

**Commonwealth of Kentucky**  
**Alison Lundergan Grimes, Secretary of State**

PARP  
**0058270**  
Alison Lundergan Grimes  
KY Secretary of State  
Received and Filed  
6/30/2017 10:51:05 AM  
Fee receipt: \$15.00

Alison Lundergan Grimes  
Secretary of State  
P. O. Box 1150  
Frankfort, KY 40602-1150  
(502) 564-3490  
<http://www.sos.ky.gov>

**Annual Report  
Online Filing**

**ARP**

**Company:** PRINCIPAL SECURITIES, INC.  
**Company ID:** 0058270  
**State of origin:** Iowa  
**Formation date:** 11/3/1969 12:00:00 AM  
**Date filed:** 6/30/2017 10:51:05 AM  
**Fee:** \$15.00

**Principal Office**

711 HIGH STREET  
ATTN: SHIRLEY HOLLISTER, S-6-W87  
DES MOINES, IA 50392-0306

**Registered Agent Name/Address**

Corporation Service Company  
421 WEST MAIN STREET  
FRANKFORT, KY 40601

**Current Officers**

|                     |                     |                                        |
|---------------------|---------------------|----------------------------------------|
| CFO                 | SCOTT A CHRISTENSEN | 711 High Street, Des Moines, IA, 50392 |
| President           | Kara Hoogensen      | 711 High Street, Des Moines, IA, 50392 |
| Assistant Secretary | Stephen G Gallaher  | 711 High Street, Des Moines, IA, 50392 |
| Secretary           | Karen E Shaff       | 711 High Street, Des Moines, IA, 50392 |
| Vice President      | Martin R Richardson | 711 High Street, Des Moines, IA, 50392 |
| Treasurer           | Gina L Graham       | 711 High Street, Des Moines, IA, 50392 |
| Vice President      | Traci L Weldon      | 711 High Street, Des Moines, IA, 50392 |
| Vice President      | Nicholas M Cecere   | 711 High Street, Des Moines, IA, 50392 |
| Vice President      | Julie LeClere       | 711 High Street, Des Moines, IA, 50392 |
| Vice President      | Jennifer Litchfield | 711 High Street, Des Moines, IA, 50392 |

**Directors**

|          |                           |                                        |
|----------|---------------------------|----------------------------------------|
| Director | Deanna D Strable-Soethout | 711 High Street, Des Moines, IA, 50392 |
| Director | Gregory B Elming          | 711 High Street, Des Moines, IA, 50392 |
| Director | Nora M Everett            | 711 High Street, Des Moines, IA, 50392 |
| Director | Nicholas M Cecere         | 711 High Street, Des Moines, IA, 50392 |
| Director | Kara Hoogensen            | 711 High Street, Des Moines, IA, 50392 |

**Signatures**

|                  |                     |
|------------------|---------------------|
| <b>Signature</b> | Stephen G Gallaher  |
| <b>Title</b>     | Assistant Secretary |