

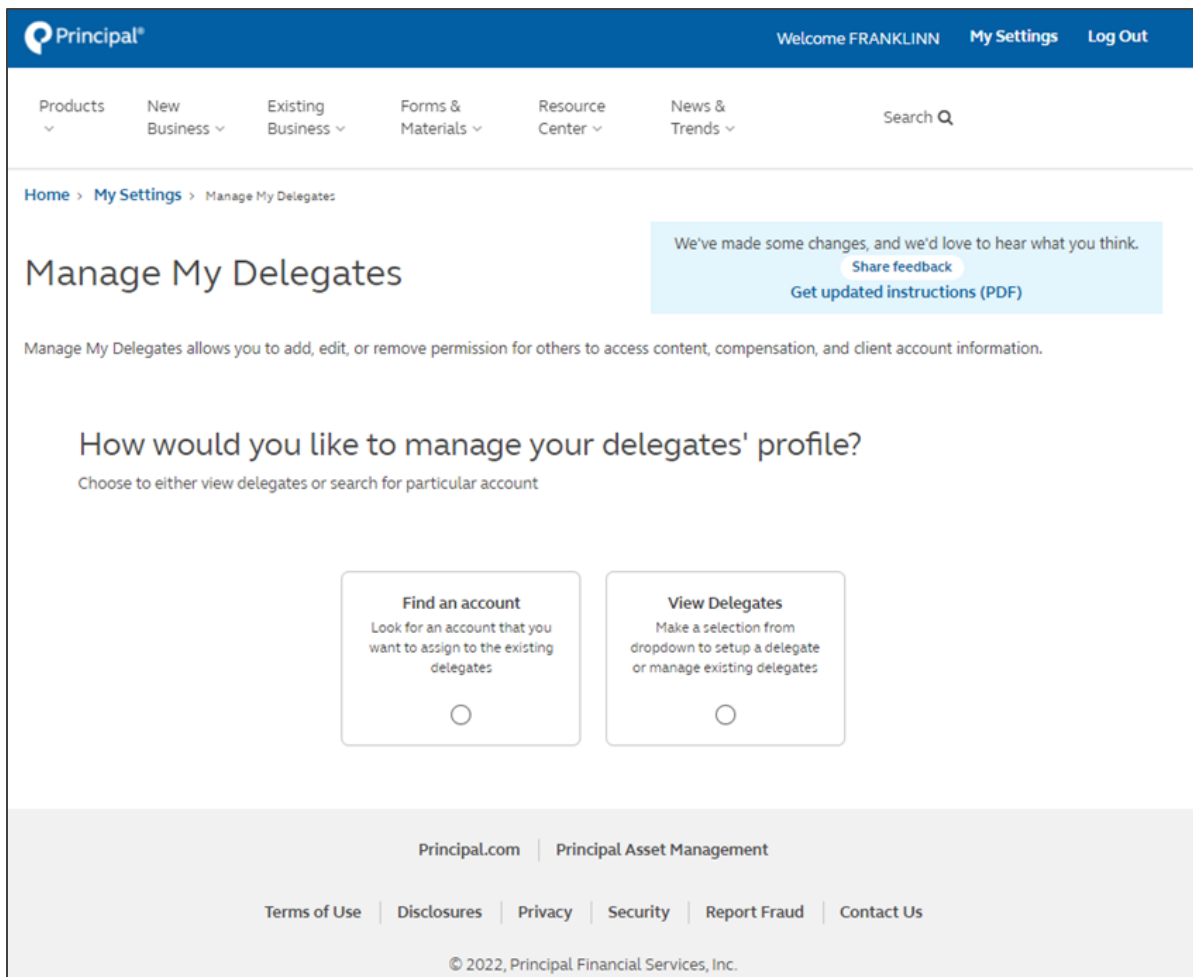
Manage My Delegates (MMD) Application

How to Review, Add, Update or Delete a Delegate

Manage My Delegates works best in Chrome or Edge browsers.

How to review your list of delegates

1. Log in to advisors.principal.com.
2. Go to the “My Settings” link in the upper right-hand corner.
3. From the “My Personal Settings” section, choose “Manage My Delegates”.
4. From here, there are two ways to manage your delegates:
 - **Find an Account**—lets you search for a specific account and assign one or more delegates to that account.
 - **View Delegates**—lets you see a list of your Delegates and manage their access individually.



The screenshot shows the Principal website's "Manage My Delegates" page. At the top is a blue navigation bar with the Principal logo, "Welcome FRANKLINN", "My Settings", and "Log Out". Below this is a white navigation bar with links for "Products", "New Business", "Existing Business", "Forms & Materials", "Resource Center", and "News & Trends", each with a dropdown arrow, and a "Search" icon. The main content area has a breadcrumb trail: "Home > My Settings > Manage My Delegates". The title "Manage My Delegates" is prominently displayed. To the right of the title is a light blue box with the text "We've made some changes, and we'd love to hear what you think." and two links: "Share feedback" and "Get updated instructions (PDF)". Below this, a paragraph states: "Manage My Delegates allows you to add, edit, or remove permission for others to access content, compensation, and client account information." The main heading is "How would you like to manage your delegates' profile?" followed by the instruction "Choose to either view delegates or search for particular account". There are two large, light gray buttons with rounded corners. The left button is titled "Find an account" and contains the text "Look for an account that you want to assign to the existing delegates" and a radio button. The right button is titled "View Delegates" and contains the text "Make a selection from dropdown to setup a delegate or manage existing delegates" and a radio button. At the bottom of the page is a gray footer bar containing "Principal.com | Principal Asset Management", a row of links: "Terms of Use", "Disclosures", "Privacy", "Security", "Report Fraud", and "Contact Us", and the copyright notice "© 2022, Principal Financial Services, Inc."

