

# **Schwab Retirement Center Contributions Page User Guide**

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## Overview

Recent updates to the Contributions Page on the Schwab Retirement Center (SRC) website include the following enhancements:

- View incoming check images.
  - Ability to view multiple checks and create multiple Notices of Deposit (NODs) simultaneously.
- Updated look and feel to provide a more modern experience.

## Getting Started

1. Log on to Schwab Retirement Center (SRC) at <https://src.schwab.com/>.
2. Click on the **Operations** tab.
3. Make your selection under the **Contributions** subheading:
  - *Incoming Cash*
  - *Enter Contributions*
  - *Saved Contributions*
  - *History*
  - *Upload Contributions*

The screenshot shows the Schwab Retirement Center (SRC) Contributions page. The 'Operations' tab is selected, and the 'Contributions' subheading is expanded to show 'Incoming Cash'. A search form is visible with various filters, and a table of contribution records is displayed below.

**Search Options**

Plan: Acct Number or Acct Name or Plan Code  
Status: Unallocated  
Date Received: 01/01/2017 to 07/12/2017  
Recordkeeper: 703 - Advisor Center  
Payment Type: select...  
Amount: From To  
Search Reset Search

Plan Name	Plan Code	Account #	MEP Code	Date Received	Date Matched	Amount Received	Payment Method	Status	RK #	RK Name
703TEST	703TEST	703TEST		04/06/2017		\$228,957.80	CHECK	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		04/05/2017		\$291.96	WIRE	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		03/27/2017		\$385.90	WIRE	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		03/09/2017		\$40,161.78	CHECK	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		02/21/2017		\$671.51	CHECK	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		02/16/2017		\$600.00	CHECK	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		02/07/2017		\$510.02	WIRE	Allocation Saved, not Sub...	703	Advisor Center

## Incoming Cash Page

### Search for and view Incoming Cash Records

The following information can be entered into the Search box displayed at the top of the screen.

- Plan (Note: **Acct Number, Acct Name OR Plan Code** can be entered in this field)
- Recordkeeper
- Status
- Date Received (range)
- Amount (range)

### Incoming Cash

The table below lists details for incoming cash receipts that have been received for your accounts.

Search Options

Plan	<input type="text" value="Acct Number or Acct Name or Plan Code"/>	Recordkeeper	<input type="text" value="703 - Advisor Center"/>
Status	<input type="text" value="Unallocated"/>	Payment Type	<input type="text" value="select..."/>
Date Received	<input type="text" value="01/01/2017"/>	Amount	<input type="text" value="From"/> <input type="text" value="To"/>

Search results appear directly below the search form. Sort search results by clicking on the column headers. If there is more than one page of results, use the arrows or numbers to move between pages, or change the number of results per page to display more results.

Show 10 records

Plan Name	Plan Code	Account #	MEP Code	Date Received	Date Matched	Amount Received	Payment Method	Status	RK #	RK Name
<input type="checkbox"/>	703TEST	703TEST	703TEST	04/06/2017		\$238,957.80	CHECK	Unallocated	703	Advisor Center
<input type="checkbox"/>	703TEST	703TEST	703TEST	04/05/2017		\$291.96	WIRE	Unallocated	703	Advisor Center
<input type="checkbox"/>	703TEST	703TEST	703TEST	03/27/2017		\$385.90	WIRE	Unallocated	703	Advisor Center
<input type="checkbox"/>	703TEST	703TEST	703TEST	03/09/2017		\$40,161.70	CHECK	Unallocated	703	Advisor Center
<input type="checkbox"/>	703TEST	703TEST	703TEST	02/21/2017		\$671.51	CHECK	Unallocated	703	Advisor Center
<input type="checkbox"/>	703TEST	703TEST	703TEST	02/16/2017		\$600.00	CHECK	Unallocated	703	Advisor Center
<input type="checkbox"/>	703TEST	703TEST	703TEST	02/07/2017		\$810.02	WIRE	Allocation Saved, not sub...	703	Advisor Center
<input type="checkbox"/>	703TEST	703TEST	703TEST	01/24/2017		\$1,373.60	CHECK	Unallocated	703	Advisor Center

1 - 8 of 8 records

1

Updated options in the **Status** column provide more information about the record:

- **Allocated** – Notice of Deposit (NOD) has been created and processed. Double click the record to view allocation details\*, confirmation number, etc.

