



**Redressal of Complaints received against Principal Mutual Fund during 2013-2014:**

**Principal Mutual Fund**

**Total number of folios as on March 31, 2014 – 5,25,202**

Complaint Code	Type of Complaints#	(a) No. of complaints pending at the beginning of the year	(b) No. of Complaints received during the year	Action on (a) and (b)									
				Resolved				Non Actionable*	Pending				
				Within 30 days	30-60 days	60-180 days	Beyond 180 days		0-3 months	3-6 months	6-9 months	9-12 months	
I A	Non receipt of Dividend on Units	-	2	1	1	-	-	-	-	-	-	-	-
I B	Interest on delay payment of dividend	-	-	-	-	-	-	-	-	-	-	-	-
I C	Non receipt of Redemption Proceeds	4	201	200	1	-	-	-	4	-	-	-	-
I D	Interest on delay payment of redemption	1	1	1	1	-	-	-	-	-	-	-	-
II A	Non receipt of Statement of Account/Unit Certificate	-	-	-	-	-	-	-	-	-	-	-	-
II B	Discrepancy in Statement of Account	2	824	824	-	-	-	-	2	-	-	-	-
II C	Non receipt of Annual Report/Abridged Summary	-	-	-	-	-	-	-	-	-	-	-	-
III A	Wrong switch between Schemes	-	8	8	-	-	-	-	-	-	-	-	-
III B	Unauthorized switch between Schemes	-	-	-	-	-	-	-	-	-	-	-	-
III C	Deviation from Schemes attributes	-	-	-	-	-	-	-	-	-	-	-	-
III D	Wrong or excess charges/load	-	-	-	-	-	-	-	-	-	-	-	-
III E	Non updation of changes viz. address, PAN, bank details, nomination, etc	-	125	125	-	-	-	-	-	-	-	-	-
IV	Others	8	292	298	2	-	-	-	-	-	-	-	-
	<b>Total</b>	<b>15</b>	<b>1453</b>	<b>1457</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>6</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

Notes:

# including against its authorized persons/distributors/employees etc.

\* Non actionable means the complaints that are incomplete / outside the scope of Mutual Fund