Exchange Plaza, ‘B’ Wing, Ground Floor, NSE Building, Bandra Kurla Complex, Bandra (E)- 400 051. Toll Free - 1800 425 5600 • Fax: 022-6772 6512 Website: www.principalindia.com E-mail: customer@principalindia.com

Application Form for STP & SWP

Application No.

In case of folios held on behalf of Minor - Standing Instructions in the nature of STP & SWP will be registered only till the date of Minor attaining Majority.

1 DISTRIBUTOR INFORMATION & APPLICATION RECEIPT DATE

Broker ARN Code Sub-Broker ARN Code EUIN Sub-Broker Code Principal Group Employee Code

I/We hereby confirm that the EUIN box has been intentionally left blank by me/us as this is an “execution-only” transaction without any interaction or advice by the employee/relationship manager/sales person of the above distributor or notwithstanding the advice of inappropriateness, if any, provided by the employee/relationship manager/sales person of the distributor and the distributor has not charged any advisory fees on this transaction. (Refer Instruction No. 1)

Upright 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.

Signature of Sole/ First Applicant/ Holder

2 EXISTING UNITHOLDERS DETAILS (Please note that the applicant details and mode of holding will be as per the existing Folio Number) (Refer Instruction No. 2)

Common Account / Folio No.

Name of Sole / First Unit Holder

2.1 SYSTEMATIC WITHDRAWAL PLAN (SWP) - Atleast 6 Withdrawals of ₹ 500/- each (Available only after the expiry of the scheme specific lock-in period, if any)

I/We would like to enrol for SWP

Scheme

Plan/Option

Start Month End Month (optional) **
(SWP date)

No. of Installments (Atleast 6)

Frequency Monthly Quarterly Semi-annual Annual

SWP Units

SPW date 1st 11th 21st (the date of the month on which you want to withdraw)

I/We further confirm & declare that I/We do not have any existing Micro SIP in the scheme(s) of Principal Mutual Fund which together with the current Micro SIP application will result in aggregate investments exceeding ₹ 30,000/- further. We further confirm that where the PAN has not been provided for any unitholder the same is on account of the fact that we do not hold PAN as on date.

3 SYSTEMATIC TRANSFER PLAN (STP) / SYSTEMATIC SWITCH PLAN (SSP)

Atleast 6 Withdrawals of

(i) ₹ 1,000/- for each of all Schemes (Except Principal PNB Personal Tax Saver Fund & Principal Tax Savings Fund)

(ii) ₹ 500/- for each of Principal Personal Tax Saver Fund & Principal Tax Savings Fund (Available only after the expiry of the scheme specific lock-in period)

I/We would like to transfer

units OR ₹ (in figures)

To:

Scheme

Plan/Option

From:

Scheme

Plan/Option

Start Month

End Month (optional) **

Frequency Daily Weekly Monthly Quarterly Semi-annual Annual

No. of Installments (Atleast 6)

STP date 1st 11th 21st (the date of the month on which you want to do STP)

* Every Monday (Next Business Day if Monday is a non-business day).

** In case if the investor does not specify the end month the SWP/STP shall be active only upto such date that the sufficient funds are available.

4 DECLARATION AND SIGNATURES

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. 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 further confirm that I/We have the express authority from the relevant constitution to invest in Funds from amongst which the Scheme(s) has been recommended to me/us. I/We authorize AMC to directly credit all the dividend payouts and redemption amount to my/our bank account, where AMC has such arrangement with my/our bank. I/We hereby agree for the AMC/Trustees to compulsorily redeem any Units held directly or beneficially by me/us if I/We fail to provide the information called for by the AMC.

Applicant Signatures

APPLICANT SIGNATURE POA HOLDER SIGNATURE

PAN Details - Name PAN

Enclosed (please check) □ RAN □ KYC

Attach copy of RAN & KYC^)

Signature of 1st Applicant / POA Holder / Guardian

Signatures of 2nd Applicant / POA Holder

Signatures of 3rd Applicant / POA Holder

APPENDIX Slip (To be filled in by the Applicant)

ARN No: Sub-Broker ARN: EUIN:

Received from Application / Folio No.