- **Unallocated** – NOD has not yet been created. Double click the record to create NOD.
- **Allocation Saved, not Submitted** – NOD has been created, but has not been submitted. Double click the record to view saved details and either **EDIT** or **SUBMIT**.
- **Allocation Pending** – NOD has been created, but has not yet been processed. Double click the record to view the details.

Select records using the check boxes on the left; then select the action to be taken using the options listed below the search results.

<input type="checkbox"/>	Plan Name	Plan Code	Account #	MEP Code	Date Received	Date Matched	Amount Received	Payment Method	Status
<input checked="" type="checkbox"/>	ROBERT C TOPPEN IRA ROLLOVER C	100117	100117		07/26/2017		\$76.00	CHECK	Unallocated
<input checked="" type="checkbox"/>	ROBERT C TOPPEN IRA ROLLOVER C	100117	100117		07/26/2017		\$89.00	CHECK	703 Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		04/06/2017		\$228,997.60	CHECK	703 Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		04/05/2017		\$291.96	WIRE	703 Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		03/27/2017		\$385.90	WIRE	703 Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		03/09/2017		\$40,161.78	CHECK	703 Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		02/21/2017		\$673.51	CHECK	703 Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		02/16/2017		\$600.00	CHECK	703 Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		01/24/2017		\$1,373.60	CHECK	Unallocated 703 Advisor Center

9 matching records

**\*View Allocation Details** – when a Cash Receipt has been linked to multiple NODs, all will be available to view when the record is double clicked

**Contribution Details**

**Account Information**

Plan Name 703TEST      Recordkeeper Name Advisor Center  
 Account Number 703TEST      Recordkeeper Number 703  
 Plan Code 703TEST

**Request Information**

Confirmation Number 2220479      Status MATCHED  
 Date NOD Submitted 04/03/2017      Submitted By  
 Date Matched 04/02/2017  
 Payment Method Wire      Date Sent 04/03/2017  
 Payroll Period End Date 04/01/2017

**Allocation Details**

Contribution Type	Amount	Additional Information
Employee Pre-Tax Contribution (EBT)	\$ 140,784.66	
Employee Pre-Tax Contribution (EBT)	\$ 16,009.20	
Roth Contribution	\$ 19,417.69	
Roth Contribution	\$ 1,000.00	
Participant Loan Payment (P&I Combined)	\$ 8,617.43	

Click the icon at the upper right corner to view all NODs associated with a Cash Receipt

View summary of additional NODs here. Double click to view details of a specific NOD.

Confirmation Number 2220479  
 Amount \$61,816.90  
 Submitted Date 04/03/2017

Confirmation Number 2220479  
 Amount \$227,652.11  
 Submitted Date 04/03/2017

Confirmation Number 2220479

Close

**Create an NOD**

Selecting the **Create NOD** option will take you to the **Enter Contributions** page to create a notice of deposit (NOD) for selections.

**Note:** When creating an NOD for a single record, you can also double click the record to go to the **Enter Contributions** page to create an NOD.

## Enter Contributions

### **i** Important Note from Charles Schwab Trust Bank

Charles Schwab Trust Bank business policy requires that you send the notification of contribution and breakdown with the funds if submitting an ACH Pull using this web site, or beforehand if funds are sent via check, wire, or an ACH Push initiated at your bank. This will ensure proper and timely handling of credit to your account. Improper classification of your contribution will affect your annual plan audit and your annual corporate returns.

Recordkeeper Name / Recordkeeper #	<input type="text" value="RK Name or RK Number"/>
Account Name / Account # / Plan Code	<input type="text" value="Acct Name or Acct Number or Plan Code"/>
Multiple Employer Code	<input type="text" value=""/>

### Payment Information

Schwab Initiated Payment Method	<input type="checkbox"/> ACH Pull - I authorize Schwab to initiate a bank account draft
Client Initiated Payment Method	<input type="radio"/> ACH <input type="radio"/> Wire <input type="radio"/> Check
Have the corresponding funds been sent?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Anticipated Date	<input type="text" value="12/17/2019"/>
Payroll Period End Date	<input type="text" value="mm/dd/yyyy"/>

**Note:** selected records must meet certain requirements (listed on the error message below) or you will be prompted to revise your selections.

### Invalid Selection ✕

- !** Your selection includes invalid records. Please deselect any records that do not meet the requirements below and try again.
- Cash Receipts must all be in the Unallocated status and cannot already have allocations that have been Saved or are Pending
  - Cash Receipts must all have the same Plan and Account #
  - Cash Receipts must all have the same Receipt Date

Close

### View Check Images

Select the **View Images** option to download a PDF containing up to 25 selected check images. Open or save the file to view check images. The check image and any documentation sent with the check will display.

