Plan Access

ABA-RF Guide

September 1, 2014

VOYA FINANCIAL™

Document Information

This document is maintained by IT Documentation in the Retirement Services Division of Voya Financial™.

Contents

Chapter 1: Introduction

Overview

The Plan Access tool in Sponsor Web allows plan sponsors to look up plan-level and participant-level information on Voya's OmniPlus recordkeeping system. ABA-RF Plan sponsors can retrieve information about their plans from Voya's central data repository, OmniPlus, with a user-friendly interface in the Sponsor Web environment.

Features

- Plan Access is easy to use. It enables you to quickly move from plan to plan, and between individual participants.
- Screens are easy to read and clearly labeled.
- The plan ID and plan name appear at the top of every page on the site.

Usernames and Passwords

Sponsor Web is the portal application for Voya applications available to Plan Sponsors, including Plan Access. A Sponsor Web Username is required to log into the Sponsor Web application and its subsidiary tools.

Here are some points on Voya's security policies regarding Usernames and Passwords:

- Once the authorization form is submitted to Voya requesting access the Sponsor Web, a pair of self-registration e-mails will be sent to the e-mail address of record. The Sponsor will follow the instructions to set up a User ID and Password, and to set up five security questions and answers. The registration is effective immediately and you will then be able to log into your Sponsor Web account, and access the plan(s) that have been set up for you, with the appropriate permissions based on your authorization form.
- Sponsor Web User ID is not case sensitive; Password is case sensitive and must be complex (see the instructions below for details).
- Passwords must contain between eight and 20 characters and contain at least one numeric (0-9) and one alphabetic character (see the instructions below for details).
- Passwords expire every 365 days. You will be prompted to change your password after logging in.
- If you forget your ID, contact your Account Manager or click **Contact Us** on the Welcome Page.

User ID Rules

- Minimum length of six characters.
- Numbers or letters are allowed, but no spaces or special characters.

Password Rules

- Minimum length of eight characters.
- Must contain three of the four following characteristics:
  - Upper case
  - Lower case
  - Numeric
  - Symbol (/>$#@)

Accessing Plan Access

Hours of Availability

Plan Access is typically available during all hours. However, the following time period is allocated for maintenance to minimize business impact:

- 12:00 am to 6:00am Sunday

In the event that maintenance is required, it will take place during this time.

Other connectivity issues should be evaluated with normal troubleshooting methods.

Timing Out

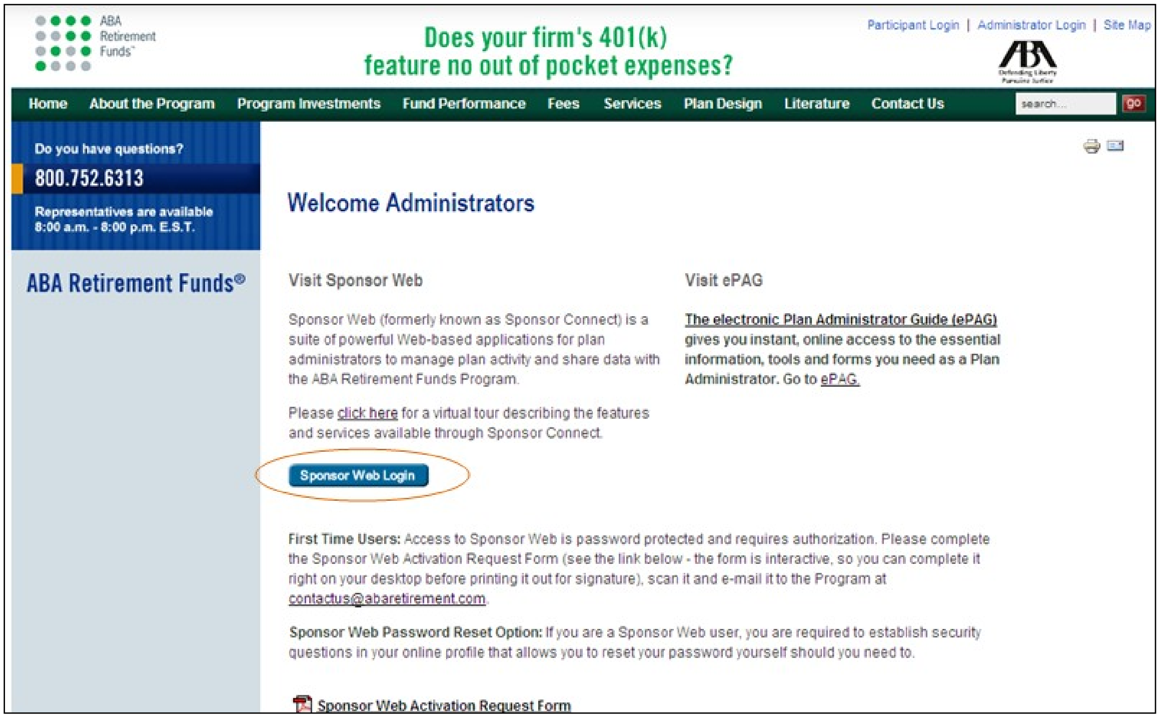
If you have been logged onto Plan Access with no activity during your current session, your access to the database may terminate with the Plan Access window unchanged on the screen. Trying to activate a link or function will result in an error message. You must begin a new session to continue working in Plan Access by logging in again.

Logging On

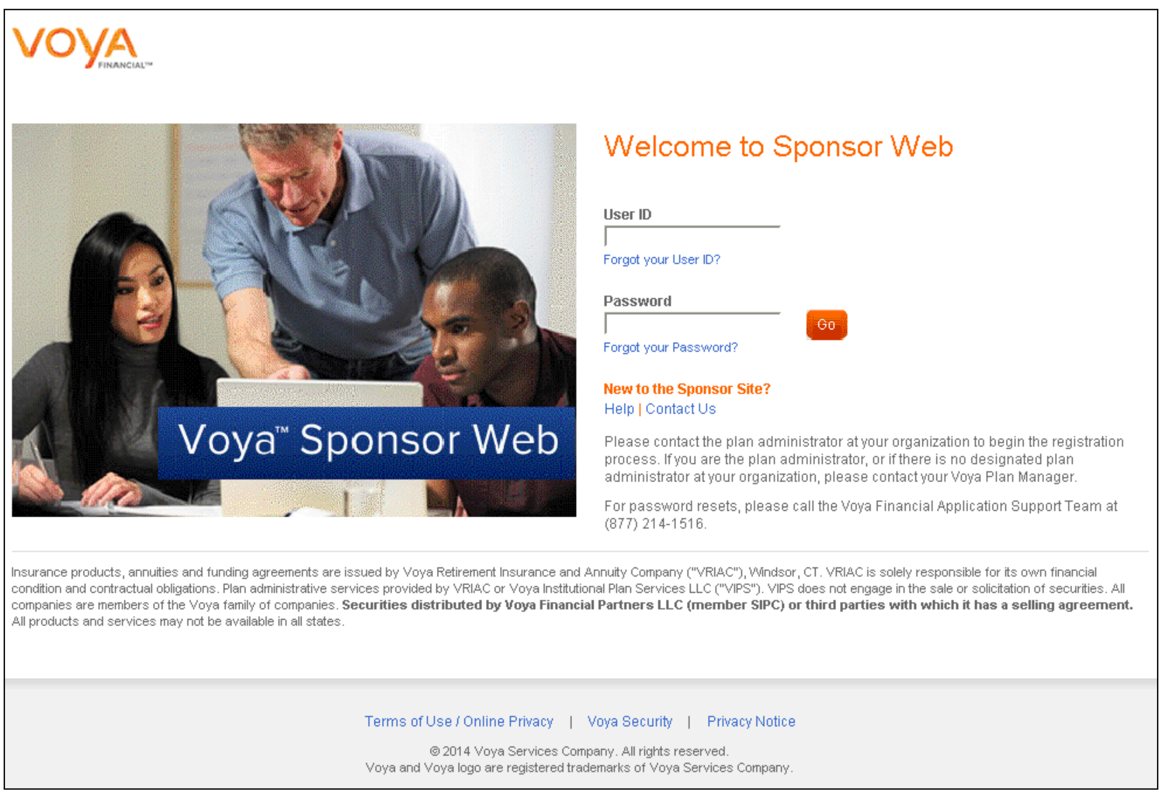
Plan Access is a function of Sponsor Web and requires that you log into this application first. To access Sponsor Web, open an Internet Browser such as Internet Explorer or Chrome.

1. Access the ABA-RF Retirement Funds site: www.abaretirement.com.

2. Click the **Administrator Login** link on the top right corner.

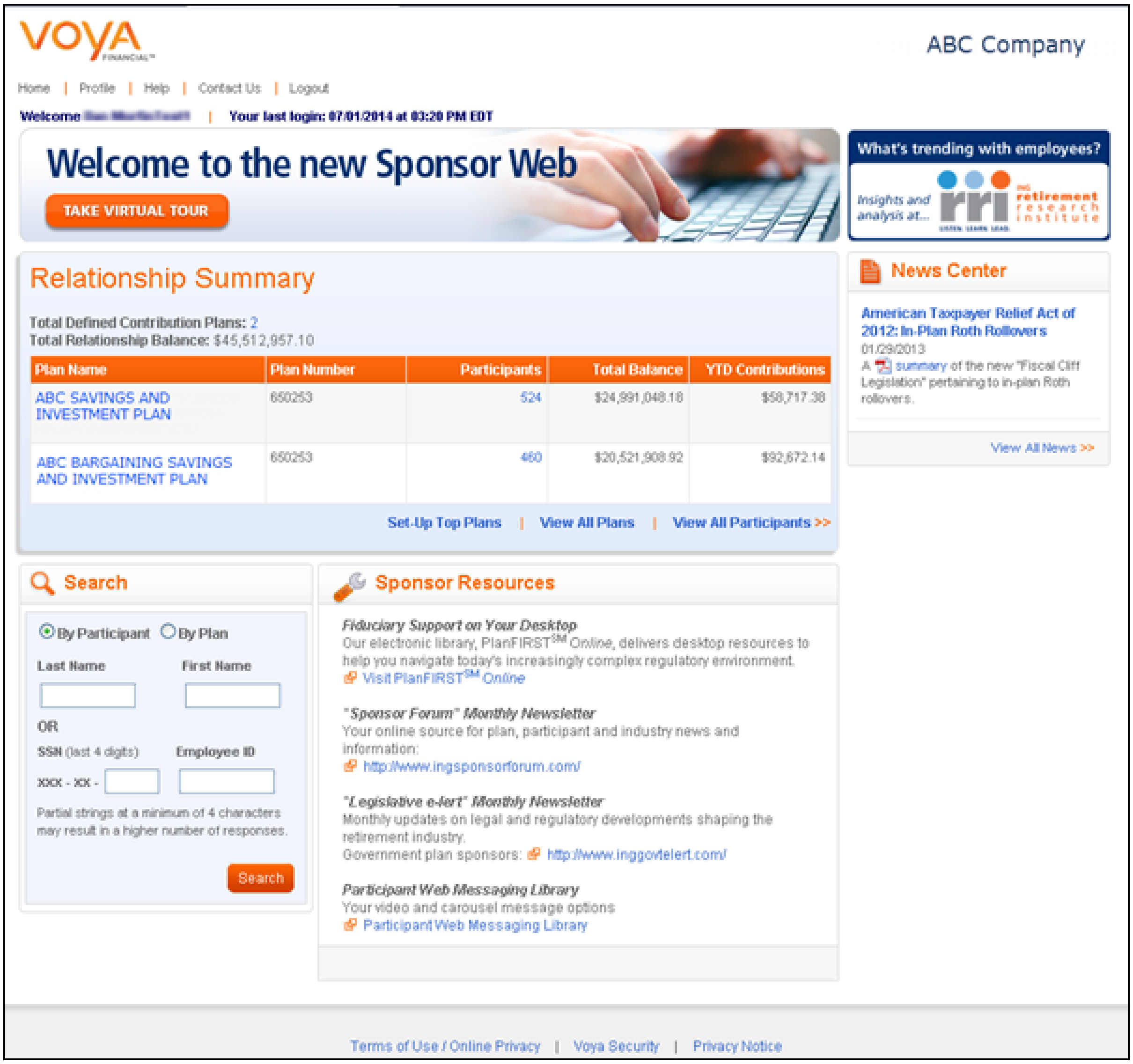


3. Click on **Sponsor Web Login**.

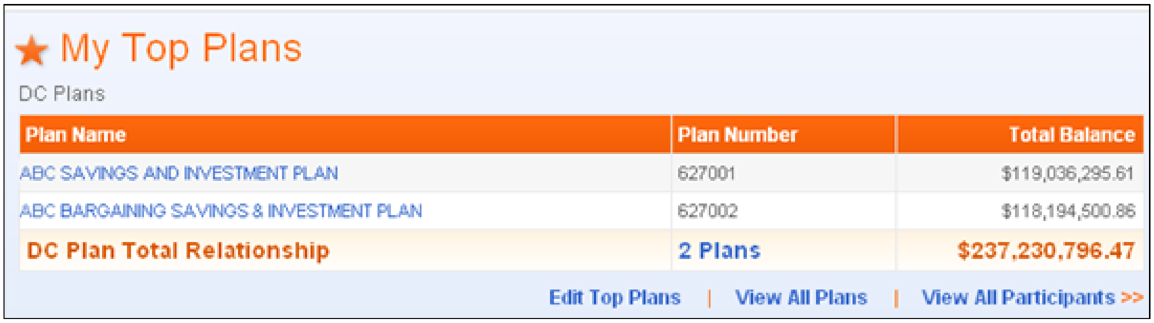


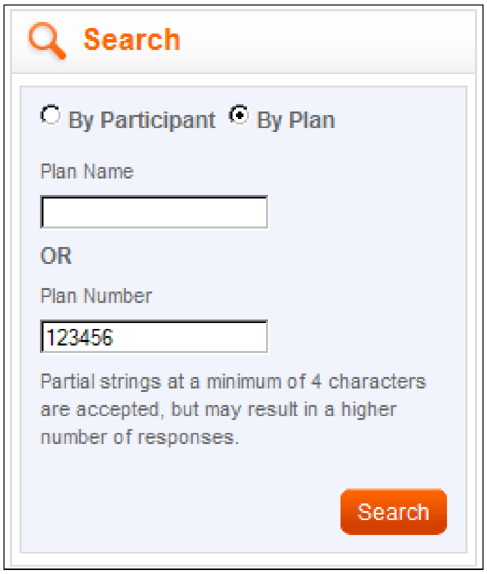
4. Enter your user ID and password and then click **Go** to continue. If you are logging in from a non-registered device you will also be prompted to answer three of your five security questions before entering the site.

