





## PPA DC Restatement Batch Data Entry Grid Key

Column Name	Details	Checklist Location	Editable
<b>Plan Name</b>	Plan Name	<b>A.2a and A.2b</b>	No
<b>Checklist</b>	Checklist Type: <ul style="list-style-type: none"> <li>• Prototype</li> <li>• Volume Submitter</li> </ul>	N/A	No
<b>Resp</b>	Indicates whether you are responsible for the plan (default to Yes). Only plans that have “Yes” selected will appear. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	Drop-down box on the ‘Edit Plan’ screen within the ‘Plan Modules’ box for “Plan Documents”.	No
<b>Err Doc</b>	Edit Check status for the plan. If one section of the document checklist (A-I) in ‘Not-OK’ or ‘??’, the system will show status of  (Not-OK).  = ‘??’ (edit checks have not yet been run);  = ‘OK’	Sections <b>A-I</b>	No
<b>Err Forms</b>	Edit Check status for the administrative portion of the checklist. If Section J is ‘Not-OK’ or ‘??’, system will show status of  (Not-OK).	Section <b>J</b>	No
<b>Year End</b>	Plan year end	<b>A.4a</b>	No
<b>AmendRestate</b>	Is this a restatement of a previously-adopted plan? <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<b>A.3b</b>	No
<b>EffectiveDate</b>	Effective date of Plan restatement	<b>A.3b.i</b>	No
<b>Forfeitures</b>			
Column Name	Details	Checklist Location	Editable
<b>Forfeitures</b>	Forfeitures will be used in the following manner: <b>Options:</b> <ul style="list-style-type: none"> <li>• Any permissible method</li> </ul>	<b>E.13a</b> <b>D.10a (ProtoNS/STD MP &amp; VolSub MP/PS)</b>	Yes

	<ul style="list-style-type: none"> <li>• Other</li> </ul>		
<b>ForfeituresText</b>	Describe 'other' forfeitures.	<b>E.13b</b> <b>D.10a.i (ProtoNS/STD MP &amp; VolSub MP/PS)</b>	Yes
<b>Beneficiaries</b>			
<b>Column Name</b>	<b>Details</b>	<b>Checklist Location</b>	<b>Editable</b>
<b>DeathBenefits</b>	Death benefit policy when there is no designated beneficiary. <b>Options:</b> <ul style="list-style-type: none"> <li>• Standard</li> <li>• Other</li> </ul>	<b>E.10a (VolSub PS)</b> <b>E.9a (ProtoNS/STD MP &amp; VolSub MP)</b> <b>F.10a</b>	Yes
<b>DeathBenefitsCustom</b>	Describe the Plan's policy for handling benefits when there is no designated beneficiary.	<b>E.10a.i (VolSub PS)</b> <b>E.9a.i (ProtoNS/STD MP &amp; VolSub MP)</b> <b>F.10a.i</b>	Yes
<b>BeneDivorceRevokeIND</b>	A beneficiary designation to a spouse shall be automatically revoked upon divorce or other circumstances. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<b>E.10b (VolSub PS)</b> <b>E.9b (ProtoNS/STD MP &amp; VolSub MP)</b> <b>F.10b</b>	Yes
<b>BeneDivorceRevoke</b>	Describe the circumstances where the above beneficiary designation would be revoked.	<b>E.10b.i (VolSub PS)</b> <b>E.9b.i (ProtoNS/STD MP &amp; VolSub MP)</b> <b>F.10b.i</b>	Yes
<b>DomestPartners</b>	Domestic Partners are treated as spouse under the terms of this Plan for purposes of death benefits to the extent applicable. <b>Options:</b> <ul style="list-style-type: none"> <li>• No</li> <li>• Yes – with limitations</li> <li>• Yes</li> </ul>	<b>E.10c (VolSub PS)</b> <b>E.9c (ProtoNS/STD MP &amp; VolSub MP)</b> <b>F.10c</b>	Yes
<b>DomestPartnersLimits</b>	Describe the terms and conditions to treat a Domestic Partner as a spouse under this Plan.	<b>E.10c.i (VolSub PS)</b> <b>E.9c.i (ProtoNS/STD MP &amp; VolSub MP)</b>	Yes

