SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

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| STATEMENT | OF CHANGES | S IN BENEFICIAL | OWNERSHIP |
|---------------|------------|-----------------|-----------|
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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 [*] Friedrich Amy Christine | | | 2. Issuer Name and Ticker or Trading Symbol PRINCIPAL FINANCIAL GROUP INC [PFG] | | ionship of Reporting P all applicable) Director Officer (give title | 10% Owner Other (specify | | |
|---|----------------|----------|--|------------|--|-----------------------------|--|--|
| (Last) 711 HIGH STR | (First) EET | (Middle) | 3. Date of Earliest Transaction (Month/Day/Year) 03/28/2024 | | below) President - Benefits & | below) ts & Protect | | |
| | | | 4. If Amendment, Date of Original Filed (Month/Day/Year) | | 6. Individual or Joint/Group Filing (Check App | | | |
| (Street) DES MOINES | , | | _ | Line) X | Form filed by One Re Form filed by More th Person | | | |
| (City) | (State) | (Zip) | Rule 10b5-1(c) Transaction Indication | | | | | |

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) | ecution Date, Transaction Disposed Of (D) (Instr. 3, 4 an ny Code (Instr. 5) | | | Securities Beneficially | 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) | | (1150.4) |
| Common Stock | 03/28/2024 | | A | | 337 | Α | \$0 ⁽¹⁾ | 85,269 ⁽²⁾ | D | |
| Common Stock | | | | | | | | 3,480 | Ι | By 401(k) Plan |

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

| | | | , 00 | uno, 1 | uni | , | optiono, c | | 10 00 | ounitioo | 7 | | | | | |
|---|---------------------------------------|---|--|---|---|-----|---|---------------------|--------------------|----------|---|--|---|--|--|--|
| 1. Title of Derivative Security (Instr. 3) | Conversion or Exercise Price of | 2. Conversion or Exercise Price of Derivative Security | 3. Transaction Date (Month/Day/Year) | 3A. Deemed Execution Date, if any (Month/Day/Year) | 4. Transaction Code (Instr. 8) | | 5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | | Expiration Date | | 7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4) | | 8. Price of Derivative Security (Instr. 5) | 9. Number of derivative Securities Beneficially Owned Following Reported Transaction(s) (Instr. 4) | 10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 11. Nature of Indirect Beneficial Ownership (Instr. 4) |
| | | | | Code | v | (A) | (D) | Date Exercisable | Expiration Date | Title | Amount or Number of Shares | | | | | |

Explanation of Responses:

1. Grant of restricted stock units.

2. Includes an accumulative total of 8703 shares acquired pursuant to the Principal Financial Group, Inc. Employee Stock Purchase Plan.

Chris Agbe-Davies as Attorney-in-Fact

04/01/2024

** 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.

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