

# Principal Global Investors Funds

## Application Form

Please complete the form as directed and email to BNY Mellon Fund Services (Ireland) Limited ('the Administrator'). The original hard copies should be sent by post.

Principal Global Investors Registration Team  
BNY Mellon Fund Services (Ireland) Designated Activity, c/o  
Transfer Agency Mellon,  
Wexford Business Park,  
Rochestown Drinagh Wexford,  
Ireland, Y35 VY03

Email: [bnymtaregistration@bnymellon.com](mailto:bnymtaregistration@bnymellon.com)  
Telephone: +353 1 900 8081 Facsimile: +44 207 964 2667

- If the applicant or beneficial owner is a U.S. Person or an Irish resident, they may not be eligible to invest in the sub funds of Principal Global Investors Funds (the "Funds"). In particular, except where applicable U.S. Law permits, U.S. Persons (as defined in section 5 below) are ineligible to invest in the Funds. Accordingly, such persons should not use this form and must instead contact the Administrator to determine whether investment is permitted.
- On completion, the application form should be returned to the Administrator. The account can be opened based on fax/electronic copies of the documents; however, you will not receive redemption or distribution proceeds unless and until the original application form and all of the necessary anti-money laundering documentation has been received by the Administrator.

Print clearly in **BLOCK LETTERS** using dark ink and use a (✓) in boxes where appropriate

### Investor Name

Investor name	Date of birth*		d	d	/	m	m	/	y	y	y	y
Investor country of tax residency	Investor tax ID number*											
Designation (if known)*												

\* If applicable.

#### For completion by applicants who are tax resident outside the EU Member States:

- ☐ You confirm by ticking the box to the left that the applicant is not resident in an EU Member State and has not verified its identity by use of an EU passport/official identity card.

### Registered Address

Address			
City/Postcode	Country		

### Mailing Address\*

- ☐ Same as registered address (\*Please note that this address will be used for all postal correspondence unless otherwise specified)

Address			
City/Postcode	Country		

\* PO Boxes should not be provided for the purpose of a registered address but may be used as a correspondence address.

### Contact Information\*\*

Telephone - with local and international code	Email		
Fax - with local and international code	Contact person and title - required if owner is not an individual		

\*\* By providing a contact e-mail address you are electing to receive dealing confirmations and account statements via email to the provided details. Copies will not be issued by post (regular mail) or fax unless you request this in writing.

### Declaration of Political Exposed Person (PEP)

Are there any Political Exposed Persons associated with this account?

- ☐ Yes ☐ No

Please tick to confirm you have attached the relevant self-certification form(s) for FATCA and CRS:

- ☐ Individual (including Controlling Persons) Self-Certification Form  
☐ Entity Self-Certification Form

# Principal Global Investors Funds

## Application Form

- Account holders that are individuals complete the Individual Self-Cert
- Controlling Persons of a Passive NFE entity or an Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution complete the Individual Self-Cert for each CP in addition to the Entity Self-Cert
- All other account holders should complete the Entity Self-Cert.

### 1. Beneficial Owner

- ☐ Same as account owner ☐ Third party (account owner is an intermediary/nominee)

**Third Party and Intermediary/Nominee Information** Complete ONLY if account owner is an intermediary/nominee.

Third party beneficial owner name		Type of investor - (individual, corporate, pension fund, etc.)	
Where intermediary/nominee is regulated - must have same regulator		Name of regulator	

### 2. Initial Investment(s)

This application form must be provided together with a dealing form specifying your initial subscription (Unit class(es) name(s), investment amount or number of Units) in the Funds. Thereafter, a request in writing (on our standard dealing form or by other means (such as electronically)) is required to be submitted for each subsequent subscription and redemption. A copy of the dealing form is available at [www.principalam.com/eu/investment-products/ucits-funds](http://www.principalam.com/eu/investment-products/ucits-funds).

We must receive your payment by electronic transfer to the correct account (as advised to you on the dealing form) within three Business Days of the relevant Dealing Day or we may cancel your investment without notice or, alternatively, you may be charged interest together with an administration fee. In addition, we will have the right to sell all or part of your holdings of Units in the sub-fund or any other sub-fund of the Funds in order to meet those charges.