**Note:** when incoming cash is received in check form, a check image can also be accessed by clicking **CHECK** under the Payment Method heading.



## Export Search Results

Select the **Export** option to download results. This file will contain your search results in Excel format.

Show 10 records

<input checked="" type="checkbox"/>	Plan Name	Plan Code	Account #	MEP Code	Date Received	Date Matched	Amount Received	Payment Method	Status	RK #	RK Name
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		04/06/2017		\$228,957.80	CHECK	Unallocated	703	Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		04/05/2017		\$291.96	WIRE	Unallocated	703	Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		03/27/2017		\$385.90	WIRE	Unallocated	703	Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		03/09/2017		\$40,161.78	CHECK	Unallocated	703	Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		02/21/2017		\$671.51	CHECK	Unallocated	703	Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		03/16/2017		\$600.00	CHECK	Unallocated	703	Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		02/07/2017		\$510.02	WIRE	Allocation Saved, not Sub...	703	Advisor Center
<input checked="" type="checkbox"/>	703TEST	703TEST	703TEST		01/24/2017		\$1,373.60	CHECK	Unallocated	703	Advisor Center

1 - 8 of 8 records

1

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Do you want to open or save IncomingCash\_07172017.xlsx (5.93 KB) from test.schwabretirementcenter.com?

Plan Name	Plan Code	Account Number	Multiple Employer	Date Received	Date Matched	Amount Received	Payment Method	Status	RK #	RK Name
703TEST	703TEST	703TEST		03/26/2017	N/A	\$385.90	WIRE	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		01/23/2017	N/A	\$1,373.60	CHECK	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		02/15/2017	N/A	\$600.00	CHECK	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		02/06/2017	N/A	\$510.02	WIRE	Allocation Saved, n	703	Advisor Center
703TEST	703TEST	703TEST		02/20/2017	N/A	\$671.51	CHECK	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		04/03/2017	N/A	\$228,957.80	CHECK	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		04/04/2017	N/A	\$291.96	WIRE	Unallocated	703	Advisor Center
703TEST	703TEST	703TEST		03/09/2017	N/A	\$40,161.78	CHECK	Unallocated	703	Advisor Center

## Enter Contributions Page

### Enter Plan Information

Type your **Account Name**, **Account Number** or **Plan Code**. As you type, matching options will automatically appear in a drop-down below the field.

## Enter Contributions

**Important Note from Charles Schwab Trust Bank**  
 Charles Schwab Trust Bank business policy requires that you send the notification of contribution and breakdown with the funds if submitting an ACH Pull using this web site, or beforehand if funds are sent via check, wire, or an ACH Push initiated at your bank. This will ensure proper and timely handling of credit to your account. Improper classification of your contribution will affect your annual plan audit and your annual corporate returns.

Recordkeeper Name / Recordkeeper #

Account Name / Account # / Plan Code

Multiple Employer Code

## Enter Payment Information

Enter **Payment Information** detail for the contribution, then click **Next** to continue.

### Payment Information

Schwab Initiated Payment Method  ACH Pull - I authorize Schwab to initiate a bank account draft

Client Initiated Payment Method  ACH  
 Wire  
 Check

Have the corresponding funds been sent?  Yes  
 No

Anticipated Date

Payroll Period End Date

*Notices should be sent before cash is received to prevent delays in allocating funds.*

### Payment Types:

- **ACH Pull** (Preferred method) – Charles Schwab Trust Bank initiates request for funds to be electronically transferred from an external bank account.
  - Check the box, “ACH Pull - I authorize Schwab to initiate a bank account draft”, to initiate the ACH Pull
  - Select an external **Bank Account**, **Effective Date** and **Payroll Period End Date**
  - Click Next to **Enter Allocation Information** and **Submit** or **Save**

## Payment Information

Schwab Initiated Payment Method

ACH Pull - I authorize Schwab to initiate a bank account draft

### Important Note regarding ACH Pulls

Please ensure that the amount of the ACH Pull request is within the external bank account's daily withdrawal limit and that sufficient funds are available. Fees may apply for non-compliance with the above.

