

Account Opening Form



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 INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT:

Any information provided in this form and when opening a mutual fund account will be used by 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 form and requirements to any of our 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. Fields in **BOLD Letters** are **ALL MANDATORY**.

A Account Type and Name

1. Select type of account Individual Joint AND (all investors must sign for all transactions) Joint OR (at least one of the investors must sign for all transactions) <small>Note: For Joint AND or Joint OR accounts, each co-investor must fill out and submit the Investor Information Form together with this form.</small>	2. If you are opening a Joint AND or Joint OR account, please indicate the complete account name following your desired sequence of investors:			
3. In-Trust-For (ITF) If you are opening this account in-trust-for a minor trust beneficiary (to whom you must be the parent, grandparent, or legal guardian), please provide the name of the minor below. <table border="0"><tr><td style="width: 40%;">Last Name</td><td style="width: 40%;">First Name</td><td style="width: 20%;">M.I.</td></tr></table> <small>Note: Please also provide other details regarding the minor trust beneficiary by submitting the Confirmation of In-Trust-For (ITF) Arrangement form and a copy of the minor's 1) PSA Birth Certificate or 2) Philippine Passport. An MF account can only have one (1) minor trust beneficiary.</small>		Last Name	First Name	M.I.
Last Name	First Name	M.I.		

B Principal Investor Information

Note: This section is for the principal investor only. For co-investors, please fill out the Investor Information Form.

4. Name of Principal Investor <table border="0"><tr><td style="width: 40%;">Last Name</td><td style="width: 40%;">First Name</td></tr><tr><td>Middle Name</td><td>Suffix (e.g., SR., JR., III)</td></tr><tr><td colspan="2">Other Legal Name</td></tr></table>			Last Name	First Name	Middle Name	Suffix (e.g., SR., JR., III)	Other Legal Name							
Last Name	First Name													
Middle Name	Suffix (e.g., SR., JR., III)													
Other Legal Name														
5. Permanent Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]		6. Zip Code												
7. Present Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)] Same as Permanent Home Address		8. Zip Code												
9. Mobile Phone Number (preferably postpaid) (e.g., +63-9123456789) <table border="0"><tr><td>Country Code</td><td>Mobile Number (10 digits)</td></tr><tr><td>+ -</td><td></td></tr></table>	Country Code	Mobile Number (10 digits)	+ -		10. Birthdate (e.g. 14-MAY-2024)	11. Citizenship(s)/Nationality								
Country Code	Mobile Number (10 digits)													
+ -														
12. Business/Work Phone Number (e.g., +63-02-85558888) <table border="0"><tr><td>Country Code</td><td>Area Code</td><td>Telephone Number (8 digits)</td></tr><tr><td>+ - - -</td><td></td><td></td></tr></table>	Country Code	Area Code	Telephone Number (8 digits)	+ - - -			13. Home Phone Number (e.g., +63-2-85558888) <table border="0"><tr><td>Country Code</td><td>Area Code</td><td>Telephone Number (8 digits)</td></tr><tr><td>+ - -</td><td></td><td></td></tr></table>	Country Code	Area Code	Telephone Number (8 digits)	+ - -			14. Sex (at birth) Male Female
Country Code	Area Code	Telephone Number (8 digits)												
+ - - -														
Country Code	Area Code	Telephone Number (8 digits)												
+ - -														
15. Civil Status Single Separated Married Widowed Common Law	16. Birthplace <table border="0"><tr><td>City</td><td>Province/State</td><td>Country</td></tr></table>	City	Province/State	Country	17. E-mail Address									
City	Province/State	Country												



D Compliance with the Anti-Money Laundering Act (AMLA) (Continuation)

Note: This section is for the principal investor only. For co-investors, please fill out the Investor Information Form.

D.3. Third Party Determination and Beneficial Owner Identification

A Third Party is an individual or entity who funds the account other than the investor on whose behalf a transaction or activity is being conducted, while a Beneficial Owner refers to any individual who ultimately owns or controls the investor and/or on whose behalf a transaction or activity is being conducted or has ultimate effective control over a legal person or legal arrangement.

33. Is there any Third Party or Beneficial Owner other than the investor, who:

- | | | |
|---|-----|----|
| a. funds any of the investments? | Yes | No |
| b. has access, use, or any kind of financial interest in the account? | Yes | No |
| c. on whose behalf the transaction or activity is being conducted? | Yes | No |

If you answered YES to any of the questions in item 33, and the Third Party or Beneficial Owner is an INDIVIDUAL only, please answer applicable questions in items 34 to 43:

