



Principal Pnb Asset Management Company Pvt. Ltd.

Maker Bhavan - II, 1st Floor, 18, Sir Vithaldas Thackersey Marg,
New Marine Lines, Mumbai- 400 020.

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COMMON TRANSACTION FORM

DISTRIBUTOR INFORMATION

Broker Code : ARN - 0988

Broker Name : Ganesh S. Shanbhag

Sub-Broker Code : _____

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

Sole/First Holder : _____ PAN* _____ ☐ KYC Acknowledgement Letter*
Second Holder : _____ PAN* _____ ☐ KYC Acknowledgement Letter*
Third Holder : _____ PAN* _____ ☐ KYC Acknowledgement Letter*
Common A/c No. : _____ Date : _____ [* indicates - Refer overleaf]

1. Additional Purchase (Refer Instruction No. 3 to 8 overleaf)

TRANSACTION CHARGES FOR APPLICATIONS THROUGH DISTRIBUTORS/AGENTS ONLY [Refer Instruction No.13]

In case the subscription amount is ₹10,000/- or more and the Distributor has opted to receive Transaction Charges, ₹100/- (for investor other than first time mutual fund investor) will be deducted from the subscription amount and paid to the Distributor. Units will be issued against the balance amount invested.

INVESTMENT DETAILS: I/We want to make additional purchases in:

Scheme _____

Plan _____ Option/Facility _____

Cheque/DD/PO/RTGS/NEFT No. _____ for ₹ _____

dated _____ from Bank A/c No. _____ MANDATORY

Drawn on/ Payment from Bank & Branch _____

DD Charges ₹ _____ Gross Amount# ₹ (in figures) _____

Gross Amount# ₹ (in words) _____

#Cheque/DD + DD Charges

Details of the Payer (In case First Unitholder is not one of the Account holder(s) of the Bank A/c. mentioned herein)

☐ Parent/Guardian/Related person: _____ Name _____

☐ Employer: _____ Name _____ (Enclosed please ✓)

☐ Custodian: _____ Name _____ ☐ KYC acknowledgement letter

☐ Declaration of the Bank A/c

Please enclose relevant documents as indicated below as per the Mode of Payment: (Enclosed please ✓)

• 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

2. Redemption

I/We want to redeem _____ units or ₹ (in figures) _____

₹ (in words) _____ from _____

Scheme _____

Plan _____ Option/Facility _____

(Please Refer Instruction No. 2 & 6 overleaf)

[Note: In case of redemption application submitted along with a Change of Bank Mandate (new and unregistered), the new bank account shall not be considered for payment of redemption proceeds, unless and until it is registered in the records of R&T.]

3. Switch

I/We would like to switch _____ units or ₹ (in figures) _____

₹ (in words) _____

From : Scheme _____

Plan _____ Option/Facility _____

To : Scheme _____

Plan _____ Option/Facility _____

(Please Refer Instruction No. 11 overleaf)

4. Change of Address/Telephone Number/Fax Number/E-mail Address (Please Refer Instruction No. 14 overleaf)

New Details:

New Address : _____

_____ City _____ Pin _____ State _____

Tel No.: Off.: _____ Resi.: _____ Cell: _____

Fax : _____ E-mail : _____

5. Email / SMS Services

☐ I/We wish to receive following communication over E-mail:

☐ Account Statement ☐ Newsletter ☐ Annual Report ☐ Other Statutory Returns/Information

E-mail : _____

☐ I/We wish to receive updates via SMS on my/our Mobile. Cell No. : _____

I/We have read and understood the contents of the Statement of Additional Information and Scheme Information Document of the respective Scheme(s). I/We have requested transaction(s)/modification(s) as stated herein and agree to abide by the terms and conditions of the respective scheme(s)/Plan(s)/Option(s). I/we will also inform Principal Mutual Fund of any changes in my/our account details. I/We have read and understood the provisions on Third Party Payments and confirm that the payment for the subscription application has been made from my/our Account or from such accounts as permitted by SEBI/AMFI and necessary declarations and documents as mandated herein has been provided for the mode of payment.

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 further understand that the contents hereof form an integral part of the main application form.

Information & Instructions for all the schemes of Principal Mutual Funds is given overleaf.

