PEP Retirement Plan Portal Authorization Form

Retirement Plan Portal provides you on-line access to real time confidential information and reports specific to your 401k plan.

Company Name: ____Tax Id #:___________________

Option 1 Full Access (Access will be granted for all items listed under Option 2)

☐ **Access to ALL Portal Information**

**** Individuals not authorized to view sensitive internal employee information like compensation, and account balances should not be given this access***

Grant this Access to: ____ Title: _________________________________

(Name)

E-Mail Address: ____

Option 2 Limited Access Individuals can be given access to only specific functions, information or reports on the portal.

Select the type of access to be granted:

☐ **Upload Contribution File**: A secure and efficient way of transmitting Contribution Files to slavic401k.com. By filling out a short form, you can expedite the reconciliation process and speed up your contribution. ***Information includes employee compensation/account balances. Plan Sponsor Web Access.***

☐ **Databridge**: A means of downloading enrollments and participant changes, such as addresses and deferral rates, entered on the Slavic401k website to your organization.

☐ **Portal Reports**: Up-to-date reports on the details of your plans. ***Information includes employee compensation/account balances.*** Plan Sponsor Web access on plan-level and employee-level.

☐ **Loan Commencement**: Loan Documents for payroll loan deductions set up.

☐ **Sponsor Express Email:** A monthly Email service that provides the company owner/sponsor with information such as plan assets, testing results, employee participation levels, deferral amounts, matching and/or profit-sharing amounts and the most subscribed to funds among participants.

Grant this Access to: ____ Title: ____________________________________

(Name)

E-Mail Address: ____

If you are not an owner, please have an owner or trustee (authorized signer) sign below to authorize access:

Trustee/Owner Name: ______________________________Title ____________________

Trustee/Owner Signature: _________________________________ Date: ____________

<u>For Internal Use Only</u>: SIA Authorized Signature: ____________________________ Date: __________ __________

Multiple Employer Sponsor name:____ Plan ID: __________________

In order to service your retirement plan efficiently and facilitate the compliance testing and reporting, please supply Slavic401k with only ONE file for each contribution pay period.

FORMAT

It is extremely important that we receive complete and valid data on each of your 401(k) file submissions. The integrity of this data is critical when testing for participant eligibility and plan compliance.

It is Slavic401k's desire to provide timely and accurate plan information at all times. In order to accomplish this, we need to ensure that the data provided to us is complete and accurately reflects the status of all employees who have been on your payroll during the year. Without such information, it is impossible for slavic401k.com to provide the full service that you need.

Our standard contribution file format will be provided to you. Any deviations from the standard format must be approved by Slavic401k. If you do not have data for a column, please do not delete the column. It can be left blank. Below are helpful guidelines to formatting your file. The file should be comma delimited or an Excel spreadsheet.

- All employees should be listed on the file, whether or not they have met eligibility or participating. Please include their complete census including hours and wages for the pay period.
- Social Security Numbers should be 9 digits. Dashes and exclusion of leading zeros are accepted.
- Deferral, match, loan payment, and profit sharing should NEVER be negative. All amounts should be in the 'number' format with no commas or dollar signs and rounded to two decimal places.
- Embedded quotes (" ") should not be used on the file.
- State should be 2-digit abbreviation (FL instead of Florida).
- All dates should have 4-digit years (mm/dd/yyyy date format).
- If your plan is safe harbor, the contribution needs to be in the proper column. If it is a 3% non-elective, it must go in the profit share column. If it is a 4% match, it must go in the employer match column.
- Column headers are required but a footer with totals is not required.
- The Status and Status date columns are used to report your Terminated (T) and Rehired (R) employees.
- DOH column should always contain the original date of hire.
- Payroll Date column must be populated with the check date and cannot be blank.

Contribution File Formatting Guide

Below is a legend by column for the contribution file. Please ensure your file follows the examples listed below.

