PLAN SERVICE CENTER (PSC) AND PARTNER*LINK*® REPORTS

GREAT-WEST℠
FINANCIAL
Bright tomorrows begin today℠

Great-West Retirement Services® (Great-West) has redesigned the way in which reports are accessed via the PSC and Partner*Link* with the goal of providing a best-in-class experience for our plan sponsors, advisors and third-party administrators.[1] This ongoing effort began with a focus on individual reports.

A MORE INTUITIVE INTERFACE

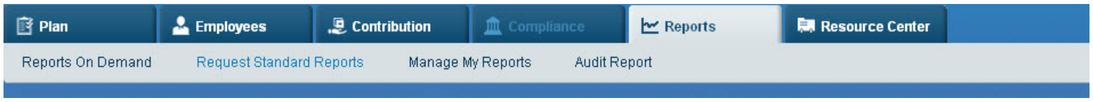
The Reports tab has been redesigned to make it easier to locate and identify the correct report(s) to meet your specific needs. The ability to *Request Standard Reports* or *Manage My Reports* is unchanged. We've added a "*Most Frequently Used*" category, and an option to Show All.

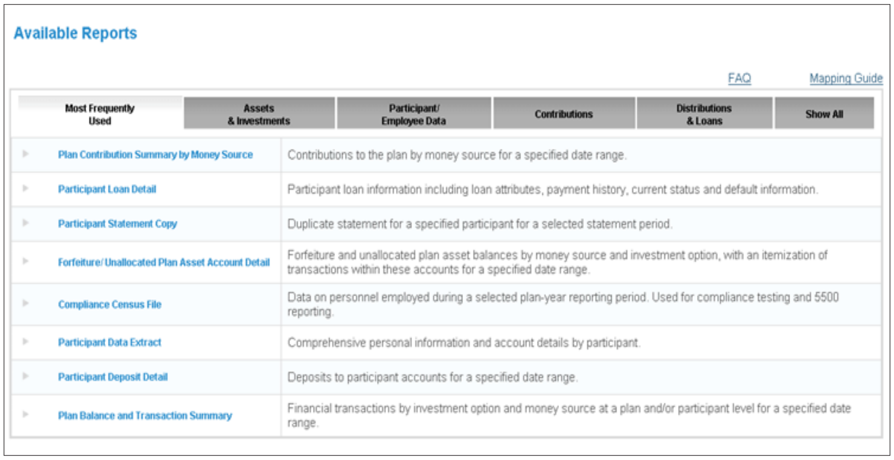
Select *Request Standard Reports* to view individual reports. Standard reports are organized into four key categories:

- *Assets and Investments*
- *Participant/Employee Data*
- *Contributions*
- *Distributions and Loans*

Within each category, a list of reports and corresponding descriptions are shown, as well as convenient links to samples and overview documents. The overview provides a brief description, available formats, FAQs, data specifications, and output columns available in each format for every report.

Select *Manage My Reports* to view the real-time status of all reporting requests that have been submitted.





Available Reports

FAQ · Mapping Guide

Most Frequently Used | Assets & Investments | Participant/ Employee Data | Contributions | Distributions & Loans | Show All

Plan Contribution Summary by Money Source	Contributions to the plan by money source for a specified date range.
Participant Loan Detail	Participant loan information including loan attributes, payment history, current status and default information.
Participant Statement Copy	Duplicate statement for a specified participant for a selected statement period.
Forfeiture/ Unallocated Plan Asset Account Detail	Forfeiture and unallocated plan asset balances by money source and investment option, with an itemization of transactions within these accounts for a specified date range.
Compliance Census File	Data on personnel employed during a selected plan-year reporting period. Used for compliance testing and 5500 reporting.
Participant Data Extract	Comprehensive personal information and account details by participant.
Participant Deposit Detail	Deposits to participant accounts for a specified date range.
Plan Balance and Transaction Summary	Financial transactions by investment option and money source at a plan and/or participant level for a specified date range.

While these enhancements are specifically designed to make your reporting responsibilities easier, they're also evidence of our commitment to strong partner relationships. You'll continue to see enhancements and new solutions that will better equip you to meet the needs of your participants.

A CHOICE OF EXPORT OPTIONS

You have the ability to export reports into a variety of formats—including PDF and Microsoft® Excel and Word.

SECURITY

All new reports continue to enforce the plan and divisional-level security, allowing only users with access to view detail or summary data.

1 Access to the PSC and Partner*Link* may be limited or unavailable during periods of peak demand, market volatility, systems upgrades/ maintenance or other reasons.

PSC and Partner*Link*® Reports

Click on a report below to access additional information.

ASSETS AND INVESTMENTS

Employer Stock Balancing Account
Trade Monitoring Detail
Individual Participant Financial Transaction Detail
Individual Participant Balance and Transaction Summary
Participant Balance Detail
Participant Investment Elections Detail
Balance by Age Group and Asset Class
Asset Summary by Investment Option
Forfeiture/Unallocated Plan Asset Account Activity
Summary of Diversification by Asset Class and Investment
Participation by Asset Class and Investment Option
Plan Balance and Transaction Summary
Average Participant Balance by Age Group

PARTICIPANT/EMPLOYEE DATA

Participant Beneficiary Detail
Participant Data Extract
Targeted Participant Data Extract
Compliance Census File
Monthly Plan Activity
Participant Statistics by Age Group
Participant Website and Voice Response System Usage Summary
Participant Deposit Detail (Calendar Year-to-Date)

CONTRIBUTIONS

Plan Contribution Summary by Money Source
Participant Deposit Detail
Contribution Summary by Investment Option
Paycheck Contribution Rates by Age Group and Assets

DISTRIBUTIONS AND LOANS

Participant Loan Detail
Participant Involuntary Distribution Listing
Plan Disbursement Summary
Participant Disbursement Detail

1 Access to the participant website may be limited or unavailable during periods of peak demand, market volatility, systems upgrades/maintenance or other reasons.

ASSETS AND INVESTMENTS

Employer Stock Balancing Account

This report provides stock shares and awaiting purchase amounts held in the employer stock balancing account. The stock balancing account facilitates the sale of fractional shares of stock.

Detailed Report Description

```
Date: 01/31/20xx                                          123456-01 ABC Company
Retirement Plan                              User: ABCD
Time: 09:06                                                 EMPLOYER STOCK BALANCING
ACCOUNT - GQ19KWSR                                Request ID: 9999999
                                                                        As of
01/30/20XX
------------------------------------------------------------------------
---------------------------------------------------------------
Money
Investment
Source Description                                  Investment Option
Period               Units                Balance
------------------------------------------------------------------------
---------------------------------------------------------------
ERM 1   EMPLOYER MATCH                    ABCDE      ABC Company Employer
Stock Awaiting                              0.000000              95.60
ERM 1   EMPLOYER MATCH                    AABBC      ABC Company Employer
Stock                                       3.360951              93.53

-----------------

ERM 1 Total            189.13



Total            189.13
------------------------------------------------------------------------
---------------------------------------------------------------
                                                                  End Of
Report
```


Return to the Table of Contents

Trade Monitoring Detail

This report is designed to assist in monitoring trade activity for certain participants and/or certain funds over a specified date range. It is typically used to monitor employer stock transactions, but can also be used to monitor trade activity of participants who have been identified on our system as requiring Trade Monitoring or who currently have trading restrictions in place. The report provides details of both purchase and redemption transactions, including effective dates, share amounts, share prices and total share balances.

Detailed Report Description

```
Date: 05/27/20xx
123456-01 ABC Company Retirement Plan
         User:     ABCD
Time: 10:46
TRADE MONITORING DETAIL - GQ19KWTM
Request ID:   999999



01/01/20XX to 03/31/20XX

------------------------------------------------------------------------
------------------------------------------------------------------------
--------------------------
SSN       SSN  Name                           Trade
Transaction       Effdate    Trans    Transaction       Share
Transaction      Total
          Ext                                 Monitoring    Date
Code     Shares             Price           Amount          Shares
------------------------------------------------------------------------
------------------------------------------------------------------------
--------------------------
xxxxx9999      GREEN, PARTICIPANT
               XYZ Income Fund                    10-JAN-
20xx:20:21:09  10-JAN-20xx   PUR       4.426614       13.251663
58.66           393.932729
               XYZ Income Fund                    24-JAN-
20xx:18:25:47  24-JAN-20xx   PUR       3.971709       13.520629
53.70           397.904438
               XYZ Income Fund                    15-MAY-
20xx:19:13:39  15-MAY-20xx   RED       -397.904438       0.000000
-5411.01        0.000000
------------------------------------------------------------------------
------------------------------------------------------------------------
--------------------------

End Of Report
                                                           Transaction
```


Return to the Table of Contents

Individual Participant Financial Transaction Detail

This report provides detail of all financial transactions that have occurred within a participant's account over a specified date range. The report runs for one participant at a time, specified by the participant's SSN. A row of data is provided for each transaction and includes detail on the transaction type, effective date, money source, investment option and amount, provided in both dollars and units. A summation of all activity, in dollars, is also provided.

Detailed Report Description

Individual Participant Financial Transaction Detail

Begin Date: 01/01/20XX
End Date: 12/31/20XX
Plan Name: ABC Company Retirement Plan
Plan Number: 123456-01
Participant Name: John Doe
SSN : XXX-XX-9999

Activity	Deposit Type	Effective Date	Payroll Date	Investment Name	Money Source	Units	Unit Value	Amount	Fee/Adjust Amount
Contribution	Regular	10/19/20XX	10/19/20XX	Fund Name	Employee Before Tax		0.00	$0.01	
Contribution	Regular	08/02/20XX	07/29/20XX	Fund Name	Employee Before Tax		0.00	$250.00	
						Total Activity:		**$250.01**	

Return to the Table of Contents

Individual Participant Balance and Transaction Summary

This report provides detail of financial transactions and balances by investment option and money source for a specified participant, identified by his/her SSN, and a specified date range. To obtain this information for all participants at once, you can run the Plan Balance and Transaction Summary report.

Detailed Report Description

Individual Participant Balance and Transaction Summary

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Begin Date: 01/01/20XX
End Date: 12/31/20XX

Note: Balances reflected on this report may differ from reports previously received due to retroactive transactions.
This report excludes forfeiture accounts and loan balances, if applicable to your plan.

Additional information available when exported to Excel (with the Data Only option)

Invest. ID	Beginning Balance	Conts.	Transfers In	Reinvmts.	Loan Payments	Interest	Change in Value	Fees	Loans	Hards.	Other Dsbs.	Transfers Out	Matured Certs.	Ending Balance
XXX-XX-9999	ORANGE, PARTICIPANT													
BTK1	EMPLOYEE BEFORE TAX 01													
AAAAA	18.34	791.81	0.00	0.00	0.00	6.54	87.98	0.00	-855.00	0.00	0.00	-49.67	0.00	0.00
BBBBB	4,575.33	3,167.50	0.00	0.00	0.00	25.88	3,402.52	0.00	-10,977.46	0.00	0.00	-193.77	0.00	0.00
CCCCC	4,422.15	1,650.00	0.00	0.00	0.00	37.89	398.01	0.00	0.00	0.00	0.00	-6,508.05	0.00	0.00
DDDDD	0.00	1,517.50	6,508.05	0.00	0.00	8.40	1,330.93	0.00	-9,167.33	0.00	0.00	-197.55	0.00	0.00
EEEEE	0.00	2,505.29	985.55	0.00	6,389.70	218.03	0.00	-37.50	0.00	0.00	0.00	0.00	0.00	10,061.07
FFFFF	4,183.10	3,167.50	0.00	0.00	0.00	9.35	2,033.92	0.00	-9,196.76	0.00	0.00	-197.11	0.00	0.00
GGGGG	17.80	791.94	0.00	0.00	0.00	5.50	71.34	0.00	-836.96	0.00	0.00	-49.62	0.00	0.00
HHHHH	36.33	1,583.75	0.00	0.00	0.00	20.69	226.15	0.00	-1,767.35	0.00	0.00	-99.57	0.00	0.00
KKKKK	1,467.30	3,167.50	0.00	0.00	0.00	27.12	792.01	0.00	-5,255.67	0.00	0.00	-198.26	0.00	0.00
	14,720.35	18,342.79	7,493.60	0.00	6,389.70	359.40	8,342.86	-37.50	-38,056.53	0.00	0.00	-7,493.60	0.00	10,061.07
ERD2	QUALIFIED NON-ELECTIVE CONTRIBUTIONS 02													
EEEEE	0.00	1.00	0.00	0.00	0.00	0.01	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.01
	0.00	1.00	0.00	0.00	0.00	0.01	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1.01
ERM1	EMPLOYER MATCH 01													
AAAAA	0.00	371.92	0.00	0.00	0.00	2.52	32.65	0.00	-376.33	0.00	0.00	-30.76	0.00	0.00
BBBBB	321.74	1,487.82	0.00	0.00	0.00	4.59	614.90	0.00	-2,309.03	0.00	0.00	-120.02	0.00	0.00
CCCCC	283.92	792.93	0.00	0.00	0.00	7.00	94.13	0.00	0.00	0.00	0.00	-1,177.98	0.00	0.00
DDDDD	0.00	694.89	1,177.98	0.00	0.00	1.45	223.49	0.00	-1,975.53	0.00	0.00	-122.28	0.00	0.00
EEEEE	0.00	1,614.42	610.07	0.00	1,589.26	84.14	0.00	0.00	0.00	0.00	0.00	0.00	0.00	3,897.89
FFFFF	268.31	1,487.82	0.00	0.00	0.00	1.65	387.84	0.00	-2,023.51	0.00	0.00	-122.11	0.00	0.00
GGGGG	0.00	371.90	0.00	0.00	0.00	2.14	28.47	0.00	-371.81	0.00	0.00	-30.70	0.00	0.00
HHHHH	0.00	743.92	0.00	0.00	0.00	11.25	113.43	0.00	-807.07	0.00	0.00	-61.53	0.00	0.00
KKKKK	0.00	1,487.82	0.00	0.00	0.00	6.60	230.57	0.00	-1,602.32	0.00	0.00	-122.67	0.00	0.00
	873.97	9,053.44	1,788.05	0.00	1,589.26	121.34	1,725.48	0.00	-9,465.60	0.00	0.00	-1,788.05	0.00	3,897.89
ERO1	EMPLOYER PROFIT SHARING 01													
AAAAA	0.00	2,221.33	0.00	0.00	0.00	12.59	201.54	0.00	-102.66	0.00	0.00	-2,332.80	0.00	0.00
BBBBB	1,608.75	8,885.30	0.00	0.00	0.00	22.95	3,345.94	0.00	-585.69	0.00	0.00	-13,277.25	0.00	0.00
CCCCC	1,419.63	3,964.67	0.00	0.00	0.00	35.01	470.69	0.00	0.00	0.00	0.00	-5,890.00	0.00	0.00
DDDDD	0.00	4,920.63	5,890.00	0.00	0.00	7.26	1,261.78	0.00	-512.74	0.00	0.00	-11,566.93	0.00	0.00
EEEEE	0.00	25,950.87	56,178.92	0.00	416.01	2,070.80	0.00	0.00	0.00	0.00	0.00	0.00	0.00	84,616.60
FFFFF	1,341.56	8,885.30	0.00	0.00	0.00	8.27	2,260.21	0.00	-525.78	0.00	0.00	-11,969.56	0.00	0.00
GGGGG	0.00	2,221.33	0.00	0.00	0.00	10.71	142.62	0.00	-101.59	0.00	0.00	-2,273.07	0.00	0.00
HHHHH	0.00	4,442.66	0.00	0.00	0.00	63.71	692.66	0.00	-217.64	0.00	0.00	-4,981.39	0.00	0.00
KKKKK	0.00	8,885.30	0.00	0.00	0.00	33.00	1,291.39	0.00	-431.77	0.00	0.00	-9,777.92	0.00	0.00
	4,369.94	70,377.39	62,068.92	0.00	416.01	2,264.30	9,666.83	0.00	-2,477.87	0.00	0.00	-62,068.92	0.00	84,616.60
SHN1	SAFE HARBOR NON-ELECTIVE 01													
AAAAA	0.00	784.55	0.00	0.00	0.00	3.78	59.93	0.00	0.00	0.00	0.00	-848.26	0.00	0.00
BBBBB	482.62	3,137.91	0.00	0.00	0.00	6.88	977.14	0.00	0.00	0.00	0.00	-4,604.55	0.00	0.00

1/25/20XX 9:59:10AM GNBO2
Page 1 of 2

Return to the Table of Contents

Participant Balance Detail

This report provides a detailed list of participant balances by investment option and/or money source as of a specified date. The report can be run for up to 30 specified participants at a time by entering their SSNs in the boxes provided, or simply leave all SSN List boxes as "NONE" to run the report against the entire plan. Filtering options allow the report to pull information on specific or all investment options, and also allow you to extract specific populations of participants based on employment status.