Signature of Sole/ First Unitholder/ POA Holder/Guardian		Signature of Second Unitholder/ POA Holder		Signature of Third Unitholder/ POA Holder	
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(In case of Joint Holders, all Unit Holders must sign)

(For existing unitholders only)

SCHEME - RECKONER

Scheme	Option	Initial Investment (₹)	Minimum Additional Investment (₹)	Purchase/ Switch in Cut-off	Redemption/ Switch out Cut-off	Scheme	Option	Initial Investment (₹)	Minimum Additional Investment (₹)	Purchase/ Switch in Cut-off	Redemption/ Switch out Cut-off
Principal Global Opportunities Fund	Growth & Dividend	₹ 10,000 and any amount thereafter under each option	₹ 5,000 and any amount thereafter under each option	12.30 pm	12.30 pm	Principal Debt Savings Fund - Monthly Income Plan \$* and Retail Plan #**	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 500 and any amount thereafter under each option	3.00 pm®	3.00 pm
Principal Cash Management Fund	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 1,000 and any amount thereafter under each option	2.00 pm^	3.00 pm	Principal Tax Savings Fund ** and Principal Personal Tax Saver Fund#	-	₹ 500 and any amount thereafter	₹ 500 and any amount thereafter	3.00 pm	3.00 pm
Principal Retail Money Manager Fund ~	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 1,000 and any amount thereafter under each option	2.00 pm^	3.00 pm	<p>Initial Investment Amount ₹ 5,000 and Additional Investment Amount ₹ 500 in the following Schemes and Cut-off time being 3 pm:- Principal Growth Fund, Principal Dividend Yield Fund, Principal Large Cap Fund#, Principal Services Industries Fund, Principal Emerging Bluechip Fund#, Principal Conservative Growth Fund, Principal Balanced Fund, Principal Index Fund and Principal SMART Equity Fund. All the schemes offer Growth and Dividend Options.</p> <p>^Allotments in respect of purchase / switch-in, are subject to receipt of valid application / switch-in request at the Official Point of Acceptance of Transactions (OPT) AND credit of entire subscription / switch-in amounts in the Bank Account of the concerning Scheme(s) / Plan(s) AND funds available for utilization by the Scheme(s) / Plan(s) within relevant cut-off time as specified herein.</p> <p>® Allotments in respect of purchase / switch-in for an amount equal to or more than ₹ 1 crore are subject to receipt of valid application / switch-in request at the OPT AND credit of entire subscription / switch-in amounts into the Bank Account of the concerning Scheme(s) / Plan(s) AND funds available for utilization by the Scheme(s) / Plan(s) within relevant cut-off time, being 3.00 p.m.</p> <p>§ An open-ended fund. Monthly Income is not assured and is subject to the availability of distributable surplus.</p> <p>~ Subscriptions (by way of purchase / switch in or in any mode) is restricted only for individual investors (including HUFs, Association of Persons & where an individual is an ultimate beneficiary). Further, (a) Daily & Weekly Dividend Option and under the Payout & Sweep facility to Monthly Dividend Option under Principal Retail Money Manager Fund (b) Dividend Option under Principal Debt Savings Fund - Retail Plan, are not available for subscription/Switch-in.</p> <p>** Fresh sale of units (by way of purchase/switch in) is suspended under the scheme</p> <p># The schemes have been admitted on the order routing platform of NSE w.e.f. April 19, 2010, enabling investors to submit applications for subscription and redemption thereunder.</p>					
Principal Near-Term Fund - Moderate Plan	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 500 and any amount thereafter under each option	3.00 pm®	3.00 pm						
Principal Near-Term Fund - Conservative Plan	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 500 and any amount thereafter under each option	3.00 pm®	3.00 pm						
Principal Ultra Short Term Fund	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 1,000 and any amount thereafter under each option	3.00 pm®	3.00 pm						
Principal Income Fund - Long Term Plan	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 500 and any amount thereafter under each option	3.00 pm®	3.00 pm						
Principal Income Fund - Short Term Plan	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 500 and any amount thereafter under each option	3.00 pm®	3.00 pm						
Principal Government Securities Fund	Growth & Dividend	₹ 5,000 and any amount thereafter under each option	₹ 500 and any amount thereafter under each option	3.00 pm®	3.00 pm						

The above is subject to change/modification at any time purely at the discretion of Principal Mutual Fund without assigning any reason or prior notice

