

Contribution Processing Excel File Specifications and Instructions

Please contact your Client Service Team with any questions on the specification/instructions for each field.

Column	Column Heading	Format Requirements	Instructions
A	SOCIAL SECURITY	9-digit numeric field with or without dashes (xxx-xx-xxxx or xxxxxxxx)	Required
B	LAST NAME	Up to 30 alpha characters	Required
C	FIRST NAME	Up to 15 alpha characters	Required
D	MI	Up to 2 alpha characters	Optional
E	DIVISIONAL CODE	5 alpha/numeric characters	Optional: Used for divisional contributions, statements, reporting, or testing (if applicable) Please Note: If you'd like to utilize this feature, please be sure to coordinate this with us prior to reporting data in this field.
F	TOTAL COMPENSATION	Numeric with 2 decimals (XXXXX.XX)	Required: For year-end testing and/or employer contribution calculations (if applicable) Your plan can submit compensation either <i>Per Pay Period</i> or <i>Year to Date</i> . If supplying compensation <i>Per Pay Period</i> , the values provided per payroll will be accumulated to calculate the year-to-date value. If supplying compensation <i>Year to Date</i> , the values provided per payroll will <i>replace</i> the latest year-to-date value. Compensation values will be based on the definition of compensation in your plan document.
G	EMPLOYEE 401(K)	Numeric with 2 decimals (XXXXX.XX)	Participant's Pre Tax deferral contribution for the payroll period (if applicable)
H	ROTH 401(K)	Numeric with 2 decimals (XXXXX.XX)	Participant's ROTH deferral contribution for the payroll period (if applicable)
I	LOAN PAYMENT AMOUNT	Numeric with 2 decimals (XXXXX.XX)	Participant's loan payment for the payroll period (if applicable) Please Note: * Exact scheduled loan payments should be withheld and reported. * Loan payments can be paid ahead; however, extra payments should be made in even multiples of the scheduled payment amount. * If a participant has multiple loans, please combine all payments and report as one payment amount.
J	MATCH	Numeric with 2 decimals (XXXXX.XX)	Employer Match contribution for the payroll period (if applicable)
K	PROFIT SHARING	Numeric with 2 decimals (XXXXX.XX)	Profit Sharing contribution for the payroll period (if applicable)
L	SAFE HARBOR MATCH	Numeric with 2 decimals (XXXXX.XX)	Safe Harbor Match for the payroll period (if applicable)
M	SAFE HARBOR NEC	Numeric with 2 decimals (XXXXX.XX)	Safe Harbor Non-Elective for the payroll period (if applicable)

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N	CLIENT SPECIFIC	Numeric with 2 decimals (XXXXX.XX)	This is an additional financial column if your plan has a unique contribution type (if applicable) Please Note: To ensure that we're tracking to the correct contribution type, please validate with your Client Service Team in advance of using this field.
O	CLIENT SPECIFIC	Numeric with 2 decimals (XXXXX.XX)	This is an additional financial column if your plan has a unique contribution type (if applicable) Please Note: To ensure that we're tracking to the correct contribution type, please validate with your Client Service Team in advance of using this field.
P	CLIENT SPECIFIC	Numeric with 2 decimals (XXXXX.XX)	This is an additional financial column if your plan has a unique contribution type (if applicable) Please Note: To ensure that we're tracking to the correct contribution type, please validate with your Client Service Team in advance of using this field.
Q	HOURS	Numeric field. Whole hours only; please round accordingly.	Required for plans using Actual Hours for eligibility, vesting, the preparation of employer contribution calculations, and/or year-end testing (if applicable) Your plan can submit hours either <i>Per Pay Period</i> or <i>Year to Date</i> . If supplying hours <i>Per Pay Period</i> , the values provided per payroll will be accumulated to calculate the year-to-date value. If supplying hours <i>Year to Date</i> , the values provided per payroll will replace the latest year-to-date value.
R	ADDRESS 1	Up to 30 alpha/numeric characters	Required for distributions, statements, and participant account access
S	ADDRESS 2	Up to 30 alpha/numeric characters	Required for distributions, statements, and participant account access
T	CITY	Up to 23 alpha/numeric characters	Required for distributions, statements, and participant account access
U	STATE	2 alpha characters	Required for distributions, statements, and participant account access
V	ZIP	5- or 9-digit numeric field (a 'dash' separator is acceptable)	Required for distributions, statements, and participant account access
W	DATE OF BIRTH	Date Field with or without slashes (mmddyyyy or mm/dd/yyyy)	Required for online enrollment and online distributions as well as eligibility, year-end testing, and RMDs (if applicable)
X	CURRENT DATE OF HIRE	Date Field with or without slashes (mmddyyyy or mm/dd/yyyy)	Required for vesting, eligibility, and year-end testing (if applicable) Please Note: If the employee was terminated and re-hired, list their most recent hire date.

