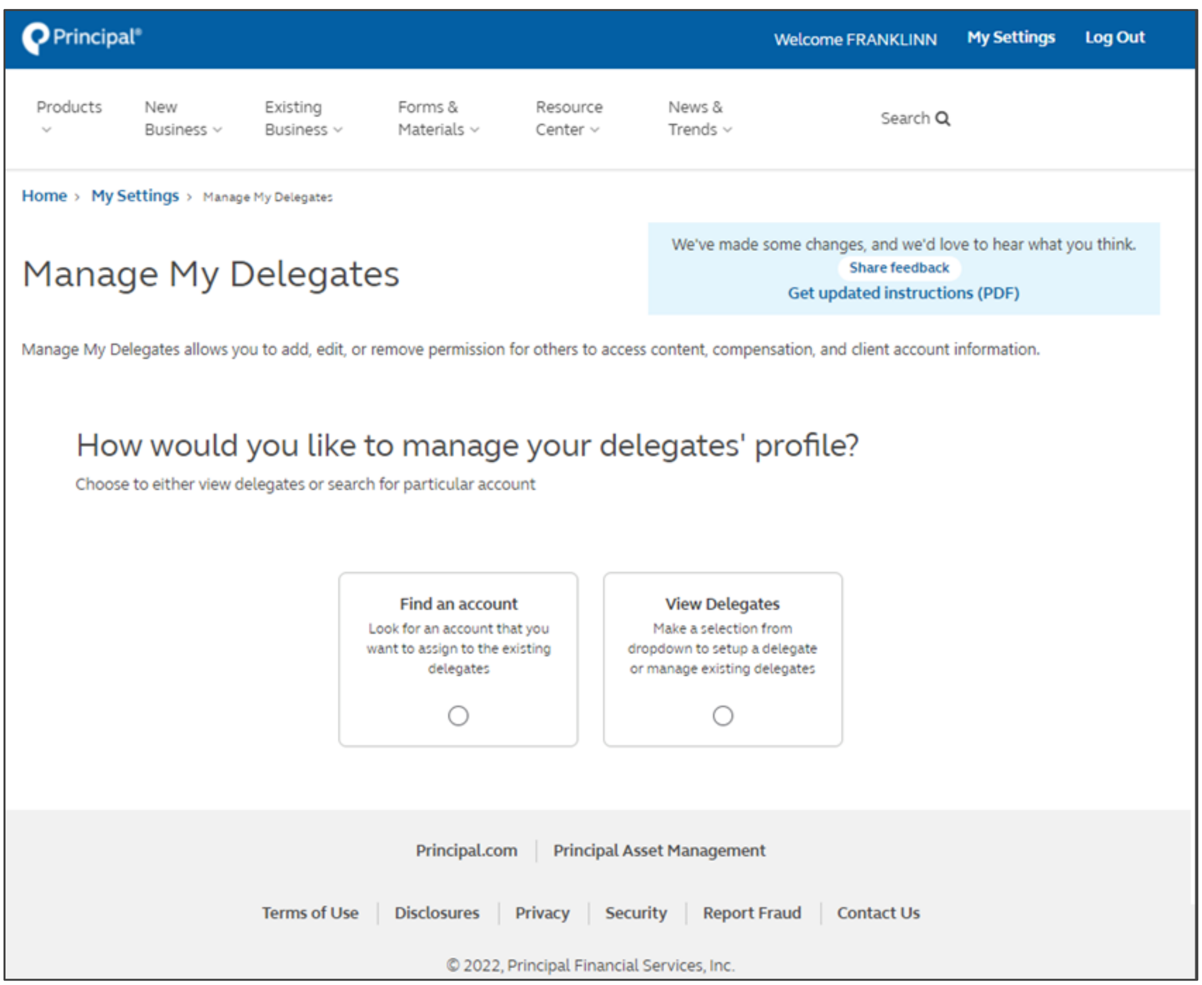
Manage My Delegates (MMD) Application

How to Review, Add, Update or Delete a Delegate

Manage My Delegates works best in Chrome or Edge browsers.

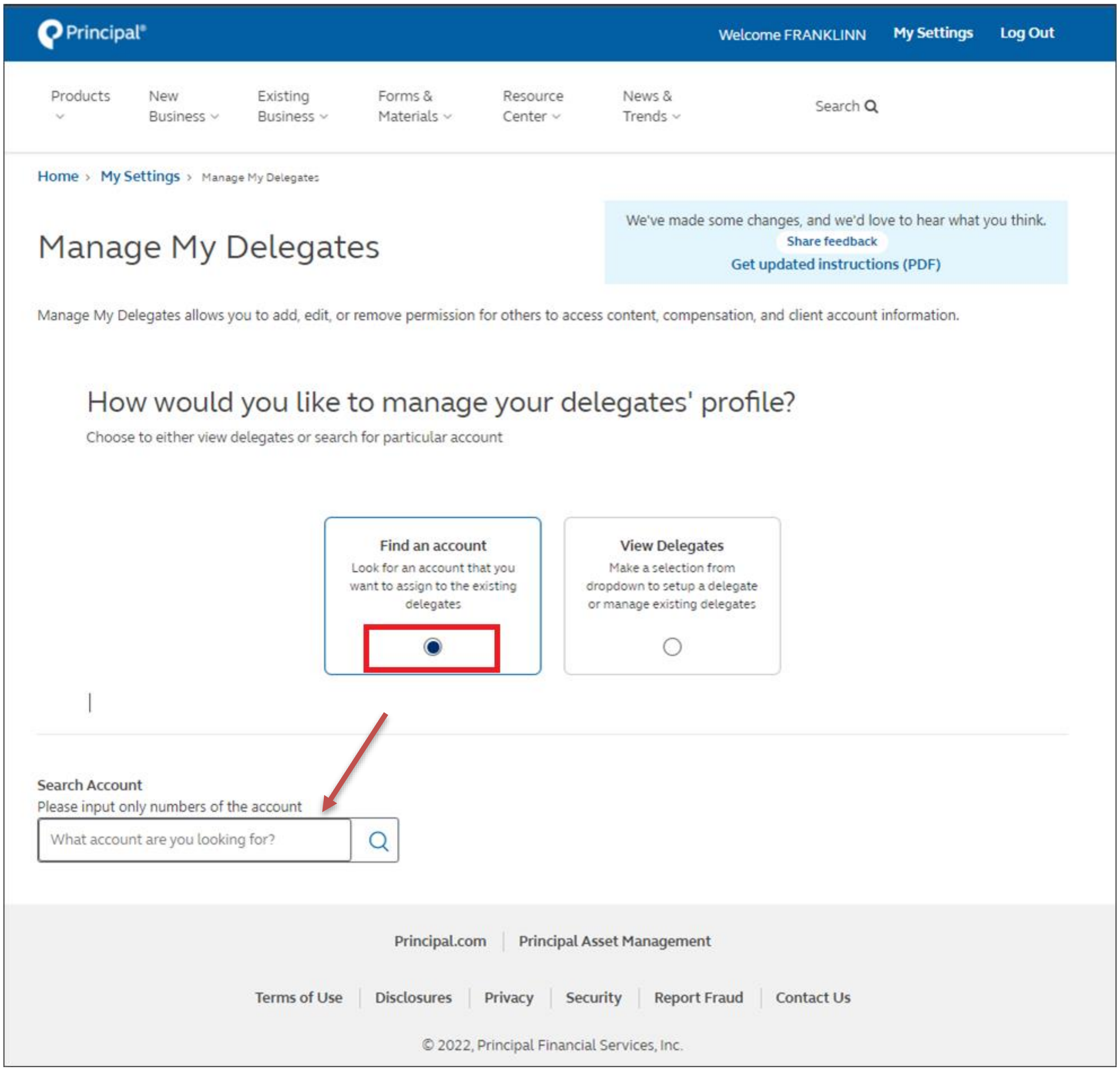
How to review your list of delegates

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.

