

# Plan Sponsor Overview: Year-End Administration

Presented By  
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# What You'll Learn Today



How to access  
and use the  
Client Portal



How to complete  
the Year-End Data  
Collection task



What happens  
after you submit  
your data



How to track your  
plan's progress

# Navigating the Client Portal

# Accessing the Client Portal

Website: <https://plansponsorlink.com/dwc/login>

A screenshot of the DWC login form. It features two input fields: 'Username\*' and 'Password\*'. The 'Password\*' field has a toggle icon to its right. Below the fields is a checkbox labeled 'Remember My Username'. At the bottom left, there are links for 'Forgot Password?' and 'First Time User?'. At the bottom right, there is a yellow 'SIGN IN' button.

Username\*

Password\*

Remember My Username

[Forgot Password?](#) [First Time User?](#)

SIGN IN

**Username:** Your email address

**Password:** A password that is unique to you

## First-Time or Trouble Logging In?

If this is your first time using the portal:

- Click **First Time User?**
- Enter your email address
- A temporary password will be sent to you by email

If you have logged in before but forgot your password:

- Click **Forgot Password?** to reset it

If you continue to have trouble accessing your account, contact your dedicated **Retirement Plan Specialist (RPS)** for assistance

# Client Portal Overview

## • My Active Tasks

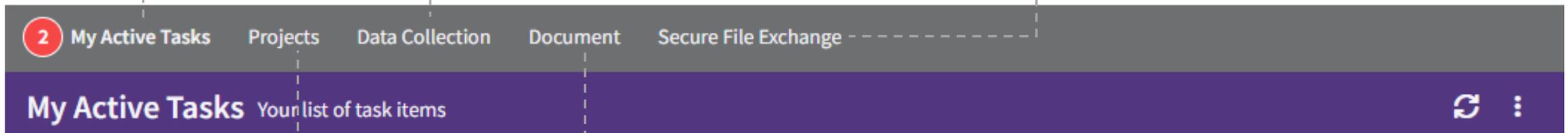
Your landing page – tasks or documents that need your attention

## • Data Collection

Year-End Data Collection or General Web Collection tasks you have submitted

## • Secure File Exchange

A safe, encrypted way to send and receive files with our team



## • Projects

The statuses of your annual administration projects

## • Document

Plan documents, compliance reports, government filings, other files our team has delivered to you

# Secure Report Delivery

4 My Active Tasks Projects Data Collection Document Secure File Exchange

**My Active Tasks** Your list of task items

Name ↓	Plan Name ↓	Active Date ↓	
<b>Testing &amp; Contribution Report</b> Provides ADP/ACP test results (if applicable) and contribution calculations.	Universal Eligibility Demo 401(k) Plan	12/31/2025	<b>Download</b>