Column	Field Name	Format	Example Data
A	Social Security Number	9-Digits	100101000
B	Name – First	Text	John
C	Name – Last	Text	Doe
D	Address – Street 1	Text	1919 Main St
E	Address – Street 2	Text	Apt. 103
F	Address – City	Text	Nowhere
G	Address – State	2-Characters	FL
H	Address – Postal Code	9-Digits	334310000
I	Phone – Home	10-Digits	5559991212
J	Internet Address – Home	Text	johndoe@example.com
K	Date of Birth	MM/DD/YYYY	04/03/1968
L	Date of Hire – Original	MM/DD/YYYY	05/07/2010
M	Current Hours of Service (for payroll period)	Text	80
N	Gross Current Salary (for payroll period)	Number	1234.00
O	Café Benefits	Number	67.49
P	Current Deferral (pre-tax)	Number	123.50
Q	ROTH post-tax/Current User Defined 1	Number	123.50
R	Employer Match	Number	61.50
S	Loan Payment	Number	25.00
T	PS / SHNE	Number	37.00
U	IRA	Number	62.92
V	Employment Status Code	Blank For Active 'R' for Rehired 'T' for Terminated	T
W	Employment Status Date	MM/DD/YYYY	11/20/2014
X	Payroll Date	MM/DD/YYYY	11/30/2014

No special characters (such as DASHES, COMMAS, DOLLAR SIGNS, etc.) should be included with:

- Social Security Number
- Zip Code
- Phone Numbers
- Deferrals amounts/dollar values

TEST FILE

A populated test file must be sent to Slavic 7 days prior to submitting your first deferral. This will enable any discrepancies and formatting issues to be addressed before your plan goes live.

DATA SUBMISSIONS

The submission and accuracy of data is the responsibility of the client. To maintain the integrity of the data, Slavic401k is unable to manipulate the contribution file and accepts and processes the file as received.

If an employee submits a new address and contribution change online, you will be notified about this change from our Databridge system email. Please contact your payroll service or outside vendor to coordinate this change. Please ensure that the changes are reflected on your contribution files.

We have several methods of submitting the contribution file. This method must be agreed upon with Slavic and should be the sole method of file submission.
Each file should have a unique name. If there is a revised file, the replacement file's name should be different and not the same name as the previously submitted file.

SCHEDULE AND FREQUENCY

In order to keep administration costs to a minimum and to also ensure all the contribution files have been received for the year, it is important that the files are sent in a timely manner and are submitted in accordance with the agreed upon schedule.

Delays in a timely submission of files can cause compliance and regulatory concerns with the Department of Labor.

Your contribution frequency has been created in our system under a set schedule. Any off-cycle contributions can be included in the next scheduled submission.

Your contribution files should be submitted according to your paycheck dates. This will enable better reconciliation between your total end of year contributions and W2 reporting.
Slavic401k should be notified if your pay schedule changes.

FUNDING

Funding must be received on or before contributions can be processed. The preferred method of funding is by ACH. A wire can also be initiated by the client. Banking information will be requested or provided depending on the agreed upon method.

After Contribution files are submitted, we will request an ACH from your bank account/s on record. An autogenerated email will be sent to you notifying of the breakdown, by source, of your file. Please ensure your bank account has funds available to cover the contributions.