Find an Account

1. To search for an account, select the **Find an Account** radio button:

Principal® Welcome FRANKLINN My Settings Log Out

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

Home > My Settings > Manage My Delegates

Manage My Delegates

We've made some changes, and we'd love to hear what you think.
[Share feedback](#)
[Get updated instructions \(PDF\)](#)

Manage My Delegates allows you to add, edit, or remove permission for others to access content, compensation, and client account information.

How would you like to manage your delegates' profile?

Choose to either view delegates or search for particular account

Find an account
Look for an account that you want to assign to the existing delegates.
☒

View Delegates
Make a selection from dropdown to setup a delegate or manage existing delegates.
☐

Search Account
Please input only numbers of the account

What account are you looking for?

Principal.com | Principal Asset Management

[Terms of Use](#) | [Disclosures](#) | [Privacy](#) | [Security](#) | [Report Fraud](#) | [Contact Us](#)

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2. In the **Search Account** input box, type all or part of the account, then click the **Search** button.
3. A *Search Results* list of the accounts matching your search string is shown. Select the radio button beside the desired account, then click **Continue**.
4. **Result:** A list of the delegates associated with the Distribution Partner assigned to the selected account is shown.

×

Manage account

Account name

 PML LIFE BENEFICIARY

Account number

 N00238-00100-000000001

Distribution partner associated with account

 R23L3508W

Delegates associated with the account

Search delegate to assign or remove this account.

What are you looking for...

<input type="checkbox"/>	Delegate name
<input checked="" type="checkbox"/>	TCOLLIN TEST
<input type="checkbox"/>	PRANAV MUZUMDAR
<input checked="" type="checkbox"/>	DAYA GHOSHAL
<input type="checkbox"/>	UPDATE MESCH
<input type="checkbox"/>	WOODY WOODPECKERTEST
<input checked="" type="checkbox"/>	CINDY VOSHELL
<input type="checkbox"/>	JILLIAN BUNCUR
<input type="checkbox"/>	PAULA POLLY
<input type="checkbox"/>	MICHEAL SANYAL
<input type="checkbox"/>	CHRIS DANTIN

