

SUN LIFE PROSPERITY FUNDS¹

AGENDA FOR THE REGULAR JOINT MEETING OF THE AUDIT AND COMPLIANCE COMMITTEES

Date : 09 March 2021
 Duration : 9:30 a.m. to 11:30 a.m.
 Place : Zoom Video Conference

BUSINESS		RESPONSIBLE PARTY	ACTION REQUIRED	APPENDIX
1	Call to Order (9:30-9:31)	Committee Chairman ²		
2	Certification of Notice and Quorum (9:31-9:32)	Corporate Secretary	Note	
3	Minutes of the Previous Meeting (09 December 2020) (9:32-9:33)	Committee Chairman	Approve	/
4	Matters Arising from the Previous Meeting's Minutes (4) (9:33-9:34)	Committee Chairman	Note	/
5	Presentation of the 2020 Audit Results and Management Letter (9:34-9:35)	Deloitte	Note	/
6	2020 Audited Financial Statements (9:35-9:50)	Deloitte/ Candy S. Esteban	Approve	/
7	Private Meeting Between the Non-Executive Members of the Committee and the External Auditor (9:50-9:55)	Committee Chairman	Note	
8	Financial Review Summary (9:55-10:10)	Candy S. Esteban	Note	/
9	Review of Related Party Transactions (10:10-10:15)	Candy S. Esteban	Note	/
10	Review of Operations (10:15-10:30)	Gerald L. Bautista	Note	/
11	Investments Reports (10:30-10:50)		Note	/
11a	a. Investments Report	Michael Gerard D. Enriquez	Note	/
11b	b. Reports on Funds' Performance and Strategy	Michael Gerard D. Enriquez Ritchie G. Teo Ma. Cristina B. Gabaldon Michael Adrian Vergara	Note	/

¹ The Sun Life Prosperity Funds are 1) Sun Life of Canada Prosperity Bond Fund, Inc., 2) Sun Life of Canada Prosperity Balanced Fund, Inc., 3) Sun Life of Canada Prosperity Philippine Equity Fund, Inc., 4) Sun Life Prosperity Peso Starter Fund, Inc., 5) Sun Life Prosperity Dynamic Fund, Inc., 6) Sun Life Prosperity Dollar Advantage Fund, Inc., 7) Sun Life Prosperity Dollar Abundance Fund, Inc., 8) Sun Life Prosperity GS Fund, Inc., 9) Sun Life Prosperity Philippine Stock Index Fund, Inc., 10) Sun Life Prosperity Dollar Wellspring Fund, Inc., 11) Sun Life Prosperity World Voyager Fund, Inc., 12) Sun Life Prosperity Dollar Starter Fund, Inc., 13) Sun Life Prosperity Achiever Fund 2028, Inc., 14) Sun Life Prosperity Achiever Fund 2038, Inc., 15) Sun Life Prosperity Achiever Fund 2048, Inc., and 16) Sun Life Prosperity World Equity Index Feeder Fund, Inc.

² The Committee Chairman will be elected from among the Committee Chairmen present.

12	Key Risks Update (10:50-11:00)	Ria V. Mercado	Note	/
13	2021 Key Risks (11:00-11:05)	Ria V. Mercado	Note	/
14	Compliance Report (11:05-11:15)	Ma. Jemilyn S. Camania	Note	/
15	2021 Compliance Plan (11:15-11:20)	Ma. Jemilyn S. Camania	Approve	/
16	Report on Controls (11:20-11:25)	Joel O. Bungabong	Note	/
17	Private Meeting between the Non-executive Members of the Committee and the Internal Auditor (11:25-11:30)	Committee Chairman	Note	
18	Private Meeting between Non-executive Members of the Committee and the Compliance Officer (11:30-11:35)	Committee Chairman	Note	
19	Private Meeting between Non-executive Members of the Committee and the Risk Officer (11:35-11:40)	Committee Chairman	Note	
20	Forward Agenda (11:40-11:41)	Corporate Secretary	Approve	/
21	Review of Committee Charter (11:42)	Corporate Secretary	Approve	/
22	Other Matters, if any (11:43)	Committee Chairman	Note	
22a	a. Delegation of the Power to Suspend the Redemption of Shares or Units	Candy S. Esteban	Approve	/
23	Adjournment (11:44)	Committee Chairman	Approve	

