



**State of Rhode Island
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: 2021

1. Corporate ID No. 000020820

2. Name of Corporation PRINCIPAL SECURITIES, INC.

3. Street Address Principal Business Office:

No. and Street: ATTENTION: SHIRLEY HOLLISTER, 801-7A08

711 HIGH STREET

City or Town: DES MOINES

State: IA Zip: 50392-0306 Country: USA

4. Business Phone No.

5. State of Incorporation

State: IA

ARTICLE III

Enter the six digit NAICS Code that best describes the primary business conducted by the entity. Download the list of codes [here](#). More information on [NAICS](#) can be found online.

524210

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	Address
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country
PRESIDENT	MICHAEL F MURRAY	711 HIGH STREET

		DES MOINES, IA 50392 USA
TREASURER	GINA L GRAHAM	711 HIGH STREET DES MOINES, IA 50392 USA
CFO	DAVID A RIGLER	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
VICE PRESIDENT	CRAIG SPADAFORA	711 HIGH ST DES MOINES, IA 50392 USA
ASSISTANT SECRETARY	CLINTON L WOODS	711 HIGH ST DES MOINES, IA 50392 USA
VICE PRESIDENT	BILL FROEHLICH	711 HIGH ST DES MOINES, IA 50392 USA
COUNSEL	DOUG HODGSON	711 HIGH ST DES MOINES, IA 50392 USA
COUNSEL	CHANTEL M KRAMME	711 HIGH ST DES MOINES, IA 50392 USA
VICE PRESIDENT	CASEY MATHIAS	711 HIGH ST DES MOINES, IA 50392 USA
CISO	DOUG RANTS	711 HIGH ST DES MOINES, IA 50392 USA
VP-ADVISORY SVCS	GRADY HOLT	711 HIGH STREET DES MOINES, IA 50392 USA
AVP/TREASURY	DAN L WESTHOLM	711 HIGH STREET DES MOINES, IA 50392 USA
VICE PRESIDENT	CARLA BEITZEL	711 HIGH STREET DES MOINES, IA 50392 USA
VP/CCO	MEAGHAN ALVAREZ	711 HIGH ST DES MOINES, IA 50392 USA
CIO	CHAD CLAIRE	711 HIGH ST DES MOINES, IA 50392 USA
DIRECTOR	DEANNA D STRABLE-SOETHOUT	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	NICHOLAS M CECERE	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	MICHAEL F MURRAY	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	AMY C FRIEDRICH	711 HIGH ST DES MOINES, IA 50392 USA
DIRECTOR	KENNETH A MCCULLUM	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 16 Day of February, 2021 at 1:26:21 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 CLINT L. WOODS
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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