



Maker Bhavan - II, 1st Floor, 18, Sir Vithaldas Thackersey Marg,
New Marine Lines, Mumbai- 400 020.
Toll Free - 1800 22 5600 • Fax: 022-2204 4990.
Website: www.principalindia.com E-mail: customer@principalindia.com

Application Form for Equity / Balanced & Fund of Funds Scheme(s)

Application No. _____

Please read the instructions before filling the Application Form

| DISTRIBUTOR INFORMATION & APPLICATION RECEIPT DATE | | | | | |
|--|-----------------|--------|----------------------|-----------------|------------------------|
| Broker Name & Code | Sub-Broker Code | I-Code | Registrar Serial No. | Bank Serial No. | Date & Time of Receipt |
| ARN- 0032 | | | | | |

Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based on the investor's assessment of various factors including the service rendered by the distributor.

1 EXISTING UNITHOLDERS DETAILS (Please note that the applicant details and mode of holding will be as per the existing Folio Number) [Refer Instruction No. B(1)]

Please fill your Folio No. and Name and then proceed to Section (6) Common Account / Folio No. _____

Name of Sole / First Unit Holder _____

2 NEW APPLICANT'S DETAILS (Please fill in BLOCK LETTERS with black/blue ink, use one box for one alphabet leaving one box blank between two words)

NAME OF FIRST / SOLE APPLICANT Mr. Ms

_____ F I R S T N A M E _____ M I D D L E N A M E _____ L A S T N A M E _____

Date of Birth _____ D D M M Y Y Y Y PAN _____ Enclosed (please ✓) PAN^ KYC Acknowledgement Letter^

STATUS - Resident Individual NRI / PIO / FI Partnership Firm BOI Minor Bank / FI Society/Club Trust Company Others (Please specify) _____

NAME OF THE SECOND APPLICANT Mr. Ms

_____ F I R S T N A M E _____ M I D D L E N A M E _____ L A S T N A M E _____

Date of Birth _____ D D M M Y Y Y Y PAN _____ Enclosed (please ✓) PAN^ KYC Acknowledgement Letter^

NAME OF THE THIRD APPLICANT Mr. Ms

_____ F I R S T N A M E _____ M I D D L E N A M E _____ L A S T N A M E _____

Date of Birth _____ D D M M Y Y Y Y PAN _____ Enclosed (please ✓) PAN^ KYC Acknowledgement Letter^

Guardian Name Mr. Ms (Mandatory if any of the applicant is a Minor) / Contact Person (In case of non-individual Investors - PAN not required for contact person)

_____ F I R S T N A M E _____ M I D D L E N A M E _____ L A S T N A M E _____

Date of Birth _____ D D M M Y Y Y Y PAN _____ Enclosed (please ✓) PAN^ KYC Acknowledgement Letter^

^ Refer Instruction No. D

ADDRESS OF FIRST / SOLE APPLICANT [P.O. Box Address is not sufficient]

_____ L A N D M A R K _____

City _____ State _____ Country _____ Pin Code _____

OVERSEAS ADDRESS (in case the First Applicant is NRI/FII/PIO) [P.O. Box Address is not sufficient] {Refer Instruction No. B(6)}

City _____ State _____ Country _____ Zip Code _____

CONTACT DETAILS OF FIRST / SOLE APPLICANT (Please ensure that you fill in the contact details for us to serve you better)

Phone O _____ R _____ Fax _____

Mobile _____ I / We wish to receive updates via SMS on my mobile (Please ✓)

e-mail _____ I N B L O C K L E T T E R S _____

I/We wish to receive the following documents via e-mail in lieu of physical document(s) [Please ✓] Account Statement Newsletter Annual Report All Statutory Returns / Information

IF APPLICANT IS A NON-RESIDENT

NRI (Repatriable) FII (Repatriable) NRI Minor (Repatriable)

PIO NRI (Non Repatriable) NRI Minor (Non Repatriable)

OCCUPATION OF 1ST APPLICANT / GUARDIAN (Please ✓)

Business Service Profession Retired Agriculture

House Wife Student Others (Please specify) _____

3 PERSONAL IDENTIFICATION NUMBER (To serve you better)

Do you want a PIN assigned? Yes No (In case you would want a PIN assigned; please submit a duly filled and signed PIN Form along with this Application. PIN form is available at request / can also be downloaded from our website.)

4 NOMINATION [Applicants can make multiple nomination (to the maximum of three) by filing nomination form available at our Investor Service Centres / www.principalindia.com]

I/We do hereby nominate the undermentioned Nominee to receive the Units allotted to my/our credit in my/our folio in the event of my/our death. I/We also understand that all payments and settlements made to such Nominee and Signature of the Nominee acknowledging receipt thereof, shall be valid discharge by the AMC/Mutual Fund/ Trustees.

