



**B Client Suitability Assessment**

This assessment aims to determine your risk profile and investment experience. 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 current objectives and situation.

Choose the statement that most closely defines your needs or best describes your situation.

22. **LIQUIDITY** - What percent of your investible/financial assets\* will be set aside for this investment?  
 \*cash, bank deposits, mutual funds/UITFs, stocks, or any asset easily converted to cash

Less than 5%	5% to 15%	16% to 25%	26% to 35%	Over 35%
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**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.

23. **KNOWLEDGE** - How much is 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 mutual funds.)
- [ 4 ] Good (I have general knowledge of investments like bonds, stocks, mutual funds, and derivatives.)
- [ 5 ] Extensive (I have extensive knowledge of investments like bonds, stocks, mutual funds, derivatives, and structured products.)

24. **EXPERIENCE** - How many years have you been investing in stocks, bonds and mutual funds?

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

25. **OBJECTIVE** - How would you best describe your investment objective and the level of risk you can take?

- [ 1 ] Capital preservation: I want my capital secured even if the investments provide low returns.
- [ 3 ] Regular Income: I prefer investments that provide a predictable flow 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.

26. **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%
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27. **TIME HORIZON** - How long can you keep your money invested to achieve your financial goals?

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

28. **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 a sufficient cash flow to meet most of my requirements.
- [ 9 ] My financial situation is completely secure, and I can meet emergency requirements.

Add the points indicated in the brackets (questions 23 to 28) corresponding to your choice to get the total score. Your total score will determine your risk profile and the recommended Funds for you.

<b>Total Score</b> [                    ]	<b>CONSERVATIVE</b> - up to 14 points <i>Money Market Fund</i> Others:	<b>MODERATE</b> - up to 22 points <i>GS Fund</i> <i>Bond Fund</i> Others:	<b>BALANCED</b> - up to 30 points <i>Balanced Fund</i> <i>Achiever Funds</i> Others:
	<b>GROWTH</b> - up to 38 points <i>Dynamic Fund</i> Others:	<b>AGGRESSIVE</b> - up to 46 points <i>Index Fund</i> <i>Equity Fund</i> Others:	

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.

**C Monthly Investment Details**

Sun RISE is an investment program which allows you to invest through automatic monthly contributions from your salary. Please indicate the Fund which your contributions will be invested in.

**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.

29. Fund Name	Sales Load:	
	Front-End Load*	Back-End Load**

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

**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.

30. Have you or any immediate relatives\* and close associates\*\* (living or deceased) ever held or are currently holding an elected or appointed government position in the Philippines or another country? Yes No If yes, kindly provide details below:

Name(s)	Relationship(s)	Government Agency(ies) and position(s)

\*Refers to parents, spouse or common law partner, children, siblings, grandparents, grandchildren, and in-laws.

\*\* Close associates refer to persons who are widely and publicly known to maintain a particularly close relationship with the politically exposed person (PEP), and include persons who are in a position to conduct substantial domestic and international financial transactions on behalf of the PEP.

**E Electronic Transactions**

You may view your transaction history and make subsequent transactions online. Contact your MF Representative or Relationship Manager to learn how to register for an online account.

You may also email SLAMCI at RequestSLAMCI@sunlife.com so we can process the applicable documents for your subsequent transactions. Subsequent transactions include: additional investments, redemptions, and/or fund switches. All signed documents sent by email shall be treated as original copies. Transactions received after 12:00 noon will be processed on the next business day.

You are responsible for the security of your account and data. SLAMCI is not liable for losses resulting from data transfer delays, unauthorized access, or misuse of your online account.

**F Terms and Conditions**

**Eligible Investor**

Any person of legal age, regardless of citizenship or nationality, may hold shares/units 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.

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.

**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 end-of-day NAVPS/NAVPU will be used for purchases made within the daily cut-off time.

**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.

**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.

**Compliance with the 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.

**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.

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>.

**Applicable Laws**

This application and related documents shall be governed by and interpreted in accordance with local or foreign laws that apply to SLAMCI.

**G 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. You have received, read, and understood the Funds’ prospectuses, financial statements, policies, and these terms and conditions.
- c. We can make adjustments to your account(s) to correct any error and modify or terminate any investor privilege. If we find out that you did not comply with laws and our policies, we may close your account and charge a fee.
- d. You are a Filipino citizen residing in the Philippines and you are not a US person under FATCA regulations.
- e. You are not a US citizen or a Green Card holder/US permanent resident and you have not stayed for more than 30 days in the United States in the past year.
- f. You have no intentions or plans to be physically present in the United States for more than 30 days next year, and then again in the following year.
- g. You are the only beneficial owner of this account. The funds where the investments and any other subsequent investments come from are sourced from your employment income or bonus and not from third parties and any of the unlawful activities listed in the Anti-Money Laundering Act (AMLA).
- h. You authorize the Company to conduct a personal investigation and/or verification on you and any records or data you have provided with third parties, including government agencies. A copy of the authorization granted in this document shall be valid as the original.

**G Investor's Acknowledgment and Agreement (continuation)**

31. Selected Fund	32. If you have selected a Fund suited for a more aggressive risk profile than your own, please provide a reason:			
33. Printed Name and Signature of Investor	34. Date of Signing (e.g. 08-AUG-2008)	Day	Month	Year

35. Would you like to receive personalized communication and product offers from SLAMCI, Sun Life of Canada (Philippines), Inc. (SLOCPI), Sun Life Financial Plans, Inc. (SLFPI), and other members of the Sun Life Financial group that may help with your financial needs?      **Yes**      **No**

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

You confirm that:

- You obtained satisfactory evidence to establish the accuracy of the information in this form and the investor's true identity.
- 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.
- You advised the investor(s) that transactions will only be processed upon submission of complete information, documentary requirements, and cleared funds.
- You performed sufficient research to ensure that the product(s) selected is consistent with the result of the investor's risk profile assessment.
- You explained all the risks related to the investment, in case this differs from the recommended product(s).

36. Printed Name and Signature of MF Representative/Relationship Manager/Broker	37. A.R. No. Issued	38. Date of Signing (e.g. 08-AUG-2008) Day      Month      Year -              -
39. Representative's Code	40. Branch	

**For Office Use Only**

41. Date Received	42. Time Received	43. Receiving Department/Office
44. Remarks		