COMMON APPLICATION FORM

(To be Used / Distributed along with Scheme Information Document)

PGIM INDIA

An Application for scheme

Drawn on (Bank)

Along with Cheque / DD No. / UTR No.

Investors must read the Key Information Memorandum, Instructions and Product Labeling before completing this Form.

Please read the instructions before filling up the Application Form. Tick (🗸) whichever is applicable, strike out whichever is not required.



Application No.

Pursuant to SEBI Circular No. SEBI/HO/IMD/IMD/IMD-II DOF3/P/CIR/2021/573 dated June 07, 2021 on Potential Risk Class (PRC) Matrix for debt schemes based on Interest Rate Risk and Credit Risk, PGIM India Asset Management Private Limited has positioned its debt schemes in terms of PRC matrix consisting of parameters based on maximum interest rate risk (measured by Macaulay Duration of the

Contente) at	na maximam ordan n	on (incubarou by Gro	alt RISK value of the scheme).	Potential R		mala matauri ana are poor	ionod iii i i i o indanz do i								
Credit Risk →		R	Relatively Low		Moderat	Relat	ively High								
Interest Rate Risk ↓			(Class A)		(Class B)			lass C)							
Relatively Low (Class I)			A-I		B-I		C-I								
, , ,		PGIM India	PGIM India Overnight Fund		PGIM India Liquid Fund PGIM India Ultra Short Duration Fund PGIM India Low Duration Fund (No. of Segregated Portfolio			NIL							
				PGIWI India Wi	oney Market Fund										
Modera	te (Class II)		A-II NIL	• PGIM	B-II India Short Durati	ion Fund		C-II NIL							
Relative	ely High (Class III)		A-III		B-III		C-III								
		PGIM India PGIM India	a Gilt Fund a Dynamic Bond Fund		India Corporate B India Banking and		Nil								
Sr. No.	Name of the Sch	eme	Type of the Scheme												
1	PGIM India Overnig		An open ended debt schem			<u> </u>	-	risk scheme.							
3	PGIM India Liquid I		An open ended liquid schen					hatwaan 2 mantha ta 6							
3	PGIM India Ultra SI	iort Duration Fund	An open ended ultra-short t months. A relatively low into		•	•	aration of the portiono is	between 3 months to 6							
4	PGIM India Low Du Segregated Portfol	ration Fund (No. of io 1)*	months. A relatively low interest rate risk and moderate credit risk scheme. An open ended low duration debt scheme investing in instruments such that the Macaulay duration of the portfolio is between 6 months to 12 months. A relatively low interest rate risk and moderate credit risk scheme.												
5	PGIM India Money			ended debt scheme investing in money market instruments. A relatively low interest rate risk and moderate credit risk scheme.											
6	PGIM India Short D		An open ended short term of moderate interest rate risk a	and moderate credit r	isk scheme.		·								
7 PGIM India Gilt Fund An open ended debt scheme investing in government securities across scheme.								-							
8 PGIM India Dynamic Bond Fund An open ended dynamic debt scheme investing across duration. A relatively high interest rate risk and relatively low credit risk 9 PGIM India Corporate Bond Fund An open ended debt scheme predominantly investing in AA+ and above rated corporate bonds. A relatively high interest rate ris															
credit risk scheme.															
10	10 PGIM India Banking & PSU Debt Fund An open ended debt scheme predominantly investing in Debt instruments of banks, Public Sector Undertakings, Public Financial Institutions Municipal Bonds. A relatively high interest rate risk and moderate credit risk scheme.														
*The scher	ne has 1 segregated r	ortfolio which was o	created under PGIM India Cred				ned with PGIM India I ov	v Duration Fund w e f							
January 22							504 0								
1 DIST	RIBUTOR INFO	RMATION													
ARN		RIA code		ARN / RIA Name		Sub broker ARN code	Sub broker code **	* EUIN*							
ARN-2	280217 RIA -					ARN -									
Employee U	nique Identification Nur	nber. **As allotted by	ARN holder. Upfront commission	on shall be paid directly	by the investor to the	AMFI registered Distributors	based on the investors' a	assessment of various factor							
ncluding the Declaration for advice by the he distributor	service rendered by the or "execution-only" trans employee/relationship r/sub broker.	e distributor. saction (only where El manager/sales perso	UIN box is left blank). I/We here n of the above distributor/sub brour transactions data feed/portfo	by confirm that the EUroker or notwithstandin	IN box has been intening the advice of in-appro	tionally left blank by me/us a opriateness, if any, provided	s this transaction is execu by the employee/relations	nted without any interaction of ship manager/sales person of							
		/ Guardian													
			PPLICATIONS THRO			(Please / any one of									
			Mutual Funds. OR			(Please ✓ any one of stor in Mutual Funds.		Go Green Initiative							
3. <u>EXIS</u>	TING FOLIO N	UMBER _				ur records under the folio num gside will apply for this applica		Opt-in – Physical							
Opt-out - En								Opt-out – Email efer instruction no. 12							
5. DEM	AT ACCOUNT I	DETAILS K	indly fill the below details	for allotment of ur	nits in demat mode	;									
		National Securities D					Services (India) Limited								
Depository	Participant Name		-p-1-norj =mmod		Depository Participa		Taraba (maia) Emiliou								
DP ID	IN	Beneficia	ry A/c No.		Beneficiary A/c No.	I									
	1,	Bononolai	,,		_ = 5.15.15.13 / 1/0 / 1/0.										
····><····								≽{							
ACKNO	WLEDGMENT S	CLIP (To be filled in	by the investor)			Application	No.								