Please select a Bank Account

Third Account (Ending in 0919)

[Set up an ACH Pull bank account](#)

Effective Date



Payroll Period End Date



The **Effective Date** is the date that the ACH Pull request will be submitted for fulfillment. Requested funds will be available between 2-4 business days of the request submission (depending on the external account's bank).

**Note:** If no bank accounts are available, select a different payment type and contact your CSM to set up an external ACH Pull bank account for future contributions.

Next

- **Wire** (Fund transfer request is initiated by client)
- **Check** (Fund transfer request is initiated by client)
- **ACH** (Fund transfer request is initiated by client)

## Enter Allocation Information

Enter **Allocation Information** detail for the contribution. The **Contribution Type** selected on this page will appear on your statement.

### Allocation Information

Comments

Total Payment Amount

Contribution Type:

Employee Pre-Tax Contribution (EBT)  FBO  SSN

Employer Match Contribution

Employee After-Tax Contribution  FBO  SSN

Employer Contribution

Employee EGTRRA Catch Up Contribution

Roth Contribution

Contribution Deferred Compensation (Non-Qualified)

Employer Contribution (Non-Qualified)

Participant Loan Payment (P&I Combined)  FBO  SSN

Rollover/Transfer Contribution  FBO  SSN

Transfer from Prior Trustee/Custodian

Transfer from Other Trustee/Custodian

Miscellaneous Receipt  Explanation

Total Calculated Amount  \$0.00

Total Payment Amount must match Total Calculated Amount

Click **Submit** or **Save** to finalize. After submission, you will see an **Acknowledgement** with the details of the allocation.

- **Note:** Ability to **Save** or **Submit** is dependent on level of user access. Additional Submit access is required to submit ACH Pulls. Please contact your Client Service Manager or your company's security administrator for changes to your access level.

✓ 1. Plan & Payment Information    ✓ 2. Enter Allocation Information    **3. Acknowledgment**

### Acknowledgment

**Important Note from Charles Schwab Trust Bank**  
Charles Schwab Trust Bank business policy requires that you send the notification of contribution and breakdown details before you send funds in order to ensure proper and timely handling of credit to your account. Improper classification of your contribution will affect your annual plan audit and your annual corporate returns.

Your submission has been successfully received by Schwab

Confirmation Number	2226798		
Recordkeeper	703	Advisor Center	
Account	703TEST	703TEST	703TEST
Number of Notices Received	1		
Total Amount	\$1.23		

The confirmation number applies to all records in this batch. You will also receive a confirmation email. This submission represents a breakdown of contribution information only, and does not indicate transfer or receipt of funds. Please see [Payment Method Instructions](#) for guidance on sending funds via ACH, wire, or check.

## Saved Contributions Page

### Search for and view Saved Contribution records

Search by **Plan**, **Recordkeeper**, who the record was **Saved By** or the **Saved Date** (range) to view and modify contributions before they have been submitted.

Search Options

Plan	<input type="text" value="Acct Number or Acct Name or Plan Code"/>	Recordkeeper	<input type="text" value="703 - Advisor Center"/>
Saved By	<input type="text" value="All"/>	Saved Date	<input type="text" value="mm/dd/yyyy"/> <input type="text" value="mm/dd/yyyy"/>

Saved contributions within your search criteria will appear below. Click the column headings or apply filters to sort the record(s) to view or modify.

Show 10 records

Actions	Amount	Payment Method	Bank Account	Comments	Date Saved	Saved By	Plan Name	Plan Code
<input type="checkbox"/>	\$510.02	Wire			07/06/2017	Contributions Demo	703TEST	703TEST
<input type="checkbox"/>	\$50.00	Wire			07/06/2017	Schwab	703TEST	703TEST

1 - 2 of 2 records

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Schwab and its affiliates also receive fees from the Schwab Affiliate Funds for investment advisory and fund administration services.

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### Review Contribution details by hovering over the **i** symbol under the **Amount** heading.

Show 10 records

Actions	Amount	Payment Method	Bank Account	Comments	Date Saved	Saved By	Plan Name	Plan Code
<input type="checkbox"/>	\$510.02	Wire			07/06/2017	Contributions Demo	703TEST	703TEST
<input type="checkbox"/>	\$50.00	Wire			07/06/2017	Schwab	703TEST	703TEST

Review Contribution

Request Details

Plan Name: 703TEST

Payment Method: Wire

Date Sent: 02/06/2017

Payroll Period End Date: N/A

Allocation Details

Employee Pre-Tax Contribution (EBT)	\$510.02
Total	\$510.02

1 - 2 of 2 records

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## Edit, Delete or Submit Saved Contribution records

Use the dropdown menu under **Actions** to **Edit**, **Delete** or **Submit** a saved contribution.

