

Quick reference guide

Advisor website & Retirement Plan Dashboard

Get what you need from our [advisor website](https://advisors.principal.com). Use this guide to learn how the site works, find out about tools and resources that can help make your job easier giving you more time to manage your book of business.



Your retirement
plan dashboard

[CLICK TO VIEW](#)

Manage
delegates

[CLICK TO VIEW](#)

Manage
alerts & email
preferences

[CLICK TO VIEW](#)

Advisor website
helpful tips

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Advisor website
settings

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Customize
your view

[CLICK TO VIEW](#)

Retirement Plan Dashboard

FIND CLIENT INFORMATION & RESOURCES

On the advisors.principal.com homepage, you're just one click away from the Retirement Plan Dashboard and other resources to help you service your clients. Find it under Key Business Tools.

The screenshot shows the Principal advisors.principal.com homepage. The top navigation bar includes the Principal logo, 'Welcome PAT', 'My Settings', and 'Log Out'. Below this is a secondary navigation bar with links for Products, New Business, Existing Business, Forms & Materials, Resource Center, and News & Trends, along with a search icon. The main content area features a large banner with the headline '76% of workers want help choosing investments, how much to save, and when to retire.*' and a sub-headline 'Join us for a look into the possible future of retirement options might help.' Below the banner, there are sections for 'My Recent Alerts' and 'My Favorites'. The 'My Recent Alerts' section displays an alert for '8955-SSA Filing Outstanding Alert - 11/22/2023 09:00 AM CT for PAT BROKER'. The 'My Favorites' section lists various tools and resources. On the left side of the screenshot, a 'Key Business Tools' sidebar is visible, listing several tools, with the 'Retirement Plan Dashboard' highlighted in a blue box.

Key Business Tools

- Annuities Business Dashboard
- Client Correspondence (Life, DI, Annuities)
- Customer Information Resources
- Message Center (Retirement Plans)
- NQDC Dashboard
- Pending Business Report (Life & DI)
- Policy Activity Report
- **Retirement Plan Dashboard**

My Recent Alerts

8955-SSA Filing Outstanding Alert - 11/22/2023 09:00 AM CT for PAT BROKER
The client(s) listed below have not yet approved their Form 8955-SSA. They are within 30 days of the filing deadline. ABC Test DEFINED CONTR...

My Favorites

- Alerts details
- Target Date Analyzer
- Manage Alerts
- Retirement Dashboard
- Message Centers
- News and Trends
- Investment Resources

USE RETIREMENT PLAN DASHBOARD TO:

- Get an executive summary of each client's plan
- Review each client's fee summary
- Access client and participant information
- See administrative issues
- Run block level and participant reports

VIEW

If delegate access has been set up, choose a financial professional name from the drop-down to view their book of business.

