



# **1099 Pro<sup>®</sup> Help Manual Corporate Suite Edition Tax Year 2019**

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| 1099 Pro, Inc. Information Reporting Software | Service Bureau | Compliance Solutions |  
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# 1099 Pro Software

## Corporate Suite Edition

### Tax Year 2019 Help Manual

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*by 1099 Pro, Inc.*

*1099 Pro, Inc.—a leader in information reporting and compliance solutions—proudly offers advanced, user-friendly software products. Corporate Suite Edition prints Forms 1042-S / 1095 / 1098 / 1099 / 392X / 5498 / W-2G and W-2 and Puerto Rico series to plain paper, preprinted and continuous forms. It generates electronic files per the appropriate IRS and SSA specifications.*

*The 1099 Pro Service Bureau—an SSAE Soc I Type II facility—is competitively priced for those users wanting to outsource the Print+Mail and IRS Filing of their forms. Corporate Suite Edition registered users are welcome to use the Service Bureau; appointments are required.*

*This help manual provides comprehensive instructions on the utilities and features of Corporate Suite software.*

# 1099 Pro® 2019 Corporate Suite Help Manual

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## Ch. 1 General—Getting Started

Welcome to 1099 Pro® Corporate Suite 2019 software by 1099 Pro, Inc<sup>21</sup>; an industry leader in business tax software solutions!

### Getting Started

We encourage you to get started now—prior to the onset of tax season. Take a Quick-Tour<sup>10</sup> and familiarize yourself with our software interface. Download a sample import file<sup>72</sup> and review Import File Conventions<sup>73</sup>. Review IRS/SSA deadlines and schedule your Service Bureau<sup>109</sup> appointments. Review IRS/SSA penalties<sup>27</sup> for non-compliance and, if filing 1099 Informational Returns, review Rule-of-250<sup>27</sup> requirements.

### Getting Help

All 1099 Pro software products feature context-sensitive help files. Click the "Help" button or <F1> key at any screen for detailed instructions. Need more help? Learn about our video tutorials (online), WIKI site, fast & friendly LiveChat support and additional support options<sup>11</sup>, too.

### Basic Software Functionality

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Add Recipients<sup>225</sup>

Add Records<sup>44</sup>

Import Wizard<sup>28</sup> & Sample Import Files<sup>72</sup>

*Corporate Suite Service Bureau:*

- Service Bureau Overview<sup>109</sup> & Service Bureau Invoicing<sup>110</sup>
- Service Bureau Print+Mail Wizard<sup>115</sup> with Mail Tracker™ Technology<sup>118</sup>
- Service Bureau IRS Filing Wizard<sup>181</sup>
- Service Bureau Bulk TIN Match Wizard<sup>125</sup>

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1099 Informational Returns<sup>21</sup>

1099-MISC Box 7/NEC Specific<sup>23</sup>

1042-S Foreign Person's US Source Income Subject to Withholding<sup>23</sup>

1095-B & 1095-C (ACA Reporting)<sup>24</sup>

### New for TY 2019

- Form 1098-F *Fines, Penalties, and Other Amounts*.
- All tax forms reflect TY 2019 IRS updates.
- Corporate Suite Only—Streamlined "Flat" Import and Electronic Filing Wizards, Service Bureau Mail Tracking, enhanced Administrative features, eliminated 65,000 page printing cap and more.

- Service Bureau print customers can insert a free, 100-character, standardized message<sup>102</sup> on their forms. Non-Service Bureau users can insert a maximum 30-character message on printed forms.

## Addendum

Tax Year 2019 Service Bureau and electronic and paper filing functionality will be enabled in late December via a software update.

W-2 Pro and Corporate Suite software feature the ability to print IRS W-2 Copy A and W-3 Transmittals directly to blank paper. These IRS approved versions print in standard black ink per IRS Pub. 1223. Both software products continue to allow printing to red, preprinted forms and IRS filing.

v. 1/9/2020

## About 1099 Pro, Inc.

### 1099 Pro, Inc.

Founded in 1989, 1099 Pro, Inc. is a market-leading provider of information-reporting solutions and services for 1099, W-2, 1042-S, ACA, 8966 and CRS Filers. 1099 Pro develops and markets a comprehensive range of products that enable any size business or institution to effectively manage and be compliant with IRS requirements. 1099 Pro products range from Client Server / ASP applications (capable of filing 100+ million records) utilizing an MS SQL back end with a multi-year presentation of forms via Internet Explorer, to desktop software products for filing from 20 – 100,000 forms, to eFileMyForms.com for Internet filing of < 20 forms. Adjunct products include secure Hosting and Services for information processing, printing, filing and penalty abatement. With the ever-changing IRS laws and regulations, 1099 Pro develops new services, solutions, and software enhancements, remaining ahead of the curve of the industry. 1099 Pro is a Microsoft Certified Partner; MBE certified and has received **SOC I Type II**<sup>7</sup> certification.

## 1099 Pro Software Products

### 1099 PRO PROFESSIONAL

Professional edition offers a streamlined, cost-effective answer to your tax season. Prepares printing and paper filing for all forms in the 1098, 1099, 3921, 3922, 5498 and W-2G series. For an additional fee, upload data to our Service Bureau for printing, mailing, and electronic filing to the IRS/SSA.

### 1099 PRO ENTERPRISE

Enterprise software is a powerful information reporting solution designed with simplicity in mind. Enterprise supports the processing, printing, and paper or electronic filing of forms from series 1098, 1099, 3921, 3922, 5498, and W-2G. Through the software users may generate a formatted transmittal file for the IRS FIRE site, or for an additional fee, upload data to our Service Bureau for printing, mailing, and electronic filing to the IRS/SSA.

### 1099 PRO CORPORATE SUITE

The 1099 Pro, Inc. Corporate Suite software combines the power of our Professional and Enterprise software with the speed, performance, and security of Microsoft's SQL Server technology, making it the ultimate solution for businesses. Corporate Suite supports the processing, printing, and paper or electronic filing of forms from series 1095 (ACA Compliance), 1097, 1098, 1099, 3921, 3922, 5498, 592-B\*, W-2, W-2G, 1042-S and Puerto Rico. Through

the software users can generate a formatted transmittal file for the IRS Fire site, or for an additional fee, upload data to our Service Bureau for printing, mailing, and electronic filing to the IRS/SSA.

### **1042-S PRO**

Prepares form 1042-S on plain paper and allows users to print recipient copies B, C, and D on one page with instructions on a separate page. Through the software users can generate a formatted transmittal file for the IRS Fire site, or for an additional fee, upload data to our Service Bureau for printing, mailing, and electronic filing to the IRS.

### **W-2 PRO**

Prepares forms W-2, W-2C, W-3 and W-3C transmittals. Supports printing to blank or preprinted forms. Through the software users can generate SSA electronic files in the EFW2 format, or for an additional fee, upload data to our Service Bureau for printing, mailing, and electronic filing.

### **FATCA 8966 REPORTING**

1099 Pro's intuitive 8966 Pro software was designed for tax form management and IRS XML reporting. The IRS requires Foreign Financial Institutions (FFIs) from Model 2 countries to report FATCA Form 8966—the FATCA report—directly to the IRS. FFIs from Model 1 countries must report to their host country who in turn transmits to the IRS. Includes the FATCA 8966 IDES Packager™.

### **FATCA 8966 IDES PACKAGER™**

1099 Pro's FATCA IDES Packager allows you to take a plain text Form 8966 XML file generated by 8966 Pro or any other source and compile it into an IDES compatible data archive. The IDES Packager will sign, compress and encrypt your data and save it to the directory of your choice. The FATCA IDES data preparation utility provides drag & drop functionality, certificate verification, and an output log for saving results. The FATCA IDES encrypting and packaging utility will create the sender payload file, encrypt the AES key file, create the metadata file and create the transmission data packet. The process assumes an HCTA or FFI has an IRS issued Global Intermediary Identification Number (GIIN) or FATCA Entity ID.

### **CRS PRO**

CRS Pro allows users to enter an unlimited number of Reporting Financial Institutions (Reporting FI's) into the software. Each Reporting FI can be setup to transmit to a specific receiving country (e.g., Cayman Islands) and has drop-down menus to help users select the proper CRS codes for:

- Identification Number Type (i.e., TIN / US GIIN / EIN)
- Reporting FI Name Type (e.g., OECD207 - Legal)
- Legal Address Type (e.g., OECD303 - Business)

### **eFileViewer® UTILITY**

eFileViewer allows users to easily view and edit Electronic Files generated per specifications from Publications 1220, 1187, EFW2 plus most Puerto Rico filings. eFileViewer is an add-on utility and is sold and run separately from 1099 Pro software products.

## 1099 Pro Service Bureau

The 1099 Pro, Inc. Service Bureau helps companies ease successfully through the tax season. The Service Bureau features a highly secure SOC I Type II<sup>7</sup> and PCI Compliant environment, configured to process an unlimited volume of records and form types. The Service Bureau can print and mail records to your Recipients, display records online securely via the Web Presentment service, and electronically file your records with the IRS—all at highly competitive rates.

Continue reading to learn more about the services that 1099 Pro offers. Using the simple upload wizard and secure FTP agent available in your 1099 Pro software, users can easily transmit records for printing, mailing, or filing. To make sure users are taking full advantage of our information reporting solutions, we provide extensive support options<sup>11</sup>.

Services include:

### IRS FILING

We can handle any volume of records for electronic filing. An upload feature, to securely send your files directly to our Service Bureau, is built-in to every version of our software.

### PRINT + MAIL SERVICES

Printing, mailing, and electronic delivery services are available! Our SOC I Type II<sup>7</sup> Service Bureau<sup>114</sup> offers a secure, efficient, and user-friendly solution. New Mail Tracker™<sup>118</sup> technology allows customers to track the delivery status of their forms.

### BULK TIN MATCHING

The Service Bureau can transmit your file to the IRS Bulk TIN Matching Program. A transmission of up to 100,000 records is simple via the 1099 Pro software's upload wizard and secure FTP agent.

### HOSTING

Our hosted service provides unparalleled speed, security, and bandwidth in which to run 1099 Pro software. Learn more about our Managed Services (online).

### ELECTRONIC DELIVERY

Give your Recipients the option to access their forms from a secure Internet site instead of receiving a mailed form. The electronic delivery option significantly reduces costs.

### PRINT + MAIL PLUS WEB PRESENTMENT

The Service Bureau can make your forms available for online viewing and reprinting via our secure ViewMyForms site. An optional API interface allows customers to make forms available on their own branded website via API calls to the ViewMyForms site.

### WEB PRESENTMENT ONLY

Print and mail your forms in-house and have them available to view via our secure ViewMyForms site. An optional API interface allows customers to make forms available on their own branded website via API calls to the ViewMyForms site.

### PRESSURE SEAL PRINTING



Our Pressure Seal paper stock, for customers uploading forms for printing and mailing, adds additional security for Recipients. This eliminates the possibility for information to be viewed through an envelope window.

### FULL SERVICE

Throughout the year, our regulatory team will work with your team to process your payee and payment information, imports, and balances, as well as reconcile posted information to your business areas. Additionally, we will produce all federal/state returns, act as a transmitter on your company's behalf, and generate payee statement files, B Notices, and management reports for you.

\* The Service Bureau does not print, mail or electronically file Forms 592-B or 8966.

**1099<sup>PRO</sup> W-2<sup>PRO</sup> 1042-S<sup>PRO</sup> 8966<sup>PRO</sup> CRS<sup>PRO</sup>**

| 1099 Pro, Inc. Information Reporting Software | Service Bureau | Compliance Solutions |  
| 1099pro.com | sales@1099pro.com | (888) 776-1099 |

## Disclaimer

The 1099 Pro, Inc. methodology of flagging errors and warnings is merely a tool to help detect some of the possible inconsistencies or omissions in your data.

1099 Pro, Inc. does not assert that our system of detecting Errors and Warnings matches that of the IRS/SSA or that our system will detect any or all errors in your data. You may in fact have records that flag no Errors or Warnings and the IRS/SSA may both reject your files and or records and assess significant penalties on the data or lack of data that you submitted or did not submit. 1099 Pro, Inc. assumes no responsibility or liability for the detection of errors, omissions, inconsistencies, warnings, formatting, accuracy or complete filing or processing of your data. This software application identifies many, but not all, of the most common format errors in information compliance submissions. The likelihood of submission rejection, though not eliminated, is greatly reduced when utilizing this application. Even if no errors are identified by this software, your submission could be returned or you could be penalized because of other errors.

## Registration & Upgrades

In Corporate Suite software only Administrators have access to the Registration and Updates screen.

### Software Activation

Enter your 14-character Authorization code to activate a "DEMO" version of this software. Activating a demo provides access to all software features and retains existing data. Purchase the software license online or contact Sales to obtain your code.

### Activate Software

1. On the menu bar select Utilities > Registration And Upgrades.
2. At the Product Registration/Demo Activation screen enter your Authorization Code and click the "Activate Now" button.
3. If your code does not work, please verify that the correct version of the purchased software is installed. For example, a 1099 Pro Enterprise Authorization Code is incompatible with a 1099 Pro Professional installation.

### Purchase an Authorization Code

Online	New customers can go to <a href="https://www.1099pro.com/products.asp">https://www.1099pro.com/products.asp</a> to purchase software. Renewal customers can go to <a href="https://www.1099pro.com/prodRenewals.asp">https://www.1099pro.com/prodRenewals.asp</a> to renew software.
Phone	Call Sales toll-free at (888) 776-1099, Monday to Friday, 7AM to 5PM PST. International customers can call Sales at (818) 876-0200.
Email	Sales@1099pro.com

### Transaction Limits (Bump Codes)

Transactions are the number of actual tax forms that can be entered or imported—regardless of record status—into 1099 Pro, 1042-S Pro, W-2 Pro or 8966 Pro software. Our standard software license allows for 5,000 transactions. If you exceed the number of purchased transactions, a nag screen reminds you to purchase bump codes. To remove the nag screen and enter additional transactions you must upgrade your license with a bump code. Bump codes can be purchased online at [www.1099pro.com](http://www.1099pro.com) or by contacting Sales at (888) 776-1099. Per the terms of our EULA, you are required to purchase all transactions used.

In multi-user environments, the Bump Code must be entered at the Admin or Web Update work station; this option may not be available at individual work stations (depending on access rights).

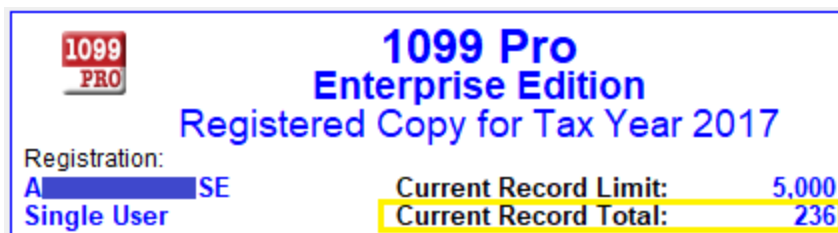
### Upgrade Transactions

1. On the menu bar select Utilities > Registration And Upgrades.
2. Enter your Upgrade/Bump Code and click "Upgrade Now". Newly entered transactions are immediately reflected in the Current Record Limit.

### How Many Transactions Do I Have?

To track records or transactions, refer to the Product Registration/Demo Activation screen:

1. On the menu bar select Utilities > Software Registration/Demo Activation.
2. The Product Registration/Demo Activation screen displays both the Current Record Limit and Current Record Total.



*In this example, 236 of 5,000 transactions have been used.*

### Demo Mode

This software allows single-user testing in demo mode. Certain features including Service Bureau uploads, electronic filing and printing of live data are only available to registered users of this product. Please purchase and register <sup>5</sup> this software to activate all features; data entered in demo mode is retained when software is activated.

## SOC I Type II Certification

**1099 Pro, Inc. prioritizes the security of customer data.** Every year 1099 Pro goes through an independent SOC I Type II audit from an independent third party, as well as third party AVS compliance scans, to assure protection of all Personally Identifiable Information (PII). The successful confirmation and documentation of those audits and scans are available online at **Independent 3rd Party Audit Results** on the 1099 Pro, Inc. website.

For further information please contact 1099 Pro Sales at sales@1099pro.com or the Service Bureau at sb@1099pro.com.

## System Requirements

### Corporate Suite System Requirements

Updated as of 12/06/2019. Also see minimum Browser Requirements [9](#).

#### Server Configuration: SQL Server

Component	Requirement	Comments
CPU	Intel Xeon, i7, or Equivalent	
Processor Speed	2Ghz+	
Memory	8GB+	
Operating System	Win Server 2008 R2, 2012, 2012 R2, 2016, 2016 R2, 2019	
Resolution	N/A	
Hard Drive	50GB+ Free ~30,000,000 Forms	Dependent on # of Forms
Web Browser	N/A	
Network	100Mb+ to Clients, App Server, Web Server	
Software	MS SQL 2012, 2014, 2016, 2017, 2019	

#### Server Configuration: Application Server

Component	Requirement	Comments
Cores	2	
CPU	Intel Xeon, i7, or Equivalent	
Processor Speed	2Ghz+	
Memory	8GB+	
Operating System	Win Server 2008 R2, 2012, 2012 R2, 2016, 2016 R2, 2019	
Resolution	1024x768+	
Hard Drive	10GB+ Free	
Web Browser	N/A	
Network	100Mb+ to Clients & SQL Server	
Software	Excel 2003+, PDF Viewer	Recommended

#### Server Configuration: ASP.NET Web Server

Component	Requirement	Comments
CPU	Intel Xeon, i7, or Equivalent	
Processor Speed	2Ghz+	
Memory	8GB+	
Operating System	Win Server 2008 R2, 2012, 2012 R2, 2016, 2016 R2, 2019	
Resolution	N/A	
Hard Drive	5GB+ Free	
Web Browser	N/A	
Network	.5Mbps to Clients, 100Mb+ to SQL Server	
Software	MS IIS 6+, .NET 4.0+ Full	

### Client Configuration: Admin Client Workstation

Component	Requirement	Comments
Cores	2	
CPU	P4+ or Equivalent	
Processor Speed	1.8Ghz+	
Memory	1GB+	
Operating System	Windows 7, 8, or 10	
Resolution	1024x768+	
Hard Drive	5GB+ Free	
Web Browser	N/A	
Network	100Mb+ to App & SQL Server	
Software	Excel 2003+, PDF Viewer	Recommended

### Client Configuration: ASP.NET Web Client

Component	Requirement	Comments
CPU	P4+ or Equivalent	
Processor Speed	1.8Ghz+	
Memory	1GB+	
Operating System	Windows 7, 8, or 10	
Resolution	1024x768+	
Hard Drive	1GB+ Free	
Web Browser	IE 6+, Chrome, Firefox, or Safari	
Network	.5Mbps to Web Server	
Software	Excel 2003+, PDF Viewer	Recommended

### Video Display Issues

If your data appears distorted or out of alignment, you'll need to adjust your resolution and apply SMALL font settings.

### Adjust Resolution/Fonts

1. On your Windows desktop right-click your mouse and select Display Settings.
2. At the Customize Your Display screen verify the size of text is set at 100% (not larger).
3. Click "Advanced Display Settings" and verify Resolution is set at 800 x 600 (or higher).
4. Click "Apply" and "Keep Changes". You may need to restart your computer for settings to take effect.

### Browser Requirements

#### Increased User Security

Effective 6/15/2018, www.1099pro.com exclusively supports TLS 1.1 or higher enabled Internet browsers.

#### What is TLS?

Transport Layer Security (TLS) is a protocol that provides privacy and data integrity between two applications.

#### Why This Is Good For You

This change strengthens the 1099 Pro Service Bureau and software products by requiring that a more secure method of encryption is used to transmit your credit card, account information and tax form data between your computer, the 1099 Pro website, and 1099 Pro Service Bureau.

#### TLS V1.1 Compatible Browsers

Google Chrome—V22 or higher  
 Mozilla Firefox—V27 or higher  
 Microsoft Internet Explorer—V11 or higher  
 Microsoft Internet Explorer Mobile—V11 or higher  
 Microsoft Edge—All Versions  
 Opera—V12.18 or higher  
 Apple Safari—V7 or higher  
 Apple Safari (mobile)—V6  
 Click here to see which browser and version number you are currently using:  
<https://www.whatismybrowser.com>.

#### What If You Are NOT Using a Compatible Browser?

You must use a TLS V1.1 compatible browser to access the 1099 Pro website and/or transmit files to the 1099 Pro Service Bureau via our software or FTP. If you are using an older, incompatible browser we strongly encourage you to contact your IT team and upgrade ASAP!

More information on TLS is available from the PCI Security Standards Council.

## Ch. 2 General—Getting Help

### Quick-Tour

All 1099 Pro software products feature an intuitive, user-friendly interface. Context-sensitive help is available at any screen via the <F1> key.

### User Interface

The screenshot displays the 'Form 1099-MISC: Enter, Update and View' window. The interface includes a menu bar at the top, a task panel on the left, and a main data table. A 'Quick-Print' button is located at the bottom left. A callout box points to the 'Status' column, and another callout box describes the 'Work With My Tax Forms' section.

Recipient TIN	Last Name/Company	First Name	Status	Account	Name Line 2	Street/Delivery
123-22-1002	ADAM	LLLIAN	Pending			PINECREST DRIVE RFD 2
123-22-1031	BASILE	ANTHONY	Pending			115-86 238TH ST
123-22-1032	NORTON	DONALD G	Pending			123 E LAIRD DR
123-22-1033	NORTON	WALLACE G	Pending			730 18TH AVE
123-22-1049	YOUNG	MANUEL	Pending			635 20TH STREET
123-22-1050	BROWN	JAMES	Pending			605 SUNSET DR
144-22-1027	OSAKI	JAMES	Pending			2-1-2 KASU, CHIYODA-KU
555-22-1234	Tuna	Charlie	Pending	AC-56		1000 Ocean St
555-33-1234	Birch	Karen	Pending	AC-73		2535 N Central
77-7441233	ACME Hardware, Inc.		Pending	AC-32	DBA Ace Computers	1250 Broadway
77-7441234	5-Star Software, Inc.		Pending	AC-38	Attn: Accounting	125 Bourmes Ave
95-1234567	Action Investments		Pending	AC-02	Acctg MS 45	123 Stanhope St

1099 Pro Enterprise Work With My Tax Forms screenshot; all 1099 Pro, Inc. software products share a similar interface.

### Menu Bar

The menu bar is located horizontally at the top of the screen, underneath the software title bar. The menu bar contains drop-down menus for File, Reports, Forms, IRS, Utilities and Help. Use the <Alt> key and the underlined letter of any menu bar item to access a drop menu, e.g., ALT + U to access "Utilities".

## Task Panel

The task panel is the vertical blue bar on the left side of the software screen which provides quick access to common tasks. The task panel is composed of expandable sections including: Preparing My Forms, Printing & Mailing, Filing My Forms and Help & Extras. Corporate Suite also includes a TIN Management section.

## Current Filer / Form Type

The currently selected Filer and form type are displayed above the task panel; use the "Select Another Filer" button and/or "Current Form" drop menu to change selections.



## Special Help

Some wizard screens include a "?" button for quick access to special help topics. This button typically offers more detailed information than what is available via the standard "Help" button or <F1> key.

## Support Options

All 1099 Pro, Inc. software products include context-sensitive help screens—accessible via the "Help" button and/or <F1> key—at every screen. Additional support including immediate, email and phone options are available. Technical support is limited to questions regarding 1099 Pro, Inc. software products. We are NOT authorized to provide accounting, tax or legal advice; please direct such questions to your accountant or attorney.

## Immediate Support Options

- Online Video Tutorials
  - Watch our new online video, Importing Using Standard Maps.
- Review User Error Messages 
- TLS Browser Security Requirements 
- WIKI Documentation:
  - Software Downloads and Updates, too!
  - Import Field Specifications

## Email Support Options

Email support is available during Office Hours. Corporate Suite users should directly email their designated Account Manager. **Please ensure that our emails are white listed and do not go to your spam folder.**

- Online **LiveChat Support**
- Software Technical Support: support@1099pro.com
- Sales Support: sales@1099pro.com
- Service Bureau Support: sb@1099pro.com

## Phone Support Options

If the above options do not resolve your issue, contact Technical Support by phone during Office Hours. Calls are limited during tax season.

In order for us to best assist you please:

- Provide your Customer ID number (located on your invoice) or company name.
- Be seated at your computer with software open.
- Have a list of steps taken prior to the issue or question.
- Provide any error messages that you have encountered.

<b>Technical Support</b> (888) 776-1099 (toll-free) (818) 876-0200	<b>Service Bureau</b> (866) 444-3559
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### 1099 Pro, Inc. Office Hours

<b>Regular Hours</b> Monday to Friday: 7AM to 5PM PST Saturday: Closed Sunday: Closed	<b>Tax Season Hours (January)</b> Monday to Friday: 5AM to 5PM PST Saturday: 8AM to Noon PST Sunday: 8AM to Noon PST
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### IRS Telephone Assistance: Information Reporting Support

For IRS specific questions about Forms 1096, 1098, 1099, 5498, W-2G and W-3, please call the IRS at (866) 455-7438 (toll-free) or (304) 263-8700 (not toll-free). For TTY/TDD equipment, call (304) 267-3367. The call site can also be reached via email at [mccirp@irs.gov](mailto:mccirp@irs.gov).

### IRS General Support

For other tax information related to business returns or accounts, call (800) 829-4933 or visit the IRS website.

**1099 PRO W-2 PRO 1042-S PRO 8966 PRO CRS PRO**

| 1099 Pro, Inc. Information Reporting Software | Service Bureau | Compliance Solutions |  
 | [1099pro.com](http://1099pro.com) | [sales@1099pro.com](mailto:sales@1099pro.com) | (888) 776-1099 |

### Keyboard Shortcuts

All 1099 Pro software products include keyboard shortcuts to increase user efficiency.

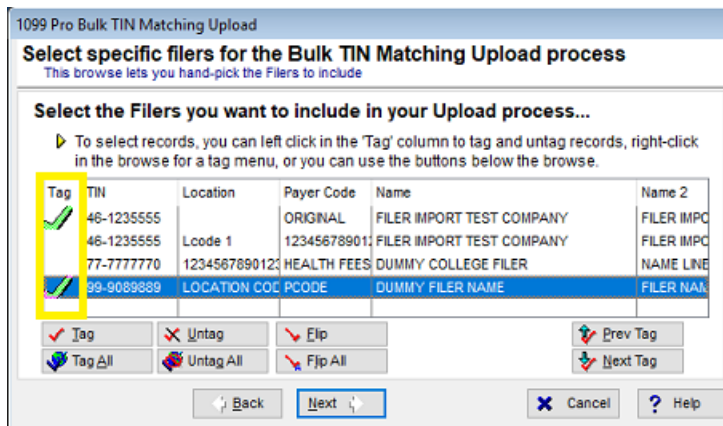
Key	Function
<ALT>	At any screen or drop menu hold and press the <ALT> key to view underlined characters indicating a shortcut. Then use <ALT> and the underlined letter to access the screen or menu. For example, on the menu bar use <ALT> + F to access "File" or <ALT> + U to access "Utilities".
<F1>	Access context-sensitive help topics at any screen.
<F2> or right-click mouse	With your cursor in the appropriate box, use the <F2> key or right-click your mouse to access box specific data: <ul style="list-style-type: none"> <li>• Recipient TIN field: Access the Select a Recipient database.</li> <li>• State/Payer's State ID No.: Access the Select Filer State &amp; ID database (available at 1099-MISC box 17, 1099-R box 11 and W-2G box 13)</li> </ul>



Key	Function
	<ul style="list-style-type: none"> <li>Calendar: Access a multi-year calendar (available at 1099-A box 1, 1099-B box 1, 1099-C box 1, 1099-S box 1, W-2G box 4 and 1099-LTC).</li> </ul>
Incremental Index (or Search)	Access any Recipient or Filer via the Search Name field.
Drop Menus	Right-click your mouse to view additional record options. This is available at the Recipients List, Filers List and Work With My Tax Forms screens only.

## Tag Records

All 1099 Pro software products include "tag" buttons to select individual records or ALL records. The "tag" buttons are available at various screens. An item is tagged or selected when a green check appears to the left of the item as illustrated below.



## Tag Key Functions

Button	Shortcut	Function
Tag	<ALT> + T	Select individual records.
Tag All	<ALT> + A	Select ALL records.
Untag	<ALT> + U	Deselect individual records.
Untag All	---	Deselect ALL records.
Flip	<ALT> + F	Reverse the selection of individual records.
Flip All	<ALT> + L	Reverse the selection of ALL records.
Prev Tag	<ALT> + P	Scroll backwards through selected records.
Next Tag	<ALT> + N	Scroll forwards through selected records.

## Software Installations

All 1099 Pro, Inc. software products are available in single, multi-user or unlimited-user licenses. The algorithm of your Authorization Code indicates the edition, user license and number of transactions purchased.

See Single-User Installations<sup>[14]</sup>, Multi-User Installations<sup>[14]</sup>, Multi-User Considerations<sup>[15]</sup> and Demo Mode<sup>[6]</sup>

### Single-User Installation

Download any 1099 Pro, Inc. software product at <http://host.1099pro.com>. All software installations are two-step and require both the Full Install and the most recent Update.

### Caution—AV Programs

You are encouraged to disable all anti-virus programs (e.g., Norton, McAfee, ViruScan, Sophos, etc.) prior to software download and installation to avoid potential corruption. Random software errors are typically due to the installation of software while running an AV program. After a successful installation, re-enable the virus checker.

### Install Single-User (or Demo) via Internet Download

1. Download the appropriate software, *Full Install version*, at <https://wiki.1099pro.com/>.
2. The executable file will auto-run after download.
3. Click "Next" to start the setup program.
4. Follow the instructions provided by the setup program. The Roll Forward Utility initiates if prior year data is located on your system.

### Install Single-User (or Demo) via CD-ROM

1. Insert the CD-ROM into your computer's CD-ROM drive.
2. On your Windows desktop click the "Start" button and select "Run".
3. In the Open field, type **x:\setup.exe**, where x is the name of the CD-ROM drive and setup.exe is the name of the executable.
4. Click "OK" to start the setup program.
5. Follow the instructions provided by the setup program. The Roll Forward Utility<sup>[20]</sup> initiates if prior year data is located on your system.

### Multi-User Installation

For Multi-user installations, all 1099 Pro® software products require that one machine is designated as a Server and all others as Workstations. The Server may be any Windows® machine on the network or having a local or remote drive accessible by all computers that will function as Workstations. The Server installation must be performed prior to any Workstation installation.

#### Server Installation:

1. Determine the network computer, drive and folder in which to install your software. All Workstations must have full rights to this folder.
2. Install your software on the network computer to be designated as the Server. Enter your Multi-User Activation Code when prompted. Select "Server Installation" as the Install Type. Allow the program files to reside on the local or remote drive.

3. After successfully installing your software to the network, click on the 1099 / W-2 / 1042-S / 8966 Pro<sup>®</sup> icon on your desktop. The Getting Started Wizard will walk you through setting up the software. By default, Audit Trails are enabled and Security is disabled.\*
4. After completing the Getting Started Wizard, re-launch your software.
5. **Administrator Password**—For the initial logon, Administrators should enable Security\* and use "**Administrator**" for their User ID and the Password "**NEW**" (must be in all caps).
6. The Administrator should create Users and assign rights *prior* to installing 1099 / W-2 / 1042-S / 8966 Pro<sup>®</sup> on Workstations. See Security Overview<sup>235</sup> (Corporate Suite)

*\* Administrators are encouraged to enable Security. If Security is disabled, ANY USER on ANY WORKSTATION can access your software and View/Modify Administrator settings and all data. This includes the potential for ANYONE to assign them self as an Administrator and lock YOU out of the software.*

### Workstation Installation:

1. Open the Server installation and set security On or Off.
2. Complete Server installation prior to installing Workstation(s).
3. Locate the Server installation drive and folder from the Workstation. To map the Server installation's network drive from a Workstation, open Windows Explorer from each Workstation. Locate the network drive, right-click your mouse and select Map Network Drive. Each installation will refer to this drive as the Global Data Path.
4. Install your software on the Workstation. When prompted, enter your Multi-User Authorization Code.
5. Select Workstation Installation as the Install Type. Browse for the network drive and folder of the Server installation (e.g., X:\1099 Pro\Pro99TXX\ where "X" is the mapped Network Drive). Allow the program files to reside on the local drive (e.g., C:\1099 Pro\Pro99TXX).
6. If the Administrator enabled Security, then the Workstation is deemed a "User."
7. **New User Password**—The first time a new User opens the software at their Workstation, they must enter their User ID (as assigned by the Administrator) and the Password "**NEW**" (must be in all caps). The User is then required to create a unique password.

Learn how to Switch Users<sup>269</sup> without exiting the software.

### INI Files

All 1099 Pro software products use a local .INI file to store the data path of your remote data. If your software install was done under a different account with a drive letter mapping, then that same path will need to be mapped with the same drive letter. For example: If the Administrator of the computer has the remote drive as "L:" and the User has the mapped drive as "K:" then the user will be unable to access the data.

See Multi-User Considerations<sup>15</sup>

### Multi-User Considerations

When running a multi-user version of any 1099 Pro software product, some tasks require exclusive control of certain files. These tasks are detailed below.

## Record Locking

The multi-user version of this software utilizes record locking when two or more users concurrently open the same record. This allows users to simultaneously view the same record but prevents them from overriding each other's changes. For example, Users A and B open the same record. User A changes an amount and saves the record. User B then changes an amount and attempts to save the record. User B receives a "Record Was Not Updated" warning and the record is automatically updated with User A's changes. User B may then select a field to restore and use the <F4> key to re-populate what they had originally entered.

## Import Locking

During the final step of the Import Wizard—Post Import Session—the software attempts to gain control of all records. If the software is unable to gain control of a record (because someone else has the record open) it will notify the user and offer to post the files the slow, non-locking way or allow them to cancel.

## Unlock Records

1. On the menu bar go File > Security and Administration.
2. In the "Business Rules and Options" section, click on "Browse System Process Locks".
3. Highlight User and click "Delete/Remove the Selected Lock".

## Update Software

1099 Pro, Inc. regularly publishes software updates to keep up with the evolving rules and regulations of the IRS, SSA, and state agencies. To ensure your compliance, frequently check for software updates. By default, the software checks for updates occasionally during the summer, more frequently as tax season approaches and daily in peak tax season. You are strongly encouraged to run regular updates; an active Internet connection is required.

Verify that you are running the most up-to-date version of software:

- When starting any version of the software, a pop-up prompts to run a software update, OR
- Perform a Manual Update (as discussed below), OR
- Visit our WIKI download site at [host.1099pro.com](http://host.1099pro.com)

## Perform Updates

There are two methods to manually check for software updates.

### Method 1

1. On the menu bar select Help > Check for Updates.
2. Use the "Check for Updates" button to run an update. Your computer must have an active Internet connection.

### Method 2

1. Close the 1099 Pro software.
2. Use the Windows Start button to locate your 1099 Pro software product and select "Check for Updates" to initiate the Web Update Wizard.

3. Follow the prompts by clicking "Next". If there is a new version, a message displays the version number and provides a brief summary of items included in the update. Download the update and allow the update to install. This process should begin automatically.
4. After the process is finished, confirm that the new version number of the software corresponds with the version number of the update by opening your 1099 Pro software product and on the menu bar select Help > About.

Issues downloading updates may be due to a firewall on your network or local machine. Check with your Administrator, IT personnel or temporarily disable the firewall.

**Updates are available for download via the 1099 Pro WIKI site host.1099pro.com.**

## Update Options

Modify the frequency and/or type of software updates performed via Preferences (CS)<sup>248</sup>.

### Considerations:

- If an installation has Security enabled, the User must have Administrator level access to modify the Checking for Updates options.
- For multi-user installations only the Server (not the Workstations) can view and modify the Checking for Updates option.
- Workstations cannot run the actual web update process—they can only check for new versions. Once your Server has been updated, each workstation automatically updates itself the next time this software is run on that machine.

## Data Files

All 1099 Pro software data files are suffixed with ".TPS" and are logically named. For example, "filers.tps" contains Filer data and "states.tps" contains state data. These files are located in the Data folder and in a typical installation can be found at C:\1099 Pro\ProXXXX18\Data. See Backup Data<sup>18</sup>

## INI File

The PrXXXX19.INI file contains information specific to your installation such as data paths and version. For example:

```
NetPath=C:\1099 Pro\Pro99T19
LocalPath=C:\1099 Pro\Pro99T19
InstallVersion=2019.08.16
CurrentVersion=2019.16.05
```

## INI File Folder Locations

Software Product	Default INI File Location	File Name
1099 Pro Professional/Enterprise	C:\1099 Pro\Pro99T19\Admin	Pro99T19.INI
1042-S Pro	C:\1099 Pro\Pr42ST19\Admin	Pr42ST19.INI
W-2 Pro	C:\1099 Pro\ProW2T19\Admin	ProW2T19.INI

Software Product	Default INI File Location	File Name
8966 Pro	C:\1099 Pro\Pro66T19\Admin	Pro66T19.INI
Corporate Suite	Contact your in-house Administrator or assigned CS Account Manager for assistance.	

The PrXXXX19.INI file may or may not be deleted during a custom uninstall. This file can be manually deleted to totally remove software from your system or to perform a clean re-installation. This file can remain if you want to reinstall the software but retain your settings.

### The ProNTS.INI File

Do not edit this file unless directed to do so by Tech Support.

### Backup Data

All 1099 Pro software products include a Backup Wizard to copy all data files and compress them into a WinZip format. By default, the software prompts for a daily backup. It is smart to backup your data on a regular basis. If a problem occurs and data files need to be restored, a backup can save time, aggravation and expense! In addition, IRS regulations require tax data to be maintained by Filers for five years. See Restore Data<sup>19</sup>

### Modify Backup

1. On the menu bar select File > Security and Administration.
  - Users with restricted Security settings may not have access to this area; such users should consult with their in-house software Administrator.
2. At the Global Administrative Options screen click the "Program Options" button and under Business Rules and Options click the "Preference, Update and Program Options" button.
3. At the Preferences screen, General tab, refer to the Backing Up Your Data Files subsection.
  - Change the frequency of the backup prompt; "0" or zero for every time the software is exited, "1" for once per day, "2" for every two days, etc.
  - Deselect the check box to disable backup prompts (not recommended).

### Backup Data

Access the Backup Wizard as automatically prompted by your 1099 Pro software product (see Modify Backup above). The Backup Wizard application, **Backup19.EXE**, can also be accessed directly through File Explorer. Prior to running the backup, all users must exit the software.

1. At the Backup Wizard screen click "Next" to proceed.
2. Select Backup Location and File Name and click "Next" to continue:
  - Accept the default location for the backup file or use the ellipses button to select another location such as a network drive or flash drive.
  - The program automatically includes the date and time of the backup file in the default name. Accept the default name (recommended!) or manually enter a name. The extension of your backup file defaults to .ZIP. Backup twice to the same file name and the existing backup file will be overwritten!

3. Review your backup choices and click "Back" to revise or "Proceed with Backup" to continue. This screen details Total [data] Files, Total Size and Estimated Zip Size.
4. The Administrator indicates if backup was successful.
  - Use WinZip (a shareware utility) to access your backup data. Download it at [www.winzip.com](http://www.winzip.com).

### Data Backup Folder Locations

Software Product	Default Data Backup Location
1099 Pro Professional/Enterprise:	C:\1099 Pro\Pro99T19\Data Backups
1042-S Pro	C:\1099 Pro\Pr42ST19\Data Backups
W-2 Pro	C:\1099 Pro\ProW2T19\Data Backups
8966 Pro	C:\1099 Pro\Pro66T19\Data Backups
Corporate Suite	Contact your in-house Administrator or assigned CS Account Manager for assistance.

### Restore Data

You are strongly encouraged to backup data on a regular basis. If data is damaged or destroyed a backup file can quickly restore data. Restoring a data file means losing ALL changes made since the last backup. See Backup Wizard <sup>18</sup>

**No backup file?** If you used the Service Bureau to process your forms, we may be able to recover a *limited* version of your data files for a fee. Contact the Service Bureau <sup>114</sup> for more information.

### Restore Data

1. Re-install the software to its BASE version (run the Full Install only). Software downloads are available on the 1099 Pro Wiki. Download the appropriate Tax Year and Version. Contact Technical Support with questions.
2. Locate your .ZIP backup file (e.g., "1099 Pro Backup 9-AUG-2019 9-38AM.ZIP") in your Data Backups folder.
3. Double-click the .ZIP file to open the WinZip utility and then extract the contents of this backup file —.TPS (data) files—to your Data folder. Learn more about WinZip.
4. Open your software and run a Form Counts by Filer <sup>288</sup> report to verify accuracy of restored data.
5. After successfully restoring your data, update your software to its most recent version.

### Data Backup Folder Locations

Software Product	Default Data Backup Location
1099 Pro Professional/Enterprise:	C:\1099 Pro\Pro99T19\Data Backups
1042-S Pro	C:\1099 Pro\Pr42ST19\Data Backups
W-2 Pro	C:\1099 Pro\ProW2T19\Data Backups
8966 Pro	C:\1099 Pro\Pro66T19\Data Backups

Software Product	Default Data Backup Location
Corporate Suite	Contact your in-house Administrator or assigned CS Account Manager for assistance.

## Roll Forward Data

All 1099 Pro software products allow users to roll forward 2018 Filer and/or Recipient information (including names, TINs and addresses), Transmitter and Security settings and customized Import Maps. Rolled forward Recipient data is available at the Recipient Master List<sup>220</sup> screen for viewing or changes; Filer data is likewise available at the Filer Master List<sup>207</sup> screen.

*NOTE: The roll forward utility does not copy 2018 tax form specific information such as dollar amounts into the new 2019 installation. For example, a 2019 tax form can only be accessed in the 2019 version of our software. The exception is Corporate Suite—a multi-year software product.*

## Select Filers/Recipients AFTER Roll Forward

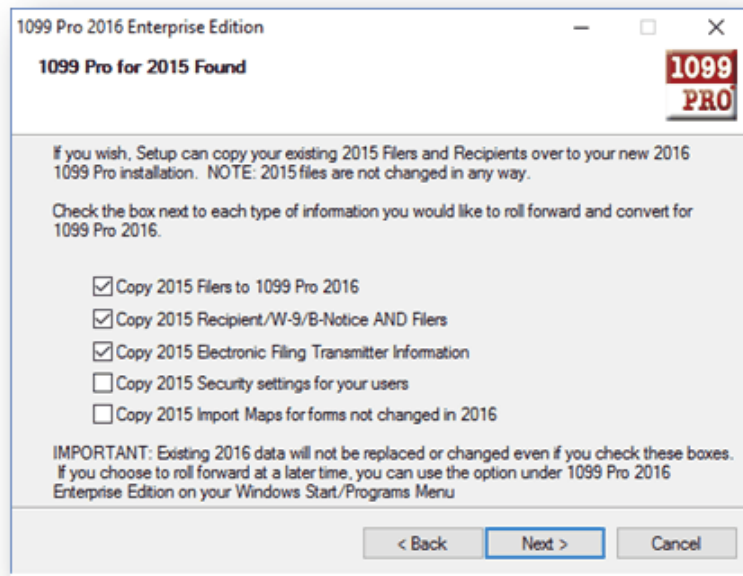
- Select Filers: Use the "Select Another Filer" button, located at the top of the task panel, to switch between Filers.
- Select Recipients: At any tax form data entry screen, users can place their cursor in the Recipient TIN field and right-click their mouse or use the <F2> key to select a Recipient and auto-populate the tax form with the Recipient's name, TIN and address.

## How To Roll Forward Data

You can roll forward your prior year data during the Installation Wizard or from the Windows Start Menu >1099 Pro/1042-S Pro/W-2 Pro/8966 Pro> Roll 2018 Data to 2019 Software.

**The roll forward utility is unavailable if any Filer and/or Recipient data has been added into the 2019 software;** perform the roll forward PRIOR to entering or importing any data into the software. To perform a roll forward AFTER adding data, you must uninstall the 2019 software and then perform a fresh installation.





Roll Forward data option available through initial Installation Wizard.

See File Not Found: Information Request Error  362

## Ch. 3 Quick Link—Deadlines

### Forms 1098/1099/5498/W-2G

Informational returns include Forms 1098 / 1099 / 5498 and W-2G. For further information on these deadlines please review the IRS's online General Instructions for Certain Information Returns.

### Recipient Copy "B" Mailing Deadlines

Deadline to mail Recipient Copy B paper returns is generally January 31, 2020 for the 2019 tax year. Exceptions include:

- Forms 5498 containing FMV/RMD must be mailed by January 31, 2020; those containing contributions must be mailed by N/A.
- Form 5498-ESA by N/A.
- Form 5498-SA by N/A.
- Forms 1099-B, 1099-S, and 1099-MISC reporting payments in Boxes 8 or 14 must be mailed by February 18, 2020.

Under some circumstances it is acceptable to issue Copy B earlier. Please review the online IRS Instructions for specific details.

### IRS Paper Filing Deadline via Mail

Deadline to mail IRS Copy A is generally February 28, 2020. Exceptions include:

- Forms 5498, 5498-ESA, and 5498-SA by June 1, 2020.

- Form 1098-F must be filed (on paper or electronically) by January 31, 2020.
- Form 1099-MISC, if reporting Box 7/NEC<sup>23</sup> amounts, must be filed (on paper or electronically) by January 31, 2020.
  - Public Law 114-113, Division Q, section 201, requires Form 1099-MISC to be filed by January 31, 2020, if reporting Box 7/Nonemployee Compensation. For all other box amounts, file on paper by February 28, 2020, or electronically by March 31, 2020. The due dates for furnishing payee statements remain the same. See IRS instructions, <https://www.irs.gov/pub/irs-pdf/i1099misc.pdf>.

### Electronic Filing Deadline via the FIRE Site

- File Forms 1099, 1098, 3921/3922 and W-2G electronically by March 31, 2020 for the 2019 tax year.
- File Forms 5498, 5498-ESA, and 5498-SA electronically by June 1, 2020 for the 2019 tax year.
- Form 1098-F must be filed (on paper or electronically) by January 31, 2020.
- Form 1099-MISC, if reporting Box 7/NEC<sup>23</sup> amounts, must be filed (on paper or electronically) by January 31, 2020.
  - Public Law 114-113, Division Q, section 201, requires Form 1099-MISC to be filed by January 31, 2020, if reporting Box 7/Nonemployee Compensation. For all other box amounts, file on paper by February 28, 2020, or electronically by March 31, 2020. The due dates for furnishing payee statements remain the same. See IRS instructions, <https://www.irs.gov/pub/irs-pdf/i1099misc.pdf>.

### Federal Extensions—Effective TY 2018

The IRS allows most types of informational returns to file for automatic 30-day filing extensions (1099 Pro provides an online IRS/SSA Extension Tool). Filers reporting Form 1099-MISC with Box 7/NEC data can only request a *non-automatic* extension of time to file on paper Form 8809 (online).

### Corrections Deadline

Corrections are due within 30 days of the original file acceptance date; however, it is never too late to file corrections.

### State Filing Deadlines

The deadline to file state returns varies by states and localities. Please check with your state(s) to verify dates. As a courtesy, 1099 Pro provides direct links to many state department of revenue websites at [https://www.1099pro.com/compliance\\_Links.asp](https://www.1099pro.com/compliance_Links.asp). Also see Special Cases for State Filing<sup>160</sup>.

### Where To File

File Copy A and 1096 Transmittal returns at the IRS Center Address corresponding to the state your business, office or agency is located using the list below.

If your business is located in:	File to:
Alabama, Arizona, Arkansas, Connecticut, Delaware, Florida, Georgia, Kentucky, Louisiana, Maine, Massachusetts, Mississippi, New Hampshire, New Jersey, New Mexico, New York, North Carolina,	Department of the Treasury Internal Revenue Service Center Austin, TX 73301

If your business is located in:	File to:
Ohio, Pennsylvania, Rhode Island, Texas, Vermont, Virginia, West Virginia	
Alaska, California, Colorado, District of Columbia, Hawaii, Idaho, Illinois, Indiana, Iowa, Kansas, Maryland, Michigan, Minnesota, Missouri, Montana, Nebraska, Nevada, North Dakota, Oklahoma, Oregon, South Carolina, South Dakota, Tennessee, Utah, Washington, Wisconsin, Wyoming	Department of the Treasury Internal Revenue Service Center PO Box 219256 Kansas City, MO 64121-9256
If your legal residence or principal place of business or principal office or agency is outside the United States	Department of the Treasury Internal Revenue Service Center Austin, TX 73301

### MISC NEC Deadline

The deadline to print/mail AND electronically OR paper file Forms 1099-MISC with Box 7/NEC data is **January 31, 2020**.

Public Law 114-113, Division Q, section 201, requires Form 1099-MISC to be filed (on paper or electronically) by January 31, 2020, if reporting Box 7/Nonemployee Compensation. For all other box amounts, file on paper by February 28, 2020, or electronically by March 31, 2020. The due dates for furnishing payee statements remain the same. See IRS instructions, <https://www.irs.gov/pub/irs-pdf/i1099msc.pdf>.

### Extension Requests

Filers reporting Form 1099-MISC with Box 7/NEC data can only request a non-automatic extension of time to file on paper Form 8809. Automatic 30-day extensions for this form type are not available. Reference IRS Pub. 1220 and Form 8809 (both online).

### Corrections Deadline

Corrections are due within 30 days of the original file acceptance date; however, it is never too late to file corrections.

### Form 1042-S

Form 1042-S *Foreign Person's US Source Income Subject to Withholding* processing is available to 1042-S Pro and Corporate Suite users only. For further information on these deadlines please review the IRS's online Instructions for Forms 1042-S.

### Recipient Copy "B" Filing Deadline

Deadline to file Recipient Copy B paper returns is March 16, 2020 for the 2019 tax year.

### IRS Copy A and Electronic Filing Deadline

Deadline to file Copy A and Transmittal Sheet paper returns or electronically is March 16, 2020 for the 2019 tax year.

- Electronic filing requirement for financial institutions. Beginning January 1, 2014, financial institutions that are required to report payments made under chapters 3 or 4 must electronically file Forms 1042-S (regardless of the number of forms to file). See the instructions under Electronic Reporting, later.

### **State Filing Deadlines**

Most states do not require the filing of Form 1042-S. However there are several notable exceptions such as California which also requires withholding at the state level. Please check with your local state tax authority for further information.

### **Corrections Deadline**

Corrections are due within 30 days of the original file acceptance date; however, it is never too late to file corrections.

### **Extensions**


File for an extension or check on your files status at no cost via the 1099 Pro Tools site:  
<https://tools.1099pro.com/>

To request an extension of time to file Forms 1042-S file Form 8809. Users should request an extension as soon as they are aware that an extension is necessary, but no later than the due date for filing Form 1042-S. A request for an extension of time to file Form 1042-S is not automatically approved. If your request for an extension is approved, you will have an additional 30 days to file Form 1042-S. If you need more time, a second Form 8809 may be submitted before the end of the initial extended due date. See Form 8809 and Pub. 1187, Specifications for Filing Form 1042-S, Foreign Person's U.S. Source Income Subject to Withholding, Magnetically or Electronically, for more information.

### **Where to File**

IRS Copy "A" Filing Address—File Form 1042-T with the Ogden Service Center, PO Box 409101, Ogden, UT 84409. Also send amended paper returns to this address.

### **Electronic Filing**

For more information about electronic filing, see our FIRE System  help topic or visit the IRS FIRE Site.

### **Forms 1095-B/1095-C**

Affordable Care Act (ACA) Compliance via Forms 1095-B and 1095-C is available to Corporate Suite users only.

### **Recipient Copy Mailing Deadlines**

- Mail Form 1095-B Recipient copy paper returns by March 2, 2020 for the 2019 tax year.
- Mail Form 1095-C Employee copy paper returns by March 2, 2020 for the 2019 tax year (extended from January 31, 2020 per IRS Notice 2019-63).

### IRS Paper Filing Deadline via Mail

- Form 1095-B: Deadline to mail IRS paper copy 1095-B and 1094-B (transmittal) is February 28, 2020.
- Form 1095-C: Deadline to mail IRS paper copy 1095-C and 1094-C (transmittal) is February 28, 2020.

### Electronic Filing Deadline via the AIR System

Deadline to file Affordable Care Act (ACA) Forms 1095-B and 1095-C electronically is March 31, 2020.

### Corrections Deadline

Corrections are due within 30 days of the original file acceptance date; however, it is never too late to file corrections.

For more information on ACA filing please reference the IRS's Instructions for Forms 1094-C and 1095-C and Instructions for Forms 1094-B and 1095-B.

### Form W-2 Deadlines

Form W-2 *Wage & Tax Statement* processing is available in W-2 Pro and Corporate Suite software only. For further information on these deadlines please review the IRS's online General Instructions for Forms W-2 and W-3.

### Employee Copies

Deadline to mail Employee Copies B / C / 2 paper returns is generally January 31, 2020 for the 2019 tax year. Exceptions include:

- If employment ends before December 31, 2019, you may furnish copies to the employee at any time after employment ends, but no later than January 31, 2020. If an employee asks for Form W-2, give him or her the completed copies within 30 days of the request or within 30 days of the final wage payment, whichever is later.

### SSA Paper Copy A and Electronic Filing

Deadline to file Forms W-2\* & W-3\*\* Transmittal with the SSA is January 31, 2020 whether filing via paper forms or electronically.

\* Additional W-2 series Forms W-2AS, W-2CM, W-2GU, W-2VI and W-3SS are available in Corporate Suite software only and likewise have a January 31, 2020 deadline.

\*\* W-3 Transmittals are required for IRS paper filing only.

### State Filing

State deadlines vary by state and locality. Check with your state to verify deadlines. As a courtesy, 1099 Pro provides direct links to many state department of revenue websites at [https://www.1099pro.com/compliance\\_Links.asp](https://www.1099pro.com/compliance_Links.asp). Also see Special Cases for State Filing<sup>160</sup>.

### Corrections Filing

Corrections are due within 30 days of the original file acceptance date; however, it is never too late to file corrections.

## Where to File

Mail Copy A and W-3 Transmittal paper returns to the following address:

Social Security Administration  
Direct Operations Center  
Wilkes-Barre, PA 18769-0001

If using "Certified Mail" to file, change the ZIP code to "18769-0002." If using an IRS-approved private delivery service, add "Attn: W-2 Process, 1150 E. Mountain Dr." to the address and change the ZIP code to "18702-7997."

## Extensions To File with SSA

**Extensions of time to file Form W-2 with the SSA are not automatic.** For filings due on or after January 1, 2020, you may request one 30-day extension to file Form W-2 by submitting a complete application on Form 8809, Application for Extension of Time to File Information Returns, including a detailed explanation of why you need additional time and signed under penalties of perjury. The IRS will only grant the extension in extraordinary circumstances or catastrophe. See Extension to File for more information. This does not affect extensions of time to furnish Forms W-2 to employees. See Extensions of Time to Furnish Forms W-2 to employees for more information.

To request an extension to file electronically submit Form 8809 via 1099 Pro, Inc.'s online submission tool at <https://tools.1099pro.com/>. Requests must be made before the due date of the return and are not automatic.

## Extension to Mail Employee Copies

Request an extension of time to furnish Forms W-2 to employees by sending a letter to:

Internal Revenue Service  
Attn: Extension of Time Coordinator  
240 Murall Drive, Mail Stop 4360  
Kearneysville, WV 25430

Mail your letter on or before the due date for furnishing Forms W-2 to employees. It must include:

- Your name and address,
- Your EIN,
- A statement that you are requesting an extension to furnish "Forms W-2" to employees,
- The reason for delay, and
- Your signature or that of your authorized agent.

Requests for an extension of time to furnish Forms W-2 to employees are not automatically granted. If approved, an extension will generally be for no more than 15 days from the due date, unless the need for up to a total of 30 days is clearly shown. Please see Pub. 1220 for further specific information on these extensions.

