

# KEY INFORMATION MEMORANDUM & APPLICATION FORMS

Offer of units at applicable NAV based price

Equity Diversified Funds & Balanced Funds

Principal Dividend Yield Fund
Principal Global Opportunities Fund
Principal Junior Cap Fund
Principal Large Cap Fund
Principal Infrastructure & Services Industries Fund
Principal Index Fund
Principal Resurgent India Equity Fund
Principal Balanced Fund

**Principal Growth Fund** 

**Principal Child Benefit Fund** 

Debt / Liquid Funds

Principal Income Fund
Principal Floating Rate Fund
Principal Monthly Income Plan
Principal Cash Management Fund
Principal Government Securities Fund
Principal Liquid Plus Fund
Principal Money Manager Fund



Principal Tax Savings Fund
Principal Personal Tax Saver Fund

#### INVESTMENT MANAGER

#### **Principal Pnb Asset Management Company Private Limited**

Exchange Plaza, 'B' wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

Tel.: 022-2202 1111. Fax: 022-22044466

#### **Principal Mutual Fund**

Exchange Plaza, 'B' Wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

This Key Information Memorandum (KIM) sets forth the information, which a prospective investor ought to know before investing. For further details of the scheme / Mutual Fund, due diligence certificate by the AMC, Key Personnel, investors' rights & services, risk factors, penalties & pending litigations, associate transactions etc. investors should, before investment, refer to the Offer Documents of the respective schemes available free of cost at any of the Investor Service Centres or distributors or from the website www.principalindia.com. The aforesaid Offer Documents are to be read with the addendums, if any, issued by the Fund from time to time.

The Scheme particulars have been prepared in accordance with Securities and Exchange Board of India (Mutual Funds) Regulations, 1996, as amended till date, and filed with Securities and Exchange Board of India (SEBI). The units being offered for public subscription have not been approved or disapproved by SEBI, nor has SEBI certified the accuracy or adequacy of this KIM.

This KIM is dated April 25, 2008.

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# **DUMMY FORM**

Please read the instructions before filling the Application Form

**Application Form for Equity Schemes** 

(FOR INVESTOR REFERENCE)

Application No.

Please indicate the mode of holding for operating the folio

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#### PERSONAL IDENTIFICATION NUMBER (To serve you better) – refer instruction page 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 part of the application form / available at request / can also be downloaded from our website.) To get updated information about your investment, please request for this identification number so that your account information is just a click away. Individual applicant/s can avail of nomination facility by filling up as provided below NOMINATION (In case of multiple nominees - more than 1 and upto 3 - fill a separate form attached herewith) IWW 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. IWW 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 Date of Birth 0 | 6 | 0 | 2 | 1 | 9 | 4 | 7 | $R \mid A \mid J \mid E \mid N \mid D \mid R \mid A$ KUMAR SHARMA NAME OF PARENT / LEGAL GUARDIAN (in case of minor) Mr Ms ADDRESS OF NOMINEE / GUARDIAN RAHEJA W I L O S, B - 1 L I N K W | E | S | T I N G R 0 A D, M A L A D M U M B Α Pin Code | 4 | 0 | 0 | 1 | 0 | 1 Specimen Signature of Nominee / Guardian Please provide payment details in the place as provided below PAYMENT DETAILS (Mandatory) DD Charges 0 Net Amount 1 Investment Amount (Rs.) 1 0 0 0 0 (Rs.) (Rs.) \*Cheque / Mode of Payment 5 | 6 7 9 4 3 2 1 | 0 2 **✓** Cheque 0 | 1 2 DD No. **7 9** (Please 🗸) 6 Account Type (Please ✓) ✓ Savings Account No. В Α Drawn on Bank & I C C | I Ν M A H $A \mid L \mid A \mid X \mid M$ M U M BA PIN Code \* Please mention the Application No. on the reverse of the Cheque/DD. All Cheques/DDs to be drawn in favour of "the Specific Scheme Name". INVESTMENT DETAILS (Please ✓ Choice of Scheme / Plan / Option) - Please ensure there is only one cheque/DD per application form **Principal Dividend Yield Fund Principal Global Opportunities Fund Principal Growth Fund** Dividend Dividend ☐ Growth Dividend Growth Growth Payout Reinvest Sweep Payout Reinvest Sweep Payout O Reinvest O Sweep Principal Infrastructure & Services Industries Fund **Principal Junior Cap Fund** Principal Large Cap Fund Dividend Dividend Growth Dividend Growth Growth Reinvest Payout ) Payout Reinvest ○ Payout ○ Reinvest ○ Sweep **Principal Balanced Fund Principal Index Fund** Principal Resurgent India Equity Fund Growth ☐ Growth Dividend Dividend Dividend ○ Pavout ○ Reinvest ○ Sweep Pavout Reinvest ○ Pavout ○ Reinvest ○ Sweep Scheme Sweep to Option Plan (In case of Sweep, please ensure to fulfill the minimum investment criteria in the new Scheme) If you wish to Sweep from an existing scheme to a new scheme, please provide the complete details As per the SEBI guidelines it is mandatory for applicants to mention their complete Bank Account details in the application form. In the absence of the Bank details the application form shall be liable to be rejected 7 BANK ACCOUNT DETAILS (Mandatory) Bank Name C (Do not abbreviate) 0 0 0 4 0 1 9 6 5 Branch / City | M | U | M В Α 1 0 7 Account No. (Please provide the full account number) COUR ΪE R A C M A H A L A X M I Ε S Branch Address Pin Code | 4 0 0 0 3 8 Account Type (Please ✔) For Residents Savings Current For Non-Resident NRO NRE Repatriable Others Non-Repatriable 0 0 1 4 0 1 1 1 0 7 This is a 9 digit number next to your Cheque No. MICR Code Essential Enclosures: (For Direct Credit) Only For IFSC

Direct Credit Facility is currently available with: BNP Paribas, Citibank, Deutsche Bank, ICICI Bank, IDBI Bank, HDFC Bank, HSBC Bank, Kotak Mahindra Bank, Punjab National Bank, Standard Chartered Bank, Axis Bank & Indusind Bank. For an update in this list please contact any of our ISC at the contact details provided overleaf.

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RTGS

Code

Code 1 2 3 4 0 11 0 7 9 6

<sup>•</sup> Please verify and ensure the accuracy of the bank details provided above and as 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.

### Please submit the following documents with your application (wherever applicable)

### If you wish to make a SIP, please fill the section accordingly.

8 DOCUMENTS ENCLOSED (Please ✓)			9 APPLICATION ENCLOSED	O (Please ✓)
Memorandum & Article of Association     Trust Deed	5)		Systematic Investment Plan Post dated Cheques SIP HDFC Standing Instruction (HI ICICI Standing Instruction (ICICI Systematic Withdrawal Plan	DFC Bank Account Holders only) CI Bank Account Holders only)
			sign the form, g unitholder.	If investments are made through a POA holder.
10 DECLARATION AND SIGNATURES			V	V
We have read and understood the contents of the offer 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 for units of the Scheme		Signature /		POA HOLDER SIGNATURE
as indicated above ["the Scheme"] and agree to abide by the terms and conditions, of the Scheme/s and such other schemes into which my/our investment may be moved		Thumb Impression of	POA Details - Name	
pursuant to any instalment received from me/us to sweep/switch the units as applicable to my / our investment including any further transaction under the Scheme. I / We have not received nor have been induced by any rebate or gifts, directly or indirectly, in making this investment. Whe further declare that the amount invested by me/us in the Scheme/		Sole / 1st Applicant / POA Holder	PAN	py of KYC aknowledgement letter^)
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.	IRES	Signature /		POA HOLDER SIGNATURE
IWe further confirm that I/we have the express authority from the relevant constitution to invest in the units of the Scheme and the Principal Pho Asset Management Company Pr. Ltd. [AMC], its Trustee and the Mutual Fund would not be responsible if the investment is ultra vires the relevant constitution. I/We authorize AMC to reject the application, reverse the units credited, restrain me/us	SIGNATURES	Thumb Impression of 2nd Applicant / POA Holder	PAN Enclosed (please ✓)	py of KYC aknowledgement letter^)
from making any further investment in any of the Scheme's of Principal Mutual Fund, recover / debit mylour folio(s) with the penal interest and take any appropriate action against melus in case the cheque(s) / payment instrument is /are returned unpaid by myl our bank for any reason whatsoever. IWNe hereby further agree that AMC can directly credit all the dividend payouts and redemption amount to my / our bank details given herein, where AMC has such arrangement with my / our Bank.		Signature / Thumb Impression of	APPLICANT SIGNATURE  POA Details - Name	POA HOLDER SIGNATURE
Applicable to NRIs only:		3rd	PAN	
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.		Applicant / POA Holder	Enclosed (please ✔) ☐ PAN copy (Attach cop	py of KYC aknowledgement letter^)
^ In case the investments are Rs. 50,000 and above, it is mandatory to attach a co	py of Kn	ow Your Customer (K	YC) Acknowledgement letter issued by CDSL Ventures Limited alo	ngwith the application form continued overlea
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Drawn on Bank & Branch Scheme / Plan / Option				
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Please Note: All purchases are subject to realisation of	payr	nent instrume	nt	
Principal Mutual Fund  Exchange Plaza, 'B' Wing, Illrd Floor, NSE Bu  Bandra (F) Mumbai - 400 051 India			omplex, Ph : 1800-22-5600 (To	

022-22021111 (If calling from a Non MTNL / Non BSNL lines) 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 KYC Acknowledgement Letter issued by CDSL Ventures Ltd. for any application of Rs. 50,000 and above • Appropriate options are filled • Cheques /DD should be drawn in favour of 'the Specific Scheme Name' • If you are investing for the first time, please ensure that you fill in the contact details for us to serve you better.



### PDC SIP / SWP / STP Form

Application No. for bissing investors  Mark First Holder Name  Count No. for bissing investors  Application No. (As mentioned on the main Application form)  First Holder Name  Count No. for bissing investors  Application No. (As mentioned on the main Application form)  First Holder Name  Count Holder Name  First Hol	Mutua Funds		Tel.: 02 Websit							. custo	nmer@	nrinc	inalin	dia co	m									D	ate		l D	M	1	и I n	Y	Υ		ΙY
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Signature of 1st Holder

Signature of 2nd Holder

Signature of 3rd Holder



Tel.: 022-2202 1111. Fax: 022-22044466

### **SIP Auto Debit Form / SI Form**

### **REGISTRATION CUM MANDATE FORM FOR ECS / SI**

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#### **SIP FACILITY: TERMS & CONDITIONS**

SIP payment through Electronic Clearing Service (Debit Clearing) of the Reserve Bank of India (RBI)

#### List of Cities for SIP Auto Debit Facility via ECS (Debit Clearing)

Agra, Ahmedabad, Allahabad, Amritsar, Asansol, Aurangabad, Bangalore, Bardwan, Baroda, Bhilwara, Bhopal, Bhubaneshwar, Calicut, Chandigarh, Chennai, Cochin, Coimbatore, Dehradun, Delhi, Dhanbad, Durgapur, Erode, Gorakhpur, Guwahati, Gwalior, Hubli, Hyderabad, Indore, Jabalpur, Jaipur, Jalandhar, Jammu, Jamnagar, Jamshedpur, Jodhpur, Kakinada, Kanpur, Kolhapur, Kolkata, Lucknow, Ludhiana, Mangalore, Mumbai, Mysore, Nagpur, Nasik, Nellore, Panjim, Patna, Pune, Raipur, Rajkot, Ranchi, Salem, Shimla, Sholapur, Siliguri, Surat, Thirupur, Tirupati, Trichur, Trivandrum, Udaipur, Varanasi, Vijayawada, Vishakapatinam

#### List of Banks for SIP Auto Debit Facility via SI Banks

Punjab National Bank (Listed Branch), Bank of India (Listed Branch), Axis Bank (All Branches), Kotak Mahindra Bank (All Branches), IndusInd Bank (All Branches), IDFC Bank (All Branches), ICICI Bank (All Branches).

#### The cities / Banks listed above may be modified/removed at any time purely at the discretion of Principal Mutual Fund without assigning any reason or prior notice.

#### **TERMS & CONDITIONS:**

- Any day SIP has been launched on 31st August 2007. In accordance with SEBI requirements. SIP Application Form and date of initial Cheque should be same.
- SIP Applications will be accepted on any working day of the month: Accordingly the units will be allotted on the date of receipt of valid SIP Application along with a SIP investment cheque.
- Thereafter the date of subsequent SIP installment shall be 1st, 5th, 15th or 25th of a particular month "specified dates for SIP investments") after completing a minimum time gap of 30 days from the date of the first SIP investment cheque. The subsequent SIP installment date has to be selected by the investor OR will be taken, the nearest date amongst the Specified Date subject to receipt of the SIP application.
- Existing Investors need to provide their folio number on SIP application form and need not fill up the Common Application Form.
- Existing unitholders should note that the unit holder's details and mode of holding will be as per the existing folio.
- New Investors who wish to enroll for SIP through AutoDebit / Post dated cheques / Standing instructions should fill this SIP Form in addition to the Common Application Form. Investor has to submit one initial cheque and a cancelled cheque.
- SIP Auto Debit is available only on 1st, 5th, 15th and 25th of the month. In case these days are nonbusiness days for the scheme, then SIP will be processed on the next business day.
- Investors opting for SIP investment can subscribe to this facility subject to the condition that each of the SIP installments including the initial purchase should be of the same amount.
- In case the Auto Debit / PDC / SI does not take effect for three consecutive times then the SIP would be liable for cancellation.
- SIP enrolment will be discontinued by Principal Pnb Asset Management Company Pvt. Ltd. (AMC) in case [a] the SIP installment is not honored consecutively for three SIP installments [b] the Bank account [for ECS (Debit Clearing) and / or Standing Instruction and / or PDCs for direct debit] is closed and the request for change in bank account is not submitted by the concerned unit holder at least 15 working days before the due date of next SIP installment. Further, in such cases the balance cheques, if any, will be returned to the unit holder.
- 11. Initial cheque should participate in local MICR clearing or payable at par. If investor has subscribed for SIP from outstation, then initial DD has to be payable at nearest AMC location.
- 12. Investors will not hold Principal Mutual Fund, its registrars and other service provides responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date.
- 13. Principal Mutual Fund, its registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage, etc. incurred by the investor using ECS facility. The investor assumes the entire risk of using this facility and takes full responsibility.
- 14. PPAMC reserves the right to reject any application without assigning any reason thereof.

- 15. Please refer to the Key Information Memorandum and Scheme Offer Document for Applicable NAV, Risk
- Factors, Load and other information on the Scheme / Plan before investing.

  16. As per SEBI directive, the requirement for submitting PAN details for all investments of Mutual Funds is mandatory for all investors [including Non-Resident Indians] from July 2, 2007 irrespective of the amount of transaction involved. Where the person making an application is minor and who does not have any income chargeable to income-tax, he shall quote the PAN of his/her father of mother or guardian, as the case may be.
- 17. All applications without PAN details AND KYC requirements [where investment is Rs.50,000/- and above], are liable to be rejected.
- 18. The load structure for applications through SIP: All Equity, Balanced and ELSS Entry Load 2.25% (For Direct Investment - Nil) and Exit Load - Nil except Principal Child Benefit Fund: Entry Load - 2.25 % (For Direct Investment - Nil); Exit Load - 3.00% if redeemed within 3 years, 2.00% if redeemed within 3 years to 5 years. NIL if redeemed after 5 years. Principal Income Fund: Entry Load - Nil; Exit Load - 0.50% for investment </= Rs. 10 Lac, if redeemed on or before 180 days. Principal Monthly Income Plan & Principal Monthly Income Plan - MIP Plus: Entry Load - Nil. Exit Load - 0.50% for Investments of Rs.10 Lacs if redeemed on or before 180 days, 0.25% for Investments > Rs.10 Lacs & < Rs. 5 crore if redeemed on or before 30 days, NIL for Investments of Rs. 5 crores and above. Principal Floating Rate Fund - Short Maturity Plan: Entry Load - Nil; Exit Load - 0.25% if redeemed on or before 90 days for subscription </=Rs.10 Lacs. Principal Liquid Plus Fund and Principal Money Manager Fund : Entry Load -Nil: Exit Load - Nil.
- If you have not indicated any of your SIP preferences in the Common Application Form & this Form, the same would be assumed to be as indicated in the second as follows:

SIP Auto-Debit Period	Six Months
SIP Date	Cheque Date or next nearest SIP Date (commencing 30 days after the first SIP instalment date)
SIP Frequency	Monthly

- If the SIP details indicated in this form materially vary from the SIP Details indicated in the ECS, the SIP application is liable to be rejected.
- 20. Principal Mutual Fund reserves the right not to re-present any mandate for SIP Auto Debit facility if the registration could not be effected in time for reasons beyond its / their control.

  Change of Bank details: Investor has to fill fresh ECS / SI Form and has to submit the same with new
- bank's cancelled cheque at least 15 working days prior to next SIP cycle.
- Cancellation of SIP: Investor has to submit the cancellation request at least 15 working days prior to next
- Additional SIP: If an investor wants to continue with the existing folio, then the investor has to submit a duly filled and signed SIP form, alongwith the first cheque (if investment is in the new scheme) and one cancelled cheque.

#### SIP AUTO-DEBIT (ECS) / SI / PDCS FORM - CHECKLIST

#### ECS (DEBIT CLEARING) PLEASE ENSURE THAT -:

- . SIP Auto Debit facility is offered to investors having bank accounts in selected cities where they are located currently as provided above and within these cities were the AMC offices are located.
- The first cheque should be drawn on the same bank account which is to be registered for ECS (Debit Clearing) / Direct Debit. Alternatively, the cheque may be drawn on any bank, but provide a photocopy of the cheque of the bank / branch for which ECS (Debit Clearing) / Direct Debit is registered.
- First SIP Cheque and subsequent SIP installments via ECS (Debit Clearing) / Direct Debit should be of the same amount.
- The bank account provided for ECS (Debit) should participate in local MICR clearing.
- The investor agrees to abide by the terms and conditions of ECS facility of Reserve Bank of India (RBI).
- The application form is completed in all respect and signed by all the applicants.
- Bank account details are correctly and completely furnished including the 9 Digit MICR Code which is mandatory for SIPs through ECS. 9 digit Branch MICR code to be mentioned on the SIP form for payable at par cheques applicant need to mention the bank branch MICR no. on the SIP application form. If MICR code starts with 000 and end with 000 then investor should confirm the 9 digit MICR code with his / her bank.
- The Name & Signature of investor on main application form & ECS application form should be same. Scheme details such as Scheme, plan, option should be correctly mentioned on main application & ECS Forms.
- The Cheque / DD is drawn in favour of "the Specific Scheme Name" and duly signed.
- Application number is mentioned on the reverse of the cheque / DD.

#### POST-DATED CHEQUES (PDCs) - PLEASE ENSURE THAT -:

- The investor signs all PDCs
- The application form is completed in all respect and signed by all the applicants.
- All PDCs should be of every month's same day i.e. 1st, 5th, 15th & 25th of same account.
- Dishonored cheque(s) may not to be presented again for collection.
- Currently there are 317 locations, where SIP facility through PDC is available; provided the first cheque is payable at any of the AMC locations. Please contact the nearest AMC Office for more details.
- For all schemes except Principal Global Opportunities Fund each SIP cheque should have a minimum investment amount of Rs.500 and a minimum of 6 instalments. Minimum investment amount for SIP in Principal Global Opportunities Fund is Rs.1,000 with a minimum of 6 instalments.

#### STANDING INSTRUCTIONS (SI) - PLEASE ENSURE THAT -:

- Investors having account with above banks and interested in SIP can apply by filling up the ECS form.
- Any correction made on the SI form should be signed by the investor otherwise the same will be rejected by the bank.
- Investors wishing to discontinue the SI should give SI discontinuity letter and the same should be submitted at least 15 working days prior to the next SI date.
- 4. For SI form for HDFC and ICICI please request for the same.



Tel.: 022-2202 1111. Fax: 022-22044466

### **SIP Auto Debit Form / SI Form**

### **REGISTRATION CUM MANDATE FORM FOR ECS / SI**

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#### **SIP FACILITY: TERMS & CONDITIONS**

SIP payment through Electronic Clearing Service (Debit Clearing) of the Reserve Bank of India (RBI)

#### List of Cities for SIP Auto Debit Facility via ECS (Debit Clearing)

Agra, Ahmedabad, Allahabad, Amritsar, Asansol, Aurangabad, Bangalore, Bardwan, Baroda, Bhilwara, Bhopal, Bhubaneshwar, Calicut, Chandigarh, Chennai, Cochin, Coimbatore, Dehradun, Delhi, Dhanbad, Durgapur, Erode, Gorakhpur, Guwahati, Gwalior, Hubli, Hyderabad, Indore, Jabalpur, Jaipur, Jalandhar, Jammu, Jamnagar, Jamshedpur, Jodhpur, Kakinada, Kanpur, Kolhapur, Kolkata, Lucknow, Ludhiana, Mangalore, Mumbai, Mysore, Nagpur, Nasik, Nellore, Panjim, Patna, Pune, Raipur, Rajkot, Ranchi, Salem, Shimla, Sholapur, Siliguri, Surat, Thirupur, Tirupati, Trichur, Trivandrum, Udaipur, Varanasi, Vijayawada, Vishakapatinam

#### List of Banks for SIP Auto Debit Facility via SI Banks

Punjab National Bank (Listed Branch), Bank of India (Listed Branch), Axis Bank (All Branches), Kotak Mahindra Bank (All Branches), IndusInd Bank (All Branches), IDFC Bank (All Branches), ICICI Bank (All Branches).

#### The cities / Banks listed above may be modified/removed at any time purely at the discretion of Principal Mutual Fund without assigning any reason or prior notice.

#### **TERMS & CONDITIONS:**

- Any day SIP has been launched on 31st August 2007. In accordance with SEBI requirements. SIP Application Form and date of initial Cheque should be same.
- SIP Applications will be accepted on any working day of the month: Accordingly the units will be allotted on the date of receipt of valid SIP Application along with a SIP investment cheque.
- Thereafter the date of subsequent SIP installment shall be 1st, 5th, 15th or 25th of a particular month "specified dates for SIP investments") after completing a minimum time gap of 30 days from the date of the first SIP investment cheque. The subsequent SIP installment date has to be selected by the investor OR will be taken, the nearest date amongst the Specified Date subject to receipt of the SIP application.
- Existing Investors need to provide their folio number on SIP application form and need not fill up the Common Application Form.
- Existing unitholders should note that the unit holder's details and mode of holding will be as per the existing folio.
- New Investors who wish to enroll for SIP through AutoDebit / Post dated cheques / Standing instructions should fill this SIP Form in addition to the Common Application Form. Investor has to submit one initial cheque and a cancelled cheque.
- SIP Auto Debit is available only on 1st, 5th, 15th and 25th of the month. In case these days are nonbusiness days for the scheme, then SIP will be processed on the next business day.
- Investors opting for SIP investment can subscribe to this facility subject to the condition that each of the SIP installments including the initial purchase should be of the same amount.
- In case the Auto Debit / PDC / SI does not take effect for three consecutive times then the SIP would be liable for cancellation.
- SIP enrolment will be discontinued by Principal Pnb Asset Management Company Pvt. Ltd. (AMC) in case [a] the SIP installment is not honored consecutively for three SIP installments [b] the Bank account [for ECS (Debit Clearing) and / or Standing Instruction and / or PDCs for direct debit] is closed and the request for change in bank account is not submitted by the concerned unit holder at least 15 working days before the due date of next SIP installment. Further, in such cases the balance cheques, if any, will be returned to the unit holder.
- 11. Initial cheque should participate in local MICR clearing or payable at par. If investor has subscribed for SIP from outstation, then initial DD has to be payable at nearest AMC location.
- 12. Investors will not hold Principal Mutual Fund, its registrars and other service provides responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date.
- 13. Principal Mutual Fund, its registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage, etc. incurred by the investor using ECS facility. The investor assumes the entire risk of using this facility and takes full responsibility.
- 14. PPAMC reserves the right to reject any application without assigning any reason thereof.

- 15. Please refer to the Key Information Memorandum and Scheme Offer Document for Applicable NAV, Risk
- Factors, Load and other information on the Scheme / Plan before investing.

  16. As per SEBI directive, the requirement for submitting PAN details for all investments of Mutual Funds is mandatory for all investors [including Non-Resident Indians] from July 2, 2007 irrespective of the amount of transaction involved. Where the person making an application is minor and who does not have any income chargeable to income-tax, he shall quote the PAN of his/her father of mother or guardian, as the case may be.
- 17. All applications without PAN details AND KYC requirements [where investment is Rs.50,000/- and above], are liable to be rejected.
- 18. The load structure for applications through SIP: All Equity, Balanced and ELSS Entry Load 2.25% (For Direct Investment - Nil) and Exit Load - Nil except Principal Child Benefit Fund: Entry Load - 2.25 % (For Direct Investment - Nil); Exit Load - 3.00% if redeemed within 3 years, 2.00% if redeemed within 3 years to 5 years. NIL if redeemed after 5 years. Principal Income Fund: Entry Load - Nil; Exit Load - 0.50% for investment </= Rs. 10 Lac, if redeemed on or before 180 days. Principal Monthly Income Plan & Principal Monthly Income Plan - MIP Plus: Entry Load - Nil. Exit Load - 0.50% for Investments of Rs.10 Lacs if redeemed on or before 180 days, 0.25% for Investments > Rs.10 Lacs & < Rs. 5 crore if redeemed on or before 30 days, NIL for Investments of Rs. 5 crores and above. Principal Floating Rate Fund - Short Maturity Plan: Entry Load - Nil; Exit Load - 0.25% if redeemed on or before 90 days for subscription </=Rs.10 Lacs. Principal Liquid Plus Fund and Principal Money Manager Fund : Entry Load -Nil: Exit Load - Nil.
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- The application form is completed in all respect and signed by all the applicants.
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- 4. For SI form for HDFC and ICICI please request for the same.



Tel.: 022-2202 1111. Fax: 022-22044466

### **SIP Auto Debit Form / SI Form**

### **REGISTRATION CUM MANDATE FORM FOR ECS / SI**

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	BAN No.	K USE	ON								ppli	cant,	(B	ank	Sch Cre Nu Cu	emp)  edit Ac mber  stomer	ode count Ref. N	lo.				'				sed O	fficia	from	the B	Bank

#### **SIP FACILITY: TERMS & CONDITIONS**

SIP payment through Electronic Clearing Service (Debit Clearing) of the Reserve Bank of India (RBI)

#### List of Cities for SIP Auto Debit Facility via ECS (Debit Clearing)

Agra, Ahmedabad, Allahabad, Amritsar, Asansol, Aurangabad, Bangalore, Bardwan, Baroda, Bhilwara, Bhopal, Bhubaneshwar, Calicut, Chandigarh, Chennai, Cochin, Coimbatore, Dehradun, Delhi, Dhanbad, Durgapur, Erode, Gorakhpur, Guwahati, Gwalior, Hubli, Hyderabad, Indore, Jabalpur, Jaipur, Jalandhar, Jammu, Jamnagar, Jamshedpur, Jodhpur, Kakinada, Kanpur, Kolhapur, Kolkata, Lucknow, Ludhiana, Mangalore, Mumbai, Mysore, Nagpur, Nasik, Nellore, Panjim, Patna, Pune, Raipur, Rajkot, Ranchi, Salem, Shimla, Sholapur, Siliguri, Surat, Thirupur, Tirupati, Trichur, Trivandrum, Udaipur, Varanasi, Vijayawada, Vishakapatinam

#### List of Banks for SIP Auto Debit Facility via SI Banks

Punjab National Bank (Listed Branch), Bank of India (Listed Branch), Axis Bank (All Branches), Kotak Mahindra Bank (All Branches), IndusInd Bank (All Branches), IDFC Bank (All Branches), ICICI Bank (All Branches).

#### The cities / Banks listed above may be modified/removed at any time purely at the discretion of Principal Mutual Fund without assigning any reason or prior notice.

#### **TERMS & CONDITIONS:**

- Any day SIP has been launched on 31st August 2007. In accordance with SEBI requirements. SIP Application Form and date of initial Cheque should be same.
- SIP Applications will be accepted on any working day of the month: Accordingly the units will be allotted on the date of receipt of valid SIP Application along with a SIP investment cheque.
- Thereafter the date of subsequent SIP installment shall be 1st, 5th, 15th or 25th of a particular month "specified dates for SIP investments") after completing a minimum time gap of 30 days from the date of the first SIP investment cheque. The subsequent SIP installment date has to be selected by the investor OR will be taken, the nearest date amongst the Specified Date subject to receipt of the SIP application.
- Existing Investors need to provide their folio number on SIP application form and need not fill up the Common Application Form.
- Existing unitholders should note that the unit holder's details and mode of holding will be as per the existing folio.
- New Investors who wish to enroll for SIP through AutoDebit / Post dated cheques / Standing instructions should fill this SIP Form in addition to the Common Application Form. Investor has to submit one initial cheque and a cancelled cheque.
- SIP Auto Debit is available only on 1st, 5th, 15th and 25th of the month. In case these days are nonbusiness days for the scheme, then SIP will be processed on the next business day.
- Investors opting for SIP investment can subscribe to this facility subject to the condition that each of the SIP installments including the initial purchase should be of the same amount.
- In case the Auto Debit / PDC / SI does not take effect for three consecutive times then the SIP would be liable for cancellation.
- SIP enrolment will be discontinued by Principal Pnb Asset Management Company Pvt. Ltd. (AMC) in case [a] the SIP installment is not honored consecutively for three SIP installments [b] the Bank account [for ECS (Debit Clearing) and / or Standing Instruction and / or PDCs for direct debit] is closed and the request for change in bank account is not submitted by the concerned unit holder at least 15 working days before the due date of next SIP installment. Further, in such cases the balance cheques, if any, will be returned to the unit holder.
- 11. Initial cheque should participate in local MICR clearing or payable at par. If investor has subscribed for SIP from outstation, then initial DD has to be payable at nearest AMC location.
- 12. Investors will not hold Principal Mutual Fund, its registrars and other service provides responsible if the transaction is delayed or not effected or the investor bank account is debited in advance or after the specific SIP date.
- 13. Principal Mutual Fund, its registrars and other service providers shall not be responsible and liable for any damages/compensation for any loss, damage, etc. incurred by the investor using ECS facility. The investor assumes the entire risk of using this facility and takes full responsibility.
- 14. PPAMC reserves the right to reject any application without assigning any reason thereof.

- 15. Please refer to the Key Information Memorandum and Scheme Offer Document for Applicable NAV, Risk
- Factors, Load and other information on the Scheme / Plan before investing.

