SEC Form 4

**FORM 4**

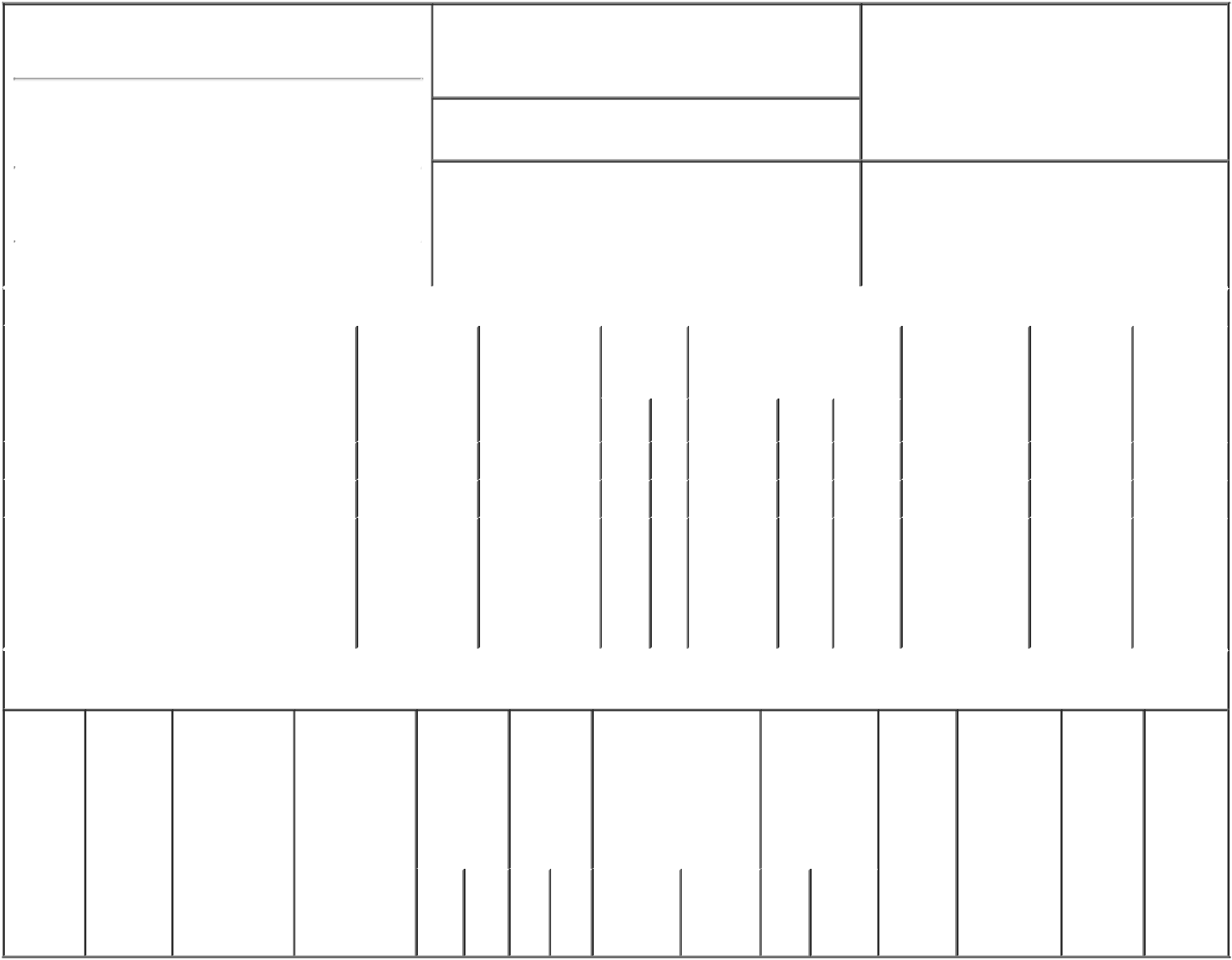
Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. *See* Instruction 1(b).



|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **UNITED STATES SECURITIES AND EXCHANGE COMMISSION** |  |  |  |  |  |
| Washington, D.C. 20549 |  |  |  |  |  |
|  | OMB APPROVAL | | |  |
|  |  |  |
| **STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP** |  |  |  |  |  |
|  | OMB Number: | 3235-0287 |  |  |
|  | Estimated average burden | | |  |
|  |  |  |
| Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 |  | hours per response: | 0.5 |  |  |
|  |  |  |  |  |
|  |  |  |  |  |



or Section 30(h) of the Investment Company Act of 1940



1. Name and Address of Reporting Person\*

[SHAFF KAREN E](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001166872)

(Last) (First) (Middle)

711 HIGH STREET

2. Issuer Name **and** Ticker or Trading Symbol

[PRINCIPAL FINANCIAL GROUP INC](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001126328) [

PFG ]

3. Date of Earliest Transaction (Month/Day/Year)

06/24/2016

1. Relationship of Reporting Person(s) to Issuer (Check all applicable)

|  |  |  |  |
| --- | --- | --- | --- |
|  | Director | X 10% Owner |  |
| X | Officer (give title | Other (specify |  |
| below) | below) |  |
|  |  |

