



Principal Funds
 PO Box 8024
 Boston, MA 02266-8024

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

800-222-5852
 PrincipalFunds.com

IRA Transfer/Direct Rollover Request

- Use this form to process a Trustee-to-Trustee Transfer of an IRA or to process a Direct Rollover from a Qualified Plan from another institution to a Principal Funds IRA.
- If you are establishing a new Principal Funds IRA, please complete an *IRA Application* in addition to this form.
- If you are transferring money from more than one institution, please complete a separate *IRA Transfer/Direct Rollover* form for EACH institution.
- **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.**
- Please print or type clearly.

If you are over age 70 1/2, 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 plan are you transferring/rolling over from?

Traditional IRA Roth IRA Rollover IRA Qualified Plan Other _____

B. Where are your funds currently invested?

Name of Custodian _____ ()
 Phone Number

Custodian Address (no P.O. Box Addresses)

City, State, Zip _____ Account Number(s)

C. Amount to Transfer/Rollover

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 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 (please check one):

Traditional IRA Roth IRA SEP-IRA

Invest into my **EXISTING** Principal Funds Account

Invest into my **NEW** Principal Funds Account
(attach application)

Fund/Account Number	Transfer/Rollover \$ or %

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

4. Authorization for the Transfer/Direct Rollover of Your Assets

TO THE RESIGNING CUSTODIAN:

I have established an 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/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 check¹ payable to: Principal Life Insurance Company FBO [owner's name]

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

Account 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)

¹Principal Funds does NOT accept Money Orders.

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


Corey Carr, Senior Manager Principal Funds, Inc.