

Exchange Plaza, 'B' Wing, Ground Floor, NSE Building, Bandra Kurla Complex, Bandra (East), Mumbai-400 051. Toll Free - 1800 425 5600 • Fax: 022-6772 0512.

Website: www.principalindia.com • E-mail: customer@principalindia.com

Application Form
(Please read Product Labelling details and Instructions before filling the Form)

Application No.

All details are mandatory. The application is liable to get rejected if details not filled. Please read the instructions before filling the Application Form

DISTRIBUT	TOR INFORMATION & APPLICAT	ION RECEIPT DATE		
Broker AR	N Code Sub-Broker ARN	l Code EUIN	Sub-Broker Code	Principal Group Employee Code
South Gujara	t ARN: 54854			
any interaction or of in-appropriater not charged any a Upfront commission	advice by the employee/relationship less, if any, provided by the employed dvisory fees on this transaction. (Refe	manager/sales person of the e/relationship manager/sales per Instruction No. G)	is this is an "execution-only" transaction above distributor or notwithstanding person of the distributor and the distributor and the distributor and the distributor are the contract of the	the advice ibutor has
TRANSAC	TION CHARGES FOR APPLICATI	ONS THROUGH DISTRIBU	TORS/AGENTS ONLY [Refer Inst	ruction No. B(14) for Details]
Investors are advise	d to confirm if he/she is a First Time Mu	tual Fund Investor by selecting [	please ✓ one of the options:-  First time	e Mutual Fund Investor   Existing Investor]
1 EXISTING	UNITHOLDERS DETAILS (Please	note that the applicant details an	d mode of holding will be as per the exist	ing Folio Number) [Refer Instruction No. B(1)]
Please fill your Foli	o No. and Name and then proceed to S	ection (3)	Common Account / Folio	No.
Name of Sole / Firs	st Unit Holder			
2 NEW APP	LICANT'S DETAILS (Please fill in BI	ock Letters with black/blue ink,	use one box for one alphabet leaving o	ne box blank between two words)
NAME OF FIRST / SO	OLE APPLICANT Mr. Ms. 1	M/s. Gender -	☐ Male ☐ Female Date of Birth	/Incorporation   D   D   M   M   Y   Y   Y   Y
_   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
FATHER'S NAME	N. /0"	CD: II /	0 1 5B; II /	
PAN	Place / Cit Incorpora	y of Birth / tion	Country of Birth / Incorporation	Nationality
	OB (Mandatory for minor) - 🔲 Birth Ce			vith Minor Applicant - 🔲 Father 🔲 Mother 🗀 Legal Guardian
-	ing permitted in case of minor applicant - Ref IOLDER / CONTACT PERSON	er Instruction no. B(11). • Guardian:	Mandatory for Minor Applicant. • POA Holde Gender - Male Female	r/Contact Person: Mandatory for Non-Individual Investors]  Date of Birth   D   D   M   M   Y   Y   Y   Y
			E NAME	L A S T N A M E
FATHER'S NAME				
PAN	Place / Cit	y of Birth	Country of Birth	Nationality
NAME OF THE SECO			Gender - Male Female	Date of Birth DDMMMYYYYY
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
PAN AME	Place / Cit	v of Rirth	Country of Birth	Nationality
		y OI BII III		Date of Birth   D   D   M   M   Y   Y   Y   Y
NAME OF THE THIR	DAPPLICANT Mr. Ms STORES		Gender - Male Female	L   A   S   T   N   A   M   E
FATHER'S NAME				
PAN	Place / Cit	y of Birth	Country of Birth	Nationality
ADDRESS OF FIRST	/ SOLE APPLICANT [P.O. Box Address is no	t sufficient]	OVERSEAS ADDRESS (in case the First Ap	plicant is NRI/FII/PIO) [P.O. Box Address is not sufficient] {Refer Instruction No. B(5)}
	Pin C	nda		Zip Code
CONTACT DETAILS	OF FIRST / SOLE APPLICANT (Please ens		s for us to serve you better)	Zip code
Phone O	UTTIKST / SOLE ATTEICANT (Flease ens	R	Fax	
Mobile		☐ I / We wish to rece	eive updates via SMS on my mobile (F	lease ✓)
e-mail   N	B L O C K   L	E T T E R S		
Where e-mail ID is p	rovided all communications like Account Sta	tement, Newsletter, Annual Report e	etc. will be done electronically. Physical, if requ	ired, will be mailed to your registered address on request.
	ENT DETAILS (Cheque/DD shou		•	ability of these options may differ for various schemes.
Scheme / Plan /	Principal -	Scheme		anny or most apriorite may amor for tarious surfaces
Option / Sub-Option /	<u> </u>	on, Deveut Deinvest Cuven		
Frequency	Plan: ☐ Direct Plan ☐ Regular Plan	Option: Dividend Daily	Weekly Monthly Quarterly	on: ☐ Payout ☐ Reinvest ☐ Sweep
D. C. C. L. A.	<u>-</u>	. 3	Weekly Envioliting E Quartery	Allida
Conservative	set Allocation Fund-of-Funder Plan Moderate Plan Anterior Sub-Plan Regular Sub-Pl	Aggressive Plan		broker code. If Direct Sub-plan is opted and the broker code will be ignored. b-Plans / Options]
				continued overleaf
ACKNOW.	I EDCEMENT SLID (To be filled in	hy the Applicant)	N No: Sub-Broker A	- — — — — — — — — — — — — — — — — — — —
	LEDGEMENT SLIP (To be filled in	by the Applicant) AR	N No: Sub-Broker A	
Received from Cheque / DD / RTGS /	NEET NO		Dated: _ D	Application No.
Drawn on Bank & Bra			Datou. D D J WI WI J T T T T T	
Scheme / Plan / Optio			Amount₹	
Please Note : All p	urchases are subject to realisation of	payment instrument		Signature, Stamp & Date

