

Account Opening Form (Institutions)



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 group of companies.

In this form, you and your refer to the investor, while we, us, our, and the Company refer to SLAMCI.

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT:

Any information provided in this form and when opening a mutual fund account will be used by the Company to identify you and/or verify your information. This is to ensure that we protect you, your application, and your transaction with the Company from being used for money laundering and terrorist financing activities.

IMPORTANT NOTES:

You must accomplish and submit the form and requirements to any of our Mutual Fund (MF) Representatives, Client Service Centers, or through an e-mail to RequestSLAMCI@sunlife.com. All signed documents sent via e-mail shall be treated as original copies. For inquiries, please send an e-mail to sunlink@sunlife.com.

Please write legibly using **CAPITAL LETTERS**. Write **N/A** if the question is not applicable. Mark the box(es) with a "✓" to indicate your choice(s), then sign the form only when completely filled out. Fields in **BOLD Letters** are **ALL MANDATORY**.

A Account Type and Name			
1. Type of Institution			
Sole Proprietorship	Partnership	Corporation	Religious Cooperative Others
2. Purpose of Account Opening		Corporate Fund	Retirement Fund/Provident Fund Sun RISE
3. Name of Institution			
4. Current Business Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable)]			5. Zip Code
6. Registration Certificate Number		7. Registration Date (e.g. 14-MAY-2024)	8. Philippine Tax Identification No. (TIN)
			- -
9. Nature of Business		10. Business Phone Number (e.g., +63-02-85558888) Country Code Area Code Telephone Number (8 digits) + - -	
11. Estimated Annual Income (in Philippine Peso)*			12. Country of Incorporation
<10M	10M to 50M	51M to 100M	>100M

Enrollment of Settlement Account(s)*

*This detail is NOT mandatory for Sun RISE clients.

Enrollment of settlement bank account is subject to the following guidelines:

- Only one settlement bank account shall be enrolled per currency, per MF Account. You may use the same settlement bank account for your other MF Account(s), provided it/they pertain(s) to the same accountholder(s).
- Your settlement bank account name must be exactly the same (in order, format, and joint account type when applicable) as the MF Account Name to be created, in order for redemption and other proceeds to be credited by the bank.
- SLAMCI will credit all future redemptions and other proceeds from all Funds to your enrolled settlement bank account. We will not be liable for delays in, or unsuccessful crediting of redemption and other proceeds due to errors or discrepancies in bank account name and/or other information provided.
- Any new enrollments or updates to your settlement details are subject to SLAMCI's review and will supersede previously enrolled settlement bank accounts.

Currency (whichever is applicable)	Bank Name	Bank Account Name	Bank Account Number (SA/CA)
13. Philippine Peso (PHP) Settlement Bank Account			
14. US Dollar (USD) Settlement Bank Account			

Requirement for Proof(s) of Bank Account Ownership:

- As an extra validation measure, please provide any one (1) of the documents below as proof that you are the authorized owner(s) of the settlement bank account(s) nominated above:
 - Bank Statement of Account
 - Certificate of Bank Deposits
 - First Page of Account Passbook
 - Check
 - ATM Card showing the bank account number
 - Machine-validated Deposit Slip
 - Machine-validated Withdrawal Slip
- The bank account number(s) and the account name(s) must appear on **one (1) page** and should be readable and clear. **SLAMCI may require presentation of additional documents to validate your submission(s).**



B Contact Person Information

Contact Person is the individual authorized by the institution to access or verify information. All transactions should be initiated and approved by the Authorized Representative(s).

15. Name of Contact Person		
Last Name (include suffixes like "JR.", "SR.", "III")	First Name	M.I.
16. Designation	17. Business Phone Number (e.g., +63-02-85558888) Country Code Area Code Telephone Number (8 digits) + - -	18. E-mail Address

C Initial Investment Details

Note: If investment is coursed through an advisor, always request for an Acknowledgment Receipt (A.R.).
 * Front-end load are charges to be paid by the institution at the time of investment.
 ** Back-end load are charges to be paid by the institution at the time of redemption, based on number of years invested.

