

Quick Start – EBP Participant Confirmations

Confirmation.com provides complete print fulfillment services for Employee Benefit Plan (EBP) participant confirmation requests issued through Confirmation.com. This service includes address verification, printing, shipping, postage and an electronic response option for the participant. Let's take a look at how to send EBP confirmation requests to participants.

1. Adding employee benefit accounts

When adding accounts for a client you will note a confirmation type option for employee benefits.

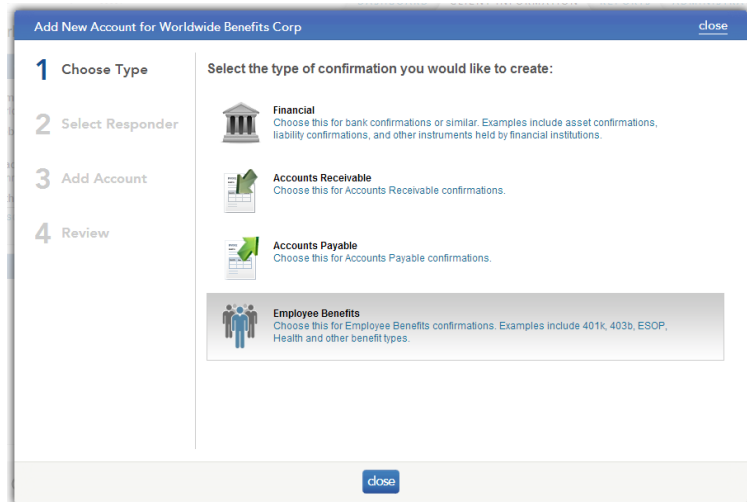
2. Select data entry method

Employee benefit participant information can be added by batch uploading the participant address and account information (step 3), or by entering it manually (step 4). Choose the desired data entry method.

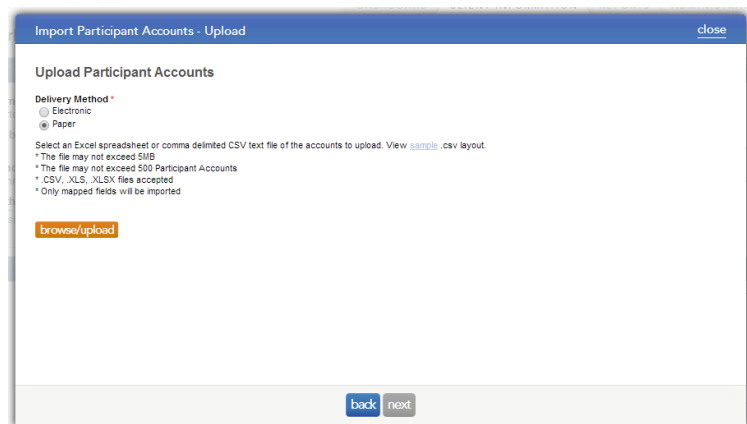
3. Batch upload participant data (option)

If using the batch upload feature, select the desired delivery type (paper or electronic) and browse for the appropriate file. A sample file is provided for reference. Files may not exceed 5MB or 500 records.

Note: Participant address information is required for paper delivery. Participant email address information is required for electronic delivery.



The screenshot shows a web interface titled "Add New Account for Worldwide Benefits Corp" with a "close" button in the top right. On the left, there is a vertical navigation menu with four steps: "1 Choose Type", "2 Select Responder", "3 Add Account", and "4 Review". The main content area is titled "Select the type of confirmation you would like to create:" and lists three options: "Financial" (with a bank icon), "Accounts Receivable" (with a document icon), and "Accounts Payable" (with a document icon). The "Employee Benefits" option (with a group of people icon) is highlighted with a grey background. Each option includes a brief description of what it is used for. A "close" button is located at the bottom center of the interface.



The screenshot shows a web interface titled "Import Participant Accounts - Upload" with a "close" button in the top right. The main heading is "Upload Participant Accounts". Under "Delivery Method", there are two radio buttons: "Electronic" (selected) and "Paper". Below this, there is a text prompt: "Select an Excel spreadsheet or comma delimited CSV text file of the accounts to upload. View [sample](#) .csv layout." followed by three bullet points: "* The file may not exceed 5MB", "* The file may not exceed 500 Participant Accounts", and "* CSV, .XLS, .XLSX files accepted". A "browse/upload" button is located below the text. At the bottom of the interface, there are "back" and "next" buttons.

3a. Map imported file fields

Once a file is imported, you will be asked to choose the response type (positive or negative), authorized signer, and map the imported file fields to the Confirmation.com required fields.

