



# TIAA’s plan document services: Guide to managing your plan documents online

**Sophisticated plan document management tools, all easily accessible from PlanFocus®**

Together with our external vendor, FIS Relius, we are able to provide you with a robust platform for all your plan document needs. The FIS Exchange website, accessible directly from PlanFocus, provides you with the tools and capabilities to simplify plan document management. Features include:



Electronic signature (eSign) capability



Enhanced data management and storage



Flexible plan document options and self-service capabilities

In this guide, we’ll walk you through the functionality, and provide tips and tricks to help make the task of managing your documents as simple as possible. We encourage you to keep this guide handy as you’re getting familiar with the FIS Exchange website.



**Click to be taken to any section**

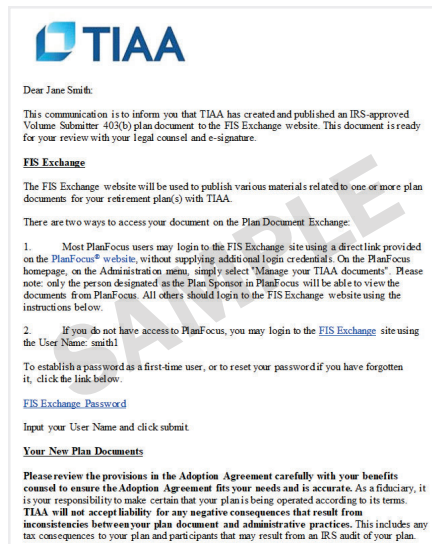
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## UPDATED: Quick tip

The email will be sent from **Messaging@rgf.fisglobal.com** on behalf of **PlanDocsRestatements@tiaa.org**. To ensure these emails are not blocked, please contact your IT team.

## Getting started

Your documents are hosted on the FIS Exchange website. Once your documents are ready for your review and eSignature, FIS Exchange will send an email containing applicable instructions to the authorized signer on record with TIAA. **IMPORTANT:** The email address recently changed to **Messaging@rgf.fisglobal.com** on behalf of **PlanDocsRestatements@tiaa.org**. Please update your settings (as needed) to ensure you receive emails from this new address.



## Accessing the FIS Exchange website

There are two ways to access the FIS Exchange website. Certain PlanFocus users can link directly to the site from PlanFocus without the need for additional credentials. You also have the option of going to the FIS Exchange website directly. We'll go through the steps for both in this section.

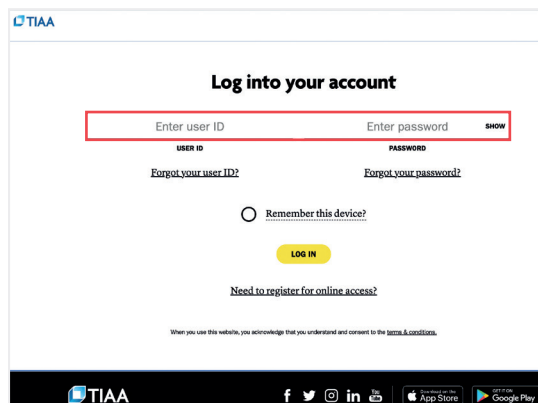
### Option 1: Accessing the FIS Exchange website from PlanFocus

#### Step 1

Log in to **PlanFocus** using your existing username and password.

## Quick tip

Only the plan sponsor will be able to use the PlanFocus link to gain access to the FIS Exchange website.



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## Step 2

From the Administration tab, select *Plan document services*>*Manage your TIAA documents*. This will bring you directly to the FIS Exchange site without having to set up additional usernames or passwords.

HOME ADMINISTRATION REPORTING COMPLIANCE RESOURCES DOCUMENT CENTER

**Administration: Overview**

Access tools and resources to help simplify managing your plan using PlanFocus.

**Contributions and Census**

- Contributions and Census Dashboard
- Submit Contributions via File
- View Contribution History

**Funding**

- Remit Funding
- View Bank Account Information

**File Exchange**

- Upload File
- View Uploaded Files

**E-Statements**

- Confirmation Statements

**Plan document services**

- Manage your TIAA documents

**Participant Transactions**

- Manage Participant Requests
- View Participant Request History

**Enrollment**

- Enroll an Employee
- Manage Access Codes
- Customize Participant Enrollment
- Saved Enrollments
- Submitted Enrollments

**Requests and Forms**

- Create Service Request
- Service Requests
- Participant Forms
- Plan Sponsor Forms

**PlanFocus Users**

- Manage PlanFocus users

**Investments**

- Investment Performance and Research

**Plan Accounts**

- Manage Revenue Credit Accounts
- Manage Forfeiture Accounts

## Option 2: Accessing the FIS Exchange website directly

### Step 1

The email you'll receive when your documents are ready for review includes a direct link to the FIS Exchange website and instructions for logging in. Select the hyperlink to the FIS Exchange website from the email and you will be brought to the site's home page.

