

**NEW FUND OFFER OPENS ON : JUNE 14, 2011 • NEW FUND OFFER CLOSES ON : JUNE 20, 2011**

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
<b>ARN-0007</b>					

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 [Note: No Joint holding permitted in case of minor applicant - \*Refer Instruction no. B(11)]

\_\_\_\_\_ 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 (Mandatory for Minor Applicant - \*Enclose Supporting Document) \_\_\_\_\_ PAN \_\_\_\_\_

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

**Guardian** (Mandatory for Minor Applicant) / **POA Holder / Contact Person** (In case of non-individual Investors - PAN & KYC not required for contact person)  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 \_\_\_\_\_ PAN \_\_\_\_\_ Relationship with  Father  Mother  Legal Guardian  
Minor Applicant [Note: \*Enclose Supporting Document]

**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 \_\_\_\_\_ PAN \_\_\_\_\_

**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 \_\_\_\_\_ PAN \_\_\_\_\_

Kindly ensure that Copy of PAN & KYC Acknowledgement Letter are enclosed to your Application Form as per Instruction No. D of this Form.

**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))

\_\_\_\_\_ L A N D M A R K \_\_\_\_\_

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) **OCCUPATION OF 1ST APPLICANT / GUARDIAN** (Please )

PIO  NRI (Non Repatriable)  NRI Minor (Non Repatriable)  Business  Service  Profession  Retired  Agriculture

**MODE OF HOLDING** (Please )  Single  Jointly  Either / Anyone or Survivor (Default Option : Jointly)  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** (Please  and confirm the option selected) - Please Refer Instruction No. 'G'

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 \_\_\_\_\_ D D M M Y Y Y Y

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

**ADDRESS OF NOMINEE / GUARDIAN** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

City \_\_\_\_\_ Pin Code \_\_\_\_\_

**OR**

I/We do not wish to nominate a nominee in my / our folio. \_\_\_\_\_ Signature of 1st Unit Holder \_\_\_\_\_ Signature of 2nd Unit Holder \_\_\_\_\_ Signature of 3rd Unit Holder \_\_\_\_\_

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

**ACKNOWLEDGEMENT SLIP (To be filled in by the Applicant)**

Received from \_\_\_\_\_ ARN No: \_\_\_\_\_ Application No. \_\_\_\_\_

Cheque / DD / RTGS / NEFT / Bank Transfer No. \_\_\_\_\_ Dated: D D / M M / Y Y Y Y

Drawn on Bank & Branch \_\_\_\_\_

Scheme / 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. \_\_\_\_\_  
 Only for IFSC\* \_\_\_\_\_ NEFT\* Code \_\_\_\_\_ Essential Enclosures : (For Direct Credit)  
 RTGS\* Code \_\_\_\_\_  Blank cancelled cheque  Copy of cheque

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 ✓)**

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

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

(i) Investment Amount (₹) \_\_\_\_\_ (ii) DD Charges (₹) \_\_\_\_\_ Net Amount (₹) (i)+(ii) \_\_\_\_\_  
 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 Payment Instrument Dated | D | D | M | M | Y | Y | Y | Y |  
 Payment from Bank A/c No. \_\_\_\_\_ Name of 1st Bank A/c holder \_\_\_\_\_  
 Drawn on Bank \_\_\_\_\_ Name of 2nd Bank A/c holder \_\_\_\_\_  
 Branch & City \_\_\_\_\_ Name of 3rd Bank 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 \_\_\_\_\_  
 Employer: Name \_\_\_\_\_  Custodian: Name \_\_\_\_\_  
 Enclosed (please ✓)  
 KYC Acknowledgement Letter  
 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. To prevent fraudulent practices Investors are urged to make the Payment Instruments favouring "Principal Pnb Fixed Maturity Plan - Series 3" and crossed "Account Payee Only".

**For ASBA Applications<sup>§</sup>, please tick here (✓)**  [§ Investors wishing to avail of ASBA facility are requested to submit the ASBA Application Form with SCSB. The investor is required to submit a copy of the acknowledgment receipt of the ASBA Form [as submitted to the SCSB] along with the NFO application form to Principal Mutual Fund. (Refer Instruction No. F)]

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

**Principal Pnb Fixed Maturity Plan - Series 3**  
 Growth  Dividend -  Payout  Sweep  
 Dividend Sweep to \_\_\_\_\_ Scheme Option \_\_\_\_\_ Plan  
**(In case of Sweep, please ensure to fulfill the minimum investment criteria in the new Scheme)**  
**(Default Option between Growth and Dividend shall be Growth and in case of Dividend Payout & Sweep, default shall be Dividend Payout)**

**9 DEMAT ACCOUNT DETAILS (Refer instruction 'E')**

Depository Participant (DP) ID \_\_\_\_\_ Beneficiary Account Number \_\_\_\_\_

In case of valid Demat Account details provided, the details of such applicant(s) including details of bank account, sequence & mode of holding, address and nomination, as registered in the Demat Account would apply to this investment and the said registered details would prevail over any conflicting information furnished in this form.

**10 DECLARATION AND SIGNATURES**

We have read and understood the contents of the Scheme Information Document/s to Principal Pnb Fixed Maturity Plan - Series 3 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 Principal Pnb Fixed Maturity Plan - Series 3 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 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.  
 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.

<b>SIGNATURES</b>	Signature of 1st Applicant / POA Holder / Guardian	APPLICANT SIGNATURE	POA HOLDER SIGNATURE
		POA Details - Name	
		PAN _____	
		Enclosed (please ✓) <input type="checkbox"/> PAN <input type="checkbox"/> KYC (Attach copy of PAN & KYC <sup>A</sup> )	
	Signature of 2nd Applicant / POA Holder / Guardian	APPLICANT SIGNATURE	POA HOLDER SIGNATURE
		POA Details - Name	
	PAN _____		
	Enclosed (please ✓) <input type="checkbox"/> PAN <input type="checkbox"/> KYC (Attach copy of PAN & KYC <sup>A</sup> )		
Signature of 3rd Applicant / POA Holder / Guardian	APPLICANT SIGNATURE	POA HOLDER SIGNATURE	
	POA Details - Name		
	PAN _____		
	Enclosed (please ✓) <input type="checkbox"/> PAN <input type="checkbox"/> KYC (Attach copy of PAN & KYC <sup>A</sup> )		

<sup>A</sup> Refer Instruction D



**Principal Mutual Fund**  
 Exchange Plaza, 'B' Wing, 11nd Floor, NSE Building,  
 Bandra Kurla Complex, Bandra (E),  
 Mumbai - 400 051, India.  
 (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, India  
 TOLL FREE: 1800 425 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 • To prevent fraudulent practices Investors are urged to make the Payment Instruments favouring "Principal Pnb Fixed Maturity Plan - Series 3" and 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.