Dated

Amount ₹

Signature, Stamp & Date

6. SOLE / FIRST APPLICANT'S DETAILS	[#] Mandatory							
Name#	Gender# (please ✓) ☐ Male ☐ Female							
Date of Birth/Incorporation# □ □ □ M M Y Y Y Y ☐ Proof of DOB of Minor enclosed (please ✓) ☐ Passport ☐ Birth Ce	ertificate Other please specify							
PAN# CKYC / KIN								
Guardian Name (in case of Minor) / POA (Contact Person For Non Individuals / POA Holder Name) #								
PAN# CKYC / KIN	Natural Guardian Legal Guardian\$							
Mailing Address [P. O. Box Address is not sufficient]								
City								
Pincode (Mandatory) State Country								
Phone (Off.) Fax No. Phone (Res)								
# I/ we confirm, below contact details are of (Pls select (🗸) any) 🗆 Primary holder 🗀 ^Family (Specify relationship)								
Mobile No.# Email ID#								
A"Family" for this purpose shall mean self, spouse, dependent children and dependent parents.	\$ Enclose supporting documents							
Overseas Address (Mandatory in case of NRI/ FII applicant, in addition to mailing address)								
City								
State Country Country	Zip Code#							
Status: Resident Individual NRI-Repatriation NRI-Non Repatriation Partnership Trust (Please ✓) Minor through guardian Company File Repatriation RIO Repatriation Partnership	HUF AOP							
, , Millor fillough guardan Company Fils Filo Body Corporat	e Society/Club Sole Proprietorship (please specify)							
Non Profit Organisation Financial Institution NBFC Others Occupation: Private Sector Service Public Sector Service Government Service Business Professional Housewife Student Forex Dealer Others (Please specify) Below 1 Lac 1-5 Lacs 5-10 Lacs 10-25 Lacs >25 Lacs-1 cred	Agriculturist Retired							
□ Housewife □ Student □ Forex Dealer □ Others (Please specify) □								
Gross Annual	ore >1 crore M M Y Y Y Y (Not older than 1 year)							
For Individuals [Please ✓]: ☐ I am Politically Exposed Person (PEP)^ ☐ I am Related to Politically Exposed Person (RPEP) ☐ Not applicable								
For Non-Individuals [Please <] (Please attach mandatory Ultimate Beneficial Ownership (UBO) declaration form (i) Foreign Exchange / Money Changer Services ☐ Yes ☐ No ^ PEP are defined as individuals who are or have been entrusted with prominent public	functions in a foreign country or a Heads of							
(ii) Gaming / Gambling / Lottery / Casino Services Yes No States or of Governments, senior politicians, senior Government/judicial/ military office								
SECOND APPLICANT'S DETAILS	# Mandatory							
Name#	Gender# (please ✓) ☐ Male ☐ Female							
Date of Birth# □ □ □ M M Y Y Y Y U □ Proof of DOB (please ✓) □ Passport □ Birth Ce	ertificate Other please specify							
PAN# CKYC / KIN								
Pincode (Mandalory) Phone (Off.) Mobile No.#								
Phone (Res) Email ID								
Status: □ Resident Individual □ NRI-Repatriation □ NRI-Non Repatriation □ Partnership □ Trust (Please ✓) □ Minor through guardian □ Company □ FIIs □ PIO □ Body Corporat	HUF AOP e Society/Club Sole Proprietorship							
□ Non Profit Organisation □ Financial Institution □ NBFC □ Others □	(please specify)							
Occupation: Private Sector Service Public Sector Service Government Service Business Professional	Agriculturist Retired							
Non Profit Organisation Financial Institution NBFC Others	ore							
Income: OR Net worth (Mandatory for Non-Individuals) ₹ as on □□□□	M M Y Y Y Y (Not older than 1 year)							
For Individuals [Please]: I am Politically Exposed Person (PEP)^ I am Related to Politically Exposed Person (RPEP) Not applicable PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, seni	or politicians, copier Covernment/indicial/ willite-							
officers, senior executives of state owned corporations, important political party officials, etc.								