Show

10

of 43 entries

<<

<

1

2

3

>

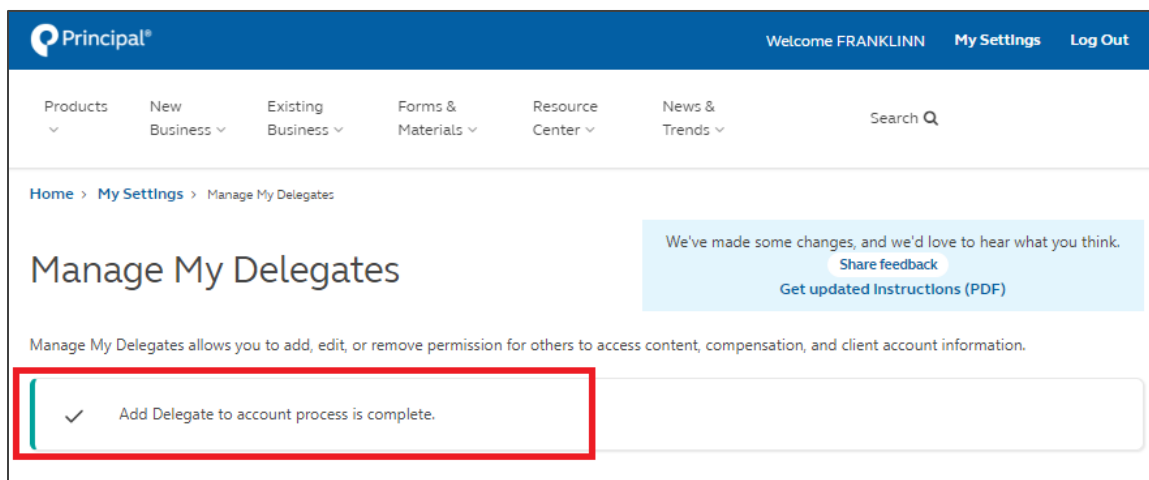
>>

Save

Cancel

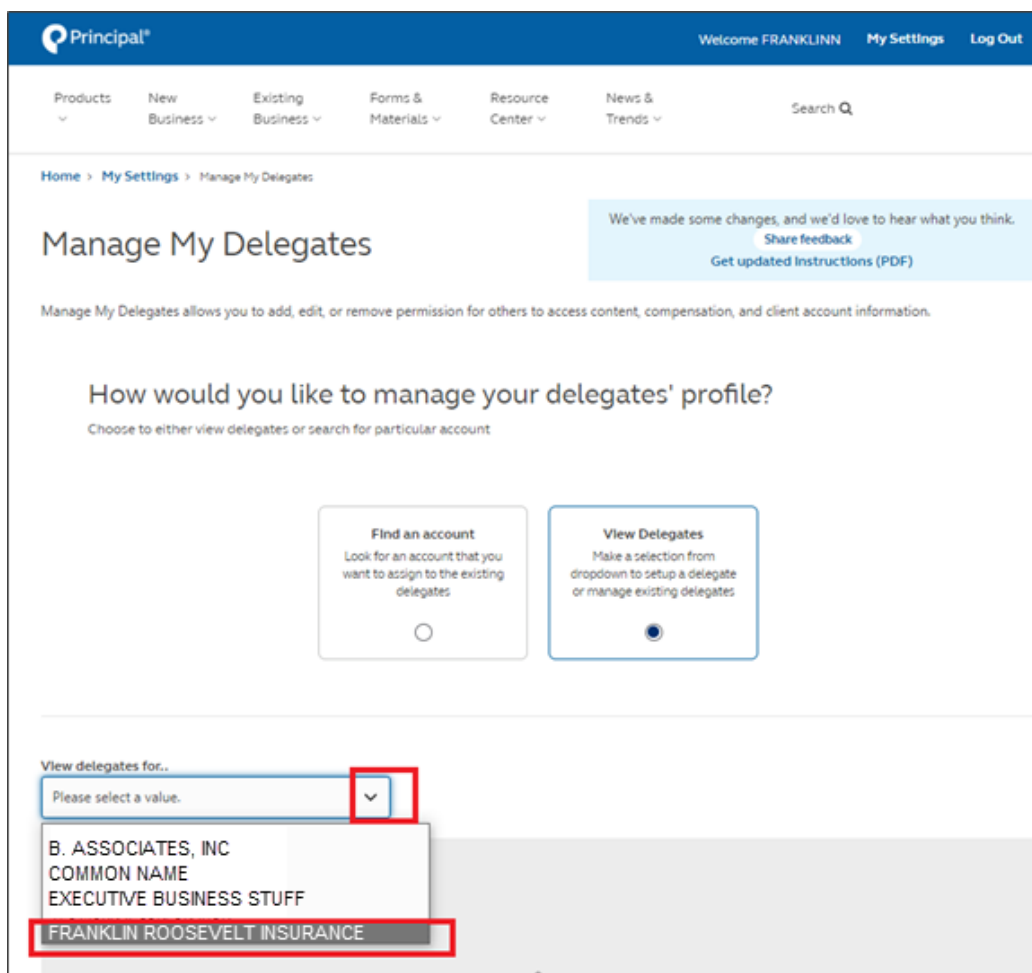
- To assign the account to a delegate, select the checkbox beside the delegate's name. Choose as many delegates as you need. Then click the **Save** button to update the delegates' access.

6. A success message is shown when the account has been added to the specified delegates.



View Delegates

1. To manage all delegates, select the **View Delegates** button. If you manage delegates for multiple Distribution Partners (e.g., a Firm Contact), use the drop-down list to choose the particular Distribution Partner for whom you want to manage delegates.



2. A list of the Distribution Partner’s delegates is shown.

View delegates for..

INVESTORS BROKERAGE SERVICES INSURANCE AI

Add delegate

Delete seleted delegate(s)

What are you looking for?

	DELEGATE NAME	Action
<input type="checkbox"/>	AA	...
<input type="checkbox"/>	AAA AAA	...
<input type="checkbox"/>	AAA BBB	...
<input type="checkbox"/>	A ADH	...
<input type="checkbox"/>	ACOLLIN TEST	...
<input type="checkbox"/>	ADD AGAIN	...
<input type="checkbox"/>	ADDDELEGATE DUALROLEMUL	...
<input type="checkbox"/>	ADDDELEGATE SAME	...
<input type="checkbox"/>	ADDDELONLY WITHAPPS	...
<input type="checkbox"/>	AJON TEST	...

Show 10 of 43 entries

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1

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3. Locate a specific delegate by typing all or part of the name in the *What are you looking for* input box:

What are you looking for ...

- 4. Select any delegate name to manage the access for that delegate.
- 5. Clicking delegate’s name in the Delegates List displays the access for that delegate.
- 6. You can modify the delegate’s access using the various options shown. When done, click the **Update delegate access** button to save your changes.
- 7. If no changes are needed, click the **Cancel** button to leave the access as is and return to the Distribution Partner’s delegate list.

CINDY VOSHELL

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Access to applications

Client Correspondence	<div>Yes</div> <div>No</div>
Compensation Statements	<div>Yes</div> <div>No</div>
Commissions ?	<div>Yes</div> <div>No</div>
Management Compensation ?	<div>Yes</div> <div>No</div>
Variable Management Comp ?	<div>Yes</div> <div>No</div>

Access to employer sponsored accounts

Current ?

Future ?

☐ All Accounts

☒ Some Accounts

☐ No Accounts

☐ All Accounts

☒ No Accounts

What are you looking for?

<input type="checkbox"/>	Account Number	Account Name
<input type="checkbox"/>	H28430-00023-000000001	SAM ASH MUSIC
<input type="checkbox"/>	H28430-00099-000000001	SAM ASH MUSIC
<input type="checkbox"/>	N00001-91000-000000001	DOE
<input checked="" type="checkbox"/>	N00238-00100-000000001	PML LIFE BENEFICIARY

Show

10

of 4 entries

<<

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1

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Update delegate access

Cancel

TIPS:

- You can sort your list alphabetically, and filter the list by name, account name, etc. using the search box in the top right corner.
- At the bottom right corner of the screen, you can also customize how many delegates you see on the page, from 10, 15, or 50.
- Move forward and backwards through your list using the page number or arrows.

