

## **Rights of investors**

1. Since each investment agent can sell funds for more than 1 management company, you have the right to request him/her to disclose the name of management companies that manage the fund(s) offered.
2. For convenient contact purposes, you have the right to request the names and address of the management companies as well as the investment agent's name, address and licenced ID numbers.
3. Before making any investment decision, you have the right to request information about the recommended funds and their risk levels as well as warning and additional details about the inherent risk of mutual funds (compared to other types of investment).
4. In order to fully obtain information necessary for your investment decision, you have the right to request the current status of the fund(s) (i.e, that the fund is in normal status, not being merged with another fund that you do not wish to invest in, etc). This is for your best interest.
5. Since each investment agent can sell funds for more than 1 management company and may receive different commission fees from management companies, you have the right to request the commission rate or agent fees received by him/her for comparison purposes.
6. You may reject a 'cold call' from any unknown investment agent who offers you fund(s) without your request.
7. If you receive a 'cold call' and have decided to invest in the offered fund(s) you have the right to cancel such subscription or redeem the unit(s) of such fund within the period specified by laws.
8. You can download the investor's manual from our website: [www.principal.th](http://www.principal.th)

## **How to file a Customer's Complaint**

Unitholders may file complaints about the business operation of the management company, underwriter or selling agent (either corporate or individual) both verbally and/or in writing. For verbal complaints the officer will record it on a written form and will ask for your verification before responding to your complaint. Unitholder(s) may file his/her/their complaint to:

### **1. Management Company**

Principal Asset Management Co., Ltd.

Sales & Distribution Department

44 CIMB THAI Building, 16<sup>th</sup> Floor Langsuan Road, Lumpini, Pathumwan, Bangkok 10330

Tel: 02 686 9595 Facsimile : 02 657 3067 [www.principal.th](http://www.principal.th)

### **2. Underwriter and Selling Agent**

Name and address as appeared in the prospectus of the fund you invested.

### **3. The Office of Securities and Exchange Commission (SEC)**

333/3 Vibhavadi Rangsit Road, Jompol, Chatuchak, Bangkok 10900

Tel: 02 695 9999 facsimile: 02 695 9660 [www.sec.or.th](http://www.sec.or.th)

When the issue is resolved, the management company, underwriter, or selling agent will inform the Unitholder about the result and applicable reasons within 7 days.