



P.O. Box 8024
Boston, MA 02266-8024
800-222-5852

Overnight Mail:
30 Dan Road
Canton, MA 02021-2809

SIMPLE IRA Transfer Request

- Use this form to transfer your SIMPLE IRA or other qualified account from another institution to the Principal Funds.
- If you are establishing a new Principal Funds SIMPLE IRA, please complete a *SIMPLE IRA Application* in addition to this form.

If you are over age 70½, you are required to receive a minimum distribution each year from a retirement account. You must take this year's distribution amount **before** the account is rolled over to your Principal Funds retirement account. It is your responsibility to request the distribution when required. The prior trustee or custodian should help you with calculating the required distribution. Principal Funds will assist you in calculating the minimum distribution in future years upon request.

1. Account Registration and Customer Identification Information

Principal Life Insurance Company for the Benefit of:	
Owner's First Name, Middle Initial, Last Name	
Social Security Number	Date of Birth (MM/DD/YYYY)
Owner's Mailing Address, City, State, Zip	
()	()
Daytime Phone Number	Evening Phone Number
E-mail Address	

2. Transfer Information

A. Where are your funds currently invested?	
Name of Custodian	() Phone Number
Custodian Address (No P.O. Box Address)	
City, State, Zip	
B. What type of account/plan are you transferring from?	
<input type="checkbox"/> SIMPLE IRA	
<input type="checkbox"/> Other _____	

3. *Transfer Instructions*

To the resigning Custodian: Please liquidate assets, or deliver shares in kind, in the following account(s) and transfer the proceeds to the Principal Funds. Principal Life Insurance Company will act as my new Custodian, and Principal Shareholder Services, Inc., and its appointed sub-transfer agent, as its agent.

Name of Investment

All Assets OR \$ _____ Account Number

Liquidate: Immediately At Maturity _____
Date (MM/DD/YYYY)

Deliver Principal Funds shares in kind

NOTE: Please attach a copy of your most recent statement(s) from your current Custodian.

Name of Investment

All Assets OR \$ _____ Account Number

Liquidate: Immediately At Maturity _____
Date (MM/DD/YYYY)

Deliver Principal Funds shares in kind

NOTE: Please attach a copy of your most recent statement(s) from your current Custodian.

Name of Investment

All Assets OR \$ _____ Account Number

Liquidate: Immediately At Maturity _____
Date (MM/DD/YYYY)

Deliver Principal Funds shares in kind

NOTE: Please attach a copy of your most recent statement(s) from your current Custodian.

Name of Investment

All Assets OR \$ _____ Account Number

Liquidate: Immediately At Maturity _____
Date (MM/DD/YYYY)

Deliver Principal Funds shares in kind

NOTE: Please attach a copy of your most recent statement(s) from your current Custodian.

Name of Investment

All Assets OR \$ _____ Account Number

Liquidate: Immediately At Maturity _____
Date (MM/DD/YYYY)

Deliver Principal Funds shares in kind

NOTE: Please attach a copy of your most recent statement(s) from your current Custodian.

4. Investment Selection

Please indicate the Principal Funds Portfolio(s)/Fund(s) in which you would like to invest, and the investment amount(s) or allocation(s) for each. Minimum initial investment amount for all Portfolios/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.**

Will this Transfer be into an existing Principal Funds SIMPLE IRA account?

- YES – If Yes, what is your Principal Funds SIMPLE IRA account number? _____
- NO – If No, please establish a Principal Funds SIMPLE IRA account by completing and attaching a Principal Funds *SIMPLE IRA Application*.

		Class <input type="checkbox"/> A <input type="checkbox"/> C	
Portfolio/Fund Number	Portfolio/Fund Name		
\$ _____	OR _____ %		_____
Dollar Amount	Percentage		Current Account Number or Indicate New
		Class <input type="checkbox"/> A <input type="checkbox"/> C	
Portfolio/Fund Number	Portfolio/Fund Name		
\$ _____	OR _____ %		_____
Dollar Amount	Percentage		Current Account Number or Indicate New
		Class <input type="checkbox"/> A <input type="checkbox"/> C	
Portfolio/Fund Number	Portfolio/Fund Name		
\$ _____	OR _____ %		_____
Dollar Amount	Percentage		Current Account Number or Indicate New
		Class <input type="checkbox"/> A <input type="checkbox"/> C	
Portfolio/Fund Number	Portfolio/Fund Name		
\$ _____	OR _____ %		_____
Dollar Amount	Percentage		Current Account Number or Indicate New
		Class <input type="checkbox"/> A <input type="checkbox"/> C	
Portfolio/Fund Number	Portfolio/Fund Name		
\$ _____	OR _____ %		_____
Dollar Amount	Percentage		Current Account Number or Indicate New

**PLEASE REFER TO THE SIMPLE IRA APPLICATION
FOR A LIST OF PORTFOLIO/FUND NAMES AND NUMBERS.**

5. Authorization for the Transfer of Your Assets

TO RESIGNING CUSTODIAN:

I have established a SIMPLE IRA with the Principal Funds. Please liquidate or transfer the assets as I have described in Section 3 and forward the proceeds to the Principal Funds. I understand that this transfer of assets is to be executed as a fiduciary-to-fiduciary transfer and that I will not receive constructive receipt of any part of the transferred assets. **Note: Your resigning Custodian may require that your signature be guaranteed.** Please contact them for their requirements.

Please make check payable to: Principal Funds FBO [owner's name]

Please mail check to: Principal Funds
P.O. Box 8024
Boston, MA 02266-8024
800-222-5852

Owner's First Name, Middle Initial, Last Name

Social Security Number

Account Owner Signature

Date (MM/DD/YYYY)

Medallion Signature Guarantee (if required by your resigning Custodian)

6. For Principal Life Insurance Company Use Only

TO RESIGNING CUSTODIAN:

Principal Life Insurance Company accepts appointment as Successor Custodian, and Principal Shareholder Services, Inc., and its appointed sub-transfer agent, will act as its agent. We have established an IRS-approved SIMPLE IRA as described above for the named applicant and will accept the Transfer of assets on a fiduciary-to-fiduciary basis.

Signature

Date (MM/DD/YYYY)