returns.
	☐ Moderate	Client is willing and able to expose funds to a moderate level of risk and fluctuation to achieve income and capital growth.
	☐ Moderately Aggressive	Client is willing and able to expose funds to higher degree of risk and fluctuation to achieve higher income and capital growth over the medium term.
	☐ Aggressive	Client is willing and able to accept significantly higher risks involving absolute/uncorrelated returns and even possible loss of investment for potentially

B INVESTMENT KNOWLEDGE AND EXPERIENCE

1. How would you describe your knowledge of investments?	☐ No experience	☐ Low degree of knowledge or experience dealing with investment securities or products	☐ Reasonable degree of knowledge or experience dealing with investment securities or products	☐ High degree of knowledge or experience dealing with investment securities or products
2. Which of the following investment products have you invested in the past three (3) years?	☐ Savings Account ☐ Time Deposit Account ☐ Principal Protected Products	☐ Short-Term Funds/ Money Market Funds ☐ Government Securities/ ROPs ☐ Investment Grade Bonds ☐ Fixed Income Funds	☐ Corporate Bonds/ Notes ☐ Balanced Funds/ Multi-Asset Funds ☐ Structured Products/ Derivatives	☐ Listed Stocks/ ETFs ☐ Private Equity ☐ Equity Funds ☐ Foreign currency transactions ☐ Alternative Investments
3. Do you have existing securities/derivatives license or authority?	☐ No experience	☐ Has Derivatives End-User License from the Bangko Sentral ng Pilipinas (BSP) or equivalent regulatory authority	☐ Has Broker/Dealer License from the Bangko Sentral ng Pilipinas (BSP) or equivalent regulatory authority	☐ Has Broker/Dealer License from the Securities and Exchange Commission (SEC) or equivalent foreign regulatory authority

TOTAL SCORE	CLIENT SUITABILITY RESULTS - FINANCIAL SOPHISTICATION
	☐ Market Counterparty
	☐ Sophisticated Corporate / Individual Client
	☐ Other Corporate / Individual Client

C CLIENT ACKNOWLEDGEMENT

I/We understand that this assessment is based on the information/data I/We provided and is designed to help us evaluate our financial needs as at the date of this declaration. I/We is/are aware that our financial needs may change over time depending on our financial situation and objectives; and understands that any incomplete or inaccurate information provided may affect this assessment. No guarantee is given as to the accuracy or completeness of the suggestions and recommendations provided as a result of this assessment.

I/We understand that the products and services offered by SLIMTC are not covered by the Philippine Deposit Insurance Corporation (PDIC). Any income or loss from the said products and services shall be for the account of the client. SLIMTC is not liable for losses unless upon willful default, bad faith or gross negligence.

I/We understand that my/our circumstances and attitude to risk can change over time, as such, SLIMTC will require me/us to update my/our risk profile at least once every three (3) years. However, should there be any change in my/our financial status before the end of this period, I/we can notify SLIMTC so that my/our records can be updated immediately.

For Joint Accounts, the Secondary Account Holder/s acknowledge/s that SLIMTC shall use the Primary Account Holder's CSA Score for the account which shall be binding on all of them.

DATA PRIVACY
I/We authorize Sun Life Investment Management and Trust Corp (SLIMTC) to process, use and transfer information herein, including this form, to any SLIMTC's branches, subsidiaries, affiliates, agents, representatives and third parties, selected by any of them, wherever situated, for purposes of complying with anti-money laundering and tax monitoring, review and reporting, statistical and risk analysis; and providing any products, services, or offers, made through mail/email/SMS/telephone, client satisfaction surveys. I/We am/are aware of my/our rights under the Data Privacy Act of 2012, which include the right to be informed, to access my/our personal data, to rectify errors, to object to processing, and to file a complaint with SLIMTC's Data Protection Officer and/or the National Privacy Commission. I/We understand and agree with the declarations and authorizations above and SLIMTC's privacy policy at privacy.slimtc@sunlife.com.

The authorized representative whose signature appears below, is designated to transact with Sun Life Investment Management and Trust Corporation, on behalf of the Client, and without prejudice to the compliance of the foregoing signing arrangement of the Client

(NOTE: For joint accounts, all accountholders must sign below.
For corporate accounts, please sign according to the signing instructions of your institution.)

Primary Account Holder / Authorized Signatory (1)

Printed Name	Signature
Place of signing *(City/Municipality, Country)*	Date Signed *(e.g. mm-dd-yyyy)*

Secondary Account Holder / Authorized Signatory (2)

Printed Name | Signature

Place of signing *(City/Municipality, Country)* | Date Signed *(e.g. mm-dd-yyyy)*

Secondary Account Holder / Authorized Signatory (3)

Printed Name | Signature

Place of signing *(City/Municipality, Country)* | Date Signed *(e.g. mm-dd-yyyy)*

Secondary Account Holder / Authorized Signatory (4)

Printed Name | Signature

Place of signing *(City/Municipality, Country)* | Date Signed *(e.g. mm-dd-yyyy)*

Secondary Account Holder / Authorized Signatory (5)

Printed Name | Signature

Place of signing *(City/Municipality, Country)* | Date Signed *(e.g. mm-dd-yyyy)*

RELATIONSHIP MANAGER / CERTIFIED UITF SALES PERSONNEL ATTESTATION

1. I declare that I have obtained complete, timely and accurate KYC information of the client.
2. I declare that I have performed sufficient fact-finding and analysis to ensure that the investment portfolio/strategy we recommended is suitable to the client based on the needs, objectives, risk profile, other holdings, financial situation and other facts the company has disclosed.
3. I also declare that the recommended investment strategy/portfolios are consistent with the clients' financial condition and risk appetite. In case the client opted to engage in an investment strategy / portfolios other than those recommended, I also declare that I have explained all the risks related to the same.
4. I have considered the complexity of the investment strategy/portfolio and the underlying securities/financial products involved and the client's ability to understand it prior to making an investment strategy/portfolio recommendation.

Relationship Manager / Certified UITF Sales Personnel

Printed Name | Signature

Place of signing *(City/Municipality, Country)* | Date Signed *(e.g. mm-dd-yyyy)*

FOR SLIMTC USE ONLY

Signature Verified by

Printed Name | Signature | Date *(e.g. mm-dd-yyyy)*

Approved by

Printed Name | Signature | Date *(e.g. mm-dd-yyyy)*