Principal℠

Principal Financial Group
Des Moines, IA 50392-2080 | **Principal Securities, Inc.** | *Customer Identity Verification*

*One form is to be completed for **each** owner of the account or product. If the owner is a person, complete section 1 or 2 as appropriate. If the owner is an entity, complete section 3. For assistance please refer to the Instruction Form, MM 2580 A.*

Name of Owner or Attorney in Fact (AIF) | Owner/AIF SSN/TIN*

Owner/AIF Address | Owner/AIF Date of Birth

1. ☐ I certify that the **person** opening/applying for this account or product (Owner, Custodian, or AIF under a Power of Attorney) **showed me their unexpired government-issued photo ID** with their name, address, date of birth and Social Security Number (SSN).

   - **If the SSN was not on the unexpired government-issued photo ID (e.g., it is not on driver's licenses)**, I verified it by reference to either a Social Security card, tax return, W-2 or 1099— the **other document I noted below**.
   - **If the current address was not on the unexpired government-issued photo ID**, I verified it by reference to the **other document I noted below** (e.g., bank statement, electric bill).

Please check the appropriate boxes and complete the corresponding blanks.	Name	Date of Birth	SSN*	Address
Government Issued Photo ID Type of ID: _____ Identifying Number: _____ Issued By: _____ Issue Date: _____ Expiration Date: _____	☐	☐	☐	☐
Social Security Card (Only to be used along with a photo ID)	☐	■	☐	■
Other: (Only to be used along with a photo ID)				
Document: _____	■		☐	☐
Document: _____	■		☐	☐

2. ☐ I certify that the **person** opening/applying for this account or product (Owner, Custodian, or AIF under a Power of Attorney) was **unable to show me an unexpired government-issued photo ID and other documents necessary** to verify the identity. *If this box is checked, the transaction requested may be delayed pending verification of their identity.*

3. ☐ I certify that the **entity** (trust or business**)** applying to own this account or product **provided copies of the following documents (attached)** verifying the existence of the entity:

   For Trusts:
   ☐ Trust agreement (all pages); **or** completed Trustee Certification Form (RF 971, except Pershing accounts require MM 5053).

   For Other Entities:
   ☐ Articles of Incorporation, Partnership or LLC agreement (at least first and signatory pages); or Secretary of State/government-issued "certificate of good standing;" or similar document (e.g. unexpired business license) **and**
   ☐ Entity's resolution/certification indicating person(s) it authorizes to open accounts/do transactions.

* ☐ The person or entity opening/applying for this account or product has not yet been issued a SSN or TIN. I will follow-up to ensure the number will be provided as soon as it is available to avoid having the account closed or restricted.

Rep. Printed Name | Date

Rep. Signature

MM 2580-8 | 07/2016

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Principal Financial Group
Des Moines, IA 50392-2080 | **Principal Securities, Inc.** | *Customer Identity Verification – Instructions*

1. One form should be completed for **each** person opening/applying for an account and also any Attorney in Fact (AIF) under a Power of Attorney provided for an account or product.

   - The owner is the person(s), custodian, trust, business or other entity that is initiating or requesting the transaction.

   - Accounts or products with joint ownership will require separate forms be completed for each joint owner.

   - UTMA accounts, 529 Plan accounts and Education Savings Accounts (ESAs) require one form for the custodian or person with legal capacity opening the account.

   - Accounts or products owned by a business, trust or other entity require one form for the entity.

   - An account or product includes mutual fund and brokerage accounts, variable life insurance policies, variable annuity contracts, Registered Investment Adviser (RIA) accounts, limited partnerships, and other products purchased through Principal Securities.

2. If the owner is a natural person with the necessary documentation, check box #1, complete the table and sign the bottom of the form. If the client cannot provide the necessary documentation, check option two and sign the bottom of the form.

   - Acceptable types of government issued photo IDs:

     - Driver's License
     - State Issued ID
     - Military ID
     - Passport
     - Permanent Resident/Green Card issued by U.S. Citizenship and Immigration Services

   Please document the required information in the blanks provided in the table.

   - If the owner's SSN is not on the government issued photo ID (it is not on driver's licenses), it can be verified if one of the following documents indicates it is the owner's SSN:

     - Social Security Card
     - W-2
     - Tax Return
     - 1099
     - Similar documents received from or filed with the Internal Revenue Service or government agencies

   Please note in the table which of these was used.

   - If the owner has applied for but has not yet been issued a SSN or TIN, check the box at the bottom of the form.

   - If the owner's address is either not on the government issued photo ID or differs from that on the photo ID, it can be verified if it is on a document issued by a third party entity to the owner, such as:

     - Utility Bill (phone, electric, gas, water)
     - Statement of Account (bank, retirement plan, financial product)
     - Mortgage or Lease Agreement (home, apartment, car)
     - Or similar document – if unsure of acceptability please contact Principal Securities Compliance at 888-774-6267, option 5.

   Please note in the table the specific document that was used.

3. Please be aware that if box #1 cannot be completed with specific notations of the documents you reviewed, Principal Securities must use other methods to verify the individual's identity, which **may delay the requested transaction** and can be very costly to the company.

4. If there is some obvious indication that the documents reviewed are fraudulent (e.g. altered), complete box #1 and box #2, make a note of the suspected fraud on the form and contact Principal Securities Compliance immediately.

5. If the owner is an entity, such as a trust, corporation or LLC, check box #3 and the appropriate entity type, attach the required paperwork and sign at the bottom of the form. This is required for any Principal Securities account/product owned by an entity, including variable life and variable annuity accounts.

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