The screenshot displays the 'Manage My Delegates' interface in the Principal system. The header includes the Principal logo, user information 'Welcome FRANKLINN', and links for 'My Settings' and 'Log Out'. A navigation bar contains links for Products, New Business, Existing Business, Forms & Materials, Resource Center, and News & Trends, along with a search icon.

The main content area is titled 'Manage My Delegates' and includes a sub-header: 'Manage My Delegates allows you to add, edit, or remove permission for others to access content, compensation, and client account information.' Below this is a dropdown menu labeled 'View Delegates For ...' with 'A B SAMPLE CORPORATION' selected.

Two buttons are present: 'Add Delegate' (blue) and 'Delete Selected Delegate(s)' (grey). A search box with the placeholder 'What are you looking for?' is highlighted with a red rectangle.

The delegate list is a table with columns 'DELEGATE NAME' and 'Action'. It contains 10 entries, each with a checkbox and an action button (three dots). The delegates listed are: A ADH, ADD AGAIN, ADDDELEGATE SAME, ADDDELONLY WITHAPPS, AJON TEST, ANUTEST FRTEMAR, ASHWINI PATIL, AdvisorTest ASHIYA User, B ADH, and BARNEY FIN PRO.

A pagination control at the bottom right, also highlighted with a red rectangle, shows 'Show 10 of 55 entries' and page navigation buttons. The current page is 1, with links for 2 and 3.

How to Add a Delegate

1. Log in to advisors.principal.com.
2. Go to the “My Settings” link in the upper right-hand corner.
3. From the “My Personal Settings” section, choose “Manage My Delegates”.
4. The *View Delegates for...* drop down will display a list of firms or individuals to manage. Make your selection.
5. Click on the blue **Add Delegate** button below the **View Delegates for...** drop down.

The screenshot shows the 'Manage My Delegates' page in the Principal advisors portal. The page header includes the Principal logo, 'Welcome FRANKLINN', 'My Settings', and 'Log Out'. A navigation bar contains links for Products, New Business, Existing Business, Forms & Materials, Resource Center, and News & Trends, along with a search bar. The breadcrumb trail is 'Home > My Settings > Manage My Delegates'. The main heading is 'Manage My Delegates', followed by a description: 'Manage My Delegates allows you to add, edit, or remove permission for others to access content, compensation, and client account information.' Below this is a dropdown menu labeled 'View Delegates For ...' with 'A B SAMPLE CORPORATION' selected. A red box highlights the 'Add Delegate' button, which is next to a 'Delete Selected Delegate(s)' button. To the right is a search bar with the placeholder text 'What are you looking for?'. Below these buttons is a table with two columns: 'DELEGATE NAME' and 'Action'.

DELEGATE NAME	Action
<input type="checkbox"/> A ADH	...
<input type="checkbox"/> ADD AGAIN	...

6. The following modal will appear.

×

Add Delegate

First Name

Last Name

Business Email Address:

Business Phone Number

Access to applications

Client Correspondence

YesNo

Compensation Statements

YesNo

Access to employer sponsored accounts

Current	Future
<div><div><input type="radio"/> All Accounts</div><div><input type="radio"/> Some Accounts</div><div><input checked="" type="radio"/> No Accounts</div></div>	<div><div><input type="radio"/> All Accounts</div><div><input checked="" type="radio"/> No Accounts</div></div>

☐ I confirm that I am granting this delegate access to all the applications that have been granted to me for the designated accounts. I acknowledge that I am responsible for supervising my delegates to make sure that they are taking appropriate safeguards with confidential information and that I should only grant access to those delegates that will handle confidential information appropriately. I also acknowledge that I am responsible for supervising my delegates to make sure that any transaction actions that the delegate does is only done pursuant to directions of the designated client, employer, or their Plan Participants. I understand that I am responsible for promptly rescinding the access that I have granted to any delegates that are no longer working on the designated account or who are no longer under my supervision and control. Finally, I have confirmed with my Broker/Dealer (if applicable) and/or others responsible for supervising my actions as a financial professional that delegate access is necessary and appropriate based on the services that I am providing to my clients' accounts.

Add delegate

Cancel

7. Enter the new delegate's name, business email and phone number.

TIP: The business email should be associated with your new delegate instead of a generic or shared email address.

8. Next, you'll give the new delegate security access.

Access to applications:

- By default, a new delegate's application access is set to **No**.
- Select **Yes** to *allow* access or **No** to *remove* access to the appropriate application.

Access to employer sponsored accounts - Current:

- By default, a new delegate's access to current accounts is set to **No Accounts**.
- Choose one of the following for **Current** options: *All, Some, None*.
 - If you select **Some**, a list to choose from will appear.

TIP: You can sort by account number and name, and search

- Check each account that applies. Multiple selections can be made.