Distribution List:

Committee Members

- Oscar S. Reyes*, Chairman (Dollar Advantage, Dollar Abundance, Peso Starter, Bond, Dynamic, GS, Achiever 2038 and Achiever 2048 Funds) and Member (Balanced, Philippine Equity, Achiever 2028 and World Equity Index Feeder Funds)
- Oscar M. Orbos*, Chairman (Wellspring, Stock Index, World Voyager, Dollar Starter, and Philippine Equity Funds), and Member (Dollar Advantage, Dollar Abundance, Bond, Peso Starter, Dynamic, Achiever 2028, and World Equity Index Feeder Funds)
- Aleli Angela G. Quirino*, Chairman (World Equity Index Feeder, Achiever 2028 and Balanced Funds) and Member (Bond, Peso Starter, Dollar Starter, Dynamic, GS, Stock Index, Wellspring, World Voyager, Achiever 2038 and Achiever 2048 Funds)
- Cielito F. Habito*, Member (Balanced, Philippine Equity, Stock Index, Wellspring, World Voyager, Dollar Advantage, Dollar Abundance, GS, Dollar Starter, Achiever 2038 and Achiever 2048 Funds)

Attendees

- Benedicto C. Sison, Chairman (all Funds)
- Maria Josefina A. Castillo, President (all Funds)
- Gerald L. Bautista, Director- WEIFF and Peso Starter Fund; President - Sun Life Asset Management Company, Inc.
- Candy S. Esteban, Treasurer

- Ma. Jemilyn S. Camania, Compliance Officer
- Ria V. Mercado, Risk Officer
- Joel O. Bungabong, Internal Auditor
- Michael Gerard D. Enriquez, Chief Investment Officer
- Teodoro S. Pineda, Jr., Chief Technology Officer
- Sherwin S. Sampang, SLFPI Treasurer, Observer
- Edgar S. Tordesillas, General Counsel
- Anna Katrina C. Kabigting-Ibero, Corporate Secretary
- Frances Ianna S. Canto, Counsel, Assistant Corporate Secretary
- Maria Junifer L. Maliglig, Law Clerk

*Independent Director

SUN LIFE PROSPERITY FUNDS¹

AGENDA FOR THE REGULAR JOINT MEETING OF THE AUDIT AND COMPLIANCE COMMITTEES

Date : 14 July 2021
 Duration : 9:00 a.m. to 11:00 a.m.
 Place : Zoom Video Conference

BUSINESS		RESPONSIBLE PARTY	ACTION REQUIRED	APPENDIX
1	Call to Order (9:00-9:01)	Committee Chairman ²		
2	Certification of Notice and Quorum (9:02)	Corporate Secretary	Note	
3	Minutes of the Previous Meeting (09 March 2021) (9:02-9:03)	Committee Chairman	Approve	/
4	Matters Arising from the Minutes of the Previous Meeting (1) (9:03-9:08)	Committee Chairman	Note	/
5	Sun Life Cybersecurity Framework (9:08-9:13)	Teodoro S. Pineda	Note	/
6	Financial Review Summary (9:13-9:28)	Candy S. Esteban	Note	/
7	Review of External Audit Relationship (9:28-9:33)	Candy S. Esteban	Approve / Endorse	/
8	Review of Related Party Transactions (9:33-9:35)	Candy S. Esteban	Note	/
9	Review of Operations (9:35-9:55)	Gerald L. Bautista	Note	/
10	Investment Report (9:55-10:05)	Michael Gerard D. Enriquez	Note	/
11	Key Risks Update (10:05-10:15)	Ria V. Mercado	Note	/
12	Compliance Report (10:15-10:25)	Ma. Jemilyn S. Camania	Note	/
13	Report on Control (10:25-10:35)	Joel O. Bungabong	Note	/
14	Private Meeting between Non-executive Members of the Committee and the Internal Auditor (10:35-10:40)	Committee Chairman	Note	
15	Private Meeting between Non-executive Members of the Committee and the Compliance Officer (10:40-10:45)	Committee Chairman	Note	