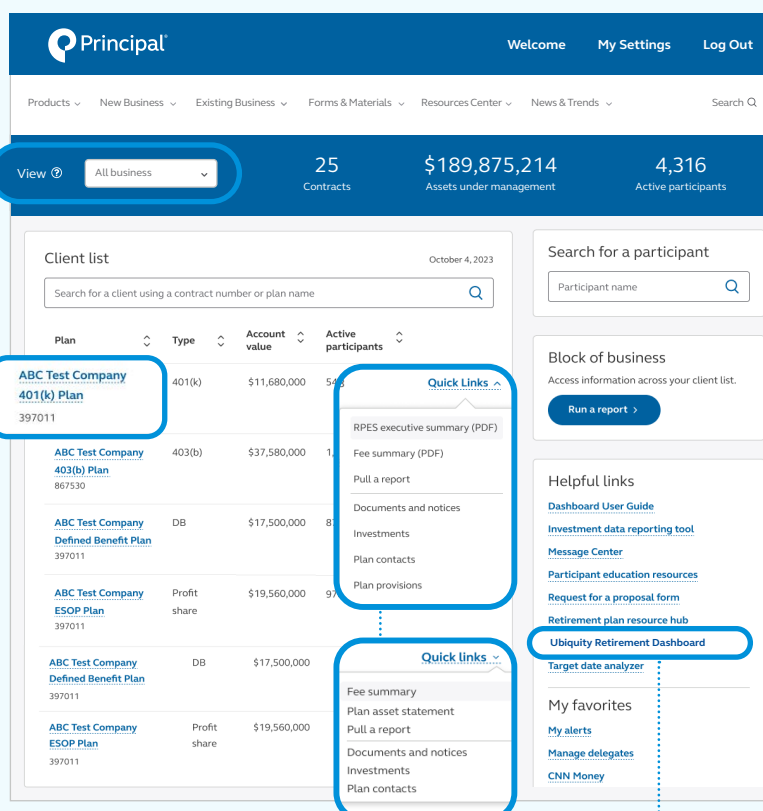
CLIENT LIST

Access all 401(k), 403(b), 457, ESOP, and Defined Benefit plans in the client list. Nonqualified plan details can be accessed in the nonqualified plan dashboard.

CLIENT LIST NAVIGATION

Seamlessly move between your client list and plan sponsor website: Clicking a plan name will take you directly to the plan sponsor view of that plan.

To return to your client list, simply click **<Client list** in the top right corner of the screen to toggle back to your view.



Principal

Welcome My Settings Log Out

Products New Business Existing Business Forms & Materials Resources Center News & Trends Search Q

View All business 25 Contracts \$189,875,214 Assets under management 4,316 Active participants

Client list October 4, 2023

Search for a client using a contract number or plan name

Plan	Type	Account value	Active participants
ABC Test Company 401(k) Plan 397011	401(k)	\$11,680,000	54
ABC Test Company 403(b) Plan 867530	403(b)	\$37,580,000	1
ABC Test Company Defined Benefit Plan 397011	DB	\$17,500,000	8
ABC Test Company ESOP Plan 397011	Profit share	\$19,560,000	9
ABC Test Company Defined Benefit Plan 397011	DB	\$17,500,000	
ABC Test Company ESOP Plan 397011	Profit share	\$19,560,000	

Quick Links

- RPES executive summary (PDF)
- Fee summary (PDF)
- Pull a report
- Documents and notices
- Investments
- Plan contacts
- Plan provisions

Quick Links

- Fee summary
- Plan asset statement
- Pull a report
- Documents and notices
- Investments
- Plan contacts

Search for a participant

Participant name

Block of business

Access information across your client list.

Run a report

Helpful links

- Dashboard User Guide
- Investment data reporting tool
- Message Center
- Participant education resources
- Request for a proposal form
- Retirement plan resource hub
- Ubiquity Retirement Dashboard
- Target date analyzer

My favorites

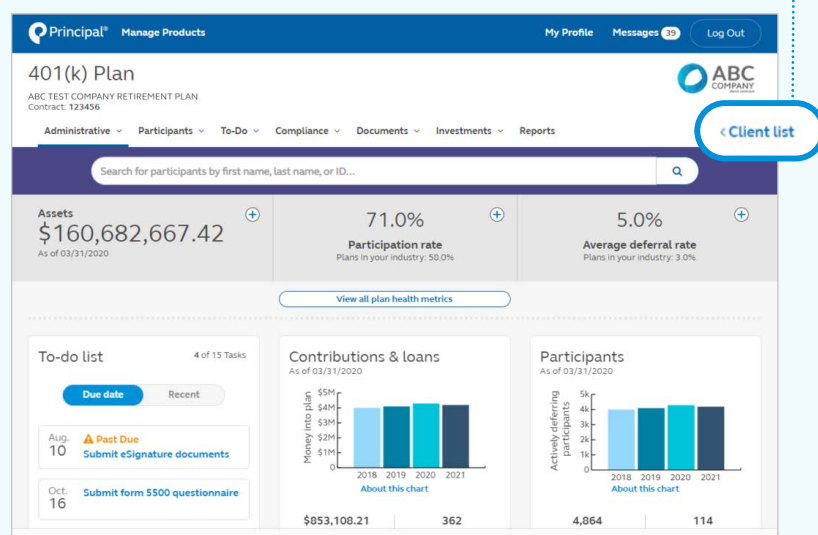
- My alerts
- Manage delegates
- CNN Money

SIMPLY RETIREMENT BY PRINCIPAL®

Access your start up plan business via the Ubiquity retirement dashboard.