Application for Amount:

☐ STP ☐ SWP From: Scheme Plan Option

To: Scheme Plan Option

Signature, Stamp & Date

* Refer Instruction No. 3

^ Refer Instruction No. 3

Application / Folio No.

APPENDIX Slip (To be filled in by the Applicant)

ARN No: Sub-Broker ARN: EUIN:

Received from Application / Folio No.

Application for Amount:

☐ STP ☐ SWP From: Scheme Plan Option

To: Scheme Plan Option

Signature, Stamp & Date

* Refer Instruction No. 3

^ Refer Instruction No. 3

Application / Folio No.

APPENDIX Slip (To be filled in by the Applicant)

ARN No: Sub-Broker ARN: EUIN:

Received from Application / Folio No.

Application for Amount:

☐ STP ☐ SWP From: Scheme Plan Option

To: Scheme Plan Option

Signature, Stamp & Date

* Refer Instruction No. 3

^ Refer Instruction No. 3

Application / Folio No.
INSTRUCTIONS FOR FILING THE FORM

This application form is for Resident Investors/NRI's etc., who are eligible to invest, and should be completed in English in BLOCK LETTERS. The box must only be used by the applicant, failing which all application forms shall be liable for rejection. Please tick (✓) in the appropriate box provided.

Please read the terms of the Statement of Additional Information, Scheme Information Document and Key Information Memorandum of the Schemes carefully before filling in the application form. All applicants are deemed to have accepted the terms subject to which this offer is being made and bind themselves to the terms upon signing the Application Form for tendering the payment. Application should be for a minimum amount specified for each Scheme/Plan/Option.

1) **Employee Unique Identification Number (EUIN):** EUIN is an unique identification number granted to the employee of ARN holders. This unique identity number helps to capture the details of employee/relationship manager/sales person of the Distributor who has interacted with the investor for sale of Mutual Fund Products. Capturing EUIN will help curb mis-selling of Mutual Fund Products, prevent fraudulent practices and will help the Mutual Fund to know the personnel involved in such practices and take suitable action, even if the employee/relationship manager/sales person quits the Company, particularly in an advisory transaction.

   In case EUIN is left blank, it would be assumed that the investor agrees to the declaration provided in bold in the section “Distributor Information & Application Form Receipt Date”. Investors are requested to mandatorily sign at the space allocated in the section, as a token of having read and understood the declaration.

2) The details of Existing Unitholder(s) including details of bank account, sequence & mode of holding, address and nomination, as registered in the existing Folio number would apply to this investment and the said registered details would prevail over any conflicting information that may be furnished in this form.

   Format: (Employee Name) and (Employee ID)

   Example: (John Doe) and (0012345678)

   Further, in case the employee/relationship manager/salesperson resigns from the Company, the said details would prevail over any conflicting information that may be furnished in this form.

   **Note:** For systemic withdrawal, please ensure to submit the bank account number, sequence, and mode of holding, and not to the transactions of the employees of Central and State Government in their personal capacity.

   With effect from 1st January, 2011, KYC (Know Your Customer) norms are mandatory for ALL investors for making investments in Mutual Funds, irrespective of the amount of investment. Investors shall mean to include (i) their constituted Power of Attorney (PoA) holder, in case of investments through a PoA (both issuer of PoA & PoA holder must attach KYC Acknowledgement) and (ii) each of the applicants, in case of application in joint names (iii) Guardian in case of minor. KYC (Know Your Customer) norms are mandatory for ALL investors for making investments in Mutual Funds, irrespective of the amount of investment. Investors shall mean to include (i) their constituted Power of Attorney (PoA) holder, in case of investments through a PoA (both issuer of PoA & PoA holder must attach KYC Acknowledgement) and (ii) each of the applicants, in case of application in joint names (iii) Guardian in case of minor.

