

# Principal Global Investors Funds Application Form

Please complete and MAIL\* application form and payment to:

**Principal Global Investors (Asia) Limited**

5/F Shui On Centre  
6-8 Harbour Road  
Wanchai  
Hong Kong  
Telephone: +852 2117 8383 Facsimile: +852 2918 1461

\* All **initial** applications must be mailed, although a facsimile copy can be accepted provided the original is subsequently received. **Additional** investments may be made by facsimile.

<b>Agent only</b>	
Agent name	<input type="text"/>
Agent number	<input type="text"/>
Commission	<input type="text"/>
	<input type="text"/>

Please print in capital letters and use crosses (X) in boxes where appropriate.

## 1. Investor Details

Are you an existing investor?  No  Yes – Investor no.

Type of investor  Individual  Joint  Company  Trustee

**For Corporate Investors:**

Company/Trustee name

**For All Investors:  
Investor 1 / Director 1**

Title  Mr  Mrs  Ms  Other

First name(s)

Surname

Nationality

Date of birth  D  M  Y Sex  M  F

**Investor 2 (for joint accounts) / Director 2**

Title  Mr  Mrs  Ms  Other

First name(s)

Surname

Nationality

Date of birth  D  M  Y Sex  M  F

## 2. Address Details

Please note that this address will be used for all correspondence unless otherwise specified. If you would like to nominate a different correspondence address, please attach details on a separate sheet.

Address

Country  Postcode

Phone: business  home   
fax

Name of contact person for company/trustee accounts

## 3. E-mail

E-mail Address

Where possible, please provide fund correspondence to me by email  No  Yes

## 4. Investment Details

Please select the unit class in which you are investing:  Investor Class<sup>1</sup> or  Institutional Class<sup>2</sup>

1. Investor Class – minimum initial investment amount US\$10,000 per fund  
2. Institutional Class – minimum initial investment amount US\$2,000,000 per fund

Name of fund	Settlement Currency	Investment Amount	Type of units*		Class Currency
			Accum.	Inc.	
GLOBAL EQUITY FUND			<input type="checkbox"/> OR <input type="checkbox"/>		
EUROPEAN EQUITY FUND			<input type="checkbox"/> OR <input type="checkbox"/>		
ASIAN EQUITY FUND			<input type="checkbox"/> OR <input type="checkbox"/>		
JAPANESE EQUITY FUND			<input type="checkbox"/> OR <input type="checkbox"/>		
EMERGING MARKETS EQUITY FUND			<input type="checkbox"/> OR <input type="checkbox"/>		
U.S. EQUITY FUND			<input type="checkbox"/> OR <input type="checkbox"/>		
PREFERRED SECURITIES FUND			<input type="checkbox"/> OR <input type="checkbox"/>		EUR <input type="checkbox"/> USD <input type="checkbox"/>
HIGH YIELD FUND			<input type="checkbox"/> OR <input type="checkbox"/>		EUR <input type="checkbox"/> USD <input type="checkbox"/> Sterling <input type="checkbox"/>
STRATEGIC FIXED INCOME FUND			<input type="checkbox"/> OR <input type="checkbox"/>		EUR <input type="checkbox"/> USD <input type="checkbox"/> Sterling <input type="checkbox"/>
TOTAL					

\*Please contact Principal Global Investors (Europe) Limited (PGIE) for information on which unit classes are available.

If a unit type is not selected you will automatically receive Accumulation units. Unless otherwise advised, any distribution earned by holders of Income Class units will be reinvested in further Income units in the relevant Fund.

Please indicate here if you prefer to receive distributions in cash:  Cash Distributions

Please indicate how settlement will be made:  Telegraphic Transfer/Wire OR  Cheque/Bank Draft

Please reference the registered unitholder(s) and the fund name(s) in all wire transfers.

Cheques or bank drafts made out in U.S. Dollars should be made payable to PGI (Ire) Ltd—TA—USD, and for payments in Euros should be made payable to PGI (Ire)—TA—EUR. In all cases, cheques and bank drafts should be crossed “A/C Payee and Not Negotiable.”

### Electronic Transfers

#### U.S. Dollar:

Account Name: PGI (Ire) Ltd—TA—USD  
Account Number: 11300059  
Beneficiary Bank: Citibank N.A. London  
Beneficiary Bank  
Swift Code: CITIGB2L  
Intermediary Bank: Citibank N.A. New York  
Intermediary Bank:  
Swift Code: CITIUS33  
IBAN: GB31CITI118500811300059

#### Euro:

Account Name: PGI (Ire)—TA—EUR  
Account Number: 11299999  
Beneficiary Bank: Citibank N.A. London  
Beneficiary Bank  
Swift Code: CITIGB2L  
IBAN: GB02CITI118500811299999

Settlement is generally effected in the Class Currency, but can be arranged in other major currencies including Euros and Pounds Sterling. If you wish to arrange payment in one of these other currencies, please contact PGIE. You are deemed to request the Manager to prepare your Contract Note and Regular Statements in the currency in which you make payment — however, if you would prefer they be denominated in USD, please contact PGIE.