## Penalties

### Penalties Increased TY 2019

The following penalties generally apply to the person or entity required to file information returns. The penalties apply to both paper and electronic filers. Reference the IRS's 2019 General Instructions for Certain Information Returns, page 18. **See new Rule-of-250<sup>27</sup> requirement.**

### Failure To File Correct Information Returns by the Due Date (Section 6721)

If you fail to file a correct information return by the due date and you cannot show reasonable cause, you may be subject to a penalty. The penalty applies if you fail to file timely, you fail to include all information required to be shown on a return, or you include incorrect information on a return. The penalty also applies if you file on paper when you were required to file electronically, you report an incorrect TIN or fail to report a TIN, or you fail to file paper forms that are machine readable. The amount of the penalty is based on when you file the correct information return. The penalty is as follows.

- **\$50** per information return if you correctly file within 30 days (by March 30 if the due date is February 28); maximum penalty \$556,500 per year (\$194,500 for small businesses).
- **\$110** per information return if you correctly file more than 30 days after the due date but by August 1; maximum penalty \$1,669,500 per year (\$556,500 for small businesses).
- **\$270** per information return if you file after August 1 or you do not file required information returns; maximum penalty \$3,339,000 per year (\$1,113,000 for small businesses).

If you do not file corrections and you do not meet any of the exceptions to the penalty described later, the penalty is \$270 per information return. Please see the IRS Help for Taxpayers site for information and advice on late filings and penalties.

Intentional disregard of filing requirements. If any failure to file a correct information return is due to intentional disregard of the filing or correct information requirements, the penalty is at least **\$550** per information return with no maximum penalty.

### Form W-2 Higher Penalties

Higher penalties apply for: Failure to file correct Forms W-2 by the due date, Intentional disregard of filing requirements, Failure to furnish Forms W-2, and Intentional disregard of payee statement requirements. The higher penalty amounts apply to returns required to be filed after December 31, 2019 and are indexed for inflation. Reference Penalties in the IRS's 2019 General Instructions for Forms W-2 and W-3 for more information.

### Rule-of-250

On 5/31/2018 the IRS proposed the elimination of the no-aggregation rule in determining the 250 return threshold for filing Forms 1098 / 1099 / 5498 / W-2G electronically effective 12/31/2018. For example, a Filer with 100 Forms 1099-INT and 150 Forms 1099-MISC is now required to electronically submit returns. See the online Filing Requirements for Information Returns Required on Magnetic Media (Electronically) [26 CFR part 301].

**Forms 1042-S**— Financial institutions or Filers with 250 or more Forms 1042-S to file, must file electronically. See the online IRS Instructions for Form 1042-S.

**Forms W-2**— "The SSA encourages all employers to e-file. E-filing can save you time and effort and helps ensure accuracy. You must e-file if you are required to file 250 or more Forms W-2 or W-2c." See the online IRS General Instructions for Forms W-2 and W-3.

*Need help with electronic filing? The 1099 Pro Service Bureau<sup>109</sup> is easy, secure and competitively priced.*

## Ch. 4 Quick Link—Import Wizard Overview (CS Only)

The Corporate Suite Import Wizard streamlines the import process. Your Tax Form, Filer Only or Recipient Only data is accessible within the software after the successful loading and posting of your import file.

### Import Wizard

- **Load Data**<sup>59</sup>— Initiate the import process.
- **Post Data**<sup>63</sup>— Post your imported data, then access it at the Work With My Tax Forms screen and other areas.

### Related Topics:

- **Sample Import Files**<sup>72</sup>— Successfully structure your import data.
- **Import File Conventions**<sup>73</sup>— Review TIN, Name, address and other required field specifications.
- **Import Overview**<sup>57</sup>— Understand the Import Sessions screen and import session statuses.
- **Error and Validation Checks**<sup>83</sup>— Fix problem records before posting your import data.
- **Delimited or Excel**<sup>86</sup> and **Fixed Length**<sup>89</sup> import maps.
- **Transactional Imports**<sup>68</sup>— Aggregate tax form amounts.
- **Year-To-Date Imports**<sup>69</sup>— Override existing tax form amounts and select fields.
- **Zero Drop Process**<sup>70</sup>— Drop (delete) records not included in your latest YTD import.

## Ch. 5 Quick Link—Service Bureau Wizards

*Tax Year 2019 Service Bureau functionality will be enabled in December via a software update.* Service Bureau Wizards simplify the upload process. Please review our Invoicing Policies<sup>110</sup> and schedule an appointment prior to submitting your upload.

**Need a refresher?** Watch our online videos including How to Print and Mail Using the Service Bureau, Filing Electronically with the Service Bureau and How to Create a Bulk TIN Upload via the Service Bureau.

### Service Bureau Wizards

- **Print+Mail or Print+Mail+IRS File**<sup>115</sup> (CS Only)
- **IRS File Only**<sup>181</sup> (CS Only)
- **IRS File ACA Only**<sup>184</sup> (CS Only)
- **IRS File Prior Year Only**<sup>184</sup> (CS Only)



**Related Topics:**

- Sample Import Files<sup>[72]</sup>—Successfully structure your import data.
- Import File Conventions<sup>[73]</sup>—Review TIN, Name, address and other required field specifications.
- Import Overview<sup>[57]</sup>—Understand the Import Sessions screen and import session statuses.
- Error and Validation Checks<sup>[83]</sup>—Fix problem records before posting your import data.
- Delimited or Excel Import Maps<sup>[86]</sup> and Fixed Length Import Maps<sup>[89]</sup>
- Transactional Imports<sup>[68]</sup>—Aggregate tax form data.

**Ch. 6 Quick Link—Selecting a Filer**

The currently selected Filer—including Name, TIN, PCode and Location Code—is always displayed at the top of the Select Filer box.

The screenshot shows a blue header area with the following text: "Current Filer: P CODE", "99-9089889 LOCATION CODE", and "DUMMY FILER NAME". Below this are two buttons: "Select Another Filer" and "Manage". At the bottom, there is a "Current Form:" label followed by a dropdown menu showing "1099-MISC".

**Select a Filer**

1. On the task panel click the "Select Another Filer" button.
2. At the Browse the Filers File screen highlight a Filer and click "Select".

**Manage Filers**

Click the "Manage" button to access the Filer Master List screen<sup>[207]</sup> where you can add, change and delete Filers. Corporate Suite Only see Advanced Pcode Filters<sup>[29]</sup>

**Related Topics:**

- Duplicate Filers<sup>[209]</sup>
- Filers Listing Report<sup>[289]</sup>

**Advanced PCode Filters**

The Advanced PCode Filters allow for targeted searches over multiple Filers/PCodes for easier tagging for select processes such as importing, printing and filing. This feature also allows users to locate Filers based on a range of characters within the PCode itself.

**Enable Advanced PCode Filter**

1. At the Select the Filer screen click the "Current Query" drop menu and select "Custom Query".
2. In the Query Wizard click the "Manual" button.
3. From the Field List select "Payer Code". Enter the Payer Code such as 'ABC' in the Query Wizard Manual Override box.
4. Click "Finish" and save the query.
5. Run the new query at the Select the Filer and other select screens.

## 1099Pro.NET Advanced PCode Lookup

The 1099 Pro.NET interface features the Advanced PCode Lookup at the Form Lookup, Filer Browse, and various Filer selection pop-up windows. To enable this feature check the "Advanced PCode Filter" box when it's available, and additional filters are displayed as shown below:

1099Pro.NET Advanced PCode Filter on Form Lookup

To activate this feature in .NET provide your 1099 Pro Account Manager with the desired Titles for each segment of your PCode and they will provide an activation SQL script.

## Ch. 7 Step 1—Preparing My Forms

### Work With My Tax Forms

The Work With My Tax Forms screen serves as the primary place to view, edit and track your records. You are encouraged to familiarize yourself with it prior to the onset of tax season.

### Work With My Tax Forms Overview

Access the Work With My Tax Forms screen via the Preparing My Forms task panel > Work With My Tax Forms. In Corporate Suite use the "Current Form" drop menu to switch form types and the "Tax Year" drop menu to select the appropriate year. The Work With My Tax Forms screen allows you to view ALL forms of the selected form type and tax year, sort them by default options or create a custom query. From this screen you can Add, Change, Delete, Quick-Print and Email individual records plus initiate Group Actions.

### Viewing Options

Current Sort/View Order	Sort forms by Last Name/Company, TIN, Account or by creating a custom view <sup>43</sup> . See Current Sort/View Order <sup>43</sup> for further details. Scroll through results with the mouse or the keyboard UP/DOWN arrow keys.
Current Query/Filter	By default all forms for the selected form type are displayed. You can display a subset of the current form type via the "Current Query" drop menu and select a prebuilt query, e.g. "Filed Corrections Only" or create your own custom query, e.g. "Tax State = CA, Corrected Forms Only", etc. See Custom Query Wizard <sup>55</sup>

	<i>Note: The "Status" of a form can be used to create powerful queries to limit the records displayed. For example, if two batches of forms were imported—one with a Pending status and the other a Printed status—the displayed forms can be limited by their respective status.</i>
Status Column	<p>This column indicates an individual record's position in the filing cycle and is an invaluable reference tool. A record's Status is directly tied to its position in the filing cycle. See <a href="#">Status Overview</a><sup>[50]</sup></p> <p>Corporate Suite includes both "IRS Status" and "ST Status" columns to allow users to separately track Federal and State filing statuses.</p> <p>Please see <a href="#">Filing Status—Am I Done?</a><sup>[190]</sup></p> <p>* An asterisk appended to a status indicates that the record contains errors and/or warnings<sup>[83]</sup>. For example, Pending* or SB Filed*.</p>
ACA Custom Queries (CS Users Only)	<p>Corporate Suite includes ACA (Forms 1095-B and 1095-C) specific queries to easily sort AIR records and search for dependent related information. Use the "Current Query" drop menu to select amongst the following queries:</p> <ul style="list-style-type: none"> <li>• AIR Waiting—Records have been filed but the AIR ACK1095...XML acknowledgment file has not been imported.</li> <li>• AIR Accepted—Records were accepted without errors by AIR.</li> <li>• AIR Error—Records that AIR identified as having an error that should be corrected.</li> <li>• AIR Rejected—Records that were submitted but AIR rejected the entire submission.</li> <li>• CI SSN Lookup—Find a form with a particular Covered Individual (CI) using the SSN (without dashes).</li> <li>• Receipt ID Lookup—Find an AIR Receipt ID<sup>[154]</sup>, e.g. 1095C-16-00012345.</li> </ul>

### Onscreen Buttons

"Add"	<p>Use to manually add individual records; most users prefer to import their records. All 1099 Pro software products allow records to be added (either manually or via import) up to the user's current transaction limit. Transactions range from 5,000 in a standard software license to an unlimited number of transactions.</p> <p>See <a href="#">Add a Record</a><sup>[44]</sup> and <a href="#">Registration &amp; Upgrades</a><sup>[5]</sup> for more information.</p>
"Change"	<p>Use to change or edit any record with a Pending status; records with any other status are "protected" (locked) and cannot be changed. See <a href="#">Protected Forms Options</a><sup>[40]</sup> screen and <a href="#">Correct a Record</a><sup>[46]</sup>. <i>Cascading updates are changes made to a Filer and/or Recipient's information globally throughout all tax forms.</i></p> <p>See <a href="#">Change a Record</a><sup>[45]</sup> and <a href="#">Cascading Updates</a></p>

"Delete"	Use to delete any individual record with a Pending status; records with any other status are locked and cannot be deleted. To delete records in batch see Group Actions <a href="#">48</a> .  See Delete a Record <a href="#">45</a>
"Track"	Service Bureau Print+Mail customers can track the delivery of their forms. Requires an active Internet connection.  See Mail Tracker™ <a href="#">118</a>
"Browse by Form"	The "Browse by Form" button allows you to initiate browsing tax forms using the update form. This allows you to quickly move from form to form while viewing all of the data for each form. When using Browse by Form, the current view and Query settings remain in effect, just as when using the standard browse. For example, when viewing the list of forms in Last Name/Company order, with a Query to only show forms that contain Notes, those settings remain in effect when switching to Browse by Form mode.  See Browse by Form <a href="#">32</a> for further instructions.
"Group Actions"	Use to tag (or select) records and perform a single action on them. In all cases, you are prompted to confirm your choice before the action is taken. For example, deleting a group of Pending forms allows you to manually select any number of Pending forms for removal. All associated notes for the forms are likewise deleted.  See Group Actions <a href="#">48</a>
"Quick-Print"	Use to quickly print an individual tax form, regardless of print status. Simply highlight the form, select "Quick-Print Form" and choose your print options.  See Quick-Print <a href="#">48</a>
"Email Tax Form"	Use to email individual tax forms to Recipients. Requires a default mailing client for your computer.  See Email Tax Forms <a href="#">52</a>
"Print/View Report"	This report is based on the currently selected query (if the default query, All Records, is chosen, then the report is identical to the Control Totals report).  See Print/View Report
"Custom Report"	Use to create and save Custom Query reports. Visibility to these reports can be limited by User by the Administrator.

## Browse By Form

The Work With My Tax Forms screen allows users to browse through tax forms of the same form type and Filer. This allows the user to quickly move from form-to-form and view data.

## Browse By Form

1. On the task panel select > Preparing My Forms > Work With My Tax Forms.
2. At the Enter, Update and View screen select the individual form to start browsing.
3. Click the "Browse By Form" button located at the bottom center of the screen.
  - Use the **PageUp** ("pgup") and **PageDown** ("pgdn") keys to move forwards/backwards through the forms.
  - If a form has a protected status (Printed, SB Filed, MagMedia, etc.) users may only VIEW the form.
  - Forms with a Pending status are available for EDITS. To continue browsing forms after making changes to a Pending form, simply press the PageUp/PageDown keys to continue.
4. To exit the Browse By Form feature use the Escape ("esc") key on your keyboard or click the "Cancel" button on the tax form.

*Note: When using Browse by Form, the current View and Query settings remain in effect, just as when using the standard browse. For example, if viewing the list of forms in Last Name/Company order, and have a Query to only show forms that have Notes, you will still see only forms that have notes, in Last Name/Company order, when switching to Browse by Form mode.*

## Entry Form

Entry forms are used to add, edit or view individual Recipient records. All 1099 Pro software products allow up to 5,000 records (or "transactions") in a standard installation; additional transactions must be purchased via Bump Codes.

Related topics:

- **Last Name/Company Name Field**—See Name Control<sup>203</sup> to review IRS requirements for this field.
- **Address Fields**—Review Print Specifications<sup>120</sup> to learn about how your data will print per USPS regulations.
- 

## Tax Form Overview

Function / Button	Description
Navigating Fields / Filling In Boxes	Use the <TAB> key to move forward through fields. Use the <TAB> + <SHIFT> keys to move backwards through fields. Select or deselect a check box via the space bar, then <TAB> to the next field.
Edit Fields	Make necessary changes, additions or deletions to the form and click the "Save" button to exit and return to the Work With My Tax Forms screen. <b>Edit TIN Type</b> —To change an SSN to an EIN or an EIN to an SSN, highlight the entire TIN and click the <DELETE> key on your keyboard. Then enter the new TIN with the appropriately placed dashes.
Correct Fields	Only records with a Filed status are available to correct. Any changed values or amounts turn blue to distinguish between original and corrected information.

Function / Button	Description
	<i>Note: When generating a correction, the IRS stipulates that the account number on the corrected form remain identical to the one on the original form. See Correct a record <a href="#">46</a></i>
Data Lookups	All 1099 Pro software products allow you to select existing Recipients from the Recipients Master List (database) at any tax form. To access this information at any data entry screen <u>place your cursor in the Recipient TIN field and select the &lt;F2&gt; key or right-click your mouse</u> . The Select a Recipient screen displays with ALL Recipients for ALL Filers available for selection. Data lookups <a href="#">227</a> are also available in select 1099 Pro software products via the <F2> key in the Account Number, State ID Number and various Income Code fields.
Protected Forms	Forms with any status besides Pending are protected (or locked) to prevent any mismatch of data from the original record that has been printed and/or filed. Protected forms include records with a status of Printed, Filed, SB Print+Mail, SB Filing, Mag Filed, etc. <b>Only forms with a Pending status can be changed or deleted.</b> <i>If a form was imported with a status other than Pending, it is protected until its associated import session is Reset (VOID).</i>
"Audit Trail" Button	View all prior changes made to a form via the "Audit Trails" button. This screen tracks all manual changes made directly to a record.
"Notes / Has Notes" Button	View/add notes associated with this tax form or Recipient. See Browse Notes <a href="#">35</a>
"Preferences" Button	View/modify default data entry preferences for address formatting.
"Check" Form Button	Use to check form for common errors or warnings <a href="#">83</a> .
"Save / Cancel" Buttons	Use the "Save" button to immediately save form changes or use the "Cancel" button to abandon changes and exit the screen.
"State" Button	By default, a Recipient's tax state is 1) their Tax Withholding State (if any), or 2) their mailing address State. Use this button to override the default Tax State with an alternate Tax Withholding State. <b>IMPORTANT: You cannot override a field specific tax state (for example, Form 1099-MISC, Box 17).</b>
"TIN Validation" Button (Requires active TINCheck.com account)	Use to validate your Recipient information against the following lists: <ul style="list-style-type: none"> <li>• TIN Validation: This verification process, for both EIN and SSN numbers, ensures that payers file accurate payee TIN/Name combinations reducing or eliminating yearly IRS TIN/Name discrepancy penalties (B-Notices, CP2100(A)s, 972CGs).</li> <li>• (DMF) Death Master File: The DMF is a continually updated list of all known deceased individuals. It is used by the financial industry as well as government agencies to prevent identity fraud.</li> <li>• (SDN/OFAC) Specially Designated Nationals (SDN/PLC) Office of Foreign Assets Control (OFAC): Unlike IRS penalties for TIN/Name discrepancy, payers</li> </ul>

Function / Button	Description
	neglecting to verify the Office of Foreign Assets Control (OFAC) lists open themselves up to civil as well as criminal penalties.
"Transactions" Button (Corporate Suite Only)	Use to view all aggregated amounts included on this tax form. See Browse Transactions <sup>36</sup>
Optional Grouping/Filtering Fields <sup>41</sup>	Populate these optional fields to run custom queries and reports. Corporate Suite Only offers significantly enhanced features.
Groups of Forms	Group Actions <sup>48</sup> allow you to select any number of Recipients, and then loop through the list creating new forms for them. The program automatically populates the Recipient information on each new form; only the specific dollar amount fields must then be entered. For additional flexibility, you can add the forms by name, TIN, State or ZIP sort order. <ol style="list-style-type: none"> <li>1. On the Work With My Tax Forms screen select the "Group Actions" button.</li> <li>2. Select the Add tab, then click the "Proceed With This Action" button.</li> <li>3. On the next screen, select (or tag) all of the Recipients you want to add blank forms.</li> <li>4. Next select the "Sort" order in how these form will be placed.</li> <li>5. Finish by filling out all information for each form and clicking "Save".</li> </ol>

## Audit Trails

The Record History screen displays audit trail information for the selected tax form and is available to all Access Groups<sup>242</sup>. A limited version of the Master Audit Trail Browser<sup>242</sup>, this screen tracks all manual changes made directly to a record. Cascading updates are not reflected.

Use the spyglass icon in the upper-right corner to view any Notes associated with this record. The "State Filing History" button

If Audit Trail Records do not reflect a known change, then Audit Trails are (or were) disabled. See Disable Audit Trails<sup>245</sup> (CS Only)

## Notes

Users can add notes to individual tax forms, Recipient records and Filer records. Notes can contain up to 512 characters and unlimited notes are allowed. Every time a note is created or updated, the note displays the date and time of the action and either the User ID<sup>240</sup> of the person who made the change (assuming Security is enabled) or the network name/ID of the machine where the change was made.

Depending on the type of note, users can view and update them from multiple places within the software. At a tax form data entry screen, if there are any notes associated with the Recipient, Filer or the specific tax form the "Notes" button changes to "Has Notes".

## Global Notes

Global notes are visible everywhere within the program, these notes can be viewed and updated from every Notes browse. Users can also enter these notes directly from the main File menu via the "Global Notes" option.

## Filer Notes

Filer notes are associated with a specific Filer, and are only available on the update form for that Filer. When entering notes for a Filer, you can also view/update all Global notes.

## Recipient Notes

Recipient notes are associated with the individual Recipient, and can be viewed and/or updated from both the Recipient update form and from every tax form associated with that Recipient. When entering notes for a Recipient, you can also view/update all Global notes.

## Tax Form Notes

This type of note is attached to one specific tax form for one Recipient. When entering notes for a tax form, you can also view/update the notes for the Recipient and Filer of the form, as well as view/update all Global notes.

## Attachments—Corporate Suite/ASP Versions Only

Users can attach documents to Filer/Form/Recipient Notes and View/Download these documents from the program.

## Update Notes

Use this screen to add or modify notes. Please see Browse Notes/Attachments<sup>[35]</sup> for all available note types.

## Transactions (CS Only)

Corporate Suite allows data aggregation<sup>[246]</sup> to combine multiple dollar amounts for a Recipient onto a single tax form. Use the Browse Transactions screen to view the individual transactions equaling the total amount reported on a tax form.

## View Aggregated Dollar Amounts

1. At the Work With My Tax Forms screen open any tax form containing multiple reported amounts for a Recipient.
2. Click the "Transactions" button, located on the right side of the data entry form, to view all line items associated with the tax form.
3. At the Aggregation Line Item Box Amounts screen click the "View" button to see details of individual Transaction Details<sup>[37]</sup>.

## Edit Aggregated Values

Aggregated values can be *manually* modified at the Changing a Tax Forms screen. Then return to the Transaction Detail<sup>[37]</sup> screen to view both imported transaction values and manual adjustments (see below image).



1099-MISC Aggregation Line Item Box Amounts										
Recipient: 123-22-1033 NORTON, WALLACE G										
Item Type: Manual adjustment										
Item	Edit	Acctg Date	Box 1	Box 2	Box 3	Box 4	Box 5	Box 6	Box 7	Box 8
1		/ /	256.00	7,000.00	10,000.00	20,000.00	20,000.00	20,575.00	300.00	40,000.00
2		8/06/18	256.00	7,000.00	10,000.00	20,000.00	20,000.00	20,575.00	300.00	40,000.00
3		8/06/18	0.00	0.00	(19,000.00)	0.00	0.00	0.00	0.00	0.00
4		8/06/18	0.00	0.00	0.00	0.00	0.00	(41,150.00)	0.00	0.00
			512.00	14,000.00	1,000.00	40,000.00	40,000.00	0.00	600.00	80,000.00

Selected Item Detail  
Alt Rcp Account:

Two manual edits to an aggregated transaction are highlighted. Make manual changes at the Changing a Tax Forms screen.

## Accounting Date

The accounting date is specified in your import file or during the import process. It is required for year-to-date imports and recommended for transactional imports. If no accounting date is assigned, the field is blank as illustrated in Item 1 in the above image.

## Transaction Details

Use the Transaction Detail screen to view reported amounts for individual transactions (imports) for any record.

### View Individual Transactions

1. At the Aggregation Line Item Box Amounts screen, highlight any transaction (also referred to as a "line item") and click the "View" button.
2. View the amounts reported for that transaction. Values cannot be edited; this is a View-Only mode.
  - Note: Aggregated values can be *manually* modified at the Changing a Tax Forms screen.

## Tax Reporting State

By default, a record's tax state is either 1) identical to the state withholding (e.g., Box 17 on Form 1099-MISC), or 2) the Recipient's state in the address field. On occasion Filers might need to override the default state. Use the "State" button on any tax form entry screen to view the default state and change it as necessary.

## TIN Validations

You can quickly validate Recipient Name/TIN combinations with an active TINCheck account associated with this software. TINCheck validations are not available in Corporate Suite software. See Manage TINCheck Account<sup>252</sup>. All 1099 Pro software products include optional Bulk Name/TIN Matching<sup>124</sup> via the Service Bureau for a fee.

## Validate Name/TIN

Click the "TIN Validation" button when adding or viewing a tax form. TIN validations require both the TIN and Last Name/Company fields to be populated. It is not possible to verify a TIN without Name/Company data—the IRS considers this "phishing" and it is illegal.

## TINCheck Results

The results screen details the TINCheck Date/Time and User ID and additional information:

- **Validation Result**—Indicates if request was successfully completed. The IRS site does go down periodically for maintenance and TINCheck services are not available at such times.
- **TIN/Name Result**—Indicates if Name/TIN combination matches the IRS records. This verification process, for both EIN and SSN numbers, ensures that payers file accurate payee TIN/Name combinations reducing or eliminating yearly IRS TIN/Name discrepancy penalties (B-Notices, CP2100(A)s, 972CGs). The IRS can assess significant penalties <sup>[27]</sup> for non-compliance. In the event of intentional disregard, there is no limit.
- **DMF Result**—Death Master File per the SSA is a continually updated list of all known deceased individuals. It is used by the financial industry as well as government agencies to prevent identity fraud. IRS TIN/Name Matching does not discern whether or not a payee is deceased. For some payers, knowing whether they are paying a deceased individual is prudent. Checking payees against the Death Master File gives the payer community the ability identify and prevent fraud.
- **OFAC Result**—Office of Foreign Assets Control per the Department of Treasury. Unlike IRS penalties for TIN/Name discrepancy, payers neglecting to verify the Office of Foreign Assets Control (OFAC) lists open themselves up to civil as well as criminal penalties. OFAC non-compliance carries significant civil penalties per violation plus criminal fines and imprisonment ranging from 10 to 30 years.

**TIN Check Result**

This Tin/Name combination was previously validated with IRS and has valid results. The most recent result is loaded below. Click on 'Check Tin/Name' button if you wish to validate your TIN/Name combination again.

TIN Check Date: <input type="text" value="7/01/2014"/>	TIN Check Time: <input type="text" value="16:40:09"/>
User ID: <input type="text" value="Administrator"/>	Checked Via: <input type="text" value="TINCheck Interactive"/>
TIN: <input type="text" value="123-22-1002"/>	
Last Name: <input type="text" value="ADAM"/>	First Name: <input type="text" value="LILLIAN"/>

Validation Result:

TIN/Name Result:

DMF Result:

OFAC Result:

## Data Entry Preferences

Users can set their own data entry preferences via the "Preferences" button.

### Date entry options include:

- First Name, then Last Name/Company (default) OR Last Name/Company, then First Name.
- Delivery/Street, then Apt/Suite/Location OR Apt/Suite/Location, then Delivery/Suite. *Please note that the USPS requests the Apt/Suite line in US addresses prints **above** the Street Address line. Accordingly, all US addresses are formatted to print in that order, regardless of the data entry option selected here.*

## Browse AIR Errors

Specific to Forms 1095-B/1095-C only, view AIR (ACA Information Return system) errors on records. Errors are populated at this screen after the AIR acknowledgment has been posted to the Receipt ID<sup>154</sup>.

### View AIR Errors

1. At the Work With My Tax Forms screen double-click any ACA record.
2. At the Changing a Form 1095 Record screen click the "AIR Errors" button.

## Browse State History

Reference a record's state filing history to view its associated State(s), Correction Type and State Status filings. The Browse State History screen only reflects states records with a Filed status. If state information is submitted via the CF/SF program this information is automatically updated, however if filing directly with a state the User must manually update the state filing session to an "Accepted" status via Session Tracking<sup>146</sup>.

### View State Filing History

1. At the Work With My Tax Forms screen by highlighting a record and clicking the "Print State Form" button.
2. The State Filing History screen displays all associated state records. Highlight any record and click the "Select State Correction to Print" button.

A view-only version of the State Filing History can be accessed via the Record History<sup>35</sup> screen by clicking the "State Filing History" button.

### State Data Is Not Displayed

Refer to the Work With My Tax Form screen and the "ST Status" column; only states with a Filed status display at this screen. The User may need to update the state filing to an "Accepted" status via Session Tracking<sup>146</sup>.

Recipient TIN	Last Name/Company	First Name	IRS Status	ST Status	Account
81-4684813	Correction	Has TIN	Filed 1096	CA OrigPend	C-STATE-EFILE-1
855-22-1234	Tuna	Charlie	Filed Mag	CA OrigFiled	AC# 45
855-33-1234	Birch	Karen	Filed Mag	CA OrigFiled	AC# 46

## Protected Forms Options

Use the Protected Forms Options screen to view a "protected" record, create corrections and display a history of record changes. Records with any status besides Pending are "protected" from edits. See Record Status Overview<sup>[50]</sup>

### Initiate Correction

Most records at the Work With My Tax Forms screen with an SB Filing, Mag Media or Filed 1096/W-3/1042-T status can be corrected. The exception is ACA series forms 1095-B/1095-C which must first have their Receipt ID<sup>[243]</sup> marked as "Accepted" by the IRS. See About Corrections—An Overview<sup>[191]</sup>

1. Highlight the record and click the "Change" button.
2. At the Protected Form Update Options screen click the "Create Correction" button. See Correct a Record<sup>[46]</sup>
3. Return to the Protected Form Update Options screen after completing and saving the correction. Use the "Close" button to exit the screen and return to the Work With My Tax Forms screen where the Original, Corr/Pending and Zero/Pending (if applicable) records can be easily viewed and Quick-Printed.

### Protected Form Update Options screen

Use this screen to access protected records for viewing, reprints or initiating corrections.

1. At the Work With My Tax Forms screen highlight any "protected record" (i.e., effectively any record except those with a Pending status).
2. Click the "Change" button to access the Protected Form Update Options screen.
  - Use the "Field Update History" button to view a record's history of changes.

### Select State

When adding or changing information on a tax form, the Recipient Master List, or Filer/Employer Master List users have the option of selecting the State code via a list of state names and abbreviations.

### Access States Code Table

In the State field use the <F2> key or right-click your mouse to access the database. The database is populated by the selected Address Type. For example, if USA address type then states display, if Canada address type then provinces display and if Other address type then the Country Codes Table displays.

See SUTA/State Limits<sup>[258]</sup>

See Tax Reporting State<sup>[37]</sup>

### Select Departments

All tax form entry screens allow users to easily change the current Filer's department phone number.

## Select Department

In the Filer field on any displayed tax form, select the down arrow to display available contacts. Select a contact and "Save". The tax form displays the newly selected phone number and department ID. The tax form prints the department phone number only; the ID, name of the department and contact person do not print.

## Modify Department Contacts

Contacts can be added or changed as described in Filer Record Details<sup>211</sup>.

## Select Recipient Account Number

If issuing multiple forms to the same Recipient it is common to have multiple account numbers associated with them. Recipient specific account number information is stored in the Recipient Master List database.

## Select Recipient Account Number

In the Account Number field on any displayed tax form, use the <F2> key or right-click your mouse to display all account numbers associated with the Recipient. Highlight an account number and click "Use Selected Account" or double-click the account number.

## Select IRS Code

The Select IRS Code screen is populated with field specific IRS/SSA codes. For example, on Form 1099-R, Box 7, select from Distribution Codes, on Form 1042-S, Box 1, select Income Type Codes and on Form W-2, Boxes 12a-12d, select Income Codes. All codes also include a code description. If additional information concerning a code is required, please reference the appropriate IRS instructions for that form type or contact your accountant.

## Corporate Suite Only

Corporate Suite allows users to view IRS/SSA codes. Users can add and edit select Recipient codes. Most codes are set per IRS/SSA specifications and cannot be modified—they are locked in VIEW-ONLY mode.

## Manage IRS Codes

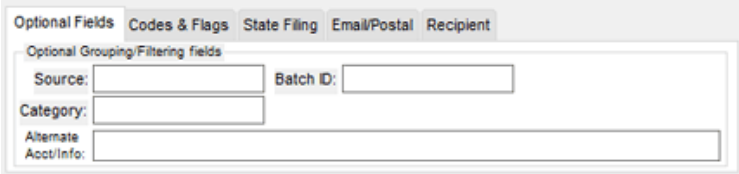
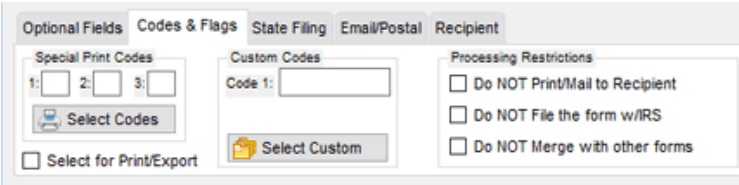
1. On the menu bar go to File > Security and Administration > Rules & Options > Manage Date Entry Code Lists & Options.
2. The Manage Code Lists and Options screen allows user to sort IRS codes by Code Year, Form Type and Recipient Classification Codes.
3. Highlight any code and click the "view" button to review Code Type, Code Value and Code Description details.
4. Users can add **RecipientType** and **Recipient ID Type** codes only. All other codes are IRS/SSA presets and locked.

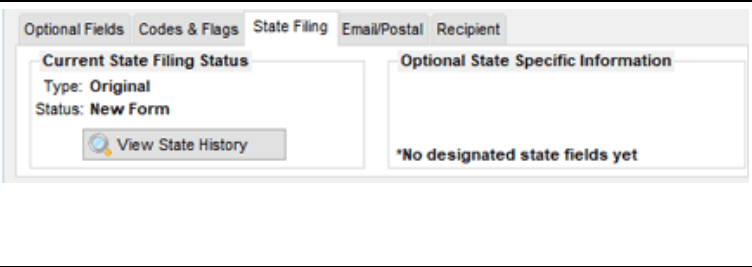
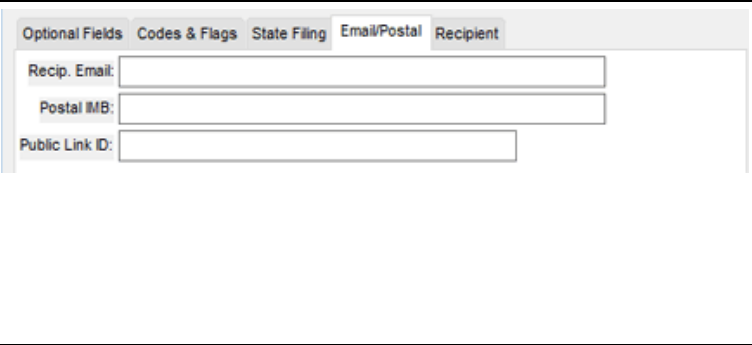
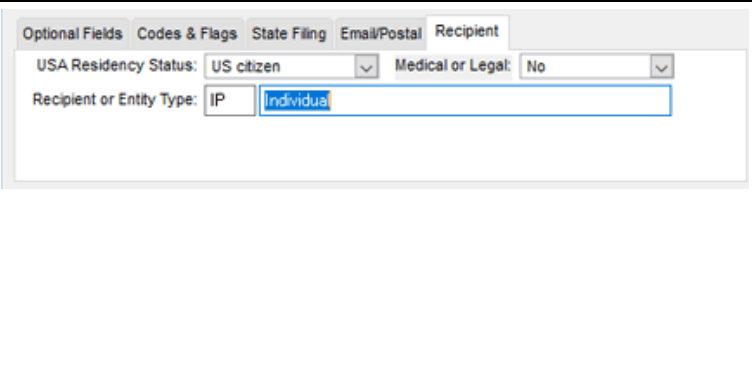
## Optional Field Filters

All 1099 Pro software products allow users the ability to query records by optional field filters. All sample import files and data entry screens include the optional Source, Category and Batch ID fields. Users can populate these fields at their discretion and then use the Custom Query wizard to sort records.

## Corporate Suite Only—Filter Options

Corporate Suite offers enhanced filter options. Most of these options must be preset by the Administrator—or a User with Admin privileges—at the Business Rules & Options area of Security and Administration<sup>[231]</sup>. The below options are accessible via the tax form data entry screen for all form types. Most of these fields can be populated via import file data by making use of the Custom Import Map Wizard<sup>[86]</sup>. Further, this optional data can be exported to an ASCII file via the Export Wizard<sup>[127]</sup>.

<p><b>Optional Fields</b></p> <p>The Source, Category and Batch ID fields are user specified, internal fields for sorting purposes. This data is often included in an import file.</p> <p>The Alternate Account/Info field is a secondary, internal reference value and does not print on the tax form.</p>	
<p><b>Codes &amp; Flags</b></p> <p>Up to three Special Print Codes<sup>[254]</sup> can be associated per tax form for print or export purposes. Special print codes data can print on select Recipient copies. Codes are set at the <i>Tax Form Print Codes &amp; Custom Messages</i> section of Security and Administration.</p> <p>Custom Codes<sup>[265]</sup>: User defined codes that print up to 120 characters on Recipient Combined copy forms only.</p> <p>Processing Restrictions:</p> <ul style="list-style-type: none"> <li>• Do NOT Print/Mail to Recipient</li> <li>• Do NOT File with IRS</li> <li>• Do NOT Merge with other forms</li> </ul> <p>Check the "Select for Print/Export" box to tag individual records for future print/export processes. See Print/Export Checkbox</p>	

<p><b>State Filing</b></p> <p>Lists the record's tax reporting state<sup>37</sup> and filing status. Review changes to this record's tax state via the Browse State History<sup>39</sup> screen.</p>	
<p><b>Email/Postal</b></p> <ul style="list-style-type: none"> <li>• Recipient Email: Populated by import file data or manually entered.</li> <li>• Postal IMB: Store the decimal value of each Recipient's unique Intelligent Mail Barcode</li> <li>• Public Link ID:</li> </ul>	
<p><b>Recipient</b></p> <ul style="list-style-type: none"> <li>• USA Residency Status: US Citizen, Resident Alien, Non-Resident Alien or Other</li> <li>• Recipient or Entity Type: Use the &lt;F2&gt; key in this field to access the Recipient/Entity Type Code<sup>257</sup> database</li> <li>• Medical or Legal: No, Medical Entity or Legal Entity</li> </ul>	

## Current Sort/View

All 1099 Pro software products include built-in views that are tied directly to the "Search" field. To search for records by TIN the view must be set to "By TIN". Likewise, to search for records by name the view must be set to "By Last Name/Company" or "By Filer Name" as appropriate. Failure to properly set the view results in a failed search attempt. Views are available at select browse screens.

## Search Field

1. Set view, for example, to "By TIN" and in the Search field enter at least the first digit of a TIN. Enter only the TIN digits, do NOT enter the TIN dashes.
2. Click the <TAB> key on your keyboard.
3. Scroll through results with your mouse or with the UP/DOWN arrow keys on your keyboard.

## Custom Screen View

Users can create a customized view at the Work With My Tax Forms screen.

## Define a Custom View

1. At the Work With My Tax Forms screen (AKA Enter, Edit & View) refer to the Current Sort/View drop menu and select "Custom View".
2. Select from the available fields on the left column and organize them in the column on the right. Available fields vary by software product and form type. Sophisticated users can click the "Advanced" button to rename column headers.

1042-S Pro available fields; available fields vary by tax form and software product.

3. Move the position of these items in the order in which they appear by highlighting them individually via the UP/DOWN arrows to adjust it's position accordingly.
4. To save these changes click "Apply" or "Next" to define a sort order for the custom view. The software displays the "Select a sort order for the view" screen. At this point users can:
  - Use the default sort order.
  - Select a predefined sort order (fastest) which tells the software to use the built in predefined list; for example: Filer ID, Last Name/Company, First Names or by Filer ID, Recipient TIN, then Last Name/Company.
  - Define your own custom sort order (slowest) which allows the user to indicate what custom sort order the software should follow based on the custom field selections.

## Add a Record

Most 1099 Pro software products allow up to 5,000 Recipient transactions (tax records); bump codes may be purchased at any time. Please watch our online How to Add a Form video tutorial.

Note: All 1099 Pro software products allow users to manually add individual records. **Most users prefer to import data—including tax form and recipient information—thereby greatly reducing the need to manually add records.** See Import Wizard<sup>[28]</sup>



### Add a Record

1. On the task panel select Preparing My Forms > Work With My Tax Forms. Use the Current Form drop menu to select the form type to process
2. At the Work With My Tax Forms screen select the "Add" button.
3. At the Adding a Form Record screen complete all fields and click "Save". The record is saved and a blank screen is presented for your next record. Click "Cancel" to exit the Adding a Form Record screen.

### Change a Record

Only records with a Pending status are available for modification.

### Change a Record

1. On the task panel select Preparing My Tax Forms > Work With My Tax Forms.
2. At the Work With My Tax Forms screen highlight the appropriate record and click "Change" (or double-click) to access the Changing a Form screen.
3. Make necessary changes and click "Save".

### Delete a Record

Only records with a Pending can be deleted. Deleted tax records can be viewed at the Work With My Tax Form screen (see View Deleted Records below). Only Corporate Suite users can un-delete previously deleted tax records.

### Delete a Record

1. On the task panel select Preparing My Forms > Work With My Tax Forms.
2. Highlight the record and click "Delete".
3. The Administrator prompts to confirm the deletion. Click "Yes" to delete the record or "No" to cancel.

### View Deleted Records

Deleted tax records are available for audit trail purposes and can be viewed or reprinted. By default, the recipient copies of any deleted tax records that are reprinted have the phrase, " \* \* \* DELETED FORM \* \* \* " imprinted in the upper right corner of the document. Do NOT file deleted tax records with the IRS/SSA or state.

1. On the menu bar select File > Security and Administration.
2. At the Global Administrative Options screen select "Program Options" and "Preference, Update and Program Options" buttons.
3. At the Preferences screen, General tab, under Options for Manually DELETED Tax Forms check the "Allow Previously Deleted Forms to Be Visible on Tax Form Browsers" box.
  - Corporate Suite Users: At the Preferences screen, Global tab, under Options for Manually DELETED Tax Forms select the "Allow Previously Deleted Forms to Be Visible on Tax Form Browsers" checkbox.
4. Click "OK" to save changes.
5. Return to the Work With My Tax Forms screen to view deleted tax records.

## Un-Delete Tax Records

This feature is only available in Corporate Suite.

1. On the menu bar select File > Security and Administration.
2. At the Global Administrative Options screen click "Rules & Options" and the appropriate form type "Preference/Options" button.
3. At the Preferences screen, Global tab, under Options for Manually DELETED Tax Forms check the "Allow Users to Un-Delete Previously Deleted Tax Forms" box. Also check the "Allow Previously Deleted Forms to Be Visible on Tax Form Browsers" box.
4. Click "OK" to save changes.
5. Return to the Browse, Enter and Edit screen to view deleted tax records.
6. Highlight the record to un-delete and click the "Delete" button.
7. At the Protected Form Update Options screen click the "Un-Delete the Form" button.
8. The Administrator prompts "Are You Sure You Want To Do This?" Click "Yes" to un-delete the record or "No" to cancel.
9. The record is immediately un-deleted and reverts to Pending status at the Browse, Enter and Edit screen.
  - Use the Record History<sup>35</sup> screen to view an audit trail of all changes to the selected record including Box Amount Changes, Views and Deleted and Un-Deleted statuses.

## Correct a Record

**Only forms that have been filed with the IRS/SSA are eligible to be corrected (or amended);** prior to filing with the IRS/SSA it is only necessary to change (or update) the form. All 1099 Pro software corrections must typically be processed manually, one-by-one, at the Work With My Tax Forms screen—the exception is Corporate Suite which allows for the importing of a corrected file. See About Corrections<sup>191</sup>

**Important**—Corrected returns must be filed electronically if the original return was filed electronically. Reference IRS Regulation, 26 CFR 301

**As of Tax Year 2016**—De minimis corrections do not need to be printed or filed UNLESS the Recipient specifically requests it. Filers are no longer required to create corrections if the amount difference is \$100 or less and \$25 or less for any tax withheld box. See the IRS General Instructions for Certain Information Returns for specific details.

## Correct AKA Amend a Form

1. On the task panel select Preparing My Forms > Work With My Tax Forms.
2. At the Work With My Tax Forms screen highlight the record and click the "Change" button. *Only records with an SB Filed, Filed Mag or 1096 / W-3 / 1042-T Filed status are eligible for corrections.*
3. At the Protected Form Update Options<sup>40</sup> screen click the "Create Correction" button.
4. You are presented with an original version of the record to correct. Click on any field to enter revised value(s).
  - To change the TYPE of TIN, delete the ENTIRE number and then re-enter it with the dashes placed as appropriate for an SSN or EIN.

- Recipient mailing address changes can be processed as a correction for printing purposes; however, records reflecting address-only corrections are not eligible for filing with the IRS. Records with a corrected STATE may require direct reporting—either on paper or electronically—with the associated state(s). Contact your accountant and/or the specific state(s) for guidance; state reporting requirements vary and 1099 Pro cannot advise in this matter.
    - Records with only a corrected CITY, STREET ADDRESS, STATE and/or ZIP are automatically excluded from Corrected IRS electronic files and Service Bureau Uploads.
  - All fields with revised information values turn **BLUE**.
  - The bottom of the form includes a brief summary of any changes in the "Correction Type" box.
  - The Payer/Filer/Employer field is not available to correct at this screen. To correct this field please contact the Service Bureau for support.
5. When done with corrections click the "Save Form" button. The Protected Form Update Options screen displays, with the opportunity to view both the original and corrected forms and the associated audit trail. Click "Close" to exit the Protected Form Update Options screen and return to the Work With My Tax Forms screen.
- Depending on the type of correction made, records will have a "Corr/Pending" or "Zero/Pending" status.
  - Mail a copy of the corrected form to the Recipient (see Quick-Print<sup>48</sup>), AND
  - File the correction with the IRS/SSA as soon as possible.

### Correct a CORRECTED Form (CS Only)

To correct an already filed corrected form, see Creating a Correction of a Correction<sup>196</sup>.

### Correct a PRIOR YEAR Form

Corrections to prior year forms must be handled in the appropriate program year version. For example, a 2016 1099-INT correction must be created in 1099 Pro 2016. Users can send that correction to the Service Bureau for filing for a fee or contact the IRS at 1-800-TAX-FORM and request a paper\* Copy A and 1096 Transmittal for the appropriate tax year and form type. **To electronically submit a prior year file directly to the IRS/SSA FIRE site, users must first manually edit the record.** For information on manually editing a prior year correction please contact Technical Support at 888-776-1099.

\* As of Tax Year 2018, if the original form was submitted electronically, the associated corrected form must likewise be filed electronically—even if submitting less than 250 forms totals.

**Corporate Suite:** This product has unique requirements for processing prior year filings (whether Original, Corrected or Replacement records). Please see Prior Year Service Bureau File Upload<sup>184</sup> (CS Only) for instructions.

### Corrections—Special Circumstances

- **10 Day Window**—If an IRS file was submitted within the last 10 calendar days and an error is discovered in it, the Service Bureau may be able to contact the IRS and request the file be marked as "BAD". Based on the User's individual circumstances, the Service Bureau will instruct the User to either 1) submit a new Original file to the Service Bureau, or 2) submit a Replacement file to the Service Bureau. The Service Bureau charges \$85 to take this action on behalf of the customer *in addition* to any Service Bureau processing fees.

- **Type 1 Only Corrections**— If corrections are Type 1 only (dollar field amount changes only— NO Name or TIN changes) the user can import a file and the Service Bureau may be able to manually edit the Original file and code it as a Corrected file. Contact the Service Bureau for specific guidelines, limitations and fees regarding this process.

See Types of Corrections [195](#)

## Group Actions

The "Group Actions" button is located at the bottom center of the Work With My Tax Forms screen and provides direct access to the following options:

Item	Description
Print PENDING Forms	Tag records with a Pending status and print them via the Quick-Print <a href="#">48</a> option. To print IRS Copy A forms and update the status of the forms from Pending to Printing, use the Print Tax Forms Wizard <a href="#">98</a> . Quick-Printing does not allow for the updating of a record's status.
Reprint PRINTED or FILED Forms	Tag batches of PRINTED or FILED records and reprint them. To reprint individual records, regardless of status, use the Quick-Print <a href="#">48</a> option located at the Work With My Tax Forms screen.
ADD New Forms for Selected Recipients	Tag Recipients, and then loop through the list creating new forms for them. The program auto-populates the Recipient information on each new form, only the specific box information for the form must be entered. For additional flexibility, users may add the forms by the following sort orders: Name, TIN, State or ZIP.
Delete Pending Tax Forms	Tag Pending tax forms and delete them in a single operation. All notes associated with the form(s) are also deleted.  <b>IMPORTANT:</b> Forms deleted at this screen do not "roll back" the number of used transactions <a href="#">6</a> in your software installation. The correct method to delete large volumes of forms and "roll back" the transactions is to Reset/Void the Import Session <a href="#">94</a> . Failure to follow this protocol may require the purchase of Bump Codes to enter additional transactions.
RESET Printed Tax Forms Back to Pending	Tag forms with a Printed status and reset their status to Pending to make forms available for edits or deletions. The selected forms can belong to any print session.
VOID Printed Tax Forms (CS Only)	Tag forms with a Printed status and change their status to Void to prevent them from being filed. The selected forms can belong to any print session.
UN-VOID Tax Forms (CS Only)	Tag forms with a Void status, and reset their status Pending to make forms available for edits or deletions.

See Tag Records [13](#) and Record Status Overview [50](#)

## Quick-Print

All 1099 Pro software products include a Quick-Print feature to quickly print *individual* records regardless of print status. Please visit <https://www.1099pro.com/videos.asp> and watch the "Using

Quick-Print" video for a brief tutorial on this process. Please see 1042-S Pressure Seal/ACL<sup>98</sup> for important information on printing this multi-page form.

- To reprint a group of forms, regardless of print status or session, see Group Actions<sup>48</sup>.
- To reprint an entire print session, see Reprint Session<sup>295</sup>.

## Quick-Print

1. At the Work With My Tax Forms screen highlight any record and select the "Quick-Print Form" button to access the Print Options screen.
2. Select printer and click "Next" to continue.
  - **PDF File Generation**—Select a PDF driver such as Adobe PDF to quickly create a digital PDF copy of your tax forms. To protect sensitive data users are encouraged to password protect PDF files and save them to a location on their hard drive or network. See PDF Files
3. Select the paper type:
  - **Blank Stock**—Select this option to print the physical form and tax data directly to blank paper. Most users select Blank Stock and Combined Recipient Copies. Review Blank Paper<sup>365</sup> options.
  - **Preprinted Plain Paper Forms**—Adjust margin alignment<sup>104</sup> as necessary. *Not available for Forms 1042-S.*
  - **Pressure Seal/ACL**—Some form types offer unique print layouts. For example, 1099-R has alternate layouts to accommodate multi-page instructions. 1042-S has an alternate layout to allow additional characters in the Recipient name fields.
  - **Custom Print**—Select from customized form layouts (as designed and sold by 1099 Pro Tech Support) and filter by TIN, Name or Account.
4. Select the copies to print. Available options are determined by type of paper selected in previous step.
  - Combined Recipient Copies is a smart choice to print all required Recipient copies and instructions on a single page. Must select Blank Stock as paper type.
5. Indicate your preview preference:
  - Ask me before processing each copy (default)
  - Yes, preview each selected copy type without asking me
  - No, send the forms directly to the printer without previewing them
6. Select the sort order to print forms (this field is unavailable in Quick-Print mode):
  - By Last Name/Company Name (default)
  - By TIN
  - By Zip Code (use to pre-sort mailings for the post office)
  - By State Abbreviation
  - By Account/Name
7. Advanced Options are only available for Recipient copies. Settings apply to this print run only. Options include:
  - Include a brief, standardized message on all forms
  - Force an "X" in the Corrected box on all forms. **IMPORTANT:** Forcing an "X" does not create a valid correction.
  - Force "0.00" instead of blanks for all zero amounts
  - Modify TIN Masking settings
8. Select the "Print Now" button or "Cancel" to exit the screen.

## Status Overview

Every record at the Work With My Tax Forms [30](#) screen is assigned a status reflecting its position in the filing cycle. This status assumes that YOU, the user, have successfully completed the associated filing process. For example, if you create a Service Bureau Upload File for Print+Mail, the record reflects an "SB Print+Mail" status at the Work With My Tax Forms screen **EVEN IF** the actual upload file is still in a "Pending" status at the Service Bureau Upload Sessions screen! It is your responsibility to ensure that you successfully complete all upload and/or filing tasks. Please see Filing Status—Am I Done? [190](#)

Record Status	Record Options
Pending	All records start with a Pending status. These forms are ready to be printed and/or filed. Users can view, change or delete the form. Print the form and/or file the form either to paper* on IRS/SSA Copy A, electronically or via the Service Bureau.
Printed	<p>Records are assigned a Printed status after selecting "I have printed and verified my red Copy A forms..." at the last step of the Print Wizard. These records are ready to be filed either to paper* on IRS/SSA Copy A, electronically or via the Service Bureau.</p> <p>To modify a Printed record first reset its status to Pending.</p> <ul style="list-style-type: none"> <li>• To reset the status for an individual record go to the Work With My Tax Forms screen, highlight the record, and click the "Change" button. At the Protected Form Update Options screen select "Reset to Pending".</li> <li>• To reset the status for a print session, go to the menu bar &gt; Reports &gt; Tax Form Print Sessions &gt; highlight the print session and click the "Reset (VOID) Session" button.</li> </ul> <p>Records imported with a Printed status cannot be void, reset or delete; the entire import session must be reset.</p>
Voided	Records have been voided. Users can view the form, unvoid the form or reprint the form. Void a record to retain data for possible future reference. Only records with a Printed status can be voided.
Deleted	Records have been deleted. You can view the form. Only records with a Pending status can be deleted. Deleted records are visible at the Work With My Tax Forms screen only if that setting has been enabled at the Preferences <a href="#">248</a> screen. See Delete a Record <a href="#">45</a> .
Filed 1096/W-3/1042-T	<p>Records have been printed and filed via 1096 transmittal.</p> <p>Records have been printed and filed via W-3 transmittal.</p> <p>Records have been printed and filed via 1042-T transmittal. Users can view the form, reprint the form or create corrections.</p> <p>To reset the status go to the menu bar &gt; Reports &gt; Form 1096 Filing Session &gt; highlight the print session and click the "Reset (Void) 1096" button.</p>
Filed Mag	Records have been printed and filed electronically. You can view the form, reprint the form or create corrections.

Record Status	Record Options
	To reset the status go to menu bar go to IRS > Create IRS Electronic Files > highlight the magnetic media session and click the "Reset (Void) Session" button.
SB Filing	<p>Records have been submitted to the Service Bureau for IRS Filing. You can view the form, reprint the form or generate corrections.</p> <p>To modify a record with this status reset the entire upload session to its original pre-upload status. Go to the task panel &gt; Filing My Forms &gt; Via the Service Bureau and at the Service Bureau Upload Sessions screen highlight the session and click the "Reset (VOID) Session" button. <b>CAUTION—Do not reset any Service Bureau upload session with a "Done" status without first contacting the 1099 Pro Service Bureau!</b> Resetting a completed upload in the software does NOT automatically cancel the upload file submitted to the Service Bureau.</p>
SB Print+Mail	<p>Records have been submitted to the Service Bureau for Print+Mail. Users can view the form, file the form either to paper* on IRS/SSA Copy A, electronically or via the Service Bureau, reprint the form or reset the entire upload session to Pending for edits.</p> <p>To reset the status for a Service Bureau Upload Session go to the task panel &gt; Printing My Forms &gt; Via the Service Bureau. At the Service Bureau Upload Sessions screen highlight the session and click the "Reset (VOID) Session" button. <b>CAUTION—Do not reset any Service Bureau upload session with a "Done" status without first contacting the 1099 Pro Service Bureau!</b> Resetting a completed upload in the software does NOT automatically cancel the upload file submitted to the Service Bureau.</p>
Corr/Pending	Records have been corrected and are ready to be filed either to paper* on IRS/SSA Copy A, electronically or via the Service Bureau. You can view the original or corrected form, reprint the original form and change or delete the corrected record.
Corr/Printed	Records have been corrected and are ready to be filed either to paper* on IRS/SSA Copy A, electronically or via the Service Bureau. You can view the original or corrected form, reprint the original form. To edit the corrected records reset its status to Corr/Pending.
Corr/SB Filing	Records have been corrected and submitted to the Service Bureau for electronic filing. You can view the original or corrected form, reprint the original or corrected form.
Corr/Mag	An asterisk indicates that a record has errors and/or warnings <sup>83</sup> associated with it.

\* Filers must file electronically if they have 250+ forms or risk IRS penalties.

## Email Tax Forms

1099 Pro software products allow users to email a password protected, PDF version of a "Combined for Recipient" or "Pressure Seal/Alternate Combined Layout" version of the tax form.