**Note:** Double-clicking the record will also allow you to **EDIT**.



Actions	Amount	Payment Method	Bank Account	Comments	Date Saved	Saved By	Plan Name	Plan Code
<input type="checkbox"/>	\$510.02	Wire			07/06/2017	Contributions Demo	703TEST	703TEST
<input type="checkbox"/>	0.00	Check			07/06/2017	Schwab	703TEST	703TEST

1 - 2 of 2 records

Submit Delete

Select one or more checkboxes to **Submit** or **Delete** Saved Contributions.



Actions	Amount	Payment Method	Bank Account	Comments	Date Saved	Saved By	Plan Name	Plan Code
<input checked="" type="checkbox"/>	\$510.02	Wire			07/06/2017	Contributions Demo	703TEST	703TEST
<input checked="" type="checkbox"/>	\$50.00	Check			07/06/2017	Schwab	703TEST	703TEST

1 - 2 of 2 records

Submit Delete

## History Page

### Search for and view details for contribution allocations

The **History Page** lists details for contribution allocations that have been submitted. A default search of one calendar week will automatically run, but various parameters can be set to view incoming cash and allocation details.

Note: When searching by Confirmation #, up to 100 numbers can be entered in the search field simultaneously.

**Search Options**

Plan:

Status:

Date Submitted:

Date Matched:

Recordkeeper:

Payment Type:

Amount: From  To

Confirmation #:

**Enter up to 100 Confirmation Numbers separated by a space, comma, carriage return, or pipe**

Show 10 records

This page will display all NODs that have been submitted within the search parameters (including those created via Enter Contributions, created via the Incoming Cash page, created by an upload file or submitted via SRT recordkeeping or submitted via SFTP). Results can be exported to an Excel spreadsheet by clicking **Download**.

The **Status** will provide more information about the record.

- **Pending** – used for all payment types, represents requests that are waiting to be matched to Cash Receipt(s)
- **Pending Transmit** – used for ACH Pull requests only, represents requests that have yet to be submitted for fulfillment
- **Matched** – used for all payment types, represents requests that have been matched to Cash Receipt(s)

Records will change from **Pending** to **Matched** when Incoming Cash is received and linked with the record.

Show 10 records

Confirmation #	Plan Name	Plan Code	Account #	MEP Code	Date Submitted	Date Matched	Total	Payment Method	Status	Submitted By	Comments	RK #	RK Na
2224725	703TEST	703TEST	703TEST	703TEST	07/06/2017		\$100.00	ACH	PENDING	Contributions Demo		703	Advisor
2224509	703TEST	703TEST	703TEST	703TEST	07/06/2017		\$13,213.21	ACH	PENDING	Contributions Demo		703	Advisor
2224504	703TEST	703TEST	703TEST	703TEST	07/06/2017	08/18/2017	\$39,800.00	Check	Matched After Funds Rec...	Contributions Demo		703	Advisor

3 matching records

Double click on a record to view **Contribution Details** on the page.

## Contribution History

The table below lists the details for contribution allocations.

Search Options

Plan:

Status:

Date Submitted:

Date Matched:

Confirmation #	Plan Name
<input type="checkbox"/>	2224729 703TEST
<input checked="" type="checkbox"/>	2224505 703TEST
<input checked="" type="checkbox"/>	2224504 703TEST

3 matching records

Download

**Contribution Details**

---

**Account Information**

Plan Name	703TEST	Recordkeeper Name	Advisor Center
Account Number	703TEST	Recordkeeper Number	703
Plan Code	703TEST		

---

**Request Information**

Confirmation Number	2224504	Status	Matched After Funds Received
Date Submitted	07/06/2017	Submitted By	Contributions Demo
Date Matched	05/17/2017		
Payment Method	Check	Date Sent	03/05/2017
Payroll Period End Date			
Comments			

---

**Allocation Details**

Contribution Type	Amount	Additional Information
Employee Pre-Tax Contribution (EBT)	\$ 59,800.00	
<b>Total</b>	<b>\$ 59,800.00</b>	

Close

Show 10 records

Comments	RK #	RK Na
	703	Advisor
	703	Advisor
	703	Advisor

Previous 1 Next Search

## Edit Allocation Sources

Use the dropdown menu under **Actions** to **Edit Allocation Sources** on an NOD. Click the icon in the Actions column for the record you wish to modify. Next, click the Edit Allocation Sources option.

