

PRINCIPAL FINANCIAL GROUP INC  
Form 4  
December 05, 2007

**FORM 4**

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549**

OMB APPROVAL

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**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting Person \*  
**GRISWELL J BARRY**

2. Issuer Name and Ticker or Trading Symbol  
**PRINCIPAL FINANCIAL GROUP INC [PFG]**

5. Relationship of Reporting Person(s) to Issuer

(Check all applicable)

(Last) (First) (Middle)  
**711 HIGH STREET**  
  
(Street)

3. Date of Earliest Transaction (Month/Day/Year)  
**12/03/2007**

Director  10% Owner  
 Officer (give title below)  Other (specify below)  
**Chairman and CEO**

**DES MOINES, IA 50392**

(City) (State) (Zip)

4. If Amendment, Date Original Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check Applicable Line)  
 Form filed by One Reporting Person  
 Form filed by More than One Reporting Person

**Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned**

| 1. Title of Security (Instr. 3) | 2. Transaction Date (Month/Day/Year) | 2A. Deemed Execution Date, if any (Month/Day/Year) | 3. Transaction Code (Instr. 8) | 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) | 5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4) | 6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4) | 7. Nature of Ownership (Instr. 4) |
|---------------------------------|--------------------------------------|--|--------------------------------|---|---|--|-----------------------------------|
|                                 |                                      |  | Code                           | V   | Amount  | (A) or (D)   | Price                             |
| Common Stock                    | 12/03/2007                           |  | S <sup>(1)</sup>               |   | 100   | A  | \$ 64.93                          |
| Common Stock                    | 12/03/2007                           |  | S <sup>(1)</sup>               |   | 600   | D  | \$ 64.94                          |
| Common Stock                    | 12/03/2007                           |  | S <sup>(1)</sup>               |   | 500   | D  | \$ 64.95                          |
| Common Stock                    | 12/03/2007                           |  | S <sup>(1)</sup>               |   | 400   | D  | \$ 64.96                          |
| Common Stock                    | 12/03/2007                           |  | S <sup>(1)</sup>               |   | 1,500   | D  | \$ 64.97                          |

## Edgar Filing: PRINCIPAL FINANCIAL GROUP INC - Form 4

|              |            |                        |       |   |          |                    |   |
|--------------|------------|------------------------|-------|---|----------|--------------------|---|
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,700 | D | \$ 64.98 | 183,189 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,200 | D | \$ 64.99 | 181,989 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,200 | D | \$ 65    | 180,789 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,300 | D | \$ 65.01 | 179,489 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,100 | D | \$ 65.02 | 178,389 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 490   | D | \$ 65.03 | 177,899 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,513 | D | \$ 65.04 | 176,386 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,777 | D | \$ 65.05 | 174,609 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 121   | D | \$ 65.06 | 174,488 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 680   | D | \$ 65.07 | 173,808 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 199   | D | \$ 65.08 | 173,609 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 800   | D | \$ 65.09 | 172,809 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 500   | D | \$ 65.1  | 172,309 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 900   | D | \$ 65.12 | 171,409 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,493 | D | \$ 65.13 | 169,916 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 500   | D | \$ 65.14 | 169,416 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,000 | D | \$ 65.15 | 168,416 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 766   | D | \$ 65.16 | 167,650 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 200   | D | \$ 65.17 | 167,450 <u>(2)</u> | D |
| Common Stock | 12/03/2007 | <u>S<sup>(1)</sup></u> | 1,441 | D | \$ 65.18 | 166,009 <u>(2)</u> | D |
|              | 12/03/2007 | <u>S<sup>(1)</sup></u> | 600   | D |          | 165,409 <u>(2)</u> | D |



\_\_Signature of Reporting Person

Date

## Explanation of Responses:

- \* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).
  - \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- (1) Pursuant to a 10b5-1 plan adopted December 15, 2006, as amended on August 7, 2007.
  - (2) Includes 3,306 shares acquired pursuant to the Principal Financial Group, Inc. Employee Stock Purchase Plan.

### Remarks:

This is the fifth of five Form 4s filed by the reporting person on the same date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.  
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