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Y	EMPLOYEE ELIGIBILITY DATE	Date Field with or without slashes (mmddyyyy or mm/dd/yyyy)	<p>Used for producing enrollment materials and for year-end testing (if applicable)</p> <p>Please Note: Based on your plan's eligibility rules, we may calculate this date if left blank.</p> <p>The Eligibility Date is the plan's next available entry date after the employee has satisfied the plan's eligibility requirements.</p>
Z	CURRENT DATE OF TERM	Date Field with or without slashes (mmddyyyy or mm/dd/yyyy)	<p>Required for certain distributions and year-end testing (if applicable)</p> <p>Please Note: If the employee was terminated and re-hired—and they're still employed— leave this field blank. If the employee was terminated, re-hired, and terminated again, list the most recent termination date.</p>
AA	PRIOR DATE OF HIRE	Date Field with or without slashes (mmddyyyy or mm/dd/yyyy)	<p>Required for vesting, eligibility, and year-end testing (if applicable)</p> <p>Please Note: If the employee was terminated and re-hired, list their original hire date.</p>
AB	PRIOR DATE OF TERM	Date Field with or without slashes (mmddyyyy or mm/dd/yyyy)	<p>Required for vesting, eligibility, and year-end testing (if applicable)</p> <p>Please Note: If the employee was terminated and re-hired, list their prior termination date.</p>
AC	ESTIMATED ANNUAL COMPENSATION	12-digit numeric field with 2 decimals (XXXXXXXXXX.XX)	<p>Optional: Used to build savings examples on the participant website as well as certain enrollment materials</p> <p>If left blank, the value will default to \$35,000.</p>
AD	EMPLOYMENT STATUS	3-digit numeric field no decimal (See Instructions for Codes)	<p>Optional:</p> <p>Codes/Definitions: 001: Terminated with less than 500 hours in the current plan year 002: Terminated with more than 500 hours in the current plan year 003: Active 004: Deceased 005: Disabled 006: On Unpaid leave 007: Retired</p>

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AE	HCE CODE	1-digit numeric field (See Instructions for Codes)	<p>Optional: Used for year-end testing (if applicable)</p> <p>Codes/Definitions for an HCE: 0: Not an HCE. 1: Is more than 5% owner. Family attribution rules apply. 3: HCE based on compensation only. (The participant exceeded the compensation threshold in in the preceding year.)</p> <p><i>Note that HCE Threshold is reviewed and adjusted annually and can be obtained at www.irs.gov in the COLA limits.</i></p> <p>SPECIAL NOTE: This field will update the recordkeeping system with the initial census file submission. Any future updates must be made manually via the website or by contacting your Client Service Team.</p>
AF	KEY EE CODE	1-digit numeric field (See Instructions for Codes)	<p>Optional: Used for year-end top heavy testing (if applicable)</p> <p>Codes/Definitions for a KEY Employee: 0: Not a KEY Employee. 1: An Officer of the company whose compensation exceeds the Key Employee threshold (adjusted annually). 3: Is more than 5% owner. Family attribution rules apply. 4: Is more than 1% owner whose compensation exceeds \$150,000.</p> <p><i>Note that Key Employee compensation level is reviewed and adjusted annually and can be obtained at www.irs.gov in the COLA limits.</i></p> <p>SPECIAL NOTE: This field will update the recordkeeping system with the initial census file submission. Any future updates must be made manually via the website or by contacting your Client Service Team.</p>
AG	ENROLLMENT ELIGIBILITY	1 alpha character, no decimal (See Instructions for Codes)	<p>Optional: This field is only used if your plan calculates eligibility using the Equivalency method for tracking hours</p> <p>Codes/Definitions: Y = Employee has met eligibility requirements to enter the plan. N = Employee has not met eligibility requirement to enter the plan.</p> <p>If your plan doesn't use the Equivalency method for hours, this field can be left blank.</p>
AH	UNION STATUS CODE	1 alpha character, no decimal (See Instructions for Codes)	<p>Optional: Used for eligibility and year-end testing (if applicable)</p> <p>Codes/Definitions: Y = Union N = Non Union</p>

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AI	EMPLOYEE WORK EMAIL	Alpha/numeric characters plus @ symbol (someone@example.com)	Required for employers who elect to deliver certain plan documents electronically. Include each employee's designated work email address. This is the email address provided by your company to the employee – not the employee's personal email address.
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