QUICK LINKS

Easily access the quarterly retirement plan executive summary, fee summary, reports, documents and notices, investments, plan contacts, plan provisions, and DB plan asset statement.



Principal Manage Products My Profile Messages Log Out

401(k) Plan

ABC TEST COMPANY RETIREMENT PLAN Contract: 123456

Administrative Participants To-Do Compliance Documents Investments Reports

Search for participants by first name, last name, or ID...

Assets \$160,682,667.42 As of 03/31/2020

Participation rate 71.0% Plans in your industry: 50.0%

Average deferral rate 5.0% Plans in your industry: 3.0%

View all plan health metrics

To-do list 4 of 15 Tasks

Due date Recent

Aug. 10 Past Due Submit eSignature documents

Oct. 16 Submit form 5500 questionnaire

Contributions & loans As of 03/31/2020

Money into plan

Year	Amount
2018	\$853,108.21
2019	362
2020	
2021	

Participants As of 03/31/2020

Actively deferring participants

Year	Count
2018	4,864
2019	114
2020	
2021	

<Client list

Principal

Welcome, Alex My settings Log out

Products New business Existing business Forms & materials Resource center News & trends Search

< Return to client list

ABC Test Company 401(k) plan
397011 | Defined Contribution
Product FIA | Service model Bundled | Contract effective date Oct. 1 2001 | Plan anniversary Jan. 1 | Fiscal year end Dec. 31

Plan Provisions as of 09/15/2023

View documents and notices

Employer contributions

- Discretionary at 100% of the first 6% of deferrals

Employee contributions

- Auto-increase 1% up to 10%

Eligibility

- Age 21 and 1 year of service

Loans

- 2 outstanding loans allowed at 5% interest rate

Withdrawal options

- Hardship allowed

Retirement/Start of benefits

- Normal retirement at 65

PLAN PROVISIONS

Easy access to key plan provisions at a glance.

INVESTMENTS

Access and download all available plan investment options. See participants currently invested within each of the plan's investment options.

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Welcome, Alex My settings Log out

Products New business Existing business Forms & materials Resource center News & trends Search

< Return to client list

ABC Test Company 401(k) plan
397011 | Defined Contribution
Product FIA | Service model Bundled | Contract effective date Oct. 1 2001 | Plan anniversary Jan. 1 | Fiscal year end Dec. 31

Investments

Investment details

- QDIA: No
- Participant investment level default option: Principal LifeTime Separate Account
- Subsequent Participant investment level default option: None
- Investment fiduciary services: Merrill Lynch (2021) Fiduciary Service
- RetireView: Elected
- Managed Accounts: Not elected

Download plan investments

Search by investment name or asset class
ex: Principal LifeTime 2020 or Large US Equity

Short-Term Fixed Income Fixed Income Balanced / Asset Allocation Large U.S. Equity Small / Mid U.S. Equity Global/International Equity

Inv Manager or Sub-Advisor	Investment option	Balance	% of Total	Status	Participants currently invested
Morley Capital Management	Principal Stable Value Fund	\$0.00	0	Active	0
Principal Global Investors	Principal Core Plus Bond Separate Account-R6	\$0.00	0	Active	0
Principal Global Investors	Principal Bond Market Index Separate Account-R6	\$0.00	0	Active	0
Multiple Sub-Advisors	Principal LifeTime 2020 Separate Account-R6	\$0.00	0	Active	0
Multiple Sub-Advisors	Principal LifeTime 2030 Separate Account-R6	\$0.00	0	Active	0

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Welcome INT My Settings Log Out

Products New Business Existing Business Forms & Materials Resource Center News & Trends Search

Block summary

7 Contracts \$56,991,111 Assets under manage 30

Client List as of December 10, 2023

Enter a contract number or at least two letters of the plan name

What client are you looking for?

Plan	Type	Account value	Active participants
ABC TEST COMPANY KSOP	401(K)	\$0	0
ABC TEST DEFINED BENEFIT PLAN	DEFINED BENEFIT	\$0	
ABC Test DEFINED CONTRIBUTION PLAN	401(K)	\$56,991,111	
RIA COMPANY	401(K)	\$0	

Participant lookup

Enter participant ID or at least two letters of the first or last name

ex: 123341341 or John Sr Search

ABC Test DEFINED CONTRIBUTION PLAN

Contract Number: 397011

Administrative Participants To-Do Compliance Documents Investments Reports

Participant Search

Search for participants by first name, last name, or ID...