  16. As per SEBI directive, the requirement for submitting PAN details for all investments of Mutual Funds is mandatory for all investors [including Non-Resident Indians] from July 2, 2007 irrespective of the amount of transaction involved. Where the person making an application is minor and who does not have any income chargeable to income-tax, he shall quote the PAN of his/her father of mother or guardian, as the case may be.
- 17. All applications without PAN details AND KYC requirements [where investment is Rs.50,000/- and above], are liable to be rejected.
- 18. The load structure for applications through SIP: All Equity, Balanced and ELSS Entry Load 2.25% (For Direct Investment - Nil) and Exit Load - Nil except Principal Child Benefit Fund: Entry Load - 2.25 % (For Direct Investment - Nil); Exit Load - 3.00% if redeemed within 3 years, 2.00% if redeemed within 3 years to 5 years. NIL if redeemed after 5 years. Principal Income Fund: Entry Load - Nil; Exit Load - 0.50% for investment </= Rs. 10 Lac, if redeemed on or before 180 days. Principal Monthly Income Plan & Principal Monthly Income Plan - MIP Plus: Entry Load - Nil. Exit Load - 0.50% for Investments of Rs.10 Lacs if redeemed on or before 180 days, 0.25% for Investments > Rs.10 Lacs & < Rs. 5 crore if redeemed on or before 30 days, NIL for Investments of Rs. 5 crores and above. Principal Floating Rate Fund - Short Maturity Plan: Entry Load - Nil; Exit Load - 0.25% if redeemed on or before 90 days for subscription </=Rs.10 Lacs. Principal Liquid Plus Fund and Principal Money Manager Fund : Entry Load -Nil: Exit Load - Nil.
- If you have not indicated any of your SIP preferences in the Common Application Form & this Form, the same would be assumed to be as indicated in the second as follows:

SIP Auto-Debit Period	Six Months
SIP Date	Cheque Date or next nearest SIP Date (commencing 30 days after the first SIP instalment date)
SIP Frequency	Monthly

- If the SIP details indicated in this form materially vary from the SIP Details indicated in the ECS, the SIP application is liable to be rejected.
- 20. Principal Mutual Fund reserves the right not to re-present any mandate for SIP Auto Debit facility if the registration could not be effected in time for reasons beyond its / their control.

  Change of Bank details: Investor has to fill fresh ECS / SI Form and has to submit the same with new
- bank's cancelled cheque at least 15 working days prior to next SIP cycle.
- Cancellation of SIP: Investor has to submit the cancellation request at least 15 working days prior to next
- Additional SIP: If an investor wants to continue with the existing folio, then the investor has to submit a duly filled and signed SIP form, alongwith the first cheque (if investment is in the new scheme) and one cancelled cheque.

#### SIP AUTO-DEBIT (ECS) / SI / PDCS FORM - CHECKLIST

#### ECS (DEBIT CLEARING) PLEASE ENSURE THAT -:

- . SIP Auto Debit facility is offered to investors having bank accounts in selected cities where they are located currently as provided above and within these cities were the AMC offices are located.
- The first cheque should be drawn on the same bank account which is to be registered for ECS (Debit Clearing) / Direct Debit. Alternatively, the cheque may be drawn on any bank, but provide a photocopy of the cheque of the bank / branch for which ECS (Debit Clearing) / Direct Debit is registered.
- First SIP Cheque and subsequent SIP installments via ECS (Debit Clearing) / Direct Debit should be of the same amount.
- The bank account provided for ECS (Debit) should participate in local MICR clearing.
- The investor agrees to abide by the terms and conditions of ECS facility of Reserve Bank of India (RBI).
- The application form is completed in all respect and signed by all the applicants.
- Bank account details are correctly and completely furnished including the 9 Digit MICR Code which is mandatory for SIPs through ECS. 9 digit Branch MICR code to be mentioned on the SIP form for payable at par cheques applicant need to mention the bank branch MICR no. on the SIP application form. If MICR code starts with 000 and end with 000 then investor should confirm the 9 digit MICR code with his / her bank.
- The Name & Signature of investor on main application form & ECS application form should be same. Scheme details such as Scheme, plan, option should be correctly mentioned on main application & ECS Forms.
- The Cheque / DD is drawn in favour of "the Specific Scheme Name" and duly signed.
- Application number is mentioned on the reverse of the cheque / DD.

#### POST-DATED CHEQUES (PDCs) - PLEASE ENSURE THAT -:

- The investor signs all PDCs
- The application form is completed in all respect and signed by all the applicants.
- All PDCs should be of every month's same day i.e. 1st, 5th, 15th & 25th of same account.
- Dishonored cheque(s) may not to be presented again for collection.
- Currently there are 317 locations, where SIP facility through PDC is available; provided the first cheque is payable at any of the AMC locations. Please contact the nearest AMC Office for more details.
- For all schemes except Principal Global Opportunities Fund each SIP cheque should have a minimum investment amount of Rs.500 and a minimum of 6 instalments. Minimum investment amount for SIP in Principal Global Opportunities Fund is Rs.1,000 with a minimum of 6 instalments.

#### STANDING INSTRUCTIONS (SI) - PLEASE ENSURE THAT -:

- Investors having account with above banks and interested in SIP can apply by filling up the ECS form.
- Any correction made on the SI form should be signed by the investor otherwise the same will be rejected by the bank.
- Investors wishing to discontinue the SI should give SI discontinuity letter and the same should be submitted at least 15 working days prior to the next SI date.
- 4. For SI form for HDFC and ICICI please request for the same.



Exchange Plaza, 'B' Wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India. Tel.: 022-2202 1111. Fax: 022-22044466

ICICI Bank / HDFC Bank Standing Instruction Form

# APPLICATION FOR MAINTAINING STANDING INSTRUCTION FOR SYSTEMATIC INVESTMENT PLAN WITH PRINCIPAL MUTUAL FUND

Broker Name & Code		Sub-Broker Code	Date & Time of Recei	pt Form No.
To, Manager ICICI Bank Ltd. / HDFC Bank Ltd. Branch				
So IWVe,	ub. : Request for n	naintaining of a Standing Instruc	tion for SIP with Principal	Mutual Fund, hereby authorise you to deduct on a monthly
/ quarterly basis (as a Standing Instru	uction) from my / ou	r A/c No		
	-	T AVC NO		(neremarker referred as Turiding account ) for
	Rupees			
only) and remit the same to Principal	Mutual Fund as per	the details given below:		
Nature of Instruction	: Standing Instr	uction		
Purpose of Standing Instructions	: Payment of Pr	incipal Mutual Fund SIP of MF scheme)		
Debit Account Number	:			
Name of the Account Holder	:			
Name of the Beneficiary	: Principal Mutu	ial Fund Principal Mutual Fund)		
SIP Auto Debit Dates		15th 25th of the month / 0	ularter	
balance on the SI cycle date to ensure the SI cycle date the SI cy	ure the success of the	e transactions.	action day (Cycle date) and I	hence requesting the investor to retain sufficient
Start Date D D M M  (All Dates to be mentioned in DD/N		End Date D D M M Y	YYY	
	iivi/ f f f f i loitilat oi i	i <b>y</b> )		
Folio Number	I)			
(To be filled by Principal Mutual Fun				
and complete. If the transaction is dela If the date of debit to my/ our account will happen as per the Terms and Con any failure or delay in completion of commotion, riot, strike, mutiny, revol	ayed or not effected happens to be a non iditions listed in the its obligations unde lution, fire, flood, for	at all for reasons of incomplete or in n Business Day as per the Mutual Fu Offer Document of the Mutual Fun er this Agreement, where such fail og, war, lightening, earthquake, ch	ncorrect information, I would nd, execution of the SIP will h d. ICICI Bank / HDFC Bank sh ure or delay is caused, in wl ange of Government policie	declare that the particulars given above are correct not hold the Mutual Fund or the Bank responsible. I appen on the day of holiday and allotment of units all not be liable for, nor be in default by reason of, nole or in part, by any acts of God, civil war, civil s, Unavailability of Bank's computer system, force is the effect of preventing the performance of the
Signature of Account H (As in Bank Record		Signature of 1st H	older	Signature of 2nd Holder
	FOR PRANCIL		TO DDING DAL MUTUA	
	FOR BRAINCH	USE ONLY (TO BE RETURNED		L FUND)
Signature Verified by		Арр	roved by BM	
For CPU Use only: Maintained on		N.A:	atained by	
Name of the A/c Holder			ount Number	
	1			
SI Start Date	SI End Date	Next SI Date		Amount

#### DETAILED PROCESS - FOR ICICI BANK / HDFC BANK - STANDING INSTRUCTIONS - SIP - INTRODUCTION

We have tied up with ICICI Bank / HDFC Bank to facilitate the facility of Standing Instructions (SI) for Systematic Investment Plan (SIP) for investing in Principal Mutual

The investor's bank account directly gets debited for the specified amount on the specified date and the period either monthly or quarterly and the Principal Mutual Funds (PMF's) account gets credited for the same amount.

#### Features of the SI SIP

- This SI SIP option is available to investors having bank account with ICICI Bank / HDFC Bank only
- In case the day happens to be a non-Business day for the AMC, the AMC will allot Units based on the NAV based prices prevailing on the immediate next
- In case the day happens to be a non-working day for the Bank, the Bank will debit the customers account on the next working day.

#### Features of the SI SIP - Outstation locations

As SI SIP of ICICI Bank / HDFC Bank is available at all the locations of ICICI Bank / HDFC Bank, there are many locations where we do not have an AMC branch to accept the application as a local application. For such outstation locations the SI SIP application with a DD / Payable at Par cheque towards its first SI to be sent to our nearest AMC location and the date of the time stamp at such AMC location would be considered as date of acceptance of the application. NAV as per the prevailing SEBI (Mutual Funds) Regulations, 1996 will be applicable. The application to reach your nearest AMC location before the first SI SIP date mentioned on the application

#### Requirements for SI SIP:

- SI form to be completely filled and signed by the investor along with cheque for the first SIP
- 2. The proposed investor should have the bank account with ICICI Bank / HDFC
- There should be a specific amount and one specific date as a tick in SI form -3. Form with multiple ticks shall be rejected.
- The period of SIP should be clearly defined in the SI form with the start date 4. and end date of the SIP.
- Investors to mention the first SI date on the Standing instruction form and not the 1st Cheque date eg: if the investor starts the SIP from 15th Dec 07 with the first cheque dated 15th Dec 07 then the standing instruction form should have the standing instruction starting date as 15th Jan 08 upto the end date.

#### Rejections from ICICI Bank / HDFC Bank will be for following reasons:-

- Photocopy of the SI form will be rejected
- Signature of the investor missing / does not tally with the signature in the 2. bank's records.
- 3 Relevant alteration in the SI form not signed by the account holder.
- Incomplete form and mutilated forms.

\*For Systematic Investment Plan Terms & Conditions, please refer to the Section titled SIP Facility Terms & Conditions under SIP Auto Debit Form

#### LIST OF CITIES FOR ICICI BANK STANDING INSTRUCTION

A.Thekkur, Achampathu, Agra, Ahmedabad, Ahmednagar, Ajmer, Alangudi, Alathiyur, Alavakkottai, Aligarh, Allahabad, Alwar, Amaravathipudur, Ambalacantt., Amritsar, Anand/Vallabhvidyanagar, Ankleshwar, Annamalainagar, Arantangi, Asansol, Athikadai, Attur, Aurangabad, Avinangudi, Avinipatti, Bangalore, Barddhaman/Burdwan, Bareilly, Baroda, Belgaum, Berhampur, Bharuch, Bhatinda, Bhavnagar, Bhilai, Bhilwara, Bhopal, Bhubaneshwar, Bhuj, Bhuvanagiri, Bidadi, Bikaner, Bilaspur, Boisar, Bokarosteelcity, Bulsar/Valsad, Calcutta, Chandigarh, Changanachery, Chatrapatti, Chengannur, Chennai, Chidambaram, Coimbatore, Coonoor, Cuddalore, Cuttack, Dahanu, Darjeeling, Dehradun, Devakottaimain, Devikapuram, Devipatnam, Dhanbad, Dharapuram, Dharmapuri, Dharwad, Dindigul, Duliajan, Durgapur, Elathur, Eluru, Eriyur, Erode, Faizabad, Faridabad, Gandhidham, Gandhinagar, Ghaziabad, Gobichettipalayam, Gorakhpur, Gurgaon, Guwahati, Gwalior, Haldwani, Hardwar, Hissar, Hoshiarpur, Hosur, Howrah, Hubli, Hyderabad, Idappadi, Indore, Irinjalakuda, Itarsi, Jabalpur, Jaipur, Jalandhar, Jalgaon, Jammu, Jamnagar/Motikavdi, Jamshedpur, Jhansi, Jodhpur, Junagadh, Kadaladi, Kakinada, Kallal, Kancheepuram, Kandanur, Kandavarayanpatty, Kannur/Cannanore, Kanpur, Karaikudimain, Karaiyur, Karnal, Karunagapally, Karur, Kasaragod, Kavalkinaru, Kayalpattinam, Keelavalavu, Keeranur, Khanna, Kochi, Kodumudi, Kolhapur, Kollam, Kollidam, Komaratchi, Konapet, Konerirajapuram, Koothanallur, Koppanapatti, Korba, Kota, Kothamangalam, Kottaipuram, Manjaduthurai, Meerut, Mehsana, Melanikulikudikadu, Melapayoor, Melasiwapuri, Melur, Moga, Mohali, Moradabad, Mumbal, Manjari, Manjaduthurai, Meerut, Mehsana, Melanikulikudikadu, Melapayoor, Melasiwapuri, Melur, Moga, Mohali, Moradabad, Mumbal, Manjaduthurai, Meerut, Mehsana, Melanikulikudikadu, Melapayoor, Melasiwapuri, Melur, Moga, Mohali, Moradabad, Mumbal Kottayam, Kozhikode, Kulipirai, Kumaravelur, Kumbakonam, Kumbanad, Kurnool, Lalpet, Latur, Lucknow, Ludhiana, Madurai, Mahibalanpatti, Māllikaguram, Mangalore, Manipal, Manjeri, Mannargudi, Mapusa, Margoa, Mathura, Mayiladuthurai, Meerut, Mehsana, Melanikulikudikadu, Melapavoor, Melasivapuri, Melur, Moga, Mohali, Moradabad, Mumbai, Muraiyur, Muthupet, Muvattupuzha, Muzaffarpur, Mysore, Nachandupatti, Nadiad, Nagapattinam, Nagercoil, Nagpur, Nakodar, Namakkal, Nasik, Nattarasankottai, Navasari, Nawansaher, Nellore, Nemathanpatti, Newdelhi, Neyveli, Noida, Nurmahal, O.siruvayal, Orathur, Palagapuri, Paganeri, Palakkad, Palani, Palavangudi, Palghar, Panaikulam, Panaji, Panayapatti, Panchkula, Panipat, Paramakudi, Patan, Pathananthitta, Pathankot, Patiala, Patna, Pattamadai, Pattukottai, Pavithram, Peddur, Penndam, Peralam, Perintalmanna, Periyakulam, Phagwara, Pollachi, Ponda, Pondicherry, Ponnamaravathi, Poolampatti, Porbandar, Portonova, Pudukottai, Pulankurichi, Puliyur, Pune, Raipur, Rajapalayam, Rajkot, Ramanathapuram, Ramapattinam, Ranchi, Rangiem, Ratlam, Ratnagiri, Ravanasamudram, Rayavaram, Reddiarchatram, Rohtak, Ropar/Roopnagar, Rourkela, S.sokkanathapuram, Saharanpur, Salem, Samayanallur, Sambalpur, Sangli, Sangrur, Sankarapuram, Sathyamangalam, Selaiyur, Shimla, Shimoga, Sholapur, Sholavandan, Siliguri, Siruyachur, Sivagangai, Sivakasi, Sundarapandiapuram, Surat, Tanjore, Tenkasi, Theni, Thirumuruganpoondi, Thirunelveli, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Thiruvalam, Valoothoor, Vanavasi, Vapi, Varanasi, Vascodagama, Veerapandiapatnam, Vellalore(maduraidt.), Vellore, Vemandampalayam, Vettaikaranpudur, Vijayawada, Villupuram, Viriachilai, Virudhachalam, Vishakhapatanam, Warrangal, Yamunanagar and Yembal.

The cities listed above may be modified/removed at any time purely at the discretion of Principal Mutual Fund / ICICI Bank without assigning any reason or prior notice.

#### LIST OF CITIES FOR HDFC BANK STANDING INSTRUCTION

Agra, Ahmedabad, Ahmednagar, Ajmer, Akola, Alibaug, Aligarh, Allahabad, Alleppey, Alwar, Ambalacantt., Amloh, Amravati, Amreli, Amritsar, Anand/Vallabhvidyanagar, Ananthpur, Angul, Ankleshwar, Asansol, Aurangabad, Bagalkot, Bahadurgarh, Balasore, Balotra, Bangalore, Barabanki, Barbil, Bardhaman/Burdwan, Bardoli, Barailly, Barnala, Baroda, Batala, Begusarai, Belgaum, Berhampore, Bhagalpur, Bharuch, Bhatinda, Bhavnagar, Bhilai, Bhilwara, Bhiwadi, Bhiwani, Bhopal, Bhubaneshwar, Bhuj, Bhusaval, Bikaner, Boisar, Bokarosteelcty, Borsad, Bulandshahar, Bulsar/Valsad, Calanguti, Calcutta, Calicut, Chalakudy, Chandigarh, Chandimandir C, Changanachery, Chas- Bokaro, Chengannur, Chennai, Chicalim, Chomu, Churchorem, Cochin, Coimbatore, Cuddapah, Cuttack, Dahanu, Dahej, Dahod, Daman, Danjeeling, Davangere, Deesa, Dehradaun, Delhi - Ht House, Deogarh, Dhanbad, Dharamshala, Dhule, Disukhnagar, Dombivali, Durgapur, Eranakulam, Erode, Faridabad, Fatehabad, Fazilka, Ferozepur, Gandhiotham, Gandhinagar, Gangtok, Gaya, Ghaziabad, Giridih, Godhra, Gondal, Gorakhpur, Gulbarga, Guntur, Gurdaspur, Gurgaon, Guwahati, Gwalior, Hajipur, Haldia, Haldwani, Hamirpur, Hanamkonda (V), Hardoi, Hazaribagh, Himatnagar, Hissar, Hoshiarpur, Hosur, Howrah, Hubii, Hyderabad, Ichalkaranji, Indore, Irinjalakuda, Jabalpur, Jagraon, Jaipur, Jalandhar, Jalgaon, Jalna, Jammu, Jamnagar/ Motikavdi, Jamshedpur, Jetpur, Jhansi, Jharsuguda, Jind, Jodhpur, Junagadh, Kakinada, Kalka, Kalyan, Kalyani, Kangra, Kannur/Cannanore, Kanpur, Kapadwanj, Kapurthala, Karad, Karimnagar, Karnal, Karur, Katni, Khanna, Khurja, Kolhapur, Kollam, Konnagar, Koparkhairne, Kota, Kotkapura, Kottayam, Kurnool, Kurukshetra, Latur, Lonavala, Lucknow, Ludhiana, Madurai, Malerkotla, Manavadar, Mancherial, Mandi Gobindge, Mangalore, Mangalore, Manimaira, Manjeri, Mansa, Mapusa, Margoa, Mathura, Mathura, Mathura, Meerut, Mehsana, Mindsaur, Moga, Mohali, Moradabad, Morinda, Moroi, Muktsar, Mumbi, Mumbai - Chandwaii i, Mumbai - Fort, Muzaffarpur, Muzzaffarnagar, Mysore, Nabha, Nadia, Namanan

The cities listed above may be modified/removed at any time purely at the discretion of Principal Mutual Fund / HDFC Bank without assigning any reason or prior notice.



Tel.: 022-2202 1111. Fax: 022-22044466

### **SELECTION OR CHANGE OF** TRIGGER/ALERT

																Dat	te			M	М	Υ	Υ	Υ	Υ
lame of Sole / First Holder																									
lame of Joint Holder 2																									
lame of Joint Holder 3																									
ccount No.							İ						Tra	ansa	ction	Date	5	D	D	M	M	Υ	Υ	Υ	Υ
		_	_	_	_					_		_	(D	ale	UI A	IIOUIIIE	:////								

- I/We wish to opt for/revise Trigger / Alert option as indicated here below. Please note the following:

   Under Trigger option, action selected in Section B will be carried out when criteria specified in Section A is reached.
- Under Alert Option, only a notification will be sent when criteria specified in Section A is reached.
- Request for all Triggers except under A(1) below will be carried out only after expiry of the relevant scheme specific investment lock-in period/s.
- Only one Trigger can be selected per transaction for a Scheme, Plan & Option.
- Kindly note that Trigger/Alert including any modifications thereto shall be activated only when the activation request is captured in the records of the Principal Pnb Asset Management Co. Pvt. Ltd. (AMC)
- Subject to the immediately preceding condition, Trigger/Alert will be considered only in respect of units held.

  In case of sweep or switch into another Scheme of AMC pursuant to election of a Trigger option, the same shall be subject to the terms/ features, including load structure etc., of such other elected Scheme.

In case if the investor does not	The same same than		SECTION A					
Trigger / Alert Type Please (✓)		Details				Perc	entage	
(Any one)								R Sell #
. Dividend *	Rs.		eg. <b>Rs. 11000</b>			%		
☐ Trigger ☐ Alert		activated as and wh	en Dividend is		. 10%			
R	declared			irig	ger/Alert Will be	e activated when you	r investment v	value appreciates by 10%
Investment Value	Rs.		eg. <b>Rs. 11000</b>			%		
Trigger Alert	Trigger/Alert will be increases from Rs. 10	activated when you 0000 to Rs. 11000	ur investment value		10% ger/Alert will be	e activated when you	(√) Rise r investment v	ralue appreciates by 10%
R	Rs.		eg. <b>Rs. 1000</b>			0/		
Capital Appreciation					10%	%	( () Diag	
☐ Trigger ☐ Alert	appreciates by Rs. 10	activated when your 1000	capital of Rs. 10000	_		e activated when you	(√) Rise or investment v	alue appreciates by 10%
R	Rs.		eg. <b>Rs. 11</b>			%		
. NAV		activated when the I		20	10%		(√) Rise	<u> </u>
Trigger Alert		of your investment be				oe activated when	. ,	
R								
BSE Sensex	Points		eg. <b>Points 15000</b>			%		
☐ Trigger ☐ Alert	Trigger/Alert will be 15000 points	activated when the	BSE Sensex reaches		10% ger/Alert will b	e activated when th	(√) Rise BSE Sensex I	Rises or Falls 10% points
R NSE NIFTY	, D. [		D. 5000	J.	,			<u>.</u>
	Rs.		eg. <b>Rs. 5000</b>			%		
Trigger Alert  R	7.5	ctivated when the NS	E Nifty reaches 4500		10%	le a la additionada al conde ac	(√) Rise	
On Date	points			irig	ger/Alert Will	be activated when	i the NSE Ni	fty Falls 10% points
☐ Trigger ☐ Alert	DD	MM YYYY	eg. <b>08-11-2010</b> Trigger/Alert will be	activate	ed on 08-No	v-2010		
he example (eg.) given above is b Available only in Principal Tax Savings F			at NAV of Rs. 10. #R	ise, Fall 8	& Rise or Fall i	s applicable only fo	or percentage	e change.
у по по по по по по по по по по по по по	·		filled only in case of Ti	iaaer o	option)			
ease (√) any one	_	20110112 (10 20	inica only in case or in	.990. 0	paon			
Sweep into Scheme			Option					
	ption of Gains only O	R						
Sweep Dividend into Scheme	, ,		Option:					
Full Switch into Scheme			Option:			OR		
Switch of only Gains into Scheme			Option:			OR		
Full Redemption: Original investme	ent amount reinvested	in Scheme				Option:		and gains paid
Full Redemption: Gains reinvested	in Scheme Scheme		С	ption:		and	Original inve	estment amount paid
Redeem No. of units		OR Redee	m Amount Rs.					
eep of dividend into the same scheme nly gains are to be redeemed or switched, t			d for remains alive for subsequ	uent activa	ation on the or	iginal investments u	ntil advised; pl	ease (🗸) 🗌 Yes 🔲 No
Declaration: We understand that the contents of this to any reason whatsoever, IWe would not be of the rotherwise, made erroneously to me/us. We understand the AMC reserves the rig We understand that if the above triggers y me/us in writing. IWe further understand that if the above triggers of the reserves the riguity of the rother triggers.	t hold the AMC responsib pht to amend/terminate th are not activated and/or in	<ul> <li>e. Further if necessary the nis facility for Trigger/Ale mplemented due to any it</li> </ul>	ne AMC may at its discretion ort at any point reason whatsoever, I/We wo	initiate a	nd carry out a	ny adjustments to c	orrect any cre	edit/payment/switch entri



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### **JOINING THE ASSET ALLOCATION PROGRAMME / CHANGE IN ASSET ALLOCATION** PERCENTAGE, RE-BALANCING

															Date	D	D	M	M	Υ	Υ	Y	
Name of Sole / First Holder																							
Name of Joint Holder 2		i		i	i			i	i			i				i				$\overline{}$	T	i	7
Name of Joint Holder 3		i		i			i													T	i		ī
Scheme Name				İ			i	i		i				Plai	n	İ				T	T	T	ī
Option				İ	İ		İ	İ		i	Com	mon Ac	count No.			İ						i	ī
Please (🗸)  I/We wish to convert  I/We are unitholders i		-									•		of Asset A	Allocation	ıs.		ase (🗸	<b>'</b> ) any			20.0		
I/We are unitholders i	n the A	Asset	Allocat		-		. I/We	e wish	to ch	nange 1	the re-b							ripuisc embei	ory on . r 31	June :	3U &		
Scheme Code*				An	nount							Perce	entage Asse	t Allocatio	on		_						
										OR							Qua	arterly					
										OR							Sem	ni-Ann	iually				
										0.0			+	_			Ann	nually					
										OR							Oth	er Per	hoi				
										OR									.64, 365 da	vs on!	v)		
										0			+							,	'n.	ays	
										OR											u	ays	
													=						c Reba		5		
											T	OTAL	1 0 0	)			Date	e (bet)	ween ´	1 & 31	1)		
n case of ongoing Lumpsum Inv our records for rebalancing. [Ple		,		Additio	nal inv	estmen	t) the	above	asset al	location	or perce	ntage/rat	io of Investm	ent should	replace th	ne earlie	er asse	t alloca	ation/pe	ercenta	age/ra	tio as p	er
nstructions: Please note that	•	•						•			•				•			• •		•			
We have read and understood the con of the Scheme as indicated above ["the been induced by any rebate or gifts, dir of any act, rules, and regulations or an We further confirm that I/we have the the investment is ultra vires the relev / We authorize AMC to reject the appl iction against me/us in case the chequ	Scheme"] ectly or ind y statute of express and ant constitution, rev	and ag lirectly, i or legisla uthority cution. verse the	ree to abid n making t ation or an from the r e units cred	le by the this inves ly other a relevant dited, res	terms a stment. applicab constitu strain m	and condi I/We furth ale laws o tion to in e/us from	itions, ru her deck or any no nvest in making	ules and are that otification the units of any fur	regulatio the amou ons, direct s of the S rther inve	ons of the to unt invested tions issue scheme and estment in	Scheme as and by me/us and by any good the Prince any of the	applicable t in the Scho overnment ipal Pnb As	to my investmen eme/s is derived al or statutory a sset Managemer	t including an through legiti uthority from It Company P	y further tra mate source time to time vt. Ltd. [AM	nsaction s and is r e. C], its Tru	under th not held ustee an	the Scher or designed and the M	me. I / We gned for t Nutual Fu	e have n the purp nd woul	not rece lose of ld not b	eived nor contraver be respor	havi ntior nsible
We hereby further agree that AMC ca	n directly	credit a	ll the divid	lend pay	outs and	d redemp	otion am	nount to	my bank	c details g	iven above,	where AN	1C has such arra	ingement witl	h my Bank.								
/ We confirm that I am / we are Non- R / Ordinary Account /FCNR Account.	esidents o	f Indian	Nationality	y / Origin	and I /	We hereb	oy confir	rm that t	he funds	for subsci	ription have	been remit	tted from abroad	d through app	roved banki	ng chanr	nels or fr	om fund	ds in my/	our Non	ı – Resi	dents Ext	erna
Signature of So	ole / 1st	t Hold	ler						Signa	ture of	2nd Ho	lder				Sic	natur	re of 3	Brd Hol	lder			_
Asset Allocation is applicable (Fixed Maturity Plans).				ual Fu	nds S	cheme	s exce	ept Pri					ncipal Long	Term Equi	ty Fund -	_	,				Fund	and FN	ЛPs
This forms an integral part o	of the A	pplica	ntion Fo	rm.																			
		- Pcc																					

* Scheme Name	Option (Growth/ Dividend Payout/Dividend Reinvestment)	Scheme Code	* Scheme Name	Option (Growth/ Dividend Payout/Dividend Reinvestment)	Scheme Code
Dividend Yield Fund Growth Plan	Growth	DYGP	Floating Rate Fund SMP - Insti. Option - Dividend Reinvestment - Monthly	Dividend	FSRM
Dividend Yield Fund Dividend Payout	Dividend	DYPD	Floating Rate Fund SMP - Insti. Option - Dividend Payout - Weekly	Dividend	FSPW
Dividend Yield Fund Dividend Reinvestment	Dividend	DYRD	Floating Rate Fund SMP - Insti. Option - Dividend Reinvestment - Weekly	Dividend	FSRW
Dividend Yield Fund Dividend Sweep	Sweep	DYSD	Floating Rate Fund SMP - Regular Option - Dividend Payout - Daily	Dividend	FRPD
Fixed Duration Fund 3 Year Plan - Series I - Growth Plan - May06	Growth	FDGP	Floating Rate Fund SMP - Regular Option - Dividend Reinvestment - Daily	Dividend	FRRD
Fixed Duration Fund 3 Year Plan - Series I - Dividend Payout - May06	Dividend	FDDP	Floating Rate Fund SMP - Regular Option - Growth Option	Growth	FSRG
Fixed Duration Fund 3 Year Plan - Series I - Dividend Sweep - May06	Sweep	FDDS	Floating Rate Fund SMP - Regular Option - Dividend Payout - Monthly	Dividend	FRPM
Floating Rate Fund FMP - Regular Option - Growth Option	Growth	FFRG	Floating Rate Fund SMP - Regular Option - Dividend Reinvestment - Monthly	Dividend	FRRM
Floating Rate Fund FMP - Regular Option - Dividend Payout - Weekly	Dividend	FFPW	Floating Rate Fund SMP - Regular Option - Dividend Payout - Weekly	Dividend	FRPW
Floating Rate Fund FMP - Regular Option - Dividend Reinvestment - Weekly	Dividend	FFRW	Floating Rate Fund SMP - Regular Option - Dividend Reinvestment - Weekly	Dividend	FRRW
Floating Rate Fund FMP - Regular Option - Dividend Payout - Monthly	Dividend	FFPM	Growth Fund Growth Plan	Growth	GFGP
Floating Rate Fund FMP - Regular Option - Dividend Reinvestment - Monthly	Dividend	FFRM	Growth Fund Dividend Sweep Annually	Sweep	GDSA
Floating Rate Fund FMP - Insti. Option - Growth Option	Growth	FFIG	Growth Fund Dividend Payout Annually	Dividend	GDPA
Floating Rate Fund FMP - Insti. Option - Dividend Payout - Weekly	Dividend	FIPW	Growth Fund Dividend Reinvstment Annually	Dividend	GDRA
Floating Rate Fund FMP - Insti. Option - Dividend Reinvestment - Weekly	Dividend	FIRW	Government Securities Fund Investment Plan Growth Plan	Growth	GIGP
Floating Rate Fund FMP - Insti. Option - Dividend Payout - Monthly	Dividend	FIPM	Government Securities Fund - Investment Plan Dividend Sweep - Annually	Sweep	GISA
Floating Rate Fund FMP - Insti. Option - Dividend Reinvestment - Monthly	Dividend	FIRM	Government Securities Fund - Investment Plan Dividend Payout - Annually	Dividend	GIPA
Floating Rate Fund SMP - Insti. Option - Dividend Payout - Daily	Dividend	FSPD	Government Securities Fund Investment Plan Dividend Sweep Annually	Sweep	GISS
Floating Rate Fund SMP - Insti. Option - Dividend Reinvestment - Daily	Dividend	FSRD	Government Securities Fund Investment Plan Dividend Sweep Quarterly	Sweep	GISQ
Floating Rate Fund SMP - Insti. Option - Growth Option	Growth	FSIG	Government Securities Fund Investment Plan Dividend Payout Quarterly	Dividend	GIPQ
Floating Rate Fund SMP - Insti. Option - Dividend Payout - Monthly	Dividend	FSPM	Government Securities Fund Investment Plan Dividend Payout Semi Annually	Dividend	GIPS