EVP, Gen'l Counsel, Secretary

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | | | | 6. Individual or Joint/Group Filing (Check Applicable | | | | | |  |
|  | (Street) | |  |  |  |
|  |  |  |  |  |  |  |  | Line) | | |  |  |  |  |
|  |  | DES MOINES | IA | 50392 |  |  |  |  |  |  | X Form filed by One Reporting Person | | | | |  |
|  |  |  |  |  |  |  |  |  |  |  |  | Form filed by More than One Reporting | | | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  | (City) | (State) | (Zip) | |  |  |  |  |  |  | Person |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  | | | | | | |  |  |  |  |  |
|  |  |  |  | **Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned** | | | | | | | | |  |  |  |  |
|  |  | | |  | |  |  |  | | |  |  |  |  |  |  |
|  | **1. Title of Security (Instr. 3)** | | | **2. Transaction** | | **2A. Deemed** | **3.** | **4. Securities Acquired (A) or** | | |  | **5. Amount of** | **6. Ownership** | **7. Nature of** | |  |
|  |  |  |  | **Date** | | **Execution Date,** | **Transaction** | **Disposed Of (D) (Instr. 3, 4 and** | | |  | **Securities** | **Form: Direct** | **Indirect** | |  |
|  |  |  |  | **(Month/Day/Year)** | | **if any** | **Code (Instr.** | **5)** |  |  |  | **Beneficially** | **(D) or Indirect** | **Beneficial** | |  |
|  |  |  |  |  |  | **(Month/Day/Year)** | **8)** |  |  |  |  | **Owned Following** | **(I) (Instr. 4)** | **Ownership** | |  |
|  |  |  |  |  |  |  |  |  |  |  |  | **Reported** |  | **(Instr. 4)** | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  | **Code V** | **Amount** | **(A) or** | **Price** |  | **Transaction(s)** |  |  |  |  |
|  |  |  |  |  |  |  | **(D)** |  | **(Instr. 3 and 4)** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  | |  |  | |  |  |  |  |  |  | |  |  |  |  |
|  | Common Stock | |  | 06/24/2016 | |  | A | 120 | A | $0(1) | 95,796(2) | | D |  |  |  |
|  | Common Stock | |  |  |  |  |  |  |  |  | 2,801 | | I | By Spouse | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  | By | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  | Immediate | |  |
|  | Common Stock | |  |  |  |  |  |  |  |  | 500 | | I | Family | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  | Member's | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  | IRA | |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned**

**(e.g., puts, calls, warrants, options, convertible securities)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1. Title of** | **2.** | **3. Transaction** | **3A. Deemed** | **4.** | **5. Number** | | **6. Date Exercisable and** | | **7. Title and** | | **8. Price of** | **9. Number of** | **10.** | **11. Nature** |
| **Derivative** | **Conversion** | **Date** | **Execution Date,** | **Transaction** | **of** |  | **Expiration Date** | | **Amount of** | | **Derivative** | **derivative** | **Ownership** | **of Indirect** |
| **Security** | **or Exercise** | **(Month/Day/Year)** | **if any** | **Code (Instr.** | **Derivative** | | **(Month/Day/Year)** | | **Securities** | | **Security** | **Securities** | **Form:** | **Beneficial** |
| **(Instr. 3)** | **Price of** |  | **(Month/Day/Year)** | **8)** | **Securities** | |  |  | **Underlying** | | **(Instr. 5)** | **Beneficially** | **Direct (D)** | **Ownership** |
|  | **Derivative** |  |  |  | **Acquired** | |  |  | **Derivative** | |  | **Owned** | **or Indirect** | **(Instr. 4)** |
|  | **Security** |  |  |  | **(A) or** |  |  |  | **Security (Instr. 3** | |  | **Following** | **(I) (Instr. 4)** |  |
|  |  |  |  |  | **Disposed** | |  |  | **and 4)** |  |  | **Reported** |  |  |
|  |  |  |  |  | **of (D)** |  |  |  |  |  |  | **Transaction(s)** |  |  |
|  |  |  |  |  | **(Instr. 3, 4** | |  |  |  |  |  | **(Instr. 4)** |  |  |
|  |  |  |  |  | **and 5)** |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | **Amount** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | **or** |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  | **Number** |  |  |  |  |
|  |  |  |  |  |  |  | **Date** | **Expiration** |  | **of** |  |  |  |  |
|  |  |  |  | **Code V** | **(A)** | **(D)** | **Exercisable** | **Date** | **Title** | **Shares** |  |  |  |  |

**Explanation of Responses:**

1. Grant of restricted stock units.
2. Includes 7,219 shares acquired pursuant to the Principal Financial Group, Inc. Employee Stock Purchase Plan.

**Remarks:**

Patrick A. Kirchner, by Power



of Attorney



\*\* Signature of Reporting Person

06/28/2016



Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, *see* Instruction 4 (b)(v).

* Intentional misstatements or omissions of facts constitute Federal Criminal Violations *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

**Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.**