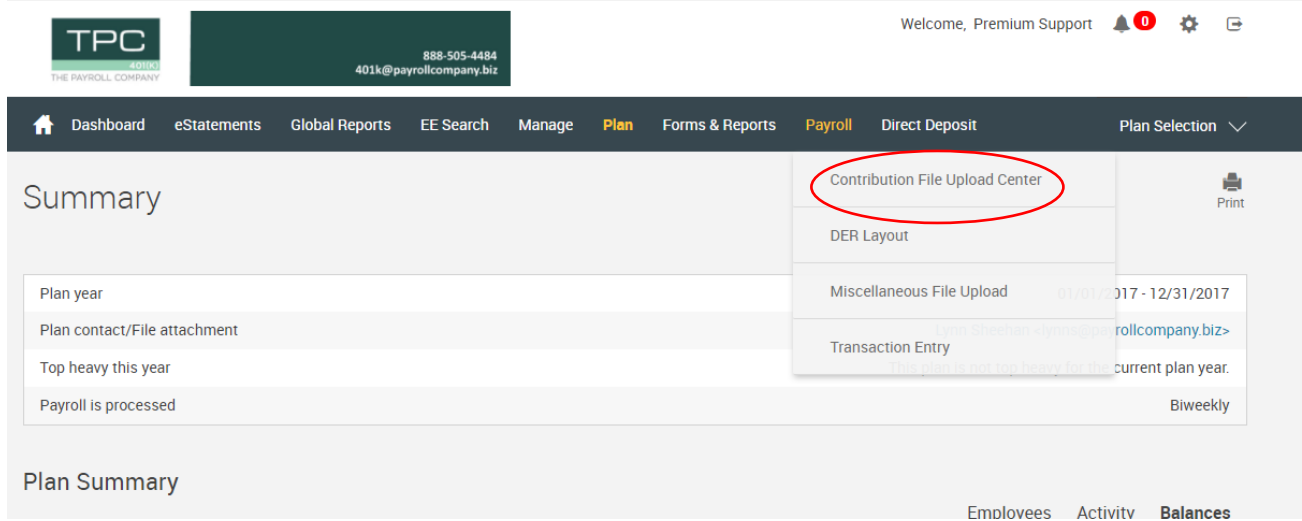


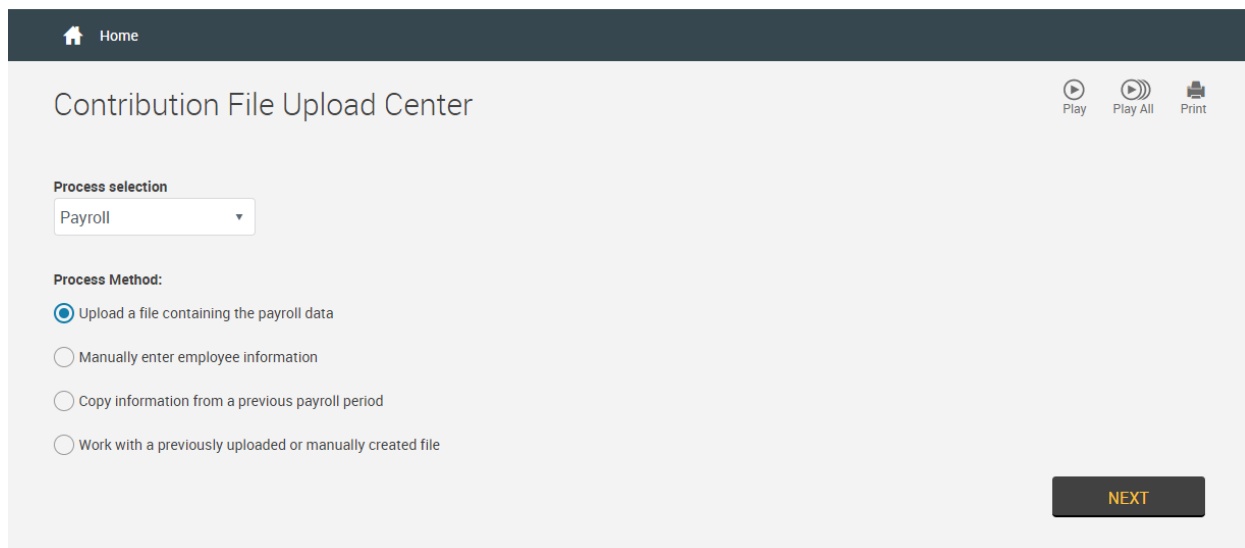
- 1) Log into the website [www.my401kdata.com](http://www.my401kdata.com) using sponsor credentials.
- 2) Under “Payroll” select “Contribution File Upload Center”



- 3) Process Selection = Payroll

Select “Upload a file containing the payroll data” – click Next

NOTE: If going back in to correct errors on a file already loaded but not submitted, select work with a previously uploaded file. Select period you want to correct



- 4) Select the Payroll Period for the file being uploaded – Click Next

NOTE: the pay periods listed here do not correspond to the period the check covers – the end date of these periods is intended to correspond to the check date for the payroll being submitted. This is to ensure proper

monitoring of submission to meet DOL requirements.