¹ The Sun Life Prosperity Funds are 1) Sun Life of Canada Prosperity Bond Fund, Inc., 2) Sun Life of Canada Prosperity Balanced Fund, Inc., 3) Sun Life of Canada Prosperity Philippine Equity Fund, Inc., 4) Sun Life Prosperity Peso Starter Fund, Inc., 5) Sun Life Prosperity Dollar Advantage Fund, Inc., 6) Sun Life Prosperity Dollar Abundance Fund, Inc., 7) Sun Life Prosperity GS Fund, Inc., 8) Sun Life Prosperity Dynamic Fund, Inc., 9) Sun Life Prosperity Philippine Stock Index Fund, Inc., 10) Sun Life Prosperity Dollar Wellspring Fund, Inc., 11) Sun Life Prosperity World Voyager Fund, Inc., 12) Sun Life Prosperity Dollar Starter Fund, Inc., 13) Sun Life Prosperity World Equity Index Feeder Fund, Inc., 14) Sun Life Prosperity Achiever Fund 2028, Inc., 15) Sun Life Prosperity Achiever Fund 2038, Inc. and 16) Sun Life Prosperity Achiever Fund 2048, Inc.

² The Committee Chairman will be elected from among the Committee Chairmen present.

	BUSINESS	RESPONSIBLE PARTY	ACTION REQUIRED	APPENDIX
16	Private Meeting between Non-executive Members of the Committee and the Risk Officer (10:45-10:50)	Committee Chairman	Note	
17	Forward Agenda (10:51)	Corporate Secretary	Approve	/
18	Other Matters (10:52)	Committee Chairman		
19	Adjournment (10:53)	Committee Chairman	Approve	

Distribution List:

Committee Members

- Oscar S. Reyes*, Chairman (Dollar Advantage, Dollar Abundance, Peso Starter, Bond, Dynamic, GS, Achiever 2038 and Achiever 2048 Funds) and Member (Balanced, Philippine Equity, Achiever 2028 and World Equity Index Feeder Funds)
- Oscar M. Orbos*, Chairman (Wellspring, Stock Index, World Voyager, Dollar Starter, and Philippine Equity Funds), and Member (Dollar Advantage, Dollar Abundance, Bond, Peso Starter, Dynamic, Achiever 2028, and World Equity Index Feeder Funds)
- Aleli Angela G. Quirino*, Chairman (World Equity Index Feeder, Achiever 2028 and Balanced Funds) and Member (Bond, Peso Starter, Dollar Starter, Dynamic, GS, Stock Index, Wellspring, World Voyager, Achiever 2038 and Achiever 2048 Funds)
- Cielito F. Habito*, Member (Balanced, Philippine Equity, Stock Index, Wellspring, World Voyager, Dollar Advantage, Dollar Abundance, GS, Dollar Starter, Achiever 2038 and Achiever 2048 Funds)

Attendees

- Benedicto C. Sison, Chairman (all Funds)
- Maria Josefina A. Castillo, President (all Funds)
- Gerald L. Bautista, Director- WEIFF and Peso Starter Fund; President - Sun Life Asset Management Company, Inc.
- Teresita J. Herbosa*, Incoming Independent Director
- Candy S. Esteban, Treasurer
- Ma. Jemilyn S. Camania, Compliance Officer
- Ria V. Mercado, Risk Officer
- Joel O. Bungabong, Internal Auditor
- Michael Gerard D. Enriquez, Chief Investment Officer, Sun Life Philippines
- Ritchie G. Teo, Deputy Chief Investment Officer, Sun Life Philippines
- Teodoro S. Pineda, Jr., Chief Technology Officer
- Sherwin S. Sampang, SLFPI Treasurer, Observer
- Edgar S. Tordesillas, General Counsel
- Anna Katrina C. Kabigting-Ibero, Corporate Secretary
- Frances Ianna S. Canto, Counsel, Assistant Corporate Secretary
- Maria Junifer L. Maliglig, Law Clerk

