



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

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

800-222-5852  
 PrincipalFunds.com

## SEP-IRA Transfer/Direct Rollover Request

- DO NOT use this form to transfer or convert a SEP-IRA to a Roth IRA.
- If you are establishing a new Principal Funds SEP-IRA, please complete a *SEP-IRA Application* in addition to this form. If you are transferring money from more than one institution, please complete a separate *SEP-IRA Transfer/Direct Rollover* form for EACH institution.
- Use this form to: 1) Process a Trustee-to-Trustee Transfer of a SEP-IRA or 2) Process a Direct Rollover from a Qualified Plan from another institution to a Principal Funds SEP-IRA.
- Please type or print 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.

**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

Please provide your current address and account information so we can ensure that your account is up to date.

**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?**

SEP-IRA

Other

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

Name of Custodian

( )  
 Phone Number

Custodian Address (no P.O. Box Address)

City, State, Zip

**2. Transfer/Rollover Instructions for Resigning Custodian (continued)**

**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 SEP-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 SEP-IRA Principal Funds account.  Invest into my **NEW** Principal Funds Account (attach application)

Fund/Account Number	Transfer/Rollover \$ or %

**PLEASE REFER TO THE SEP-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 SEP-IRA with 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

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 SEP-IRA, as described above, for the named applicant, and the transfer/direct rollover is to be executed on a fiduciary to fiduciary basis.



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Cory Carr, Manager Principal Funds, Inc.