

CMF sanctions General Fund Manager for deficiencies when handling client information, offering foreign securities

October 15, 2026 — The Board of the Financial Market Commission (CMF), through [Exempt Resolution No. 10,995](#), sanctioned Principal Asset Management Administradora General de Fondos S.A. with a fine of UF 200.

The manager breached the provision of General Rules Nos. 507 and 368; Circular Letter No. 1,869; and the Single Fund Act and its guidelines for failing to generate control mechanisms to prevent statements of 46 investors from being published on the Internet. Likewise, it infringed upon both Article 183 of the Securities Market Act and General Rule No. 352 by marketing shares of a foreign fund not enrolled before the Commission.

To set the fine, the CMF deemed that these non-compliances arose from operational defects whose impact was limited and that were subsequently corrected by the manager.

Communications Area — Financial Market Commission (CMF)

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