Detailed Report Description

Participant Balance Detail

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Effective Date: 12/31/20XX
Additional information available when exported to Excel (with the Data Only option)

SSN	SSN Ext	First Name	Last Name	Age	Investment ID	Investment Name	Money Source	Balance	Shares	Inception to Date Cost	% of Assets	Total Balance
XXX-XX-9999		Blue	Participant	55	JJJJJ	Fund 9 Name	ERM1	471.33	9.093699	352.70	2.04	
XXX-XX-9999		Blue	Participant	55	JJJJJ	Fund 9 Name	BTK1	3,953.98	76.287391	3,003.75	17.09	
XXX-XX-9999		Blue	Participant	55	DDDDD	Fund 4 Name	BTK1	2,946.34	84.859935	2,762.93	12.73	
XXX-XX-9999		Blue	Participant	55	DDDDD	Fund 4 Name	ERM1	351.55	10.125388	329.18	1.52	
XXX-XX-9999		Blue	Participant	55	EEEEE	Fund 5 Name	BTK1	2,053.57	43.814118	1,841.94	8.88	
XXX-XX-9999		Blue	Participant	55	EEEEE	Fund 5 Name	ERM1	245.09	5.229241	219.47	1.06	
XXX-XX-9999		Blue	Participant	55	CCCCC	Fund 3 Name	ERM1	314.54	12.149125	180.37	1.36	
XXX-XX-9999		Blue	Participant	55	CCCCC	Fund 3 Name	BTK1	2,637.51	101.873859	1,574.57	11.40	
XXX-XX-9999		Blue	Participant	55	GGGGG	Fund 7 Name	ERM1	286.06	26.986915	301.81	1.24	
XXX-XX-9999		Blue	Participant	55	GGGGG	Fund 7 Name	BTK1	2,401.32	226.540000	2,624.76	10.38	
XXX-XX-9999		Blue	Participant	55	HHHHH	Fund 8 Name	ERM1	304.69	29.871200	329.00	1.32	
XXX-XX-9999		Blue	Participant	55	HHHHH	Fund 8 Name	BTK1	2,557.70	250.754712	2,761.24	11.05	
XXX-XX-9999		Blue	Participant	55	LLLLL	Fund 11 Name	BTK1	2,426.87	85.063785	1,689.91	10.49	
XXX-XX-9999		Blue	Participant	55	LLLLL	Fund 11 Name	ERM1	289.47	10.146166	195.75	1.25	
XXX-XX-9999		Blue	Participant	55	NNNNN	Fund 13 Name	ERM1	201.93	4.585155	214.24	.87	
XXX-XX-9999		Blue	Participant	55	NNNNN	Fund 13 Name	BTK1	1,694.72	38.481351	1,806.57	7.32	
Participant Total								23,136.67		20,188.19		23,136.67
XXX-XX-8888		Green	Participant	54	MMMMM	Fund 12 Name	BTK1	224.10	11.838315	193.39	100.00	
Participant Total								224.10		193.39		224.10
XXX-XX-7777		Orange	Participant	30	JJJJJ	Fund 9 Name	BTK1	831.03	16.033725	603.80	16.90	
XXX-XX-7777		Orange	Participant	30	JJJJJ	Fund 9 Name	ERM1	104.54	2.016966	79.94	2.13	
XXX-XX-7777		Orange	Participant	30	KKKKK	Fund 10 Name	ERM1	79.48	2.947999	85.52	1.62	
XXX-XX-7777		Orange	Participant	30	KKKKK	Fund 10 Name	BTK1	630.01	23.368297	645.15	12.81	
XXX-XX-7777		Orange	Participant	30	FFFFF	Fund 6 Name	BTK1	757.70	28.897712	647.19	15.41	
XXX-XX-7777		Orange	Participant	30	FFFFF	Fund 6 Name	ERM1	95.95	3.659568	84.59	1.95	
XXX-XX-7777		Orange	Participant	30	BBBBB	Fund 2 Name	BTK1	641.18	6.178872	598.41	13.04	
XXX-XX-7777		Orange	Participant	30	BBBBB	Fund 2 Name	ERM1	80.95	0.780120	80.28	1.65	
XXX-XX-7777		Orange	Participant	30	EEEEE	Fund 5 Name	BTK1	173.68	3.705591	137.31	3.53	
XXX-XX-7777		Orange	Participant	30	EEEEE	Fund 5 Name	ERM1	22.07	0.470841	18.61	.45	
XXX-XX-7777		Orange	Participant	30	CCCCC	Fund 3 Name	ERM1	36.17	1.397217	23.20	.74	

1/20/20XX 4:16:58PM

PBBO
Page 1 of 2

Return to the
Table of Contents

Participant Investment Elections Detail

This report provides the current investment elections by money source for active participants in the plan, along with the effective date of the elections. The report can capture data on all money sources and investment options; however, up-front filters provide the ability to run against specific money sources, investment options and populations of active participants. The Excel output indicates which participants have defaulted elections and which participants have elected Asset Allocation Models.

For plans utilizing our Common Remitter services, vendor allocations are stored in our system as "investment elections," so this report will provide current participant vendor allocations.

Detailed Report Description

Participant Investment Elections Detail

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Account Status: Active Participants with a Balance
Employment Status: Participants who are actively employed
Selected Money Sources: All Money Types
Selected Investments: All Investment Options
Additional information available when exported to Excel

Protected SSN	SSN Ext	Participant Name	Account Status Sub Code	Last Cont. Date	Money Source	Investment ID	Investment Name	Percent Amount	Effective Date
XXX-XX-9999		Doe, John	First Deposit Received	08/03/20xx	BTK1 EMPLOYEE BEFORE TAX	ABCDE	ABC Growth Fund	100.00%	08/18/20xx
					EER1 EMPLOYEE ROLLOVER	ABCDE	ABC Growth Fund	100.00%	08/18/20xx
					ERM1 EMPLOYER MATCH	ABCDE	ABC Growth Fund	100.00%	08/18/20xx
					ERO1 EMPLOYER PROFIT SHARING	ABCDE	ABC Growth Fund	100.00%	08/18/20xx
XXX-XX-8888		Doe, Jane	First Deposit Received	07/17/20xx	BTK1 EMPLOYEE BEFORE TAX	XXYYZ	XYZ Money Market	100.00%	05/19/20xx
					ERM1 EMPLOYER MATCH	XXYYZ	XYZ Money Market	100.00%	05/19/20xx
					RRO1 ROTH ROLLOVER	XXYYZ	XYZ Money Market	100.00%	05/19/20xx
					RTH1 ROTH CONTRIBUTION	XXYYZ	XYZ Money Market	100.00%	05/19/20xx

Return to the Table of Contents

Balance by Age Group and Asset Class

This report provides charts illustrating asset allocation by age group based on participant balances as of a specified date. The 10 age groups are as follows: Under 26; 26-33; 34-40; 41-48; 49-55; 56-58; 59-62; 63-65; Over 65; Unknown. For each age group, the report shows utilization of each Asset Class as a percentage of the group's total balance, as well as a count of participants with balances in each age group. The "Unknown" age group captures participants with defaulted or invalid birth dates on our system. The report can be run by a specific division/subset, if applicable, or for the entire plan.

Detailed Report Description

Balance by Age Group and Asset Class

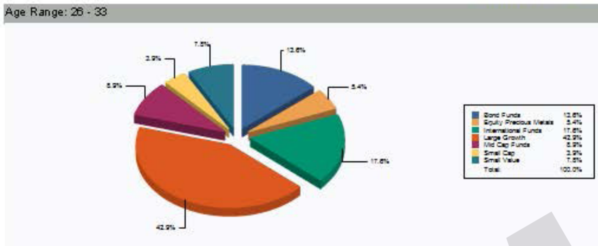
Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Effective Date: 01/20/20XX

Summary

Age Range: Under 26

No Investments For This Age Group

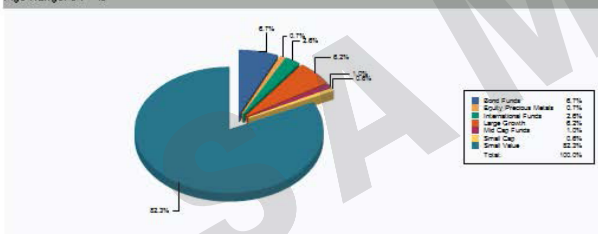
Age Range: 26 - 33



ASSET CLASS NAME	BALANCE	% OF TOTAL
Bond Funds	$716.14	13.6%
Equity Precious Metals	$284.97	5.4%
International Funds	$926.00	17.6%
Large Growth	$2,258.55	42.9%
Mid Cap Funds	$468.83	8.9%
Small Cap	$203.72	3.9%
Small Value	$410.43	7.8%
Total:	$5,268.64	100.0%

Number of Participants With Balances: 2

Age Range: 34 - 40



ASSET CLASS NAME	BALANCE	% OF TOTAL
Bond Funds	$47.88	6.7%
Equity Precious Metals	$4.65	0.7%
International Funds	$18.42	2.6%
Large Growth	$44.38	6.2%
Mid Cap Funds	$6.79	1.0%
Small Cap	$4.03	0.6%
Small Value	$586.52	82.3%
Total:	$712.67	100.0%

Number of Participants With Balances: 2

PDB04
1/23/20xx 10:26:39AM Page 1 of 3

Return to the Table of Contents

Asset Summary by Investment Option

This report provides a listing of asset balances and participant counts for each investment option as of a selected quarter-end date in three categories: Employee Money Sources, Employer Money Sources and Total. The data can be requested by division, if applicable.

Detailed Report Description

file:///C:/Documents%20and%20Settings/spel/Local%20Settings/Tempor...

Date: 01/18/20XX
Time: 15:56

123456-01 ABC COMPANY RETIREMENT PLAN
ASSET SUMMARY BY INVESTMENT OPTION - GQ19KWAS
As of 03/31/20XX

User: ABCD
Request ID:999999

Fund Name	Employee Count	Employee Assets	Employee Percent	Employer Count	Employer Assets	Employer Percent	Total Count	Total Assets	Total Percent
Growth Fund 1	2	10901.14	6.34	2	10137.77	2.49	2	21038.91	3.64
Growth Fund 2	1	697.31	0.41	1	717.63	0.18	1	1414.94	0.24
Bond Fund 1	5	9407.77	5.47	6	142403.29	35.02	8	151811.06	26.24
Bond Fund 2	2	3127.83	1.82	3	69052.13	16.98	3	72179.96	12.47
Income Fund 1	4	118732.81	69.01	4	141925.33	34.91	4	260658.14	45.05
Income Fund 2	2	10847.83	6.31	3	20033.91	4.93	3	30881.74	5.34
International Fund 1	2	1704.04	0.99	3	2735.50	0.67	3	4439.54	0.77
Fixed Fund	2	4783.57	2.78	2	5031.95	1.24	2	9815.52	1.70
Mid-Cap Fund 1	1	1033.76	0.60	2	2350.76	0.58	2	3384.52	0.58
Mid-Cap Fund 2	1	2862.26	1.66	1	3528.94	0.87	1	6391.20	1.10
Large Cap Fund	2	4863.22	2.83	2	5477.85	1.35	2	10341.07	1.79
Balanced Fund	1	3088.12	1.79	1	3186.57	0.78	1	6274.69	1.08
		-------------			-------------			-------------	
		172049.66			406581.63			578631.29	

End of Report

Return to the Table of Contents

Forfeiture/Unallocated Plan Asset Account Detail

This report generates Forfeiture and Unallocated Plan Asset balances by money source and investment option with an itemization of transactions occurring within these accounts for a specified date range. The report is available in three versions: Detail, Summary and Grand Total. For plans in which we store forfeiture balances/activity at a divisional level, the report provides data specific to each division.

Detailed Report Description

Forfeiture/Unallocated Plan Asset Account Detail

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Begin Date: 01/01/20XX
End Date: 12/31/20XX

Ending Balances Include Change In Value

Forfeiture/UPA Activity	Event	Effective Date	Payroll Date	SSN	SSN Ext	Participant Name	Money Source	Money Source Descr.	Division	Investment ID	Investment Name	Amount	Shares / Units
Beginning Balance		**01/01/20XX**					**UPA1**	**Unallocated Plan Assets**		**ABCDE**	**Fund 1 Name**	**4.26**	**0.000000**
Ending Balance		**12/31/20XX**					**UPA1**	**Unallocated Plan Assets**		**ABCDE**	**Fund 1 Name**	**4.46**	**0.000000**
Beginning Balance		**12/31/20XX**					**ERM1**	**Employer Match**		**ABCDE**	**Fund 1 Name**	**24,142.90**	**0.000000**
Reconcile Cash	199999999	10/27/20XX	05/31/20XX				ERM1	Employer Match		ABCDE	Fund 1 Name	-25,183.73	0.000000
Ending Balance		**12/31/20XX**					**ERM1**	**Employer Match**		**ABCDE**	**Fund 1 Name**	**10,711.22**	**0.000000**
Beginning Balance											**Grand Total**	**24,147.16**	**0.000000**
Reconcile Cash											Grand Total	-25,183.73	0.000000
Ending Balance											**Grand Total**	**10,715.68**	**0.000000**

Return to the Table of Contents

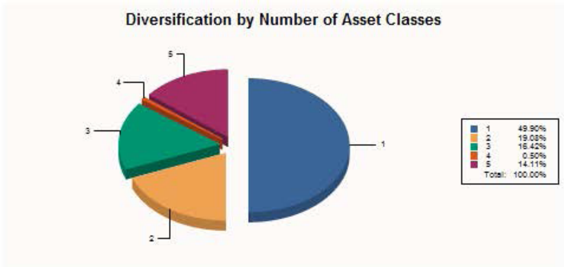
Summary of Diversification by Asset Class and Investment

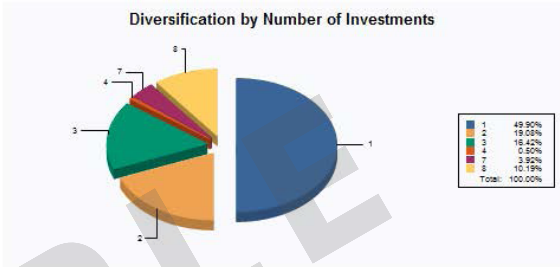
To illustrate investment diversification, this report provides participant count and balance data based on the number of asset classes and investment options being utilized as of a specified date. The report first divides participants into categories based on how many Asset Classes their balances are spread across and provides total value, percentage of assets, and number of participants with balances for each category. It then provides the same data with regards to number of Investment Options being utilized.

Detailed Report Description

Summary of Diversification by Asset Class and Investment

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Effective Date: 01/19/20XX





Division	Category	Value	Percent of Assets	Participants With Balances
Diversification by Asset Class				
Summary				
	1 Asset Class	$267,152.93	49.90%	3
	2 Asset Classes	$102,136.44	19.08%	2
	3 Asset Classes	$87,887.89	16.42%	2
	4 Asset Classes	$2,658.79	0.50%	1
	5 Asset Classes	$75,522.38	14.11%	2
Total Summary Average Number of Asset Classes per Participant: 2.70		$535,358.43	[illegible]	10
Diversification by Investment				
Summary				
	1 Investment	$267,152.93	49.90%	3
	2 Investments	$102,136.44	19.08%	2
	3 Investments	$87,887.89	16.42%	2
	4 Investments	$2,658.79	0.50%	1
	7 Investments	$20,971.96	3.92%	1
	8 Investments	$54,550.42	10.19%	1
Total Summary Average Number of Investments per Participant: 3.20		$535,358.43	100.00%	10

1/20/20XX 9:42:08AM PDB02 Page 1 of 1

Return to the Table of Contents

Participation by Asset Class and Investment Option

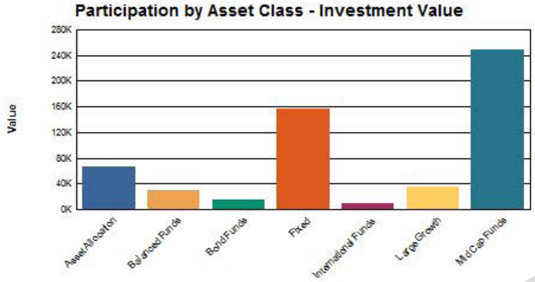
This report illustrates participant utilization of the plan's available investment options as of a specified effective date. Included are graphs depicting participation by asset class in terms of cumulative account balance and a percentage of total assets. Information pertaining to the individual investment options within each asset class includes total balance, total shares, inception-to-date cost, percentages of assets, and a count of participants. Also included is a summation of the plan's forfeiture account balance.

