



**TRUST, CORPORATION, PARTNERSHIP, OR OTHER ENTITY** (All account owners are required to provide the applicable information requested in this section. An account will not be opened and transactions will not be executed unless the application, including your legal street address, is fully completed.)

- Trust** (Please attach a photocopy of the title, signature, and Trustee pages of the Trust document or Trustee Certification and Indemnification form).
- C-Corporation** (Please attach a copy of the Articles of Incorporation and entity's resolution/certification indicating person(s) it authorizes to open/do transactions.)
- S-Corporation** (Please attach a copy of the Articles of Incorporation and entity's resolution/certification indicating person(s) it authorizes to open/do transactions.)
- Partnership** (Please attach a copy of the Partnership Agreement and entity's resolution/certification indicating person(s) it authorizes to open accounts/do transactions.)
- Other Entity** (Please attach a copy of the entity's organizational documents, such as Articles or Agreement.)

To name additional trustees or authorized signers on the account, please complete and attach a new copy of this page.

Please note that Principal Funds **does not** accept "correspondent accounts", which are defined as accounts established for a foreign financial institution to receive deposits from, or to make payments or other disbursements on behalf of, the foreign financial institution, or to handle other financial transactions related to such foreign financial institution. Foreign financial institutions include: (1) a foreign bank; (2) a foreign branch of a U.S. bank; (3) a business organized under a foreign law that, if it were located in the United States, would be a securities broker-dealer, futures commission merchant, introducing broker in commodities, or a mutual fund; and (4) a money transmitter or currency exchanger organized under foreign law.

Name of Trust, Corporation, Partnership or Other Entity

Taxpayer Identification Number **OR** Social Security Number

If Trust is for the Benefit of (provide name, if applicable)

Date of Trust Agreement (MM/DD/YYYY)

Legal Street Address (no P.O. Box Addresses), City, State, Zip

Mailing Address (if different from above), City, State, Zip

First Name of Trustee OR Authorized Signer, Middle Initial, Last Name

Social Security Number

U.S. Citizen     Resident alien  
Date of Birth (MM/DD/YYYY)

Country of Citizenship

Legal Street Address (no P.O. Box Addresses), City, State, Zip

Mailing Address (if different from above), City, State, Zip

( )  
Contact Phone Number

First Name of Trustee OR Authorized Signer, Middle Initial, Last Name

Social Security Number

U.S. Citizen     Resident alien  
Date of Birth (MM/DD/YYYY)

Country of Citizenship

Legal Street Address (no P.O. Box Addresses), City, State, Zip

Mailing Address (if different from above), City, State, Zip

( )  
Contact Phone Number

## 2. Electronic Delivery (eDelivery) Consent

By providing your email address, you consent to receive email notifications when your regulatory documents (prospectuses, annual and semi-annual reports), quarterly statements, tax forms, and proxy statements are ready to be viewed online at [principalfunds.com](http://principalfunds.com). You will be notified by email when a document becomes available for you to view. All documents posted to the website will be available in HTML format and/or Portable Document Format (PDF). If using the PDF version, the Adobe Acrobat Reader software required to view them is available free of charge from Adobe's website at [adobe.com](http://adobe.com).

Email Address (required for eDelivery):

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If there are any documents you would prefer to receive in paper form, please check the applicable box(es) below to indicate which items you would not like to receive by eDelivery:

- Regulatory Documents (prospectuses, annual and semi-annual reports)
- Quarterly Statements
- Tax Forms
- Proxy Statements

Your consent will remain in effect until revoked by you. If at any time eDelivery is not possible, you will be notified by mail with instructions to restore the service. Delivery of mutual fund documents following initial notification will be mailed to your address of record in paper form if service is not restored. You must have a valid, active email address to be eligible for this service. You may change your consent, update your email address, or opt to receive paper communication at any time by visiting us at [principalfunds.com/edelivery](http://principalfunds.com/edelivery) or by calling us at 1-800-222-5852 Monday-Friday from 7:00 am to 7:00 pm Central Time.

## 3. Reduced Sales Charges

Certain individuals, groups, and/or entities, as defined in the current prospectus, may purchase Class A shares at a reduced or eliminated sales charge. Please review the information below and indicate if applicable.

### Net Asset Value (NAV) Purchases

- This account is eligible for NAV purchases (no sales charge and no commissions paid) upon the terms stated in the current prospectus.