THIRD APPLICA	ANT'S DETAILS			# Mandato							
Name#				Gender# (please ✓) ☐ Male ☐ Fema							
Date of Birth#	D D M M Y Y	Y Y	of of DOB (please ✓) ☐ Passp	oort Birth Certificate Other please specify							
PAN#		CKYC / KIN									
Pincode (N	/andatory) Phor	ne (Off.)		Mobile No.#							
Phone (Res)		Email ID									
Status: (Please ✓)	Minor through guardian	NRI-Repatriation NRI-Non Repatriation Company FIIs Financial Institution NBFC		Trust HUF AOP Body Corporate Society/Club Sole Proprietorship (please specify)							
Occupation:		Public Sector Service Government Service		Professional Agriculturist Retired							
Gross Annual Income:	Below 1 Lac	Forex Dealer		>25 Lacs-1 crore							
^ PEP are defined as ir officers, senior executiv	OR Net worth (Mandatory for Non-Individuals) For Individuals [Please]: I am Politically Exposed Person (PEP)^ I am Related to Politically Exposed Person (RPEP) Not applicable PEP are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.										
Mode of Investment Scheme Name PG	Lump Sum Only SIP Only	The name of the first/ sole applicant must be pre-p (First investment cheque is optional) Lump ment of IDCW** (**Refer instruction no. 7)	Sum with SIP Micro Investment	Option Growth* IDCW** *Default Option							
Transfer of IDCW**	(TIDCW)\$ to PGIM INDIA	(\$Ple	ease refer to SID / addendum thereof	for schemes available for Transfer of IDCW and IDCW Frequency							
Lumpsum Investm	ent										
Payment Type [P	rlease ✓] ☐ Third Party Pay of Cheque / DD / Payment Instrument / RTGS/ NEFT in figures (₹)	rment (Please attach 'Third Party Payment Decla Cheque / DD / Pa Instrument No. &	yment	n 7) Drawn on Bank / Branch							
SIP Investment											
Monthly SIP Amount (fi	gure)	(words)									
,	✓ any one)		f the month except 29/30/31)	No. of Instalment							
	YYY End Date MMYYY		. ,								
☐ SIP THROUGH AU	TO DEBIT (ECS/Direct Debit/NACH) F	Please also fill and attach the SIP OTM/ Auto Deb	•	Τ.							
	ST-DATED CHEQUE Second & subsectioned, next applicable SIP cycle date v	would be applied for presenting	s. From ates From	To To							
ONE TIME M PGIM India Mutual F	[CH / ECS / AUTO DEBIT / LUMPS ONE TIME MANDATE FO		(*Mandatory field)							
	UMRN	For office use		Date* D D M M Y Y Y Y							
CDEATE	Sponsor Bank Code	CITI000PIGW	Utility Code	CITI 00002000000037							
MODIFYX	I/We hereby authorize	PGIM INDIA MUTUAL FUND	to debit (Please	SB / CA / CC / SB-NRE / SB-NRO / Other							
31 11 2 2 2 2	Bank a/c number*										
With Bank*	Name of cus		SC*	MICR*							
an amount of Ru		Amount in words H-Yrly As & When presenter	d DEBIT TYPE*	▼ In Figures ▼ Maximum Amount							
Reference - 1		tion no. / Folio number	Phone No	T IXCO / WICAMING III							
Reference - 2	Дррпса	tion no. / I one number	Email ID								
	of mandate processing charges by the	bank whom I am authorizing to debit my account		the bank.							
PERIOD* From D D To D D	M M Y Y Y Y Y A A A A A A A A A A A A A	XX Signature of first account holder Name of first account holder*	x x Signature of second acco	unt holder xx Signature of third account holder							

- This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the User entity/ Corporate to debit my account.
 I have understood that I am authorized to cancel/amend this mandate by appropriately communicating the cancellation / amendment request to the User entity/ corporate or the bank were I have authorized the debit.

Nar	me of the Bank							Branch												T
Acc	count No.					Accour	nt Type	Savir	ngs [Curre	nt [NRO	□N	RE [Oth	ers				
Ban	nk Address																			T
Pinc	code State							City												Ť
MIC	CR Code (9 digits)		*IFSC (ode f	or NEF1	/ RTGS												Number		
a	FATCA AND CRS INFORMATION	(for Individual including Sol	o Dronri	otor) (Salf Car	tification)	/Ear No	n Individ	lual co	norato f	orm to	ho cubr	nittod)	10	IIOIII	your c	neque	сору о	Dank	Diali
Is the applicant(s)/ guardian's Country of Birth / Citizenship / Nationality / Tax Residency other than India? Yes No If Yes, please provide the following information [mandatory] Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers below Category First Applicant (including Minor) Second Applicant/						cant/ (int/ Guardian Third Ap						Applic	ant						
	Category Place/ City of Birth	First Applicant (II	nciuaing	IVIIIIOI	1)		Sec	опа Арріі	cani/ c	oual (ilai	1					Triiru	Applic	anı		
	Country of Birth																			
	Country of Tax Residency#																			
iory	Tax Payer Ref. ID No^																			
Mandatory	Identification Type [TIN or other, please specify]																			
Mario		T																		
Mand	Country of Tax Residency 2																			
Mand	Country of Tax Residency 2 Tax Payer Ref. ID No. 2																			
Mand	,																			_
Mand	Tax Payer Ref. ID No. 2																			_
Mand	Tax Payer Ref. ID No. 2 Identification Type [TIN or other, please specify]																			
Mand	Tax Payer Ref. ID No. 2 Identification Type [TIN or other, please specify] Country of Tax Residency 3																			