Please note the account name from which payment is made must include that of the applicant. Payments by telegraphic transfer should quote the applicant's name, name of bank, bank account number and confirmation note number (if one has already been issued), as well as the name of the Fund(s) into which they are investing. Applicants are liable for any charges incurred in effecting telegraphic transfers.

#### Subscriptions in USD

Intermediary bank BIC code	IRVTUS3N
Intermediary bank	The Bank of New York Mellon, New York
Beneficiary bank BIC code	IRVTBEBB
Beneficiary bank account No.	8900285451
Beneficiary bank name	The Bank of New York Mellon SA/NV, Brussels
Beneficiary account No.	3977858400
Beneficiary name	Principal Global Investors Funds
Beneficiary IBAN No.	BE59515397785026

#### Subscriptions in EUR

Beneficiary bank BIC code	IRVTBEBB
Beneficiary bank name	The Bank of New York Mellon SA/NV, Brussels
Beneficiary account No.	3977859780
Beneficiary name	Principal Global Investors Funds
Beneficiary IBAN No.	BE59515397785026

#### Subscriptions in GBP - CHAPS

Beneficiary Swift	IRVTGB2X (sort code: 70-02-25)
Beneficiary account No.	3977858260
Beneficiary IBAN No.	BE59515397785026
Beneficiary account name	Principal Global Investors Funds
Reference	Investor name and Share class

# Principal Global Investors Funds

## Application Form

### Subscriptions in JPY

Intermediary bank BIC code	BOTKJPJT
Intermediary bank	The Bank of Tokyo- Mitsubishi UFJ Ltd, Tokyo
Beneficiary bank BIC code	IRVTBEBB
Beneficiary bank account No.	6530431656
Beneficiary bank name	The Bank of New York Mellon SA/NV, Brussels
Beneficiary account No.	3977853920
Beneficiary name	Principal Global Investors Funds
Beneficiary IBAN No.	BE59515397785026

### Subscriptions in HKD

Intermediary bank BIC code	HSBCHKHH
Intermediary bank	Hong Kong and Shanghai Banking Corporation, Hong Kong
Beneficiary bank BIC code	IRVTBEBB
Beneficiary bank account No.	511564437001
Beneficiary bank name	The Bank of New York Mellon SA/NV, Brussels
Beneficiary account No.	3977853440
Beneficiary name	Principal Global Investors Funds
Beneficiary IBAN No.	BE59515397785026

### Subscriptions in CHF

Intermediary bank BIC code	CRESCHZZ80A
Intermediary bank	Crédit Suisse AG, Zurich
Beneficiary bank BIC code	IRVTBEBB
Beneficiary bank account No.	0835-0596251-93-002
Beneficiary bank name	The Bank of New York Mellon SA/NV, Brussels
Beneficiary account No.	3977857560
Beneficiary name	Principal Global Investors Funds
Beneficiary IBAN No.	BE59515397785026

### Subscriptions in SGD

Intermediary bank BIC code	SCBLSG22
Intermediary bank	Standard Chartered Bank (Singapore) Ltd
Beneficiary bank BIC code	IRVTBEBXXX
Beneficiary bank account No.	037-002668-9
Beneficiary bank name	The Bank of New York Mellon SA/NV, Brussels
Beneficiary account No.	3977857020
Beneficiary name	Principal Global Investors Funds
Beneficiary IBAN No.	BE59515397785026

### Subscriptions in AUD

Intermediary bank	HSBC Bank Australia Ltd
Intermediary bank BIC code	HKBAAU2S
Beneficiary bank BIC code	IRVTBEBB
Beneficiary bank account No.	011-550597-041
Beneficiary bank name	The Bank of New York Mellon SA/NV
Beneficiary account No.	3977850360
Beneficiary name	Principal Global Investor Funds
Beneficiary IBAN No.	BE59515397785026

# Principal Global Investors Funds

## Application Form

### Subscriptions in SEK

Intermediary bank BIC code	ESSESESS
Intermediary bank	SKANDINAVISKA ENSKILDA BANKEN, STOCKHOLM
Beneficiary bank BIC code	IRVTBEBBXXX
Beneficiary bank account No.	5201 85 157 56
Beneficiary bank name	The Bank of New York Mellon SA/NV
Beneficiary account No.	3977857520
Beneficiary name	Principal Global Investors Funds
Beneficiary IBAN No.	BE59515397785026