Optional Fields may be Set as N/A

- Contact Name
- Email Address
- Address1
- Address2
- City
- State
- Zip Code
- Country
- Account ID
- Plan Name
- Date of Birth
- Date of Hire
- Date of Termination/Retirement
- Gross Wages (for Plan Year)
- Balance
- Contribution Amount (for Plan Year)
- Contribution Percentage (for Plan Year)
- Gross Distributions (if applicable)
- Net Distributions (if applicable)
- Loan Amount (if applicable)
- Date of Loan (if applicable)
- Loan Balance (for As of Date)

3b. Edit/Review participant information

Imported information can be reviewed, edited and saved before being imported into the system.

Account ID	Plan Name	Balance	Contact Name	Address1	Address2
[edit] 101101	Good Retirement Plan ...	2,345.67	Mark Wallace	456 Wusthof Dr.	
[edit] 1234567	Good Retirement Plan ...	1,234.00	Joe Cort	123 Sesame St.	
[edit] 235467347-77	Good Retirement Plan ...	34,562.00	Helen Protopapadakis	5527 Beech St.	
[edit] 324524524-22	Good Retirement Plan ...	56,375.00	David Hamblin	551 Turner Dr.	
[edit] 3346245-45	Good Retirement Plan ...	4,566.00	Mark Atkins	612 Warf Ave.	
[save] 34567333-86	Good Retirement Plan 40	3,456.00	Alexander Schott	982 Grinders Mill Rd.	
[edit] 3457222-22	Good Retirement Plan ...	4,366.00	William Beaty	2231 Longview Dr.	
[edit] 34573467-33	Good Retirement Plan ...	456.00	Kimberly Thiel	312 Smith Springs Pkwy	Apt 31
[edit] 3463457-55	Good Retirement Plan ...	4,566.00	Roger Mardsen	2241 College St.	
[edit] 3567356-66	Good Retirement Plan ...	987.00	Eric Andrews	488 Cherokee Ct.	Apt 13
[edit] 356735688-01	Good Retirement Plan ...	2,345.00	Angela Fortner	3341 Old Louisville Hwy	
[edit] 356736587-66	Good Retirement Plan ...	5,785.00	Michael Gillam	420 High St.	
[edit] 364736-45	Good Retirement Plan ...	3,567.00	Theresa Hernandez	4212 Green Acres Ct	Apt 10

4. Manually add participant data (option)

If using the manually add feature, select the desired delivery type (paper or electronic) and enter the contact information.

The screenshot shows the 'Add Contact' step of the 'Add New Account for Worldwide Benefits Corp' process. A sidebar on the left lists the steps: 1 Choose Type, 2 Add Contact, 3 Add Account, and 4 Review. The main form includes fields for Delivery Method (Electronic selected), Contact Name (Randy Jackson), Address 1 (123 Oak St), Address 2, a checkbox for 'located inside the United States', City (Clarkdale), State (MA), Zip Code (54321), and Phone (412-555-9876). At the bottom, there are 'back' and 'next' buttons and icons for In-Network, Out-of-Network, and Paper.

4a. Add account data

You will be asked to choose the response type (positive or negative), authorized signer, and account information.

Note: You can add attachments, but the participant can only view them when they respond electronically.

The screenshot shows the 'Add Account' step. The sidebar is the same as in the previous step. The main form includes an 'Employee Benefits Responder' section with contact details and a 'Form' dropdown (Employee Benefit Plan). Below that is the 'Response Type' dropdown (Positive (Participant response requested)), 'Authorized Signer' dropdown (Person Michael), 'Account ID' (15488401), and 'Plan Name'. An 'Attachments' table is shown below with columns for File Name, Date, Size, and User Name. One attachment is listed: 'RandyJackson401k-2014.pdf' from 03/05/2015, 80.9 KB, uploaded by Matt McInnis. 'back' and 'save' buttons are at the bottom.

File Name	Date	Size	User Name
RandyJackson401k-2014.pdf	03/05/2015	80.9 KB	Matt McInnis

4b. Review participant information




Information can be reviewed and/or deleted, and you can run address lookup for paper confirmations.

The screenshot shows the 'Review' step. The sidebar lists the steps: 1 Choose Type, 2 Add Contact, 3 Add Account, and 4 Review. The main area contains a table with columns for Account ID, Responder, Type, Form, and Signer. One row is visible with Account ID 15488401, Responder Randy Jackson, Type Employee Be..., Form Employee Be..., and Signer Person, Michael. At the bottom, there are 'add more accounts', 'delete selected', and 'address lookup' buttons, along with 'In-Network', 'Out-of-Network', 'Paper', and 'close' options.