Access to employer sponsored accounts

Current

Future

☐ All Accounts
 ☒ **Some Accounts**
☐ No Accounts

☐ All Accounts
 ☒ No Accounts

<input type="checkbox"/>	Account Number	Account Name
<input type="checkbox"/>	H28430-00023-000000001	SOME AWESOME MUSIC
<input type="checkbox"/>	H28430-00099-000000001	SOME AWESOME MUSIC
<input type="checkbox"/>	N00001-91000-000000001	EXCELLENT COMPANIES, LLC
<input type="checkbox"/>	N00238-00100-000000001	ELECTRICIANS MUTUAL

Show 10 of 4 entries

Access to employer sponsored accounts - Future

- By default, a new delegate's access to future accounts is set to **No Accounts**.
 - Choose one of the following for **Future** options: *All, None*.
 - **All** means your new delegate will automatically be assigned to new, future accounts.
 - **None** will allow you to customize which future accounts your new delegate can see and service.
9. Check the box to confirm you understand you'll be granting access to confidential information, allowing the delegate to perform transactions on behalf of designated clients, employers or plan participants. **This step is required before proceeding.**
10. Click the **Submit** button.
11. **Result:** you'll see a success confirmation message at the top of the screen, and your newly added delegate should now appear in the list.
- TIP:** You can find your new delegate by using the search filter box.

The screenshot shows the 'Manage My Delegates' page in the Principal system. At the top, there's a blue header with the Principal logo and user information: 'Welcome FRANKLINN', 'My Settings', and 'Log Out'. Below the header is a 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 has a breadcrumb trail: 'Home > My Settings > Manage My Delegates'. The title 'Manage My Delegates' is prominently displayed. Below the title, a sub-header explains the function: 'Manage My Delegates allows you to add, edit, or remove permission for others to access content, compensation, and client account information.' A success message box with a green checkmark states: 'The delegate has been added successfully.' Below this, there's a dropdown menu labeled 'View Delegates For ...' currently set to 'SOME GREAT COMPANY LLC'. Two buttons are present: 'Add Delegate' (blue) and 'Delete Seleted Delegate(s)' (grey). A red arrow points from the success message to a search bar labeled 'What are you looking for?' which is highlighted with a red box. Below the search bar is a table with columns 'DELEGATE NAME' and 'Action'. The table lists three delegates: 'AA', 'AAA AAA', and 'AAA BBB', each with a checkbox and a three-dot menu icon in the 'Action' column.

Principal®

Welcome FRANKLINN My Settings Log Out

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

Home > My Settings > Manage My Delegates

Manage My Delegates

Manage My Delegates allows you to add, edit, or remove permission for others to access content, compensation, and client account information.

✓ The delegate has been added successfully.

View Delegates For ...
SOME GREAT COMPANY LLC

Add Delegate Delete Seleted Delegate(s)

What are you looking for?

DELEGATE NAME	Action
<input type="checkbox"/> AA	...
<input type="checkbox"/> AAA AAA	...
<input type="checkbox"/> AAA BBB	...

IMPORTANT: Verify your delegate has access

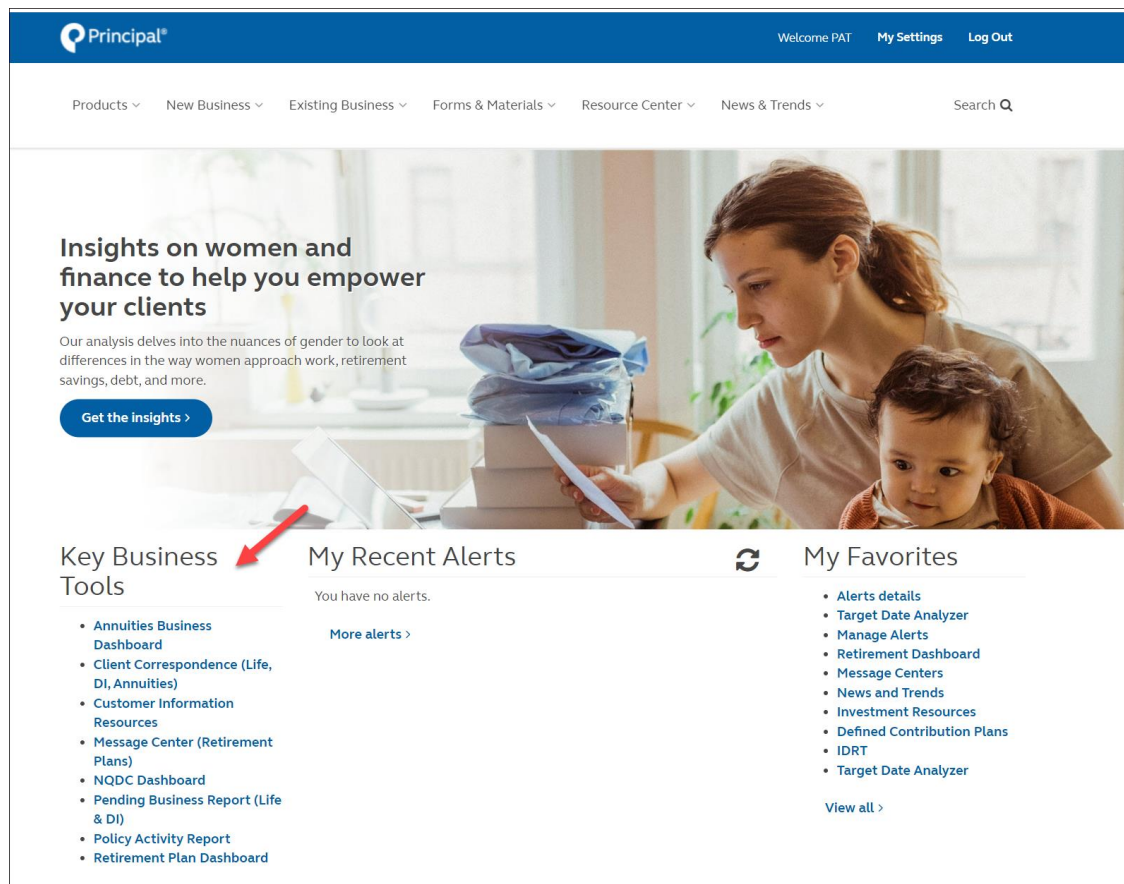
If you service and sell individual retail products, you may need to submit an additional request to grant your delegate full access to your book of business.

