

# Application for Additional Co-Investor



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 Financial group of companies.

In this form, *you* and *your* refer to the investor/company's authorized signatory, while *we*, *us*, *our*, and the *Company* refer to SLAMCI.

**IMPORTANT NOTES:**

You must accomplish and submit the completed form and a copy of your valid ID to any of our Client Service Centers. For inquiries, please send an email to [sunlink@sunlife.com](mailto:sunlink@sunlife.com).

Please write legibly by using **capital letters**. Write N/A if question is not applicable. Mark the box(es) with an "X" to indicate your choice(s) then sign the form only when completely filled out.

A Co-Investor Information			
1. Name of Co-Investor Last Name First Name Middle Name Other Legal Name			
2. Permanent Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O Box is not acceptable)]			3. Zip Code
4. Present Home Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O Box is not acceptable)] Same as Permanent Home Address			5. Zip Code
6. Mobile Phone (country code, mobile no., e.g. +69123456789) +	7. Birthdate Day Month Year (e.g. 08-AUG-2008)		8. Citizenship
9. Work Phone (country code, area code, & tel no., e.g. +6325558888) +	10. Home Phone (country code, area code, & tel no., e.g. +6325558888) +	11. Gender Male Female	
12. Birthplace (City/Province/State and Country)	13. Preferred Mailing Address Permanent Home Address Work Address Present Home Address		14. E-mail Address
15. Occupation	16. Gross Annual Income	17. Name of Employer/Business	18. Nature of Work/Business
19. Work Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O Box is not acceptable)]			20. Zip Code
21. SSS No. or GSIS No.		22. Philippine Tax Identification No. (TIN) - -	
23. ID Presented	24. ID No.	25. 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."*

26. 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).*

27. 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.

**Politically Exposed Person Determination**

The Anti-Money Laundering Act requires us to establish and record the identity of politically exposed persons and their immediate relatives.

<p>28. Have you, or any immediate relatives* (living or deceased) ever held or are currently holding an elected or appointed government position of this country or another?      Yes              No</p> <p>If Yes, specify Name and Position</p> <p style="font-size: small; margin-top: 20px;">*Refers to parents, spouse or common law partner, children, siblings, and in-laws.</p>
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**B Terms and Conditions**

**Eligible Investor**

Any person of legal age, regardless of citizenship or nationality, may hold shares of the Fund(s). Please direct any inquiries about the documents to be submitted and any other account-related matter/s to SLAMCI or its Mutual Fund Representatives.

**Purchase Price**

The principal amount of investment shall purchase the corresponding number of Fund shares at the applicable Net Asset Value Per Share (NAVPS), less any sales load and taxes. The end-of-day NAVPS 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, if issued, shall serve as proof of redemption. Shares of the Fund will be redeemed using the NAVPS 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 12:00 noon. If the request is received after 12:00 noon, the price will be the end-of-day NAVPS of the next business day. NAVPS 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.

**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>.

**C Co-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 within thirty (30) days if any of the information provided has changed.
- b. The funds where the investments are sourced from were not generated 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.

<p>29. Printed Name and Signature of Co-Investor</p>	<p>30. Date of Signing (e.g. 08-AUG-2008)</p> <p style="text-align: center;">Day              Month              Year</p> <p style="text-align: center;">—                              —</p>
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**D 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.

<p>31. Printed Name and Signature of MF Representative/Relationship Manager/Broker</p>	<p>32. Date of Signing (e.g. 08-AUG-2008)</p> <p style="text-align: center;">Day              Month              Year</p> <p style="text-align: center;">—                              —</p>
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33. Would you like to receive personalized communications and product offers from SLAMCI, Sun Life of Canada (Philippines), Inc. (SLOCPI)?

Yes                      No

**For Office Use Only**

<p>34. Date Received</p>	<p>35. Time Received</p>	<p>36. Receiving Department/Office</p>
<p>37. Remarks</p>		