Columns Filters

1 of 1 Records

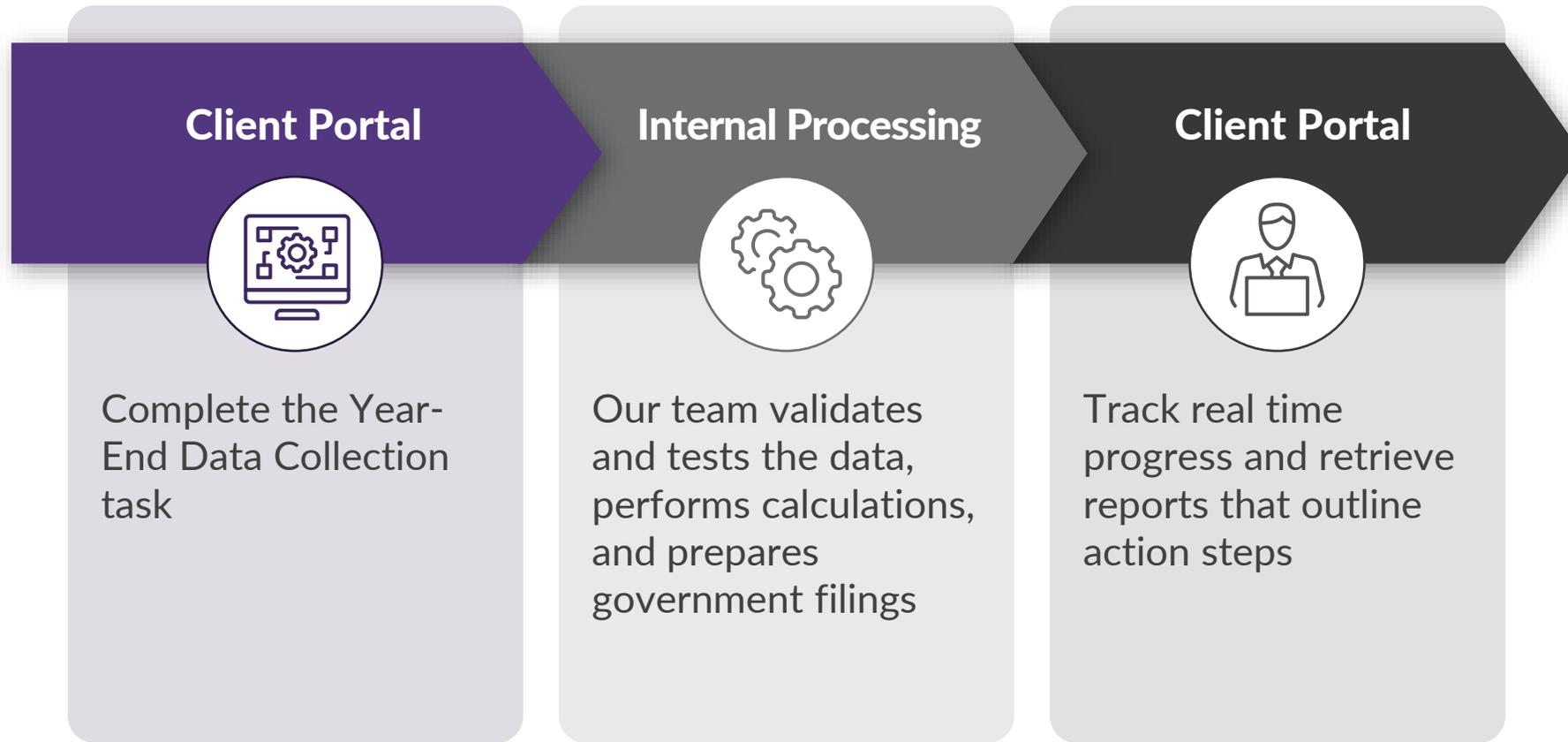
Your compliance reports and filings are delivered securely through the Client Portal, not by email, to protect sensitive data.

- You will receive an e-mail when the document is ready.
- Click the **Download** button from **My Active Tasks** to retrieve a copy.
- You can always find copies later under **Documents**.

# Year End Data Collection

# Year-End Process Overview

The Year-End is completed entirely in the Client Portal.



# Year End Data Collection Task

The screenshot shows the user interface of the 'DWC - The 401(k) Experts' application. At the top, there is a navigation bar with 'My Active Tasks' selected. Below this is a table of tasks. The first task is 'Year End Data Collection 01/01/2025 to 12/31/2025' for the 'Universal Eligibility Demo 401(k) Plan', with an active date of '01/05/2026'. A red box highlights the 'Begin Task' button for this task. The interface also includes a 'Columns' and 'Filters' sidebar on the right and a '1 of 1 Records' indicator at the bottom.

Name	Plan Name	Active Date	
Year End Data Collection 01/01/2025 to 12/31/2025	Universal Eligibility Demo 401(k) Plan	01/05/2026	<a href="#">Begin Task</a>

The Year-End Data Collection task contains **9 steps** that guide you through everything we need to complete your annual compliance work.

- You can:
  - ✓ Review and edit information
  - ✓ Add notes for our team
  - ✓ Upload supporting documents
- You may **save and return** at any time. Your work is not lost if you exit before finishing.
- Your information is not sent to us until you complete the **Sign and Submit** step at the end.

# General: Company Contact Information

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1 My Active Tasks Projects Data Collection Document Secure File Exchange

**Task** Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps: **General** Company Principals Family Businesses Contact Plan

**Step 1: Company Contact Information**  
Review the address and contact numbers below. Add new details or update existing information as needed, then click **Save** to continue.