### Email Guidelines

- 1099 Pro software uses the default mailing client for your computer. Users without a default mailing client setup cannot send encrypted PDF documents directly through the 1099 Pro software. See No Email Client Detected below.
- Corporate Suite users must use ASP to email tax forms to Recipients. Please contact your Account Manager for assistance.

### Email Tax Forms

Tax forms are emailed individually to Recipients.

1. On the task panel select Preparing My Forms > Work With My Tax Forms.
2. At the Work With My Tax Forms screen highlight a Recipient and select the "Email Tax Form" button.
3. At the E-Mail an Encrypted Tax Form screen complete all fields.
  - **Step 1: Set the E-Mail Address**—This field is auto-populated if the Recipient's email address was included in your import file (using the "Rcp Email" column header). Otherwise the field is blank and the email address must be manually entered.
  - **Step 2: Encryption and Password Settings**
    - Encryption is by default set at AES 128-bit; a more secure setting requiring Adobe Acrobat 7 or higher. The encryption is how a complex file is transformed using an algorithm (called a cipher) to make it unreadable to anyone except those possessing special knowledge, usually referred to as a key. The higher the level of encryption used, the more difficult it will be for the wrong person to open should they attain the document. However, high levels of encryption also require more sophisticated software to open. Choosing too high a level of encryption may prevent your Recipient from being able to open the document.
    - The default password is based on the first five digits of the Recipient's TIN, a hyphen and the first five digits of their ZIP code, e.g., 12322-99999. The Recipient must enter this password before the tax form can be viewed. The following is automatically included in the body of the Recipient's email, "*The password is the first 5 digits of your Taxpayer Identification Number (SSN or EIN), followed by a dash, followed by the first 5 digits of your mailing address zip code.*" The mailing address zip code is always the one on the Recipient's tax form. Users can alternately enter a password of their own selection.
  - **Step 3: Choose PDF Format**
    - Standard Combined (default)
    - Select a PS/ACL Layout—Allows for the selection of an Alternate Combined Layout or Pressure Seal formats.
  - **Step 4: Advanced Print Options**<sup>102</sup>
    - Force an X in the "Corrected" box.
    - Force an X in the "Void" box (not available on all forms).
    - Print 0.00 instead of blanks for all zero amount fields.
    - Mask TINs
    - Enter optional message to print on all forms in this print run.



4. Extra Options (for advanced users only)
  - Print Driver: Use to select a different printer/driver.
  - File Folder: By default the encrypted PDF is placed in a PDF directory in the installation folder for the software. To choose an alternate location use this button.
  - Preview PDF: Check to preview the encrypted PDF before it is sent. The user password is required.
5. Create PDF and email message: Click button to generate the encrypted PDF and attach it to an email using your default email client.

### Email: No Email Client Detected

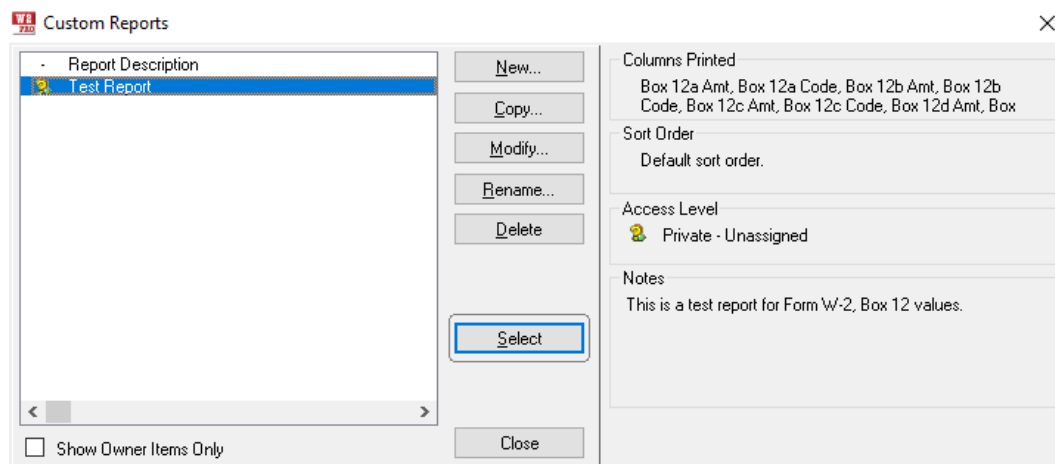
Users without a default email client, e.g., Microsoft Outlook, Mozilla Thunderbird, Gmail, may receive a warning that the email cannot be sent. The warning indicates where the PDF file will be saved, the email address and the email subject line. Users can open their existing email client and manually enter the information to email the form to the Recipient.

### Set Outlook as Default Mail Client

1. On the Microsoft Outlook menu bar go to File > Options.
2. Under "Startup options" select the "Make Outlook the default program for Email" box and then click the "Default Programs" button.
3. At the next screen verify that the "**MAILTO: URL**" box is checked; if not click on the "Select All" box. Click on "Save" then "OK"
4. Go to your Windows Start button and type "Default App Settings". Set Outlook as your default email program.
5. Return to 1099 Pro software and email form to Recipient.

### Custom Reports

The "Custom Reports" button is located at the bottom center of the Work With My Tax Forms screen for select 1099 Pro software products. Use this feature to generate customized reports with end of report options to tally totals. The report can be applied to one Filer or multiple Filers. Check the "Show Owner Items Only" box to make this report private and available only to its author.



## Dynamic Query

All 'AskFor...' tokens are a single word with no spaces or other punctuation. They are not case sensitive, but it is highly recommended that they are entered using the capitalization as shown in this document as it makes the queries much easier to read and understand.

## Manual Query

Click on the "Manual" button and use the 'AskFor...' string where desired. Examples:

```
RcpTIN = AskForText  
DateLastEdit > AskForDate  
DateCreated BETWEEN AskForDateRange
```

TIP: Date and Time ranges must be entered manually as shown above.

## Query Wizard

When using the Query Wizard you are required to use the 'Expression' option on the third step ("Value Entry"); otherwise, the 'AskFor...' token will be treated as if it is the actual value to use. If the 'Express' option is not used, your query will neither find results nor trigger an invalid query response/error from the database (see below for tips on fixing invalid queries.) If the 'Expression' option is disabled, then you must create the query manually.

Once the query is create/saved, every time it is run it will ask the end user for the value to use (substitute) where the 'AskFor...' expression was in the query. To resubmit the query with a different value, click on the "Redo" button under the "Current Query:" prompt and it will ask for a new value (or set of values) to use before resubmitting the query. You can also press <F5> (refresh) to redo a query. This makes it very simple to repeat a query with new values to browse, update or report.

## Remove a Query

To view all records again, you can either select 'All records' on the query list or click on the 'Undo' button to the left of the 'Redo' button.

## Restrictions

Currently, you can have multiple *different* 'AskFor...' expressions in the same query, but not the same one multiple times. For example:

You can have a query like this:

```
DatePrinted = AskForDate AND RcpLName = AskForText
```

But not one like this:

```
RcpLName = AskForText AND RcpFName = AskForText
```

At some point in the future, these restrictions will probably be lifted.

## Workaround

For text and numbers you can use the from/thru variants of the same type as additional tokens. For example:

RcpLName = [AskForText](#) OR RcpLName = [AskForFromText](#) OR RcpLName = [AskForThruText](#)

TIP: Each 'AskFor...' token will cause its own window to pop up, so multiple tokens can result in a succession of prompt windows before the query is completed and applied.

### Available “AskFor...” Tokens

AskForText	Requests any type of text/string value. For example, anything dealing with names, addresses, TIN, account numbers or alphanumeric codes. Basically, anything that is not explicitly a number or date. Prompt is “Text to use”.
AskForFromText	Same as “AskForText” except the prompt is “1 <sup>st</sup> /From value”
AskForThruText	Same as “AskForText” except the prompt is “2 <sup>nd</sup> /Thru value”
AskForDate	Requests a single date, with the popup calendar option. Defaults to current date. Offers a number of presets such as
AskForFromDate	Same as “AskForDate” except the prompt is “1 <sup>st</sup> /From date”
AskForThruDate	Same as “AskForDate” except the prompt is “2 <sup>nd</sup> /Thru date”
AskForDateRange	Pops up the full date range query window, with calendars and quick-select options for all of the common ranges (this year, this month, a particular month, a quarter, etc.) or you can select any random range.
AskForNumber	Requests a single number and provides for decimals. Prompt is “Number/Amount”.
AskForLowNumber	Same as “AskForNumber” except the prompt is “1 <sup>st</sup> /Low number”
AskForHighNumber	Same as “AskForNumber” except the prompt is “2 <sup>nd</sup> /High number”. These two tokens can be combined to create a numeric range.
AskForTimeRange	Asks for starting and ending times within a single day. Offers a number of quick-select options such as ‘Last 30 minutes’, ‘Midnight to 6AM’, ‘Before Noon’ and so on.

NOTE: We are still enhancing the token process to make it more intuitive. More tokens are planned, as well. Check the online help or ask Pro for an updated list when you receive program updates.

### Custom Query Wizard

The Query Wizard allows custom access to data via an intuitive wizard driven interface. All users can quickly create and save customized queries and then re-use those queries.

#### Create Query

1. Access the Current Query drop menu at the Work With My Tax Forms screen. At the Current Query drop menu select "Custom Query".
2. In the Query Wizard select a field to evaluate, e.g., "Box 1 Amount" or "Recipient State or Province", and click "Next".
  - See Form Status Values <sup>56</sup> for specific information on the "Form Status", "Voided", "Correction Type" and "Error Status" fields.
3. At the Operation Selection screen, select the operator, e.g., "Is Equal To" or "Is Between", and click "Next".

4. At the Value Entry screen determine the value to be used to complete the expression. For example, "Recipient State or Province Is Equal to CA" where "CA" is the value. Optionally, users can process the query using "Compare Using Case Sensitive Matching" by placing a check in the box. Click "Next" to continue.
5. Click "Finish" to save your changes and run the query.
  - At the finish screen users can add any additional selection criteria as needed.
  - Use the "Change" button to change the current query or use the "Delete" button to delete the current query and start again.
  - After clicking "Finish" the user is prompted to save the query. Click "Yes" to save and enter a query name or click "No" to bypass saving a query name and display the results of the current query.

## Form Status Values

Database values are useful for generating Custom Queries in 1099 Pro software or in an SQL database.

### Form Status Values—Original Records

In the Query Wizard <sup>(55)</sup> Fields to Evaluate select "Form Status Code", the Operation Selection and the Value Entry. For example, the query "FORM STATUS CODE IS EQUAL TO 8" returns all Original Service Bureau Printed and eFiled forms.

### Form Status Values—Corrected Records

Run this query like an original record query; the returned results include only the latest corrected record. For 1099 forms this includes both parts of a 2-part correction; the zero correction and the new record. The original or new corrected values can be requested and both parts are returned. Corrected W-2's return the latest correction (W-2C) plus any superseded corrections and the original.

ORIGINAL RECORDS	CORRECTION ZERO FORM (2-PART)	Correction (1-Part) / New Form (2-Part)
0: Original Pending	10: Corrected Pending	20: Correction Pending
1: Original Printed	11: Corrected Printed	21: Correction Printed
2: Original Printed and Voided	12: Corrected Printed and Voided	22: Correction Printed and Voided
3: Original Printed and Filed Paper	13: Corrected Printed and Filed Paper	23: Correction Printed and Filed Paper
4: Original Printed and e-Filed	14: Corrected Printed and e-Filed	24: Correction Printed and e-Filed
5: Original SB Printed	15: Corrected SB Printed	25: Correction SB Printed
6: Original Not Printed and e-Filed	16: Corrected Not Printed and e-Filed	26: Correction Not Printed and e-Filed
7: Original Not Printed and SB e-Filed	17: Corrected Not Printed and SB e-Filed	27: Correction Not Printed and SB e-Filed
8: Original SB Printed and SB e-Filed	18: Corrected SB Printed and SB e-Filed	28: Correction SB Printed and SB e-Filed

ORIGINAL RECORDS	CORRECTION ZERO FORM (2-PART)	Correction (1-Part) / New Form (2-Part)
<b>SPECIAL STATUS CODES</b> —105: Zero Dropped, 108: Deleted, 109: Negative/Invalid. 255: Placeholder/Abandoned		

### Error Status Values

In the Query Wizard Fields to Evaluate select "Error Status", the Operation Selection and the Value Entry. For example, the query, "ERROR STATUS IS EQUAL TO 3" returns all forms containing Warnings + Errors.

- 0: No Errors
- 1: Warnings
- 2: Errors
- 3: Warnings + Errors
- 4: Fatal / Major Errors

### Import New Tax Forms

The Import Sessions screen provides direct access to the Import Wizard. All 1099 Pro software products feature an intuitive wizard to simplify the process of importing your data. If you can access your data in Excel (or a similar product), you can import it into our software! Additionally, you can view upload sessions, reset/void uploads, complete pending uploads and view reports. Access this screen via the task panel > Preparing My Forms > Import New Tax Forms.

### Related Topics:

- Sample Import Files<sup>72</sup> and Import File Conventions<sup>73</sup> and 1042-S Import File Conventions<sup>76</sup>— Review prior to creating your import file or using the Import Wizard.
- Import Wizard<sup>28</sup> (CS Only)

### Import Session Considerations

- Import sessions can contain records for multiple Filers of the same form type. Use the plus/minus symbols (see image) to expand/contract a session and view associated Filer TIN(s).
- The "Imported" column indicates the number of records successfully imported into the Corporate Suite database.
- All import sessions are assigned a "Status" as detailed below.

Import Type and Destination	Status	# Forms	Imported	Warnings	Errors	Reject	As of...
⊕ 1099-MISC	Completed	1	1	0	1		8/22/19 8:00AM
⊖ 1099-MISC	Discarded	1	0	0	0	1	8/22/19 8:00AM
⊕ 1099-MISC	All Reset	1	0	0	0		8/23/19 9:55AM
⊕ 1099-MISC	Completed	1	1	0	0		8/21/19 2:42PM
⊖ 1099-MISC	Loaded	23	0	4	10	3	8/21/19 1:05PM
⊖ 52-3601232 P123	Loaded	23	0	4	10	3	8/21/19 1:05PM
⊕ 1099-MISC	Loaded	1	0	0	1		8/21/19 12:58PM

### Import Session Statuses

Every import session is assigned an *import status* to indicate its position in the import process. The import status is different than the *filing status* assigned during the Import Wizard. The filing status

(e.g., Pending, Filed 1096, Filed Mag or SB Filing) indicates an individual record's availability for printing and filing tasks at the Work With My Tax Forms screen.

Status	Definition
Completed	All records in import file are posted and processing is complete. Records are available at the Work With My Tax Forms screen to view, edit, file or delete.
Loaded	The import file is loaded, but not posted into the software. To complete the import process, highlight the session and click the "Continue with Session" button.
Updated	The import file is loaded and at least one of the records has been edited. Re-applying validation, etc., also triggers this status.
Partial	Some records in the import file have been posted and some are still in a loaded status.
Imp/Disc	Some records in the import file have been posted, others were deleted during the Post.
Abandoned	All records for the log were abandoned, none imported.
All Reset	A completed import was reset, removing the posted records from the database. Records only removed if their status has not changed since they were posted. Records that have had their status upgraded (e.g., Pending to Printed or Filed) are NOT removed.

### Reset (Void) Session

Highlight the import session to void. Only import sessions with an "Imported" status can be reset. A voided session cannot be un-voided. See [Reset/Void Import Session](#)<sup>94</sup>

### Continue With Session

Highlight the session to import and select the "Continue with Session" button. To complete a pending import, you must validate and post your data. If import data contains errors and/or warnings, you have the option to include or exclude those records in the post process. After successfully uploading the file, the "Status" column updates to "Imported" or "Partial" if only some of the records were imported. If some records in the import session are posted and other are abandoned, the "Status" column updates to "Imp/Disc" to indicate some records imported and some records discarded.

### Amount/Totals Report

Also referred to as the Import Session Summary, this report generates a log specific detail of an import file. The last page of this report includes Total Form Count, Number of Forms with Missing TINs, Box-By-Box Totals and a State Withholding Breakdown.

### Run Report

1. Click the "Amount/Totals Report" button.
2. You are prompted to select a printer; consider printing to PDF to save paper.
3. Select the Sort Order; by Last Name/First Name or By TIN
4. Other Report Options include:

- Preview before printing
- Print Summary totals only
- Errors and Warnings only

### Import History Report<sup>94</sup>

In Corporate Suite only, click the "History" button to view import session details including the Import Source File, date loaded, UserID and error, warning and reject counts.

### Manage Import/Export Maps

In Corporate Suite only, use the "Create/Manage/Print Import Maps" button for direct access to the Manage Import Maps screen. From here you can view/edit existing import maps and export maps.

### Import Wizard Overview (CS Only)

The Corporate Suite Import Wizard streamlines the import process. Your Tax Form, Filer Only or Recipient Only data is accessible within the software after the successful loading and posting of your import file.

### Import Wizard

- **Load Data**<sup>59</sup>—Initiate the import process.
- **Post Data**<sup>63</sup>—Post your imported data, then access it at the Work With My Tax Forms screen and other areas.

#### Related Topics:

- **Sample Import Files**<sup>72</sup>—Successfully structure your import data.
- **Import File Conventions**<sup>73</sup>—Review TIN, Name, address and other required field specifications.
- **Import Overview**<sup>57</sup>—Understand the Import Sessions screen and import session statuses.
- **Error and Validation Checks**<sup>83</sup>—Fix problem records before posting your import data.
- **Delimited or Excel**<sup>86</sup> and **Fixed Length**<sup>89</sup> import maps.
- **Transactional Imports**<sup>68</sup>—Aggregate tax form amounts.
- **Year-To-Date Imports**<sup>69</sup>—Override existing tax form amounts and select fields.
- **Zero Drop Process**<sup>70</sup>—Drop (delete) records not included in your latest YTD import.

### Import Wizard—Load Data

*Welcome to the first step of Corporate Suite's new Import Wizard interface.* Imports eliminate the need to manually key data, reduce data entry errors and save valuable time.

### Import Wizard—Load Data

These instructions apply to Corporate Suite software only. Please watch our new online video, *Importing Using Standard Maps*.

- 1 On the task panel go to Preparing My Forms > Import New Tax Forms and select the form series to import.
2. At the Begin a New Import Process screen, select the "Begin a New Import Process" button.

3. The Import LOAD Wizard for Tax Forms screen opens; verify the correct import tax year is displayed. To change the import tax year, click the "Cancel" button to exit this screen and select the appropriate tax year at the Corporate Suite main screen.

#### 4. STEP 1: Import Map—Select Form Type & Import Map

Corporate Suite users create custom maps to optimally import their own, unique data. Standard, transactional<sup>[68]</sup> and year-to-date<sup>[69]</sup> (process type) imports are fully supported by Filer and data type.

- A. Select the type of tax form (or Filers or Recipients Only) to import.
- B. Click the "Choose Form Type & Import Map" button to access the Manage Import Maps<sup>[85]</sup> screen and select an existing import map or create a new one.

#### 5. STEP 2: Import File—Select the Import File to Use

Use the "Browse" button to select your import file. Your data should display in the below window.

Rcp TIN	Last Name/Company	First Name	Name Line 2	Address Type	Address Deliv/Street	A
123-22-1002	ADAM LLLIAN	c	PINECREST DRIVE RFD 2	CALGARY AB	T2P 4K9	
123-22-1031	BASILE ANTHONY		115-86 238TH ST	ORMOND BEACH FL	32174-12	

Your data may not display if there is a blank row at the top of your import file or there is a blank row between the header records and your import data. If this occurs, cancel the import and fix your import file. Review Import File Conventions<sup>[73]</sup>.

#### 6. STEP 3: Select Filer—Select the Filer to Import Into

By default, forms import to the currently selected Filer. Use the "Select a Filer" button to change as necessary.

IMPORTANT: The Filer must be setup to import both the Data Type and Process Type selected previously, in Step 1. For example, a Filer enabled for aggregation<sup>[246]</sup> for Form 1099-MISC can only import transactional or year-to-date data for this form type. Likewise, a Filer NOT enabled for aggregation for Form 1099-MISC can only import standard data.

*This field is grayed out if the Import Map selected was created as a multi-Filer import map.*

#### 7. STEP 4: Optional View—View the Tax Records



Click the "Test My Import File for Problems Now" button to perform a test import on up to 250 records.

**4: Optional View**  
View the tax records

View Possible Problems

If you wish, you can test your import with up to 250 record

Number of records to read for the test: 20

Test My Import File For Problems Now

The Edit, Post or Abandon Import Records screen runs in TEST MODE only at this level. Select a record and click "Change/Fix selected record" to view data. **Edits to import records are not saved in TEST MODE.** Use TEST MODE as an opportunity to quickly verify your data and determine if you want to continue or abandon this import session.

#### 8. STEP 5: Import Form Status

Assign a status to your imported records and click "Next" to continue.

- **Pending**—Default status allows you to edit, print, file or delete records.
- **Printed**—Records are ready to file.
- **Filed (Paper)**—Records have been filed on paper with the IRS/SSA, e.g., Copy A and associated 1096 / W-3 / 1042-T transmittal.
- **Uploaded**—Records have been uploaded to the 1099 Pro Service Bureau for filing.
- **Filed Electronic**—Records have been electronically filed (eFiled) directly with the IRS/SSA.

**5: Import Form Status**  
Set the record status of imported records

Pending     Printed  
 Filed Paper 1096     Uploaded     Filed Electronic

9. Click "Load My Import File Now" to process your file. Typical import times average one minute per 1,000 records (will vary based on volume and your system configuration).

10. The Completed and In-Process Import Sessions screen displays after your import is loaded. Highlight your "Loaded" file and click the "Continue with Session" button to validate<sup>[61]</sup> and post<sup>[63]</sup> your data.

## Troubleshooting

Errors are indicated by the affected field turning pink. Correct the error, then click the "Continue with Session" button to proceed.

**3: Select Filer**  
Select the Filer to Import into

Select Filer

TIN: 95-0000001    Location: LOCN  
Name: Test Filer 1234567890123456789012end  
PCode: LOCN

*Fields turn pink to indicate they contain an import error.*

### Administrator Error—Select Filer

This error is due to a discrepancy between the Filer selected in Step 3 and the Process Type (i.e., standard, transactional<sup>[68]</sup> and year-to-date<sup>[69]</sup>) selected in Step 1.

## Validate Import Data

The Edit, Post or Abandon Import Records screen provides an opportunity to review individual import records PRIOR to posting them into the Corporate Suite database. Here you can edit or delete

individual records OR abandon an entire import session. Eligible import records can also be edited—post import—at the Work With My Tax Forms screen. See **TEST MODE**<sup>63</sup> below.

### Validate Import Data

1. At the Completed and In-Process Import Session screen, select any import session with a "Loaded" or "In Process" status and click the "Continue with Session" button.
2. The Edit, Post or Abandon Import Records screen lists all records in the selected import session. Errors messages, if any, are detailed for each record. Review import column descriptors.

<b>Primary Identifier</b>	TIN. If TIN is not present then Recipient Account Number, otherwise field is blank.
<b>Secondary Identifier</b>	Recipient Account Number. If Account Number is not present then the field is blank UNLESS the Primary Identifier field is blank, in which case this field contains Last Name/Company Name.
<b>Status/Validation</b>	<p><b>OK</b>—Record complies with business rule validations (no obvious problems).</p> <p><b>Errors</b>—Record is imported BUT contains serious data flaws that may result in the record being rejected by the IRS/SSA.</p> <p><b>Err+Warn</b>—Record is imported BUT contains possible inconsistency or omission in the data that may result in the record being rejected by the IRS/SSA.</p> <p><b>*Reject*</b>— Record is not imported unless corrected. Triggered by Missing Last/Company Name or non-allowed negative amounts.</p> <p><b>**EDIT**</b>—Record is flagged in TEST MODE; changes to record are not saved in TEST MODE.</p>
<b>Error Messages</b> (blank means no errors)	May include Missing TIN, No TIN or Name, Missing Name, etc. Review Errors & Warnings <sup>83</sup> .

3. Double-click on any record to access the Update Import Hold screen. Individual import record information is available here to view and edit.

<b>Data Field</b>	The tax form specific fields; whether populated or not.
<b>Raw Value</b>	Precise data values from the import file. For example, a raw value of "750" for a dollar amount box.
<b>Import Value</b>	Software imported data values. For example, an imported value of "750.00" for a dollar amount box—notice the dollar amount is auto-formatted during the import process.
<b>Field Errors or Warnings</b>	Lists any Reject errors including Missing Last/Company Name or non-allowed negative amounts. If the incorrect or missing data is corrected, the associated warning disappears after clicking the "Save" button.

4. Any fields failing business rule validations<sup>252</sup> are detailed in the "Overall Tax Form Validation Errors and/or Warnings" window. Make edits in the corresponding Raw Value fields (double-click to

open the field) and then "Save" to return to the main Edit, Post or Abandon Import Records screen.

Data Field	Raw Value	Import Value	Field Errors or Warnings
Rcp TIN			Missing TIN
Last Name/Company	YOUNG	YOUNG	
First Name	MANUEL	MANUEL	
Name Line 2			
Address Type			
Address Deliv/Street	635 20TH STREET	635 20TH STREET	
Address Apt/Suite			
City	CLINTON	CLINTON	
State	IL	IL	
Zip	61727	61727	
Country			
Rcp Account	AC-07	AC-07	
Box 1 Amount	750.08	750.08	
Box 7 Amount	-1000	(1000.00)	

Overall Tax Form: Missing TIN  
 Validation Errors: Box 7 Amount negative  
 and/or Warnings: Box Fed w/ more than sum of payments

Buttons: Save, Cancel, Help

- Continue to change or delete individual records as necessary, and then "Post this Session" to continue to the Import Wizard—Post Data<sup>63</sup>. Alternatively, you can "Abandon This Session" and discard all records in the import, regardless of their Status/Validation.
  - Eligible records include those with Warnings and Errors—with the exception of Reject Errors.** Records imported and posted with errors have an asterisk (\*) prefixed to their status at the Work With My Tax Forms<sup>30</sup> screen (e.g., \*Pending or \*Filed). Review Errors and Warning<sup>83</sup>
  - Some Corporate Suite installations allow a fixed number of transactions (records). If the combined total of existing records in the database and imported records exceeds this number, the import may abort. To allow additional transactions, contact your Corporate Suite Account Manager to purchase a Bump Code<sup>6</sup>.

### TEST MODE—Edit, Post or Abandon Import

The Import Wizard—Load Data screen contains a TEST MODE version of the Edit, Post or Abandon Import Records screen. In TEST MODE, select the "Test My Import for Problems" button to perform a test import on up to 250 records. The Test Import Result window displays any errors and warnings. Select any record and click "Change/Fix selected record" to view data. **Changes to import records are not saved in TEST MODE.** Use TEST MODE as an opportunity to quickly verify your data and determine if you want to continue or abandon this import session.

4: Optional View  
View the tax records

View Possible Problems

If you wish, you can test your import with up to 250 record  
Number of records to read for the test: 20

Test My Import File For Problems Now

Access TEST MODE version of the Edit, Post or Abandon Import Records screen.

### Import Wizard—Post Data

Welcome to the second and last step of Corporate Suite's new Import Wizard interface. Imports eliminate the need to manually key data, reduce data entry errors and save valuable time.

### Import Wizard—Post Data

These instructions apply to Corporate Suite software only.

1 At the Completed and In-Process Import Sessions screen highlight any "Loaded" or "In Process" import session, then click the "Continue with Session" button.

2 At the Edit, Post or Abandon Import Records screen you can:

- Post This Session—Continue directly to the Import POST Wizard.
- Abandon This Session—Records in this import session are permanently deleted.
- Edit and/or delete individual records<sup>[61]</sup> and then continue to the Import POST Wizard.

3 The Import POST Wizard for Tax Forms screen opens.

#### 4 **STEP 1: Warning Handling—Select How to Handle Warnings**

Learn about Errors & Warnings<sup>[83]</sup>. Options include:

- Post records with Warnings—All records are posted.
- Do not post records with Warnings—Records without warnings are posted; problem records are placed on "hold" to be fixed at a later time.

*This field is grayed out if this import data contains no warnings.*

#### 5 **STEP 2: Error Handling—Select How to Handle Problem Records**

Records with errors risk IRS/SSA rejection; learn about Errors & Warnings<sup>[83]</sup>. Options include:

- Post records with Errors—All records, excluding automatic reject errors, are posted.
- Do not post records with Errors—Records without errors are posted; problem records are placed on "hold" to be fixed at a later time.

*This field is grayed out if this import data contains no errors.*

#### 6 **STEP 3: Recipient List Options—Select Action if Recipient Already Exists in Database**

Options include:

- Match & update the master Recipient List<sup>[220]</sup> with the newly imported data.
  - This option matches each incoming recipient, based off the match options set in your import map (e.g., TIN/Account), and then updates the Recipient List entry with the new name/address information if matched.
- Match & override the recipient information in my import file with the existing information in my Recipient List.
  - This option also matches each incoming recipient, based off the match options set in your import map (e.g., TIN/Account), and then updates the incoming tax records/information to the name/address information that is contained in your Recipient List.
  - This option is utilized when the information in your Recipient List is more up to date than the information coming from your source system file. That is because this option changes

the Recipient name/address information from what you have in the incoming file to what is contained in the Recipient List in the software.

- Match but DO NOT update Recipient List information with new import data.
  - This option utilizes the same matching criteria as the above two options but does not actually update/change the Recipient List or the Recipient information coming in from the import file.
  - This option is utilized when you don't want either platform to update its information but you do want the software to associate each incoming tax record, from the import file, with a Recipient List entry, if matched.
    - That means that when you run a report for a Recipient, to see what tax records are associated, the records that have been matched on import will still show up.
- No Matching. Add every recipient from the import file as a new Recipient in the Recipient List.
  - This option overrides any matching settings that you have set in your import map. Each Recipient, from your import file, is brought in as a brand new entry in the Recipient List and has only that one tax record associated with it.

**3: Recipient List Options**

Select Action to Take if Recipient Already Exists

Match & Update the Recipient list information with the new information contained in my imp

Match & override the recipient information on my import file with the existing information in my Recipient List

Match but DO NOT update the Recipient List information with the new information contained in my import file

No Matching. Add every recipient from the import file as a new entry in my Recipient List

*This list is grayed out if the Recipient List is disabled.*

#### 7 STEP 4: Optional Form Source—Select How to Apply Import Source Value

- Enter an Import Form Source value, then select how the value will be applied:
  - Only use if Source is blank—Forms with existing Source values are not changed.
  - Apply to ALL records in import—The source value is applied to all forms in the import; existing values in the import file are overwritten.

**4: Optional Form Source**

Select how the Import Source value will be applied

Import Form Source:  (12 characters maximum)

Use only if Form Source is blank

Apply to all records in import fil

This optional field is used to specify a source (identifier) and is invaluable if multiple users or departments import data. For example, if Accounting, Payroll and Human Resources each import data, by entering their department name as the form source, they can use that value to generate department specific queries<sup>[55]</sup> and reports in Corporate Suite. The form source field can also be used to aggregate data (assuming aggregation<sup>[246]</sup> is enabled in Security).

#### 8 STEP 5: Optional Accounting Date—Select How to Apply Import Accounting Date

- Use to assign an accounting date<sup>[37]</sup> to a payment transaction. Accounting dates are required for certain activities including year-to-date imports and quarterly eFiling and recommended for transactional imports.

- A. Check the "Activate the Accounting Date" box.
- B. Click "Specify Accounting Date" to assign a date or date range.

- C. Indicate how to apply that date: either "Only use if blank" (in import file) or "Use for all transactions" (override accounting date value in import file).

*This field is grayed out for standard type imports.*

- 9 Click the "Post My Import File Now" button to post your data. The Administrator displays a count as records are imported into the Corporate Suite database. View imported records at the Work With My Tax Forms<sup>[30]</sup> screen.
  - o Related Topics: Import History Report<sup>[94]</sup> and Amount Totals Report<sup>[58]</sup>

## Troubleshooting

Errors are indicated by the affected field turning pink. Correct the error, then click the "Post My Import File Now" button to complete the import.

## Validate Import Data

The Edit, Post or Abandon Import Records screen provides an opportunity to review individual import records PRIOR to posting them into the Corporate Suite database. Here you can edit or delete individual records OR abandon an entire import session. Eligible import records can also be edited—post import—at the Work With My Tax Forms screen. See **TEST MODE**<sup>[63]</sup> below.

## Validate Import Data

1. At the Completed and In-Process Import Session screen, select any import session with a "Loaded" or "In Process" status and click the "Continue with Session" button.
2. The Edit, Post or Abandon Import Records screen lists all records in the selected import session. Errors messages, if any, are detailed for each record. Review import column descriptors.

<b>Primary Identifier</b>	TIN. If TIN is not present then Recipient Account Number, otherwise field is blank.
<b>Secondary Identifier</b>	Recipient Account Number. If Account Number is not present then the field is blank UNLESS the Primary Identifier field is blank, in which case this field contains Last Name/Company Name.
<b>Status/Validation</b>	<p><b>OK</b>—Record complies with business rule validations (no obvious problems).</p> <p><b>Errors</b>—Record is imported BUT contains serious data flaws that may result in the record being rejected by the IRS/SSA.</p> <p><b>Err+Warn</b>—Record is imported BUT contains possible inconsistency or omission in the data that may result in the record being rejected by the IRS/SSA.</p> <p><b>*Reject*</b>— Record is not imported unless corrected. Triggered by Missing Last/Company Name or non-allowed negative amounts.</p>

	<b>**EDIT**</b> —Record is flagged in TEST MODE; changes to record are not saved in TEST MODE.
<b>Error Messages</b> (blank means no errors)	May include Missing TIN, No TIN or Name, Missing Name, etc. Review Errors & Warnings <sup>83</sup> .

3. Double-click on any record to access the Update Import Hold screen. Individual import record information is available here to view and edit.

<b>Data Field</b>	The tax form specific fields; whether populated or not.
<b>Raw Value</b>	Precise data values from the import file. For example, a raw value of "750" for a dollar amount box.
<b>Import Value</b>	Software imported data values. For example, an imported value of "750.00" for a dollar amount box—notice the dollar amount is auto-formatted during the import process.
<b>Field Errors or Warnings</b>	Lists any Reject errors including Missing Last/Company Name or non-allowed negative amounts. If the incorrect or missing data is corrected, the associated warning disappears after clicking the "Save" button.

4. Any fields failing business rule validations <sup>252</sup> are detailed in the "Overall Tax Form Validation Errors and/or Warnings" window. Make edits in the corresponding Raw Value fields (double-click to open the field) and then "Save" to return to the main Edit, Post or Abandon Import Records screen.

Data Field	Raw Value	Import Value	Field Errors or Warnings
Rcp TIN			Missing TIN
Last Name/Company	YOUNG	YOUNG	
First Name	MANUEL	MANUEL	
Name Line 2			
Address Type			
Address Deliv/Street	635 20TH STREET	635 20TH STREET	
Address Apt/Suite			
City	CLINTON	CLINTON	
State	IL	IL	
Zip	61727	61727	
Country			
Rcp Account	AC-07	AC-07	
Box 1 Amount	750.08	750.08	
Box 7 Amount	-1000	(1000.00)	

Overall Tax Form Validation Errors and/or Warnings

- Missing TIN
- Box 7 Amount negative
- Box Fed w/ more than sum of payments

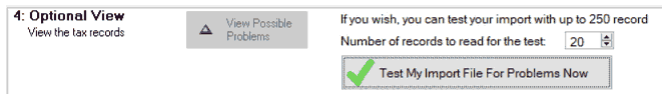
Save Cancel Help

5. Continue to change or delete individual records as necessary, and then "Post this Session" to continue to the Import Wizard—Post Data <sup>63</sup>. Alternatively, you can "Abandon This Session" and discard all records in the import, regardless of their Status/Validation.
  - **Eligible records include those with Warnings and Errors—with the exception of Reject Errors.** Records imported and posted with errors have an asterisk (\*) prefixed to their status at the Work With My Tax Forms <sup>30</sup> screen (e.g., \*Pending or \*Filed). Review Errors and Warning <sup>83</sup>
  - Some Corporate Suite installations allow a fixed number of transactions (records). If the combined total of existing records in the database and imported records exceeds this number,

the import may abort. To allow additional transactions, contact your Corporate Suite Account Manager to purchase a Bump Code<sup>61</sup>.

### TEST MODE—Edit, Post or Abandon Import

The Import Wizard—Load Data screen contains a TEST MODE version of the Edit, Post or Abandon Import Records screen. In TEST MODE, select the "Test My Import for Problems" button to perform a test import on up to 250 records. The Test Import Result window displays any errors and warnings. Select any record and click "Change/Fix selected record" to view data. **Changes to import records are not saved in TEST MODE.** Use TEST MODE as an opportunity to quickly verify your data and determine if you want to continue or abandon this import session.



Access TEST MODE version of the Edit, Post or Abandon Import Records screen.

### Update Import Record

During the import process you can view loaded records and individually edit them prior to posting them into the 1099 Pro software database. Posted records are available in the software for viewing, printing and filing. Loaded records are in a suspended state and can be edited prior to posting or deleted. It is ideal to edit errors/warnings now, prior to posting an import file; however records can also be edited at the Work With My Tax Forms<sup>30</sup> screen while in a Pending status.

### Update Loaded Import Record

1. At the Edit, Post or Abandon Imported Records screen highlight any record with an error and click the "Change/Fix Selected Record" button.
2. At the Update Records screen data is displayed as follows:
  - Raw Value—The exact data from your import file.
  - Import Value—The data as it has been imported and will display in your records. For example, a dollar amount raw value of "700" has an import value of "700.00".
  - Field Errors or Warnings—Flags some critical errors such as Missing TIN. Review Warnings & Errors<sup>83</sup> and 1042-S Common Errors<sup>84</sup>
  - The Overall Tax Form Validation Errors and/or Warnings box lists ALL items with errors or warnings.
3. Click on any field in the Raw Value column, make changes and click "Save" to save all changes and exit the screen.
  - To enter or change a TIN make certain to correctly place hyphens.
  - To mark a check box use "1, x, X or Y"; otherwise leave the box blank.

### Transactional Imports (CS Only)

A transactional import allows you to aggregate (combine) amounts for a given Recipient. Aggregation is the process wherein a Recipient with multiple forms of the same type, for the same Filer, can have the total(s) of certain tax form fields added or subtracted together to create one overall form which continually displays the total of the specified tax form fields. This is useful in situations when you need to combine, print and report on a single form the totaled amounts from multiple forms for a given Recipient. See Tax Form Aggregation<sup>246</sup> for details.



## Transactional Imports Overview

Transactional imports are unique in that they require multiple steps as outlined below. Transactional imports aggregate dollar amount fields only.

1. **Aggregation**<sup>[247]</sup>—Turn on aggregation, select tax form(s) and set rules (criteria).
2. **Add Recipient Data**—Recipients must be added *prior* to importing aggregation data.
  - Import Recipients: Use the Import Wizard<sup>[28]</sup> to import a Recipients-only file, OR
  - Manually Enter Recipients: At the Master Recipient List screen use the "Add" button to manually add Recipients.
3. **Import Transactional Data**—Create an import map with a "Transactional" import type.
  - Delimited Import Map<sup>[86]</sup>
  - Fixed Width Import Map<sup>[89]</sup>
4. **Data Match**—Verify that the Recipient criteria (e.g., TIN, Account Number, Control Number) to be validated in your import file is accurate.
5. Use the Import Wizard to import your data using the transactional import map you created.

## Troubleshooting

A transactional import should not be performed until associated Recipients are entered into Corporate Suite. In such case, the imported transactional data is assigned an "In Process" status and is only available to "Load" AFTER the associated Recipients are entered into the database.

## Transactional Items

Form aggregation can be configured to use the following criteria: TIN, Control Number, Account, Box 15 State, Tax State, Distribution code, Form Category, Form Source, Department, Box 13 Retirement, Box 13 Statutory and/or Box 13 Sick Pay.

## Set Criteria

1. On the menu bar select File > Security & Administration > Combining Tax Forms.
2. The Aggregation/Roll-Up Options screen indicates if aggregation is On or Off and which forms, if any, are enabled for this functionality.
3. Select a tab for any enabled form to view Exceptions by Filer.
4. Click "Add" to add a new Filer or highlight an existing Filer with exceptions and click "Change".
5. The Form Aggregation Options screen displays two columns; the left column (Available Fields) contains a list of available matching criteria and the right column (Selected Fields) represents the items selected for matching.
  - Drag items from the left column to the right column to select aggregation fields.
  - Use the Up / Down buttons to change the order by which the criteria are matched. The order reads from top to bottom, with the top coming first.
  - See Aggregation Rules<sup>[247]</sup>
6. Once finished, click "Save/Apply Rule NOW" to save settings or "Cancel" to abort changes.
7. The software immediately aggregates (combines) forms based on the user selected fields.

## Year-To-Date Imports (CS Only)

Year-To-Date (YTD) imports allow you to override existing data with new data from your import file. YTD imports differ from Transactional Imports which are intended to aggregate amounts. After

performing a YTD import, use the Zero Drop Process to drop (delete) tax records that were not in the latest YTD import file or within a specific date range.

## Year-To-Date Imports Overview

YTD imports are unique in that they require multiple steps as outlined below. YTD imports override all fields (e.g., dollar amounts, codes, check boxes, etc.) with the exception of user-defined criteria (e.g., TIN, Account Number, etc.).

1. **Aggregation**<sup>[247]</sup>—Turn on aggregation, select tax form(s) and set rules (criteria).
2. **Add Recipient Data**—Recipients must be added *prior* to importing aggregation data, options include:
  - Import Recipients: Use the Import Wizard<sup>[28]</sup> to import a Recipients-only file, OR
  - Manually Enter Recipients: At the Master Recipient List screen use the "Add" button to manually add Recipients.
3. **Import Transactional Data**—Create an import map with a "Year-To-Date" import type.
  - Delimited Import Map<sup>[86]</sup>
  - Fixed Width Import Map<sup>[89]</sup>
4. **Data Match**—Verify that the Recipient criteria (e.g., TIN, Account Number, Control Number) to be validated in your import file is accurate.
5. Use the Import Wizard to import your data using the YTD import map you created.
6. Review your imported data and perform a Zero Drop Process<sup>[70]</sup> to delete tax records, as appropriate.

## Troubleshooting

A YTD import should not be performed until associated Recipients are entered into Corporate Suite. In such case, the imported YTD data is assigned an "In Process" status and is only available to "Load" AFTER the associated Recipients are entered into the database.

## Zero Drop Process (CS Only)

The Zero Drop process is for use with Year-To-Date (YTD) imports<sup>[69]</sup> only. This process is designed to remove/delete (drop) tax records that were not in the latest YTD import file or within a specific date range. For example:

- A company imports their Quarter 1 (Q1) data for quarterly reporting purposes. The data has two recipients who each received \$500.
- The company then imports their Quarter 2 (Q2) data. This time, the data only has one recipient for \$1500. The second recipient was paid in error from Q1 and Accounting reversed the payment.
- The zero drop process can be used to remove/delete (drop) the second recipient's existing tax form (for \$500) because that amount should have never been paid and was reversed.
  - This becomes helpful when you have hundreds, or thousands, of such reversals and/or if your Accounting does not tell you which recipients should be dropped.

Year-To-Date (YTD) imports should contain the most recent data available at the time of import. The data in the YTD import files overrides the existing data, with the new values from the import file, for any related Recipient's tax form in the system. YTD imports differ from Transactional Imports<sup>[68]</sup>, which are intended to aggregate data.

## Perform a Zero Drop

On the menu bar select Utilities > Manage Year-to-Date Import Zero Drops. At the Begin a New Zero Drop Process screen are two options:

**OPTION 1—Begin a Drop by Import Session Process:** Use to apply the Zero Drop process to records based on an *Import Session ID*.

1. Click the "Begin a Drop by Import Session Process" button to access the Select Import Session screen. Select (or highlight) an Import Session ID and click the "Select" button.
2. Select the Filers to apply the zero drop process to via the "Tag" button; multiple Filers can be selected or tagged. Click the "Proceed to the next step" button.
3. The program prompts to confirm the "Zero Drop" process. Click the "OK" button to continue or the "Cancel" button to exit this screen.

**CAUTION:** This process drops all tax forms—for the form type and filers selected—that were not included/updated in one specific import session. If you imported YTD forms from multiple files, this process drops all records not in the one specific import session (file) that is selected.

**OPTION 2—Begin a Drop by Date Range Process:** Use to apply the Zero Drop process based on a *specified date range*.

1. Click the "Begin a Drop by Date Range Process" button to start.
2. At the Form Selection screen choose the form type to apply the Zero Drop process to by highlighting it and pressing the "Select" button.
3. Select the Filers to apply the Zero Drop process to via the "Tag" button; multiple Filers can be selected or tagged. Use the "Save" button to save these selected Filers for later usage. These saved Filers can be loaded during future processes by clicking the "Load" button.
4. With Filers selected, click on the "Select Date Range to use" button.
5. Select your date range by either entering a date into the "Set Range From" and "Through" fields—use the calendar icon button to the right of the date range boxes to display a pop-up calendar for easy date selection—or choose from any of the predefined options in the "Default Ranges" box. Click in any radio box to the left of the date range and entered dates auto-fill the "Set Range From" and "Through" fields.
6. Click the "OK" button to save date ranges and continue.
7. Use the "Ignore Manually Created Records" checkbox to have this process ignore any records that were manually keyed into the software (i.e., such as one-off records). If checked, these manually entered records are excluded from the Zero Drop process altogether.
8. Use the "Proceed to the next step" button to load the Zero Drop.
9. The program prompts to confirm the "Zero Drop" process. Click the "OK" button to continue or the "Cancel" button to exit the this screen.

**CAUTION:** This process drops all tax forms—for the form type and filers selected—that do not have a transaction accounting date within the specified date range. Ensure that all of your YTD transactions for that date range have been successfully imported into the software before performing this process. Otherwise, the forms from those imports may be dropped due to not having a transaction in the specified date range.

## Import Corrections (CS Only)

Corporate Suite allows you to import corrections. For detailed instructions on this process, see the 1099 Pro Guide for Creating Corrections (PDF) on our Wiki.

## Import Files

### Sample Import Files

Most 1099 Pro software installations include sample import files by form type and for Filers. You are strongly encouraged to review sample import files and incorporate our Header Records into your import files. This ensures an easy, map-by-name import. Please review our Import File Conventions<sup>[73]</sup> and Filer Specific Import File Conventions<sup>[80]</sup>.

### Sample Import File Locations

Software Product	Default Import File Location
1099 Pro Professional/Enterprise:	C:\1099 Pro\Pro99T19\Import\Sample XLS Files
Corporate Suite Only	Corporate Suite installations do not include sample import files; however these files are available for download on the 1099 Pro WIKI.
1042-S Pro	C:\1099 Pro\Pr42ST19\Import\Sample XLS Files
W-2 Pro	C:\1099 Pro\ProW2T19\Import\Sample XLS Files
8966 Pro	C:\1099 Pro\Pro66T19\Import\Sample XLS Files
* All Software Products *	Import files for ALL 1099 Pro software products are available online via the 1099 Pro WIKI which also includes field specific details for all tax forms.

For customers not interested in using our Header Records or for information on importing other file types, see Delimited or Excel Import Maps<sup>[86]</sup> and Fixed Length Import Maps<sup>[89]</sup>. Corporate Suite users see Transactional Imports<sup>[68]</sup> to learn about data aggregation.

### Instructions for an Easy Import

Review our sample import files PRIOR to creating yours and include our exact Header Records. Watch our newly updated, Importing Using Standard Maps, online video tutorial.

1. Open the Import\Sample XLS Files folder to view all available sample import files. Select and open the appropriate sample file, for example, "1099-MISC.xls", "W2 20XX.xlsx" or "1042-S Sample Excel Import.xls".
2. Review the sample data and notice the formatting of the TINs, First and Last Names, Foreign Addresses, etc. Review Import File Conventions<sup>[73]</sup> thoroughly before continuing.
  - All Excel files contain a second worksheet with form specific guidance on the various fields and data requirements.
3. Copy the "Header Records"—the top row of data containing the respective field names—onto a new Excel sheet. Then enter your live data into the appropriate fields.
  - Do not place a blank row between the Header Records and the start of your data.

- Do not edit the Header Record descriptions.
  - Do not freeze the top row in Excel.
  - It is okay to delete columns; however this triggers a "missing field" warning during the import process.
  - Only the first worksheet in an Excel document is imported.
4. Save this excel sheet as a **Text (Tab Delimited).TXT** file to preserve formatting. Your file is now ready to import into the software. Continue to Load Import Wizard<sup>59</sup>.

## General Import File Conventions

Please review these conventions PRIOR to creating your import file. We strongly encourage you to review our sample import files<sup>72</sup> prior to creating your custom import file. If printing forms via our Service Bureau, review important Print Specifications<sup>120</sup>.

### Related Topics:

- See Form 1042-S Import File Conventions<sup>76</sup>
- Review Tax Form Specific Import File Conventions on the 1099 Pro Wiki site.
- See Filer Specific Import File Conventions<sup>80</sup>

### Import Tips

- Save your Excel data as a **Text Tab Delimited .TXT** file to preserve formatting during import.
- Do not place a blank row between the Header Records and the start of your data.
- Do not edit the Header Record descriptions.
- Do not freeze the top row in Excel.
- It is okay to delete columns; however this triggers a "missing field" warning during the import process.
- Only the first worksheet in an Excel document is imported.

## General Import Fields

Fields in **RED** are required. See Corporate Suite Only Fields below.

Field (Header Record)	Description	Max. Characters
<b>Rcp TIN</b>	Enter dashes in TINs to differentiate SSNs and EINS. Leave blank if TIN is missing or unknown.  See Name Control <sup>203</sup> to learn about the importance of entering valid TINs.	11
Rcp TIN Type	This is a software specific internal code used to format TINs entered in the RCP TIN field without dashes. Definitions include: EIN=1, SSN=2, Unknown type=0 or blank	1
<b>Last Name / Company</b>	Enter Company if Recipient TIN is an EIN. Enter Last Name if Recipient TIN is an SSN.	40

Field (Header Record)	Description	Max. Characters
	See Name Control <sup>[203]</sup> to learn about the importance of entering the appropriate name in the appropriate field.	
First Name	Enter First Name only if Recipient TIN is an SSN. If Recipient TIN is an EIN, leave this field blank.	40
Name Line 2	Name line 2.	40
Name Line 3	Name line 3. <i>Corporate Suite Only field.</i>	40
Name Line 4	Name line 4. <i>Corporate Suite Only field.</i>	40
<b>Address Type</b>	Leave blank for US addresses. Enter "C" for Canada or "O" (not zero) for Other foreign countries. See Country Codes Table <sup>[266]</sup> for more information. Please see Address Type Error below.	1
<b>Address Deliv / Street</b>	Recipient address line 1. See Print Specifications <sup>[120]</sup> for important considerations on data to include in this field.	40
Address Apt / Suite	Recipient address line 2. See Print Specifications <sup>[120]</sup> for important considerations on data to include in this field.	40
<b>City</b>	Recipient city or province.	40
<b>State</b>	US State or Canadian Province. <i>If Address Type is "O" (Other), this field is not applicable.</i>	2
<b>ZIP</b>	Recipient ZIP or postal code. <i>For Canada the required format is letter-number-letter, a space, then number-letter-number. For example, "C3H 4W9" is a valid Canadian postal code.</i>	
Comb City/State/Zip	Recipient city, state and zip as one field. This field cannot be used in tandem with the standalone City, State and Zip fields. <i>This is an alternative format field and users must manually insert the header record into their import file.</i>	40
Country	Recipient Country, enter only if Address Type is "O". Please see Country Field <sup>[76]</sup> below.	25
Rcp Account	Recipient Account Number.	20
Rcp Email	Useful if you want the ability to email forms (individually) to your Recipients. See Email Tax Forms <sup>[52]</sup>	
<i>Additional Fields</i>		
Checkboxes	Use X / Y / T / 1 to mark a checkbox. Leave field blank or use N / F / 0 (zero) to NOT mark checkbox. Values are not case sensitive.	1
Dates	Use MM/DD/YYYY format only. Unacceptable formats include Jan 3, 2019 and January 3,2019.	
Dollar Amounts	<b>Do not use commas or dollar signs</b> , e.g., use 1250.00, not \$1,250. Decimals are not assumed if none are contained in the	12

Field (Header Record)	Description	Max. Characters
	amounts. For example, 1250 imports as \$1,250.00. An import of 1250.0000 (Access or double precision databases) imports as \$1,250.	
<i>Optional Filter/Query Fields (not displayed when printed or filed)</i>		
Form Source	Optional field to specify a source (identifier) for multiple users or departments importing data. For example, if Accounting, Payroll and Human Resources each import data, by entering their department name as the form source, they can use that value to generate department specific queries and reports. This field can also be used to aggregate data (assuming aggregation <input type="checkbox"/> is enabled in Security).	12
Form Category	Optional field to specify categories of data for a secondary sort criteria. For example, if Accounting is the Form Source value, enter "Los Angeles" or "NYC" as the Form Category value to generate more specific queries and reports.	12
Batch ID	Optional field to enter a batch ID. For example, if Jane, Joe and John in Accounting each import data, they could enter their User ID in this field to isolate their imported data in queries and reports.	12
Tax State	Optional override for state reporting/filing. IMPORTANT: Values in explicit state boxes (e.g., Box 17 on Form 1099-MISC) automatically take precedence over this field.	2

### Corporate Suite Only Fields

Field (Header Record)	Description	Max. Characters
Filer TIN	Use to import records for multiple Filers in a single file. All three fields are required.	11
Filer Payer Code		15
Filer Location		
Alt Rcp Account	Alternate Recipient account.	60
Rcp IMB	Optional USPS IMB code.	31
Accounting Date	Optional accounting date.	6
Print Code 1, 2, 3	Optional print code 1, 2 or 3.	1 per
Do Not File	Optional user do not file box.	1
Do Not Merge	Optional user do not merge box.	1
Do Not Print	Optional user do not print box.	1
Filter: RecType	Ignore records that do not match this value.	12

**COUNTRY FIELD**—Acceptable formats for this field:

- **A Country Name:** This is matched against the country file, and if a match is found, it assigns the proper country code to the form (e.g., Japan).
- **An Alias for a Country Name:** If a match is found for an alias, it is converted to the proper country name. For example, setup "FR" as an alias for France. See Country Alias<sup>[230]</sup>.
- **A Country Code:** and optionally, one of the internal country key values for cases where there are multiple names associated with one code (e.g., 'UK' can be 'United Kingdom', 'England', 'Scotland', 'Wales', etc.). The format is a two character country code, a slash and then the country key (if any). The country file is arranged so that if there is no key being imported, it will use the most inclusive/generic country name. Examples: 'UK' translates to 'United Kingdom', as would 'UK/0' or 'UK/1' 'UK/2' = 'Great Britain' 'UK/3' = 'Northern Ireland' ... and so on. The country name may also be spelled out however the spelling must match what is displayed in the list of acceptable country names in the 1042-S Instructions listed on the IRS's website. For more information, refer to the Instructions for 1042-S from the IRS Website at <http://www.irs.gov> . The last few pages of the 1042-S form instructions have both the country name & country codes in the section entitled "Country Codes"

**ADDRESS TYPE ERROR**—Users may receive an error during import if there is a discrepancy between the Address Type and Country fields; for example, if an Address Type of "C" for Canada is entered with a Country Code of "JA" for Japan. Users should abandon their import and edit their data file to reflect the proper Address Type for the Country to resolve the error. There is also the option to manually correct the error upon importing and posting your data at the Work With My Tax Forms<sup>[30]</sup> screen.