Detailed Report Description

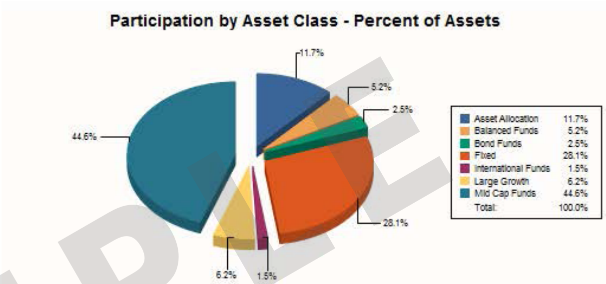
Participation by Asset Class and Investment Option

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Effective Date: 01/15/20xx

Participation by Asset Class - Investment Value



Participation by Asset Class - Percent of Assets



Asset Class	Investment ID	Investment Name	Balance	Shares	Unit/Share Value	Inception To Date Cost	% of Assets	Participants
Asset Allocation								
	AAAAA	ASSET ALLOCATION 1	$65,516.34	6,796.300123	$9.64	$58,523.33	11.74%	3
		Total: Asset Allocation	$65,516.34			$58,523.33	11.74%	
International Funds								
	BBBBB	INTERNATIONAL FUND 1	$2,856.82	80.564534	$35.46	$3,590.36	0.51%	2
	CCCCC	INTERNATIONAL FUND 2	$5,605.65	171.112423	$32.76	$6,874.64	1.00%	1
		Total: International Funds	$8,462.47			$10,465.00	1.52%	
Mid Cap Funds								
	DDDDD	MID-CAP FUND 1	$1,225.20	38.723095	$31.64	$1,533.02	0.22%	1
	EEEEE	MID-CAP FUND 2	$247,486.75	8,665.503686	$28.56	$203,091.35	44.36%	4
		Total: Mid Cap Funds	$248,711.95			$204,624.37	44.58%	
Large Growth								
	FFFFF	LARGE GROWTH FUND 1	$19,166.39	1,101.516757	$17.40	$21,466.99	3.44%	2
	GGGGG	LARGE GROWTH FUND 2	$6,002.00	164.213791	$36.55	$6,387.45	1.08%	1
	HHHHH	LARGE GROWTH FUND 3	$9,662.61	327.767886	$29.48	$10,455.88	1.73%	2
		Total: Large Growth	$34,831.00			$38,310.32	6.24%	
Balanced Funds								
	JJJJJ	BALANCED FUND 1	$29,235.00	1,069.312058	$27.34	$29,241.01	5.24%	3
		Total: Balanced Funds	$29,235.00			$29,241.01	5.24%	
Bond Funds								
	KKKKK	BOND FUND 1	$4,236.09	679.951821	$6.23	$4,352.16	0.76%	3
	LLLLL	BOND FUND 2	$9,949.78	904.526469	$11.00	$9,611.35	1.78%	2
		Total: Bond Funds	$14,185.87			$13,963.51	2.54%	
Fixed								
	MMMMM	FIXED FUND	$156,947.83				28.13%	8
		Total: Fixed	$156,947.83				28.13%	

PDBO1
1/18/20xx 1:56:29PM Page 1 of 2

Return to the Table of Contents

Plan Balance and Transaction Summary

This report provides a summary of financial transactions and balances by investment option and money source at a plan and/or participant level for a specified date range. Filtering options provide the ability to extract data by specific money sources and investment options, as well as by individual divisions/subsets, as applicable. To extract this data for a specific participant only, please run the Individual Participant Balance and Transaction Summary report located in the Assets & Investments category.

Detailed Report Description

Plan Balance and Transaction Summary

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Begin Date: 01/01/20XX
End Date: 12/31/20XX

Note: Balances reflected on this report may differ from reports previously received due to retroactive transactions.
This report excludes forfeiture accounts and loan balances, if applicable to your plan.

Additional information available when exported to Excel (with the Data Only option)

SAMPLE

Invest. ID	Beginning Balance	Conts.	Transfers In	Reinvmts.	Loan Payments	Interest	Change in Value	Fees	Loans	Hards.	Other Dsbs.	Transfers Out	Matured Certs.	Ending Balance
BTK1	SALARY DEFERRAL 01													
AAAAA	322.22	128.36	9.00	0.00	0.00	0.00	8.33	-1.66	0.00	0.00	0.00	0.00	0.00	466.25
BBBBB	1,098.69	566.48	0.00	0.00	0.00	0.00	-109.95	-5.57	0.00	0.00	0.00	-1,549.65	0.00	0.00
CCCCC	1,157.25	665.02	0.18	0.00	0.00	19.30	-47.64	-6.99	0.00	0.00	0.00	-134.29	0.00	1,652.83
DDDDD	3,474.12	550.39	0.00	0.00	0.00	48.91	-140.71	-13.14	0.00	0.00	0.00	-993.46	0.00	2,926.11
EEEEE	0.00	94.30	2,670.96	0.00	0.00	0.00	189.49	-2.47	0.00	0.00	0.00	0.00	0.00	2,952.28
FFFFF	310.00	191.21	1,783.16	0.00	0.00	0.00	162.07	-3.35	0.00	0.00	0.00	0.00	0.00	2,443.09
GGGGG	0.00	108.60	0.00	0.00	0.00	0.41	-9.45	-0.29	0.00	0.00	0.00	-99.27	0.00	0.00
HHHHH	1,314.33	531.99	4.47	0.00	0.00	4.88	19.04	-6.98	0.00	0.00	0.00	0.00	0.00	1,867.73
JJJJJ	1,043.41	886.76	581.23	0.00	0.00	47.71	-176.04	-8.93	0.00	0.00	0.00	0.00	0.00	2,374.14
KKKKK	3,178.54	1,153.62	2,112.34	0.00	0.00	83.56	-184.54	-20.25	0.00	0.00	0.00	-25.14	0.00	6,298.13
LLLLL	5,632.93	870.76	7.83	0.00	0.00	0.00	20.00	-20.65	0.00	0.00	0.00	-474.27	0.00	6,036.60
MMMMM	3,839.67	964.74	26.69	0.00	0.00	0.00	47.47	-18.95	0.00	0.00	0.00	-3,252.54	0.00	1,607.08
NNNNN	2,839.01	606.67	0.02	0.00	0.00	0.00	-48.67	-11.32	0.00	0.00	0.00	-499.84	0.00	2,885.87
OOOOO	0.00	193.76	0.00	0.00	0.00	0.00	26.43	-0.35	0.00	0.00	0.00	0.00	0.00	219.84
PPPPP	0.00	303.44	0.00	0.00	0.00	0.00	-24.35	-0.73	0.00	0.00	0.00	-278.36	0.00	0.00
QQQQQ	1,193.10	1,521.63	110.94	0.00	0.00	0.00	-121.40	-10.29	0.00	0.00	0.00	0.00	0.00	2,693.98
	25,403.27	9,337.73	7,306.82	0.00	0.00	204.77	-389.92	-131.92	0.00	0.00	0.00	-7,306.82	0.00	34,423.93
EER1	EMPLOYEE ROLLOVER 01													
AAAAA	133.31	0.00	3.12	0.00	0.00	0.00	0.14	-0.52	0.00	0.00	0.00	0.00	0.00	136.05
CCCCC	478.80	0.00	0.00	0.00	0.00	5.98	-0.03	-2.06	0.00	0.00	0.00	-2.14	0.00	480.55
DDDDD	159.98	0.00	0.00	0.00	0.00	2.20	-1.19	-0.54	0.00	0.00	0.00	-7.69	0.00	152.76
FFFFF	128.23	0.00	0.57	0.00	0.00	0.00	-0.02	-0.54	0.00	0.00	0.00	0.00	0.00	128.24
HHHHH	529.89	0.00	0.58	0.00	0.00	1.52	-0.11	-2.13	0.00	0.00	0.00	0.00	0.00	529.75
KKKKK	1,578.37	0.00	0.00	0.00	0.00	36.32	-1.17	-7.42	0.00	0.00	0.00	-6.92	0.00	1,599.18
LLLLL	613.36	0.00	4.04	0.00	0.00	0.00	0.19	-2.02	0.00	0.00	0.00	0.00	0.00	615.57
MMMMM	467.36	0.00	9.58	0.00	0.00	0.00	-1.09	-2.29	0.00	0.00	0.00	0.00	0.00	473.56
NNNNN	100.44	0.00	0.00	0.00	0.00	0.00	-0.28	-0.34	0.00	0.00	0.00	-1.14	0.00	98.68
	4,189.74	0.00	17.89	0.00	0.00	46.02	-3.56	-17.86	0.00	0.00	0.00	-17.89	0.00	4,214.34
ERM1	EMPLOYER MATCH 01													
AAAAA	58.32	0.00	0.82	0.00	0.00	0.00	0.02	-0.23	0.00	0.00	0.00	0.00	0.00	58.93
BBBBB	190.07	0.00	0.00	0.00	0.00	0.00	-4.49	-0.72	0.00	0.00	0.00	-184.86	0.00	0.00
CCCCC	207.40	0.00	0.00	0.00	0.00	2.59	-0.07	-0.91	0.00	0.00	0.00	0.00	0.00	209.01
DDDDD	462.02	0.00	0.00	0.00	0.00	5.99	-23.00	-1.55	0.00	0.00	0.00	-91.00	0.00	352.46
EEEEE	0.00	0.00	329.45	0.00	0.00	0.00	23.10	-0.29	0.00	0.00	0.00	0.00	0.00	352.26
FFFFF	55.86	0.00	219.76	0.00	0.00	0.00	19.82	-0.44	0.00	0.00	0.00	0.00	0.00	295.00
HHHHH	235.84	0.00	0.54	0.00	0.00	0.67	-0.04	-0.96	0.00	0.00	0.00	0.00	0.00	236.05
JJJJJ	240.43	0.00	42.35	0.00	0.00	7.95	-6.64	-1.27	0.00	0.00	0.00	0.00	0.00	282.82
KKKKK	539.55	0.00	271.12	0.00	0.00	12.43	-16.13	-2.78	0.00	0.00	0.00	-2.57	0.00	801.62
LLLLL	840.43	0.00	0.55	0.00	0.00	0.00	-31.28	-2.70	0.00	0.00	0.00	-73.11	0.00	733.89

1/23/20XX 10:44:45AM

GNBO
Page 1 of 2

Return to the Table of Contents

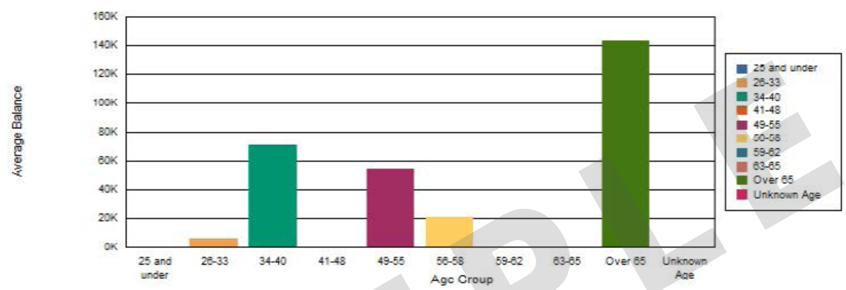
Average Participant Balance by Age Group

This report provides a bar graph illustrating average participant balances by age group as of a specified effective date. The 10 age groups are as follows: Under 26; 26-33; 34-40; 41-48; 49-55; 56-58; 59-62; 63-65; Over 65; Unknown. The “Unknown” age group consists of participants with defaulted or invalid birth dates on our system. Total balance amounts and participant counts for each age group are also provided.

Detailed Report Description

Average Participant Balance by Age Group

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Effective Date: 12/31/20XX



Division	Age Group	Participants With Balances	Total Balance	Average Balance
Summary				
	25 and under	0	$0.00	$0.00
	26-33	2	$12,277.43	$6,138.72
	34-40	4	$283,360.11	$70,840.03
	41-48	0	$0.00	$0.00
	49-55	1	$54,534.72	$54,534.72
	56-58	2	$42,262.12	$21,131.06
	59-62	0	$0.00	$0.00
	63-65	0	$0.00	$0.00
	Over 65	1	$142,831.79	$142,831.79
	Unknown Age	0	$0.00	$0.00
		10	$535,266.17	$53,526.62

1/20/20XX 12:37:38PM

PDB03
Page 1 of 1

Return to the Table of Contents

PARTICIPANT/EMPLOYEE DATA

Participant Beneficiary Detail

This report provides the current beneficiary information on file for each active participant in the plan. It can also be run to identify participants with no designated beneficiary, and there are options to include either participant or beneficiary address data for mailing purposes.

Detailed Report Description

Participant Beneficiary Detail

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Participant Account Status: Active Participants with a Balance
Beneficiary Display Option: Participants with and without Beneficiaries
Beneficiary Detail Option: Display Beneficiary Information
Additional information available when exported to Excel

Protected SSN	SSN Ext	Participant Name	Account Status Sub Code	Employment Status	Age	Marital Status	Effective Date	Beneficiary SSN	Beneficiary Name	Beneficiary Relationship	Percent	Beneficiary Type
Participants with Beneficiary												
		No data for this category										
Participants without Beneficiary												
XXX-XX-9999		Blue, Participant	First Deposit Received	Active	54	M						
XXX-XX-8888		Yellow, Participant	First Deposit Received	Active	29	S						
XXX-XX-7777		Green, Participant	First Deposit Received	Terminated	34	M						
XXX-XX-6666		Lilac, Participant	First Deposit Received	Active	63	M						
XXX-XX-5555		Orange, Participant	First Deposit Received	Active	44	M						
XXX-XX-4444		Red, Participant	First Deposit Received	Active	55	M						
XXX-XX-3333		Khaki, Participant	First Deposit Received	Active	34	M						
XXX-XX-2222		Beige, Participant	First Deposit Received	Active	30	S						

1/19/20XX 4:22:54PM

BEBO
Page 1 of 1

Return to the Table of Contents

Participant Data Extract

This report provides a comprehensive list of both personal and account-related data by participant including address, employment, compensation, participation, asset, activity and vesting information. The data specification choices provide the ability to filter for particular attributes or specific populations of participants based on employment status and account balance. For plans with divisions, the report can be run against specific divisions.

Detailed Report Description

Report Date	Plan Name	Group Account	SSN	SSN Extension	SSN Extension Reason	Individual ID	Last Name	First Name	Birth Date	Default Birthdate Indicator
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-9999			1111111	Blue	Participant	1-Jan-50	
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-8888			1111112	Orange	Participant	15-Dec-60	
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-7777	2	MULTCONT	1111113	Green	Participant	1-Jan-50	
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-6666			1111114	Purple	Participant	14-Nov-60	
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-5555			1111115	Pink	Participant	25-Feb-55	
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-4444			1111116	Red	Participant	18-Jul-82	
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-3333			1111117	Gray	Participant	1-Jun-60	
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-2222	4	MULTSSN	1111118	Beige	Participant	11-Apr-60	Y
2/15/20XX	Sample 401(k) Plan	123456-01	xxx-xx-1111			1111119	Teal	Participant	1-Jul-82	

Return to the
Table of Contents

Targeted Participant Data Extract

This report's filtering options allow for extraction of specific populations of participants based on various account and personal data, including participants with defaulted values due to missing/invalid data. The Data Specifications section below details the available options. When exported to Excel, mailing address information is included for targeted mailing efforts.

Detailed Report Description

Targeted Participant Data Extract

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Account Status: All Participants in the Plan
Employment Status: All Participants Regardless of Employment
Age As Of Date: Participants Greater Than or Equal to age 40.0 as of 01/15/20xx
Default Information: All Applicable Default Information
Additional information available when exported to Excel

Protected SSN	SSN Ext	Participant Name	Account Status	Account Status Sub Code	Birth Date	Age	Hire Date	Gender	Marital Status	Default Address	Default Investment
XXX-XX-9999		Doe, John	A	Awaiting First Deposit	01/01/1970	42.0	01/01/2010	M	M		EEEEE
XXX-XX-8888		Doe, Jane	A	Awaiting First Deposit	10/05/1967	44.3	10/01/2011	M	M		DDDDD
XXX-XX-7777		Test, Jim	A	First Deposit Received	03/03/1954	57.9	01/01/2002		M		BBBBB

Plan's Current Default Allocations

Plan Number	Invest. Option	Description	Rule Criteria	Effective Date	Percent	Range Low	Range High	QDIA IND
123456-01	AAAAA	ABC 2015 Retirement Fund	BIRTHDATE	04/30/20xx	100	1900	1952	
123456-01	BBBBB	ABC 2020 Retirement Fund	BIRTHDATE	04/30/20xx	100	1953	1957	
123456-01	CCCCC	ABC 2025 Retirement Fund	BIRTHDATE	04/30/20xx	100	1958	1962	
123456-01	DDDDD	ABC 2030 Retirement Fund	BIRTHDATE	04/30/20xx	100	1963	1967	
123456-01	EEEEE	ABC 2035 Retirement Fund	BIRTHDATE	04/30/20xx	100	1968	1972	
123456-01	FFFFF	ABC 2040 Retirement Fund	BIRTHDATE	04/30/20xx	100	1973		

Multiple - Indicates more than one default investment fund.