Addresses + Contact Numbers +

Type	Address	Type	Number
Mailing Address, Physical Address	555 Savings Lane, Suite 101, New York City, NY, 77777	Main Phone Number	(888) 867-5309

**Save**

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Confirm your company's address and phone number.

- This information is used for your Form 5500 and other government filings.
- You must have:
  - ✓ At least one address
  - ✓ At least one phone number
- You may add additional contact information if needed.
- Click **Save** to continue

# Company: Employer Company Data

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**Task** Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

**Steps:** General Company Principals Family Businesses Contact Plan

**Step 2: Employer Company Data**  
Confirm or update your employer's company data. Make any necessary changes, then click **Save** to move forward.

No	Item	Answer
1.	Company Name	Unbundled Demo Client
2.	EIN	12-3456799 *
3.	Fiscal Year End	12 / 31 *
4.	Entity Type	Corporation *
5.	NAICS Code	99999 <a href="#">Click here to search for your NAICS code.</a>
6.	Payroll Provider	Paylocity

**Save**

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## Confirm your company's:

- Employer Identification Number (EIN)
- Plan Year End
- Entity Type
- NAICS Code
- Payroll Provider and payroll frequency

This information ensures your Form 5500 and compliance testing are prepared accurately.

# Principals: Owners & Officers

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My Active Tasks Projects Data Collection Document Secure File Exchange

Task Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps:  General  Company  Principals  Family  Businesses  Contact  Plan  5500  Employees  Approval

Step 3: Principals  
Enter or update the list of all owners and officers of your organization. Ensure total ownership equals 100%, then click Save.  
Non-profits: Enter your organization name as a single entry with No Title and 100% ownership.

Name	SSN	Is Not Employee	Title	Officer	Ownership	
Jane Doe	xxx-xx-6788	No	President	Yes	50.00%	<input checked="" type="checkbox"/> <input type="checkbox"/>
John Doe	xxx-xx-6789	No	CEO	Yes	50.00%	<input type="checkbox"/> <input type="checkbox"/>

100.00% 2 of 2 Records

Save

List all company owners and officers, even if an officer does not have ownership.

- Use the + button to add individuals.
- Ownership must reflect the **last day of the year** and must **total 100%**.

This information is required for:

- Highly Compensated Employee (HCE) and Key employee determination
- Non-discrimination testing
- Controlled group analysis

# Family: Family Members of Owners & Officers

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My Active Tasks Projects Data Collection Document Secure File Exchange

Task Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps:  General  Company  Principals  Family  Businesses  Contact  Plan  5500  Employees  Approval

Step 4: Family Relationships  
Provide information for all family members of each owner and/or officer, listed in the previous step, who are employed by the company. Once complete, click Save.

Name	SSN	Relationship	Related To
Jane Doe	xxx-xx-6788	Spouse	John Doe

1 of 1 Records

Save

Add any **employed family members** of owners or officers, including:

- Spouses
- Biological or legally-adopted children
- Parents
- Grandparents

This information is required for:

- Highly Compensated Employee (HCE) and Key employee determination
- Non-discrimination testing
- Controlled group analysis

# Businesses: Other Businesses Owned

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My Active Tasks Projects Data Collection Document Secure File Exchange

Task Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps:  General  Company  Principals  Family  **Businesses**  Contact  Plan  5500  Employees  Approval

**Step 5: Other Businesses Owned**  
List any other businesses owned by the owners/officers, along with the owners of those businesses. After completing the information, click Save.

Name	EIN	Phone	Date Purchased Or...	Plan Sponsor	Entity Type	Address	Employees
The Best Company, LLC	123456789	8888679305	01/01/2010	No	Limited Liability Company	555 Savings Lange	No

1 of 1 Records

List any other companies in which owners, officers, or their family members have an ownership interest.

You will be asked to provide:

- Business name and EIN
- Entity Type
- If the company has any employees
- Whether the company sponsors a retirement plan

This information is used for:

- Controlled group analysis
- Affiliated service group analysis
- Coverage Testing

# Contacts

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My Active Tasks Projects Data Collection Document Secure File Exchange

**Task** Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

**Steps:** General Company Principals Family Businesses **Contact** Plan 5500 Employees Approval

**Step 6: Contacts**  
Review the contacts associated with your plan. To remove or replace a contact, use the Change Request button. To add a new contact, use the Add (+) button in the top-right corner. After reviewing the list, click Save.

