



**Instructions:**

- Blank voided check must be attached. (Photocopy of a check or deposit slip will not be accepted.)
- All parties on the bank account must sign the authorization form. (If bank account is a business account, additional documentation may be required, such as a Corporate Resolution or a Sole Proprietorship form.)
- SIMPLES not allowed.
- SEP & SAR SEP – contribute up to \$5,000 per month as Employer Contribution.
- \$100 minimum for systematic purchases and redemptions (per fund).
- ACH will cease once IRA maximum contribution is met.
- May not withdraw from the Principal Cash Management checking accounts into a Principal Securities Broker Dealer Services (BDS) account.
- All funds drawn from a bank account to a BDS account will automatically be swept into client's money market within BDS.
- ACH credits into qualified BDS accounts are coded as current year contribution.
- Special notation for ACH debit transactions - The National Automated Clearing House Association provides bank clients the right to rescind ACH Debit transactions made to their bank accounts. For this reason, the transfer of funds for any individual client is limited to a maximum of \$5,000 per month. Requests for collections in excess of this maximum are reviewed on a case by case basis.
- It can take several days for the financial institution to verify the account information. If the form is received too close to the start date requested on the form the contribution/distribution will default to the next scheduled date.
- An Ad Hoc ACH is a one-time distribution to or contribution from your bank account. It is not set up on a regularly scheduled basis.

If you have questions on how to complete this form, please contact Principal Securities Broker Dealer Services and speak with a Customer Service Representative at 888-774-6267.



Principal Financial Group  
Des Moines, IA 50392-2080

Principal Securities, Inc.

**Periodic ACH Debit or Credit  
Authorization Agreement**

Please complete the following information to begin depositing funds directly into your Principal Securities brokerage account from your bank checking account AND/OR withdrawing funds directly from your Principal Securities brokerage account to your bank checking account. Pershing will debit or credit your bank checking account through the Automated Clearinghouse (ACH) System. If you have any questions about this service you may contact your investment-registered representative.

Your Brokerage Account # \_\_\_\_\_ - \_\_\_\_\_

Name of Bank: \_\_\_\_\_

Bank ABA Transit-Routing # \_\_\_\_\_

Checking (DDA)\* Account # \_\_\_\_\_

Brokerage Account Title \_\_\_\_\_

Checking

Savings

**I authorize Principal Securities to setup (non-Ad Hoc):**

Periodic deposits to brokerage account.

Deposit Type (retirement account only)  Participant Current Year  Employer Current Year

First Collection Date: \_\_\_\_\_ Contribution Amount: \_\_\_\_\_ (whole dollars only)

Periodic distributions to bank account.

First Distribution Date: \_\_\_\_\_ Distribution Amount: \_\_\_\_\_ (whole dollars only)

Income distributions to bank account.

First Distribution Date: \_\_\_\_\_

**Frequency (check one):**

Ad Hoc  Semi-monthly  Monthly  Bi-monthly  Quarterly  Semi-Annually  Annually

NOTE: If you would like an initial Ad Hoc distribution/contribution at setup, please include a separate cover sheet with details.

**Indicate Amount and Date of Investment/Withdrawal (non-Ad Hoc)**

I authorize Principal Securities to buy/sell/withdraw (Circle One) mutual fund shares for the amount shown below (minimum \$100).

Symbol/Fund Description Including Class of Shares	Schedule Amount	Purchase Reinvestment Option
_____	_____	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
_____	_____	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest
_____	_____	<input type="checkbox"/> Cash <input type="checkbox"/> Reinvest

NOTE: If the date you select falls on a weekend or holiday, your investment will occur on the next business day. If no start date is selected, the automatic withdrawals will begin on the 1<sup>st</sup> of the month following the date on this agreement.

I (we) hereby authorize Pershing LLC to initiate debit and/or credit entries, as selected above, and to initiate, if necessary, debit entries and adjustments for any credit in error to the Bank indicated, and to credit and/or debit the same to such checking account indicated above. I further authorize my (our) Bank to credit or debit such entries to the account.

This authority is to remain in full force and effect until Pershing has received written notification from me (or either of us) of its termination in such time and in such manner as to afford Pershing and the Bank a reasonable opportunity to act on it.

Customer Signature \_\_\_\_\_

Joint Tenant Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Print Name: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

**\*VOIDED CHECK MUST BE ATTACHED.**

**\*\* ALL OWNERS OF THE BROKERAGE AND BANK ACCOUNTS MUST SIGN THIS AGREEMENT. PLEASE SIGN EXACTLY HOW NAME APPEARS ON CHECK AND ON THE BROKERAGE ACCOUNT.**

LETTER FROM THE CORPORATION AUTHORIZING THE SPECIFIC TRANSACTIONS FOR WHICH YOU ARE PERMITTED TO DEBIT THE BANK ACCOUNT, MUST ACCOMPANY THIS AUTHORIZATION.

TO ESTABLISH ACH SERVICE FOR YOUR PERSHING LLC RETIREMENT ACCOUNT, THE APPROPRIATE PERSHING DISTRIBUTION FORM IS REQUIRED IN ADDITION TO THIS ACH AUTHORIZATION AGREEMENT.