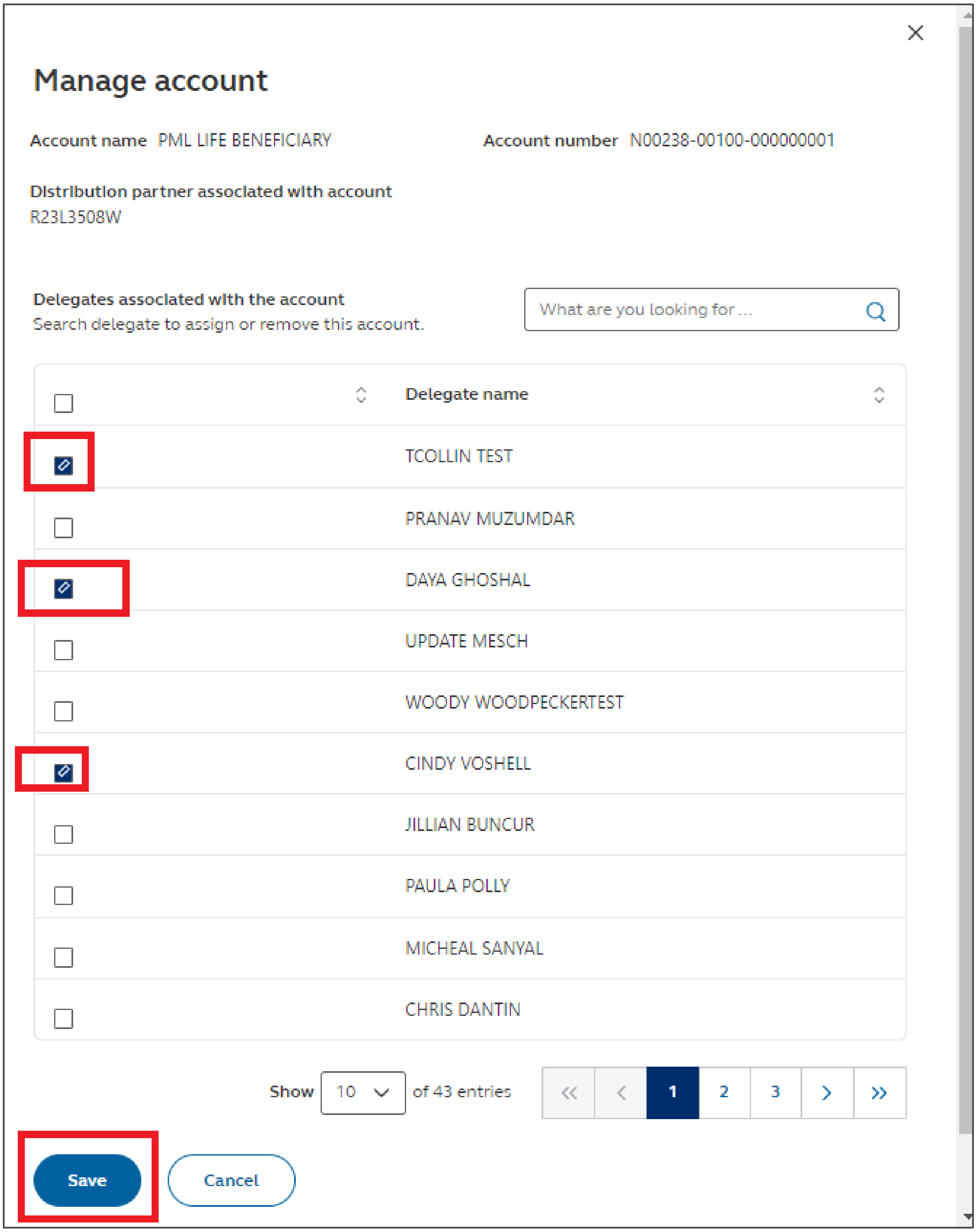


Find an Account

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

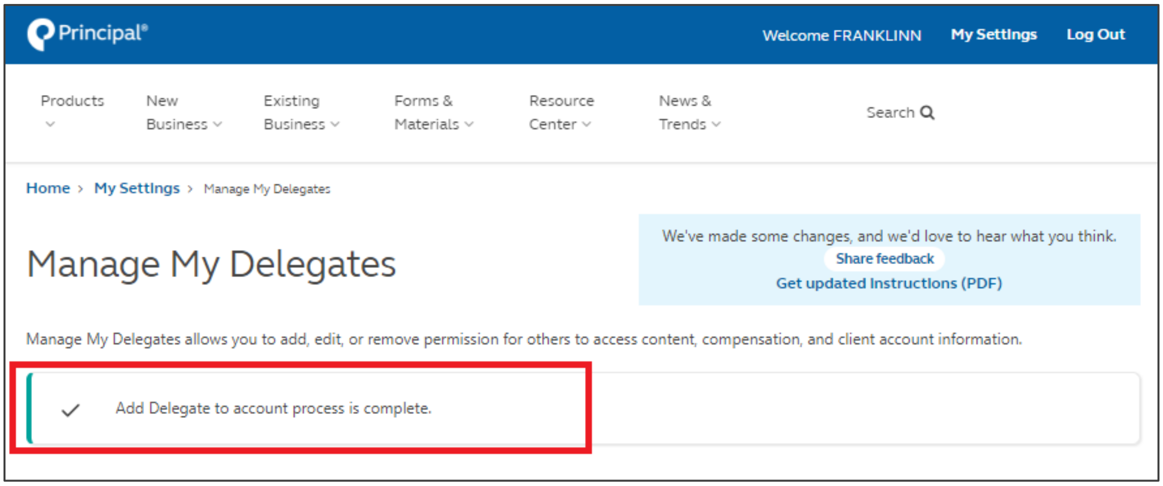


2. In the **Search Account** input box, type all or part of the account, then click the **Search** button.
3. A *Search Results* list of the accounts matching your search string is shown. Select the radio button beside the desired account, then click **Continue**.
4. **Result:** A list of the delegates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



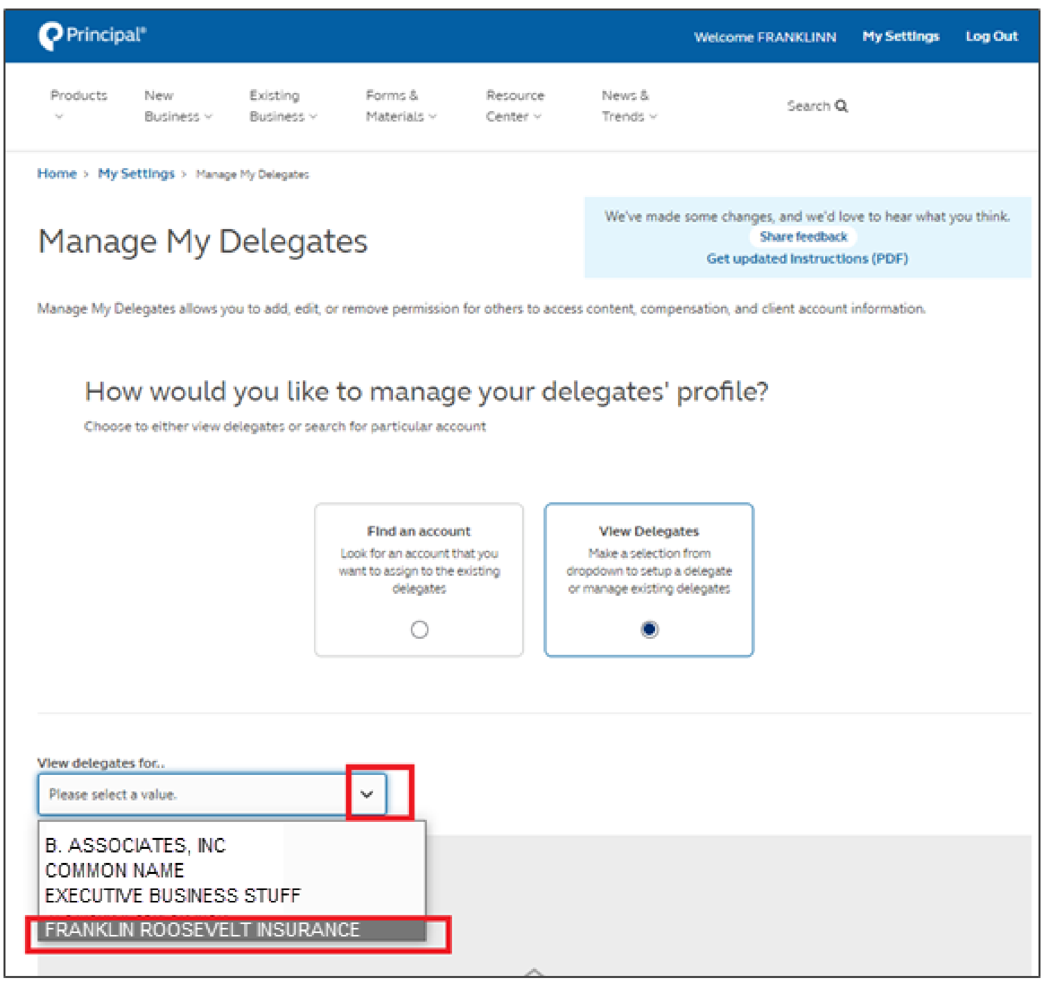
5. To assign the account to a delegate, select the checkbox beside the delegate's name. Choose as many delegates as you need. Then click the **Save** button to update the delegates' access.