   Note: Sponsor Web user IDs cannot be shared between users. Each user needs their own unique user ID and password. If you have any questions about logging in, contact your Sponsor Web support staff.

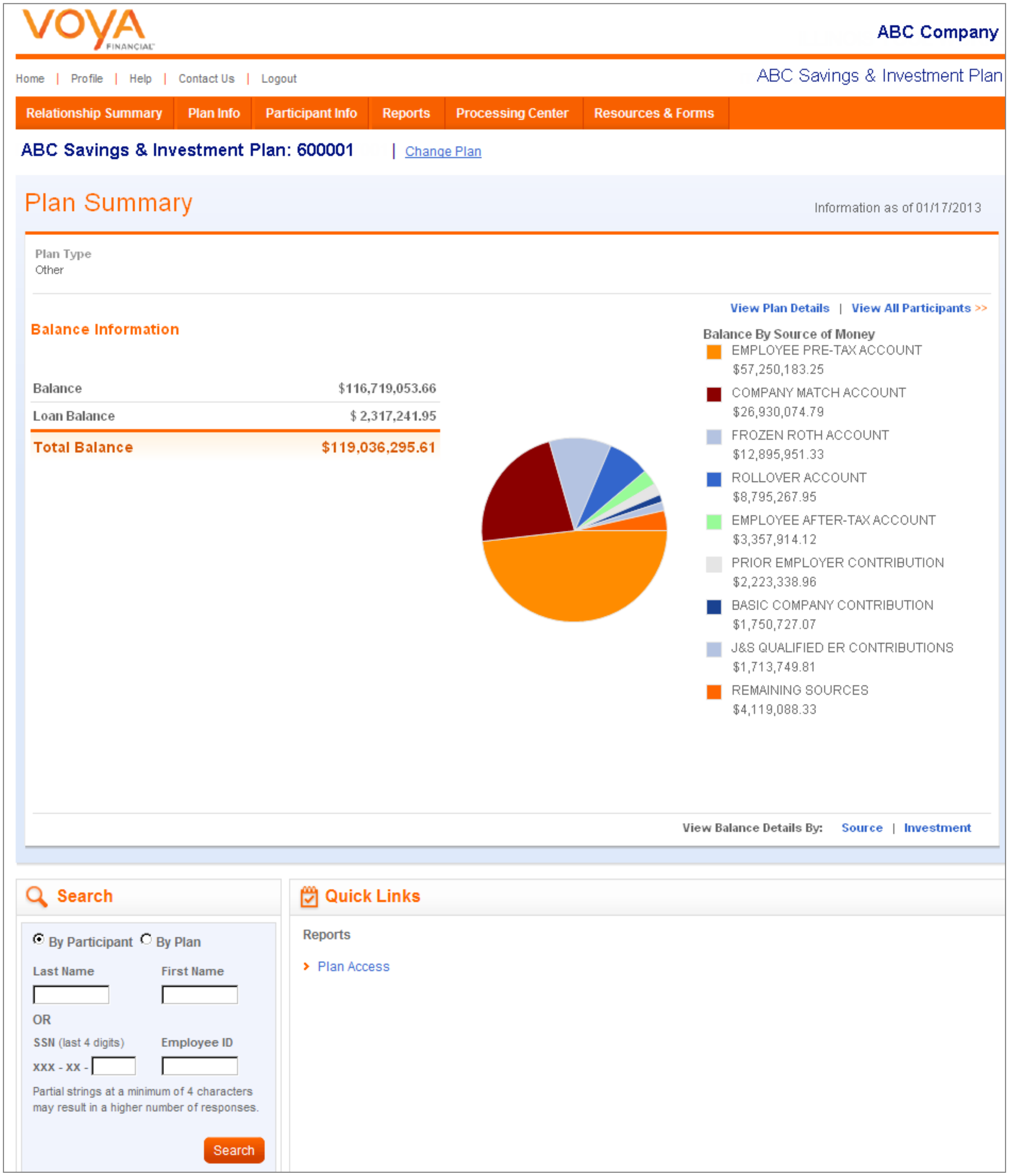


5. Access a specific plan from the Home page by **clicking on the plan name** in the Relationship Summary (or My Top Plans) section or performing a quick search using the plan name or number.

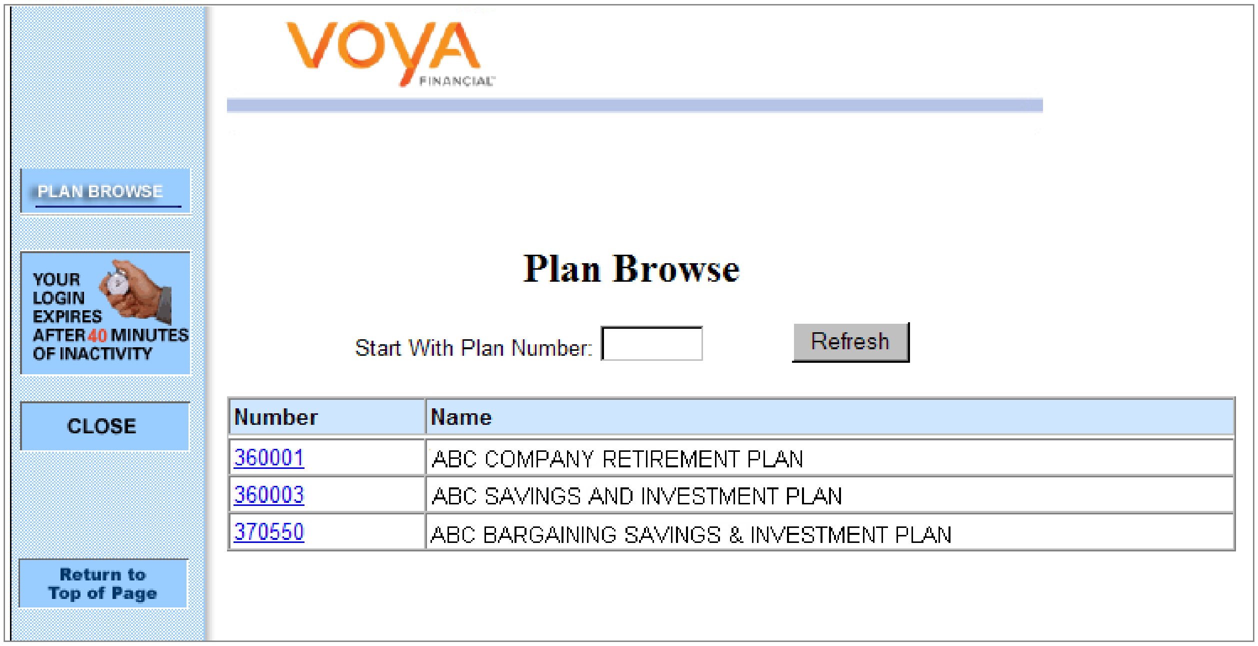




6. You will see the Plan Summary dashboard.



7. Under **Quick Links**, click on **Plan Access.** This will open the Plan Access application in a separate window. This may take several minutes. Then you will see the Plan Browse page.



Printer Icon

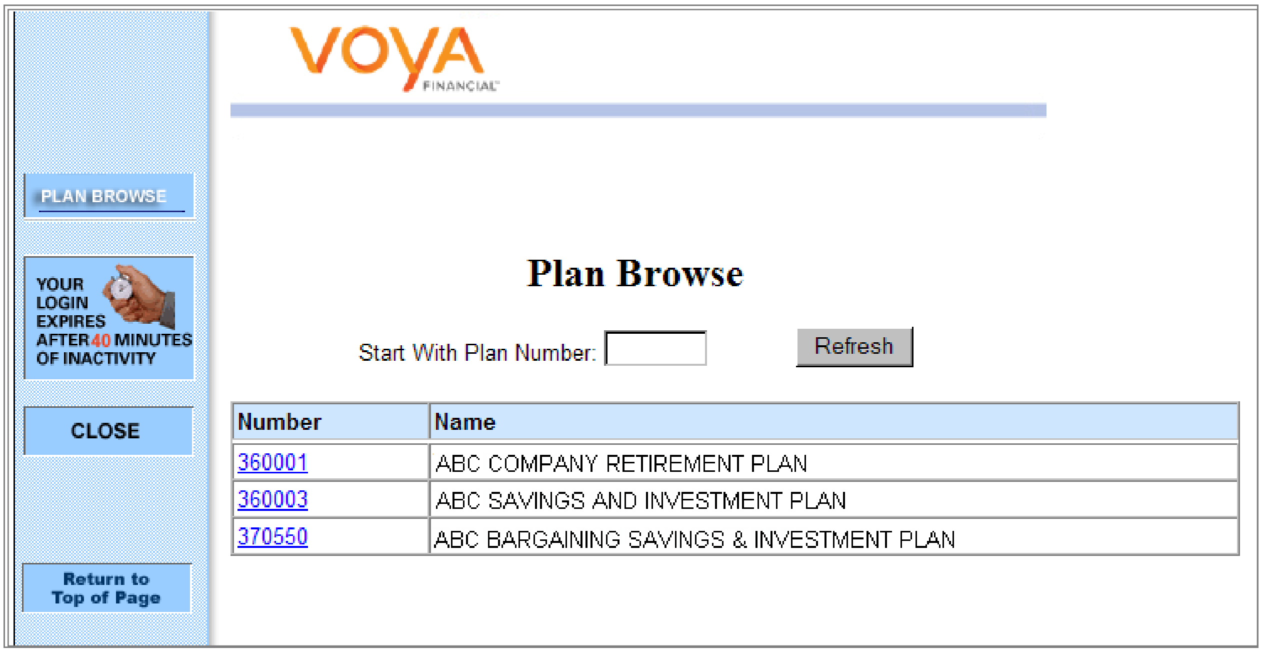
On many of the Plan Access screens, there is a printer icon labeled **View a printer friendly version.** Click the icon to print the information currently displayed on the Plan Summary screen.

Chapter 2: Plan Screens

Plan Browse Screen

The Plan Browse screen displays a list of the plans to which you have access. Select a plan by clicking the plan number link. This will open the Plan Summary that has additional options to access plan information.

Once you have accessed the plan you want, you will be able to access plan and participant details at the click of a mouse from each screen you open. More options are available after you select participant information and SSN.



Plan Summary Screen

The top of the Plan Summary screen has two navigation selections: **Plan Information** and **Participant Information**. Plan Access defaults to the Plan Information screen, (the active selection is highlighted).

As its name suggests, Participant Information accesses participant balances and demographic information. These screens are covered in the next section.

The sidebar on the left side of your screen now has available navigation options on Plan Access. They are, in order:

- Return to Plan Browse (previous screen)
- Plan Summary (the current page)
- Plan Balances – Shows the plan investments and sources with current balances.
- Activity History – Accesses any changes to plan balance including transfers, loans, rollovers, etc.
- Activity Summary – An overview of plan balances, searchable by date range and activity type.
- Investment Prices – Displays investment totals by price.
- Fund Browse – Displays fund shares, prices, and total value.
- A **Close** button that closes the Plan Access window.
- A link to return you to the top of the page.

Clicking any of these links will bring you to the appropriate screen. These are covered in the following sections.

