

## IRA Transfer/Direct Rollover Request

- 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.
- Use this form to: 1) Process a Trustee-to-Trustee Transfer of an IRA or 2) Process a Direct Rollover from a Qualified Plan from another institution to a Principal Funds IRA.

**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

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. 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

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

Name of Custodian

( )  
Phone Number

Custodian Address (no P.O. Box Addresses)

City, State, Zip

Account Number(s)

### 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 %

### 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 an 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 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

Account Owner's First Name, Middle Initial, Last Name

Social Security Number

Account Owner Signature

Date (MM/DD/YYYY)

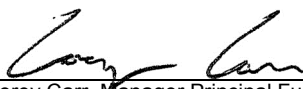
Medallion Signature Guarantee (if required by your resigning Custodian)

\*Principal 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, Manager Principal Funds, Inc.