### Subscriptions in CAD

Swift code (field 56 Intermediary Bank)	CIBCCATT
To	CIBC Mellon Trust Company
Address	Canada
Account with Instruction (field 57)	1468413 / CMTYCATT
Beneficiary account name	Principal Global Investors Funds
Beneficiary account No.	IBAN BE59515397785026
Beneficiary Bank BIC	IRVTBEBBXXX

Unless you have made other arrangements with the Administrator, your payment must be in the currency of the Unit class in which you are investing. Redemption proceeds will only be paid to bank account in the name of the registered applicant(s). No third-party bank details will be accepted.

# Principal Global Investors Funds

## Application Form

### 3. Investment Details

Please refer to your usual client relationship manager for a list of Share Class name and details of how to make subscriptions and redemptions. Unless otherwise advised, any distribution earned by holders of Income Class shares will be reinvested in further Income shares in the relevant Fund. For investors investing in Income unit classes **(please cross one box only)**:

- ☐ Distributions should be reinvested
- ☐ Distributions should be paid to account details given under section 4 nominated bank account details

### 4. Nominated Bank Account

Bank Account to Receive Redemption and Distributions Proceeds\*\*

Currency: \_\_\_\_\_

Intermediary bank name		Intermediary bank BIC / SWIFT code	
Beneficiary bank name		Beneficiary bank BIC / SWIFT	
Beneficiary bank account name		Beneficiary bank IBAN / (if applicable)	
Beneficiary bank account number		FFC (if applicable)	

\*\*Redemption proceeds may take up to 10 working days to process.

### 5. Representations, Signature(s), and Date

By signing on the following page, you, the account owner(s), represent, acknowledge, and agree as follows:

#### Definitions

- in this form, “we”, “us” and “our” refer to the Funds and Principal Global Investors (Ireland) Limited (the “Manager”) and its affiliates, subsidiaries, and designees.
- in this form, “prospectus” shall mean the Funds’ prospectus and, in the context of any one sub-fund, the relevant supplement (s) thereto.
- in this form “administrator” shall mean BNY Mellon Fund Services (Ireland) Designated Activity Company.
- Unless otherwise indicated, defined terms in this form have the same meaning as in the prospectus.
- in this form “U.S. Person” shall mean (i) a U.S. person as defined pursuant to Regulation S under the U.S. Securities Act of 1933, as amended; (ii) an individual who is a citizen of the United States for federal income tax purposes; (iii) a corporation, partnership or other entity created or organized under the laws of the United States; or (iv) an estate or trust the income of which is subject to United States federal income tax regardless whether such income is effectively connected with a United States trade or business.

#### Capacity & authority

- you confirm and understand that you are making an investment into the sub-funds Principal Global Investors Funds a unit trust authorised by the Central Bank of Ireland as a UCITS Fund.
- you represent that all the information in this application is correct and complete and that you have the legal power, authority, and capacity to make this investment and sign this application whether in your own name or on behalf of another person or institution.
- you acknowledge that your account will not be opened unless and until we receive all materials we consider necessary and are satisfied that they are complete, correct, and authentic.
- you represent that with respect to all laws and regulations, and all relevant terms stated in the prospectus, you are not a U.S. Person nor an Irish resident, nor will this account be held for the benefit of, or on behalf of, such an investor, and, should your status in this regard change, you will inform us in writing. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the three preceding years of assessment (i.e., calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the three preceding years of assessment.
- you agree that materials sent to any fax number or electronic address you have provided to us will be considered to have been adequately delivered to you, and you agree that we may send you communications via these means unless and until we receive written notice from you withdrawing consent for the same.
- you agree that we may ask for additional information and documentation, now or at any other time.
- you understand it is important that you let us know immediately if any representations made on this application form change. Any change, addition or deletion to those details provided on the original application form must be submitted in writing, signed by the appropriate authorized signatories. The amendment will only be effected on receipt of original documentation by the Administrator.
- you undertake that this application complies with all applicable laws and regulations.
- you represent that (i) you adhere to all laws combatting money laundering and the financing of terrorism including FATF (GAFI) rules as far as applicable to you and (ii) the monies being invested are coming from an account in your name and that none of the monies being invested in this account, now or in the future, derive directly or indirectly from criminal activity or are part of any money-laundering activity and the investment is not designated to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- you represent, to the extent that you are a corporate entity, that you have conducted your business in compliance with all applicable bribery laws and have instituted and maintained policies and procedures designed to ensure compliance thereof.

