



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

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

IRA Transfer/Direct Rollover Request

- If you are establishing a new Principal Funds IRA, please complete an *IRA Application* in addition to this form. If you are transferring money from more than one institution, please complete a separate *IRA Transfer/Direct Rollover* form for EACH institution.
- Use this form to: 1) Process a Trustee-to-Trustee Transfer of an IRA or 2) Process a Direct Rollover from a Qualified Plan from another institution to a Principal Funds Traditional IRA.

Note on Direct Rollovers from Qualified Plans: Plan Administrators may require their own form(s) to be completed. We recommend that you contact your current plan administrator to avoid delays.

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

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Daytime Phone Number

Evening Phone Number

E-mail Address

2. Transfer/Rollover from Present Custodian

A. What type of account/plan are you transferring from?

Traditional IRA Roth IRA Rollover IRA Qualified Plan Other _____

B. Where are your funds currently invested?

Name of Custodian

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Phone Number

Custodian Address (no P.O. Box Addresses)

City, State, Zip

Account Number(s)

\$
Approximate Amount Expected

Date expected to Transfer/Rollover

3. Transfer/Rollover to Principal Funds Retirement Account

To the resigning Custodian: It is my intention to transfer all or a portion of my account to the Principal Funds. Please liquidate all assets, as indicated below, and transfer the cash proceeds of the following account(s) to the Principal Funds. Minimum initial investment amount for all Portfolios/Funds is \$1,000 with \$100 subsequent investments. For new accounts, your investment selections may be made on the IRA Application. Principal Life Insurance Company will act as my new Custodian, and Principal Shareholder Services, Inc., and its appointed sub-transfer agent, as its agent.

Direct Transfer/Rollover to: (Please check one)

- IRA ROTH IRA SEP-IRA SIMPLE IRA
 Invest into my **NEW** Principal Funds Account (attach application) Invest into my **EXISTING** Principal Funds Account

Fund/Account Number	Transfer/Rollover \$ or %

4. Authorization for the Transfer/Direct Rollover of Your Assets

TO RESIGNING CUSTODIAN:

I have established an IRA with the Principal Funds. Please liquidate or transfer the assets as I have described in Section 2 and forward the proceeds to the Principal Funds. I understand that this Transfer/Direct Rollover of assets is to be executed as a fiduciary-to-fiduciary Transfer/Direct Rollover 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

Account 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)

5. 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 IRA as described above for the named applicant and will accept the Transfer/Direct Rollover of assets on a fiduciary-to-fiduciary basis.

Authorized Signature

Date (MM/DD/YYYY)