Account ID	Responder	Type	Form	Signer
15488401	Randy Jackson	Employee Be...	Employee Be...	Person, Michael

5. View accounts

Once the participant information is uploaded, it will appear within the Account List area. Color coded paper icons will indicate whether an address lookup is:

- Never Been Run 
- Pending 
- Complete 

5a. Run Address Lookup

Select the responders you wish to run an address lookup, choose **Run Address Lookup** from the Action List dropdown and select **Submit**.

5b. Download Address Lookup

Select the responders you wish to download the address lookup, choose **Download Address Lookup** from the Action List dropdown and select **Submit**.

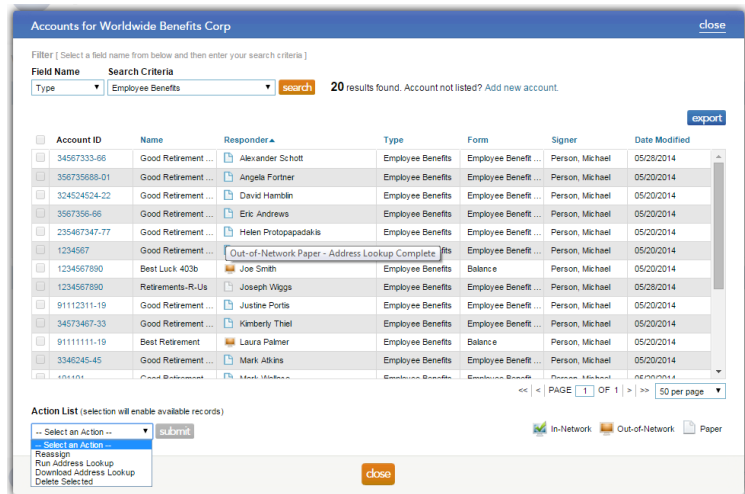
Note: You can run address lookup during the batch upload and manual process, but to download an address lookup report, you need to run this from the View Accounts screen – see 5b.

6. Initiate confirmations

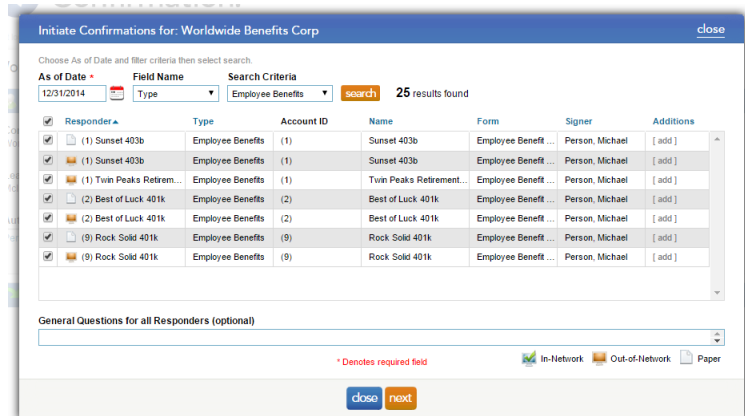
Once the participant information is entered, and client authorization received, employee benefit confirmations can be initiated by selecting the **Initiate** button from the Client Information dashboard.

From the Initiate screen, choose the appropriate as of date, select the plans/responders you wish to initiate, then select **Next**.

Note: The account ID column will indicate the number of participant accounts within the selected plan.



Account ID	Name	Responder	Type	Form	Signer	Date Modified
34567333-66	Good Retirement...	Alexander Schott	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
356735688-01	Good Retirement...	Angela Fortner	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
324524524-22	Good Retirement...	David Hamblin	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
3567356-66	Good Retirement...	Eric Andrews	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
235467347-77	Good Retirement...	Helen Protopapadakis	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
1234567	Good Retirement...	Out-of-Network Paper - Address Lookup Complete	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
1234567890	Best Luck 403b	Joe Smith	Employee Benefits	Balance	Person, Michael	05/20/2014
1234567890	Retirements-R-Us	Joseph Wiggs	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
91112311-19	Good Retirement...	Justine Portis	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
34573467-33	Good Retirement...	Kimberly Thiel	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014
91111111-19	Best Retirement	Laura Palmer	Employee Benefits	Balance	Person, Michael	05/20/2014
3346245-45	Good Retirement...	Mark Atkins	Employee Benefits	Employee Benefit...	Person, Michael	05/20/2014