Name	Contact Info	Roles	Rights	Contact Change Requests
John Doe	Company: Unbundled Demo Client Email: john.doe@gmail.com	Main Contact	Plan Documents, Administrative Forms, Employer Census, Employee Census, Reports, Contacts, Distribution, View Fiduciary Documents, Add/Edit/Delete Fiduciary Documents, Principals, Businesses, Approval, General Web Collection, Projects	<b>Change Request</b>

2 of 2 Records

**Save**

This screen shows your plan's current contacts and their security rights

If you need to:

- Add a new contact → click +
- Replace or remove a contact → use **Change Request**
- To update an e-mail address, contact your dedicated Retirement Plan Specialist

# Plan: Annual Employer Questionnaire

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Task Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps: General Company Principals Family Businesses Contact **Plan** 5500 Employees Approval

**Step 7: Annual Employer Questionnaire**  
Complete all questions in this section, ensuring that any item marked with an asterisk (\*) is answered. Click **Save** to continue. Notes (0) Save

No	Item	Answer
1.	<b>Business Changes:</b> Did your company have any major business changes this year (such as a merger, acquisition, sale, spin-off, EIN change or name change)?	<input type="text"/> *
2.	If yes, please describe what changed and when.	<input type="text"/>
3.	<b>Owner Family Interests:</b> Do any owners or their family members have ownership in other businesses? If yes, please list those businesses in <i>Step 5 - Businesses</i> and include each company's ownership percentage, whether it has other employees, and whether it offers a retirement plan.	<input type="text"/> *
4.	<b>Related Companies or Affiliates:</b> Is your company connected to any other businesses through shared ownership or operations that have not been reported on the 'Businesses' tab as part of this submission.	<input type="text"/> *
5.	<b>Other Retirement Plans:</b> Does your company sponsor any other retirement plans (either managed in-house or with another provider)?	<input type="text"/> *

Save

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This section includes questions about:

- Business activity during the year
- Employee demographics
- Employer contributions
- Plan-specific testing requirements

Questions with the red \* are required to be answered.

Your responses ensure we perform the **correct testing and contribution calculations** for your plan

# Plan: Annual Employer Questionnaire

## Employer Nonelective (Profit Sharing) Requests

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**Task** Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

**Steps:** General Company Principals Family Businesses Contact **Plan** 5500 Emp

**Step 7: Annual Employer Questionnaire**  
Complete all questions in this section, ensuring that any item marked with an asterisk (\*) is answered. Click **Save** to continue. Notes (0) Save

No	Item	Answer
18.	Contribution Scenario Request #1 <i>Example: "5% of eligible compensation to all employees"</i>	
19.	Contribution Scenario Request #2 <i>Example: "\$100,000 total budget allocated to maximize owner contributions (including safe harbor match in total budget)"</i>	
20.	Contribution Scenario Request #3 <i>Example: "Maximize owners in the most cost-effective way possible"</i>	

Save

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You may request up to **three contribution scenarios**, including details such as:

- Total contribution budget
- Allocation method
- Employees to target or exclude

Some requests may require additional testing or minimum contributions to ensure the plan passes IRS rules.

### Examples:

- Maximize John, Jane, and James. Minimum to all other employees
- \$50,000 total budget, including safe harbor. Maximize the owners
- 5% to all employees employed on the last day

# 5500: 5500 Questionnaire

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My Active Tasks Projects Data Collection Document Secure File Exchange

Task Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps: General Company Principals Family Businesses Contact Plan **5500** Employees Approval

**Step 8: 5500 Questionnaire**  
Complete all questions in this section, ensuring that any item marked with an asterisk (\*) is answered. Click **Save** to continue. Your responses will be included on any required government filings (if applicable) for the plan year. Notes (0) Save