Participants in default allocation investment(s) having any transfers are no longer considered defaulted in the investment.

1/18/20xx 3:09:19PM

Page 1 of 1

Return to the Table of Contents

Compliance Census File

This report provides data on personnel employed during a selected plan-year reporting period. It contains information on employee dates, hours, compensation, etc. It is used for compliance testing and 5500 reporting.

Detailed Report Description

Compliance Census File (Formatted from Text File)

Employee Name	Employee Status	SSN	Date of Birth	Hours Worked	Original Date of Hire	Date of Termination	Date of Re-Hire	Pre-Entry Compensation	Plan Compensation
Blue, Participant		XXX-XX-1111	7/23/1974	500	9/10/2007			0	0
Orange, Participant		XXX-XX-2222	9/12/1982	500	1/12/1982			0	0
Green, Participant		XXX-XX-3333	12/21/1984	500	2/7/2008	9/5/2008		0	0
Yellow, Participant		XXX-XX-4444	12/8/1954	1	4/21/2003	8/31/2004		0	0
Purple, Participant		XXX-XX-5555	9/17/1975	500	2/8/2007			0	0
Maroon, Participant		XXX-XX-6666	10/5/1967	0	10/1/2011			0	0
Beige, Participant		XXX-XX-7777	1/1/1981	500	1/1/2005			0	0
Red, Participant		XXX-XX-8888	1/1/1980	1000	1/1/2010			0	0
Gray, Participant		XXX-XX-9999	1/1/1970	1119	1/1/2010			0	0
Pink, Participant		XXX-XX-1112	1/1/1970	1118	1/1/2009			0	0
Violet, Participant		XXX-XX-1113	10/1/1974	0	10/1/2011			0	0
Teal, Participant		XXX-XX-1114	12/1/1980	0	12/1/2000			0	0

Return to the Table of Contents

Monthly Plan Activity

This report provides a summary of plan- and participant-level activity for a selected month. Information in the following categories is provided:

1. Contributions (Plan-Level Data by Money Source and Investment Option)
2. Rollover Activity
3. Investment Election Changes
4. Distributions
5. Loans
6. Participants with First Contribution
7. Contributing Participants with Default Investment Elections
8. Transfers
9. Enrollment Notifications

Note: Current-month data is available, however, the report will only capture activity up through the prior business day.

Detailed Report Description

Monthly Plan Activity

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Report Period: August 20XX

Contributions

Payroll Date	Effective Date	Received Date	Event	Money Source	Invest. ID	Investment Name		Amount	Participants
								$8,510.04	51
08/01/20xx	08/03/20xx	08/02/20xx	111222333	BTK1 Salary Deferral				$2,805.24	10
				ERM1 Employer Match				$1,249.83	10
				LON Loan Repayment				$1,248.65	4
							Total for Dates :	$5,303.72	10
08/01/20xx	08/03/20xx	08/02/20xx	111222333		AAAAA	Fund Name 1		$257.42	1
					BBBBB	Fund Name 2		$584.90	5
					CCCCC	Fund Name 3		$99.84	1
					DDDDD	Fund Name 4		$951.77	4
					EEEEE	Fund Name 5		$557.33	4
					FFFFF	Fund Name 6		$333.78	3
					GGGGG	Fund Name 7		$424.88	4
					HHHHH	Fund Name 8		$464.27	4
					JJJJJ	Fund Name 9		$181.08	2
					KKKKK	Fund Name 10		$292.50	2
					LLLLL	Fund Name 11		$292.02	2
					MMMMM	Fund Name 12		$108.36	1
					NNNNN	Fund Name 13		$389.78	3
					OOOOO	Fund Name 14		$365.79	2
							Total for Dates :	$5,303.72	10
08/04/20xx	08/06/20xx	08/05/20xx	123456789	BTK1 Salary Deferral				$1,916.96	41
				ERM1 Employer Match				$848.32	41
				LON Loan Repayment				$441.04	10
							Total for Dates :	$3,206.32	41
08/04/20xx	08/06/20xx	08/05/20xx	123456789		PPPPP	Fund Name 15		$64.48	5
					AAAAA	Fund Name 1		$69.14	3
					BBBBB	Fund Name 2		$187.90	6
					CCCCC	Fund Name 3		$111.28	8
					QQQQQ	Fund Name 16		$49.30	3
					DDDDD	Fund Name 4		$892.42	21
					EEEEE	Fund Name 5		$212.58	10
					FFFFF	Fund Name 6		$93.75	6
					GGGGG	Fund Name 7		$365.35	10
					HHHHH	Fund Name 8		$102.17	5

1/26/20xx 12:21:02PM

MPBO

Page 1 of 10

Return to the Table of Contents

Participant Statistics by Age Group

This report divides participants into eight age groups and provides counts for a variety of categories pertaining to account status, eligibility and transaction activity over a specified date range. Each category includes a Total count as well as an "Unknown" group that captures participants with defaulted or invalid birth dates on our system. The age groups provided are as follows: 26-33; 34-40; 41-48; 49-55; 56-58; 59-62; 63-65; Over 65. For plans with divisions, the report can be run for specific divisions or globally for the entire plan.

Detailed Report Description

Participant Statistics by Age Group

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Begin Date: 01/01/20XX
End Date: 12/31/20XX

Summary

Participants by Age	Under 26	26 - 33	34 - 40	41 - 48	49 - 55	56 - 58	59 - 62	63 - 65	Over 65	Unknown	Total
Total Eligible Participants - End Date	2	5	14	9	0	1	2	0	2	0	35
Ineligible/Never Eligible Participants - End Date	6	2	5	18	5	2	4	0	0	0	42
Participants with a Balance - Reporting Period	1	7	11	7	1	0	0	0	2	0	29
Active Participants with a Balance - End Date	1	4	11	4	1	0	0	0	1	0	22
Terminated from Employment with a Balance - End Date	0	3	0	3	0	0	0	0	1	0	7
Active Participants Contributing - Reporting Period	0	0	0	0	1	0	0	0	0	0	1
Active Participants Receiving Employer Contributions - Reporting Period	0	0	0	0	0	0	0	0	0	0	0
Percent of Active Participants Contributing - Reporting Period	0	0	0	0	100	0	0	0	0	0	5
Percent of Active Participants Receiving Employer Contributions - Reporting Period	0	0	0	0	0	0	0	0	0	0	0
Percent of Total Eligibles Participating - Reporting Period	0	0	0	0	0	0	0	0	0	0	3
Full Withdrawals - Reporting Period	0	0	0	0	0	0	0	0	0	0	0
Outstanding Loans - End Date	0	1	2	2	0	0	0	0	0	0	5
New Loans Processed - Reporting Period	0	0	0	0	0	0	0	0	0	0	0
First Contributions - Reporting Period	0	0	0	0	1	0	0	0	0	0	1
New Eligibles - Reporting Period	2	5	11	3	0	1	1	0	1	0	24

Active Participant - Employed as of the selected end date
Eligible Participant - Employed with a Participation Date that is prior to the selected end date
Ineligible Participant - Employed but not eligible to contribute as of the selected end date

PSBO

1/24/20XX 12:35:20PM Page 1 of 1

Return to the Table of Contents

Participant Website and Voice Response System Usage Summary

This report generates a listing of participant inquiries and activity initiated through the participant website and the phone voice response system over a specified month-based reporting period. Counts of total logins and number of distinct users are provided, along with counts of the specific inquiry or update activity occurring within the time frame selected. Data for this report is provided in monthly increments only, and is limited to the previous 12-month period.

Detailed Report Description

Participant Website and Voice Response System Usage Summary

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Start Date: 01/01/20XX
End Date: 10/31/20XX

Transaction	JAN/20XX	FEB/20XX	MAR/20XX	APR/20XX	MAY/20XX	JUN/20XX	JUL/20XX	AUG/20XX	SEP/20XX	OCT/20XX	Total
Summary											
WEB Usage											
Totals											
Distinct Users	0	0	0	0	0	0	309	278	0	0	
Total Logins	0	0	0	0	0	0	1,246	1,071	0	0	**2,317**
Inquiries											
Inq Acct Bal	0	0	0	0	0	0	108	82	0	0	**190**
Inq Acct Sum	0	0	0	0	0	0	1,802	1,572	0	0	**3,374**
Inq Alloc	0	0	0	0	0	0	63	34	0	0	**97**
Inq Asset Alloc	0	0	0	0	0	0	76	46	0	0	**122**
Inq Cnt	0	0	0	0	0	0	52	57	0	0	**109**
Inq Div	0	0	0	0	0	0	18	4	0	0	**22**
Inq Elec Stmts	0	0	0	0	0	0	72	41	0	0	**113**
Inq Fund Overview	0	0	0	0	0	0	14	12	0	0	**26**
Inq Fund Prospectus	0	0	0	0	0	0	5	4	0	0	**9**
Inq Fund Returns	0	0	0	0	0	0	40	29	0	0	**69**
Inq Funds Trnd	0	0	0	0	0	0	30	14	0	0	**44**
Inq Loan Sum	0	0	0	0	0	0	175	133	0	0	**308**
Inq O/L Forms	0	0	0	0	0	0	46	25	0	0	**71**
Inq Per Rate Return	0	0	0	0	0	0	423	0	0	0	**423**
Inq Tran Hist	0	0	0	0	0	0	164	102	0	0	**266**
Inq Trfs - Comp/Pend/Perd	0	0	0	0	0	0	25	29	0	0	**54**
Inq Uval	0	0	0	0	0	0	66	41	0	0	**107**
Updates											
Allocation	0	0	0	0	0	0	17	15	0	0	**32**
Change Passcode	0	0	0	0	0	0	24	22	0	0	**46**
Disbursements	0	0	0	0	0	0	9	12	0	0	**21**
Elec Filing Cabinet	0	0	0	0	0	0	1	1	0	0	**2**
Email Address	0	0	0	0	0	0	6	7	0	0	**13**
Emp Status	0	0	0	0	0	0	1	0	0	0	**1**
Fund To Fund Trf	0	0	0	0	0	0	11	23	0	0	**34**
Loan Request	0	0	0	0	0	0	12	12	0	0	**24**
Order Passcode	0	0	0	0	0	0	5	2	0	0	**7**
Rebalancer	0	0	0	0	0	0	7	1	0	0	**8**
Registration	0	0	0	0	0	0	30	16	0	0	**46**

11/8/20XX 1:53:54PM

WVBO
Page 1 of 2

Return to the Table of Contents

CONTRIBUTIONS

Plan Contribution Summary by Money Source

This report provides information on all contribution remittances (Events) made to the plan for a specified date range. For each Event ID remitted, the report shows a money source breakdown of amounts allocated and confirmations of Effective Date, Received Date and Payroll Date. Plan Totals for the date range specified are also captured. Filtering options allow you to search for remittances based on either Payroll Date or Effective Date and also to extract data by specific money source(s).

For each Event ID captured, additional participant-level contribution detail can be obtained by clicking on the "View Detail" hyperlink. This drill-down functionality essentially creates a new Plan Contribution Summary by Money Source report for one Event ID, which includes participant contribution amounts by money source, subtotals for each money source, and a count of participants included on the Event ID.

Detailed Report Description

Plan Contribution Summary by Money Source

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Reporting Period: Payroll Date
Begin Date: 07/01/20XX
End Date: 12/31/20XX

Contribution events will generally be available for reporting one business day after the event Effective Date.

Event ID	Detail Report	Effective Date	Received Date	Payroll Date	Remittance Amount	Recon Amount	Money Source	Transaction Amount	Participant Suspense	Forfeiture Amount
205216001	*View Detail*	08/02/20XX	08/01/20XX	08/20/20XX	4.00	0.00	BTK1 EMPLOYEE BEFORE TAX	2.00	0.00	0.00
							ERO1 EMPLOYER PROFIT SHARING	2.00	0.00	0.00
Event Total								4.00	0.00	0.00
205216002	*View Detail*	08/03/20XX	08/02/20XX	08/15/20XX	0.02	0.00	BTK1 EMPLOYEE BEFORE TAX	0.01	0.00	0.00
							LON1 LOAN REPAYMENT	0.01	0.00	0.00
Event Total								0.02	0.00	0.00
205216003	*View Detail*	09/26/20XX	09/23/20XX	10/01/20XX	0.20	0.00	BTK1 EMPLOYEE BEFORE TAX	0.04	0.00	0.00
							ERD2 QUALIFIED NON-ELECTIVE CONTRIBUTIONS	0.04	0.00	0.00
							ERO1 EMPLOYER PROFIT SHARING	0.04	0.00	0.00
							RTH1 ROTH CONTRIBUTION	0.04	0.00	0.00
							SHN1 SAFE HARBOR NON-ELECTIVE	0.04	0.00	0.00
Event Total								0.20	0.00	0.00
205216004	*View Detail*	09/28/20XX	09/27/20XX	10/03/20XX	0.03	0.00	BTK1 EMPLOYEE BEFORE TAX	0.01	0.00	0.00
							ERM1 EMPLOYER MATCH	0.01	0.00	0.00
							ERO1 EMPLOYER PROFIT SHARING	0.01	0.00	0.00
Event Total								0.03	0.00	0.00
205216005	*View Detail*	10/26/20XX	10/25/20XX	10/01/20XX	60.00	0.00	BTK1 EMPLOYEE BEFORE TAX	10.00	10.00	0.00
							ERM1 EMPLOYER MATCH	50.00	50.00	0.00
Event Total								60.00	60.00	0.00
Plan Total								64.25	60.00	0.00

SAMPLE

CRBO

1/20/20XX 9:52:49AM Page 1 of 1

Return to the Table of Contents

Participant Deposit Detail

This report provides detail of deposits to participant accounts for a specified date range. All deposits to participant accounts are captured, including contributions, rollovers, earnings, etc. Filtering options provide the ability to show amounts by money source or as overall totals and to extract deposit activity for select populations of participants with regards to age and year-to-date contribution amounts. The report also provides catch-up contribution information, as applicable. The Excel output provides participant address data for targeted mailing purposes.

Detailed Report Description

Participant Deposit Detail

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Date Type: Effective Date
Begin Date: 01/01/20xx
End Date: 12/31/20xx
Plan is Deferral Recordkeeper
Includes Payroll Contributions and Additional Deposits
Plan Catch up Method Code: Combine
Employees who have Exceeded 1,000.00 in Contributions
Additional information available when exported to Excel

SSN	SSN Ext	Participant Name	Age	Acct. Status	Termination Date	Last Payroll Date	Money Source	Cont. Amount	Conv. Amount	Total Amount	PPT. Total	Catch-Up Type
XXX-XX-9999		BLUE, PARTICIPANT	55.0	A		09/15/20xx	BTK1	4,405.41	0.00	4,405.41		
											4405.41	
XXX-XX-8888		YELLOW. PARTICIPANT	63.0	A		09/28/20xx	BTK1	1,667.63	0.00	1,667.63		
											1667.63	
XXX-XX-7777		GREEN, PARTICIPANT	44.0	A		03/15/20xx	BTK1	630.00	0.00	630.00		
						08/08/20xx	RTH1	1,050.00	0.00	1,050.00		
											1680.00	
XXX-XX-6666		ORANGE, PARTICIPANT	30.0	A		09/15/20xx	BTK1	1,231.50	0.00	1,231.50		
											1231.50	
Division Total								**8,984.54**	**0.00**			
Plan Total								**8,984.54**	**0.00**			

SAMPLE

5/16/20xx 1:33:40PM

CLBO
Page 1 of 1

Return to the Table of Contents

Contribution Summary by Investment Option

This report provides a summary of contributions to the plan by investment option for a specified date range. The data shows what percentages of contributions have been allocated to each investment option in three categories: Employee Contributions, Employer Contributions and Total Contributions.