Reason: \_\_\_\_\_

### Statement of Intent (SOI) for Class A Shares

If you intend to make future purchases totaling \$50,000 or more, you may be eligible for a reduced sales charge by entering into a Statement of Intent (SOI) agreement. *It is the responsibility of the shareholder and the Investment Representative to notify Principal Funds at the time of purchase if the initial sales charge should be reduced or eliminated.* Please review the prospectus for detailed information regarding your options.

I/We agree to the terms of the Statement of Intent and provisions for redemption of shares as set forth in the current prospectus. Although I/we am/are not obligated to do so, it is my/our intention to invest over a 13-month period in shares in one or more Funds (Purchases of Class A shares of Money Market Fund are not included) in an aggregate amount at least equal to the amount indicated below:

- \$50,000       \$100,000       \$250,000       \$500,000       \$1,000,000

### Rights of Accumulation (ROA) for Class A Shares

If you are investing \$50,000 or more, your purchases of Class A shares may qualify for a Rights of Accumulation (ROA) discount. Please review the prospectus for detailed information regarding your SOI options.

I/We own Class A, B, C, or J shares in other Principal Funds accounts (excluding initial purchases in Class A shares of Money Market Funds) which may entitle this purchase to have a reduced sales charge under the provisions in the current Principal Funds prospectus. My/Our other account numbers, including accounts held by my/our spouse(s), domestic partner(s), children under 25, dependents for whom I/we serve as legal guardian, and trusts created by or primarily for the benefit of such persons, are listed below.

Applicable Account Numbers and/or SSN:

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## 4. Investment Selection

Minimum initial investment amount for all Funds is \$1,000 with \$100 subsequent investments. **Note: Automatic payroll deduction plans are not subject to the minimum initial investment requirement if they meet the subsequent investment minimums on a monthly basis. Shares purchased by check are subject to a hold of up to 7 calendar days.** Please note that your dividend and capital gains distribution(s) will be automatically reinvested into the same Fund and share class.

The Fund will consider initial purchases of \$1 million or more (and subsequent purchases resulting in \$1 million or more) into Class C shares as a purchase of Class A shares. Please see the prospectus for more information.