## 1042-S Import File Conventions

Please review these Form 1042-S specific conventions PRIOR to creating your import file. We strongly encourage users to review our sample import files<sup>[72]</sup> and include our Header Records to ensure success! For all other tax forms see General Import File Conventions<sup>[73]</sup>

### Related Topics:


- Review Tax Form Specific Import File Conventions on the 1099 Pro Wiki site.
- Filer Specific Import File Conventions<sup>[80]</sup>
- 1042-S Common Errors<sup>[84]</sup>

### Import Tips

- Save your Excel data file in **Text Tab Delimited .TXT** format to preserve formatting during import.
- Do not place a blank row between the Header Records and the start of your data.
- Do not edit the Header Record descriptions.
- Do not freeze the top row in Excel.
- It is okay to delete columns; however this triggers a "missing field" warning during the import process. It is acceptable to have extra fields that will not be included in your import, e.g., phone number, DOB, etc.
- Only the first worksheet in an Excel document is imported.
- Effective TY 2018 some codes have changed, see Code Changes<sup>[79]</sup>.

Fields in **RED** are required.



Field (Header Record)	Description	Max. Characters
<b>Rcp TIN</b>	Enter dashes in TINs to differentiate SSNs and EINS. Leave blank if TIN is missing or unknown.	11
Rcp TIN Type	This is a 1042-S Pro internal code used to format TINs entered in the RCP TIN field without dashes. Definitions include: EIN=1, SSN=2, Unknown type=0 or blank	1
Rcp TIN Code	The IRS removed this field effective TY 2017.	N/A
<b>Unique Form Identifier</b>	<b>Required for Form 1042-S only.</b> Effective TY 2017, withholding agents are required to assign a unique identifying number to each Form 1042-S they file. This identifying number is used, for example, to identify which information return is being corrected or amended when multiple information returns are filed by a withholding agent with respect to the same recipient. The unique identifying number cannot be the recipient's U.S. or foreign TIN and it must be numeric and exactly 10 digits (i.e., between 1,000,000,000 to 9,999,999,999). The identifying number can be used on a new original form in a subsequent year.  During manual entry or import 1042-S Pro automatically assigns a unique form identifier if one is not provided.	10
Amendment No.	This field may be blank (not a correction) or a running number sequence from "1" to "99". This field is controlled internally by the software's correction process.	2
<b>Last Name / Company</b>	Enter Company if Recipient TIN is an EIN. Enter Last Name if Recipient TIN is an SSN.  See issuing records to Unknown Recipients  .	40
First Name	Enter First Name only if Recipient TIN is an SSN. If Recipient TIN is an EIN, leave this field blank.	40
Name Line 2	Name line 2.	40
<b>Address Type</b>	Leave blank for US addresses. Enter "C" for Canada or "O" (not zero) for Other foreign countries. See Country Codes Table for more information. Please see Address Type Error below.	1
<b>Address Deliv / Street</b>	Recipient address line 1	40
Address Apt / Suite	Recipient address line 2	40
<b>City</b>	US/Canada enter City. <b>Foreign addresses ONLY enter City, Country and Postal Codes.</b>	40
<b>State</b>	US State or Canadian Province.	2

Field (Header Record)	Description	Max. Characters
<b>ZIP</b>	US/Canada enter postal codes. For Canada the required format is letter-number-letter, a space, then number-letter-number. For example, "C3H 4W9" is a valid Canadian postal code. <b>Foreign addresses enter postal codes in City field.</b>	
Country	Enter if Address Type is "O". Please see Country Field below.	25
Rcp Account	Recipient Account Number. The Generate Account Wizard <sup>[101]</sup> can auto populate field if required.	20
Rcp Email	Useful if you want the ability to e-mail forms (individually) to your recipients. See E-Mail Tax Forms <sup>[52]</sup> .	
<b>Additional Fields</b>		
Checkboxes	Use X / Y / T / 1 to mark a checkbox. Leave field blank or use N / F / 0 (zero) to NOT mark checkbox. Values are not case sensitive.	1
Dates	Use MM/DD/YYYY format only. Unacceptable formats include Jan 3, 2019 and January 3, 2019.	
Dollar Amounts	<p><b>Do not use commas or dollar signs</b>, e.g., use 1250.00, not \$1,250. Decimals are not assumed if none are contained in the amounts. For example, 1250 imports as \$1,250.00. An import of 1250.0000 (Access or double precision databases) imports as \$1,250.</p> <p>Per Pub. 1187 (Rev. 9/2018), Sec. 1 Record Format, "<b>Do not use decimal points (.) to indicate dollars and cents.</b> All income, withholding, and repayment fields must be reported in whole dollars only. Do not enter cents in amount fields. To round amounts to the nearest whole dollar, drop amounts under 50 cents and increase amounts from 50 to 99 cents to the next dollar."</p>	

**COUNTRY FIELD**—Acceptable formats for this field:

- **A Country Name:** This is matched against the country file, and if a match is found, it assigns the proper country code to the form. (e.g., Japan)
- **An Alias for a Country Name:** If a match is found for an alias, it is converted to the proper country name. For example, setup "FR" as an alias for France. See Country Alias<sup>[230]</sup>.
- **A Country Code:** and optionally, one of the internal country key values for cases where there are multiple names associated with one code (e.g., 'UK' can be 'United Kingdom', 'England', 'Scotland', 'Wales', etc.). The format is a two character country code, a slash and then the country key (if any). The country file is arranged so that if there is no key being imported, it will use the most inclusive/generic country name. Examples: 'UK' translates to 'United Kingdom', as would 'UK/0' or 'UK/1' 'UK/2' = 'Great Britain' 'UK/3' = 'Northern Ireland' ... and so on. The country name may also be spelled out however the spelling must match what is displayed in the list of acceptable country

names in the 1042-S Instructions listed on the IRS's website. For more information, refer to the Instructions for 1042-S from the IRS Website at <http://www.irs.gov>. The last few pages of the 1042-S form instructions have both the country name & country codes in the section entitled "Country Codes"

**ADDRESS TYPE ERROR**—Users may receive an error during import if there is a discrepancy between the Address Type and Country fields; for example, if an Address Type of "C" for Canada is entered with a Country Code of "JA" for Japan. Users should abandon their import and edit their data file to reflect the proper Address Type for the Country to resolve the error. There is also the option to manually correct the error upon importing and posting your data at the Enter, Update & View screen.

### 1042-S CODE CHANGES (TY 2018)

*As of June 2019, the IRS has not released Pub. 1187 for TY 2019.*

Old (2017) Codes	New (2018) Codes
<u>Exemption Codes: Chapter 3 (Box 3a)</u>	
54—Other Income	54—Substitute payments-interest from certainly actively traded or publicly offered securities (renamed)
	23 - Exempt under section 897(l) (new)
<u>Status Codes: Chapter 3</u>	
33—Joint account withholding rate pool (drop)	
36—Qualifying dividend equivalent offsetting payments to U.S. persons (drop)	
37—Nonqualifying dividend equivalent payments to U.S. persons—Undisclosed (drop)	
38—Other qualifying dividend equivalent offsetting payments (ECI) (drop)	
<u>Status Codes: Chapter 4</u>	
14—Certified Deemed-Compliant FFI—Investment Advisor or Investment Manager	14—Certified Deemed-Compliant FFI—Investment Entity that does not maintain financial accounts (renamed)
	17—U.S. Branch—treated as U.S. person (new)
	18—U.S. Branch—not treated as U.S. person (reporting under section 1471) (new)
<u>LOB Code (Box 13i)</u>	
01—Individual (drop)	
<u>Valid Tax Rates (Boxes 3b/4b tax rates)</u>	
35.00% (drop)	
39.60% (drop)	
	21.00% (new)

Old (2017) Codes	New (2018) Codes
	37.00% (new)

## Unknown Recipients

Per the IRS Instructions for Form 1042-S, there are certain instances wherein it is acceptable to issue a form to an Unknown Recipient. Generally, no recipient address should be present when issuing a record to an Unknown Recipient.

## Entering Unknown Recipient Records

Users should enter "UNKNOWN RECIPIENT" in the Last Name/Company field of their import file and leave the corresponding recipient address fields blank; 1042-S Pro allows these types of records to successfully import. To manually edit or add records for an Unknown Recipient, **the Recipient Address Type must be set to "U.S.A."**. If "Canada" is selected the user is forced to pick a Province and if "Other" is selected the user is forced to pick a Country Code.

## IRS Filing Options

When generating a Service Bureau IRS Filing or Magnetic Media for Unknown Recipient records, the recipient address field is automatically dropped. Per IRS Pub. 1187, Tax Year 2017, page 33:

*If a recipient is an "UNKNOWN RECIPIENT" or "WITHHOLDING RATE POOL", no address should be present. These are the only two situations where a street address is not required.*

Thus, although the user may be forced to select "U.S.A" in the Recipient Address Type, **the address information is neither included in the IRS electronic (magnetic media) file** nor does it appear on printed copies of Form 1042-S.

## Filer Specific Import File Conventions

Please review these conventions PRIOR to creating your Filer specific import file. We strongly encourage users to review our sample import files<sup>[72]</sup> and include our Header Records to ensure success!

### Related Topics:

- Review Tax Form Specific Import File Conventions on the 1099 Pro Wiki site.
- General Import File Conventions<sup>[73]</sup>
- Add a Filer<sup>[208]</sup>

## Import Tips

- Save your Excel data file in **Text Tab Delimited .TXT** format to preserve formatting during import.
- Do not place a blank row between the Header Records and the start of your data.
- Do not edit the Header Record descriptions.
- Do not freeze the top row in Excel.
- It is okay to delete columns; however this triggers a "missing field" warning during the import process.
- Only the first worksheet in an Excel document is imported.

Fields in **RED** are required.

Field (HEADER RECORDS)	Description	Max. Characters
<b>TIN</b>	Enter dashes in TIN to differentiate SSN/EIN (e.g., 12-1234567, 123-45-6789). Leave blank if TIN is applied for or unknown.	11
TIN Type	An internal code used to format TINs entered in the TIN field without dashes. 1 = EIN, 2 = SSN, and 0 (or blank) = Unknown	1
TIN is Applied For	1 = 'Applied For', otherwise leave this field blank.	1
TIN Masking	Use TIN Masking when printing recipient forms. 1 = Yes, 0 or blank = No. It is not allowed to mask a Filer's TIN when printing forms.	1
<b>Filer Payer Code</b>	PCode. Must be unique alphanumeric code.	15
Location Code	The first four characters display on IRS Penalty Notices. If this field is blank the Filer Payer Code is used.	
<b>Name Line 1</b>	Name of the filing entity.	40
Name Line 2	Filing name line 2 of the filing entity.	40
Address Type	Leave blank for US addresses. Enter "C" for Canadian addresses or "O" (not zero) for Other foreign countries. <b>See Country Codes Table for more information. Please see Address Type Error below.</b>	1
<b>Address Line 1</b>	Filer address line 1 (street, etc.)	40
Address Line 2	Filer address line 2 (suite, dept., etc.)	40
<b>City</b>	US/Canada enter City. <b>Foreign addresses ONLY enter City, Country and Postal Codes.</b>	40
<b>State</b>	State or Province, Locale if 'Other' country.	2 or 23
<b>ZIP</b>	US/Canada enter postal codes. <i>For Canada the required format is letter-number-letter, a space, then number-letter-number. For example, "C3H 4W9" is a valid Canadian postal code.</i> <b>Foreign addresses enter postal codes in City field.</b>	15
Country Name	Enter if Address Type is "O". Please see Country Field below.	25
Email	Email address for Filer.	25
Fax	Fax number for Filer.	15
State Abbr for ID	See Multiple States/State ID Numbers below.	2
State ID Number	See Multiple States/State ID Numbers below.	15
<b>Contact Dept</b>	Contact department abbreviation, for example "AP", "HR", etc.	15
<b>Contact Dept Full</b>	Full contact department name	40

Field (HEADER RECORDS)	Description	Max. Characters
Contact is Default	Contact if filer default when adding forms. 1 = Yes, 0 or blank = No.	1
<b>Contact Name</b>	Contact name for department.	40
<b>Contact Phone</b>	Contact phone for department (prints on Recipient copies of tax forms).	15
Contact Ext	Contact phone extension for department.	7
Combined Filer	Participates in Combined Federal State Filing Program (CFSF). 1 = Yes, 0 or blank = No.	1
1099-INT RTN	Filer Routing Transfer Number (RTN), if applicable.	9
1099-K Filer Type	PSE/EPF/TPP indicator field. 0 or Blank = Not Applicable, 1 = PST (Payment Settlement Entity, EPF = Electronic Payment Facilitator and TPP = Third Party Payer	3
1099-K PSE Name	PSE Name	40
1099-K PSE Phone	PSE Phone	20
Other		
Checkboxes	Use X / Y / T / 1 to check a box. Leave field blank or use N / F / 0 (zero) to NOT check a box. Values are not case sensitive.	1

**COUNTRY FIELD**—Acceptable formats for this field:

- **A Country Name:** This is matched against the country file, and if a match is found, it assigns the proper country code to the form. (e.g., Japan)
- **An Alias for a Country Name:** If a match is found for an alias, it is converted to the proper country name. For example, setup "FR" as an alias for France. See Country Alias<sup>[230]</sup>.
- **A Country Code:** and optionally, one of the internal country key values for cases where there are multiple names associated with one code (e.g., 'UK' can be 'United Kingdom', 'England', 'Scotland', 'Wales', etc.). The format is a two character country code, a slash and then the country key (if any). The country file is arranged so that if there is no key being imported, it will use the most inclusive/generic country name. Examples: 'UK' translates to 'United Kingdom', as would 'UK/0' or 'UK/1' 'UK/2' = 'Great Britain' 'UK/3' = 'Northern Ireland' ... and so on. The country name may also be spelled out however the spelling must match what is displayed in the list of acceptable country names in the 1042-S Instructions listed on the IRS's website. For more information, refer to the Instructions for 1042-S from the IRS Website at <http://www.irs.gov>. The last few pages of the 1042-S form instructions have both the country name & country codes in the section entitled "Country Codes"

**ADDRESS TYPE ERROR**—Users may receive an error during import if there is a discrepancy between the Address Type and Country fields; for example, if an Address Type of "C" for Canada is entered with a Country Code of "JA" for Japan. Users should abandon their import and edit their data file to reflect the proper Address Type for the Country to resolve the error. There is also the option to manually correct the error upon importing and posting your data at the Enter, Update & View screen.

## Error & Validation Checks

All 1099 Pro software products perform validation checks on your data. This helps you find and fix potential tax form errors (see Disclaimer)<sup>51</sup> prior to submission to Recipients or the IRS. Error and validation checks occur whether data is manually entered or imported. It also occurs when printing a form, generating a paper file (e.g., 1096/W-3/1042-T Transmittal), an electronic file or Service Bureau upload. If a problem is detected, the software flags the record with a Warning, Error or Reject Error. You are encouraged—but not required—to fix warnings and errors prior to submitting these records to Recipients or the IRS.

### Quick Error Scan

Use to quickly scan all records in the 1099 Pro software database.

- Option 1: On the menu bar select Utilities > Check/Update Error Status For All Forms.
- Option 2: In any Service Bureau Wizard click the "Error Scan" button.

### Warnings & Errors Defined

Whether importing or manually entering data, this software flags any records with Warnings, Errors or Reject Errors per Business Rule Validations<sup>252</sup>. Any record containing a warning or error has an asterisk (\*) prefixed to its status at the Work with My Tax Forms screen (e.g., \*Pending or \*Filed).

Type	Defined	Examples
Warnings	Possible inconsistency or omission in the data that may result in the record being rejected by the IRS/SSA	<ul style="list-style-type: none"> <li>• City &amp;/or State do not match USPS ZIP list</li> <li>• Invalid Country (see Country Alias<sup>230</sup>)</li> <li>• Missing TIN</li> <li>• Missing State</li> <li>• Invalid Checkbox Code</li> </ul>
Errors	Serious flaws in the data which will most likely result in an IRS/SSA reject.	<ul style="list-style-type: none"> <li>• Missing Last Name/Company Name</li> <li>• Invalid State abbreviation</li> <li>• Missing ZIP/Postal Code</li> </ul>
<b>Reject Errors</b>	Data has not been entered correctly and will result in automatic IRS/SSA rejection.	<ul style="list-style-type: none"> <li>• Missing Last Name + TIN</li> <li>• Field contains non-allowed negative amounts</li> </ul> <p><b>Form 1042-S Only:</b></p> <ul style="list-style-type: none"> <li>• Missing Box 13b Country Code</li> <li>• Missing/Invalid/Duplicate Unique Form ID Number</li> <li>• <b>See 1042-S Errors<sup>84</sup> for common errors and solutions.</b></li> </ul>

### Find Problem Records

All 1099 Pro software products offer multiple means to locate problem records including:

- **Form Counts Report<sup>288</sup>**: View a concise listing of all Filers and form types including number of warnings and/or errors per form type.

- **Control Totals Report**<sup>[95]</sup>: View errors and/or warnings in detail by Recipient. Users must select the "Extended Version—Errors and Warnings Messages" to access this information.
- **Review Import Records**: Prior to posting import data into the software, users can edit or delete individual records, or abandon an entire import session, during the Validate Data portion of the import process.
- **Error Queries**: Sort records by "Errors Only" or "Errors & Warnings Only" at the Work With My Tax Forms screen.

### Run Error Queries

1. On the task panel select Preparing My Forms > Work With My Tax Forms.
2. At the Enter, Update and View screen use the Current Query drop menu to select "Errors and Warnings Only" or "Errors Only".
3. The Enter, Update and View screen immediately displays any records that match the query criteria.
  - If NO records display then there are no problem records for the selected Filer and form type.
  - Any record containing an error or warning can be fixed provided it has a Pending status.
  - After fixing a problem record it immediately disappears from this list.
  - After fixing all problem records reset the Current Query to "All Records".

### Business Rules/Validation Changes

All 1099 Pro software products include standard business rules—based on IRS/SSA specifications—for detecting errors and/or warnings on tax forms. At their discretion, Administrators can change default validation rules (see See Custom Tax Form Validation Rules). *Caution: Disabling a business rule does not guarantee IRS/SSA acceptance of your records.* Run the Business Rules Summary Report<sup>[253]</sup> for a list of all common and form specific rules.

### DISCLAIMER

1099 Pro software identifies many, but not all, of the most common format errors in information compliance submissions. The likelihood of submission rejection, though not eliminated, is greatly reduced when utilizing this software. Even if no errors are identified by this software, your submission could be returned or you could be penalized because of other errors.

### Feedback

Users who encounter a situation that should possibly generate an Error or Warning in the software are encourage to discuss the situation with 1099 Pro, Inc. at [compliance@1099pro.com](mailto:compliance@1099pro.com). Please indicate the form type, data set and IRS regulations in your correspondence.

### 1042-S Common Errors

All 1099 Pro software products perform error and validation checks on your data. This helps users find and fix potential tax form errors (see Disclaimer)<sup>[5]</sup> prior to submission to Recipients or the IRS. Review general Error and Validation Checks<sup>[83]</sup>, 2019 1042-S Code Changes<sup>[79]</sup> and issuing records to Unknown Recipients<sup>[80]</sup>.

### 1042-S Common Errors

The following errors will cause your IRS submission to be rejected by the IRS (per IRS Pub. 1187 specs).



- **Box 13b Error—All forms must show a Tax Country Code in Box 13b, including those with Recipient Mailing Addresses in USA.** *Box 13b is located above the Recipient Name and Address field on the tax form entry screen. Box 13b is obscured when the Recipient Name and Address box is expanded.*
  - Box 13b cannot be blank.
  - Do not use "United States" or "US".
  - Include full Country Name in the field “RCP TAX COUNTRY NAME” in your Import file.

<b>13b</b> Recipient's country code	SZ
<b>13a-d</b> Recipient's name (first name, initial and last name), street address, city or town, province or state, and country (including postal code)	
(View mode -- click for Edit mode)	
Charlie Tuna	
Name line2	
Apt 2506	
1000 Ocean ST	
Santa Monica, CA 90402	

- **Canadian Address Type Error—Forms with Recipient Mailing Addresses in CANADA must be flagged as Address Type “C” and must include a Province Code.** Include a “C” in the field “RCP ADDRESS TYPE” and a Province Code in the field “Rcp State US/Canada” in your Import file.
- **Other Address Type Error—Forms with Recipient Mailing Addresses outside the USA and CANADA must be flagged as Address Type “O” (Other).** Include an “O” in the field “RCP ADDRESS TYPE” and the full Country Name in the field “Rcp Country Name” in your Import file.
- **Box 2 Error—Box 2 Gross Income must show an amount of at least \$0.50.** If not, the amount will be rounded down to ZERO prior to E-Filing, causing your entire file to be rejected by the IRS.
- **Boxes 13f & 13g Error—Either Boxes 13f and/or 13g must contain a Status Code, as applicable—both boxes cannot be blank.** Include a Status Code in one or both of the fields “Rcp Ch3 Status” and “Rcp Ch4 Status” in your import file.
- **Unique Form ID Number—**Any import record(s) with an invalid or duplicated Unique Form ID Number will be rejected. 1042-S Pro auto-populates this field if this number is missing in your import file.

## Manage Maps

A map defines the data fields and parameters of an import or export file. Corporate Suite users create custom maps to optimally import (or export) their tax form, Filer or Recipient data. Although Corporate Suite does not include sample import files<sup>72</sup> in its installation, these files are available on our WIKI and are useful in structuring import files and custom maps.

## Map Naming Convention

Maps are saved as TPS data files.

## Import Maps

Use the Manage Import Maps screen to create and view custom maps. Corporate Suite allows you to create Recipient Only, Filer Only and Tax Form import maps. Tax Form specific imports can include multiple Filers in a single file by making use of the Filer TIN, Filer Location and Filer Payer Code fields. This screen lists the type of mapping and the file format used for each map. Additional information includes Map Notes and Formatting Details. See Import Map Report<sup>[93]</sup>

Access the Manage Import Maps screen via the Import Wizard > "Add/Update Import Maps" button.

### Add a New Map

1. In the Import Wizard click the "Add/Update Import Maps" button.
2. To add a new map click the "Add" button. Select Excel/Delimited<sup>[86]</sup> or Fixed Length<sup>[89]</sup> as the map type and follow the steps in the Import Map Wizard.

### Change Existing Map

Highlight any existing import map and click "Change". Default, built-in maps cannot be modified; however, you can copy them and then edit the copied map. Follow the onscreen steps as the wizard guides you through the process of editing an existing map. Any edits made overwrite the current mappings.

### Delete Existing Map

1. Highlight the existing map to delete. You are prompted to confirm your choice, click "OK".
2. An existing mapping cannot be deleted if it is tied to a current import/in-process import session. Any such imports must first be completed or abandoned and then the map can be deleted. Once deleted, a map cannot be recovered.

## Export Maps

An export map is identical to its corresponding import file. For example, the fields contained in a 1099-MISC sample import file are automatically included in a default, built-in 1099-MISC export file.

### Export a Map

1. At the Manage Import Maps screen click the "Export Map" button.
2. At the Map Export screen select an export location, confirm onscreen settings and click "Finish" to generate the file.

## Delimited/Excel Import Maps

All 1099 Pro software products offer custom Import Wizards to simplify the process of creating Delimited/Excel or Fixed Length<sup>[89]</sup> import maps. Corporate Suite users must always create custom import maps.

### Related Topics:

- Import Wizard (CS Only)<sup>[28]</sup>
- Import Map Report<sup>[93]</sup>

## Create Delimited/Excel Import Map (CS Only)

Import tax form specific, Recipient only, Filer only or generic Puerto Rico data in delimited and Excel formats (i.e., .XLS, .XLSX, .CSV, tab-delimited and pipe-delimited files).

1. On the task panel select Preparing My Forms > Import New Tax Forms.
2. At the Begin a New Import Session screen, click the "Create/Manage/Print Import Maps" button.
3. Select the data to import: tax form specific, Recipient only, Filer only or generic Puerto Rico and confirm the tax year.
4. The Manage Import Maps screen opens per your selected criteria. Import maps are defined by their Map Type (form type or Recipient only or Filer only), File Format (Excel, Delimited or Fixed Width), Process Type (Standard, Transactional or YTD), Status and Description.
5. At the Manage Import Maps screen click the "Add" or "Change" button and select Excel or Delimited as your import format.
6. The Delimited/Excel Import Wizard opens. Select a method for creating your list of import fields.
  - **Sample File (Recommended!)**—Use a sample file to populate the column headers. Click "Next" to browse for your sample import file.
  - **Map by Name (Manual Entry)**—Create a list of column headers based on data contained in the first record of your import file. Then use these headers to manually map columns in your import file to the correct import field. Click "Next" to enter your header values, one per line.
7. Map the Import Fields/Columns to Data Fields options include:
  - **Map by Name**—Use to automatically map fields with identical names. To cancel a Map by Name, use the "Reset/Clear the Map" button. See Combined Address Mapping below.
  - **Drag & Drop Fields**—Manually drag header records from the Input fields to the Mapped To fields. To cancel a match, double-click on a field. See Combined Address Mapping below.

Use the "Assign Value<sup>89</sup>" button to assign a fixed value to an unmapped field, as necessary.

**Combined Address Mapping:** Import files containing a combined City, State and Zip field—instead of individual City, State and ZIP fields—must be mapped to the *Comb City/St/Zip* input field. Do not map a combined address field to the individual *City*, *State* and *Zip* fields. An import file can contain the *Comb City/St/Zip* field OR the individual *City*, *State* and *Zip* fields, but NOT both.

8. Default Field Size and Format Options:
  - Amount (Dollar) Format Options—Check if "Amounts Use Implied Decimal Formatting". Use if your imported dollar amounts do NOT contain an explicit period between the dollars and cents portions of the amount (e.g., "10000" equals "100.00" in implied decimals). The use of implied decimals is rare.
  - Date Field Format Options—Select the date component order, if dates use four digits for the year, and if dates includes separators.
9. At the Set Recipient Matching Options screen, indicate how the software should match imported records with existing Recipients or tax forms. Options include:

- Matching Recipients with a TIN
    - TIN plus Account Number (default option)
    - TIN plus Last Name (use only if account numbers are unavailable or inconsistent)
    - TIN Only (not recommended unless data is clean and consistent)
  - Matching Recipients When TIN is Missing/Blank
    - Account and then Last Name (default option)—Looks for account numbers first, then matches for Last Name for the Account.
    - Account plus a blank/missing TIN—Use when TIN/Account Number are the only identifying fields in the field (no name information is provided).
    - Last Name and then Account—Looks for the Last Name first, then matches for Account Number for the Recipient.
    - Last and First Name (use if account numbers are unavailable or inconsistent)—Account numbers are NOT used to match for Recipients.
    - No Matching (treat all non-TIN records as unique and new).
- 10 Custom SQL Processing<sup>[91]</sup> is available only if activated by your Corporate Suite Account Manager. Associate up to three SQL scripts with this import.
- 11 At the Specify a Name and Usage Notes for the Import Map screen enter a descriptive title for this map. You can also add usage notes for further clarification. Click "Next" to continue.
- 12 Set Options for Locating Your Import Files include:
- Specify the default folder where this type of import file will be located. If blank, the software prompts to locate the import file.
  - Specify a default file name.
- 13 Specify the Type of Import: Options include:
- A. **Standard**—By default, all tax forms are added as individual records, independent of all other forms and regardless of whether other forms may exist in the system for the same Recipient.
  - B. **Transactional<sup>[68]</sup> (Aggregation Must Be Enabled)**—If an existing form is found for a Recipient according to the form matching rules currently in effect for the Filer, the new information updates the existing record and is added as a transaction for that record. Non-matching forms are added as new.
  - C. **Year-To-Date<sup>[69]</sup>**—Existing tax forms are replaced with the new YTD information showing the change in amount. Existing forms that are not validated by a record in the import can be dropped in the Zero Drop Process<sup>[70]</sup>.
  - D. **Standard Originals with Matching On**—Standard tax forms are added as original records if other forms do not exist in the system for the same Recipient. Duplicate originals will be rejected.
  - E. **Adjustments/Corrections of Matched Forms (Auto-Correction Imports Only)**—The record to correct must exist in the database or the record will be rejected. Existing Pending or Printed records are updated for non-transactional forms only. IRS filed records result in a correction. State filed records result in a state correction if there is a state impact.
- 14 Review summary settings and click "Finish". The Administrator indicates if the import map was successfully created.  
Your newly created Import Map is available for selection at the Manage Import Maps<sup>[85]</sup> screen.

## Customize Delimited Fields

Use to customize the values of select fields for Delimited and Excel import maps<sup>86</sup>.

### Customize a Field in Delimited/Excel Imports

At the Map the Import Fields/Columns to Your Data Fields screen, highlight any mapped field.

Onscreen button options include:

- **Assign Value**—Use the "Assign Value" button if the selected field should have a fixed value assigned to *every record* in the import. For example, for the "Rcp TIN Type" field enter EIN=1, SSN=2 or Unknown=3 (or blank) if all imported Recipients have an identical Recipient TIN type.
- **Rename Field**—Some fields cannot be assigned a fixed value, such as Recipient TIN. Such fields must be unique to each record and can be renamed only. Use the "Rename Field" button to rename the import field.

### Fixed Length Import Maps

Corporate Suite supports custom, fixed length import maps.

#### Related Topics:

- Import Wizard (CS Only)<sup>28</sup>
- Import Map Report<sup>93</sup>

### Create Fixed Length Import Map

Fixed length import files use ordinal (numeric) positions to define where fields are located in a record. Fixed length files do not contain delimiters (such as tabs, pipes or commas) and are typically .TXT format. An electronic file generated per IRS Pub. 1220 specifications is an example of a fixed length file.

1. On the task panel select Preparing My Forms > Import New Tax Forms.
2. At the Begin a New Import Session screen, click the "Create/Manage/Print Import Maps" button.
3. Select the data to import: tax form specific, Recipient only, Filer only or generic Puerto Rico and confirm the tax year.
4. The Manage Import Maps screen opens per your selected criteria. Import maps are defined by their Map Type (form type or Recipient only or Filer only), File Format (Excel, Delimited or Fixed Width), Process Type (Standard, Transactional or YTD), Status and Description.
5. At the Manage Import Maps screen click the "Add" or "Change" button and select Fixed Length as your import format.
6. The Fixed Length Import Wizard opens. Review onscreen information and click "Next" to continue.
7. At the Set the Data Type screen select an End of Record option and check if the import file contains one or more Header Records<sup>72</sup>.
8. At the Set Default Field Size and Format Options screen:
  - Select dollar amount format options and if using implied "decimals". Default Amount Field Size = 12 (This option is not available when importing Recipient or Filer data.) An Implied Decimal means that the dollar amounts being imported do not have an explicit period between the

dollars and cents portions of the amount. For example, "10000" = "100.00" in implied decimals. Fixed length files almost always use implied decimal format.

- Select TIN (EIN/SSN) format options. Default value = 11
  - Select date field format options. Various options are available. Indicate if date uses four digits, i.e., XXXX, and if date includes separators.
  - Select Checkbox size. Default value = 1
9. At the Select Specific Fields to be Included in the Import Process screen select the fields to include in the import and add to your layout. Do this by highlighting a "Database Field" in the left column and clicking the "Add Field" button. This field is transferred to the "Field Value" in the right column. The right columns also display the positions of the information in the file as well as the character size of the fields. Use the "Add Filler<sup>91</sup>" button to insert blank columns if necessary.

Repeat this procedure until all of the necessary fields have been added to the layout, then click "Next" to continue.

- If the wrong field is accidentally assigned, highlight the incorrectly assigned field and click the "Remove" button.
  - Use the Up / Down buttons to change the order of a specific field in the list.
  - To customize the parameters of a mapped field, see Customizing a Mapped Field<sup>91</sup>.
- 10 At the Set Recipient Matching Options screen, indicate how the software should match imported records with existing Recipients or tax forms. Options include:
- Matching Recipients with a TIN
    - TIN plus Account Number (default option)
    - TIN plus Last Name (use only if account numbers are unavailable or inconsistent)
    - TIN Only (not recommended unless data is clean and consistent)
  - Matching Recipients When TIN is Missing/Blank
    - Account and then Last Name (default option)—Looks for account numbers first, then matches for Last Name for the Account.
    - Account plus a blank/missing TIN—Use when TIN/Account Number are the only identifying fields in the field (no name information is provided).
    - Last Name and then Account—Looks for the Last Name first, then matches for Account Number for the Recipient.
    - Last and First Name (use if account numbers are unavailable or inconsistent)—Account numbers are NOT used to match for Recipients.
    - No Matching (treat all non-TIN records as unique and new).

- 11 Custom SQL Processing<sup>91</sup> is available only if activated by your Corporate Suite Account Manager. Associate up to three SQL scripts with this import.

- 12 At the Specify a Name and Usage Notes for the Import Map screen enter a descriptive title for this map. You can also add usage notes for further clarification. Click "Next" to continue.

- 13 Set Options for Locating Your Import Files include:
- Specify the default folder where this type of import file will be located. If blank, the software prompts to locate the import file.
  - Specify a default file name.

- 14 Specify the Type of Import: Options include:

- A. **Standard**—By default, all tax forms are added as individual records, independent of all other forms and regardless of whether other forms may exist in the system for the same Recipient.
- B. **Transactional<sup>[68]</sup> (Aggregation Must Be Enabled)**—If an existing form is found for a Recipient according to the form matching rules currently in effect for the Filer, the new information updates the existing record and is added as a transaction for that record. Non-matching forms are added as new.
- C. **Year-To-Date<sup>[69]</sup>**—Existing tax forms are replaced with the new YTD information showing the change in amount. Existing forms that are not validated by a record in the import can be dropped in the Zero Drop Process<sup>[70]</sup>.
- D. **Standard Originals with Matching On**—Standard tax forms are added as original records if other forms do not exist in the system for the same Recipient. Duplicate originals will be rejected.
- E. **Adjustments/Corrections of Matched Forms (Auto-Correction Imports Only)**—The record to correct must exist in the database or the record will be rejected. Existing Pending or Printed records are updated for non-transactional forms only. IRS filed records result in a correction. State filed records result in a state correction if there is a state impact.

15 Review summary settings and click "Finish". The Administrator indicates if the import map was successfully created. Your newly created Import Map is available for selection at the Manage Import Maps<sup>[85]</sup> screen.

## Custom SQL Procedures

When creating an Excel/Delimited<sup>[86]</sup> or Fixed Length<sup>[89]</sup> import map, you can include a custom SQL procedure to run at the conclusion of the import process. For example, you might want to calculate 1099-MISC Oil & Gas Amounts (non-IRS reportable amounts) post import. Custom SQL procedures are written by 1099 Pro, Inc. for a fee.

### Select SQL Script

A Corporate Suite Account Manager must run a script to install your custom SQL procedure into your Corporate Suite installation. You are prompted during the Import Map Wizard to tag (select) up to three SQL procedures to associate with your map for future imports.

### Customize Fixed Filler

There may be instances when a fixed length file contains blank spaces or contains information that cannot be used in this program. With the Add Filler button, the software allows Users to add or "fill in" unused space. Parameters that can be set for adding space include:

- The size of the unused space.
- The start and ending position for this space.

This option is available when creating a new Fixed Length Import Map<sup>[89]</sup> in Corporate Suite.

### Customize Fixed Fields

You can customize mapped field sizes in Fixed Length<sup>[89]</sup> import maps.

## Customize a Field during Fixed Width Import

1. Select specific fields to be included in the import process and add them to your layout. Do this by clicking and highlighting a field from the available fields on the left and then click the "Add this field" button to carry the "Database Field" from the left column over to the "Field Value" screen on the right.
2. In the Field/Header list to the right, double-click on the field name to view the Customize a Mapped Field screen. The below chart explains the title of the field and its contents.

Field	Description
Field Number	Field or Record Number (Equivalent to a column in an Excel spreadsheet).
Position From X Through X	Location of the field value expressed in numeric positions from the first location to the last location.
Field Size	Total Number of characters from the first position to the last position of the field value.
Mapped To	Tax Form field that the Field Value is mapped or linked to.
Field Value	Title of the specific field.
Process	<p>Access the Character Fields Options screen to enable specialized processing rules for the imported field.</p> <ul style="list-style-type: none"> <li>• If the field is empty, fill it with this: Specify what should be entered into a field that is empty.</li> <li>• Removing leading/trailing characters: Trim both leading or trailing characters from the imported field by a specified amount.</li> <li>• Changing the case of the imported value: Force all characters to be either all upper or lower case for the imported field.</li> <li>• Adding fixed characters to the imported value: Add characters to both the beginning or end of an imported field.</li> </ul>

## Maps: Import/Export

Users can import and export customized import maps. Those users NOT running 1099 Pro software in a multi-user environment—but requiring standardized import maps for multiple single-user installs—will benefit from the ability to share maps. Import maps are saved in a .TPS format and cannot be edited or viewed in applications outside of the Manage Import Maps<sup>85</sup> utility in this software.

*Note: Prior year import maps can be "rolled forward" during the software installation process; however if the 2019 tax form has changed, the 2018 map is thus outdated and will not roll forward.*

## Export Map

1. At the Manage Import Maps screen highlight any map and click the "Export Map" button.
2. At the Map Export screen select an export location, confirm onscreen settings and click "Finish" to generate the file.
  - By default, maps are exported to the Maps folder in the MAP IMPORT FFF (Form Type) IDnnn MM-DD-YY HH-MMxM.TPS format, e.g., "MAP IMPORT 1099-R ID364 7-20-2019 8-09AM.TPS".



## Import Map

1. At the Manage Import Maps screen click the "Import Map" button.
2. At the Import Map screen browse for the .TPS import map and click "Finish".
  - By default, maps are saved to the Maps folder. Maps are automatically associated with the corresponding form type and immediately available for selection at the Select the Type of Tax Form screen in the Import Wizard.

## Import Map Report

The Import Map Report is an invaluable tool for reviewing import map specific data including:

- Form type
- Creation Date and Time of the Import Map
- Recipient's First Name, Last Name, TIN, Account Number and optionally, their Address
- Individual record print status and date of last update
- Creation Date and Time of the Report including the Network Station ID
- Field Name, Field Type and Field Description...

## Run Import Map Report

1. On the menu bar select Utilities > Run the Import Wizard.
2. Select the "Import Records from Excel or a Delimited Text File" button to initiate the Import Wizard.
3. At the Select the Type of Data screen in the Wizard, click the "Add/Update (form type) Import Maps" button.
4. Highlight any import map and click the "View/Print Map" button.
5. You are prompted to preview the report.

## Import Session Summary Report

The Import Session Summary (or Amount Totals Report) details all records in the selected import session. See [Reset/Void Import Session](#)<sup>94</sup>

## Run Report

1. On the task panel select Preparing My Forms > Import New Tax Forms.
2. At the Completed and In-Process Import Sessions screen highlight an import session and select the "Amount/Totals Report" button.
  - The "Amount/Totals Report" button is ghosted and unavailable for any session with a status of Abandoned or Reset/Void.
3. The Report Options screen prompts to:
  - Select the Printer—Consider printing to PDF to save paper.
  - Select the Sort Order—By Last Name/First Name or by TIN.
  - Preview before printing.
  - Print Summary totals only.
4. Click "OK" to generate the report or "Cancel" to exit the report.

## Reset/Void Import Session

When an import session is reset (voided), all tax forms associated with the import session are deleted UNLESS their status has been changed since the original import. For example, if records are imported as Pending and some are later updated to Printed or Filed Mag status, only the Pending records are deleted.

If this was a partial import and records have a Loaded status, you must use the "Continue with Session" button and then "Abandon the Session" to remove the session.

## What Does NOT Happen When an Import Session Is Reset

Recipient records added or changed during the import session are NOT deleted or rolled back. To remove those Recipient records refer to the Recipient Master List [\[220\]](#) screen.

## Reset/Void Import Session

Once an import session is reset/void it cannot be reversed.

1. On the task panel select Preparing My Forms > Import New Tax Forms.
2. At the Completed and In-Process Import Session screen highlight any session with a status of "Imported" or "Partial" and click the "Reset (Void) Session" button.
3. The Confirm Reset/Void screen prompts the user to Proceed with Reset/Void or Cancel. The Completed and In-Process Import Session screen immediately updates the session status to "All Reset".

## Import History

The Import Summary/History screen allows you to view a summary of the selected import session including the form type, import map, tax year, date and time of import, total number of records imported as well as the number of errors and warnings associated with the import session.

## View History

1. On the Corporate Suite task panel select Preparing My Forms > Import My Forms.
2. At the Completed and In-Process Import Sessions screen highlight an import session to view its' history.
3. Click the "History" button.

Import Summary/History		
Import Type: <b>1098-C Standard</b>	for Tax Year: <b>2017</b>	Session ID: <b>3977</b>
Import Map: <b>2016_1098-C</b>		
<b>Basic Session History</b>		
Loaded to Import Hold: <b>12</b>	Loaded to Temp: <b>7/24/2018</b>	at: <b>1:47 PM</b>
Posted/Imported: <b>12</b>	Loaded By: <b>Administrator</b>	
Total Filers/Logs: <b>1</b>		
<b>Source File for the Import</b>		
<b>C:\1099 Pro\Pro99CS\Temp\1098-C 2017.xlsx</b>		
<b>Errors, Warnings and Reject (cannot be posted) counts</b>		
Original Load Warnings: <b>0</b>	Current Warnings: <b>0</b>	
Loaded Errors: <b>0</b>	Current Errors: <b>0</b>	
Loaded Rejects: <b>0</b>	Current Rejects: <b>0</b>	
<b>Import Options in effect</b>		
Default Source:	<input type="checkbox"/> All	
Default Accounting Date:	<input type="checkbox"/> All	
		<input checked="" type="checkbox"/> <b>OK</b>
		<input type="checkbox"/> <b>Help</b>

## Date Range Settings

At the Completed and In-Process Import Sessions screen use the "Set Date Range" button to filter import sessions by date. By default, only import sessions for the currently selected tax year are displayed.

## Form Totals Report

Control Totals are an invaluable resource for reviewing Recipient records and identifying errors and warnings. This tax form and Filer specific report includes:

- Filer's Name and TIN
- Recipient First Name, Last Name, TIN, Account Number and Address
- Individual record status<sup>50</sup> and date of last update
- Box-by-box totals
- Errors and Warnings<sup>83</sup>
- Number of missing TINs and more....

Corporate Suite also includes a "Custom Reports" tab. Contact your Corporate Suite Account Manager for information on custom report options, turnaround time and pricing.

## Control Totals Report

By default, the Control Totals report includes all form specific details including Recipient First Name, Last Name, TIN, Account Number and Address. Select "Print Totals Only" (Step 7) to generate a summarized report, comparable to a 1096 / 1042-T / W-3 transmittal.





1. Select the form type and Filer.
2. On the menu bar select Reports > Control Totals for Current Filer & Form Type OR on the task panel select Preparing My Forms > Forms Totals Report.








3. At the View/Print Control Totals Report screen select a printer. Consider printing to PDF to save paper.
4. Report Filter and Form Selection Options—Choose a method for selecting records:
  - All Pending Originals for this Filer
  - All Original Forms for this Filer
  - Use Query Wizard to choose or create a query
  - Manually select records (tagging)
  - Pending corrections for this Filer
  - All corrections for this Filer
5. Error and Warning Messages—Determine how to print warnings and/or errors. *This option is unavailable if "Print Totals Only" is selected in Step 7.*
  - Don't print error and warning details
  - Print error and warning details
  - Print ONLY forms with errors and warnings
  - Print ONLY forms with errors
6. Report Record Ordering Options—Choose how to sort the records:
  - By Last Name
  - By TIN
  - By Account Number, then Last Name
7. Report Format Options—Choose a report format:
  - Print Preview <sup>96</sup>
  - Add custom notes for this report run. Notes appear on last page of report, below the box-by-box totals.
  - Print totals only (suppress individual form details). **Generates a summarized report (i.e., amounts only, no Recipient or error/warning details), comparable to a 1096 / 1042-T / W-3 transmittal, which is suitable to provide to your client, accountant or auditor.**
  - Print Transactions (aggregation) for each tax form (CS Only)
8. To generate report click "Print Now".
9. The last page of the report provides box-by-box summary totals.
  - See Troubleshooting Control Totals

## Print Preview Toolbar

The Preview screen allows users to view a form or a report and check it for accuracy before printing.

### Print Preview Icons

Icon	Description
	Print THIS page only.
	View the PREVIOUS page.
	View the NEXT page.
	Toggle STAY after printing.

Icon	Description
	Search for characters within a report.
	Access the "Print Setup" screen to print the entire report.
	Exit the preview report WITHOUT printing.
	View the preview report in full WIDTH view.
	View the preview report in full HEIGHT view.
	Save report in PDF format.
	Set zoom percentage; range is 25 to 250%.

## Duplex Printing

All 1099 Pro software products support duplex printing. Not all printers or print drivers offer this feature; review the printer manual for specifications.

### Duplex Print

1. At the Print Preview screen initiate a print session via the "Printer" icon.
2. At the Select Printer Screen, click the "Properties" button for your printer.
3. Click the Finishing tab, then locate the area "Document Options" on this screen.
4. Place a check in the box to "Print on both sides".
5. Click "OK" and proceed to print the job.

## Ch. 8 Step 2—Printing & Mailing

### Print/Mail Forms Myself

All 1099 Pro software products allow you to print forms directly to blank paper or preprinted forms. Many of our users prefer to outsource the printing and mailing of their forms to the 1099 Pro Service Bureau<sup>[109]</sup>—it is SOC 1 Type 2<sup>[7]</sup> secure, cost-effective and efficient.

The Tax Form Print Sessions screen simplifies the in-house printing process. At this screen you can generate Original and Corrected print runs, reprint and reset/void print sessions and more. Access this screen via the task panel > Printing & Mailing > Print/Mail Forms Myself.

### Print Wizard

All 1099 Pro software products allow you to print most forms in-house, directly to blank paper; the exception is IRS Copy A\* forms which require a preprinted form with a special red ink. Most IRS approved, preprinted tax forms are compatible with our software. See **Print Wizard**<sup>[98]</sup> for instructions on printing Original and Corrected forms. To quickly print an individual form see Quick-Print<sup>[48]</sup>.

\* 1042-S Pro offers a special, IRS approved Copy A form that prints to blank paper with standard black ink.

### Print Session Considerations

- Print sessions are Filer and Tax Form specific. If a print session is not visible, verify that the correct Filer and tax form are selected.
- The "Session Type" column indicates the type of forms printed including Originals or Corrected.
- Additional columns detail the total number of forms and forms with errors or warnings.
- The "Date Filed" column populates automatically, AFTER an IRS filing is generated for this print session. Options include "Filed 1096/W-3", "MagMedia" or "Upload (Service Bureau)". If the "Date Filed" column is empty, an IRS/SSA filing (or IRS paper transmittal or SB IRS Upload) has NOT been generated for this print session. If this field is populated, it is the USER's responsibility to ensure that the generated IRS filing was successfully submitted to the IRS.

### Custom Print Statements

Corporate Suite offers the ability to print tax data on customized statements for a fee. Select the "Custom Print Process" button to initiate the Custom Statement Wizard<sup>[108]</sup>.

### Reset (Void) Print Session

Highlight any print session that has not been filed to void it. If a print session has been filed (refer to the "Date Filed" column) it cannot be voided until its associated "MagMedia", "1096/W-3" or "Upload" (Service Bureau) file has been reset. A voided session cannot be un-voided.

### Print Session Summary

This report generates a per record detail of a print session. The last page of this report includes Total Form Count, Number of Forms with Missing TINs, Box-By-Box Totals and a State Withholding Breakdown.

### Run Report

1. Click the "View/Print Session Summary" button.
2. Other Report Options include:
  - Preview before printing
  - Print Summary totals only
  - Errors and Warnings only
3. Click "OK" to continue.

### Reprint Print Session<sup>[295]</sup>

Use to reprint an entire print session.

### Print Wizard

The Print Wizard simplifies the process of printing tax forms via high-speed PCL printing. Any form with a Pending print status (or Corr/Pending for corrected forms) is available for selection in this wizard. Forms with any other print status can be printed individually via Quick-Print<sup>[48]</sup> or in batch via Group Actions<sup>[48]</sup>.

*Did you know?* The 1099 Pro Service Bureau<sup>109</sup> offers highly competitive and secure Print+Mail and IRS filing services.

See Form 1042-S Special Print Options

## Print Wizard

1. On the task panel select Printing & Mailing > Print/Mail Forms Myself. Corporate Suite users select the appropriate tax year and form type.
2. At the Print Forms for Recipients and the IRS screen refer to the Begin Printing IRS Approved Tax Forms area and pick a method for selecting the Pending forms to print.
  - All Pending forms for the CURRENT Filer (default)
  - All Pending forms for ALL Filers
  - ALL Pending forms for SELECTED Filers
    - When printing Form 1099-MISC, any of these three methods triggers the 1099-MISC Special Processing screen. **For Tax Year 2019, both the Recipient mailing and IRS filing deadlines for 1099-MISC with Box 7/NEC amounts is January 31, 2020.** Users can print all 1099-MISC records or only those with Box 7/NEC data. See Deadlines<sup>23</sup>.
  - Manually select forms for the CURRENT filer
3. Set Form Selection Limits. Check the "Show Me the Optional Extra Filters" box to limit the number of records that will be selected. Records can be filtered by Address Type, Amount Thresholds, Maximum Record Limit and 1099-MISC Box 7/NEC handling for specific print runs. See Form Limits
4. Corrections: Check the "Process and Print Corrected Forms Instead of Originals" box. This box displays only if there are eligible corrected forms for the currently selected form type. Corrected and Original forms must be printed in separate sessions. See About Corrections<sup>191</sup>.

**Begin Printing IRS Approved 1099-MISC Tax Forms**

Please choose the method to be used for selecting the 1099-MISC forms to print

ALL Pending forms for the CURRENT filer       ALL Pending forms for ALL Filers  
 Manually select forms for the CURRENT filer       ALL Pending forms for SELECTED Filers

Show me the optional extra filters for limiting the number of records that will be selected

**1099-MISC Corrections have been created**

Process and Print Corrections Forms instead of Originals

5. Click the "Begin a New Print Process" button to access the Print Wizard.
  - Corporate Suite Users: Click the "Begin Print Process" button to access the Print Wizard or the "Custom Print Process" button to generate customized print statements<sup>108</sup>.
6. Confirm Processing: This screen is only triggered if any records in the print run have errors or warnings<sup>83</sup>. Filing records with missing or invalid data can result in the record being rejected by the IRS. This screen displays only if your data contains errors or warnings. Options include:
  - Yes—Print the Forms Anyway
  - No—Skip These Forms For Now
  - Cancel the Print Job

7. The Print Wizard displays the number of Recipients selected for printing. To verify Recipients, amounts, or other information users are encouraged to first run a Control Totals<sup>[95]</sup> report. To proceed with the Print Wizard click "Next". Use the "Back" button at any time.
8. Select printer and click "Next" to continue.
  - PDF File Generation—Select a PDF driver such as Adobe PDF to quickly create a digital PDF copy of your tax forms. This is a great way to create a digital master file of these Recipient forms. To protect sensitive data users are encouraged to password protect PDF files and save them to a location on their hard drive or network. See PDF Files
9. Select paper type including:
  - **Preprinted Laser Forms**—Including IRS red Copy A forms. This paper type triggers the Verify Print Alignment screen later. 1042-S Pro offers a special, IRS approved Copy A that prints to blank paper with standard black ink.
  - **Blank<sup>[365]</sup> Stock Forms**—W-2 Pro offers a special, IRS approved Copy A that prints to blank paper with standard black ink. Select to use the Combined Print option (at the next screen) and print all Recipient copies and instructions directly to blank paper.
  - **Pressure Seal/Alternate Combined Layout (ACL)**—Some form types offer unique print layouts. For example, 1042-S has an alternate layout to allow additional characters in the Recipient name fields. See Pressure Seal/ACL for specific instructions.
10. Select copies to print. Multiple copies can be selected. The user is prompted to load preprinted forms into the printer as required. Did you know that 1099 Pro offers a special 3-up Recipient version of Form 1099-MISC? Select Blank stock<sup>[365]</sup> and Combined Print to preview!
11. Verify Print Alignment (preprinted forms only): Users are encouraged to print a test alignment to BLANK paper prior to using their preprinted forms to minimize waste. After printing a test alignment page to blank paper, hold it up to the light behind the preprinted form. Adjust margins in the software as necessary. When satisfied, click "Next" to continue. See Troubleshooting Margin Alignments<sup>[104]</sup>
  - Adjustments—Are measured in hundredths of an inch, e.g. "0.25" shifts the margin by 1/4-inch.
  - Top Margin—Positive numbers move the data down, negative numbers move the data up.
  - Left Margin—Positive numbers move the data right, negative numbers move the data left.
12. Select a sort order to print forms:
  - By Last Name/Company Name (default)
  - By TIN
  - By Zip Code (use to pre-sort mailings for the post office)
  - By State Abbreviation
  - By Account Number, then Last Name
  - Additionally, check the "Within Each Selected Copy, Keep All Forms For Each Filer Grouped" box as appropriate.
13. Generate Account Wizard. *This utility is not available in W-2 Pro software.*
14. Indicate preview preference:
  - Ask me before processing each copy (default)
  - Yes, preview each selected copy type without asking me
  - No, send the forms directly to the printer without previewing them
15. Review print summary. To mask/unmask recipient TINs or force an X in the corrected box use the Advanced Print Options<sup>[102]</sup>. When ready to proceed click "Print". The Print Wizard pauses before printing each copy and prompts the user to load the appropriate form(s) into the printer.



- **FALSE PRINT**—To update print status from Pending to Printed WITHOUT printing any forms select NO COPIES to print. The Administrator prompts to press the "Print" button.
- *Note: 1099 Pro software prints to most Windows compatible printers, subject to the printer's margin limitations. Printers with a bottom margin greater than 1/3-inch may be unable to print data at the bottom of the page or may require printing two forms to a page. Check your printer's manual and/or Maximum Printable Area for your BubbleJet, Deskjet, Inkjet or Laserjet for exact printer specifications. See Trouble-Shooting Printer Issues<sup>1363</sup>*

16. Indicate if forms are ready to send to the IRS/SSA:

- **NO—I have NOT printed my finalized or Copy A yet.** These forms maintain their Pending status and are available for further edits at the Work With My Tax Forms screen.
- **YES—I have verified and/or printed my finalized Copies or Copy A forms.** These forms are assigned a Printed status and are no longer available for edits. These forms are ready to transmit to the IRS via a Service Bureau IRS File upload, electronic filing (mag media) or on a 1096 paper transmittal.

17. Click "Finish" to exit the Print Wizard.

## Account Number Generation Wizard

Most 1099 Pro software products include a wizard to generate account numbers for eligible forms missing this information. W-2 Pro software does not offer this utility.

Per IRS. Pub. 1220: *The account number is required if there are multiple accounts for a recipient for whom more than one information return of the same type is being filed. This number will identify the appropriate incorrect return if more than one return is filed for a particular payee. Do not enter a TIN in this field. A payer's account number for the payee may be a checking account number, savings account number, serial number, or any other number assigned to the payee by the payer that will distinguish the specific account. This number must appear on the initial return and on the corrected return for the IRS to identify and process the correction properly.*

Per IRS Pub. 1187: *Financial institutions reporting amounts paid to direct account holders with respect to an account maintained by institution at a U.S. office or U.S. branch, must report the recipient(s) account number.*

## Why Generate Account Numbers?

The IRS requires account numbers in many instances and for all corrected forms. The Generate Account Number wizard creates unique Account Numbers for eligible tax forms to satisfy this requirement. It is a smart business practice to populate the account number field on ALL forms.

- Only forms with a status of Printed or Pending are updated.
- Any form with existing Account information is NEVER overwritten, regardless of status.
- Users can manually replace generated account numbers at any time before filing with the IRS/SSA.
- The Account Wizard algorithm is the first two letters of the Recipient's last name, the IRS form code and a number unique to that form. For example, one might look like this SM-M-0001234.

## Account Number Generation Wizard

This wizard is accessible via the menu bar > Utilities > Generate Account Numbers and is also available during many processes including importing, print, uploading and electronic filing. This wizard will

create a unique account number for all Pending and Printed records without an account number—existing account numbers are never overwritten.