	Scheme Plan			Option	ו [		ple	case of Dividend S ase ensure to fulfil estment criteria in	I the minimum
In case the choice of optic	on is not indicated,	default option shall	be Growth Option.	Under Dividend O	ption, the default sub-option s	hall be Dividend re	investment optio	n.	
4 KYC / FATCA				Please 🗸 . The ap	plication is liable to get rej		·		
Status details for	First Applicant	Second Applicant	Third Applicant	Guardian	Politically Exposed Per First / Sole Applicant	son (PEP) Details	: Is a PEP	Related to PEP	Not Applicable
Resident Individual					Second Applicant				
NRI / PIO					Third Applicant				
Sole Proprietorship		-	-	-	Guardian				
Minor through Guardian#		-	-	-	Authorised Signatories				
Non Individual	<ul><li>☐ Company/Body</li><li>☐ Corporate</li></ul>				Promoters Partners				
	Partnership				Karta				
	☐ Trust ☐ Society	_	_	_	Whole-time Directors				
	☐ HUF				Gross Annual Income	Range (in ₹)	'		'
	☐ Bank ☐ AOP				Occupation details for	First Applicant	Second Applican	t   Third Applicant	Guardian
	FI / FII / FPI				Below 1 lac				
Others (Please specify)					1 - 5 lac				
	I				5 - 10 lac 10 - 25 lac				
Occupation details for	First Applica	nt Second Applica	nt Third Applicant	Guardian	25 lac- 1 crore				
Private Sector					above 1 crore				
Public Sector					OR Networth in ₹ (Mandatory for				
Government Service					Non Individual)	as on	as on	as on	as on
Business					(Not older than 1 year				
Professional					" Address of tax residence approach KRA & notify the	would be taken as	available in KRA o	latabase. In case of	any change. Pleas
Agriculturist					Type of Address given a		Residentia	al Business	Registered Office
Retired					First / Sole Applicant	21 1101	Kesidentik	Justiness	negistered offic
Housewife			<u> </u>		Second Applicant				
Student					Third Applicant				
Others (Please specify)			_		Guardian				
Bank Name Do not abbreviate) Account No.	(Please pro	vide the full accour	nt number)		Branch / City				
Branch Address									
							Pin C	Code	
Account Type (Please ✓)	Savings	Current NR	E NRO F	CNR NRSR					
MICR Code*			This is a 9 digit	number next to you	r Cheque No.   Essential Er	nclosures : (For Direc	et Credit): Rlan	k cancelled cheque	Copy of cheque
Only for IFSC*			NEF	T*, , ,	ESSCRIBE E	Iclosures : (For Birec	or oreary blan	· ·	dicates - Mandato
RTGS* Code Note: It is mandatory to er	nclose Proof of Bank	(personalised cance	Coo		nk Account is different from the	e above mentioned	Bank Account de	-	dicates Mandato
7 PAYMENT DE	TAILS (Manda	atory) The name	e of the First/Sole	Applicant must I	be preprinted on the chequ	ue [Refer Instruct	ion No. C]		
(i) Investment Amount (₹)		_	(ii) DD C	harges (₹)		Net Amount	(₹) (i)+(ii)		
Mode of Payment (Please ✓	() Cheque	□ DD □ RTGS	NEFT	ECS Funds T	Payment from Bank A/c. No.				
*Cheque / DD / RTGS / NE	FT No.			Dated D D	M M Y Y Y	Υ			
Drawn on Bank					Branch & City				
Details of the Payer (In c			of the Bank A/c. ho	older as mentioned Name	d above)			Mandatory Enclosu	
Parent/Grand Parent/rel	•	exceed ₹ 50,000): _					[	<ul><li>KYC Acknowle</li><li>Third Party Dec</li></ul>	-
Employer:	Name			Custodian:	Name				
•			•	•	: • RTGS / NEFT / ECS / Bank Copy of Passbook / Bank Staten				
* Please mention the App	lication No., PAN ar	nd Name of the First	t Unitholder on the	reverse of the Payn	nent Instrument.				
For leve	ctment related en	quirios Investor C	ievance please sa						
Mutual Princip	al Mutual Fun				Bandra (East), Mumbai - 400	051.			