For Non-Individual investors, please fill in UBO form along with FATCA / CRS annexure and attach along with Application form available on our website www.pgimindiamf.com

INSTRUCTIONS FOR ONE TIME MANDATE FORM

One Time Mandate (OTM) is an authorization to the bank issued by an investor to debit their bank account up to a maximum limit as provided by the investor in the OTM mandate.

This would facilitate debits for all purchases initiated by the investor up to maximum limit from the bank account provided in the section.

- To avail this facility the investors of the fund shall be required to submit one time mandate, completely filled in with all the details in the designated mandate form. Please attach a cancelled cheque copy.
- Investors, who have not registered for OTM facility, may fill the OTM form and submit duly signed with their name mentioned.
- 3. Mobile Number and Email Id: Unit holder(s) should mandatorily provide their mobile number and email id on the mandate form. Where the mobile number and email id mentioned on the mandate form differs from the ones as already existing in the folio, the details provided on the mandate will be updated in the folio. All future communication whatsoever would be, thereafter, sent to the updated mobile number and email id.
- 4. Unit holder(s) need to provide along with the mandate form an original cancelled cheque (or a copy) with name and account number pre-printed of the bank account to be registered or bank account verification letter for registration of the mandate failing which registration may not be accepted. The Unit holder(s) cheque/ bank account details are subject to third party verification.
- Investors are deemed to have read and understood the terms and conditions of OTM Facility, SIP
 registration through OTM facility, the Scheme Information Document, Statement of Additional
 Information, Key Information Memorandum, Instructions and Addenda issued from time to time of
 the respective Scheme(s) of PGIM India Mutual Fund.

- 6. Date and the validity of the mandate should be mentioned in DD/MM/YYYY format.
- 7. Utility Code of the Service Provider will be mentioned by PGIM India Mutual Fund
- 8. Tick on the respective option to select your choice of action and instruction.
- The numeric data like Bank account number, Investors account number should be left padded with zeroes.
- Please mention the Name of Bank and Branch, IFSC / MICR Code also provide An Original Cancelled copy of the cheque of the same bank account registered in One Time Mandate.
- Amount payable for service or maximum amount per transaction that could be processed in words.
 The amount in figures should be same as the amount mentioned in words, in case of ambiguity the mandate will be rejected.
- 12. For the convenience of the investors the frequency of the mandate will be "As and When Presented"
- 13. Please affix the Names of customer/s and signature/s as well as seal of Company (where required) and sign the undertaking
- 14. PGIM India MF may amend the above terms and conditions, at any time without prior notice to investors and such amended terms and conditions will there upon apply to and will binding on the investors.
- 15. For period selection investor has option to mention end date or select until cancelled, please note that if both the option are selected then the mandate would be rejected.

	b hereby nominate the undermentioned Nominee(s) to recolominee(s) and Signature of the Nominee(s) acknowledgi		
Nominee Details	Nominee 1	Nominee 2	Nominee 3
Name			
Address			
PAN			
Date of Birth			
Relationship			
Proportion (%)*			
Name and Address of Guardian (to be furnished in case the nominee is minor)			
Signature of Guardian / Nominee			
*(%) by which the units will be shared by	each nominee (% to aggregate to 100%)		
11. DECLARATION AND SIG	NATURES		
memorandum of the respective Scheme(s) Scheme(s) of PGIM India Mutual Fund, as ir gifts, directly or indirectly in making this invest the purpose of contravention or evasion of a to me/us all the commissions (in the form or recommended to me/us. I/We declare that th Mutual Fund, I/We hereby authorise the AM	and Addenda thereto, issued from time to time and the indicated above and agree to abide by the terms, condition stment. I/We declare that I am/We are authorised to make my Act, Regulation, Rule, Notification, Directions or any of trail commission or any other mode), payable to him the information given in this application form is correct, com C/PGIM India Mutual Fund to redeem the units against the	Instructions. I/We, hereby apply to theTrustee of PGIM In is, rules and regulations of the relevant Scheme(s). I/We this investment and the amount invested in the Scheme ther applicablelaws enacted by the Government of India or for the different competing Schemes of various Mutual plete and truly stated. In the event of my/our not fulfiling the	is through legitimate sources only and is not designed for or any Statutory Authority. The ARN holder has disclosed Funds from amongst which the Scheme(s) is/are being ne KYC process to the satisfaction of the AMC/PGIM India the date of such redemption. I/We agree that PGIM India