**TIAA**

Dear Jane Smith:

This communication is to inform you that TIAA has created and published an IRS-approved Volume Submitter 403(b) plan document to the FIS Exchange website. This document is ready for your review with your legal counsel and e-signature.

**FIS Exchange**

The FIS Exchange website will be used to publish various materials related to one or more plan documents for your retirement plan(s) with TIAA.

There are two ways to access your document on the Plan Document Exchange:

- Most PlanFocus users may login to the FIS Exchange site using a direct link provided on the PlanFocus website, without supplying additional login credentials. On the PlanFocus homepage, on the Administration menu, simply select "Manage your TIAA documents". Please note: only the person designated as the Plan Sponsor in PlanFocus will be able to view the documents from PlanFocus. All others should login to the FIS Exchange website using the instructions below.
- If you do not have access to PlanFocus, you may login to the FIS Exchange site using the User Name: smith1

To establish a password as a first-time user, or to reset your password if you have forgotten it, click the link below.

[FIS Exchange Password](#)

Input your User Name and click submit

**Your New Plan Documents**

Please review the provisions in the Adoption Agreement carefully with your benefits counsel to ensure the Adoption Agreement fits your needs and is accurate. As a fiduciary, it is your responsibility to make certain that your plan is being operated according to its terms. TIAA will not accept liability for any negative consequences that result from inconsistencies between your plan document and administrative practices. This includes any tax consequences to your plan and participants that may result from an IRS audit of your plan.

# TIAA's plan document services: Guide to managing your plan documents online

## Quick tip

If accessing the FIS Exchange website for the first time or if you forgot your password, please select *Forgot your password?*

Follow the instructions in the email you receive to establish or change your password.

## Step 2

Enter the username provided in the email for logging in, enter your password and select login.

www.fisglobal.com

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## Quick tips

If you receive a warning that instructs you not to close the dialog box and it does not disappear within a few seconds, you may need to change your browser settings to allow pop-ups. Select the link relevant to your browser for instructions:

[Google Chrome](#)  
[Microsoft Edge](#)  
[Microsoft Internet Explorer](#)

## Navigating the FIS Exchange website

All of the documents relevant to your plan will appear in the main documents list of the FIS Exchange home page.

To the left of the main documents list, you can also find important supplemental information, such as IRS pre-approval letters and/or cover letters, if applicable to your plan.

Item	Plan Name	Project Name	Published Date	Action Re
403(b) Adoption Agreement	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:13 AM	<a href="#">Sign Doc</a>
403(b) Plan	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:15 AM	None
403(b) Resolution	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:14 AM	None
403(b) Admin Cklist Addendum	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:12 AM	None

## Quick tip

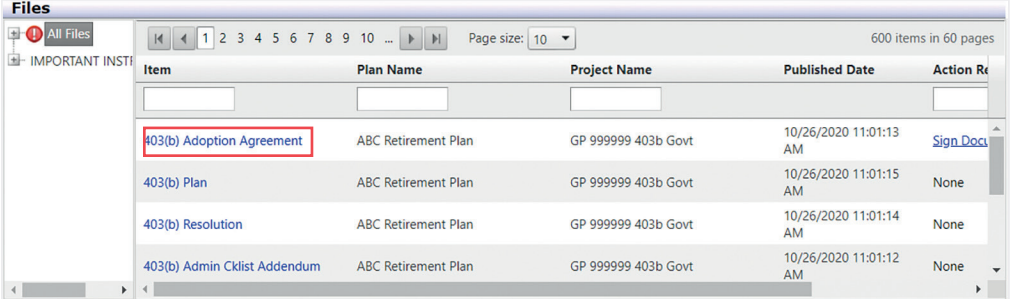
TIAA strongly recommends that you review all relevant documentation with your plan legal counsel. TIAA cannot and will not provide legal advice.

## Viewing available documents

You have the option to view your documents online and you can also save them to your computer so you can share with others, as needed.

### Step 1

To open a document and review it online, simply click on the document's name.



Item	Plan Name	Project Name	Published Date	Action R
403(b) Adoption Agreement	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:13 AM	<a href="#">Sign Docu</a>
403(b) Plan	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:15 AM	None
403(b) Resolution	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:14 AM	None
403(b) Admin Cklist Addendum	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:12 AM	None

### Step 2

The opened document can be saved to your computer so you can share it with your legal counsel or others.