* Scheme Name	Option (Growth/ Dividend Payout/Dividend Reinvestment)	Scheme Code	* Scheme Name	Option (Growth/ Dividend Payout/Dividend Reinvestment)	Scheme Code
Government Securities Fund Investment Plan Auto Earnings Payout Quarterly	Growth	GIGQ	Cash Management Fund Liquid Option Dividend Reinvestment Daily	Dividend	LDRD
Government Securities Fund Investment Plan Dividend			Cash Management Fund Liquid Option Dividend Sweep Weekly	Sweep	LDSW
Reinvestment Quarterly	Dividend	GIRQ	Cash Management Fund Liquid Option Dividend Payout Weekly	Dividend	LDPW
Government Securities Fund - Investment Plan Dividend	Didded	CIDA	Cash Management Fund Liquid Option Dividend Reinvestment Weekly	Dividend	LDRW
Reinvestment - Annually	Dividend	GIRA	Cash Management Fund Liquid Option Growth Plan	Growth	LFGP
Government Securities Fund Investment Plan Auto Earnings Payout Half-yearly Government Securities Fund Investment Plan Dividend Reinvestment	Growth	GIGH	Cash Management Fund Liquid Option - Instl. Plan - Dividend Payout - Daily	Dividend	LIPD
Semi Annually	Dividend	GIRS	Cash Management Fund Liquid Option - Instl. Plan - Dividend Reinvestment - Daily	Dividend	LIRD
Global Opportunities Fund Growth Plan	Growth	GOGP	Cash Management Fund Liquid Option - Instl. Plan - Growth Plan	Growth	LFIG
Global Opportunities Fund Dividend Sweep Annually	Sweep	GOSA	Cash Management Fund Liquid Option - Instl. Plan - Dividend Payout - Monthly	Dividend	LIPM
Global Opportunities Fund Dividend Payout Annually	Dividend	GOPA	Cash Management Fund Liquid Option - Instl. Plan -	Dividend	Cii ivi
Global Opportunities Fund Dividend Reinvestment Annually	Dividend	GORA	Dividend Reinvestment - Monthly	Dividend	LIRM
Government Securities Fund Savings Plan Growth Plan	Growth	GSGP	Cash Management Fund Liquid Option - Instl. Plan - Dividend Sweep - Weekly	Sweep	LISW
Government Securities Fund Savings Plan Dividend Sweep Quarterly	Sweep	GSSQ	Cash Management Fund Liquid Option - Instl. Plan - Dividend Payout - Weekly	Dividend	LIPW
Government Securities Fund Savings Plan Dividend Payout Quarterly	Dividend	GSPQ	Cash Management Fund Liquid Option - Instl. Plan -		
Government Securities Fund Savings Plan Auto Earnings Payout Quarterly	Growth	GSGQ	Dividend Reinvestment - Weekly	Dividend	LIRW
Government Securities Fund Savings Plan Dividend Reinvestment Quarterly	Dividend	GSRQ	Cash Management Fund Liquid Option Dividend Payout Monthly	Dividend	LDPM
Income Fund Growth Plan	Growth	IFGP	Cash Management Fund Liquid Option Dividend Reinvestment Monthly	Dividend	LDRM
Income Fund Dividend Sweep Annually	Sweep	IDSA	Cash Management Fund Liquid Option - Instl. Prem. Plan -	Dividend	LPPD
Income Fund Dividend Payout Annually	Dividend	IDPA	Dividend Payout - Daily  Cash Management Fund Liquid Option - Instl. Prem. Plan -	יייועעפווע	נווט
Income Fund Dividend Sweep Quarterly	Sweep	IDSQ	Dividend Reinvestment - Daily	Dividend	LPRD
Income Fund Dividend Payout Quarterly	Dividend	IDPQ	Cash Management Fund Liquid Option - Instl. Prem. Plan -		
Income Fund Dividend Sweep Semi Annually	Sweep	IDSS	Dividend Sweep - Daily	Sweep	LPSD
Income Fund Dividend Payout Semi Annually	Dividend	IDPS	Cash Management Fund Liquid Option - Instl. Prem. Plan - Growth Plan	Growth	LPGP
Income Fund Dividend Reinvestment Annually	Dividend	IDRA	Cash Management Fund Liquid Option - Instl. Prem. Plan -		
Income Fund Auto Earnings Payout Quarterly	Growth Dividend	IFGQ	Dividend Payout - Monthly	Dividend	LPPM
Income Fund Dividend Reinvestment Quarterly Income Fund Auto Earnings Payout Half-yearly	Growth	IDRQ IFGH	Cash Management Fund Liquid Option - Instl. Prem. Plan - Dividen Reinvestment - Monthly	Dividend	LPRM
Income Fund Dividend Reinvestment Semi Annually	Dividend	IDRS	Cash Management Fund Liquid Option - Instl. Prem. Plan -	Dividend	LFIXIVI
Income Fund - Instl. Plan - Growth Accumulation Plan	Growth	IIGP	Dividend Sweep - Monthly	Sweep	LPSM
Income Fund - Instl. Plan - Dividend Sweep - Quarterly	Sweep	IISQ	Cash Management Fund Liquid Option - Instl. Prem. Plan -		
Income Fund - Instl. Plan - Dividend Payout - Quarterly	Dividend	IIPQ	Dividend Payout - Weekly	Dividend	LPPW
Income Fund - Instl. Plan - Dividend Sweep - Semi Annually	Sweep	IISH	Cash Management Fund Liquid Option - Instl. Prem. Plan -		
Income Fund - Instl. Plan - Dividend Payout - Semi Annually	Dividend	IIPH	Dividend Reinvestment- Weekly	Dividend	LPRW
Income Fund - Instl. Plan - Auto Earnings Payout - Quarterly	Growth	IIGQ	Cash Management Fund Liquid Option - Instl. Prem. Plan - Dividend Sweep - Weekly	Sweep	LPSW
Income Fund - Instl. Plan - Dividend Reinvestment - Quarterly	Dividend	IIRQ	Monthly Income Plan Growth Payout Monthly	Growth	MIGM
Income Fund - Instl. Plan - Auto Earnings Payout - Semi Annually	Growth	IIGH	Monthly Income Plan Dividend Sweep Monthly	Sweep	MISM
Income Fund - Instl. Plan - Dividend Reinvestment - Semi Annually	Dividend	IIRH	Monthly Income Plan Dividend Payout Monthly	Dividend	MIPM
Infrastructure And Service Industries Fund - Growth Plan	Growth	INGP	Monthly Income Plan Growth Payout Quarterly	Growth	MIGQ
Infrastructure And Service Industries Fund - Dividend Payout	Dividend	INDA	Monthly Income Plan Growth Accumulation Plan	Growth	MIGP
Infrastructure And Service Industries Fund - Dividend Reinvestment	Dividend	INRA	Monthly Income Plan Dividend Sweep Quarterly	Sweep	MISQ
Infrastructure And Service Industries Fund - Dividend Sweep	Sweep	INSA	Monthly Income Plan Dividend Payout Quarterly	Dividend	MIPQ
Income Fund Short Term Plan - Dividend Payout - Fortnightly	Dividend	ISFP	Monthly Income Plan Dividend Reinvestment Monthly	Dividend	MIRM
Income Fund Short Term Plan - Dividend Reinvestment - Fortnightly	Dividend	ISFR	Monthly Income Plan Dividend Reinvestment Quarterly	Dividend	MIRQ
Income Fund Short Term Plan Dividend Sweep Monthly	Sweep	ISSM	Monthly Income Plan-plus Growth Accumulation Plan	Growth	MPGP
Income Fund Short Term Plan Dividend Payout Monthly	Dividend	ISPM	Monthly Income Plan-plus Growth Payout Monthly	Growth	MPMG
Income Fund Short Term Plan Dividend Reinvestment Monthly	Dividend	ISRM	Monthly Income Plan-plus Dividend Sweep Monthly	Sweep	MPSM
Income Fund Short Term Plan - Dividend Payout - Weekly Income Fund Short Term Plan - Dividend Reinvestment - Weekly	Dividend	ISWP	Monthly Income Plan-plus Dividend Payout Monthly	Dividend	MPPM
Income Fund Short Term Plan - Dividend Reinvestment - Weekly  Income Fund Short Term Plan Growth	Dividend Growth	ISWR ISGP	Monthly Income Plan-plus Dividend Reinvestment Monthly	Dividend	MPRM
Income Fund Short Term Plan Growth  Income Fund Short Term Plan - Instl. Plan - Dividend Payout - Fortnightly	Dividend	SIFD	Monthly Income Plan-plus Growth Payout Quarterly	Growth	MPGQ
Income Fund Short Term Plan - Insti. Plan - Dividend Reinvestment - Fortnightly  Income Fund Short Term Plan - Insti. Plan - Dividend Reinvestment - Fortnightly	Dividend	SIFR	Monthly Income Planplus Dividend Sweep Quarterly	Sweep	MPSQ
Income Fund Short Term - Insti. Plan - Growth Plan	Growth	ISIG	Monthly Income Plan-plus Dividend Payout Quarterly  Monthly Income Plan-plus Dividend Reinvestment Quarterly	Dividend Dividend	MPQP MPRO
Income Fund Short Term - Inst. Plan - Dividend Sweep - Monthly	Sweep	ISIS	Monthly Income Plan-plus Dividend Reinvestment Quarterly Balanced Fund Growth Plan	Growth	MPRQ SBGP
Income Fund Short Term - Inst. Plan - Dividend Payout - Monthly	Dividend	ISIP	Balanced Fund Dividend Sweep Annually	Sweep	SBSA
Income Fund Short Term - Instl. Plan - Dividend Reinvestment - Monthly	Dividend	ISIR	Balanced Fund Dividend Payout Annually	Dividend	SBDA
Income Fund Short Term Plan - Instl. Plan - Dividend Payout - Weekly	Dividend	SIWD	Balanced Fund Dividend Reinvestment Annually	Dividend	SBRD
Income Fund Short Term Plan - Instl. Plan - Dividend Reinvestment - Weekly	Dividend	SIWR	Resurgent India Equity Fund - Dividend Payout	Dividend	SRDP
Junior Cap Fund Dividend Payout	Dividend	JCPD	Resurgent India Equity Fund - Dividend Reinvestment	Dividend	SRRD
Junior Cap Fund Dividend Reinvestment	Dividend	JCRD	Resurgent India Equity Fund - Growth Plan	Growth	SRGP
Junior Cap Growth Plan	Growth	JCGP	Index Fund Growth Plan	Growth	XFGP
Large Cap Growth Plan	Growth	LCGP	Index Fund Dividend Payout	Dividend	XFDP
Large Cap Fund Dividend Sweep	Sweep	LCSD	Index Fund Dividend Reinvestment	Dividend	XFRD
Large Cap Fund Dividend Payout	Dividend	LCPD	Index Fund Dividend Sweep	Sweep	XFRS
Large Cap Fund Dividend Reinvestment	Dividend	LCRD	Floating Rate Fund Fmp - Insti. Option - Dividend Payout - Daily	Dividend	FFID
Cash Management Fund Liquid Option Dividend Payout Daily	Dividend	LDPD	Floating Rate Fund Fmp - Insti. Option - Dividend Reinvestment - Daily	Dividend	FFRD



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### **SELECTION OR CHANGE OF** TRIGGER/ALERT

																	Date	D	D	M	M	Υ	Υ	Υ	
lame of Sole / First Holder																									
lame of Joint Holder 2																									
lame of Joint Holder 3																									
ccount No.					ĺ		Ì	ĺ						Tra	nsac	tion	Date otment	, D	D	M	M	Υ	Υ	Υ	
		_	_	_						_	_	 	_	(Do	แย บ	υАШ	ounem								

- I/We wish to opt for/revise Trigger / Alert option as indicated here below. Please note the following:

   Under Trigger option, action selected in Section B will be carried out when criteria specified in Section A is reached.
- Under Alert Option, only a notification will be sent when criteria specified in Section A is reached.
- Request for all Triggers except under A(1) below will be carried out only after expiry of the relevant scheme specific investment lock-in period/s.
- Only one Trigger can be selected per transaction for a Scheme, Plan & Option.
- Kindly note that Trigger/Alert including any modifications thereto shall be activated only when the activation request is captured in the records of the Principal Pnb Asset Management Co. Pvt. Ltd. (AMC)
- Subject to the immediately preceding condition, Trigger/Alert will be considered only in respect of units held.

  In case of sweep or switch into another Scheme of AMC pursuant to election of a Trigger option, the same shall be subject to the terms/ features, including load structure etc., of such other elected Scheme.

In case if the investor does not			SECTION A				
Trigger / Alert Type Please (✓)		Details				Pe	ercentage
(Any one)							(\$) (\$) (\$)  Rise  Fall #  Fall #
. Dividend *	Rs.		eg. <b>Rs. 11000</b>	00	. 10%	%	
Trigger Alert	declared	e activated as and whe	en Dividend is	- 5		e activated when	your investment value appreciates by 10%
	Rs.		eg. <b>Rs. 11000</b>			%	
Trigger Alert	Trigger/Alert will b increases from Rs. 1	e activated when you 0000 to Rs. 11000	r investment value		. <b>10%</b> ger/Alert will b	e activated when	(✓) Rise your investment value appreciates by 10%
R	Rs.		eg. <b>Rs. 1000</b>			%	
Capital Appreciation Trigger Alert	Trigger/Alert will be appreciates by Rs. 1	activated when your o	capital of Rs. 10000	_	. <b>10%</b> ger/Alert will b		(✓) Rise your investment value appreciates by 10%
R	Rs.		eg. <b>Rs. 11</b>			%	
. NAV Trigger Alert	Trigger/Alert will be	activated when the N n of your investment be	NAV of the selected		. <b>10%</b> Iger/Alert will		(✓) Rise en the NAV appreciates by 10%
R DCF Concov	Points		eg. <b>Points 15000</b>			%	
☐ BSE Sensex ☐ Trigger ☐ Alert <b>R</b>	Trigger/Alert will be	e activated when the I			10% ger/Alert will b		(/) Rise the BSE Sensex Rises or Falls 10% points
NSE NIFTY	Rs.		eg. <b>Rs. 5000</b>			%	
Trigger Alert		activated when the NSE			. <b>10%</b> gger/Alert wil		(✓) Rise hen the NSE Nifty Falls 10% points
On Date Trigger Alert	DD	MM YYYY	eg. <b>08-11-2010</b> Trigger/Alert will be	activate	ed on 08-No	ov-2010	
ne example (eg.) given above is b Available only in Principal Tax Savings			at NAV of Rs. 10. #Ri	ise, Fall 8	& Rise or Fall	is applicable onl	y for percentage change.
	:	SECTION B (To be t	filled only in case of Tr	igger o	ption)		
ease (✓) any one  Sweep into Scheme  Full Redemption OR Reden	nption of Gains only <b>(</b>	nr.	Option				
Sweep Dividend into Scheme	iption of dams only	<u></u>	Option:				
Full Switch into Scheme			Option:			OR	
Switch of only Gains into Scheme			Option:			OR	
Full Redemption: Original investm		d in Scheme				Option:	and gains paid C
Full Redemption: Gains reinvested Redeem No. of units	ı ırı Scheme Scheme	OR Redee	m Amount Rs.	ption:		an	d Original investment amount paid <b>C</b>
eep of dividend into the same scheme		try load.		uent activ	ation on the o	riginal investment	s until advised; please (✔) ☐ Yes ☐ No
Declaration:  We understand that the contents of this to any reason whatsoever, IWe would no or otherwise, made erroneously to me/us //we understand the AMC reserves the ri	s form shall be deemed to it hold the AMC responsil s. ght to amend/terminate to s are not activated and/or	be part and parcel of the ble. Further if necessary th this facility for Trigger/Aler implemented due to any re	main Application Form and e AMC may at its discretion t at any point eason whatsoever, IWe wou	further t initiate a	that if the abo	ve triggers/alerts ny adjustments t	s are not activated and/or implemented due to correct any credit/payment/switch entries authority shall remain in effect until revoked
Signature of 1st Ho	lder	Sign	ature of 2nd Holder			Si	gnature of 3rd Holder



Tel.: 022-2202 1111. Fax: 022-22044466

# PERSONAL IDENTIFICATION NUMBER (PIN) APPLICATION FORM FOR INTERNET SERVICE ACCESS

Date				

Please complete this application form in case you wish to avail the Internet Services Access facility. Subject to your signing the agreement you will be given an individual Personal Identification Number (PIN) which will allow you to access the above mentioned facility. Please go through the terms and conditions mentioned below before signing the agreement.

Sole / 1st Holder Name	:			
2nd Holder Name	:			
3rd Holder Name	:			
Account Number	:			
E-mail ID	:			
Declaration				
I/We have read and unde andConditions and to any			ot and agree to be bound by the said Terms	Date dd mm yyyy
Signature of 1st Ho	older	Signature of 2nd Holder	Signature of 3rd Holder	,,,,
For Registrars use	only			
Investor Service	Centre	Date	Pin generation Date	Signature Verified

#### **Terms & Condition**

- I/We agree and accept the services provided by Karvy Computershare Pvt. Ltd. (Registrar & Transfer agents of Principal Mutual Fund herein referred to as 'Registrar') and Principal Pnb Asset
  Management Company Pvt. Ltd. ('Principal') at my/our request to carry out Internet Service Access on my/our account and any other service from time to time and that my details as registered for
  my account, for which Email ID is provided, would also be applicable for Internet Service facility.
- I/We am/are aware that in connection with such facilities, I/We am/are required to identify myself/ourselves to the Internet Services Access system using my/our PERSONAL IDENTIFICATION NUMBER (PIN), I/We further agree that my/our PIN is confidential in nature and use of the same is restricted/known to me/us only.
- 3. I/We undertake to report the loss of my/our PIN to Registrar immediately upon discovery of the loss. I/We also undertake to inform Registrar immediately if for any reason circumstances. I/We shall request a new PIN from Registrar.
- 4. I/We agree, in case of accounts opened in the names of minors, the legal guardian of the minor undertakes to give all instructions relating to the operation of the account and further undertakes not to reveal the PIN to the minor. I/We agree that if the PIN is revealed to the minor or any other person, then I/We shall be liable for any resulting/consequential loss.
- 5. I/We unconditionally agree that, I/We shall NOT hold the Registrar/Principal liable for:
  - · such transactions that are carried out on my/our Internet instructions and are believed as genuine by Registrar/Principal to have been done in good faith.
  - · such transactions that are carried out on my/our Internet instructions which emanate from unauthorised individuals who have gained knowledge of my/our confidential PIN.
  - not carrying out any such instructions where the Registrar/Principal has reason to believe (which decision I/We shall not question or dispute) that the instructions are not genuine or are otherwise improper, unclear, vague or raise a doubt.
  - · accepting instructions given by any one of us in case of joint accounts.
  - not verifying the identity of the person giving the Internet instructions in my/our name.
  - for any loss or damage incurred or suffered by me/us due to any error, defect, failure or interruption in the provision of Internet services access arising from or caused by any reason whatsoever.
  - if necessary, initiating adjustments to correct any errors in credit/payments/such entries or otherwise made
  - · withdrawing/suspending the facility wholly/partially without prior notice to me/us.
- 6. I/We agree and undertake to ensure that there would be sufficient balance in my/our folio from time to time, for effecting the transactions as directed over the phone, as and when applicable.
- 7. I/We agree to indemnify the Registrar/Principal for all liabilities, losses, damages and expenses and which the Registrar/Principal may sustain or incur either directly or indirectly as a result of:
  - · my/our negligence/mistake or misconduct or the negligence/mistake or misconduct of any of my/our employee or agents.
  - my/our breach of agreement or non-compliance of the rules/terms and conditions relating to Internet Services Access.
  - · fraud or dishonesty relating to any transaction by my/our employees or agents.
  - providing me/us the Internet Transaction facility or by reason of Registrar in good faith taking or refusing to take or omitting to take action on my/our instruction(s).
  - the information contained in the faxed outputs or statements is/turns out to be inaccurate/incorrect.
  - non-compliance by the Registrar/Principal of my/our instructions due to inadequacy of units.
- 3. I/We authorise you to record our telephone calls, as and when applicable. Further, I/We agree that the record of the instructions given and transactions concluded over the Internet shall be conclusive proof and binding for all purposes and can be used as evidence in any proceedings.
- 1. I/We agree that the Registrar/Principal can terminate the Internet Services Access granted to me/us without prior notice on occurrence of any of the following events:
  - · non-compliance of the terms and conditions set forth
  - non-compliance of any other agreement entered into with the Registrar/Principal
  - · death, insolvency or bankruptcy of me/us
  - · any other cause arising out of operation of law
  - · closing of account
- 10. I/We agree to give Registrar seven days' notice in writting and obtain a receipt thereof in order to terminate the Internet Transaction services availed by me/us.
- 11. I/We agree that
  - all transactions other than those which are executed instantaneously by the Internet services access system, that is those requiring processing by the Registrar will be carried out only during business hours and the value dates, if any, will follow the operating hours/days as per the Offer Documents of the respective Schemes.
  - Registrar is at liberty to withdraw at any time the Internet Services access facility, or any services provided thereunder, in respect of any or all the account(s) without assigning any reason whatsoever, without giving me/us any notice.
  - · Charges, if any, for the Internet services access facility will be the sole discretion of the Registrar/Principal who are at liberty to vary the same from time to time, without giving any notice.
  - In case of a dispute, the matter will be settled by the arbitration as per the rules of the Indian Arbitration and Conciliation Act, 1996. Further that the Managing Director of Principal or any other
    person nominated by him will be the sole arbitrator and that the place of arbitration will be Mumbai.
  - that the terms and conditions will be governed by Indian Laws and, the Courts at Mumbai shall alone have jurisdiction.



Tel.: 022-2202 1111. Fax: 022-22044466

### **SELECTION OR CHANGE OF** TRIGGER/ALERT

										Date	D	D	М	M	Υ	Υ	Υ	Υ
lame of Sole / First Holder																		
lame of Joint Holder 2																		
lame of Joint Holder 3																		
ccount No.								Trans	action	n Date llotmen	+/ D	D	М	M		Υ	Υ	
			 					Date	UIA	liounen	ι) —							

- I/We wish to opt for/revise Trigger / Alert option as indicated here below. Please note the following:

   Under Trigger option, action selected in Section B will be carried out when criteria specified in Section A is reached.
- Under Alert Option, only a notification will be sent when criteria specified in Section A is reached.
- Request for all Triggers except under A(1) below will be carried out only after expiry of the relevant scheme specific investment lock-in period/s.
- Only one Trigger can be selected per transaction for a Scheme, Plan & Option.
- Kindly note that Trigger/Alert including any modifications thereto shall be activated only when the activation request is captured in the records of the Principal Pnb Asset Management Co. Pvt. Ltd. (AMC)
- Subject to the immediately preceding condition, Trigger/Alert will be considered only in respect of units held.

  In case of sweep or switch into another Scheme of AMC pursuant to election of a Trigger option, the same shall be subject to the terms/ features, including load structure etc., of such other elected Scheme.

In case if the investor does not			SECTION A				
Trigger / Alert Type Please (✓)		Details				Pe	ercentage
(Any one)							(\$) (\$) Rise # ** ** ** ** ** ** ** ** ** ** ** ** *
Dividend *	Rs.	e activated as and whe	eg. <b>Rs. 11000</b>	90	. 10%	%	
Trigger Alert	declared	e activated as and whe	en Dividend is	- 5		activated when	your investment value appreciates by 10%
	Rs.		eg. <b>Rs. 11000</b>			%	
Trigger Alert	Trigger/Alert will b increases from Rs. 1	e activated when you 0000 to Rs. 11000	r investment value		10% ger/Alert will be	e activated when	(✓) Rise your investment value appreciates by 10%
R	Rs.		eg. <b>Rs. 1000</b>			%	
Capital Appreciation Trigger Alert		activated when your c		_	10% ger/Alert will be		(✓) Rise your investment value appreciates by 10%
R	Rs.		eg. <b>Rs. 11</b>			%	
NAV Trigger Alert	Trigger/Alert will be	activated when the N n of your investment be	IAV of the selected		10% ger/Alert will		(✓) Rise en the NAV appreciates by 10%
R	Points		eg. <b>Points 15000</b>			%	
☐ BSE Sensex ☐ Trigger ☐ Alert <b>R</b>		e activated when the E	9		10% ger/Alert will b		(/) Rise  the BSE Sensex Rises or Falls 10% points
NSE NIFTY	Rs.		eg. <b>Rs. 5000</b>			%	
☐ Trigger ☐ Alert <b>R</b>		activated when the NSE			10% Iger/Alert will		(✓) Rise  then the NSE Nifty Falls 10% points
On Date Trigger Alert	DD	MM YYYY	eg. <b>08-11-2010</b> Trigger/Alert will be	activate	ed on 08-No	nv-2010	
ne example (eg.) given above is l Available only in Principal Tax Savings							y for percentage change.
		SECTION B (To be f	filled only in case of Tr	igger o	ption)		
ease (√) any one							
Sweep into Scheme		<b>~</b>	Option				
Full Redemption <b>OR</b> Reden Sweep Dividend into Scheme	nption of Gains only	JK	Option:				
Full Switch into Scheme			Option:			OR	•
Switch of only Gains into Scheme			Option:			OR	
Full Redemption: Original investm		d in Scheme				Option:	
Full Redemption: Gains reinvested	I in Scheme Scheme		0	ption:			nd Original investment amount paid (
Redeem No. of units		OR Redeer	m Amount Rs.	<u>'</u>			,
eep of dividend into the same scheminly gains are to be redeemed or switched,			I for remains alive for subsequ	uent activ	ation on the or	iginal investment	s until advised; please (✔) ☐ Yes ☐ No
o any reason whatsoever, I/We would no or otherwise, made erroneously to me/us /we understand the AMC reserves the ri	ot hold the AMC responsil s. ght to amend/terminate is s are not activated and/or	ole. Further if necessary the this facility for Trigger/Aler implemented due to any re	e AMC may at its discretion t at any point eason whatsoever, I/We wou	initiate a	nd carry out a	ny adjustments	s are not activated and/or implemented due to correct any credit/payment/switch entries authority shall remain in effect until revoked
Signature of 1st Ho	lder	Signa	ature of 2nd Holder			Si	ignature of 3rd Holder



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#### NOMINATION FORM

First Ho	olde	r		:_																	Ple	ease (🗸)
Second	Но	lder		:_																		Appointment of Nominee
Third H	lold	er		:_																		Change in Nominee
Commo	n Ad	cou	nt No	o. / A	ppli	catio	n No	). : _													Date DDD	M M Y Y Y Y
																NEE(						
understa	and t	hat a	ll pay	ment	s and	d sett	leme	nts n	nade	to su	ich N	Iomin	ee(s	and:	Signa	ature o	f the	Nor	ninee	(s) ackr		t of my/our death. I/We also shall be valid discharge by the
NAME O	F FIR	ST NO	MIM	EE [	Mr.		☐ M:	S.														
																					Date of Birth (In case of minor)	M M Y Y Y Y
NAME O	F PAF	RENT	/ LEG	AL GU	Jard 	IAN (	in cas	e of r	ninor) 		Mr.		Ms					1		ı		
ADDRESS	S OF	FIRST	NON	IINEE	/ LEC	GAL G	iUARI	DIAN														
																						e of Nominee / Guardian
City														Pin C	Code						Percentage of Invest	tment Allocation (integer)
																						<u>%</u>
NAME O	F SEC	OND	NON	IINEE		Mr.		Ms.	ı				ı							ı	Date of Birth	IM IMIVIVIVIVI
NAME O	F DAF	L	/150	۸۱ ۵۱	LADD	LANI /	:				N dec		\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \								(In case of minor)	M M Y Y Y Y
NAME O	F PAF	KENI	/ LEG	AL GU	JAKD	IAN (	in casi	е от r 	ninor) 		IVIr. 		] Ms					1				
ADDRESS	S OF	SECO	ND N	OMIN	IEE /	LEGA	L GU	ARDI.	AN													
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City														Pin C	Code						Percentage of Invest	tment Allocation (integer)
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NAME O	F THI	RD N	OMIN	IEE	M	r.	_ N	۱s.														
																					Date of Birth (In case of minor)	M M Y Y Y Y
NAME O	F PAF	RENT	/ LEG	AL GI	JARD	IAN (	in cas	e of r	ninor) '		Mr.		Ms							ı		
ADDRESS	S OF	THIRI	O NO	MINE	- / LE	GAL	GUAR	DIAN	ı													
																						e of Nominee / Guardian
City														Pin C	Code						Percentage of Inves	tment Allocation (integer)
The total p	oercer	itage (	of inve	stmen	t alloc	ation (	(across	all No	omine	e/s) ca	an not	excee	d 100	)%.								%
					ι	JNIT	HOL	.DER													· (witness could be the same	
Name First H		r								Sign	ature	and I	Date			Na 1.		nd A	ddres	S	Sig	gnature and Date
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Secon	d Ho	lder														2.						
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Third	Hold	er														3.						
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#### INSTRUCTIONS

- The nomination can be made only by individuals applying for / holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders will sign the nomination form. Space is provided as a specimen, if there are more joint holders more sheets can be added for signatures of holders of units and witnesses.
- A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the unit holder.
- The Nominee shall not be a trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time.
- Nomination in respect of the units stands rescinded upon the transfer of units.
- Transfer of units as per the percentage as allocated / stated above in favour of a Nominee(s) shall be valid discharge by the asset management company against the legal heir.
- The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination.
- On cancellation of the nomination, the nomination shall stand rescinded and the asset management company shall not be under any obligation to transfer the units in favour of the Nominee.
- In case of change of nomination, the unitholder/s should submit this form duly filled in and signed. Change in nomination so requested shall be made effective subsequent to AMC receiving such duly filled in nomination form and all previous nominations on record shall stand cancelled on updation of the same on the system



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### **SELECTION OR CHANGE OF** TRIGGER/ALERT

											Da	ate	D	D	M	M	Υ	Υ	Υ	Υ
lame of Sole / First Holder																				
lame of Joint Holder 2																				
lame of Joint Holder 3																				
ccount No.									Tran	saction	n Da	te	D	D	M			Υ	Υ	

- I/We wish to opt for/revise Trigger / Alert option as indicated here below. Please note the following:

   Under Trigger option, action selected in Section B will be carried out when criteria specified in Section A is reached.
- Under Alert Option, only a notification will be sent when criteria specified in Section A is reached.
- Request for all Triggers except under A(1) below will be carried out only after expiry of the relevant scheme specific investment lock-in period/s.
- Only one Trigger can be selected per transaction for a Scheme, Plan & Option.
- Kindly note that Trigger/Alert including any modifications thereto shall be activated only when the activation request is captured in the records of the Principal Pnb Asset Management Co. Pvt. Ltd. (AMC)
- Subject to the immediately preceding condition, Trigger/Alert will be considered only in respect of units held.