   Further, to bring uniformity in KYC process, SEBI has introduced a common KYC procedure across all the SEBI registered intermediaries viz. Mutual Funds, Portfolio Managers, Depository Participants, Stock Brokers, Venture Capital Funds, Collective Investment Schemes etc. All new investors who are not KYC compliant are required to use common KYC Application Form to apply for KYC process and to mandatorily undergo a KYC Verification (PIV) with any of the SEBI registered intermediaries including Mutual Funds. With respect to Mutual Funds, PIV can be conducted by AMC(s) or any KYC compliant Mutual Fund Distributor who holds AMF/NSM, certification. Further, for applications received directly by the Mutual Fund, PIV carried out by Scheduled Commercial Banks can also be relied upon. Investor upon completing KYC requirements (including PIV) through any of the SEBI registered intermediaries, will not be required to undergo KYC process again with such intermediaries including Mutual Funds.

   AMC reserves the right to conduct fresh KYC of the investors or undertake enhanced KYC measures commensurate with the risk profile of the Investor. Further, AMC/Principal Trustee Co. Pvt. Ltd. (Principal Mutual Fund) reserves the right to reject the application forms for transactions in units of PMF not accompanied by letter/acknowledgement issued by the KRA. The KYC compliance status will be validated with the records of AMC/Principal Trustee Co. Pvt. Ltd. (Principal Mutual Fund) held on their records of KYC database.

   Existing KYC compliant investors of Mutual Fund can continue to transact as per the current practice. However, existing investors are urged to comply with new KYC requirements including PIV as mandated by SEBI. The KYC letter is one time and unique and can be used for transacting across the Mutual Funds. All applications without PAN details and KYC requirements, are liable to be rejected.

   **TERMS AND CONDITIONS**

### SYSTEMATIC WITHDRAWAL PLAN

1. The unitholder has an option to select 1st, 11th or 21st day of the month (quarter/yearly) annual on which the Systematic Withdrawal is to be made and for all schemes SWP request should be for a minimum of 6 installments of Rs. 500/- each.

2. The unitholder may set up a SWP on a monthly, quarterly, semi-annual or annual basis to:
   - Redeem a fixed number of units
   - Redeem a fixed amount

3. The Unitholder can select to opt for SWP by providing Fixed Number of Units or Amount. Where in the Application form, the Unitholder states both Number of Units and Amount, in terms of the SID, the Rupee amount shall be considered for the purpose of SWP.

4. Once the unitholder sets up a Systematic Withdrawal Facility, the plan would continue until:
   - The unitholder instructs the Fund to stop periodic withdrawal in writing; or
   - The unitholder’s account balance is zero
   - On expiry of the timeperiod specified by the unitholder

5. SWP should be submitted 7 days prior to the cycle date.

### SYSTEMATIC TRANSFER PLAN

1. The unitholder has an option to select 1st, 11th or 21st day of the month on which the STP is to be made.

2. The unitholder may set up a STP on a daily, weekly, monthly, quarterly, semi-annual or annual basis to exchange a fixed number of units and/or amount in one scheme to another scheme or one plan/option to another.

3. For all schemes STP request should be for a minimum of 6 installments of Rs. 1,000/- each except ELSS Scheme. For ELSS scheme Principal Personal Tax Saver Fund & Principal Tax Savings Fund a minimum of 6 installments of Rs. 500/- each.

4. Once the unitholder sets up a Systematic transfer facility, the plan would continue until:
   - The unitholder instructs the Fund to stop periodic switching in writing; or
   - The unitholder’s account balance is zero
   - On expiry of the timeperiod specified by the unitholder

5. The STP amount should meet the minimum application amount of the Scheme to which the STP is intended to be set up.

6. STP should be submitted 7 days prior to the cycle date.

7. In case STP start date is not mentioned, the STP will be processed on the cycle date commencing 7 working days from the receipt of request.