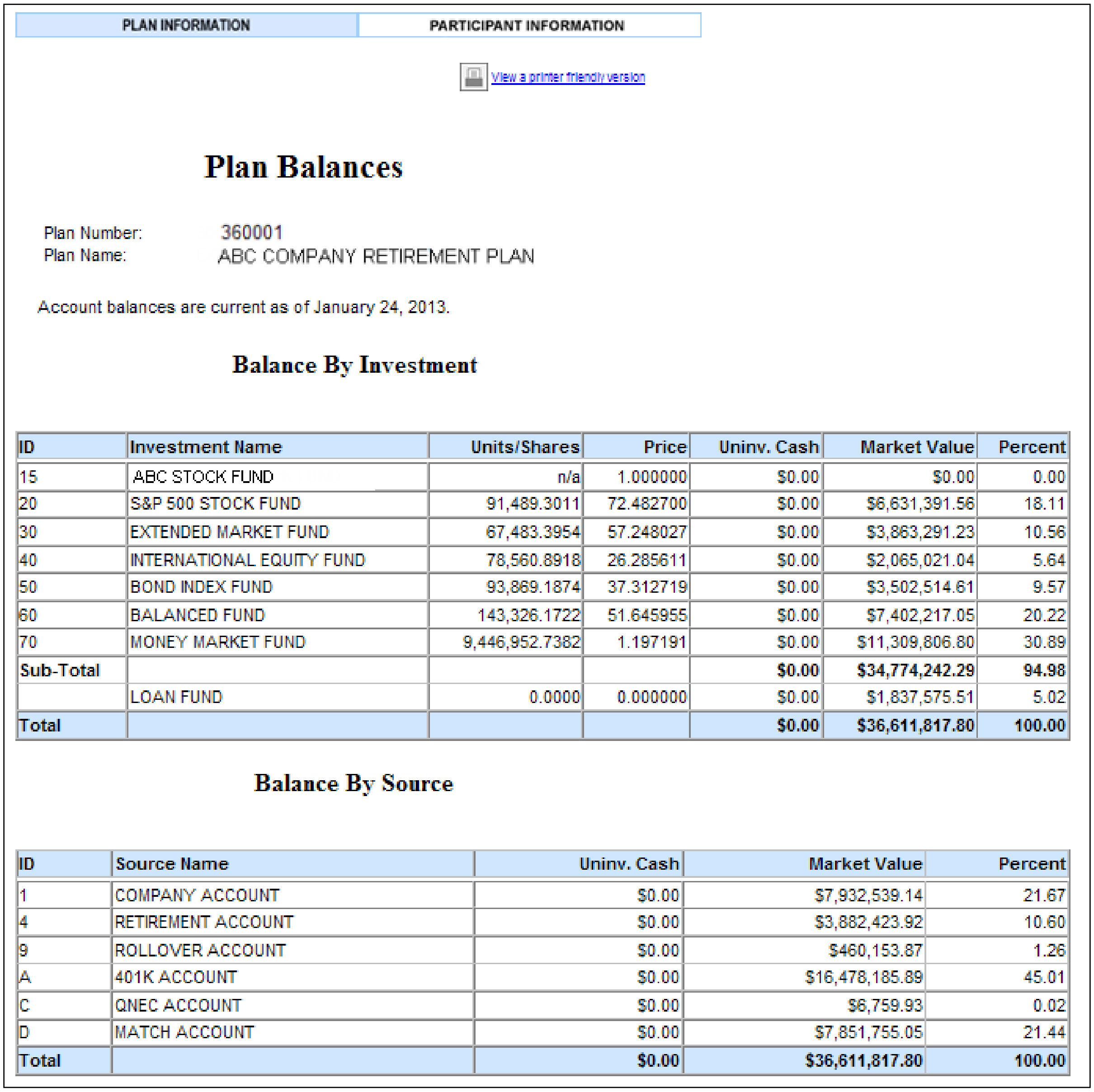
The Plan Summary page displays the following information:

Column	Description
Plan Name	Plan name
Plan Number	Plan number
Plan Type	Type of retirement plan
Client Name	Plan sponsor name
Address	Plan sponsor's address on file

Plan Balances

Plan balances are displayed by investment and by source. The balances are current as of the displayed date at the top of the page.

Note: When printing the Plan Balances screen, switch the print orientation to **Landscape** to ensure that all data is printed.


PLAN INFORMATION | PARTICIPANT INFORMATION

View a printer friendly version

Plan Balances

Plan Number: 360001
Plan Name: ABC COMPANY RETIREMENT PLAN

Account balances are current as of January 24, 2013.

Balance By Investment

ID	Investment Name	Units/Shares	Price	Uninv. Cash	Market Value	Percent
15	ABC STOCK FUND	n/a	1.000000	$0.00	$0.00	0.00
20	S&P 500 STOCK FUND	91,489.3011	72.482700	$0.00	$6,631,391.56	18.11
30	EXTENDED MARKET FUND	67,483.3954	57.248027	$0.00	$3,863,291.23	10.56
40	INTERNATIONAL EQUITY FUND	78,560.8918	26.285611	$0.00	$2,065,021.04	5.64
50	BOND INDEX FUND	93,869.1874	37.312719	$0.00	$3,502,514.61	9.57
60	BALANCED FUND	143,326.1722	51.645955	$0.00	$7,402,217.05	20.22
70	MONEY MARKET FUND	9,446,952.7382	1.197191	$0.00	$11,309,806.80	30.89
Sub-Total				**$0.00**	**$34,774,242.29**	**94.98**
	LOAN FUND	0.0000	0.000000	$0.00	$1,837,575.51	5.02
Total				**$0.00**	**$36,611,817.80**	**100.00**

Balance By Source

ID	Source Name	Uninv. Cash	Market Value	Percent
1	COMPANY ACCOUNT	$0.00	$7,932,539.14	21.67
4	RETIREMENT ACCOUNT	$0.00	$3,882,423.92	10.60
9	ROLLOVER ACCOUNT	$0.00	$460,153.87	1.26
A	401K ACCOUNT	$0.00	$16,478,185.89	45.01
C	QNEC ACCOUNT	$0.00	$6,759.93	0.02
D	MATCH ACCOUNT	$0.00	$7,851,755.05	21.44
Total		**$0.00**	**$36,611,817.80**	**100.00**

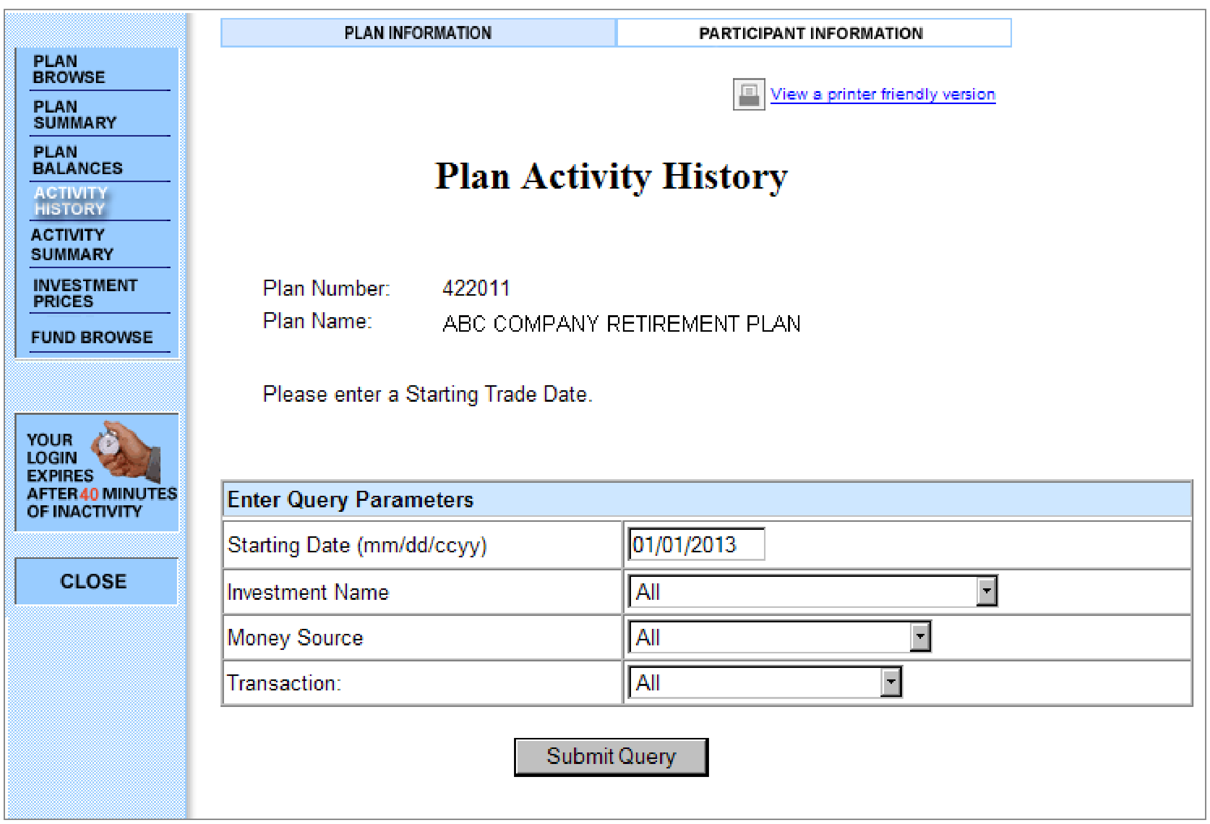
Balance by Investment	
Column	**Description**
ID	Investment identification code.
Investment Name	Name of investment (fund name).
Units/Shares	Total number of shares or units in this investment for the plan.

Balance by Investment	
Column	**Description**
Price	Price per share or unit of this investment.
Uninv. Cash	Total dollar amount of uninvested cash for this investment.
Market Value	Total dollar value of the shares, units, and uninvested cash in the fund as of the date displayed above.
Percent	Percentage of the grand total for the fund.

Balance by Source	
Column	**Description**
ID	Source identification code
Source Name	Name of funding source
Uninv. Cash	Total dollar value of the uninvested cash in the source as of the date displayed above
Market Value	Total dollar value of the shares and units in the source as of the date displayed above
Percent	Percentage of the grand total for the funding source

Activity History

The Plan Activity History selection immediately opens a search page. Enter as many or as few of the criteria as you need. However, leaving a field set to the default **All** may produce a large number of results.



Type a **Starting Trade Date** in the **Date** text box, then choose an **Investment Name**, **Money Source**, and **Transaction** type from the dropdown boxes.

Click **Submit Query** to display the results directly under the query fields. Scroll down to review the results.

Activity History - Query Results

#	Trade Date	Investment	Money Source	Description	Cash	Shares
1	01/03/2012	LOAN FUND	ER MATCH	Transfer Out	0.01-	0.0000
2	"	LOAN FUND	PRETAX SUPL	Transfer Out	0.01	0.0000
3	"	LOAN FUND	ER MATCH	Transfer In	2374.20	0.0000
4	"			Loan Payment Interest	1023.48	0.0000
5	"	LOAN FUND	ER MATCH	Transfer out of Loan Fund	196967.19	0.0000
6	"	LOAN FUND	ER MATCH	Loan Interest	963.29	0.0000
7	"	VIP STABLE VALUE FUND	ER MATCH	Loan Repayment	100532.91	4902.4827
8	"	SCIENCE AND TECHNOLOGY FUND	ER MATCH	Loan Repayment	1010.01	13.7927
9	"			Loan Balance	[illegible]	[illegible]
[illegible]		[illegible] COMPANIES FUND	[illegible]	[illegible]	[illegible]	[illegible]
37	"	GLOBAL EQUITY FUND	ER MATCH	Loan Repayment	296.29	29.1662
38	"	LIFECYCLE 2030 FUND	ER MATCH	Loan Repayment	1792.80	151.7939
39	"	LIFECYCLE 2040 FUND	ER MATCH	Loan Repayment	1451.83	128.4562
40	"	LOAN FUND	AFTER TAX SUPL	Transfer out of Loan Fund	0.22	0.0000
41	"	VIP STABLE VALUE FUND	AFTER TAX SUPL	Loan Repayment	0.06	0.0029
42	"	S&P 500 INDEX FUND	PRETAX BASIC	Loan Repayment	852.15	16.2443
43	"	S&P 500 INDEX FUND	PRETAX SUPL	Loan Repayment	379.18	7.2282
44	"	S&P 500 INDEX FUND	AFTER TAX SUPL	Loan Repayment	0.07	0.0013
45	"	RUSSELL 2000 INDEX FUND	PRETAX BASIC	Loan Repayment	404.09	5.6786

There are additional records remaining. Click on the button below to view them.

Next Page

Field	Description
#	Transaction search result order. This is only relevant to the search.
Trade Date	Date of the transaction
Investment	Investment name
Money Source	Source of transaction
Description	Description of transaction
Cash	Amount of cash transacted
Shares	Amount of shares transacted

When you get to the bottom of the page, there may be additional records to be displayed. Click **Next Page** to display them.

Activity Summary

Selecting Activity Summary immediately opens a search page with current Plan Summary information below the **Submit Query** button. Enter as many or as few of the criteria as you need; however, leaving the default **All** for a search parameter may produce a large number of results.

Plan Activity Summary

Plan Number: 360001
Plan Name: ABC COMPANY RETIREMENT PLAN

Enter Query Parameters	
Start Date (mm/dd/ccyy):	01/01/2013
End Date (mm/dd/ccyy):	01/23/2013
Enter Fund ID (*** For All):	*** **OR**
Select Investment / Source:	

Submit Query

Code	Description	Market Value	Shares	Cost
000	OPENING BALANCE	$2,798,778,474.02	97,058,441.1904	$176,868,825.84
002	CASH EARNINGS	$1.35	0.0000	$0.00
003	EARN GAIN/LOSS	$614,590.34	0.0000	$0.00
007	TRANSFER IN	$2,491,703.77	40,200.0062	$2,491,703.77
021	TRANSFER OUT	- $2,507,113.82	- 88,028.3625	- $1,878,601.24
023	TERMINATION	- $21,197.56	0.0000	$0.00
025	WITHDRAWAL	- $10,000.00	- 794.7949	- $9,609.15
026	FEES	- $4,307.88	- 68.5841	- $3,210.92
035	LOAN REPAYMENT	$15,410.05	432.7961	$15,410.05
098	GAIN/LOSS	$69,719,763.64	0.0000	$0.00
099	CLOSING BALANCE	$2,869,077,323.91	97,010,182.2512	$177,484,518.35

Enter a **Start Date**, **End Date**, a **Fund ID**, and an **Investment Source**(s). **Investment Source** is split into individual Funds and **Investment Types** as search parameters. These can be set independently of each other.