No	Item	Answer
1.	<b>5500 Signor:</b> If your plan is required to file a Form 5500, who will be the authorized company representative to sign the filing? Please provide the individual's full name and e-mail address.	<input type="text"/>
2.	<b>Fidelity Bond Amount:</b> What is the current coverage amount of the plan's fidelity bond? <i>The required minimum fidelity bond coverage is 10% of plan assets at the start of the plan year, up to a maximum of \$500,000.</i> <i>Exclusions: Owner-only plans and adopters of Pooled Employer Plans (PEPs) are not required to maintain a fidelity bond. If this applies to your plan, please enter \$0.</i>	<input type="text"/>
3.	<b>Fidelity Bond - 'Inflation Guard':</b> Did the plan's fidelity bond policy for the plan year include an "inflation guard" provision that automatically increases coverage as plan assets grow?	<input type="text"/>
4.	<b>Timing of Employee Contributions:</b> Did the employer fail to transmit to the plan any participant contributions (salary deferrals or loan payments) timely during the plan year? <i>The Department of Labor (DOL) outlines that for plans with fewer than 100 eligible participants, contributions made within 7 business</i>	<input type="text"/>

Save

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This section ensures your **Form 5500** (if applicable) is prepared correctly.

- Questions with the red \* are required to be answered.
- Most plans will answer **"No"** to many of these questions. This is normal.
- Please review carefully and contact your Retirement Plan Specialist should you have any questions.

# Employees: Employee Census

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My Active Tasks Projects Data Collection Document Secure File Exchange

**Task** Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

**Steps:** General Company Principals Family Businesses Contact Plan 5500 **Employees** Approval

**Step 9: Employee Census**  
Enter or import employee census data for **all employees** who worked at least one hour during the year or received any compensation. Include full-year hours, compensation, and contributions for every employee, regardless of plan participation or eligibility. This information is required for accurate ERISA testing and Form 5500 reporting.  
After reviewing your data, click **Save** to continue.

SSN	First Name	Last Name	Date of Birth	Original Date of Hire	Date of Separation	
123-45-6788	Jane	Doe	01/01/1965	07/15/2010		
123-45-6789	John	Doe	01/01/1965	07/15/2010		

2 of 2 Records

**Save**

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- Your census must list **everyone who worked during the year**, not just participants or eligible employees.
- Click **View Summary** under the ellipsis More menu to confirm the totals against your payroll system.
- If data is missing, you can import a new census file or enter it manually.

# Employees: Employee Census

## Manually Key Employee Data

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1 My Active Tasks Projects

Task Year End Data Collection

Steps:  General  Company  Principals  Family  Businesses  Contact  Plan  5500  Employees  Approval

**Step 9: Employee Census**  
Enter or import employee census data for all employees who worked at least one hour during the year or received any compensation, and contributions for every employee, regardless of plan participation or eligibility. This information is required for accurate Form 5500 reporting.  
After reviewing your data, click **Save** to continue.

**Add Employee**

SSN \*

First Name \* 0/50

Last Name \* 0/50

Date of Birth \*

Original Date of Hire \*

Date of Separation

Date of Rehire

Job Classification

Notes (0) Save

2 of 2 Records

Save Cancel

## Import Census Data by Exporting Template

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1 My Active Tasks Projects Data Collection Document Secure File Exchange

Task Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps:  General  Company  Principals  Family  Businesses  Contact  Plan  5500  Employees  Approval

**Step 9: Employee Census**  
Enter or import employee census data for all employees who worked at least one hour during the year or received any compensation, and contributions for every employee, regardless of plan participation or eligibility. This information is required for accurate Form 5500 reporting.  
After reviewing your data, click **Save** to continue.

Import  
Copy Prior Year Census Data  
View Summary  
Field Descriptions  
Export  
Delete All Employees

SSN	First Name	Last Name	Date of Birth	Original Date of Hire
123-45-6788	Jane	Doe	01/01/1965	
123-45-6789	John	Doe	01/01/1965	

Notes (0) Save

2 of 2 Records

Save

# Employees: Employee Census

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My Active Tasks Projects Data Collection Document Secure File Exchange

**Task** Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps: General Company Principals Family Businesses Contact Plan 5500 **Employees** Approval

**Step 9: Employee Census**  
Enter or import employee census data for **all employees** who worked at least one hour during the year or received any compensation. Include full-year hours, compensation, and contributions for every employee, regardless of plan participation or eligibility. This information is required for accurate ERISA testing and Form 5500 reporting.  
After reviewing your data, click **Save** to continue.