34. Name of Third Party or Beneficial Owner		35. Relationship to the Investor	
Last Name (include suffixes like "JR.", "SR.", "III")		Spouse	Child
First Name	M.I.	Parent	Others, please specify
36. Permanent Residence Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable), Zip Code]			
37. Birthdate (e.g. 14-MAY-2024)	38. Birthplace		39. Sex (at birth)
	City	Province/State	Country
			Male Female
40. Philippine Tax Identification No. (TIN)	41. Citizenship(s)/Nationality	42. Occupation	43. Home Phone/Mobile Number
-	-		

If you answered YES to any of the questions in item 33, and the Third Party or Beneficial Owner is an ENTITY, please answer applicable questions in items 44 to 50:

44. Entity Name	45. Relationship to the Investor	46. Type of Entity (e.g., corporation/partnership, etc.)	47. Nature of Business
48. Philippine Tax Identification No. (TIN)	49. Date of Incorporation (e.g. 14-MAY-2024)	50. Country of Incorporation	
-	-		

E Investor Suitability Assessment

Note: This section is for the principal investor only. For co-investors, please fill out the Investor Information Form.

This assessment aims to determine your risk profile and investment experience. To enable Sun Life to offer products and services that are in line with your needs and risk profile, it is necessary that you provide accurate and sufficient information about your knowledge, experience, financial situation, financial capability (including ability to bear losses), and investment objectives (including risk tolerance). Otherwise, we are not in a position to accurately determine whether a particular product or service is appropriate to you, given the limited information available.

This assessment is for reference only and is not to be taken as an advice from SLAMCI on how to manage your investment. No guarantee is given as to the accuracy or completeness of this test. Your financial needs may change over time depending on your objective and situation.

Select the answers that most closely define your needs or best describe your situation.

51. LIQUIDITY – What portion of your investible/ financial assets* will be allocated for this investment?

*Cash, bank deposits, mutual funds/UITFs, stocks, or any asset easily converted to cash

- [1] Less than 5% [3] 5% to 15% [5] 16% to 25% [7] 26% to 35% [9] Over 35%

Note: SLAMCI does not recommend investing more than 20% of your investible/financial assets in a single product. In order to manage risks, it is recommended that you diversify your assets.

52. INVESTMENT OBJECTIVE – How would you best describe your investment objective and the level of risk you can take?

- [1] Capital Preservation: I want to secure my capital even if the investments provide low returns.
- [3] Regular Income: I prefer investments that provide a steady stream of income, as opposed to funds that widely fluctuate.
- [5] Income and Growth: I seek a regular flow of income but will accept some volatility for capital growth. I prefer investments that provide both opportunities to earn income and to grow over time.
- [7] Capital Growth: I seek long term growth with some income. I am comfortable with volatility in order to achieve capital growth.
- [9] Capital Appreciation: I seek capital appreciation and fully accept volatility. I prefer high-risk investments with high potential returns.

E Investor Suitability Assessment (Continuation)

Note: This section is for the principal investor only. For co-investors, please fill out the Investor Information Form.

53. INVESTMENT HORIZON – How long can you keep your money invested to achieve your financial goals?

[1] Less than one (1) year [5] Three (3) years to five (5) years [9] More than ten (10) years
 [3] One (1) year to two (2) years [7] Six (6) years to ten (10) years

54. KNOWLEDGE – How would you describe your knowledge of investments?

[1] No knowledge
 [2] Limited (I have limited knowledge of investments outside of bank deposits.)
 [3] Moderate (I have some knowledge of investments like bonds, stocks, and pooled funds, e.g., mutual funds, UITFs.)
 [4] Good (I have a general knowledge of investments like bonds, stocks, pooled funds, and derivatives.)
 [5] Extensive (I have an extensive knowledge of investments like bonds, stocks, pooled funds, derivatives, and structured products.)

55. EXPERIENCE – How many years have you been investing in stocks, bonds, and mutual funds?

[1] No experience [3] One (1) year to five (5) years [5] More than ten (10) years
 [2] Less than one (1) year [4] Six (6) years to ten (10) years

56. RISK TOLERANCE – How much are you willing to invest in higher-risk investments?

[1] Less than 20% [3] 21% to 40% [5] 41% to 60% [7] 61% to 80% [9] Over 80%

57. FINANCIAL SITUATION – Which statement best describes your current financial situation? Please consider your regular expenses, your ability to repay outstanding loans, and your savings for emergencies and retirement.

[1] I need this investment to supplement my current income.
 [3] I do not need this investment to supplement my current income; however, this could change in the next months.
 [5] I do not expect to use this investment to meet current requirements, but I would need to access these funds in an emergency.
 [7] My financial situation is stable, and I have sufficient cash flow to meet most of my requirements.
 [9] My financial situation is completely secure, and can meet my emergency requirements.

Add the points (numbers in brackets [] from questions 51 to 57) to get the total score. This will determine your risk profile and the recommended Sun Life Prosperity Funds for you.

