



**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: 2020

1. Corporate ID No. 000045783

2. Name of Corporation Principal Financial Advisors, Inc.

3. Street Address Principal Business Office:

No. and Street: 711 HIGH STREET

ATTN: SHIRLEY HOLLISTER, 801-7A08

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.

523930

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	Address
	First, Middle, Last, Suffix	Address, City or Town, State, Zip Code, Country
PRESIDENT	RANDY L WELCH	711 HIGH STREET DES MOINES, IA 50392 USA

TREASURER	GINA L GRAHAM	711 HIGH STREET DES MOINES, IA 50392 USA
CFO	MICHAEL SCHOLTEN	711 HIGH STREET DES MOINES, IA 50392 USA
CONTROLLER	JILL M BLOSSER	711 HIGH STREET DES MOINES, IA 50392 USA
CHIEF COMPLIANCE OFFICER	ANDREW DONOHUE	711 HIGH STREET DES MOINES, IA 50392 USA
AVP-TREASURY	DAN L WESTHOLM	711 HIGH STREET DES MOINES, IA 50392 USA
EVP/GENERAL COUNSEL/SECRETARY	KAREN E SHAFF	711 HIGH STREET DES MOINES, IA 50392 USA
VICE PRESIDENT	JAMES W FENNESSEY	711 HIGH STREET DES MOINES, IA 50392 USA
CHIEF RISK OFFICER	AMY M MCNALLY	711 HIGH STREET DES MOINES, IA 50392 USA
VICE PRESIDENT	BRIAN GOWDY	711 HIGH STREET DES MOINES, IA 50392 USA
ASSISTANT SECRETARY	CLINTON L WOODS	711 HIGH ST DES MOINES, IA 50392 USA
DIRECTOR	KEVIN J MORRIS	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	RANDY L WELCH	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	TODD A JABLONSKI	711 HIGH STREET DES MOINES, IA 50392 USA
DIRECTOR	KARA M HOOGENSEN	711 HIGH ST DES MOINES, IA 50392 USA
DIRECTOR	JONI L TIBBETTS	711 HIGH ST 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	150,000.00	10000

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, 2020 at 12:19:59 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 CLINTON L WOODS
Signature of Authorized Representative of the Corporation

Form No. 630
Revised 09/07

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