

What reports and requests can I expect to receive?

Below is a list of scheduled email notifications sent to retirement plan sponsors. If you would like to confirm or update which individuals are set up as contacts for your plan, you can run the **Plan Contact Listing & Change Form** from your plan sponsor web account. After logging in to your retirement plan, select **Reports & Forms** from the **Statements, Forms & Reports** menu. You'll find the **Plan Contact Listing** in the **Plan Level Reports** report group.

Report/Communication Name	Description	Run Frequency	Day/Time *	Who it goes to
Loan Payoff Notification	Notification of all loans paid off that day through payroll deductions, lump-sum payoffs, or clearing of small residual interest balances	Daily	4:00 PM	Report Recipients
Participant Transaction Confirmations	Individual email confirmations for certain transactions processed via the web (optional by request)	Daily (business days)	7:00 AM, 2:00 PM, 4:00 PM	Primary Contact
Deferral Change - by Participant	Summarizes online deferral changes request during the past 7 days	Weekly	Mondays/10:00 AM	Report Recipients
New & Maturing Loan Summary	Details new loans initiated that week and loans approaching maturity	Weekly	Sundays/2:00 PM	Report Recipients
Past Due Loans - 45+ Days	Shows any loans with payments that are at least 45 days past due	Monthly	First Friday/12:00 PM	Report Recipients
Beneficiary Confirmation (Reminder of Signatures Required)	Worksheet for clients to use to track the previous month's beneficiary designations requiring signatures	Monthly	1st/11:00 AM	Report Recipients
Automatic Enrollment - Approaching Eligibility Report	For plans using automatic enrollment, details participants approaching eligibility in the plan	Monthly	26th/11:00 AM	Report Recipients
Automatic Enrollment - Status of Enrollees Report	For plans using automatic enrollment, details the status of enrollees in the plan, including whether they have enrolled, opted out, or automatically enrolled	Monthly	26th/11:00 AM	Report Recipients
Automatic Acceleration - Automatic Contribution Acceleration Report	For plans using automatic acceleration, details the contribution rate increasing within the next 45 days for automatic acceleration and voluntary (participant-directed) acceleration	Monthly	26th/12:00 PM	Report Recipients

Annual Participant Notice Communication	Provides information about requirements for distributing required participant notices and where these notices can be found	Annually	First Friday of the month that is a month before PYE (i.e. first Friday of November for 12/31 PYE)	Primary Contact
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Annual Information Collection Package	Web based Plan Sponsor Questionnaire required for compliance review and 5500 preparation	Annually	Generally within 2 weeks of PYE	Annual Package Contact
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CVMs	Summary of Plan YTD payroll for client confirmation	Annually	After final payroll	Annual Package Contact
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Deposit Control Summary (Payroll)	Report that can be run to provide an overview of all contributions, when the contribution file was received, and funding information for each pay period	As needed	N/A	Payroll Contact
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Late Payroll Notification	Notification of past-due payroll file	5 days after missed payroll date	N/A	Payroll Contact
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Distribution Approval Notification	Notification to plan sponsor of distribution pending approval	Upon submission of a distribution request	N/A	Contacts identified as authorized transactions approvers
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Loan Approval Notification	Notification to plan sponsor of loan pending approval	Upon submission of a loan request	N/A	Contacts identified as authorized transaction approvers
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Rollover Approval Notification	Notification to plan sponsor of rollover pending approval	Upon submission of a request to roll money into the plan	N/A	Contacts identified as authorized transaction approvers
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Address Update Request	For terminated participants only, requests authorization to update a participant's mailing address	Sent as a result of a participant contacting our Service Center	N/A	Contacts identified as authorized transaction approvers
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Authorization to Grant Distribution Access	Requests authorization to remove the account restriction and allow a participant with a newly-established online account to request a distribution	Sent as a result of a participant contacting our Service Center	N/A	Contacts identified as authorized transaction approvers
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Authorization to Provide Plan Access Code	In higher-risk cases (such as when a participant has a balance or when an email address has not be provided by the plan sponsor), requests authorization to provide a participant with the plan access code needed to establish login credentials for their online account	Sent as a result of a participant contacting our Service Center	N/A	Contacts identified as authorized transaction approvers
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* The time noted is the time we begin running the specified report. You will receive your report, if applicable, at or after this time on the day noted. All times above are ET.