  In case of sweep or switch into another Scheme of AMC pursuant to election of a Trigger option, the same shall be subject to the terms/ features, including load structure etc., of such other elected Scheme.

  Please do not complete systematic switch or systematic withdrawal Form(s) if triggers are to be linked with systematic switch and/ or systematic withdrawal.

In case if the investor does not			SECTION A			
Trigger / Alert Type Please (✓)		Details			Per	centage
(Any one)						(\$) (\$) Rise **  (\$) Rise **  Fall **
Dividend *	Rs.		eg. <b>Rs. 11000</b>		%	
Trigger Alert	Trigger/Alert shall be declared	e activated as and wh	ien Dividend is	eg. <b>10</b> % Trigger/Aler		our investment value appreciates by 10%
R	Rs.		eg. <b>Rs. 11000</b>		%	
☐ Investment Value ☐ Trigger ☐ Alert		be activated when you 10000 to Rs. 11000	ur investment value	eg. <b>10%</b> Tringer/Δler	)	(✓) Rise  our investment value appreciates by 10%
R			D: 4000	iliggei/Alei		our investment value appreciates by 1070
Capital Appreciation	Rs.		eg. <b>Rs. 1000</b>		%	
Trigger Alert	Trigger/Alert will be appreciates by Rs.	e activated when your 1000	capital of Rs. 10000	eg. <b>10%</b> Trigger/Aler		(✓) Rise our investment value appreciates by 10%
R	Rs.		eg. <b>Rs. 11</b>		%	
☐ NAV ☐ Trigger ☐ Alert		e activated when the n of your investment b		eg. <b>10%</b> Trigger/Ale	)	(✓) Rise  n the NAV appreciates by 10%
R	Daints		oa Deinte 15000		0/	
BSE Sensex	Points		eg. <b>Points 15000</b>	eg. <b>10%</b>	%	(✓) Rise
☐ Trigger ☐ Alert <b>R</b>	15000 points	e activated when the	B2F 26usex teacues			he BSE Sensex Rises or Falls 10% points
☐ NSE NIFTY	Rs.		eg. <b>Rs. 5000</b>		%	
☐ Trigger ☐ Alert <b>R</b>	Trigger/Alert will be points	activated when the NS	SE Nifty reaches 4500	eg. <b>10%</b> Trigger/Ale		(/) Rise en the NSE Nifty Falls 10% points
On Date	DD	MM YYYY	eg. <b>08-11-2010</b>			<u> </u>
Trigger Alert			Trigger/Alert will be	activated on	08-Nov-2010	
e example (eg.) given above is b Available only in Principal Tax Savings F	ased on initial inve Fund and Principal Tax	<b>stment of Rs. 10,000</b> Saver Fund	at NAV of Rs. 10. #R	se, Fall & Rise o	or Fall is applicable only	for percentage change.
		SECTION B (To be	filled only in case of Tr	igger option	)	
ease (🗸) any one						
Sweep into Scheme			Option			
	ption of Gains only	OR	0 11			
Sweep Dividend into Scheme			Option:			
Full Switch into Scheme			Option:		OR	
Switch of only Gains into Scheme		1. 6.1	Option:		OR	
Full Redemption: Original investme		a in Scheme			Option:	and gains paid
Full Redemption: Gains reinvested	in Scheme Scheme			ption:	and	Original investment amount paid
Redeem No. of units	20		em Amount Rs.			
eep of dividend into the same scheme nly gains are to be redeemed or switched,			ed for remains alive for subsequ	ent activation or	n the original investments	until advised; please (✔) ☐ Yes ☐ No
Declaration:  We understand that the contents of this only reason whatsoever, IWe would not or otherwise, made erroneously to me/us we understand the AMC reserves the rig. We understand that if the above triggers by me/us in writing. IWe further understand.	t hold the AMC responsi ght to amend/terminate are not activated and/or	ble. Further if necessary the this facility for Trigger/Ale implemented due to any	he AMC may at its discretion ert at any point reason whatsoever, I/We wou	initiate and carr	y out any adjustments to	correct any credit/payment/switch entr



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# **Application Form for Equity Schemes**

Application No.

Please read the instructions before filling the Application Form

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5 PAYMENT DETAILS (Mandatory)	
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6 INVESTMENT DETAILS (Please ✓ Choice of Scheme / I	Plan / Option) - Please ensure there is only one cheque/DD per application form
Principal Growth Fund	rincipal Dividend Yield Fund Principal Global Opportunities Fund
☐ Growth ☐ Dividend ☐ Growth ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend ☐ Payout ☐ Reinvest ☐ Sweep
Principal Junior Cap Fund	Principal Large Cap Fund Principal Infrastructure & Services Industries Fund
☐ Growth ☐ Dividend ☐ Growth ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend ☐ Payout ☐ Reinvest ☐ Sweep
Principal Index Fund Princi	pal Resurgent India Equity Fund Principal Balanced Fund
☐ Growth ☐ Dividend ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend
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Plan	Option
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7 BANK ACCOUNT DETAILS (Mandatory)	
Bank Name (Do not abbreviate)	
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"the Scheme" and agree to abide by the terms and conditions, of the Scheme/s and such	
other schemes into which mylour investment may be moved pursuant to any instalment received from me/us to sweep/switch the units as applicable to my/ our investment including sole / 1s Applica  Applica	
any rebate or gifts, directly or indirectly, in making this investment. 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.  We further confirm that tiwe have the express authority from the relevant constitution to invest in the units of the Scheme and the Principal Pho 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 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 / POA Hol	APPLICANT SIGNATURE POA HOLDER SIGNATURE
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reason whatsoever.  We hereby further agree that AMC can directly credit all the dividend payouts and redemption amount to my / our bank details given herein, where AMC has such arrangement with my / our Bank.  Signatur Thumb	
Applicable to NRIs only:	
hereby confirm that the funds for subscription have been remitted from abroad through  Applica	
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### **Principal Mutual Fund**

Exchange Plaza, 'B' Wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

For investment related enquiries, please contact:

Principal Mutual Fund
Ph: 1800-22-5600 (Toll Free Number) or
022-22021111 (If calling from a Non MTNL / Non BSNL lines)
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 KYC Acknowledgement Letter issued by CDSL Ventures Ltd. for any application of Rs. 50,000 and above • Appropriate options are filled • Cheques /DD should be drawn in favour of 'the Specific Scheme Name' • If you are investing for the first time, please ensure that you fill in the contact details for us to serve you better.



Tel.: 022-2202 1111. Fax: 022-22044466 Website: www.principalindia.com E-mail: customer@principalindia.com

# **Application Form for Equity Schemes**

Application No.

Please read the instructions before filling the Application Form

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other schemes into which mylour investment may be moved pursuant to any instalment received from me/us to sweep/switch the units as applicable to my/ our investment including sole / 1s Applica  Applica	
any rebate or gifts, directly or indirectly, in making this investment. 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.  We further confirm that tiwe have the express authority from the relevant constitution to invest in the units of the Scheme and the Principal Pho 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 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 / POA Hol	APPLICANT SIGNATURE POA HOLDER SIGNATURE
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  Thumb	on of POA Details - Name
vires the relevant constitution.  1/We authorize AMC to reject the application, reverse the units credited, restrain me/us from  Applica	DAM
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 details given herein, where AMC has such arrangement with my / our Bank.  Signatur Thumb	
Applicable to NRIs only:	
hereby confirm that the funds for subscription have been remitted from abroad through  Applica	
Account /FCNR Account.	per Lincosed (pieces ▼ )

### **Principal Mutual Fund**

Exchange Plaza, 'B' Wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

For investment related enquiries, please contact:

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Ph: 1800-22-5600 (Toll Free Number) or
022-22021111 (If calling from a Non MTNL / Non BSNL lines)
Email: customer@principalindia.com
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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 KYC Acknowledgement Letter issued by CDSL Ventures Ltd. for any application of Rs. 50,000 and above • Appropriate options are filled • Cheques /DD should be drawn in favour of 'the Specific Scheme Name' • If you are investing for the first time, please ensure that you fill in the contact details for us to serve you better.



Tel.: 022-2202 1111. Fax: 022-22044466 Website: www.principalindia.com E-mail: customer@principalindia.com

# **Application Form for Equity Schemes**

Application No.

Please read the instructions before filling the Application Form

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5 PAYMENT DETAILS (Mandatory)	
Investment DD Charge	les Net Amount (Rs.)
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(Please ✔)	Account Type (Please ✔) Savings Current NRE NRO FCNR NRSR
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City	
$\ensuremath{^{\star}}$ Please mention the Application No. on the reverse of the Cheque/DD. All	Cheques/DDs to be drawn in favour of "the Specific Scheme Name"
6 INVESTMENT DETAILS (Please ✓ Choice of Scheme / I	Plan / Option) - Please ensure there is only one cheque/DD per application form
Principal Growth Fund	rincipal Dividend Yield Fund Principal Global Opportunities Fund
☐ Growth ☐ Dividend ☐ Growth ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend ☐ Payout ☐ Reinvest ☐ Sweep
Principal Junior Cap Fund	Principal Large Cap Fund Principal Infrastructure & Services Industries Fund
☐ Growth ☐ Dividend ☐ Growth ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend ☐ Payout ☐ Reinvest ☐ Sweep
Principal Index Fund Princi	pal Resurgent India Equity Fund Principal Balanced Fund
☐ Growth ☐ Dividend ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend
Payout Reinvest Sweep	○ Payout ○ Reinvest ○ Payout ○ Reinvest ○ Sweep
Sweep to Scheme	
Plan	Option
(In case of S	weep, please ensure to fulfill the minimum investment criteria in the new Scheme)
7 BANK ACCOUNT DETAILS (Mandatory)	
Bank Name (Do not abbreviate)	
Account No.	Branch / City
(Please provide the full account number)	
Branch Address	
Account Type (Please ✓) For Residents Savings Current For Non-Resid	
	it number next to your Cheque No.
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<ul> <li>Chartered Bank, Axis Bank &amp; Indusind Bank. For an update in this list please cont</li> <li>Please verify and ensure the accuracy of the bank details provided above and as Mutual Fund shall not be held responsible for delays or errors in processing your</li> </ul>	shall appear in your account statement which shall be issued to you should your application be accepted. Principal
8 DOCUMENTS ENCLOSED (Please ✓)	9 APPLICATION ENCLOSED (Please ✓)
	<ul> <li>Systematic Investment Plan</li> <li>Post dated Cheques</li> <li>SIP Auto Debit Form</li> <li>HDFC Standing Instruction (HDFC Bank Account Holders only)</li> <li>ICICI Standing Instruction (ICICI Bank Account Holders only)</li> <li>Systematic Withdrawal Plan</li> <li>Systematic Transfer Plan</li> </ul>
10 DECLARATION AND SIGNATURES	
We have read and understood the contents of the offer 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 for units of the Scheme as indicated above Thumb	APPLICANT SIGNATURE POA HOLDER SIGNATURE
"the Scheme" and agree to abide by the terms and conditions, of the Scheme/s and such	
other schemes into which mylour investment may be moved pursuant to any instalment received from me/us to sweep/switch the units as applicable to my/ our investment including sole / 1s Applica  Applica	
any rebate or gifts, directly or indirectly, in making this investment. 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.  We further confirm that tiwe have the express authority from the relevant constitution to invest in the units of the Scheme and the Principal Pho 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 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 / POA Hol	APPLICANT SIGNATURE POA HOLDER SIGNATURE
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5 PAYMENT DETAILS (Mandatory)	
Investment DD Charge	les Net Amount (Rs.)
Mode of Payment Cheque DD *Cheque / DD *Cheq	(ns.)
(Please ✔)	Account Type (Please ✔) Savings Current NRE NRO FCNR NRSR
Account No.	Account type (react 4)
Branch	
City	
$\ensuremath{^{\star}}$ Please mention the Application No. on the reverse of the Cheque/DD. All	Cheques/DDs to be drawn in favour of "the Specific Scheme Name"
6 INVESTMENT DETAILS (Please ✓ Choice of Scheme / I	Plan / Option) - Please ensure there is only one cheque/DD per application form
Principal Growth Fund	rincipal Dividend Yield Fund Principal Global Opportunities Fund
☐ Growth ☐ Dividend ☐ Growth ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend ☐ Payout ☐ Reinvest ☐ Sweep
Principal Junior Cap Fund	Principal Large Cap Fund Principal Infrastructure & Services Industries Fund
☐ Growth ☐ Dividend ☐ Growth ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend ☐ Payout ☐ Reinvest ☐ Sweep
Principal Index Fund Princi	pal Resurgent India Equity Fund Principal Balanced Fund
☐ Growth ☐ Dividend ☐ Growth	☐ Dividend ☐ Growth ☐ Dividend
Payout Reinvest Sweep	○ Payout ○ Reinvest ○ Payout ○ Reinvest ○ Sweep
Sweep to Scheme	
Plan	Option
(In case of S	weep, please ensure to fulfill the minimum investment criteria in the new Scheme)
7 BANK ACCOUNT DETAILS (Mandatory)	
Bank Name (Do not abbreviate)	
Account No.	Branch / City
(Please provide the full account number)	
Branch Address	
Account Type (Please ✓) For Residents Savings Current For Non-Resid	
	it number next to your Cheque No.
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	ode
<ul> <li>Chartered Bank, Axis Bank &amp; Indusind Bank. For an update in this list please cont</li> <li>Please verify and ensure the accuracy of the bank details provided above and as Mutual Fund shall not be held responsible for delays or errors in processing your</li> </ul>	shall appear in your account statement which shall be issued to you should your application be accepted. Principal
8 DOCUMENTS ENCLOSED (Please ✓)	9 APPLICATION ENCLOSED (Please ✓)
	<ul> <li>Systematic Investment Plan</li> <li>Post dated Cheques</li> <li>SIP Auto Debit Form</li> <li>HDFC Standing Instruction (HDFC Bank Account Holders only)</li> <li>ICICI Standing Instruction (ICICI Bank Account Holders only)</li> <li>Systematic Withdrawal Plan</li> <li>Systematic Transfer Plan</li> </ul>
10 DECLARATION AND SIGNATURES	
We have read and understood the contents of the offer 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 for units of the Scheme as indicated above Thumb	APPLICANT SIGNATURE POA HOLDER SIGNATURE
"the Scheme" and agree to abide by the terms and conditions, of the Scheme/s and such	
other schemes into which mylour investment may be moved pursuant to any instalment received from me/us to sweep/switch the units as applicable to my/ our investment including sole / 1s Applica  Applica	
any rebate or gifts, directly or indirectly, in making this investment. 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.  We further confirm that tiwe have the express authority from the relevant constitution to invest in the units of the Scheme and the Principal Pho 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 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 / POA Hol	APPLICANT SIGNATURE POA HOLDER SIGNATURE
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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 details given herein, where AMC has such arrangement with my / our Bank.  Signatur Thumb	
Applicable to NRIs only:	
hereby confirm that the funds for subscription have been remitted from abroad through  Applica	
Account /FCNR Account.	per Lincosed (pieces ♥ /   FAIN COPY   Attach Copy of NTC annovation from

### **Principal Mutual Fund**

Exchange Plaza, 'B' Wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

For investment related enquiries, please contact:

Principal Mutual Fund
Ph: 1800-22-5600 (Toll Free Number) or
022-22021111 (If calling from a Non MTNL / Non BSNL lines)
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 KYC Acknowledgement Letter issued by CDSL Ventures Ltd. for any application of Rs. 50,000 and above • Appropriate options are filled • Cheques /DD should be drawn in favour of 'the Specific Scheme Name' • If you are investing for the first time, please ensure that you fill in the contact details for us to serve you better.



Tel.: 022-2202 1111. Fax: 022-22044466

## Application Form for Principal Child Benefit Fund

Application No.

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Broker Name & Code	Sub-Broker Code	I-Code	Registrar Serial No.	Bank Serial No.	Date & Time of Receipt
1 EXISTING UNITHOLDER	S DETAILS (Donor to fill in	the Unit holder / Beneficiary)	(Please note that the applicant	details and mode of holdi	ng are as per the existing Folio Number)
ommon Account No.					
ame of Sole / rst Unit Holder					
2 DONOR INFORMATION	(Please fill in BLOCK LETT	ERS with black/blue ink,	use one box for one alpha	abet leaving one box	blank between two words)
AME OF APPLICANT / DONOR	Mr. Ms		•	•	
F I R S T	N A M E	M I D D L	E NAM	E L A	STNAMI
ate of Birth DDMMM	YYYY	PAN			DAN
pplicant cannot be more than 45 years of age ) yearsand 40 years where the target period is	s 15 years (only for Future Guard Pla	n)	Please attach copy of KYC a	cknowledgement letter^	PAIN COPY
oof of Age :					
rent / Guardian Name  Mr.	XXSTING UNITHOLDERS DETAILS (Donor to fill in the Unit holder / Beneficiary) (Please note that the applicant details and mode of holding are as per the existing folio Number)  A account No.  In Holder  A PAN  A COUNTY DONOR   Mr.   Ms  FAMPICANT / DONOR   Ms   Ms  FAMPICANT / DONOR   Ms   Ms  FAMPICANT / DONOR   Ms   Ms  FAMPICANT / DONOR   Ms   Ms  FAMPICANT / DONOR   Ms   Ms  FAMPICANT / DONOR / Ms  FAMPICANT / Ms  FAMPICANT / DONOR / Ms  FAMPICANT / Ms  F				
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ONTACT DETAILS OF APPLICANT	DONOR (Please ensure that y	ou fill in the contact details fo	us to serve you better.)		
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STATUS OF UNITHOLDER / BENEFICIARY (Please ✔)		OCCUPATION OF UNITHOLDER / BENEFIC	IARY (Please ✔)
Resident Individual     □ Partnership Firm     □ AOP     □ BOI       □ Minor     □ Bank / FII     □ Society/Club     □ Others (F       □ HUF     □ Trust     □ Company	Please specify)	☐ Business ☐ Service ☐ Agriculture ☐ House Wife ☐ Others (Please specify)	Profession Retired Student
IF UNITHOLDER / BENEFICIARY IS A NON-RESIDENT			
☐ NRI (Repatriable) ☐ FII (Repatriable) ☐ NRI Minor (Repatriable)		MODE OF HOLDING	
□ PIO □ NRI (Non Repatriable) □ NRI Minor (Non		Single	
NAME OF GUARDIAN (in case Unitholder / Beneficiary is a Minor)	Mr. Ms	E I IN IA IM IE I I IL	IAISITI INIAIMIEI
	(Please ✓) ☐ Individ		
4 PERSONAL IDENTIFICATION NUMBER (To serve you			use v y resident rom resident
Do you want a PIN assigned ?		submit a duly filled and signed PIN Form alor	ng with this Application. PIN form is part of
5 PAYMENT DETAILS (Mandatory)			
Investment DD Ch Amount (Rs.) (Rs.)	narges	Net Amount (Rs.)	
Mode of Payment Cheque DD *Cheque /		Dated	D D M M Y Y Y Y
(Please ✓) DD No.		Account Type (Please ✓) Savings □ Cur	rrent NRE NRO FCNR NRSR
Drawn on Bank &			
Branch			
* Please mention the Application No. on the reverse of the Cheque/DD. A	All Cheques/DDs to be	e drawn in favour of "the Specific Scheme	Name".
	·	·	
6 INVESTMENT DETAILS (Please ✓ Choice of Scheme	• •		
Principal Child Benefit Fund Career Builder Plan	Future Guard Plan	Target Period 7 Years	10 Years 15 Years
7 BANK ACCOUNT DETAILS (Mandatory)			
Bank Name (Do not abbreviate)			
Account No. (Please provide the full account humber)		Branch / City	
Branch Address			
			Pin Code
Account Type (Please ✓) For Residents Savings Current For Non-Re	esident NRO N	RE Repatriable Non-Repatriable Other	rs
MICR Code This is a 9	digit number next to yo	ur Cheque No.	Essential Enclosures : (For Direct Credit)
Only for IFSC	NEFT , , ,		Blank cancelled cheque Copy of cheque
RTGS Code Direct Credit Facility is currently available with : BNP Paribas, Citibank, Deuts	Code CICL Bank	IDRI Rank HDEC Rank HSRC Rank Kotak Ma	
Chartered Bank, Axis Bank & Indusind Bank. For an update in this list please     Please verify and ensure the accuracy of the bank details provided above and Mutual Fund shall not be held responsible for delays or errors in processing years.	contact any of our ISC a I as shall appear in your	at the contact details provided overleaf.  account statement which shall be issued to you	•
8 ALTERNATE BENEFICIARY INFORMATION			
Name of Alternate Beneficiary Mr/Ms/Mrs			Date of Birth DD/MM/YYYY
(First Name)	(Middle		
Name of Guardian (in case Alternate Beneficiary is a Minor)		M	linor's Relationship
9 APPLICATION ENCLOSED (Please ✓) (Only for the	Caroor Buildor Di	on / Ontion	
Systematic Investment Plan Post dated Cheques SIP Auto		•	Holders only) \(\cap \) ICICL Standing Instruction
(ICICI Bank Account Holders only)   Systematic Withdrawal Plan	_		
10 DECLARATION AND SIGNATURES	Signature / Thumb	APPLICANT SIGNATURE	POA HOLDER SIGNATURE
It is understood that the Applicant has the express authority from the relevant constitution to invest in the units of the Principal Child Benefit Fund [the Fund] and the Principal Pnb Asset Management Company Pvt.	Impression of PC	OA Details - Name	
Ltd. [AMC], its Trustee and Principal (Mutual Fund) would not be responsible if the investment is ultra vires	Donor / Applicant / PA	N	
We further confirm having read and understood the contents of the offer document/s to the Scheme including the sections on "Prevention of Money Laundering and Know Your Customers" 1/We berehv anny	POA Holder En	closed (please 🗸) 🗌 PAN copy (Attach copy	y of KYC aknowledgement letter^)
The relevant constitution.  We further confirm having read and understood the contents of the offer document's to the Scheme including the sections on "Prevention of Money Laundering and Know Your Customers". I // We hereby apply to the Trustees of the Principal Mutual Fund for units of the Scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme as applicable to my / our investment including any further transaction under the Scheme. I / We have not received nor have been induced by any rebate or gifts, directly or indirectly, in making this investment. We further declare that the amount invested by the	Cignature /		
any further transaction under the Scheme I/We have not received nor have been induced by any restate or	Signature / Thumb	APPLICANT SIGNATURE	POA HOLDER SIGNATURE
the relevant constitution.  We further confirm having read and understood the contents of the offer document/s to the Scheme including the sections on "Prevention of Money Laundering and Know Your Customers". I/We hereby apply to the Trustees of the Principal Mutual Fund for units of the Scheme as indicated above and agree to abide by the terms and conditions, rules and regulations of the Scheme as applicable to my / our investment including any further transaction under the Scheme. 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 the Applicant in the Scheme is 1 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 authorize AMIC to reject the application, reverse the unit 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 melus in case the cheque(s) / payment instrument is / are returned unpaid by my/our foath for any reason whatsoever.	Impression of Unitholder /	DA Details - Name	
or contravention or 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.	Guardian / PA		
I / We authorize AMC to reject the application, reverse the unit credited, restrain me/us from making any further investment in any of the Scheme/s of Principal Mutual Fund, recover / debit mv/our folio(s) with the	POA Holder En	closed (please 🗸) 🗌 PAN copy (Attach copy	y of KYC aknowledgement letter^)
penal interest and take any appropriate action against melus 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 details given above, where	AMC has such arrangement with my / our Bank.	

Applicable to NRIs only:

1/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 Applicant's Non - Residents External / Ordinary Account /FCNR Account. ^ In case the investments are Rs. 50,000 and above, it is mandatory to attach a copy of Know Your Customer (KYC) Acknowledgement letter issued by CDSL Ventures Limited alongwith the application form.



#### **Principal Mutual Fund**

Exchange Plaza, 'B' wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

For investment related enquiries, please contact: **Principal Mutual Fund** 

Ph : 1800-22-5600 (Toll Free Number) or 022-22021111 (If calling from a Non MTNL / Non BSNL lines) Email : customer@principalindia.com

Website: www.principalindia.com



Tel.: 022-2202 1111. Fax: 022-22044466

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

# **Application Form for Debt / Liquid Schemes**

Application No.

Please read the instructions before filling the Application Form

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Principal Government Securities Fund - Savings Plan		nment Securities Fund - Investment Plan	Principal Liquid Plus Fund									
☐ Growth - Accumulation ☐ Growth - Auto Earnings Payout ☐ Dividend ☐ Payout ☐ Reinvest ☐ Sweep		ulation Growth - Auto Earnings Payout Payout Reinvest Sweep	Regular Plan Institutional Plan Institutional Premium Plan Growth									
Dividend Frequency Quarterly		Quarterly Half Yearly Annual	☐ Dividend ☐ Payout ☐ Reinvest ☐ Sweep									
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7 BANK ACCOUNT DETAILS (Mandatory)												
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-R	epatriable Others									
MICR Code	This is a 9 digit nun	nber next to your Cheque No.	Essential Enclosures : (For Direct Credit)									
Only for IFSC	NEFT Code											
RTGS Code Direct Credit Facility is currently available with : BNP Paribas, Cit	ibank, Deutsche Banl	k, ICICI Bank, IDBI Bank, HDFC Bank, HSB	C Bank, Kotak Mahindra Bank, Punjab National Bank, Standard									
Chartered Bank, Axis Bank & Indusind Bank. For an update in thi:  Please verify and ensure the accuracy of the bank details provide	s list please contact a	ny of our ISC at the contact details provide	ed overleat.									
Mutual Fund shall not be held responsible for delays or errors in	processing your reque	est if the information provided is incomplet	te or inaccurate.									
8 DOCUMENTS ENCLOSED (Please ✓)		9 APPLICATION EN	CLOSED (Please ✓)									
Memorandum & Article of Association		☐ Systematic Investment										
Irust Deed   Bye-Laws   Partnership Deed   Resolution / Authorisation to invest	Trust Deed Bye-Laws Partnership Deed Post dated Cheques SIP Auto Debit Form  Resolution / Authorisation to invest											
List of Authorised Signatories with Specimen Signature(s)												
Power Of Attorney		☐ Systematic Withdrawa	I Plan  Systematic Transfer Plan									
10 DECLARATION AND SIGNATURES												
IWe have read and understood the contents of the offer document/s to the Scheme/s including the sections on "Prevention of Money Laundering and Know Your Customers". I / We hereby	Signature /	APPLICANT SIGNATURE	POA HOLDER SIGNATURE									
apply to the Trustees of the Principal Mutual Fund for units of the Scheme as indicated above ["the Scheme"] and agree to abide by the terms and conditions, of the Scheme/s and such	Thumb											
other schemes into which my/our investment may be moved pursuant to any instalment	Impression of Sole / 1st	POA Details - Name										
received from me/us to sweep/switch the units as applicable to my / our investment including any further transaction under the Scheme. I / We have not received nor have been induced by	Applicant /	PAN										
any rebate or gifts, directly or indirectly, in making this investment. IWe further declare that the amount invested by me/us in the Scheme/s is derived through legitimate sources and is	POA Holder	Enclosed (please ✔) ☐ PAN copy	(Attach copy of KYC aknowledgement letter^)									
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.	Signature /	APPLICANT SIGNATURE	POA HOLDER SIGNATURE									
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.	Thumb											
[AMC], its Trustee and the Mutual Fund would not be responsible if the investment is ultra	Himpression of 2nd	POA Details - Name										
vires the relevant constitution.  I/We authorize AMC to reject the application, reverse the units credited, restrain me/us from	Applicant /	PAN										
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	POA Holder	Enclosed (please 🗸) 🗌 PAN copy	(Attach copy of KYC aknowledgement letter^)									
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	Signature /	APPLICANT SIGNATURE	POA HOLDER SIGNATURE									
to my / our bank details given herein, where AMC has such arrangement with my / our Bank.	Thumb Impression of	POA Details - Name										
Applicable to NRIs only:  1 / 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	Applicant / POA Holder	PAN PAN PAN copy	(Attach conu of KVC along dadacrass latter)									
approved banking channels or from funds in my/our Non – Residents External / Ordinary Account /FCNR Account.		Enclosed (please ✔) ☐ PAN copy	(Attach copy of KYC aknowledgement letter^)									
$\mbox{\ensuremath{^{\Lambda}}}$ In case the investments are Rs. 50,000 and above, it is mandatory to attach a cop	y of Know Your Customer (	(KYC) Acknowledgement letter issued by CDSL Venture	es Limited alongwith the application form.									
		For investmen	t related enquiries inlease contact:									
Principal Mutual Fund		Principal Mu	t related enquiries, please contact:									



Principal Mutual Fund
Ph: 1800-22-5600 (Toll Free Number) or
022-22021111 (If calling from a Non MTNL / Non BSNL lines)
Email: customer@principalindia.com
Website: www.principalindia.com



Tel.: 022-2202 1111. Fax: 022-22044466

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

# **Application Form for Debt / Liquid Schemes**

Application No.

Please read the instructions before filling the Application Form

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5 PAYMENT DETAILS (Mandatory)												
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Account No.		Account Type (Please ✔)	Savings Current NRE NRO FCNR NRSR									
Drawn on Bank & Branch												
City												
* Please mention the Application No. on the reverse of the C	heaue/DD. All Chea	ues/DDs to be drawn in favour of <b>"the</b> !	Specific Scheme Name"									
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Principal Income Fund	_	ncome Fund - Short Term Plan	Principal Floating Rate Fund - Short Maturity Plan									
Regular Plan Institutional Plan	Regular Plan		Regular Plan Institutional Plan									
Growth - Accumulation Growth - Auto Earnings Payout	Growth		Growth									
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Principal Floating Rate Fund - Flexible Maturity Plan		pal Monthly Income Plan	Principal Cash Management Fund - Liquid Option									
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Account Type (Please ✓) For Residents Savings Current	For Non-Resident	NRO NRE Repatriable Non-R	epatriable Others									
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RTGS Code Direct Credit Facility is currently available with : BNP Paribas, Cit	ibank, Deutsche Banl	k, ICICI Bank, IDBI Bank, HDFC Bank, HSB	C Bank, Kotak Mahindra Bank, Punjab National Bank, Standard									
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Memorandum & Article of Association		☐ Systematic Investment										
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List of Authorised Signatories with Specimen Signature(s)												
Power Of Attorney		☐ Systematic Withdrawa	I Plan  Systematic Transfer Plan									
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any rebate or gifts, directly or indirectly, in making this investment. IWe further declare that the amount invested by me/us in the Scheme/s is derived through legitimate sources and is	POA Holder	Enclosed (please ✔) ☐ PAN copy	(Attach copy of KYC aknowledgement letter^)									
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Applicable to NRIs only:  1 / We confirm that I am / we are Non- Residents of Indian Nationality / Origin and I / We												
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Principal Mutual Fund
Ph: 1800-22-5600 (Toll Free Number) or
022-22021111 (If calling from a Non MTNL / Non BSNL lines)
Email: customer@principalindia.com
Website: www.principalindia.com



Exchange Plaza, 'B' Wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

Tel.: 022-2202 1111. Fax: 022-22044466

# **Application Form for ELSS Schemes**

Application No.