For investors investing in Direct Plan: I/We hereby agree that the AMC has not recommended or advised me/us regarding the suitability or appropriateness of the product/scheme/plan. Applicable to Micro Investors: I/We hereby declare that I/We do not have any existing Micro investments which together with the current application will result in aggregate investments exceeding Rs. 50,000 in a year. Applicable to NRIs: I/We confirm that I am/We are Non-Resident(s) of Indian Nationality/Origin and I/We hereby confirm that the funds for subscription have been remitted from abroad through normal banking channels or from funds in my/our Non-Resident External/Ordinary Account/FCNR Account/FCNR Accounties. FATCA and CRS Declaration: I/We hereby acknowledge and confirm that the information provided in this form is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We shall be liable for it. I/We also undertake to keep you informed in writing about any changes/modification to the above information in future and also undertake to provide any other additional information as may be required at your end. I/We hereby authorise you to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/us, including all changes, updates to such information as and when provided by me/us to Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees ('the Authorised Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax

/revenue authorities and other investigation agencies without any obligation of advising me/us of the same.

Place

D M M

Signature(s)

GENERAL GUIDELINES FOR COMMON APPLICATION FORM

- Please read the Scheme Information Document/Key Information Memorandum of the Scheme carefully before investing.
- Please furnish all information marked as 'MANDATORY'. In the absence of any mandatory information, the application would be rejected.
- c. The application form should be completed in ENGLISH and in BLOCK LETTERS.
- d. All cheques, demand drafts and pay orders should be crossed "Account Payee only" and made in favour of "Scheme Name A/c First Investor Name" or "Scheme Name A/c Permanent Account No.".
- e. If the Scheme name on the application form and on the payment instrument are different, the application may be processed and units allotted at applicable NAV of the scheme mentioned in the application / transaction slip duly signed by investor(s).
- f. Any over-writing / changes made while filling the form must be authenticated by canceling the original entry, re-entering correct details and ensuring that all applicants counter-sign against each correction.

- g. Investors must write the application form number / folio number on the reverse of the cheque / demand draft
- h. FATCA Declaration: Individual investors, please fill in FATCA / CRS annexure and attach along with Application form. Non-Individual investors, please fill in UBO form along with FATCA / CRS annexure and attach along with Application form available on our website
- In case of new individual investors who are not CKYC compliant, please fill the CKYC form issued by Central KYC Registry (CKYC) appended in the form and also available on our website.
- In case of existing individual and non individual investors who are KYC compliant, please provide the KYC acknowledgement issued by the KYC Registration Agency.
- k. Please strike off sections that are not applicable.

INSTRUCTIONS FOR COMMON APPLICATION FORM

1. DISTRIBUTOR INFORMATION

- Upfront commission shall be paid directly by the investor to the AMFI registered Distributors based onthe investors'assessmentofvarious factors including the service renderedbythe distributor.
- Please mention 'DIRECT' in case the application is not routed through any distributor.
- c. Pursuant to SEBI circular dated September 13, 2012, mutual funds have created a unique identity number of the employee/ relationship manager/ sales person of the distributor interacting with the investor for the sale of mutual fund products, in addition to the AMFI Registration Number (ARN) of the distributor. This Employee Unique Identification Number is referred as "EUIN". EUIN aims to assist in tackling the problem of mis-selling even if the employee/relationship manager/sales person leaves the employment of the distributor or his/her sub broker. Quoting of EUIN is mandatory in case of advisory transactions.
- d. Distributors are advised to ensure that the sub broker affixes his/her ARN code in the column "Sub broker ARN code" separately provided, in addition to the current practice of affixing the internal code issued by the main ARN holder in the "Sub broker code (as allotted by ARN holder)" column and the EUIN of the Sales Person (if any) in the "EUIN" column.
- e. Distributors are advised to ensure that they fill in the RIA code, in case they are a Registered Investment Advisor.
- f. Investors are requested to note that EUIN is applicable for transactions such as Purchases, Switches, Registrations of SIP / STP and EUIN is not applicable for transactions such as Installments under SIP/ STP / SWP / IDCW Reinvestments, Redemption, SWP Registration.
- g. Investors are requested to note that EUIN is largely applicable to sales persons of non individual ARN holders only (whether acting in the capacity of the main distributor or sub broker). Further, EUIN will not be applicable for overseas distributors who comply with the requirements as per AMFI circular CIR/ARN-14/12-13 dated July 13, 2012.