Total Score	
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Scoring Criteria	14 points and below	15 to 22 points	23 to 30 points	31 to 38 points	39 points and above
RISK PROFILE	CONSERVATIVE	MODERATE	BALANCED	GROWTH	AGGRESSIVE
Recommended Sun Life Prosperity Funds	<ul style="list-style-type: none"> Peso Starter Fund (formerly Money Market Fund) Dollar Starter Fund Other Funds: 	<ul style="list-style-type: none"> GS Fund Bond Fund Dollar Abundance Fund Other Funds: 	<ul style="list-style-type: none"> Balanced Fund Achiever Funds 2028, 2038, and 2048 Dollar Wellspring Fund Other Funds: 	<ul style="list-style-type: none"> Dollar Advantage Fund World Income Fund Other Funds: 	<ul style="list-style-type: none"> Index Fund Equity Fund World Equity Index Feeder Fund World Voyager Fund Other Funds:

The result of this Investor Suitability Assessment (ISA) is valid for three (3) years from the date signed. However, we strongly recommend you review your investment risk profile at least once a year and inform us if there are major changes in your circumstances which will impact your existing risk profile. When a major change occurs in your personal situation, make sure your investment decisions continue to match your needs. The allocation of your investment should be consistent with your assessed risk profile based on the results of this assessment. Should you decide otherwise at any time, you are responsible for the decision and any of its effects.

E.1. Suitability Waiver Acknowledgment

If you are investing in at least one (1) Fund that is suited for a more aggressive risk profile, please acknowledge that the following declarations by marking the check box in item 58 and answering item 59 below. Otherwise, please skip this section.

58. You confirm that:

- You have decided to invest in a Fund(s) suited for a more aggressive risk profile.
- You signify that you do not agree with, and you are waiving the result of this Investor Suitability Assessment.
- You acknowledge that you shall bear the consequences of investing in a Fund(s) suited for a more aggressive risk profile.
- 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.

59. Please provide a reason for selecting a Fund that is suited for a more aggressive risk profile:

F Account Information

Note: This section is for the accountholder(s) (principal investor and co-investors, if any) to accomplish.

F.1. Initial Investment Details

Notes on Initial Investments:

- a. You may invest regularly using your bank account with any of SLAMCI's participating banks. To register, please fill out the: (1) SLAMCI's Auto-Invest Enrollment Form and; (2) the Bank's Automatic Debit Arrangement (ADA) Form.
- b. If investment is coursed through an advisor, always request for an Acknowledgment Receipt (A.R.).

* 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 number of years invested.

60. Fund Name (1)	60a. Sales Load	Front-End Load*	Back-End Load**	Others
	60b. Investment Amount	PHP	USD	, , , .
	60c. Amount in Words			
61. Fund Name (2)	61a. Sales Load	Front-End Load*	Back-End Load**	Others
	61b. Investment Amount	PHP	USD	, , , .
	61c. Amount in Words			
62. Fund Name (3)	62a. Sales Load	Front-End Load*	Back-End Load**	Others
	62b. Investment Amount	PHP	USD	, , , .
	62c. Amount in Words			

63. Payment Details (select all that apply)

- | | |
|--|---|
| Cash | Transfer from Sun Life Insurance Policy/Plan Agreement, |
| Check (To be processed only upon receipt of cleared funds) | indicate policy number |
| Check No. | Telegraphic Transfer |
| Drawee Bank | Prosperity Card, indicate card number |
| Direct Deposit/Bank Transfer to SLAMCI Bank Account | Others |
| Name of the Bank | |

F.2. Enrollment of Settlement Account(s)

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

- a. 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).
- b. 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.
- c. 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.
- d. Any new enrollments or updates to your settlement details are subject to SLAMCI's review and will supersede previously enrolled settlement bank accounts.

Currency (whichever is applicable)	Bank Name	Bank Account Name	Bank Account Number (SA/CA)
64. Philippine Peso (PHP) Settlement Bank Account			
65. 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 Deposit Slip
b. Certificate of Bank Deposits	e. ATM Card showing the bank account number	g. Machine-validated Withdrawal Slip
c. First Page of 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).**

G Reduced Sales Load Option

<p>66. Lower Front-End Sales Load</p> <p><i>(If you wish to reduce your sales load to 15% or lower, VAT exclusive)</i> You may apply for this privilege if you have an aggregate investment of at least PHP100,000 in your own and qualified related* mutual fund accounts, subject to SLAMCI's approval.</p>	Account Number(s)	Full Account Name (Last Name, First Name, Middle Name)	Relationship to Investor

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

H Terms and Conditions

Note: This section is for the accountholder(s) (principal investor and co-investors, if any) to read and understand.

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 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.

