

INDUSTRY RECOGNITIONS

MPF



"The 2022 MPF Awards" by MPF Ratings³

Silver Rated Schemes
Bronze Rated Scheme
Rising Star

1 Year Consistent Performers – Bond (Asia)
5 year Consistent Performers – Bond (Asia)

2021 Refinitiv Lipper Fund Awards Winner Hong Kong⁴

Group Awards - Best MPF Group - Bond

Service



Hong Kong Customer Contact Association (HKCCA) Award 2021⁵

Gold Award - Mystery Caller Assessment Award – Finance and Insurance (4th Consecutive Year)

Mutual Funds



Financial Education



投資者及理財教育獎
Investor and Financial Education Award 2021⁶

Corporate Social Responsibility



Greater Bay Area Corporate Sustainability Award 2021⁷

Greater Bay Area Corporate Sustainability Award (Quality Education)

Certificate of Joining World Institute of Sustainable Development Planners (WISDP) as Recognized Sustainable Development Corporation

"The 2022 MPF Awards" by MPF Ratings⁹
Socially Responsible



Good MPF Employer Award (2014-2021) by Mandatory Provident Fund Schemes Authority⁸



10 Years Plus Caring Company (2010-2022) by the Hong Kong Council of Social Service¹⁰

Footnotes:

Data as of 31 March 2022, unless otherwise noted.

As of the first quarter 2022, Principal Hong Kong (PIHK) changed its definition of assets under management to exclude assets managed by third parties where PIHK does not earn a fee for investment management services. Using the prior definition, AUM would have been approximately \$102 billion as of the first quarter 2022. This compares to \$91 billion of reported AUM as of the first quarter 2022.

+ This is Barron's fifth year producing this list, utilizing Calvert Research and Management to assess the 1,000 largest publicly traded companies. According to Barron's, the ranking system looks at ESG performance indicators such as workplace diversity, data security, and greenhouse-gas emissions, as well as how the company performs for shareholders, employees, customers, community, and the planet.

^ See Disclaimer page for AUM description. Marketing assets under management include certain assets that are managed by Principal International and Retirement and Income Solutions divisions of Principal.

1. BENCHMARK Mutual Funds - House Awards received are based on qualitative methodology and tools determined by BENCHMARK and reflects the performance data between 1 July 2020 and 30 June 2021. For details of source and assessment criteria, please refer to <https://www.benchmark.today/fund-awards/>. BENCHMARK MPF Investment Manager Awards and BENCHMARK MPF Trustee Awards received are based on qualitative methodology and tools determined by BENCHMARK and reflects the performance data between 1 July 2020 and 30 June 2021. BENCHMARK Top MPF Awards received are based on performance data provided by FE fundinfo to BENCHMARK between 1 October 2020 and 30 September 2021. For details of source and assessment criteria, please refer to <https://www.benchmark.today/mpf-awards/>.

2. Bloomberg BusinessWeek/Chinese Edition Top Fund Awards 2021's Mandatory Provident Fund Awards were assessed with 1-year, 5-years and 10-years total return figures. For details of source and assessment criteria, please refer to <http://www.bbwhkevent.com>.

3. "The 2022 MPF Awards" by MPF Ratings are based on quantitative assessment (investment choices and performance, fees and charges), and qualitative assessment of an MPF Scheme as of 31 December 2021. Rising Star is assessed as the most improved MPF Scheme from the previous assessment cycle, as measured overall, across all key criteria assessed by MPF Ratings: investment choices and performance, fees and charges, as well as an assessment of overall services within the schemes. The end date for the investment choices and performance, fees and qualitative assessments is December 31 for the relevant year. MPF Ratings' Consistent Performers recognize constituent funds which deliver the best fund performance within their respective fund categories in MPF Ratings MPF performance survey. 1 Year Consistent Performers recognize the constituent funds with the best 1 year absolute performance. In the case of 5 year performance, performance is calculated on a risk adjusted basis. Risk is defined as standard deviation calculated based on monthly performance of the constituent funds. For details of the source and assessment criteria, please refer to <https://mpfratings.com.hk/ratings-and-awards/>.

4. The Refinitiv Lipper Fund Awards are based on the Lipper Leader for Consistent Return rating, which is a risk-adjusted performance measure calculated over 36, 60 and 120 months. Lipper Leaders fund ratings do not constitute and are not intended to constitute investment advice or an offer to sell or the solicitation of an offer to buy any security of any entity in any jurisdiction. For more information, see lipperfundawards.com.

5. The HKCCA Award 2021 - Mystery Caller Assessment Awards were presented by Hong Kong Customer Contact Association (HKCCA) in 2021. For details, please refer to <https://hkcca.com/>.

6. Investor and Financial Education Award (IFEA) is a territory-wide award to acknowledge the enthusiasm and efforts of parties who advance financial literacy in Hong Kong. Principal is a recipient of the Certificate of Appreciation for IFEA 2021, recognising its investor and financial education project in enhancing Financial Education in Hong Kong implemented from 1 July 2020 to 30 September 2021 while fulfilling all the eligibility requirements set by IFEC. For details, please refer to <https://www.ifec.org.hk/web/common/pdf/about-ifec/fls/ifea/2021/ifea2021-application-guide.pdf>.

7. The Greater Bay Area Corporate Sustainability Award 2021 takes 17 United Nations Sustainable Development Goals (SDGs) as the core, to evaluate corporates who take active actions in the three major directions of economic growth, social progress and environmental protection in the Greater Bay Area. For details of the judging criteria, please refer to <https://multimetro.hk/finance/灣區企業可持續發展大獎2021-報名方法及詳情/>.

8. Good MPF Employer Award is granted on an annual basis, covering the period from 1 April to 31 March of the following year. Employers who fulfil the criteria stated by MPFA can submit an application for the Award. For more information, please see <https://www.mpfa.org.hk/en/mpfa/corporate-events/good-mpf-employer-award>.

9. MPF Ratings' Socially Responsible award is based on the assessment of socially responsible initiatives of an MPF Scheme as of 31 December 2021, which promote socially responsible outcomes that visibly benefit the people of Hong Kong. For details of the source and assessment criteria, please refer to <https://mpfratings.com.hk/ratings-and-awards/>.

10. Caring Company is to commend and give public recognition to business organisations that demonstrate good corporate citizenship. For more information, please see https://www.caringcompany.org.hk/en_nomi_intro.php.

The above awards information is for reference only, investors should not invest in reliance on this document alone.

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