## Quick tip

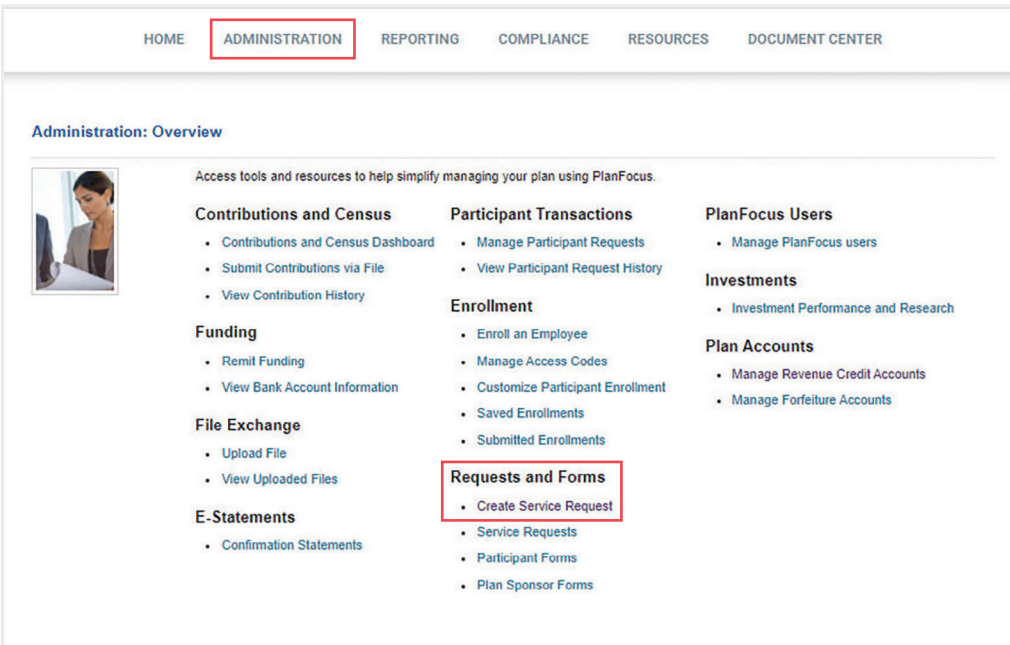
Follow these steps to request any changes to your documents including to change the authorized signer of your plan documents.

## Making changes to your documents

PlanFocus helps you manage the tasks necessary to administer your plan. PlanFocus is your go-to tool for requesting changes to your plan documents.

### Step 1

From the Administration tab, select *Requests and Forms*>*Create Service Request*.



HOME ADMINISTRATION REPORTING COMPLIANCE RESOURCES DOCUMENT CENTER

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  - Confirmation Statements
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  - Enroll an Employee
  - Manage Access Codes
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  - Plan Sponsor Forms
- PlanFocus Users**
  - Manage PlanFocus users
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## Step 2

Select the topic *Plan Modification* from the drop-down menu.

## Step 3

Complete all required fields and provide any additional details that will help us better understand the request. You can upload a marked-up copy of your document to show us your specific changes.

## Step 4

Submit your request by checking the box.

## Step 5

Click the Submit button.

HOME ADMINISTRATION REPORTING COMPLIANCE RESOURCES DOCUMENT CENTER

Requests and Forms PRINT HELP

Create Service Request Service Requests Implementation Requests Participant Forms Plan Sponsor Forms

Please enter the details of your service request.

Fields marked with an asterisk ( \*) are required.

**Request Details**

\* Topic

Note: If you do not know if a TIAA specimen plan document is being used, please call your relationship manager or the Administrator Telephone Center (888 842-7762).

\* Plan(s)

Plans actively contributing to TIAA

Select All

ABC ORGANIZATION 403(B) DEFINED CONTRIBUTION RETIREMENT PLAN - 111111

ABC ORGANIZATION EMPLOYEE VOLUNTARY PLAN - 222222

ABC ORGANIZATION RETIREMENT HEALTHCARE PLAN - RV0001

Plans not actively contributing to TIAA

\* Effective Date

\* Plan Section(s) Being Changed  Select All

Contributions

Vesting and Forfeitures

Distributions

Definitions

Miscellaneous

\* Are you using a TIAA plan document?  Yes  No If 'No' please upload external document file below.

Upload File  No file chosen

Please provide any additional instructions

By submitting this request to TIAA the Plan Sponsor agrees that:

- It is the Plan Sponsor's responsibility to confirm that the plan rules described in the form accurately reflect the plan rules included in the Plan Sponsor's written plan document and/or attest that the Plan Sponsor will amend the plan document within the time period required by applicable law as needed to conform with the rules described in this form, and
- The requestor has reviewed the form and authorizes and directs TIAA to administer the Plan Sponsor's plan using the plan rules described in this request, and
- The requestor represents that he/she has the authority to make this request and direction on behalf of the Plan Sponsor.