TOLL FREE: 1800 425 5600. • Fax: 022-6772 0512 • E-mail: customer@principalindia.com • Website: www.principalindia.com

8 DEMAT ACCOUNT DETAILS (OPTIONAL) [Refer instruction No. 'B (13)']													
(Please ensure that the sequence of names as mentioned in the application form matches with that of the account held with the Depository Participant).													
In case Unit holders do not provide their Demat Account details, Units will be allotted in physical form.													
NSDL	DP Name DI	P ID							Be	nefici	iary Account No.		
CSDL	DP Name Be	eneficiary	y Accour	nt No.									
9 N	IOMINATION (Please ✓ and confirm the option selected) -	Please I	Refer In	struct	ion No	'F'							
	o hereby nominate the undermentioned Nominee to receive the Units all						the ev	ent of	mv/c	our de	eath. I/We also understa	and that all pay	ments and settlements mad
	ominee and Signature of the Nominee acknowledging receipt thereof, s												
NOMINE	E'S NAME Mr. Ms										B	D   D   M	LMIVIVIVIV
											Date of Birth (in case of nominee		
NAME O	F PARENT / LEGAL GUARDIAN (in case of nominee being a minor)	Mr.	☐ Ms	ı				ı					
ADDRESS	S OF NOMINEE / GUARDIAN (in case of nominee being a minor)												
City			Pin	Code							Specimen	Signature of N	Iominee / Guardian
OR													
	lo not wish to nominate a nominee in my / our folio.	ture of 1s	st Unit H	older			Sign	ature	of 2	nd U	nit Holder	Signature	e of 3rd Unit Holder
[Applican	ts can make multiple nomination (to the maximum of three) by filing nor	mination f	form avail	lable a	t our Inv	estor S	ervice	Centi	res / y	NWW.	.principalindia.com]		
10 P	RIVACY POLICY CONFIRMATION [Refer instruction No	. 'H']											
I/We cons	ent to and authorize the AMC to share all information (including withou	ıt limitatio	n person	al info	rmation	or sens	sitive	persor	nal da	ta or i	information) provided	by me/us for tra	ansacting in Principal Mutua
	any of its Associates/Group Companies, for offering their services and p												
	nsent to and authorize AMC to collect personal information or sensitive p												
informatio	on /sensitive personal data or information provided by me/us for exten	iding and	offering	service	es and s	upport	requ	ested	and	to sha	are with and disclose	the same to Pl	VF/AMC's Associates/Group
	es (Affiliates), for offering their services and products. I/We also consent to to non-affiliated third parties such as, but not limited to, attorneys, acco												
	· · · · · · · · · · · · · · · · · · ·			and po		0111110	0 1110	aro a	33000	ng oc	compilation mitrial	asir y starradi do	
	IS / NON-US PERSON DECLARATION FOR INDIVIDUA	•	•										