## 5. Nominated Bank Account Details

Please provide the full bank details into which any redemption proceeds will be paid. (The account name must include the name of the applicant). Please note that we do not support payment of redemption proceeds by cheque.

Bank name	<input type="text"/>
Address	<input type="text"/>
Account name	<input type="text"/>
Account no.	<input type="text"/>
IBAN	<input type="text"/>
Sort/Swift code	<input type="text"/>
Currency of acct.	<input type="text"/>

Redemption proceeds may take up to 10 business days for processing.

## 6. Declarations and Acknowledgements

The person(s), if any, signing on behalf of an investor represent(s) and warrant(s) that they are duly authorised to sign this application form and to subscribe for units. The present redemption instruction shall apply to the relevant fund and shall be valid until cancelled by me/us in writing. Joint applicants acknowledge that they are also bound by these instructions. Principal Global Investors (Ireland) Limited (the Manager) is hereby authorised and instructed to accept and execute any instructions in respect of the Units to which this application relates given by me/us by facsimile or untested telex, irrespective of the amount and, in the case of transfers, in the name of the beneficiary. The Manager shall not be obliged to require any proof of identity apart from the personal client number. I/We declare that subject to such number being provided, the Manager and/or Administrator (Citibank Europe plc) shall in no case be held liable for the execution of untested telexes or facsimile instructions given by any unauthorised person.

Anti-money laundering — to comply with the relevant regulations you may (if you haven't already) be required to provide the details requested on this page. If we do not receive satisfactory evidence, then we may request further information. The transaction shall not proceed any further until such information is received.

I/We hereby undertake to observe and be bound by the provisions of the Trust Deed (as amended from time to time) constituting the Unit Trust and apply to be entered in the register of Unitholders as the holders of the Units issued in relation to this application.

I/We certify that I/we:

- Am/are not a person or entity to whom offers or sales of Units may not be made;
- Am/are not prohibited from holding Units as provided in the Prospectus;

- Am/are not acting on behalf of any person or entity to whom offers or sales of Units may not be made or who is prohibited from holding Units as provided in the Prospectus;
- Shall inform the Manager if I/we become a person or entity prohibited from holding Units as provided in the Prospectus;
- Have legal capacity to apply for, and hold, units in the Unit Trust;
- Agree that personal information obtained in relation to an investor or distributor will be held on computer and may be disclosed by the Manager, the Administrator, the Adviser or the Trustee to each other of them or their related companies and may be used for the purposes of maintaining records, administration of the investment and marketing of the Unit Trust or other investment products or services of the Manager or its related companies, and that such information may be transferred to countries outside the EEA for these purposes, and that such countries may not have equivalent data protection laws to those in Europe. Under the Data Protection Act, 1988, the investor or distributor will have the right to obtain a copy of the information held about it, for which it may be charged a fee;
- Hereby hold harmless the Manager, trustee, custodian, registrar and agents of same in relation to any losses or expenses incurred as a result of them acting pursuant to the above certifications;
- This Prospectus (including any supplements) has been read carefully and understood and, where the application form has been downloaded from the internet, this application form was accompanied by a full copy of the Prospectus which is also available in hard copy on request from the offices of PGIE.

I/We hereby confirm that this application is based solely on the Prospectus for the Unit Trust current at

the date of this application together (where applicable) with the most recent annual reports and accounts of the Unit Trust and (if issued after such report and accounts) their most recent unaudited semi-annual report and I/we agree to abide by all of the restrictions set forth therein in connection with the transfer of units.

I/We confirm that I am/we are over 18 years of age.

EU Savings Directive—EU Residents applying for shares in the Principal Global Investors Funds.

In accordance with the requirements of Council Directive 2003/48/EC (the Savings Directive), individual investors are required to supply the following information. Under these requirements, the relevant paying agent may be required to disclose this information to the relevant tax authority depending on the investment and distribution policy of the relevant fund. a) Your place of Residence for tax purposes b) Your Tax Reference Number in your place of Residence for tax purposes

To verify your identity for tax purposes, please attach a certified copy of your passport or official identity card. If your Tax Reference Number is not evidenced in your passport or official identity card, please provide any other official document identifying your Tax Reference Number (e.g. a tax residence certificate issued by the revenue authorities of your country of residence). This should be in original form or be duly certified by a notary public or by a designated body.