Actions	Confirmation #	Plan Name	Plan Code	Account #	MEP Code	Date Submitted	Date Matched	Total	Payment Method	Status
<input type="checkbox"/>	<input type="text" value="2226026"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="04/29/2019"/>	<input type="text" value=""/>	<input type="text" value="\$9.31"/>	<input type="text" value="Check"/>	<input type="text" value="PENDING"/>
<input type="checkbox"/>	<input type="text" value="2226027"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="04/29/2019"/>	<input type="text" value=""/>	<input type="text" value="\$9.31"/>	<input type="text" value="Check"/>	<input type="text" value="PENDING"/>
<input type="checkbox"/>	<input type="text" value="2225504"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="123456"/>	<input type="text" value="04/19/2019"/>	<input type="text" value="04/17/2019"/>	<input type="text" value="\$50.00"/>	<input type="text" value="Wire"/>	<input type="text" value="Matched After Funds Rece..."/>
<input type="checkbox"/>	<input type="text" value="2225916"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="04/09/2019"/>	<input type="text" value=""/>	<input type="text" value="\$100.00"/>	<input type="text" value="ACH Pull"/>	<input type="text" value="PENDING TRANSMIT"/>
<input type="checkbox"/>	<input type="text" value="2225897"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="703TEST"/>	<input type="text" value="04/02/2019"/>	<input type="text" value=""/>	<input type="text" value="\$1.00"/>	<input type="text" value="Check"/>	<input type="text" value="DELETED"/>

The Enter Contributions page will display, with the original allocation source amounts populated. Edit the amounts of the allocation sources as needed. Once you've finished editing the record, click the **Submit** button.

**Allocation Information**

Comments

Total Payment Amount \$9.31

**Contribution Type:**

Employee Pre-Tax Contribution (EBT)  FBO  SSN

Employer Match Contribution

Employee After-Tax Contribution  FBO  SSN

Employer Contribution

Employee EGTRRA Catch Up Contribution

Roth Contribution

Contribution Deferred Compensation (Non-Qualified)

Employer Contribution (Non-Qualified)

Participant Loan Payment (P&I Combined)  FBO  SSN

Rollover/Transfer Contribution  FBO  SSN

Transfer from Prior Trustee/Custodian

Transfer from Other Trustee/Custodian

Miscellaneous Receipt  Explanation

Total Calculated Amount \$9.31

Submit

**Note:** Once you click the Submit button, you will no longer be able to view the original allocation sources and amounts for the record.

After submitting the request, you will be returned to the Contribution History page, and a Success message will display at the top of the page.

### Contribution History

X

**Success**  
Allocation source details for the NOD for \$9.31 for 703TEST have been modified.

The table below lists the details for contribution allocations that have been submitted for your accounts

**Search Options**

Plan	<input type="text" value="Acct Number or Acct Name or Plan Code"/>		Recordkeeper	<input type="text" value="703 - Advisor Center"/>
Status	<input type="text" value="All"/>		Payment Type	<input type="text" value="select..."/>
Date Submitted	<input type="text" value="05/14/2019"/>	<input type="text" value="05/16/2019"/>	Amount	From <input type="text"/> To <input type="text"/>
Date Matched	<input type="text" value="mm/dd/yyyy"/>	<input type="text" value="mm/dd/yyyy"/>	Confirmation #	<input type="text"/>

### Delete Notice of Deposit

Use the dropdown menu under **Actions** to **Delete** an NOD. Click the icon in the Actions column for the record you wish to modify. Next, click the Delete option.

☐	Actions	Confirmation #	Plan Name	Plan Code	Account #	MEP Code	Date Submitted	Date Matched	Total	Payment Method	Status
		▼   Equals...	▼   Contains...	▼   Contains...	▼   Contain...	▼   Contains...	▼   On...	▼   On...	▼   Equals...	▼   Contains...	▼   Contains...
<input type="checkbox"/>	☰	2226025	703TEST	703TEST	703TEST		04/29/2019		\$9.31	Check	PENDING
<input type="checkbox"/>	☰	2225504	703TEST	703TEST	703TEST	123456	04/19/2019	04/17/2019	\$50.00	Wire	Matched After Funds Rece...
<input type="checkbox"/>	☰	2225916	703TEST	703TEST	703TEST		04/09/2019		\$100.00	ACH Pull	PENDING TRANSMIT
<input type="checkbox"/>	☰	2225886	703TEST	703TEST	703TEST		03/29/2019		\$1,000.00	ACH Pull	PENDING TRANSMIT

The Confirm NOD Delete Request window will display. To continue with the request to delete the NOD, click the **Delete** button at the bottom right of the window. To exit the window without deleting the NOD, click the Close button at the bottom right, or click the X in the top right corner.