Investment Prices

The Investment Prices page displays the price for each investment available in the plan. You can enter a previous date in the **Price Date** text box and click **Refresh**.

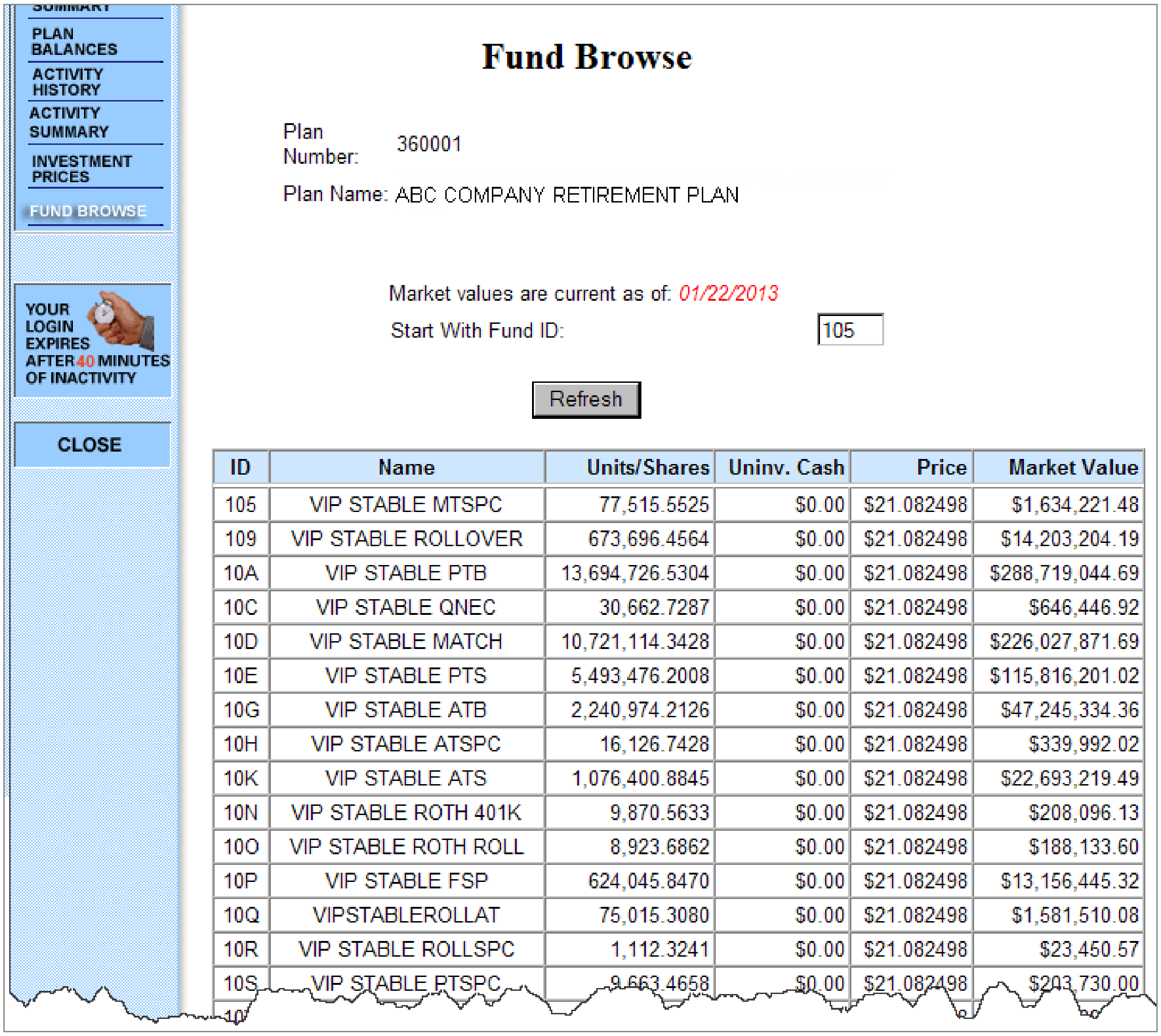
Investment Name	Price	Prior Price	Prior Date
VIP STABLE VALUE FUND	$21.082498	$21.081089	01/18/2013
STABLE VALUE GIC	$11.302487	$11.302487	01/18/2013
BOND MARKET INDEX FUND	$49.195674	$49.132879	01/18/2013
GLOBAL BOND FUND	$12.024409	$12.042363	01/18/2013
BALANCED INDEX FUND	$56.158773	$56.050809	01/18/2013
DIVERSIFIED REAL ASSET FUND	$11.531422	$11.511118	01/18/2013
S&P 500 INDEX FUND	$62.469413	$62.259370	01/18/2013
U.S. LARGE COMPANIES FUND	$12.675255	$12.649739	01/18/2013
RUSSELL 2000 INDEX FUND	$85.879023	$85.639963	01/18/2013
INTERNATIONAL INDEX FUND	$77.310560	$77.210048	01/18/2013
INTERNATIONAL COMPANIES FUND	$11.203501	$11.193707	01/18/2013
GLOBAL EQUITY FUND	$12.037266	$12.027150	01/18/2013
LARGE COMPANIES VALUE	$71.090371	$71.090371	01/18/2013

The Investment Prices page displays the following information:

Field	Description
Investment Name	Name of the investment
Price	Price per share or unit of the investment as of the entered price date
Prior Price	Price per share or unit of the investment as of the previous business day
Prior Date	Date of the previous business day

Fund Browse

The Fund Browse page displays plan balances for each investment source combination in the plan. It shows the as-of date for these balances at the top of the page. To access this page, click **Fund Browse** from the sidebar.



ID	Name	Units/Shares	Uninv. Cash	Price	Market Value
105	VIP STABLE MTSPC	77,515.5525	$0.00	$21.082498	$1,634,221.48
109	VIP STABLE ROLLOVER	673,696.4564	$0.00	$21.082498	$14,203,204.19
10A	VIP STABLE PTB	13,694,726.5304	$0.00	$21.082498	$288,719,044.69
10C	VIP STABLE QNEC	30,662.7287	$0.00	$21.082498	$646,446.92
10D	VIP STABLE MATCH	10,721,114.3428	$0.00	$21.082498	$226,027,871.69
10E	VIP STABLE PTS	5,493,476.2008	$0.00	$21.082498	$115,816,201.02
10G	VIP STABLE ATB	2,240,974.2126	$0.00	$21.082498	$47,245,334.36
10H	VIP STABLE ATSPC	16,126.7428	$0.00	$21.082498	$339,992.02
10K	VIP STABLE ATS	1,076,400.8845	$0.00	$21.082498	$22,693,219.49
10N	VIP STABLE ROTH 401K	9,870.5633	$0.00	$21.082498	$208,096.13
10O	VIP STABLE ROTH ROLL	8,923.6862	$0.00	$21.082498	$188,133.60
10P	VIP STABLE FSP	624,045.8470	$0.00	$21.082498	$13,156,445.32
10Q	VIPSTABLEROLLAT	75,015.3080	$0.00	$21.082498	$1,581,510.08
10R	VIP STABLE ROLLSPC	1,112.3241	$0.00	$21.082498	$23,450.57
10S	VIP STABLE PTSPC	9,663.4658	$0.00	$21.082498	$203,730.00

If you want to bring a specific investment / source combination to the top of the screen, type the **Fund ID** in the text box and click **Refresh**.

Additional results can be viewed by clicking **Next Page** at the bottom of the screen.

The Fund Browse page displays the following information:

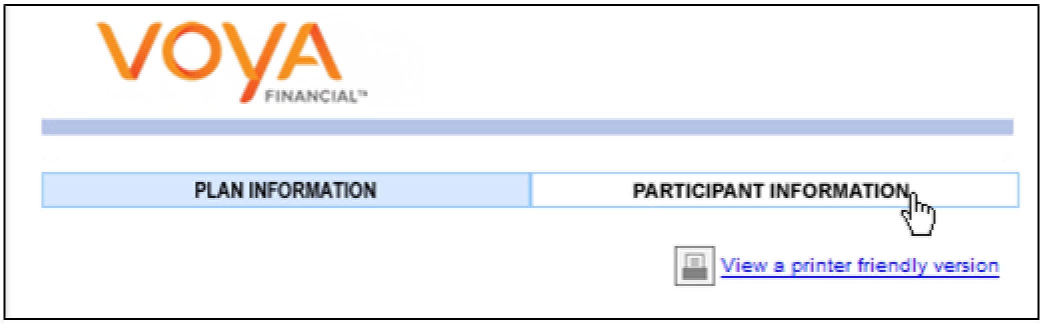
Field	Description
ID	Investment identification code, followed by the source identification code
Name	Investment / source combination
Units / Shares	Total number of shares or units in this investment / source combination

Field	Description
Uninv. Cash	Total dollar amount of uninvested cash for this investment / source combination
Price	Price per share or unit of this investment / source combination
Market Value	Total dollar value of the shares, units, and uninvested cash in the investment / source combination as of the date displayed above

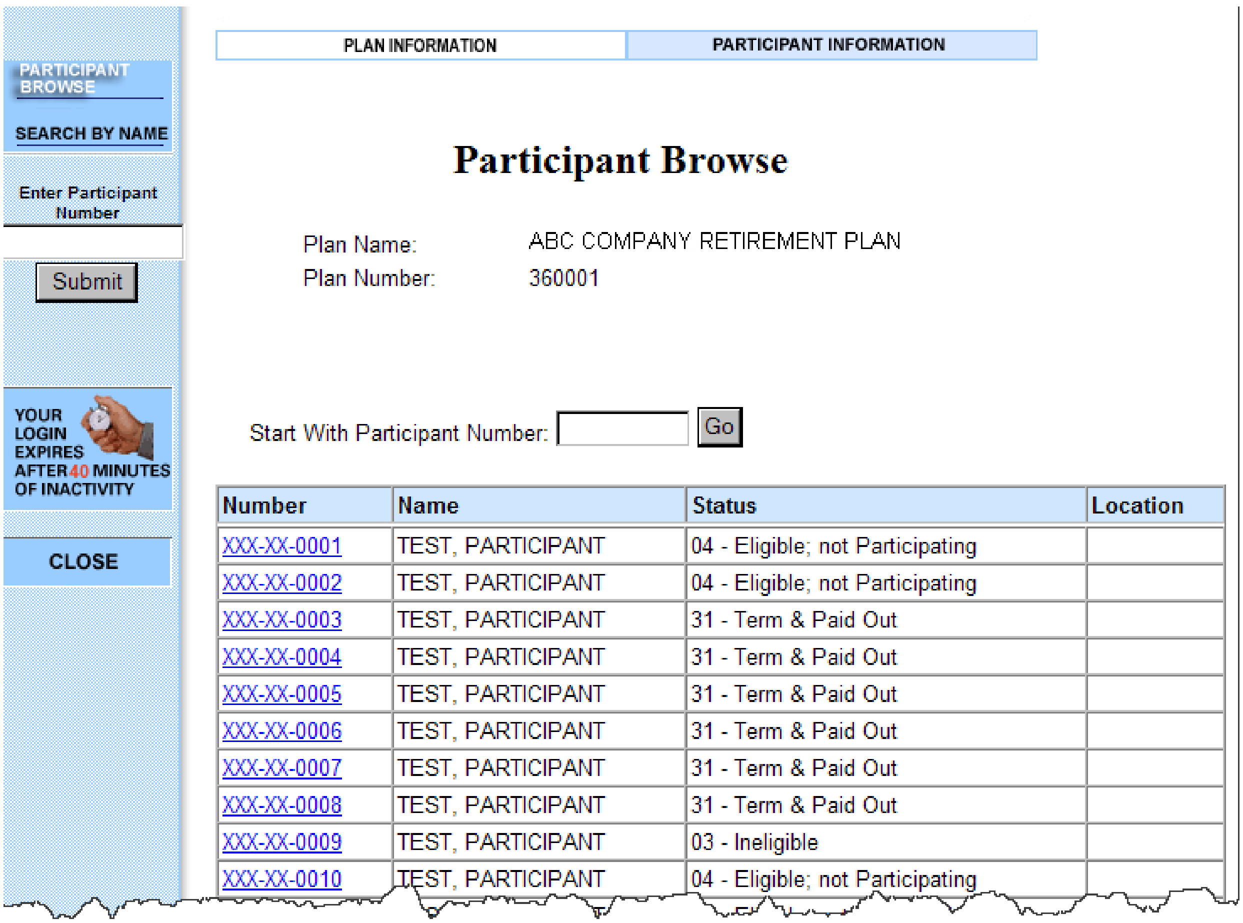
Click **Next Page** to continue, if necessary.

Chapter 3: Participant Screens

Participant-level information can be accessed from any page by clicking the **Participant Information** button at the top of the screen.



This immediately brings you into the Participant Browse screen, where all the plan participants are listed.