19. Fund Name (1)	19a. Sales Load	Front-End Load*	Back-End Load**	Others
	19b. Amount Paid	PHP USD	,	,
	19c. Amount in Words			
20. Fund Name (2)	20a. Sales Load	Front-End Load*	Back-End Load**	Others
	20b. Amount Paid	PHP USD	,	,
	20c. Amount in Words			
21. Fund Name (3)	21a. Sales Load	Front-End Load*	Back-End Load**	Others
	21b. Amount Paid	PHP USD	,	,
	21c. Amount in Words			

22. Payment Details (select all that apply)

Cash	Transfer from Sun Life Insurance Policy/Plan Agreement,
Check (To be processed only upon receipt of cleared funds)	indicate policy number
Check No.	Telegraphic Transfer
Drawee Bank	Others
Direct Deposit/Bank Transfer to SLAMCI Bank Account	
Name of the Bank	

23. Please select the source(s) of funding you will use for your initial investment(s). Select all that apply.

Proceeds from Sale of Assets [Please specify asset(s) sold] Time Deposits/Mutual Funds/Other Investments Allowance/Donation/Regular Remittances/Gift [Please fill out section D.3. (Third Party Determination and Beneficial Owner Identification)] Income from Business [Please specify business name and nature] Income from Rentals Commissions/Professional Fees	Inheritance [Please specify property(ies) inherited] Salaries/Bonus from Employment/Retirement Fund/Pension Matured Pre-need Plan/Insurance Policy Proceeds (e.g., death claims, endowment) Other source(s) (Please specify)
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Note: For further validation, SLAMCI may require additional due diligence requirements.

D Third Party Determination and Beneficial Owner Identification

A Third Party is an Individual or Entity who funds the account other than the investor on whose behalf a transaction or activity is being conducted, while a Beneficial Owner refers to any individual who ultimately owns or controls the investor and/or on whose behalf a transaction or activity is being conducted or has ultimate effective control over a legal person or legal arrangement.

D Third Party Determination and Beneficial Owner Identification (Continuation)

24. Is there any Third Party or Beneficial Owner other than the investor, who:

a. funds any of the investments?	Yes	No
b. has access, use, or any kind of financial interest in the account?	Yes	No
c. on whose behalf the transaction or activity is being conducted?	Yes	No

If you answered YES to any of the questions in item 24, and the Third Party or Beneficial Owner is an **INDIVIDUAL** only, please answer applicable questions in **items 25 to 34**:

25. Name of Third Party or Beneficial Owner		26. Relationship to the Investor	
Last Name (include suffixes like "JR.", "SR.", "III")		Spouse	Child
First Name	M.I.	Parent	Others, please specify
27. Permanent Residence Address [No., Street, Village/Subdivision, Barangay, City/Municipality, Province/State, Country (P.O. Box is not acceptable), Zip Code]			
28. Birthdate (e.g. 14-MAY-2024)	29. Birthplace		30. Sex (at birth)
	City	Province/State	Country
			Male Female
31. Philippine Tax Identification No. (TIN)	32. Citizenship(s)/Nationality	33. Occupation	34. Home Phone/Mobile Number
-	-		

If you answered YES to any of the questions in item 24, and the Third Party or Beneficial Owner is an **ENTITY**, please answer applicable questions in **items 35 to 41**:

35. Entity Name	36. Relationship to the Investor	37. Type of Entity (e.g., corporation/partnership, etc.)	38. Nature of Business
39. Philippine Tax Identification No. (TIN)	40. Date of Incorporation (e.g. 14-MAY-2024)	41. Country of Incorporation	
-	-		

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

The **Foreign Account Tax Compliance Act (FATCA)** requires us to identify, collect, and report tax-related information of our clients. To allow SLAMCI to comply with these obligations, please submit a duly completed IRS Form depending on your circumstance(s):

US Status or Indicia	Required Document
US Entity	IRS Form W-9
Not a US Entity	IRS Form W-8 BEN-E

You also agree to inform us within thirty (30) calendar days of any change in your circumstances, which makes any information on a document inaccurate, and provide a new or updated document. You also agree that when we are required by law, regulation, or any authority, we shall provide all information about your local and/or foreign tax status or account(s) and disclose these to authorities or its representatives that are involved in processing, collecting, transferring, or disclosing such. In case a separate waiver is required to provide the required information to competent authorities, you will provide a waiver in an acceptable format.

