



**B Co-Investor Information (if applicable)**

30. Name of Investor Last Name First Name Middle Name Other Legal Name			
31. Permanent Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]			32. Zip Code
33. Present Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)] Same as Permanent Home Address			34. Zip Code
35. Mobile Phone (country code, mobile no., e.g. +639123456789) +	36. Birthdate Day                      Month                      Year (e.g. 08-AUG-2008)                      -                      -		37. Citizenship
38. Work Phone (country code, area code, & tel no., e.g. +6325558888) +	39. Home Phone (country code, area code, & tel no., e.g. +6325558888) +		40. Gender Male Female
41. Birthplace (City/Province/State and Country)	42. Preferred Mailing Address Permanent Home Address                      Work Address Present Home Address		43. E-mail Address
44. Occupation	45. Gross Annual Income	46. Name of Employer/Business	47. Nature of Work/Business
48. Work Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]			49. Zip Code
50. SSS No. or GSIS No.		51. Philippine Tax Identification No. (TIN) -                      -	
52. ID Presented	53. ID No.	54. ID Expiry Date                      Day                      Month                      Year (e.g. 08-AUG-2008)                      -                      -	

**Compliance with the Foreign Account Tax Compliance Act (FATCA)**

The following information is collected for regulatory compliance.

A "U.S. person" is any individual who falls under the following categories: a natural born U.S. citizen, a naturalized citizen of the United States of America, non-U.S. citizen who resides in the United States of America for income tax purposes, or a permanent resident of the United States of America with a valid Permanent Resident Card (Green Card).

*\*Please refer to <https://www.irs.gov/individuals/international-taxpayers/substantial-presence-test> for more information about "U.S. persons."*

55. Are you a U.S. Person?                      Yes                      No  
If Yes, please indicate your U.S. Taxpayer Identification Number (TIN) below.

*\*Your U.S. TIN may be any of the following: U.S. Social Security Number (SSN), Employer Identification Number (EIN), or Individual Taxpayer Identification Number (ITIN).*

56. If you are a U.S. Person but do not have a U.S. TIN, please indicate the reason below:  
I am waiting for the U.S. TIN that I have applied for and will submit it within 15 days upon receipt.  
I have not yet applied or do not have a U.S. TIN. Please explain why in the box below.

**C In-Trust-For (if opening an account for a minor)**

57. Name of Minor Last Name First Name Middle Name			
58. Relationship to the Investor/Trustee	59. Birthplace (City/Province/State and Country)	60. Birthdate                      Day                      Month                      Year (e.g. 08-AUG-2008)                      -                      -	

Note: A Confirmation of In-Trust-For (ITF) Arrangement must be submitted together with a copy of the Birth Certificate or Passport of the minor for all ITF accounts.

**D Investor Suitability Assessment**

This assessment will let you know your risk profile and investment experience based on the information you provide. Your financial needs may change over time depending on your current objectives and situation. 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.

61. Net Investible Assets	PHP 1,000,000 and below	PHP 1,000,001 - PHP 5,000,000	PHP 5,000,001 - PHP 10,000,000	Over PHP 10,000,000
62. Most Important Investment Goal	Prepare for retirement Grow your money	Purchase a property Others, please specify	Open a business	Provide for education
63. How familiar are you with investing?	No experience at all A little experience (you have bank deposits)	Some experience (you have mutual funds, UITFs or VUL) Advanced experience (you have direct investment in stocks/bonds)		
64. You currently or used to have (please check all that apply):	Life Insurance Stocks	Pre-need Plan Own Business	Mutual Funds Real Estate Property	Bank Deposits Pooled Funds Bonds Others

**To be answered by the Principal Investor only.**

Choose the statement that most closely defines your needs or best describes your situation. After completing the assessment, add the points in brackets corresponding to your choice to get the total score.

<p><b>A - TIME HORIZON:</b> How long can you keep your money invested? [ 1 ] 1 - 5 years [ 3 ] 11 - 15 years [ 2 ] 6 - 10 years [ 4 ] More than 15 years</p> <p><b>B - RISK AND RETURN:</b> How would you best describe your attitude towards investing and the level of risk you can take? [ 1 ] Seeks capital preservation. Stable returns are preferred as opposed to funds that fluctuate widely. [ 2 ] Comfortable with volatility, and ready to accept fluctuations affecting less than half of my investments. [ 3 ] Comfortable with volatility, and ready to accept fluctuations affecting more than half of my investments. [ 4 ] Seeks capital appreciation. Fully accepts volatility to ensure higher returns over the long term.</p>	<p><b>C - FINANCIAL SITUATION:</b> Which statement best describes your financial situation? [ 1 ] This investment will supplement current income. [ 2 ] This investment is not needed to supplement current income, however this could change. [ 3 ] Should an unexpected situation arise, there may be a need to access these funds. [ 4 ] Can meet emergency requirements without withdrawing these funds.</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td style="text-align: center;"><b>Total Score</b></td> <td style="text-align: center;"><b>Score</b></td> <td style="text-align: center;"><b>Investment Profile</b></td> </tr> <tr> <td style="text-align: center;">[            ]</td> <td style="text-align: center;">3 to 6</td> <td style="text-align: center;">Conservative</td> </tr> <tr> <td></td> <td style="text-align: center;">7 to 9</td> <td style="text-align: center;">Moderately Aggressive</td> </tr> <tr> <td></td> <td style="text-align: center;">10 to 12</td> <td style="text-align: center;">Aggressive</td> </tr> </table>	<b>Total Score</b>	<b>Score</b>	<b>Investment Profile</b>	[            ]	3 to 6	Conservative		7 to 9	Moderately Aggressive		10 to 12	Aggressive
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[            ]	3 to 6	Conservative											
	7 to 9	Moderately Aggressive											
	10 to 12	Aggressive											