**Issues have been detected in the employee census records. [Click to view the issues](#)**

SSN	First Name	Last Name	Date of Birth	Original Date of Hire	Date of Separation	
123-45-6788	Jane	Doe	01/01/1965	07/15/2010		
123-45-6789	John	Doe	01/01/1965	07/15/2010		

2 of 2 Records

**Save**

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The system automatically checks your census for:

- Missing data
- Data issues

You may save with **warnings**, but **errors must be corrected** before submission.

Common warnings/errors:

- Data not provided for a required field
- Date of separation is prior to current year
- Deferrals, compensation, or hours are blank
- All employees have deferrals

# Approval: Approval & Census Submission

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My Active Tasks Projects Data Collection Document Secure File Exchange

Task Year End Data Collection 01/01/2025 to 12/31/2025 for Universal Eligibility Demo 401(k) Plan

Steps:  General  Company  Principals  Family  Businesses  Contact  Plan  5500  Employees  Approval

Step 10: Approval & Census Submission

- General
- Company
- Principals
- Family
- Businesses
- Contact
- Plan
- 5500
- Employees

PLEASE READ CAREFULLY BEFORE SUBMITTING YOUR YEAR END DATA COLLECTION TASK

Review all information carefully before submitting. The information provided will be used to complete required compliance testing and reporting for your plan.

Upload any supporting documents, such as K-1s or Schedule Cs, in the Documents section. If there are any details our team should be aware of while preparing your Annual ERISA Compliance Review (AECR), use the Notes section below to provide that context.

If you have questions or need assistance, contact your Retirement Plan Specialist.

Documents +

Name	Type	Description
No Rows To Show		

Notes +

Note	Date	Created By
No Rows To Show		

Sign and Submit

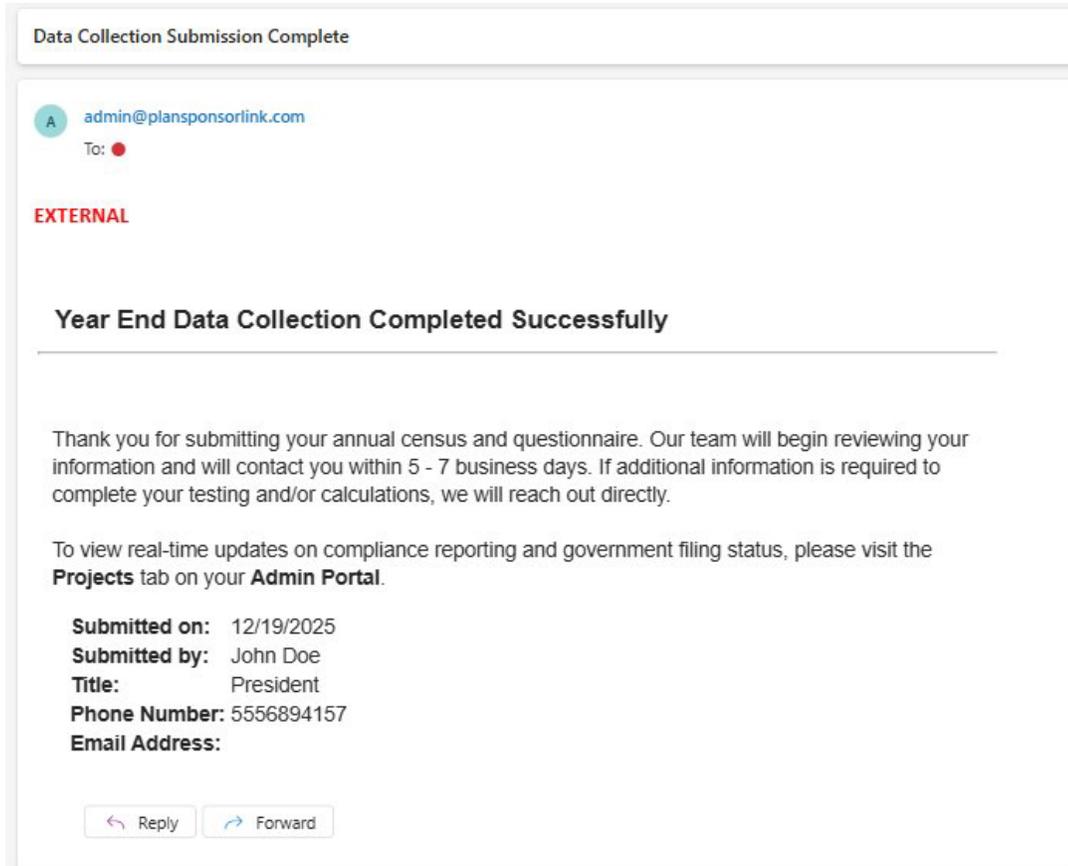
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Your data is **not submitted** until you click **Sign and Submit**.