Number	Name	Status	Location
XXX-XX-0001	TEST, PARTICIPANT	04 - Eligible; not Participating	
XXX-XX-0002	TEST, PARTICIPANT	04 - Eligible; not Participating	
XXX-XX-0003	TEST, PARTICIPANT	31 - Term & Paid Out	
XXX-XX-0004	TEST, PARTICIPANT	31 - Term & Paid Out	
XXX-XX-0005	TEST, PARTICIPANT	31 - Term & Paid Out	
XXX-XX-0006	TEST, PARTICIPANT	31 - Term & Paid Out	
XXX-XX-0007	TEST, PARTICIPANT	31 - Term & Paid Out	
XXX-XX-0008	TEST, PARTICIPANT	31 - Term & Paid Out	
XXX-XX-0009	TEST, PARTICIPANT	03 - Ineligible	
XXX-XX-0010	TEST, PARTICIPANT	04 - Eligible; not Participating	

To find a specific plan participant, enter the participant number in the field on the left side of the screen and click **Submit**. Enter a participant number in the **Start With Participant Number** field in the middle of the screen and click **Go** to return that number and all participant numbers following it.

You can also search by name by clicking the **Search by Name** link on the left side of the screen.

The following search screen will appear:

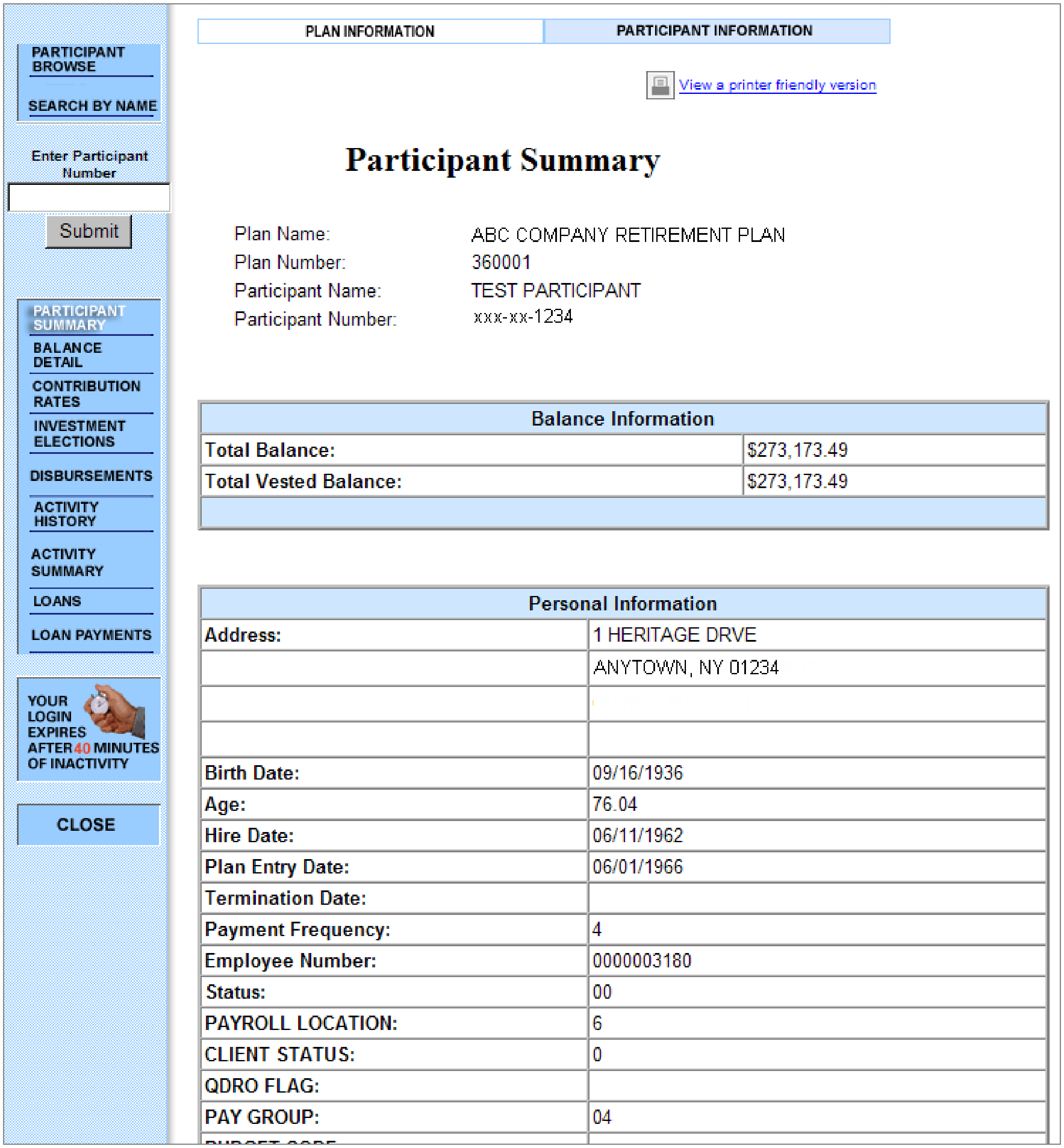
Entering a partial name will return all names containing the partial name e.g. entering “SMI” will return Smith, Smithers, etc.

Once you have located the participant you wish to view, click the participant number in the Number column.

Selecting a participant will open the Participant Summary screen.

Participant Summary

Once you have selected a participant, you will see a Participant Summary screen. This page displays the basic information about the participant and his or her account.



The participant navigation options will appear on the left side of this screen. These are, in order:

- Participant Summary (current page)
- Balance Detail

The Participant Summary screen displays the following participant balance information:

Field	Description
Total Balance	Total participant account balance.

Field	Description
Total Vested Balance	Total balance amount that is vested.
Total Loan Balance	Balance of the participant’s loans, if any.
Personal Information	Participant personal information—these fields will vary according to client needs.

Balance Detail

The Balance Detail screen displays participant balances by investment and source as of a certain date.

Balance Detail

Plan Name: ABC COMPANY RETIREMENT PLAN
Plan Number: 360001
Participant Name: TEST PARTICIPANT
Participant Number: XXX-XX-1234

As Of Date (MMDDCCYY): 01222013 Refresh

Balance By Investment

Investment Name	Uninv. Cash	Units/Shares	Units/Shares Price	Market Value	% of Total
VIP STABLE VALUE FUND	$0.00	9185.8866	$21.082498	$193,661.45	70.89
BOND MARKET INDEX FUND	$0.00	54.8739	$49.195674	$2,699.57	0.99
GLOBAL BOND FUND	$0.00	332.5145	$12.024409	$3,998.30	1.46
BALANCED INDEX FUND	$0.00	38.6269	$56.158773	$2,169.24	0.79
DIVERSIFIED REAL ASSET FUND	$0.00	259.2807	$11.531422	$2,989.88	1.09
S&P 500 INDEX FUND	$0.00	109.1662	$62.469413	$6,819.55	2.50
U.S. LARGE COMPANIES FUND	$0.00	261.7785	$12.675255	$3,318.12	1.21
RUSSELL 2000 INDEX FUND	$0.00	52.9323	$85.879023	$4,545.78	1.66
INTERNATIONAL INDEX FUND	$0.00	43.2698	$77.310560	$3,345.21	1.23
INTERNATIONAL COMPANIES FUND	$0.00	328.0542	$11.203501	$3,675.36	1.35
GLOBAL EQUITY FUND	$0.00	322.3386	$12.037266	$3,880.07	1.42
U.S.SMALL/MID COMPANIES FUND	$0.00	300.7547	$13.219557	$3,975.84	1.46
SCIENCE AND TECHNOLOGY FUND	$0.00	70.7306	$87.215474	$6,168.79	2.26
LIFECYCLE 2015 FUND	$0.00	115.4208	$10.769969	$1,243.09	0.46
LIFECYCLE 2025 FUND	$0.00	112.9224	$10.866390	$1,227.04	0.45
LIFECYCLE 2035 FUND	$0.00	80.2075	$10.963579	$879.35	0.32
LIFECYCLE 2045 FUND	$0.00	119.7963	$11.049587	$1,323.70	0.49
LIFECYCLE RETIREMENT FUND	$0.00	270.7922	$15.040021	$4,072.73	1.49
LIFECYCLE 2020 FUND	$0.00	266.0141	$14.193264	$3,775.61	1.38
LIFECYCLE 2030 FUND	$0.00	353.5981	$13.743831	$4,859.79	1.78
LIFECYCLE 2040 FUND	$0.00	377.4914	$13.381526	$5,051.40	1.85
LIFECYCLE 2050 FUND	$0.00	524.9262	$13.807064	$7,247.68	2.65
ABC CO STOCK FUND	$0.00	19.8534	$113.126905	$2,245.94	0.82
Total	**$0.00**			**$273,173.49**	**100.00**

Balance by Source

Source	Market Value	Vested %	Vested Value	% of Total
CO MATCH SPOUSAL CONSENT	$77.49	100	$77.49	0.02
ROLLOVER PRETAX	$2,439.21	100	$2,439.21	0.88
PRETAX BASIC	$2,364.26	100	$2,364.26	0.87
QNEC	$702.37	100	$702.37	0.26
ER MATCH	$2,367.43	100	$2,367.43	0.87
PRETAX SUPL	$2,278.69	100	$2,278.69	0.83
AFTER TAX BASIC	$2,931.67	100	$2,931.67	1.07
AFTER-TAX SPOUSAL CONSENT	$133.14	100	$133.14	0.05
AFTER TAX SUPL	$2,827.84	100	$2,827.84	1.04
ROTH 401(k)	$4,662.57	100	$4,662.57	1.71
ROTH ROLLOVER	$5,470.96	100	$5,470.96	2.00
FSP SICK LEAVE	$237,958.98	100	$237,958.98	87.11
ROLLOVER AFTERTAX	$2,618.74	100	$2,618.74	0.96
COMPANY CONTRIBUTION	$2,231.70	100	$2,231.70	0.82
QNEC	$1,926.44	100	$1,926.44	0.71
ROTH SUPPLEMENTAL	$2,182.00	100	$2,182.00	0.80
Total	**$273,173.49**		**$273,173.49**	**100.00**

To change the **As of Date**, type a previous date value in the date field, then click **Refresh**.

Balance by Investment

The Balance by Investment section of the screen displays the following information:

Field	Description
Investment Name	Investment name for each fund in which the participant has a balance
Uninvested Cash	Total dollar amount of uninvested cash for this investment
Units / Shares	Total number of shares or units in this investment
Units / Shares Price	Price per share or unit of this investment
Market Value	Total dollar value of the shares, units, and uninvested cash for this participant in the fund, as of the date displayed above
% of Total	Percentage of the participant's total balance in this plan

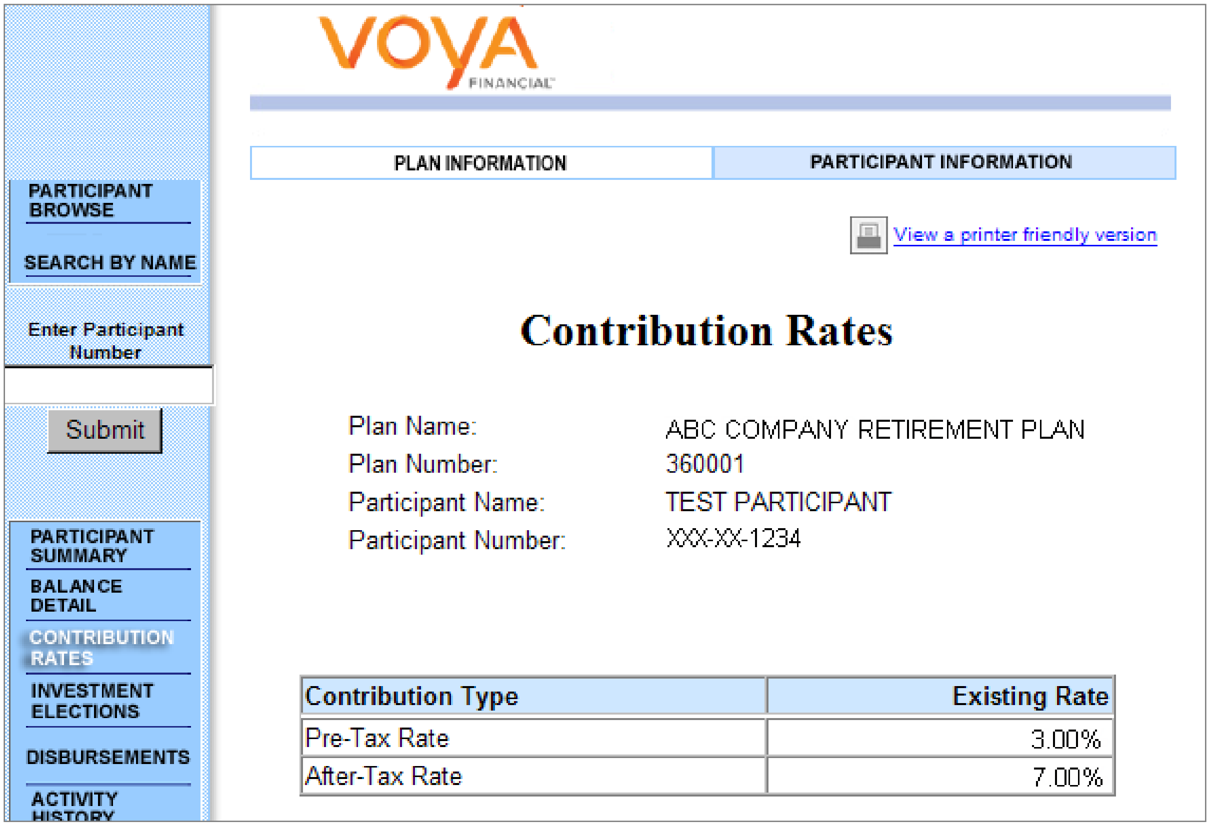
Balance by Source

The Balance by Source section of the screen displays the following information:

Field	Description
Source	Funding source of the participant balance
Market Value	Market value (dollar value) of the shares, units, and uninvested cash in the source
Vested %	Percentage that the market value is vested
Vested Value	Total vested value for the source
% of Total	Percentage of the grand total for each investment source

Contribution Rates

The Contribution Rates screen displays the percentage of salary that the participant is contributing for each participant contribution source.