Please read the instructions before filling the Application Form

Enclar Name & Code  Sub-Broker Code  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Registrar Serial No.  Bank Serial No.  Date & Time of Rece  L'Code  Research Serial No.  Research Serial No		DISTRIBU	TOR	INFO	RMA	TIC	NC	AP	PLIC	CATIO	ON	REC	EIPT	DAT	E (N	ot t	o be	fille	d in	by 1	the	App	lica	nt)									
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We wish to receive the following documents via e-mail in lieu of physical document(s) [Please ] Account Statement   Newsletter   Annual Report   Other Statutory Returns / Info ATUS OF FIRST APPLICANT (Please *)   Resident Individual   Partnership Firm   AOP   BOI   BOI   Business   Service   Profession   Retired   Minor   Trust   Company   Others (Please specify)   Others (Please												_																					
We wish to receive the following documents via e-mail in lieu of physical document(s) [Please ] Account Statement Newsletter Annual Report Other Statutory Returns / Info ATUS OF FIRST APPLICANT (Please ) Resident Individual   Partnership Firm   AOP   BOI   Society/Club   Others (Please specify)   Agriculture   House Wife   Student   HUF   Trust   Company   Others (Please specify)   Agriculture   House Wife   Student   HUF   Trust   Company   Others (Please specify)   Agriculture   House Wife   Student   HUF   Trust   Company   Others (Please specify)   Others (Please specify)   Others (Please specify)   APPLICANT IS A NON-RESIDENT   NRI (Repatriable)   NRI Minor (Non Repatriable)   NRI Minor (Non Repatriable)   NRI Minor (Non Repatriable)   Single Jointly   Either / Anyone or Survivor (Default Option : application form / available at request / can also be downloaded from our website.)  NOMINATION (In case of multiple nominees - more than 1 and upto 3 - fill a separate form attached herewith)  e do hereby nominate the undermentioned Nominee to receive the Units allotted to mylour credit in mylour folio in the event of mylour death. IWe also understand that all payr letterents made to such Nominee and Signature of the Nominee acknowledging receipt thereof, shall be valid discharge by the AMC/Mutual Fund/ Trustees.  MINEE'S NAME   Mr.   MS   Date of Birth (in case of minor)   Mr.   MS    ACKNOWLEDGEMENT SLIP (To be filled in by the Applicant)   Date of Birth (in case of minor)   ARN No: eque/DD No.   Dated   DAME		<u> </u>								Lai	1		]	Ve wi	ish to	rece	eive u	pdate	s via	SMS	S on	my r	nobi	le (P	lease	<b>(</b>	ı	1	1		ı	ı	ı
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applicable laws or any notificato time.							-		2	Thur Impr	essior	n of	P	OA D	etai	ils - N	lame																	
WWe further confirm that I/W units of the Scheme and the P Mutual Fund would not be re I/We authorize AMC to rejec further investment in any of t	Principal Pnb esponsible if ct the applic the Scheme/s	Asset Mana the investnation, rever of Principa	agement ( nent is ulti se the uni al Mutual F	Company ra vires th its credite Fund, reco	Pvt. Ltd. ( ie relevan d, restraii over / deb	[AMC], its it constitu n me/us fi nit my/our	s Trustee an ution. from making r folio(s) wit	id the g any th the	SIGNATURES		<b>lican</b> Hold			<b>AN</b> nclose	ed (p	lease	<b>√</b> )	P	AN co	ору		(Att	tach o	ору о	f KYC	akno	wledg	gemen	t lett	ter^)				
penal interest and take any a /are returned unpaid by my/o I/We hereby further agree tha	ppropriate a our bank for	tion again: any reason	st me/us ir whatsoev	n case the ver.	cheque(	s) / payme	ent instrum	ent is		Signa Thun	ature nb	/				APPI	LICA	NT	SIGN	VATU	JRE					Р	ОА	НОІ	.DE	R SIG	GNATU	JRE		
my / our bank details given h	erein, where	AMC has:	such arran	ngement v	with my /	our Bank	,, aon amou (.	3. IL U		Impr	essior	n of	P	OA D	etai	ils - N	lame																	
Applicable to NRIs only: I/We confirm that I am/we a the funds for subscription ha funds in my/our Non – Resid	we been ren	itted from	abroad th	hrough ag	oproved b	I/We here panking d	reby confirm channels or	n that from			<b>lican</b> Hold			AN nclose	ed (p	lease	<b>√</b> )	 PA	AN co	ору		(Att	tach o	ору о	f KYC	akno	wledg	gemen	t lett	ter^)				

^ In case the investments are Rs. 50,000 and above, it is mandatory to attach a copy of Know Your Customer (KYC) Acknowledgement letter issued by CDSL Ventures Limited alongwith the application form.



## **Principal Mutual Fund**

Exchange Plaza, 'B' wing, Illrd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

### INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

This application form is for Resident Investors/NRIs etc., and should be completed in English in BLOCK LETTERS & BLACK INK only. Please tick (

) in the appropriate box provided.

Please read the terms of the Offer Document of the Scheme 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.

#### Payment Procedure

Resident Investor: Resident Investors may submit payment for units by cheque/demand draft, payable locally and drawn on any bank which is a member of the Bankers Clearing House located at the place where the application form is submitted

All cheques/demand drafts should be drawn in favour of "the Specific Scheme Name".

#### Payment Procedures for NRIs

Repatriation Basis: Payments may be made through Indian Currency Cheques/Demand Drafts. NRI applications can also be made by submitting payments through demand drafts purchased from FCNR bank accounts or cheques drawn on NRE accounts. All cheques/drafts should be locally payable at any of the AMC locations. All applications must be accompanied with a FIRC.

**Non-Repatriation Basis:** In case of NRIs seeking to apply for units on a non-repatriation basis, payments shall be made by cheques/demand drafts drawn out of NRO (Non-Resident Ordinary) accounts.

#### Payment Procedure - Flis

Fils may pay their subscription amounts by direct remittance from abroad or out of their special Non-Resident Rupee Accounts maintained with a designated bank branch in India or as may be permitted under Law. All cheques/drafts should be payable in Mumbai. Applications by Fils should be submitted only to the office of the Asset Management Company, Mumbai.

All cheques and bank drafts must be drawn in favour of "the Specific Scheme Name".

#### Payment Procedure - General

- The Asset Management Company will not accept cash for subscriptions.
- Stockinvests and outstation cheques will not be accepted.
- Bank charges for outstation demand drafts will be debited to the AMC and will be limited to those stipulated by the Indian Banks Association. The Mutual Fund will not entertain any request for refund of demand draft charges.
- In case an applicant is located in a place where there is no designated collection centre, the completed application
  with a Bank Draft/Pay Order for the investment amount (net of Demand Draft charges) may be forwarded to the
  nearest designated Collection Centre.

#### (A) APPLICATION DETAILS

- If the broker name & code is left blank, the application shall be treated as direct.
- Unit holders providing the common account number where the unit holders has / have not provided the
  documents as required mandatorily, such documents should then be provided along with this Application
  Form
- Please write application serial number and name on the reverse of the cheque/demand draft.
- The applicants name and address including PIN Code number must be given in full (post box number alone is not sufficient).
- In case the investor is a NRI/FII, an overseas address should also be provided, along with the local address.
   However, all correspondence shall be at the local address.
- If the account has more than one (upto three) Unitholder, the account will be registered either as 'joint' or 'either/anyone or survivor' basis, as specified. If nothing is specified the default mode of holding will be 'joint'.
- It is expressly understood that the investor/Unitholder has the express authority from the relevant constitution to
  invest in units of the Fund and the AMC/Trustee/Fund would not be responsible if the investment is ultravires the
  relevant constitution.
- All communications and payments will be made to the first applicant or to the Karta in case of HUF. Where the HUF is the first applicant.
- Signatures should be in English or in any Indian language as specified in the Eighth Schedule of the Constitution
  of India. Thumb impressions must be attested by a Magistrate/Notary Public under his/her official seal. In case of
  HUF, the Karta should sign on behalf of the HUF. In case of Partnership firms, the Partner will sign on behalf of
  the firm. Similarly, for the Association of Persons (AOP), the application must be signed by the Authorised
  Signatory.
- Applications on behalf of minors should be signed by their guardian.
- In case of an application under a Power of Attorney or by a limited company, body corporate, registered society,
   Trust or partnership, the relevant power of attorney or the relevant resolution of authority to make the application
   or the Trust Deed or Partnership Deed as the case may be, or duly certified copy thereof, alongwith a certified

copy of the Memorandum and Articles of Association and/or bye-laws should be submitted along with the Application Form.

#### (B) BANK DETAILS

This requirement is mandatory and applications without complete bank details are liable to be rejected. The Mutual Fund/Asset Management Company will not be responsible for any loss arising out of fraudulent encashment of cheques and delay/loss in transit.

 E-mail Communication: Account Statements/Newsletters/Annual Reports/Other statutory information (as may be permitted under SEBI (Mutual Funds) Regulations, 1996) can be sent to each Unit holder by courier/post/e-mail.

Unit holders who have opted to receive these documents by e-mail will be required to download and print the documents after receiving e-mail from the Mutual Fund. Should the Unit holder experience any difficulty in accessing the electronically delivered documents, the Unit holder shall promptly advise the Mutual Fund to enable the Mutual Fund to deliver such document through alternative means. It is deemed that the Unit holder is aware of all security risks including possible third party interception of the documents and contents of the documents becoming known to third parties.

ECS: Investors who have opted for the ECS facility of RBI for dividend payment will receive a direct credit of the
amount to them in their notified account whenever the payment is made through ECS. The ISC will send of the
direct credit. It should be noted that while the Mutual Fund will make all efforts, there is no commitment that
this facility will be made available to all desirous Investors.

Applicants in cities not covered under ECS facility will receive dividend payments by cheques or demand drafts and the same will be mailed to the Unit holders.

Please note that the ECS facility is available only in respect of dividend payments and not in the case of Redemption of Units. In case an investor has been covered under Direct Credit facility with select banks then dividend payment through ECS shall not be effected.

PIN: In case you would want a PIN assigned; please submit a duly filled and signed PIN Form along with this
Application. PIN form is part of the application form / available at request / can also be downloaded from our
website

#### (C) PAN & KYC DETAILS

#### I. PAN Details:

As per SEBI directive, the requirement for submitting PAN details for all investments of Mutual Funds is mandatory for all investors [including Non-Resident Indians] from July 2, 2007 irrespective of the amount of transaction involved. Where the person making an application is minor and who does not have any income chargeable to income-tax, he shall quote the PAN of his/her father of mother or guardian, as the case may be.

All applications without PAN details AND KYC requirements [where investment is Rs.50,000/- and above], are liable to be rejected.

#### II. Know Your Customer Acknowledgement Letter (KYC letter)

In accordance with the requirements of the Prevention of Money Laundering Act, 2002 read with SEBI guidelines regarding Anti Money Laundering, presently it is mandatory to attach the Know Your Customer Acknowledgement Letter (KYC letter), issued by CDSL Ventures Ltd. for all the applicants (guardian in case of minor), for all applications for subscription of Rs.50,000/- and above. Also, applicants/ unitholders intending to apply must ensure that the issuer of the PoA and the holder of PoA must attach the KYC letter, at the time of applications for investment of Rs. 50,000/- and above. PoA holders shall not submit documents for KYC letter, on behalf of the issuer of the PoA. The KYC letter is one time and unique and can be used for transacting across the Mutual Funds.

### Instruction for Filling Nomination Form:

Instructions: (1) The nomination can be made only by individuals applying for / holding units on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, Karta of Hindu Undivided Family, holder of Power of Attorney cannot nominate. If the units are held jointly, all joint holders will sign the nomination form. If there are more than one joint holder additional forms may be used for signatures of the holders of units and witnesses. (2) A minor can be nominated and in that event, the name and address of the guardian of the minor nominee shall be provided by the unit holder. Nomination can also be in favour of the Central Government, State Government, Local authority any person designated by virtue of his office or a religious or charitable trust. (3) The Nominee shall not be a trust other than religious/ charitable trust, society, body corporate, partnership firm, Karta of Hindu Undivided Family or a Power of Attorney holder. A non-resident Indian can be a Nominee subject to the exchange controls in force, from time to time. (4) Nomination in respect of the units stands rescinded upon the transfer of units. (5) Transfer of units in favour of a Nominee shall be valid discharge by the Asset Management Company against the legal heir. (6) The cancellation of nomination can be made only by those individuals who hold units on their own behalf singly or jointly and who made the original nomination. (7) On cancellation of the nomination, the nomination shall stand rescinded and the Asset Management Company shall not be under any obligation to transfer the units in favour of the Nominee.

### CHECKLIST

### Please ensure that:

- All relevant particulars are filled in / ticked in the form
  - Full name of each holder
  - Full Address ◆ Resident Individual Indian address or ◆ NRI / FII Foreign address & Local Address
  - Bank mandate PAN details & Proof of PAN Scheme / Plan / Option details
  - Payment details
     Mode of holding
     Legal Status

### ☐ Effective January 1, 2008:

PAN details mandatory for all investments.

Please refer instruction no. C(I) for further details.

Your investment is not less than the minimum investment amount.
 Your application is completed and signed by all applicants.

KYC acknowledgement letter is enclosed for all application of Rs. 50,000 and above.

Cheques are drawn in favour of 'the Specific Scheme Name', dated and signed.
 On the reverse of each cheque submitted write the First Applicant's name and the Application Form number.

### Accompanying documents

Please submit the following documents with your application (where applicable). All documents should be true copies certified by a Director/Trustee/Company Secretary/Authorised Signatory.

Documents	Companies	Societies	Partnership Firms	Investments through POA	Trusts	NRI	Flls	Individual
Resolution / Authorisation to invest	~	•	~		~		~	
List of Authorised Signatories with Specimen signature(s)	•	•	~	~	~		~	
Memorandum & Articles of Association	~							
Trust Deed					~			
Bye-laws		~						
Partnership Deed			V					
Overseas Auditors' Certificate							~	
Notarised Power of Attorney				~				
Bank confirmation of Non-Resident Account Type / FIRC						~		
Copy of PAN Card for all investments	~	~	~	~	~	~	~	~
KYC acknowledgement Letter (for investment of Rs. 50,000 and above.)	•	•	•	~	~	~	~	/

## Principal Growth Fund (An open ended Equity Scheme)

Investment Objective	To achieve long term	n capital apprecia	ation.							
Asset Allocation Pattern	Types of Instrumer	nts					Normal	Allocati	on (% of Net	Assets)
of the Scheme	Equity and Equity Lir	nked Instruments	5					Up	to 100%	
	Debt (Including Secu	ritised Debt) and	d Money mark	et instrum	ents			Up	oto 10%	
Risk Profile of the Scheme	Mutual Fund investn before investment.	nents are subject	t to market ris	s. Please	read	I the C	Offer Document	carefully	for details on r	isk factor
Investment Plans & Options	Dividend and Growt	h Plans. The Divi	idend Plan offe	rs Payout	, Rei	nvestr	nent and Sweep	Option.		
Applicable NAV	Please Refer to Page	No. 60								
Minimum Application	Purchase			Addition	al P	urcha	se		Repurchase	<b>e</b>
Amount / Number of Units	Rs. 5,000 and any ar under each option	mount thereafte	r				nent of Rs. 500 fter under each		Rs 500 or 5	0 units
Despatch of Repurchase (Redemption) Request	Within 10 Business Mutual Fund. Althou redemption request	igh the fund wil	l endeavour to							
Benchmark Index	S&P CNX Nifty The fund reserves th performance of the		ge the said ben	chmark a	nd /	or ad	opt one / more	other bei	nchmarks to co	mpare th
Dividend Policy	Under the Dividend I of the income will re declare the dividend	emain in the Plan	n and be reflec	ted in the	NA	V, on a	an ongoing basi			
Name of the Fund Manager	Mr. Shyam Bhat									
Name of the Trustee Company	Principal Trustee Cor	mpany Private Lir	mited							
Performance of the	Returns (%) of Grow	th Option as at	March 31, 200	8.			Year	-wise Ret	urns	
Scheme	Period	Returns (%)	S&P CNX N	fty (%)		50.00 -				
	Last 1 Year	13.74	23.7	5		40.00 -				
	Last 3 Years	24.94	32.4	5	(%)	30.00 -				
	Last 5 Years	40.34	37.0	3	Returns (%)	20.00 -				
	Since Inception*	25.11	20.4	9	~~~					
	The past performand	ce may or may r	not be sustaine	d in the		0.00 -	2003-04 2004-05	2005-06	2006-07 2007-(	)R
	Note: Returns are cabasis.	lculated on <b>com</b>	pounded anr	ualised			Principal Growth Fu			
Expenses of the Scheme	*October 25, 2000.  (i) Load Structure									
	Entry Load : For Direct invest	ment - Nil. less than Rs. 3 coof Rs. 3 crores are med on or beforenses as a percerores : 2.50 crores : 2.25 crores : 2.00 : 1.75	and above - Nil re 180 days fro entage of ave	m the da rage dai	ly N	et As	sets			
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	No. 57								
Daily Net Asset Value (NAV) Publication	The NAV will be de www.principalindia.c									iewed or
For Investor Grievances please contact	Please Refer to Page									
Unitholders' Information	Account Statement a Scheme(s) / Plan(s) p (Mutual Fund), Regu	ortfolio will eith								

# Principal Dividend Yield Fund (An open ended Equity Scheme)

Investment Objective	The Investment Obj predominantly in a									by investing
Asset Allocation Pattern	Types of Instrume	ents				ı	Normal A	llocatio	n (% of Ne	t Assets)
of the Scheme	Equity and Equity R	telated Instrum	ents of high div	ridend-yield	companie	s*		65 to	100%	
	Other equity and e	quity-related in	struments					0 to	35%	
	Cash and Money N	1arket Instrume	ents					0 to	20%	
	* High dividend-yie market price at the									
Risk Profile of the Scheme	Mutual Fund invest before investment.	ments are subj	ect to market r	isks. Please	read the C	Offer Do	cument ca	refully fo	or details on	risk factor
Investment Plans & Options	Growth Plan and D	ividend Plan. D	ividend Plan w	ll have the	facility of F	Payout, F	Reinvestme	ent and S	Sweep.	
Applicable NAV	Please Refer to Pag	e No. 60								
Minimum Application	Purchase			Addition	al Purcha	se			Repurcha	ise
Amount / Number of Units	Rs. 5,000 and any a under each option	amount therea	fter		ent investm unt therea				Rs. 500 oi	r 50 units
Despatch of Repurchase (Redemption) Request	Within 10 Business Mutual Fund. Althoredemption request	ough the fund v	will endeavour	to despatch						
Benchmark Index	S&P CNX 500 index The Fund reserves to performance of the	the right to cha	ange the said b	enchmark a	nd / or ad	opt one	/ more otl	her benc	hmarks to c	compare the
Dividend Policy	Under the Dividend of the income will declare the dividen	remain in the P	lan and be refl	ected in the	NAV, on a	an ongo				
Name of the Fund Manager	Mr. Shyam Bhat									
Name of the Trustee Company	Principal Trustee Co	mpany Private	Limited							
Performance of the	Returns (%) of Gro	wth Option as	at March 31, 2	008.			Year-w	ise Retur	ns	
Scheme	Period	Returns (%)	S&P CN (%		35.00 - 30.00 -		_			
	Last 1 Year	20.06	21.5	51	25.00 -					
	Last 3 Years	14.77	29.2	.0	% 20.00 -					
	Since Inception*	17.05	30.8	86	型 15.00 - 10.00 -					
	The past performand future.  Note: Returns are obasis.  *October 15, 2004	calculated on <b>co</b>			5.00 = 0.00 =	2005- Principa	06 I Dividend Yield	2006-07 I Fund - Grov	2007-08 vth S&P CN	
Expenses of the Scheme	(i) Load Structur Entry Load: For Direct investment For investment Exit Load: Nil (ii) Recurring exp First Rs. 100 Next Rs. 300 Next Rs. 300 Balance (iii) Actual expense	stment - Nil. s less than Rs. 3 s of Rs. 3 crore censes as a pe crores : 2.50 crores : 2.25 crores : 2.00 : 1.75	ercentage of a	Nil. verage dai						
Tax Treatment for the Investors (Unitholders)	Please Refer to Pag	e No. 57								
Daily Net Asset Value (NAV) Publication	The NAV will be d www.principalindia	.com and wwv								viewed o
For Investor Grievances please contact	Please Refer to Pag	e No. 61								
Unitholders' Information	Account Statement Scheme(s) / Plan(s) (Mutual Fund), Reg	portfolio will e								

# Principal Global Opportunities Fund (An open ended Growth Fund)

Investment Objective	To build a high quality regulations from time								
Asset Allocation Pattern	Types of Instrumen	ts				Norm	al Allocati	on (% of Net	: Assets)
of the Scheme	Equity and Equity Lin	ked Instruments				Up to 100	)% in permi	tted listed For	eign Equities.
	Pending deployment be invested in Indian								me's assets ma
Risk Profile of the Scheme	Mutual Fund investment.	ents are subject to	market risks.	Please	read the	e Offer Doo	ument care	fully for detail	s on risk factor
nvestment Plans & Options	Dividend and Growth	n Plans. The Divider	nd Plan offers	Payout,	Reinve	stment and	Sweep Opt	tion.	
Applicable NAV	Please Refer to Page	No. 60							
Minimum Application	Purchase		A	dditiona	al Purch	ase		Repui	chase
Amount / Number of Units	Rs. 10,000 and any a under each option	mount thereafter					. 5,000 and each optior		000 or 100 unit
Despatch of Repurchase Redemption) Request	Within 10 Business I Mutual Fund. Althou redemption request I	gh the fund will en	ndeavour to de						
Benchmark Index	Morgan Stanley Capi The fund reserves the performance of the S	e right to change t			nd / or a	adopt one /	' more othe	r benchmarks	to compare the
Dividend Policy	Under the Dividend F of the income will re declare the dividend	main in the Plan ar	nd be reflected	d in the	NAV, o	n an ongoii			
Name of the Fund Manager	Mr. Rajat Jain								
Name of the Trustee Company Principal Trustee Company Private Limited									
erformance of the	Returns (%) of Grow	th Option as at Ma	arch 31, 2008.				Year-wise	Returns	
scheme	Period	Returns (%)	MSCI Wo Index (%	rld	20 15	00 -			
	Last 1 Year	8.80	-5.04		<u>@</u> 10	.00 –			
	Last 3 Years	14.43	7.77		Returns (%)	.00 -			
	Since Inception*	12.79	8.08		Ret 0	.00			_
	Returns upto 1 year. The past performanc future. *March 29, 2004.		,		-5 -10	2005-0		006-07  Fund - Growth	2007-08 VSCI World Index
expenses of the Scheme	For investments For additional in  Exit Load: If redeemed before	less than Rs. 5 crore of Rs. 5 crores and vestments of any a ore 180 days - 1% ween 181-365 days r 365 days - Nil rases as a percent ores : 2.50 rores : 2.25 rores : 2.00 : 1.75	above - Nil mount subsect s - 0.50% tage of avera	ge dail	y Net /	Assets	stment of R	s. 5 crore and	above - Nil
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	-							
Daily Net Asset Value NAV) Publication	The NAV will be dewww.principalindia.clit may be noted that dependent on the clofund will declare the	om and www.ami t since this fund i osing prices of the s	fiindia.com. Yo nvests predor securities in th	ou can a ninantly e respec	also tele in the tive ma	phone us a overseas r rkets. Henc	it 022-2202 narket, the e due to the	1111. NAV of the se differences in	scheme shall be n time zones the
For Investor Grievances please contact	Please Refer to Page			, 1	233		, priem	<u> </u>	
Unitholders' Information	Account Statement a Scheme(s) / Plan(s) p (Mutual Fund), Regui	ortfolio will either							

# Principal Junior Cap Fund (An open ended Equity Scheme)

Investment Objective	investing predominal the market capitaliza in the equity and equ	ntly (at least 65% of tion range of the c uity related instrum	of net assets) in the elements of the companies comprising ents of the companie	quity and eq CNX Nifty Ju s that compr	uity related instruments unior Index. Of this, at le ise the CNX Nifty Junior	the form of dividend by of the companies within east 51% will be invested index. Upto 35% of new or crore as on the date or							
Asset Allocation Pattern of the Scheme	Please Refer to Page	No. 59											
Risk Profile of the Scheme	Mutual Fund investment.	nents are subject to	o market risks. Please	read the Of	fer Document carefully	for details on risk factors							
Investment Plans & Options	Growth Option and	Dividend Option. D	Dividend Option will h	ave the facil	ity of Pay-out and Re-in	vestment.							
Applicable NAV	Please Refer to Page	No. 60											
Minimum Application Amount / Number of Units	Purchase		Addition	nal Purchase	9	Repurchase							
Amount / Number of Office	Rs. 5,000 and any ar under each option	nount thereafter			nt of Rs. 500 and er under each option	Rs. 500 or 50 units							
Despatch of Repurchase (Redemption) Request	Mutual Fund.Althou	Vithin 10 Business Days of the receipt of the redemption request at the authorised Collection centre of the Princi Mutual Fund.Although the fund will endeavour to despatch the redemption proceeds within 3 Business Days, subject edemption request being complete in all respects.  The Fund would benchmark its performance to the CNX Nifty Junior Index.											
Benchmark Index	The Fund reserves th	he Fund would benchmark its performance to the CNX Nifty Junior Index. he Fund reserves the right to change the said benchmark and / or adopt one / more other benchmarks to compare the erformance of the Scheme. nder Dividend Option, the income and profits realized will be distributed by way of dividend. The undistributed portion of											
Dividend Policy	the income will rema right to declare the c The Dividend Option declared/distributed v	in in the Dividend dividend subject to will have two facil would be paid out t its of the Scheme	Option and be reflect the option having ac ities - the Payout and o the unitholders. Und	ed in the NA lequate distr the Reinvest der the Reinv	N, on an ongoing basis. butable profits. ment. Under the Payou estment facility, the divic	e undistributed portion of The Trustee reserves the t facility, the dividends so dend will be automatically ew dividend distribution							
Name of the Fund Manager	Mr. Pramod Gupta												
Name of the Trustee Company	Principal Trustee Con	npany Private Limit	ed										
Performance of the	Returns (%) of Grow	rth Option as at Ma	arch 31, 2008.		Year-wise Retu	ırns							
Scheme	Period	Returns (%)	CNX Nifty Junior (%)	20.00									
	Last 1 Year	7.12	15.87	15.00									
	Last 2 Years	4.96	11.51	- 00.01 - 00.01									
	Since Inception*	15.98	24.18			_							
	The past performance future.  Note: Returns are cabasis.  *June 30, 2005.			0.00	2006-07 Principal Junior Cap Fund - Growtl	2007-08 h CNX Nifty Junior							
Expenses of the Scheme	*June 30, 2005.  (i) Load Structure Entry Load: For Direct investment - Nil. For investments upto Rs. 3 crores - 2.25%. For investments of Rs. 3 crores and above - Nil. Exit Load: NIL  (ii) Annual Recurring expenses as a percentage of average daily Net Assets  • First Rs. 100 crores : 2.50  • Next Rs. 300 crores : 2.25  • Next Rs. 300 crores : 2.00  • Balance : 1.75  (iii) Actual expenses for the previous financial year 2007-2008: 2.36%												
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	No. 57											
Daily Net Asset Value (NAV) Publication					in 2 newspapers. NAV ne us at 022-2202 1111	can also be viewed or							
For Investor Grievances please contact	Please Refer to Page	No. 61											
Unitholders' Information		ortfolio will either				ail / courier. Half - Yearly as permitted under SEB							

# Principal Large Cap Fund (An open ended Equity Scheme)

Investment Objective	predominantly invest	ing in companies h	naving a large mark	et cap	italizat			
	crores as on the date time) being the upper	of investment (or a er limit of market	any such amount as capitalisation as a c	may k riteria	oe spec for in	having market capitaliz ified by India Index Serv clusion of a company i ies', the same will be ut	ices Ltď. (IISL) from n CNX Midcap 20	time to
Asset Allocation Pattern of the scheme	Please Refer to Page	No. 59						
Risk Profile of the Scheme	Mutual Fund investment.	nents are subject to	market risks. Pleas	e reac	d the C	ffer Document carefully	/ for details on risk	c factor
Investment Plans & Options	Growth Option and	Dividend Option. D	ividend Option will	have	the fac	ility of Payout and Re-i	nvestment.	
Applicable NAV	Please Refer to Page	No. 60						
Minimum Application	Purchase		Additio	nal P	urcha	se	Repurchase	
Amount / Number of Units	Rs. 5,000 and any ar under each option	mount thereafter				ent of Rs. 500 and ter under each option	Rs. 500 or 50	units
Despatch of Repurchase (Redemption) Request		gh endeavour will	be made to despate	ch the	e reden	the authorised Collectinption proceeds within its.		
Benchmark Index	The Fund would ben The Fund reserves th performance of the S	e right to change t				x. opt one / more other be	enchmarks to comp	pare the
Dividend Policy	the income will rema right to declare the c The Dividend Option declared / distributed reinvested in the uni	in in the Dividend lividend subject to will have facilities would be paid out t ts of the Scheme. nemes of the Fund,	Öption and be refle the option having a - Payout, Re-invest to the unitholders. U Under the Sweep fa	cted in dequal ment nder the acility	n the N ate dist and S he Re-i unitho	d by way of dividend. TI IAV, on an ongoing bas tributable profits. weep. Under the Payou nvestment facility, the dividers can choose to reid However the Trustees re	s. The Trustee rese at facility, the divide vidend will be autor avest their dividence	erves the lends so matically d in any
Name of the Fund Manager	Mr. Pramod Gupta							
Name of the Trustee Company	Principal Trustee Con	npany Private Limit	ed					
Performance of the	Returns (%) of Grow	rth Option as at Ma	arch 31, 2008.			Year-wise Re	turns	
Scheme	Period	Returns (%)	S&P CNX Nifty (%)		25.00			
	Last 1 Year	23.20	23.75	- (%	20.00 -			
	Last 2 Years	17.40	17.93	Returns (%)	15.00 -			
	Since Inception*	33.76	29.63	- Ket				
	The past performance				5.00			
	Note: Returns are calcu				0.00 -	2006-07	2007-08	
	*November 11, 2005	ō.				Principal Large Cap Fund - Grov	vth S&P CNX Nifty	
Expenses of the Scheme	For investments  Exit Load:  For investments  if redeemed afte date of allotmen  For investment of	ment - Nil. less than Rs. 3 cror of Rs. 3 crores and of less than Rs. 3 c or 180 days but bef it of Rs. 3 crores and a or 180 days from th ong expenses as a ores : 2.50 rores : 2.25 rores : 2.00 : 1.75	above - Nil.  rores – 1.50% if recore 365 days from above - 0.50% if receded date of allotment percentage of av	the da deeme <b>erage</b>	ate of a	f before 180 days from illotment; Nil if redeeme or before 180 days from <b>Net Assets</b>	ed after 365 days f	rom the
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	<u> </u>	· · · ·					
Daily Net Asset Value (NAV) Publication						d in 2 newspapers. NA one us at 022-2202 111		wed or
For Investor Grievances please contact	Please Refer to Page				•			
Unitholders' Information	Account Statement a Scheme(s) / Plan(s) p		al Results shall be p	rovide	ed to th	ne investors by nost / e-	mail / courier. Half	- Yearl