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

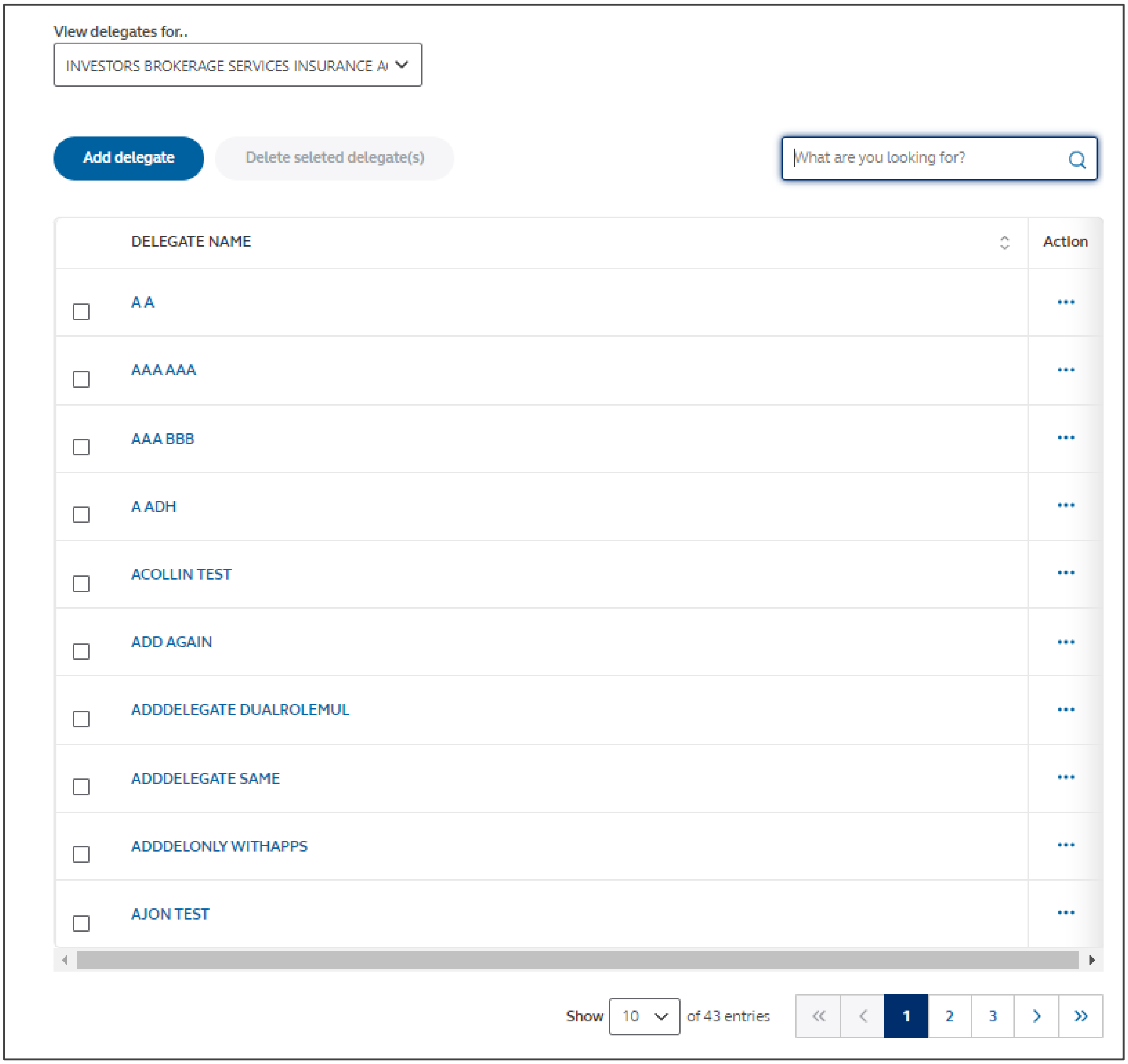


View Delegates

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.