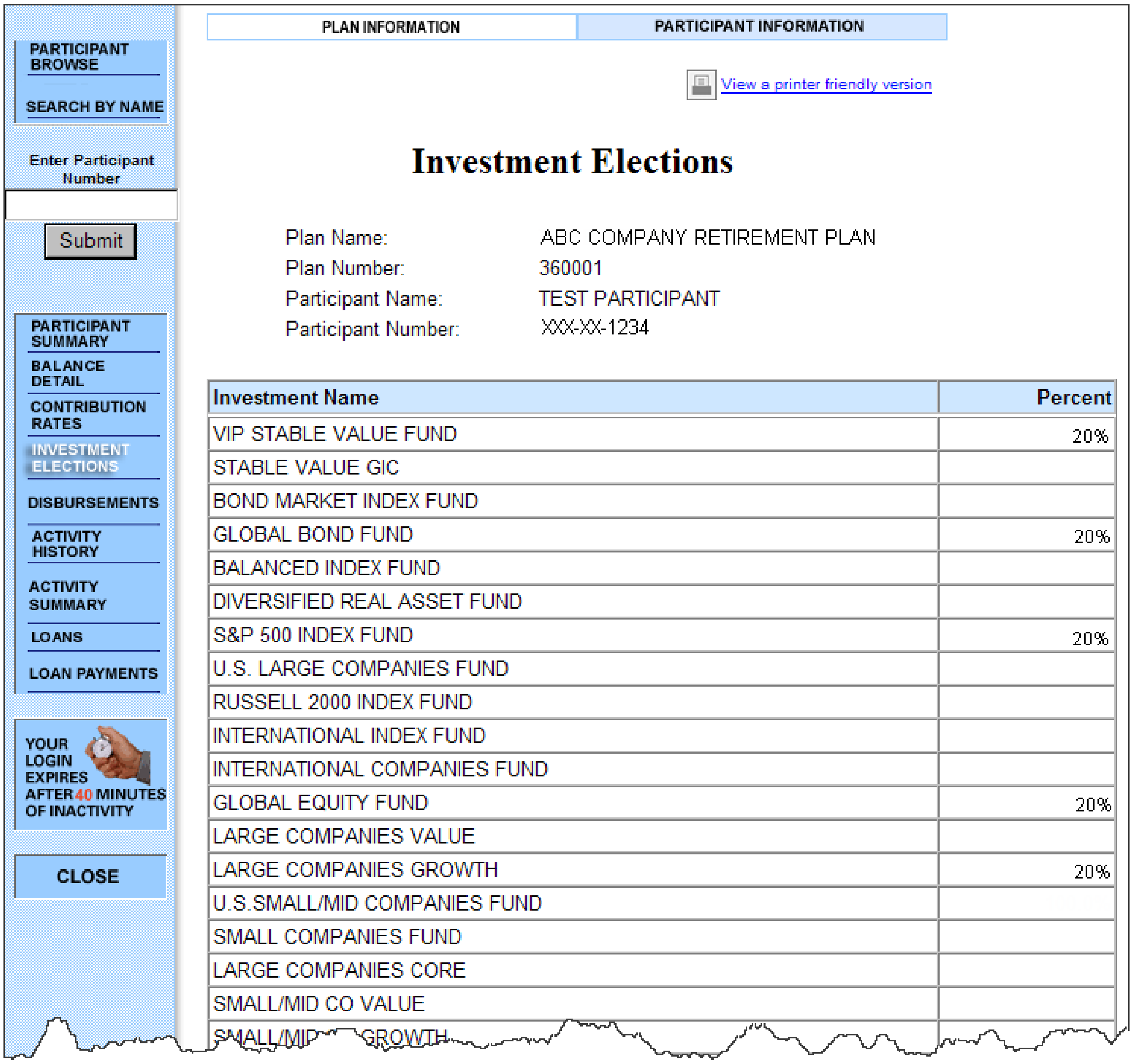


The Contribution Rates screen displays the following information:

Field	Description
Contribution Type	Description of the funding source of the contribution
Existing Rate	Current rate being contributed by this participant (even if no contribution rate applies)

Investment Elections

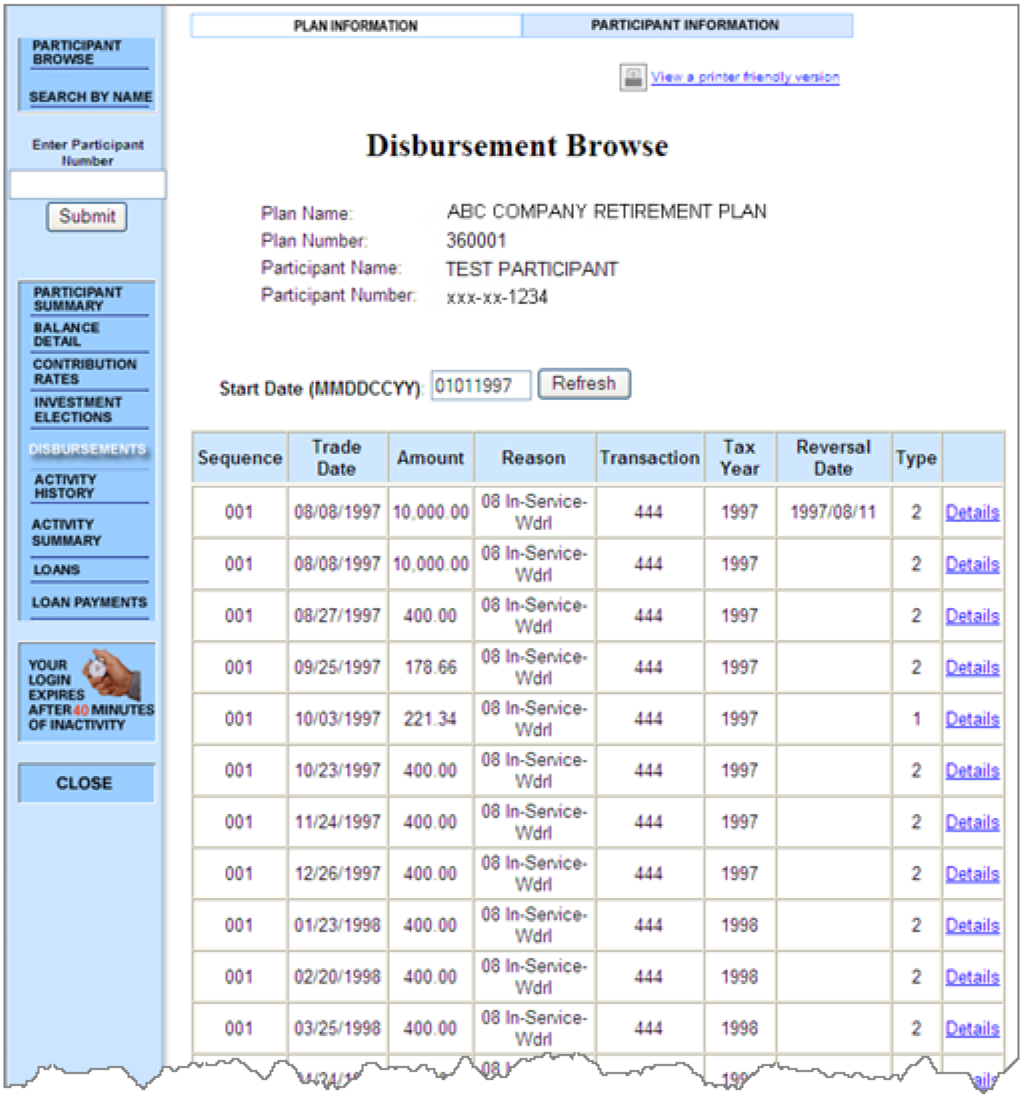
The Investment Elections screen displays the breakdown of the participant's investment elections by investment.



Field	Description
Investment Name	Investment name for each fund
Percent	Percentage of the total deferral amount being invested in the fund

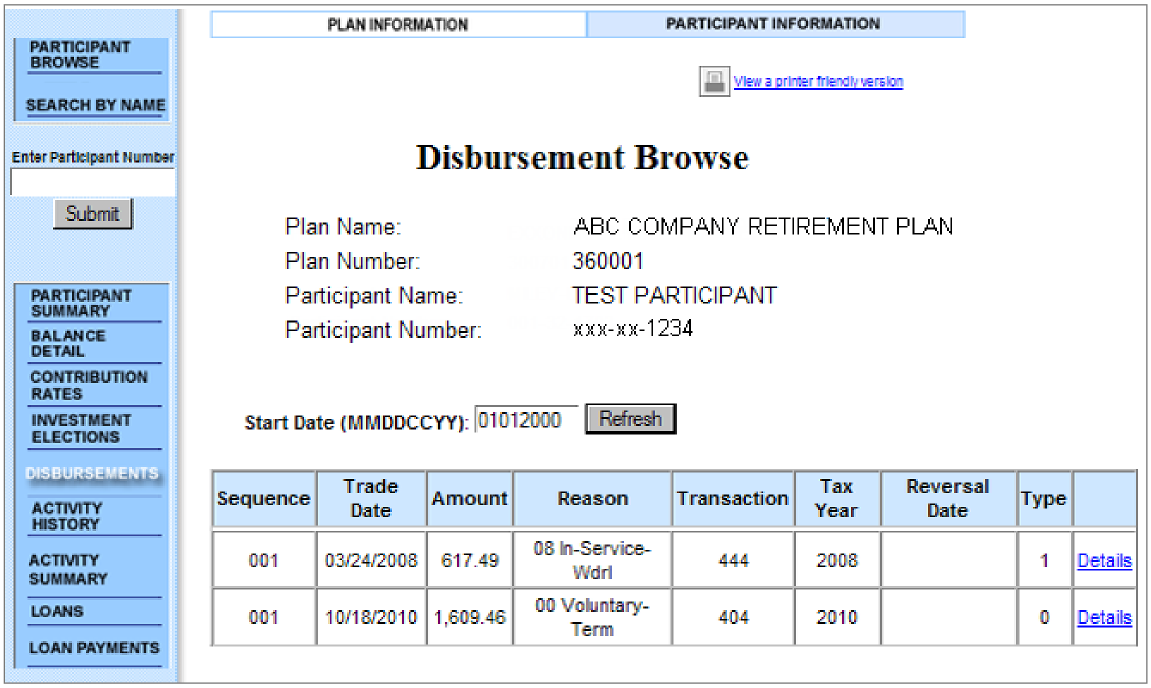
Disbursement Browse

The Disbursement Browse screen allows you to view a history of the participant's disbursements by submitting a query according to specific parameters.



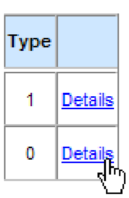
Sequence	Trade Date	Amount	Reason	Transaction	Tax Year	Reversal Date	Type	
001	08/08/1997	10,000.00	08 In-Service-Wdrl	444	1997	1997/08/11	2	Details
001	08/08/1997	10,000.00	08 In-Service-Wdrl	444	1997		2	Details
001	08/27/1997	400.00	08 In-Service-Wdrl	444	1997		2	Details
001	09/25/1997	178.66	08 In-Service-Wdrl	444	1997		2	Details
001	10/03/1997	221.34	08 In-Service-Wdrl	444	1997		1	Details
001	10/23/1997	400.00	08 In-Service-Wdrl	444	1997		2	Details
001	11/24/1997	400.00	08 In-Service-Wdrl	444	1997		2	Details
001	12/26/1997	400.00	08 In-Service-Wdrl	444	1997		2	Details
001	01/23/1998	400.00	08 In-Service-Wdrl	444	1998		2	Details
001	02/20/1998	400.00	08 In-Service-Wdrl	444	1998		2	Details
001	03/25/1998	400.00	08 In-Service-Wdrl	444	1998		2	Details

You will see a list of all plan disbursements for the participant as of the entered Start Date, if there are any. To see prior disbursements, enter a prior date in the **Start Date** text box and click **Refresh**.



Field	Description
Sequence	Sequential number of the disbursement activity
Trade Date	Trade date, or date on which the activity occurred
Amount	Total value of the disbursement
Reason	Reason code for the disbursement
Transaction	Transaction code for the disbursement activity
Tax Year	Tax year for which the distribution is to be reported for tax purposes
Reversal Date	Indicates whether or not the transaction was reversed: X The transaction was reversed [blank] The transaction was not reversed
Type	Type of disbursement (such as, termination, or in-service withdrawal)

Disbursement Detail



Click the **Details** link of a specific disbursement to access the Disbursement Detail screen.