Responder	Type	Account ID	Name	Form	Signer	Additions
(1) Sunset 403b	Employee Benefits	(1)	Sunset 403b	Employee Benefit...	Person, Michael	[add]
(1) Sunset 403b	Employee Benefits	(1)	Sunset 403b	Employee Benefit...	Person, Michael	[add]
(1) Twin Peaks Retirem...	Employee Benefits	(1)	Twin Peaks Retirement...	Employee Benefit...	Person, Michael	[add]
(2) Best of Luck 401k	Employee Benefits	(2)	Best of Luck 401k	Employee Benefit...	Person, Michael	[add]
(2) Best of Luck 401k	Employee Benefits	(2)	Best of Luck 401k	Employee Benefit...	Person, Michael	[add]
(9) Rock Solid 401k	Employee Benefits	(9)	Rock Solid 401k	Employee Benefit...	Person, Michael	[add]
(9) Rock Solid 401k	Employee Benefits	(9)	Rock Solid 401k	Employee Benefit...	Person, Michael	[add]

7. Confirmation log

Once initiated, the Client Confirmation Log will display the associated requests. If a request was sent in error, use the Action List dropdown to recall any pending confirmations that have not yet been processed.

The screenshot shows a web application interface for managing employee benefit accounts. At the top, there's a search bar with 'Employee Benefits' entered and a 'search' button. Below the search bar is a table with columns: Account ID, Name, Responder, Type, Form, Signer, and Date Modified. The table contains several rows of data, including account numbers like 34587333-66 and 356735688-01. An 'Action List' dropdown menu is open, showing options such as 'Reassign', 'Run Address Lookup', 'Download Address Lookup', and 'Delete Selected'. The interface also includes an 'export' button and a 'close' button at the bottom right.

8. Check shipment status and view PDF

The print fulfillment process runs each night. Once processed, paper confirmations will display a unique tracking # within the Confirmation Log. Selecting this link will display the current status of that request and also allow for a received date to be entered.

Selecting the view link from the Confirmation Log will display a PDF copy of the form sent to the participant. This can be printed or downloaded if necessary. Paper forms and associated address lookup reports can also be downloaded in bulk from the Reports tab.

**STANDARD FORM TO CONFIRM
EMPLOYEE BENEFIT PLAN ACCOUNT**

Date: 02/24/2015 *

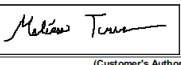
Kathy Pacific
34567th Clearfalls drive
Long Island, NY 32332

Dear **Kathy Pacific**:

Our auditors **Jones Accounting Firm** are conducting an audit of the financial statements for **Congress Pension IRS plan**. Please provide to our auditors the following information related to your participation in the plan as of **02/22/2015***. This audit is required by the Department of Labor for any retirement plan with 100 or more participants.

Your prompt attention to this request is appreciated.

Sincerely,

 Digitally Signed By: Melissa Turner
Email: melissaturner@jcafirm.com
Date/TIME: 02/22/2015 14:08:00
IP: 216.199.102.34

Company Name: Employee Benefits

Plan Name: Congress Pension IRS plan

(Customer's Authorized Signature) _____
(To be completed by Participant) _____

QUESTIONS/COMMENTS FROM ACCOUNTANT

The information above has been delivered as per your request. The information is to be used for reporting purposes only and is not intended as an offer or solicitation with respect to the purchase or sale of any security. We believe the information provided here is reliable but should not be assumed to be accurate or complete. The information is not intended to provide and should not be relied on for accounting or tax advice.

Account ID	Date of Birth	Date of Hire	Date of Termination/ Retirement	Gross Wages (for Plan Year)
Paper- Employee Benefits- 24 feb 2015-2	N/A		N/A	\$213,232.00 USD
Balance	Contribution Amount (for Plan Year)	Contribution Percentage (for Plan Year)	Gross Distribution (if applicable)	Net Distribution (if applicable)
\$323,213.00 USD	\$32,321.00 USD	15	\$2,321.00 USD	\$2,000.00 USD
Loan Amount (if applicable)	Date of Loan (if applicable)	Loan Balance (for As of Date)		
\$33,123.00 USD	02/26/2015	\$24,324.00 USD		

A. _____ The information above agrees with my records.
B. _____ I disagree with the above information. Differences due to the following:

Signed: _____
Date: _____

To mail, please return this form directly to our auditors:
Sydney Brown
Jones Accounting Firm
Jones Address 1
Delray Beach, FL 33487

*All dates displayed as mm/dd/yyyy
**All amounts displayed in **USD United States of America, Dollars

Tracking No: BE3HR2R0
Paper ID: BED09999 Form 18

www Confirmation.com

4444-01-00-000001-0002-0000003

To learn more contact us at **1-888-716-3577** or visit **Confirmation.com**