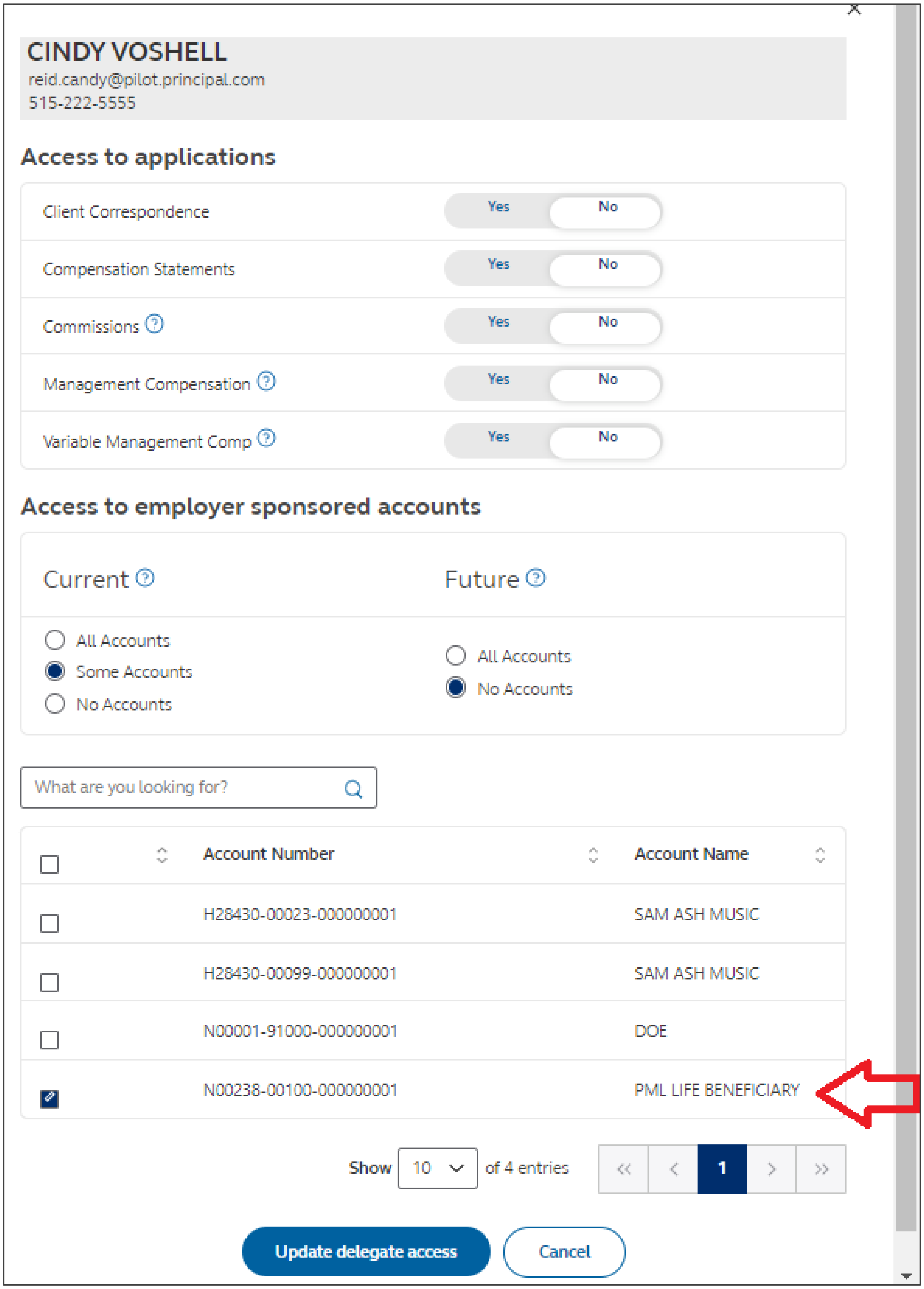


2. A list of the Distribution Partner's delegates is shown.



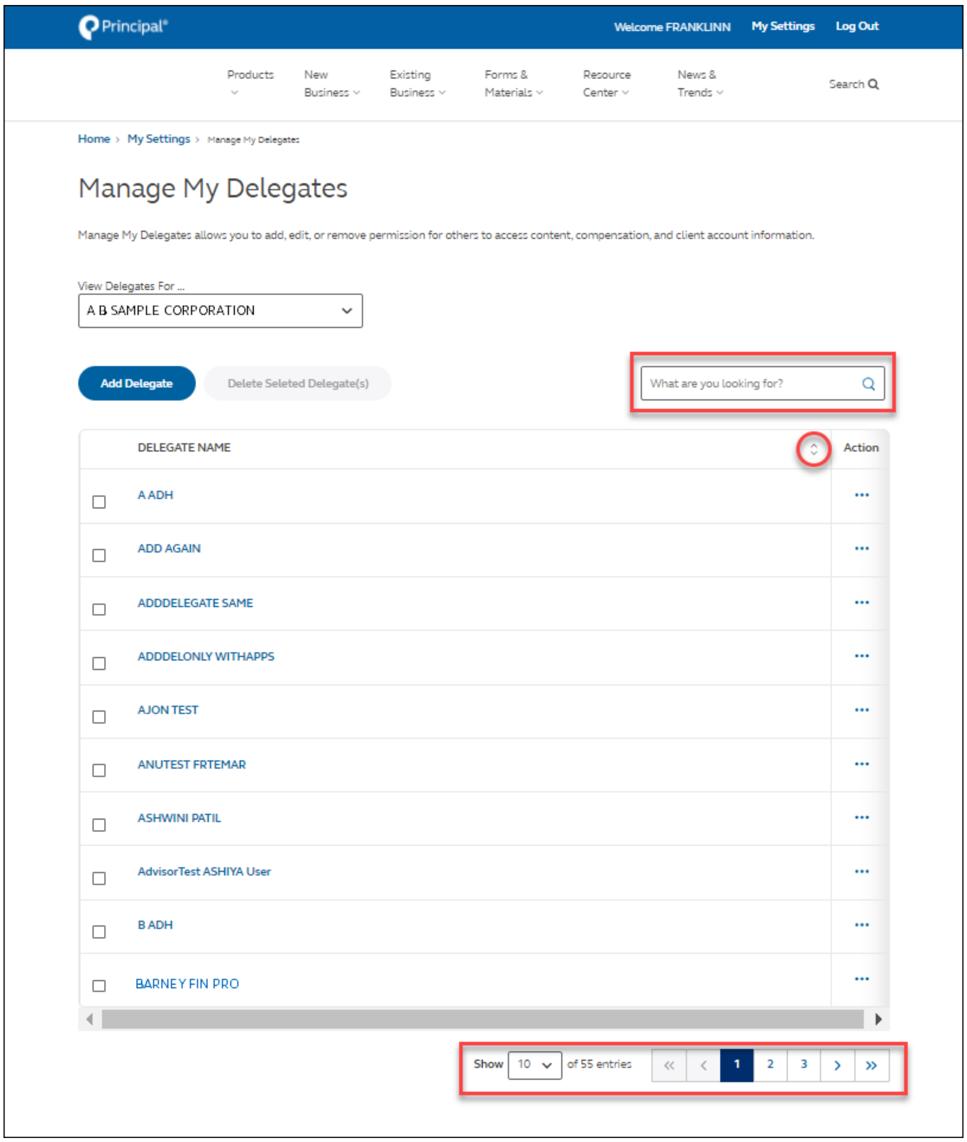
3. Locate a specific delegate by typing all or part of the name in the *What are you looking for* input box:

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
reid.candy@pilot.principal.com
515-222-5555
Access to applications
Client Correspondence
Yes No
Compensation Statements
Yes No
Commissions
Yes No
Management Compensation
Yes No
Variable Management Comp
Yes No
Access to employer sponsored accounts
Current
All Accounts
Some Accounts
No Accounts
Future
All Accounts
No Accounts
What are you looking for?
Account Number
Account Name
H28430-00023-000000001
SAM ASH MUSIC
H28430-00099-000000001
SAM ASH MUSIC
N00001-91000-000000001
DOE
N00238-00100-000000001
PML LIFE BENEFICIARY
Show 10 of 4 entries
1
Update delegate access
Cancel

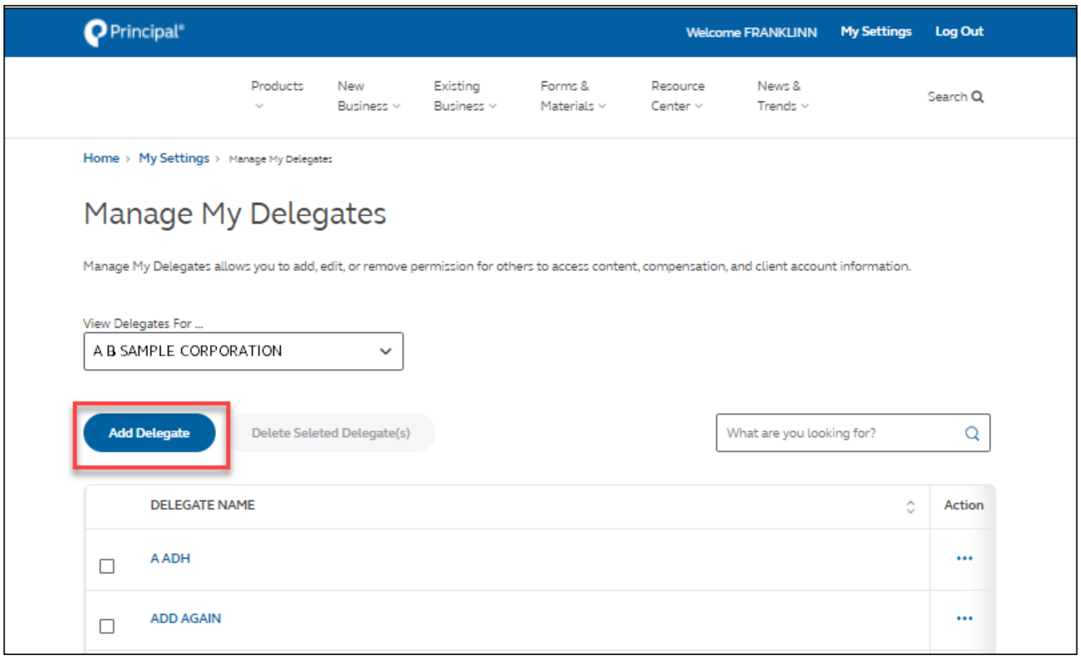
TIPS:

- 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.

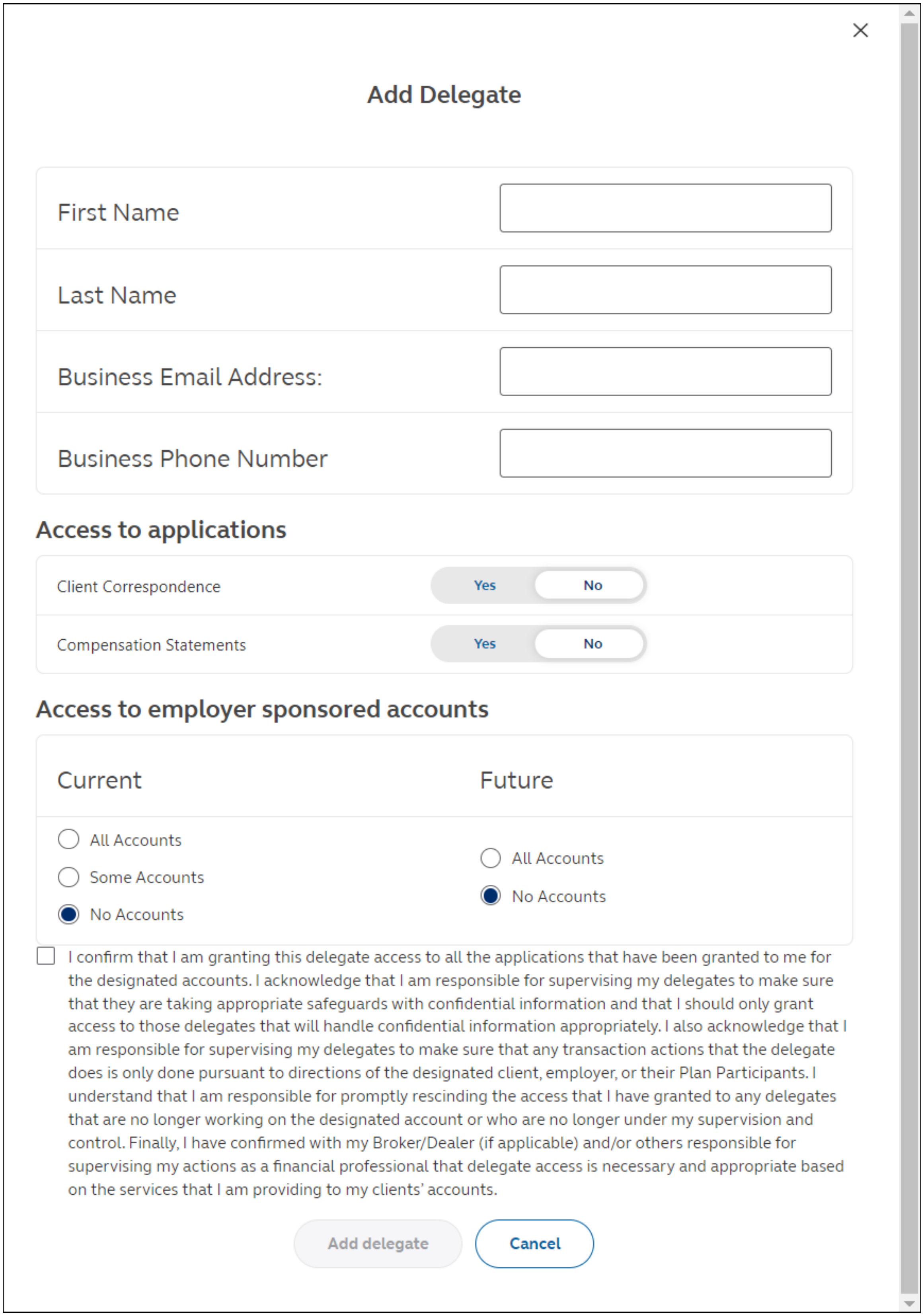


How to Add a Delegate

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.