# Principal Global Investors Funds

## Application Form

- you certify that you:
  - have legal capacity to apply for, and hold, Units in the Funds;
  - are not prohibited from holding Units as provided in the prospectus;
  - 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 you become a person or entity prohibited from holding Units as provided in the prospectus;
- you confirm that the Manager, its authorised delegates and the Administrator are hereby authorised and instructed to accept and execute any instructions in respect of the Units to which this application relates given by you by facsimile, irrespective of the amount and, in the case of transfers, in the name of the beneficiary. In addition, the Administrator will execute faxed instructions only once the signatures on the instructions have been verified in line with the Authorised Signatory List in place for the account. You declare that subject to such signatures being provided, the Manager, its authorised delegates and/or the Administrator shall in no case be held liable for the execution of instructions given by facsimile or any other electronic medium by any unauthorised person and hereby hold harmless and indemnify and keep indemnified the Manager, its authorised delegates and the Administrator against any loss of any nature whatsoever arising to any of them as a result of any of them acting upon instructions sent by facsimile or other electronic medium.
- you confirm that the Manager, its authorised delegates, and the Administrator may each rely conclusively upon and shall incur no liability in respect of any action taken upon any instructions believed in good faith to be genuine and to be signed or given by properly authorised persons.
- you shall provide the Manager and/or its Service Providers with any additional information which it may reasonably request in connection with tax or other similar requirements in order to substantiate any representations made by you or otherwise and you authorise the Manager to disclose such information relating to this application to such persons as they consider appropriate.

### Data storage & use

- you understand that we collect, store, and use the data you provide in your interactions with us. You are advised to read in detail the Privacy Notice attached at Appendix B. This document provides an outline of your data protection rights and our data protection obligations as they relate to your investment in the sub-funds.

### Investor Money Regulations

- you understand that we operate a single omnibus subscriptions/redemptions account for all of the Funds, in accordance with the Central Bank of Ireland's guidance relating to umbrella fund cash accounts, through which subscription monies and redemption proceeds and dividend income (if any) for each Fund are channeled. You further understand that this subscriptions/redemptions account shall not have the protection of the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers, as may be amended from time to time (the "Investor Money Regulations") and that a risk exists to the extent that monies are held by the Funds in the subscriptions/redemptions account for the account of a sub-fund at a point where such sub-fund becomes insolvent. Upon receipt into the subscriptions/redemptions account, subscription monies, redemption proceeds or dividend income will be the property of the relevant sub-fund and accordingly you will be treated as a general creditor of the Funds during the period such monies are held in the subscriptions/redemptions account and an unsecured creditor thereof upon any relevant sub-fund in which monies are held becoming insolvent.

### Transactions in Units

- you understand that all requests for transactions in sub-fund Units will be processed as described in and governed by the prospectus and that, in the event of any inconsistency between the prospectus and any other materials relating to the Funds that you may receive, the terms of the prospectus shall prevail.
- you further acknowledge that, on an ongoing basis and in respect of any proposed investments in the Funds by you, the Funds' Administrator (as such term is defined in the prospectus), reserves the right in its discretion to refuse to accept, in accordance with the provisions of the prospectus, any application for the purchase of units in the Funds without obligation to you or any other liability.
- you agree that if you send subscription proceeds for a Unit class in a currency other than the currency of the relevant Unit class with a request to make an appropriate currency conversion, this will be done at your own risk and expense. Similarly, where you send a redemption request and ask that the redemption proceeds be paid other than in the currency of that Unit class, the cost and risk of converting will be borne by you.
- you understand and agree that any redemption proceeds paid to you will only be paid to a bank account in your name and with a recognised financial institution. No third-party bank details will be accepted.
- you acknowledge that the Funds, the Manager, investment manager (where applicable), depositary, Administrator, registrar and agents of same also reserve the right to delay or refuse to make any redemption payment or distribution without notice if any of the Manager or the above mentioned service providers suspects or is advised that the payment of any redemption or distribution moneys to such a unit holder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Manager or any of the above mentioned service providers with any such laws or regulations in any relevant jurisdiction.
- you hereby hold the Manager and any of the above mentioned service providers harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required and has not been provided by you and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by you to the Manager or any of the above mentioned service providers.
- you acknowledge that the Manager reserves the right to cancel without notice any contract for which payment has not been received by the relevant settlement date and to recover any losses incurred.