All 9 steps must show as complete.

You may upload documents (K-1s, Schedule C, etc.) and add notes to help our team review your information.

# What Happens After You Submit



## After submission, our team will:

- Reconcile your census to recordkeeper data
- Review all information for completeness
- Perform testing and contribution calculations
- Delivery your compliance package and Form 5500

You will receive email notifications as items are completed.

# Additional Data Requests

# Additional Data Request

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3 My Active Tasks Projects Data Collection Document Secure File Exchange

**My Active Tasks** Your list of task items

Name	Plan Name	Active Date	
Plan Audit Questionnaire	Universal Eligibility Demo 401(k) Plan	01/06/2026	<a href="#">Begin Task</a>
Missing Census Information	Universal Eligibility Demo 401(k) Plan	01/06/2026	<a href="#">Begin Task</a>
Brokerage Statement Collection	Universal Eligibility Demo 401(k) Plan	01/06/2026	<a href="#">Begin Task</a>

3 of 3 Records

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If we need more information, you will receive an **Additional Data Request** in your Client Portal.

## Common requests include:

- Census/Recordkeeper Variance
- Missing Census Information
- Plan Audit Questionnaire
- Brokerage Statement Collection
- Form 5500 Filing Authorization

# How to Complete Additional Requests

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3 My Active Tasks Projects Data Collection Document Secure File Exchange

Task Missing Census Information for Universal Eligibility Demo 401(k) Plan

Steps: Questionnaire Collection Items Approval

**Step 1: Getting Started**  
This step may include questions needed to gather information or confirm details related to our request. Please review and answer all applicable questions to help ensure we receive complete and accurate information. Once completed, click **Save** to continue.

No	Item	Answer
1.	The <u> census data </u> you submitted is missing key information necessary for us to complete your annual compliance testing and contributions.  Continue with the steps below to complete the Missing Information spreadsheet provided to you on the <b>Collection Items</b> screen.	
2.	<ul style="list-style-type: none"><li>Click 'Save' and navigate to the <b>Collection Items</b> screen.</li><li>Download and review the Missing Information Spreadsheet from <b>Deliverable Items</b>.</li><li>Open the spreadsheet and review all of the tabs. Any cells highlighted in yellow indicate information that we still need from you.</li><li>Complete all fields in yellow and save the updated file.</li><li>Upload the completed Missing Information Spreadsheet under <b>Collection Items</b> and click 'Save.'</li><li>Click 'Sign and Submit' on the final <b>Approval</b> screen.</li></ul>	

Notes (0) Save

Save

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Each request includes three steps:

1. **Questionnaire**
  - Instructions or questions
2. **Collection Items**
  - Download and upload documents
3. **Approval**
  - Submit back to our team

Be sure to click **Save** at the bottom of each screen.

All three steps must be completed for us to continue your project.

