SEC Form 4

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

1. Name and Address of Reporting Person* CARTER MILLER JOYCELYN (Last) (First) (Middle) 711 HIGH STREET					er Name and Ticke <u>NCIPAL FIN</u> e of Earliest Transa /2020	ANCIAL	GROUP		ationship of Reportii < all applicable) Director Officer (give title below)	10% (Owner (specify	
(Street) DES MOINES (City)		50392-03 (Zip)		4. If Amendment, Date of Original Filed (Month/Day/Year)					6. Indi Line) X	vidual or Joint/Grou Form filed by On Form filed by Mo Person	e Reporting Per	son
		Table I - Nor	n-Derivati	ive S	ecurities Acqu	uired, Disp	posed of, o	or Ber	eficially	v Owned		
1. Title of Security (Instr. 3)		2. Transactio Date (Month/Day/	-	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8) 4. Securities Acquired (Disposed Of (D) (Instr. 5)			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)			
Common Stock	06/26/2020		A		848	Α	\$0 ⁽¹⁾	60,298	D		
Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)											

	(e.g., puts, cais, warants, options, conventible securities)														
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transa Code (8)		5. Number of 6. Date Exercisable and Expiration Date (Month/Day/Year) Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)		Expiration Date Amount of			8. Price of 9. Numb Derivative derivativ Securitie (Instr. 5) Beneficia Owned r. Reportec Transact (Instr. 4)		e Ownership s Form: ally Direct (D) or Indirect g (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.

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

06/30/2020

** 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 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.

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