APPLICATION FORM FOR PRINCIPAL SMALL CAP FUND

(An Open Ended Equity Scheme predominantly investing in small cap stocks)

NFO APPLICATION NO.

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8 DEN	8 DEMAT ACCOUNT DETAILS (Optional) (Refer instruction No. B13)										
(Please ens	sure that the sequence of names as mentioned in the application	n from matches with that of the account held with the Depositary Participant. Attach copy of DP statement.)									
NSDL	DP NAME	DP ID Client ID Client ID									
CSDL	DP NAME	Beneficiary Account No.									

9 NOMINATION DETAILS (Single or joint applicants are advised to avail Nomination facility. Ref Instruction E).										
I/We wish	to nominate.	I/We DO NOT wish to nominate and sign here	S	ole / First Applicant / Guardian	S	econd Applicant	Third Applicant			
		Nominee Name		Guardian Name (In case of	Minor)	Allocation %	Nominee/ Guardian Signature			
Nominee 1										
Nominee 2										
Nominee 3										
Address						Total = 100%				

10 DECLARATION & SIGNATURES

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. I/ We have not received nor have been indicated above ("the Scheme"] and agree to abide by the terms and conditions, of the Scheme. I/ We have not received nor have been indicated above ("the Scheme"] and agree to abide by the terms and conditions, of the Scheme. I/ We have not received nor have been indicated above ("the Scheme"] and agree to abide by the terms and conditions, of the Scheme. I/ We have not received nor have been indicated above ("the Scheme"] and agree to abide by the terms and conditions, of the Scheme. I/We have not received nor have been indicated above ("the Scheme"] and agree to abide by the terms and conditions, of the Scheme at is investment. I/We further declare that the amount invested by melus 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 statue or legislation or any other applicable laws or any notifications, directions issued by any governmental or statutory authority from the relevant constitution to invest in the units of the Scheme and the Principal Asset Management 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 have Been advised the fund (scheme for investment and the in

I/We consent to and authorize the AMC to share all information (including without limitation personal information or sensitive personal data or information) provided by me/us for transacting in Principal Mutual Fund with any of its Associates/Group Companies, for offering their services and products. I/We confirm that I/we have read and understood "Privacy Policy" of PMF/AMC hosted on www.principalindia.com and hereby consent to and authorize AMC to collect personal information or sensitive personal data or information as defined in the "Privacy Policy" and to use all such information including without limitation personal information /sensitive personal data or information provided by me/us for extending and offering services and support requested and to share with and disclose the same to PMF/AMC's Associates/Group Companies (Affiliates), for offering their services and products. I/We also consent to disclose all such information including without limitation personal information /sensitive personal data or information provided by me/us to non-affiliated third parties such as, but not limited to, attorneys, accountants, auditors and persons or entities that are assessing our compliance with industry standards. I/We hereby declare and agree that 1 an/we are not a "LS. person" for U.S. federal income tax purposes and that 1 an/we are not acting for, or on behalf of a U.S. person. I/ We hereby agree to keep the information provided to AMC updated and to provide and belief and that I shall be solely liable and responsible for the information. Also, I hereby confirm that the information provided in this Application Form is true, correct, and complete to the best of my knowledge and belief and that I shall be solely liable and responsible for the information submitted herewith.

I/We hereby provide my/our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA. I/We hereby provide my consent for sharing/disclosing of my/our Aadhaar number including demographic information with the asset management companies of SEBI registered mutual fund and their Registrar and Transfer Agent (RTA) for the purpose of updating the same in the folios linked to my/our PAN.

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.

SIP registration: Having read, understood and agreed to the contents of OTM Facility, the Scheme Information Document. Statement of Additional Information, Key information Memorandum, Instructions and Addenda issued from time to time of the respective Scheme(s) of Principal Mutual Fund mentioned within, I hereby declare that the particulars given in the form are correct and express my willingness to make payments towards SIP instalments referred above through participation in NACH/ECS/Direct Debit. The ARN holder, where applicable, has disclosed to me/us all the commissions (trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Funds from amongst which the Scheme is being recommended to me/us.