### Investor information & KIID / KID confirmations

- you acknowledge that you have been offered the current prospectus and trust deed of Principal Global Investors Funds as well as the relevant supplements the Fund(s) as amended from time to time and the most recent annual report or half-yearly report of the Funds. You acknowledge that this application is subject to the provisions of the prospectus and trust deed of Principal Global Investors Funds as well as the relevant supplements the Fund(s) and you are bound by the terms of these documents.
- the following confirmation is applicable to applicants that are resident, domiciled and/or investing from within United Kingdom (UK), the European Economic Area ("EEA") or Switzerland only:
  - you declare that the Key Investor Information Document(s) (KIID) / Key Information Document(s) (KID), as applicable, have been provided to you (electronically or by hard copy) in good time and prior to making the application for Units and that you have read and understood the nature and the risks of the product that is being offered to you.
  - you acknowledge and agree that the updated KIID(s) / KID(s), as applicable, for each Unit class is available from [www.principalam.com/eu](http://www.principalam.com/eu) or such other website address as may be notified to you and that you will read the most up-to-date version of the relevant KIID(s) prior to making any subsequent application for Units.
- where you are investing as nominee, you shall provide your client(s) with the KIID(s) / KID(s), as applicable, issued in respect of the relevant Unit class(es) and you shall ensure that you do so in compliance with Commission Regulation (EU) No. 583/2010 / Commission Delegated Regulation (EU) 2017/653 (as applicable and as such shall be updated or amended from time to time) and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. You shall maintain records of your provision of the KIID(s) / KID(s), as applicable to your clients and shall furnish such records to the Manager, or its delegates, upon request.

### Risk Factors

- you understand that you may lose money, and that the value of your investment is reduced on an ongoing basis by the deduction of operating fees.
- you can evaluate the merits and risks of an investment in the Units in light of your financial condition and resources and have considered the risk factors as set out in the prospectus.

### Indemnification & liability

- you agree to indemnify and hold harmless the Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including legal fees and disbursements) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set out in this section or in any document delivered by you to the Manager or the Administrator.



# Principal Global Investors Funds

## Application Form

- you agree that neither the Manager nor any investment manager shall be liable to you (or to any other persons) for any error of judgment in the selection of the relevant sub-fund's investments.
- you state that you are aware of the potential consequences and penalties of any false representation in these matters.
- you indemnify the Manager and the Administrator and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents from any costs or any damages resulting from the acceptance and proper execution of orders on this account that they believe are genuine, or from any misrepresentation you make on this form.
- you understand that the confirmations, representations, declarations, and warranties made herein are continuous and apply to all subsequent purchases of Units in the Funds.
- you agree to notify us immediately of any changes in the information provided in this application including all attachments.

### FATCA & CRS

- You agree that in order to allow the Funds to comply with the requirements of Irish law, including but not limited to the requirements of the Agreement between the Government of Ireland and the Government of the United States of America to improve International Tax Compliance and to implement the Foreign Account Tax Compliance Act and any current or future regulations or laws entered into in connection with the implementation thereof ("FATCA") or the OECD standard for automatic exchange of financial account information ("CRS"), you will:
  - provide the Funds, the Depositary, the Administrator, the Investment Manager or Principal Global Investors (Europe) Limited in its capacity as global distributor of the Funds or any delegate thereof with any information, declarations certificates or documentation necessary for Irish legal purposes or FATCA or CRS purposes, including but not limited to completing the self-certification forms to be submitted to us together with this application form.
  - permit the Funds to compel or effect the sale of your Units or repurchase and cancel your Units if you fail to comply with the foregoing requirement.

### Governing Law

- you agree that this application is the agreement under which your account will operate, and that it will be governed by and interpreted under Irish law and adjudicated by the Irish courts.