Assets \$56,991,111.99 As of 12/20/2023

95.4% Participation rate Plans with similar number of participants: 73.7%

7.0% Average deferral rate Plans with similar number of participants: 7.4%

29.0% Retirement Wellness Scores of 70 and above Plans with similar number of participants: 12.1%

To-Do List 4 of 14 Tasks

Due date Recent

Oct 15 Provide Additional Signature Form BRSS SSA

Participants As of 12/19/2023

Reports

Frequently accessed reports

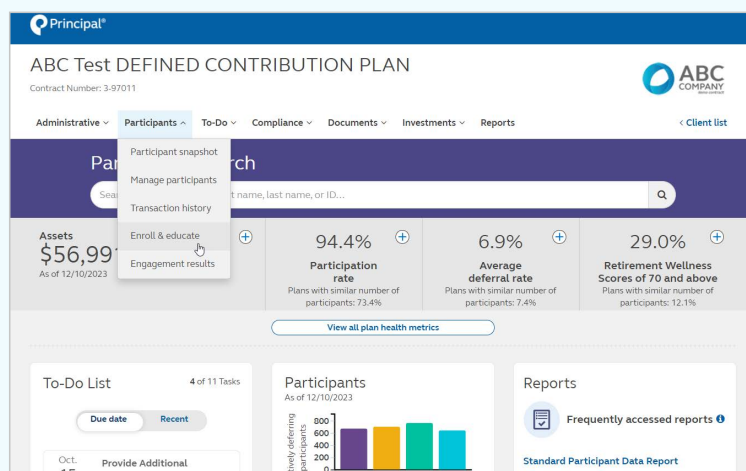
Standard Participant Data Report Standard Loans Report Standard Transaction Report

DEFINED CONTRIBUTION PARTICIPANT LOOKUP*

To view participant details, enter at least two letters in the search field and then click on their name when it appears or click search to see all participants who meet your search criteria.

You can also search for a participant right from the main page of the plan sponsor website.

*The financial professional must be granted appropriate access to view participant information.



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ABC Test DEFINED CONTRIBUTION PLAN

Contract Number: 3-97011

Administrative ▾ Participants ▾ To-Do ▾ Compliance ▾ Documents ▾ Investments ▾ Reports ▾

Participant snapshot
Manage participants
Transaction history
Enroll & educate
Engagement results

Assets
\$56,990
As of 12/10/2023

94.4%
Participation rate
Plans with similar number of participants: 73.4%

6.9%
Average deferral rate
Plans with similar number of participants: 7.4%

29.0%
Retirement Wellness Scores of 70 and above
Plans with similar number of participants: 12.1%

View all plan health metrics

To-Do List 4 of 11 Tasks

Due date Recent

Oct. 15 Provide Additional Signature Form B555, SSA

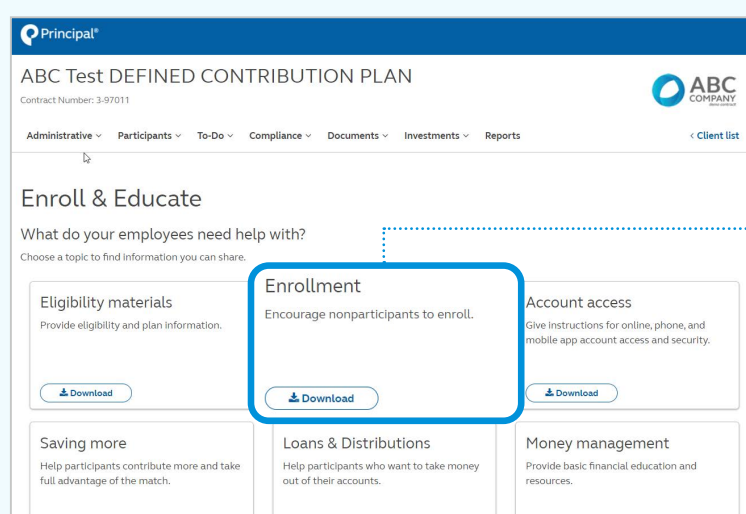
Participants
As of 12/10/2023

Actively deferring participants

Reports

Frequently accessed reports

Standard Participant Data Report
Standard Loans Report



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ABC Test DEFINED CONTRIBUTION PLAN

Contract Number: 3-97011

Administrative ▾ Participants ▾ To-Do ▾ Compliance ▾ Documents ▾ Investments ▾ Reports ▾

Enroll & Educate

What do your employees need help with?