FATCA/ CRS Declaration for Non-individual: 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 given under Instructions and hereby accept the same.

*For Dividend Sweep and Trigger Facility: I/We have read and understood the contents of the Scheme Information Document/s of the Scheme(s) opted under this facility/ option and have opted for the amount to be transferred as per the scheme stated/ chosen by me/us.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
Date: D D M M Y Y Plac	:e :		

Instructions for SIP Registration

A. SIP INSTRUCTIONS

- 1 A minimum gap of 21 days needs to be maintained between date of Application & SIP start date.
- 2 With the introduction of One Time Mandate (OTM) facility, the mandate registration and SIP registration through OTM facility has been delinked.
- 3 Where a onetime mandate is already registered in a folio for a bank account, the Unit Holder(s) will have to fill only the SIP Registration Form and there is no need of a separate cheque to be given along with the SIP Registration Form.
- 4 Where the mandate form and the SIP registration form are submitted together, debits for the SIP may happen only on successful registration of the mandate by the Unit holder(s) bank. The Fund / AMC would present the SIP transactions or additional purchase transactions without waiting for the confirmation of the successful registration from the Unit holder(s)' bank.
- 5 In case the onetime mandate is successfully registered, new SIP registration will take upto five days. The first debit may happen any time thereafter, based on the dates opted by the Unit holder(s).
- 6 If start date for SIP period is not specified, SIP will be registered and processed as per default date i.e. 10th of each month.

- 7 If anytime during the SIP period, the onetime mandate is modified to reduce the validity period, future installments of all SIPs registered under the mandate will be deemed to have the end period coinciding with the mandate.
- 8 In case of Micro SIP application without PAN, the investor/s hereby declare that they do not have any existing Micro SIPs with Principal Mutual Fund which together with the current application will result in aggregate investments exceeding ₹ 50,000 in a year.
- 9 If end date is not specified, SIP will be continued till the perpetuity or until cancelled.

B ANY DAY SIP

- 1 The investor can choose any day of the month for SIP.
- 2 In case no SIP date is mentioned, the SIP will be processed with the cycle date of 10th of the month (Default).
- 3 In case the chosen date falls on a non business day the SIP will be processed on the next business day.
- 4 In case the SIP date is not available for the particular month, the SIP will be processed on the last day of that month.
- 5 The first cheque and the subsequent cheque should not fall in the same month for monthly SIP and in the same quarter in case of quarterly SIP.



PRINCIPAL STEP FACILITY FORM

UNIT HOLDER INFORMATION									
1st Unit Holder	PAN/Folio:								
2nd Unit Holder	PAN:								
3rd Unit Holder	PAN:								
Guardian / POA*	PAN:								

*Name of the Guardian (in case of minor) / POA (Contact person for non individuals / POA holder name)

Features of STEP: (Refer Instruction B16)