### Owner/Authorised Signer\*\*\*

<b>Name</b> IN BLOCK LETTERS	
<b>Title</b>	
<b>Email</b>	
<b>Telephone</b>	
<b>Date</b>	d d / m m / y y y y
Sign Here	

### Joint Owner OR Additional Authorised Signer if any

<b>Name</b> IN BLOCK LETTERS	
<b>Title</b>	
<b>Email</b>	
<b>Telephone</b>	
<b>Date</b>	d d / m m / y y y y
Sign Here	

\*\*\*In the case of corporate accounts, a corporation must execute this application form in such a manner as is authorised by and in accordance with its constitution as being legally binding upon it whether it be by way of the affixing of a corporate seal, signature by one or more authorised individuals (who shall in each case state their title upon signing) or otherwise.

## 6. Intermediary/Nominee Certifications Required if beneficial owner is not account owner

By signing below, you, the account owner(s), represent, acknowledge, and agree as follows:

- the intermediary has verified the identity of the above named investor (meaning the third-party beneficial owner(s)) consistent with all applicable anti-money laundering regulations (including the requirements of the Fourth Anti Money Laundering and Terrorist Financing Directive (EU) 2015/849) and in accordance with generally accepted FATF (Financial Action Task Force) principles, FATCA and CRS regulations and has undertaken the relevant checks of the EU sanctions list and the Specially Designated Nationals and Blocked Persons and Consolidated Sanctions Lists maintained by the Office of Foreign Assets Control, Department of the Treasury of the United States of America ("OFAC") in respect thereof.
- the intermediary has documentation to support the investor identification, can produce it on demand and will hold it for five years after the final transaction in this account.
- the intermediary has identified all parties owning or controlling 25% or more of the equity or the voting rights of the investor, and all parties that in turn own or control 25% or more of the equity or voting rights of the parties initially described and agrees to provide documentation on all of these parties that is satisfactory to us upon request.
- the intermediary has the power and authority to act on behalf of the investor as concerns all matters regarding this application and investment.
- the intermediary indemnifies us from any costs or any damages resulting from any misrepresentation the intermediary makes on this form.
- the intermediary agrees to notify us immediately should its relationship to investor end.
- the intermediary agrees to provide the beneficial owner(s) with all current standard and local offering documents as and when required by law and regulation, and to maintain adequate records that it has done so.
- the signer is authorised to make all of these representations on behalf of the intermediary.

<b>Authorised signer name(s)</b> IN BLOCK LETTERS		Sign Here	
<b>Title</b>		<b>Date</b>	d d / m m / y y y y

Please confirm the sales channel or agent linked to this application

Distributor / Agent name	
Distributor / Agent number	

# Principal Global Investors Funds

## Application Form

### Appendix A

#### Declaration of residence outside Ireland

Applicants resident outside 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 to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Units.

Please tick the appropriate box below to indicate whether the applicant is declaring on the applicant's own behalf or as an Intermediary.

☐ **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 Ireland, and
- should I/we/the company become resident in Ireland I/we will so inform the Administrator, in writing, accordingly.

☐ **Declaration as Intermediary:**

I/We declare that I am/we are applying for the Units on behalf of a person(s):

- 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 Ireland.

I/We also declare that:

- unless I/we specifically notify the Administrator to the contrary at the time of application, all applications for Units made by me/us from the date of this application will be made on behalf of such person(s), and
- I/we will inform the Administrator in writing if I/we become aware that any person(s), on whose behalf I/we hold Units, becomes resident in Ireland.

Name of Applicant										
Address of Applicant										
Address of Applicant										
Postcode										
Capacity of Authorised Signatory (if applicant)										
Date	d	d	/	m	m	/	y	y	y	y
Signature of Applicant of Authorised Signatory (Declarant)	Sign Here									

#### Important 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 director(s), company secretary or other authorised officer(s) (as applicable).
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.
4. Where the applicant becomes resident in Ireland and the Administrator has been notified as per the above, the Administrator will contact the applicant with a separate form for completion.



# Principal Global Investors Funds

## Application Form

### Appendix B

#### Privacy Notice

##### Introduction

The purpose of this document is to provide you with information on our use of your personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the “Data Protection Legislation”).

In this document, “we”, “us” and “our” refer to Principal Global Investors (Ireland) Limited (the “Manager”) on behalf of the Fund and its affiliates and delegates.

