

Basic Data Elements for TANDEM-401(k) Reports

Column headers within the Excel data spreadsheet should appear exactly as they appear within this document.

Census Data

- **First Name**
 - Plan participant's first name
 - String – 25 characters max
 - Appears on reports

- **Last Name**
 - Plan participant's last name
 - String – 25 characters max
 - Appears on reports

- **Employee ID**
 - Plan participant's Social Security number, employee ID number, or other unique identifier
 - String
 - **This field is required if holdings information is to be provided in a separate data file (e.g., for plans on Relius SunGard or plans with self-directed brokerage accounts)**
 - Does not appear in report

- **DOB**
 - Plan participant's date of birth
 - Date – mm/dd/yyyy
 - Used to calculate age, anticipated retirement age, social security retirement benefits, life expectancy, and time-horizon-based hypothetical asset allocation used in projections

- **Ending Date**
 - Date for which the ending ("current") account balance is valid
 - Date – mm/dd/yyyy
 - Appears on reports

- **BeginningDate**
 - Date for which the beginning ("previous") account information is valid
 - Date – mm/dd/yyyy
 - Appears on reports

- **Beginning Balance**
 - Participant account balance as of the beginning "as of" date
 - Dollar value
 - Appears on reports

For example, if reports are to cover a period between January 1, 2006 and March31, 2006, then the EndingDate would be 03/31/2006 and the BeginningDate would be 01/01/2006.

- **EE Contribution**
 - Total value of contributions the participant made in the time period between the **Beginning Date** and the **Ending Date**
 - Dollar value
 - Appears on reports; used to calculate future contributions

For example, if the beginning date was 01/01/2006 and the ending date was 03/31/2006, then this value would represent the total amount that the employee contributed to the plan between those dates. The other Account Activity fields (described below) would similarly be reflective of this time period.

- **ER Contribution**
 - Total value of matching contributions (excluding profit sharing) that the employer made in the time period between the **Beginning Date** and the **Ending Date**
 - Dollar value
 - Appears on reports; used to calculate future matching contributions
 - Gains or losses that the participant's 401(k) portfolio achieved in the time period between the **Beginning Date** and the **Ending Date**
 - Dollar value
 - Appears on reports

Holdings Information

Holdings information is required and is typically provided in a second Excel file. We can take the holdings data in a variety of formats, as long as the following are provided:

- **Employee ID** – used to link a specific holding with a participant
- **Instrument ID** – optional if Instrument Description is present, required if Instrument Description is omitted
- **Instrument Description** – optional if Instrument ID is present, required if Instrument ID is omitted
- **Value** – the dollar value of the holdings

If additional data is present it will simply be ignored.

A sample format is included below; also see the sample holdings template:

<http://www.perspectivepartners.com/401k/downloads/TANDEM-401k-SampleHoldingsTemplate.xls>.

Sample:

- Polly Participant has an employee ID of 1234-5 and has the following portfolio:

Fund	Value
ABCDX	\$500
EFGHX	\$1,000
MNOPX	\$2,000

- Ernie Employee has an employee ID of 9876-5 and has the following portfolio:

Fund	Value
ABCDX	\$6,000
EFGHX	\$5,000
MNOPX	\$4,000

- The data file could look like the following:

Employee ID	Instrument ID	Instrument Description	Value
1234-5	ABCDX	MoneyCo Growth & Income	500
1234-5	EFGHX	MoneyCo Aggr Growth	1000
1234-5	MNOPX	MoneyCo Foreign	2000
9876-5	ABCDX	MoneyCo Growth & Income	6000
9876-5	EFGHX	MoneyCo Aggr Growth	5000
9876-5	MNOPX	MoneyCo Foreign	4000

Preferred Data Format

Our preferred data format is Microsoft Excel 2000 or later. There should be one column for each field (optional fields which are not being used should still appear even if there are no values) and one row per participant.

We can also accept data in CSV or XML format, or implement direct feeds for recordkeeping systems.

We will also accept standard reports that you may already receive or produce that contain the above data, but additional customization fees may be assessed.

Questions and Support

If you have questions any about data requirements, please contact your PPI account manager at 800.408.5375, x428, or PPI technical support at 585.325.3925, x410 from 8:30-5:00 EST.