6. The following modal will appear.



Add Delegate

First Name

Last Name

Business Email Address:

Business Phone Number

Access to applications

Client Correspondence	Yes / No
Compensation Statements	Yes / No

Access to employer sponsored accounts

Current	Future
All Accounts	All Accounts
Some Accounts	No Accounts
No Accounts	

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.

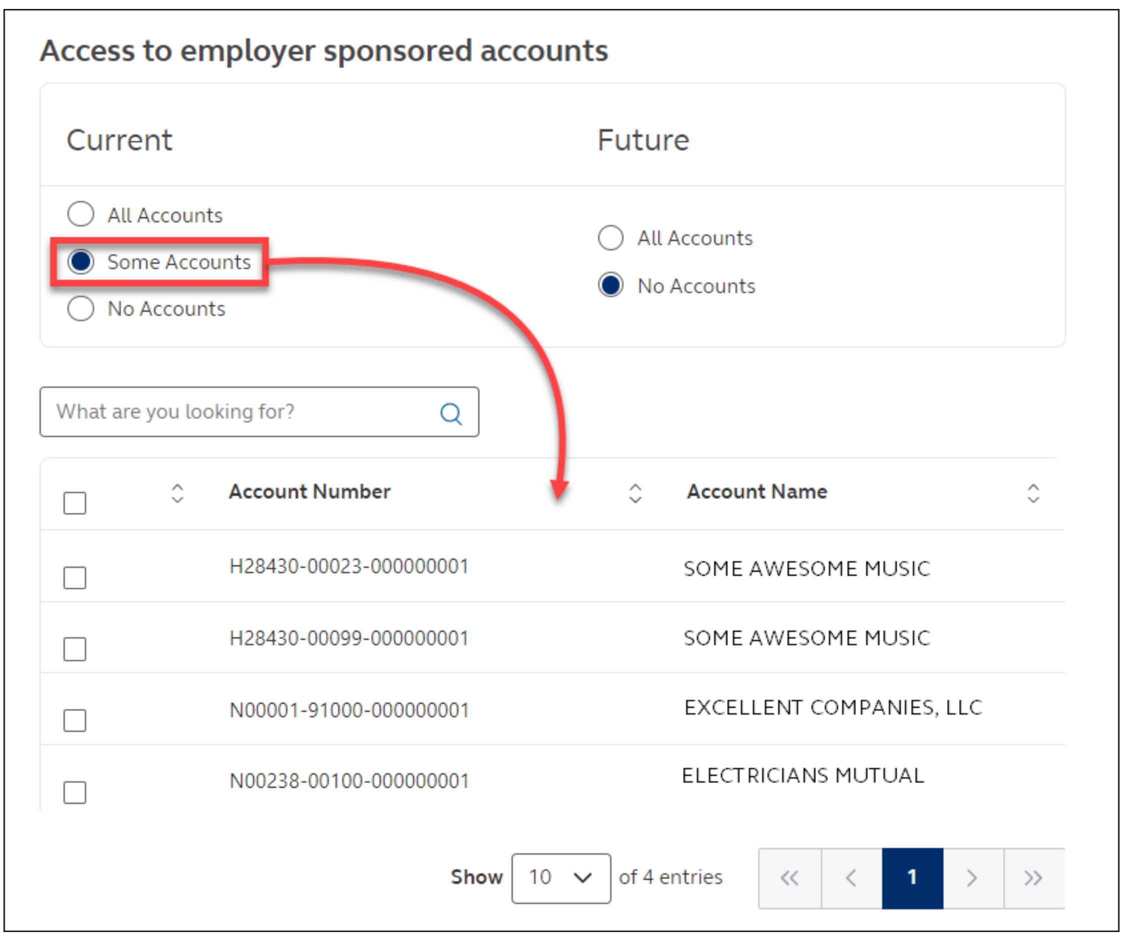
   Access to applications:

   - 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 - Future

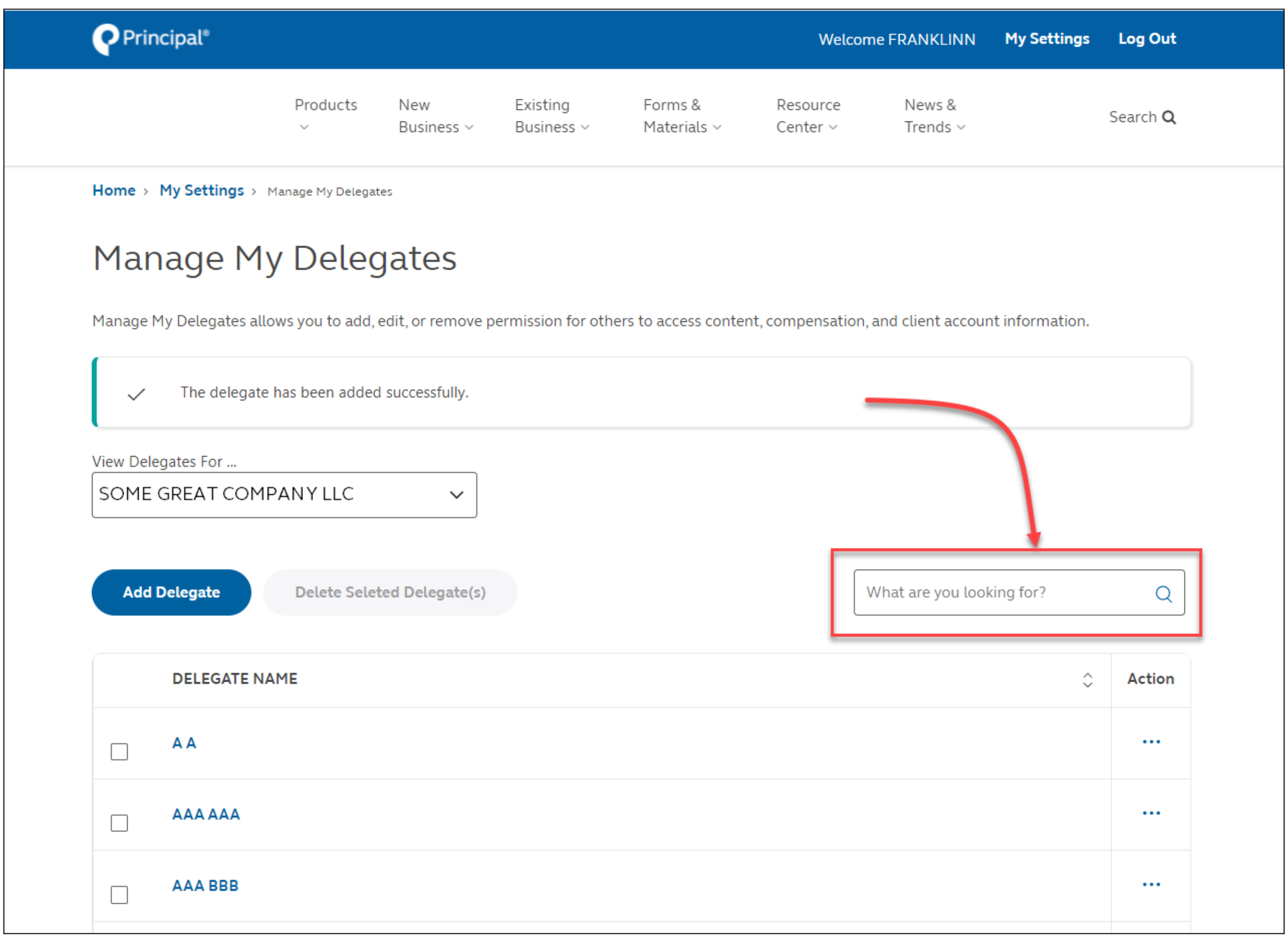
- By default, a new delegate's access to future accounts is set to **No Accounts**.
- Choose one of the following for **Future** options: *All, None*.
  - **All** means your new delegate will automatically be assigned to new, future accounts.
  - **None** will allow you to customize which future accounts 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.