Choose a topic to find information you can share.

Eligibility materials
Provide eligibility and plan information.

Download

Enrollment
Encourage nonparticipants to enroll.

Download

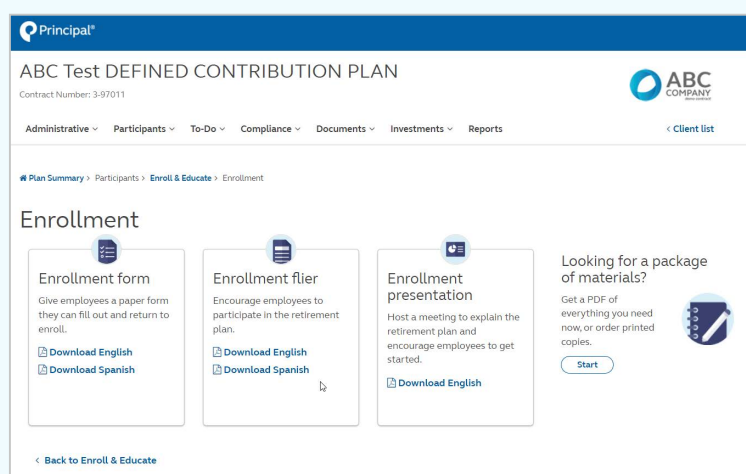
Account access
Give instructions for online, phone, and mobile app account access and security.

Download

Saving more
Help participants contribute more and take full advantage of the match.

Loans & Distributions
Help participants who want to take money out of their accounts.

Money management
Provide basic financial education and resources.



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ABC Test DEFINED CONTRIBUTION PLAN

Contract Number: 3-97011

Administrative ▾ Participants ▾ To-Do ▾ Compliance ▾ Documents ▾ Investments ▾ Reports ▾

Plan Summary ▾ Participants ▾ Enroll & Educate ▾ Enrollment

Enrollment

Enrollment form
Give employees a paper form they can fill out and return to enroll.

Download English
Download Spanish

Enrollment flier
Encourage employees to participate in the retirement plan.

Download English
Download Spanish

Enrollment presentation
Host a meeting to explain the retirement plan and encourage employees to get started.

Download English

Looking for a package of materials?
Get a PDF of everything you need now, or order printed copies.

