

## Education Savings Account (ESA) Transfer Request

- Use this form to process a rollover of an Education Savings Account.
- If you are establishing a new Principal Funds Education Savings Account, please complete an Education Savings Account Application in addition to this form.
- If you are transferring money from more than one institution, please complete a separate Education Savings Account Transfer form for EACH institution.
- Please note: If the original account specified whether the parent/legal guardian could change the designated beneficiary in the future, the account at Principal Funds must be set up in the same manner.
- Please type or print clearly.

### 1. Account Registration and Customer Identification Information

**Principal Life Insurance Company for the Benefit of:**

Account beneficiary's first name, middle initial, last name

Responsible individual's first name, middle initial, last name

XXX-XX

Account beneficiary's social security number (last four digits)

Account beneficiary's date of birth (MM/DD/YYYY)

Account beneficiary's mailing address

City, State, Zip

( )

Contact telephone number

### 2. Transfer Instructions for Resigning Custodian

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

Name of custodian

( )

Phone number

Custodian address (no P.O. box address)

City, State, Zip

Account number(s)

**B. Amount to Transfer?**

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

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

Transfer Principal Fund shares in kind  All or  partial shares

### 3. Investment Instructions for Principal Funds

Minimum initial investment amount for all Portfolios/Funds is \$1,000, and subsequent investments must be at least \$100. For new accounts, your investment selections may be made on the ESA 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 to (please check one):**

- Invest into my **NEW** Principal Funds Account (attach application)
- Invest my contribution as instructed below into my **EXISTING** Principal Funds Account:

Fund name or number	Amount	OR	Percentage
_____	\$ _____	OR	_____ %
_____	\$ _____	OR	_____ %
_____	\$ _____	OR	_____ %
_____	\$ _____	OR	_____ %

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

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

TO RESIGNING CUSTODIAN:

I have established an Education Savings Account with Principal Funds on behalf of the Account Beneficiary listed in Section 1. Please liquidate the assets as I have described and forward the proceeds to Principal Funds. I understand that this transfer of assets is to be executed as a fiduciary-to-fiduciary transfer and that neither the Account Beneficiary nor I will receive or have access to any part of the transferred assets.

Please make check payable to: Principal Life Insurance Company FBO [owner's name]

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

\_\_\_\_\_  
Signature of Education Savings Account Responsible Individual

\_\_\_\_\_  
Date (MM/DD/YYYY)

**Note: Your resigning Custodian may require that your signature be guaranteed.**

Please contact them for their requirements.

GUARANTOR

Stamp medallion signature guarantee here

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.

### 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 Education Savings Account as described above for the named applicant and the transfer is to be executed on a fiduciary-to-fiduciary basis.



\_\_\_\_\_  
Corey Carr, Senior Manager Principal Funds, Inc.

\_\_\_\_\_  
Date (MM/DD/YYYY)