

Educational qualifications, knowledge, and experience (One of the following;)

1. Do you have any certificates or educational degrees in finance, commerce, economics, or financial planning?
 - Yes. Please elaborate
 - No.
2. Do you have licenses or certification as any of the following individual?
 - Yes. You may choose more than one answer.
 - Investment consultant on general products (IC Plain) or complex products (IC Complex)
 - Investment planner Certified financial planner (CFP)
 - Chartered financial analyst (CFA) Chartered alternative investment analyst (CAIA)
 - Financial risk manager (FRM) Certified investment and securities analyst program (CISA)
 - Other.....
 - No.
3. Do you have any career experience in investment?
 - Yes. I am a chief financial officer; an officer in charge of investment activities at a financial institution; investment banker; assistant fund manager; or assistant securities analyst (with the experience continuing for at least one year even after the departure from the position).
 - No.
4. Do you have any past experience in investing in any of the following risk assets, or high risk or complicated investment products, on a regular and continuous basis, or at least once a year, for at least two consecutive years?
 - Yes. You may choose more than one answer.
 - Risk assets**
 - Assets with price fluctuation, such as stocks and equity fund.
 - Assets with credit risk, such as private-sector debentures, and funds that primarily invest in private-sector debentures
 - High risk or complicated investment products**
 - Hybrid securities Perpetual bonds
 - Derivatives Structured notes
 - Hedge funds Unrated bonds
 - Complex return funds Subordinated bonds as a commercial bank's capital under Basel III
 - Oil or gold funds with no spot tracking
 - Mutual funds that make complex strategic investment in derivatives, or that invest in exotic derivatives using the VaR approach to evaluate the investment position of the instrument.
 - Mutual funds that invest more than 60 percent of their NAVs in debt instruments of a non-investment grade or unrated bonds.
 - No.
5. Do you hold a unit of any similar mutual fund to the Principal Sharkfin Structured Complex Return 6M1 Fund (PRINCIPAL SHARK6M1)?
 - Yes. Please elaborate
 - No.

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(.....)
Signature of unitholder or legal representative,
with any company seal affixed
Date.....

For representative of investment consultant (IC Complex) or investment planner (IP). For official use only.

Comments of an IC Complex or IP

The investor has the qualifications as all education, knowledge, or experience requirements.

For item 4: experience in investing in high risk or complex products.

Yes. The investor understands technical terms.

The investor has no or little investment experience. The key characteristics and risks of the fund must be explained.

Name License no. Date.....