Detailed Report Description

SAMPLE REPORT

Date: 01/15/20xx | **123456-01 ABC Company Retirement Plan** | **User: ABCD**

Time: 12:45 | **CONTRIBUTION SUMMARY BY INVESTMENT OPTION – GQ19KWCS** | **Request ID: 999999**

01/01/20xx to 12/31/20xx

Fund Name	Employee Count	Employee Contribution	Employee Percent	Employer Count	Employer Contribution	Employer Percent	Total Count	Total Contribution	Total Percent
Bond Portfolio	4	1177.00	10.45	0	0.00	0.00	4	1177.00	10.45
Fund V	2	2348.64	20.84	0	0.00	0.00	2	2348.64	20.84
Growth Fund	2	2912.51	25.85	0	0.00	0.00	2	2912.51	25.85
Bond Fund	6	4828.92	42.86	0	0.00	0.00	6	4828.92	42.86
Total:		11267.07			0.00			11267.07	

Return to the Table of Contents

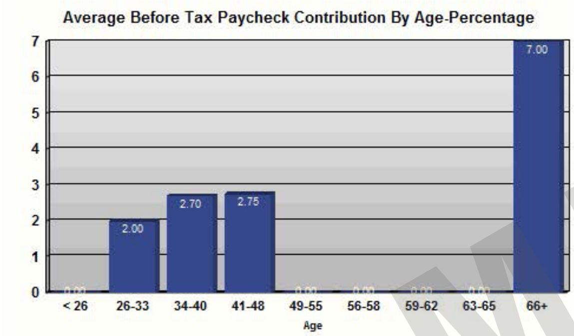
Paycheck Contribution Rates by Age Group and Assets

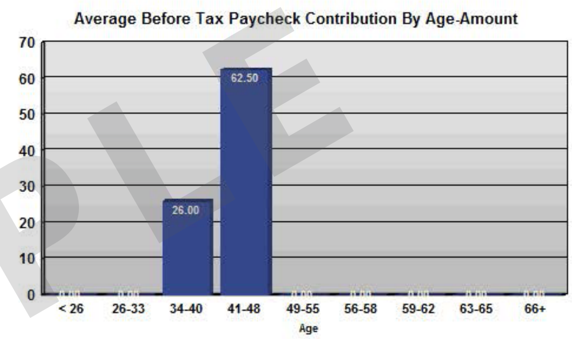
The data provided in this report with regards to paycheck contribution rates is twofold. The first section provides a bar graph illustrating the average paycheck contribution rates by age group. The nine age groups are as follows: Under 26; 26-33; 34-40; 41-48; 49-55; 56-58; 59-62; 63-65; 66 and Older. The second section provides Total Assets, Percentage of Assets, and Participant Counts by paycheck contribution rate for active employees with a balance. As applicable, the data is subtotaled by money source (Pre-Tax, After-Tax and Roth) and includes an overall average contribution rate for each money source. Lastly, the report captures asset balances and counts of terminated participants with a balance, as well as an overall Total Participant Balance and Count of Participants with a balance.

Detailed Report Description

Paycheck Contribution Rates by Age Group and Assets

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Effective Date: 01/20/20XX





Division	Percentage/Amount	Assets	% of Assets	Participant Count
Summary - Before Tax Contribution Rate				
	0.00%	$80,894.77	12.30%	5
	1.00%	$39,152.47	5.96%	2
	4.00%	$31,250.17	4.75%	1
	5.00%	$125,930.77	19.15%	2
	6.00%	$2,669.61	0.41%	1
	7.00%	$105,937.98	16.11%	3
	10.00%	$12,936.43	1.97%	1
	$0-25	$0.00	0.00%	0
	$26-50	$22,013.45	3.35%	3
	$51-75	$0.00	0.00%	0
	$76-100	$75,838.87	11.54%	2
	$101-125	$0.00	0.00%	0

1/24/20XX 12:26:13PM

DPBO
Page 1 of 4

Return to the Table of Contents

DISTRIBUTIONS AND LOANS

Participant Loan Detail

This report provides detail of all participant loan information for a specified date range, including loans issued/paid, loan attributes, payment history, current status and default information. Filtering options provide the ability to pull data based on current loan status and to isolate loans that are late and/or defaulted.

Detailed Report Description

Participant Loan Detail – Standard Layout

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Begin Date: 01/01/20XX
End Date: 12/31/20XX
Loan Status: ALL (ACTIVE, PAID, and ISSUED)
Payment Status: ALL

Loans active as of 12/31/20XX or
Loans issued between 01/01/20XX and 12/31/20XX or
Loans paid off between 01/01/20XX and 12/31/20XX

Additional information available when exported to Excel (with the Data Only option)

SSN	SSN Ext	Participant Name	Loan Nbr.	Int. Rate	Loan Amount	Payment Amount	Pay Freq.	Pay Method	Effective Date	Maturity Date	First Due Date	Payoff Date	Default Date
XXX-XX-9999		Blue, Participant	1	6.00%	$36,195.44	$354.59	SM	PAYROLL	06/09/2008	06/09/2013	07/16/2008		
XXX-XX-8888		Green, Participant	3	4.25%	$7,075.00	$30.54	W	PAYROLL	03/23/2010	03/22/2015	04/21/2010		
XXX-XX-8888		Green, Participant	4	4.25%	$8,575.00	$37.01	W	PAYROLL	07/20/2010	07/19/2015	08/18/2010		
XXX-XX-7777		Orange, Participant	2	9.25%	$1,600.00	$6.87	W	PAYROLL	04/23/2007	02/23/2013	05/23/2007		
XXX-XX-7777		Orange, Participant	3	4.25%	$3,000.00	$31.26	W	PAYROLL	03/17/2009	03/17/2011	04/22/2009		
XXX-XX-6666		Yellow, Participant	1	9.25%	$49,000.00	$517.60	SM	PAYROLL	01/11/2007	01/11/2012	02/15/2007		
XXX-XX-5555		Beige, Participant	1	4.25%	$3,400.00	$28.20	W	PAYROLL	05/03/2010	11/03/2012	06/02/2010		
XXX-XX-4444		Teal, Participant	1	4.25%	$5,000.00	$21.51	W	PAYROLL	10/27/2009	10/27/2014	11/18/2009		
XXX-XX-3333		Purple, Participant	1	4.25%	$12,000.00	$51.79	W	PAYROLL	08/03/2009	07/31/2014	09/02/2009		
XXX-XX-2222		Violet, Participant	1	4.25%	$2,100.00	$9.07	W	PAYROLL	05/19/2010	05/17/2015	06/16/2010		
XXX-XX-1111		Red, Participant	1	6.00%	$15,000.00	$172.77	SM	PAYROLL	10/09/2008	12/06/2012	11/16/2008		
XXX-XX-0000		Khaki, Participant	5	4.25%	$10,000.00	$53.00	W	PAYROLL	05/03/2010	05/03/2014	06/02/2010		
XXX-XX-9998		Gray, Participant	7	7.00%	$19,955.00	$91.91	W	PAYROLL	04/11/2008	03/28/2013	04/30/2008		
XXX-XX-9998		Gray, Participant	8	4.25%	$15,408.00	$66.50	W	PAYROLL	08/27/2010	08/27/2015	09/29/2010		
XXX-XX-9997		Maroon, Participant	1	8.25%	$20,000.00	$203.69	SM	PAYROLL	03/30/2006	04/16/2011	12/16/2006		
XXX-XX-9996		Lavender, Participant	4	4.25%	$12,000.00	$51.97	W	PAYROLL	02/17/2010	02/17/2015	03/24/2010		
PLAN TOTAL					$220,308.44	Participants: 13			Loans: 16				

LNBO

1/20/20XX 3:06:29PM

Page 1 of 1

Return to the Table of Contents

Participant Involuntary Distribution Listing

This report is used to identify and authorize the processing of involuntary distributions for terminated employees. It generates a listing of participants' vested account balances by money source within a specified dollar range. The employment status parameter allows you to run the report against either All, Active or Terminated participants. Deceased participants and those with contributions after the Last Contribution Date are excluded from the report.

Detailed Report Description

Participant Involuntary Distribution Listing

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Low Balance: 0.01
High Balance: 4,999.99
Effective Date: 01/23/20XX
Last Contribution Date: 01/15/20XX
Employment Status: Employees with a Terminated Employment Date
Include Rollover Money: Y
Additional information available when exported to Excel

SSN	SSN Ext	Participant Name	Birth Date	Last Cont. Date	Emp. Term Date	Money Source	Money Source Description	Total Balance	Vested Balance	Vested Percent	Loan Balance	Disbursement Reason/Date
XXX-XX-9999		Orange,Participant	08/11/1979	11/24/20XX	02/28/20XX	BTK1	Employee Before Tax	$2,970.36	$2,970.36	100%	$0.00	
						ERM1	Employer Match	$1,220.81	$976.65	80%	$0.00	
							Total:	$4,191.17	$3,947.01		$0.00	

*** For Plans who utilize our FULL vesting service, plan sponsors should confirm that the vesting included on this report reflects the plan's most recent vesting information. For Plans who do NOT utilize our FULL vesting service, vesting is not reflected on this report. Plan sponsors will be responsible for determining and providing vesting information prior to a disbursement.

*** As an authorized signer of the plan, I certify that the distribution information is accurate and in compliance with the plan provisions and applicable federal law.
Please process the distributions as requested.

Authorized Signer: ______________________________

Date: ______________________________

1/24/20XX 1:00:58PM

DMBO
Page 1 of 1

SAMPLE

Return to the Table of Contents

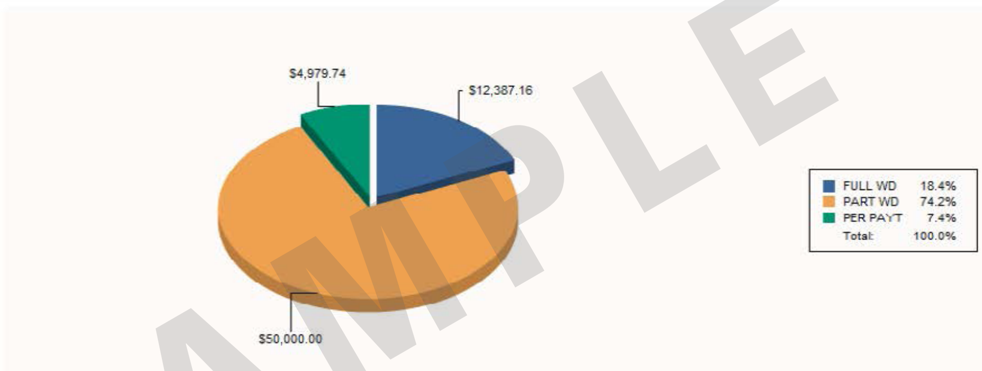
Plan Disbursement Summary

This report provides a summary of participant disbursement activity for a specified date range by disbursement type, reason and investment option. Loan withdrawal activity is also included. When exported to PDF or Word format, the report includes either a bar graph or a pie chart illustrating disbursement activity by Reason or Method, respectively. Disbursement amount subtotals by investment option, method and reason are provided, as well as participant counts for each. To obtain disbursement data broken down by individual participant, please run the Participant Disbursement Detail report.

Detailed Report Description

Plan Disbursement Summary

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Begin Date: 01/01/20XX
End Date: 12/31/20XX



Method	Reason	Invest. ID	Investment Name	Disbursement Amount	Participants
FULL WD					
	CONTRACT TERMINATION				
		AAAAA	Fund 1 Name	268.47	1
		BBBBB	Fund 2 Name	2,389.90	1
		CCCCC	Fund 3 Name	3,250.48	1
		DDDDD	Fund 4 Name	4,105.81	1
		EEEEE	Fund 5 Name	2,372.50	1
			Total for CONTRACT TERMINATION:	**$12,387.16**	
			Total for FULL WD:	**$12,387.16**	
PART WD					

SAMPLE

1/20/20XX 10:36:30AM

DRBO
Page 1 of 2

Return to the Table of Contents

Participant Disbursement Detail

This report provides participant-level detail on all disbursements occurring within a specified date range. Loan withdrawals are included in the data. The detail provided includes disbursement-related data, such as reason, type and taxation code, as well as financial detail, such as money sources, gross/net amounts, vested percentages, forfeited dollars, fees and tax withholdings. Up-front filtering options provide the ability to capture specific disbursement activity by taxation, method and employee age.

Detailed Report Description

Participant Disbursement Detail

Plan Number: 123456-01
Plan Name: ABC Company Retirement Plan
Begin Date: 01/01/20XX
End Date: 12/31/20XX
Tax Reason: ALL
Distribution Method: ALL

Additional information available when exported to Excel

SSN	SSN Ext.	Participant Name	Age	Taxable Reason	Dsb. Reason	Dsb. Method	Effective Date	Money Source	Dsb. Amount	Dsb. Fee	Whld. Amount	Vest %	Forfeited Amount	Check Amount
XXX-XX-9999		BLUE, PARTICIPANT	36.0	LOAN	LOAN	PART WD	07/21/20XX	ERM1	$9,465.60	$0.00			$0.00	
								ERO1	$2,477.87	$0.00			$0.00	
								BTK1	$38,056.53	$0.00			$0.00	
										$0.00	$0.00			$49,925.00
XXX-XX-8888		ORANGE, PARTICIPANT	71.7	PMIN DISTR	MIN DISTR	PER PAYT	11/29/20XX	BTK1	$2,213.52	$0.00			$0.00	
								ERM1	$414.47	$0.00			$0.00	
								ERO1	$1,669.03	$0.00			$0.00	
								SHN1	$682.72	$0.00			$0.00	
										$0.00	$0.00			$3,734.80
PLAN TOTAL									$54,979.74	$0.00	$0.00		$0.00	$53,659.80

1/24/20XX 4:10:44PM

EDBO
Page 1 of 1

Return to the Table of Contents

Employer Stock Balancing Account

DESCRIPTION:

This report provides stock shares and awaiting purchase amounts held in the employer stock balancing account. The stock balancing account facilitates the sale of fractional shares of stock.

AVAILABLE FORMATS:

- HTML (HyperText Markup Language) – common Internet document format
- TEXT – universal file type with limited formatting

FAQ

Q: Can I run this report to determine our plan's stock balance?

A: This report reflects only the stock and cash balance of the employer stock balancing account, which exists solely to facilitate the sale of fractional stock shares. It does not provide the overall stock balance at the plan or participant level. To obtain the plan's current stock balance, you can run either the Plan Balance and Transaction Summary or the Asset Summary by Investment Option report.

DATA SPECIFICATIONS:

- Plan Number
- Frequency

OUTPUT COLUMNS:

Plan Number
Plan Name
Effective Date
Money Source
Money Source Description
Investment ID and Name
Investment Period
Units
Balance
Total

Return to the Table of Contents

Trade Monitoring Detail

DESCRIPTION:

This report is designed to assist in monitoring trade activity for certain participants and/or certain funds over a specified date range. It is typically used to monitor employer stock transactions, but can also be used to monitor trade activity of participants who have been identified on our system as requiring Trade Monitoring or who currently have trading restrictions in place. The report provides details of both purchase and redemption transactions, including effective dates, share amounts, share prices and total share balances.

AVAILABLE FORMATS:

- HTML (HyperText Markup Language) – common Internet document format
- TEXT – universal file type with limited formatting

FAQ

Q: How can I change the Trade Monitoring Indicator for one of my employees?

A: Go to the Employees tab of the website and click on "Search Employee," which will allow you to search for your specific employee by SSN, Last Name or Employee ID. Locate the employee and click into his/her account; this will bring you to the "General Info" tab of his/her account. From there, scroll down and click the blue button to "Add/Change Employment History." Toward the bottom, you will see a Trade Monitoring Indicator with a drop-down option to add/change the indicator. Make your changes and remember to click Save.

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Investment Option
- Trade Monitoring Indicator
- Frequency
- Begin Date
- End Date*

** The range of this report cannot extend beyond a 13-month time period.*

OUTPUT COLUMNS:

SSN

SSN Extension

Participant Name

Trade Monitoring

Transaction Date

Effective Date

Transaction Code

Transaction Shares

Share Price

Transaction Amount

Total Shares

Return to the Table of Contents

Individual Participant Financial Transaction Detail

DESCRIPTION:

This report provides detail of all financial transactions that have occurred within a participant's account over a specified date range. The report runs for one participant at a time, specified by the participant's SSN. A row of data is provided for each transaction and includes detail on the transaction type, effective date, money source, investment option and amount, provided in both dollars and units. A summation of all activity, in dollars, is also provided.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

DATA SPECIFICATIONS:

- Plan Number
- SSN
- Begin Date
- End Date

OUTPUT COLUMNS:

Begin Date
End Date
Plan Name
Plan Number
Participant Name
SSN
Activity
Deposit Type
Effective Date
Payroll Date
Investment Name
Money Source
Units
Unit Value
Amount
Fee/Adjust Amount
Total Activity

Return to the Table of Contents

Individual Participant Balance and Transaction Summary

DESCRIPTION:

This report provides detail of financial transactions and balances by investment option and money source for a specified participant, identified by his/her SSN, and a specified date range. To obtain this information for all participants at once, you can run the Plan Balance and Transaction Summary report.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: I've noticed that balances on this report differ from balances on my Quarterly Plan Summary. Why is that?

