



Principal Securities, Inc. Broker-Dealer Profile

Pursuing financial well-being? We're committed to helping you.

We're the retail broker-dealer of Principal Financial Group® (Principal®) — a worldwide leader in financial services. We've been teaming with financial professionals to help investors pursue their financial goals for over 50 years.

Our focus:

We offer products and solutions for individuals and businesses, including mutual funds, annuities, rollover IRAs, traditional and Roth IRAs, brokerage accounts, asset allocation programs, retirement planning and investment tools, and education for savers in all life stages.

By the numbers:

- \$316.7 million in total revenue
- 116,359 brokerage accounts

As of 12/31/2020

Industry leadership:

- Ranked No. 18 of 53 broker-dealers in gross revenue on the *FA* 2021 Independent Broker-Dealer Survey.¹
- Ranked No. 17 in total broker-dealer revenue by *Financial Planning Magazine's IBD Elite*. 2021.
- Ranked No. 17 in total revenue by *InvestmentNews*. 2021.
- Ranked 15th for number of producing registered representatives by *Financial Planning Magazine's IBD Elite*. 2021

At a glance:

- Headquartered in Des Moines, Iowa, Principal Securities has over 1,700 Registered Representatives spanning all 50 states and the District of Columbia.
- Principal works with leading provider, Fidelity Clearing and Custody SolutionsSM and its broker-dealer National Financial Services, LLC to custody assets and trade stocks, bonds and securities.
- Member SIPC²

Products & services:

- Managed Programs
- Brokerage Services
- Annuities
- Trust Services
- Financial Planning
- Mutual Funds
- Individual Securities

¹Ranked by broker-dealer clients. 12/31/2020

²The Securities Investor Protection Corporation provides brokerage customers up to \$500,000 coverage for securities and cash (including a \$250,000 limit for cash only).



For more information about Principal Securities, our products, policies, disclosures and more visit www.principalsecurities.com.

Principal Financial Group

Principal helps people and companies around the world to build, protect and advance their financial well-being with our retirement, insurance, and asset management expertise. With innovative ideas and real-life solutions, we make financial progress possible for clients of all income and portfolio sizes.

Principal is:

- A member of the FORTUNE 500®, Principal has \$807 billion in assets under management¹ and serves 34 million customers with offices in 25 nations and territories.
- Ranked 201st on *FORTUNE* magazine's list of the Largest 500 Corporations based on revenues².
- Ranked 436th on The Forbes Global 2000 list, which recognizes the world's biggest and most powerful companies, as measured by a composite ranking for sales, profits, assets, and market value³.
- One of 100 companies to be named one of the **World's Most Ethical Companies** by the Ethisphere Institute, which recognizes organizations that have had a material impact on the way business is conducted by fostering a culture of ethics and transparency at every level of the company. (February 2021).

¹ As of December 31, 2020. For the latest and additional information, visit www.principal.com.

² May 2020

³ May 2020



Securities and advisory products provided by Principal Securities, Inc. (Principal Securities), 1-888-774-6267, member SIPC.

Principal Securities is a member of the Principal Financial Group®, Des Moines, IA 50392.

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