IMPORTANT: Verify your delegate has access

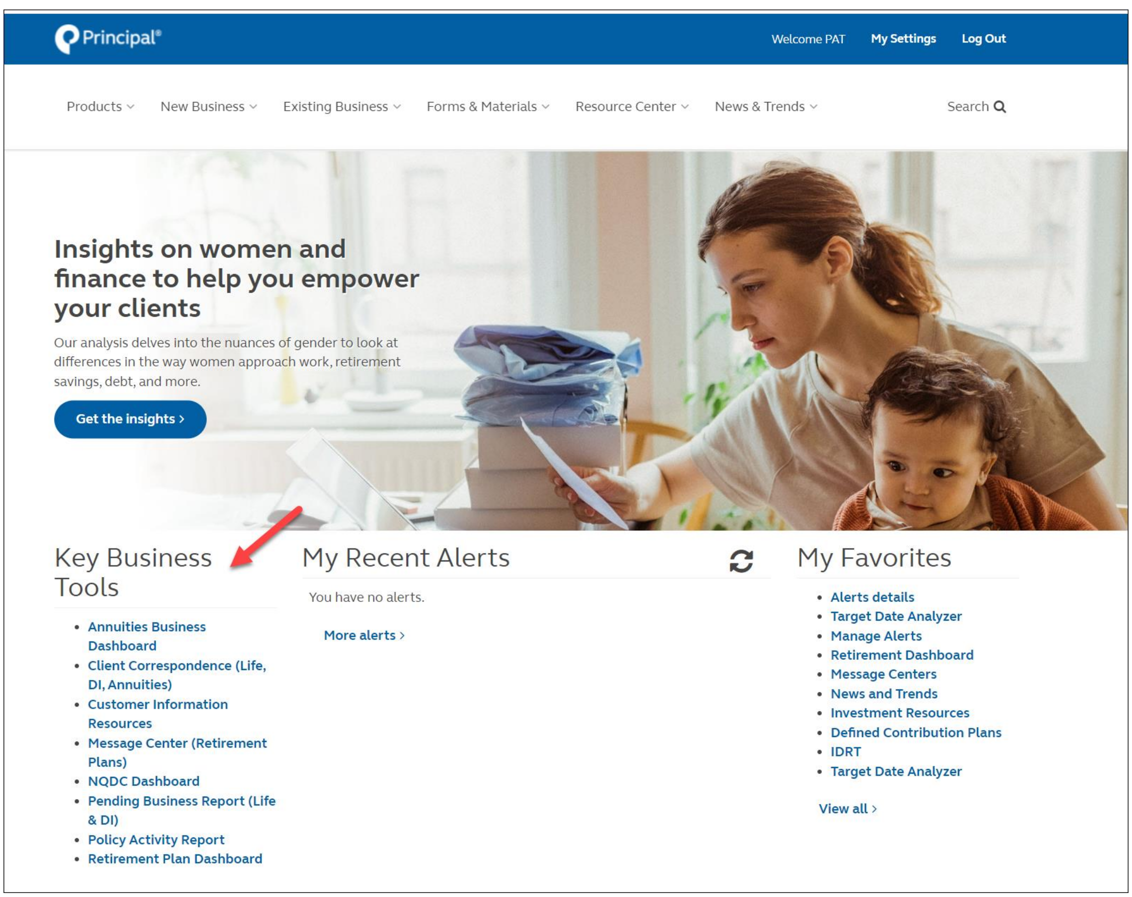
If you service and sell individual retail products, you may need to submit an additional request to grant your delegate full access to your book of business.

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.

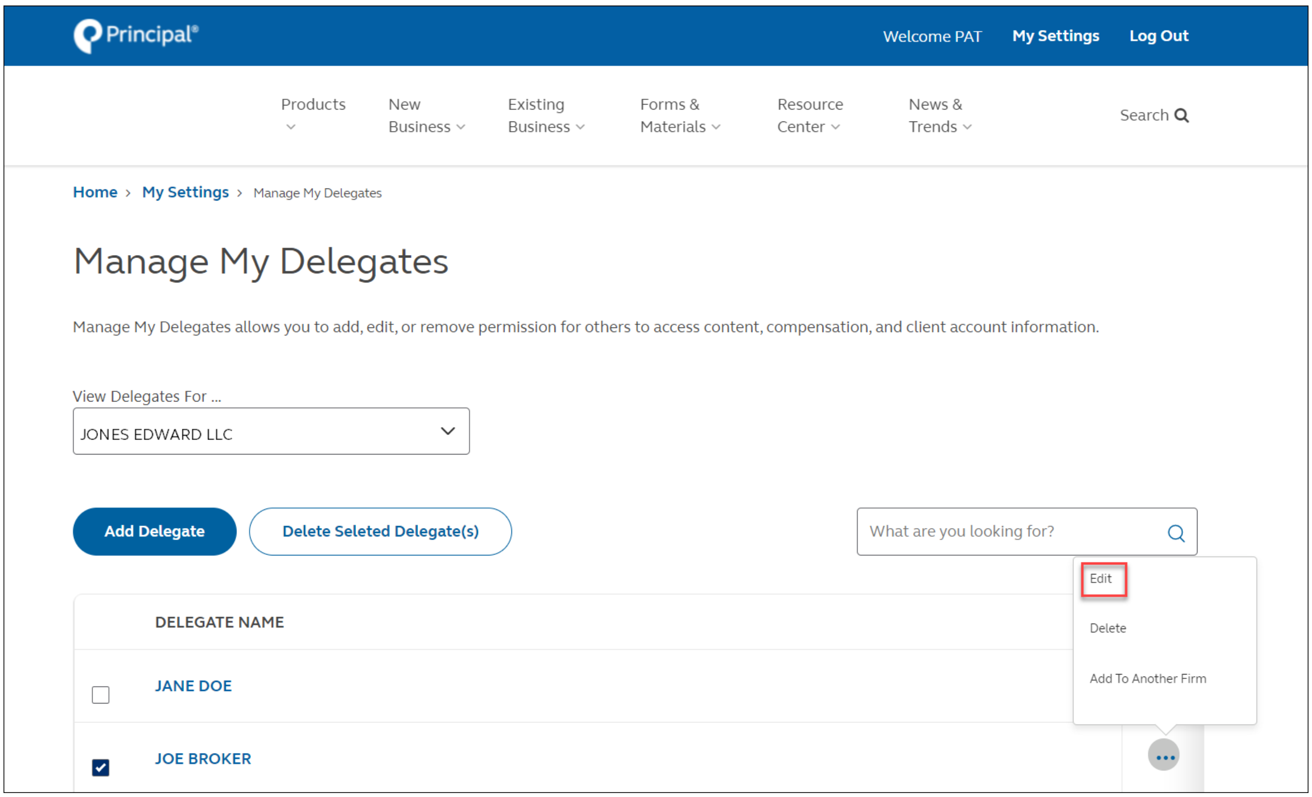


Sell or service nonqualified accounts? Contact your regional vice president for access to the nonqualified dashboard.

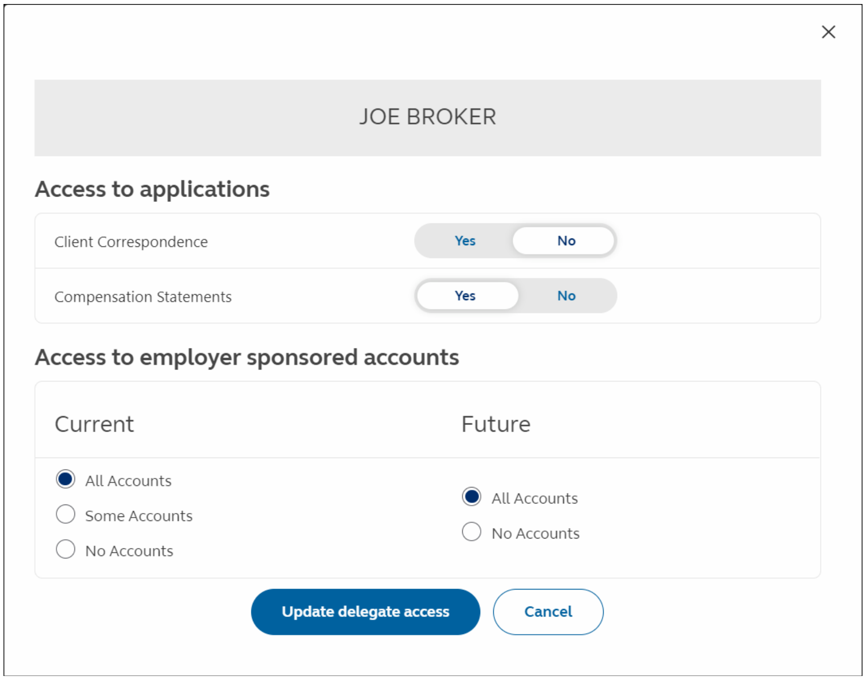
How to update a delegate

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.