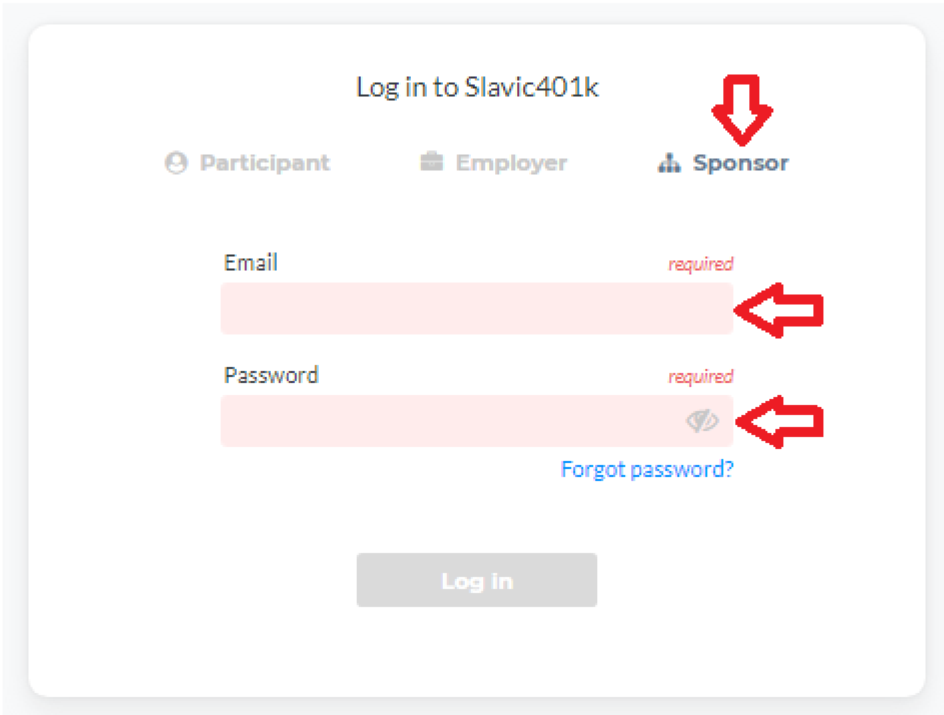
INSTRUCTIONS ON UPLOADING TEST & CENSUS FILES

1075 Broken Sound Parkway NW, Suite 100
Boca Raton, FL 33487-3540
800-356-3009 ■ 561-241-9244 ■ Fax: 561-241-1070

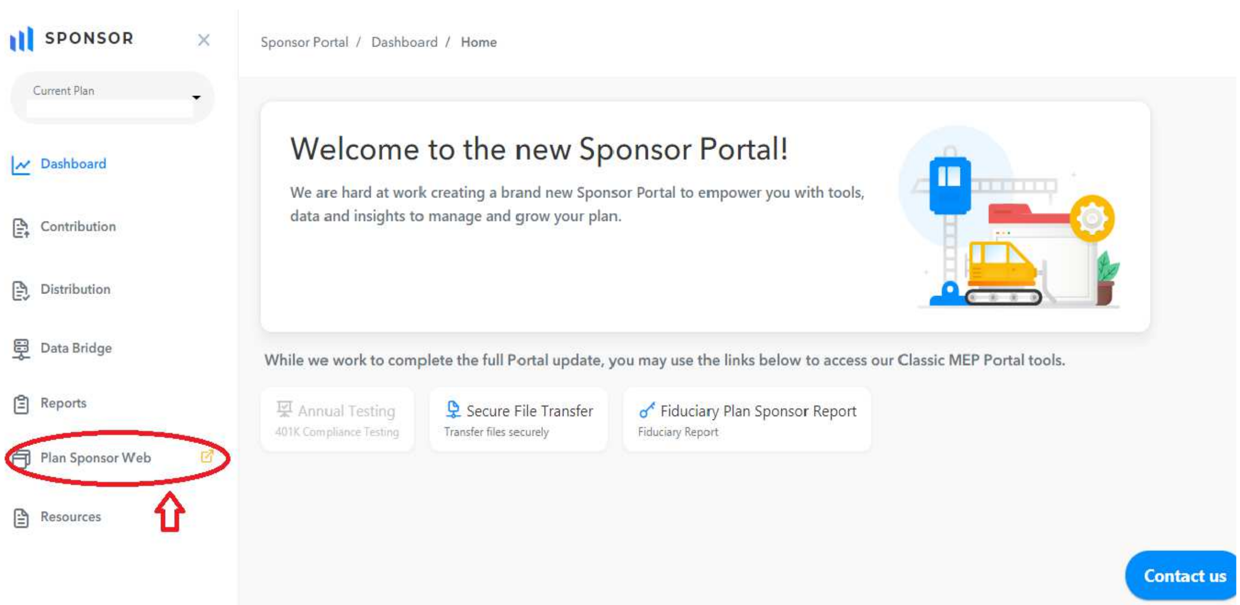
SLAVIC 401K

To Upload the Test File/Census Information

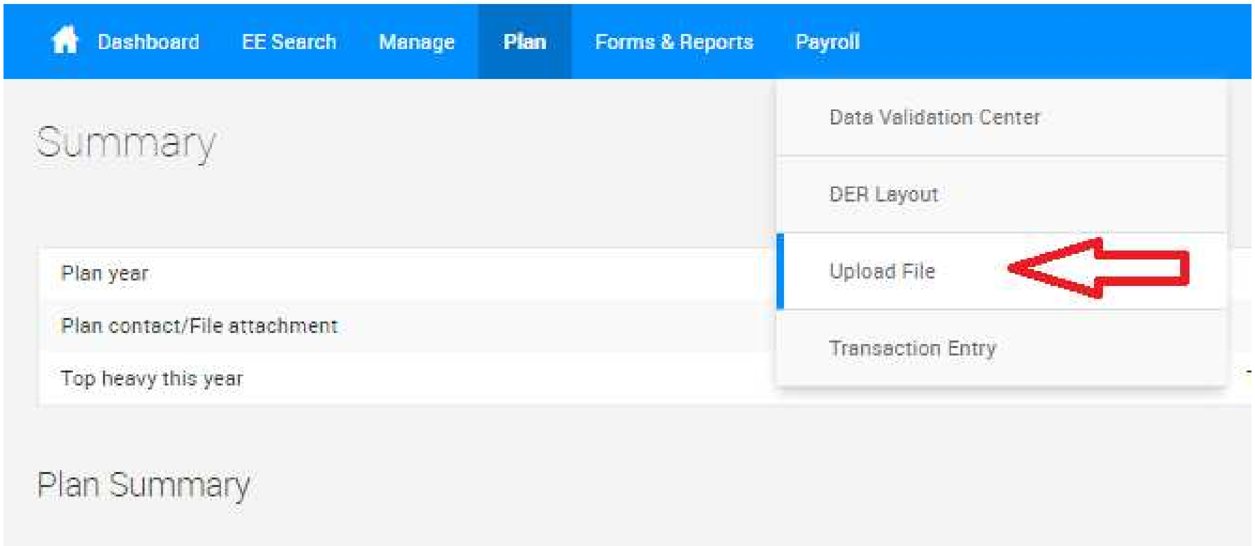
Log into your account: Go to www.slavic401k.com, click on "Log In" in upper right corner. Then choose "**Sponsor**", enter your user name and password, and ***click Log In***.