**Select Share Class:** (If no share class is selected, Class A shares will be purchased.)

**Class A (41)**

**Class C (44)**

### Category/Fund Name

\*Available for direct purchase in share class A only

	<u>Amount OR Allocation</u>		<u>Amount OR Allocation</u>
<b>Fixed-Income Funds</b>		<b>LifeTime Funds</b>	
<input type="checkbox"/> California Municipal Fund (77)	\$ _____ %	<input type="checkbox"/> Principal Lifetime 2010 Fund (09)*	\$ _____ %
<input type="checkbox"/> Core Plus Bond Fund (01)	\$ _____ %	<input type="checkbox"/> Principal Lifetime 2020 Fund (16)*	\$ _____ %
<input type="checkbox"/> Dynamic Floating Rate High Income Fund (60)*	\$ _____ %	<input type="checkbox"/> Principal Lifetime 2030 Fund (17)*	\$ _____ %
<input type="checkbox"/> Finisterre Unconstrained Emerging Markets Bond Fund (05)*	\$ _____ %	<input type="checkbox"/> Principal Lifetime 2040 Fund (18)*	\$ _____ %
<input type="checkbox"/> Government & High Quality Bond Fund (97)	\$ _____ %	<input type="checkbox"/> Principal Lifetime 2050 Fund (19)*	\$ _____ %
<input type="checkbox"/> High Yield Fund (78)	\$ _____ %	<input type="checkbox"/> Principal Lifetime Strategic Income Fund (23)*	\$ _____ %
<input type="checkbox"/> High Yield Fund I (58)*	\$ _____ %		
<input type="checkbox"/> Income Fund (79)	\$ _____ %	<b>Short-Term Fixed Income Funds</b>	
<input type="checkbox"/> Inflation Protection Fund (54)	\$ _____ %	<input type="checkbox"/> Money Market Fund (99)*	\$ _____ %
<input type="checkbox"/> Opportunistic Municipal Fund (57)	\$ _____ %	<input type="checkbox"/> Short-Term Income Fund (84)	\$ _____ %
<input type="checkbox"/> Preferred Securities Fund (95)	\$ _____ %		
<input type="checkbox"/> Real Estate Debt Income Fund (37)*	\$ _____ %	<b>Small-Mid U.S. Equity Funds</b>	
<input type="checkbox"/> Tax-Exempt Bond Fund (06)	\$ _____ %	<input type="checkbox"/> MidCap Value Fund III (15)*	\$ _____ %
		<input type="checkbox"/> Real Estate Securities Fund (87)	\$ _____ %
<b>International Equity Funds</b>		<input type="checkbox"/> SmallCap Fund (88)	\$ _____ %
<input type="checkbox"/> Diversified International Fund (08)	\$ _____ %	<input type="checkbox"/> SmallCap Value Fund II (20)*	\$ _____ %
<input type="checkbox"/> Global Opportunities Fund (41)	\$ _____ %		
<input type="checkbox"/> Global Real Estate Securities Fund (31)	\$ _____ %	<b>Specialty Funds</b>	
<input type="checkbox"/> International Emerging Markets Fund (07)	\$ _____ %	<input type="checkbox"/> Diversified Real Asset Fund (33)	\$ _____ %
<input type="checkbox"/> International Fund I (22)*	\$ _____ %	<input type="checkbox"/> Global Diversified Income Fund (74)	\$ _____ %
<input type="checkbox"/> International Small Company Fund (45)*	\$ _____ %	<input type="checkbox"/> Global Multi-Strategy Fund (34)	\$ _____ %
<input type="checkbox"/> Origin Emerging Markets Fund (36)*	\$ _____ %	<input type="checkbox"/> Multi-Manager Equity Long/Short Fund (24)*	\$ _____ %
		<input type="checkbox"/> Real Estate Allocation Fund (38)*	\$ _____ %
<b>Large U.S. Equity Funds</b>			
<input type="checkbox"/> Blue Chip Fund (40)	\$ _____ %	<b>Strategic Asset Management (SAM) Portfolios</b>	
<input type="checkbox"/> Capital Appreciation Fund (98)	\$ _____ %	<input type="checkbox"/> SAM Balanced Portfolio (89)	\$ _____ %
<input type="checkbox"/> Equity Income Fund (04)	\$ _____ %	<input type="checkbox"/> SAM Conservative Balanced Portfolio (90)	\$ _____ %
<input type="checkbox"/> LargeCap Growth Fund (12)	\$ _____ %	<input type="checkbox"/> SAM Conservative Growth Portfolio (93)	\$ _____ %
<input type="checkbox"/> LargeCap Growth Fund I (10)*	\$ _____ %	<input type="checkbox"/> SAM Flexible Income Portfolio (96)	\$ _____ %
<input type="checkbox"/> LargeCap S&P 500 Index Fund (13)	\$ _____ %	<input type="checkbox"/> SAM Strategic Growth Portfolio (94)	\$ _____ %
<input type="checkbox"/> LargeCap Value Fund (14)	\$ _____ %		
		<b>Other</b>	
		<input type="checkbox"/> _____	\$ _____ %

## 5. Cost Basis Accounting Method Election

Principal Funds will provide cost basis information to you and the IRS for shares purchased after January 1<sup>st</sup>, 2012 (covered shares). The cost basis accounting method elected below will be used for all accounts established by this application, including any future funds added to this account or to any new funds added to any existing accounts established by the primary owner unless you provide a different method at that time. NOTE: If no cost basis accounting method election is selected, the Fund Default Method of AVERAGE COST will be assigned to the accounts established by this application unless we have a future election that was previously selected on file.

### Cost Basis Election Options

Instructions: Please choose **ONE** cost basis method by checking the box next to your chosen method.

- |   |  |   |
|---|--|---|
| <input type="checkbox"/> Average Cost (ACST)  | <input type="checkbox"/> First-In First-Out (FIFO) | <input type="checkbox"/> Last-In First-Out (LIFO)     |
| <input type="checkbox"/> High Cost (HIFO)     | <input type="checkbox"/> Low Cost (LOFO)           | <input type="checkbox"/> Loss/Gain Utilization (LGUT) |
| <input type="checkbox"/> Specific Lot* (SLID) |  |   |

\*When selecting Specific Lot, please choose a secondary method to be used as an alternate in the event specific lot depletion information is not provided.