- Smart Trigger Enabled Plan ('STEP') is a unique feature that enables investors to invest in the Scheme in a staggered manner. Investors can opt for this facility only during the NFO Period of the Scheme.
- Minimum Investment amount under the STEP Facility is ₹ 25,000/. Investment for an amount of less than ₹ 25,000/. will not be eligible for the STEP Facility and will be considered under the Lump Sum purchase option.
- Investors should provide the duly completed 'STEP Facility Form' along with a cheque drawn in favor of "Principal STEP Facility", to be eligible to invest in this Facility.
- 4. Through STEP Facility investors can spread their investments equally over 4 monthly instalments, wherein the initial 25% of the investment amount will be considered upfront in the NFO of the Scheme and the remaining 75% can be invested under Principal Cash Management Fund Growth Option as per the Applicable NAV on the day preceding the date of allotment of Principal Small Cap Fund.
- 5. Post the closure of the NFO of the Scheme, the amount invested in Principal Cash Management Fund shall be switched into the Scheme in 3 equal monthly instalments which will be triggered on the basis of 3% fall in the Nifty Small Cap 100 Index on a monthly basis which will be calculated based on the value of the index on the date of initial allotment.
- In case the above trigger does not occur in any month, 25% of the amount invested during the NFO period will be switched to the Scheme on the last business day of that month.
- 7. Only one Switch will be triggered in a month.
- In case of the last instalment under the STEP facility, the entire balance units available in the Principal Cash Management Fund will be switched in to the Scheme in line with points 5-7 above.
- 9. Units will be allotted in the Scheme at the applicable NAV prevalent on the date of the switch.
- A new folio will be created for investments received from new investors as well as investors who already have previous investments under selected source Scheme.
- 11. In case of redemption of units under source scheme during the tenure of the STEP Facility, the amount / number of instalments to be switched would stand reduced to the extent of the amount redeemed or in case of full redemption, the facility will be discontinued.

Illustration:

Investor chooses STEP and invests an amount of ₹ 1,00,000/-

- Of which ₹ 25,000/- will be invested in Principal Small Cap Fund for which @ ₹ 10 per unit, 2,500 Units are allotted on May 13, 2019 and
- Balance ₹75,000/- will be invested in Principal Cash Management Fund.

When Nifty Small Cap 100 Index is valued at 1000 points. The value of the index falls by 3% i.e. to 970 points on June 10, 2019, 25% of the amount i.e., $\gtrsim 25,000$ / will be switched to Principal Small Cap Fund. However, if the value of the index does not fall by 3% till the last business day of June 2019, then 25% will be switched to Principal Small Cap Fund on the last business day of June 2019.

Alternatively, if the index level falls by 3% from the initial allotment date for the first time on July 10, 2019 (i.e. to 970 level), then the July 2019 instalment of 25% will be triggered on that date. Thereafter, if index level falls by additional 3% (from the date of Allotment) from 970 to 940 (i.e. 3% in July 2019 + 3% in August 2019 – 6% fall from allotment day) on August 10, 2019 the final 25% (with any appreciation/depreciation) will be switched to Principal Small Cap Fund.

Installment No.	Month	% of Investment	Trigger
1	Allotment Date (13th May 2019)	25	Allotment of units under Principal Small Cap Fund
2	June 2019	25	3% fall in Nifty Small Cap 100 Index from the date of initial allotment or last business day of the Month (if STEP did not activate during the month)
3	July 2019	25	Further 3% (total 6%) fall in Nifty Small Cap 100 Index from the date of initial allotment or last business day of the month (if STEP did not activate during the month)
4	August 2019	25*	Further 3% (total 9%) fall in Nifty Small Cap 100 Index from the date of initial allotment or last business day of the month (if STEP did not activate during the month)

*Including any rise/fall in the value of investment.

I/We wish to apply for STEP Facility in NFO. I/We have read the STEP instructions B 16 & understood all salient features of STEP as mentioned in Section 4 of NFO application form.

First / Sole Applicant / Guardian	Second Applicant	Third Applicant	Power of Attorney Holder
Date: D D M M Y Y Place			

Mutual Fund



Principal Asset Management Pvt. Ltd. (Formerly known as Principal Pnb Asset Management Company Private Limited) (CIN : U25000MH1991PTC064092) Regd. Off.: Exchange Plaza, 'B' Wing, Ground Floor, NSE Building, Bandra Kurla Complex, Bandra (East), Mumbai - 400 051. Fax: (022) 6772 0512



Mutual Fund investments are subject to market risks, read all scheme related documents carefully.



SIP AUTO DEBIT/ NACH FORM

Attention: No need to attach One Time Mandate again, if already registered / submitted earlier.