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



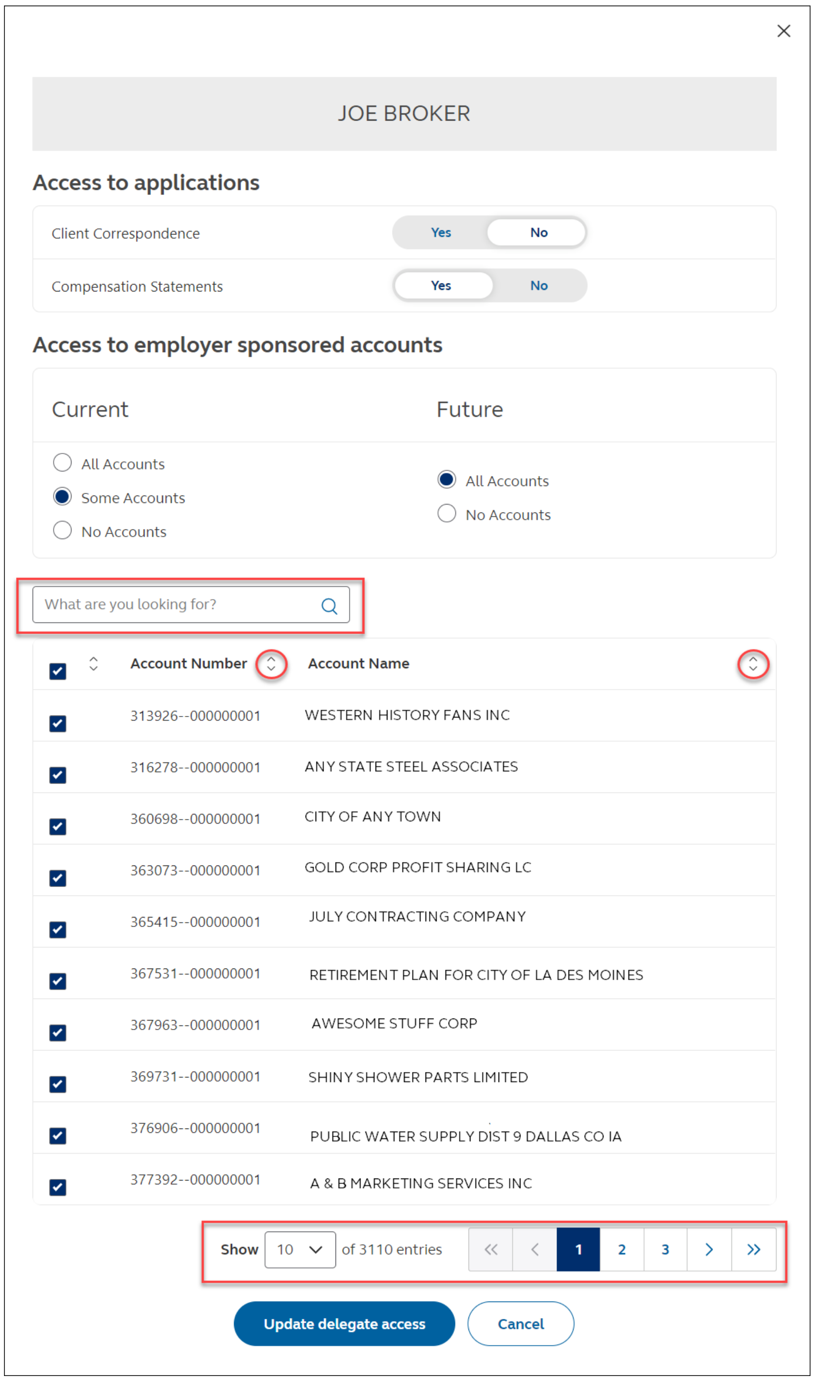
4. To edit **Access to applications:**
    - Select **Yes** to *allow* access or **No** to *remove* access to the selected application.

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.

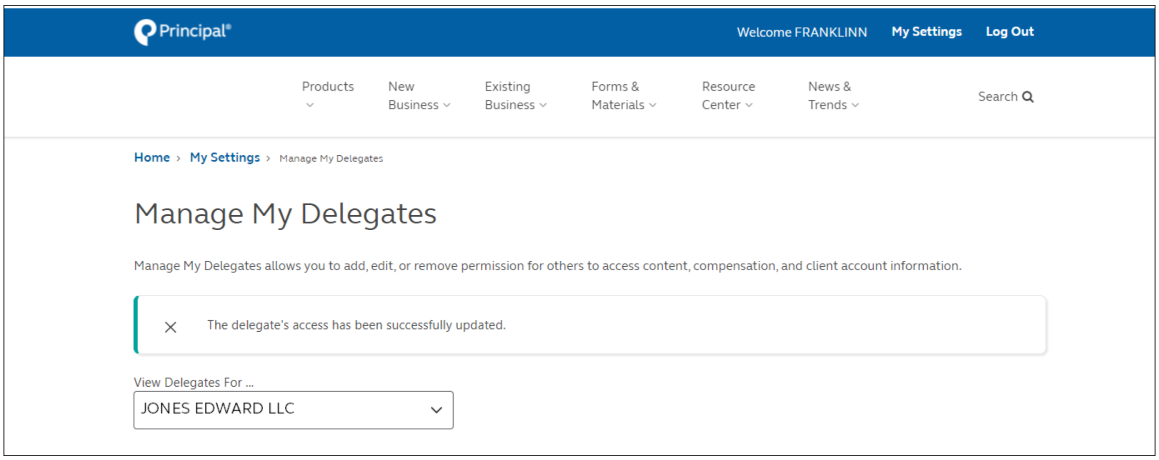
     TIP: You can sort by account number and name, and search. You can also customize how many entries you see in the list, and page forward or backward.

     Check or uncheck each account that applies.



- 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.

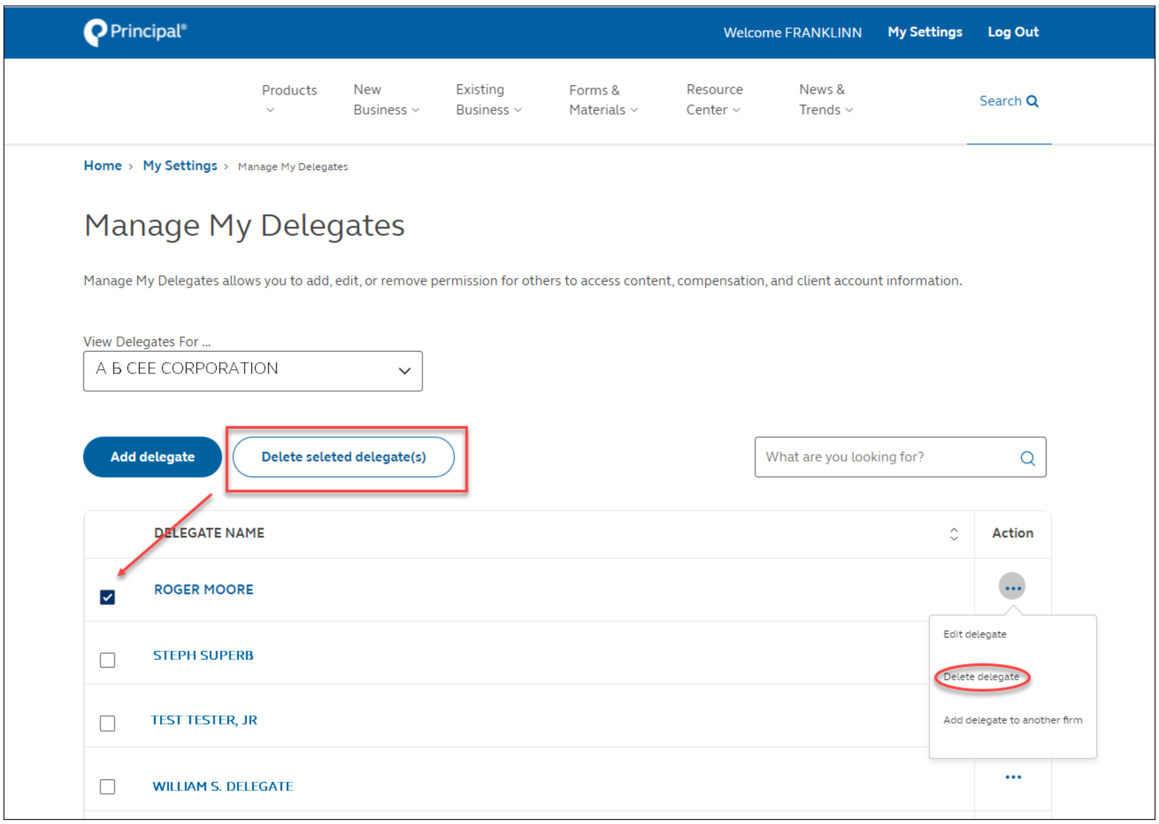
6. To finish, click the **Update delegate access** button.
7. **Result:** you'll see a success confirmation message at the top of the screen.