### Generate Account Numbers

1. In the Account Number Generation Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
2. Choose a method for selecting eligible tax forms. Options include:
  - ALL Forms for ALL Filers: This option automatically selects every eligible form for all Filers.
  - Selected Form Types for ALL Filers: This option prompts to manually select form types to include in this process. All Filers are processed.
  - Selected Form Types for Selected Filers: This option prompts to manually select the Filers and the form types to include in this process.
3. Review settings and click "Finish" to generate account numbers.
4. The Administrator indicates:
  - Total Forms Scanned
  - Total Forms Without Account Numbers
  - Number of Forms Updated with new Account Numbers

### Advanced Print Options

All 1099 Pro software products include Advanced Print Options offering enhanced print functionality for Recipient copies. Selections made at this screen are temporary and unique to the individual print run; options must be reset for subsequent print runs.

#### Advanced Print Options

- A brief, standardized message to be printed on all forms in this print run. Select from the available list or enter your own message of up to 30-characters.
  - **NEW:** Service Bureau print customers can insert a 100-character, standardized message on their forms for free. When generating a Service Bureau print upload, click the "Extra Print Options" button and enter your text in the Optional Message field. Your message appears on all forms in that print upload only.
- Force an "X" in the Corrected\* box.
- Print "0.00" instead of blanks for all zero amounts. This option is not available for Forms 1042-S. The IRS does not allow the printing of zeros in dollar amount fields for Form 1042-S.
- TIN Masking On/Off
- Address/Envelope Offsets—Use to shift the position of the Filer and/or Recipient addresses up/down and left/right. Address adjustments are measured in hundredths of an inch from the DEFAULT placement. For example, a change of ".25" shifts the address down or to the right 1/4-inch. Likewise, a change of "-.25" shifts the address up or to the left 1/4-inch. As adjustments are made, the adjustment title turns RED if the value entered is too large. When finished click "OK" to save changes and return to the Print Wizard.

\* Forcing an X does not generate a legal correction. See Forcing an X below.

Service Bureau print customers can insert a complimentary 100-character, standardized message by print upload.

CORRECTED (if checked) Standard 30-character msg field

PAYER'S name, street address, city or town, state or province, country, ZIP or foreign postal code, and telephone no. <b>FILER IMPORT TEST COMPANY FILER IMPORT NAME 2 STREET ADDRESS ADDRESS LINE 2 CITY, CA 90302 (555) 555-5555</b>		1 Items \$ 1111111111.11	2 Royalties \$ 1111111111.11	OMB No. 1545-0115 <b>2018</b> Form 1099-MISC <b>Miscellaneous Income</b>
PAYER'S TIN 46-1235555	RECIPIENT'S TIN XXX-XX-1234	3 Other income \$ 1111111111.11	4 Federal income tax withheld \$ 1111111111.11	<b>Copy B - For Recipient</b> This is important tax information and is being furnished to the IRS. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.
RECIPIENT'S name <b>Charlie Tuna Apt 2506 1000 Ocean St Santa Monica, CA 90402</b>		5 Fishing boat proceeds \$ 1111111111.11	6 Medical and health care payments \$ 1111111111.11	
Account number (see instructions) 11111111111111111111		7 Nonemployee compensation \$ 1111111111.11	8 Substitute payments in lieu of dividends or interest \$ 1111111111.11	
FATCA filing requirement <input checked="" type="checkbox"/>	OPTIONAL TEXT LINE 1 xxxxxxxxxx OPTIONAL TEXT LINE 2 xxxxxxxxxx	9 Payer made direct sales of \$5,000 or more of consumer products to a buyer (recipient) for resale <input checked="" type="checkbox"/>	10 Crop insurance proceeds \$ 1111111111.11	
		11	12	
		13 Excess golden parachute payments \$ 1111111111.11	14 Gross proceeds paid to an attorney \$ 1111111111.11	
		15a Section 409A deferrals \$ 1111111111.11	15b Section 409A income \$ 1111111111.11	
		16 State tax withheld \$ 1111111111.11	17 State/Payer's state no. CA 1111111111111111	18 State income \$ 1111111111.11

Form 1099-MISC (keep for your records) www.irs.gov/Form1099MISC Department of the Treasury - Internal Revenue Service

Sample form illustrating TIN masking, forced X, Service Bureau custom message and non-Service Bureau custom message fields. The optional text lines 1 & 2 are available on Form 1099-MISC only.

b Employer identification number (EIN) 95-0000001		12a See instructions for box 12 12K 120000001.12	1 Wages, tips, other compensation 1516515.00	2 Federal income tax withheld
c Employer's name, address, and ZIP code <b>Test Filer 1234567890123456789012end Name 2 12345678901234567890123456end 23901 Calabasas Rd 12345678901234end Suite 2080 1234567890123456789012end Us Purchasing Exchange, CA 91495-1234</b>		12b 120000002.12	3 Social security wages 113700.00	4 Social security tax withheld 7049.40
d Employer's name, address, and ZIP code <b>Rater Williams SUITE 300 1838 PARK PLACE NEW YORK, NY 10024</b>		12c 120000003.12	5 Medicare wages and tips 1516515.00	6 Medicare tax withheld 33838.11
Enter up to 100-character standardized message per Service Bureau print upload here.		12d 120000004.12	7 Social security tips	8 Allocated tips
		12e	9 Verification Code	10 Dependent care benefits
		This information is being furnished to the Internal Revenue Service		11 Nonqualified plans
		Copy B—To Be Filed With Employee's FEDERAL Tax Return		12 Other 943 & Box 12 codes 3rd record
		13 Employer's social security number 111-11-1111	14	15
15 State Employer's state ID number	16 State wages, tips, etc.	17 State income tax	18 Local wages, tips, etc.	19 Local income tax
				20 Locality name

Form W-2 Wage and Tax Statement 2017 Department of the Treasury-Internal Revenue Service OMB # 1545-0008 Copy B—To Be Filed With Employee's FEDERAL Tax Return

Sample Form W-2 printed via Service Bureau print facility; illustrating free 100-character custom message field.

### Forcing an "X"

*Why Force an 'X' in the Corrected Box?* Some users regard these revised, re-issued forms as a correction, and want the Corrected box checked to indicate to the Recipient that the new form has updated information on it. Use Advanced Options to force an "X" and help avoid confusion for the recipient. What's important to understand is that forcing an "X" in the Corrected box is NOT considered a valid/legal correction by the the IRS. If the original data has not yet been filed with the IRS, there is nothing to legally correct. In such instances, forcing an X is strictly for the benefit of the Recipient.

Please note, if your data has been filed with the IRS, a formal IRS correction must be generated and filed. The IRS has specific guidelines about the processing of Corrected forms; thus Advanced Options are only available for Recipient copies. If you send the IRS an original form with the Corrected box checked, it will most likely be rejected. See About Corrections—An Overview<sup>191</sup>

### Force an "X"

1. The Advanced Print Options screen is available at the SB Print+Mail<sup>115</sup> (CS) Wizard, Print Wizard and Quick-Print<sup>48</sup> screen.
2. At the Special Options for This Run Only tab select the box to be marked on all Recipient copies for this print run. Options include:
  - Force an 'X' in the Corrected Box

W-2 Pro does not allow forcing an "X" in the Corrected box.

### Custom Print Messages

This is an optional feature allowing Filers to provide a brief, custom message on tax forms. There is no additional cost to insert a custom message. Your message appears on all forms in that print upload only. Per the IRS, do not use this field to provide any promotional or advertising text.

- Non-Service Bureau Customers—A maximum of 30-characters are allowed. Use to provide a short message to Recipients such as "Revised & Re-Issued", "Corrected and Re-Issued", etc.
- Service Bureau Print Customers—A maximum of 100-characters are allowed. Use to provide a more detailed message to Recipients such as "This tax form includes revised tax data, please use this form and discard previously issued form" or "Please note our updated mailing address effective January 1, 20XX".

*Did you know?* The Service Bureau can insert a one page, standardized document, with your tax forms—contact the Service Bureau<sup>109</sup> to discuss specifications and pricing.

### Enter Custom Message

1. The Advanced Print Options screen is available at the SB Print+Mail<sup>115</sup> (CS) Wizard, Print Wizard and Quick-Print<sup>48</sup> screen.
2. At the Special Options for This Run Only tab specify an optional message to be printed on all Recipient copies for this print run. All 1099 Pro software products include the following standard messages:
  - \* Re-issued Form \*
  - \* Revised and Re-Issued \*
  - \* Corrected and Re-issued \*
  - \* Replacement Copy \*
  - \* Duplicate Copy per Request \*
3. Or enter a custom message to appear on all forms in the upload/session.

### Optional Text Lines—1099-MISC Only

Import data via the "Opt Rcp Text Line 1" and "Opt Rcp Text Line 2" fields in the 1099-MISC sample import file. Information in these fields prints on the Combined for Recipient version of the form only and is not reported to the IRS.


### Margin Alignments

All 1099 Pro software products allow you to adjust margin alignment when printing to preprinted forms.

## Preprinted Forms Address Alignment

The Print Wizard offers the opportunity to print a test alignment, and adjust margins accordingly, prior to printing your forms. A test alignment to a blank sheet of paper is a smart way to minimize form waste. Test alignments print the characters "X" and "9" instead of your actual data. Your data will print (assuming the software is registered) at the last step of the Print Wizard.

### Run Test Alignment

1. Initiate the Print Wizard ; it automatically prompts to print a test alignment prior to printing your forms.
2. Select preprinted laser as the paper type, the user is prompted to test alignment after selecting the copies to print.
3. For the first test print do NOT modify the default Top and Left margin settings.
4. Print the test to blank paper and then hold it and a preprinted form to the light to determine if data fits into the appropriate boxes. If data does not align refer to "Alignment Adjustments" below.

### Alignment Adjustments

Alignment adjustments are measured in hundredths of an inch from the default margin. For example, "0.25" would effect an adjustment of ¼-inch. Once a margin is adjusted, it becomes a default setting for that form type until the margin is adjusted again.

#### Top Margin

Positive numbers (e.g., "0.25") move the data lower on the page. Negative numbers (e.g., "-0.25") raise the data higher on the page.

#### Left Margin

Positive numbers (e.g., "0.25") move the data to the right. Negative numbers (e.g., "-0.25") move the data to the left.

### Pending Status

All records are assigned a print status that determines their position in the filing cycle.

At the end of the Print Wizard, select this option to continue printing copies of these records. These records maintain their Pending print status and are available for edits and/or further printing. The terms "pending" and "not printed" are sometimes used interchangeably.

### Printed Status

All records are assigned a print status that determines their position in the filing cycle.

At the end of the Print Wizard, assign records a Printed status to make them available for inclusion in a 1096 / W-3 / 1042-T transmittal, electronic filing or Service Bureau Upload. To edit a Printed record, first reset its print status to Pending.

### W-2C Print Wizard

The Print Wizard simplifies the process of printing tax forms via high-speed PCL printing. Any corrected Form W-2 with a Corr/Pending status is available for selection in this wizard. Forms with

any other print status can be printed individually via Quick-Print<sup>[48]</sup> or in batch via Group Actions<sup>[48]</sup>.

*Did you know?* The 1099 Pro Service Bureau<sup>[109]</sup> offers highly competitive and secure Print+Mail and IRS filing services.

## Print Wizard

1. On the task panel select Printing & Mailing > Print/Mail Forms Myself. Corporate Suite users select the appropriate tax year and form type.
2. At the Print Forms for Recipients and the SSA screen, refer to the Begin Printing SSA Approved Tax Forms area and pick a method for selecting the Pending forms to print.
  - All Pending forms for the CURRENT Filer (default)
  - Manually select forms for the CURRENT Filer
  - All Pending forms for ALL Filers
  - ALL Pending forms for SELECTED Filers
3. W-2 Corrections: Check the "Process and Print Corrected Forms Instead of Originals" box. This box displays only if there are eligible corrected forms for the currently selected form type. Corrected and Original forms must be printed in separate sessions. See About Corrections<sup>[191]</sup>.

4. Click the "Begin a New Print Process" button to access the Print Wizard.
  - Corporate Suite Users: Click the "Begin Print Process" button to access the Print Wizard or the "Custom Print Process" button to generate customized print statements<sup>[108]</sup>.
5. Confirm Processing: This screen is only triggered if any records in the print run have errors or warnings<sup>[83]</sup>. Filing records with missing or invalid data can result in the record being rejected by the IRS. This screen displays only if your data contains errors or warnings. Options include:
  - Yes—Print the Forms Anyway
  - No—Skip These Forms For Now
  - Cancel the Print Job
6. The Print Wizard displays the number of Recipients selected for printing. To verify Recipients, amounts, or other information users are encouraged to first run a Control Totals<sup>[95]</sup> report. To proceed with the Print Wizard click "Next". Use the "Back" button at any time.
7. Select printer and click "Next" to continue.
  - PDF File Generation—Select a PDF driver such as Adobe PDF to quickly create a digital PDF copy of your tax forms. This is a great way to create a digital master file of these Recipient forms. To protect sensitive data users are encouraged to password protect PDF files and save them to a location on their hard drive or network. See PDF Files
8. Select paper type including:

- **Preprinted SSA Red Copy A**—This paper type triggers the Verify Print Alignment screen later.
  - **Blank Stock / Plain Paper**—W-2 Pro offers a special, IRS approved Copy A that prints to blank paper with standard black ink. Select this option to use the Combined Print option (at the next screen) and print all Recipient copies and instructions directly to blank paper.
9. Select copies to print. Multiple copies can be selected. The user is prompted to load preprinted forms into the printer as required.
10. Verify Print Alignment (preprinted forms only): Users are encouraged to print a test alignment to BLANK paper prior to using their preprinted forms to minimize waste. After printing a test alignment page to blank paper, hold it up to the light behind the preprinted form. Adjust margins in the software as necessary. When satisfied, click "Next" to continue. See Troubleshooting Margin Alignments<sup>104</sup>
- Adjustments—Are measured in hundredths of an inch, e.g. "0.25" shifts the margin by 1/4-inch.
  - Top Margin—Positive numbers move the data down, negative numbers move the data up.
  - Left Margin—Positive numbers move the data right, negative numbers move the data left.
11. Select a sort order to print forms:
- By Last Name (default)
  - By TIN
  - By Zip Code (use to pre-sort mailings for the post office)
  - By State Abbreviation
  - Additionally, check the "Within Each Selected Copy, Keep All Forms For Each Filer Grouped" box as appropriate.
12. Indicate preview preference:
- Ask me before processing each copy (default)
  - Yes, preview each selected copy type without asking me
  - No, send the forms directly to the printer without previewing them
13. Review print summary. When ready to proceed click "Print". The Print Wizard pauses before printing each copy and prompts the user to load the appropriate form(s) into the printer.
- **FALSE PRINT**—To update print status from Corr/Pending to Corr/Printed WITHOUT printing any forms, select NO COPIES to print. The Administrator prompts to press the "Print" button.
  - *Note: 1099 Pro software prints to most Windows compatible printers, subject to the printer's margin limitations. Printers with a bottom margin greater than 1/3-inch may be unable to print data at the bottom of the page or may require printing two forms to a page. Check your printer's manual and/or Maximum Printable Area for your BubbleJet, Deskjet, Inkjet or Laserjet for exact printer specifications. See Trouble-Shooting Printer Issues<sup>363</sup>*
14. Indicate if forms are ready to send to the SSA:
- **NO—I have NOT printed my finalized or red Copy A yet.** These forms maintain their Corr/Pending status and are available for further edits at the Work With My Tax Forms screen.
  - **YES—I have verified and/or printed my finalized Copies or red Copy A forms.** These forms are assigned a Corr/Printed status and are no longer available for edits. These forms are ready to transmit to the SSA via a Service Bureau eFile upload, electronic filing (mag media) or on a W-3C paper transmittal.
15. Click "Finish" to exit the W-2C Print Wizard.

## Custom Statement Wizard

Corporate Suite users can have the Service Bureau create customized tax form statements for a fee. The custom statements can be placed in the software for those users wanting to print forms in-house with their unique logo, message and/or highlighted box information.

The Service Bureau can likewise create customized tax form statements for a fee and print and mail those forms within our SOC I Type II <sup>7</sup> facility for those users preferring the security and convenience of outsourcing a large print job. See Service Bureau Overview <sup>109</sup>

### Print Via Custom Statement Wizard

1. On the task panel select Preparing My Forms > Print Tax Forms. Use the Tax Year and Current Form drop menus to select the appropriate year and form.
2. At the Print Forms for Recipients and the IRS screen refer to the Begin Printing IRS Approved Tax Forms section. Here you may choose the method for selecting the Pending forms you want to print.
  - All Pending forms for the CURRENT Filer (default)
  - Manually select forms for the CURRENT Filer
  - All Pending forms for ALL Filers
  - ALL Pending forms for SELECTED Filers
3. Set Form Selection Limits: Check the "Show Me the Optional Extra Filters" box for this optional filter to limit the number of records that will be selected. Records may be filtered by Address Type for specific print runs.
4. Corrections: Check the "Process and Print Corrected Forms Instead of Originals" box. This box is only available if there are corrected forms for the currently selected form type. See About Corrections <sup>191</sup>.
5. Click the "Custom Print Process" button to access the Custom Statement Wizard.
6. The Custom Statement Wizard displays the available formats for your statement. **These formats are custom created by the Service Bureau for a fee.** Select the desired format and click "Next" to proceed. Use the "Back" button at any time to go back a step.
7. Specify Filter Options and click "Next" to continue. Entering a value in any of these fields will cause the report to process only those forms which match these values. Leave a value blank to process ALL values for that field.
8. Set Threshold Limits and Optional Message and click "Next" to continue.
  - Print forms meeting Federal Thresholds for Tax Year. Federal grouping option to evaluate forms by; EIN, PCode (PTIN) or Apply Individually (default selection).
  - Print forms meeting State Thresholds for Tax Year.
  - Filter (skip) forms that do not have any dollar amounts.
  - Optional message, if chosen, prints on all forms in this print run.
9. Select Printer and Preview Options, then click "Next" to continue.
  - Review the selected printer and change if necessary.
  - Preview Options:
    - Ask me before beginning the actual print process. (default)
    - Yes, preview the forms without asking me.
    - No, send the forms directly to the printer without previewing them.
10. Review print summary settings. When ready to proceed click "Print".
11. Should forms be marked as Printed/Protected?:



- NO—Keep these forms in a Pending status. These forms are available for further edits at the Work With My Tax Forms screen.
  - YES—Mark these forms are Printed/Protected now. These forms are no longer available for edits. These forms are ready to transmit to the IRS via electronic filing or on a 1096/W-3/1042 transmittal. If edits to these forms are later required, this print session must be reset (void).
12. Click "Finish" to exit the Print Wizard.

## Via the Service Bureau

### Service Bureau Overview

#### Why Use the Service Bureau?

*NO customer has EVER incurred an IRS penalty<sup>27</sup> due to an error on the part of 1099 Pro for information filed late or in an incorrect format to the IRS/SSA!* The 1099 Pro Service Bureau is proud to offer a wide variety of services to registered users of 1099 Pro, all performed in our secure **SOC I Type II**<sup>7</sup> environment at highly competitive rates. We provide Printing and Mailing, Electronic Delivery, Web Presentment, Bulk TIN Matching, and IRS Filing services to thousands of our users. Additionally, all domestic Service Bureau Print + Mail jobs include our complimentary Mail Tracker™<sup>118</sup> technology.

Our customers utilize the Service Bureau to save money, minimize administrative headaches, safeguard their sensitive data, and benefit from our extensive experience. Whether the job is large or small, consider the cost savings and the value of a “job done right” during your busiest months of the year.

#### What Forms Does the Service Bureau Process?

The 1099 Pro Service Bureau can print, mail and/or file the following forms for a fee:

- Informational Returns including 1098, 1099-INT, 1099-MISC, 3921, 5498, W-2G and many more!
- 1095-B / 1095-C Affordable Care Act (ACA) Compliance (Corporate Suite Only)
- W-2 Wage and Tax Statements
- 1042-S Foreign Person's U.S. Source Income Subject to Withholding
- Including Original and Corrected forms (in separate uploads)

You must purchase the appropriate software product to use the Service Bureau. Learn about Service Bureau Print Specifications<sup>120</sup>.

\* The Service Bureau does not print, mail or eFile Form 8966 Foreign Account Tax Compliance Act (FATCA).

#### How Does the Service Bureau Work?

1. Purchase the appropriate 1099 Pro software package for the type of form(s) you need to file.
2. New customers are encouraged to schedule their Upload Dates and discuss pricing by December (see online price estimator). Return Service Bureau customers—who renew their software by early December—are automatically scheduled. We must have your data by your scheduled Upload Date to ensure that it is posted online, mailed and/or filed by the IRS/SSA deadline.
3. Enter your data into the software via the Import Wizard<sup>28</sup> or manual entry.
4. Use the Service Bureau Wizard<sup>114</sup> to quickly create, approve and submit your upload file.
  - **Configure your email-filtering software to accept email from sb@1099pro.com.** It is your responsibility to ensure that you can receive Service Bureau communications regarding

upload dates, IRS acceptance or rejection, invoicing, etc. See Help! I'm Not Receiving Invoices<sup>111</sup>

- Review minimum TLS Browser Requirements<sup>9</sup> to ensure that you can successfully upload your files.
5. Pay your Service Bureau Invoice<sup>110</sup> upon receipt to maintain your good account standing. Learn how to reconcile<sup>112</sup> your invoice.

*IMPORTANT: Rates and availability are not guaranteed until your appointment is booked. The Service Bureau imposes RUSH processing fees the week prior to all IRS/SSA deadlines for unscheduled uploads.*

## Contact the 1099 Pro Service Bureau

Contact the Service Bureau team to schedule your Print+Mail, IRS Filing and Bulk TIN Upload Dates and for all Service Bureau related inquiries.

- Phone: (866) 444-3559 (toll-free) or (818) 876-0200
- Email: sb@1099 Pro.com
- Internet: <http://www.1099 Pro.com>

Instant price estimates are available online at <http://www.1099 Pro.com/servPricing.asp>. Review 1099 Pro, Inc.'s SOC I Type III<sup>7</sup> documentation.

## Service Bureau Invoicing

### Invoicing Policies

- Invoices are auto-generated upon approval of your upload file and emailed to your primary billing contact.
- **It is your responsibility to anticipate and look for invoices—they may go to a spam or junk folder.** If an invoice is not received within one business day of upload, see Help! I'm Not Receiving Invoices<sup>111</sup>.
- Purchase Orders are not included on auto-generated invoices. If a PO is required for payment, email the Service Bureau your invoice number and request the amendment.
- Payment terms are Net Due On Receipt.
- Multiple past due invoices can result in a Credit Hold on your account. This means we will not process additional Service Bureau uploads until all invoices are paid.
- Learn how to reconcile<sup>112</sup> invoices and uploads.

### Payment Options

1099 Pro, Inc. gladly accepts payments via:

- Check—Mail to 1099 Pro, Inc., 23901 Calabasas Road, Suite 2080, Calabasas, CA 91302. Please reference the invoice number on your check.
- Credit card—Pay online at <https://www.1099pro.com/acctFindInvoice.asp> or call Sales at 888-776-1099. Amounts over \$2,000 are manually processed by Sales and will incur a 3% credit card fee.
- Wire Transfer—Contact Sales for wire instructions; include a non-negotiable \$70 wire transfer fee in your payment.

We do not accept ACH/EFT payments.

## Help! I'm Not Receiving Invoices

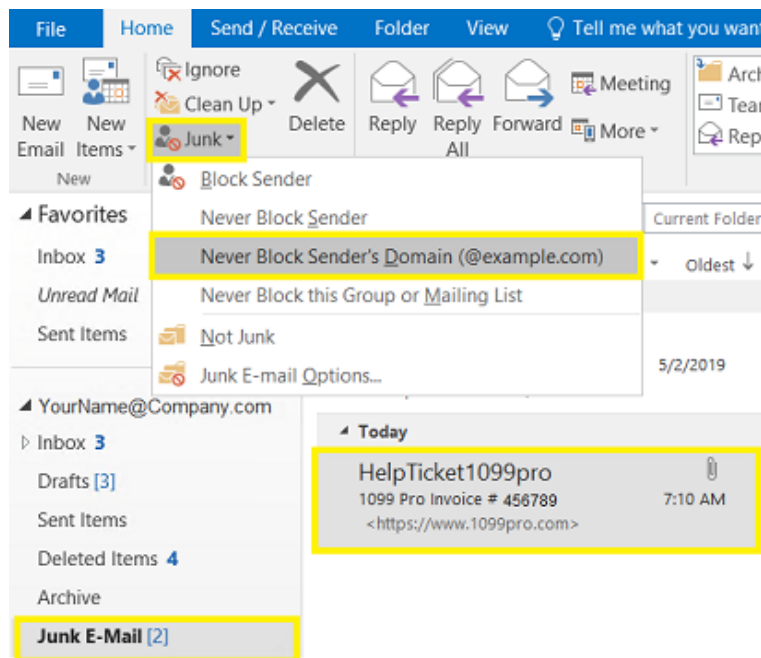
It is critical that you can receive emails from the Service Bureau to ensure timely processing of your uploads. If Service Bureau and billing emails go to your junk or spam folder, it is often a simple task to redirect them to your inbox. On occasion, some customer may need to contact their IT team and request that our emails be white listed. Specifically, our invoices (emails with PDF attachments from "sales@1099pro.com" and "helpticket@1099pro.com") may need to be unblocked at your firewall.

## Remove Emails from Junk Folder

These steps are specifically for Microsoft Outlook users.

1. Go to your Junk E-Mail folder.
2. Select the email to mark as Not Junk
3. On the Home tab, select Junk > Never Block Sender's Domain.
4. Outlook redirects this email to your inbox; all subsequent @1099pro.com emails should go to your inbox, too.

Remember to anticipate and look for Service Bureau invoices within one day of submitting your upload. Failure to pay invoices on-time can result in servicing delays.



## I'm Still Not Receiving Invoices!

Please call Sales or email the Service Bureau for assistance. We may need updated contact information for your account.

## Invoice Reconciliation

1099 Pro Service Bureau customers receive multiple email notifications<sup>123</sup> as their upload file is processed. After processing the upload file, the Service Bureau invoices<sup>110</sup> customers for work performed. All Service Bureau invoices list an "Upload Identifier" in the Work Order (WO#) field so that customers can easily reference the billed job.

### Reconcile an Invoice

1. On your invoice, reference the "WO#" field to locate the associated Service Bureau Upload Identifier.

Ship Via: UPS Ground (free)	Terms: 1 - Net Due Upon Receipt
PO#:	WO#: Service Bureau Upload Identifier: A9672071-OFYN017.ZIP

2. In your 1099 Pro software, go to the Service Bureau Upload Sessions screen and reference the "Upload File Name" column.

### Service Bureau Upload Sessions

Use the options below to view, report, reprint or reset (void) prior completed Upload sessions.

Current Query: All Sessions for ALL Filers  
 Skip Voided Sessions

Log	Session	Filer TIN	Form Type	Time	Reset/Voided	Upload Date	Upload File Name
30	24	46-1235555 Lcode 1	1099-MISC	10:10AM			A9672071-OFYY024.ZIP
29	24	99-9089889 TX	1099-MISC	10:10AM			A9672071-OFYY024.ZIP
27	22	99-9089889 TX	1099-MISC	9:33AM			A9672071-OPNN022.ZIP
26	21	99-9089889 TX	1099-INT	8:41AM			A9672071-OFYN021.ZIP
25	20	46-1235555 Lcode 1	1099-MISC	9:26AM			A9672071-OFYN020.ZIP
20	17	99-9089889 TX	3921	1:00PM		6/01/2018	A9672071-OFYN017.ZIP
19	17	99-9089889 TX	1099-S	1:00PM		6/01/2018	A9672071-OFYN017.ZIP
18	17	99-9089889 TX	1099-MISC	12:59PM		6/01/2018	A9672071-OFYN017.ZIP
17	17	46-1235555 Lcode 1	1098	12:59PM		6/01/2018	A9672071-OFYN017.ZIP
13	13	46-1235555 Lcode 1	1099-MISC	1:20PM		3/06/2018	A9672071-OFYN013.ZIP
2	2	99-9089889 TX	1099-INT	8:56AM			A9672071-OFYN002.ZIP
1	1	99-9089889 TX	1099-MISC	8:21AM		2/09/2018	A9672071-OFYN001.ZIP

View/Print Log Report
Complete Pending Upload
Reset (Void) Upload
View/Print Session Summary
Resend a Completed Upload

3. Locate the corresponding "Upload Identifier" from your invoice and select it.
4. Click the "View/Print Session Summary" button to view a report detailing associated logs. *One session often contains multiple logs (i.e., multiple Filers and/or Form Types were bundled into a single upload—this is always most cost-effective).*
5. Reconcile your invoice against this report.

Printed Date: 2/01/19  
Printed Time: 0:56AM

**1099 Pro Service Bureau Upload**  
Upload Confirmation Sheet

Page: 1 of 1

Session Number: 17	Tax Year: 2017	Generated: 3/07/2018 1:00PM	Files/Form Types: 4
File created in: C:\1099 Pro\Pro99T17\Uploads\		Filename: A96720 -OFYN017.ZIP	

Log ID	Form Type	Count	Filer TIN	Payer Code	CFSFP	Filer Name
17	1098	24	461235555	1234567890123	n/a	FILER IMPORT TEST COMPANY
18	1099-MISC	59	999089889	PCODE TEST	YES	DUMMY FILER
19	1099-S	12	999089889	PCODE TEST	n/a	DUMMY FILER
20	3921	12	999089889	PCODE TEST	n/a	DUMMY FILER

The Identifier for this Upload is: OFYN017	Contact Information: Laura Rothman
These tax forms are to be Filed with the IRS	LauraR@1099pro.com
The upload was designated as: Original	818-914-5201

## Service Bureau Multiple Upload Dates

*Why do I have multiple Service Bureau Upload Dates?* For some form types, the IRS staggers mailing and filing deadlines. In such cases, we schedule your upload dates accordingly to allow you time to make changes per Recipient requests, after mailing and prior to IRS/SSA filing. The Service Bureau's goal is to help reduce corrections and save you time, money and aggravation!

Upload Date	Upload File to Submit
January	Forms 1098/1099/W-2G and some 5498 series records for <i>Print+Mail Only</i> uploads. See 1099 Deadlines <sup>[21]</sup>
January	1099-MISC, Box 7/NEC, records for <b>EITHER</b> <i>Print+Mail+IRS</i> or <i>IRS Only</i> uploads. See NEC Deadlines <sup>[23]</sup>
January	Form W-2 records for <b>EITHER</b> <i>Print+Mail+IRS</i> or <i>IRS Only</i> uploads. See W-2 Deadlines <sup>[25]</sup>
Early March	Form 1042-S records for <i>Print+Mail+IRS</i> or <i>IRS Only</i> uploads. See 1042-S Deadlines <sup>[23]</sup>
Mid-March	Forms 1098/1099/W-2G and some 5498 series records for <i>IRS Only</i> uploads. See 1099 Deadlines <sup>[21]</sup>
April/May	Forms 5498-ESA and 5498-SA have unique deadlines. See 1099 Deadlines <sup>[21]</sup>

See Service Bureau—An Overview <sup>[109]</sup> and schedule your Service Bureau Upload Date now!

## Can I Submit Everything In January?

Yes, but the Service Bureau advises against it. Every year we assist users who rushed to prepare their data in January, only to discover issues after mailing Recipient copies. It is a simple process to re-issue forms to Recipients that have not been IRS filed; generating large volume corrections requires effort—and oftentimes great expense!

Print+Mail+IRS customers can upload for *Print+Mail Only* in January and later upload for *IRS Only* at no additional cost\*.

\* Assumes the same volume of records is submitted.

## Corrections

Corrections must be processed manually. The cost to IRS file corrections via the Service Bureau is \$45 per upload. See About Corrections—An Overview<sup>191</sup>

## Service Bureau Upload Sessions

*The 1099 Pro Service Bureau is proud to offer a variety of services to registered users of 1099 Pro software products, all performed in our secure **SOC I Type II**<sup>7</sup> environment at highly competitive rates.*

The Service Bureau Upload Sessions screen provides direct access to optional Service Bureau utilities including Print + Mail, Electronic Filing and Bulk TIN Matching. Additionally, you can view upload sessions, reset/void uploads, complete pending uploads and view reports. Access this screen via the task panel > Filing My Forms > Via the Service Bureau.

### Related Topics:

- Service Bureau—An Overview<sup>109</sup>
- Service Bureau Print+Mail<sup>181</sup> (CS) Wizard, Service Bureau IRS Filing<sup>181</sup> (CS) Wizard and Bulk TIN Matching<sup>124</sup> Wizard

## Service Bureau Specific Considerations

- Upload sessions are Filer specific. If you don't see an upload session, verify that the correct Filer is selected.
- One upload session can contain multiple logs composed of different Filers and form types.
- The "Upload Task" column indicates the type of upload sent to the Service Bureau including: Bulk TIN, Print+Mail, Filing, etc.
- The "Status" column indicates if the upload is "Done (HTTPS)", "Done (Manual)", "Pending" or has been "Voided". It is your responsibility to ensure that all uploads are successfully completed by your scheduled upload date. Please see Filing Status—Am I Done?<sup>190</sup>

## Reset (Void) Session

**Prior to resetting any upload with a "Done" status, see Reset Service Bureau Sessions<sup>189</sup> for important considerations.** Otherwise, reset any "Pending" upload session to reset and void. If there are multiple logs within the session, highlight any single log to void the entire session. A voided session cannot be un-voided.

## Complete Pending Upload

Highlight the session to upload and select the "Complete Pending Upload" button. If there are multiple logs within the session, highlight any one log to upload the entire session. To complete a pending upload you must certify your data (even if you've previously done so) via Step 2—Submit Service Bureau Upload<sup>120</sup> and then submit it at the same screen. After successfully uploading the file, the "Status" column updates to "Done".

## Session Summary

If selected session has a "Done" status, generates a copy of the signed Upload Confirmation Sheet and, if selected, corresponding Control Totals. If selected session has a "Pending" status, generates a copy of the Summary & Instructions Sheet and, if selected, corresponding Control Totals.

*Submitting a Manual Upload?* Reference your Summary & Instructions Sheet when submitting a manual upload file; it details your upload file name and the Service Bureau's secure FTP site and login credentials.

## Run Report(s)

1. Click the "View/Print Session Summary" button.
2. You are prompted to check "Reprint Control Totals" as necessary. Click "OK" to continue.

## Log Report

Also referred to as the Upload Form Summary, this report generates a log specific detail of an upload file. The last page of this report includes Total Form Count, Number of Forms with Missing TINs, Box-By-Box Totals and a State Withholding Breakdown.

## Run Report

1. Click the "View/Print Log Report" button.
2. You are prompted to select a printer; consider printing to PDF to save paper.
3. Select the Sort Order; by Last Name/First Name or By TIN
4. Other Report Options include:
  - Preview before printing
  - Print Summary totals only
  - Errors and Warnings only

## Service Bureau Wizards

### Create SB Print+Mail Upload (CS Only)

Use this wizard to create Service Bureau Print+Mail and Print+Mail+IRS upload files. See Create SB IRS Upload File<sup>181</sup>, Bulk TIN Match Upload File<sup>125</sup> and Service Bureau Upload Sessions<sup>114</sup>

### Submission Guidelines

- There are fees to use the Service Bureau (see online price estimator) and a scheduled Upload Date is required.
- Only records with a Pending status are eligible to be included in Print+Mail and Print+Mail+IRS upload files.
- Update software<sup>16</sup> prior to using this wizard.
- It is most cost-effective to submit ALL Filers and ALL Forms in a single upload file. *Multiple uploads incur multiple fees.*

### Print+ Mail vs. Print+ Mail+ IRS Uploads

This wizard allows you to create records for Service Bureau Print+Mail and Print+Mail+IRS services. Some users prefer to send records only for Print+Mail services in January; this allows their Recipients time to receive forms and request changes prior to IRS filing later in the season. Other users prefer to

send records for Print+Mail+IRS in January; this ensures they don't miss IRS filing deadlines. The Service Bureau schedules multiple upload dates<sup>[113]</sup> so you can decide how best to submit your records.

## SB Print+Mail Wizard

Watch How to Print and Mail Using the Service Bureau (online video) for a quick overview of this process. Learn about Service Bureau Print Specifications<sup>[120]</sup> and Mail Tracker Technology<sup>[118]</sup>.

1. On the Corporate Suite task panel go to Printing & Mailing > Via the Service Bureau. Select the type of forms and tax year to process.
2. At the Begin a New Service Bureau Upload Session screen click the "Printing & Mailing or E-Delivery Upload" button. Options include:
  - Printing & Mailing or E-Delivery Upload
  - 1095 Printing & Mailing Upload
3. At the Create a Service Bureau Print/Mail Upload File screen click the "Begin" button to start the wizard. Options include:
  - Check for software updates, and/or
  - Start the Generate Accounts Wizard<sup>[101]</sup>. Some form types require Recipients to have unique account numbers; the wizard never overwrites existing account numbers.
4. **STEP 1: Select Filers**—Select Filers to include in your upload file.
  - All of My Filers: Select ALL Filers. It is most cost-effective to submit ALL Filers and ALL Forms in a single upload file.
  - Current: Default option includes the currently selected Filer only.
  - Select (Tag) Filers: Manually select individual Filers.

**1: Select Filers**  
Specify which Filers should be processed

All of my Filers       Select (Tag) Filers

Current: ORIGINAL

5. **STEP 2: Form Types**—Select tax forms to include in your upload file.
  - All Form Types: Default option includes eligible records for ALL form types for the selected Filer(s). It is most cost-effective to submit ALL Filers and ALL Forms in a single upload file.
  - Current: Includes eligible records for the currently selected form type only.
  - Select (Tag) Form Types: Manually select form types.
  - Additional Options: Original and Corrected records must be submitted in separate uploads.
    - **Upload/Print Original Forms:** Default option to select original issue forms.
    - **Upload/Print Corrections:** Select corrected forms (with a Corr/Pending and Zero/Pending status). See About Corrections<sup>[191]</sup>

**2: Form Types**  
Select which tax forms will be included

All Form Types       Select (Tag) Form Types

Current: 1098

Upload/Print Original forms  
 Upload/Print Corrections

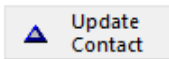
6. **STEP 3: Upload Action**—Select how the Service Bureau should process your upload file.
  - **Print and Mail the Forms:** Default option to print and mail forms.



- **Electronic Delivery\***: Recipients receive email notification that forms are available online for download and printing. Per IRS regulations, forms are printed and mailed to any Recipients who have not registered online, in advance, with their email address.
- **Print and Mail with Web\***: Print and mail forms PLUS post Recipient forms online for download and printing.
- **Web Presentment Only\***: Recipients receive email notification only that forms are available online for download and printing.
- **Additional Options**
  - I request Immediate Filing with the IRS: This option is designed for entities that may be closing, submitting corrections or late uploads that require expediency. **This option is not applicable for standard 1099-MISC, Box 7/NEC, submissions; NEC records are specifically handled in STEP 7 later.** Most users submit a Print+Mail upload in January and submit a revised IRS Only upload in March.
  - Use CFS: Default option to include eligible records in the Combined Federal/State Filing Program<sup>147</sup>.

<b>3: Upload Action</b> Select what the SB will do with the forms	<input checked="" type="radio"/> Print and Mail the forms	<input type="radio"/> Print and Mail with Web	<input type="checkbox"/> I request Immediate Filing with the IRS
	<input type="radio"/> Electronic delivery	<input type="radio"/> Web presentment only	<input type="checkbox"/> File Combined Federal/State

7. **STEP 4: Zero Form Filter**—Filter tax forms based on dollar amounts. Check "Filter out forms with no money amounts" as appropriate.
8. **STEP 5: Contact Information**—Enter the individual the Service Bureau should contact if there are issues with the upload file. This contact person—in addition to your account's primary Service Bureau contact—receives automated emails from the Service Bureau as the upload is processed. The contact person's information is neither transmitted to the IRS nor Recipients. Click "Update Contact" to edit information.

<b>5: Contact Information</b> Who should be contacted if there are questions?		Full Name: Jane Doe
		Phone: 818-555-1212 Email: JaneDoe@Yahoo.com

9. **STEP 6: Federal Thresholds**—Process forms meeting Federal Thresholds<sup>260</sup> for Tax Year. Federal grouping options include: EIN, PCode or Apply Individually

<b>6: Federal Thresholds</b>	<input checked="" type="checkbox"/> Process forms meeting Federal Thresholds for Tax Year	Federal grouping option to evaluate forms by		
		<input checked="" type="radio"/> EIN	<input type="radio"/> PCode (PTIN)	<input type="radio"/> Apply Individually

10. **STEP 7: 1099-MISC Special Processing**—When reporting Box 7/NEC data, the deadline for BOTH Recipient mailings and IRS filings is **January 31, 2020** (see NEC Deadlines)<sup>23</sup>. IRS guidelines require special processing of NEC and non-NEC records; the Service Bureau automatically processes your MISC records as appropriate. Processing options include:
  - e-File 1099-MISC forms with Box 7 Non-Employee Compensation Data: Default option if this upload contains any NEC records.

- e-File ALL 1099-MISC forms: If this upload contains both NEC and non-NEC 1099-MISC records, users can select this option. IRS filing all forms in January may force you to file corrections later in the tax season.
- Skip e-Filing, I will file my 1099-MISC forms by the deadline.

<b>7: 1099-MISC Filing Requirement</b> New requirement effective TY 2016	<input checked="" type="radio"/> e-File 1099-MISC forms with Box 7 Non-Employee Compensation only
	<input type="radio"/> e-File ALL 1099-MISC forms <input type="radio"/> Skip e-Filing, I will file my 1099-MISC forms by the deadline
<input checked="" type="checkbox"/> Use CFS: For ALL Filers	

Step 7 is not available if your upload does not contain any eligible 1099-MISC records.

11. **STEP 8: Printer**—Several reports print at the end of this wizard from the selected printer.

## 12. Extra Options

- **TIN Masking:** The Social Security Administration does not allow TIN masking on Forms W-2.
- **Extra Print Options:** Select to access Advanced Printing Options<sup>[102]</sup> unique to this upload file only. Includes the option to force an "X" in the Corrected box and/or to include a brief standardized message on the tax form(s). Service Bureau print customers can insert a 100-character, standardized message on their forms for free.
- **Error Scan:** Use to check selected records for errors or warnings prior to uploading to the Service Bureau. Review Errors & Warnings<sup>[83]</sup> for information on reviewing and/or adjusting any such records.
- **Folder:** By default, all Service Bureau Upload Files are saved to the Uploads folder. You must have read/write/modify folder permissions to successfully upload files.

* Extra Options	
<input checked="" type="checkbox"/> TIN Masking: All Rcp SSN/EIN	<input checked="" type="checkbox"/> Extra Print Options Force Corrected "X": Msg:
<input type="checkbox"/> Error Scan: Not scanned	<input type="checkbox"/> Folder: C:\1099 Pro\Pro99T18\Uploads

13. Click on "Create File" to proceed. Please be patient while the upload session is generated. Upon completion, summary reports print to the default printer.

14. Proceed to **Submit Service Bureau Upload File**<sup>[120]</sup>.

\* There is a \$150 setup fee plus a per form charge to use Web Presentment or Electronic Delivery in addition to standard Service Bureau fees. Recipient forms are posted online at VIEWMYFORMS.COM. Recipients must register online at VIEWMYFORMS.COM using the identical email address imported with their form in order to access these services. Contact the Service Bureau<sup>[109]</sup> for further details. Also inquire about our optional API service to make Recipient forms accessible online via your web portal.

## Mail Tracker™ Technology

Service Bureau customers can track the delivery of their domestic Recipient forms.

## How Does It Work?

Our secure print facility delivers your forms to the USPS on or before the IRS/SSA mailing deadline. As forms arrive at regional postal centers they are scanned. The Service Bureau Mail Tracker™ reports the latest scan available and, when possible, estimates the anticipated delivery date. While Mail Tracker provides evidence of the date of delivery, it does not provide proof of delivery because carriers do not scan Intelligent Mail barcodes at Recipients' delivery point.

Mail Tracking is designed to provide Service Bureau customers with the last automated processing scan which can indicate that the mail piece will be delivered later that day. Service Bureau Mail Tracking is not a substitute for Certified/Return Receipt mail, but it's the next best thing.

Results are updated approximately every 24 hours. Please note, some USPS routes do not provide tracking information. Review the USPS Informed Visibility® Mail Tracking & Reporting (IV®-MTR) Operation Codes List.

## Track a Form

An active Internet connection is required to track forms.

1. On the task panel select Preparing My Forms > Work With My Tax Forms. Use the Current Form drop menu to select the form type to process
2. At the Work With My Tax Forms screen highlight any record with an "SB Print + Mail" status.
3. Click the "Track" button.
4. The Track Service Bureau Mailing screen details an internal Tracking Number, the Recipient's Name, Address, Forms Type and USPS scans and final delivery date.

**Track Service Bureau Mailing**

Tracking Number **08911-000001-229332-14-17532428**

File Name:

Name: **JANE DOE**

Address: **820 FLAGG ST**  
**TALLAHASSEE, FL 32305-7516**

Tax Year: **2017**

Form Type: **1099-R**

File Type: **Original**

**Delivery Date: OCT 1, 2018 12:47PM**

Last Scan Date:	Scan Zip:
OCT 1, 2018 12:47PM	32305
SEP 30, 2018 6:17PM	32301
SEP 30, 2018 4:31PM	32301
SEP 30, 2018 11:43AM	32301
SEP 28, 2018 9:44PM	60199

Results are updated every 24 hours. Please note, some USPS routes do not provide tracking information.

Done

## Print Specifications

The United State Postal Service (USPS) has exacting regulations for Recipient addresses. To ensure the highest likelihood that mail will be successfully delivered to Recipients, the Service Bureau processes all Print+Mail uploads per the Coding Accuracy Support System (CASS). This means that our print facility may update the Recipient addresses provided in your upload file to update outdated addresses, standardize addresses and format incomplete or misspelled addresses.

### USPS Recipient Mailing Guidelines:

- Post Office Box addresses cannot contain any other data—such as Department or Floor—on the same line.
- Apartment / Department / Floor / Suite data must be entered in the "Address Apt/Suite" field of your import file. If this data is included in the "Address Deliv/Street" field, it will be dropped per the USPS.
- If data is entered in the "Address Apt/Suite" field, it prints immediately above the "Address Deliv/Street" field per USPS guidelines (reference [https://pe.usps.com/text/pub28/28c2\\_003.htm#ep526273](https://pe.usps.com/text/pub28/28c2_003.htm#ep526273)). For example:

JANE DOE  
APT 1  
123 ANY STREET  
CITY, ST 99999-9999

1099 Pro provides sample import files<sup>72</sup> to help you structure your data for successful imports and mailings.

### Delimiters — Print Limitations

Our print facility may omit forms that contain the following delimiters in the Name or Address fields:

- Pipe bars, for example: TAYLOR | ANDERSON LLP.
- A single instance of quotation marks, for example: 333 SOUTH HOPE STREET, "43RD FLOOR.

### Multi-Form Insertion

If a Print+Mail upload contains multiple forms issued to the same Recipient (i.e., identical Name, TIN and address), such forms are inserted into a single envelope up to a weight not exceeding the cost of first-class postage. This courtesy service is appreciated by Recipients and is provided at no additional cost to the Filer.

See Mail Tracker™ Technology<sup>118</sup>.

## Submit SB Upload File

After successfully creating your Service Bureau Print+Mail, Print+Mail+IRS or IRS Only Upload File, users must certify and submit their data to the Service Bureau. Certification includes carefully reviewing the Control Totals Report for accuracy and confirming total records. Users must digitally sign off on the upload prior to submission.

### **IT IS CRITICAL THAT YOU CAN RECEIVE EMAILS FROM THE SERVICE BUREAU.**

Communications regarding bad upload files, missed upload dates and invoices are sent exclusively

via email. Please ensure that you can receive emails from SB@1099pro.com—if necessary, check your spam folder and/or ask your IT team to white list us.

See Service Bureau Upload Sessions<sup>114</sup>

### Submit Service Bureau Upload

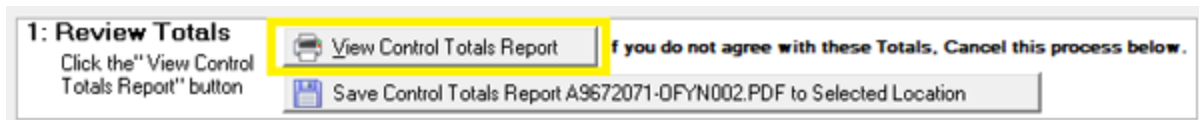
The Submit a Service Bureau Upload screen displays automatically after creating an upload file. To continue the upload process, you must certify your data by carefully reviewing the Control Totals Report<sup>95</sup>.

- If you approve the reports continue to the below steps.
- If you do NOT approve the reports, click the “Cancel” button and use the “Reset/Void Upload” button at the Service Bureau Upload Sessions<sup>114</sup> screen. All of the forms associated with the session will reset to their original, pre-upload status. Fix any issues, then start over at Service Bureau Print+Mail<sup>181</sup> (CS) Wizard or the Service Bureau IRS Filing<sup>181</sup> (CS) Wizard.

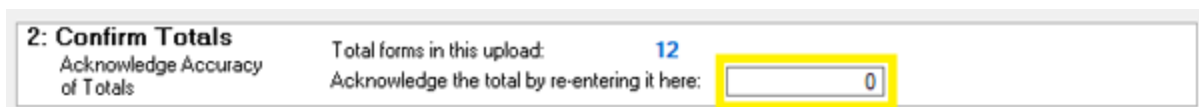
To continue this process at a later time, click the “Cancel” button and use the “Complete Pending Upload” button at the Service Bureau Upload Session screen to return when convenient.

### Uploads Are Easy!

1. **Step 1: Review Totals**—Click the View Control Totals Report button OR Save Control Totals Report button. View the reports, one per Filer and Form type, and verify that all Filer(s), Form(s) and dollar amounts are correct. See Control Totals Report<sup>95</sup>.



2. **Step 2: Confirm Totals**—Confirm the Total Number of Forms. Enter the total number of forms in the “Acknowledge the total by re-entering it here” field.



3. **Step 3: Transfer Method**—Choose between:
  - **Built-in HTTPS secure transfer:** This default/preferred method works well for most of our users; however, those with firewalls or very large files may experience issues. \*An Internet connection is required for this method. Users must meet the **TLS Minimum Browser Requirement**<sup>9</sup> to transmit via HTTPS.
  - **Built-in FTP using the Internet:** This is an alternate method of uploading to the Service Bureau. The Wizard automatically uploads the file using standard File Transfer Protocol. \*An Internet connection is required for this method.
  - **Manual Transfer:** This option requires users to manually upload their file to our FTP site, email it or send it to our Service Bureau via postal service. See Manual Transfer Options<sup>123</sup> below.
4. **Step 4: Select Printer**—Control Totals Report prints to selected printer.

**4: Select Printer**  
Select a Valid Printer

Select a different Printer

Adobe PDF  
Documents\\*.pdf (winspool)

5. **Step 5: Digital Signature**—The individual responsible for this upload must type their name to certify they have examined the information returns and control totals in this transmission and to the best of their knowledge and belief, are true, correct and complete.

**5: Digital Signature**  
Digitally Sign  
Transmission

Under penalties of perjury, I declare that I have examined the information returns and control totals contained in this transmission, and to the best of my knowledge and belief, they are true, correct, and complete.

Signature:  (Type your name)

Signature Date:  at

6. Click "Upload My File" to immediately transmit your file to the 1099 Pro Service Bureau. The software indicates if upload was successful. If so, please look for your email confirmation from the Service Bureau, usually the same business day. **Successful uploads are immediately transmitted to the Service Bureau and filed with the IRS.**
- If the upload was not successful, repeat the above procedure using the Built-in FTP or Manual Transfer option.
  - There is no need to fax any documentation or call the Service Bureau; your file and approval are submitted electronically.
  - If you do not receive an email confirmation, please check your SPAM folder and ask your IT team to ensure that emails from sb@1099pro.com are white listed!
  - When submitting a Bulk TIN Upload; expect your Bulk TIN Results within 1-2 business days. If you haven't received your emailed results by then please check your SPAM folder and have your in-house IT team determine if the results were blocked by your internal firewall. Bulk TIN results are emailed as an encrypted .ZIP file attachment which some firewalls may block. Please contact the Service Bureau for further assistance as needed. *W-2 Pro software does not offer Bulk TIN Uploads.*
7. **AM I DONE?** You are responsible for verifying that all intended upload files have a "Done" status at the Service Bureau Upload Sessions screen. If an upload file has a "Pending" status it means that the file was created, but it has NOT been submitted to the Service Bureau. Highlight the "Pending" upload and click the "Complete Pending Upload" button at the bottom center of the screen to submit the file to the Service Bureau for processing. It is your responsibility to track the status of your upload files and transmit them in a timely manner. Please watch for Service Bureau emails<sup>123</sup> to track the status of your upload (check your SPAM folder if necessary). Filing Status—Am I Done?<sup>190</sup>

**Service Bureau Upload Sessions**

Use the options below to view, report, reprint or reset (void) prior completed Upload sessions.

Current Query: All sessions for this Filer  
 Skip Voided Sessions

Log	Session	File#	TIN	Lcode	Form Type	Form Count	Upload Task	Status	Session Date	Time	Reset/Voided	Upload Date
17	17	46-1235555	Lcode 1	1098	2	Filing	Pending		3/07/2018	12:59PM		
16	16	46-1235555	Lcode 1	3921	1	Filing Corrections	VOIDED		3/07/2018	11:39AM	3/07/2018	3/07/2018
15	15	46-1235555	Lcode 1	3921	1	Filing Corrections	VOIDED		3/07/2018	11:37AM	3/07/2018	3/07/2018
14	14	46-1235555	Lcode 1	3921	1	Filing Corrections	VOIDED		3/07/2018	10:49AM	3/07/2018	
13	13	46-1235555	Lcode 1	1099-MISC	12	Filing	Done (Manual)		3/06/2018	1:20PM		3/06/2018

8. **Invoicing**—Invoices are emailed to your account's primary billing\* contact within one business day. Pay invoices promptly to avoid delays in the processing of subsequent Service Bureau uploads. See Service Bureau Invoicing<sup>110</sup> for more information.

\* Your Service Bureau contact is not necessarily your billing contact.

## Manual Transfer Options

Transmitting your upload file to the Service Bureau via built-in HTTPS or FTP is preferred. Those with firewalls, very large files or no Internet connection may need to use the manual transfer option. Users must meet the TLS Minimum Browser Requirement<sup>9</sup> to transmit files to the 1099 Pro FTP site.

### Method A: Transmit your file to our secure SOC I Type II Service Bureau via FTP:

1. In your web browser go to <https://uploads.1099pro.com/>.
  - **Login ID:** 1099upload
  - **Password:** 2004
2. After Login, click the "Upload" link and browse for your upload file. Service Bureau Uploads are automatically pulled into our system from the FTP site. You will receive email notification from the Service Bureau within one hour of successfully posting your upload file. Please look for this email and check your SPAM folder as necessary.
  - You do NOT need to contact the Service Bureau to inform us that your file was posted.
  - Your digitally signed Control Totals Report is automatically bundled into your .ZIP upload file.

### Method B: Transmit your upload file via e-mail.

E-mail your upload file to [uploads@1099pro.com](mailto:uploads@1099pro.com). Do NOT change the name of the attached upload file—it contains identifying information. After emailing the file you will receive an automatic confirmation of receipt of your email within one hour.

- You do NOT need to contact the Service Bureau to inform us that your file was emailed.
- Your digitally signed Control Totals Report is automatically bundled into your upload .ZIP file. There is no need to fax documentation to the Service Bureau.