A: Balances reflected on this report may differ from your quarterly/annual statements due to retroactively processed transactions. This report will capture the most recent data available as of the date range specified, while your quarterly/annual summary statements capture data as a "snapshot in time" on the day they are run and will never include retroactively dated transactions that are processed after the statement run date.

Q: Why is the completed fund change not reflecting on this report?

A: The data required for this report is typically compiled on our system prior to when investment option transfers for the day are processed and fully completed. If investment option transfers are not being captured in your results, it is most likely due to the timing of when the report was run. If you rerun the report at least one business day following the effective date of the investment option transfer(s), the transactions will be captured in the results.

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Begin Date
- End Date
- Include Money Source (if req.)
- Participant SSN
- Employee Identifier

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Begin Date
End Date
Division Basis
Division Value
Division Name
SSN/SSN Extension
Participant Name
Money Source Code
Money Source Description
Investment ID
Investment Short Name
Ticker Symbol
Investment Name
Beginning Balance
Contributions
Transfers In
Reinvestments
Loan Payments
Interest
Change in Value
Fees
Loans
Hardships
Other Disbursements
Transfers Out
Matured Certificates
Ending Balance

PDF & WORD

Plan Number
Plan Name
Begin Date
End Date
SSN/SSN Extension
Participant Name
Money Source Code
Money Source Description
Investment ID
Beginning Balance
Contributions
Transfers In
Reinvestments
Loan Payments
Interest
Change in Value
Fees
Loans
Hardships
Other Disbursements
Matured Certificates
Ending Balance

Return to the
Table of Contents

Participant Balance Detail

DESCRIPTION:

This report provides a detailed list of participant balances by investment option and/or money source as of a specified date.The report can be run for up to specified participants at a time by entering their SSNs in the boxes provided, or simply leave all SSN List boxes as "NONE" to run the report against the entire plan. Filtering options allow the report to pull information on specific or all investment options, and also allow you to extract specific populations of participants based on employment status.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: How do I use the SSN List options?

A: If you want to run the report for one specific participant, enter his/her SSN in the SSN List 1 box. There are six available SSN List boxes and each allows you to enter a total of five SSNs, separated by commas, for a maximum of 30 SSNs. To run the report for the entire plan, leave the SSN List boxes set to their default value of NONE.

Q: What is the Sarbanes Oxley Indicator option?

A: If you have identified participants on our system as requiring Sarbanes Oxley reporting (Trade Monitoring), you can run this report to capture just those participants.To identify/flag participants in this category, the Sarbanes Oxley Indicator on the PSC must be set to a "Y." You may also select the option to display participants with a Sarbanes Oxley Indicator and enter additional SSNs in the List boxes.

Q: Can I run this report for multiple plans?

A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Associated Plans (Excluded/Included)
- SSN List 1
- SSN List 2
- SSN List 3
- SSN List 4
- SSN List 5
- SSN List 6
- Investment Options
- Balance by Money Source (Include/Exclude)
- Sarbanes Oxley Indicator
- Participant Selection

  Options

  1) All Participants with a Balance as of the Effective Date
  2) Employed Participants with a Balance as of the Effective Date
  3) Terminated from Employment with a Balance as of the Effective Date
- Participant Identifier
- Sort Order
- Frequency
- Effective Date

Return to the Table of Contents

(Continued on next page).

Participant Balance Detail (*continued*)

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Division Basis
Division Number
Division Name
SSN
SSN Extension
First Name
Last Name
Age
Investment ID
Investment Name

If requested by Money Source
    Money Source

Balance
Shares
Inception-to-Date Cost
Percent of Assets
Total Balance
Birth Date
Hire Date
Termination Date
Ticker Symbol
Asset Model Description (if applicable)

If requested by Money Source
    Money Source Description

PDF & WORD

SSN
SSN Extension
First Name
Last Name
Age
Investment ID
Investment Name

If requested by Money Source
    Money Source

Balances
Shares
Inception-to-Date Cost
Percent of Assets
Total Balance

Return to the Table of Contents

Participant Investment Elections Detail

DESCRIPTION:

This report provides the current investment elections by money source for active participants in the plan, along with the effective date of the elections. The report can capture data on all money sources and investment options; however, up-front filters provide the ability to run against specific money sources, investment options and populations of active participants. The Excel output indicates which participants have defaulted elections and which participants have elected Asset Allocation Models.

For plans utilizing our Common Remitter services, vendor allocations are stored in our system as "investment elections," so this report will provide current participant vendor allocations.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ:

Q: Can I run this report for multiple plans?

A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., – Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Participant Account Status
  Options:
  1) All Active Participants
  2) Active Participants with a Balance
  3) Active Participants Awaiting First Deposit
- Money Source
- Investment Option/Provider ID
- Participant Identifier
- Sort Order
- Frequency

(Continued on next page).

Return to the Table of Contents

Participant Investment Elections Detail *(continued)*

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Account Status
Employment Status
Division Basis
Division Value
Division Name
Client Division Code
SSN
SSN Extension
Participant Name
Account Status Sub Code
Last Contribution Date
Money Source
Investment ID
Investment Name
Percent Amount
Effective Date
Investment Default Indicator
  Percent
  Amount
Asset Allocation Number
Asset Allocation Name
Birth Date
Age
Hire Date
Gender
Marital Status
Pay Center Basis
Pay Center Value
Pay Center Name
Pay Center Code
First Name
Middle Name
Last Name
Mailing Name 1
Mailing Name 2
Mailing Name 3
First Line Mailing
Second Line Mailing
City
State
Zip Code
Country
Home Phone Area Code
Home Phone Number
Work Phone Area Code
Work Phone Number

PDF & WORD

Plan Number
Plan Name
Account Status
Employment Status
SSN
SSN Extension
Participant Name
Account Status Sub-Code
Last Contribution Date
Money Source
Investment ID
Investment Name
Percent Amount
Effective Date

Return to the Table of Contents

Balance by Age Group and Asset Class

DESCRIPTION:

This report provides charts illustrating asset allocation by age group based on participant balances as of a specified date. The 10 age groups are as follows: Under 26; 26-33; 34-40; 41-48; 49-55; 56-58; 59-62; 63-65; Over 65; Unknown. For each age group, the report shows utilization of each Asset Class as a percentage of the group's total balance, as well as a count of participants with balances in each age group. The "Unknown" age group captures participants with defaulted or invalid birth dates on our system. The report can be run by a specific division/subset, if applicable, or for the entire plan.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting.
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: What do the numbers on this report represent and how are they used?

A: This report helps to illustrate investment diversification for participants in certain age groups with regards to which Asset Classes their balances are residing in as of the effective date selected. Specific investment option data is not provided here; however, the Participant Balance Detail report does provide participant balances by investment option and/or money source.

Q: Can I change the age groups listed on this report?

A: The age groups are predefined and cannot be changed.

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Effective Date

OUTPUT COLUMNS:

EXCEL

Summary (shown with data only)

Age Range (shown as subcategories)

Asset Class Name

Balance

Percent of Total

Number of Participants with Balances

Total

PDF & WORD

Summary (shown as pie charts)

Age Range (shown as subcategories)

Asset Class Name

Balance

Percent of Total

Number of Participants with Balances

Total

Return to the Table of Contents

Asset Summary by Investment Option

DESCRIPTION:

This report provides a listing of asset balances and participant counts for each investment option as of a selected quarter-end date in three categories: Employee Money Sources, Employer Money Sources and Total. The data can be requested by division, if applicable.

AVAILABLE FORMATS:

- HTML (HyperText Markup Language) – common internet document format
- TEXT – universal file type with limited formatting

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Statement End Date
- Frequency

OUTPUT COLUMNS:

Plan Number

Plan Name

Run Date/Time

As of Date (Quarter-End Date)

Investment Name

    Employee Money Source(s)
    Participant Count
    Asset Balance
    Percent of Assets

    Employer Money Source(s)
    Participant Count
    Asset Balance
    Percent of Assets

    Total – All Money Sources
    Participant Count
    Asset Balance
    Percent of Assets

Return to the Table of Contents

Forfeiture/Unallocated Plan Asset Account Detail

DESCRIPTION:

This report generates Forfeiture and Unallocated Plan Asset balances by money source and investment option with an itemization of transactions occurring within these accounts for a specified date range. The report is available in three versions: Detail, Summary and Grand Total. For plans in which we store forfeiture balances/activity at a divisional level, the report provides data specific to each division.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: Why doesn't my report display division information for total balances and transactions?

A: Plan-level forfeiture balances and activity will only display by division if your plan is set up with us to record-keep forfeiture account information by division. However, division information will display as it relates to participant-level forfeiture activity, e. Participant John Doe from Division ABC forfeited $x.xx as a result of a withdrawal.

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Begin Date
- End Date
- Report Type
- Sort Order

OUTPUT COLUMNS:

DETAIL VERSION

Forfeiture/UPA Activity
Event
Effective Date
Payroll Date
SSN
SSN Extension
Participant Name
Money Source
Money Source Description
Division
Investment ID
Investment Name
Amount
Shares/Units

SUMMARY VERSION

Forfeiture/UPA Activity
Money Source
Money Source Description
Division
Investment ID
Investment Name
Amount
Shares/Units

GRAND TOTAL VERSION

Forfeiture/UPA Activity
Division
Amount
Shares/Units

Return to the Table of Contents

Summary of Diversification by Asset Class and Investment

DESCRIPTION:

To illustrate investment diversification, this report provides participant count and balance data based on the number of asset classes and investment options being utilized as of a specified date. The report first divides participants into categories based on how many Asset Classes their balances are spread across and provides total value, percentage of assets, and number of participants with balances for each category. It then provides the same data with regards to number of Investment Options being utilized.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Effective Date

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Effective Date
Diversification by Asset Class Summary
- Division
- Category
- Value
- Percent of Assets
- Participants with Balances
- Average Number of Asset Classes per Participant

Diversification by Investment
- Division
- Category
- Value
- Percent of Assets
- Participants with Balances
- Average Number of Investments per Participant

PDF & WORD

Plan Number
Plan Name
Effective Date
Graph - Diversification by Number of Asset Classes
Graph - Diversification by Number of Investments
Diversification by Asset Class Summary
- Division
- Category
- Value
- Percent of Assets
- Participants with Balances
- Average Number of Asset Classes per Participant

Diversification by Investment
- Division
- Category
- Value
- Percent of Assets
- Participants with Balances
- Average Number of Asset Classes per Participant

Return to the Table of Contents

Participation by Asset Class and Investment Option

DESCRIPTION:

This report illustrates participant utilization of the plan's available investment options as of a specified effective date. Included are graphs depicting participation by asset class in terms of cumulative account balance and a percentage of total assets. Information pertaining to the individual investment options within each asset class includes total balance, total shares, inception-to-date cost, percentages of assets, and a count of participants. Also included is a summation of the plan's forfeiture account balance.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: Can I run this report for multiple plans?

A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., – Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Frequency
- Effective Date

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Effective Date
Division Basis
Division Value
Division Name
Asset Class
Investment ID
Investment Name
Balance
Shares
Unit/Share Value
Inception-to-Date Cost
Percent of Assets
Participants (Count)

PDF & WORD

Plan Number
Plan Name
Effective Date
Bar Chart: Participation by Asset Class – Investment Value
Pie Chart: Participation by Asset Class – Percent of Assets
Division (Basis, Value, Name)
Asset Class
Investment ID
Investment Name
Balance
Shares
Unit/Share Value
Inception-to-Date Cost
Percent of Assets
Participants (Count)

Return to the Table of Contents

Plan Balance and Transaction Summary

DESCRIPTION:

This report provides a summary of financial transactions and balances by investment option and money source at a plan and/or participant level for a specified date range. Filtering options provide the ability to extract data by specific money sources and investment options, as well as by individual divisions/subsets, as applicable. To extract this data for a specific participant only, please run the Individual Participant Balance and Transaction Summary report, located in the Assets & Investments category.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: I've noticed that balances on this report differ from balances on my Quarterly Plan Summary. Why is that?

A: Balances reflected on this report may differ from your quarterly/annual statements due to retroactively processed transactions.This report will capture the most recent data available as of the date range specified, while your quarterly/annual summary statements capture data as a "snapshot in time" on the day they are run and will never include retroactively dated transactions that are processed after the statement run date.

Q: Why is the completed fund change not reflecting on this report?

A: The data required for this report is typically compiled on our system prior to when investment option transfers for the day are processed and fully completed. If investment option transfers are not being captured in your results, it is most-likely due to the timing of when the report was run. If you re-run the report at least one business day following the effective date of the investment option transfer(s), the transactions will be captured in the results.

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Begin Date
- End Date
- Include Money Source (option)
- Plan or Participant Detail (option)
- Employee Identifier
- Sort Order

OUTPUT COLUMNS:

EXCEL

Participant Detail
Plan Number
Plan Name
Begin Date
End Date
Division Basis
Division Value
Division Name
SSN/SSN Extension

PDF & WORD

Participant Detail
Plan Number
Plan Name
Begin Date
End Date
Beginning Balance
Contributions
Transfers In
Reinvestments

(Continued on next page).

Return to the Table of Contents

Participant Name

If Requested by Money Source:
- Money Source Code
- Money Source Description

Investment ID
Investment Short Name
Ticker Symbol
Investment Name
Beginning Balance
Contributions
Transfers In
Reinvestments
Loan Payments
Interest
Change in Value
Fees
Loans
Hardships
Other Disbursements
Transfers Out
Matured Certificates
Ending Balance

Plan Detail
Plan Number
Plan Name
Begin Date
End Date
Division Basis
Division Value
Division Name

If Requested by Money Source:
- Money Source Code
- Money Source Description

Investment ID
Investment Short Name
Ticker Symbol
Investment Name
Beginning Balance
Contributions
Transfers In
Reinvestments
Loan Payments
Interest
Change in Value
Fees
Loans
Hardships
Other Disbursements
Transfers Out
Matured Certificates
Ending Balance

Loan Payments
Interest
Change in Value
Fees
Loans
Hardships
Other Disbursements
Transfers Out
Matured Certificates
Ending Balance

If Requested by Money Source:
- Money Source Code
- Money Source Description
- Subtotals by Money Source

Plan Detail
Plan Number
Plan Name
Begin Date
End Date
Investment ID
Beginning Balance
Contributions
Transfers In
Reinvestments
Loan Payments
Interest
Change in Value
Fees
Loans
Hardships
Other Disbursements
Transfers Out
Matured Certificates
Ending Balance

If Requested by Money Source:
- Money Source Code
- Money Source Description
- Subtotals by Money Source

Return to the Table of Contents

Average Participant Balance by Age Group

DESCRIPTION:

This report provides a bar graph illustrating average participant balances by age group as of a specified effective date.The 10 age groups are as follows: Under 26; 26-33; 34-40; 41-48; 49-55; 56-58; 59-62; 63-65; Over 65; Unknown. The “Unknown” age group consists of participants with defaulted or invalid birth dates on our system. Total balance amounts and participant counts for each age group are also provided.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: Can I run this report for multiple plans?

A: If you have access to the “Cross Plan” category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Effective Date

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Effective Date
Division
Age Group
Participants with Balances
Total Balance
Average Balance

PDF & WORD

Plan Number
Plan Name
Effective Date
Bar Graph: Average Participant Balances by Age Group
Division
Age Group
Participants with Balances
Total Balance
Average Balance

Return to the Table of Contents

Participant Beneficiary Detail

DESCRIPTION:

This report provides the current beneficiary information on file for each active participant in the plan. It can also be run to identify participants with no designated beneficiary, and there are options to include either participant or beneficiary address data for mailing purposes.

Please note that this report will only provide results for plans that are using our Beneficiary Recordkeeping Services.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQs:

Q: Can I run this report for multiple plans?
A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (i.e. – Department, Agency, Division, etc).

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Participant Account Status
- Include Beneficiary Data?
- Beneficiary Status (If applicable)
- Address Display Option
- Participant Identifier
- Sort Order

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Participant Account Status
Beneficiary Display Option
Beneficiary Detail Option
Participants with Beneficiary
Participants Without Beneficiary
Division Basis
Division Number
Division Name

PDF & WORD

Plan Number
Plan Name
Participant Account Status
Beneficiary Display Option
Beneficiary Detail Option
Participants with Beneficiary
Participants Without Beneficiary
Employee ID
Participant Name
Account Status Sub- Code

(Continued on next page).

