



# Protecting you and your information

Your personal information is important to you. It's important to us, too. That's why we do so much to protect your information, while continually providing service you can count on. One of our highest priorities is maintaining the privacy and confidentiality of customer information.

While no one can guarantee absolute information security, we protect your information in many ways – from working to ensure that our buildings are secure, to proactively preparing for disasters and business interruptions, to using safe and secure computing practices.

## Privacy is a priority

**We take privacy and the confidentiality** of our customers' information very seriously at The Principal, and we are committed to maintaining your confidence in us. We have security practices and procedures in place to protect data entrusted to us. These procedures and related standards include limiting access to data and regularly testing our security technology. Employees are required to follow policies and procedures to protect sensitive and confidential information. Employees complete confidentiality training and are required to maintain the confidentiality of customer information as defined by company policies. They are subject to disciplinary action if they fail to do so. Personal information about employees or customers is only disclosed as required or permitted by law and in accordance with established company procedures.

## Protected and prepared

**Disasters and business interruptions** can occur without warning. We are committed through our Business Continuity Planning Program to protect and preserve our records and financial assets through continuous business operations. Our Business Continuity Planning Program is based on professional practices established by Disaster Recovery Institute International. Regular simulation exercises are held in each of the business units to keep us ready for any disasters or business interruptions. In addition, we annually perform exercises testing our technology disaster recovery solutions for critical applications and infrastructure.

## Protecting your data on-site

**Our Global Physical Security Standards program** helps all areas of our company reduce risk and work to ensure compliance with corporate standards. This program includes controls such as risk assessments, access control, physical security technology, staff, policies and procedures. Our Corporate Security Emergency Response Center provides security services and response 24 hours a day, seven days a week.

## Proactive protection via systems

### Virus protection

Files coming into the company network are scanned for viruses and other malicious software. We deploy anti-virus software in our e-mail, Web and application servers, as well as on all desktops. Our standard procedures require updating of virus signature files each day. In addition, we have an Information Security Incident Response plan that provides emergency procedures designed to quickly contain any virus outbreaks.

### Intrusion detection

Intrusion detection systems monitor network traffic both to and from the Internet. These systems are designed to note and intercept or block suspicious activities.

## Proactive protection via processes

### Risk management

We use multiple risk management processes and procedures. We have procedures for security reviews of vendors who may store or process company information; we require a risk review in projects that touch all business lines; we conduct perimeter and infrastructure reviews regularly; and we conduct work area assessments in each of our business units annually.

### Independent security assessment

We partner with various external consulting and auditing firms to test our defenses and report on any vulnerabilities detected. A security firm certifies our online data security procedures annually. This certification means the security firm has tested us for vulnerabilities and has determined that we meet their standards for protection of systems and customer data.

## People you can trust

**One of our most important assets** is our employees. And they do a lot to protect your personal information. All employees are required to complete privacy, security, ethics and compliance training. We also offer a wide variety of other training to all employees that helps us achieve our goal of protecting your data.

*For the most current version of this document, visit [www.principal.com](http://www.principal.com).*



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Principal Life Insurance Company, Des Moines, Iowa 50392-0002, [www.principal.com](http://www.principal.com)