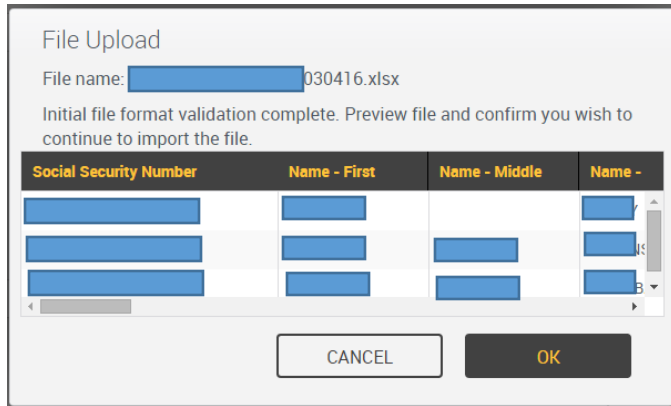
The screenshot shows the 'Contribution File Upload Center' interface. At the top, there is a 'Home' link and navigation icons for 'Play', 'Play All', and 'Print'. The main heading is 'Contribution File Upload Center'. Below this, the overall progress is shown as '0% Complete'. A 'Select Pay Period' section is present, along with a 'Select division' dropdown menu currently set to 'All'. There are 'PRINT GRID' and 'DELETE' buttons. A table displays the upload schedule with columns for Division, Status, Schedule, Payroll Period, Participants, and Error/Warning Records. The table contains four rows, all with a status of 'Not started' and 0 participants. At the bottom, there are 'START OVER', 'BACK', and 'NEXT' buttons.

Division	Status	Schedule	Payroll Period	Participants	Error/Warning Records
Default	Not started	Bi-Weekly	02-20-2016-03-04-2016	0	0
Default	Not started	Bi-Weekly	03-05-2016-03-18-2016	0	0
Default	Not started	Bi-Weekly	03-19-2016-04-01-2016	0	0
Default	Not started	Bi-Weekly	04-02-2016-04-15-2016	0	0

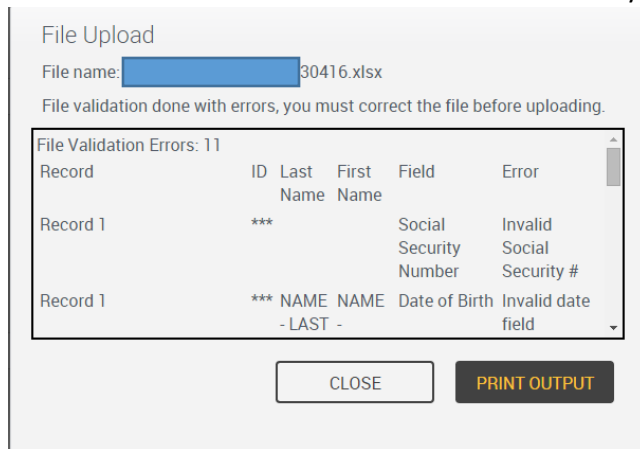
- 5) Click “Select File” and choose the file you are uploading – you never have to change “Data Format”. Always check “Skip first record”. If you have a subtotal on your file you will also need check “Skip last record”. If you select “Preview file” this will show you the first 4 rows from your file only – this is so you can ensure data elements are in the correct columns on the file (no need to do this each time if you are using a template). You can also enter any special instructions or comments regarding the file in the “Special Instructions” field. Click Next

The screenshot shows the 'Contribution File Upload Center' interface at a 25% completion stage. The overall progress is '25% Complete'. The 'FILE UPLOAD' section includes a 'Process format' dropdown set to 'DVC - SHNE' and a 'DATA FORMAT' button. The 'Select File' section shows a file named '030416.xlsx' selected, with a 'SELECT FILE' button. There are three checkboxes: 'Skip first record (Header Record)' which is checked, 'Skip last record (Trailer Record)', and 'Preview file'. A 'Special instructions' text area is also present. At the bottom, there are 'START OVER', 'BACK', and 'NEXT' buttons.