2. TRANSACTION CHARGES

In terms of SEBI circular, Cir/ IMD/ DF/13/ 2011 dated August 22, 2011, the distributors of mutual fund products are allowed to be paid transaction charges for purchase transactions :

- @ Rs. 100/- per subscription of Rs. 10,000/- and above in respect of existing unitholders; and
- @ Rs. 150/- for subscription of Rs. 10,000/- and above in respect of a first time investor in mutual funds

In case of SIPs, the transaction charge if any, shall be applicable only if the total commitment through SIPs aggregates to Rs. 10,000/- and above and shall be recovered in 4 installments. The transaction charge shall be deducted from the subscription amount and paid to the distributor; and the balance shall be invested in the Scheme. The transaction charges and the net investment amount and the number of units allotted will be clearly mentioned in the Account Statement issued by the Mutual Fund. There shall be no transaction charges on

- (i) 'Direct' investments;
- (ii) subscription below Rs. 10,000/- and
- (iii) switch (including STP) and redemption (including SWP) transactions.

Distributors shall be able to choose to opt out of charging the transaction charge. However, the 'opt- out' shall be at distributor level and not investor level i.e. a distributor shall not charge one investor and choose not to charge another investor.

3. EXISTING INVESTORS OF PGIM INDIA MUTUAL FUND (PGIMIMF)

If you are an existing investor please fill your existing folio number, so the unit will alloted in the same folio. If it left blank, then new folio number will be generate.

4. MODE OF HOLDING

Please select mode of holding, if option left blank then default option of jointly will be considered.

5. UNIT HOLDING OPTION (Demat / Non - Demat Mode)

a. Investors can hold units in demat / non-demat mode. In case demat account details are not provided or details of DP ID / BO ID, provided are incorrect or demat account is not activated or not in active status, the units would be allotted in non-demat mode.

- b. Statement of Accounts would be sent to Investors who are allotted units in non-demat mode.
- Units held in dematerialiazed form are freely transferable with effect from October 01, 2011, except units held in Equity link savings Scheme during the lock-in period.

6. APPLICANT'S INFORMATION

- a. Please furnish names of all applicants. The name of the Sole /First Applicant should be mentioned in the same manner in which it appears in the Income Tax PAN card. Please note the following:
 - In case the applicant is a Non-Individual investor, the Contact Person's name should be stated in the space provided (Name of Guardian / Contact Person)
 - In case the applicant is a minor, the Guardian's name should be stated in the space provided (Name of Guardian / Contact Person). It is mandatory to provide the minor's date of birth in the space provided.
 - In case the application is being made on behalf of a minor, he / she shall be the Sole Holder/ Beneficiary. There shall be no ioint account with a minor unitholder.
- As per recent guidelines, Primary holders are required to provide their Email Address and Mobile number for ease of communications and to prevent fraudulent transactions.
- If there is more than one applicant but the mode of holding is not specified, the same would be treated
 as Joint
- d. Please indicate the tax status of the sole/1 applicant at the time of investment. The abbreviations used in this section are:

NRI: Non-Resident Indian Individual, PIO: Person of Indian Origin, FII: Foreign Institutional Investor, NGO: Non Government Organization, AOP: Association of Persons, BOI: Body of Individuals, HUF: Hindu Undivided Family.

- e. Where the investment is on behalf of a Minor by the Guardian:
 - · The Minor shall be the first and sole holder in the account.
 - No Joint holders are allowed. In case an investor provides joint holder details, these shall be ignored.
 - Guardian should be either a natural guardian (i.e. father or mother) or a court appointed legal guardian.
 - Guardian should mention the relationship with Minor and date of birth of the Minor on the application form.
 - A document evidencing the relationship and date of birth of the Minor should be submitted along
 with the application form. Photo copy of any one of the following documents can be submitted
 a) Birth certificate of the minor or b) school leaving certificate / mark sheet of Higher Secondary
 board of respective states, ICSE, CBSE etc. c) Passport of the minor d) Any other suitable proof
 evidencing the relationship.
 - Where the guardian is not a natural guardian (father or mother) and is a court appointed legal guardian, suitable supporting documentary evidence should be provided.
 - If the mandatory details and/or documents are not provided, the application is liable to be rejected without any information to the applicant.
 - The bank a/c to be in name of minor or guardian with minor as joint.
- f. PGIM India Mutual Fund has decided to restrict subscriptions from United States persons (U.S. person) as defined under the extant laws of the United States of America and Residents of Canada in the schemes of PGIM India Mutual Fund. Any individual who is a foreign national or any entity that is not an Indian Resident under the Foreign Exchange Management Act, 1999, except where registered with SEBI as a FPI. Non-Resident Indians residing in the Financial Action Task Force (FATF) Non Compliant Countries and Territories (NCCTs) & Overseas Corporate Bodies.

g. KYC Requirements And Details:

Please furnish PAN & KYC details for each applicant/unit holder, including the Guardian and/or Power Of Attorney (POA) holders as explained in the below points.