# Principal Infrastructure & Services Industries Fund (An open ended Equity Scheme)

Investment Objective	investing predomina	ntly in equity / equi	ity related securities o		distribution to the unit holders by g to the infrastructure and service all money.						
Asset Allocation Pattern of the Scheme	Please Refer to Page	No. 59									
Risk Profile of the Scheme	Mutual Fund investn before investment.	nents are subject to	market risks. Please	read the Offer Document of	carefully for details on risk factor						
Investment Options	Growth Option and	Dividend Option. D	ividend Option will h	ave the facility of Payout, R	Re-investment and Sweep.						
Applicable NAV	Please Refer to Page	No. 60									
Minimum Application	Purchase		Additional	Purchase	Repurchase						
Amount / Number of Units	Rs. 5,000 for Divider Growth Option and thereafter for both t	any amount		investment amount shall nd any amount thereafter ns.	Rs. 500 or 50 units and in multiples of Re. 1 or 1 unit thereafter.						
Despatch of Repurchase (Redemption) Request	Mutual Fund althou	gh endeavour will l		the redemption proceeds	Collection centre of the Principa within 3 Business Days from the						
Benchmark Index		e right to change t	ance to the S&P CNX he said benchmark a	•	other benchmarks to compare the						
Dividend Policy	the income will remaright to declare the officer the Dividend Option declared / distributed reinvested in the un	ain in the Dividend of dividend subject to a will have facilities would be paid out to tts of the Scheme. I hemes of the Fund,	Option and be reflect the option having ad - Payout, Re-investn o the unitholders. Und Under the Sweep fac	ed in the NAV, on an ongoi lequate distributable profits nent and Sweep. Under the der the Re-investment facility cility unitholders can choose	dend. The undistributed portion or ing basis. The Trustee reserves the inc. e Payout facility, the dividends so inc, the dividend will be automatically the to reinvest their dividend in any stees reserve the right to introduce						
Name of the Fund Manager	Mr. Shyam Bhat										
Name of the Trustee Company	Principal Trustee Cor	npany Private Limite	ed								
Performance of the	Returns (%) of Grov	rth Option as at Ma	arch 31, 2008.	Year-v	wise Returns						
scheme	Period	Returns (%)	S&P CNX Nifty (%)	25.00 -							
	Last 1 Year	15.78	23.75	<u>\$</u> 15.00 -							
	Last 2 Years	8.89	17.93	- 00.01 (%)							
	Since Inception*	12.19	20.99	5.00 -							
	The past performand future.  Note: Returns are cabasis.  *March 6, 2006.			2006-07  Principal Infrastructur Industries Fund - Gro							
Dasis.											
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	<u>·</u>									
Daily Net Asset Value (NAV) Publication				e published in 2 newspape also telephone us at 022-22	ers. NAV can also be viewed or 202 1111.						
For Investor Grievances please contact	Please Refer to Page	No. 61									
Unitholders' Information		ortfolio will either			ost / e-mail / courier. Half - Yearly wspaper as permitted under SEB						

# Principal Index Fund (An open ended Index Scheme)

Investment Objective	results commensurate		Lomprise S&r CNX Ni	ity (NSE) and	subject to tracking er	rors endeavour to attain								
Asset Allocation Pattern	Types of Instrumen	ts			Normal Allocation	on (% of Net Assets)								
of the Scheme	S&P CNX Nifty stocks	<b>.</b>			Upt	o 100%								
	Money market instru	ments			Up	to 10%								
Risk Profile of the Scheme	Mutual Fund investment.	ients are subject t	o market risks. Please	read the Offe	r Document carefully	for details on risk factor								
nvestment Plans & Options	Dividend and Growth	n Plans. The Divide	end Plan offers Payout	, Reinvestmen	t and Sweep Option.									
Applicable NAV	Please Refer to Page	No. 60												
Minimum Application	Purchase		Addition	nal Purchase		Repurchase								
Amount / Number of Units	Rs. 5,000 and any an under each option	nount thereafter			t of Rs. 500 and under each option	Rs. 500 or 50 units								
Despatch of Repurchase (Redemption) Request		gh the fund will e	ndeavour to despatch			n centre of the Principa Business Days, subject to								
Benchmark Index	S&P CNX Nifty The Fund reserves th performance of the S		the said benchmark a	and / or adopt	one / more other ber	chmarks to compare the								
Dividend Policy	portion of the income right to declare the of The Dividend Option declared / distributed reinvested in the uni- other open-ended sch	nder the Dividend Option, the income and profits realized will be distributed by way of dividend. The undistribute ortion of the income will remain in the Option and be reflected in the NAV, on an ongoing basis. The Trustee reserves the option of the dividend subject to the Option having adequate distributable profits. The Dividend Option will have facilities - Payout, Re-investment and Sweep. Under the Payout facility, the dividends reclared / distributed would be paid out to the unitholders. Under the Re-investment facility, the dividend will be automatically invested in the units of the Scheme. Under the Sweep facility unitholders can choose to reinvest their dividend in all ther open-ended schemes of the Fund, at Applicable NAV based prices. However the Trustees reserve the right to introduce we dividend distribution options.  Mr. Shyam Bhat												
Name of the Fund Manager	Mr. Shyam Bhat													
Name of the Trustee Company	Principal Trustee Con	npany Private Limi	ted											
Performance of the	Returns (%) of Grow	th Option as at M	arch 31. 2008.		Year-wise Retu	ırns								
Scheme	Period	Returns (%)	S&P CNX Nifty (%)	50.00										
	Last 1 Year	21.90	23.75	40.00 -										
	Last 3 Years	30.25	32.46	<sup>∞</sup> 30.00 -										
	Last 5 Years	34.50	37.03	- 00.00 - (%) 30.0										
	Since Inception*	14.89	15.95			_								
	The past performance	e may or may not		10.00										
	future.	e may or may not	be sustained in the	0.00	03-04 2004-05 2005-06	2006-07 2007-08								
	Note: Returns are cal basis. *July 27, 1999.	culated on <b>comp</b> o	ounded annualised		Principal Index Fund - Growth	S&P CNX Nifty								
Expenses of the Scheme	For investments For investments Exit Load: 0.50% if redeem (ii) Recurring expe First Rs. 100 cr Next Rs. 300 cr Next Rs. 300 cr Balance	basis.  *July 27, 1999.  (i) Load Structure Entry Load: For Direct investment - Nil. For investments less than Rs 10 lacs - 1%. For investments of Rs 10 lacs and above - Nil. Exit Load: 0.50% if redeemed within 30 days from the date of allotment.  (ii) Recurring expenses as a percentage of average daily Net Assets  • First Rs. 100 crores : 2.50  • Next Rs. 300 crores : 2.25  • Next Rs. 300 crores : 2.00												
Tax Treatment for the Investors (Unitholders)			, <u> </u>											
Daily Net Asset Value (NAV) Publication	The NAV will be dec	clared on all Busi om and www.am	ness Days and will b	e published ir also telephone	n 2 newspapers. NAV e us at 022-2202 111	' can also be viewed on 1.								
For Investor Grievances please contact														
Unitholders' Information	Scheme(s) / Plan(s) pe	Please Refer to Page No. 57  The NAV will be declared on all Business Days and will be published in 2 newspapers. NAV can also be viewed www.principalindia.com and www.amfiindia.com. You can also telephone us at 022-2202 1111.  Please Refer to Page No. 61  Account Statement and Annual Financial Results shall be provided to the investors by post / e-mail / courier. Half - Yea Scheme(s) / Plan(s) portfolio will either be mailed to unitholders or published in the newspaper as permitted under S Mutual Fund), Regulations, 1996												

# Principal Resurgent India Equity Fund (An open ended Equity Scheme)

Investment Objective	To generate long term perceived to be poten			quity and equi	ty related securities of	Indian Companies that a					
Asset Allocation Pattern of the Scheme	Types of Instrumen	ts			Normal Alloca Minimum	ntion (% of Net Assets)  Maximum					
	Equities and Equities	related securities*	:		65%	100%					
	Debt and Money Ma	rket Instruments (i	ncluding cash / call	money)**		35%					
		nclude debt secur	ities convertible into		ending on the market ghts or warrants to pu						
Risk Profile of the Scheme	Mutual Fund investment.	ents are subject to	o market risks. Pleas	e read the Of	fer Document carefull	y for details on risk facto					
nvestment Plans & Options	Dividend and Growth	Plans. The Divide	end Plan offers Payou	ut and Reinves	stment.						
Applicable NAV	Please Refer to Page	No. 60									
Minimum Application	Purchase		Additio	onal Purchase	<b>e</b>	Repurchase					
Amount / Number of Units	Rs. 5,000 and any an under each option	nount thereafter			nt of Rs. 500 and er under each option	Rs. 500 or 50 units					
Despatch of Repurchase (Redemption) Request	Mutual Fund. Althou	ithin 10 Business Days of the receipt of the redemption request at the authorised Collection centre utual Fund. Although the fund will endeavour to despatch the redemption proceeds within 3 Busines demption request being complete in all respects. P CNX Nifty e Fund reserves the right to change the said benchmark and / or adopt one / more other benchmark									
Benchmark Index	S&P CNX Nifty The Fund reserves the performance of the S		the said benchmark	and / or adop	ot one / more other be	enchmarks to compare th					
Dividend Policy	of the income will red declare the dividend The Dividend Option declared / distributed reinvested in the unit	main in the Plan a subject to the Plar will have facilities would be paid out as of the Scheme. temes of the Fund	nd be reflected in the having adequate dos - Payout, Re-invest to the unitholders. Under the Sweep fa	ne NAV, on an istributable proment and Swader the Re-invacility unithologies.	ongoing basis. The Trofits. Teep. Under the Payou Prestment facility, the diverse to rei	. The undistributed portic rustee reserves the right of ut facility, the dividends s vidend will be automatical nvest their dividend in ar sserve the right to introduce					
Name of the Fund Manager	Mr. Rajat Jain										
Name of the Trustee Company	Principal Trustee Com	pany Private Limi	ted								
Performance of the	Returns (%) of Grow	th Option as at M	arch 31, 2008.		Year-wise Re	eturns					
Scheme	Period	Returns (%)	S&P CNX Nifty (%)	50.00	_						
	Last 1 Year	17.39	23.75	40.00 -							
	Last 3 Years	28.82	32.46								
	Last 5 Years	46.42	37.03	- 00.00 - (%) 30.00							
	Since Inception*	31.40	16.26								
	The past performance of Note: Returns are call basis.  *June 30, 2000.	may or may not be s	sustained in the future.	I 0.00 —	2003-04 2004-05 2005-0   Principal Resurgent India Equity Fund - Growth	6 2006-07 2007-08 S&P CNX Nifty					
Expenses of the Sche me	*June 30, 2000.  Equity Fund - Growth  (i) Load Structure Entry Load: For Direct investment - Nil. For investments upto Rs. 3 crores - 2.25%. For investments of Rs. 3 crores and above - Ni Exit Load: For investments of less than Rs. 3 crores - 1.50% if redeemed on of before 180 days from the date of allotment; 19 if redeemed after 180 days but before 365 days from the date of allotment; Nil if redeemed after 365 days from the date of allotment; Nil if redeemed after 365 days from the date of allotment; Nil if redeemed after 180 days from the date of allotment; Nil if redeemed after 180 days from the date of allotment.  (ii) Recurring expenses  • First Rs. 100 crores : 2.50  • Next Rs. 300 crores : 2.25  • Next Rs. 300 crores : 2.00  • Balance : 1.75  (iii) Actual expenses for the previous financial year 2007-2008: 2.35%										
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	No. 57									
Daily Net Asset Value (NAV) Publication					in 2 newspapers. NA ne us at 022-2202 11	AV can also be viewed o					
For Investor Grievances please contact	Please Refer to Page	No. 61									
Unitholders' Information		ortfolio will either				-mail / courier. Half - Year er as permitted under SE					

# Principal Balanced Fund (An open ended Balanced Scheme)

Investment Objective	fixed income securiti		carrent income by III	vesung in	a portfolio of equity, equ	arry related secultiles di
Asset Allocation Pattern	Types of Instrumer	nts			Normal Allocation	(% of Net Assets)
of the Scheme	Equity and Equity rel	ated Instruments			Atleast 51% with a m	naximum limit of 70%
	Debt (Including Secu	ritised Debt) and N	Money Market Instrum	nents	Atleast 30% with a m	naximum limit of 49%
Risk Profile of the Scheme	Mutual Fund investment.	nents are subject to	o market risks. Please	read the (	Offer Document carefully	for details on risk facto
nvestment Plans & Options Applicable NAV	Dividend and Growtl Please Refer to Page		nd Plan offers Payout	, Reinvestr	ment and Sweep Option.	
Minimum Application	Purchase		Addition	al Purcha	ise	Repurchase
Amount / Number of Units	Rs. 5,000 and any ar under each option	mount thereafter			nent of Rs. 500 and fter under each option	Rs. 500 or 50 units
Despatch of Repurchase Redemption) Request		igh the fund will e	ndeavour to despatch		the authorised Collection proceeds within 3	
Benchmark Index	CRISIL Balanced Fund The Fund reserves th performance of the	e right to change	the said benchmark a	nd / or ad	opt one / more other ber	nchmarks to compare th
Dividend Policy	of the income will re declare the dividend The Dividend Option declared / distributed reinvested in the uni	main in the Plan a subject to the Plan will have facilities would be paid out ts of the Scheme. hemes of the Fund,	nd be reflected in the n having adequate dis s - Payout, Re-investm to the unitholders. Und Under the Sweep fac	NAV, on a tributable nent and Ser the Re-ility unithous	uted by way of dividend. The Truprofits.  Sweep. Under the Payout investment facility, the divibilities can choose to rein However the Trustees research.	istee reserves the right facility, the dividends dend will be automatica vest their dividend in a
lame of the Fund Manager	Mr. Pankaj Tibrewal					
lame of the Trustee Company	Principal Trustee Cor	npany Private Limit	ted			
erformance of the	Returns (%) of Grow	rth Option as at Ma	arch 31, 2008.		Year-wise Ret	urns
icheme	Period	Returns (%)	CRISIL Balanced Fund Index (%)	35.00	1	
	Last 1 Year	22.56	19.43	30.00	-	
	Last 3 Years	21.70	21.86	25.00	1	_
	Last 5 Years	31.26	24.40	%) 20.00 15.00		
	Since Inception*	12.06	N.A.			
	The past performance	e may or may not	be sustained in the	10.00	1	
	future.			0.00		
	Note: Returns are ca basis.	lculated on <b>compo</b>	ounded annualised	0.00	2003-04 2004-05 2005-06	2006-07 2007-08
	*January 14, 2000.				Principal Balanced Fund - Growth	CRISIL Balanced Fund Index
Expenses of the Scheme	Exit Load: 0.50 (ii) Recurring expe • First Rs. 100 cr • Next Rs. 300 c • Next Rs. 300 c • Balance	ment - Nil. For app 0% if redeemed or enses as a percent fores : 2.50 rores : 2.25 rores : 2.00 : 1.75	plications below Rs. 3 on or before 180 days f tage of average dai	rom the d	sets	s. 3 crores and above : N
Tax Treatment for the nvestors (Unitholders)	Please Refer to Page	No. 57				
Daily Net Asset Value NAV) Publication					d in 2 newspapers. NAV one us at 022-2202 111	
For Investor Grievances please contact	Please Refer to Page	No. 61				
Unitholders' Information					he investors by post / e-m blished in the newspaper	

# Principal Child Benefit Fund (An open ended Balanced Scheme)

	onone rana (	орс с		-,	(=	the Offer Document
Investment Objective	To generate regular re end of the chosen tar			ciation / accretion with the the Beneficiary.	e aim of giving lump	sum capital growth at the
Asset Allocation Pattern	Types of Instrument	s			Normal Allocati	on (% of Net Assets)
of the Scheme	Equity and Equity Link	ed Instrum	nents		40	to 60%
	Debt securities and M	oney Mark	cet Instruments		60	to 40%
Risk Profile of the Scheme	Mutual Fund investment.	ents are su	bject to market r	isks. Please read the Offer	Document carefully	for details on risk factor
Investment Plans & Options	target period of 7 7 and / or 10 year under this plan w (b) Career Builder F investment at any covered under th	or 10 or 10	15 years. Investor eriod is 45 years covered by a Life er this plan invest me for the chose rance Cover.	ment has to be made on a may note that the maxim and for 15 year target pellosurance Policy.  The period of 7, 10 or of allotment under both Communication and the period of 7, 10 or of allotment under both Communication and period of allotment under both Communication and period of allotment under both Communication and period of allotment under both Communication and period pe	num age limit of the vriod is 40 years. The e recurring annual si 15 years. Applicant	applicant for investing fo applicant (first applican ubscription but can mak
Applicable NAV	Please Refer to Page N				<u>'</u>	
••	3	10. 00		A LPC I B l		B
Minimum Application  Amount / Number of Units	Purchase		_	Additional Purchase		Repurchase
anount / Number of Onio	Rs. 5,000 and any am under each option	ount there	eafter	Subsequent investment any amount thereafter		Rs. 500 or 50 units
Despatch of Repurchase (Redemption) Request	Within 10 Business D Mutual Fund. Althoug redemption request b	the fund	d will endeavour	edemption request at the to despatch the redemptions.	authorised Collection proceeds within 3	on centre of the Principa Business Days, subject to
Benchmark Index	CRISIL Balanced Fund The Fund reserves the performance of the So	right to cl	hange the said b	enchmark and / or adopt	one / more other be	nchmarks to compare th
Dividend Policy	of the income will ren	nain in the	Plan and be refle	realized will be distributed ected in the NAV, on an o dequate distributable prof	ngoing basis. The Tru	The undistributed portioustee reserves the right t
Name of the Fund Manager	Mr. Pankaj Tibrewal					
Name of the Trustee Company	Principal Trustee Com	pany Privat	te Limited			
Performance of the Scheme	Returns (%) of Growth C	ption as at	March 31, 2008.	Year-wise Returns		Year-wise Returns
	Period	Returns	CRISIL Balanced	40.00 - 35.00	40.00	Teal-wise Neturns
	Career Builder	(%)	Fund Index (%)	30.00 - 25.00 -	30.00 - \$25.00 -	
	Last 1 Year	31.76	19.43	© 25.00 - \$\frac{1}{2} \text{ 20.00 -}	© 25.00 - ≦ 20.00 -	
	Last 3 Years	33.82	21.86	Return 15.00 -	8 20.00 - 15.00 - 10.00 -	
	Last 5 Years	34.89	24.40	5.00 -	5.00 -	
	Since Inception*	21.46	N.A.		0.00 2003-	
	Future Guard			Principal Child Benefit Fund - Career B Crisil Balanced Fund Index		cipal Child Benefit Fund - Future Guard Plan il Balanced Fund Index
	Last 1 Year	31.73	19.43			
	Last 3 Years	33.76	21.86			
	Last 5 Years	34.89	24.40			
	Since Inception*	21.30	N.A.			
	The past performance may or <b>Note:</b> Returns are calculated of *January 7, 1998.					
Expenses of the Scheme	(i) Load Structure Entry Load: For I Future Guard Plan: 2 Exit Load: Future Guard Plan: opening of account years from the date Load on redemptio Career Builder Plan	On redemp 2% if rede of opening or after ex 0.50% if rede 0.50% if rede or after ex 0.50% if rede contact the contact	r Builder Plan: For ap tion before expiry of eemed after expiry of account. Nil if opiry of the target redeemed on or be centage of average ext Rs. 300 crores	efore 180 days from the date ge daily Net Assets : 2.25 • Next Rs. 300 crores :	med on or before expire opening of account but f 5 years from the date	y of 3 years from the date o on or before the expiry of
Tax Treatment for the Investors (Unitholders)	Please Refer to Page N	lo. 57				
Daily Net Asset Value (NAV) Publication				and will be published in n. You can also telephone		
For Investor Grievances please contact	Please Refer to Page N	lo. 61				
Unitholders' Information	Account Statement ar	nd Annual	Financial Results	shall be provided to the in	nvastors by nost / a-r	nail / courier. Half - Yearl

<sup>\*</sup> For the Future Guard Plan only.

# Principal Income Fund (An open ended Income Scheme)

Investment Objective	To generate regular in preservation of capita		apital appreciation /	accretion through inve	stment in debt in	struments and relate	d securities beside		
	The investment object STP has been designe	The investment objective of the Short Term Plan (STP) under Income Fund is the same as that of the Principal Income Fund. However, the STP has been designed to achieve stable returns over shorter-term investment horizons.							
Asset Allocation Pattern of the Scheme	Please Refer to Page N	No. 59							
Risk Profile of the Scheme	Mutual Fund investme	nts are subje	ct to market risks. Plea	ase read the Offer Docu	ment carefully for	details on risk factors	before investmen		
nvestment Plans & Options	an Institutional Plan. T	Income Fund and Short Term Plan under Income Fund will have separate portfolios. Both these plans offer Dividend and Growth Plans ar an Institutional Plan. The Institutional Plan has both Dividend and Growth Options. The Dividend Plan / Option offers Payout, Reinvestmen and Sweep as Options. The Growth Plan/Option offers Accumulation and Auto Earning Payout as Options in Income Fund							
Applicable NAV	Please Refer to Page N	Please Refer to Page No. 60							
Minimum Application Amount / Number of Units	Please Refer to Page	Please Refer to Page No. 61							
Despatch of Repurchase (Redemption) Request		Within 10 Business Days of the receipt of the redemption request at the authorised Collection centre of the Principal Mutual Fund. Although the fund will endeavour to despatch the redemption proceeds within 3 Business Days, subject to redemption request being complete in al respects.							
Benchmark Index		CRISIL Composite Bond Fund Index for Income Fund. CRISIL Short Term Bond Fund Index for Short Term Plan The Fund reserves the right to change the said benchmark and / or adopt one / more other benchmarks to compare the performance of the Scheme.							
Dividend Policy	Principal Income Fund Quarterly, Half Yearly;	Subject to the Dividend Plan generating adequate distributable profit, at this time the Trustees propose to distribute dividend as under Principal Income Fund - Dividend Plan : Quarterly, Half Yearly and Annual; Principal Income Fund - Institutional Plan - Dividend Option Quarterly, Half Yearly; Short Term Plan - Dividend Option : Monthly; Short Term Plan - Institutional Option : Weekly, Fortnightly, Monthly							
Name of the Fund Manager	Mr. Ritesh Jain								
Name of the Trustee Company	Principal Trustee Com	. ,				I			
Performance of the Scheme	Returns (%) of Growth C	Option as at Ma	arch 31, 2008.  Benchmark Returns† (%)	Year-wise R	leturns		e Returns		
	Principal Income Fund Last 1 Year Last 3 Years Last 5 Years Since Inception* Institutional Plan	8.40 6.57 6.03 9.02	8.20 5.06 4.80 N.A.	Refurus (%) - 0.00 - 0.	Ш	-00.8 (%) -00.8 (%) -00.4 (%)	П		
	Last 1 Year Last 3 Years	8.84 7.09	8.20 5.06	0.00 2003-04 2004-05 20 Principal Income Fund		0.00 2004-05 2005 Principal Income F			
	Since Inception**	6.29	4.43	CRISIL Composite Bono		CRISIL Composite			
	Period	Returns (%)	Benchmark Returns** (%)	., .					
	Principal Income Fund - Short Term Plan			Year-wise F	Returns	Year-wise	Returns		
	Last 1 Year Last 3 Years	9.10 6.93	8.79 6.09	8.00		8.00 -			
	Last 5 Years	6.37	5.41	Returns (%)		- 00.9 (%)			
	Since Inception*** Institutional Plan	6.61	5.77	- 00.4 dri		4.00 -			
	Last 1 Year	9.32	8.79	2.00 -		2.00 -			
	Last 3 Years Since Inception**	7.10 6.50	6.09 5.33		05-06 2006-07 2007-08	0.00 2004-05 2005-0			
				Principal Income Fund CRISIL Short Term Bon		Principal Income For CRISIL Short Term I			
	Note: Returns are calculated † CRISIL Composite Bond Fur	te past performance may or may not be sustained in the future.  Ster Returns are calculated on compounded annualised basis.  ERISIL Composite Bond Fund Index <sup>+†</sup> CRISIL Short Term Bond Fund dex *October 25, 2000. **May 9, 2003 ***April 24, 2002							
Expenses of the Scheme	(i) Load Structure Entry Load : Nil. Exit Load : Income Fund			Income Fund -	Short Term Plan		Short Term Plan		
				Institutional Plan			Institutional Plan		
	or before 3 months redeemed after 3 m For subscription of F on or before 180 da	from the date nonths from the Rs. 10 lacs or le ays from the da	ics - 1% if redeemed or of allotment & Nil if e date of allotment. ess: 0.5% if redeemed ate of allotment. m the date of allotmen		For investments o 0.25% if redeemed 7 days from the o	late of allotment. fter 7 days from the	Nil		
	(iii) Actual expenses f Income Fund - Re	res : 2.25 • N for the previo gular Plan : 1	Next Rs. 300 crores : Sus financial year 200 1.50%, Income Fund	2.00 • Next Rs. 300 cr	.10%,		)%		
Tax Treatment for the Investors (Unitholders)	Please Refer to Page N	No. 57							
Daily Net Asset Value (NAV) Publication	The NAV will be declar and www.amfiindia.co			e published in 2 newspa : 022-2202 1111.	apers. NAV can als	so be viewed on www	v.principalindia.cor		
For Investor Grievances please contact	Please Refer to Page	e No. 61							
Unitholders' Information		portfolio wi	Il either be mailed	shall be provided to to unitholders or p					

## Principal Floating Rate Fund (An open-ended Income Scheme)

Investment Objective		ılly of floati	ng rate debt instrume			tent with the prudent risk from a portfol ed for floating rate return, and also fixe		
Asset Allocation Pattern of the Scheme	Please Refer to Page I	No. 59						
Risk Profile of the Scheme	Mutual Fund investme	ents are subj	ect to market risks. Ple	ease read t	he offer document carefully fo	or details on risk factors before investmer		
Investment Plans & Options	Floating Rate Fund offers two investment Plans – Short Maturity Plan (SMP) and Flexible Maturity Plan (FMP), with separate Port							
	Regular Option	Short Mat	urity Plan Institutional Opt	ion	Regular Option	exible Maturity Plan  Institutional Option		
	Growth Option		Growth Option	1011	Growth Option	Growth Option		
	Dividend Option - Daily, Weekly, Mon	thly	Dividend Option - Daily, Weekly, N	onthly	Dividend Option - Daily, Weekly, Mo	Dividend Option		
Applicable NAV	The Dividend Option C Please Refer to Page I		ut & Reinvestment Op	tion				
Minimum Application  Amount / Number of Units	Please Refer to Pag							
Despatch of Repurchase (Redemption) Request						ntre of the Principal Mutual Fund. Althou o redemption request being complete in		
Benchmark Index	CRISIL Liquid Fund Inc The Fund reserves the the Scheme.		ange the said benchm	ark and /	or adopt one / more other be	nchmarks to compare the performance		
Dividend Policy	The income and profi	ne NAV, on	an ongoing basis. Su	bject to th	ne Plan having adequate dist	tion of the income will remain in the Platributable profits, the Trustees propose laily / weekly / monthly basis in the Flexib		
Name of the Fund Manager	Mr. Ritesh Jain							
Name of the Trustee Company	Principal Trustee Com	pany Privat	e Limited					
Performance of the Scheme	Returns (%) of Short Ma as at March 31, 2008. Returns (%) of Flexible N	•	•	10.00	Year-wise Returns	Year-wise Returns		
	as at March 31, 2008.  Period	Returns (%)	Crisil Liquid Fund Index (%)	- 00.4 (%)		(%) su.		
	Short Maturity Plan - Regular Option Last 1 Year	8.41	7.43	2.00		2.00 -		
	Last 3 Years Since Inception* - Institutional Option	7.08 6.79	6.25 5.96		2005-06 2006-07 2007-08 Principal Floating Rate Fund - SMP - Growth Crisil Liquid Fund Index	2005-06 2006-07 2007-08 Principal Floating Rate Fund - SMP - IP - Growth Crisil Liquid Fund Index		
	Last 1 Year Last 3 Years	8.47 7.20	7.43 6.25		Year-wise Returns	Year-wise Returns		
	Since Inception*	6.91	5.96	10.00	Teal-wise Neturns	10.00 real-wise Returns		
	Flexible Maturity Plan - Regular Option	0.70	7.50	8.00 - 8 6.00 -	a de la	8.00 - \$\infty\$ 6.00 -		
	Last 1 Year Last 3 Years	8.72 7.25	7.50 6.25	Returns (%)		efuns (%)		
	Since Inception*	6.97	5.96	2.00 -		2.00 -		
	- Institutional Option Last 1 Year	8.81	7.50	0.00	2005-06 2006-07 2007-08	0.00 2005-06 2006-07 2007-08		
	Last 3 Years Since Inception	7.37 7.10	6.25 5.96		Principal Floating Rate Fund - FMP - Growth Crisil Liquid Fund Index	Principal Floating Rate Fund - FMP - IP - Growth Crisil Liquid Fund Index		
	The past performance may or may not be sustained in the future.  Note: Returns are calculated on compounded annualised basis.  *September 14, 2004.							
Expenses of the Scheme	(i) Load Structure Entry Load : Nil. Exit Load : Short Maturity I	Plan	Flexible Maturity F	lan				
	Nil			unts upto	on amounts greater than Rs. or less than Rs. 10 lacs - 0.2	10 lakhs - Nil 5% if redeemed within 3 months.		
	(iii) Actual expenses the Short Maturity Plant	res : 2.25 • for the prev an - Regular	Next Rs. 300 crores : ious financial year 20	2.00 • Ne 07-2008 : Short Ma	xt Rs. 300 crores : 1.75 • Bal	ion : 0.40%,		
Tax Treatment for the nvestors (Unitholders)	Please Refer to Page I	No. 57						
Daily Net Asset Value NAV) Publication	The NAV will be decla and www.amfiindia.c					also be viewed on www.principalindia.co		
For Investor Grievances Dlease contact	Please Refer to Pag	e No. 61						
Unitholders' Information						by post / e-mail / courier. Half - Year e newspaper as permitted under SE		