PLAN INFORMATION | PARTICIPANT INFORMATION

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Disbursement Detail

Plan Name: ABC COMPANY RETIREMENT PLAN
Plan Number: 360001
Participant Name: TEST PARTICIPANT
Participant Number: xxx-xx-1234

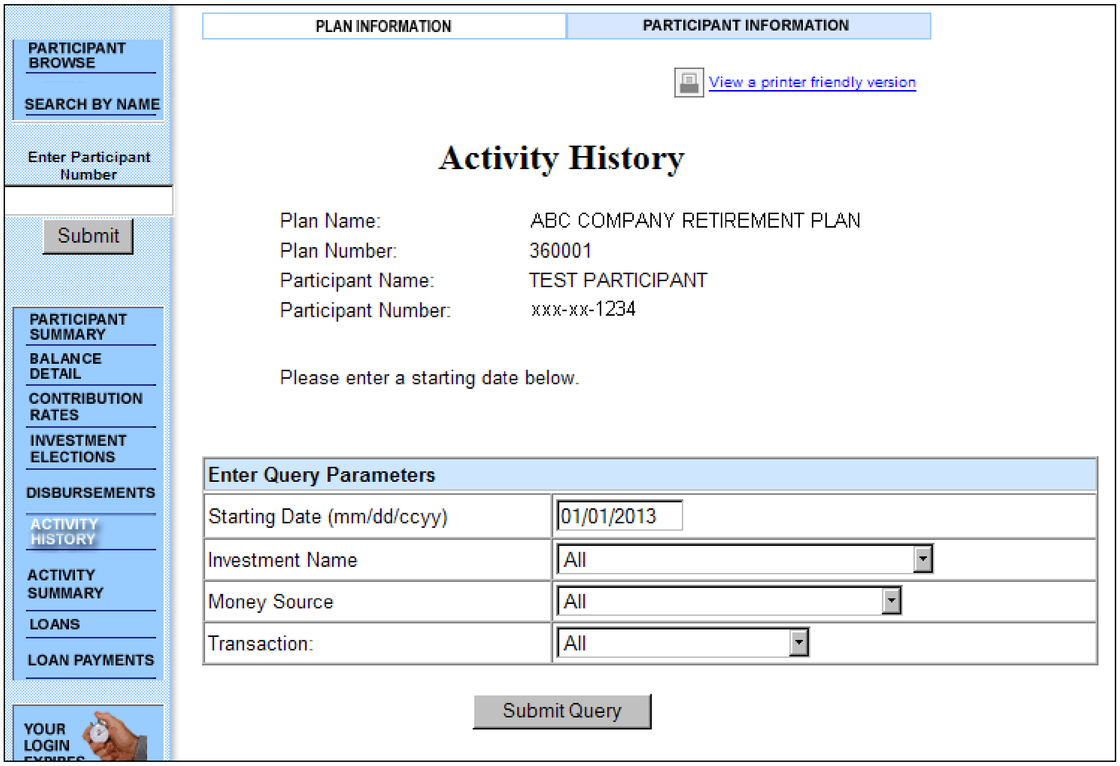
#	Name	Value	Group
005	Plan Number	300701	CTL
007	Participant Number	xxx-xx-1234	CTL
008	Trade Date	2008/03/24	CTL
009	Run Date	2008/03/24	CTL
010	Run Time	2025	CTL
011	Sequence Number	001	CTL
156	Federal Averaging Benefit Exclusion Code	L ? ? ? ?	BASE
160	Distribution Type	1 In-Service-Wdrl	CTL
170	Distribution Reason	08 In-Service-Wdrl	CTL
175	Transaction Reason Code	0	CTL
180	State Code	NH	BASE
185	Plan Type	2 ? ? ? ?	BASE
190	Related Participant Number	000-00-0000	CTL
200	Distribution Amount	617.49	BASE
220	Ordinary Income Distributed - Federal	617.49	BASE
264	Federal Withholding Marital Status	1 Single	BASE
266	State Withholding Marital Status Override	1 Single	BASE
288	Local Marital Status Override	1 Single	BASE
350	Cash Amount Distributed	617.49	BASE
359	User-Defined Field - Code 3	L	BASE
400	Status Prior to Disbursement	04 Active	CTL
401	Check Address Line 1	2 HALL PL	ADDR
404	Check Address City	EXETER	ADDR
405	Check Address State	NH	ADDR
406	Check Address ZIP	038330000	ADDR
410	Transaction Code	444 Withdrawal	CTL
413	Posting Process Counter	00083	BASE
470	Loan Repaid Amount	617.49	BASE
501	Tax Form Address Line 1	2 HALL PL	ADDR
504	Tax Form Address City	EXETER	ADDR

The Disbursement Detail screen displays the following information:

Field	Description
#	Data element numbers of the disbursement codes on display
Name	Names of the data elements on display
Value	Current value of the data elements on display
Group	Data element group for each data element on display

Activity History

Upon entering the Activity History screen, you will be required enter search parameters. Click **Submit Query** to return values and view the participant's transaction history.



To submit a transaction history request, enter a Starting Date in the **Starting Date** text box. Then (as needed), choose an **Investment Name**, **Money Source**, and **Transaction** type from the drop-down boxes.

Click **Submit Query**. Scroll down to see the Activity History – Query Results.

Activity History - Query Results

#	Activity Date	Investment	Money Source	Activity	Amount	Units/Shares
1	07/15/2011	S&P 500 INDEX FUND	FSP SICK LEAVE	Conversion In	4219.23	78.7787
2	02/23/2012	S&P 500 INDEX FUND	ROLLOVER PRETAX	Conversion In	92.24	1.6439
3	"	S&P 500 INDEX FUND	PRETAX BASIC	Conversion In	131.05	2.3355
4	"	S&P 500 INDEX FUND	ER MATCH	Conversion In	182.07	3.2448
5	"	S&P 500 INDEX FUND	PRETAX SUPL	Conversion In	159.05	2.8345
6	"	S&P 500 INDEX FUND	AFTER TAX BASIC	Conversion In	81.29	1.4487
7	"	S&P 500 INDEX FUND	AFTER TAX SUPL	Conversion In	162.46	2.8953
8	"	S&P 500 INDEX FUND	ROTH 401(k)	Conversion In	108.56	1.9347
9	"	S&P 500 INDEX FUND	ROTH ROLLOVER	Conversion In	170.83	3.0444
10	"	S&P 500 INDEX FUND	FSP SICK LEAVE	Conversion In	153.94	2.7434
11	"	S&P 500 INDEX FUND	ROLLOVER AFTERTAX	Conversion In	43.56	0.7763
12	"	S&P 500 INDEX FUND	COMPANY CONTRIBUTION	Conversion In	46.10	0.8216
13	"	S&P 500 INDEX FUND	QNEC	Conversion In	163.56	2.9149
14	"	S&P 500 INDEX FUND	ROTH SUPPLEMENTAL	Conversion In	45.72	0.8148
15	"	S&P 500 INDEX FUND	ROTH 401(k)	Contribution	139.40	2.4815
16	"	S&P 500 INDEX FUND	ROTH ROLLOVER	Contribution	25.46	0.4532

If there are too many records to display on one page, a **Next Page** button will appear at the bottom of the screen.

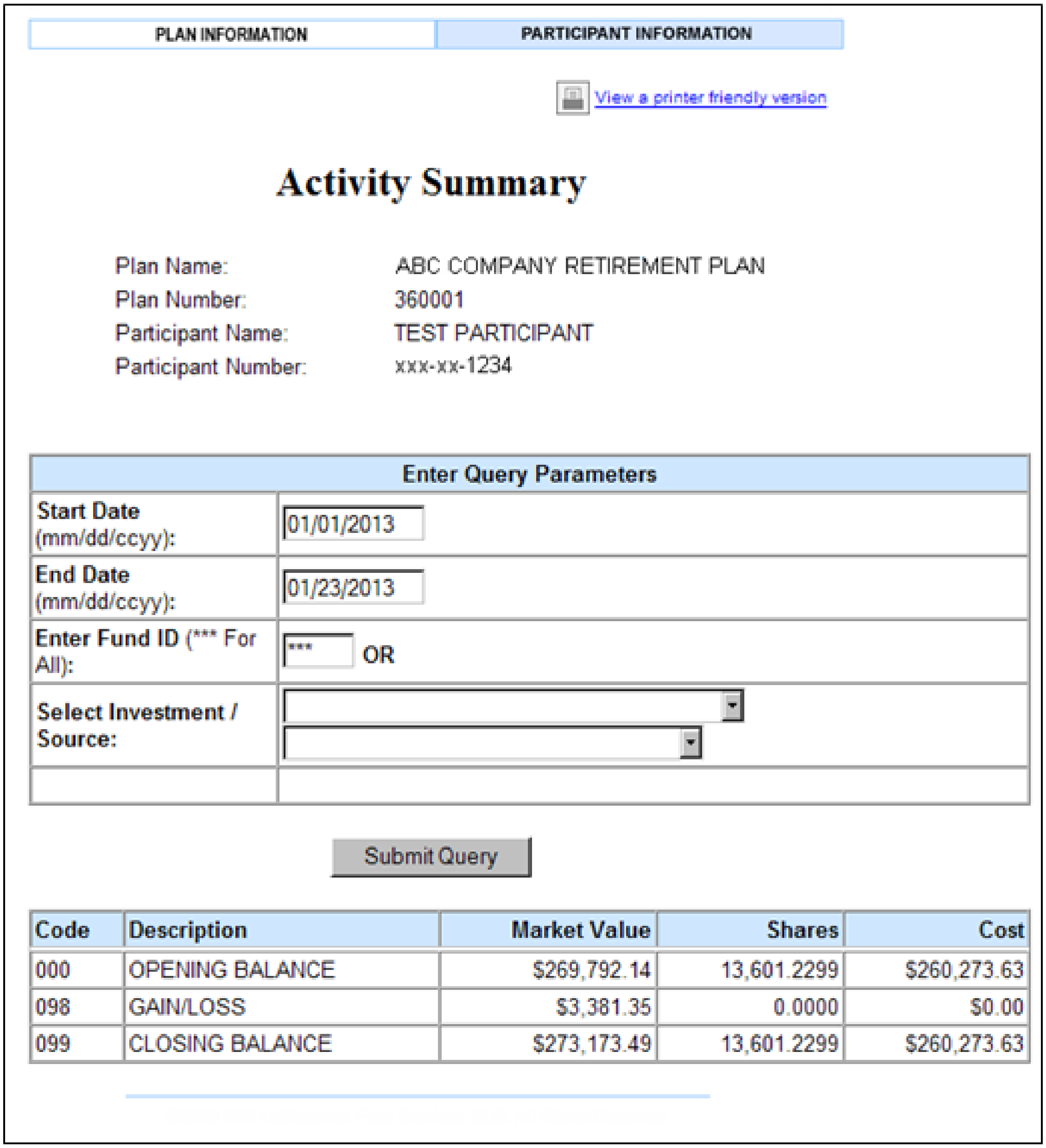
The Activity History Query Results screen returns the history of the participant's plan for the trade date, fund, and transaction parameters you entered and displays the following information for each trade:

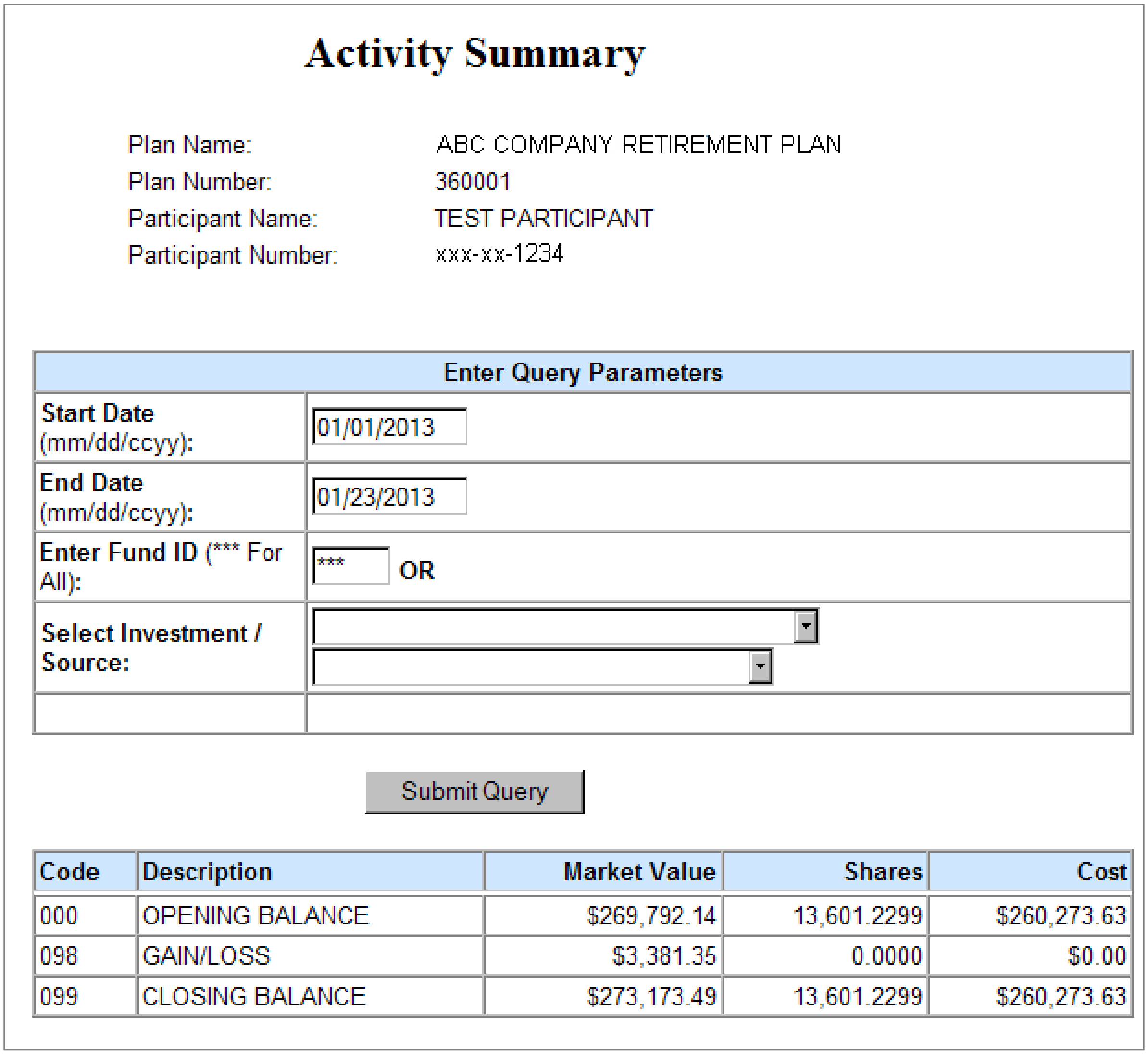
Field	Description
#	Sequential number of the activity
Activity Date	Trade date, or date on which the activity occurred
Investment	Investment affected by the transaction activity

Field	Description
Money Source	Source affected by the transaction activity
Activity	Description of the transaction activity
Amount	Amount of the transaction
Units / Shares	Unit or share amount of the transaction

Activity Summary

The Activity Summary screen allows you to view a summary of the participant's activity history by submitting a query according to specific parameters.