Name of Requestor

Date

## Quick tip

Prior to signing, you should always review your documents with your legal counsel and make sure the document reflects your intent and the plan's operation.

## Signing your documents

Whether you're accessing the FIS Exchange website through the link on PlanFocus or by logging in to the FIS Exchange website directly, the electronic signature process is the same. By signing the plan document, you acknowledge that you have reviewed and agree with the selections and language within the document.

### Step 1

From the main documents tab, select *Sign Document* under the *Action Required* column.

Item	Plan Name	Project Name	Published Date	Action Re
403(b) Adoption Agreement	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:13 AM	Sign Docu
403(b) Plan	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:15 AM	None
403(b) Resolution	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:14 AM	None
403(b) Admin Cklist Addendum	ABC Retirement Plan	GP 999999 403b Govt	10/26/2020 11:01:12 AM	None

## Quick tip

Once you complete the steps to electronically sign your document, the signer's name and date will appear at the end of the document (as a new page) to serve as a permanent record of the document's execution.

### Step 2

You are now on the eSign Document screen. Follow the instructions at the top of the page, namely to check the box and finalize signature.

**eSign Document**

Select the checkbox below and click the Finalize Signature button to consent to the displayed document. Please review the document carefully prior finalizing your signature as you will not have the ability to revoke consent. Upon finalization your name and the current date will be appended to the end of the document to serve as permanent record of your signature to this specific file.

ESignFileLoad.aspx 1 / 31

Non-ERISA Governmental 403(b) Volume Submitter Plan

**ADOPTION AGREEMENT #001  
NON-ERISA GOVERNMENTAL 403(b) VOLUME SUBMITTER PLAN**

The undersigned Eligible Employer, by executing this Adoption Agreement, elects to establish a 403(b) plan ("Plan") under the TIAA Non-ERISA Governmental 403(b) Volume Submitter Plan (basic plan document #25). This Adoption Agreement, the basic plan document, any incorporated Investment Arrangement Documentation, and any attached appendices, constitute the Employer's plan document. All "Election" references within this Adoption Agreement are Adoption Agreement Elections. All "Section" references are basic plan document references. Numbers in parenthesis which follow headings are references to basic plan document sections. Where an Adoption Agreement election calls for the Employer to supply text, the Employer may lengthen any space or line, or create additional tiers. When Employer-supplied text uses terms substantially similar to existing printed options, all clarifications and caveats applicable to the printed options apply to the Employer-supplied text unless the context requires otherwise. The Employer makes the following elections granted under the corresponding provisions of the basic plan document.

**ARTICLE 1  
DEFINITIONS**

1. **EMPLOYER-PLAN-PLAN ADMINISTRATOR (1.29; 1.52; 1.53).** (A Plan amendment is not needed solely to change the information in (a) or (b) below.)

(a) **Employer Information**

Name of Adopting Employer: ABC Company

Address: 123 Any Street

City City State Texas Zip 12345

Telephone: 555-555-5555

EIN: 12-3456789

(b) **Plan Information**

Checking this box and clicking the "Finalize Signature" button will serve as permanent record of your consent to the above document.

### Step 3

You will receive a message to notify you whether your document was signed successfully. You are now able to scroll to the end of the document to verify your signature information.

*This document is generated through an electronic signature system. The sole purpose of this document is to accurately report information contained in the system regarding the document(s) signed, the individual(s) who signed such document(s) and the date such individual(s) electronically signed said document(s).*

Document	Document Id
403(b) Adoption Agreement	262894

Signer Name	Role	Date
John Smith	Employer	10/26/2020 11:42:38 a.m. (ET)

Keep in mind that TIAA completes the document according to your instructions. TIAA will not accept liability for any negative consequence including adverse tax consequences that result from errors in completion of your document or from inconsistencies between your plan document and administrative practices.

### Downloading and printing your signed documents

You're now ready to download or print your signed document. Be sure to follow administrative best practices and keep all plan documents in a secure place.



#### TIAA is here to help

We're committed to helping you make managing your plan documents easier and more efficient.

If you have any questions or need assistance, please contact your TIAA representative, or if you're served exclusively through the Administrator Telephone Center, call **888-842-7782**, weekdays, 8 a.m. to 8 p.m. (ET), to speak with one of our consultants. If you have a question about your TIAA plan document, you may also reach us by emailing [PlanDocsRestatements@TIAA.org](mailto:PlanDocsRestatements@TIAA.org).



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