Return to the Table of Contents

Participant Beneficiary Detail *(continued)*

Client Division Code
Individual ID
Employee ID
Participant Name
Account Status Sub Code
Employment Status
Age
Marital Status
Effective Date
Beneficiary Social Security Number
Beneficiary Name
Beneficiary Relationship
Percent
Beneficiary Type
Beneficiary Type Description
Birth Date
Death Date
Hire Date
Terminated Date
Gender
Pay Center Basis
Pay Center Number
Pay Center Name
Pay Center Client Division Code
Participant Mailing Name 1
Participant Mailing Name 2
Participant Mailing Name 3
Participant Address 1
Participant Address 2
Participant City
Participant State
Participant Zip Code
Participant Country
Participant Email Address
Participant Home Area Code
Participant Home Phone
Participant Work Area Code
Participant Work Phone
Beneficiary Mailing Name 1
Beneficiary Mailing Name 2
Beneficiary Mailing Name 3
Beneficiary Address 1
Beneficiary Address 2
Beneficiary City
Beneficiary State
Beneficiary Zip Code
Beneficiary County
Employment Status
Age
Marital Status
Effective Date
Beneficiary Social Security Number
Beneficiary Name
Beneficiary Relationship
Percent
Beneficiary Type

Return to the Table of Contents

Participant Data Extract

DESCRIPTION:

This report provides a comprehensive list of both personal and account-related data by participant, including address, employment, compensation, participation, asset, activity and vesting information. The data specification choices provide the ability to filter for particular attributes or specific populations of participants based on employment status and account balance. For plans with divisions, the report can be run against specific divisions.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting.

FAQ's

Q: Why are some of my participants not showing up in the results?
A: If the report was run against a specific division, please verify the division that your missing participants are assigned to on our system and the effective date of when the division information was entered. Also, participants who are entered into our system with no division value typically will be assigned to a default division number (D999) until their data is updated accordingly. For example, if the report is run against Division 1, participants lacking a division or assigned to a default division will be excluded from the results. To receive global results, click "Yes" at the Ignore Division option when ordering.

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Effective Date
- Address Information
- Employment Information
- Asset Information
- Vesting Information
- Loan Information
- Compensation Information
- Participant Data

Options:

1) Participants with or without a balance
2) Participants with a balance; active and terminated employment
3) Participants with or without a balance and active employment
4) Participants with a balance and terminated employment

Note: This report cannot capture participants who are terminated and have no balance.

Return to the Table of Contents

(Continued on next page).

Participant Data Extract (*continued)*

OUTPUT COLUMNS:

A complete list of all available columns is provided below; however, please click on the below link to view a guide that details which columns are dependent upon the options selected when ordering, and also whether the data provided is as of the Effective Date selected or as of the Current Date.

Participant Data Extract Guide

AVAILABLE OUTPUT COLUMNS

Report Date
Plan Name
Plan Number
SSN
SSN Extension
SSN Extension Reason
Individual ID
Last Name
First Name
Birth Date
Default Birth Date Indicator
Death Date
Age
Gender
Marital Status
Language Code
Payroll Center
Payroll Center Name
Division Number
Division Name
Balance Effective Date
Employee Balance
Employer Balance
AFT Balance
Roth Balance
Total Balance
Vested Balance
Participant Service Code
Participant Service Sub-Code
Plan Entry Date
Eligibility Indicator
Service Years
Credited Hours YTD
Total Compensation YTD
Plan Compensation YTD
S-125 Compensation YTD
Salary Amount
Salary Amount Qualifier
Salary Effective Date
Hire Date
Rehire Date
Termination Date
Termination Date – Date Entered
Pre-Tax Paycheck Contribution Percent
Pre-Tax Paycheck Contribution Amount
After-Tax Paycheck Contribution Percent
After-Tax Paycheck Contribution Amount
Age 50 Catch-Up Pre-Tax Paycheck Contribution Percent
Age 50 Catch-Up Pre-Tax Paycheck Contribution Amount
Roth Paycheck Contribution Percent
Roth Paycheck Contribution Amount
Age 50 Catch-Up Roth Paycheck Contribution Percent
Age 50 Catch-Up Roth Paycheck Contribution Amount
Active Investment Options
Default Investment Indicator
Active Investments
Stock Balance
Self-Directed Brokerage Balance
Number of Loans
Loan Balance
Transfers in Last 6 months
Last Contribution Date
Regular Employee Contributions YTD
Regular Employer Contributions YTD
VRU Usage in Last Six Months
Web Usage in Last Six Months
Mailing Name 1
Mailing Name 2
Mailing Name 3
1st Line Address
2nd Line Address
City
State
Zip Code
Country
Mail Hold Date
Address Default Indicator
Email Address
Home Phone Number

Return to the Table of Contents

Targeted Participant Data Extract

DESCRIPTION:

This report's filtering options allow for extraction of specific populations of participants based on various account and personal data, including participants with defaulted values due to missing/invalid data. The Data Specifications section below details the available options. When exported to Excel, mailing address information is included for targeted mailing efforts.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: How is default data indicated on the report?
A: Defaulted birth date, hire date, and address fields are indicated by an asterisk (*). Defaulted allocation information is listed in the "Default Investment" column. For participants defaulted into a single investment option, the ticker symbol of the investment option is populated. For participants defaulted into more than one investment option, the word "Multiple" is populated. If participants are defaulted into our Managed Accounts services, the word "Manageacct" is populated.

Q: How do I know if a participant is defaulted into our plan's default investment option(s)?
A: When the report is run to capture participants with default allocation information, a listing of the plan's current default investment option(s) is provided at the end of the report.

Q: What is meant by the "Rule Criteria" regarding my plan's default investment option(s)?
A: This refers to the criteria used, if any, to determine which investment option a participant should be defaulted into should she/he fail to make a positive election. Common examples of criteria rules are Birth Date, Age and Managed Accounts.

Q: Can I run this report for multiple plans?
A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Participant Account Status
  Options
  1) All Active Participants
  2) Active Participants Awaiting First Deposit
  3) Active Participants with a Balance
  4) All Participants
  5) Terminated Participants Only

Return to the Table of Contents

(Continued on next page).

Targeted Participant Data Extract *(continued)*

- Participant Employment
  - Options
    1) Currently Employed
    2) Terminated from Employment
    3) All Participants Regardless of Employment
- Specified Age
- Age as of Date
- Mail Hold Indicator
  - Options
    1) Participants with a Mail Hold Date
    2) Participants Without a Mail Hold Date
    3) All Participants Regardless of Mail Hold Date
- Contribution Days
  - Options
    1) Include All Participants Regardless of Contribution Days
    2) Include Only Participants with No Contributions in the Past:
       a) 30 Days
       b) 60 Days
       c) 90 Days
       d) 180 Days
       e) 12 Months
       f) 18 Months
- Ownership
  - Options
    1) All Accounts
    2) Normal Participant Accounts
    3) QDRO Accounts
    4) Takeover Accounts
- Default Indicator
  - Options
    1) Defaulted Birth Date
    2) Defaulted Hire Date
    3) Defaulted Address
    4) Defaulted Allocation
    5) All Default Information
    6) No Default Information
- Allocation Indicator
  - Options
    1) Exclude Participants with No Allocations
    2) Include All Regardless of Allocations
- Participant Identifier
- Sort Order
- Frequency

(Continued on next page).

Return to the Table of Contents

Targeted Participant Data Extract (*continued*)

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Account Status
Employment Status
Default Information
Plan Number
Plan Name
Division Basis
Division Value
Division Name
Client Division Code
SSN
SSN Extension
Account Status
Account Status Sub-Code
Birth Date
Default DOB
Age
Hire Date
Default DOH
Gender
Marital Status
Default Address
Default Investment
Pay Center Basis
Pay Center Value
Pay Center Name
Pay Center Code
First Name
Middle Name
Last Name
Mailing Name 1
Mailing Name 2
Mailing Name 3
First Line Mailing
Second Line Mailing
City
State
Zip Code
Country
Home Phone Area Code
Home Phone Number
Work Phone Area Code
Work Phone Number
Plan's Current Default Allocations
Plan Number
Investment
Description
Rule Criteria
Effective Date
Percent
Range Low
Range High
QDIA Indicator

PDF & WORD

Plan Number
Plan Name
Account Status
Employment Status
Default Information
Employee ID
SSN Extension
Participant Name
Account Status
Account Status Sub-Code
Birth Date
Age
Hire Date
Gender
Marital Status
Default Status
Default Investment
Plan's Current Default Allocations

Return to the
Table of Contents

Compliance Census File

DESCRIPTION:

This report provides data on personnel employed during a selected plan-year reporting period. It contains information on employee dates, hours, compensation, etc. It is used for compliance testing and 5500 reporting.

AVAILABLE FORMAT:

- Text: Allows for editing or exporting to a spreadsheet

FAQ

Q: Who should be included on the census file?
A: Census data should be provided for everyone employed during the plan year regardless of their length of employment or whether or not the specific individuals elected to participate in the plan. If you are a member of a controlled or affiliated service group of employers, please provide census data for the employees of each employer and indicate which employees are excluded from the plan in the employee status column with an "E."

Q: How do I make updates to the file?

A: The file can be opened and manipulated using Microsoft Excel. Prior to uploading the file, ensure the file is resaved in a .txt format.

Q: What is pre-entry compensation?
A: Pre-entry compensation is the compensation earned prior to an employee becoming eligible for entry into the plan during the current plan year. The compensation earned from the later of the date of hire or beginning of the plan year to the employee's entry date is considered pre-entry compensation.

DATA SPECIFICATIONS:

- Plan Number
- Plan Year Begin Date
- Plan Year End Date

OUTPUT COLUMNS:

Column A:	Employee Name
Column B:	Employee Status
Column C:	SSN
Column D:	Date of Birth
Column E:	Hours Worked
Column F:	Original Date of Hire
Column G:	Date of Termination
Column H:	Date of Rehire
Column I:	Pre-Entry Compensation
Column J:	Plan Compensation
Column K:	Total Compensation
Column L:	Prior 12 Months' Compensation
Column M:	Employee Paycheck Contributions
Column N:	Employer Matching Contributions
Column O:	Employee After-Tax Contributions
Column P:	Employer Non-Elective Contributions
Column Q:	Employee Roth Contributions
Column R:	Officer Status

Return to the Table of Contents

Monthly Plan Activity

DESCRIPTION:

This report provides a summary of plan- and participant-level activity for a selected month. Information in the following categories is provided:

1) Contributions *(Plan-Level Data by Money Source and Investment Option)*
2) Rollover Activity
3) Investment Election Changes
4) Distributions
5) Loans
6) Participants with First Contribution
7) Contributing Participants with Default Investment Elections
8) Transfers
9) Enrollment Notifications

Note: Current month data is available, however, the report will only capture activity up through the prior business day.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting.
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: Do I have to enter the last business date of the month as my Process Date?
A: No. For your convenience, the report is designed so that you can enter any date of the month for which you'd like to pull this data. For example, entering 8/14 or 8/31 will yield the same August report.

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Employee Identifier
- Frequency
- Process Date

OUTPUT COLUMNS

Contributions

Division
Division Name
Payroll Date
Effective Date
Received Date
Event ID
Money Source Code
Money Source
Investment ID
Investment Name
Amount
Participant Count

(Continued on next page).

Return to the Table of Contents

Monthly Plan Activity (*continued*)

Rollover Activity:
- Division
- Division Name
- Participant Name
- SSN
- SSN Extension
- Effective Date
- Amount

Investment Election Changes:
- Division
- Division Name
- Participant Name
- SSN
- SSN Extension
- Effective Date
- Entry Source (Web, Phone, etc.)

Distributions:
- Division
- Division Name
- Participant Name
- SSN
- SSN Extension
- Effective Date
- Disbursement Method
- Tax Disbursement Reason

Loans:
- Division
- Division Name
- Participant Name
- SSN
- SSN Extension
- Effective Date
- Type (General or Residential)
- Loan Number
- Amount

Participants with First Contribution:
- Division
- Division Name
- Participant Name
- SSN
- SSN Extension
- First Contribution Date
- Status

Contributing Participants with Default Investment Elections:
- Division
- Division Name
- Participant Name
- SSN
- SSN Extension

Transfers:
- Division
- Division Name
- Participant Name
- SSN
- SSN Extension
- Effective Date
- Transfer Source
- Transfer Type

Enrollment Notifications:
- Division
- Division Name
- Participant Name
- SSN
- SSN Extension
- Notification Date

Return to the Table of Contents

Participant Statistics by Age Group

DESCRIPTION:

This report divides participants into nine age groups and provides counts for a variety of categories pertaining to account status, eligibility and transaction activity over a specified date range. Each category includes a Total count as well as an "Unknown" group that captures participants with defaulted or invalid birth dates on our system. The age groups provided are as follows: 26-33; 34-40; 41-48; 49-55; 56-58; 59-62; 63-65; Over 65. For plans with divisions, the report can be run for specific divisions or globally for the entire plan.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting.
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: Can I run this report for multiple plans?
A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Frequency
- Begin Date
- End Date

CATEGORIES:

Counts as of the End Date Selected:

- Total Eligible Participants*
- Ineligible/Never Eligible Participants*
- Active Participants with a Balance
- Terminated from Employment with a Balance
- Outstanding Loan(s)

Counts for the Date Range Selected:

- Participants with a Balance
- Active Participants Contributing
- Active Participants Receiving Employer Contributions
- Percent of Active Participants Contributing
- Percent of Active Participants Receiving Employer Contributions
- Percent of Total Eligible Participants that Are Participating*

(Continued on next page).

Return to the Table of Contents

Participant Statistics by Age Group (*continued*)

- Full Withdrawals
- New Loans Issued
- First Contributions
- Newly Eligible Participants*

** Counts for these categories are only provided for plans utilizing our online enrollment services.*

Status Definitions:

Active Participant:	Employed as of the selected End Date
Eligible Participant:	Employed with a Participation Date that is prior to the selected End Date
Ineligible Participant:	Employed but not eligible to participate as of the selected End Date

Return to the Table of Contents

Participant Website and Voice Response System Usage Summary

DESCRIPTION:

This report generates a listing of participant inquiries and activity initiated through the participant website and the phone voice response system over a specified month-based reporting period. Counts of total logins and number of distinct users are provided, along with counts of the specific inquiry or update activity occurring within the time frame selected. Data for this report is provided in monthly increments only, and is limited to the previous 12-month period.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: What will be on the report if I run it for the current month? For multiple months?
A: Data for the current month is not available until after the last business day of the month. At the end of each month, data for this report is compiled as a collective for the month and can then be extracted in full-month increments only. For example, requesting Begin/End Dates of 12/8 to 12/15 will yield a full report of all December data (12/1 through12/31).

Data can be requested for multiple months, up to a maximum of the 12 previous months. The system will not prevent you from entering a date range greater than 12 months; however, the results provided will be automatically restricted to the prior 12-month period.

Q: Can I run this report for multiple plans?
A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Begin Date
- End Date

OUTPUT COLUMNS

Plan Number
Plan Name
Begin Date
End Date

(Continued on next page).

Return to the Table of Contents

Participant Website and Voice Response System Usage Summary (*continued*)

Division Basis, *if applicable*
Division Value, *if applicable*
Division Name, *if applicable*

WEB USAGE

Totals

- Distinct Users
- Total Logins

Inquiries

- Account and Certificates Overview
- My Investments
- Disbursement Summary
- Investment Overview
- Account Balance
- Balance Comparison
- Balance History
- Beneficiary Data
- Paycheck Contribution Rate
- Investment Overview
- Investment Prospectus
- Investment Returns
- Investment Trends
- Loan Summary
- Online Forms
- Rate of Return
- Rates
- Transaction History
- Transfers
- Unit Values
- Employee Address
- Statements – On Demand or Quarterly

Updates

- My Investments
- Beneficiary Data
- Change Passcode
- Paycheck Contribution Rate
- Electronic File Cabinet
- Email Address
- Investment Transfer
- Personal Information
- Loan Disbursements
- Loan Request
- Order Passcode
- Registration

VRU USAGE

Totals

- Calls Fielded by Service Reps
- Distinct Callers
- Total Calls

Inquiries

- My Investments
- Loan(s)
- Transaction History

Updates

- Change Passcode

Return to the Table of Contents

Participant Deposit Detail (Calendar Year-to-Date)

DESCRIPTION:

This report provides detail of calendar year-to-date deposits to participant accounts as of a specified date. All deposits to participant accounts are captured, including contributions, rollovers, earnings, etc. Filtering options provide the ability to show amounts by money source or as overall totals and to extract deposit activity for select populations of participants with regards to age and year-to-date contribution amounts. The report also provides catch-up contribution information, as applicable. The Excel output provides participant address data for targeted mailing purposes.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: How do I request a report of participants who are nearing or have exceeded the IRS 402(g) contribution limit? What if my plan offers Roth contributions in addition to pre-tax contributions?
A: To identify participants who are nearing or have exceeded the IRS 402(g) maximum contribution limit, select "Payroll" from the Date Indicator field, enter the begin date of the plan year (1/1 for most plans), and then populate the Limit Amount field with a dollar amount that is less than the current IRS maximum. The report will only display participants who have contributed more than the amount entered into the Limit Amount field.