1. The financial professional or agency contact needs to fill out the [Advisor Delegate Authorization Request Form](#). Once the form is submitted, the Advisor Web Support Team will make the necessary changes within 2 business days.
2. **Result:**
 - A **new** delegate will receive an activation email to setup log in credentials.
 - An **existing** delegate will be able to see the information requested within 2 business days.

To verify:

1. Have your new delegate log in to advisors.principal.com
2. Navigate to your preferred book of business application: Retirement Dashboard, Client List, Customer Information, etc.

TIP: Quick links to common servicing applications are located under **Key Business Tools** on the home page.



Sell or service nonqualified accounts? Contact your regional vice president for access to the nonqualified dashboard.

How to update a delegate

1. To update a delegate, follow steps 1 - 5 of the “How to review your list of delegates” process.
2. Once you’ve found the delegate you’d like to update, you can:
 - Click on the name to bring up the edit modal, or
 - Under the Action column, select the three dots (...) to bring up a list of options. Chose **Edit delegate**.

TIP: Even if you’ve selected multiple delegate checkboxes, you’ll only be making updates on the single delegate in the highlighted row. See the “How to delete a delegate” section for an example of when to use multiple checkboxes to complete an action.

Principal® Welcome PAT My Settings Log Out

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

Home > My Settings > Manage My Delegates

Manage My Delegates

Manage My Delegates allows you to add, edit, or remove permission for others to access content, compensation, and client account information.

View Delegates For ...
JONES EDWARD LLC

Add Delegate Delete Selected Delegate(s)

What are you looking for?

DELEGATE NAME
<input type="checkbox"/> JANE DOE
<input checked="" type="checkbox"/> JOE BROKER

Edit
Delete
Add To Another Firm

- This will bring up a modal for your existing delegate. From here, you can edit **Access to applications** and **Access to employer sponsored accounts**.

×

JOE BROKER

Access to applications

Client Correspondence

Yes No

Compensation Statements

Yes No

Access to employer sponsored accounts

Current

Future

☒ All Accounts
 ☐ Some Accounts
 ☐ No Accounts

☒ All Accounts
 ☐ No Accounts

Update delegate access

Cancel

- To edit **Access to applications**:
 - Select **Yes** to *allow* access or **No** to *remove* access to the selected application.

5. To edit Access to employer sponsored accounts:

- Choose one of the following for **Current** options: *All, Some, None.*

If you select **Some**, a list to choose from will appear. Those entities your delegate currently has access to will be selected.

TIP: You can sort by account number and name, and search. You can also customize how many entries you see in the list, and page forward or backward.

Check or uncheck each account that applies.

JOE BROKER

Access to applications

Client Correspondence

YesNo

Compensation Statements

YesNo

Access to employer sponsored accounts

Current

Future

☐ All Accounts

☒ Some Accounts

☐ No Accounts

☒ All Accounts

☐ No Accounts

What are you looking for?

☒

Account Number

Account Name

☒

313926--000000001

WESTERN HISTORY FANS INC

☒

316278--000000001

ANY STATE STEEL ASSOCIATES

☒

360698--000000001

CITY OF ANY TOWN

☒

363073--000000001

GOLD CORP PROFIT SHARING LC

☒

365415--000000001

JULY CONTRACTING COMPANY

☒

367531--000000001

RETIREMENT PLAN FOR CITY OF LA DES MOINES

☒

367963--000000001

AWESOME STUFF CORP

☒

369731--000000001

SHINY SHOWER PARTS LIMITED

☒

376906--000000001

PUBLIC WATER SUPPLY DIST 9 DALLAS CO IA

☒

377392--000000001

A & B MARKETING SERVICES INC

Show10of 3110 entries

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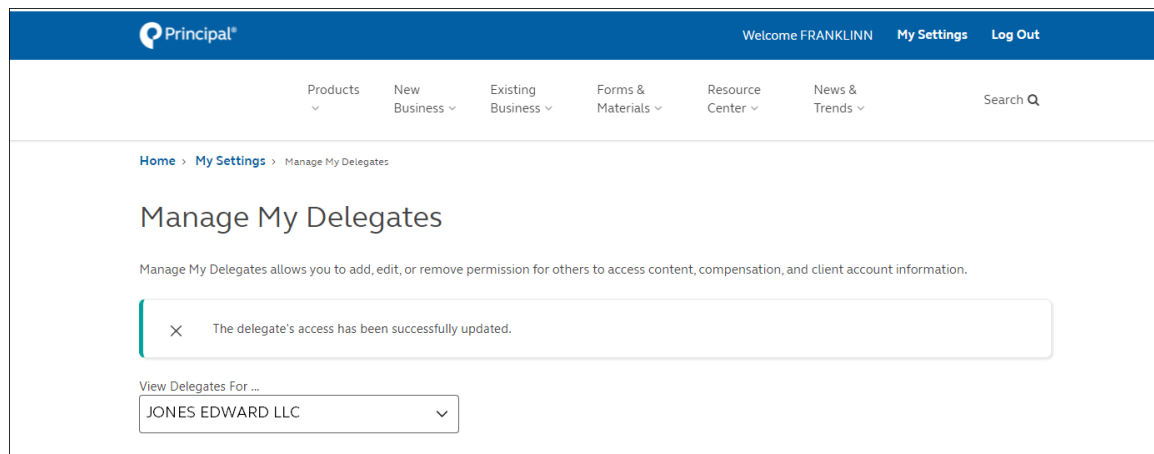
>