		<b>F.10c.i</b>	
<b>DomestPartnersMods</b>	Modifications shall be made to the definition of “Domestic Partner”. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<b>E.10d (VolSub PS)</b> <b>E.9d (ProtoNS/STD MP &amp; VolSub MP)</b> <b>F.10d</b>	Yes
<b>DomesticPartnersModsText</b>	Describe modifications to the term “Domestic Partner”.	<b>E.10d.i (VolSub PS)</b> <b>E.9d.i (ProtoNS/STD MP &amp; VolSub MP)</b> <b>F.10d.i</b>	Yes
<b>SpouseOneYear</b>	For purpose of determining a Participant’s spouse, the one-year rule in Code section 417(d), Treas. Reg. section 1.401(a)-20 applies. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<b>E.10e (VolSub PS)</b> <b>E.9e (ProtoNS/STD MP &amp; VolSub MP)</b> <b>F.10e</b>	Yes
<b>Transfers</b>			
<b>Column Name</b>	<b>Details</b>	<b>Checklist Location</b>	<b>Editable</b>
<b>TransferJS</b>	The Plan has received a transfer of assets from a plan subject to the survivor annuity rules of Code sections 411(a)(11) and 417. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<b>E.7 (VolSub PS)</b> <b>F.7</b> <b>N/A (ProtoNS/STD MP &amp; VolSub MP)</b>	Yes
<b>TransferAge62</b>	Permit a distribution to be made to a Participant who has attained age 62 and who has not separated from employment from the transfer Account. <b>Options:</b> <ul style="list-style-type: none"> <li>• No</li> <li>• Yes - under any distribution option</li> <li>• Yes - limited distribution options</li> </ul>	<b>F.10a (VolSub PS)</b> <b>G.10a</b> <b>N/A (ProtoNS/STD MP &amp; VolSub MP)</b>	Yes
<b>TransferAge62Conditions</b>	Describe the limitations if “Yes - limited distribution options is selected.	<b>F.10a.i (VolSub PS)</b> <b>G.10b</b> <b>N/A (ProtoNS/STD MP &amp; VolSub MP)</b>	Yes

Disability Distributions			
Column Name	Details	Checklist Location	Editable
<b>DisabilityDistributions</b>	Allow in-service distributions upon Disability. Options: <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<b>F.11 (VolSub PS)</b> <b>F.4 (ProtoNS/STD MP &amp; VolSub MP)</b> <b>G.11</b>	Yes
Other Conditions/Limitations			
Column Name	Details	Checklist Location	Editable
<b>InservLimits</b>	Limitations, conditions and/or special rules apply to in-service withdrawals. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<b>F.12a (VolSub PS)</b> <b>F.5a (ProtoNS/STD MP &amp; VolSub MP)</b> <b>G.12a</b>	Yes
<b>InservLimitsText</b>	Describe the limitations, conditions and/or special rules that apply to in-service withdrawals.	<b>F.12a.i (VolSub PS)</b> <b>F.5a.i (ProtoNS/STD MP &amp; VolSub MP)</b> <b>G.12b</b>	Yes
In-Plan Roth Rollovers			
Column Name	Details	Checklist Location	Editable
<b>InPlanRothRollover</b>	In-Plan Roth Rollovers permitted (if Plan provides for Roth contributions). <b>Options:</b> <ul style="list-style-type: none"> <li>• No</li> <li>• Yes - if the Plan otherwise allows for the distribution</li> <li>• Yes - limitations and/or conditions apply</li> <li>• Yes - all distributions allowed under the Code at specified age</li> </ul>	<b>G.13a</b> <b>N/A (ProtoNS/STD MP &amp; VolSub MP/PS)</b>	Yes
<b>InPlanRothRolloverOther</b>	Describe the limitations and/or conditions.	<b>G.13a.i</b> <b>N/A (ProtoNS/STD MP &amp; VolSub MP/PS)</b>	Yes
<b>InPlanRothRolloverAge</b>	Describe attainment age for distributions/in-service withdrawals.	<b>G.13a.ii</b> <b>N/A (ProtoNS/STD MP &amp; VolSub MP/PS)</b>	Yes
<b>InPlanRotherRolloverPartVested</b>	Indicate whether In-Plan Roth Rollovers are permitted	<b>G.13b</b>	Yes