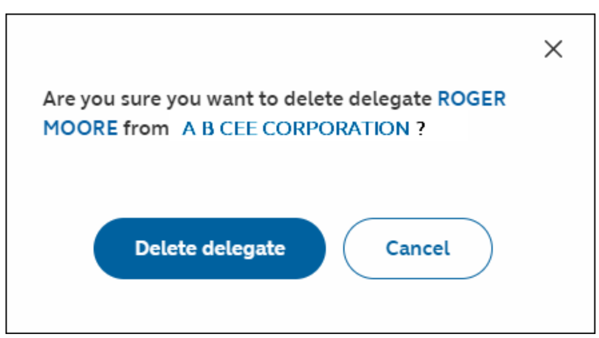
How to delete a delegate

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.

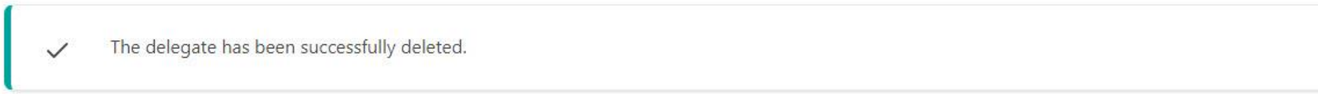
1. Follow steps 1 - 5 of the "How to review your list of delegates" process.
2. Once you've found the delegate you'd like to delete:
   - Select the check box next to the name(s) of the delegate you wish to delete.
   - Once you've made your selection, the **Delete selected delegate(s)** button, located 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.



TIPS:

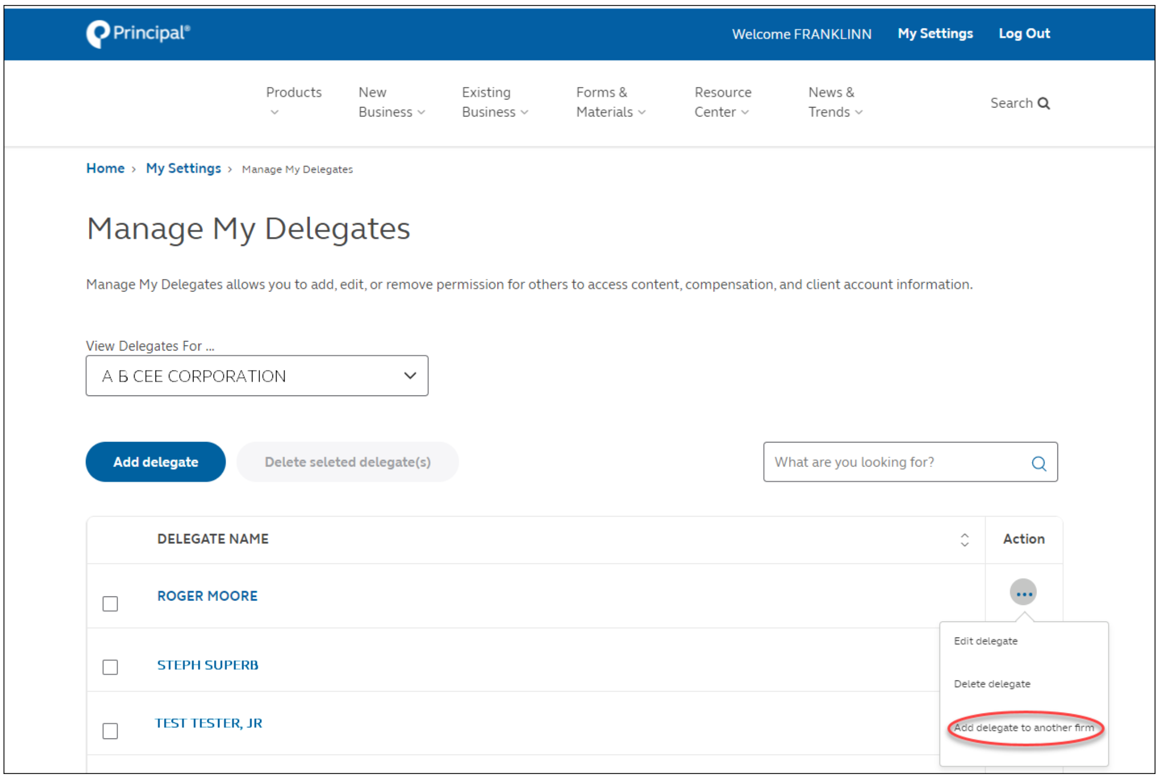
- Or, under the Action column, select the three dots (**...**) to bring up a list of options. Chose **Delete delegate**.

- If you have multiple delegates to delete, you can select multiple checkboxes from you list, then click the **Delete selected delegate(s)** button.

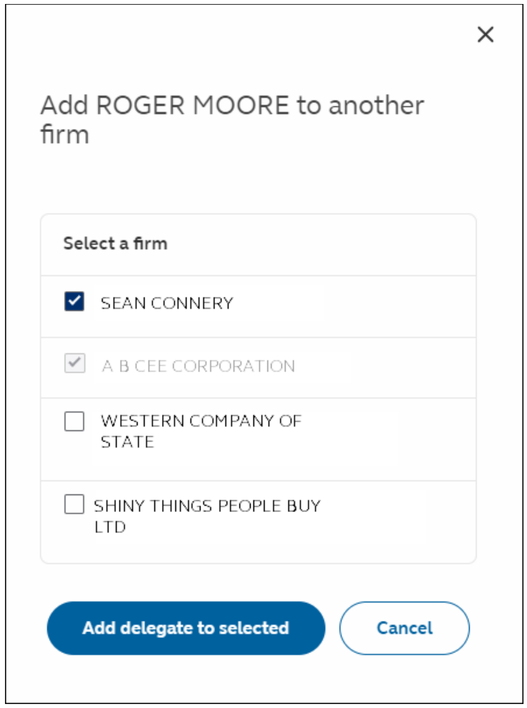
How to Add a Delegate to Another Firm

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**.

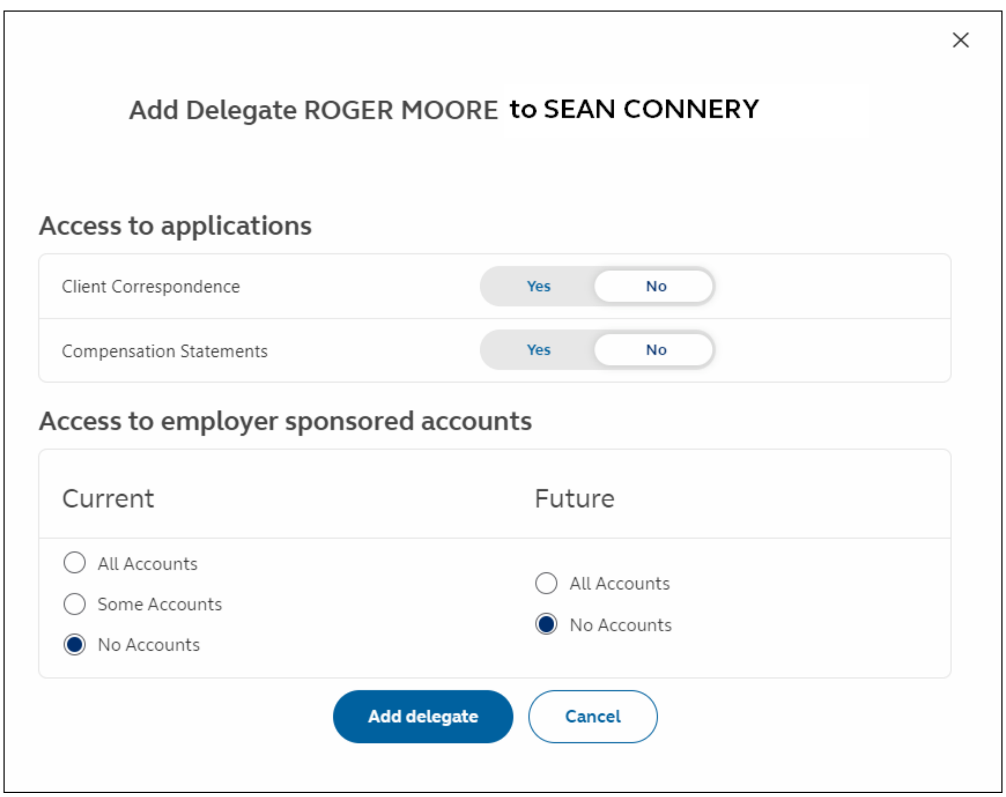


3. The following modal will appear with a list of firm options for your chosen delegate.



TIP: The currently active firm is greyed out.

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



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.