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P rinc	cipal [®] UMRN	Bank	use		Date	D D M M Y Y Y
Tick (√)	Sponsor Bank Code	CITIOOOPIGW	Utility Code		CITI000020000	00037
CREATE 🖌	I/We hereby authorize	Principal Mutual Fund	to debit (tick√)	SB CA 0	CC SB-NRE	SB-NRO Other
MODIFY X CANCEL X	Bank A/c number					
with Bank	Name of custome	rs bank IFSC			or MICR	
an amount of	Rupees	in words			₹	in figures
FREQUENCY	Hthly Otly] H-Yrly Yrly ✔ As & when pr	esented	DEBIT TYPE	🗵 Fixed Amount	🖌 Maximum Amount
PAN No.			Phone No.			
Reference	Application no. / Folio no.		Email ID			
l agree for the del	bit of mandate processing charges by th	e bank whom I am authorizing to debit my accounts as	per latest schedule of charge	s of the bank.		
	PERIOD					
From	D D M M Y Y Y	Y				
То	3 1 1 2 2 0 9	9 Signature of 1st Account h	older Signatu	ire of 2nd Account h	older Sig	gnature of 3rd Account holder
Or	X Until Cancelled	1Name as in bank record	2 Na	me as in bank record	3.	Name as in bank records
This is to confirm	that the declaration has been carefully	read, understood & made by me / us. I am authorizing	100		-	

I have understood that I am authorized to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / Corporate or the bank where I have authorized the debit.

OTM Instructions: Terms & Conditions

- Investors who have already submitted an OTM form or already registered for OTM facility should not submit OTM form again as OTM registration is a one-time process only for each bank account. However, such investors if wish to add a new bank account towards OTM facility may fill the form.
- Other investors, who have not registered for OTM facility, may fill the OTM form and submit duly signed with their name mentioned.
- Registration process for OTM forms submitted during the NFO period will commence after the closure and allotment of NFO applications.
- Mobile Number and Email ID: Unit holder(s) should mandatorily provide their mobile number and Email ID on the mandate form. Where the mobile number and Email ID mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever would be, thereafter, sent to the updated mobile number and Email ID.
- Unit holder(s) need to provide along with the mandate form an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unit holder(s) cheque/ bank account details are subject to third party verification.
- Investors are deemed to have read and understood the terms and conditions of OTM Facility, SIP registration through OTM facility, the Scheme Information Document, Statement of Additional Information, Key Information Memorandum, Instructions and Addenda issued from time to time of the respective Scheme(s) of Principal Mutual Fund.
- If end date/frequency is not mentioned in the OTM Form, the same will be considered as per the SIP Registration Form and vice versa.

MANDATORY FIELDS

- Date: Date is mandatory
- CREATE/MODIFY/CANCEL: tick is mandatory for create/modify & cancel if not ticked mandate will be rejected
- To Debit (tick): account type is mandatory
- Bank A/c Number: Investor debit bank a/c number mandatory
- With Bank: Investor bank name is mandatory
- IFSC / MICR: Correct IFSC code or MICR code is mandatory
- An amount of Rupees: SIP fixed instalment amount in words in word column is mandatory, maximum amount in words in word column is mandatory
- ₹ : SIP fixed instalment amount in figures in figure column is mandatory, Maximum instalment amount in figures in figure column is mandatory
- Frequency: SIP monthly/ quarterly mandatory, Lump sum : as & when presented is mandatory
- **Debit Type:** For SIP fixed Amount & for Lump sum Maximum Amount is mandatory
- Folio No.: For Existing Investor only
- Phone No./ Email ID: Phone No. or Email ID is Mandatory
- PAN Number: Mandatory
- Period: SIP start date is Mandatory, Lump sum : indicate till what date the mandate should be valid
- Signature of Account Holder: Signature is mandatory as per bank record
- Name of the Bank A/c Holder: Name of the Bank A/c Holder is mandatory