If your Tax Reference Number is not available please provide official documentary evidence of your date and place of birth.

I/we expressly consent to the automatic disclosure of information relating to my account to the tax authorities in Ireland and in my/our country of residence in accordance with the EU Taxation of Savings Directive (2003/48/EC) and applicable local regulations. I/we agree to notify the company of any change to my/our tax residency status.

### Anti-Money Laundering Requirements

Investors investing directly without reference to any distributor or intermediary make the following acknowledgment by signing Section 7 on page 4 (Declaration on own behalf):

I/We acknowledge that I/we have applied directly without reference to any distributor or intermediary and that my/our identity is therefore required to be identified in accordance with generally accepted FATF (Financial Action Task Force) principles.

For personal accounts, a certified copy of the passport, or ID, is required as well as two recent utility bills, addressed to the applicant's stated address. Any investors requiring information in relation to the correct identification to be made should contact Citibank Europe plc.

For all investors investing through a distributor or intermediary (Declaration as Intermediary):

If the distributor/intermediary for this investment has not previously made the following confirmation, completing the details below will assist the distributor/intermediary being classified as an approved distributor, thereby allowing investments to be entered by it. The distributor/intermediary confirms that when it enters a transaction in the Principal Global Investors Funds, it:

- has taken the necessary steps to establish the identity of its customers in accordance with generally accepted FATF (Financial Action Task Force) principles;
- has retained documentary evidence of this verification procedure; and
- will make the documentation available to the Manager if so requested.

Signed for the distributor/intermediary by:

Surname

First name(s)

Date

 D  M  Y

Signature

Sign Here

Name of distributor/intermediary

On behalf of:

### Declaration of residence outside the Republic of Ireland

Applicants resident outside the Republic of Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of units. Terms used in the declaration are defined in the Prospectus.

#### Declaration on own behalf

I/we\* declare that I am/we are\* applying for the units on my own/our own behalf/on behalf of a company\* and that I am/we are/the company\* is entitled to the units in respect of which this declaration is made and that

- I am/we are/the company is\* not currently resident or ordinarily resident in the Republic of Ireland, and
- should I/we/the company\* become resident in the Republic of Ireland I/we will\* so inform you, in writing, accordingly.

#### Declaration as Intermediary

I/we\* declare that I am/we are\* applying for units on behalf of persons:

- who will be beneficially entitled to the units; and
- who, to the best of my/our\* knowledge and belief, are neither resident nor ordinarily resident in the Republic of Ireland.

I/we\* also declare that

- unless I/we\* specifically notify you to the contrary at the time of the application, all applications for units made by me/us\* from the date of this application will be made on behalf of such persons, and
- I/we\* will inform you in writing if I/we\* become aware that any person, on whose behalf I/we\* holds units, becomes resident in the Republic of Ireland.

\* Delete as appropriate

# Principal Global Investors Funds Application Form

**Applicant details:**

Name

Address

Signature of Applicant or Authorised Signatory

Date   D   M     Y

Capacity of authorised signatory (if applicable)

**Joint Applicants:**

Name(s)	Signature(s)
<input type="text"/>	<input type="text" value="Sign Here"/>
<input type="text"/>	<input type="text" value="Sign Here"/>

**Notes:**

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

## 7. Signature(s)

This section must be signed by, or on behalf of, all investors.

In the case of corporate accounts, a corporation must affix its company seal and/or sign under the hand of two duly authorised officials, who should state their capacity and provide evidence of such authorisation and the authorisation of any other authorised signatories (if applicable). If this form is signed under power of attorney, such power, or a duly certified copy thereof, must accompany this form. Please sign clearly within the box. This signature will be used for future verification.

**Investor(s)**

Signature 1		Signature 2	
Surname	<input type="text"/>	Surname	<input type="text"/>
First name(s)	<input type="text"/>	First name(s)	<input type="text"/>
Date	<input type="text"/> <input type="text"/> D <input type="text"/> <input type="text"/> M <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Y	Date	<input type="text"/> <input type="text"/> D <input type="text"/> <input type="text"/> M <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Y
Investor 1/ Director 1	<input type="text" value="Sign Here"/>	Investor 2/ Director 2	<input type="text" value="Sign Here"/>
Capacity of Authorised Signatory	<input type="text"/>	Capacity of Authorised Signatory	<input type="text"/>
Company seal	<input type="text" value="Company Seal"/>		

For Joint Accounts or Company Accounts, transactions may be authorised by:

- Any one of the signatories
- Both signatories
- Other number of signatories (eg 2 out of 3 – please specify name(s))

If additional signatories are required, please attach authorised signatory list.