



**Principal Funds**  
 PO Box 8024  
 Boston, MA 02266-8024

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

800-222-5852  
 PrincipalFunds.com

## Simple IRA Transfer Request Form

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

**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/Rollover Instructions for Resigning Custodian

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

SIMPLE IRA

Other

**B. Where are your funds currently invested?**

Name of Custodian

( )

Phone Number

Custodian Address (No P.O. Box Address)

City, State, Zip

**C. Amount to Transfer/Rollover**

Liquidate partial amount \$ \_\_\_\_\_ OR  Liquidate all (Approximate amount expected \$ \_\_\_\_\_)

Liquidate upon the maturity date of \_\_\_\_/\_\_\_\_/\_\_\_\_ OR  Liquidate immediately

Deliver Principal Fund shares in kind

### 3. Investment Instructions for Principal Funds

Minimum initial investment amount for all Funds is \$1,000, and subsequent investments must be at least \$100. For new accounts, your investment selections may be made on the IRA Application. Principal Life Insurance Company will act as your new Custodian, and Principal Shareholder Services, Inc., and its appointed sub-transfer agent, as its agent.

#### Transfer/Direct Rollover to:

Invest into my EXISTING SIMPLE Principal Funds account.

Invest into my new Simple IRA Principal Funds Account (see attached application)

| Fund/Account Number | Transfer/Rollover \$ or % |
|---------------------|---------------------------|
|                     |                           |
|                     |                           |
|                     |                           |

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

### 4. Authorization for the Transfer of Your Assets

#### TO RESIGNING CUSTODIAN:

I have established a SIMPLE IRA with Principal Funds. Please liquidate or transfer the assets as I have described in Section 2 and forward the proceeds to Principal Funds. I am aware of and acknowledge any early withdrawal or surrender penalties that may apply. 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

Owner's First Name, Middle Initial, Last Name

Social Security Number

Principal Account Owner's/Authorized Signer's Signature

Date (MM/DD/YYYY)

Medallion Signature Guarantee (if required by your resigning Custodian)

### 5. For Principal Life Insurance Company Use Only

#### Custodian Acceptance to Resigning Custodian

This is to advise you that Principal Life Insurance Company will accept 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 the transfer is to be executed on a fiduciary to fiduciary basis.



Corey Carr, Manager Principal Funds, Inc.