FORM 4

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, I	D.C.	20549
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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

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

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

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940 2. Issuer Name and Ticker or Trading Symbol 5. Relationship of Reporting Person(s) to Issuer 1. Name and Address of Reporting Person (Check all applicable) PRINCIPAL FINANCIAL GROUP INC LITTLEFIELD CHRISTOPHER J Director 10% Owner PFG ] Officer (give title Other (specify below) below) (Last) (First) (Middle) 3. Date of Earliest Transaction (Month/Day/Year) EVP, General Counsel 711 HIGH STREET 03/05/2021 4. If Amendment, Date of Original Filed (Month/Day/Year) 6. Individual or Joint/Group Filing (Check Applicable (Street) 03/09/2021 **DES MOINES** 50392 X Form filed by One Reporting Person IΑ Form filed by More than One Reporting (Citv) (State) (Zip)

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned										
1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)				5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)	
			Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(111501.4)
Common Stock								11(1)	I	By Trust

## Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 3. Transaction 3A. Deemed Execution Date, 9. Number of derivative 11. Nature of Indirect 1. Title of 5. Number 6. Date Exercisable and 7. Title and Amount 8. Price of Conversion Transaction Ownership Derivative Derivative Expiration Date of Securities or Exercise Price of Derivative (Month/Day/Year) Underlying Derivative Security (Instr. 3 and 4) Securities Beneficially Owned Security (Instr. 3) if any (Month/Day/Year) Code (Instr. 8) Derivative (Month/Day/Year) Security (Instr. 5) Form: Beneficial Securities Acquired (A) or Disposed Direct (D) or Indirect Ownership (Instr. 4) Security Following (I) (Instr. 4) Reported Transaction(s) (Instr. 4) of (D) (Instr. 3, 4 and 5) Amount Number Date Exercisable Expiration Date Shares Code (A) (D) Employee Stock Commo 03/05/2021(2) Options \$58.68 Α 31,550 (3) 03/05/2031 31,550 \$<mark>0</mark> 31,550 D Stock (Right to Buy)

## **Explanation of Responses:**

- 1. Held in a revocable trust.
- 2. This footnote corrects erroneous inforrmation from the previous filing.
- 3. The option vests in three equal annual installments beginning March 5, 2022.

## Remarks:

Alex P. Montz

03/10/2021

\*\* 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 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.