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)

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 the Company shall process your personal data to: a) evaluate your application and administer your account; 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, including verification and obtaining additional personal data from third party sources. 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. Your rights include the right to be informed, access your data, rectify errors, object to processing, and file a complaint. For more information about your rights and how we protect your data, you may access our privacy policy at <https://online.sunlife.com.ph/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. Your personal data shall be retained for the duration or existence of your 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. You certify that you understand and agree with the declarations and authorizations above and the Company's privacy policy at <https://online.sunlife.com.ph/privacy>.

Compliance with 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.

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 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.
 - 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 Shareholders - The rights of shareholders shall not be modified except by amendment of the Fund's Articles of Incorporation and/ or By-Laws.

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 pay out 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.

H Principal Investor's Acknowledgment and Agreement

Note: This section is for the principal investor only.

By signing below, you confirm that:

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. 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. 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).
- f. 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.
- g. 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.
- h. The sales load you choose is of your own choice and not solely based on the advice of your Mutual Fund (MF) Representative.
- i. 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, 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.
- j. 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.
- k. 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.
- l. 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 such any fees.
- m. 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.
- n. 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.
- o. 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 SLAMCI and/or its financial advisors.
- p. 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.
- q. The account will be closed permanently and automatically after three (3) years of inactivity and zero (0) balance.

67. Printed Name and Signature of Principal Investor	68. Date Signed (e.g. 14-MAY-2024)
<div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> Please sign here </div>	
69. 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	

I Co-Investors' Acknowledgment and Agreement

Note: This section is for the co-investor(s) (if any) only. If you are opening an account without any co-investor, disregard this section.

By signing below, you confirm that:

- a. You are performing this transaction while in the Philippines.
- b. You will individually submit the Investor Information Form, where all of your personal information and declarations are set out.
- c. You agree to be jointly bound with the principal investor under a Joint OR or Joint AND arrangement.
- d. You understand and agree with the initial investment(s) and details concerning the joint account as stipulated in sections F to H.
- e. You have accomplished your own Investor Suitability Assessment and have signed a Suitability Waiver acknowledgement as necessary.

70. Printed Name and Signature of Co-Investor (1)	71. Date Signed (e.g. 14-MAY-2024)
<div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> Please sign here </div>	
72. Printed Name and Signature of Co-Investor (2)	73. Date Signed (e.g. 14-MAY-2024)
<div style="border: 1px solid black; width: 200px; height: 30px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> Please sign here </div>	

I Co-Investors' Acknowledgment and Agreement (Continuation)

Note: This section is for the co-investor(s) (if any) only. If you are opening an account without any co-investor, disregard this section.

74. Printed Name and Signature of Co-Investor (3) <div style="text-align: center;"> <input type="text" value="Please sign here"/> </div>	75. Date Signed (e.g. 14-MAY-2024)
76. Printed Name and Signature of Co-Investor (4) <div style="text-align: center;"> <input type="text" value="Please sign here"/> </div>	77. Date Signed (e.g. 14-MAY-2024)
78. Printed Name and Signature of Co-Investor (5) <div style="text-align: center;"> <input type="text" value="Please sign here"/> </div>	79. Date Signed (e.g. 14-MAY-2024)

FOR THE MUTUAL FUND (MF) REPRESENTATIVE'S / BROKER'S USE ONLY

By signing below, 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) and Investor Suitability Assessment (ISA) processes.
- c. 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.
- d. You have asked the investor to confirm that he/she is in the Philippines at the time of the transaction, and you have no reason to believe otherwise.
- e. You advised the investor(s) that transactions will only be processed upon submission of complete information, documentary requirements, and cleared funds.
- f. You have accurately represented the nature and structure of the product and/or service, terms and conditions, fundamental benefits and risks, detailed breakdown of the pricing, or any cost associated with the product and service.
- g. You performed sufficient research to align product selection with the investor's risk profile and informed the investor(s) that incomplete or inaccurate information regarding their financial knowledge and experience may impede the ability to accurately assess product suitability due to the limited information provided.
- h. You explained all the risks related to the investment, in case this differs from the recommended product(s).
- i. You made full disclosure to the investor(s) that you receive compensation on a commission basis from the sale of investment products.
- j. You agree to be bound by any disciplinary body and be subject to appropriate action for any confirmed violation of the above.

80. Recommended Fund(s)	81. Investor's Selected Fund(s)	
82. Select the mode by which KYC was conducted on the investor(s): In-person (face-to-face) Remote/digitally-enabled selling (via video conferencing applications)		
83. For remote/digitally-enabled selling transactions only: For KYC purposes, describe how you met or knew the investor(s).		
84. Printed Name and Signature of MF Representative/Broker <div style="text-align: center;"> <input type="text" value="Please sign here"/> </div>	85. A.R. No. Issued	86. Date Signed (e.g. 14-MAY-2024)
87. MF Representative's Code	88. Branch	89. Lead Conversion Number

FOR OFFICE USE ONLY

90. Date Received (e.g. 14-MAY-2024)	91. Time Received	92. Receiving Department/Office
93. Remarks		