Activity Summary

Plan Name:	ABC COMPANY RETIREMENT PLAN
Plan Number:	360001
Participant Name:	TEST PARTICIPANT
Participant Number:	xxx-xx-1234

Enter Query Parameters	
Start Date (mm/dd/ccyy):	01/01/2013
End Date (mm/dd/ccyy):	01/23/2013
Enter Fund ID (*** For All):	*** **OR**
Select Investment / Source:	

Submit Query

Code	Description	Market Value	Shares	Cost
000	OPENING BALANCE	$269,792.14	13,601.2299	$260,273.63
098	GAIN/LOSS	$3,381.35	0.0000	$0.00
099	CLOSING BALANCE	$273,173.49	13,601.2299	$260,273.63

When you first access this screen, you will see an overview of the activity history within the default dates. To enter new query parameters, enter a **Start Date** and **End Date** in the date text fields, and then choose a **Fund ID** and **Investment Source**. Click **Submit Query**.

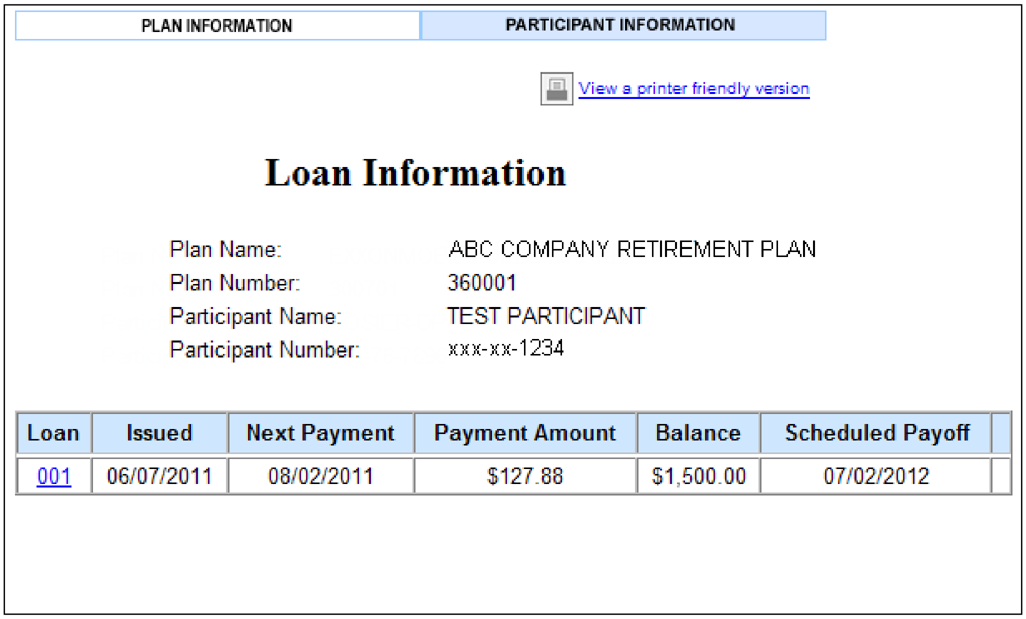
The query results will appear below the query fields. Scroll down to see the query results.

The Activity Summary page displays the following information:

Field	Description
Code	Activity code
Description	Description of the activity
Market Value	Market value (dollar value) of the shares, units, and uninvested cash for the activity
Shares	Total number of shares or units for the activity
Cost	Historical cost of the shares or units

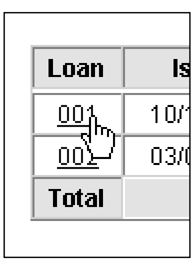
Loans

The Loans screen displays the participant's summarized loan information for this plan.



The Loan Information page displays the following information for each loan issued:

Field	Description
Loan	Sequential number of the loan
Issued	Date the loan was issued
Next Payment	Expected date of the next loan payment
Payment Amount	Amount of each periodic loan payment
Balance	Remaining principal balance still owed
Scheduled Payoff	Date the loan is scheduled to be fully paid off



Each loan number on the left is a link that brings you to the Loan Detail page for the selected loan.

Loan Detail

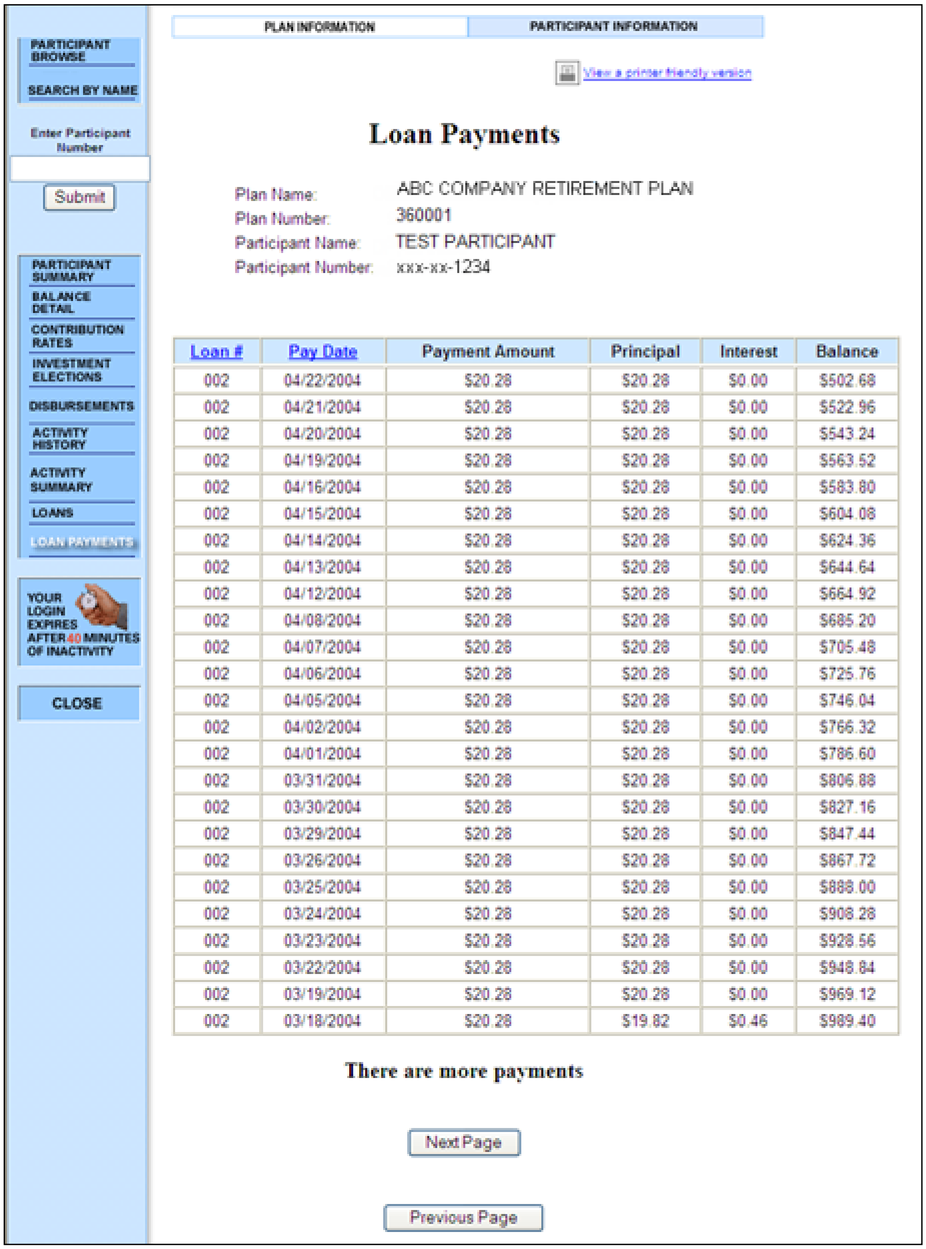
The Loan Detail screen displays the basic details about a specific participant loan.

The Loan Detail page displays the following summary information for the loan selected:

Field	Description
Issue Date	Date the loan was issued
Next Payment Date	Expected date of the next loan payment
Previous Payment Date	Date the previous loan payment was made
Original Amount	Original amount loaned to the participant
Current Balance	Current principal balance of the loan
Interest Rate	Interest rate
Payment Amount	Amount of each periodic loan payment
Payment Frequency	Frequency at which loan payments are due
Payoff Date	Expected loan payoff date
Type	Type of loan

Loan Payments

The Loan Payments screen displays the participant's loan payment history.



Loan Payments

Plan Name: ABC COMPANY RETIREMENT PLAN
Plan Number: 360001
Participant Name: TEST PARTICIPANT
Participant Number: xxx-xx-1234

Loan #	Pay Date	Payment Amount	Principal	Interest	Balance
002	04/22/2004	$20.28	$20.28	$0.00	$502.68
002	04/21/2004	$20.28	$20.28	$0.00	$522.96
002	04/20/2004	$20.28	$20.28	$0.00	$543.24
002	04/19/2004	$20.28	$20.28	$0.00	$563.52
002	04/16/2004	$20.28	$20.28	$0.00	$583.80
002	04/15/2004	$20.28	$20.28	$0.00	$604.08
002	04/14/2004	$20.28	$20.28	$0.00	$624.36
002	04/13/2004	$20.28	$20.28	$0.00	$644.64
002	04/12/2004	$20.28	$20.28	$0.00	$664.92
002	04/08/2004	$20.28	$20.28	$0.00	$685.20
002	04/07/2004	$20.28	$20.28	$0.00	$705.48
002	04/06/2004	$20.28	$20.28	$0.00	$725.76
002	04/05/2004	$20.28	$20.28	$0.00	$746.04
002	04/02/2004	$20.28	$20.28	$0.00	$766.32
002	04/01/2004	$20.28	$20.28	$0.00	$786.60
002	03/31/2004	$20.28	$20.28	$0.00	$806.88
002	03/30/2004	$20.28	$20.28	$0.00	$827.16
002	03/29/2004	$20.28	$20.28	$0.00	$847.44
002	03/26/2004	$20.28	$20.28	$0.00	$867.72
002	03/25/2004	$20.28	$20.28	$0.00	$888.00
002	03/24/2004	$20.28	$20.28	$0.00	$908.28
002	03/23/2004	$20.28	$20.28	$0.00	$928.56
002	03/22/2004	$20.28	$20.28	$0.00	$948.84
002	03/19/2004	$20.28	$20.28	$0.00	$969.12
002	03/18/2004	$20.28	$19.82	$0.46	$989.40

There are more payments

Next Page

Previous Page

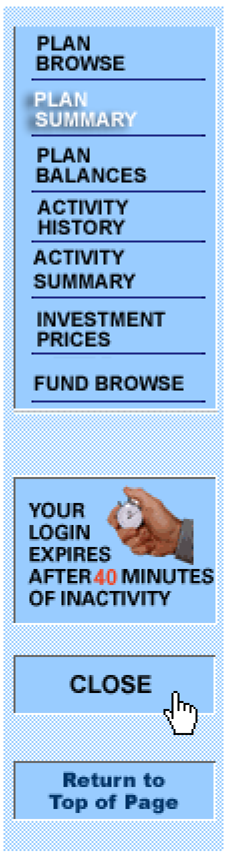
Records may be sorted by loan number or by pay date (the two left columns). Click on the appropriate column header to sort the records.

The Loan Payments page displays the following information:

Field	Description
Loan #	Three digit sequential loan number assigned by the system.
Pay Date	Payment date, starting with the date of the first payment.
Payment Amount	Actual amount repaid into the loan.
Principal	Portion of the payment amount applied to the principal.

Field	Description
Interest	Portion of the payment amount applied to the interest.
Balance	Loan principal balance after the payment is applied.
Loan Type	Type of loan.

If additional payments are present, but cannot be displayed, the **Next Page** button will appear at the bottom of the screen.



Logging Off

When you are finished working in Plan Access and ready to log off, click **Close** at the bottom of the sidebar.