>>>

Update delegate access

Cancel

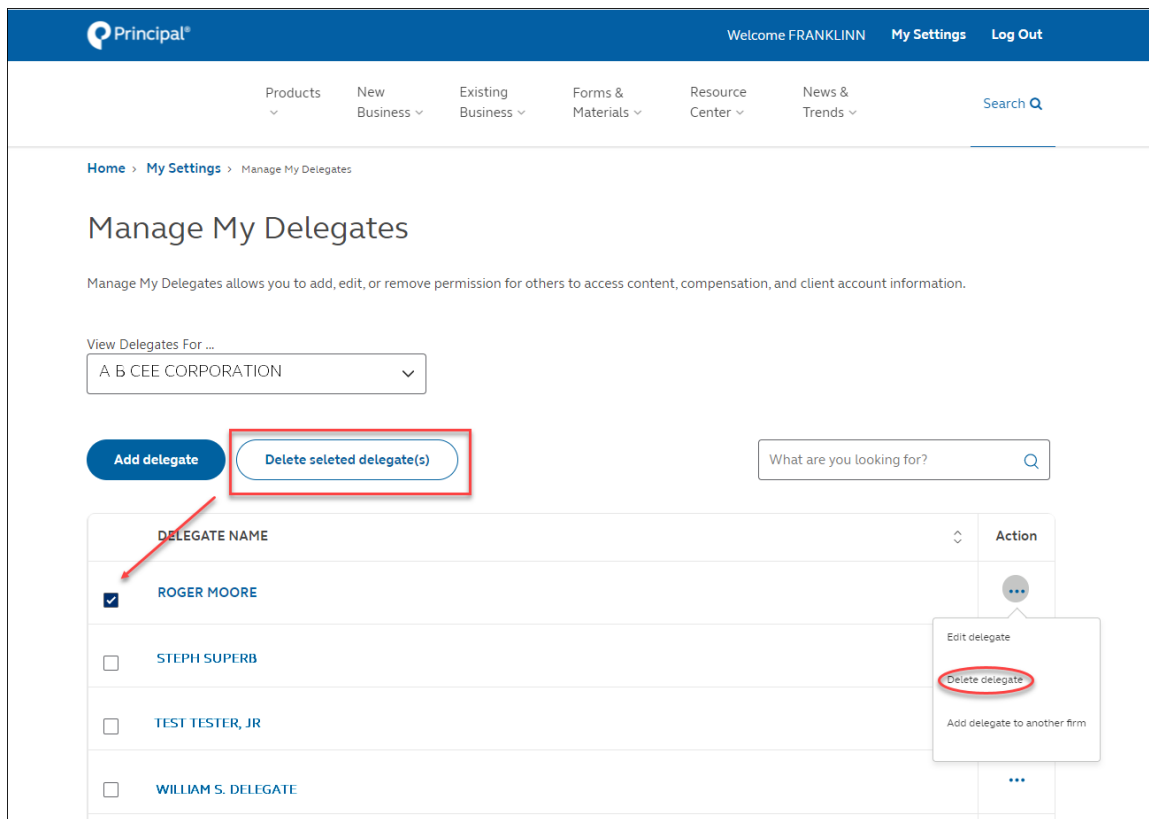
- Choose one of the following for **Future** options: *All, None*.
 - **All** means the delegate will automatically be assigned to new, future accounts.
 - **None** will allow you to customize which future accounts your delegate can see and service.
6. To finish, click the **Update delegate access** button.
7. **Result:** you'll see a success confirmation message at the top of the screen.



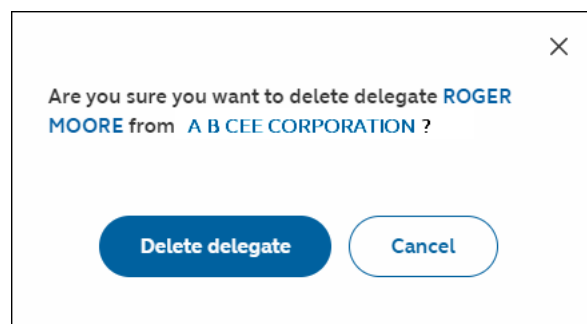
How to delete a delegate

Note: If a delegate is assigned to *multiple individuals or firms*, you will need to view the delegate list for each, and delete the specific delegate as needed by following the instructions below.

1. Follow steps 1 - 5 of the “How to review your list of delegates” process.
2. Once you’ve found the delegate you’d like to delete:
 - Select the check box next to the name(s) of the delegate you wish to delete.
 - Once you’ve made your selection, the **Delete selected delegate(s)** button, located next to the **Add delegate** button at the top left-hand corner of your list, becomes available.
 - Click the **Delete selected delegate(s)** button to continue.