PAN

It is mandatory for all investors (including guardians, joint holders, NRIs and power of attorney holders) to provide their Income Tax Permanent Account Number (PAN) and also submit a photo

INSTRUCTIONS FOR COMMON APPLICATION FORM (Contd.)

copy of the PAN card at the time of purchase of Units except for investors who are exempted from PAN requirement, please refer to KYC Form for exemption of PAN requirement.

KNOW YOUR CUSTOMER (KYC)

Individual client who has registered under Central KYC Records Registry (CKYCR) has to fill the 14 digit KYC Identification Number (KIN) in application form as per AMFI circular 135/BP/68/2016-17. To download Common KYC Application Form, please visit our website www.pgimindiamf.com.

Operationalisation of Central KYC Records Registry (CKYCR)

Central Registry of Securitisation and Asset Reconstruction and Security interest of India 'CERSAI') has been authorised by Government of India to act as Central KYC Records Registry under Prevention of Money-Laundering (Maintenance of Records) Rules, 2005 ('PMLA Rules').

SEBI vide its circular ref. no. CIR/MIRSD/66/2016 dated July 21, 2016 and circular ref. no. CIR/MIRSD/120/2016 dated November 10, 2016 has prescribed that the Mutual Fund/ AMC should capture KYC information for sharing with CKYCR as per the KYC template prescribed by CERSAL

In accordance with the aforesaid SEBI circulars and AMFI best practice guidelines for implementation of CKYC norms with effect from February 1, 2017:

- a) Individual investors who have never done KYC process under KRA regime i.e. a new investor who is new to KRA system and whose KYC is not registered or verified in the KRA system shall be required to provide KYC details in the CKYC Form to the Mutual Fund/ AMC.
- Individual investor who fills old KRA KYC Form, should provide additional / missing information using Supplementary KYC Form or fill CKYC Form.
- c) Details of investors shall be uploaded on the system of CKYCR and a 14 digit unique KYC identifier ('KIN') will be generated for such customer.
- d) New investors, who have completed CKYC process & have obtained KIN may quote their KIN in the application form instead of submitting CKYC Form/ Supplementary KYC Form.
- AMC/ Mutual Fund shall use the KIN of the investor to download the KYC information from CKYCR system and update its records.
- f) If the PAN of investor is not updated on CKYCR system, the investor should submit selfcertified copy of PAN card to the Mutual Fund/ AMC.

The CKYC Form and Supplementary KYC Form are available at Investor Service Centre (ISC) of PGIM India Mutual Fund and on website www.pgimindiamf.com.

The AMC reserves the right to reject transaction application in case the investor(s) fails to submit information and/or documentation as mentioned above. In the event of non compliance of KYC requirements, the Trustee / AMC reserves the right to freeze the folio of the investor(s).

Micro Investment

With effect from October 30, 2012, where the aggregate of the lump sum investment (fresh purchase & additional purchase) and Micro SIP installments by an investor in a financial year i.e April to March does not exceed Rs. 50,000/- it shall be exempt from the requirement of PAN. However, requirements of Know Your Customer (KYC) shall be mandatory.

Accordingly, investors seeking the above exemption for PAN still need to submit the KYC Acknowledgement, irrespective of the amount of investment. This exemption will be available only to Micro investment made by the individuals being Indian citizens (including NRIs, Joint holders, minors acting through guardian and sole proprietary firms). PIOs, HUFs, QFIs and other categories of investors will not be eligible for this exemption.

h. Contact Information

- Please furnish the full postal address of the Sole/ First Applicant with PIN/Postal Code and complete contact details. (P.O. Box address is not sufficient).
- b. Please note that all communication i.e. Account statement, Annual Report, News Letters will be sent via e-mail, if the e-mail id of the investor is provided in the application form. The Account statement will be encrypted with a password before sending the same to the registered email id. Should the unitholder face any difficulty in accessing/opening the Account Statements/ documents sent via email, the unitholder may call/write to the AMC/Registrar and ask for a physical copy.
- Overseas address is mandatory for NRI/FII investors.

7. INVESTMENT/PAYMENT DETAILS

Introduction of Direct Plan:-

The AMC has introduced a separate plan for direct investments (i.e. investments not routed through an AMFI Registration Number (ARN) Holder ("Distributor") (hereinafter referred to as "Direct Plan") with effect from January 1, 2013 ("Effective Date").

- Direct Plan is only for investors who purchase /subscribe Units in a Scheme directly with the Fund and is not available for investors who route their investments through a Distributor.
- Investors may please note that the Direct Plan under the Schemes is meant for investors who understand the capital market, mutual funds and the risks associated therewith. The risks associated with the investments in the Schemes vary depending upon the investment objective, asset allocation and investment strategy of the Schemes and the investments may not be suited for all categories of investors. The AMC believes that investors investing under the Direct Plan of the Schemes are aware of the investment objective, asset allocation, investment strategy, risks associated therewith and other features of the Schemes and has taken an informed investment decision. Please note that Scheme

Information Document(s), Statement of Additional Information, Key Information Memorandum or any other advertisements and its contents are for information only and do not constitute any investment advice or solicitation or offer for sale of units of the Schemes from the AMC.