Managen	by declare and agree that I am/we are not a "U.S. person" for U.S. federa nent Company Pvt. Ltd., believing this statement to be true, will rely on it d to reject the application or terminate the folio.												
I/We agre	e to notify Principal Pnb Asset Management Company Pvt. Ltd. within 30	days of ar	ny change	e in my	our stat	us as a	U.S.	oerson	for t	he pu	rposes of U.S. federal in	ncome tax. I/We	e agree to indemnify Princip
Pnb Asset	Management Company Pvt. Ltd. in respect of any false, misleading, ina	iccurate a	nd incom	plete i	nformat	ion reg	jardin	g my/o	our "	U.S. p	person" status for U.S.	federal income	e tax purposes.
I am a	a US Person												
	ATCA INFORMATION / FOREIGN TAX LAWS [Refer ins	struction	n No. 'I	<u>'</u> ]									
	v information is required for all applicant(s)/Guardian:											1	
Catego	ry		First	Appli	cant			Se	conc	l App	olicant/Guardian		Third Applicant
Are you	a tax resident of any country other than India?		Y	es _	No					Ye	es No		Yes No
If yes, PI	ease indicate all countries in which you are resident for tax purpose and	the assoc	ciated Tax	Refere	ence Nu	mbers I	belov	<i>I</i> :					
Country	<b>y</b> #												
Tax Ide	ntification Number##												
Identifi	cation Type (TIN or Other, please specify)												
## In case	nclude USA, where the individual is a citizen / green card holder of The Tax Identification Number is not available, kindly provide its functional e	equivalent			N-1-1-F-	. 414 1-1-		-4!	NI		- CIM - t-		
	N or its functional equivalent is not available, please provide Company lo	16111111169[10	UII INUMB	el Of G	NODAL EL	nny Ide	HILLIC	auon	Num	Jer or	GIN, etc.		
	viduals: Please fill FATCA & CRS Declaration also e entities country of Incorporation / Tax residence is U.S. but Entity is not	t a Snecifi	a 211 hai	erson	mentio	n Entity	/'S AVE	mntin	n cor	le her	ro:		
				or JULI,	montiol	Lillity	JUNE	πριιο		io i ici			
	dividual Investors involved / providing any of the mentioned				F1.0 -						1100 1 1 11 11		TEC. NO.
	the company a Listed Company or Subsidiary of Listed Company or cont	rolled by	a Listed (	ompa	ny: [ <b>if N</b>	io, ple	ase a	ttach	man	datoi	ry UBO declaration]	Y	
-	reign Exchange / Money Changer Services											Y	
-	aming / Gambling / Lottery / Casino Services											Y	
iv. Mo	oney Lending / Pawning											Y	ES NO
Ultima	te Beneficiary Owner (UBO) Details (Refer Instruction No. F) (For N	Non-indiv	/idual Or	nly: UE	O Decla	aration	n atta	ched)					
□ Арр	licant is the UBO(s) of this investment (Default)    Applicant is N	OT the UF	BO(s) of t	his inv	estment								

## FATCA & CRS – TERMS & CONDITIONS

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as with holding agents for the purpose of ensuring appropriate with holding from the account or any proceeds in relations thereto.

