

# Investor Profile Questionnaire

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Sun Life Prosperity Mutual Funds are managed and distributed by Sun Life Asset Management Company, Inc. ("SLAMCI"), a member of Sun Life Financial group of companies.

Please PRINT clearly.

## General Information

Full Name of Investor (include co-investor's name)		Order Ticket Number
Name of Mutual Fund Representative:	Mutual Fund Representative's Code:	Branch:
Approximate Net Worth <input type="checkbox"/> Under P1 Million <input type="checkbox"/> P 1 - 5 Million <input type="checkbox"/> P 6 - 10 Million <input type="checkbox"/> over 10 Million		
Most Important Investment Goal <input type="checkbox"/> Retirement <input type="checkbox"/> Education <input type="checkbox"/> Buying a home <input type="checkbox"/> Others, please specify		
Investment knowledge <input type="checkbox"/> None <input type="checkbox"/> Little <input type="checkbox"/> Average <input type="checkbox"/> High		
Please check all that apply.		
	I currently have	I used to have
Life Insurance	<input type="checkbox"/>	<input type="checkbox"/>
Pre-need Plan	<input type="checkbox"/>	<input type="checkbox"/>
Government Securities	<input type="checkbox"/>	<input type="checkbox"/>
Time Deposit	<input type="checkbox"/>	<input type="checkbox"/>
Foreign Currency Bank Deposit	<input type="checkbox"/>	<input type="checkbox"/>
Common or Private Trust Funds	<input type="checkbox"/>	<input type="checkbox"/>
Mutual Funds	<input type="checkbox"/>	<input type="checkbox"/>
Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>
Stocks	<input type="checkbox"/>	<input type="checkbox"/>
Your Own Business	<input type="checkbox"/>	<input type="checkbox"/>
Real Estate	<input type="checkbox"/>	<input type="checkbox"/>
Commodities/Futures/Options	<input type="checkbox"/>	<input type="checkbox"/>

## Your Investment Profile

To complete this questionnaire, please choose the statement that most closely defines your needs or best describes your situation. Check the circle in the left-hand margin that corresponds to your choice.

### 1 - How long can you keep your money invested without any withdrawal?

- [1]  1-2 years  
 [2]  3-5 years  
 [3]  6-10 years  
 [4]  11-15 years  
 [5]  more than 15 years

### 2 - How would you best describe your attitude towards investing?

- [1]  Preserve my capital. I can accept low returns as long as my capital is secured.  
 [2]  I want to earn from my investment, but my capital should remain relatively stable.  
 [3]  I accept some fluctuations in my capital for potentially higher returns over the long term  
 [4]  I am willing to take higher risks to achieve higher returns over the long term.



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3 - How would you feel if there was a decline in your capital for the first couple of years?

- [1]  I can't accept any declines in the value of my investments.\*
- [2]  I wouldn't be too concerned with a short-term decline in my capital as long as interest earnings don't change.
- [3]  Generally, I invest for the long-term, but I would be a little concerned with the decline.
- [4]  I invest for the long-term, and I wouldn't be concerned with a short-term decline in my capital. I understand that high returns are associated with high risk.

*\*if answer to the question above is "1", this signifies a strong preference to invest in conservative fund option*

4 - How much do you expect to earn from your investment annually?

- [1]  Less than 5%
- [2]  5% - 10%
- [3]  11% - 15%
- [4]  Above 15%

5 - Are you concerned that your returns should be higher than inflation?

- [1]  No, I'm not concerned.
- [2]  Yes, I'm slightly concerned.
- [3]  Yes, I'm moderately concerned.
- [4]  Yes, I'm highly concerned.

6 - How familiar are you with investments?

- [1]  Not familiar at all.
- [2]  Not very familiar. I save my money in bank deposits.
- [3]  Familiar. I invest in UITFs, mutual funds, etc.
- [4]  Very familiar. I invest in stocks, bonds, options, etc.

7 - Which statement best describes your attitude towards investing?

- [1]  I am comfortable with low-risk investments.
- [2]  I want a large portion of my portfolio invested in low-risk investments and a small portion in high-risk investments to achieve a slightly higher return. I am prepared to accept a negative return once every 7 to 9 years.
- [3]  I want a balanced portfolio. I am prepared to accept a negative return once every 5 to 7 years.
- [4]  I want a large portion of my portfolio invested in high-risk investments, and a small portion in low-risk investments. I am prepared to accept a negative return once every 3 to 5 years.
- [5]  I want to invest primarily in high-risk assets with high return potential. I am prepared to accept a negative return once every 1 to 3 years.

←----- TOTAL SCORE

Scores	Your Investment Profile	FUND
Score 3 to 14 .....	Conservative/Stable. ....	GS/Bond/Dollar Abundance
Score 15 to 22 .....	Balanced/Growth. ....	Balanced/Dynamic/Dollar Advantage
Score 23 to 30 .....	Active/Aggressive. ....	Phil. Equity/Phil. Stock Index

**Note:**

We strongly recommend you review your viewpoint about investment risk at least once a year or when major change occurs in your personal situation to make sure your investment decisions continue to match your attitude to investment risk profile.

**Declaration**

I understand that this questionnaire will help me assess my risk appetite and investment experience based on the information provided by me. I am aware that my financial needs may change over time depending on my personal situation and objectives. Therefore, I understand that this questionnaire is intended for reference only and does not constitute, in any manner, advice given by SLAMCI. No guarantee is given as to the accuracy or completeness of the suggestions and recommendations provided in this questionnaire.

I understand that the allocation of my investment should be consistent with my risk profile as reflected in the results of this questionnaire. If however, I decide to allocate my investment in SLF Prosperity Funds differently from such results, either now or in the future, I acknowledge that I shall bear the consequences of my decision to invest on products/investments with higher risk. I further hold SLAMCI, its representatives, employees, officers, directors and successor-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 me as a result thereof.

I authorize SLAMCI: to 1) collect, process, use, store and destroy my personal and sensitive personal information and any and all information in its subsidiaries, affiliates, related companies, mutual fund representatives and third parties such as, relation to this Application and related documents; and 2) share, transfer and disclose said personal and sensitive personal information to any of its subsidiaries, affiliates, related companies, agents and representatives, industry associations and third parties, such as, but not limited to outsourced service providers, external auditors, courts of law in compliance with any lawful order or requirement and local and foreign regulatory authorities in relation to any matter (i.e., AMLA, FATCA, tax monitoring, review and reporting, offers made through mail/email/fax/SMS/telephone, customer satisfaction surveys, etc.). I hold SLAMCI, its officers, staff, agents and representatives free and harmless from any and all liability that may arise from any acts referred to above.

Printed Name of Principal Investor	Signature X	Date of Signing (mm/dd/yy)
Printed Name of Co-investor	Signature X	Date of Signing (mm/dd/yy)
Printed Name of Co-investor	Signature X	Date of Signing (mm/dd/yy)
Printed Name of the Mutual Fund Representative	Signature X	Date of Signing (mm/dd/yy)