### Method C: Transmit your file via postal service on a CD or flash drive.

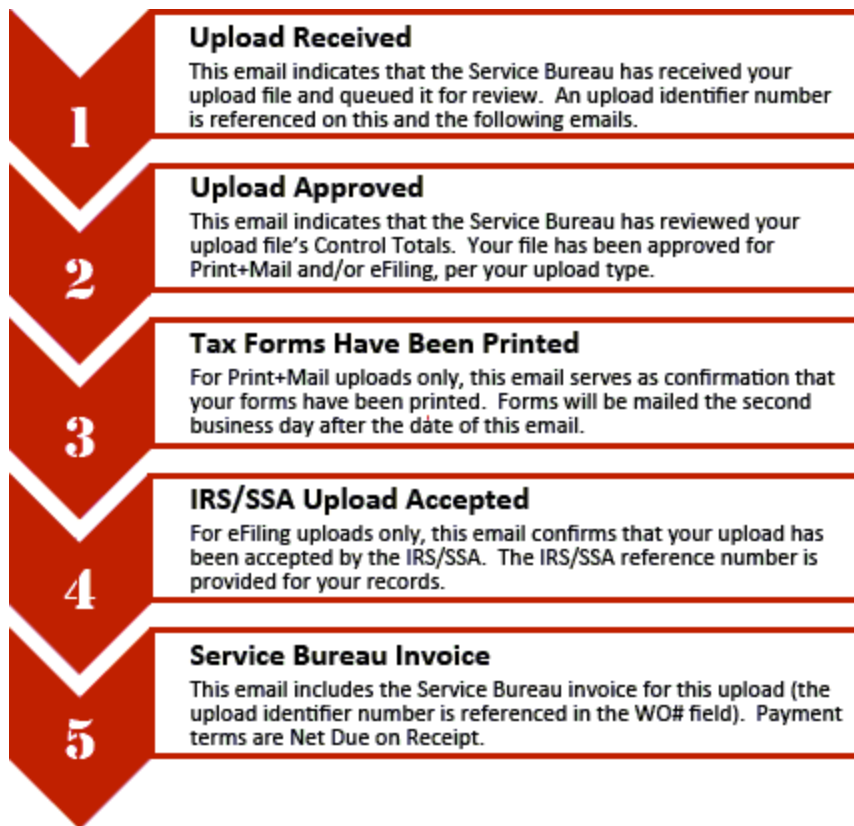
This method is not recommended as files can easily get damaged, delayed or lost in the mail.

## Service Bureau Emails

Service Bureau customers receive multiple email notifications as their upload file is processed. All upload files include an Upload Identifier Number—for example "C1111111-OFYN0001"—so you can easily reference uploads within our software and reconcile invoices<sup>112</sup>. If there are any problems with your upload file, the Service Bureau will email you with instructions. It's critical that you white list all emails from 1099 Pro, Inc. to ensure that you receive any important communications!

## Standard Service Bureau Emails

Service Bureau customers who submit Print+Mail and eFile (IRS Filing) uploads receive the following emails as their file is processed.



## Bulk TIN Matching

Bulk TIN checks are an essential compliance and risk mitigation service that identify TIN/Name mismatches prior to filing with the IRS. Significant penalties<sup>[27]</sup> can be assessed at the IRS's discretion. **Avoid \$270+ record mismatch penalties! Utilize 1099 Pro's Bulk TIN Matching Service!**

### Bulk TIN Match Overview

- \$135 for a single upload file containing up to 100,000 records.
- Current 2019 Service Bureau customers do NOT require an upload appointment. New Service Bureau customers must contact the Service Bureau<sup>[109]</sup> prior to uploading a file.
- Approximately 24 hour turn-around time.
- Access to a FREE trial of our individual TIN Matching service.
- See Bulk TIN Match Results<sup>[126]</sup>

### TINCheck.com—FREE Trial

Another great option to validate your TIN/Name combinations via individual checks or bulk! TINCheck.com is a straightforward, user-friendly resource; simply log in and instantly gain access to multiple verification sources in one place. All paid 1099 Pro software customers receive a FREE referral code for twenty free Name/TIN validations. Referral code is listed on the bottom of your paid invoice. **Sign up at TINCheck.com today!**

Extra Options:



- Complete list validation: OFAC, DMF, EPLS, LEIE, TIN/Name
- Integrate an API/web service into an existing AP system for seamless verification of new vendors.
- Prepaid plans or monthly subscription pricing plans based on volume.
- Bulk TIN Checks with complete list validations available.

## Create Bulk TIN Upload File

1099 Pro's Bulk TIN Matching is an essential compliance and risk mitigation service that identifies Recipient Name and TIN mismatches prior to filing with the IRS. The Bulk TIN Matching Wizard allows users to run up to 100,000 Name/TIN combinations in a single upload file for only \$135. Results are typically available the following business day. **Bulk TIN Uploads are not available in W-2 Pro software.**

### Bulk TIN Upload Guidelines

- Current Service Bureau customers do NOT require an upload appointment—they are welcome to upload at any time.
- New Service Bureau customers must contact the Service Bureau<sup>109</sup> prior to uploading a file.
- Optionally, users can manually submit a flat file for Bulk TIN Matching. Download our online Bulk TIN Manual Submission guidelines.
- See Bulk TIN Matching<sup>124</sup> and Bulk TIN Match Results<sup>126</sup>

### Create Bulk TIN Match Upload File

1. On the task panel select Printing and Mailing (or Filing My Forms) > Via the Service Bureau.
2. At the Printing, Mailing, Filing and Bulk TIN Matching screen select the "Bulk TIN Matching Upload" button.
3. In the Bulk TIN Matching Upload Wizard review important onscreen information. Click "Next" to proceed. Use the "Back" button to go back a step.
4. Choose a method for selecting eligible records.
  - Selected Form Types for ALL Filers: This default option prompts to select the form types to include in this upload file. All Filers are processed.
  - Selected Form Types for Selected Filers: This option prompts to select the Filer and the form types to include in this upload file.
5. Select form types to include in upload.
6. Set options for your upload.
  - **Force TIN Type as Unknown for all records:** Select this option to validate TINs against *both* the SSN and EIN master files. This option removes the SSN or EIN identifying hyphens for all TINs. The returned IRS result indicates if the Name/TIN matches the the IRS SSN, EIN or SSN and EIN records (see Bulk TIN Match Results<sup>126</sup>). Users cannot import results back into the software if this option is selected.
  - Select the destination folder: By default all Service Bureau Upload Files are saved to the Uploads folder. Users must have read/write/modify folder permissions to successfully upload files. Although not recommended, users can change the default Uploads folder.
7. Enter your Contact Information and User Password:
  - The Service Bureau emails your encrypted results to the email address provided. **Please ensure that you can receive emails, with .ZIP attachments, from sb@1099pro.com.**

- Enter a password to encrypt your Bulk TIN matching results; retain the password to access your results. Your password must be 8 to 30 characters in length.
8. Select the Printer for your Bulk TIN Matching summary and instructions.
  9. At the Ready to Generate Bulk TIN Upload File screen review settings and select "Finish". The system processes your file and the Administrator indicates when file is "Done".
  10. Continue to **Submit Service Bureau Upload File** <sup>120</sup>.

## Bulk TIN Match Results

Bulk TIN results are typically received within one business day of submitting a Bulk TIN Match upload <sup>124</sup> to the Service Bureau. **Prior to contacting the Service Bureau about your results file, first check your email SPAM folder and verify with your in-house IT team that emails with attachments from sb@1099pro.com are allowed.** Bulk TIN results are emailed as an encrypted .ZIP file attachment which some firewalls may block. Please contact the Service Bureau for further assistance as needed.

## Force TIN Type | Unknown TIN Type

If some Recipient TINs do NOT contain dashes, force the TIN Type as "Unknown" to validate TINs against both the SSN and EIN master files. This option removes the SSN or EIN identifying hyphens for all TINs. On a match, the IRS will return: Code 6 = TIN and Name combination matches IRS SSN records, or Code 7 = TIN and Name combination matches IRS EIN records, or Code 8 = TIN and Name combination matches IRS SSN and EIN records.

Any record submitted without the required fields (TIN, Name and TIN Type) automatically receives Code 4= Invalid Request. Forcing an Unknown TIN Type avoids this error message and provides necessary TIN type information. *Caution: When forcing the TIN type the returned results cannot be imported back into 1099 Pro software.*

## Bulk TIN Results

Results are provided as coded IRS responses for all Name/TIN combinations.

Code	Response
0	Name/TIN combination matches IRS records.
1	Missing TIN or TIN not 9 digit number.
2	TIN not currently issued.
3	Name/TIN combination does NOT match IRS records
4*	Invalid request (i.e., contains alphas, special characters)
5	Duplicate request.
6	(matched on SSN), when the TIN type is (3), unknown, and a Matching TIN and name control is found only on the NAP DM1 database.
7	(matched on EIN), when the TIN type is (3), unknown, and a matching TIN and name control is found only on the EIN/NC database.
8	(matched on EIN and SSN), when the TIN type is (3), unknown, and matching TIN and name control is found only on both the EIN/NC and NAP DM1 databases.

## Sample Bulk TIN Results

The following sample lines indicate the TIN provided by Matthew Mulberry is 2 - Not Currently Issued and the Name/TIN provided by Acme Incorporated is 0 - Matches IRS records.

```
1;1834211111;Matthew Mulberry;89765;2
2;5626111111;Acme Incorporated;89765;0
```

## Invalid TIN Matching Requests

Any record submitted without the required fields (TIN Type, TIN, Name) automatically receives Indicator 4 - Invalid Request. For example, the following line from a Bulk TIN Matching file is missing the Name field:

```
2;5626111111;;8976
```

The above line generates a "4" in the results data file, indicating an Invalid Request, as follows:

```
2;5626111111;;89765;4
```

*Note: Any record submitted without the required fields (TIN Type, TIN, Name) automatically receives Indicator 4 - Invalid Request. If **TIN Type is unknown**, users can check the "Force TIN Type As Unknown" box during the Wizard and the IRS will check the TIN against both the SSN and EIN master files. However, users cannot import returned results for matching purposes if this option is chosen.*

## For More Information:

Direct questions regarding specific tax regulations or regulatory services to [IRSCompliance.org](http://IRSCompliance.org) at:

Phone: 877 TAX-REGS (877) 829-7342

Email: [compliance@IRSCompliance.org](mailto:compliance@IRSCompliance.org)

## Export Forms for Print/Mail

### Export ASCII Forms

All 1099 Pro software products feature an intuitive Export Wizard<sup>127</sup> for the exporting of tax form data in a Mapped ASCII (Fixed/Delimited/Excel) format that is accessible in spreadsheet applications such as Microsoft Excel or Access. If using Notepad to view files, data will appear out of alignment as the export files are Tab delimited. All export files are "Map by Name" compatible and can be imported directly into another Filer. Corporate Suite software offers enhanced exporting features<sup>314</sup>.

- See Import Wizard<sup>308</sup>
- See IRS Bulk TIN Export Wizard
- See Pub. 1220 Export Wizard<sup>129</sup> (CS Only)
- See Moore 1099 Print Export<sup>130</sup> (CS Only)
- See ACA Export Wizard<sup>320</sup>

## Export ASCII Data

1. On the menu bar select Utilities > Export Tax Forms to ASCII File(s).

2. In the Export Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
3. At the "Select the type of data and format to use" screen use the drop menu to select the appropriate form type and click "Next".
  - To customize the delimiters and data exported use an export map, accessed via the "Add or Update Export Map" button. See Export Maps Wizard<sup>318</sup> for important field descriptions.
4. Choose a method for selecting eligible tax forms. Options include:
  - Export tax forms for ALL Filers: This option automatically selects every eligible form for all Filers.
  - Export tax forms for up to 25 selected Filers: This option prompts to manually select (tag) the filers to include in the export file. All form types for the selected Filers are processed.
  - Split export records into separate files for each Filer?: Mark the check box to export Filers' records into individual files. Leave the check box unmarked for a single, larger file containing data for all Filers and form types.
  - (CS Only) Group export records by Address Type: Forms are grouped by US, Canadian, Other within each export file.
5. (CS Only) Select the type of forms to export:
  - Originals: Defined as forms that do not have a Corrected status in the IRS Status column, i.e., forms with any other status, Pending, Printed, Filed, excluding forms with a Void or Deleted status. *Note: If a record has been filed, and subsequently had a correction made, only the Originally filed form will be exported (the Corrected form will not).*
  - Corrections: Defined as forms that correct or replace forms that have been filed with the IRS/SSA, i.e., forms with a Corr/Filed status.
6. (CS Only) Select Extra Filters Options including:
  - Category/Source Filters<sup>411</sup> (optional, user defined import file values)
    - Form Category = Only records with this exact text in the Form Category field on the record will be exported. If left blank, no Form Category will be applied.
    - Form Source = Only records with this exact text in the Form Source field on the record will be exported. If left blank, no Form Source filter will be applied.
  - Date Range Filters if unchecked ALL forms for all variables selected up to this point are included in the export file. Check this box to select a Qualifying Date Range defined as:
    - All Activity = All records that have been added or updated, within the specified time range, will be exported.
    - Only Created/New = Only records that have been imported or added, within the specified time range, will be exported.
    - Only Existing/Updated = Only existing records that have been updated or modified, within the specified time range, will be exported.
  - Apply Federal and State Thresholds
    - Export forms meeting Federal Thresholds for TY 20XX
    - Federal Grouping Options Filters include EIN, PCode (PTIN) or Apply Individually
    - Export forms meeting State Thresholds for TY 20XX.
    - Records that meet state criteria will be included even if they do not meet federal criteria.
    - Filter (skip) forms that do not have any dollar amounts
7. (CS Only) Select Special Processing Flags including:
  - Limit forms to those with the print/export indicator checked (subject to other filters) Only records that have marked the "Select for Print/Export" box are included in the export.

- Reset/Remove print export indicators when complete The "Select for Print/Export" checkbox, on the record, will be removed/unchecked after the export process is complete.
  - Reset/Remove Print as Corrected indicator The "Print as Corrected" checkbox, on the record, will be removed/unchecked after the export process is complete.
  - \*1099-MISC ONLY\* New 1099-MISC requirements. **The 2019 IRS filing deadline for 1099-MISC / Box 7 data is 1/31/2020**. Users can opt to export all 1099-MISC records or only those with Box 7/NEC data.
8. Select the destination folder and click "Next" to continue.
  9. Review settings and click "Finish" to generate your export file.

## Export Formats (CS Only)

### Pub. 1220 Export

This wizard allows users to export records in the IRS Publication 1220, 750-byte record, format of the **current tax year** (regardless of the tax year of the export). Pub. 1220 formatted exports are NOT intended to be filed with the IRS and may be rejected if used for that purpose. They should only be used for data interchange with other systems that can read this file format.

### Export Data

1. On the Corporate Suite task panel select Printing & Mailing > Export Forms For Print /Mail and select the type of form to export. At the Begin a New Export Session screen select the "IRS 750-byte Export" button.
2. In the 1099 Pro eFile Export Wizard review important onscreen information. Click "Next" to proceed; use the "Back" button at any time.
3. Specify how forms will be selected and formatted. Options include:
  - **Year-to-date totals (current face/accumulated values):** This default option exports the current YTD total (face) amount for all selected forms. One B record is generated for each processed form.
  - **Transactions/activity only (totals within specified date range):** Select to limit the B records to only those recipients that have had at least one transaction within the specified range *unless* you also choose to generate zero amount records.
    - Create a zero amount B record if the Recipient had no activity within this range.
    - Create a B record for each individual transaction instead of one combined B record.
4. Choose how records will be selected for this export. Options include:
  - ALL Forms for ALL Filers: This option automatically selects every eligible form for all Filers.
  - Selected Form Types for ALL Filers: This option prompts to manually select (tag) the forms to include in the export file. All form types for the selected Filers are processed.
  - Selected Form Types for Selected Filers: This option prompts to manually select (tag) BOTH the Filers and forms to include in the export file. Selected form types for the selected Filers are processed.
5. Check for possible eFile Export data problems. Click the "Scan the selected forms for common formatting and validation problems" button and 1099 Pro checks records for any errors or warnings<sup>83</sup>. If any are found, the user must decide whether or not to process them in this export session.
6. Select destination folder for eFile Export Session. By default the session is saved to C:\1099 Pro\Pro99CS\MagFiles. Additional options include:
  - Create a separate file for each Filer.

- Set the IRS 'TEST' indicator for these files.
7. Verify Transmitter information for your eFile Export files. Any changes made at this screen are temporary.
  8. Verify your Contact and Company information.
  9. Review settings at the Ready to generate efile Export File screen, then click "Finish" to generate your export file. The file is saved in a .IRS format and is suitable for viewing in 1099 Pro's optional eFileViewer Utility.

## Moore Wallace Print Export

This wizard allows users to export records in the Moore Wallace print format. Review important Moore Wallace Print Export<sup>130</sup> information. Supported form types include:

- 1099-C
- 1099-DIV
- 1099-G
- 1099-INT
- 1099-LTC\*
- 1099-MISC
- 1099-R
- 5498
- W-2

\* Form LTC Box 5 information is not passed to Moore Wallace as this information is optional per the IRS.

## Moore Wallace Export Notes

Please review your Filer information prior to exporting forms in the Moore Wallace Print format.

**Moore Wallace only accepts four print lines for the Filer Address field; thus Address Line 2 is omitted from the print file.** Review your Filer's address information at the Browse Filers<sup>207</sup> screen. Alternately, create a custom query to isolate Filers with address information in the line that will not be printed in the Moore Wallace format.

### Run Query

1. On the menu bar select File > Filers List.
2. At the Browse Filers screen select the "Custom Query" button.
3. On the Field Selection screen of the Query Wizard select "Routing Address (Suit, department, etc)" then click "Next".
4. On the Operation Selection screen of the Query Wizard select "Is Greater Than" and click "Next".
5. On the Value Entry screen of the Query Wizard enter "0" into the field and click "Next".
6. Click "Finish" and save the query for future use.

## Ch. 9 Step 3—Filing My Forms

### Filing on Paper

#### Filing 1096 Transmittals

The Paper Filing Session screen features the 1096 Print Wizard<sup>131</sup>. Use this wizard to process Form 1096, Annual Summary and Transmittal of U.S. Information Returns, to transmit paper Forms 1099,

1098, 5498, and W-2G to the IRS. Do not use Form 1096 if filing electronically. Don't want to bother with preprinted forms? Consider filing via the 1099 Pro Service Bureau<sup>109</sup>.

Access the Paper Filing Session window via the task panel > Filing My Forms > Filing on Paper.

### 1096 Considerations

- **Effective TY 2018**—If filing a *combined total* of 250 or more Forms 1099, 1098, 5498, and W-2G you are required to submit them electronically. If filing less than 250 Forms you are encouraged to file them electronically. See new Rule-of-250<sup>27</sup> requirement.
- Form 1096 can only be generated for records with a Printed status.
- The preprinted 1096 contains a special red ink, invisible to the IRS scanners. Although printed data should ideally align in the proper box, it is OK if the data slightly overlaps the red ink.
- Print a test page to blank paper to minimize form waste. Align margins<sup>104</sup> if data does not align in the proper box.
- A corrected 1096 automatically prints "Filed to Correct TIN, Name &/or Address" or "Filed to Correct Document Type" at the bottom of the transmittal.
- **Help—I filed electronically but my accountant needs a copy of my 1096!** When filing electronically there is no 1096; however, the Control Totals<sup>95</sup> report provides box-by-box summary totals on the last page. This comparable report is suitable to provide to your accountant or auditor.

### Onscreen Options

Button	Description
"View/Print Session Report"	The 1096 Session Summary report details all data for the selected transmittal.
"Reset (VOID) 1096"	Void a 1096 and all records in that print session are automatically reset to Printed status.
"Reprint 1096 Form"	See Reprint Transmittal <sup>140</sup>

### 1096 Print Wizard

The 1096 Print Wizard simplifies the process of generating Form 1096 to pre-printed, red IRS forms. Any form with a Printed status (or Corr/Printed for corrected forms) is available for selection in this wizard. See Filing 1096 Transmittals<sup>130</sup>

*Did you know?* The 1099 Pro Service Bureau<sup>109</sup> offers highly competitive and secure IRS filing services.

### 1096 Print Wizard

Please watch the online video, Filing on Paper Via 1096 or W-3, for a brief tutorial on this process.

1. On the task panel select Filing My Forms > Filing on Paper. Corporate Suite users select the appropriate tax year and form type.
2. At the Begin a 1096 Filing Session screen click the "Begin a New Form 1096 Process" button.

3. In the 1096 Print Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Select the form type and print sessions to include. *Records with Printed status (or Corr/Printed for corrected forms) are available for inclusion in this 1096 transmittal.*
  - Only one form type is allowed per 1096.
  - Records that have been voided, deleted or previously filed are NOT eligible for this wizard.
  - Total forms selected cannot exceed 249.
6. Verify Contact Name and Phone Number; this information prints on the Form 1096. Email Address and Fax Number are optional fields.
7. Run the Generate Account Numbers Wizard<sup>101</sup> to populate the Account Number field for all records not containing this data. Existing account numbers are not overwritten.
  - Per IRS Pub. 1220, account numbers are required if submitting more than one information return of the same type for the same payee.
8. Verify printer and print a test alignment<sup>104</sup> to minimize form waste. When satisfied with alignment click "Next" to proceed.
9. Review onscreen 1096 summary data and if in agreement, click "Print" to begin printing.
10. The software prompts the user to place the pre-printed 1096 form into the printer. Click "OK" when the printer is ready.
11. Indicate if the Transmittal is ready to send to the IRS:
  - **Yes—I have verified and/or printed my Finalized copies or Red copy A forms.** Mail your Copy A's and Form 1096 to the IRS prior to the deadline. Form 1099-MISC, Box 7/NEC, must be filed on paper or electronically by January 31, 2020. Most other 1099 Informational Returns must be paper filed by February 28, 2020. These forms are assigned a 1096 Filed status and are no longer available for changes.
  - **No—I haven't Printed my Finalized or Red Copy A forms yet.** These forms continue to have a Printed status and are available for inclusion in another 1096 transmittal.
12. Click "Finish" to exit the 1096 Print Wizard.

## Transmittal Filed

**YES, My Transmittal Is Correct**—Select this option if satisfied with your 1096 transmittal and will submit it to the IRS. The records in this print session are updated to "1096 Filed" status. Any changes to these records must be processed as corrections<sup>46</sup>.

Remember to mail your Copy A's and 1096 transmittal to the IRS by the appropriate filing deadline<sup>21</sup>.

**YES, My Transmittal Is Correct**—Select this option if satisfied with your 1042-T transmittal and will submit it to the IRS. The records in this print session are updated to "1042-T Filed" status. Any changes to these records must be processed as corrections<sup>46</sup>.

Remember to mail your Copy A's and 1042-T transmittal to the IRS by the appropriate filing deadline<sup>23</sup>.



## Transmittal Not Filed

**NO, My Transmittal Is Not Correct**— Select this option if dissatisfied with the 1096 Transmittal (destroy the printed 1096). The records in this print session maintain their "Printed" status and are available for inclusion in another, new 1096 transmittal.

**NO, My Transmittal Is Not Correct**— Select this option if dissatisfied with the 1042-T Transmittal (destroy the printed 1042-T). The records in this print session maintain their "Printed" status and are available for inclusion in another, new 1042-T transmittal.

## Filing 1042-T Transmittals

The Paper Filing Session screen features the 1042-T Print Wizard<sup>134</sup>. Use this wizard to process Form 1042-T, Annual Summary and Transmittal of Forms 1042-S, to transmit paper Forms 1042- to the IRS. Use a separate Form 1042-T to transmit each type of Form 1042-S (i.e., Original, Pro-Rata or Amended). Do not use Form 1042-T if filing electronically. Don't want to bother with preprinted forms? Consider filing via the 1099 Pro Service Bureau<sup>109</sup>.

Access the Paper Filing Session window via the task panel > Filing My Forms > Filing on Paper.

## 1042-T Considerations

- If filing 250 or more Forms 1042-S you are required to submit them electronically. If filing less than 250 Forms 1042-S you are encouraged to file them electronically. If you are a financial institution you are required to submit Form 1042-S electronically irrespective of the number of Forms 1042-S you submit.
- Filing Forms 1042 and 1042-S. Use of this form to transmit paper Forms 1042-S does not affect your obligation to file Form 1042, Annual Withholding Tax Return for U.S. Source Income of Foreign Persons.
- Form 1042-T can only be generated for records with a Printed status.
- 1042-S Pro software prints an IRS approved Form 1042-T directly to blank paper—there is no special red ink form.
- A corrected 1042-T automatically prints "Filed to Correct TIN, Name &/or Address" or "Filed to Correct Document Type" at the bottom of the transmittal.
- **Help—I filed electronically but my accountant needs a copy of my 1042-T!** When filing electronically there is no 1042-T; however, the Control Totals<sup>95</sup> report provides box-by-box summary totals on the last page. This comparable report is suitable to provide to your accountant or auditor.

## Onscreen Options

Button	Description
"1042-T Session Report"	The Print Session report summarizes all data for the selected transmittal.
"Reset (VOID) 1042-T"	Void a 1042-T and all records in that print session are automatically reset to Printed status.
"Reprint 1042-T Form"	See Reprint Transmittal <sup>140</sup>

## 1042-T Print Wizard

The 1042-T Print Wizard simplifies the process of generating Form 1042-T to blank paper (a preprinted, red ink transmittal is not required). Any form with a Printed status (or Corr/Printed for corrected forms) is available for selection in this wizard. See Filing 1042-T Transmittals<sup>133</sup>

*Did you know?* The 1099 Pro Service Bureau<sup>109</sup> offers highly competitive and secure IRS filing services.

## 1042-T Print Wizard

1. On the task panel select Filing My Forms > Filing on Paper. Corporate Suite users select the appropriate tax year and Form 1042-S.
2. At the Begin a 1042-T Filing Session screen click the "Begin a New Form 1042-T Process" button.
3. In the 1042-T Print Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Select the form type and print sessions to include. *Records with Printed status (or Corr/Printed for corrected forms) are available for inclusion in this 1042-T transmittal.*
  - Only one form type is allowed per 1042-T Transmittal.
  - Records that have been voided, deleted or previously filed are NOT eligible for this wizard.
  - Total ORIGINAL forms selected cannot exceed 249 per Filer.
  - **Financial institutions reporting payments under Chapters 3 or 4 MUST file electronically, regardless of the number of forms.**
6. Review Chapter 3 and 4 Withholding Breakdowns. A separate 1042-T must be created for each set of Ch. 3 and 4 status codes. If a print session contains multiple codes, then multiple 1042-T Transmittals will be created.
7. Verify Contact Phone Number; this information prints on the Form 1042-T. Email Address and Fax Number are optional fields.
8. **Final Return?** Check this box if this is your final return as the Filer is not required to file any other Forms 1042-S this tax year.
9. Review onscreen 1042-T summary data and if in agreement, click "Print" to begin printing.
10. Indicate if the Transmittal is ready to send to the IRS:
  - **Yes—I have verified and/or printed my Finalized or Copy A forms.** Mail your Copy A's and Form 1042-T to the IRS prior to the March 16, 2020 deadline. These forms are assigned a 1042-T Filed status and are no longer available for changes.
  - **No—I haven't Printed my Finalized or Copy A forms yet.** These forms continue to have a Printed status and are available for inclusion in another 1042-T transmittal.
11. Click "Finish" to exit the 1042-T Print Wizard.

## Transmittal Filed

**YES, My Transmittal Is Correct**—Select this option if satisfied with your 1096 transmittal and will submit it to the IRS. The records in this print session are updated to "1096 Filed" status. Any changes to these records must be processed as corrections<sup>46</sup>.

Remember to mail your Copy A's and 1096 transmittal to the IRS by the appropriate filing deadline<sup>21</sup>.

**YES, My Transmittal Is Correct**—Select this option if satisfied with your 1042-T transmittal and will submit it to the IRS. The records in this print session are updated to "1042-T Filed" status. Any changes to these records must be processed as corrections<sup>46</sup>.

Remember to mail your Copy A's and 1042-T transmittal to the IRS by the appropriate filing deadline<sup>23</sup>.

### Transmittal Not Filed

**NO, My Transmittal Is Not Correct**—Select this option if dissatisfied with the 1096 Transmittal (destroy the printed 1096). The records in this print session maintain their "Printed" status and are available for inclusion in another, new 1096 transmittal.

**NO, My Transmittal Is Not Correct**—Select this option if dissatisfied with the 1042-T Transmittal (destroy the printed 1042-T). The records in this print session maintain their "Printed" status and are available for inclusion in another, new 1042-T transmittal.

### Filing W-3 Transmittals

The Paper Filing Session screen features the W-3 Print Wizard<sup>136</sup>. Use this wizard to process Form W-3, Transmittal of Wage and Tax Statements, to transmit paper Forms W-2 the IRS. Do not use Form W-3 if filing electronically. Don't want to bother with preprinted forms? Consider filing via the 1099 Pro Service Bureau<sup>109</sup>.

Access the Paper Filing Session window via the task panel > Filing My Forms > Filing on Paper (via W-3).

**Did You Know?** W-2 Pro and Corporate Suite software both print IRS W-2 Copy A and the W-3 Transmittal directly to blank paper. This IRS approved version prints in black ink per IRS Pub. 1223.

### W-3 Considerations

- If filing 250 or more Forms W-2 you are required to submit them electronically. If filing less than 250 Forms W-2 you are encouraged to file them electronically.
- Form W-3 can only be generated for records with a Printed status.
- Print a test page to blank paper to minimize form waste. Align margins<sup>104</sup> if data does not align in the proper box.
- Corrected Forms W-2c must be filed via Form W-3c, see Filing W-3c Transmittals<sup>137</sup>.
- **Help—I filed electronically but my accountant needs a copy of my W-3!** When filing electronically there is no W-3; however, the Control Totals<sup>95</sup> report provides box-by-box summary totals on the last page. This comparable report is suitable to provide to your accountant or auditor.

## Onscreen Options

Button	Description
"View/Print Session Report"	The W-3 Session Summary includes all data for the selected transmittal with box-by-box totals on the last page.
"Reset (VOID) W-3"	Void a W-3 and all records in that print session automatically reset to Printed status.
"Reprint Form W-3"	See Reprint Transmittal <a href="#">140</a>

## W-3 Print Wizard

The W-3 Print Wizard simplifies the process of generating Form W-3 to either blank paper with standard black ink or preprinted, red IRS forms. Any form with a Printed status is available for selection in this wizard. See Filing W-3 Transmittals [135](#)

*Did you know?* The 1099 Pro Service Bureau [109](#) offers highly competitive and secure IRS filing services.

## W-3 Print Wizard

Please watch the online video, Filing on Paper Via 1096 or W-3, for a brief tutorial on this process.

1. On the task panel select Filing My Forms > Filing on Paper (via W-3). Corporate Suite users select the appropriate tax year and Form W-2.
2. At the Begin a W-3 Filing Session screen click the "Begin a New Form W-3 Process" button.
3. In the W-3 Print Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Select the payer type and print sessions to include. *Records with Printed status are available for inclusion in this W-3 transmittal.*
  - Only one payer type is allowed per W-3.
  - Records that have been voided, deleted or previously filed are NOT eligible for this wizard.
  - Total forms selected cannot exceed 249 per Filer/Employer.
6. Verify Form W-3 box-by-box total amounts. If totals are correct click "Next" to continue with the wizard. If totals are incorrect then "Cancel" this process; amounts must be edited on the individual W-2 forms, not on the W-3 transmittal.
7. Verify Contact Name and Phone Number; this information prints on the Form W-3. Email Address and Fax Number are optional fields.
8. Miscellaneous Boxes include:
  - Box A Control Number
  - Box H Other EIN used this year
  - Box D Establishment Number
9. Third-Party Sick Pay. Check the "Reporting third-party sick pay?" box if applicable. Enter Box 13 and/or Box 14 amounts.
10. Select Paper Type:

- **Blank<sup>365</sup> Stock Forms**—W-2 Pro features a special, IRS approved Form W-3 that prints to blank paper with standard black ink.
  - **Preprinted Laser Forms**—This paper type triggers the Verify Print Alignment screen later.
11. Verify printer and print a test alignment<sup>104</sup> to minimize form waste. When satisfied with alignment click "Next" to proceed.
  12. Review onscreen W-3 summary data and if in agreement, click "Print" to begin printing. If preprinted forms were selected, the software prompts you to place the pre-printed W-3 form into the printer. Click "OK" when the printer is ready.
  13. Indicate if the Transmittal is ready to send to the IRS:
    - **Yes—My W-3 printed correctly and I am ready to mark my forms as FILED.** Mail your Copy A's and Form W-3 to the IRS prior to the January 31, 2020 deadline. These forms are assigned a W-3 Filed status and are no longer available for changes.
    - **No—My W-3 is NOT correct, do not process the forms at this time.** These forms maintain their Printed status and are available for inclusion in another W-3 transmittal.
  14. Click "Finish" to exit the W-3 Print Wizard.

## W-3 Filed

**Update Filed W-3 Status**—Select this option if satisfied with your W-3 transmittal and will submit it to the SSA. The records in this print session are updated to "W-3 Filed" status. Any changes to these records must be processed as corrections<sup>46</sup>.

Remember to mail your Copy A's and W-3 transmittal to the SSA by the January 31, 2020 deadline.

## W-3 Not Filed

**Maintain Printed Status**—Select this option if dissatisfied with the W-3 (destroy the printed W-3). The records in this print session maintain their printed status and are available for inclusion in another, new W-3 transmittal.

## Filing W-3c Transmittals

The Paper Filing Session screen features the W-3c Print Wizard<sup>138</sup>. Use this wizard to process Form W-3c, Transmittal of Corrected Wage and Tax Statements, to transmit corrected paper Forms W-2c to the IRS. Do not use Form W-3c if filing electronically. Don't want to bother with preprinted forms? Consider filing via the 1099 Pro Service Bureau<sup>109</sup>.

Access the Paper Filing Session window via the task panel > Filing My Forms > Filing Corrections Form W-3C.

## W-3c Considerations

- If filing 250 or more Forms W-2c you are required to submit them electronically. If filing less than 250 Forms W-2c you are encouraged to file them electronically.
- Form W-3c can only be generated for corrected records with a Printed status, i.e., "Corr/Printed".
- Corporate Suite and W-2 Pro software print an IRS approved Form W-3c directly to blank paper—there is no need for a special red ink form.

## Onscreen Options

Button	Description
"View/Print Session Report"	The W-3c Session Summary offers two report options. Both reports include detailed employee data and box-by-box totals on the last page. 1 All Info—Report is in W-2 format and details current values. 2 Changes—Report is in W-2c format and compares both Original and Corrected values.
"Reset (VOID) W-3c"	Void a W-3c and all records in that print session automatically reset to Printed status.
"Reprint Form W-3c"	See Reprint Transmittal <a href="#">140</a>


## W-3c Print Wizard

The W-3c Print Wizard simplifies the process of generating corrected Form W-3c to blank paper. Any form with a Corr/Printed status is available for selection in this wizard. See Filing W-3c Transmittals [137](#)

*Did you know?* The 1099 Pro Service Bureau [109](#) offers highly competitive and secure IRS filing services.

## W-3c Print Wizard

- On the task panel select Filing My Forms > Filing Corrections W-3c.
  - Corporate Suite users select Filing My Forms > Filing Paper Forms and at the Select the Form Type screen select "W-2C".
- At the Begin a W-3c Filing Session screen click the "Begin a New Form W-3c print Process" button.
- In the W-3c Print Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
  - Important Considerations:**
    - Forms W-2c with Federal Amount changes, choose Option 1 (see Step 6, later), and send both the W-3c and associated W-2c forms to the SSA.
    - Forms W-2c with ONLY state or local Amount changes, choose Option 1 (see Step 6, later) but do NOT send the W-3c and associated W-2c forms to the SSA—send them to the appropriate state agency.
    - Forms W-2c with only Name or SSN changes must have a W-3c.
    - Forms W-2c with ONLY Address changes do NOT need to be sent to the SSA. Only send copies to the employees
- Check for software updates. Although not required to continue with this process, it is strongly recommended.
- Select Type of W-3c Paper/Form
  - Preprinted Red Dropout Ink**—This type of W-3c must be printed on a special preprinted form with red drop-out ink that is invisible to the IRS/SSA scanners.
  - Blank Paper with Black Ink**—The blank paper with black ink W-3c forms produced by W-2 Pro and Corporate Suite software are in a special, IRS/SSA approved format.
- Choose Type of W-3c (review Important Considerations in Step 3, above).

- **Option 1**—Generate a W-3C Transmittal for W-2c Forms. Allows user to select the forms to include and fill in all other W-3c information.
  - **Option 2**—Generate a W-3c Transmittal to Correct Employer IDs on a Previous W-3/W-3C. File a W-3c to correct a previously submitted W-3 or W-3c that had an incorrect Federal EIN, Establishment Number or Employer State ID. *W-2 Pro Users: To file for reasons beyond those listed here or in Step 3, the user must independently obtain and manually complete/submit a preprinted, red ink W-3c form.*
    - If Option 2 is selected, proceed directly to Enter the W-3/W-3c Correction Information screen and then automatically skip to Step 10, Verify Contact Information screen.
  - **Option 3 (CS Only)**—Print a blank W-3c Form to Fill In Yourself. Corporate Suite users who need to file for reasons beyond those listed here or in Step 3 can print an IRS/SSA approved W-3c to blank paper and manually complete it. If Option 3 is selected, Form W-3c prints out and then the W-3c Print Wizard automatically closes.
7. Select the payer type and print sessions to include. *Records with a Corr/Printed status are available for inclusion in this W-3c transmittal.*
    - Only one payer type is allowed per W-3c.
    - Corrected records that have been voided, deleted or previously filed are NOT eligible for this wizard.
    - Total forms selected cannot exceed 249 per Filer/Employer.
  8. Verify Form W-3c box-by-box total amounts. If totals are correct click "Next" to continue with the wizard. If totals are incorrect then "Cancel" this process; amounts must be edited on the individual W-2 forms, not on the W-3 transmittal.
  9. Verify Other Information.
    - **Box G Employer's State ID Number**—Enter an optional State ID to print in Box G.
    - **Third-Party Sick Pay & Box 14 Withholding**—Check the "Reporting third-party sick pay?" box if applicable. Enter Prior W-3 Box 14 total and Corrected Box 14 total amounts.
    - **Adjustments to Filed Tax Return**—If an adjustment has been made on an employment tax return filed with the IRS, check this box and fill in the date the return was filed.
    - **Explain any Decreases**—The SSA requires an explanation for any decreases to amounts previously reported. Attached additional sheets of paper, if necessary.
  10. Verify Contact Name and Phone Number; this information prints on the Form W-3c. Email Address and Fax Number are optional fields.
  11. Verify printer and print a test alignment  to minimize form waste. When satisfied with alignment click "Next" to proceed.
  12. Review onscreen W-3c summary data and if in agreement, click "Print" to begin printing
  13. The software prompts the user to place the pre-printed W-3 form into the printer. Click "OK" when the printer is ready.
  14. Indicate if the Transmittal is ready to send to the IRS:
    - **Yes—My W-3c printed correctly and I am ready to mark my forms as FILED.** Mail your Copy A's and Form W-3c to the IRS as soon as possible. These forms are assigned a Corr/W-3c Filed status and are no longer available for changes.
    - **No—My W-3c is NOT correct, do not process the forms at this time.** These corrected forms continue to have a Corr/Printed status and are available for inclusion in another W-3c transmittal.
  15. Click "Finish" to exit the W-3c Print Wizard.

## Reprint Transmittal

Users can easily reprint Transmittal forms.

### Considerations

- The red ink on preprinted Transmittal is invisible to the IRS/SSA scanners. Although data should ideally align in the proper box, it is OK if the data slightly overlaps the red ink.
- Print a test page to blank paper to minimize form waste. Align margins<sup>[104]</sup> if data does not align in the proper box.

### To Reprint Transmittal

1. On the task panel select > Filing My Forms > Filing on Paper.
2. At the Completed Form 1096 (or W-3 or 1042-T) Print Session List highlight the transmittal and click the "Reprint Form 1096" button.
3. At the Reprint a Form screen users can optionally enter a message to print at the bottom of the transmittal.
4. Print a test alignment to blank paper to minimize form waste. When satisfied with alignment click the "Reprint Form Now" button.
5. Click "Exit" to close this screen.

## Electronic Filing

### Electronic Filing Overview

1099 Pro software products are designed to streamline and simplify the IRS/SSA filing process. Learn more about the various electronic filing formats.

Filing Formats	Description
FIRE System— 1099 Informational Returns (includes 1098/1099/5498/W-2G)	Use the Filing Information Returns Electronically (FIRE) System to electronically upload 1099 Informational Returns to the IRS. Electronic files created via the <b>1099 Pro eFile Wizard</b> <sup>[144]</sup> fully comply with required IRS record formats per Pub. 1220 including the Combined Federal State Filing Program <sup>[147]</sup> (CF/SF) format. Filers with a combined total of 250 or more <sup>[27]</sup> records must file electronically or face IRS Penalties <sup>[27]</sup> . See IRS FIRE System <sup>[157]</sup>
FIRE System— Forms 1042-S	Use the Filing Information Returns Electronically (FIRE) System to electronically upload Forms 1042-S to the IRS. Electronic files created via the <b>1042-S Pro eFile Wizard</b> <sup>[149]</sup> fully comply with required IRS record formats per Pub. 1187. Filers with 250 or more records must file electronically or face IRS Penalties <sup>[27]</sup> . See IRS FIRE System <sup>[157]</sup>
SSA Business Services Online (BSO)— Forms W-2 / W-2c	Use the SSA's BSO to electronically upload Forms W-2 to the SSA. Electronic files created via the <b>W-2 Pro eFile Wizard</b> <sup>[151]</sup> fully comply with required SSA formats per their Specifications For Filing Forms W-2 And W-2c (EFW2/EFW2C). Filers with 250 or more records must file electronically or face IRS Penalties <sup>[27]</sup> .
AIR System— Forms 1095-B & 1095-C	Use the Affordable Care Act Informational Return (AIR) System to submit XML files for Forms 1095-B and 1095-C and their associated 1094 transmittals. XML files created via the <b>ACA XML Wizard</b> <sup>[152]</sup> fully comply with required ACA



Filing Formats	Description
Corporate Suite Only	specifications. The AIR system has different requirements than FIRE. Filers with 250 or more records must file electronically or face IRS Penalties <sup>127</sup> . See ACA Filing - Mag Media (online)

### Service Bureau Upload Wizard

The Service Bureau is proud to offer a wide variety of services to registered users of 1099 Pro software products at very competitive rates. Customers are encouraged to schedule their Uploads Appointments now! Rates and availability are not guaranteed until your appointment is booked. See Service Bureau—An Overview<sup>109</sup>

### Electronic Filing Wizards

All eFile Wizards are designed to simplify the process of generating Electronic file. Users are encouraged to generate their electronic files towards the end of the filing period. This allows users the maximum amount of time to correct any errors before filing with the IRS/SSA or other agency. Learn about the Electronic Filing Sessions<sup>142</sup> screen.

### Account Number Generation—Are Account Numbers Required?

1099 Pro Professional, Enterprise and Corporate Suite offer a utility to generate account numbers for any forms that do not have account numbers. Per IRS Publication 1220, page 65, account numbers are required: *Enter any number assigned by the payer to payee that can be used by the IRS to distinguish between information returns. This number must be unique for each information return.* 1042-S Pro offers a utility to generate account numbers for each form that does not have an account number. IRS Publication 1187, states on page 54 that account numbers are required. "Financial institutions reporting amounts paid to direct account holders with respect to an account maintained by institution at a U.S. office or U.S. branch, must report the recipient(s) account number ..." This feature is not available in W-2 Pro software. See Generate Account Number Wizard<sup>101</sup>

### Generate State Subset (Enterprise, W-2 Pro and Corporate Suite Only)

The "Create State Subset Files" wizard guides users through the file generation process. Users can select all filers or individual filers, all form types or selected form types and all states or selected states. This feature is not available in 1042-S Pro. See State Filing Overview<sup>158</sup> and Special Cases for State Filing<sup>160</sup>

### State Identification Number

State ID numbers are assigned by the individual state. For example, in California the Employer Development Department (EDD) assigns a state ID number. Check with your accountant or attorney to determine a Filer's state ID number. Many Filers do NOT have a State ID Number. See State ID Numbers<sup>176</sup>

### eFileViewer

See eFileViewer for information on this optional utility.

## Need a Paper Transmittal?

Help—I filed electronically but my accountant needs a copy of my 1096 / W-3 / 1042-T Transmittal Summary Sheet! When filing electronically there is no transmittal; however, the Control Totals<sup>195</sup> report provides box-by-box summary totals on the last page. This comparable report is suitable to provide to your accountant or auditor.

## Electronic Filing Sessions

The Electronic Filing Session screen features the electronic filing utilities available in your 1099 Pro\* software product. These utilities are appropriate if submitting electronic files directly to the IRS, SSA or other agency. If filing via the 1099 Pro Service Bureau see Service Bureau Uploads<sup>114</sup>.

Access the Electronic Filing Session window via the task panel > Filing My Forms > Electronic Filing.

## Electronic File Formats

eFile Format	Software Product	Accessed Via
Federal Files (1220 Format)	1099 Pro Enterprise & Corporate Suite	Enterprise: "Create a New 1220 Format File for e-File" button. CS: "Create an IRS FIRE or AIR eFile" button > "Create 1220 Format Files" button.
Federal Files (1187 Format)	1042-S Pro & Corporate Suite	1042-S Pro: "Create a New 1042-S Electronic File" button. CS: "Begin a New File Generation Process" button.
Federal Files (EFW2/EFW2c Format)	W-2 Pro & Corporate Suite	W-2 Pro: "Create a New SSA Format Electronic File" button. CS: "Create an SSA (Federal EFW2) Formatted File" button.
Federal Files (ACA Format)	Corporate Suite Only	"Create an IRS FIRE or AIR eFile" button > "Create 1095 XML Files" button.
Federal Files (FATCA XML Format)	8966 Pro Only	"Create an 8966 FATCA XML File" button.
State Subset Files	1099 Pro Enterprise, W-2 Pro & Corporate Suite	Enterprise: "Create State Subset Files" button. W-2 Pro: "Create State Subset Files" button. CS: "Create State Subset Files (W-2/499R2)" button.
State Quarterly Files	Corporate Suite Only	"TY Quarterly State Reporting" button. See State Quarterly Files Wizard <sup>171</sup>

\*1099 Pro Professional offers electronic filing only via the Service Bureau for a fee.

## Completed eFile Sessions List

This screen is composed of logs detailing all electronic files generated via the eFile wizard. Not all columns are included in all 1099 Pro software products.

Column	Description
Log	A unique number assigned to each file generated by the eFile Wizard. Logs are batched by Filer, Form Type and Trans Type. Multiple logs can be included in a

Column	Description
	single session.
Session	A number assigned to any group of files generated together by the eFile Wizard. One session can include multiple logs.
Filer TIN	The Filer TIN associated with a specific log.
Form Type	The form type associated with a specific log.
Copy Count	The number of forms generated for a specific log.
Trans Type	The type of transaction for a particular log (varies by software product): <ul style="list-style-type: none"> <li>• 1099 Pro types include: "Originals", "VOID: Originals", "G Corrections", etc.</li> <li>• 1042-S Pro types include "Originals", "Pro-Rate Originals", "VOID: Originals", etc.</li> <li>• W-2 Pro types include "Originals", "VOID: Originals", "Corrections", "State Subset File - STATE", etc.</li> <li>• 8966 Pro types include "Originals", "VOID: Amended", "Void", etc.</li> </ul>
Info	Indicates if the session was processed for Federal or State efilg. <b>FEDERAL FILES—</b> <ul style="list-style-type: none"> <li>• CFS: Session had the Combined Federal State Filing flag set "On".</li> <li>• Std.: Session had the Combined Federal State Filing flag set "Off".</li> </ul> <b>STATE FILES—</b> <ul style="list-style-type: none"> <li>• The information field for the state files uses the following pattern: Letter + Letter, e.g., "U+A".</li> <li>• The first letter position denotes the primary process filter: <ul style="list-style-type: none"> <li>○ U: Unfiled records</li> <li>○ A: All Records</li> </ul> </li> <li>• The second position is a static "+" (plus).</li> <li>• The third letter position denotes the threshold setting used. <ul style="list-style-type: none"> <li>○ A: No thresholds were applied (all eligible forms were selected).</li> <li>○ S: Only state thresholds were applied.</li> <li>○ F: Only federal thresholds were applied.</li> </ul> </li> </ul>
Session Date	The date the session file was created.
Time	The time the session was created.
Receipt ID <sup>154</sup> (Corporate Suite)	Tracks the IRS confirmation for AIR filings specific to Forms 1095-B and 1095-C (ACA). Use the "Update 1095/1094" button to manually populate this field.
Reset/Voided	Indicates the date a session was voided or reset.
File Name	Details the file name and location saved.

### Onscreen Options

Button	Description
"View/Print Log Report"	Generate an eFile Log Summary <sup>155</sup> report for the currently selected session including box-by-box totals, state withholding breakdowns, Recipient count and

Button	Description
	individual Recipient details, etc.
"Reset/Void Session"	Use to Void/Reset the highlighted electronic filing session including all log IDs associated with that session. See Reset eFile Session <sup>[158]</sup>
"Visit IRS FIRE Site" or "Visit SSA BSO Site"	Direct access to government agencies.
Restore Archived File (Corporate Suite)	The eFile Wizard allows users to create an archival copy of their electronic or magnetic media file in a Binary Large Object (BLOB) retrievable format should their original eFile become corrupted or lost. Click this button to restore such an archived file. See eFile Archiving
Session Tracking (Corporate Suite)	Use to document an eFile's upload date, the IRS/SSA/State assigned file name or tracking ID, and if the file was Accepted or Rejected. See Browse Session List <sup>[146]</sup>
"Update 1094/1095" (Corporate Suite)	Use to document an eFile's upload date, the IRS/SSA/State assigned file name or tracking ID, and if the file was Accepted or Rejected. See Receipt ID <sup>[154]</sup>

## 1099 Electronic Filing Wizard (CS Only)

The Electronic Filing Wizard simplifies the creation of electronic files—per IRS Pub. 1220 specifications—in Original, Correction and Test formats. A Transmitter Control Code (TCC) and IRS FIRE site login credentials are required. Users without a TCC must apply for one no later than 30-days prior to the filing deadline or consider using the 1099 Pro Service Bureau<sup>[114]</sup> for their filing needs.

Review 1099 Informational Return Deadlines<sup>[21]</sup> and 1099-MISC Box 7/NEC Deadlines<sup>[23]</sup>

### Electronic File .INI Edits

Manually edit the [System] portion of your .INI file to allow for Sort by TIN formatting or Batch Processing of your electronic files. See Electronic File INI Edits<sup>[157]</sup>

### Generate Electronic Files

These instructions are for Corporate Suite Users generating Pub. 1220 (1098/1099/5498 and W-2G informational returns) electronic files only.

1. On the Corporate Suite task panel select Filing My Forms > Electronic Filing.
2. At the Begin a New IRS eFile Generation Session screen click the "Create an IRS FIRE or AIR eFile" button > "Create a New 1220 Format File for eFile". *Records with a Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this electronic file.*
3. At the Create Upload File Wizard screen click the "Begin" button to start the process. Users have the option to:
  - Check for software updates, and/or

- Start the Generate Accounts Wizard<sup>101</sup>. Per IRS Pub. 1220, account numbers are required when submitting more than one information return of the same type for the same payee.
4. **STEP 1: Select Filers**—Specify which Filers should be processed in this electronic file.
    - All of My Filers: This selection includes ALL eligible records for ALL Filers in the software.
    - Select (Tag) Filers: Use to manually tag (or select) individual Filers for inclusion in this electronic file.
    - Current: This default selection includes available records for the currently selected Filer only.
  5. **STEP 2: Form Types**—Select which tax forms will be included in this electronic file:
    - All Form Types: This default selection includes all form types for the selected Filer(s) and includes all eligible records.
    - Select (Tag) Form Types: Use to manually tag (or select) form types for inclusion in this electronic file.
    - Current: This uses only the currently selected form type and its eligible records for inclusion in this electronic file.
  6. **STEP 3: File Type**<sup>148</sup>—Select the type of file to create; Original, Corrections and Test records must be processed in separate files per IRS specifications.
    - **Original Forms**: Default selection to file original records for the first time to the IRS.
    - **Corrections**: Select if, after submitting records to the IRS, data needs to be corrected (e.g., a TIN, Amount, Name or form type was incorrect OR this form should never have been filed).
    - **Test**: Select if creating a test file for submission to the Combined Federal/State Filing Program<sup>147</sup>.
      - **Replacement Protocol**: Effective TY 2017, new replacement file protocols are in place. If an electronic file is marked as "BAD" by the IRS FIRE site, users must Reset/Void the electronic file originally submitted within this software. Users should make any necessary record changes and then recreate the electronic file in the same format—Original or Correction—as the electronic file originally marked "BAD". On the FIRE site users should select "Replacement" when posting the electronic file.
  7. **STEP 4: Filter Criteria**—Select all applicable options:
    - Filer (skip) records that do not have any dollar amounts: Default selection.
    - 1099-MISC Special Processing: This box is only available if 1099-MISC is selected previously in Step 2: Form Types. Options include:
      - Process ALL 1099-MISC records: Default selection.
      - Process only 1099-MISC records with Box 7 Non-Employee Compensation: Select this option to ensure that generated electronic file consists only of 1099-MISC records containing NEC/Box 7 amounts greater than zero.
  8. **STEP 5: Combined Federal/State Filing Program**<sup>147</sup>
    - Use Filer defaults: Default selection to use the CF/SF value originally assigned to each Filer.
    - Select (Tag) Filers: Select Filers, regardless of their assigned CF/SF value, for participation in the program. Changes made to a Filer's CF/SF status are permanent. View and modify Filer CF/SF status at the Filer Master List<sup>207</sup> screen.
  9. **STEP 6: Federal Thresholds**—Process forms meeting Federal Thresholds for Current Tax Year. Thresholds vary by form type and may be adjusted annually, see Federal Thresholds<sup>260</sup>. Federal grouping options to evaluate forms by include:
    - EIN

- PCode (PTIN): Tax records for identical Recipients are aggregated and then evaluated against the Federal/State thresholds when the following criteria is the same across tax records; PCode / Tax Year / Form Type / Recipient TIN / Tax State.
- Apply Individually: Tax records for identical Recipients are aggregated and then evaluated against the Federal/State thresholds when the following criteria is the same across tax records; EIN / Tax Year / Form Type / Recipient TIN / Tax State.

#### 10. STEP 7: CF/SF Program Thresholds

- All: Leave threshold limits in place. A record will be included in the CF/SF program if the state and form type participate (state thresholds and CF/SF exceptions are NOT applied).
- Apply Standard Threshold Rules: Only tax records that meet or exceed state standard threshold criteria are filed in the CF/SF program.
- Apply Standard Threshold & CF/SF Exception Rules: Only tax records that meet or exceed state standard threshold criteria will be filed in the CF/SF program. Additionally, records that meet or exceed the CF/SF exception thresholds will NOT be included in the CF/SF program.

11. **STEP 8: TCC & Contact Information**—Who should be contacted if there are questions? Enter the person the IRS should contact if there are issues with the information in this electronic file. Click "Update Contact" to edit information.

#### 12. Extra Options

- Archive a Copy of this File
- Error Scan: Use to check records for the chosen Filer(s) and Form type(s) for errors or warnings prior to generating electronic files. Review Errors & Warnings<sup>83</sup> for information on reviewing and/or adjusting any such records.
- File Location: By default all generated Electronic Files are saved to the Mag Files folder. Although not recommended, users can change the folder location.

13. Click on "Create File" to proceed. Please be patient while the electronic session is generated. Upon completion summary reports print to the default printer.

## Browse Session Lists

Use Session Tracking to document an eFile's upload date, the IRS/SSA/State assigned file name or tracking ID; this is a very useful feature to track when an electronic file was Accepted.

## Browse Sessions

1. At the Electronic Filing Session screen click the "Session Tracking" button.
2. At the Session List screen ALL eFile sessions for the currently selected TY are displayed. Use the "View Options" to filter by ALL, IRS/SSA, State or Puerto Rico only sessions.
3. Highlight any Session ID to view Details.
4. To enter or edit information, click the "Update Session Tracking/Information" button. Fields in **BLUE** are fixed and cannot be modified.

5. "Save" changes or "Cancel" to exit this screen.

### View Session Details

The Session List screen details the electronic File Name, Transmitter Name, the date Submitted and Status Set (Accepted).