#### **Secondary Method (for Specific Lot only)\*\***

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> First-In First-Out (FIFO) | <input type="checkbox"/> Last-In First-Out (LIFO)     | <input type="checkbox"/> High Cost (HIFO) |
| <input type="checkbox"/> Low Cost (LOFO)           | <input type="checkbox"/> Loss/Gain Utilization (LGUT) |   |

\*\*Note: If no Secondary Method is selected, the First-In First-Out (FIFO) will be used.

#### **Future Election Option:**

Your account will be set up to apply the above cost basis election to any future funds and/or accounts established by the primary owner of this account unless you decline by checking the box below. Note: If any future funds and/or accounts are added and there is not a Future Election on file, then the fund default method of Average Cost will apply.

- I/We DO NOT want the cost basis option selected above to apply as a Future Election to any new funds and/or accounts established by the primary owner of this account.

### Cost Basis Election Option Definitions

- **Average Cost (ACST):** Calculates the cost of shares in an account by averaging the cost of all purchases made after January 1, 2012. Shares will be redeemed in a first-in first-out order (FIFO) for the average cost method.
- **First-In First-Out (FIFO):** Shares acquired first in the account are the first shares distributed.
- **Last In First-Out (LIFO):** Shares acquired last in the account are the first shares distributed.
- **High Cost (HIFO):** Shares acquired with the highest cost per share are the first shares distributed.
- **Low Cost (LOFO):** Shares acquired with the lowest cost per share are the first shares distributed.
- **Loss/Gain Utilization (LGUT):** Distributes shares with losses before gains, consistent with the objective of minimizing taxes. For shares that yield a loss, shares owned one year or less (short-term) will be redeemed before shares owned more than one year (long-term). For gains, long-term shares will be redeemed before short-term gains. With favorable long-term gains rates, long-term gains are given priority over short-term gains to reduce tax liability.
- **Specific Lot (SLID)\*:** Shareholder selects which lots to distribute at the time of each redemption.

\*Note: When selecting Specific Lot, please choose a secondary method to be used as an alternate in the event specific lot depletion information is not provided.

## 6. Automated Features

**Automatic Investment Plan (AIP)** (please also complete Section 7 of this application)

This option allows you to automatically invest a minimum of **\$100 per Fund** from your bank account into your Principal Funds account. **Please allow 3 business days for the AIP to be established.** If you do not select an investment frequency, Principal Funds will establish a monthly investment. If you do not select a day, we will process your investment on the 15th day of each investment period. You will not receive a confirmation of AIP transactions if you maintain an AIP. You will receive a quarterly statement and your bank statement will show our automatic deduction. If the initial minimum investment of \$1,000 is not met, then the AIP must be established for \$100/month, \$300/quarter or \$1,200 annually.

Fund Name	Dollar Amount (see above for investment minimums)	Frequency	Start Date (MM/DD/YYYY)
_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____

**Automatic Exchange Election (AEE)**

This option allows you to automatically exchange from one Fund to another:

From Fund Name	To Fund Name	Dollar Amount	Frequency	Start Date (MM/DD/YYYY)
_____	_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____

**Systematic Withdrawal Plan (SWP)** (please also complete Section 7 of this application if you choose to direct payments to your bank account)

This option allows you to systematically withdraw from your account. **Please allow 3 business days for the SWP to be established.** If you do not select a withdrawal frequency, Principal Funds will establish a monthly withdrawal. If you do not select a day, we will process your withdrawal on the 15th day of each withdrawal period. **Note: If a SWP is established for shares that are subject to a CDSC, and the account does not qualify for a waiver, withdrawals may be subject to a CDSC.**

Fund Name	Payment Method (M)ail to address of record (B)ank account of record	Dollar Amount	Frequency	Start Date (MM/DD/YYYY)
_____	_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____
_____	_____	\$ _____	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Semiannually <input type="checkbox"/> Annually	_____

## 7. Bank Information

Automated Clearing House (ACH) purchases/redemptions are transferred free of charge on the second business day following the request. Bank Wire purchases/redemptions are transferred the following business day, if requested before the close of the New York Stock Exchange. Principal Funds charges a \$10 fee each time funds are sent by Bank Wire. Your bank may also charge a fee. It may take additional business days for your bank account to reflect this activity. If establishing an Automatic Investment Plan, a Systematic Withdrawal Plan, or requesting dividend/capital gains payouts, please allow 3 business days for your bank account information to be established and validated.