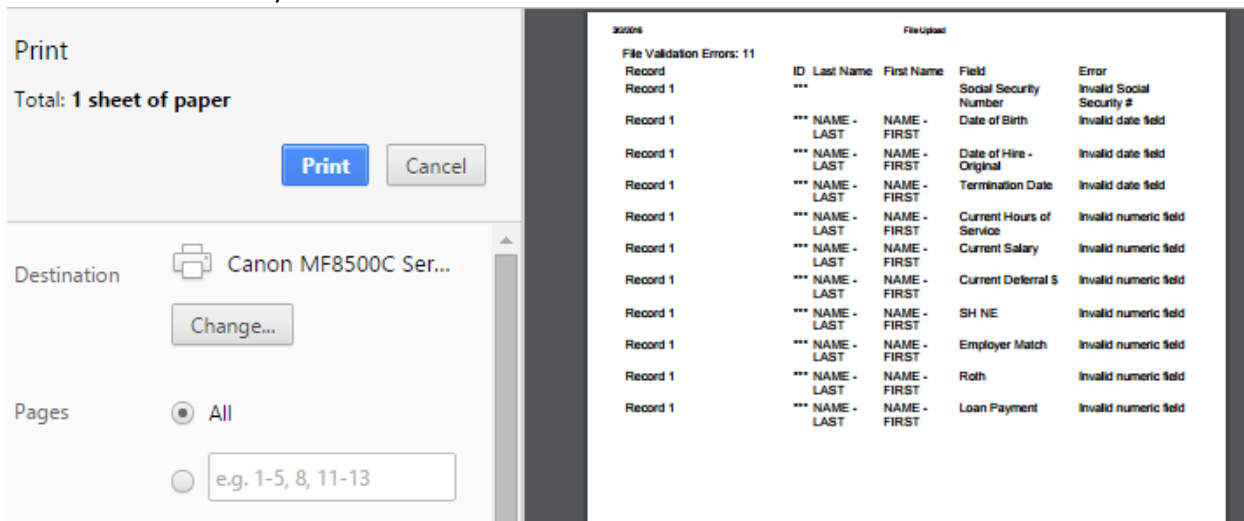
- 6) If “Preview File” was selected, a preview screen will pop up – this will only be the first 4 rows of data from your file. Spot check the data/formats then click OK if everything is in the right format/columns.



If there is anything wrong with your file that will not allow you to import (for example if you forget to check the “Skip first record” option, you will get an error notification like this – it will tell you what row of your file is bad and what the error is. This example is a plan that didn’t check “Skip first record” so all of the errors are related to record 1 . **NOTE:** All errors need to be corrected in your template and the template will need to be re-uploaded.



If you have a lot of errors and reviewing on screen is difficult, select the “Print Output” option and it will print all errors in a user friendly list like this:



- 7) If there were any issues with data in your file after it was uploaded, you will come to this screen that will list all records that have data Warnings. Click on each row one at a time to see what the Warning is associated with each record – the warning is shown below the list of warning records. If the issue is related to dates (ie: Hire or Birth dates) verify which date is correct and either correct template before next upload or if the correction needs to happen in our system, notify us of the correction needed – we will make the necessary updates so our system reflects the correct data and you don't continue to receive these warnings. If there are a lot of warnings, you can select the "Print Errors" option and print the list to be reviewed at a later time. Once all warnings reviewed – click Next

Overall Progress: **50% Complete**

Edit Data

Save Undo Payroll Totals Delete Refresh Add All Add New Add Existing Validate Records **Print Errors** Print Grid Download

Payroll period: 02/20/2016 - 03/04/2016

File(s)  
All Files CLEAR FILTERS

New	Status	Social Security Number	Name - First	Name - Mid...	Name - ...	Date of Birth	Date of Hire - Original
No	Warning	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
No	Warning	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
No	Warning	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]
No	Warning	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]	[REDACTED]

Page 1 of 1 20 items per page

Severity	Error
Warning	Hire date 2016-01-01 in the file does not match existing date of 2010-05-07

- 8) If your file is submitted successfully or after reviewing warnings and clicking Next, you will receive a summary screen that will display file totals. Verify all totals are correct (scroll to right using scroll bar within screen to see all totals), ensure "Submit for final processing" is selected and click Complete

Overall Progress: **75% Complete**

Totals / Funding

Payroll Totals

Submit for final processing **PRINT GRID**

Division	Participants	New Participants	Total Payroll Deposit	Current Deferral \$	Employer Match	Roth
Default	13	0	2770.02	342.31	0	1896.
Totals	13	0	2770.02	342.31	0	1896.

You currently have 12 warning(s) outstanding.

Process another file

START OVER BACK **COMPLETE**

- 9) You will then receive a confirmation screen indicating your file was submitted successfully and the date time it was submitted. If you would like to print the confirmation for your records, click the "Print" button in the upper right corner. When finished, click Exit

Home

## Contribution File Upload Center

Play Play All **Print**

Overall Progress: **100% Complete**

Confirm / Import

✔ Your request has been submitted for processing. Your request ID is [REDACTED], Date/Time is Mar 02, 2016 at 12:54:48 pm

Funding Summary

**Plan:** TPC Qualified Plans, LLC Retirement Savings Plan  
**Division:** All  
**Payroll period:** Biweekly 02/20/2016 - 03/04/2016

Payroll Summary

<b>Current Deferral \$</b>	\$342.31
<b>Employer Match</b>	\$0.00
<b>Roth</b>	\$1,896.20
<b>SH NE</b>	\$531.51
<b>Loan Payment</b>	\$0.00
<b>Total Payroll Deposit</b>	\$2,770.02

START OVER EXIT