3. A confirmation modal will appear asking you to confirm your choice. Select the **Delete Delegate** button to complete the process.



4. **Result:** The delegate(s) is removed from the list for that firm or individual, and a confirmation message appears at the top of the screen.

✓ The delegate has been successfully deleted.

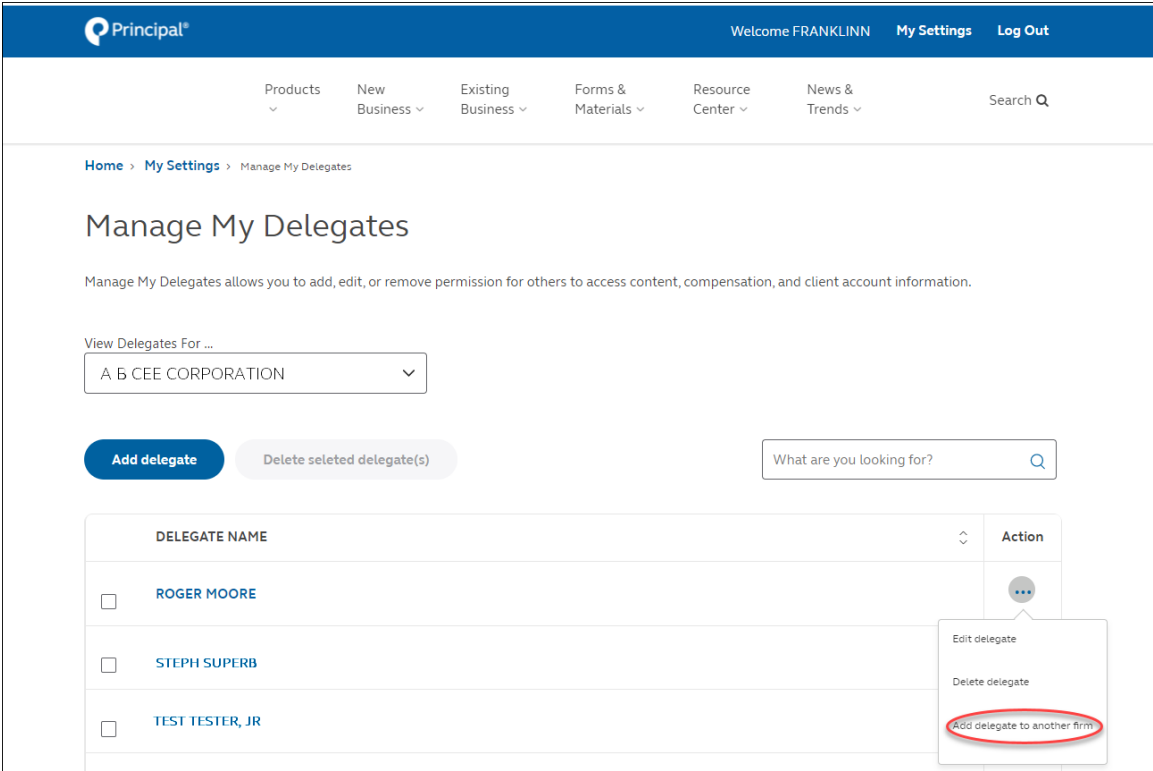
TIPS:

- Or, under the Action column, select the three dots (...) to bring up a list of options. Chose **Delete delegate**.
- If you have multiple delegates to delete, you can select multiple checkboxes from you list, then click the **Delete selected delegate(s)** button.

How to Add a Delegate to Another Firm

Note: this action only applies and is visible in Manage My Delegates to some users/contacts with multiple firms.

- 1. Follow steps 1 - 5 of the “How to review your list of delegates” process.
- 2. Once you’ve found the delegate you’d like to add to another firm, under the Action column, select the three dots (...) to bring up a list of options. Chose **Add delegate to another firm**.



3. The following modal will appear with a list of firm options for your chosen delegate.

×

Add ROGER MOORE to another firm

Select a firm

☒ SEAN CONNERY

☒ A B CEE CORPORATION

☐ WESTERN COMPANY OF STATE

☐ SHINY THINGS PEOPLE BUY LTD

Add delegate to selected

Cancel

TIP: The currently active firm is greyed out.

- Choose all the accounts that apply. Multiple boxes can be checked. Then select the **Add Delegate to selected** button.
- A new modal will appear, allowing you to provision delegate access to the firm(s) added in step 4..

×

Add Delegate ROGER MOORE to SEAN CONNERY

Access to applications

Client Correspondence

Yes

No

Compensation Statements

Yes

No

Access to employer sponsored accounts

Current

Future

☐ All Accounts

☐ Some Accounts

☒ No Accounts

☐ All Accounts

☒ No Accounts

Add delegate

Cancel

6. Follow steps 8 – 11 of the *How to add a new delegate* process.
7. *Optional.* If you selected multiple firms, you will see an additional modal prompt to provision access to the next firm. Follow steps 8 – 11 of the *How to add a new delegate* process.
8. **Result:** Your delegate has been added to a firm or financial professional relationship, and a confirmation message will appear at the top of the screen.



To verify the delegate has been added to another firm:

1. Go back to the *View Delegates for...* drop down at the top of the table.
2. From the list of firms or individuals, select the entity you just added for your delegate.
3. Verify your delegate now appears in the list.

TIP: Filter your list by name, account name, etc.

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