

Credit Suisse exposure update

March 20, 2023

Following the end of aftermarket trading on Saturday, March 18, 2023, Credit Suisse exposure was less than 0.01% across all of Spectrum AUM.

Spectrum's managed funds exposure to **Credit Suisse Group AG (CS)**

	Vehicle	2/28/23 CS Holdings	3/18/23 CS Holdings
Principal Spectrum Preferred and Capital Securities Income Fund (PPSIX)	US 1940 Act Fund	2.23%	0.00%
Principal Spectrum Preferred Securities Active ETF (PREF)	ETF	0.00%	0.00%
Principal Spectrum Tax-Advantaged Dividend Active ETF (PQDI)	ETF	2.61%	0.00%
PFI Capital Securities Fund¹ (PCSF)	US 1940 Act Fund	2.35%	0.00%

No SMA wrap accounts had exposure to CS, directly or indirectly, as of end of day March 18, 2023.

¹ PFI Capital Securities Fund can only be purchased as part of a separately managed account (SMA) otherwise managed by Spectrum Asset Management.

Investing involves risk, including possible loss of principal.

Principal Funds are distributed by Principal Funds Distributor, Inc. ALPS Distributors, Inc. is the distributor of the Principal ETFs. ALPS Distributors, Inc. and the Principal Funds are not affiliated.

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