Instructions and Information

- Before investing, please refer the Scheme Information Document (SID) of the respective scheme(s) alongwith Statement of Additional Information and addendums issued from time to time.
- For redeeming units, in case the balance in your account does not cover the amount of the request, the account shall be closed and the entire such (lesser) amount shall be sent to you. The redemption proceeds shall be credited to the default Bank account registered with the AMC.
- The additional purchase amount should be >= Minimum Investment / Minimum Additional Investment amount.
- All payment instruments 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 crossed "A/c Payee only".
- The first unit holder should be one of the Bank Account Holder from which the payment for subscription is being made. Purchase application requests should mandatorily mention the payment details i.e. account number, bank and branch name of the bank account used for issuing the payments to the fund.
- Investors have the facility to register Multiple Bank Accounts - upto 5 in case of Individuals and upto 10 in case of non-individuals, by filling up and submitting the "Bank Account Registration Form" at any of the Official Point of Acceptance (OPT). In case of payments received from a Bank Account which is not registered and the first unitholder's name is not preprinted on the payment cheque, unit holder should mandatorily attach supporting documents as required by the fund, like bank certificate, bank passbook copy or statement to prove that the funds are from a bank account held by first unit holder only. If the documents are not submitted with the application, the fund reserves the right to reject the application without any liability whatsoever or call for additional details, at its discretion.
- In specific exceptional situations where Third Party payment is permitted like (i) Payment by Parents / Grand-Parents / Related persons on behalf of a minor (other than registered guardian) in consideration of natural love and affection or as gift for value not exceeding ₹ 50,000 for each purchase, (ii) Payment by an Employer on behalf of Employee under Systematic Investment Plans or Lumpsum / One time subscription through Payroll deductions or (iii) Custodian on behalf of an FI or a client - KYC acknowledgment letter of the investor and the KYC of the person making the payment is mandatory irrespective of any amount of investment. Additionally, a joint declaration is also required to be submitted.
- In case of payment through RTGS/NEFT/ECS/Bank Transfer and the like, Unitholder should mandatorily attach the Instructions provided to the Bank stating the account number to be debited. In case of Prefunded Instrument viz. Pay order / Demand Draft / Banker's Cheque and the like, a certificate from the Bank stating the Name of the Account holders and Account Number which has been debited to issue such instrument OR a copy of acknowledgement from the Bank wherein the instructions to debit the Investor's bank account and name of the Investor as an account holder are available OR copy of pass book/bank statement evidencing the debit for issuance of a Demand Draft / Pay Order must be enclosed. Further, in case of prefunded Instrument viz. Pay Order / Demand Draft issued against cash (acceptable for less than ₹ 50,000/- only), a certificate from the Bank stating the Name, Address, Bank Account No. and PAN (if available) of the person who has requested for the Instrument must be enclosed.
- If you have selected the Dividend Option, please mention the Facilities (i.e. Payout / Reinvestment / Sweep / Accumulation / Auto Earnings Payout) wherever available in the Scheme(s) / Plan(s). In case the same is left blank, the default option/facility as provided in the SID of the respective Scheme(s) shall be considered and application shall be processed accordingly.
- Folios Held on behalf of Minor - Effective the date of Minor attaining Majority, no financial and non-financial transactions including fresh registration of Systematic Investment Plans (SIPs), Systematic Transfer Plans (STPs), Systematic Withdrawal Plans (SWPs) etc. shall be permitted, till such time a duly filled in "Service Request Form" along with mandatory enclosures are duly received at the OPT and status of the Folio/Account is updated from "Minor" to "Major" by the AMC/Registrar.
- In case of switch, the present value of investment in the scheme from which the switch-out is requested should be > = to the minimum investment / minimum additional investment requirement of the scheme into which the investment is proposed to be switched in.
- If the broker name and code is left blank, the application shall be treated as Direct.
- Transaction Charges(TC):** TC of ₹ 100/- per subscription of ₹ 10,000 and above will be deducted from the subscription amount and paid to the Distributor / Agent (who has opted to receive TC) of the investor and the balance shall be invested. TC shall not be deducted for: (a) purchases / subscriptions for an amount less than ₹ 10,000/-; (b) transaction other than purchases / subscriptions relating to new inflows such as Switch / Systematic Transfer Plan / Sweep facility under the Dividend Option of the Scheme(s) etc.; (c) purchases/subscriptions made directly with PMF (i.e. not through any Distributor / Agent); (d) transactions routed through Stock Exchange route. Statement of Account issued to such Investors shall state the net investment as gross subscription less transaction charge and mention the number of units allotted against the net investment. Further, upfront commission to Distributors / Agents shall continue to be paid by the Investor directly to the Distributor / Agent by a separate cheque based on his assessment of various factors including the service rendered by the Distributor / Agent.
- In case of investors who have furnished their KYC acknowledgement letter and may thereafter wish to furnish a request for any change in address, should send such a request along with proof for new address to any Point of Service Centre of CDSL Ventures Limited for doing the needful.

NOMINATION

For Application Forms / Declaration Formats / Bank Account Registration Form and other details refer our website www.principalindia.com or visit our Investor Service Centre. Further, any Customer queries, please contact our Toll Free No. 1800 425 5600 between 7.00 am to 11.00 pm from Monday-Saturday.

* It is mandatory for all existing and prospective Investors (including joint holders, guardians and NRIs) to submit PAN card copy and copy of Know Your Customer Acknowledgement letter (KYC Letter) issued by CDSL Ventures Limited alongwith this Form. Investments through Micro Systematic Investment Plans (Micro SIPs) by individual investors not holding PAN and Investors residing in Sikkim, shall continue to remain exempt from providing KYC Letter, on submission of a duly attested Copy of Valid Identification Document and Proof of Address.

Investors who may have not as yet appointed a Nominee for their Investments, are advised to appoint their nominee(s). All that needs to be done, is to submit a duly filled-up Nomination Form at the OPT nearest to you. A nominee is entitled to receive units allotted to the unitholder; in the event of unfortunate demise of a unitholder. Failure to appoint a nominee, could involve a complex and a more time consuming procedure for transmission/redemption of units. Nomination Forms can be procured from any of our OPTs or downloaded from www.principalindia.com.