



State of Rhode Island and Providence Plantations  
Office of the Secretary of State

Fee: \$50.00

Division Of Business Services  
148 W. River Street  
Providence RI 02904-2615  
(401) 222-3040

**Foreign Business Corporation  
Annual Report**

Filing Period: January 1 - March 1

In accordance with R.I.G.L. 7-1.2-1501(e), each corporation failing or refusing to file its annual report within thirty (30) days after the time prescribed by law (R.I.G.L. 7-1.2-1501(c&d)) is subject to a penalty fee of \$25.00.

**ANNUAL REPORT YEAR:** 2011

**1. Corporate ID No.** 000047314

**2. Name of Corporation** Principal Management Corporation

**3. Street Address Principal Business Office:**

No. and Street: 711 HIGH STREET, ATTENTION:  
SHIRLEY HOLLISTER, S-6-W84

City or Town: DES MOINES

State: IA Zip: 50392-0306 Country: USA

**4. Business Phone No.**

515-247-5111

**5. State of Incorporation**

State: IA

**6. Brief Description of the Character of Business Conducted in Rhode Island**

INVESTMENT ADVISOR

**7. Names and Addresses of the Officers and Directors:**

**All officers and directors must be listed.**

| Title              | Individual Name<br>First, Middle, Last, Suffix | Address<br>Address, City or Town, State, Zip Code, Country |
|--------------------|--|--|
| PRESIDENT          | NORA M EVERETT                                 | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA           |
| TREASURER          | CRAIG L BASSETT                                | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA           |
| CFO                | TRACY W BOLLIN                                 | 711 HIGH STREET<br>DES MOINES, IA 50392 USA                |
| COMPLIANCE OFFICER | TERI ROOT                                      | 711 HIGH STREET  |

|                               |                    |  |
|-------------------------------|--------------------|--|
|                               |                    | DES MOINES, IA 50392 USA                         |
| COMPLIANCE OFFICER            | JAMIE K STENGER    | 711 HIGH STREET<br>DES MOINES, IA 50392 USA      |
| SVP                           | JILL R BROWN       | 711 HIGH STREET<br>DES MOINES, IA 50392 USA      |
| VICE PRESIDENT                | JAMES W FENNESSEY  | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| VICE PRESIDENT                | BETH C WILSON      | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| ASSISTANT GENERAL COUNSEL     | STEPHEN G GALLAHER | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| ASSISTANT TREASURER           | DEANNA L MANKLE    | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| COUNSEL                       | ADAM U SHAIKH      | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| DIRECTOR-TREASURY             | DAN L WESTHOLM     | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| ASSISTANT TREASURER           | DAVID P DESING     | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| ASSISTANT GENERAL COUNSEL     | PATRICK A KIRCHNER | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| EVP/CHIEF OPERATING OFFICER   | MICHAEL J BEER     | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| SENIOR VICE PRESIDENT         | DAVID J BROWN      | 711 HIGH STREET<br>DES MOINES, IA 50392 USA      |
| SVP/INVESTMENT SERVICES       | MICHAEL P FINNEGAN | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| SVP/CORPORATE SECRETARY       | JOYCE N HOFFMAN    | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| SENIOR VICE PRESIDENT         | DAVID L REICHART   | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| SVP/SENIOR SECURITIES COUNSEL | MICHAEL D ROUGHTON | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| VP/CAPITAL MARKETS            | LOUIS E FLORI      | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| VP/CHIEF COMPLIANCE OFFICER   | ERNEST H GILLUM    | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| VP/CONTROLLER-PRINCIPAL FUNDS | LAYNE A RASMUSSEN  | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| VP/INVESTMENT SERVICES        | MARK A STARK       | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| VP/INVESTMENT SERVICES        | RANDY L WELCH      | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| ASSISTANT CORPORATE SECRETARY | PATRICIA A BARRY   | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| COUNSEL                       | JENNIFER A MILLS   | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| VP/PORTFOLIO MANAGEMENT       | MARIATERESA MONACO | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| DIRECTOR                      | LARRY D ZIMPLEMAN  | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| DIRECTOR                      | MICHAEL J BEER     | 711 HIGH STREET                                  |

|          |                |  |
|----------|----------------|--|
|          |                | DES MOINES, IA 50392-0306 USA                    |
| DIRECTOR | RALPH C EUCHER | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |
| DIRECTOR | NORA M EVERETT | 711 HIGH STREET<br>DES MOINES, IA 50392-0306 USA |

**8. Shares Authorized and Issued**

| Class of Stock | Series of Stock | Par Value Per Share | Total Authorized Shares<br><i>Number of Shares</i> | Total Issued and Outstanding<br><i>Num of Shares</i> |
|----------------|-----------------|---------------------|--|--|
| CWP            |                 | \$10.00             | 50,000.00  | 35000  |

**9. This report must be executed on behalf of the corporation by an authorized representative. If the corporation is in the hands of a receiver or trustee, this report must be executed on behalf of the corporation by the receiver or trustee.**

**Signed this 24 Day of February, 2011 at 1:53:01 PM.** *This electronic signature of the individual or individuals signing this instrument constitutes the affirmation or acknowledgement of the signatory, under penalties of perjury, that this instrument is that individual's act and deed or the act and deed of the corporation, and that the facts stated herein are true, as of the date of the electronic filing, in compliance with R.I. Gen. Laws § 7-1.2.*

By PATRICIA A BARRY  
Signature of Authorized Representative of the Corporation

ASSISTANT CORPORATE SECRETARY  
Title

**This report cannot be accepted for filing if an officer has executed the form and he/she is not listed in section 7.**

Form No. 630  
Revised 09/07