If your plan offers both pre-tax and Roth money sources, you can select both in the money source parameter. To select multiple money sources, hold down the CTRL key while pressing enter or left-clicking your mouse on the desired money source(s). Please note that when multiple money sources are selected, the cumulative contribution amounts for all money sources selected are what will be compared to the figure entered into the Limit Amount field. Only participants who are over the amount entered will be displayed.

Q: What is represented in the Catch-Up Type column?
A: If your plan is utilizing our deferral recordkeeping services, this column will display "AGE50" for participants that are age 50 or over and are deferring catch-up amounts (e.g., amounts in excess of the IRS 402(g) maximum contribution limit). For 457 plans, this column will display "AC457" for participants that are contributing catch-up amounts.

Q: Can I change the begin date for this report?
A: The start date for this report defaults to January 1 and pulls data for the calendar year based on the Effective Date specified. This allows you to set the report for a recurring frequency (e.g., Monthly, Quarterly, etc.) and always receive calendar year-to-date information. If you have a specific date range required that does not begin with January 1, please run the Participant Deposit Detail report as it allows for any Begin and End Dates.

Q: Can I run this report for multiple plans?
A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Date Indicator
- Money Source
- Deposit Type
- Participant Identifier
- Sort Order

Return to the Table of Contents

Participant Deposit Detail (Calendar Year-To-Date) (*continued)*

- Specified Age*
- Limit Amount**
- Frequency
- Effective Date

* Data will only be provided for participants who meet or exceed the age entered here.
** Data will only be provided for participants who meet or exceed the amount entered here.

OUTPUT COLUMNS

EXCEL

Plan Number
Plan Name
Subset Basis
Subset Value
Subset Name
SSN
SSN Extension
Participant Name
Age
Account Status
Termination Date
Last Payroll Date
Money Source
Contribution Amount
Total Amount
Participant Total
Catch-Up Type
403(b)
457
Age 50
Military
Remaining Available Catch-Up
REG Amount
SGL Amount
Highly Compensated
Pay Center Basis
Pay Center Value
Pay Center Name
First Name
Middle Name
Last Name
Mailing Name 1
Mailing Name 2
First Line Mailing
Second Line Mailing
City
Zip Code
Country
Home Phone Area Code
Home Phone Number
Work Phone Area Code
Work Phone Number
Birth Date

PDF & WORD

SSN
SSN Extension
Participant Name
Age
Account Status
Termination Date
Last Payroll Date
Money Source
Contribution Amount
Conversion Amount
Total Amount
Participant Total
Catch-Up Type

Return to the Table of Contents

Plan Contribution Summary by Money Source

DESCRIPTION:

This report provides information on all contribution remittances (Events) made to the plan for a specified date range. For each Event ID remitted, the report shows a money source breakdown of amounts allocated and confirmations of Effective Date, Received Date and Payroll Date. Plan Totals for the date range specified are also captured. Filtering options allow you to search for remittances based on either Payroll Date or Effective Date and also to extract data by specific money source(s).

For each Event ID captured, additional participant-level contribution detail can be obtained by clicking on the "View Detail" hyperlink. This drill-down functionality essentially creates a new Plan Contribution Summary by Money Source report for one Event ID, which includes participant contribution amounts by money source, subtotals for each money source, and a count of participants included on the Event ID.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: How do I create a Plan Contribution Summary by Money Source for a specific Event ID?
A: Prior to exporting the report to PDF or Excel, locate the Event ID you wish to view and click on the "View Detail" hyperlink. This will create a new tab with participant-level details for that Event ID which you can then export to PDF or Excel.

To return to the original report, click on the "Main Report" tab in the upper left-hand corner of the report. You can then continue to create new tabs for as many Event IDs as needed.

Q: When will contributions be available for reporting?

A: Contribution transactions are typically available for reporting one business day after the event's effective date.

Q: Can I run this report for multiple plans?

A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Date Type Indicator
- Money Source
- Participant Identifier
- Frequency
- Begin Date
- End Date

(Continued on next page).

Return to the
Table of Contents

<u>Plan Contribution Summary by Money Source (*continued*)</u>

<u>OUTPUT COLUMNS:</u>

Plan Number
Plan Name
Reporting Period
Begin Date
End Date
Division Basis
Division Value
Division Name
Event ID
Event Detail Report
Effective Date
Received Date
Payroll Date
Remittance Amount
Reconciliation Amount
Money Source
Transaction Amount
Participant Suspense
Forfeiture Amount

Participant Detail
- Social Security Number
- Social Security Number Extension
- Participant Name
- Total Contribution
- Money Source
- Contribution Amount

Return to the Table of Contents

Participant Deposit Detail

DESCRIPTION:

This report provides detail of deposits to participant accounts for a specified date range. All deposits to participant accounts are captured, including contributions, rollovers, earnings, etc. Filtering options provide the ability to show amounts by money source or as overall totals and to extract deposit activity for select populations of participants with regards to age and year-to-date contribution amounts. The report also provides catch-up contribution information, as applicable. The Excel output provides participant address data for targeted mailing purposes.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: How do I request a report of participants who are nearing or have exceeded the IRS 402(g) contribution limit? What if my plan offers Roth contributions in addition to pre-tax contributions?
A: To identify participants who are nearing or have exceeded the IRS 402(g) maximum contribution limit, select "Payroll" from the Date Indicator field, enter the begin date of the plan year (1/1 for most plans), and then populate the Limit Amount field with a dollar amount that is less than the current IRS maximum. The report will only display participants who have contributed more than the amount entered into the Limit Amount field.

If your plan offers both pre-tax and Roth money sources, you can select both in the money source parameter. To select multiple money sources, hold down the CTRL key while pressing enter or left-clicking your mouse on the desired money source(s). Please note that when multiple money sources are selected, the cumulative contribution amounts for all money sources selected are what will be compared to the figure entered into the Limit Amount field. Only participants who are over the amount entered will be displayed.

Q: What is represented in the Catch-Up Type column?
A: If your plan is utilizing our deferral recordkeeping services, this column will display "AGE50" for participants that are age 50 or over and are deferring catch-up amounts (i.e., amounts in excess of the IRS 402(g) maximum contribution limit). For 457 plans, this column will display "AC457" for participants that are contributing catch-up amounts.

Q: Can I run this report for multiple plans?
A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.)

DATA SPECIFICATIONS:

- Plan Number
- Date Indicator
- Money Source
- Deposit Type
- Participant Identifier
- Sort Order
- Specified Age*
- Limit Amount**
- Frequency
- Begin Date
- End Date

* Data will only be provided for participants who meet or exceed the age entered here.
**Data will only be provided for participants who meet or exceed the amount entered here.

Return to the Table of Contents

(Continued on next page).

Participant Deposit Detail (*continued*)

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Subset Basis
Subset Value
Subset Name
SSN
SSN Extension
Participant Name
Age
Account Status
Termination Date
Last Payroll Date
Money Source
Contribution Amount
Total Amount
Participant Total
Catch-Up Type
- 403(b)
- 457
- Age 50
- Military

Remaining Available Catch-Up
REG Amount
SGL Amount
Highly Compensated
Pay Center Basis
Pay Center Value
Pay Center Name
First Name
Middle Name
Last Name
Mailing Name 1
Mailing Name 2
First Line Mailing
Second Line Mailing
City
Zip Code
Country
Home Phone Area Code
Home Phone Number
Work Phone Area Code
Work Phone Number
Birth Date

PDF & WORD

SSN
SSN Extension
Participant Name
Age
Account Status
Termination Date
Last Payroll Date
Money Source
Contribution Amount
Conversion Amount
Total Amount
Participant Total
Catch-Up Type

Return to the Table of Contents

Contribution Summary by Investment Option

DESCRIPTION:

This report provides a summary of contributions to the plan by investment option for a specified date range. The data shows what percentages of contributions have been allocated to each investment option in three categories: Employee Contributions, Employer Contributions and Total Contributions.

AVAILABLE FORMATS:

- HTML (HyperText Markup Language) – common Internet document format
- TEXT – universal file type with limited formatting

DATA SPECIFICATIONS:

- Plan Number
- Frequency
- Begin Date
- End Date

OUTPUT COLUMNS:

Investment Option Name

- Employee
    - Count
    - Contributions
    - Percentage
- Employer
    - Count
    - Contributions
    - Percentage
- Total
    - Count
    - Contributions
    - Percentage

Return to the Table of Contents

Paycheck Contribution Rates by Age Group and Assets

DESCRIPTION:

The data provided in this report with regards to paycheck contribution rates is twofold. The first section provides a bar graph illustrating the average paycheck contribution rates by age group. The nine age groups are as follows: Under 26; 26-33; 34-40; 41-48; 49-55; 56-58; 59-62; 63-65; 66 and older. The second section provides Total Assets, Percentage of Assets, and Participant Counts by paycheck contribution rate for active employees with a balance. As applicable, the data is subtotaled by money source (Pre-Tax, After-Tax and Roth) and includes an overall average contribution rate for each money source. Lastly, the report captures asset balances and counts of terminated participants with a balance, as well as an overall Total Participant Balance and Count of Participants with a balance.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting.
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Effective Date

OUTPUT COLUMNS:

EXCEL	**PDF & WORD**
Plan Number	Plan Number
Plan Name	Plan Name
Effective Date	Effective Date
Division/Money Source	Bar Graph(s) - Paycheck Contribution Rate Averages by Age Group
Participant Account Status	Division/Money Source
Rate (Percentage/Amount)	Rate (Percentage/Amount)
Assets	Assets
Percent of Assets	Percent of Assets
Participant Count	Participant Count

Return to the Table of Contents

Participant Loan Detail

DESCRIPTION:

This report provides detail of all participant loan information for a specified date range including loans issued/paid, loan attributes, payment history, current status and default information. Filtering options provide the ability to pull data based on current loan status and to isolate loans that are late and/or defaulted.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics

FAQ

Q: What is the difference between the Standard and Late/Defaulted layout?
A: The Standard layout provides general information on all loans regardless of current payment status. The Late/Defaulted layout contains information specific to loans that are late and/or defaulted and provides additional detail as it relates to the payment delinquency.

Q: Can I run this report for multiple plans?
A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc).

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Loan Status
- Payment Status
- Employee Identifier
- Sort Order
- Frequency
- Begin Date
- End Date

OUTPUT COLUMNS

The output fields that are provided are dependent on which version of the report is requested in the "Payment Status" specification: Standard Layout or Late/Defaulted Layout. Please click on the link below for a field documentation grid.

Participant Loan Detail – Field Documentation Grid

Return to the Table of Contents

Participant Involuntary Distribution Listing

DESCRIPTION:

This report is used to identify and authorize the processing of involuntary distributions for terminated employees. It generates a listing of participants' vested account balances by money source within a specified dollar range. The employment status parameter allows you to run the report against either All, Active or Terminated participants. Deceased participants and those with contributions after the Last Contribution Date are excluded from the report.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: Why is a participant not on the report?
A: There are several reasons for participants to be excluded from the report:

- Participant vested balance and loan balance are not within the specified dollar range.
- Participant received a contribution after the specified Last Contribution Date.
- The employee does not meet the employment criteria selected:
    1) ALL: Includes all employees regardless of employment status
    2) A: Includes only Active employees
    3) T: Includes only Terminated employees
- Deceased participants are excluded from the report.

Q: How does the Last Contribution Date parameter impact the results?

A: Participants who have received a contribution after the date provided here will be excluded from the results.

DATA SPECIFICATIONS:

- Plan Number
- Division(s), *if applicable*
- Low Balance Amount (Default Value = $3,500)
- High Balance Amount (Default Value = $5,000)
- Employee Status (Active, Terminated, All)
- Include Rollover Money (if applicable)
- Show Money Source (if applicable)
- Sort Order
- Frequency
- Effective Date
- Last Contribution Date*

** Participants with contributions allocated after the date entered here will be excluded from the results.*

Return to the Table of Contents

Participant Involuntary Distribution Listing (*continued*)

OUTPUT COLUMNS:

EXCEL	PDF & WORD
Plan Number	Plan Number
Plan Name	Plan Name
Division Basis	Division Basis
Division Value	Division Value
Division Name	Division Name
SSN	SSN
SSN Extension	SSN Extension
Participant Name	Participant Name
Birth Date	Birth Date
Last Contribution Date	Last Contribution Date
Employment Termination Date	Employment Termination Date
If Requested by Money Source:	If Requested by Money Source:
Money Source	Money Source
Money Source Description	Money Source Description
Total Balance	Total Balance
Vested Balance	Vested Balance
Vested Error	Vested Percent
Vested Percent	
Loan Balance	Loan Balance
Disbursement Reason/Date	Disbursement Reason/Date
Record Type	
Self-Directed Account	
Mailing Name 1	
Mailing Name 2	
Mailing Name 3	
First Line Mailing	
Second Line Mailing	
City	
State	
Zip	
Country	
Mail Hold Date	
Prior Involuntary Distribution Indicator	

Return to the Table of Contents

Plan Disbursement Summary

DESCRIPTION:

This report provides a summary of participant disbursement activity for a specified date range by disbursement type, reason and investment option. Loan withdrawal activity is also included. When exported to PDF or Word format, the report includes either a bar graph or a pie chart illustrating disbursement activity by Reason or Method, respectively. Disbursement amount subtotals by investment option, method and reason are provided, as well as participant counts for each. To obtain disbursement data broken down by individual participant, please run the Participant Disbursement Detail report.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQ

Q: What does Reason and Method represent in the Report Type specification?

A: Disbursement Reason refers to how the payment was made, such as Direct Rollover to an IRA or a Payment to Self. Disbursement Method refers to Full Withdrawal, Partial Withdrawal or Periodic Payment.

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Report Type
- Frequency
- Begin Date
- End Date

* Selecting "Method" or "Reason" provides the same data; however, when "Method" is selected, a pie chart is provided showing Full Withdrawal activity versus Partial Withdrawal activity and when "Reason" is selected, a bar chart is provided illustrating (in dollars) disbursement type activity (Payment to Self, Direct Rollover, Loan, etc.) for the date range selected.

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Begin Date
End Date
Method
Reason
Investment ID
Investment Name
Disbursement Amount
Participants
Total for Each Distribution Reason
Grand Total

PDF & WORD

Plan Number
Plan Name
Begin Date
End Date
Chart: Disbursement Activity by Method or Reason
Method
Reason
Investment ID
Investment Name
Disbursement Amount
Participants
Total for Each Distribution Reason
Grand Total

Return to the Table of Contents

Participant Disbursement Detail

DESCRIPTION:

This report provides participant-level detail on all disbursements occurring within a specified date range. Loan withdrawals are included in the data. The detail provided includes disbursement-related data, such as reason, type and taxation code, as well as financial detail, such as money sources, gross/net amounts, vested percentages, forfeited dollars, fees and tax withholdings. Upfront filtering options provide the ability to capture specific disbursement activity by taxation, method and employee age.

AVAILABLE FORMATS:

- Excel: Recommended for data sorting and formatting. Additional columns of data are available in this format
- PDF: Recommended for viewing and printing formatted text and graphics
- Word: Alternate option for viewing and printing formatted text and graphics

FAQs:

Q: Can I run this report for multiple plans?

A: If you have access to the "Cross Plan" category, you may run this report against some or all of the plan numbers to which you have been granted access. Please note that our system will automatically choose a divisional category, if applicable, for each plan as different plans may utilize varying division categories (e.g., Department, Agency, Division, etc.).

DATA SPECIFICATIONS:

- Plan Number
- Division, *if applicable*
- Date Type
- Tax Reason
- Disbursement Method
- Employee Identifier
- Sort Order
- Age as of Disbursement
- Frequency
- Begin Date
- End Date

(Continued on next page).

Return to the
Table of Contents

Participant Disbursement Detail (*continued*)

OUTPUT COLUMNS:

EXCEL

Plan Number
Plan Name
Begin Date
End Date
Tax Reason
Disbursement Method
Division Basis
Division Value
Division Name
SSN
SSN Extension
Participant Name
Age
Birth Date
Hire Date
Termination Date
Taxable Reason
Disbursement Reason
Disbursement Method
Effective Date
Money Source
Disbursement Amount
Disbursement Fee
Withholding Amount
Vested Percentage
Forfeited Amount
Check Amount
Mailing Name 1
First Line Mailing
Second Line Mailing
City
State
Zip Code
Country

PDF & WORD

Plan Number
Plan Name
Begin Date
End Date
Tax Reason
Disbursement Method
SSN
SSN Extension
Participant Name
Age
Taxable Reason
Disbursement Reason
Disbursement Method
Effective Date
Money Source
Disbursement Amount
Disbursement Fee
Withholding Amount
Vested Percentage
Forfeited Amount
Check Amount

Return to the Table of Contents