- All Options/Sub-Options offered under the Schemes (hereinafter referred as "Regular Plan") will also be available for subscription under the Direct Plan. Thus, from the Effective Date, there shall be 2 Plans available for subscription under the Schemes viz., Regular Plan and Direct Plan.
- Investors subscribing under Direct Plan of the Schemes should indicate the Scheme/Plan name in the application form as "Scheme Name – Direct Plan" form for e.g. "PGIM India Midcap Opportunities Fund Direct Plan". Investors should also indicate "Direct" in the ARN column of the application form. However, in case Distributor code is mentioned in the application form, but "Direct Plan" is indicated against the Scheme name, the Distributor code will be ignored and the application will be processed under Direct Plan.
- Please note, where application is received for Regular Plan without Distributor code or "Direct" mentioned in the ARN Column, the application will be processed under Direct Plan.
- Please indicate the Option/Plan under which you wish to invest. Also indicate your choice of Payout
 of Income Distribution cum Capital Withdrawal option or Reinvestment of Income Distribution cum
 Capital Withdrawal option. If any of the information is left blank, the default option will be applicable.
- · Investment cheque is not mandatory if investor wish to start a SIP.
- · Please note investor needs to fill the Common Application Form and SIP Investment Form.
- Payment may be made only by Cheque or Bank Draft or Electronic Fund Transfer. Cheque/Draft should be drawn in favour of the "Scheme name", e.g. "PGIM India Midcap Opportunities Fund" and crossed "Account Payee only".
- Please tick and fill in the appropriate section based on the Type of Investment i.e. LUMPSUM or SIP or Micro investment. Please fill an Auto Debit form in case of investment through SIP - Auto Debit Facility.

Please note that third party payments shall not be accepted.

- Third Party Payment" shall mean payment made through an instrument issued from an account other than that of the beneficiary investor. In case of payment instruments issued from a joint bank account, the first named applicant/investor must be one of the joint holders of the bank account from which the payment instrument is issued. Related person/s' means such persons as may be specified by the AMC from time to time. Exceptions: The AMC/ Registrar of PGIMIMF will accept subscriptions to schemes of PGIMIMF accompanied by Third-Party Payment Instruments only in the following exceptional cases:
 - Payment by Parents/Grandparents/related persons on behalf of a minor in consideration of natural love and affection or as gift for a value not exceeding Rs. 50,000/- (each regular purchase or per SIP installment);
 - Payment by employer on behalf of employee under Systematic Investment Plan (SIP) facility through payroll deductions;
 - 3. Custodian on behalf of an FII or a Client

The investors making an application under the above mentioned exceptional cases are required to comply with the following, without which their applications for subscriptions for units will be rejected / not processed.

- Mandatory KYC compliance of the investor and the person making the payment, in order to determine the identity of the investor and the person issuing the payment instrument.
- Submit a separate, prescribed, 'Third Party Payment Declaration Form' from the beneficiary applicant/s (guardian in case of minor) and the person making the payment i.e., the Third Party, giving details of the bank account from which the payment is made and the relationship of the Third Party with the beneficiary. (The declaration form is available at www.pgimindiamf.com)
- Submit a cancelled cheque leaf or copy of bank statement / pass book page mentioning bank
 account number, account holders' name and address or such other document as the AMC may
 require for verifying the source of funds to ascertain that funds have been remitted from the
 drawer's account only.

For identifying Third Party Payments, investors are required to comply with the requirements specified below:

- a. Payment by Cheque: An investor at the time of his/her purchase must provide the details of pay-in bank account (i.e. account from which a subscription payment is made) and pay-out bank account (i.e. account into which redemption/IDCW proceeds are to be paid). Identification of third party cheques by the AMC / Registrars will be on the basis of either matching of pay-in bank account details with registered/pay-out bank account details or by matching the bank account number/name/signature of the first named investor with the name/account number/signature available on the cheque. If the name/bank account number is not pre-printed on the cheque and signature on the cheque does not match with signature on the application, then the first named applicant/investor should submit any one of the following documents:
- a copy# of the bank passbook or a statement of bank account having the name and address of the account holder and account number;
- ii) a letter* (in original) from the bank on the bank's letterhead certifying that the investor maintains an account with the bank, alongwith information like bank account number, bank branch,account type, the MICR code of the branch & IFSC Code (where available).

*In respect of (ii) above, it should be certified by the bank manager with his/her full signature, name, employee code, bank seal and contact number. Investors should note that where the bank account numbers have changed on account of the implementation of core banking system at their banks, any related communication from the bank towards a change in bank account number should accompany the application form for subscription of units.