# Project Status Tracking

# Tracking Your Plan's Progress

3 My Active Tasks **Projects** Data Collection Document Secure File Exchange

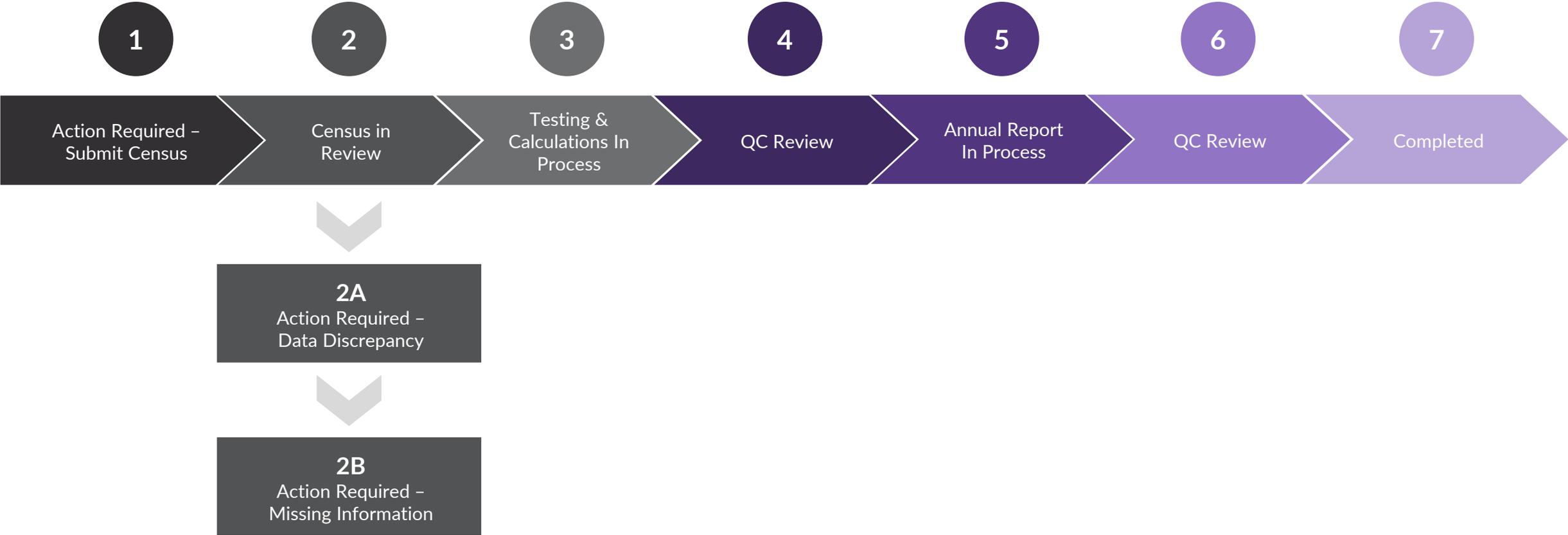
**Projects** Your list of projects

Plan Name	Project Name	Project Type	Period Start	Period End	Project Start	Completed	Status	Status Updated	
Universal Eligibility Demo 401(k) Plan	Year End Compliance	Annual Administration	01/01/2025	12/31/2025	01/05/2026		Census in Review	01/06/2026	<a href="#">View</a>
Universal Eligibility Demo 401(k) Plan	Form 5500: Small Plan	Annual Administration	01/01/2025	12/31/2025	01/05/2026		Pending Start of Annual Report	01/06/2026	<a href="#">View</a>

You can view real-time project statuses in the Client Portal:

- **Action Required** – We need you to take action
- **In Process** – Our team is working on your plan
- **QC Review** – Final quality review
- **Completed** – Delivered to you

# Year End Compliance Statuses



# Form 5500 Statuses



# Key Deadlines

# Year-End Compliance Overview

To ensure your plan stays compliant and avoids delays or penalties, please keep these key dates in mind:

Census & questionnaire submission deadlines	
ADP Tested	February 13
EACA ADP Tested	May 22
Non-ADP Tested	May 22
Recordkeeper refund processing deadlines	
ADP Tested	Generally 5 business days before refund deadline
EACA ADP Tested	Generally 5 business days before refund deadline
Non ADP Tested	Not applicable
ADP/ACP IRS refund deadlines	
ADP Tested	March 13*
EACA ADP Tested	June 30
Form 5500 deadlines	
Form 5500 filing deadline	July 31 **
Form 5500 deadline to submit audited financials	October 8
Form 5500 extended filing deadline	October 15

\*IRS deadline is Sunday, March 15, therefore refunds must be processed by Friday, March 13.

\*\*We will automatically prepare an extension for any plans not filed by July 23.

# We're Here to Support You

Your Client Portal is designed to make year-end easier, clearer, and more secure.

Here's what to remember:

- **My Active Tasks** show what we need from you
- **Projects** show what we're delivering
  - ✓ **Action Required** means we are waiting on information
  - ✓ **Completed** means your deliverable is ready

Your dedicated **Retirement Plan Specialist** and the Resource Center are here to support you at every step.

Thank you for choosing us as your trusted TPA!