F Terms and Conditions

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 applicable NAVPS/NAVPU 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/Certificate of Participation, if issued, shall serve as proof of redemption. Shares/Units of the Fund will be redeemed using the applicable NAVPS/NAVPU 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 the cut-off time. If the request is received after the cut-off time, the price will be the applicable NAVPS/NAVPU of the next business day. Applicable NAVPS/NAVPU 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. SLAMCI reserves the right to change the daily cut-off time as may be allowed by law.

Limited Liability

You agree to hold SLAMCI, its affiliates, employees and agents free and harmless from and against any and all claims, losses, including opportunity loss, damages, or expenses due to failure or delay to process your transaction(s), or inability to accept

your transaction(s), except those claims, losses, damages, or expenses directly arising from SLAMCI's fraud, willful misconduct, or gross negligence.

Right to Accept, Defer, 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. It may also defer processing of your subscriptions until your submission of complete or additional requirements and/or after payments have been posted based on applicable NAVPS/NAVPU. 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) business days from the date of submission of this application. SLAMCI is authorized to close your account(s) or 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/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.

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 Prospectuses of the Sun Life Prosperity Funds.

Compliance with the Data Privacy Act of 2012 (R.A. No. 10173)

You agree that SLAMCI shall process your personal data to: a) evaluate your application and administer your account; b) process transactions and enforce/fulfill contractual rights/obligations; c) improve the provision of products and services (including improvement in systems and business processes, data analytics, automated processing, etc.); d) comply with legal obligations, as well as laws and regulations (domestic or foreign); and e) manage risks and pursue its legitimate interests, including verification and obtaining additional personal data from third party sources. SLAMCI may disclose your personal data to its affiliates, service providers, and other third parties for processing consistent with the foregoing purposes, who shall be bound by contractual or other reasonable means to protect your personal data.

Compliance with the Financial Consumer Protection Act of 2022 (R.A. No. 11765)

If applicable, you confirm that you have received, read, and understood the Funds' prospectuses, and that your MF Advisor/ RM/ Broker has explained to you the financial statements, fundamental benefits and risks, policies, terms and condition, and pricing and other costs associated to the product.

You understand that SLAMCI reserves the right to provide recommendations for products offered by its affiliated companies, which may entail limited product availability. These recommendations may also be influenced by commissions or rebates received by the Company and/or its financial advisors.

Rights of Shareholders

Unless otherwise modified by the Fund(s), shareholders have the following rights:

1. Voting Rights – Each holder of a share in the Fund is entitled to one vote, in person or by proxy, for each share held by such shareholder.
2. Distribution of Dividends – Each shareholder has a right to any dividends declared by the Fund.
3. Denial of Pre-emptive Rights – No stockholder shall, because of his ownership of stock, have pre-emptive or other right to purchase, subscribe for, or take any part of any other securities convertible into or carrying options or warrants to purchase stock of the Fund.
4. Right of Redemption – The holder of any share of the Fund, upon its presentation to the Fund or to any of its duly authorized representatives, is entitled to receive by way of redemption approximately his proportionate share of the Fund's current net assets or the cash equivalent thereof. Payments for the redeemed shares shall be made within seven (7) banking days from receipt of the request for redemption.
5. Modification of Rights of Shareholders – The rights of shareholders of the Fund shall not be modified except by amendment of the Fund's Articles of Incorporation and/or By-Laws.

6. Dissolution Rights – Upon dissolution of the Fund, the Fund shall payout the applicable redemption price to its shareholders under a distribution process to be determined by the Board of Directors of the Fund. The Fund shall submit a Redemption Plan to the Commission prior to its dissolution.
7. Notification Rights – Shareholders are entitled to be notified of any material change to the Registration Statement and the Subscription Agreement. Shareholders shall be notified of any material change/s to the Registration Statement and/or the Subscription Agreement at least thirty (30) days prior to its effective date.
8. Reports and Statements – Shareholders shall receive accounts, reports and statements either in hard/physical copies or by electronic means. The shareholder has the option to request for a physical copy within one month from the notification of availability, and shall receive this within ten (10) business days from the date of written request or whenever practicable in case of any fortuitous events.