	from partially vest accounts. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	N/A (ProtoNS/STD MP & VolSub MP/PS)	
<b>InPlanRothRolloverEffDate</b>	Effective date of the In-Plan Roth Rollovers (must be after Sept. 27, 2010).	<b>G.13c</b> N/A (ProtoNS/STD MP & VolSub MP/PS)	Yes
<b>InPlanRothRollover411</b>	Method of preserving Code section 411(d)(6) protected benefits. <b>Options:</b> <ul style="list-style-type: none"> <li>• Distributions from the In-Plan Roth Rollover Account permitted at any time</li> <li>• Preserve existing distribution rights for each Account</li> <li>• Other</li> </ul>	<b>G.13d</b> N/A (ProtoNS/STD MP & VolSub MP/PS)	Yes
<b>InPlanRothRollover411Other</b>	If “Other”, describe the method to preserve Code section 411(d)(6) protected benefits.	<b>G.13d.i</b> N/A (ProtoNS/STD MP & VolSub MP/PS)	Yes
<b>IRR – amounts not otherwise distributable (Addendum)</b>			
<b>Column Name</b>	<b>Details</b>	<b>Checklist Location</b>	<b>Editable</b>
<b>IRRNotDistributable</b>	Allow in-plan Roth rollovers of amounts not otherwise distributable. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• Yes - with conditions</li> <li>• No</li> </ul>	<b>G.14a</b> N/A (ProtoNS/STD MP & VolSub MP/PS)	Yes
<b>IRRNotDistributableLimits</b>	Describe the conditions.	<b>G.14b</b> N/A (ProtoNS/STD MP & VolSub MP/PS)	Yes
<b>IRRNotDistributableEffDate</b>	Indicate the effective date of the IRRs of amounts not otherwise distributable.	<b>G.14c</b> N/A (ProtoNS/STD MP & VolSub MP/PS)	Yes
<b>Trust</b>			
<b>Column Name</b>	<b>Details</b>	<b>Checklist Location</b>	<b>Editable</b>
<b>SpecialTrustee</b>	Name the special Trustee who determines and collects	<b>G.5f (ProtoNS/STD MP &amp;</b>	Yes

	contributions. <b>Options:</b> <ul style="list-style-type: none"> <li>• CEO of Plan Sponsor</li> <li>• Trustee</li> <li>• Other</li> </ul>	<b>VolSub MP/PS)</b> <b>H.5f</b>	
<b>SpecialTrusteeOther</b>	If “Other”, Name the special Trustee.	<b>G.5f.i (ProtoNS/STD MP &amp; VolSub MP/PS)</b> <b>H.5f.i</b>	Yes
<b>Statute of Limitations</b>			
<b>Column Name</b>	<b>Details</b>	<b>Checklist Location</b>	<b>Editable</b>
<b>SttLimit</b>	The Plan has a contractual statute of limitations. <b>Options:</b> <ul style="list-style-type: none"> <li>• Yes</li> <li>• No</li> </ul>	<b>H.7 (VolSub 4K/AO &amp; 4KPT/AO)</b> <b>G.7 (VolSub PS)</b>	Yes
<b>SttLimitPeriod</b>	Describe contractual statute of limitations.	<b>H.7.i (VolSub 4K/AO &amp; 4KPT/AO)</b> <b>G.7.i (VolSub PS)</b>	Yes
<b>Signature Pages</b>			
<b>Column Name</b>	<b>Details</b>	<b>Checklist Location</b>	<b>Editable</b>
<b>SignaturePages</b>	Indicate how signature page should be formatted. <b>Options:</b> <ul style="list-style-type: none"> <li>• All signers on one page</li> <li>• All signers on separate pages</li> </ul>	<b>J.5 (VolSub PS)</b> <b>J.20</b>	Yes