|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| SEC Form 3 |  |  |  |  |  |  |
| **FORM 3** | **UNITED STATES SECURITIES AND EXCHANGE COMMISSION** |  |  |  |  |  |
|  | Washington, D.C. 20549 |  |  |  |  |  |
|  |  | OMB APPROVAL |  |  |  |
|  |  |  |  |  |  |
|  | **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES** |  |  |  |  |  |
|  |  | OMB Number: | 3235-0104 |  |  |
|  |  |  |  |  |
|  |  |  | 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\* |  | 2. Date of Event Requiring |  |
|  | [Richer Clare Stack](http://www.sec.gov/cgi-bin/browse-edgar?action=getcompany&CIK=0001451084) |  | Statement (Month/Day/Year) |  |
|  | 05/26/2020 |  |
|  |  |  |  |  |  |
|  | (Last) | (First) | (Middle) |  |

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

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

|  |  |
| --- | --- |
| 711 HIGH STREET |  |
| (Street) |  |  |
| DES MOINES | IA | 50392 |

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

X Director 10% Owner

Officer (give title below) Other (specify below)

1. If Amendment, Date of Original Filed (Month/Day/Year)
2. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person

Form filed by More than One Reporting Person

(City) (State) (Zip)



**Table I - Non-Derivative Securities Beneficially Owned**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **1. Title of Security (Instr. 4)** | **2. Amount of Securities Beneficially** | **3. Ownership Form:** | **4. Nature of Indirect Beneficial Ownership (Instr. 5)** |
|  |  | **Owned (Instr. 4)** | **Direct (D) or Indirect (I)** |  |  |
|  |  |  | **(Instr. 5)** |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |



**Table II - Derivative Securities Beneficially Owned**

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



|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **1. Title of Derivative Security (Instr. 4)** | **2. Date Exercisable and** | **3. Title and Amount of Securities Underlying Derivative** | **4.** | **5. Ownership** | **6. Nature of Indirect Beneficial** |  |
|  | **Expiration Date** | **Security (Instr. 4)** |  | **Conversion** | **Form: Direct (D) Ownership (Instr. 5)** |  |
|  | **(Month/Day/Year)** |  |  | **or Exercise** | **or Indirect (I)** |  |  |
|  |  |  |  |  | **Price of** | **(Instr. 5)** |  |  |
|  |  |  |  | **Amount or** |  |  |
|  |  |  |  | **Derivative** |  |  |  |  |  |
|  | **Date** | **Expiration** | **Title** | **Number of** | **Security** |  |  |  |  |  |
|  | **Exercisable** | **Date** | **Shares** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| **Explanation of Responses:** |  |  |  |  |  |  |  |  |  |  |
| **Remarks:** |  |  |  |  |  |  |  |  |  |  |
| **No securities are beneficially owned.** |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  | Alex P. Montz, by Power of Attorney |  | 05/29/2020 |  |  |
|  |  |  |  | \*\* Signature of Reporting Person |  | 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 5 (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.**

Power of Attorney

Know all by these presents, that the undersigned hereby constitutes and appoints Daniel J. Houston, Deanna D. Strable-Soethout, Christopher J.

1. execute for and on behalf of the undersigned, in the undersigned's capacity as a beneficial owner of securities of Principal Financial Gro
2. do and perform any and all acts for and on behalf of the undersigned which may be necessary or desirable to complete and execute any such
3. take any other action of any type whatsoever in connection with the foregoing which, in the opinion of each such attorney-in-fact, may be

The undersigned hereby grants to each such attorney-in-fact power and authority to do and perform any and every act and thing whatsoever requi

The Power of Attorney shall remain in full force and effect until the undersigned is no longer required to file Schedules 13(d), Forms 3, 4 an

From and after the date hereof, any Power of Attorney previously granted by the undersigned concerning the subject matter hereof is hereby rev

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 27th day of May, 2020.

/s/ Clare S. Richer

Name: Clare S. Richer

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