- In the lower left corner select "**Plan Sponsor Web**"



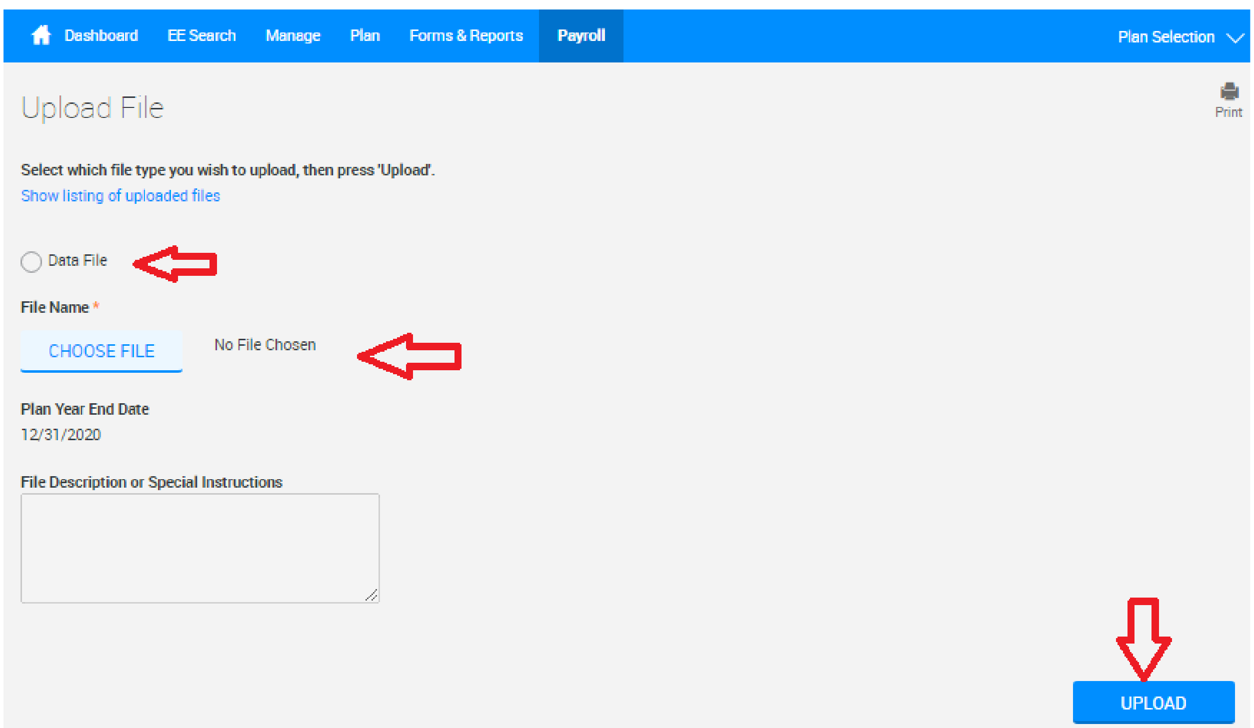
Click "Payroll" and then "**Upload File**" from the drop down.



On your next screen, click CHOOSE FILE and add the file you wish to securely transfer to us.

Please activate the button for Data File

Click Upload



A message appears on your screen, please wait for the confirmation window to pop up on your screen. Your file transmittal notification will appear in this new window.

Thank you for uploading your Test file. Should you have any questions please contact the Contributions Departments at Slavic 401k - 561-241-9244