### Combined Federal/State Filing Program

The Combined Federal/State Filing Program (CF/SF) is open to electronic filers of Informational Returns. It was established to simplify information returns filing for the taxpayer. IRS/MCC forwards this information (both original and corrected) to participating states free of charge for approved Filers. Separate reporting to those states is not necessary. See State Subset Filing<sup>158</sup> and Special State Filing Requirements<sup>160</sup>.

Some participating states require separate notification that the payer is filing in this manner. Since IRS/MCC acts as a forwarding agent only, it is the payer's responsibility to contact the appropriate states for further information. Per Pub. 1220, "Each state's filing requirements are subject to change by the state. It is the payer's responsibility to contact the participating state(s) to verify their criteria."

\* See IRS Pub. 1220 for a complete description. Contact your state agency for individual State requirements.

### First Time Participants Must:

1. Obtain a Transmitter Control Code (TCC)<sup>228</sup>
2. Submit a test file to the IRS. Test files can be generated via the 1099 Pro Electronic Wizard<sup>144</sup>, typically enabled via software update by late December.

- Send test file via FIRE Test System at <https://fire.test.irs.gov>. Hard copy print tests are not acceptable.
- Electronic test files can be submitted between 11/04/2019—12/06/2019 and 01/02/2020—YTBD (per TY 2019 specs). Visit the IRS for updated test system availability dates.
- A test file should consist of at least 11 total records for recipients from any of the states participating in the Program.

## Participation as of Tax Year 2019\*

### Participating States

AL, AR, AZ, CA, CO, CT, DE, GA, HI, ID, IN, KS, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NJ, NM, OH, OK, SC and WI.

### Forms INCLUDED in Program

1099-B, 1099-DIV, 1099-G, 1099-INT, 1099-K, 1099-MISC, 1099-OID, 1099-PATR, 1099-R, and 5498.

### Test Files

1. Electronic test files coded for this program must be submitted between November 4, 2019 through December 6, 2019, 6PM ET and January 2, 2020 through YTBD (for Tax Year 2019). Visit the IRS for updated test system availability dates.
  - The FIRE Test System is down annually in December for system updates.
2. A test file is only required for the first year when you apply to participate in the Program. Each record, both in the test and the actual data file, must conform to this Revenue Procedure.
3. While a test file is only required for the first year when a Filer applies to participate in the Program, it is highly recommended that a test be sent every year you participate in the Combined Federal/State Filing program. Each record, both in the test and the actual data file, must conform to the current Tax Year Revenue Procedure.
4. The IRS sends the Filer a letter of approval if the test file is good.

## 1099 Pro Service Bureau

Test files are not required when filing via the Service Bureau.

## IRS File Types

The following information is specific to 1099 Informational Returns filed directly via the IRS FIRE system. Reference IRS Pub. 1220, Sec. 6 Electronic Submissions.

### Electronic File Types

- **Original file**—Information returns not previously reported to the IRS.
- **Correction file**—Corrections for information returns that were successfully processed by the IRS and an error was later identified. Correction files should only contain corrected records.
- **Test File**—Only required when participating in the CF/SF Program<sup>147</sup> for the first time.
- **Replacement file**—Only applicable if an electronic file is marked as "BAD" by the IRS FIRE system. Make necessary record changes and then recreate the electronic file in the same format—Original or Correction—as the electronic file marked BAD. On the FIRE system select "Replacement" when posting the electronic file.



## File Names

The IRS FIRE system assigns names to all uploaded files per the following logic:

- Submission type (Original, Correction, Replacement, and Test)
- TCC
- Four-digit sequence number (increased for every file submitted)

For example, the third Original file for the calendar year, with a TCC of 55555, would result in an IRS assigned file name of ORIG.55555.0003. View the assigned file name on the FIRE system at the "Check File Status" page.

## FIRE System Responses

After submitting an electronic file, results are available within two days (delays may occur during peak tax season).

- **File is GOOD**—File is released for processing after ten calendar days from receipt. Transmitters can contact the IRS within the ten day window to stop processing if necessary.
- **File is BAD**—Return to the FIRE system to identify errors, make changes and resubmit file as a Replacement file within 60 days from the original transmission date. It is important to submit an acceptable replacement file within 60 days because the submission date can be used for penalty determination.

## Service Bureau

The 1099 Pro Service Bureau<sup>[109]</sup> can file electronically on your behalf for a fee. As part of our service, we will provide you with your IRS assigned file name, notify you if your file is marked as BAD and direct you to the appropriate action.

## 1042-S Electronic Filing Wizard

*Electronic filing functionality will be enabled in early 2020 via a software update.* The 1042-S Electronic Filing Wizard simplifies the creation of electronic files—per IRS Pub. 1187 specifications—in Original, Correction and Test formats. A Transmitter Control Code (TCC) and IRS FIRE site login credentials are required. Users without a TCC must apply for one no later than 30-days prior to the filing deadline or consider using the 1099 Pro Service Bureau<sup>[114]</sup> for their filing needs.

Review 1042-S Filing Deadline<sup>[23]</sup>

## Electronic File .INI Edits

Manually edit the [System] portion of your .INI file to allow for Sort by TIN formatting or Batch Processing of your electronic files. See Electronic File INI Edits<sup>[157]</sup>

## Generate Electronic Files

Enter your TCC information<sup>[228]</sup> prior to running this wizard.

1. On the task panel select Filing My Forms > Electronic Filing.
2. At the Create a New 1187 IRS File screen click the "Create a New 1042-S Electronic File" button. Corporate Suite Users select "Form 1042-S" and click the "Begin a New File Generation Process"

button. *Records with a Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this electronic file.*

3. In the eFile Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Run the Generate Account Numbers Wizard<sup>101</sup> to populate the Account Number field for all records not containing this data. Existing account numbers are not overwritten.
  - The IRS requires the use of a 20-character Account Number, as assigned by the Withholding Agent, to identify all corrections. **1042-S Pro strongly suggests that all forms have unique account numbers assigned to them.**
6. Select Filers for the 1187 file. *Only records with a Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this electronic file; records that have been voided, deleted or previously filed are NOT eligible.*
7. Select the type of file to generate:
  - **Original:** Select if submitting records for the first time to the IRS.
  - **Corrections:** Select if, after submitting records to the IRS, you need to amend data (e.g., a TIN, Amount or Name was incorrect OR this form should not have been filed).
  - **Test:** Identical to an Original file but with TEST indicator flagged..(CS Only) Specify how zero amount forms are processed:
  - Filter (skip) forms that do not have any dollar amounts. Some forms containing zero amounts may NOT be filtered due to check box or other specific requirements.
  - Process ALL forms including ones with all zero amounts (subject to threshold selections).
8. (CS Only) Apply Federal Thresholds. Threshold values represent the minimum you must report to the IRS and to the payee for each form. If you pay a payee less than the threshold, you may not need to file a 1042-S form for that payee.
  - NO—Do NOT apply Federal Thresholds (all eligible forms will be filed).
  - YES—Apply Federal Thresholds (only forms that exceed thresholds will be filed).
9. Select the destination folder. By default all electronic files are saved to the MagFiles folder. do not need to be reported to the IRS.
10. Verify Transmitter, Contact and Company Information. Changes made here are temporary and apply to this session only.
11. Confirm settings and click "Finish" to generate your electronic files.
  - Your electronic file is available, in a default file creation, in the MagFiles folder.
  - The file name (e.g., 1042Tax-00002 (Orig) 2017 6-21-18 11-47AM.TXT) includes the date and time of creation and whether it is an Original, Test, or Corrections file. **Do not rename electronic files.**
  - Electronic files can be easily viewed in the add-on eFileViewer utility or a text editor such as Notepad.
12. Post your file on the IRS FIRE site. The Form 1042-S electronic filing deadline for TY 2019 is **March 16, 2020**. See FIRE System<sup>157</sup>.
13. Approximately 48 hours after posting to the FIRE site, check the status of your upload at <https://tools.1099pro.com/CheckStatus.aspx>.
  - See Filing Status—Am I Done?<sup>190</sup>

## W-2 Electronic Filing Wizard

The W-2 Electronic Filing Wizard simplifies the creation of electronic files—per SSA EFW2 specifications—in Original, Correction and Replacement formats. A Submitter EIN and PIN, as assigned by the SSA's Business Services Online (BSO), and BSO website registration is required. Users without Submitter Information should apply for it as soon as possible or consider using the 1099 Pro Service Bureau<sup>114</sup> for their filing needs.

Review W-2 Filing Deadlines<sup>25</sup> and State Filing Overview<sup>158</sup>

### Electronic File .INI Edits

Manually edit the [System] portion of your .INI file to allow for Sort by TIN formatting or Batch Processing of your electronic files. See Electronic File INI Edits<sup>157</sup>

### Test W-2/W-2C Electronic Files

Users can create an electronic file and test it via the SSA's Accuwage Online portal. This free service allows registered BSO users to check their files for compliance with EFW2/EFW2C specs prior to SSA submission.

### Generate Electronic Files

Prior to running the eFile Wizard users must enter their Submitter Information<sup>228</sup>.

1. On the task panel select Filing My Forms > Create Electronic Files.
2. At the Create a New Electronic File screen click the "Create a New SSA Format eFile" button. Corporate Suite Users click the "Create an SSA (Federal) EFW2 Formatted File" button. *Records with a Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this electronic file.*
3. In the eFile Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Choose how records will be selected. *Records with a Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this electronic file; records that have been voided, deleted or previously filed are NOT eligible.*
  - ALL Payer Types for ALL Filers: This selection includes ALL eligible records for ALL Filers in the software.
  - Selected Payer Types for ALL Filers: Use to manually select the form types to include in the electronic file. All Filers are processed.
  - Selected Payer Types for Selected Filers: Use to manually select individual Filers and form types, for inclusion in the electronic file.
6. Select the file type to generate:
  - **Original**: Select if submitting records for the first time to the SSA.
  - **Resubmission of Original File**: Select ONLY if the SSA notified you to resubmit an original file. Enter the TLCN/WFID number from the SSA Notice.
  - **Correction (W-2c)**: Select if, after submitting records to the SSA, you need to correct data (e.g., an SSN, Amount or Name was incorrect OR this form should not have been filed).

- **Replacement of Correction Files:** Select ONLY if the SSA notified you to replace a corrected file. Enter the TLCN/WFID number from the SSA Notice.
  - **TLCN / WFID Number**—This number is located on your SSA Notice requesting a resubmission or replacement file.
- 7. Select the destination folder. By default all electronic files are saved to the MagFiles folder.
- 8. Verify Submitter Information. Changes made here are temporary and apply to this session only. To make permanent changes exit the eFile Wizard and go to the Update eFile Submitter Information<sup>228</sup> screen.
- 9. Verify Contact and Company Information. Changes made here are temporary and apply to this session only. To make permanent changes exit the eFile Wizard and go to the Browse the Filers<sup>207</sup> screen.
- 10. Confirm settings and click "Finish" to generate your electronic files.
  - Your electronic file is available, in a default file creation, in the MagFiles folder.
  - The file name (e.g., W2Report SSA-00005 2019 7-11-18 11-36AM.TXT) includes the date and time of creation and whether it is an Original or Corrections file. **Do not rename electronic files.**
  - Electronic files can be easily viewed in the add-on eFileViewer utility or a text editor such as Notepad.
- 11. Post your file on the SSA BSO site. The Form W-2 electronic filing deadline for TY 2019 is **January 31, 2020**.
  - See Filing Status—Am I Done?<sup>190</sup>

## ACA XML Wizard

Specific to Affordable Care Act (ACA) Forms 1095-B and 1095-C, this wizard simplifies the process of creating XML files per the current schema specifications. Users can create Original, Correction and Test files. To create an XML file users must have an ACA specific Transmitter Control Code (TCC) assigned by the IRS and be registered with the AIR System. Users without the appropriate TCC must apply for one no later than 30-days prior to the filing deadline or consider using the 1099 Pro Service Bureau<sup>114</sup> for their filing needs.

Review ACA Filing Deadlines<sup>24</sup>, IRS Instructions for Forms 1094-C & 1095-C (online) and Instructions for Forms 1094-B & 1095-C (online).

## Electronic File .INI Edits

Users can manually edit the [System] portion of their .INI file to allow for Sort by TIN formatting or Batch Processing of their magnetic media (electronic) files. See Electronic File INI Edits<sup>157</sup>

## Generate XML Files

Prior to running the this wizard users must enter their TCC information<sup>228</sup>. *ACA series records with a Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this XML file; records that have been voided, deleted or previously filed are NOT eligible.*

1. On the Corporate Suite task panel select Filing My Forms > Electronic Filing.
2. At the Begin a New eFile Generation Session screen click the "Create an IRS FIRE or AIR e-file" button and select "Create 1095-B XML" or "Create 1095-C XML" as appropriate. *Records with a*

*Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this XML file.*

3. In the 1095 XML Generation Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Select Filer(s) for XML generation. *Form 1095-B allows multiple Filers to be processed in an XML file whereas Form 1095-C only allows one Filer.*
6. Specify 1094 Transmittal Contact Information, Signature and Title. Review onscreen information and use the "Update 1094 Transmittal" button to update and sign.
  - **1094-B Transmittals**—Review/update the Contact Name, Phone, Email and digitally sign the transmittal.
  - **1094-C Transmittals**—More complex than the 1094-B Transmittal, at a minimum users must complete Parts I and II. If this is an Authoritative Transmittal check Box 19 and also complete Parts III and IV. Only one Authoritative Transmittal should be filed with each batch of 1095-C forms. For help completing this document reference the IRS Instructions for Forms 1094-B and 1094-C (online).
7. Select the type of file to generate:
  - Original: Select if submitting records for the first time to the IRS.
  - Corrections: Select if, after submitting records to the IRS, you need to correct data (e.g., a TIN, Amount or Name was incorrect).
  - Test: Select if creating a test file.
  - Replacement Files: Select if the IRS contacted you and requested a Replacement file.
8. Select the destination folder. By default all XML (electronic) files are saved to the MagFiles folder. The file is archived by default.
9. Verify Transmitter and Contact Information. Changes made here are temporary and apply to this session only. To make permanent changes exit the eFile Wizard and go to the Update eFile Transmitter Information<sup>228</sup> screen.
  - The TCC for AIR is unique to filing ACA returns. The TCC issued for filing 1099 Informational Returns is not suitable for the AIR Site.
10. Verify Contact and Company Information. Changes made here are temporary and apply to this session only. To make permanent changes exit the eFile Wizard and go to the Filer Master List<sup>207</sup> screen.
11. Confirm settings and click "Finish" to generate your XML files.
  - Two paired XML files are created and saved, in a default file creation, at C:\1099 Pro\Pro99CS\MagFiles.
  - The XML file names include the type of transmittal, date and time of creation and Transmitter Number. **Do not rename electronic files.**
    - **1095-B Sample File Name**—1094B\_Request\_BB00S\_20190621T194943278Z.xml? AND manifest-1094B\_Request\_BB00S\_20190621T194943278Z.xml?
    - **1095-C Sample File Name**—1094C\_Request\_BB00S\_20190711T214952942Z.xml AND manifest-1094C\_Request\_BB00S\_20190711T214952942Z.xml
  - XML files can be viewed in Microsoft® Excel or Notepad; they cannot be viewed in the eFileViewer utility.
12. Post your paired XML files on the AIR System.
  - See XML Error Logs<sup>154</sup> to review ACA records with fatal validation errors.

13. After successfully posting to the AIR site, enter your IRS generated Receipt ID<sup>[154]</sup> and Timestamp at the Completed IRS eFile Generation Sessions screen via the "Update 1095/1094" button.

- See Filing Status—Am I Done?<sup>[190]</sup>

## XML Error Logs

ACA 1095/1094 XML data containing fatal errors that fails validation will receive a pop-up window indicating the XML file was not generated. Users should refer to their log folder for the file **MagACALog.txt** (or similar) for file specific information. Open the file in a text editor such as Notepad and search for (ERROR) during the time period the file was generated. Errors such as a missing Address, City or State will result in AIR<sup>[154]</sup> rejecting a file.

## Sample XML Error

Below is a sample error showing the Date, Time and then the ERROR where the Responsible Individual is missing the city. F94 refers to the Filer ID and U96 refers to the unique TaxRecordID. Filer ID and TaxRecID can be referenced at respective Browse Filers<sup>[154]</sup> and Work With My Tax Forms<sup>[154]</sup> screens.

```
[2016-05-23 16:44:54.738] // (ERROR) * Responsible Individual (US) address city is emp
```

Note: When viewing an ACA record, the top ribbon displays the Record No., Pcode and Receipt ID, if available.

## Receipt ID

Upon filing Forms 1095-B / 1095-C on AIR (the ACA Information Return system), the IRS immediately generates a Receipt ID and Timestamp (assuming the file is in an acceptable format, otherwise the file is rejected). **Updating the Receipt ID and IRS Response is a critical step in processing your Forms 1095-B / 1095-C.** Until this information is fully updated corrections cannot be created for these forms.

## What Is a Receipt ID?

The Receipt ID uniquely identifies a Form Data File submitted to the IRS. It is used to retrieve the status of the transmission and it is used for any subsequent corrections or replacements. Accordingly, the Receipt ID must be associated with the Form Data File submitted and protected from loss.

If the Receipt ID is not received for some reason (e.g., the session times out or is terminated) or it is lost, call the AIR Help Desk at 866-937-4130. Request your Receipt ID for the transmission and be prepared to provide your TCC and other identifying information. See AIR Program Overview

## Enter Receipt ID

1. At the Electronic Filing Session screen highlight the ACA file and click the "Update 1095/1094" button.
2. At the Update Receipt ID screen enter your IRS assigned Receipt ID in the field. The format is "1095X-TY-#####".
3. Click "OK" to save changes and exit the screen.
4. **IMPORTANT:** The Administrator reminds you to check AIR in a few days to either:
  - Download your ACK\_1095\*.XML file if there are any errors with your file, OR

- Verify that your file was Accepted with NO errors.
5. See IRS Result—Final Step!

### IRS Result—Final Step!

Log into AIR a few days after submitting your file. You must return to the Receipt ID screen and choose the appropriate IRS response. All options except "Waiting for IRS Reply" are irreversible.

#### IRS Responses:

- Waiting for IRS reply
- Accepted—No Errors
- Accepted with Errors—Some errors in the Error Data File
- Partially Accepted—Rejected one or more submissions/logs (user must replace rejected records)
- Rejected—Rejected by the IRS (replace all records in file)

### Select AIR XML Error Data File to Process

If there are any errors in your file the AIR system provides an Acknowledgment file. This file (in the ACK\_1095X\_TY\_XXXXXXXXXX\_01-01-2019\_12\_01-49PM\_UTC.xml format) must be posted at the Receipt ID screen; Corporate Suite requires this data in order to resolve the errors. If your file was accepted with NO errors or was Rejected then there is no Acknowledgment file.

### eFile Log Summary

The eFile Log Summary report provides highly detailed information on records contained in electronic file logs. Also see Mag Log<sup>289</sup> report for in-depth *comparative* summary information on selected Filers, Pcodes, Form Types, or Session IDs.

#### Run Report

1. On the task panel select Filing My Forms > Electronic Filing. Select the type form to summarize.
2. At the Completed IRS eFile Generation Session screen highlight a log and click the "View/Print Log Report" button.
3. Report options include:
  - Select the Printer: Consider Adobe PDF for a digital report and avoid paper waste.
  - Select the Sort Order: by Last Name/First Name or by TIN.
  - Preview Before Printing: Recommended to avoid wasting paper.
  - Print Summary Totals Only: Significantly reduces the length of the report.
  - Errors and Warnings Only: Helpful to find and fix problem records.
  - Show Transactions Details
4. Click "OK" to generate report. View the last page of the report to view totals.

### Custom Statement Wizard (CS Only)

Corporate Suite users can have the Service Bureau create customized tax form statements for a fee. The custom statements can be placed in the software for those users wanting to print forms in-house with their unique logo, message and/or highlighted box information.

The Service Bureau can likewise create customized tax form statements for a fee and print and mail those forms within our SOC I Type III<sup>7</sup> facility for those users preferring the security and convenience of outsourcing a large print job. See Service Bureau Overview<sup>109</sup>

## Print Via Custom Statement Wizard

1. On the task panel select Preparing My Forms > Print Tax Forms. Use the Tax Year and Current Form drop menus to select the appropriate year and form.
2. At the Print Forms for Recipients and the IRS screen refer to the Begin Printing IRS Approved Tax Forms section. Here you may choose the method for selecting the Pending forms you want to print.
  - All Pending forms for the CURRENT Filer (default)
  - Manually select forms for the CURRENT Filer
  - All Pending forms for ALL Filers
  - ALL Pending forms for SELECTED Filers
3. Set Form Selection Limits: Check the "Show Me the Optional Extra Filters" box for this optional filter to limit the number of records that will be selected. Records may be filtered by Address Type for specific print runs.
4. Corrections: Check the "Process and Print Corrected Forms Instead of Originals" box. This box is only available if there are corrected forms for the currently selected form type. See About Corrections<sup>191</sup>.
5. Click the "Custom Print Process" button to access the Custom Statement Wizard.
6. The Custom Statement Wizard displays the available formats for your statement. **These formats are custom created by the Service Bureau for a fee.** Select the desired format and click "Next" to proceed. Use the "Back" button at any time to go back a step.
7. Specify Filter Options and click "Next" to continue. Entering a value in any of these fields will cause the report to process only those forms which match these values. Leave a value blank to process ALL values for that field.
8. Set Threshold Limits and Optional Message and click "Next" to continue.
  - Print forms meeting Federal Thresholds for Tax Year. Federal grouping option to evaluate forms by; EIN, PCode (PTIN) or Apply Individually (default selection).
  - Print forms meeting State Thresholds for Tax Year.
  - Filter (skip) forms that do not have any dollar amounts.
  - Optional message, if chosen, prints on all forms in this print run.
9. Select Printer and Preview Options, then click "Next" to continue.
  - Review the selected printer and change if necessary.
  - Preview Options:
    - Ask me before beginning the actual print process. (default)
    - Yes, preview the forms without asking me.
    - No, send the forms directly to the printer without previewing them.
10. Review print summary settings. When ready to proceed click "Print".
11. Should forms be marked as Printed/Protected?:
  - NO—Keep these forms in a Pending status. These forms are available for further edits at the Work With My Tax Forms screen.
  - YES—Mark these forms as Printed/Protected now. These forms are no longer available for edits. These forms are ready to transmit to the IRS via electronic filing or on a 1096/W-3/1042 transmittal. If edits to these forms are later required, this print session must be reset (void).
12. Click "Finish" to exit the Print Wizard.



## Electronic File INI Edits

Users can manually edit the [System] portion of their .INI file found in the Admin folder (default location is C:\1099 Pro\Pro99T19\Admin). Altering settings in this location could potentially damage the software, please contact Technical Support for assistance if necessary.

### Sort Records by TIN Formatting

Modify entry to sort records by Recipient TIN. A value of 1 sorts by FilerID,RCPTIN which increases processing time. A value of 0 (default) sorts by FilerID.

```
[System]
EnableMagTinSort=1
```

### ZIP Magnetic Media File After Creation

Modify entry to automatically ZIP the magnetic media (electronic) file after creation.

```
[System]
ZipAfterMag=1
```

### Batch Forms in Magnetic Media File

Modify entry to limit the number of forms included in a magnetic media (electronic) file.

```
[System]
MagRecstoProcess=2500000
```

## FIRE System

Use the Filing Information Returns Electronically (FIRE) System to electronically upload files per Pub. 1220 & 1187 specifications to the IRS. The FIRE System is available 24 hours a day, 7 days a week (with the exception of occasional scheduled maintenance times) to any transmitter and can be reached at <https://fire.irs.gov>.

To use the FIRE System a valid Transmitter Control Code (TCC) is required. Users can file on behalf of multiple Filers with a single TCC. Users must also have valid IRS FIRE Site logon credentials which include a User ID, Password, PIN (composed of 10 unique numbers) and Secret Phrase. Customers filing via the 1099 Pro Service Bureau do NOT need a TCC or FIRE System credentials.

Note: A FIRE account PIN is required for Extension of Time requests submitted directly via the FIRE System.

For more information on the IRS Fire System see IRS Pub. 3609 Filing Information Returns Electronically (online).

### File Electronically via the FIRE System

1099 Pro Enterprise software can create magnetic media files suitable for direct electronic filing via the IRS FIRE System. To file electronically with Enterprise software requires the following:

1. **An IRS issued TCC Number.** Submit Form 4419, available at <https://www.irs.gov/pub/irs-pdf/f4419.pdf>, and allow a 45-day processing window prior to the earliest filing deadline (e.g., if required to file Form 1099-MISC (NEC amounts) by 1/31/2020, submit Form 4419 no later than 12/15/2019). Enter this TCC number at the Transmitter Information screen in 1099 Pro Enterprise via the menu bar > File > Transmitter Information. This TCC number can be used to file on behalf of unlimited Filers.
2. **IRS FIRE system logon credentials.** Go to <https://www.irs.gov/e-file-providers/filing-information-returns-electronically-fire> for details and to sign up. The FIRE Production site is down December X, 2019 through January X, 2020 for scheduled maintenance. The FIRE Test site is down December X, 2019 through January X, 2020 for scheduled maintenance. The Production and Test sites do not share logon data and thus require separate accounts. Both sites may be down every Wednesday from 2AM to 5AM ET for maintenance. *Please plan test files and uploads accordingly.*

After posting magnetic media files on the IRS FIRE system remember to logon to the FIRE System a few days later to verify that your files were accepted. See **IRS File Types** [148](#)

**A TCC and FIRE System logon credentials are NOT required when eFiling via the 1099 Pro Service Bureau.** The Service Bureau is available to all of our software customers for a fee, regardless of product purchased. Learn more about Print+Mail, IRS File and Bulk TIN Matching via the 1099 Pro Service Bureau?

## Reset eFile Session

When an electronic filing session is reset, all records in that session revert to their pre-filing status. For example, a record that *prior* to electronic filing had a Pending status returns to Pending status and is thus available for edits and/or inclusion in a new electronic file session.

## Reset Session

1. On the task panel select Filing My Forms > Electronic Filing.
2. At the Completed File Generation Sessions List screen highlight a session and click the "Reset (Void) Session" button.
3. The Administrator prompts, "Are you sure that you want to RESET/VOID this session?" Click "Yes" to proceed or "No" to cancel.
  - The "Trans Type" column indicates that the session has been voided.
  - The "Reset/Voided" column indicates the date the session was voided.

## State Filing

State filing options are available in 1099 Pro Enterprise, Corporate Suite and W-2 Pro software only. Corporate Suite Only see State Quarterly Filing Wizard [171](#) and CA-592 Quarterly eFile Wizard [173](#)

## Important Disclaimer—Please Read

- 1099 state subset files are generated in the 750-byte format per Publication 1220 unless a separate format is required by the state. Even though many states follow the IRS Pub. 1220 specifications, many make unique modifications to the record layouts.

- W-2 state subset files are in the EFW2/EFW2C formats; Original state files can be generated to eFile or on paper while Corrected state files can be generated to paper only. Even though many states follow these specifications, many make unique modifications to the record layouts.
- Every effort is made to update these formats, it is your responsibility to verify the state(s) receiving your files will accept both the format and the data generated prior to submission.
- Corporate Suite software includes “State Filing Thresholds” rules, which the user can edit to meet their exact state filing needs. See State Threshold Rules<sup>162</sup>
- Please see Special Cases for State Filing<sup>160</sup> for a detailed list of states' formats that require modifications after the state direct eFiles are generated, but *prior* to submitting to the state. These modifications are necessary because some states require information not included on the tax form and thus not able to be generated by the Corporate Suite software.

### What is State Direct Filing / State Subset Filing?

State direct filing\* is when a state requires that tax forms or electronic files be sent directly to their tax department.

#### When is State Direct Filing Required?

1. If the State does not participate in the CF/SF program (see Combined Federal/State Filing Program)<sup>147</sup>.
2. If the form type in question is not included in the CF/SF program (e.g., 1099-S). Form W-2 does not participate in the CF/SF program.
3. If the individual state has threshold rules that require direct filing. For example:
  - a. If State Tax Withheld > 0
  - b. If the state requires that all forms be filed directly, regardless of dollar amount (e.g., Oregon).

\*It is the Filer's responsibility to determine whether or not it has state direct filing obligations and what thresholds apply. 1099 Pro provides quick links to all state department of revenue websites at [https://www.1099pro.com/compliance\\_Links.asp](https://www.1099pro.com/compliance_Links.asp). Corporate Suite software updates the Reporting Thresholds and Options<sup>259</sup> each tax season and allows for users to modify the thresholds as needed.

#### How Does the Software Determine the Tax State?

1. **Explicit State Withholding Boxes:** If the state withholding box is completed on a tax form, for a specific tax state, then that state is the "tax state" regardless of the Tax State Override (#2) or the Recipient Address (#3) below. Forms with explicit state withholding boxes include: 1099-B, 1099-DIV, 1099-G, 1099-INT, 1099-K, 1099-MISC, 1099-OID, 1099-R, W-2G, & 1042-S and W-2.
2. **Tax State Override:** If you use the optional "Override default for State tax reporting" button, located on the right hand pane of the form entry window, the selected state will override the Recipient's state in their address.
3. **Recipient Address:** If there is no state withholding and a different state is not selected in the "Override default for State tax reporting" box as discussed above then the state in the Recipient address will be used.

To begin the process see 1099 State Subset Wizard<sup>166</sup> or W-2 State Subset eFile Wizard<sup>169</sup> or W-2 State Subset Paper Wizard<sup>170</sup>.

## Special Cases for State Filing

The states contained within this section have unique filing formats that require certain user edits before submitting the state eFiles. The additional information required by these states is not available on the 1099/W-2 tax form and thus cannot be generated from the software during the eFile creation process. Only W-2 Pro, 1099 Pro Enterprise, and Corporate Suite can create state direct reporting eFiles. See State Filing Overview<sup>158</sup> and 1099 State Subset Wizard<sup>166</sup> and W-2 State Subset eFile Wizard<sup>169</sup>

**IMPORTANT:** 1099 Pro, Inc. recommends using a text editing program such as TextPad or Notepad to edit the state files. **Use caution when editing files—a single wrong space or character can cause the state to reject your file!**

## States Requiring Additional Information / Edits (1099 Reporting)

1099 Pro provides quick links to all state department of revenue websites at [https://www.1099pro.com/compliance\\_Links.asp](https://www.1099pro.com/compliance_Links.asp).

### Alabama (AL):

Alabama requires that 1099 and W-2 records be submitted together, within the same file. If your company is required to submit 1099 and W-2 information, directly to AL, please copy all of the entire line from your W-2 electronic file (generated from W-2 Pro or Corporate Suite) and paste it at the end of the last character in the 1099 file.

### Idaho (ID):

Idaho requires special information that mimics its Reconciliation Form 967 to be included in the C Record of its electronic file. This information is not present on any of the 1099 tax forms so it must be added manually if required or different from the default output.

- C Record(s):
  - Positions 561-571: Withholding Payments Made During the Year – Payments made from 1/1 to 12/31.
  - Positions 605: Tax Due Sign – Enter negative sign (-) if there is a refund.
  - Positions 606-616: Penalty on Balance Due.
  - Positions 617-627: Interest on Balance Due.
  - Positions 628-638: Total Amount Due or Refund. Total amounts in positions 594-604 + positions 606-616.
  - Positions 639: Tax Due Sign – Enter negative sign (-) if there is a refund.
  - Positions 662-672: Penalty for Late Filing. 1099 Pro currently zero fills this field.
  - Positions 673-683: Total Due or Refund. Total of positions 628-638 + positions 662-672.
  - Positions 684: Total Due Sign – Enter negative sign (-) if there is a refund.
- NOTE: 1099 Pro currently zero fills all amount fields and blank fills all non-amount fields, shown above.

### Iowa (IA) — Revised 2/2019

Iowa requires a special file naming schema that incorporates the Business eFile Number (BEN). 1099 Pro currently zero-fills the BEN, as that information is not present on the tax form.

Example: IAIR-(ORIG\_replace\_with\_log-in\_BEN)-201901201930.txt.

- Replace the "(ORIG\_replace\_with\_log-in\_BEN)" portion with your company's BEN.

K Record(s), Positions 682-689: Enter the Payer's BEN.

- Iowa requires the addition of a Business eFile Number (BEN) in the K record of all file submissions. The Iowa Department of Revenue assigns a BEN to every registered business entity that may need to log into Iowa eFile & Pay such as an employer, payer, or bulk filer (payroll service provider or transmitter). A bulk filer must use its own BEN to log into eFile & Pay, not its client's BEN. A bulk filer must report the respective client's (employer/payer) BEN on RV and K records.
- This field can be all zeroes (which 1099 Pro does by default) if there is no Iowa state tax withheld and if there are no State Employer Account Numbers (State ID Numbers) present.

### **Massachusetts (MA):**

Massachusetts requires special information, pertaining to federally tax exempt municipal bonds & mutual funds, be included in the B Record when filing 1099-INT records with the state. Customers may use our [www.eFileMyForms.com](http://www.eFileMyForms.com) <sup>160</sup> service (for an additional fee) - [https://www.efilemyforms.com/general\\_help.asp#25160](https://www.efilemyforms.com/general_help.asp#25160) – or manually edit their text files, if necessary.

- For Interest from Bonds:
  - Use the 1099-INT format to record earnings on each state or local bond. Report the income as if it were taxable for federal purposes. Note: A return is due for each bond on which interest is paid.
  - Report payment amounts in positions 67-78 of the payee "B" record. Right-justify and zero-fill.
- For Interest from Mutual Funds:
  - Use the 1099-INT format to record earnings from mutual funds, money market funds, and unit investment trusts. Report the income as if it were taxable for federal purposes.
  - Use positions 44-46 of the "A" record to report the percentage of mutual fund portfolio income distribution attributable to bonds issued by Massachusetts, Puerto Rico, Guam and the Virgin Islands, rounded to the nearest whole number — e.g. 25.4% would be reported as 025 and 25.5% would be reported as 026.
  - Report payment amounts in positions 67-78 of the payee "B" record. Right-justify and zero-fill.

### **North Carolina (NC):**

North Carolina requires that all records have an associated TIN Type when the Recipient/Payee TIN is populated. If you imported, or entered, your records with the TIN type associated (i.e., with the dashes or a special indicator for TIN Type) then there is nothing that you need to.

If no TIN Type is provided, the software defaults to the selection of 1 (EIN). If this selection is not your preference, please update the electronic file manually at the below location.

B Record(s):

- Positions 11: Enter the TIN Type (1 = EIN, 2 = SSN / ITIN / ATIN)

### **Wisconsin (WI):**

Wisconsin requires that you enter "03688888888801", in the State ID Number box on the tax form, if 1) you did not withhold Wisconsin income tax, 2) you were not required to withhold, and 3) you never held a Wisconsin Withholding Tax Number. If you already created your electronic file(s), and did not place the required State ID Number above on the applicable forms beforehand, then you can manually fill it in on the electronic file in the below positions.

- B Record(s), Positions 663-677

**West Virginia (WV):**

West Virginia requires special information that mimics its Reconciliation Form IT-103 to be included in the C Record of its electronic file. This information is not present on any of the 1099 tax forms so it must be added manually if required or different from the default output.

- C Record(s)
  - Positions 539-550 – First Quarter Tax Due
  - Positions 551-562 – Second Quarter Tax Due
  - Positions 563-574 – Third Quarter Tax Due
  - Positions 575-586 – Fourth Quarter Tax Due
  - Positions 587-598 – Total Tax Due
- Notes:
  - 1099 Pro currently zero fills all amount fields, shown above.
  - Right justify and zero fill fields.
  - Round to the nearest dollar and omit cents (i.e \$951.17 -> 951, \$955.00 -> 955).

**States Requiring Additional Information / Edits (W-2 Reporting)****Alabama (AL):**

Alabama requires that 1099 and W-2 records be submitted together, within the same file. If your company is required to submit 1099 and W-2 information, directly to AL, please copy all of the entire line from your W-2 electronic file (generated from W-2 Pro or Corporate Suite) and paste it at the end of the last character in the 1099 file.

**Idaho (ID):**

Idaho requires special information that mimics its Reconciliation Form 967 to be included in the RV Record of its electronic file. This information is not present on any of the W-2 tax forms so it must be added manually if required or different from the default output.

- RV Record(s):
  - Position 25: Filing Cycle. M-Monthly, Q-Quarterly, B-Semimonthly, Y-Yearly.
    - 1099 Pro defaults to Y-Yearly.
  - Positions 54-64: Withholding Payments Made During the Year—Payments made from 1/1 to 12/31.
  - Positions 87-97: Remaining Tax Due or Refund—Total of amounts in positions 43-53 minus positions 54-64.
  - Position 98: Tax Due Sign—Enter negative sign (-) if there is a refund.
  - Positions 99-109: Penalty on Balance Due.
  - Positions 110-120: Interest on Balance Due.
  - Positions 121-131: Total Amount Due or Refund. Total amounts in positions 87-97 + positions 99-109 + positions 110-12.
  - Position 132: Tax Due Sign—Enter negative sign (-) if there is a refund.
  - Positions 155-165: Penalty for Late Filing.
  - Positions 166-176: Total Due or Refund.
  - Position 177: Total Due Sign—Enter negative sign (-) if there is a refund.
- NOTE: 1099 Pro currently zero fills all amount fields and blank fills all non-amount fields, shown above.

**Iowa (IA)**

Iowa requires a special file naming schema that incorporates the Business eFile Number (BEN). 1099 Pro currently zero-fills the BEN, as that information is not present on the tax form.

Example: IAW2-(ORIG\_replace\_with\_log-in\_BEN)-201901201930.txt.

- Replace the "(ORIG\_replace\_with\_log-in\_BEN)" portion with your company's BEN.

RV Record(s), Positions 40-47: Enter the Employer's BEN.

- Iowa requires the addition of a Business eFile Number (BEN) in the RV record of all file submissions. The Iowa Department of Revenue assigns a BEN to every registered business entity that may need to log into Iowa eFile & Pay such as an employer, payer, or bulk filer (payroll service provider or transmitter). A bulk filer must use its own BEN to log into eFile & Pay, not its client's BEN. A bulk filer must report the respective client's (employer/payer) BEN on RV and K records.
- This field can be all zeroes (which 1099 Pro does by default) if there is no Iowa state tax withheld and if there are no State Employer Account Numbers (State ID Numbers) present.

**Indiana (IN):**

- RS Record(s), Position 308: Enter the Tax Type Code
  - Indiana requires additional information in each RS record to indicate the Tax Type Code - which is related locality income tax reporting. Please enter the code "C", "D", "E", or "F" in the "Custom Msg/Text:" box for the eFile to correctly populate the field (\*CS ONLY\*). If using W-2 Pro software, please generate the eFile and enter the proper code for your reporting.
    - C = City Income Tax
    - D = County Income Tax
    - E = School District Income Tax
    - F = Other Income Tax

**Kansas (KS):**

- RS Record(s), Positions 338-348: Employee Contribution to KPERs, KP, & F and Judges
  - Right justify & zero fill. 1099 Pro currently leaves this field blank.

**Louisiana (LA):**

- RV Record(s)
  - The RV record(s) are considered optional by Louisiana and are not included in the eFile created by 1099 Pro. If your company prefers to report with an RV Record for LA, please follow the specifications on the state website (<https://esweb.revenue.louisiana.gov/LaWage/Instructions.aspx#federal>).

**Maine (ME):**

- RS Record(s), Positions 298-307: Maine Public Employees Retirement System Contributions (MEPERS)
  - For public employers who participate in the MEPERS, enter the amount of pick-up contributions deducted from this employee's salary and contributed to MEPERS on behalf of the employee. This amount is required to be added back to Maine income pursuant to 36 MRSA 5122(1)(G). Do not include the employer's portion of the contributions. Right justify and zero fill. 1099 Pro currently zero fills this field.

**Maryland (MD):**

Maryland attempts to include the information from the MW508 reconciliation form in its eFile. The information from the MW508 is not present on the W-2 tax form and thus requires heavy user edits to accommodate.

- RS Record(s), Positions 368-369: Employee Withholding Allowance
  - Number of exemptions claimed on Form W-4 Employee's Withholding Allowance Certificate. Currently, 1099 Pro zero fills this field.
- RV Record(s):
  - Positions 149-160: MW508 - Employer Total Amount of Taxes Reported from Line 2
  - Positions 173-184: MW508 - Enter Total Withholding Tax Paid This Year from Line 3c
  - Positions 185-196: MW508 - Employer Total Tax Exempt Credits (Form MW508CR) from Line 3d
  - Positions 197-208: MW508 - Employer Amount Tax Due from Line 4
  - Positions 209-220: MW508 - Employer Overpayment from Line 5
  - Positions 221-232: MW508 - Employer Amount of Overpayment to be Applied as Credit to Your Account from Line 6
  - Positions 233-234: MW508 - Employer Amount of Overpayment to be Refunded from Line 7
  - Positions 269-296: MW508 - Employer Representative Name
  - Positions 297-311: MW508 - Employer Representative Title
  - Positions 333-338: North American Industry Classification System (NAICS) Code

**Massachusetts (MA)**

Massachusetts requires that you include the employee contribution for "Paid Family and Medical Leave Contributions" in the W-2 electronic file at the below positions. 1099 Pro currently zero fills this information as it is not present on the tax form. If this field applies to you, please manually fill it in with a text editor.

- RS Record(s), Positions 371-181: Employee Contribution for Paid Family and Medical Leave Contributions (right justify, zero fill)

**New Jersey (NJ):**

- RS Record(s)
  - Position 299: Family Leave Insurance Plan Type Code - Enter "P" if the employer has a private Family Leave plan approved. Otherwise, leave blank. 1099 Pro currently leaves this field blank.
  - Positions 300-313: Private Family Leave Insurance Plan Number - Make an entry in this field only if "Family Leave Insurance Plan Type Code", above, is a "P". Left justify & blank fill. 1099 Pro currently leaves this field blank.
  - Position 338: Disability Plan Type Code - Enter "P" if the employer has a private disability plan approved.
  - Positions 339-352: Private Disability Plan Number - Make an entry in this field only if "Disability Plan Type Code", above, is a "P". Left justify & blank fill. 1099 Pro currently leaves this field blank.
  - Positions 353-357: Combined NJ Unemployment Insurance, Workforce Development Program, and Health Care Subsidy Withheld - Right justify & zero fill. 1099 Pro currently zero fills this field.
  - Positions 358-362: Disability Insurance Withheld - Right justify & zero fill. 1099 Pro currently zero fills this field.

**Ohio (OH):**

- RS Record(s):



- Positions 308: Tax Type Code
  - Ohio requires additional information in each RS Record to indicate the Tax Type Code – which is related to income tax reporting. Please enter the code "C", "D", "E", or "F" in the "Custom Msg/Text:" box for the eFile to correctly populate the field (\*CS ONLY\*). If using W-2 Pro software, please generate the eFile and enter the proper code for your reporting.
    - C = City Income Tax
    - D = County Income Tax
    - E = School District Income Tax
    - F = Other Income Tax
- Positions 309-319: Local Taxable Wages
  - This field should only be filled in if the Tax Type Code above is "E". 1099 Pro currently populates this data from Local Wages box on the W-2 form. Users should either not populate Local Wages, on the W-2 form, for Ohio if the Tax Type Code is not "E".
- Positions 320-330: Local Income Tax Withheld
  - This field should only be filled in if the Tax Type Code above is "E". 1099 Pro currently populates this data from Local Income Tax box on the W-2 form. Users should not populate Local Income Tax, on the W-2 form, for Ohio if the Tax Type Code is not "E".
- Positions 331-337: School District Number
  - Enter the four digit school district number (right justify and fill with blanks). Listing of the school district numbers can be found at [tax.ohio.gov](http://tax.ohio.gov) in the IT 1040 booklet or SD 100 booklet.

### Oregon (OR):

Starting in Tax Year 2018, Oregon requires that the Statewide Transit Tax Withheld be included in the RS & RV Records. This information can be entered in Box 14 on the W-2 following the specific format below. If entered, the amounts will be placed in the electronic file at the below locations.

- Box 14 Exact Verbiage: STTW \$XXXXX.XX
  - STTW = Statewide Transit Tax Withheld
  - XXXXX.XX = Dollar Amount (no commas, \$99999.99 maximum)
  - Example: (reference image)

13	Statutory employee	Retire. plan	Third-party sick pay
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14	Other		
STTW \$15000.95			

- RS Record(s):
  - Positions 348-358: Taxable wages for the statewide transit tax. Deductions that can be applied to wages for income tax withholding generally can't be applied to wages subject to the transit tax.
  - Positions 359-369: Amount withheld for the statewide transit tax.
- RV Record(s):
  - Positions 40-54: Total amount of taxable wages for the transit tax.
  - Positions 55-69: Total amount withheld for the statewide transit tax.
- Note: 1099 Pro currently zero fills all amount fields, listed for Oregon above, if no values are entered into Box 14 on the W-2.

### Wisconsin (WI)

Wisconsin requires that you enter "036888888888801", in the State ID Number box on the tax form, if 1) you did not withhold Wisconsin income tax, 2) you were not required to withhold, and 3) you never held a Wisconsin Withholding Tax Number. If you already created your electronic file(s), and did not place the required State ID Number above on the applicable forms, then you can manually fill it in on the electronic file in the below positions.

- RS Record(s), Positions 248-267

### West Virginia (WV):

West Virginia requires special information that mimics its Reconciliation Form IT-103 to be included in the RV Record of its electronic file. This information is not present on any of the W-2 tax forms so it must be added manually if required or different from the default output.

- RV Record(s):
  - Positions 33-44: First Quarter Tax Due.
  - Positions 45-56: Second Quarter Tax Due.
  - Positions 57-68: Third Quarter Tax Due.
  - Positions 69-80: Fourth Quarter Tax Due.
  - Positions 81-92: Total Tax Due.
- NOTE: 1099 Pro currently zero fills all amount fields and blank fills all non-amount fields, shown above.

## 1099 State Subset Wizard

Use this wizard to generate 1099 state files in the 750-byte, Pub. 1220 format. To generate W-2 state files see W-2 State Subset Wizard<sup>169</sup>. Corporate Suite Users see State Quarterly Filing Wizard<sup>171</sup>.

### Considerations

- This wizard generates only Original state electronic files per Pub. 1220 specs; it does not generate Corrected state files.
- Be cautious of potential duplicate filings wherein data was previously submitted via the Combined Federal State Filing Program<sup>147</sup>. Direct specific questions concerning state filings to the respective state.
- This software is capable of combining multiple Filers for multiple form types into one file. To create separate files for Filers A, B and C and multiple form types, consider processing one Filer and Form type at a time.
- Some states require 1099-MISC, Box 7/NEC amounts, to be reported by January 31st. Check with the individual state for filing requirements.

### Generate State Direct / State Subset Files

Before starting this wizard review State Filing Overview<sup>158</sup> and Special Cases for State Filing<sup>160</sup> to determine if your generated state files require additional modifications prior to submission to the respective state.

1. On the task panel select Filing My Forms > Electronic Filing.
2. At the Preparing Tax Forms for Filing Electronically screen click the "Create State Subset Filing" button. Corporate Suite Users have the additional option to generate Puerto Rico subset files via the "Create Puerto Rico Files<sup>177</sup>" button.

3. In the State Subset Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Choose How Filers & Forms Will Be Selected—Select which tax forms will be included and then click "Next" to proceed.
  - All Forms for ALL Filers: This default selection includes all form types for ALL Filer(s).
  - Selected Form Types for ALL Filers: Use to select form types for ALL Filers.
  - Selected Form Types for Selected Filers: Use to select form types and Filers.
6. Select States to Generate Files—**A separate report is created for each state, but only if forms were issued to Recipients and taxes were withheld for that state.** Tag (or select) states as appropriate then click "Next" to continue.
7. Select the File Type & Transmission Medium (CS Only)—Select which type of file to create and the types of records to include.
  - File Types: Original, Corrections, Replacement of Original File, Replacement of Corrections File, Test.
    - This software does not support individual states' corrections formats. The Corrections state file will be in the same format as the original (often this is what states require).
  - Record Types: Only include records that meet the criteria that you set below in the state direct file generation. This is subject to the File Type selected above. **Forms previously filed in the CF/SF program or in a state subset file are not considered eligible and will not be included.**
    - Filed/Uploaded Forms—Selects only forms with a "Filed Mag", "Print/Mag", or "SB Filing" status.
    - Pending/Printed Forms—Selects only forms with a "Pending", "Printed", or "SB Print/Mail" status.
    - All Forms—Select ALL form statuses, subject to the "Original" or "Corrections" type chosen above.
8. Account Numbers—*W-2 Pro does not support this feature.*
9. Process Forms with All Zero Amounts (CS Only)—Select whether or not to include forms with zero amounts.
  - Filter (Skip) forms that do not have any dollar amounts: All non-zero records, regardless of status, will be included in your state subset files except for Corrections<sup>[46]</sup>.
  - Process all forms including ones with all zero amounts (subject to threshold selections): All forms in the database are eligible for state filing, subject to the options chosen in the state direct filing wizard.
10. 1099-MISC Special Processing—Certain states follow the IRS specifications that 1099-MISC forms with Box 7/NEC amounts be filed by January 31st. This option only appears if you have selected All Forms / All Filers or included the 1099-MISC form type.
  - Process all 1099-MISC Records—All 1099-MISC records are included.
  - Process only 1099-MISC records with Box 7/NEC—Only 1099-MISC forms that have Box 7 amounts are included.
11. Group by EIN—Select either:
  - Do NOT group by EIN: Filers with the same EIN, but different PCodes, are NOT be consolidated into a single Payer record, or

- Group by EIN: Filers with the same EIN, regardless of PCodes, are grouped together. Please use if a state requires that all submissions for an EIN be made in a single Payer record.
12. Threshold Options (CS Only)—Choose whether or not to apply additional thresholds to filter out eligible records. *This screen displays only if eligible records are contained in this file.*
- **NO—DO NOT apply State Thresholds** (non-zero forms will be filed). No additional thresholds are applied. The state thresholds & federal thresholds are ignored and any record meeting all of your previous selections is included.
  - **YES—Apply State Thresholds** (only forms that meet or exceed State thresholds will be filed).
    - Process forms meeting each State threshold criteria - The state threshold rules from the Security & Administration Tab -> Reporting Thresholds -> Manage State CFS Limits and Settings are applied. If a state does not have a threshold rule (for that tax year & form type) then all the records for that state are excluded. Any records that are below the thresholds are also excluded.
      - State thresholds are used to file the minimum necessary records with each state. Each state has their own set of unique thresholds.
      - Use Standard/Standard Custom Thresholds any any form with explicit State Withholds > 0 - All records in the above option are included + any records that have explicit state withholding (regardless of whether or not there is a state threshold rule.
      - For instance, if a 1099-MISC record with a tax state of Alaska (AK) has state tax withheld, it would be excluded in the first option but included in this second option.
  - **YES—Apply Federal Thresholds**
    - Use EIN in Threshold Grouping and Filtering - Thresholds are measured across all Payer Codes (PCodes) for a specific EIN.
    - Use Payer Code in Threshold Grouping and Filtering - Thresholds are measured only across the specific Payer Code for an EIN. Any other Payer Codes under the same EIN are not included when aggregating records to see if they meet the minimum threshold.
    - Apply Federal Threshold Rules to Each Form Individually - Only the individual record is used when measuring against the threshold.
13. Select CA Surname—California requires an additional indicator in your state file that specifies how your Recipient name information is ordered for those Recipients with an SSN (not EIN). Please select the "My last name field for SSN Recipients contains both First and Last Name in that order" check box IF:
- You place all Recipient Name data in the LAST NAME field only. You do NOT use the FIRST NAME field. *AND*
  - The LAST NAME field for your Recipients with an SSN has their names entered with the first name first, e.g. "John Doe", rather than "Doe, John".
14. At the Initializing Wizard screen review Important information and click "Next" to proceed:
- All non-zero records, regardless of status, will be included in your state subset files except for corrections<sup>46</sup>. Corrections, if any, must be handled by paper filing.
  - Do not file the same information twice. For example, do not file in the CF/SF Program<sup>147</sup> and then submit the same data again, unless directed to do so by the state.
  - State rules change frequently and it is YOUR responsibility to file and verify that your file was accepted by the state.
  - Unlimited state subset files can be generated.

15. Select the destination folder. By default all electronic files are saved to the MagFiles folder. Files are saved in the following format, "TX TAX-00017 (Orig) 2017 6-27-18 2-06PM.TXT".
16. Verify Transmitter Information—Auto-filled from the Electronic Filing Transmitter information. Changes made during this process are temporary and only affect the eFiles being generated in his session.
17. Verify Contact and Company Information.
18. Click "Finish" to generate state subset file(s).
  - **View Special Cases for State Filing**<sup>[160]</sup> **to review states that require unique modifications before submission.** These states require the user to edit the information before submitting the files to their respective states.

## W-2 State Subset eFile Wizard

Use this wizard to generate Original W-2 state *electronic files* in the EFW2 format. To generate Corrected W-2 state *paper forms* see W-2 State Subset Print Wizard<sup>[170]</sup>. To generate 1099 state files see 1099 State Subset Wizard<sup>[166]</sup>. Corporate Suite Users see State Quarterly Filing Wizard<sup>[171]</sup>

### Considerations

- This wizard generates Original electronic files in the EFW2 format only.
- Direct specific questions concerning state filings to the respective state.
- Some states have unique filing deadlines; check with the individual state for filing requirements.

## Generate State Direct / State Subset Electronic Files

Before starting this wizard review State Filing Overview<sup>[158]</sup> and Special Cases for State Filing<sup>[160]</sup> to determine if your generated state files require additional modifications prior to submission to the respective state.

1. On the task panel select Filing My Forms > Create Electronic Files.
2. At the Preparing Forms for Filing Electronically screen click the "Create State Subset Filing" button.
3. In the W-2 State Subset Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Specify the File Type to Create—Select the types of Original forms to include and then click "Next" to proceed.
  - **Only Filed/Uploaded Forms**—Default option used to file forms with States that have already been filed with the SSA. This ensures that states get the same information that the SSA received. This option ignores State Only corrections as they are not filed at the SSA level. Selects only forms with a "Filed Mag", "Print/Mag", or "SB Filing" status. This
  - **Only Pending/Printed Forms**—Warning: Be careful if including Pending forms to ensure that tax information is not changed after forms are submitted to the States. It is recommended that all forms have *at least* a Printed status. Selects only forms with a "Pending", "Printed", or "SB Print/Mail" status.
  - **All Forms**—Select ALL Original form statuses. Please review the Warning for Pending/Printed Forms above.

6. Select States to Generate Files—A separate report is created for each state, but ONLY IF forms were issued to Recipients/Employees AND taxes were withheld for that state. Tag (or select) states as appropriate then click "Next" to continue.
7. Group by EIN—Select either:
  - **Do NOT group by EIN**— Filers with the same EIN, but different PCodes, will NOT be consolidated into a single Payer record, or
  - **Group by EIN**— Filers with the same EIN, regardless of PCodes, are grouped together. Please use if a state requires that all submissions for an EIN be made in a single Payer record.
8. Select the destination folder. By default all electronic files are saved to the MagFiles folder. Files are saved in the following format, "XX EFW2-SSSS FFFFFFFF 2017 7-26-18 8-28AM.TXT", wherein XX = State, SSSS = Session ID and FFFFFFFF = Filer ID.
9. Verify Submitter Information—Auto-filled from the Electronic Filing Submitter information. Changes made during this process are temporary and only apply to files generated in this session.
10. Verify Contact and Company Information.
11. Click "Finish" to generate state subset file(s).
  - **View Special Cases for State Filing** <sup>160</sup> **to review states that require unique modifications before submission.** These states require the user to edit the information before submitting the files to their respective states.

## W-2 State Subset Print Wizard

Use this wizard to generate Original or Corrected W-2 state *paper forms* in the EFW2/EFW2C format. To generate Original W-2 state *electronic files* see W-2 State Subset eFile Wizard <sup>169</sup>. To generate 1099 state files see 1099 State Subset Wizard <sup>166</sup>. Corporate Suite Users see State Quarterly Filing Wizard <sup>171</sup>.