**\*Your request may require a Medallion Signature Guarantee Stamp. Please see section 11 for details.**

Bank Name \_\_\_\_\_ ABA Routing Number \_\_\_\_\_ Bank Account Number \_\_\_\_\_

**Checking Account** (please tape a preprinted voided check below)

**Savings Account** (please tape a preprinted deposit slip or proof of account\* from your banking institution)

JOHN DOE  
1234 MAIN STREET  
ANYTOWN, IA 12345

01044

DATE \_\_\_\_\_

PAY TO THE ORDER OF \_\_\_\_\_

\_\_\_\_\_ DOLLARS

FOR \_\_\_\_\_

⑆ 33404567⑆ ⑆ 23456 ⑆ 304⑆ 0 1044

1 2

1 Bank Routing Number  
(requires 9 digits)

2 Bank Account Number

Proof of account must include bank account registration, bank account number, ABA routing number and include a bank employee signature on bank letterhead.

## 8. Dividend and Capital Gains Distributions

Your dividend and capital gains distributions may be paid in cash or reinvested. Reinvestments of distributions are made at the net asset value (NAV) determined on the day the distributions are deducted from the Fund's NAV and will not be subject to a contingent deferred sales charge (CDSC). Principal Funds will automatically reinvest distributions into the same Fund and share class unless you indicate an alternative distribution option below. **Note: Distributions that are \$10 or less will automatically be reinvested into the same Fund and share class.**

### Dividends:

Send my distribution to my address of record.  Send my distribution to my bank account of record (refer to Section 7 of this application).

### Capital Gains:

Send my distribution to my address of record.  Send my distribution to my bank account of record (refer to Section 7 of this application).

## 9. Telephone and Internet Transactions

Your account is set up so both you and your Investment Representative are able to effect transactions for your account by telephone and/or the Internet. You may decline any of the options by checking the boxes below now or by contacting Principal Funds at a later time. An Authorized Trader Form may be required for online access/trading on Trust accounts. Contact your Investment Representative or call Principal Funds for additional information.

I/We DO NOT want the option for telephone or internet redemptions on my/our account.

I/We DO NOT want the option for telephone or internet exchange on my/our account.

## 10. Investment Representative Information

**This section MUST be completed by your Investment Representative. Incomplete information will cause a delay in processing the investment. Both Investment Representative and Dealer signatures are required in this section.**

This application for the purchase of shares complies with the terms of the applicable agreement with Principal Funds Distributor, Inc., and with the current Principal Funds prospectus. I hereby authorize Principal Shareholder Services, Inc. and its appointed sub transfer agent, to act as my Agent in connection with transactions under this application and I agree to notify Principal Shareholder Services, Inc. ("PSS") or its appointed sub-transfer agent of any purchases of shares which may be eligible for a reduced or eliminated sales charge.

Dealer Name \_\_\_\_\_

Investment Representative's First Name, Middle Initial, Last Name (List all Investment Representatives' names if Joint Profile) \_\_\_\_\_

Investment Representative's Branch Office Address, City, State, Zip \_\_\_\_\_

Branch Number \_\_\_\_\_

Investment Representative Number \_\_\_\_\_

(\_\_\_\_\_) \_\_\_\_\_  
Telephone Number

Extension \_\_\_\_\_

Investment Representative's Signature \_\_\_\_\_

Authorized Dealer Signature \_\_\_\_\_

## 11. Disclosures/Taxpayer Certification/Account Owner Signatures

### IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT.

To help the government fight the funding of terrorism and money laundering activities, federal law requires financial institutions to obtain, verify and record information that identifies each person who opens an account. This means that when you open an account, we will ask for your name, legal street address, date of birth, Social Security Number, and/or information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents. If we are unable to verify your customer information, we may close your account or take such other steps as we deem appropriate. Principal Funds does not accept accounts that are for the benefit of a business/organization that is illegal under Federal and/or State law (such as a marijuana clinic), or a person who owns or receives income from such an entity or whose source of funds is illegal.