Rights of Unitholders

Unless otherwise modified by the Fund(s), unitholders have the following rights:

1. Distribution of Dividends – Each shareholder has a right to any dividends declared by the Fund.
2. Denial of Pre-emptive Rights – No stockholder shall, because of his ownership of stock, have pre-emptive or other right to purchase, subscribe for, or take any part of any other securities convertible into or carrying options or warrants to purchase stock of the Fund.
3. Right of Redemption – The holder of any share of the Fund, upon its presentation to the Fund or to any of its duly authorized representatives, is entitled to receive by way of redemption approximately his proportionate share of the Fund's current net assets or the cash equivalent thereof. Payments for the redeemed shares shall be made within seven (7) banking days from receipt of the request for redemption.
4. Modification of Rights of Shareholders – The rights of shareholders of the Fund shall not be modified except by amendment of the Fund's Articles of Incorporation and/or By-Laws.
5. Dissolution Rights – Upon dissolution of the Fund, the Fund shall payout the applicable redemption price to its shareholders under a distribution process to be determined by the Board of Directors of the Fund. The Fund shall submit a Redemption Plan to the Commission prior to its dissolution.
6. Notification Rights – Shareholders are entitled to be notified of any material change to the Registration Statement and the Subscription Agreement. Shareholders shall be notified of any material change/s to the Registration Statement and/or the Subscription Agreement at least thirty (30) days prior to its effective date.
7. Reports and Statements – Shareholders shall receive accounts, reports and statements either in hard/physical copies or by electronic means. The shareholder has the option to request for a physical copy within one month from the notification of availability, and shall receive this within ten (10) business days from the date of written request or whenever practicable in case of any fortuitous events.

By signing below, you confirm that:

- a. You are performing this transaction while in the Philippines.
- b. All information provided in this form are true, correct, and complete. All agreements made with SLAMCI are set out in this form.
- c. You have secured, and will maintain, all applicable government and regulatory licenses. You have never undergone the process of dissolution.
- d. If applicable, you declare under pain of criminal and/or civil liability that you are the owner of the stated settlement bank account(s). We will not be liable if the proceeds are credited to an erroneous bank account due to your fault or negligence. Bank charges, if any, will be taken from your account.
- e. If applicable, crediting of redemption and other proceeds to your designated settlement bank account number or account name fully releases and discharges SLAMCI from any claims or liabilities related thereto.
- f. The funds where the investments are sourced from were not generated from, or in any way related to, any of the unlawful activities listed in the Anti-Money Laundering Act (AMLA) and the Terrorism Financing Prevention and Suppression Act (TFPSA).
- g. You consent to be bound by the obligations set out in the AMLA, TFPSA, and relevant United Nations Security Council Resolutions (UNSCR) relating to the prevention and suppression of terrorism, terrorist financing, and financing of proliferation of weapons of mass destruction, including the freezing and unfreezing actions as well as prohibitions from conducting transactions with designated persons and entities. In this regard, you authorize the Company to freeze and unfreeze your account pursuant to UNSCR and issuances of the Anti-Money Laundering Commission (AMLC), regardless of the filing of civil forfeiture proceedings.
- h. You agree to immediately send the required/updated information to SLAMCI if any of the information has changed, every three (3) years after account opening or anytime upon SLAMCI's request. Otherwise, the Company may refuse to accept additional subscriptions and fund switches, or terminate your account, in which case you shall receive the redemption value of your shares based on the NAVPS/NAVPU as of termination date.
- i. You hold SLAMCI free and harmless from any liability that may arise from any transfer, disclosure, processing, collection, use, storage, or destruction of your information.
- j. Electronic or digital signatures or sign-in-wraps utilized in this form shall have the same force and effect as a manual signature. You understand the risks and assume full responsibility for all your electronic transactions, and warrant that SLAMCI can rely on your electronic signatures and/or instructions via electronic means. We do not assume any responsibility for technical errors, failure to access, delay or any similar occurrences beyond our reasonable control.
- k. You confirm that you have received, read, and understood the Funds' prospectuses, and that your MF Advisor/ RM/ Broker has explained to you the financial statements, fundamental benefits and risks, policies, terms and condition, and pricing and other costs associated to the product.
- l. We can make adjustments to your account(s) to correct any error and modify or terminate any investor privilege, and we have the right to terminate your account for any violations of our policies and charge you a fee. Should you violate any of our terms/ conditions/ policies, we may terminate your account and charge a fee, in which case you shall receive the redemption value of your shares/units based on the applicable NAVPS/NAVPU as of termination date.
- m. Investments under the "front-end sales load" (e.g., World Equity Index Feeder Fund and Dollar Wellspring Fund) are subject to a holding period. Redemptions made during this time shall carry a fee. Investments under the "back-end sales load" will be subject to deferred sales fees corresponding to the amount and actual holding period.
- n. The sales load you choose is of your own choice and not solely based on the advice of your Mutual Fund (MF) Representative.