*Independent Director

SUN LIFE PROSPERITY FUNDS¹

AGENDA FOR THE REGULAR JOINT MEETING OF THE AUDIT AND COMPLIANCE COMMITTEES

Date : 14 September 2021
 Duration : 9:00 a.m. to 11:30 a.m.
 Place : Zoom Video Conference

	BUSINESS	RESPONSIBLE PARTY	ACTION REQUIRED	APPENDIX
1	Call to Order (9:00-9:01)	Committee Chairman ²		
2	Certification of Notice and Quorum (9:01-9:02)	Corporate Secretary	Note	
3	Minutes of the Previous Meeting (14 July 2021) (9:02-9:03)	Committee Chairman	Approve	/
4	Matters Arising from the Minutes of the Previous Meeting (1) (9:03-9:13)	Committee Chairman	Note	/
5	External Audit Plan for Audit Year 2021 (9:13-9:25)	Navarro Amper & Co./ Deloitte Touche Tohmatsu	Approve	/
6	Private Meeting between Non-Executive Members of the Committee and the External Auditor (9:25-9:35)	Committee Chairman		
7	Financial Review Summary (9:35-9:50)	Candy S. Esteban	Note	/
8	Review of Related Party Transactions (9:50-9:55)	Candy S. Esteban	Note	/
9	Review of Operations (9:55-10:15)	Gerald L. Bautista	Note	/
10	Investment Report (10:15-10:25)	Ritchie Ryan G. Teo	Note	/
11	Key Risks Update (10:25-10:35)	Ria V. Mercado	Note	/
12	Compliance Report (10:35-10:45)	Ma. Jemilyn S. Camania	Note	/
13	Report on Controls (10:45-10:55)	Joel O. Bungabong	Note	/

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	BUSINESS	RESPONSIBLE PARTY	ACTION REQUIRED	APPENDIX
14	Private Meeting between Non-Executive Members of the Committee and the Internal Auditor (10:55-11:05)	Committee Chairman	Note	
15	Private Meeting between Non-Executive Members of the Committee and the Compliance Officer (11:05-11:15)	Committee Chairman	Note	
16	Private Meeting between Non-Executive Members of the Committee and the Risk Officer (11:15-11:25)	Committee Chairman	Note	
17	Forward Agenda (11:26)	Corporate Secretary	Note	/
18	Other Matters, if any (11:27)	Corporate Secretary	Note	
19	Adjournment (11:28)	Committee Chairman	Approve	

Distribution List:

Committee Members

- Oscar S. Reyes*, Chairman (Dollar Advantage, Dollar Abundance, Dynamic, GS, Achiever 2038 and Achiever 2048 Funds) and Member (Balanced, Philippine Equity, Achiever 2028 and World Equity Index Feeder Funds)
- Oscar M. Orbos*, Chairman (Wellspring, Stock Index, World Voyager, and Philippine Equity Funds), and Member (Dollar Starter, Dollar Advantage, Dollar Abundance, Bond, Peso Starter, Dynamic, Achiever 2028, and World Equity Index Feeder Funds)
- Aleli Angela G. Quirino*, Chairman (Dollar Starter, World Equity Index Feeder, Achiever 2028 and Balanced Funds) and Member (Dynamic, GS, Stock Index, Wellspring, World Voyager, Achiever 2038 and Achiever 2048 Funds)
- Cielito F. Habito*, Member (Balanced, Bond, Philippine Equity, Peso Starter, Stock Index, Wellspring, World Voyager, Dollar Advantage, Dollar Abundance, GS, Achiever 2038 and Achiever 2048 Funds)
- Teresita J. Herbosa*, Chairman (Bond and Peso Starter Funds)

Attendees

- Benedicto C. Sison, Chairman (all Funds)
- Maria Josefina A. Castillo, President (all Funds)
- Gerald L. Bautista, Director- WEIFF and Peso Starter Fund; President - Sun Life Asset Management Company, Inc.
- Candy S. Esteban, Treasurer
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- Ria V. Mercado, Risk Officer
- Joel O. Bungabong, Internal Auditor
- Michael Gerard D. Enriquez, President and Chief Investment Officer, SLIMTC
- Ritchie Ryan G. Teo, Deputy Chief Investment Officer, SLIMTC
- Ivan P. Corcuera, OIC Head of Investments, Sun Life Philippines
- Teodoro S. Pineda, Jr., Chief Technology Officer
- Sherwin S. Sampang, SLFPI Treasurer, Observer
- Edgar S. Tordesillas, General Counsel
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Date : 14 December 2021
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 Place : Zoom Meeting Conference