Start

Back to Enroll & Educate

ENROLLMENT MATERIALS

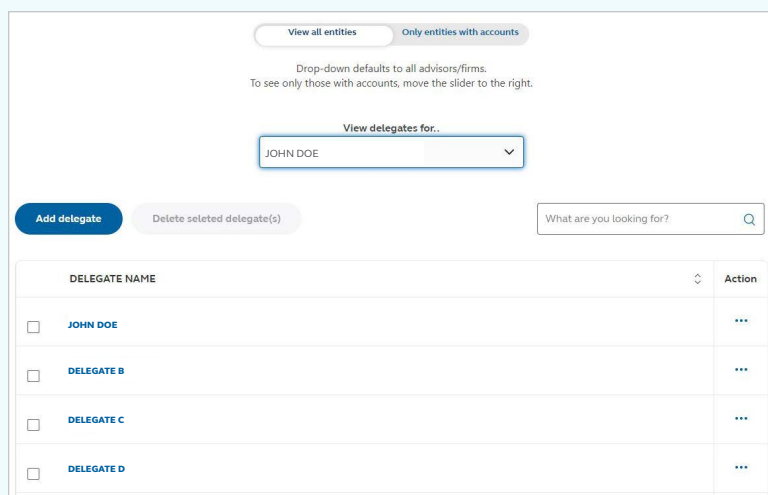
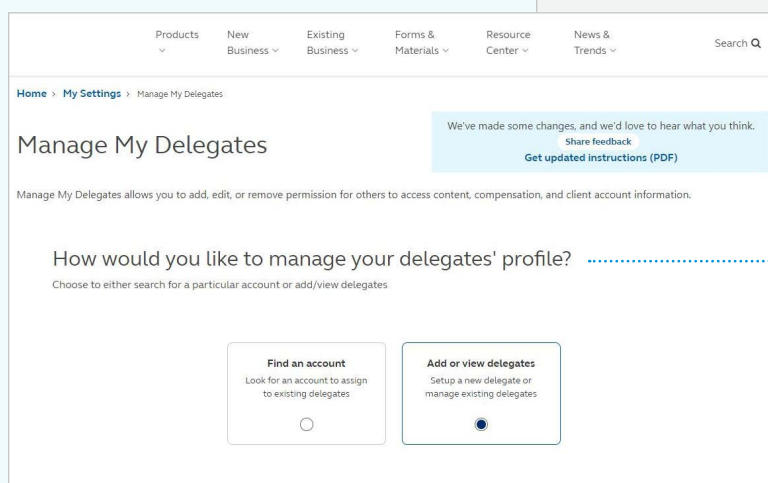
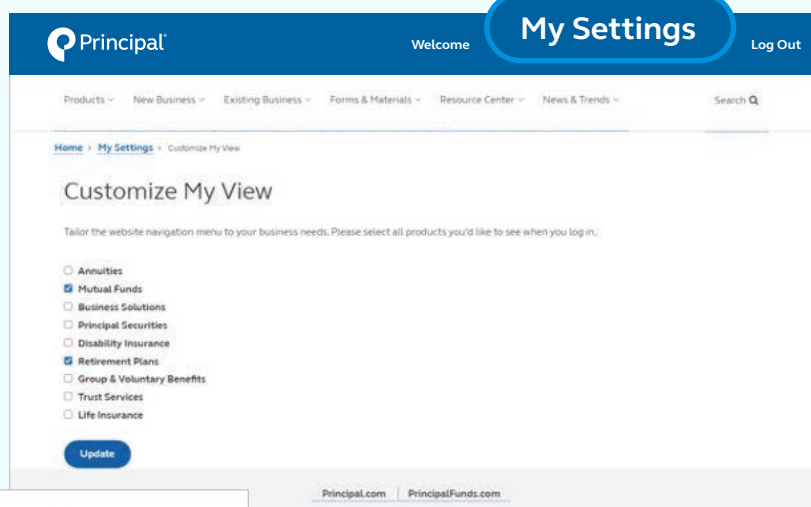
- Customize and download (or order) enrollment materials and forms directly from the Plan Sponsor website.
- In the Participants tab select Enroll & educate and then click the download button in the Enrollment tile.
- Instantly download the materials you need or create a package of materials including eligibility notices with the option to order printed copies.

My settings

You're in the driver's seat. Change what you see, your contact info, delegates, alerts, subscriptions, and more.

CUSTOMIZE MY VIEW

Choose your lines of business for a simpler view. To make changes, go to **My Settings > Customize My View**.



MANAGE MY DELEGATES

Share access to your business and client information with others at your company.

To manage your delegates, go to **My Settings > Manage My Delegates**

Choose to either search for a particular account or add/new delegates.

Select **View All entities** or **Only entities with accounts**.

Then **view delegates** and select **Add delegate**. Add delegate details, select **Access to application** and **Access to employer sponsored accounts**. Then, click the confirmation box and Add delegate.

To **Delete** or **Edit a delegate**, click the button next to the delegate you'd like to make the change to.

My settings

The screenshot shows the 'My Settings' page for a Principal user. The page title is 'Manage My Alerts and Email Preferences'. The user's email is 'FinancialProfessional@principal.com' with a link to 'Update Email Address >'. Below this, there are five categories of alerts: Annuities (0 selected), Disability Insurance (8 selected), Life Insurance (15 selected), Mutual Funds (2 selected), and Retirement Plans (10 selected). A checkbox 'Select all Retirement Plans alerts and notifications' is checked. Under 'My Alerts', there are three items: 'New Participant Notice' (checked), 'Data Collection Issue' (checked), and 'Form 5500 Filing Outstanding' (checked). Each item has a brief description of the alert.