NOMINEE'S NAME Mr. Ms

_____ Date of Birth _____ D D M M Y Y Y Y

NAME OF PARENT / LEGAL GUARDIAN (in case of minor) Mr. Ms

_____ (in case of minor) _____

ADDRESS OF NOMINEE / GUARDIAN

City _____ Pin Code _____

Specimen Signature of Nominee / Guardian

... continued overleaf

ACKNOWLEDGEMENT SLIP (To be filled in by the Applicant)

Received from _____ ARN No: _____

Cheque / DD / RTGS / NEFT No. _____ Dated: DD / MM / YYYY _____

Drawn on Bank & Branch _____

Scheme / Plan / Option / Sub-Option _____

Amount ₹ _____

Please Note : All purchases are subject to realisation of payment instrument

Signature, Stamp & Date

5 BANK ACCOUNT DETAILS (Mandatory) [Refer Instruction No. C]

Bank Name (Do not abbreviate) _____
 Account No. _____ Branch / City _____
 (Please provide the full account number)
 Branch Address _____ Pin Code _____
 Account Type (Please For Residents Savings Current For Non-Resident NRO NRE Repatriable Non-Repatriable Others _____
 MICR Code* _____ This is a 9 digit number next to your Cheque No. _____ Essential Enclosures : (For Direct Credit)
 Only for IFSC* _____ NEFT* _____ Blank cancelled cheque Copy of cheque
 RTGS* Code _____ Code _____

Direct Credit Facility is currently available with : BNP Paribas Bank, Citibank, Deutsche Bank, ICICI Bank, IDBI Bank, HDFC Bank, HSBC Bank, Kotak Mahindra Bank, Punjab National Bank, Standard Chartered Bank, Axis Bank, Indusind Bank and Development Credit Bank (only for dividend). For an update in this list please contact any of our ISC at the contact details provided overleaf.
 • Please verify and ensure the accuracy of the bank details provided above as it shall appear in your account statement which shall be issued to you should your application be accepted. Principal Mutual Fund shall not be held responsible for delays or errors in processing your request if the information provided is incomplete or inaccurate. [* indicates - Mandatory]

6 DOCUMENTS ENCLOSED (Please)

MOA & AOA Trust Deed Bye-Laws Partnership Deed Resolution / Authorisation to invest List of Authorised Signatories with Specimen Signature(s) POA

7 PAYMENT DETAILS (Mandatory) [Refer Instruction No. C]

(i) Investment Amount (₹) _____ (ii) DD Charges (₹) _____ Net Amount (₹) _____
 Mode of Payment (Please) Cheque DD RTGS NEFT ECS Funds Transfer *Cheque / DD / RTGS / NEFT No. _____
 Account Type (Please) Savings Current NRE NRO FCNR NRSR Dated D D M M Y Y Y Y
 Payment from Bank A/c. No. _____ Name of 1st A/c holder _____
 Drawn on Bank _____ Name of 2nd A/c holder _____
 Branch & City _____ Name of 3rd A/c holder _____

Details of the Payer (In case, the First Unitholder is not one of the Bank A/c. holder as mentioned above)
 Parent/Grand Parent/related person: Name _____ Enclosed (please)
 Employer: Name _____ KYC Acknowledgement Letter
 Custodian: Name _____ Declaration of the Bank A/c.

Please enclose relevant documents as indicated below as per the Mode of Payment: • RTGS / NEFT / ECS / Bank Transfer - Instruction to the Bank from the Unitholder to Debit the Account.
 • DD / Pay order / Banker's Cheque and the like - Declaration / Acknowledgement from Bank Copy of Passbook / Bank Statement

* Please mention the Application No., PAN and Name of the First Unitholder on the reverse of the Payment Instrument. All Payment Instrument should be drawn in favour of "Name of the Scheme A/c. First Investor Name" OR "Name of the Scheme A/c. Permanent Account Number" OR "Name of the Scheme A/c. Folio Number" and should be crossed "Account Payee Only".

8 INVESTMENT DETAILS (Please Choice of Scheme / Plan / Option) - Please ensure there is only one cheque/DD per application form

| | | | |
|--|--|-----------------------------------|--------------------------------|
| <input type="checkbox"/> Principal Growth Fund | <input type="checkbox"/> Principal Services Industries Fund | <input type="checkbox"/> Growth | <input type="radio"/> Payout |
| <input type="checkbox"/> Principal Dividend Yield Fund | <input type="checkbox"/> Principal Emerging Bluechip Fund | | |
| <input type="checkbox"/> Principal Global Opportunities Fund | <input type="checkbox"/> Principal Balanced Fund | <input type="checkbox"/> Dividend | <input type="radio"/> Reinvest |
| <input type="checkbox"/> Principal Index Fund | <input type="checkbox"/> Principal Pnb Long Term Equity Fund | | |
| <input type="checkbox"/> Principal Large Cap Fund | <input type="checkbox"/> Principal SMART Equity Fund | | <input type="radio"/> Sweep |
| <input type="checkbox"/> Principal Conservative Growth Fund (No Plans / Option available under the scheme) | | | |