BUSINESS		RESPONSIBLE PARTY	ACTION REQUIRED	APPENDIX
1	Call to Order (9:30-9:31)	Committee Chairman ²		
2	Certification of Notice and Quorum (9:31-9:32)	Corporate Secretary	Note	
3	Minutes of the Previous Meeting (14 September 2021) (9:32-9:33)	Committee Chairman	Approve	/
4	Matters Arising from the Previous Meeting's Minutes (2) (9:33-9:45)	Committee Chairman	Note	/
5	Financial Review Summary (9:10-9:25)	Sherwin S. Sampang	Note	/
6	Review of Related Party Transactions (9:25-9:30)	Sherwin S. Sampang	Note	/
6a	a. Review of RPT Operating Guideline	Sherwin S. Sampang**	Approve/ Endorse	/
7	Review of Operations (9:30-9:45)	Gerald L. Bautista	Note	/
8	Investments Report (9:45-9:55)	Michael Gerard D. Enriquez	Note	/
8a	a. 3-year Forecast on the Economy and Market	Michael Gerard D. Enriquez	Note	
9	Key Risks Update (9:55-10:05)	Ria V. Mercado	Note	/
10	Compliance Report (10:05-10:15)	Ma. Jemilyn S. Camania	Note	/
11	Report on Controls (10:15-10:20)	Joel O. Bungabong	Note	/
12	2022 Internal Audit Plan (10:20-10:25)	Joel O. Bungabong	Note	/
13	Private Meeting between the Non-executive Members of the Committee and the Internal Auditor (10:25-10:35)	Committee Chairman		

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14	Private Meeting between Non-executive Members of the Committee and the Compliance Officer (10:35-10:45)	Committee Chairman		
15	Private Meeting between Non-executive Members of the Committee and the Risk Officer (10:45-10:55)	Committee Chairman		
16	Forward Agenda (10:55-10:56)	Corporate Secretary	Note	/
17	Schedule of Meetings for 2022-2023 (10:56-10:57)	Corporate Secretary	Approve	/
18	Other Matters, if any (10:58)	Committee Chairman	Note	
19	Adjournment (10:59)	Committee Chairman	Approve	

Distribution List:

- Oscar S. Reyes*, Chairman (Dollar Advantage, Dollar Abundance, Dynamic, GS, Achiever 2038 and Achiever 2048 Funds) and Member (Balanced, Philippine Equity, Achiever 2028 and World Equity Index Feeder Funds)
- Cesar Luis F. Bate*, Chairman (Wellspring, Stock Index, World Voyager, and Philippine Equity Funds), and Member (Dollar Starter, Dollar Advantage, Dollar Abundance, Bond, Peso Starter, Dynamic, Achiever 2028, and World Equity Index Feeder Funds)
- Aleli Angela G. Quirino*, Chairman (Dollar Starter, World Equity Index Feeder, Achiever 2028 and Balanced Funds) and Member (Dynamic, GS, Stock Index, Wellspring, World Voyager, Achiever 2038 and Achiever 2048 Funds)
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Attendees

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- Michael Gerard D. Enriquez, President and Chief Investment Officer, SLIMTC
- Ritchie Ryan G. Teo, Deputy Chief Investment Officer, SLIMTC
- Ivan P. Corcuera, OIC Head of Investments, Sun Life Philippines
- Gaurav Mishra, Chief Operations & Digital Enterprise Officer
- Edgar S. Tordesillas, General Counsel
- Anna Katrina C. Kabigting-Ibero, Corporate Secretary
- Frances Ianna S. Canto, Counsel, Assistant Corporate Secretary
- Maria Junifer L. Maliglig, Law Clerk

*Independent Director

** For this meeting only