**Account Information**

Plan Name	703TEST	Recordkeeper Name	Advisor Center
Account Number	703TEST	Recordkeeper Number	703
Plan Code	703TEST		

**Request Information**

Confirmation Number	2226025	Status	PENDING
Date Submitted	04/29/2019	Submitted By	
Date Matched			
Payment Method	Check	Date Sent	04/15/2019
Payroll Period End Date	04/30/2019		
Comments			

**Allocation Details**

Contribution Type	Amount	Additional Information
Employee Pre-Tax Contribution (EBT)	\$ 9.31	
Total	\$ 9.31	

Delete
Close

**Note:** A record may also be deleted from the Contribution Details window after double-clicking an individual transaction on the History Page.

The Status and Payment Method for a record will determine whether the **Delete** option will display.

- If the Status is **Pending** or **Matched**, the Delete option will display if the Payment Method is Check, ACH, or Wire. The Delete option is not available for ACH Pull transactions in Pending or Matched Status.
- If the Status is **Pending Transmit** or **Matched after Funds Received**, the Delete option will display if the Payment Method is Check, ACH, Wire, or ACH Pull.

**Note:** Deleted records will continue to display on the Contribution History page for research purposes. Records in Deleted Status cannot be edited.

## Upload Contributions Page

### Upload a file containing Contribution Details

## Upload Contributions

### **i** Important Note from Charles Schwab Trust Bank

Charles Schwab Trust Bank business policy requires that you send the notification of contribution and breakdowns with the funds if submitting an ACH pull using this website, or beforehand if funds are sent via check, wire, or ACH initiated at your bank. This will ensure proper and timely handling of credit to your account. Improper classification of your contribution will affect your annual plan audit and annual corporate returns.

Use the button below to select the file then click either Upload & Save or Upload & Submit to validate the file format. This process may take a few moments to complete. Note that the file format must comply with the [specifications](#) supplied by Schwab.

Select File

Files can be **Uploaded & Saved** or **Uploaded & Submitted**.

N0401131.123.txt

0B/321B

Upload & Save

Upload & Submit

Uploaded files must be in the following format. For detailed information about file formatting requirements, click [here](#).

N0401131.123 - Notepad

File Name: NMMDDYYX.TPA

Header Record  
(Record Type,File Type,File Source,TPA Code,Plan Code,File Date)

Contribution Notice of Deposit Detail Record(s)  
(Record Type,TPA Code,Plan Code,Multiple Employer Code,Payment Method,ABA Routing Number,Bank Account Number,Funds Sent Yet,Date Funds Sent/Anticipated Date/Effective Date,Payroll Period End Date,Contribution Notice Total Amount,Allocation Type Code\*\*,Allocation Amount\*\*,FBO/Explanation\*\*,SSN\*\*)

\*\*Repeat these items as many times as needed

Trailer Record  
(Record Type,File Type,Record Count,Total Amount)

Once a file is uploaded, validation will be run and an error report generated if there are problems. Each record with issues preventing the upload will be listed so they can be fixed and the file resubmitted.

Error



**Please address the following file errors and reload**

An error occurred on row number 3 : Invalid value for column "Allocation Amount" Dollar amounts are limited to two decimals.

An error occurred on row number 5 : Invalid value for column "Total Amount" Dollar amounts are limited to two decimals.

Clear

After the file is successfully uploaded, you will see an **Acknowledgement** page showing details of the file submitted.