#### Disclosures

I/We am/are of legal age, have received and read the prospectus, agree to its terms and understand that by signing below: (a) neither Principal Shareholder Services, Inc. nor Principal Funds is a bank and the fund shares are not backed or guaranteed by any bank nor federally insured; (b) if I/we have provided other identification as an alternative to a Social Security or Taxpayer Identification Number within Section 1 of the Application, I/we certify the information provided is currently accurate and valid; (c) I/we hereby ratify any instructions given on this account and any account into which I/we exchange relating to items on the Application and agree that neither the Funds, Principal Shareholder Services, Inc., nor their Agents will be liable for any loss, cost or expense for acting upon such instructions (in writing or by telephone or Internet, if telephone or Internet transactions may be effective for this account) believed by it to be genuine and in accordance with the procedures described in the prospectus; (d) by signing below, I consent to having mailings of prospectuses and other fund materials for my account combined with mailings for other accounts held by members of my household to avoid receipt of multiple copies. I also understand that my account information will be included with other household accounts on the same quarterly and annual statements; (e) if a Statement of Intent (SOI) agreement has been provided, my/our signature(s) below certify(ies) my/our agreement to the terms indicated in the prospectus; (f) if banking information has been provided in Section 7 of the Application I/we understand ACH purchases/redemption proceeds are transferred on the next business day following the request at no charge, and bank wire purchases/redemption proceeds are transferred on the next business day, for a fee, if requested before the close of the New York Stock Exchange; (g) it is my/our responsibility to read the prospectus; (h) if additional information is required for this Application all disclosures, certifications and notices provided on the Application shall be applicable to such information; (i) I/we represent and warrant that I/we have full right, power and authority to give the foregoing affirmations, certifications and authorizations and to make the investments applied for pursuant to the Application and, if signing on behalf of the beneficial owner, represent and warrant I/we am/are duly authorized to sign this Application and to purchase, exchange and redeem shares, or if an account is listed in Section 7 of this Application to deposit and withdraw fund(s) on behalf of the beneficial owner; (j) I certify that this account is not being open by or on behalf of a business/organization that is illegal under Federal and/or State law (such as a marijuana clinic), or a person who owns or receives income from such an entity or whose source of funds is illegal, (k) I agree to be contacted by Principal Shareholder Services ("Principal") or Principal's authorized vendor(s) at the contact number(s) I've provided to Principal or its authorized vendor, for services such as: account maintenance, verification of instructions and/or client information, other product or service offerings, etc., as applicable..

#### Taxpayer Identification Number Certification

As required by federal law, I/we certify under penalties of perjury that (1) any Taxpayer Identification Number(s) (including Social Security and Employer Identification Numbers) provided above is/are correct; (2) the Internal Revenue Service has never notified me/us that I/we am/are subject to 28% backup withholding, or has notified me/us that I/we am/are no longer subject to such backup withholdings; (3) I/we am/are a U.S. person (including a U.S. resident alien); and (4) I/we am/are exempt from FATCA reporting.. (Note: If any or all of part (2) of the preceding sentence is not true in your case, please strike out that part before signing.) If I/we fail to furnish my/our correct Social Security Number(s), I/we may be subject to a penalty for each failure and my/our account may be subject to 28% backup withholding on distribution and redemption proceeds. **Note: The IRS does not require your consent to any provision of the Account Application other than the certification required to avoid backup withholding.**

\_\_\_\_\_  
Principal Account Owner's/Authorized Signer's Signature (MM/DD/YYYY)

\_\_\_\_\_  
Principal Account Owner's/Authorized Signer's Signature (MM/DD/YYYY)

#### Medallion Signature Guarantee:

#### Medallion Signature Guarantee:

\_\_\_\_\_  
Bank Account Owner's First Name, Middle Initial, Last Name

\_\_\_\_\_  
Bank Account Owner's First Name, Middle Initial, Last Name

\_\_\_\_\_  
Bank Account Owner's Signature (MM/DD/YYYY)

\_\_\_\_\_  
Bank Account Owner's Signature (MM/DD/YYYY)

#### Medallion Signature Guarantee:

#### Medallion Signature Guarantee:

**A Medallion Signature Guarantee stamp is required for each Principal Account Owner's signature if you are establishing bank information AND a voided check/deposit slip is NOT included, or if you are establishing bank information AND there is NOT a common owner between the registrations of the Principal Account and the Bank Account (we also require a signature and a Medallion Signature Guarantee stamp for each Bank Account Owner).** The signature(s) must be guaranteed by a commercial bank, trust company, credit union, savings and loan, national securities exchange member, or brokerage firm that participates in a Medallion program recognized by the Securities Transfer Association. A signature guaranteed by a notary public or savings bank is not acceptable.