

# Principal Global Investors Funds (the “Funds”) Dealing Procedures

## How to make initial investments

For all initial investments, applicants should send a completed Application Form, and the completed FATCA/CRS self-certification form(s) to BNY Mellon Fund Services (Ireland) Limited (‘the Administrator’). Forms are available [online](#). The form should be completed as directed and should be faxed or sent electronically to the Administrator. The Administrator shall then advise what Anti-Money Laundering (AML) documentation is required. The original hard copies should be sent by post / courier as soon as practicable following their completion as no redemption or distribution proceeds will be paid to your account unless and until such hard copies are received by the Administrator.

**Principal Global Investors Registration Team**  
**BNY Mellon Fund Services (Ireland) Designated Activity, c/o**  
**Transfer Agency Mellon,**  
**Wexford Business Park,**  
**Rochestown Drinagh Wexford,**  
**Ireland, Y35 Y03**

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The Administrator will open a new account upon receipt of fax or electronic copies of a fully completed Application Form, FATCA and CRS self-certification form and all supporting AML documentation.

The Administrator will not open an account until all necessary documentation has been received by electronic or fax means.

Should you wish for an initial investment order to accompany the new account application, please include an instruction: either a free-form letter on headed paper or a Dealing Instruction Form to select Fund, Unit class, and details of your investment with your Application Form. A copy of the Dealing Instruction Form is available [online](#). The Administrator will process the initial investment for the next available trade date following account opening if no date of instruction is provided.

Note that all trade instructions received by fax will be treated as definitive orders, **even if not** subsequently confirmed in writing, and will not be capable of withdrawal after acceptance by the Administrator.

Please ensure that:

- Trade instructions are signed by appropriate authorised signatories.
- Application forms, subsequent purchases, switch, or redemption instructions are received no later than 10.00 a.m. (Dublin time) for investments on the relevant dealing date. **Any application received after this will be dealt on the following dealing day.**
- Settlement proceeds are paid via electronic bank transfer on the contractual settlement date, as detailed on the contract note.

## How to make subsequent investments

The Administrator can accept **additional investments** from unitholders via a duly authorised faxed instruction or letter.

Additional investments should be settled via electronic bank transfer no later than the contractual settlement date, as detailed in the relevant Fund Supplement.

Completing a full Application Form is not needed for subsequent trades. Instruction can be a free-form letter or a Dealing Instruction Form.

Instructions must be signed by appropriate authorised signatories per the guidance given on the initial application form.

Unitholders should quote the following information on all trade instructions:

- Unitholder account number;
- Name of Unitholder;
- The Fund(s) to which subscription is to be made (name of sub-fund, Unit class and currency);
- The fund identifier of the Fund(s) to which subscription is to be made (i.e., ISIN, Sedol and Valoren);
- The number of Units or cash value of Units to be purchased;
- Contact details of the person who should be contacted should the Administrator have any queries regarding the trade instruction.
- Additional subscription requests received by fax will be treated by the Administrator as definitive orders even if not subsequently confirmed in writing and will not be capable of withdrawal after acceptance by the Administrator. Requests that are incomplete will not be accepted for processing.

## How to settle investments

An electronic bank transfer may be made in the base currency of the share class, to the bank details listed as detailed on the Application Form.

An investor intending to settle a subscription in any currency other than the base currency of the share class they are investing in, should notify the Administrator of this via their deal instruction. Note that investors may be liable for debit interest charges should they settle their subscriptions after the contractual settlement date.

## How to switch

Unitholders are entitled to switch all or some of their Units of one Unit class or sub-fund for similar Units of another Unit class or sub-fund at any time.

To affect a switch, the investor should submit a duly authenticated instruction to the Administrator via fax. The investor should include the following details on the instruction:

- Investor name
- Investor account number
- Amount or Units to be switched
- Value date
- Unit class for switch “out “
- Unit class for switch “in”

Whether instructing the trade through a free-form letter or a Dealing Instruction Form, in any case the instruction needs to quote in unambiguous terms that a “SWITCH” will be required.

The Administrator will process the switch on the next available trade date. Investors should note that no monetary movements will be made in respect of switches i.e., the investor will not be expected to make payment in respect of the switch “in” and the Administrator will not release redemption proceeds in respect of the switch “out”.

## How to redeem

Redemption instructions must either be faxed or posted to the Administrator.

Upon receipt of the duly authorised redemption instruction, the Administrator will process the redemption on the next available trade date.

The full redemption proceeds will be dispatched in the denominated currency of the relevant Unit class on settlement date, assuming valid, original bank details for payment of redemption proceeds are held on file by the Administrator.

Please note the following points:

- If a redemption request is received by the Administrator before the dealing deadline on a dealing day, it will be processed and become effective at the Net Asset Value per Unit determined for that valuation day;
- A redemption request received after the dealing deadline will be processed and become effective at the Net Asset Value per Unit determined on the next valuation day;
- Unless the relevant sub-fund Supplement specifies otherwise, the dealing deadline for each Fund is 10.00am (Dublin time) for the Administrator.
- The Administrator will not make payment of redemption proceeds until all original account documentation is on file.

The Administrator will not make payments in respect of redemptions to any third parties. Redemption payments will be made only to accounts specified on the original account opening form, or as subsequently specified through an original signed instruction. Any changes must be communicated in writing with appropriate authorised signatories before redemptions will be paid. All corporate correspondence must be on company headed paper.

## Other dealing and settlement instructions

- Please reference the registered Unitholder(s) and the sub-fund name(s) in all electronic bank transfers.
- The dealing deadline for most investments and redemptions is 10.00am (Dublin time) on trade date but please check the relevant sub-fund Supplement in case of variances.
- Please refer to the Prospectus and relevant sub-fund Supplement for dealing frequency for the Funds, as not all Funds have a daily dealing option.
- A contract note will be issued and sent by COB on T+1.
- Amendments to Unitholder details can only be made via original authorised instruction.

## How to make static data changes

The Administrator will arrange to change investor's static data information upon receipt of an original fully completed instruction and support documentation (if applicable) from the investor.

Investors' static data include the information provided to the Administrators as part of the initial on-boarding such as investor Bank account details, recipient list for contract notes, change of beneficial owner etc. For any questions regarding the change of an investor's static data please contact the Administrator.

Please ensure that:

- Static data instructions are signed by the appropriate authorised signatories.
- Instructions are provided in original format on company headed paper.
- The Administrator will arrange to issue a confirmation letter once the changes have been implemented.

For further information on how to purchase or redeem shares, please consult the Principal Global Investors Funds Prospectus which can be found [online](#).

## Telephone helpline

Should you require any further assistance, please contact our Administrator's dealing team:

**Tel:** +353 1 900 8081

**Email:** [pji.ta@bnymellon.com](mailto:pji.ta@bnymellon.com)

## Fax dealing

**Dealing Fax:** +44 207 964 2667

## Important Information

Before investing, investors should obtain and read a copy of the Funds offering documents which are available [online](#).