

# Checklist for Account Opening (Institutions)

**Purpose of this Checklist:**

This checklist serves as a guide for institutions when opening an account with Sun Life Asset Management Company, Inc. (SLAMCI).

**IMPORTANT REMINDERS:**

- Submit clear copies of valid, government-issued identification (ID) with photo and signature.
- Scanned copies of corporate documents are acceptable, provided they are clear and readable.

1. Name of Institution			
2. Account Opening for:	Corporate Fund	Retirement Fund/Provident Fund	Sun RISE

**A Mandatory Requirements**

Account Opening (Institutions)	Investor Suitability Assessment*
IRS Forms (To be updated every three (3) years from account opening)	Valid ID of Authorized Representative(s)
W-8 BEN-E (not a US entity)	Audited Financial Statement*
W9 (US entity)	

\*Not applicable to Sun RISE clients

**B Additional Requirements**

Submit applicable requirements as indicated below.

B.1. Per Entity Type					
Entity Type	Certificate of Incorporation/Registration issued by SEC/DTI/CDA/ROBLR/BIR	Articles of Incorporation/Cooperation/Partnership/Constitution	Latest General Information Sheet (GIS)**	Secretary's Certificate (Suggested Template with Annex A)	Additional Requirements
<b>Securities and Exchange Commission (SEC)</b>					
Corporation - Local (Stock and Non-Stock)	✓	✓	✓	✓	
Corporation - Foreign	✓		✓		<ul style="list-style-type: none"> <li>• Articles of Association or equivalent document</li> <li>• Certification by the Resident Agent or Country Head</li> </ul>
Corporation Sole	✓	✓			<ul style="list-style-type: none"> <li>• Copy of the Commission/Certificate of Election/Letter of Appointment of the Chief Archbishop/Bishop/Priest/Minister/Rabbi/Presiding Elder duly certified by a notary public</li> </ul>
Partnership	✓	✓		✓	
<b>Trust</b>					
Trust	✓	✓	✓	✓	<ul style="list-style-type: none"> <li>• Trust License issued by BSP</li> </ul>
<b>Department of Trade and Industry (DTI)</b>					
Sole Proprietorship	✓				<ul style="list-style-type: none"> <li>• Valid Business Permit</li> </ul>
<b>Cooperative Development Authority (CDA)</b>					
Cooperative	✓	✓	✓***	✓	<ul style="list-style-type: none"> <li>• Certificate of Compliance (CDA)</li> </ul>
<b>Bureau of Internal Revenue (BIR)</b>					
Retirement Fund (Defined Benefit, Defined Contribution)	✓			✓	<ul style="list-style-type: none"> <li>• For BIR-registered Fund: BIR registration showing the TIN, BIR certification of tax-exemption, and Board of Trustees' certification authorizing investment in Sun Life</li> <li>• If not BIR-registered, follow requirements for Corporation - Local</li> </ul>
<b>Regional Office of the Bureau of Labor Relations (ROBLR)</b>					
Union	✓			✓	<ul style="list-style-type: none"> <li>• Constitution or By-Laws</li> <li>• Latest updated list of officers duly filed with the Regional Office or Bureau</li> <li>• Beneficial owners and beneficiaries of the union</li> </ul>

\*A Certificate of Filing of Amended Articles of Incorporation (AOI) issued by the SEC is required if Amended AOI is submitted.

\*\*GIS is required for entity beneficial owners owning 20% shares and more.

\*\*\*Cooperative: Latest updated list of directors/trustees and officers [Cooperative Annual Progressive Report (CAPR) Form]



**B Additional Requirements (Continuation)**

**B.2. For Provident Fund/Sun RISE**

Memorandum of Agreement  
Employee Profile Database  
Employee Subscription File

**C Acknowledgment [To be completed by the Relationship Manager (RM)/Mutual Fund (MF) Representative]**

3. Printed Name and Signature of RM/MF Representative <div style="text-align: center; margin-top: 10px;">Please sign here <input style="width: 100px; height: 20px;" type="text"/></div>	4. A.R. No. Issued	5. Date Signed (e.g. 12-31-2019) Month      Day      Year -      -      -
6. MF Representative's Code	7. Branch	

**For Office Use Only**

8. Date Received <div style="background-color: #f0f0f0; height: 20px; width: 100%;"></div>	9. Time Received <div style="background-color: #f0f0f0; height: 20px; width: 100%;"></div>	10. Receiving Department/Office <div style="background-color: #f0f0f0; height: 20px; width: 100%;"></div>
11. Remarks <div style="background-color: #f0f0f0; height: 20px; width: 100%;"></div>		

*For inquiries and concerns, please contact us through the following:*

E-mail: [sunlink@sunlife.com](mailto:sunlink@sunlife.com)  
Client Care: (+632) 8-849-9888\*  
Toll-free (using PLDT Line): 1-800-10-SUNLIFE (7865433) outside Metro Manila  
8:00 AM - 7:00 PM | Mondays to Fridays  
\*Calls outside the Philippines may incur international call charges.