MANAGE MY ALERTS & EMAIL PREFERENCES

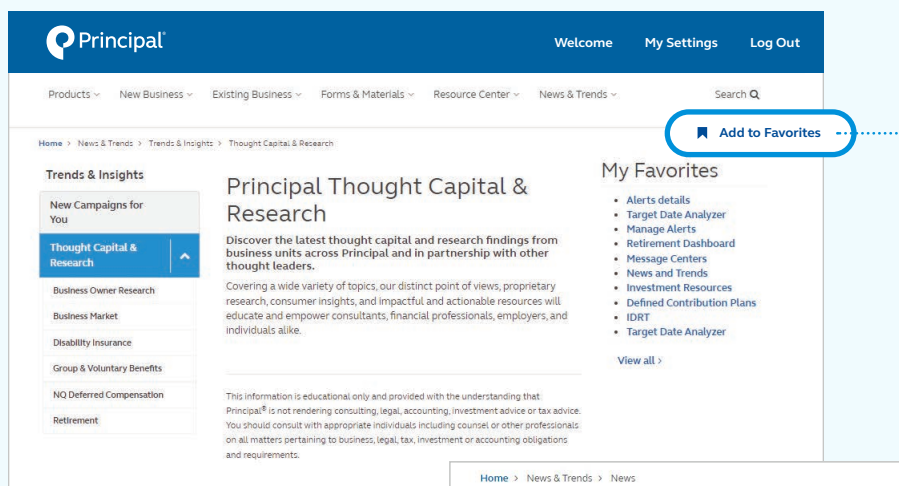
Get alerts plus servicing and product news of your choosing, delivered electronically. Alerts may appear when your client misses a Form 5500 deadline, fails a compliance test, has a new participant notice, etc.

Go to **Settings > Manage My Alerts and Email Preferences** for descriptions of what's available.

Most alerts are delivered through email and online .

On the homepage, you'll see your most recent client alerts under My Recent Alerts.

Helpful tips



MY FAVORITES

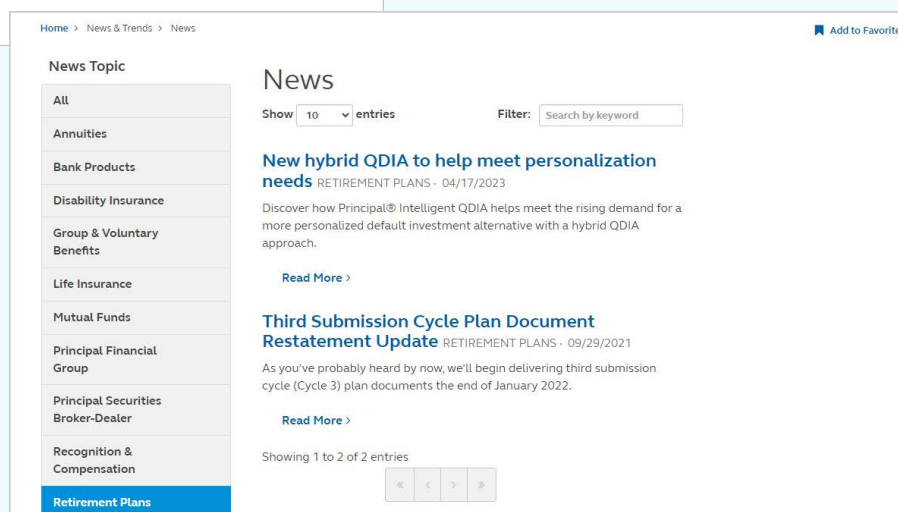
On most pages of the site, you'll see a link that says **Add to Favorites**.

Clicking this will add the current page to your **My Favorites** list—helping you quickly get to specific pages.

FEATURED NEWS

Stay on top of the latest news. From the News & Trends tab, click **News**, then **Retirement Plans** in the left side navigation to view news specific to retirement plan business.

Note: Log in to see available news items.



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QUESTIONS & FEEDBACK



If you have technical problems with the site, we're here to help. Just call **800-554-3395**. For help using the site to manage your retirement plan business, please call our Advisor Support Team at **800-952-3343 option 4**.