Principal Asset Management Berhad
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Kuala Lumpur, Malaysia
T +603 7723 7260
www.principal.com.my

Client: Message and acknowledgement on Vulnerable client status

At Principal we are committed to putting our clients first by delivering services that are guided by fairness, empathy, and a genuine understanding of our clients' needs. We understand that some clients may find themselves in vulnerable situations due to a variety of circumstances, including permanent or temporary disabilities, recent significant life events such as unemployment or the loss of a main breadwinner, low financial resilience, limited financial knowledge or less technology savvy.

To ensure we provide the best possible care and support, we are putting extra effort into identifying and servicing clients who may need special attention. If you believe that you fall under the category of a vulnerable client, we encourage you to declare yourself by checking the appropriate box below.

- ☐ I am not a vulnerable client
- ☐ I am a vulnerable client [*kindly provide further explanation*]

  ____

Please rest assured that any information provided will be used solely for the purpose of offering enhanced care and support tailored to your specific needs. We are committed to maintaining the highest standards of confidentiality, and this information will not be used to prejudice or discriminate against you in any way.

Your well-being and satisfaction are at the core of everything we do, and we are here to support you every step of the way.

Completed By:

Name:	
NRIC/Passport No:	
Email:	
Mobile Number:	
Date:	
Signature:	

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Representative: message and acknowledgement on Vulnerable client status

As a Principal representative, I confirm to have read and understood the provisions under Chapter 7 (Treatment Of Vulnerable Clients) of the Securities Commission Malaysia Guidelines on Conduct For Capital Market Intermediaries (as maybe amended from time to time). I recognize that some clients may find themselves in vulnerable situations due to factors such as permanent or temporary disabilities or impairments, significant life events like unemployment or the loss of a main breadwinner, low financial resilience, limited financial knowledge or less technology savvy.

I confirm that I have conducted a thorough observation and engaged closely with the client to assess whether they fall under the category of a vulnerable client.

Based on this careful engagement and observation, below is the confirmation of my assessment.

- ☐ Client is not a vulnerable client
- ☐ Client is a vulnerable client [*kindly provide further explanation*]

  ____

Completed For :

Client Name:	
Client NRIC :	

By :

Representative Name:	
Representative Code:	
Date:	
Signature:	