Should there by any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

Please note that you may receive more than one request for information if you have multiple relationships with (Insert FI's name) or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

## 13 FATCA & CRS DECLARATION AND CERTIFICATION (Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

#### I. FOR NON-INDIVIDUAL / ENTITY:

PAR	PART A (to be filled by Financial Institutions or Direct Reporting NFEs)							
1.	We are a, Financial institution <sup>6</sup>	GIIN						
	or	Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your						
	Direct reporting NFE <sup>7</sup>	sponsor's name below:						
	(please tick as appropriate)	Name of sponsoring entity						
	GIIN not available (please tick as applica	ble) Applied for						
	If the entity is a financial institution,	Not required to apply for - please specify 2 digits sub-category <sup>10</sup>						
		Not obtained – Non-participating FI						
PAR	TB (Please fill any one as appropriate " to b	pe filled by NFEs other than Direct Reporting NFEs")						
1.	Yes   (If yes, please specify any one stock exchange on which the stock is regularly traded)							
	(that is, a company whose shares are regula	rly traded on an established securities market)  Name of stock exchange						
2.								
	(a company whose shares are regularly traded on an established securities market)  Name of listed company							
		Nature of relation: Subsidiary of the Listed Company or Controlled by a Listed Company						
	Name of stock exchange							
3.	Is the Entity an active <sup>3</sup> NFE	Yes (If yes, please fill UBO declaration in the next section.)						
	Nature of Business							
		Please specify the sub-category of Active NFE (Mention code - refer 2c of Part D)						
4.	Is the Entity a passive <sup>4</sup> NFE	Yes (If yes, please ?II UBO declaration in the next section.)						
		Nature of Business						
<sup>1</sup> Re	<sup>1</sup> Refer 2a of Part D   <sup>2</sup> Refer 2b of Part D   <sup>3</sup> Refer 2c of Part D   <sup>4</sup> Refer 3(ii) of Part D   <sup>6</sup> Refer 1 of Part D   Refer 3(vii) of Part D   <sup>10</sup> Refer 1A of Part D							

#### II. ALL APPLICANTS:

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

#### III. INDIVIDUAL / NON-INDIVIDUAL DECLARATION:

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 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 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 Scheme/s 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 and interest and interest and take any appropriate action against me/us in case the cheque(s) / payment instrument is /are returned unpai

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.

## IV. SIGNATURE:

Signature of 1st Applicant / POA Holder / Guardian	APPLICANT SIGNATURE	POA HOLDER SIGNATURE	POA Details -  Enclosed Notarised Power of Attorney  Name  PAN	Enclosed (please ✓) ☐ PAN ☐ KYC Attach copy of PAN & KYC^)
Signature of 2nd Applicant / POA Holder			POA Details -  Enclosed Notarised Power of Attorney  Name PAN	Enclosed (please ✓) ☐ PAN ☐ KYC Attach copy of PAN & KYC^)
Signature of 3rd Applicant / POA Holder	APPLICANT SIGNATURE	POA HOLDER SIGNATURE	POA Details -	Enclosed (please ✓) ☐ PAN ☐ KYC Attach copy of PAN & KYC^)

<sup>^</sup> Refer Instruction No. D

# 14 CHECKLIST

### Please ensure that:

- ☐ All relevant particulars are filled in / ticked in the form
- ☐ PAN details are furnished [Refer Instruction No. D]
- ☐ KYC acknowledgement letter is enclosed [Refer Instruction No. D].
- ☐ Your investment is not less than the minimum investment amount.
- ☐ Your application is completed and signed by all applicants.
- To prevent fraudulent practices, Investors are urged to make the payment instruments (cheque / Demand draft / Pay Order etc.) favouring "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".
- u On the reverse of the payment instrument submitted please mention the Application Number, PAN and Name of the First Applicant.