We strongly recommend you review your investment risk profile at least once a year. 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. SLAMCI, its representatives, employees, officers, directors, or successors-in-interest, will not be liable to you for any claims or action as a result of your decision.

**E Initial 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 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.

65. Fund Name ( 1 )	Sales Load:	Front-End Load*	Back-End Load**	Others
	Amount Paid:	PHP    USD	,	,
	Amount in Words:			
Payment Details		Direct Deposit to SLAMCI Bank Account		
Cash		Name of the Bank:		
Check (To be processed only upon receipt of cleared funds. To apply for the waived clearing privilege, fill out the Request for Waived Clearing by MF Representative form.)		Transfer from Sun Life Insurance Policy / Plan Agreement		
Check No.:		Telegraphic Transfer		
Drawee Bank:		Others		
66. Fund Name ( 2 )	Sales Load:	Front-End Load*	Back-End Load**	Others
	Amount Paid:	PHP    USD	,	,
	Amount in Words:			
Payment Details		Direct Deposit to SLAMCI Bank Account		
Cash		Name of the Bank:		
Check (To be processed only upon receipt of cleared funds. To apply for the waived clearing privilege, fill out the Request for Waived Clearing by MF Representative form.)		Transfer from Sun Life Insurance Policy / Plan Agreement		
Check No.:		Telegraphic Transfer		
Drawee Bank:		Others		
67. Source of Funds		Inheritance		
Existing investments in other instruments (time deposits, etc.)		Matured pre-need plan / insurance policy		
Income / bonus from employment		Other sources, please specify:		
Proceeds from sale of assets (real estate, etc.)				



**I 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) days from the date of submission of this application. SLAMCI is authorized to 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**

A stock certificate shall be issued upon a written request from the investor. Shareholders who do not elect to receive stock certificates 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 Prospectus of the Sun Life Prosperity Funds.

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

You acknowledge that SLAMCI, its employees, duly authorized representatives, related companies, third party service providers, and vendors shall process and share your information with any person or organization to (i) service this account, (ii) process transactions and enforce this contract, and (iii) pursue its legitimate and lawful rights and interests and other purposes allowed under privacy laws and regulations.

Your personal data shall be retained throughout the existence of your account(s) and/or until expiration of the retention limit set by laws and regulations from account closure and the period set for destruction or disposal of records. You certify that you have read, understood, and agreed with the declarations and authorizations above, including Sun Life’s privacy policy found in <https://apps.sunlife.com.ph/privacy>.

**J Investor’s Acknowledgment and Agreement**

You confirm that:

- a. 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.
- b. The funds where the investments come from are not from any of the unlawful activities listed in the Anti-Money Laundering Act (AMLA).
- c. You have received, read, and understood the Funds’ prospectuses, financial statements, policies, and these terms and conditions.
- d. We can make adjustments to your account(s) to correct any error and modify or terminate any investor privilege. We can also close your account and charge a fee for not complying with laws and our policies.

84. Printed Name and Signature of Investor	85. Date of Signing (e.g. 08-AUG-2008)	Day	Month	Year
		—	—	
86. Printed Name and Signature of Co-Investor	87. Date of Signing (e.g. 08-AUG-2008)	Day	Month	Year
		—	—	

**88. Would you like to receive personalized communications and product offers from SLAMCI, Sun Life of Canada (Philippines), Inc. (SLOCPI)?**  
 Yes                      No

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

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 performed the appropriate Know-Your-Investors (KYI) process based on the AMLA and Company policies, and you shall inform us immediately of your opinion about the investor’s integrity/reputation.
- c. You advised the investor(s) that transactions will only be processed upon submission of complete information, documentary requirements, and cleared funds.

89. Printed Name and Signature of MF Representative/Relationship Manager/Broker	90. A.R. No. Issued	91. Date of Signing (e.g. 08-AUG-2008)
		Day                      Month                      Year —                                      —
92. Representative’s Code	93. Branch	94. Lead Conversion Number

**For Office Use Only**

95. Date Received	96. Time Received	97. Receiving Department/Office
98. Remarks		