



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:** 2017

**1. Corporate ID No.** 000020820

**2. Name of Corporation** PRINCIPAL SECURITIES, INC.

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

No. and Street: ATTENTION: SHIRLEY HOLLISTER, G-  
007-S45

711 HIGH STREET

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

**ARTICLE III**

Using the following NAICS codes, please select the code that best describes your business.

NAICS Code

6

52

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

ACTS AS A REGISTERED BROKER DEALER

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

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

Title	Individual Name First, Middle, Last, Suffix	Address Address, City or Town, State, Zip Code, Country
PRESIDENT	KARA HOOGENSEN	711 HIGH STREET DES MOINES, IA 50392 USA

TREASURER	GINA L GRAHAM	711 HIGH STREET DES MOINES, IA 50392 USA
CFO	SCOTT A CHRISTENSEN	711 HIGH STREET DES MOINES, IA 50392 USA
VP/CCO	JENNIFER LITCHFIELD	711 HIGH STREET DES MOINES, IA 50392 USA
CHIEF INFORMATION OFFICER	JEFFREY A VAN BAALE	711 HIGH STREET DES MOINES, IA 50392 USA
SVP	TRACI L WELDON	711 HIGH STREET DES MOINES, IA 50392 USA
SVP	NICHOLAS M CECERE	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR/DISTRIBUTION (PPN)	DEBORAH J BARNHART	711 HIGH STREET DES MOINES, IA 50392-0306 USA
VP/BROKER DEALER OPERATIONS	MARTIN R RICHARDSON	711 HIGH STREET DES MOINES, IA 50392-0306 USA
AVP/TREASURY	DAN L WESTHOLM	711 HIGH STREET DES MOINES, IA 50392 USA
ASSISTANT SECRETARY	PATRICIA A BARRY	711 HIGH STREET DES MOINES, IA 50392 USA
ASST GENERAL COUNSEL/ASST SECRETARY	STEPHEN G GALLAHER	711 HIGH STREET DES MOINES, IA 50392 USA
EVP/GENERAL COUNSEL/SECRETARY	KAREN E SHAFF	711 HIGH STREET DES MOINES, IA 50392 USA
SVP/MANAGING DIRECTOR	JULIE LECLERE	711 HIGH STREET DES MOINES, IA 50392 USA
CHIEF INFORMATION SECURITY OFFICER	LEE M HARMS	711 HIGH STREET DES MOINES, IA 50392 USA
AML OFFICER	WILLIAM DUNKER	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	GREGORY B ELMING	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	NICHOLAS M CECERE	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	NORA M EVERETT	711 HIGH STREET DES MOINES, IA 50392-0306 USA
DIRECTOR	KARA HOOGENSEN	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	DEANNA D STRABLE-SOETHOUT	711 HIGH STREET DES MOINES, IA 50392 USA

## 8. Shares Authorized and Issued

Class of Stock	Series of Stock	Par Value Per Share	Total Authorized Shares <i>Number of Shares</i>	Total Issued and Outstanding <i>Num of Shares</i>
CWP		\$10.0000	50,000.00	40000

**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 1 Day of March, 2017 at 1:42:18 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

Form No. 630  
Revised 09/07

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