G Investor's Acknowledgment and Agreement (Continuation)

- o. You have been advised about your current risk profile and fully understand the risk rating of the products and services that you are investing into. You agree to hold SLAMCI free and harmless and to bear the risk of your investment or financial decision under the following circumstances: (1) your needs and risk profile were based on inaccurate or insufficient information that you have provided; and (2) you decided to invest in products that are of higher risk rating than your risk profile.
- p. The accounts will be closed permanently and automatically after 3 years of inactivity and zero (0) balance.

42. Printed Name, Designation, and Signature of the Institution's Authorized Representative (1) <div style="text-align: center; margin-top: 10px;"> _____ Please sign here <input style="width: 150px; height: 20px; border: 1px solid black;" type="text"/> </div>	43. Date Signed (e.g., 14-MAY- 2024)
44. Printed Name, Designation, and Signature of the Institution's Authorized Representative (2) <div style="text-align: center; margin-top: 10px;"> _____ Please sign here <input style="width: 150px; height: 20px; border: 1px solid black;" type="text"/> </div>	45. Date Signed (e.g., 14-MAY- 2024)

46. Would you like to receive personalized communication and product offers from Sun Life Asset Management Company, Inc. (SLAMCI), Sun Life of Canada (Philippines), Inc. (SLOCPI), Sun Life Financial Plans, Inc. (SLFPI), and other members of the Sun Life group that may help you with your financial needs?	Yes No
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FOR THE MUTUAL FUND (MF) REPRESENTATIVE'S / BROKER'S USE ONLY

By signing below, 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 met the investor personally or via video conference to perform the appropriate Know-Your-Client (KYC) and Investor Suitability Assessment (ISA) processes.
- c. To the best of your knowledge, the investor is not engaged in any unlawful activity as mentioned in the Anti-Money Laundering Act (AMLA); and any amount that the investor will invest comes from legitimate sources. If at any time, in your opinion, the credibility of the investor's financial sources becomes questionable, you are required to immediately inform SLAMCI in writing to provide any other information needed to comply with local and foreign laws.
- d. You have asked the investor to confirm that he/she is in the Philippines at the time of the transaction, and you have no reason to believe otherwise.
- e. You advised the investor(s) that transactions will only be processed upon submission of complete information, documentary requirements, and cleared funds.
- f. You have accurately represented the nature and structure of the product and/or service, terms and conditions, fundamental benefits and risks, detailed breakdown of the pricing, or any cost associated with the product and service.
- g. You performed sufficient research to align product selection with the investor's risk profile and informed the investor(s) that incomplete or inaccurate information regarding their financial knowledge and experience may impede the ability to accurately assess product suitability due to the limited information provided.
- h. You explained all the risks related to the investment, in case this differs from the recommended product(s).
- i. You made full disclosure to the investor(s) that you receive compensation on a commission basis from the sale of investment products.
- j. You agree to be bound by any disciplinary body and be subject to appropriate action for any confirmed violation of the above.

47. Recommended Fund(s)	48. Institution's Selected Fund(s)	
49. Select the mode by which KYC was conducted on the investor(s): In-person (face-to-face) Remote/digitally-enabled selling (via video conferencing applications)		
50. For remote/digitally-enabled selling transactions only: For KYC purposes, describe how you met or knew the investor(s).		
51. Printed Name and Signature of MF Representative/Broker <div style="text-align: center; margin-top: 10px;"> _____ Please sign here <input style="width: 150px; height: 20px; border: 1px solid black;" type="text"/> </div>	52. A.R. No. Issued 53. Date Signed (e.g., 14-MAY-2024)	
54. MF Representative's Code	55. Branch	56. Promo / Lead Conversion No.

FOR OFFICE USE ONLY

57. Date Received (e.g., 14-MAY-2024)	58. Time Received	59. Receiving Department/Office
60. Remarks		