Instruction 1(b)

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See

## **UNITED STATES SECURITIES AND EXCHANGE COMMISSION**

| Washington, | D.C. 20549 |
|-------------|------------|
|-------------|------------|

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

| OMB APPROVAL             |           |
|--------------------------|-----------|
| OMB Number:              | 3235-0287 |
| Estimated average burden |           |
| hours per response: 0.5  |           |

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 5. Relationship of Reporting Person(s) to Issuer 2. Issuer Name and Ticker or Trading Symbol 1. Name and Address of Reporting Person (Check all applicable) PRINCIPAL FINANCIAL GROUP INC Halter Patrick Gregory Director 10% Owner PFG ] Officer (give title Other (specify below) below) (First) (Middle) (Last) 3. Date of Earliest Transaction (Month/Day/Year) President - PGAM 06/24/2022 711 HIGH STREET 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable (Street) DES MOINES IA 50392 Form filed by One Reporting Person Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned 2. Transaction Date 4. Securities Acquired (A) or Disposed Of (D) (Instr. 3, 4 and 6. Ownership Form: Direct 1. Title of Security (Instr. 3) 2A. Deemed 5. Amount of 7. Nature Execution Date, Transaction Securities of Indirect (Month/Day/Year) if any Code (Instr. 5) Beneficially (D) or Indirect Beneficial Ownership (Instr. 4) (Month/Day/Year) 8) (I) (Instr. 4) Reported (A) or (D) Transaction(s) Code ν Amount Price (Instr. 3 and 4) Common Stock 06/24/2022 **\$0**(1) Α 103 Α 97,643 D Bv 401(k) Common Stock 500 I Plan Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 9. Number of 1. Title of 3A. Deemed 6. Date Exercisable and 7. Title and 3. Transaction 5. Number 8. Price of 10. 11. Nature Conversion Execution Date, Ownership Expiration Date Amount of Derivative Derivative (Month/Day/Year) (Month/Day/Year) Security or Exercise if any Code (Instr. Securities Security Securities Form: Beneficial Direct (D) or Indirect (I) (Instr. 4) (Instr. 3) Price of Derivative (Month/Day/Year) 8) Securities Acquired Underlying Derivative (Instr. 5) Beneficially Owned Ownership (Instr. 4) (A) or Disposed Security (Instr. 3 and 4) Security Following Reported of (D) Transaction(s) (Instr. 3, 4 and 5) (Instr. 4) Amount

## **Explanation of Responses:**

1. Grant of restricted stock units

Alex P. Montz

Title

Expiration

Date

06/28/2022

\*\* Signature of Reporting Person Date

Number

Shares

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).

Code

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.

(D)

Exercisable

(A)