### SEC Form 4

#### FORM 4

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

OMB APPROVAL

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

	Check this box if no longer subject	3
$\Box$	to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).	_

## STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> CARTER MILLER JOYCELYN (Last) (First) (Middle) 711 HIGH STREET		<u>PR</u> PFC 3. D	2. Issuer Name and Ticker or Trading Symbol     PRINCIPAL FINANCIAL GROUP INC [     PFG ]     3. Date of Earliest Transaction (Month/Day/Year)     12/21/2021						ationship of Reportii k all applicable) Director Officer (give title below)	10% (	Owner (specify	
(Street) DES MOINES (City)	IA (State)	50392 (Zip)	4. If	4. If Amendment, Date of Original Filed (Month/Day/Year)				6. Indi Line) X	,			
Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned												
Date		2. Transaction Date (Month/Day/Yea	Execution Date,		3.4. Securities Acquired (/ Disposed Of (D) (Instr. 3 5)3.0.			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership		
					Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)
Common Stock 12/		12/21/2021		Α		601	A	<b>\$0</b> <sup>(1)</sup>	66,825	D		

#### Α L Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities) 1. Title of Derivative 3. Transaction 3A. Deemed 5. Number 6. Date Exercisable and 7. Title and 8. Price of 9. Number of 10. 11. Nature .. Transaction Code (Instr. Conversion Execution Date. Ownership Date of Expiration Date Amount of Derivative derivative of Indirect or Exercise Price of Derivative Form: Direct (D) or Indirect Security (Instr. 3) (Month/Dav/Year) if any (Month/Day/Year) Derivative (Month/Day/Year) Securities Security (Instr. 5) Securities Beneficial 8) Securities Acquired Beneficially Ownership (Instr. 4) Underlying Derivative Owned Security (A) or Disposed Security (Instr. 3 and 4) Following Reported (I) (Instr. 4) of (D) (Instr. 3, 4 and 5) Transaction(s) (Instr. 4) Amount or Number Date Expiration of v (D) Title Code (A) Exercisable Date Shares

Explanation of Responses:

1. Grant of restricted stock units.

**Remarks:** 

#### <u>Alex P. Montz, by Power of</u> <u>Attorney</u>

<u>12/23/2021</u>

\*\* 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.