



**Principal Funds**  
 PO Box 219971  
 Kansas City, MO 64121-9971

**Overnight Mail:**  
 430 W 7th St, Ste 219971  
 Kansas City, MO 64105-1407

800-222-5852  
 PrincipalFunds.com

## Non-IRA Transfer Form

- Use this form to transfer the proceeds of a non-retirement Certificate of Deposit (CD), mutual fund, or other investment to a Principal Funds account.
- If you have an existing account, please attach a copy of your account statement, or provide your account number below.
- For a new account, please submit this form with an Account Application. Please contact your Investment Representative or call Principal Funds for an Account Application and prospectus.

1. Account Information	
<input type="checkbox"/> Existing Principal Funds Account	<input type="checkbox"/> New Principal Funds Account (please attach an Account Application)
Account Number	Portfolio/Fund Number
Owner/Authorized Signer's Name	Social Security Number (Last four digits) XXX-XX-
Joint Owner or Co-trustee (if any)	

2. Transfer Information	
Name of Financial Institution	
Account Name and Number or Certificate of Deposit Number	Maturity Date (if applicable) (MM/DD/YYYY)
Mailing Address, City, State, Zip	
Contact Person (if any)	Phone Number

3. Transfer Instructions	
What type of money are you transferring? <input type="checkbox"/> CD <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Other _____	
It is my intention to move these assets to Principal Funds. Please sell all assets immediately if no selection is checked below.	
1. Please SELL <input type="checkbox"/> all, OR <input type="checkbox"/> partial: \$ _____ or _____ % of my assets in the account listed in Section 2, and send funds to Principal Funds per delivery instructions chosen below.	
2. For CDs Only: Please SELL <input type="checkbox"/> immediately, OR <input type="checkbox"/> at maturity send funds to Principal Funds per delivery instructions chosen below. Note: There may be penalties for withdrawing certain investments before their maturity date. Please contact the current financial institution to determine the applicable penalty, if any. Please send all transfer requests at least two weeks but no more than six months prior to maturity of your CD.	
3. Please TRANSFER <input type="checkbox"/> all, OR <input type="checkbox"/> partial: \$ _____ or _____ % of Principal Funds shares in kind.	
<b>Delivery Options:</b>	
<b>By check</b> – Please liquidate the CD, mutual fund, or other investments identified above and send Principal Funds a check for the proceeds, including interest or dividends. Please make the check payable as follows:	
<u>Regular Mail</u>	<u>Overnight Mail</u>
Principal Funds FBO (owner's name) PO Box 219971 Kansas City, MO 64121-9971	Principal Funds FBO (owner's name) 430 W 7th St, Ste 219971 Kansas City, MO 64105-1407
Please include a copy of this request and direct any questions to Principal Funds.	

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#### 4. Allocation of Funds

If there are multiple funds and/or accounts, please allocate my transfer of assets as follows:

_____	_____	\$ _____	- OR -	_____ %
Fund Name	Fund Number			
_____	_____	\$ _____	- OR -	_____ %
Fund Name	Fund Number			
_____	_____	\$ _____	- OR -	_____ %
Fund Name	Fund Number			
_____	_____	\$ _____	- OR -	_____ %
Fund Name	Fund Number			
_____	_____	\$ _____	- OR -	_____ %
Fund Name	Fund Number			

#### 5. Authorizations for the Transfer of Your Assets

All owner(s) of the account being transferred must sign below.

Account Owner(s) Signature(s)

Signature	Date (MM/DD/YYYY)
Signature	Date (MM/DD/YYYY)

Authorized Signers (for Trust, Corporation, Partnership, or Other Entity accounts)

Signature	Date (MM/DD/YYYY)
Signature	Date (MM/DD/YYYY)

**Medallion Signature Guarantee\***

\* A medallion signature guarantee may be required by your current custodian to complete this transfer. A medallion signature guarantee may be obtained from any eligible guarantor institution, as defined by the Securities and Exchange Commission. These institutions include banks, savings associations, credit unions and brokerage firms. The words "Medallion Signature Guaranteed" must be stamped or typed near each of the signatures being guaranteed. This guarantee must appear with the printed name, title and signature of an officer and the name of the guarantee institution. Please note that a Notary Public stamp or seal is unacceptable.