Investment Objective	To generate regular incom the Unitholders and also to and equity related instrum	o genera							
				me as that of the Principal Monthly Income Plan. However, MIP Plutly more aggressive exposure to equity markets.					
Asset Allocation Pattern	Types of Instruments					Normal All	ocation	(% of Net Assets)	
of the Scheme	Monthly Income Plan Debt and Money Market I	nstrume	ents				Upto	100%	
	Equity and Equity Related Instruments Upto 15%							15%	
	Monthly Income Plan - MIP Plus Debt Securities (Including Securitised Debt Upto 50%)						Upto	1009/	
	Equity and Equity Related		<u> </u>	70 /0)			Upto		
Risk Profile of the Scheme	Mutual Fund investments			sks. P	ease read the Offer D	ocument car			
nvestment Plans & Options	Growth Plans are availab	le. The	Dividend Plan	Plan - MIP Plus are the two Investment Plans. Within these Dividend lan offers Payout, Reinvestment and Sweep Options. Growth Plan of					
Applicable NAV	Accumulation and Auto E Please Refer to Page No. 6		Payout Options	•					
Minimum Application	Purchase				Additional Purchase	<u> </u>		Repurchase	
Amount / Number of Units	Dividend Plan / Auto Earning Rs. 10,000 and any amount	s <i>Payout</i> thereafte	r under each opt	on	Subsequent investme	·	nd	Rs. 500 or 50 units	
	Growth Accumulation Plan Rs. 5,000 and any amount th				any amount thereafte	er under each c	ption		
Despatch of Repurchase (Redemption) Request	Mutual Fund. Although th	Within 10 Business Days of the receipt of the redemption request at the authorised Collection centre of the Princi Mutual Fund. Although the fund will endeavour to despatch the redemption proceeds within 3 Business Days, subject redemption request being complete in all respects.							
Benchmark Index	CRISIL MIP Blended Index The Fund reserves the right to change the said benchmark and / or adopt one / more other benchmarks to compare the performance of the Scheme.								
Dividend Policy	Subject to the Dividend Pl	an gene	rating adequate	distri	butable profit, divider	nd will be dist	ributed.		
Name of the Fund Manager	Mr. Pankaj Tibrewal								
lame of the Trustee Company	Principal Trustee Company	/ Private	Limited						
Performance of the Scheme	Returns (%) of Growth Option as Period	Returns (%)	CRISIL MIP Blended Index (%)	20.00	Year-wise Returns			ear-wise Returns	
	Principal Monthly Income Plan			16.00		16.	00 -		
	Last 1 Year Last 3 Years	15.95 9.05	11.12 9.26	Returns (%) 12.00		Returns (%)		10 m le	
	Last 5 Years	9.34	9.61	We get		Retu	00 -		
	Since Inception*	9.84	9.57	4.00		4.	00 -		
	MIP - MIP Plus Last 1 Year	17.96	11.12	0.00	2003-04 2004-05 2005-06 2006-	07 2007-08	2004-05	2005-06 2006-07 2007-08	
	Last 3 Years	11.20	9.26		Principal MIP - Growth Crisil MIP Blended Index			l MIP - MIP Plus - Growth P Blended Index	
	Since Inception**	9.68	7.18		Crisii Mir Biended Index		CIBILIVII	i biended index	
	The past performance may or may not be sustained in the future.  Note: Returns are calculated on compounded annualised basis.  *May 23, 2002. **December 30, 2003.								
Expenses of the Scheme	(i) Load Structure Entry Load: Nil. Exit Load: For investment below R: For investment of Rs. 1 date of allotment). For i (ii) Recurring expenses as • First Rs. 100 crores: 2 (iii) Actual expenses for the Monthly Income Plan: 2	crore and nvestmer a perce .25 • Nex previous	d above but less to the of Rs. 3 crores entage of average kt Rs. 300 crores financial year 20	nan Rs and ab <b>e dail</b> 2.00 <b>•</b> 07-200	. 3 crores - 0.25% (if recove - Nil. y <b>Net Assets</b> • Next Rs. 300 crores : 1. 98:	deemed on or b	pefore 90		
Tax Treatment for the nvestors (Unitholders)	Please Refer to Page No. 5	57							
Daily Net Asset Value NAV) Publication	The NAV will be declared www.principalindia.com a	d on all nd www	Business Days v.amfiindia.com	and v . You	vill be published in 2 can also telephone us	newspapers at 022-2202	. NAV c	an also be viewed o	
For Investor Grievances please contact	Please Refer to Page No. 6	51							
Unitholders' Information	Account Statement and A Scheme(s) / Plan(s) portfol								

# Principal Cash Management Fund – Liquid Option (An open ended Liquid Scheme)

Investment Objective						n investments as is considered consistent wi folio of money market and investment gra			
Asset Allocation Pattern	Liquid Option and	Liquid O	otion - Institution	al Plan					
of the Scheme	Types of Instruments Normal Allocation (% of Net Assets)								
	Call / Term Money /	Repos / Re	verse Repos / Bank	Deposits		Upto 100%			
	Bill Re-discounting					Upto 50%			
	Like Liquid Money N	Market Inst	ruments			Upto 100%			
	Debt (including Sec	uritised De	bt) instruments oth	er than tho	se above	Upto 50%			
Risk Profile of the Scheme	Mutual Fund investi before investment.	ments are	subject to market r	isks. Please	read the Offer	Document carefully for details on risk factor			
nvestment Plans & Options	Dividend and Grow Premium Plan. The					a separate Institutional Plan and Institution as Sub-Options.			
Applicable NAV	Please Refer to Page	e No. 60							
Minimum Application Amount / Number of Units	Please Refer to Page	e No. 61							
Despatch of Repurchase (Redemption) Request	Within 10 Business Mutual Fund. Altho					authorised Collection centre of the Princip Business Day.			
Benchmark Index	CRISIL Liquid Fund I The Fund reserves t performance of the	he right to	change the said b	enchmark a	and / or adopt c	one / more other benchmarks to compare t			
Dividend Policy						ime the Trustees propose to distribute divide onal Premium Plan - Daily, Weekly, Monthly			
Name of the Fund Manager	Mr. Ritesh Jain								
Name of the Trustee Company	Principal Trustee Co	mpany Priv	vate Limited						
erformance of the Scheme	Returns (%) of Growth C	option as at M	larch 31, 2008.	0.00	Year-wise Returns	Year-wise Returns			
	Period  Principal Cash	Returns (%)	CRISIL Liquid Fund Index (%)	8.00 7.00 - 6.00 - 8 5.00 -	and the little	9.00 8.00 - 7.00 - © 6.00 -			
	Management Fund Liquid Option Last 2 Weeks Last 1 Month Last 3 Months Last 6 Months Last 1 Year Since Inception* Institutional Plan Last 2 Weeks Last 1 Month Last 3 Months Last 6 Months Last 1 Year Since Inception** Institutional Premium Plan Last 2 Weeks Last 1 Month Last 3 Months Last 1 Year Since Inception** Institutional Premium Plan Last 2 Weeks Last 1 Month Last 3 Months Last 6 Months Last 6 Months Last 1 Year Since Inception*** The past performance may Note: Returns are calculated *October 25, 2000. **No	d on <b>compoun</b>		800 - 000 -	4 1 2004-05 1 2005-06 1 200 pal Cash Management Fund - Gro Liquid Fund Index  Year-wise Returns  15-06 2006-07 pal Cash Management Fund - LO- Liquid Fund Index	Principal Cash Management Fund - LO - IP - Growth  ☐ Principal Cash Management Fund - LO - IP - Growth ☐ Crisil Liquid Fund Index			
Expenses of the Scheme	(iii) Actual expenses	nses as a peores : 2.25 • for the prev	Next Rs. 300 crores ious financial year 20	: 2.00 • Next 107-2008:	: Rs. 300 crores :	1.75 • Balance : 1.50  Liquid Option - Institutional Premium Plan : 0.35			
Tax Treatment for the nvestors (Unitholders)	Please Refer to Page	e No. 57							
Daily Net Asset Value NAV) Publication	www.principalindia.	com and v	all Business Days www.amfiindia.com	and will b n. You can a	e published in also telephone (	2 newspapers. NAV can also be viewed us at 022-2202 1111.			
For Investor Grievances please contact	Please Refer to Page								
Unitholders' Information		portfolio w	ill either be mailed			vestors by post / e-mail / courier. Half - Yea ed in the newspaper as permitted under St			

# Principal Government Securities Fund (An open-ended dedicated Gilt Scheme)

Investment Objective				sovereign securities and that at all times emphasizing th				
Asset Allocation Pattern	Types of Instrume	ents			Normal Allocation	on (% of Net Assets)		
of the Scheme	Government Securi	ties			Upt	o 100%		
				a short term period on de bank call / notice money a		n) investment upto 100%		
Risk Profile of the Scheme	Mutual Fund invest before investment.	ments are s	ubject to market r	isks. Please read the Offer	Document carefully	for details on risk factor		
Investment Plans & Options				offer Dividend and Grow owth Option further offer				
Applicable NAV	Please Refer to Pag	e No. 60						
Minimum Application	Purchase			Additional Purchase		Repurchase		
Amount / Number of Units	Rs. 5,000 and any a under each option	amount the	reafter	Subsequent investment any amount thereafter (		Rs. 500 or 50 units		
	Rs. 10,000 for Auto	Earning Pa	ayout (AEP)	For AEP Rs. 500		Rs. 500 or 50 units		
Despatch of Repurchase (Redemption) Request		ough the fur	nd will endeavour	edemption request at the to despatch the redemptic s.				
Benchmark Index	Savings Plan : I-Sec The Fund reserves t performance of the	the right to		c Composite Index enchmark and / or adopt o	one / more other ber	nchmarks to compare the		
Dividend Policy				ate distributable profit, at s Plan: Quarterly; Investme				
Name of the Fund Manager	Mr. Ritesh Jain							
Name of the Trustee Company	Principal Trustee Co	mpany Priv	ate Limited					
Performance of the Scheme	Returns (%) of Growth (	Option as at M	arch 31, 2008.		Year-wise Returns			
	Period	Returns (%)	I-Sec Composite Index (%)	12.00 -				
	Principal Government			<b>⊗</b> 8.00-				
	Securities Fund Investment Plan			SL 6.00-	200- 200-			
	Last 1 Year	10.84	9.14					
	Last 3 Years	6.62	6.38					
	Last 5 Years	6.18	6.11		2003-04 2004-05 2005-06 2006-07 2007-08			
	Since Inception*	9.04	N.A.		Principal G Sec - Investment - Growth I-Sec Composite Index			
	Period	Returns (%)	I-Sec Si-Bex (%)		r-sec Composite index			
		neturns (%)	1-Sec Si-Dex (%)	-	Year-wise Returns			
	Principal Government Securities Fund			10.00	rear-wise neturns			
	Savings Plan			8.00 -	_			
	Last 1 Year	4.04	8.91	€ 6.00-				
	Last 3 Years	4.65	6.66	Returns	4 4 4 6	-11		
	Last 5 Years	4.35	6.23	2.00				
	Since Inception**	5.93	N.A.	000				
	The past performance may	or may not be su	stained in the future.		03-04 2004-05 2005-06 2006-07	2007-08		
	Note: Returns are calculate *August 23, 2001. **February 13, 2004				Principal G Sec - Savings - Growth -Sec Si-Bex			
Expenses of the Scheme		l. l; Investmen vestment of	Rs. 25 crores and ab		if redeemed within 365	days from the date of		
	• First Rs. 100 cr (iii) Actual expenses	ores : 2.25 • for the previ	Next Rs. 300 crores ous financial year 20	2.00 • Next Rs. 300 crores :		1.00%,		
Tax Treatment for the Investors (Unitholders)	Please Refer to Pag	e No. 57						
Daily Net Asset Value (NAV) Publication				and will be published in You can also telephone				
For Investor Grievances please contact	Please Refer to Pag	e No. 61						
Unitholders' Information		portfolio w		shall be provided to the into unitholders or publish				

# Principal Liquid Plus Fund (An open ended Debt Scheme)

	· ·	, , , , , , , , , , , , , , , , , , , ,						
Investment Objective		income through investments in debt sect	urities and mone					
Asset Allocation Pattern of the Scheme	Types of Instrume	nts		% of Net Assets				
or the Scheme			Min	mum N	laximum			
	Fixed Rate Debt Inst	ruments & Money Market Instruments		Minimum  50%  Up  50%  Up  50%  Up  c offer document carefully for detention of dividend on a Daily, Weekly a destment, Pay-out and Sweep. To distributable surplus. The Fund SEBI (Mutual Funds) Regulations  conal Purchase  quent investment of Rs 1,000 and and anount thereafter under each option and the product of the pr	oto 100%			
		nstruments & Money Market Instruments			oto 100%			
Risk Profile of the Scheme	Mutual Fund investr before investment.	ments are subject to market risks. Please	read the offer of	document carefully for de	ails on risk facto			
Investment Plans & Options	and Dividend.  Each of the Dividen Further, the aforesai The dividend will be	egular Plan, Institutional Plan and Institution d Options will have a frequency of dec d dividend options will have the facility of declared subject to the availability and a the investment option/s at a later date si	laration of divic of Re-investment dequacy of disti	lend on a Daily, Weekly a , Pay-out and Sweep. ributable surplus. The Fund	nd Monthly basi			
Applicable NAV	Refer to Page No. 6			· •				
Minimum Application	Name of the Plan	Purchase	Additional Pu	ırchase	Repurchase			
Amount / Number of Units	Regular Plan	Rs 10,000 and any amount thereafter under each option.			Rs 1,000 or			
	Institutional Plan	Rs 1 crore and any amount thereafter under the plan, with a minimum of 1 lakh in each option.	Subsequent in	vestment of Rs. 1 lakh and	Rs 1,000 or			
	Institutional Premium Plan	Rs 10 crore and any amount thereafter under the plan, with a minimum of Rs. 1 lakh in each option.						
Despatch of Repurchase (Redemption) Request	Mutual Fund. Althor	days of the receipt of the redemption i		equest at the authorised Collection centre of the Prinche redemption proceeds within 3 business days, subje				
Benchmark Index	CRISIL Liquid Fund I	ndex						
Dividend Policy	Subject to the Plan(s	s) generating adequate distributable profi	it, dividend will	be distributed from time t	o time.			
Name of the Fund Manager	Mr. Ritesh Jain							
Name of the Trustee Company	Principal Trustee Cor	mpany Private Limited						
Performance of the Scheme		ar schemes launched by Principal Mutual I ormance of Principal Cash Management Fund · N:		d Principal Floating Rate Func	- Flexible Maturity			
	Returns	Scheme Returns (%) Principal Cash Management Fund - Liquid Option (Growth Option as on March 31, 2008)		Benchmark Returns (%) Crisil Liquid Fund Index: (as on March 31, 2008)				
	Last 1 Year	Regular Plan: 7.58 • Institutional Plan: 7 Institutional Premium Plan: 8.06	Regular Plan: 7.43 • Institut Institutional Premium Plan:	7.43				
	Returns since inception	Regular Plan^: 6.38 • Institutional Plan\$ Institutional Premium Plan\$\$: 6.73	: 6.05	Regular Plan: N.A. • Institut Institutional Premium Plan:				
	Returns	Scheme Returns (%) Principal Floating Rate Fund - Flexibl (Growth Option as on March 31, 200		Benchmark Returns (%) Crisil Liquid Fund Index: (as on March 31, 2008)				
	Last 1 Year	Regular Plan: 8.72 • Institutional Plan: 8	3.81	Regular Plan: 7.50 • Institut	ional Plan: 7.50			
	Last 3 Years	Regular Plan: 7.25 • Institutional Plan: 7		Regular Plan: 6.25 • Institut				
	Returns since inception Regular Plan@: 6.97 • Institutional Plan@: 7.10 Regular Plan: 5.96 • Institutional Plan: 5.96  Note: Returns of Principal Cash Management Fund - Liquid Option are calculated on absolute basis and Returns of Principal Floating Rate Fund - Flexible Maturity Plan are calculated on compounded annualised basis.  The past performance may or may not be sustained in the future.							
Expenses of the Scheme	^ (Inception dt - 25/10) (i) Load Structure	/00) \$ (Inception dt - 09/05/03) \$\$ (Inception d	at - 30/08/04) @ (I	nception dt - 14/09/04)				
	Entry Load: Nil Exit Load: Nil (ii) Recurring expen First Rs. 100 crore Next Rs. 300 crore Next Rs. 300 crore Balance	uses as a percentage of average daily Net es : 2.25% es : 2.00%						
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	No. 57						
Daily Net Asset Value (NAV) Publication	The NAV will be de www.principalindia.	eclared on all business days and will be com and www.amfiindia.com. You can a	published in 2 Iso telephone u	2 newspapers. NAV can a s at 022-2202 1111.	ilso be viewed o			
For Investor Grievances please contact	Please Refer to Page	No. 61						
Unitholders' Information		and Annual Financial Results shall be proportfolio will either be mailed to unitholo						

# Principal Money Manager Fund (An Open Ended Liquid Scheme)

i illicipai iviolicy	ivialiagei i	All Open Linded Liquid Schel	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,					
Investment Objective	To generate steady i	return by investing in debt and money m	arket securities.					
Asset Allocation Pattern	Type of Instrumen				% of Net	Assets		
of the Scheme	Debt Instruments & instruments with da	Money Market Instruments (Including M ily put and call option)	IBOR linked		Upto 10	00%		
Risk Profile of the Scheme	Mutual Fund investr before investment.	ments are subject to market risks. Please	read the offer d	ocument caref	ully for detai	ls on risk factor		
Investment Plans & Options	Each of the Dividen Further, the aforesai	of the plans (Regular Plan and Institutional Plan) will offer two sub-options namely Growth and Dividend. of the Dividend Options will have a frequency of declaration of dividend on a Daily, Weekly and Monthly ber, the aforesaid dividend options will have the facility of Re-investment, Pay-out and Sweep.  Investment Plan/Options has been detailed below for the benefit of Investors.						
Applicable NAV	Please Refer to Page	No. 60						
Minimum Application Amount / Number of Units	Name of the Plan	Purchase	Additional Pu	rchase		Repurchase		
Amount / Number of Omits	Regular Plan	Rs 10,000 and any amount thereafter under each option.	Subsequent inv			Rs 1,000 or 100 units		
	Institutional Plan	Rs 1 crore and any amount thereafter under the plan, with a minimum of 1 lakh in each option.	Subsequent inv			Rs 1,000 or 100 units		
Despatch of Repurchase (Redemption) Request		days of the receipt of the redemption reqleavour will be made to despatch within			n centre of th	ne Principal utua		
Benchmark Index	CRISIL Liquid Fund I	ndex						
Dividend Policy	Subject to the Plan	generating adequate distributable profit,	dividend will be	distributed from	n time to tin	ne.		
Name of the Fund Manager	Mr. Ritesh Jain							
Name of the Trustee Company	Principal Trustee Co	mpany Private Limited						
Performance of the Scheme	The details of the perfo	ar schemes launched by Principal Mutual I ormance of Principal Cash Management Fund - is Fund are provided below:		ncipal Floating Ra	te Fund - Flexil	ole Maturity Plan		
	Returns	Scheme Returns (%) Principal Cash Management Fund - I (Growth Option as on March 31, 200	Crisil Liquid Fu	Benchmark Returns (%) Crisil Liquid Fund Index: (as on March 31, 2008)				
	Last 1 Year	Regular Plan: 7.58 • Institutional Plan: 7 Institutional Premium Plan: 8.06				nal Plan: 7.43 13		
	Returns since inception	Regular Plan^: 6.38 • Institutional Plan\$ Institutional Premium Plan\$\$: 6.73	5: 6.05	Regular Plan: N Institutional Prer		tional Plan: 5.43 5.93		
	Returns	Scheme Returns (%) Principal Floating Rate Fund - Short (Growth Option as on March 31, 200		Benchmark Ret Crisil Liquid Fu (as on March 3	nd Index:			
	Last 1 Year	Regular Plan: 8.41 • Institutional Plan: 8		Regular Plan: 7.4				
	Last 3 Years	Regular Plan: 7.08 • Institutional Plan: 7		Regular Plan: 6.2				
	Returns since inception	Regular Plan@: 6.79 • Institutional Plan	@: 6.91	Regular Plan: 5.9	96 • Institution	nal Plan: 5.96		
	Rate Fund - Short Mate The past performance	pal Cash Management Fund - Liquid Option ar urity Plan are calculated on compounded annu may or may not be sustained in the future. 0) \$ (Inception dt - 09/05/03) \$\$ (Inception dt	ialised basis.			cipal Floating		
Expenses of the Scheme	First Rs. 100 crore Next Rs. 300 crore Next Rs. 300 crore Balance	es : 2.00%		o, Institutional Pla	an : 0.33%			
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	No. 57						
Daily Net Asset Value (NAV) Publication		eclared on all business days and will be com and www.amfiindia.com. You can a				o be viewed or		
For Investor Grievances please contact	Please Refer to Page	No. 61						
Unitholders' Information		and Annual Financial Results shall be proportfolio will either be mailed to unitholo						

# Principal Tax Savings Fund (An open ended Equity Linked Savings Scheme)

•	95 : 3	ii open ended Equity	y Linked Savings .	JCHEIHE,	,		(Details	in u	he Offer Doc	umen		
Investment Objective	To build a high quali providing returns thr	ough capital appr	eciation.						ors. The scheme	aims a		
	Investment in the Sci	heme is subject to	a lock-in period	d of 3 y	ears 1	from th	ne date of allotmei	nt.				
Asset Allocation Pattern	Types of Instrumen	its					Normal Allo	catio	n (% of Net As	ssets)		
of the Scheme	Equity and Equity Lin	ked Instruments					No	ot less	than 80%			
	Debt securities (inclu	Debt securities (including Securitised Debt) & Money market instruments  Upto 20%										
Risk Profile of the Scheme	Mutual Fund investment.	nents are subject t	to market risks.	Please	read t	he Off	er Document care	fully fo	or details on risk	k factor		
Investment Plans & Options	No Plans or Options	at present										
Applicable NAV	Please Refer to Page	No. 60										
Minimum Application	Purchase		Ac	ldition	al Pu	rchase	•		Repurchase			
Amount / Number of Units	Rs. 500 and any amounder each option	ount thereafter					nt of Rs. 500 and er under each option	on	Rs. 500 or 50	units		
Despatch of Repurchase (Redemption) Request	Within 10 Business Mutual Fund. Althou redemption request l	igh the fund will e	endeavour to de									
Benchmark Index		S&P CNX Nifty The Fund reserves the right to change the said benchmark and / or adopt one / more other benchmarks to compare performance of the Scheme.								pare th		
Dividend Policy	The income and prof and be reflected in the having adequate dist	ne NAV, on an ong										
Name of the Fund Manager	Mr. Shyam Bhat											
Name of the Trustee Company	Principal Trustee Con	npany Private Limi	ited									
Performance of the	Returns (%) as at Ma	arch 31, 2008.										
Scheme	Period	Returns (%)	S&P CNX Nifty	(%)		50.00 —	Year-wise	Retu	rns	_		
	Last 1 Year	23.88	23.75		40.00 -							
	Last 3 Years	34.86	32.46									
	Last 5 Years	47.24	37.03		Returns (%)	30.00 -						
	Since Inception*	23.29	13.84		Retu	20.00 -						
	The past performance future.			n the		10.00 -						
	Note: Returns are calculated on compounded annualised											
	<b>basis</b> . *March 31, 1996.	rediated on <b>comp</b>	ounaca annaa				Principal Tax Savings Fund	Principal Tax Savings Fund S&P CNX Nifty				
Expenses of the Scheme	Exit Load: Ni	25%. r Direct investment - I			. N.							
	(ii) Recurring expe • First Rs. 100 cr	-	itage of avera	ge dall	y ive	ı ASSE	ıs					
	• Next Rs. 300 c											
	• Next Rs. 300 c											
	<ul> <li>Balance</li> <li>(iii) Actual expenses</li> </ul>	: 1.75	Sinancial year 20	07 200	10. 2	DE 0/						
Two advances of feet of	, ,	'	manciai year 20	07-200	70. Z	0/ در						
Tax Treatment for the nvestors (Unitholders)	Please Refer to Page											
Daily Net Asset Value (NAV) Publication	The NAV will be de www.principalindia.c	om and www.am								ewed c		
For Investor Grievances please contact	Please Refer to Page	No. 61										
Unitholders' Information	Account Statement a Scheme(s) / Plan(s) p (Mutual Fund), Regu	ortfolio will either										

<sup>\*</sup> Conditions Apply.

# Principal Personal Tax Saver Fund (An open ended Equity Linked Savings Scheme)

Investment Objective	achieve a return on a	assets in excess of t	he performance of B	SE 100 Inde	x. '	ment Manager will aim			
	Investment in the Sci	heme is subject to a	a lock-in period of 3	years from t	he date of allotment.				
Asset Allocation Pattern	Types of Instrument	s			Normal Allocat	ion (% of Net Assets)			
of the Scheme	Equity and Equity Lin	ked Instruments			Not le	ss than 80%			
	Debt Securities (Inclu	ding Securitised Deb	t) and Money Marke	t Instruments	s Upto 20%				
Risk Profile of the Scheme	Mutual Fund investment.	nents are subject to	market risks. Please	read the Of	fer Document carefully	for details on risk facto			
Investment Plans & Options	No Plans or Options	at present							
Applicable NAV	Please Refer to Page	No. 60							
Minimum Application	Purchase		Addition	nal Purchas	е	Repurchase			
Amount / Number of Units	Rs. 500 and any amounder each option	ount thereafter			ent of Rs. 500 and er under each option	Rs. 500 or 50 units			
Despatch of Repurchase (Redemption) Request		igh the fund will en	ideavour to despatch			on centre of the Princip B Business Days, subject			
Benchmark Index	BSE 100 Index								
	The Fund reserves the performance of the		he said benchmark a	and / or ado	pt one / more other be	nchmarks to compare tl			
Dividend Policy		ne NAV, on an ongo				of the income will rema ividend subject to the Pla			
Name of the Fund Manager	Mr. Pankaj Tibrewal								
Name of the Trustee Company	Principal Trustee Cor	npany Private Limite	ed						
Performance of the	Returns (%) as at Ma	arch 31, 2008.			Year-wise Re	turns			
Scheme	Period	Returns (%)	BSE 100 (%)	50.00	Teal-wise ite	turris			
	Last 1 Year	31.95	24.83	40.00 -					
	Last 3 Years	32.36	33.19			_			
	Last 5 Years	44.64	40.50	rus					
	Since Inception*	31.85	14.67						
				10.00 -					
	The past performance may or may not be sustained in the future.								
	Note: Returns are calculated on compounded annualised basis.								
	*April 12, 1996.								
Expenses of the Scheme	(i) Load Structure Entry Load: 2 Fo Exit Load: Ni (ii) Recurring expe • First Rs. 100 ct • Next Rs. 300 ct • Next Rs. 300 ct • Balance (iii) Actual expenses	25%. r Direct investment - I I Inses as a percent Fores : 2.50 Fores : 2.25 Fores : 2.00 Fores : 1.75	age of average da		ets				
Tax Treatment for the Investors (Unitholders)	Please Refer to Page	No. 57							
Daily Net Asset Value (NAV) Publication					in 2 newspapers. NA ne us at 022-2202 111	V can also be viewed of 1.			
For Investor Grievances please contact	Please Refer to Page	No. 61							
Unitholders' Information		ortfolio will either I				mail / courier. Half - Yea r as permitted under SE			

<sup>^</sup> Conditions Apply. Also subject to a maximum of Rs. 1 lakh.

### TAX TREATMENT FOR THE INVESTORS (UNITHOLDERS):

#### TAX TREATMENT OF INVESTMENTS IN MUTUAL FUNDS

Tax implication for the Fund in respect of its schemes (being an equity oriented fund/other than equity oriented fund/money market mutual fund/liquid fund) and the unitholders (on the assumption that units are not held as stock-in-trade) as per the taxation laws in force:

#### I. PRINCIPAL MUTUAL FUND

The entire income of Fund registered under the Securities and Exchange Board of India Act, 1992 (15 of 1992) or regulations made thereunder will be exempt from income tax in accordance with the provisions of section 10(23D) of the Income-tax Act, 1961. Consequently, income received by the Scheme is not liable for deduction of tax at source

#### A. SECURITIES TRANSACTION TAX (STT)

Principal Mutual Fund, is liable to pay a securities transaction tax as follows:

Taxable Securities Transaction	Rates (%)
Purchase of an equity share in a company or unit of an equity oriented fund, where (a) the transaction of such purchase is entered into in a recognized stock exchange; and (b) the contract for the purchase of such share or unit is settled by the actual delivery or transfer of such share or unit	0.125
Sale of an equity share in a company or a unit of an equity oriented fund, where (a) the transaction of such sale is entered into in a recognized stock exchange; and (b) the contract for the sale of such share or unit is settled by the actual delivery or transfer of such share or unit	0.125
Sale of a derivative, where the transaction of such sale is entered in to a recognized stock exchange	0.017
Sale of unit of an equity oriented fund to the Mutual Fund	0.25

"Taxable securities transaction" has been defined as a purchase or sale of an equity shares in a company or a derivative or a unit of an equity oriented fund, entered into a recognized stock exchange; or sale of a unit of an equity oriented fund to the Mutual Fund

#### **B. DIVIDEND DISTRIBUTION TAX**

Under section 115R of the Income tax Act, 1961, any amount of income distributed by Mutual Fund to its unitholders is chargeable to tax. As per prevailing taxation laws in force, the Dividend Distribution Tax payable by Principal Mutual Fund on Income Distributed to its unitholders is as under:

Nature of the Fund	Individual / HUF (%)	Others (%)
Tax on Income Distributed by a Money Market Mutual Fund^ or a Liquid Fund^^	25*	25*
Tax on Income Distributed by a Fund other than an Equity Oriented Fund (Not being a Money Market Mutual Fund or a Liquid Fund)	12.50*	20*
Tax on Income Distributed by a Equity Oriented Fund#	-	-

Plus applicable surcharge, education cess and secondary & higher education cess. ^ "Money Market Mutual Fund" means a Money Market Mutual Fund as defined in sub-clause (p) of clause (2) of the Securities and Exchange Board of India (Mutual Funds) Regulations, 1996.

^^ "Liquid Fund" means a scheme or plan of a Mutual Fund which is classified by Securities and Exchange Board of India as a Liquid Fund in accordance with the guidelines issued by it in this behalf under the Securities and Exchange Board of India Act, 1992 or regulations made thereunder.

# "Equity Oriented Funds" means "such fund where the investible funds are invested by way of equity shares in domestic companies to the extent of more than Sixty five percent of the total proceeds of such fund". The percentage of Equity share holding of the fund shall be computed with reference to the annual average of the monthly averages of the opening and closing figures.

### II. UNITHOLDERS

# A. DEDUCTION FROM INCOME UNDER SECTION 80C IN RESPECT OF EQUITY LINKED SAVINGS SCHEMES ("ELSS SCHEMES"):

An investment by an Individual or a Hindu Undivided Family in the ELSS scheme will entitle the investor to a deduction from their Gross Total Income as provided under clause (xiii) of section 80C(2) of the

Income Tax Act, 1961. The maximum deduction permissible under this section is Rs. 100,000/- in a year, subject to availability of gross total income of the assessee.

#### B. IN RESPECT OF INCOME DISTRIBUTION:

Under the provisions of section 10(35) of the Income-tax Act, 1961, income received by all categories of unitholders from the Scheme will be exempt from income tax in their hands. In view of this position, no tax needs be deducted at source from such distribution by the scheme. However, income from the transfer of Units of a mutual fund is not exempt from taxation.