##### Who this affects

If you are an individual investor, this will affect you directly. If you are an institutional investor that provides us with personal data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals, and you should transmit this document to such individuals or otherwise advise them of its content.

##### Your personal data

By virtue of making an investment in the Fund and your associated interactions with us (including the initial application, and including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners, or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the Data Protection Legislation. We may also obtain personal data on you from other public sources.

This includes the following information relating to you and/or any individuals connected with you as an investor: name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth, date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity.

##### How we may use your personal data

The Manager, as the data controller on behalf of the Fund, may collect, store, and use your personal data for lawful purposes disclosed below:

- (i) to reflect your ownership of units in the Fund (i.e., where this is necessary for the performance of the contract to purchase units in the Fund or to process redemption, conversion, transfer and additional subscription requests or the payment of distributions);
- (ii) to discharge our anti-money laundering obligation to verify the identity of our customers (and, if applicable their beneficial owners) or for prevention of fraud or for regulatory or tax reporting purposes or in response to legal requests or requests from regulatory authorities (i.e. where this is necessary for compliance with a legal obligation to which we are subject); and/or
- (iii) for direct marketing purposes (that is, us providing you with information on products and services) or for quality control, business and statistical analysis or for tracking fees and costs or for customer service, training and related purposes (i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you and also noting your right to object to such uses, as discussed below).

Should we wish to use your personal data for other specific purposes (including, if applicable, any purpose that requires your consent), we will contact you.

##### Why we may transfer your personal data

In certain circumstances we and/or our authorised delegates and affiliates may be legally obliged to share your data and other financial information with respect to your interest in the Fund with the Irish Revenue Commissioners and they, in turn, may exchange this information with foreign tax authorities including tax authorities located outside the EEA.

We anticipate that the following affiliates and delegates will process your personal data on our behalf, and this may include certain entities located outside the EEA:

- the Fund’s administrator BNY Mellon Fund Services (Ireland) Designated Activity Company and third parties that support the administrator in providing its services;
- the Fund’s investment adviser, Principal Global Investors, LLC;
- the Fund’s trustee, The Bank of New York Mellon SA/NV (Dublin Branch)
- the Manager’s distributor, Principal Global Investors (Europe) Ltd;
- service providers or data processors that assist us in processing personal data for the uses described above; and their respective affiliates and delegates.

### Appendix B

#### The data protection measures we take

Any transfer of personal data by us or our duly authorised delegates outside the EEA shall be in accordance with the conditions in the Data Protection Legislation.

We and our duly authorised delegates shall apply appropriate information security measures designed to protect data in our/our delegates' possession from unauthorised access by third parties or any form of computer corruption.

We shall notify you of any personal data breach affecting you that is likely to result in a high risk to your rights and freedoms.

#### Your data protection rights

You have certain rights regarding our use of your personal data summarised as follows:

- the right to access your data (in an easily readable form);
- the right to examine and correct your data;
- the right to data portability;
- the right to restrict the use of your data;
- the right to withdraw any consent given to the processing of your data (where applicable);
- the right to receive information regarding any entities we disclose your data to;
- the right to lodge a complaint with the Data Protection Commission (our lead supervisory authority).

You also have the right to object to the processing of your data where we have considered this to be necessary for the purposes of our legitimate interests.

Please note that the right for your data to be erased (the “right to be forgotten”) that applies in some contexts is not likely to be applicable to most, if not all, of the personal data we hold, given the specific nature of the purposes for which we use the data, as described above.

#### Our retention of your personal data

We or our duly authorised delegates may retain your personal data for a period of up to seven years following your disinvestment from the Fund or the point where your business relationship with us has ceased. Thereafter, we and our duly authorised affiliates and delegates will refrain from collecting any further personal data on you and shall take appropriate steps to dispose of any records containing your personal data, to the extent this is operationally feasible and proportionate.

#### Getting in touch

The Manager is not required to designate a data protection officer. However, should you have any queries or wish to discuss your data protection rights with us, please contact [CorpPrivacy@exchange.principal.com](mailto:CorpPrivacy@exchange.principal.com).

For more information about Principal Financial Group's privacy practices, please see [www.principal.com/privacy-policies](http://www.principal.com/privacy-policies).