Sweep to Scheme _____ (In case of Sweep, please ensure to fulfill the minimum investment criteria in the new Scheme)
 Plan _____ Option _____

9 DECLARATION AND SIGNATURES

I/We have read and understood the contents of the Scheme Information Document(s) to the Scheme(s) including the sections on "Prevention of Money Laundering and Know Your Customers". I/We hereby apply to the Trustees of the Principal Mutual Fund (the Mutual Fund) for units of the Scheme as indicated above ["the Scheme"] and agree to abide by the terms and conditions, of the Scheme and such other scheme(s) of the Mutual Fund [Scheme(s)] into which my/our investment may be moved pursuant to any instruction received from me/us to sweep/switch the units as applicable to my / our investment including any further transaction under the Scheme(s). I / We have not received nor have been induced by any rebate or gifts, directly or indirectly, in making this investment. I/We further declare that the amount invested by me/us in the Scheme(s) is derived through legitimate sources and is not held or designed for the purpose of contravention of any act, rules, and regulations or any statute or legislation or any other applicable laws or any notifications, directions issued by any governmental or statutory authority from time to time. I/We hereby confirm that I/We have read and understood the contents on "Third Party Payments" and confirm that the payment for this subscription application has been made from my/our Account or from such accounts as permitted by SEBI/AMFI and provided in the said section on Third Party Payments. Further, relevant declaration and documents as mandated herein have been provided for the mode of my payment.
 I/We further confirm that I/We have the express authority from the relevant constitution to invest in the units of the Scheme and the Principal Pnb Asset Management Company Pvt. Ltd. [AMC], its Trustee and the Mutual Fund would not be responsible if the investment is ultra vires the relevant constitution.
 I/We further confirm that the ARN holder (Broker/Sub-Broker) has disclosed to me/us all the commissions (in the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme(s) has been recommended to me/us.
 I/ We authorize AMC to reject the application, reverse the units credited, restrain me/us from making any further investment in any of the Schemes of Principal Mutual Fund, recover / debit my/our folio(s) with the penal interest and take any appropriate action against me/us in case the cheque(s) / payment instrument is / are returned unpaid by my/our bank for any reason whatsoever.
 I/We hereby further agree that AMC can directly credit all the dividend payouts and redemption amount to my / our bank account, where AMC has such arrangement with my / our Bank.
Applicable to NRIs only: I / We confirm that I am / we are Non- Residents of Indian Nationality / Origin and I / We hereby confirm that the Funds for subscription have been remitted from abroad through approved banking channels or from funds in my/our Non-Residents External / Ordinary Account /FCNR Account.

| | | | |
|-------------------|---|---------------------|----------------------|
| SIGNATURES | Signature of 1st Applicant / POA Holder / Guardian | APPLICANT SIGNATURE | POA HOLDER SIGNATURE |
| | Signature of 2nd Applicant / POA Holder / Guardian | APPLICANT SIGNATURE | POA HOLDER SIGNATURE |
| | Signature of 3rd Applicant / POA Holder / Guardian | APPLICANT SIGNATURE | POA HOLDER SIGNATURE |

POA Details - Name _____
 PAN _____
 Enclosed (please) PAN KYC (Attach copy of PAN & KYC^)

^ Refer Instruction No. D

Principal Mutual Fund
 Exchange Plaza, 'B' Wing, 2nd Floor, NSE Building,
 Bandra Kurla Complex, Bandra (E),
 Mumbai - 400 051.
 (Not an Official Point of Acceptance)

For investment related enquiries, Investor Grievance please contact:
Principal Mutual Fund
 Maker Bhavan - II, 1st Floor, 18, Sir Vithaldas Thackersey Marg,
 New Marine Lines, Mumbai- 400 020.
 TOLL FREE: 1800 22 5600. Fax: 022-2204 4990.
 Email : customer@principalindia.com Website : www.principalindia.com

CHECK LIST : Please ensure the following : • Application form is complete in all respects and signed by all Applicants • Bank Account details are filled • Copy of PAN card • Copy of Know Your Customer (KYC) Acknowledgement letter issued by CDSL Ventures Ltd / printout of KYC compliance status downloaded from CVL website, as applicable • Appropriate options are filled • All Payment Instrument should be made out in favour of the "Name of the Scheme A/c. First Investor Name" OR "Name of the Scheme A/c. Permanent Account Number" OR "Name of the Scheme A/c. Folio Number" and should be crossed "Account Payee Only" • If you are investing for the first time, please ensure that you fill in the contact details for us to serve you better.