#### C. IN RESPECT OF LONG TERM CAPITAL GAINS

#### i. Equity Oriented Schemes

Long term capital gains arising on or after October 01, 2004 (i.e. after the date on which the STT comes into force) from the transfer of units of an Equity Oriented scheme (as defined u/s. 115T of the Income Tax Act, 1961) would be exempt from Income-Tax as per section 10(38) of the Income-Tax Act, 1961. The mutual fund would recover STT @ 0.25% from the unitholder when units are re-purchased by the mutual fund/ redeemed by the investor

### ii. Mutual Fund units other than those of Equity Oriented Schemes Long term capital gains arising from the transfer of units other than Equity Oriented Schemes would be chargeable to tax as under:

### a) For Individuals and HUFs (including Non Resident Indians)

Long-term Capital Gains in respect of Units held for a period of more than 12 months are chargeable under section 112 of the Income-Tax Act, 1961 at the rate of 20% (plus applicable surcharge, education cess and secondary & higher education cess). Capital gains would be computed after taking into account cost of acquisition, as adjusted by Cost Inflation Index notified by the Central Government and expenditure incurred wholly and exclusively in connection with such transfer. In a case, where taxable income, as reduced by long term capital gains, is below the exemption limit, the long term capital gains will be reduced to the extent of the shortfall and only the balance long term capital gains will be charged at the flat rate of 20% (plus applicable surcharge, education cess and secondary & higher education cess).

It is further provided that an assessee will have an option to seek concessional rate of tax of 10% (plus applicable surcharge, education cess and secondary & higher education cess), provided the long term capital gains are computed without substituting indexed cost in place of actual cost of acquisition.

#### b) For Partnership Firms, Indian Companies/Foreign Companies

Long-term Capital Gains in respect of units held for a period of more than 12 months will be chargeable under section 112 of the Income-Tax Act, 1961, at the rate of 20% (plus applicable surcharge, education cess and secondary & higher education cess). Capital gains would be computed after taking into account cost of acquisition, as adjusted by Cost Inflation Index notified by the Central Government, and expenditure incurred wholly and exclusively in connection with such transfer.

It is further provided that an assessee will have an option to avail of the concessional rate of tax of 10% (plus applicable surcharge, education cess and secondary & higher education cess) on long term capital gains computed without adjusting cost for indexation.

#### For Overseas Financial Organisations, and Foreign Institutional Investors fulfilling conditions laid down under section 115AB and 115AD respectively

Under section 115AB/115AD of the Income-Tax Act, 1961, long term capital gains in respect of units held for a period of more than 12 months will be chargeable at the rate of 10% (plus applicable surcharge, education cess and secondary & higher education cess). Such gains would be calculated without indexation of cost of acquisition.

### d) Setting Off Previous Year's Brought Forward Losses

Loss arising on transfer of a long term capital asset can be set off only against other long term capital gains and not against any other income. If there is nil or inadequate long term capital gains in any year, the loss remaining will be allowed to be carried forward to the next year upto a maximum of 8 years.

### D. SHORT TERM CAPITAL GAINS:

#### i. Equity Oriented Schemes

Short term capital gains arising on or after October 01, 2004 (i.e. after the date on which the STT comes into force) from the transfer

of units of an equity oriented scheme (as defined under Section 115T of the Income Tax Act, 1961) would be charged to tax u/s. 111-A of the Income Tax Act, 1961 @ 10% (plus applicable surcharge, education cess and secondary & higher education cess). The mutual fund would recover STT @ 0.25% from the unitholder when units are re-purchased by the mutual fund/redeemed by the investor.

# The Finance Bill 2008 has proposed to increase the rate of Short Term Capital Gains Tax to 15% w.e.f. April 1, 2008.

Computation of STT: For better clarity, some examples are listed below:

Redemption without Exit (wherever applicable):	: load	Redemption with Exit le	oad:
Investment Amount:	Rs. 10,000.00	Investment Amount:	Rs. 10,000.00
Purchase NAV:	Rs. 10.00	Purchase NAV:	Rs. 10.00
Units Allotted:	1000.000	Units Allotted:	1000.000
Redemption NAV:	Rs.15	Redemption NAV:	Rs.15.00
Gross redemption amount:	Rs.15,000.00	Exit load :	0.25%
STT Rate:	0.25%	Exit Price:	14.9625
Net redemption Amount:	Rs.14,962.50	Gross redemption amount:	Rs.14,962.50
STT:	Rs.37.50/-	STT Rate:	0.25%
		Net redemption Amount :	Rs.14,925.09
		STT:	Rs.37.41/-

### ii. Mutual Fund units other than Equity Orinted Schemes

Short term capital gains arising from the transfer of units other than Equity Oriented Schemes would be chargeable to tax as under:

#### a. Capital Gains/Losses

Short term capital gains are taxed at the normal rates applicable to each unitholder. Loss arising on transfer of a short term capital asset can be set off only against other short term capital gains or long term capital gains. If there is nil or inadequate capital gains in any year, the loss remaining will be allowed to be carried forward to the next year upto a maximum of 8 years.

#### b. Income Tax Rates

Short term Capital Gains in respect of Units held for a period of not more than 12 months is added to the total income. Total income including short-term capital gains is chargeable to tax as per the relevant slab rates. The maximum marginal tax rates applicable to different categories of assessees are as follows:

Resident individuals and HUF	30% ^
Partnership Firms	30% ^
Domestic Companies	30% ^
Non Resident Indians	30% ^
Foreign Companies	40% ^

#### c. Dividend and Bonus Stripping

As per section 94(7), if any person buys or acquires units within a period of three months prior to the record date fixed for declaration of dividend, or distribution of income, and sells or transfers the same within a period of nine months from such record date, then capital losses arising from such sale to the extent of dividend or income received or receivable on such units will be ignored for the purpose of computing his income chargeable to tax.

Similarly, as per section 94(8), if any person buys or acquires units within a period of three months prior to the record date fixed for declaration of bonus units and sells or transfers the same within a period of nine months from such record date, then capital losses arising from such sale will be ignored for the purpose of computing his income chargeable to tax and the loss so ignored shall be deemed to be the cost of the bonus units.

### E. TAX DEDUCTION AT SOURCE

Under section 195/196B/196D of the Income Tax Act, 1961, tax shall be deducted at source in respect of capital gains as under:

a	In case of	f non	resident	other	than	a	company	_
a.	III Case C	ווטוו וי	resident	ouiei	uiaii	а	CUITIDATIV	-

	Long term capital gains (other than Equity oriented schemes)	20% ^
	> Short term capital gains	30%^
b.	In case of foreign company -  ➤ Long term capital gains (other than Equity oriented schemes)  ➤ Short term capital gains	20% ^ 40% ^
c.	In case of Offshore Fund and FIIs as defined in 115AB > Long term capital gains	10% ^

^ plus applicable surcharge, education cess and secondary & higher education cess.

As per circular no. 728 dated October 1995 by CBDT, in the case of a remittance to a country with which a Double Taxation Avoidance Agreement (DTAA) is in force, the tax should be deducted at the rate provided in the Finance Act of the relevant year or at the rate provided in DTAA between India and that country whichever is more beneficial to the tax payer.

# F. EXEMPTION FROM TAX ON CAPITAL GAINS ARISING ON TRANSFER OF UNITS HELD FOR MORE THAN 12 MONTHS (WHEREVER APPLICABLE)

### U/S. 54EC of the Income Tax Act, 1961

Under section 54EC of the Income Tax Act, 1961, where a tax payer has made long term capital gains from the transfer of units held in the Mutual Fund for a period exceeding 12 months and the assessee has any time within a period of 6 months after the date of such transfer, invested the whole of the capital gains in any of the specified assets i.e., in bonds redeemable after 3 years issued by the National Bank for Agriculture and Rural Development, or by the National Highways Authority of India or by the Rural Electrification Corporation Limited or by The National Housing Bank or by the Small Industries Development Bank of India, such capital gains shall be exempted from tax on capital gains under section 54EC of the Income Tax Act, 1961. However, if the assessee has invested only a part of the capital gains, he will be eligible for proportionate exemption.

#### U/S 54ED of the Income Tax Act, 1961

Under Section 54ED, whereby the capital gains arising from the transfer (before the 1st day of April 2006) of units held in the mutual fund for a period exceeding 12 months will be exempt, if the assessee has, any time within a period of 6 months after the date of such transfer, invested the whole of the capital gains in acquiring equity shares forming part of an eligible issue of capital. However, if the assessee has invested only a part of the capital gains, he will be eligible for proportionate exemption. An eligible issue of capital means an issue of equity shares offered for subscription to the public by a public company formed and registered in India.

#### Indirect Tax impact on investors due to tax impact on the scheme:

The scheme may be impacted by the rates of taxation on capital gains, interest and other corporate actions on investment by non resident mutual funds, in different countries of investment, in line with the prevailing tax laws in those countries of investment, as also in line with the respective tax treaties in existence with India

## G. INVESTMENTS BY CHARITABLE AND RELIGIOUS TRUSTS IN THE SCHEME

Units of the Scheme constitute an eligible avenue for investment by charitable or religious trusts per rule 17C of the Income Tax Rules, 1962, read with clause (xii) of sub-section (5) of section 11 of the Income Tax Act, 1961.

### H. WEALTH TAX

Units held under the Scheme are not treated as assets within the meaning of section 2(ea) of the Wealth Tax Act, 1957 and are, therefore, not liable to Wealth-Tax.

### I. GIFT TAX

Units of the Scheme may be given as a Gift and no Gift tax will be payable either by the donor or the donee, as the Gift Tax Act has been abolished with effect from 1st October, 1998.

The information given above is included only for general purpose and is based on advise received by the AMC regarding the law and practise currently in force in India and the Investors/Unit holders should be aware that the relevant fiscal rules or their interpretation may change. As is the case with any investment, there can be no guarantee that the tax position or the proposed tax position prevailing at the time of an investment in the Scheme will endure indefinitely. In view of the individual nature of tax consequences, each Investor / Unit holders is advised to consult his / her own professional tax advisor.

### ASSET ALLOCATION PATTERN OF THE SCHEME FOR PRINCIPAL LARGE CAP FUND

Investment Patttern: Under normal circumstances, the asset allocation would be as follows:

Types of Instruments	% of Net Assets		
	Minimum	Maximum	
Large Cap Equity and Equity Related Instruments*	65%	100%	
Equity and Equity Related instruments (Other than in (1) above)	0%	35%	
Money Market Instruments	0%	30%	

<sup>\*</sup> For the purpose of this Fund, Large Cap Companies are defined as those having market capitalization greater than Rs.750 crores as on the date of investment (or any such amount as may be specified by India Index Services Ltd. (IISL) from time to time) being the upper limit of market capitalisation as a criteria for inclusion of a company in CNX Midcap 200 Index. However, should IISL come out with a definition of 'Large Cap companies', the same will be utilized.

### ASSET ALLOCATION PATTERN OF THE SCHEME FOR PRINCIPAL JUNIOR CAP FUND

Investment Patttern: Under normal circumstances, the asset allocation would be as follows:

Types of Instruments	% of Net Assets		
	Minimum	Maximum	
Equity and equity related instruments of the companies within the market capitalization range of the companies comprising CNX Nifty Junior Index.*	65%	100%	
Out of the above (a), equity and equity related instruments of companies that comprise CNX Nifty Junior Index.	51%	100%	
Equity and equity related instruments of the companies with the market capitalization below Rs. 2000 crores as on the date of investment.	0%	35%	
Money Market Instruments.	0%	30%	

Based on the market capitalization of the companies as of the last trading day of immediately preceding month as available on the website of National Stock Exchange i.e. www.nseindia.com. The market capitalization range of the companies comprising CNX Nifty Junior Index as of March 31, 2005 is between Rs. 849 crores to Rs. 8200 crores.

### ASSET ALLOCATION PATTERN OF THE SCHEME FOR PRINCIPAL INFRASTRUCTURE & SERVICES INDUSTRIES FUND

Investment Patttern: Under normal circumstances, the asset allocation would be as follows:

Types of Instruments	% of Net Assets		
	Minimum	Maximum	
Equity and Equity related instruments of the companies in the infrastructure Industries	25%	75%	
Equity and Equity related instruments of the companies in the Services Industries	25%	75%	
Total Equity	70%	100%	
Debt (including securitised debt) & Money Market Instruments	0%	30%	

### ASSET ALLOCATION PATTERN OF THE SCHEME FOR PRINCIPAL INCOME FUND

Income Fund and Income Fund - Institutional Plan

Types of Instruments	Normal Allocation (% of Net Assets)
Debt Securities	Upto 100%
Money Market Instruments	Upto 100%
Securitised Debt	Upto 50%

#### Short Term Plan and Short Term Plan - Institutional Plan

Types of Instruments	Normal Allocation (% of Net Assets)
Debt securities (including Securitised Debt upto 50%)	Upto 100%
Money Market Instruments	Upto 100%

### ASSET ALLOCATION PATTERN OF THE SCHEME FOR PRINCIPAL FLOATING RATE FUND

Types of Instruments	Normal Allocation (% of Net Assets)
Floating Rate Debt Instruments*	65 to 100%
Fixed Rate Debt Instruments	0 to 35%

<sup>\*</sup> Floating rate instruments include fixed rate instruments swapped for floating rate returns.

# APPLICABLE NAV FOR ALL SCHEME(S) / PLAN(S) OF PRINCIPAL MUTUAL FUND EXCEPT LIQUID SCHEME(S) / PLAN(S) AND PRINCIPAL GLOBAL OPPORTUNITIES FUND:

#### For Subscription / Switch -in / Sweep:

- a. In respect of valid applications received upto 3.00 p.m. with a local cheque or demand draft payable at par at the Official Points of Acceptance of Transactions where it is received, the closing NAV of the day of receipt of application shall be applicable;
- b. In respect of valid applications received after 3.00 p.m. with a local cheque or demand draft payable at par at the Official Points of Acceptance of Transactions where it is received, the closing NAV of the next Business Day shall be applicable; and
- c. In respect of the valid applications received with an outstation cheque or demand draft not payable on par at the Official Points of Acceptance of Transactions where the application is received, the closing NAV of day on which the cheque or demand draft is credited shall be applicable.

#### For Redemptions / Switch-out / Reverse Sweep:

- In respect of valid applications received upto 3.00 p.m. at the Official Points of Acceptance of Transactions, the closing NAV of the day of receipt of application shall be applicable; and
- b. In respect of valid applications received after 3.00 p.m. at the Official Points of Acceptance of Transactions, the closing NAV the next Business Day shall be applicable.

# APPLICABLE NAV FOR LIQUID SCHEMES / PLANS OF PRINCIPAL MUTUAL FUND:

### For Subscription / Switch-in / Sweep:

- In respect of valid applications received upto 12.00 noon on a day at the Official Points of Acceptance of Transactions and the funds are available for utilization on the same day, the closing NAV of the day immediately preceding the day of receipt of application shall be applicable;
- b. In respect of valid applications received after 12.00 noon on a day at the Official Points of Acceptance of Transactions and the funds are available for utilization on the same day, the closing NAV of the day immediately preceding the next Business Day shall be applicable; and
- c. Irrespective of the time of receipt of application at the Official Points of Acceptance of Transaction, where the funds are not available for utilization on the day of the application, the closing NAV of the day immediately preceding the day on which the funds are available for utilization shall be applicable.

### For Redemptions / Switch-out / Reverse Sweep:

- a. In respect of valid applications received upto 3.00 p.m. at the Official Points of Acceptance of Transactions, the closing NAV of the day immediately preceding the next Business Day shall be applicable; and
- b. In respect of valid applications received after 3.00 p.m. at the Official Points of Acceptance of Transactions, the closing NAV of the next Business Day shall be applicable.

In case of 'switch' transactions from one scheme to another, the allocation shall be in line with redemption payouts.

All Saturday shall be a Business Day for the limited purpose of accepting requests for purchases.

# APPLICABLE NAV FOR PRINCIPAL GLOBAL OPPORTUNITIES FUND

#### For Subscriptions / Switch-in:

- a. In respect of valid applications received upto 12.30 p.m. by the Fund along with a local cheque or a demand draft payable at par at the place where the application is received, the closing NAV of the day on which application is received shall be applicable.
- b. In respect of valid applications received after 12.30 p.m. by the Fund along with a local cheque or a demand draft payable at par at the place where the application is received, the closing NAV of the next Business Day shall be applicable.

### For Redemptions / Switch-out:

- In respect of valid applications received upto 12.30 p.m. by the Mutual Fund, same day's closing NAV shall be applicable.
- b. In respect of valid applications received after 12.30 p.m. by the Mutual Fund, the closing NAV of the next Business Day shall be applicable.

# FOR SYSTEMATIC INVESTMENT PLAN / SYSTEMATIC TRANSFER PLANS / SWITCHES:

#### Systematic Investment Plans

Scheme	
All Equity, Balanced and ELSS except Principal Child Benefit Fund	Entry Load - 2.25% (For Direct Investment - Nil). Exit Load - Nil.
Principal Child Benefit Fund	Entry Load - 2.25% (For Direct Investment - Nil). Exit Load - 3.00% if redeemed within 3 years, 2.00% if redeemed within 3 years to 5 years. NIL if redeemed after 5 years.
Principal Income Fund	Entry Load - Nil. Exit Load - 0.50% for investment = Rs. 10 Lacs, if redeemed on or before 180 days.</td
Principal Monthly Income Plan Principal Monthly Income Plan - MIP Plus	Entry Load - Nil. Exit Load - 0.50% for Investments of = Rs.10 Lacs if redeemed on or before 180 days, 0.25% for Investments Rs.10 Lacs & < Rs. 5 crores if redeemed on or before 30 days, NIL for Investments of Rs. 5 crores and above.
Principal Floating Rate Fund - Flexible Maturity Plan	Entry Load - Nil. Exit Load - 0.25% if redeemed on or before 90 days for subscription =Rs.10 Lacs.</td

#### **Systematic Transfer Plans**

Scheme	
All Equity & Balanced Schemes except Principal Child Benefit Fund	Entry Load - 2.25% (For Direct Investment - Nil). Exit Load - Nil.
Principal Income Fund	Entry Load - Nil. Exit Load - 0.50% for invstments = Rs. 10 Lacs, if redeemed on or before 180 days.</td
Principal Monthly Income Plan Principal Monthly Income Plan - MIP Plus	Entry Load - Nil. Exit Load - 0.50% for Investments of = Rs.10 Lacs if redeemed on or before 180 days, 0.25% for Investments Rs.10 Lacs & < Rs. 5 crores if redeemed on or before 30 days, NIL for Investments of Rs. 5 crores and above.
Principal Floating Rate Fund - Flexible Maturity Plan	Entry Load - Nil. Exit Load - 0.25% if redeemed on or before 90 days for subscription = Rs.10 Lakhs.</td
Switches	No Entry Load on switches between all Equity and Balanced schemes excluding Principal Child Benefit Fund. For switches from Principal Index Fund to any other equity or balanced fund the differential entry load between the one paid for while entering Principal Index fund and the entry load applicable for the switch into the new scheme would be charged.

# MINIMUM APPLICATION AMOUNT / NUMBER OF UNITS FOR PRINCIPAL INCOME FUND AND PRINCIPAL INCOME FUND - SHORT TERM PLAN

Purchase	Additional Purchase	Repurchase
Rs. 5000 and any amount thereafter under each option	Subsequent investment of Rs. 500 and any amount thereafter under each option	Rs. 500 or 50 units
Rs. 10,000 - For Auto Earning Payout (AEP)	For AEP - Rs. 500	Rs. 500 or 50 units

# MINIMUM APPLICATION AMOUNT / NUMBER OF UNITS FOR PRINCIPAL INCOME FUND - INSTITUTIONAL PLAN

Purchase	Additional Purchase	Repurchase
Rs. 1 lakh and any amount thereafter under each option	Subsequent investment of Rs. 1 lakh and any amount thereafter under each option	Rs. 1,000 or 100 units

# MINIMUM APPLICATION AMOUNT / NUMBER OF UNITS FOR PRINCIPAL INCOME FUND - SHORT TERM PLAN - INSTITUTIONAL PLAN

Purchase	Additional Purchase	Repurchase
Rs. 10 lakhs and any amount thereafter under the plan, with a minimum of Rs.1 lakh in each option.	Subsequent investment of Rs. 1 lakh and any amount thereafter under each plan	Rs. 1,000 or 100 units

# MINIMUM APPLICATION AMOUNT / NUMBER OF UNITS FOR PRINCIPAL CASH MANAGEMENT FUND - LIQUID OPTION

Purchase	Additional Purchase	Repurchase
Rs. 10,000 and any amount thereafter under each option	Subsequent investment of Rs. 1,000 and any amount thereafter under each option	Rs. 1,000 or 100 units

# MINIMUM APPLICATION AMOUNT / NUMBER OF UNITS FOR PRINCIPAL CASH MANAGEMENT FUND - LIQUID OPTION - INSTITUTIONAL PLAN

Purchase	Additional Purchase	Repurchase
Rs. 1 crore and any amount thereafter under the plan, with a minimum of Rs.1 lakh in each option.	Subsequent investment of Rs. 1 lakh and any amount thereafter under each plan	Rs. 1,000 or 100 units

# MINIMUM APPLICATION AMOUNT / NUMBER OF UNITS FOR PRINCIPAL CASH MANAGEMENT FUND - LIQUID OPTION - PREMIUM INSTITUTIONAL PLAN

Purchase	Additional Purchase	Repurchase
Rs. 10 crores and any amount thereafter under the plan, with a minimum of Rs.1 lakh in each option.	Subsequent investment of Rs. 1 lakh and any amount thereafter under each plan	Rs. 1,000 or 100 units

# MINIMUM APPLICATION AMOUNT / NUMBER OF UNITS FOR PRINCIPAL FLOATING RATE FUND

Purchase	Additional Purchase	Repurchase
Short Maturity Plan - Regular Option and Flexible Maturity Plan - Regular Option Rs. 5,000 and any amount thereafter under each option	Short Maturity Plan - Regular Option and Flexible Maturity Plan - Regular Option Subsequent investment of Rs. 500 and any amount thereafter under each option	Rs. 500 or 50 units
Short Maturity Plan - Institutional Option and Flexible Maturity Plan - Institutional Option Rs. 1 crore and any amount thereafter under the plan, with a minimum of Rs.1 lakh in each option.	Short Maturity Plan - Institutional Option and Flexible Maturity Plan - Institutional Option Subsequent investment of Rs. 1 lakh and any amount thereafter under each plan	Rs. 500 or 50 units

**Note:** No load (entry or exit) shall be chargeable on any transaction/s made by any "Fund of Funds Scheme/s" managed by Principal Pnb Asset Management Company Private Limited or managed by any other Asset Management Company, in any of the existing schemes (or any scheme/s launched from time to time unless specified otherwise) of Principal Mutual Fund.

### FOR INVESTOR GRIEVANCES PLEASE CONTACT:

Name and Address of Registrar

#### Karvy Computershare Pvt. Ltd.

21, Avenue 4, Street No. 1, Banjara Hills, Hyderabad-500 034.

Name, address, telephone number, fax number, e-mail I.d of Mutual Fund **Principal Mutual Fund** 

Exchange Plaza, 'B' wing, Ilnd Floor, NSE Building, Bandra Kurla Complex, Bandra (E), Mumbai - 400 051, India.

Tel.: 022-2202 1111, 6659 0333. Fax: 022-2284 6442

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Date : April 25, 2008.

### Principal Pnb Asset Management Company Private Limited

Mumbai: Exchange Plaza, 'B' Wing, 3rd Floor, NSE Building, Bandra Kurla Complex, Bandra (East), Mumbai-400 051. Tel.: (022) 2202 1111. C/o. PNB - Integrated Zonal Off., 2/3, Raghunath Nagar, M.G. Road, Agra-282 002. Tel.: (0562) 6453016 / 09997020063 Agra:

Ahmedabad: 401, Broadway Business Centre, Opp. Samartheshwar Mahadev Temple, Law Garden Cross Road, Ellisbridge, Ahmedabad-380 006. Tel.: (079) 2640 7933-36.

55, Ajmer Tower, Kuchehry Road, Ajmer, Rajasthan - 305 001 India. Tel.: (0145) 2425015 / 09829447268. Aimer: C/o. Punjab National Bank, Mcleod Road, Amritsar-143 001. Tel.: (0183) 5063303 / 09872838208. Amritsar: Asansol: Safe Savings, Street No.1, House No.2, Hindustan Park, Asansol - 713 304. Tel.: (0341) 2256809 / 09434002312.

Bangalore: Raheja Paramount, Unit No. 001 / 1, Ground Floor, #138; Residency Road, Bangalore-560 025. Tel: (080) 64541251-52 / 65370869-71.

302, Akanksha-2, Press Complex, Zone-I, M.P Nagar, Bhopal-462 011. Tel.: (0755) 4252121, 4256161. **Bhopal:** 

Bhubaneshwar: Gr. Floor, O.C.H.C Building, Near Ram Mandir, Janpath, Kharavel Nagar, Bhubaneswar-751 001. Tel.: (0674) 6541276 / 09937063766.

Aykantik, 498, B.C. Road, Beside Proyozone, Burdwan - 713 101. Tel.: 09434477053. Burdwan:

SCO 455-56, 2nd Floor, Sector-35 C, Chandigarh-160 022. Tel: (0172) 508 9514 / 507 5068 / 4611456. Chandigarh: Chennai: 305, Challamal Complex, 3rd Floor, 11 Thiyagaraya Road, Chennai-600 017. Tel.: (044) 24314678-79 / 24353887. Coimbatore: No. 9, Gowtham Center Annexe, 1054, Avinashi Road, Coimbatore-641018. Tel.: (0422) 4393561. Tele/Fax: (0422) 4393562.

Dehradun: Below Digvijay Cinema, Clock Tower, Dehradun-248 001. Tel.: (0135) 2713758 / 09719003097

Aykantik, C-SO-10, Central Market, City Centre, Durgapur - 713 216. Tel.: (0343) 2548056 / 09434014743 **Durgapur:** 

Guwahati: C/o. PNB Regional Office, Nilgiri Mansion, Bhangagarh, G.S. Road, Guwahati-781 005. Tel.: (0361) 2463563 / 09864151519.

White House, 503, 5th Floor, Block No. 1, Begumpet, Hyderabad-500 016. Tel: (040) 6675 0380 / 6662 0812. Hvderabad: 406, City Center, 570, M.G. Road, Indore-452 001. Tel: (0731) 406 7345 / 406 7596 / 09826045003 Indore: Jaipur: 305-B, 3rd Floor, Shyam Anukampa Complex, Ashok Marg, C-Scheme, Jaipur-302 001. Tel.: (0141) 511 8240 / 60 / 61.

Jalandhar: C/o. Punjab National Bank, Nakodar Road, Near Jyoti Chowk, Jalandhar-144 001. Tel.: (0181) 5061251 / 09888378414. 109, Kamani Centre, 3rd Floor, Bistupur, Jamshedpur-831 001. Tel.: (0657) 232 0938 / 645 7807 / 099343 03911 / 099343 10017 Jamshedpur:

Jodhpur: 802, PNB Building, Chopasni Road, Jodhpur-342 003. Rajasthan Tel.: (0291) 6537371 / 09829437371.

118-119, Kan Chambers, Near Stock Exchange Building, 13/114 Civil Lines, Kanpur-208 001. Tel: (0512) 233 2005 / 233 2004. Kanpur:

2nd Flr., Mayur Business Center, Pullepady Junction, Chittor Road, Kochi-682 035. Tel.: (0484) 6533164-165. Kochi: Kolkata: Block No. 503, SHUBHAM, 5th Floor, 1, Sarojini Naidu Sarani, Kolkata-700 017. Tel: (033) 2281 7268 / 2281 7247. Lucknow: Sky Hi Chambers, S-205, 2nd Floor, 11/5, Park Road, Lucknow-226 001. Tel.: (0522) 223 9770 / 223 8816. Ludhiana: 302, SCO-18, Opp. Ludhiana Stock Exchange, Feroze Gandhi Market, Ludhiana-141001. Tel.: (0161) 277 4209 / 508 6682.

Mangalore: 1st Floor, Immanuel Building, Near HDFC Bank, Mallikatte, Kadri, Mangalore-575 002.Tel.: 9986008285.

Nagpur: Block No.105, 1st Floor, Bhagwaghar Complex, Opposite Ajit Bakery, Dharampeth, Nagpur 440 010. Tel.: (0712) 2541563 / 09850316126. Dhanlakshmi Business Point, Cabin No. 14/15, 7 Sathye Baug, M.G. Road, Nasik-422 001. Tel.: (0253) 2312971-74 ext 215 / 098227 47902. Nasik:

New Delhi: 310, Ansal Bhawan, 16, K.G. Marg, New Delhi-110 001. Tel: (011) 6611 5111.

610, Ashiana Hariniwas, Dak Bungalow Road, Patna-800 001. Tel.: (0612) 6455312 / 2230314 / 09934303367. Patna: Pune: 1st Floor, Shreenath Plaza, Dnyaneshwar Paduka Chowk, F. C. Road, Pune-411 005. Tel.: (020) 2553 8737 / 38, 6601 5055. Shop No. 248-249, Lalganga Shopping Mall, G.E. Road, Raipur-492001 (Chattisgarh). Tel.: (0771) 4042115 / 4042116. Raipur: 315, Star Chambers, Harihar Chowk, Panchnath Road, Rajkot-360 001. Tel.: (0281) 6594383 / 09879740237 Rajkot: Ranchi: Shop No. 11, A C Market, G.E.L. Church Complex, Main Road, Ranchi-834 001. Tel.: (0651) 2332092 / 09931771010.

Nanak Complex, 3rd Floor, Sevoke Road, Siliguri-734 401. Tel.: (0353) 2526377 / 09832018828. Siliauri: 206 Jolly Plaza, Athwagate, Surat-395001. Tel: (0261) 246 0123 / 657 7964. Telefax: (0261) 246 3256. Surat:

**Udaipur:** 301, 3rd Floor, Madhav Chambers, Opp. G.P.O., Chetak Circle, Madhuban, Udaipur-313001. Tel.: (0294) 5120699 / 2420261 / 09828192181.

Vadodara: 103, Paradise Complex, Sayajigunj, Vadodara-390 005. Tel.: (0265) 658 6212.

C/o. Vibha Blasting (P) Ltd., 54-20/6-15, Plot No. 25, 2nd Lane, 1st Cross Road, Kanakadurga, Gazetted Officers Colony, Vijayawada-520 008. Tel.: 09959193111. Vijayawada:

Visakhapatnam: D.No-47-10-10, 1st Floor-3, Rednam Regency, Near Diomond Park, Dwarkanagar, Visakhapatnam-530 016. Tel.: (0891) 6636301-02 / 09866048360.

### Principal Mutual Fund - Investor Service Centres (ISC) - Karvy Computershare Private Limited

Agra: (0562) 4000601 Ahmedabad: (079) 26402967 / 32997687 Ajmer: (0145) 2628055 / 2628065 Allahabad: (0532) 3294281 / 2260291 Amritsar: (0183) 5053804 / 05 Anand: (02692) 320394 Aurangabad: (0240) 2363530 Bangalore: (080) 25320085 Bareilly: (0581) 2476809 Ext: 32 Baroda: (0265) 6640872 Bhavnagar: (0278) 2567005

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