N0401131.123.txt

321B/321B ✓

Complete



**Success**  
Processed 3 NODs

Continue

## Glossary of Search Terms

<b>Account Name:</b>	The plan's account name. Partial searches are permitted.
<b>Account Number:</b>	The plan's account number. Partial searches are permitted.
<b>ACH Pull</b>	Charles Schwab Trust Bank initiates request for funds to be electronically transferred from Plan's bank account. This is the only contribution type initiated by Charles Schwab Trust Bank.
<b>Allocation Information</b>	Details instructing how a contribution will be classified. A single contribution can include allocation information for multiple participants.
<b>Contribution Status: Allocated:</b>	Notice of Deposit (NOD) has been created and processed.
<b>Contribution Status: Allocation Pending</b>	Notice of Deposit (NOD) has been created, but has not yet been processed.
<b>Contribution Status: Allocation Saved, not Submitted</b>	Notice of Deposit (NOD) has been created, but has not been submitted.
<b>Contribution Status: Unallocated:</b>	Notice of Deposit (NOD) has not yet been created.
<b>Contribution Type:</b>	The method in which Schwab will receive contribution funds.
<b>Effective Date</b>	The date that the ACH Pull request will be submitted for fulfillment. Requested funds will be available between 2-4 business days of the request's submission (depending on the external account's bank).
<b>Multiple Employer Plans:</b>	Plans with multiple participating entities or employers which make separate contributions to the same trust account. This code is a unique identifier assigned to each employer.

<b>Notice of Deposit (NOD):</b>	Notification that funds have been received and allocated. Includes contribution and allocation details.
<b>Payment Information:</b>	Method and details of how Schwab will receive a contribution.
<b>Payroll Period End Date</b>	The month, day and year in which a payroll period ends for the contribution notice being submitted.
<b>Plan Code:</b>	The plan's three digit identifying code. Partial searches are permitted.
<b>Plan Information:</b>	Identifying information for the plan. Partial searches are permitted.
<b>Record Status: Matched:</b>	Used for all payment types, represents requests that have been matched to Cash Receipt(s)
<b>Record Status: Pending Transit:</b>	Used for ACH Pull requests only, represents requests that have yet to be submitted for fulfillment
<b>Record Status: Pending:</b>	Used for all payment types, represents requests that are waiting to be matched to Cash Receipt(s)

## **Terms and Conditions of Use**

First-time users will be asked to accept Terms and Conditions of Use of the Schwab Retirement Center Periodic Payments System. Terms and Conditions are noted below.

### **Term of Access**

This Agreement is between you ("Customer") and Schwab. The Agreement will become effective upon your initial use of this website and will continue in effect until the earlier of (a) termination by either party upon written notice or (b) closing of all accounts. Schwab reserves the sole discretion to terminate access to the site, without notice to Customer.

### **Security**

Due to emerging technologies in security practices, Schwab reserves the right to change or supplement its security procedures from time to time, upon reasonable notice to our Customers. Customer agrees to use this website in accordance with the security procedures established by Schwab. Customer is responsible for maintaining the security and confidentiality of all IDs, passwords and other security devices. Customer shall promptly notify Schwab, if Customer has knowledge that the website security has been compromised.

### **Limitation of Liability**

The website information (including text, graphics and functionality) is presented "As Is" and "As Available" without express or implied warranties. Due to the nature of the Internet, Schwab cannot guarantee the accuracy or completeness of the information contained in this website or its suitability for any purpose. Under no circumstances, including but not limited to negligence, shall we be liable for any direct or indirect, incidental, special or consequential damages that result from the use of, or the inability to use, the materials in this website, even if we or our authorized representatives have been advised of the possibility of such damages.

Because of the marked increase in the fabrication and proliferation of computer viruses affecting the Internet, we want to warn you about contamination on your system. It is your responsibility to scan all downloaded materials received from the Internet. We are not responsible or liable for any damage caused by such hazards.

### **Customer Acknowledgements**

Schwab created this website for the convenience of our Customers. You are solely responsible for your decision to use this Site. You will indemnify and hold us harmless from and against all claims, damages, liability and/or costs relating to you or your agents' use of this site. The ability of Schwab to deliver this website is dependent on the Internet and equipment, systems and services provided by third parties outside the control of Schwab; there may be delays or interruptions in connection with the performance of the website; such delays or failures will not result in any liability of Schwab. Customer is responsible for taking appropriate precautions against damage to its operations which could be caused by such interruptions and assumes the risk of such occurrences.

### **E-mail and Feedback**

While we appreciate hearing from our valued customers, Internet and e-mail communications are not confidential. It is possible that information transmitted to us may be read or obtained by other parties. Please understand that anything you send to us, including ideas, suggestions and proposals, will become our property and therefore, you waive any right of compensation.

In an attempt to protect your privacy, our e-mail responses do not include personal account information such as social security numbers or account numbers. We will use your e-mail address and the content of any e-mail for correspondence purposes, to meet our legal and regulatory requirements regarding customer communications.

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