### Considerations

- This wizard generates Original or Corrected paper forms in the EFW2/EFW2C formats only.
- Direct specific questions concerning state filings to the respective state.
- Some states have unique filing deadlines; check with the individual state for filing requirements.

### Generate State Direct / State Subset Paper Files

Before starting this wizard review State Filing Overview <sup>158</sup> and Special Cases for State Filing <sup>160</sup> to determine if your generated state files require additional modifications prior to submission to the respective state.

1. On the task panel select Filing My Forms > Create Electronic Files.
2. At the Preparing Forms for Filing Electronically screen click the "Print State Subset Forms" button.
3. In the W-2 State Subset Print Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Specify the Type of Forms to Process:
  - **Type of forms:** Original or Corrections
  - Type of Original or Corrected Forms to Include:
    - **Only Filed/Uploaded Forms**— Default option used to file forms with States that have already been filed with the SSA. This ensures that states get the same information that the

- SSA received. This option ignores State Only corrections as they are not filed at the SSA level. Selects only forms with a "Filed Mag", "Print/Mag", or "SB Filing" status. This
- **Only Pending/Printed Forms**—Warning: Be careful if including Pending forms to ensure that tax information is not changed after forms are submitted to the States. It is recommended that all forms have *at least* a Printed status. Selects only forms with a "Pending", "Printed", or "SB Print/Mail" status.
  - **All Forms**—Select ALL Original form statuses. Please review the Warning for Pending/Printed Forms above.
6. Select States to Generate Files—A separate report is created for each state, but ONLY IF forms were issued to Recipients/Employees AND taxes were withheld for that state. Tag (or select) states as appropriate then click "Next" to continue.
  7. Select Payer Types to Include. Only one payer type can be selected per print run.
  8. Select Third-Party Sick Pay Options. Check this box to limit this print run to only W-2 forms containing third-party sick pay. If your W-2 forms contain a combination of both Third-Party Sick Pay and non Third-Party Sick Pay then this process must be run TWICE to ensure that all forms are processed.
  9. Confirm final settings and if satisfied click "Finish" to print the state subset forms.
    - **View Special Cases for State Filing**  **to review states that require unique modifications before submission.** These states require the user to edit the information before submitting the files to their respective states.

## State Quarterly Filing Wizard

Use this wizard to generate state quarterly electronic files for select forms and states. Corporate Suite software formats the generated electronic files per each state and form's unique specifications.

### Considerations

- This wizard generates quarterly electronic files for Tax Years 2017 and onwards only.
- Eligible states include California, Maine and New York.
- Eligible form types include 1099-INT, 1099-K, 1099-MISC, 1099-R and W-2G. and W-2.
- Filers/Pcodes with the same EIN are combined under one Filer in the electronic output files for NY, CA and ME.

### Generate State Quarterly Files

For additional assistance on state quarterly files please contact the appropriate state agency.

1. On the task panel select Filing & Corrections > Electronic Filing. Select the type of tax form to process and click "OK".
2. At the Begin a New IRS eFile Generation Session screen click the "Quarterly State Reporting" button and select "Create Quarterly Files" OR on the menu bar select Reports > 1098/1099/5498/W-2G Reports > State Quarterly Report.
3. In the State Quarterly Filing Wizard carefully review special rules for state quarterly processing. Click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Choose how records will be selected. Voided records are not included in quarterly electronic files.

- ALL Forms for ALL Filers: This selection includes ALL eligible records for ALL Filers (and consequently may generate a very large file).
  - Selected Form Types for ALL Filers: Use to manually select the form types to include in the electronic file. All Filers are processed.
  - Selected Form Types for Selected Filers: Use to manually select individual Filers and form types, for inclusion in the electronic file (recommended)
6. Select the States to Generate Files. Tag (or select) the states to include in the electronic file. A separate file is created for each state, but only if forms have been issued to Recipients and taxes withheld for that state.
7. Specify the File Type and Transmission Medium. Only Original records are processed. Review Filing Deadlines and Important Quarterly Notes below.
- Select the Quarter to Process:
    - Quarter 1
    - Quarter 2
    - Quarter 3
    - Quarter 4
    - Yearly - Jan. 1st to Dec 31 (Not applicable to CA)
  - Select the Form Type to Process:
    - Only Filed/Uploaded forms—This option generates a file for only records with a Filed or Uploaded status (thus ensuring work is not duplicated).
    - Only Pending/Printed forms—This option generates a file for only records with a Pending or Printed status.
    - ALL Forms—This default option generates a file for ALL records, regardless of status.
8. At the Select Destination Folder for your State Quarterly Filing screen all electronic files are saved in the MagFiles folder by default. Users are encouraged to save files to a LOCAL drive and then move them as necessary. All files are named automatically and individually for each state. The naming convention is preset for the State abbreviation, filing quarter, today's date and time; for example, **CA Q3TAX 7-30-15 4-43PM.TXT**. States may have their own unique naming requirements. Check with the individual state and rename the file as necessary.
- Archive a Copy of this File (recommended): Creates an original copy of this file as a BLOB retrievable should your original file become corrupted or lost.
  - Create a State Withholding Summary Report
    - Detail Report: Includes Recipient Names and TINs with totals, by Filer.
    - Summary Report: Includes totals only, by Filer.
  - Excel Exception File: Check this box to filter out records from the XML output file and create an Excel exception file that identifies which records were filtered; for example, records that contain "Trust" or "Inc." in the First or Last Name fields will be filtered.
9. At the Verify Transmitter information for your State Quarterly Filing screen review Transmitter TCC, TIN and Name for accuracy and modify as necessary. Changes made at this screen are temporary and apply to this session only. To make Transmitter information changes permanent see Browse Transmitter<sup>228</sup>. Click "Next" to continue.
10. At the Verify your Contact and Company Information screen verify information and update as necessary. This information is included in your quarterly report and may be used by a respective state should it have any questions regarding your file. Click "Next" to continue.
- Required fields include Contact Name, Phone Number (in the XXX-XXXX format), Company Name and Company Address.



11. At the Ready to Generate State Quarterly eFile(s) screen review settings and click the "Finish" button to initiate the electronic file creation and report (if selected in Step 8). Use the "Back" button at any time.

- The file is saved to the default file location unless a different location was selected.
- If a State Withholding Summary Report was selected it automatically displays in PDF format.

12. Transmit file to the appropriate state agency.

## Filing Deadlines

State quarterly filing deadlines vary by state; check with the respective state for specific information.

## Maine—Important Quarterly Notes

Maine (ME) quarterly files require additional editing in order to properly complete and submit the files per the 941ME Withholding eFile format. This is because the 941ME Withholding eFile format requires data that is not present on the 1099 tax form (such as bi-weekly payment dates). Users should review the entire withholding file, which includes, but is not limited to, the below.

## T Record Positions

123-133 - Line 3a from Form 941ME

175-185 - Total Amount Due

## R Record

Users must create and insert the R Record(s) according to the specifications in the 941ME Withholding eFile format. See - <http://www.state.me.us/revenue/magmedia/magmedia.html>, "MEETRS File Formatting Specifications for Electronic Transmittal of Quarterly Income Tax Withholding".

## CA 592-B Quarterly eFile Wizard

Corporate Suite software processes Form CA 592-B, Resident and Nonresident Withholding Tax Statements. Users can generate electronic files either 1) quarterly if using transactional imports<sup>68</sup> with an accounting date, or 2) fourth quarter only if doing a standard year-end (non-transactional) import. See Form 592-B Overview<sup>175</sup>

## Generate 592-B Quarterly Files

1. Verify the correct Tax Year is selected (use the "Tax Year" drop menu to change as necessary).
2. On the task panel select Filing & Corrections > Electronic Filing and choose the "1099/1099/5498" radio button as the form type.
3. At the Begin a New IRS eFile Generation Session screen click the "Quarterly State Reporting" button and select "CA-592 Quarterly File".
4. At the CA-592 State Quarterly Filing Wizard carefully review information specific to filing Form 592-B per Pub. 1023S specifications. Please note:
  - A separate .CSV file is created for each selected Filer/PCode and Quarter.
  - California quarters are 1/1 to 3/31, 4/1 to 5/31, 6/1 to 8/31 and 9/1 to 12/31.
    - For Filers/PCodes with Aggregation<sup>246</sup> enabled for this form, quarterly filing for all four quarters is available.
    - For Filers/PCodes without Aggregation enabled, ONLY a fourth quarter file can be generated.

5. Check for software updates. Although not required to continue with this process, it is strongly recommended.
6. At the Choose How Forms Will Be Selected For the CA-592 State Quarterly Filing screen choose a method for selecting eligible records. Voided records are not included in quarterly electronic files.
  - **ALL CA-592 Forms for ALL Filers**—This option selects every eligible tax form for every Filer.
  - **All CA-592 Forms for Selected Filers**—This option allows users to manually select the Filers to process.
7. Amount Withheld Field—Users can map a Box 2 (default) or Box 3 amount to the "Amount Withheld" field.
8. Select the Quarter to Process:
  - Quarter 1 – Jan. 1 to Mar. 31
  - Quarter 2 – Apr. 1 to May 31
  - Quarter 3 – Jun. 1 to Aug. 31
  - Quarter 4 – Sep. 1 to Dec. 31 (Standard, non-transactional, records are considered Fourth Quarter)
9. At the Select Destination Folder for your CA-592 State Quarterly Filing screen review the default file location. Users are encouraged to save files to a LOCAL drive and then move them as necessary. All files are automatically named by the individual Filer/PCode and per SWIFT specifications. The naming convention is preset for the State abbreviation, filing quarter and year, TIN, today's date and time (hour-minute-second) and Filer Name; for example, *CA Q4TAX 2019 555335555 10-21-16 8-37-11AM 2 CA-592 Test Filer 2 CS.*
  - **Archive a Copy of this File (recommended):** Creates an original copy of this file as a BLOB retrievable should your original file become corrupted or lost.
  - **Create a State Withholding Summary Report**
    - Detail Report: Includes Recipient Names and TINs with totals, by Filer.
    - Summary Report: Includes totals only, by Filer.
10. At the Ready to Generate CA-592 State Quarterly eFile(s) screen review settings and if satisfied click the "Finish" button to initiate the electronic file creation and report (if selected in Step 9). Use the "Back" button if necessary to make any changes.
  - The file is saved to the default file location unless a different location was selected.
  - If a State Withholding Summary Report was selected it automatically displays in PDF format.
11. Post your eFile(s) on the SWIFT system.

## SWIFT System Code H Error

### **IMPORTANT**—Part III Type of Income Subject to Withholding

During 1099 Pro, Inc.'s testing of Swift1023xValidator.exe, the Code H "Allocations to Foreign (non-US) Nonresident Partners/Members" fails validation although it is a choice on Form 592-B. Accordingly, Corporate Suite changes code **H** to code **I** resulting in "Independent Contractor" in your CA file(s).

## SWIFT System

SWIFT (Secure Web Internet File Transfer) is the Franchise Tax Board's method for securely transmitting files to and from FTB via the Internet. To use the SWIFT System transmitters must have FTB issued SWIFT login credentials; contact your FTB representative to request this information or refer to the State of California Franchise Tax Board website at <https://www.ftb.ca.gov/>

1099 Pro's CA-592 Quarterly E-File Wizard creates files in the required CSV format. Post files on the SWIFT login site at <https://swift.ftb.ca.gov/>.

## 592-B Filing Deadlines

See Form 592-B Overview; When to Complete<sup>175</sup>.

## Amendments

Corporate Suite software does not process amended Forms 592-B.

## Form 592-B Overview

**Information including filing deadlines is subject to change.** 1099 Pro, Inc. strongly encourages users to verify the following information and assumes no liability for inaccuracies or changes contained herein. See CA 592-B Quarterly eFile Wizard<sup>173</sup>

From the Franchise Tax Board's 2018 Instructions for Form 592-B, Resident and Nonresident Withholding Tax Statement:

### General Information

*California Revenue and Taxation Code (R&TC) Sections 18662 and 18664 require the withholding agent to provide a completed Form 592-B, Resident and Nonresident Withholding Tax Statement, to the payee to report the amount of payment or distribution subject to withholding and tax. The payee files Form 592-B with their California tax return to claim the credit for the withheld amount.*

### Purpose

*Use Form 592-B, to report to the payee the amount of payment or distribution subject to withholding and tax as reported on Form 592, Resident and Nonresident Withholding Statement, or Form 592-F, Foreign Partner or Member Annual Return. Complete a separate Form 592-B for each payee. Form 592-B is provided to the payee to file with their state tax return.*

### Who Must Complete

*Form 592-B must be completed by the withholding agent, including any person or entity who:*

- *Has withheld on payments to residents or nonresidents.*
- *Has withheld backup withholding on payments to residents or nonresidents.*
- *Was withheld upon and must pass through the withholding credit to their pass-through entity owners.*

### When To Complete

*Form 592-B must be completed and provided to each payee by:*

- *January 31st following the close of the calendar year for residents or nonresidents.*
- *February 15th following the close of the calendar year for brokers as stated in Internal Revenue Code (IRC) Section 6045.*

*Form 592-B must be provided to each foreign (non-U.S.) partner or member by:*

- *The 15th day of the 3rd month following the close of the partnership's or LLC's taxable year.*
- *The 15th day of the 6th month following the close of the partnership's or LLC's taxable year, if all the partners in the partnership or members in the LLC are foreign.*

## Penalties

The withholding agent must furnish complete and correct copies of Form(s) 592-B to the payee by the due date. If the withholding agent fails to provide complete, correct, and timely Form(s) 592-B to the payee, the penalty per Form 592-B is:

- **\$100** for each payee statement not provided by the due date.
- **\$250** or 10% of the amount required to be reported (whichever is greater), if the failure is due to intentional disregard of the requirement.

For more information on Form 592-B visit the FTB online or call the FTB at (888) 792-4900.

## State ID Numbers

State ID numbers are assigned by the individual state and are generally used for state withholding purposes. For example, in California the Employer Development Department (EDD) assigns a state ID number. Check with your accountant, attorney, or the specific State Department of Revenue to determine your company's state ID number. Many companies do not have, or require, a State ID Number.

## Modify State ID Numbers

1. On the menu bar select File > Filers List.
2. At the Filer Master List screen highlight the Filer with the State ID to edit, and click the "Change" button.
3. At the Changing a Filers Record screen select the "State I.D. Number(s)" tab.
4. Either "Add", "Change", or "Delete" State ID Numbers as necessary. If the "Add" or "Change" options are utilized, the user is prompted with a check box to "Update all PENDING tax forms with the new State information":
  - If checked, this applies the new/updated State ID Number to any Pending record, under the selected filing entity, that has the State already entered into one of the boxes listed below.
  - If unchecked, all records remain unchanged but any *future* records will utilize the new State ID Number.

## Access the Select State ID database

Use the <F2> key or right-click your mouse to access the Select State ID database. This field is located on the following forms:

- 1099-B: Box 14
- 1099-DIV: Box 12
- 1099-INT: Box 15
- 1099-G: Box 10a
- 1099-K: Box 6
- 1099-MISC: Box 17
- 1099-OID: Box 10
- 1099-R: Box 13
- W-2G: Box 13
- W-2: Box 15
- 1042-S: Box 23

## Puerto Rico Electronic Filing

Puerto Rico files are formatted per the Hacienda's annual eFile specifications. **It is the user's responsibility to ensure that the receiving state(s) will accept this format.** Each selected form type generates its own file. A single 480.5 form is generated at the end; it is a summary of all forms included in the electronic file. All generated files are zipped into a single .ZIP file. All files contained in this .ZIP must be uploaded simultaneously.

See Puerto Rico, Special Cases for Electronic Filing<sup>344</sup>, Puerto Rico Overview<sup>339</sup> and Puerto Rico Control Numbers<sup>268</sup>

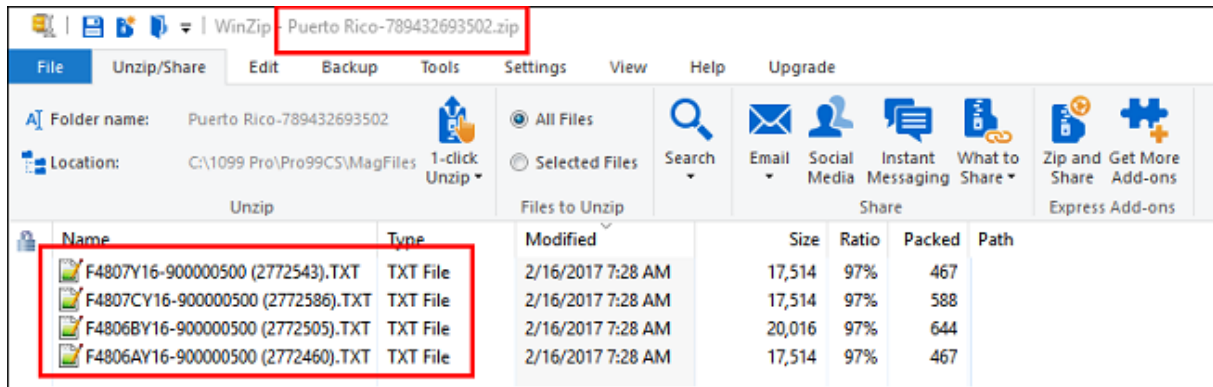
## Generate Electronic PR Files

1. On the task panel go to Filing My Forms > Electronic Filing. Select Puerto Rico as the Type of Form to process.
2. At the Begin a New IRS eFile Generation Session screen select Create State Subset Files > Create Puerto Rico Files.
3. In the Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Choose how eligible forms will be selected:
  - ALL Forms for ALL Filers
  - Selected Form Types for ALL Filers
  - Selected Forms for Selected Filers
6. Specify the Type of Forms to Process. Options include:
  - Original—File these records for the first time.
  - Correction—Use to Amend records that were previously filed.
  - Department of Treasury Notification—Rarely used. Select this option ONLY if notified by the Department of the Treasury to make this correction.
7. Select the Type of Original forms to include in the subset files:
  - Filled/Uploaded—Select forms that have already been filed.
  - Pending/Printed—Select forms that have a Pending or Printed status (thus, NOT filed).
  - ALL forms—Select all eligible forms, regardless of status.
8. Specify How Zero Amount Forms are Processed:
  - Filter—Skip forms that do not contain any dollar amounts. However, some forms with zero amounts may be included IF certain boxes are checked or due to other requirements.
  - Process ALL forms including ones with all zero amounts (subject to threshold selections).
9. Specify How Filers are Grouped.
  - **Do NOT group by EIN**—Default option wherein Filers with the same EIN, but different PCodes, are not consolidated into a single Payer record.
  - **Group by EIN**—This option consolidates a group of Filers with the same EIN, but different PCodes, under a single Payer record. Select this option if a state requires that all submissions for an EIN be submitted in a single Payer record.
10. Select the destination folder. By default all electronic files are saved to the MagFiles folder. Archive a copy of this file (recommended).
11. Verify Submitter Information. Changes made here are temporary and apply to this session only. To make permanent changes exit this Wizard and go to the Update eFile Transmitter Information<sup>228</sup> screen.

12. Verify Contact and Company Information. Changes made here are temporary and apply to this session only. To make permanent changes exit this Wizard and go to the Browse the Filers<sup>[207]</sup> screen.

13. Confirm settings and click "Finish" to generate your electronic files.

- Your electronic file is available, in a default file creation, at C:\1099 Pro\Pro99CS\MagFiles.
- The ZIP file name (e.g., Puerto Rico-789432693502.ZIP) includes the individual Puerto Rico files, named by file type and Tax Year. Please see below image for reference. **Do not rename electronic files.**
- Most Puerto Rico electronic files can be easily viewed in the add-on eFileViewer utility or a text editor such as Notepad.



14. Submit your file(s) to the Hacienda.

## Via the Service Bureau

### Service Bureau—An Overview

#### Why Use the Service Bureau?

*NO customer has EVER incurred an IRS penalty<sup>[27]</sup> due to an error on the part of 1099 Pro for information filed late or in an incorrect format to the IRS/SSA!* The 1099 Pro Service Bureau is proud to offer a wide variety of services to registered users of 1099 Pro, all performed in our secure **SOC I Type II<sup>[7]</sup>** environment at highly competitive rates. We provide Printing and Mailing, Electronic Delivery, Web Presentment, Bulk TIN Matching, and IRS Filing services to thousands of our users. Additionally, all domestic Service Bureau Print + Mail jobs include our complimentary Mail Tracker™<sup>[118]</sup> technology.

Our customers utilize the Service Bureau to save money, minimize administrative headaches, safeguard their sensitive data, and benefit from our extensive experience. Whether the job is large or small, consider the cost savings and the value of a “job done right” during your busiest months of the year.

#### What Forms Does the Service Bureau Process?

The 1099 Pro Service Bureau can print, mail and/or file the following forms for a fee:

- Informational Returns including 1098, 1099-INT, 1099-MISC, 3921, 5498, W-2G and many more!
- 1095-B / 1095-C Affordable Care Act (ACA) Compliance (Corporate Suite Only)
- W-2 Wage and Tax Statements

- 1042-S Foreign Person's U.S. Source Income Subject to Withholding
- Including Original and Corrected forms (in separate uploads)

You must purchase the appropriate software product to use the Service Bureau. Learn about Service Bureau Print Specifications<sup>120</sup>.

\* The Service Bureau does not print, mail or eFile Form 8966 Foreign Account Tax Compliance Act (FATCA).

### How Does the Service Bureau Work?

1. Purchase the appropriate 1099 Pro software package for the type of form(s) you need to file.
2. New customers are encouraged to schedule their Upload Dates and discuss pricing by December (see online price estimator). Return Service Bureau customers—who renew their software by early December—are automatically scheduled. We must have your data by your scheduled Upload Date to ensure that it is posted online, mailed and/or filed by the IRS/SSA deadline.
3. Enter your data into the software via the Import Wizard<sup>28</sup> or manual entry.
4. Use the Service Bureau Wizard<sup>114</sup> to quickly create, approve and submit your upload file.
  - **Configure your email-filtering software to accept email from sb@1099pro.com.** It is your responsibility to ensure that you can receive Service Bureau communications regarding upload dates, IRS acceptance or rejection, invoicing, etc. See Help! I'm Not Receiving Invoices<sup>111</sup>
  - Review minimum TLS Browser Requirements<sup>9</sup> to ensure that you can successfully upload your files.
5. Pay your Service Bureau Invoice<sup>110</sup> upon receipt to maintain your good account standing. Learn how to reconcile<sup>112</sup> your invoice.

*IMPORTANT: Rates and availability are not guaranteed until your appointment is booked. The Service Bureau imposes RUSH processing fees the week prior to all IRS/SSA deadlines for unscheduled uploads.*

### Contact the 1099 Pro Service Bureau

Contact the Service Bureau team to schedule your Print+Mail, IRS Filing and Bulk TIN Upload Dates and for all Service Bureau related inquiries.

- Phone: (866) 444-3559 (toll-free) or (818) 876-0200
- Email: sb@1099 Pro.com
- Internet: <http://www.1099 Pro.com>

Instant price estimates are available online at <http://www.1099 Pro.com/servPricing.asp>. Review 1099 Pro, Inc.'s SOC I Type II<sup>7</sup> documentation.

### Service Bureau Upload Sessions

*The 1099 Pro Service Bureau is proud to offer a variety of services to registered users of 1099 Pro software products, all performed in our secure SOC I Type II<sup>7</sup> environment at highly competitive rates.*

The Service Bureau Upload Sessions screen provides direct access to optional Service Bureau utilities including Print + Mail, Electronic Filing and Bulk TIN Matching. Additionally, you can view upload sessions, reset/void uploads, complete pending uploads and view reports. Access this screen via the task panel > Filing My Forms > Via the Service Bureau.

### Related Topics:

- Service Bureau—An Overview<sup>109</sup>
- Service Bureau Print+Mail<sup>181</sup> (CS) Wizard, Service Bureau IRS Filing<sup>181</sup> (CS) Wizard and Bulk TIN Matching<sup>124</sup> Wizard

### Service Bureau Specific Considerations

- Upload sessions are Filer specific. If you don't see an upload session, verify that the correct Filer is selected.
- One upload session can contain multiple logs composed of different Filers and form types.
- The "Upload Task" column indicates the type of upload sent to the Service Bureau including: Bulk TIN, Print+Mail, Filing, etc.
- The "Status" column indicates if the upload is "Done (HTTPS)", "Done (Manual)", "Pending" or has been "Voided". It is your responsibility to ensure that all uploads are successfully completed by your scheduled upload date. Please see Filing Status—Am I Done?<sup>190</sup>

### Reset (Void) Session

**Prior to resetting any upload with a "Done" status, see Reset Service Bureau Sessions<sup>189</sup> for important considerations.** Otherwise, reset any "Pending" upload session to reset and void. If there are multiple logs within the session, highlight any single log to void the entire session. A voided session cannot be un-voided.

### Complete Pending Upload

Highlight the session to upload and select the "Complete Pending Upload" button. If there are multiple logs within the session, highlight any one log to upload the entire session. To complete a pending upload you must certify your data (even if you've previously done so) via Step 2—Submit Service Bureau Upload<sup>120</sup> and then submit it at the same screen. After successfully uploading the file, the "Status" column updates to "Done".

### Session Summary

If selected session has a "Done" status, generates a copy of the signed Upload Confirmation Sheet and, if selected, corresponding Control Totals. If selected session has a "Pending" status, generates a copy of the Summary & Instructions Sheet and, if selected, corresponding Control Totals.

*Submitting a Manual Upload?* Reference your Summary & Instructions Sheet when submitting a manual upload file; it details your upload file name and the Service Bureau's secure FTP site and login credentials.

### Run Report(s)

1. Click the "View/Print Session Summary" button.
2. You are prompted to check "Reprint Control Totals" as necessary. Click "OK" to continue.



## Log Report

Also referred to as the Upload Form Summary, this report generates a log specific detail of an upload file. The last page of this report includes Total Form Count, Number of Forms with Missing TINs, Box-By-Box Totals and a State Withholding Breakdown.

## Run Report

1. Click the "View/Print Log Report" button.
2. You are prompted to select a printer; consider printing to PDF to save paper.
3. Select the Sort Order; by Last Name/First Name or By TIN
4. Other Report Options include:
  - Preview before printing
  - Print Summary totals only
  - Errors and Warnings only

## Service Bureau Wizards

### Create SB IRS Upload (CS Only)

Use this wizard to create Service Bureau IRS Only Upload Files for the current Tax Year. Review the process to submit prior year<sup>[184]</sup> Service Bureau uploads. See Create SB Print+Mail Upload<sup>[115]</sup> (CS Only), Bulk TIN Match Upload File<sup>[125]</sup> and Service Bureau Upload Sessions<sup>[114]</sup>

### Submission Guidelines

- There are fees to use the Service Bureau (see online price estimator) and a scheduled Upload Date is required.
- Records with a Pending, Printed or SB Print+Mail status are eligible to be included in an IRS Only upload file.
- Update software<sup>[16]</sup> prior to using this wizard.
- It is always most cost-effective to submit ALL Filers and ALL Forms in a single upload file. *Multiple uploads incur multiple fees.*

### IRS Only Upload Wizard

Watch Filing Electronically Via the Service Bureau (online video) for a quick overview of this process. These instructions are for Corporate Suite Users only.

1. On the Corporate Suite task panel go to Filing My Forms > Via the Service Bureau. Select the type of tax form to process and click "OK".
2. At the Printing, Mailing, Filing and Bulk TIN Matching screen select "Create an IRS or AIR Upload" > "Filing with the IRS Upload". *Records with a Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this upload file; records that have been voided, deleted or previously filed are NOT eligible.*
3. At the Create Upload File Wizard screen click the "Begin" button to start the process. Users have the option to:
  - Check for software updates, and/or
  - Start the Generate Accounts Wizard<sup>[101]</sup>. Some form types require Recipients to have unique account numbers; the wizard never overwrites existing account numbers.
4. **STEP 1: Select Filers**—Specify which Filers should be processed in this upload file.

- All of My Filers: This selection includes ALL eligible records for ALL Filers in the software. It is always most cost-effective to submit ALL Filers and ALL Forms in a single upload file; multiple uploads incur multiple fees.
- Select (Tag) Filers: Use to manually tag (or select) individual Filers for inclusion in the Service Bureau Upload.
- Current: This default selection includes available records for the currently selected Filer only.

<b>1: Select Filers</b> Specify which Filers should be processed	<input checked="" type="radio"/> All of my Filers	<input type="radio"/> Select (Tag) Filers
	<input type="radio"/> Current: ORIGINAL	

5. **STEP 2: Form Types**—Select which tax forms will be included in this upload file:

- All Form Types: This default selection includes all form types for the selected Filer(s) and includes all eligible records. It is always most cost-effective to submit ALL Filers and ALL Forms in a single upload file; multiple uploads incur multiple fees.
- Select (Tag) Form Types: This allows you to manually tag (or select) form types for inclusion in the Service Bureau Upload.
- Current: This uses only the currently selected form type and its eligible records for inclusion in the Service Bureau upload.
- Additional Options: Original and Corrected records must be processed in separate files per IRS specifications.
  - **File Original Forms:** Default selection to upload original issue forms.
  - **File Corrections:** Use to select corrected forms (with a Corr/Pending or Corr/Printed status) for upload to the Service Bureau.

<b>2: Form Types</b> Select which tax forms will be included	<input checked="" type="radio"/> All Form Types	<input type="radio"/> Select (Tag) Form Types	<input checked="" type="checkbox"/> File Original forms
	<input type="radio"/> Current: 1099-MISC		<input type="checkbox"/> File Corrections

6. **STEP 3: Upload Action**—Select what the Service Bureau will do with the forms.

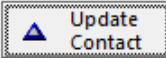
- Original (first) upload for these forms: This default option is for both original uploads and corrected uploads.
- Replacement: Select this option ONLY if instructed by the Service Bureau. Replacement forms are different than corrected forms.
- Additional Options—File Forms Using CFS: This default option includes selected records in the Combined Federal/State Filing Program<sup>147</sup>.

<b>3: Upload Action</b> Choose replacement only if notified by the IRS	<input checked="" type="radio"/> Original (first) upload for these forms	<input checked="" type="checkbox"/> File the forms using CFS For ALL Filers in this upload session
	<input type="radio"/> Replacement	

7. **STEP 4: Contact Information**—Enter the individual the Service Bureau should contact if there are issues with the upload file. This contact person—in addition to your account's primary Service Bureau contact—receives automated emails from the Service Bureau as the upload is processed, IRS filed, etc. The contact person's information is neither transmitted to the IRS nor Recipients. Click "Update Contact" to edit information.

**4: Contact Information**

Who should be contacted if there are questions?


 Full Name: **Jane Doe**  
 Phone: **818-555-1212**  
 Email: **JaneDoe@Yahoo.com**

8. **STEP 5: Federal Thresholds**—Check the "Process forms meeting Federal Thresholds for Tax Year" box to apply exceptions to form specific IRS/SSA business rule validations if minimum conditions are not met. Thresholds vary by form type and may be adjusted annually. See Federal Thresholds<sup>260</sup>

**5: Federal Thresholds**
 Process forms meeting Federal Thresholds for Tax Year

Federal grouping option to evaluate forms by

 EIN     PCode (PTIN)     Apply Individually

9. **STEP 6: 1099-MISC Special Processing**—If reporting Box 7/NEC data, the deadline for BOTH Recipient mailings and IRS filings is January 31, 2020 (see NEC Deadlines<sup>23</sup>). IRS guidelines require special processing of NEC and non-NEC records; the Service Bureau automatically processes your MISC records as appropriate. Processing options include:
- e-File ALL 1099-MISC forms: Default option if this IRS upload contains both NEC and non-NEC 1099-MISC records. Users are discouraged from IRS filing all forms in January; filing in advance may force you to file corrections later in the tax season.
  - e-File 1099-MISC forms with Box 7 Non-Employee Compensation Data: Select to file only NEC records at this time. If selecting this option, Service Bureau customers can submit another IRS file upload in March (at no additional cost) containing non-NEC records..

**6: 1099-MISC Special Processing**

New requirement effective TY 2016


 e-File ALL 1099-MISC forms

 e-File 1099-MISC forms with Box 7 Non-Employee Compensation only

*Step 6 is not available if your upload does not contain any eligible 1099-MISC records.*

10. **STEP 7: Printer**—Several reports print at the end of the Service Bureau Upload Wizard from the selected printer.

**7: Printer**

For Totals &amp; Instructions



Select a different Printer

HP61131C (HP ENVY 4520 series)

**11. Extra Options**

- Error Scan: Use to check records for the chosen Filer(s) and Form type(s) for errors or warnings prior to uploading to the Service Bureau. Review Errors & Warnings<sup>83</sup> for information on reviewing and/or adjusting any such records.
  - Folder: By default all Service Bureau Upload Files are saved to the Uploads folder. Users must have read/write/modify folder permissions to successfully upload files. Although not recommended, users can change the folder location.
12. Click on "Create File" to proceed. Please be patient while the upload session is generated. Upon completion summary reports print to the default printer.
13. Proceed to **Submit Service Bureau Upload File**<sup>120</sup>.

## Prior Year SB File Upload (CS Only)

Because Corporate Suite software was not designed to report prior year filings—including Original, Correction and Replacement records—via the Service Bureau, customers must manually enter our transmitter information, create an electronic file and then manually transfer it to our secure FTP site. The Service Bureau downloads this file from our FTP site and then processes it. Standard Service Bureau rates apply.

### Enter Service Bureau Transmitter Information

1. On the menu bar select File > Transmitter Information.
2. At the Update eFile Transmitter Information screen:
  - o Enter the Transmitter Control Code: **59M04**
  - o Enter the TIN: **95-4185342** (dash MUST be inserted!)
  - o Enter the name of the company: **1099 Pro, Inc.**
  - o Enter the contact name: **1099 Pro Service Bureau**, and the contact number: **866-444-3559**
  - o Enter the TCC owner's address: **23901 Calabasas Rd, Suite 2080 Calabasas, CA 91302**
3. Click "Save" or "Cancel" to exit the screen.

### Create an Electronic File

Please see 1099 Electronic Filing Wizard<sup>[144]</sup> (CS Only). After creating your electronic file, post it via the Manual File Transfer method outlined below.

### Manual File Transfer

This process requires you to manually upload your electronic file to our secure FTP site. You must meet the TLS Minimum Browser Requirement<sup>[9]</sup> to transmit files to the 1099 Pro FTP site.

### Transmit your file to our secure SOC I Type II Service Bureau via FTP:

1. In your web browser go to <https://uploads.1099pro.com/>.
  - **Login ID:** 1099upload
  - **Password:** 2004
2. After Login, click the "Upload" link and browse for your electronic file. In a standard installation, this file is located at C:\1099 Pro\Pro99CS\MagFiles and is suffixed with ".IRS". Uploaded files are automatically pulled into our system from the FTP site.
3. Please email SB@1099pro.com with the file name to inform the Service Bureau that your file has been posted and processing is required.

### Create SB ACA IRS File Upload

Use this wizard to create Affordable Care Act (ACA) specific Service Bureau IRS Only Upload Files for the current Tax Year. Review the process to submit prior year<sup>[184]</sup> Service Bureau uploads. See Create SB Print+Mail Upload File<sup>[115]</sup>, Bulk TIN Match Upload File<sup>[125]</sup> and Service Bureau Upload Sessions<sup>[114]</sup>

### Submission Guidelines

- There are fees to use the Service Bureau and a scheduled Upload Date is required.
- Records with a Pending, Printed or SB Print+Mail status are eligible to be included in an IRS Only upload file.
- Update software<sup>[16]</sup> prior to using this wizard.

- It is always most cost-effective to submit ALL Filers and ALL Forms in a single upload file. Multiple uploads incur multiple fees.

### IRS Only Upload Wizard

These instructions are specific to generating Service Bureau IRS upload files for ACA series Forms 1095-B/1095-C only. Please watch our online video, Filing Electronically Via the Service Bureau, for a brief tutorial on this process.

1. On the Corporate Suite task panel go to Filing My Forms > Via the Service Bureau. Select the type of tax form to process and click "OK".
2. At the Begin a New Service Bureau Upload Session screen select "Create an IRS or AIR Upload" > "Filing with the IRS Upload". *Records with a Pending, Printed or SB Print+Mail status (or Corr/Pending or Corr/Printed for corrected forms) are available for inclusion in this upload file; records that have been voided, deleted or previously filed are NOT eligible.*
3. At the Create ACA Upload File screen click the "Begin" button to start the wizard. Options include:
  - Check for software updates.
4. **STEP 1: Select Filers**—Select Filers to include in your upload file.
  - All of My Filers: Select ALL Filers. It is always most cost-effective to submit ALL Filers and ALL Forms in a single upload file.
  - Current: Default option includes the currently selected Filer only.
  - Select (Tag) Filers: Manually select Filers.

**1: Select Filers**  
Specify which Filers should be processed

All of my Filers

Select (Tag) Filers

Current: ORIGINAL

5. **STEP 2: Form Types**—Select tax forms to include in your upload file.
  - All Form Types: Forms 1095-B or 1095-C must be separately processed.
    - **File Original Forms**: Default option to select original issue forms.
    - **File Corrections**: Select corrected forms (with a Corr/Pending, Corr/Printed and Zero/Pending status).

**2: Form Types**  
Select which tax forms will be included

All Form Types


File Original forms

File Corrections

6. **STEP 3: Upload Action**—Select how the Service Bureau should process your upload file.
  - Original (first) upload for these forms: Default option applies to both original uploads and corrected forms.
  - Replacement: Select this option ONLY if instructed by the Service Bureau. Replacement forms are different than corrected forms.
7. **STEP 4: Transmittal Contact/Signature/Title**—Enter the authorized contact for this ACA submission. This information is electronically transmitted to the IRS along with your ACA records. This contact is not necessarily your billing contact. Click "1094 Transmittal" button to edit this information.

<b>4: 1094-B Contact Information, Signature and Title</b>		
1094-B Transmittal of Health Coverage	Last Name: <b>SMITH</b> Signature: <b>JANE A. SMITH</b> Title: <b>CEO</b> Email: <b>TEST@EMAIL.COM</b>	First Name: <b>JANE</b> Phone: <b>(866) 444-3559</b>
		

8. **STEP 5: Federal Thresholds**—N/A for ACA Forms.
9. **STEP 6: Printer**—Several reports print at the end of the Service Bureau Upload Wizard from the selected printer.

<b>5: Printer</b> For Totals & Instructions	 <a href="#">Select a different Printer</a>	<b>HP61131C (HP ENVY 4520 series)</b>
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#### 10. Extra Options

- Error Scan: Use to check records for the chosen Filer(s) and Form type(s) for errors or warnings prior to uploading to the Service Bureau. Review Errors & Warnings<sup>83</sup> for information on reviewing and/or adjusting any such records.
  - Folder: By default all Service Bureau Upload Files are saved to the Uploads folder. Users must have read/write/modify folder permissions to successfully upload files. Although not recommended, users can change the default Uploads folder.
11. Click on "Create File" to proceed. Please be patient while the upload session is generated. Upon completion summary reports print to the default printer.
  12. Proceed to **Submit Service Bureau Upload File**<sup>120</sup>.

### Submit SB Upload File

After successfully creating your Service Bureau Print+Mail, Print+Mail+IRS or IRS Only Upload File, users must certify and submit their data to the Service Bureau. Certification includes carefully reviewing the Control Totals Report for accuracy and confirming total records. Users must digitally sign off on the upload prior to submission.

#### **IT IS CRITICAL THAT YOU CAN RECEIVE EMAILS FROM THE SERVICE BUREAU.**

Communications regarding bad upload files, missed upload dates and invoices are sent exclusively via email. Please ensure that you can receive emails from SB@1099pro.com—if necessary, check your spam folder and/or ask your IT team to white list us.

See Service Bureau Upload Sessions<sup>114</sup>

### Submit Service Bureau Upload

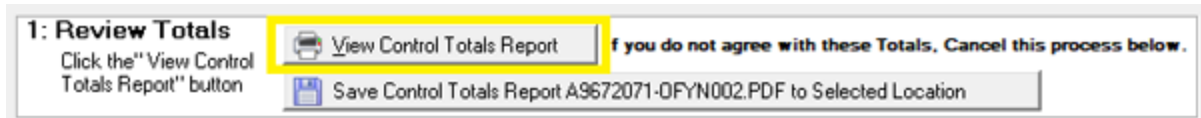
The Submit a Service Bureau Upload screen displays automatically after creating an upload file. To continue the upload process, you must certify your data by carefully reviewing the Control Totals Report<sup>95</sup>.

- If you approve the reports continue to the below steps.
- If you do NOT approve the reports, click the "Cancel" button and use the "Reset/Void Upload" button at the Service Bureau Upload Sessions<sup>114</sup> screen. All of the forms associated with the session will reset to their original, pre-upload status. Fix any issues, then start over at Service Bureau Print+Mail<sup>181</sup> (CS) Wizard or the Service Bureau IRS Filing<sup>181</sup> (CS) Wizard.

To continue this process at a later time, click the “Cancel” button and use the “Complete Pending Upload” button at the Service Bureau Upload Session screen to return when convenient.

## Uploads Are Easy!

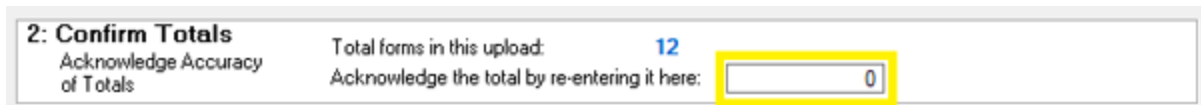
1. **Step 1: Review Totals**—Click the View Control Totals Report button OR Save Control Totals Report button. View the reports, one per Filer and Form type, and verify that all Filer(s), Form(s) and dollar amounts are correct. See Control Totals Report<sup>95</sup>.



**1: Review Totals**  
Click the "View Control Totals Report" button

**If you do not agree with these Totals, Cancel this process below.**

2. **Step 2: Confirm Totals**—Confirm the Total Number of Forms. Enter the total number of forms in the “Acknowledge the total by re-entering it here” field.



**2: Confirm Totals**  
Acknowledge Accuracy of Totals

Total forms in this upload: **12**

Acknowledge the total by re-entering it here:

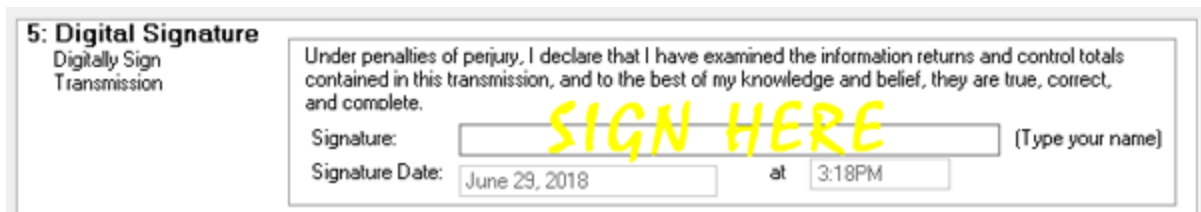
3. **Step 3: Transfer Method**—Choose between:
  - **Built-in HTTPS secure transfer:** This default/preferred method works well for most of our users; however, those with firewalls or very large files may experience issues. \*An Internet connection is required for this method. Users must meet the **TLS Minimum Browser Requirement**<sup>91</sup> to transmit via HTTPS.
  - **Built-in FTP using the Internet:** This is an alternate method of uploading to the Service Bureau. The Wizard automatically uploads the file using standard File Transfer Protocol. \*An Internet connection is required for this method.
  - **Manual Transfer:** This option requires users to manually upload their file to our FTP site, email it or send it to our Service Bureau via postal service. See Manual Transfer Options<sup>123</sup> below.
4. **Step 4: Select Printer**—Control Totals Report prints to selected printer.



**4: Select Printer**  
Select a Valid Printer

**Adobe PDF Documents\\*.pdf (winspool)**

5. **Step 5: Digital Signature**—The individual responsible for this upload must type their name to certify they have examined the information returns and control totals in this transmission and to the best of their knowledge and belief, are true, correct and complete.



**5: Digital Signature**  
Digitally Sign Transmission

Under penalties of perjury, I declare that I have examined the information returns and control totals contained in this transmission, and to the best of my knowledge and belief, they are true, correct, and complete.

Signature:  (Type your name)

Signature Date:  at

6. Click "Upload My File" to immediately transmit your file to the 1099 Pro Service Bureau. The software indicates if upload was successful. If so, please look for your email confirmation from the Service Bureau, usually the same business day. **Successful uploads are immediately transmitted to the Service Bureau and filed with the IRS.**
- If the upload was not successful, repeat the above procedure using the Built-in FTP or Manual Transfer option.
  - There is no need to fax any documentation or call the Service Bureau; your file and approval are submitted electronically.
  - If you do not receive an email confirmation, please check your SPAM folder and ask your IT team to ensure that emails from sb@1099pro.com are white listed!
  - When submitting a Bulk TIN Upload; expect your Bulk TIN Results within 1-2 business days. If you haven't received your emailed results by then please check your SPAM folder and have your in-house IT team determine if the results were blocked by your internal firewall. Bulk TIN results are emailed as an encrypted .ZIP file attachment which some firewalls may block. Please contact the Service Bureau for further assistance as needed. *W-2 Pro software does not offer Bulk TIN Uploads.*
7. **AM I DONE?** You are responsible for verifying that all intended upload files have a "Done" status at the Service Bureau Upload Sessions screen. If an upload file has a "Pending" status it means that the file was created, but it has NOT been submitted to the Service Bureau. Highlight the "Pending" upload and click the "Complete Pending Upload" button at the bottom center of the screen to submit the file to the Service Bureau for processing. It is your responsibility to track the status of your upload files and transmit them in a timely manner. Please watch for Service Bureau emails<sup>[123]</sup> to track the status of your upload (check your SPAM folder if necessary). Filing Status—Am I Done?<sup>[190]</sup>

Service Bureau Upload Sessions										
Use the options below to view, report, reprint or reset (void) prior completed Upload sessions.										Current Query: All sessions for this Filer
										<input type="checkbox"/> Skip Voiced Sessions
Log	Session	Filer TIN	Form Type	Form Count	Upload Task	Status	Session Date	Time	Reset/Voiced	Upload Date
17	17	46-1235555 Lcode 1	1098	24	Filing	Pending	3/07/2018	12:59PM		
16	16	46-1235555 Lcode 1	3921	1	Filing Corrections	VOIDED	3/07/2018	11:39AM	3/07/2018	3/07/2018
15	15	46-1235555 Lcode 1	3921	1	Filing Corrections	VOIDED	3/07/2018	11:37AM	3/07/2018	3/07/2018
14	14	46-1235555 Lcode 1	3921	1	Filing Corrections	VOIDED	3/07/2018	10:49AM	3/07/2018	
13	13	46-1235555 Lcode 1	1099-MISC	12	Filing	Done (Manual)	3/06/2018	1:20PM		3/06/2018

8. **Invoicing**—Invoices are emailed to your account's primary billing\* contact within one business day. Pay invoices promptly to avoid delays in the processing of subsequent Service Bureau uploads. See Service Bureau Invoicing<sup>[110]</sup> for more information.

\* Your Service Bureau contact is not necessarily your billing contact.

## Manual Transfer Options

Transmitting your upload file to the Service Bureau via built-in HTTPS or FTP is preferred. Those with firewalls, very large files or no Internet connection may need to use the manual transfer option. Users must meet the TLS Minimum Browser Requirement<sup>[9]</sup> to transmit files to the 1099 Pro FTP site.

### Method A: Transmit your file to our secure SOC I Type II Service Bureau via FTP:

1. In your web browser go to <https://uploads.1099pro.com/>.



- **Login ID:** 1099upload
  - **Password:** 2004
2. After Login, click the "Upload" link and browse for your upload file. Service Bureau Uploads are automatically pulled into our system from the FTP site. You will receive email notification from the Service Bureau within one hour of successfully posting your upload file. Please look for this email and check your SPAM folder as necessary.
- You do NOT need to contact the Service Bureau to inform us that your file was posted.
  - Your digitally signed Control Totals Report is automatically bundled into your .ZIP upload file.

#### **Method B: Transmit your upload file via e-mail.**

E-mail your upload file to uploads@1099pro.com. Do NOT change the name of the attached upload file—it contains identifying information. After emailing the file you will receive an automatic confirmation of receipt of your email within one hour.

- You do NOT need to contact the Service Bureau to inform us that your file was emailed.
- Your digitally signed Control Totals Report is automatically bundled into your upload .ZIP file. There is no need to fax documentation to the Service Bureau.

#### **Method C: Transmit your file via postal service on a CD or flash drive.**

This method is not recommended as files can easily get damaged, delayed or lost in the mail.

### **Reset Service Bureau Uploads**

#### **"Done" Status Uploads**

**Any Service Bureau upload with a "Done (HTTPS)", "Done (FTP)" or "Done (Manual)" status\* has been transmitted to the Service Bureau for processing.** Resetting a completed or "Done" upload in the software does NOT automatically cancel the upload file submitted to the Service Bureau. Users who reset a "Done" upload and then resubmit data to the Service Bureau risk having their files processed twice for Print+Mail and/or IRS Filing! This creates additional costs, confusion to the Recipient and work for YOU, the Filer.

You are responsible for carefully reviewing Control Totals prior to submitting files. During peak tax season, upload files are processed immediately and the Service Bureau does not guarantee that your upload file can be stopped. The Service Bureau reserves the right to charge a fee to stop an upload file. Contact the Service Bureau via email at sb@1099pro.com or phone at (818) 876-0200.

*\* The "Done (Manual)" status assumes that the user successfully posted their file(s) on the 1099 Pro FTP site and received an email receipt confirmation. See [Filing Status—Am I Done?](#)<sup>190</sup>*

#### **Is it ever appropriate to Reset/Void a "Done" status upload?**

Yes, on occasion users may be instructed by 1099 Pro Service Bureau personnel to reset/void a "Done" Service Bureau upload session.

#### **"Pending" Status Uploads**

**Service Bureau uploads with a "Pending" status have NOT been transmitted to the Service Bureau.** Reasons include:

- The second part of the process, wherein Control Totals are reviewed and certified, was not completed. At the Service Bureau Upload Session screen, highlight the Pending upload and click

the "Complete Pending Upload" button at the bottom of the screen. See Submit Service Bureau Upload File<sup>120</sup>

- Your firewall is blocking the upload process. At the Service Bureau Upload Session screen, highlight the Pending upload and click the "Complete Pending Upload" button at the bottom of the screen. At the Submit a Service Bureau Upload screen, under Transfer Method, select "Manual Transfer"<sup>123</sup>. After clicking the "Upload My File" button, the *Special Manual Upload Instructions* sheet automatically prints. This document details exactly where to post your file on our FTP site, the Login ID, Password, and your file name and location.

## Filing Status—Am I Done?

Users often ask: Am I done? 1099 Pro, Inc. cannot definitively answer this question for you. However, YOU can determine in your software the status of your Service Bureau Upload(s) or Electronic Filing(s).

## View Service Bureau Upload Status

Open your software and on the task panel select Filing My Forms > Via the Service Bureau. At the Service Bureau Upload Sessions screen reference the "Status" column (see Image 1).

- A "Done (HTTPS)" status means that your file was transmitted via our default HTTPS protocol. You should receive a Service Bureau confirmation email.
- A "Done (Manual)" status means that you created your upload file and then went to our FTP site and manually uploaded your file. You should receive a Service Bureau confirmation email.
- A "Pending" status means that you created your upload file but have **NOT** transmitted it to us—this file is pending completion of the upload process! See Submit Service Bureau Upload<sup>120</sup>

**Service Bureau Upload Sessions**

Use the options below to view, report, reprint or reset (void) prior completed Upload sessions.

Log	Session	Filer TIN	Form Type	Form Count	Upload Task	Status	Upload Date
18	17	99-9089889 TX	1099-MISC	59	Filing	Done (HTTPS)	6/01/2018
19	17	99-9089889 TX	1099-S	12	Filing	Done (HTTPS)	6/01/2018
20	17	99-9089889 TX	3921	12	Filing	Done (HTTPS)	6/01/2018
2	2	99-9089889 TX	1099-INT	12	Filing	Pending	2/09/2018 8:56AM
1	1	99-9089889 TX	1099-MISC	12	Filing	Done (Manual)	2/09/2018 8:21AM

Buttons: View/Print Log Report, View/Print Session Summary, Complete Pending Upload, Resend a Completed Upload, Reset (Void) Upload, Close, Help.

**IMPORTANT:** When you create a Service Bureau Upload File, all associated records display an "SB Print+Mail", "SB Print+File" or "SB Filing" status at the Work With My Tax Forms screen **EVEN IF** the actual upload file is still in a "Pending" status at the Service Bureau Upload Sessions screen! **It is your responsibility to ensure that you successfully transmit your Upload File to us by your assigned Upload Date and receive an email confirmation from the Service Bureau.**

## View Electronic Filing Status

Open your software and on the task panel select Filing My Forms > Electronic Filing. At the Completed Electronic Filing Sessions screen all generated electronic files are listed. There is NO status\* column—it is your responsibility to successfully post and monitor your electronic files on the IRS FIRE site, SSA BSO, AIR System or other appropriate agency site.

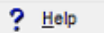
**Completed 1220 File Generation Sessions List**

Use the options below to view, report, reprint or reset (void) prior completed 1220 generation sessions

Current Query: All sessions for this Filer

Skip voided sessions

Log	Session	Filer TIN	Form Type	Copy Count	Trans Type	Info	Session Date	Time	Reset/Voided
6	4	99-9089889 TX	1098	3	NY: Original	A+A	4/05/2018	12:41PM	
8	4	99-9089889 TX	1099-INT	2	NY: Original	A+A	4/05/2018	12:41PM	
9	4	99-9089889 TX	1099-MISC	12	NY: Original	A+A	4/05/2018	12:41PM	

View/Print Log Report  Visit IRS FIRE Site   

**IMPORTANT:** When you create an Electronic File, all associated records display a "Filed Mag" status at the Work With My Tax Forms screen EVEN IF the actual electronic file has not been posted on the IRS FIRE site or other agency site! It is your responsibility to ensure that you successfully transmit your Electronic Files in a timely manner.

\* In lieu of a Status column, Corporate Suite includes a Session Tracking<sup>148</sup> utility.

**YOU are responsible for knowing IRS/SSA deadlines, scheduling all necessary Upload Dates and submitting Uploads in a timely manner.**

## Ch. 10 Step 4—Help & Extras

### Correcting Filed Forms

For a fee, the Service Bureau<sup>109</sup> can Print+Mail and/or IRS File your corrections. Most users print the corrections themselves, in-house, and send only an IRS File to the Service Bureau. The cost to IRS File corrections is a flat \$45 per upload. The minimum cost to Print+Mail+IRS File is \$85 per upload for Original or Corrected records.

**Corrections Requirement**—Corrected returns must be filed electronically if the original return was filed electronically. Reference IRS Regulation, 26 CFR 301

### About Corrections—An Overview

The About Corrections screen displays all form types that contain corrected records. To begin the process of making a correction(s), see Correct a Record<sup>46</sup>.

### View About Corrections Screen

On the task panel select Help & Extras > Correcting Filed Forms. A red check displays to the left of any form type containing corrected records.

### When do I need to create a correction?

If a return is filed with the IRS/SSA and an error is discovered it must be corrected *as soon as possible*. Some corrections require one return, others require two. All 1099 Pro software products intuitively create the appropriate corrected return(s) based on the type of correction created. Additionally, users must provide corrected returns to Recipients as soon as possible. Filers may be subject to penalties<sup>27</sup> for failure to file correct information returns or furnish a correct payee statement. See Types of Corrections<sup>195</sup>

#### **Corrections Deadlines**

*Corrections are due within 30 days of the original file acceptance date. After 30 days of the original filing deadline, Filers have until August 1st to submit corrections before the next potential penalty tier. For further information reference the IRS General Instructions for Certain Information Returns, Failure To File Correct Information Returns by the Due Date (Section 6721) and Penalties: "If you do not file corrections and you do not meet any of the exceptions to the penalty, the penalty is \$270 per information return". It is never too late to file corrections—including prior year corrections, too!*

### Do I need to file corrections with the IRS?

Filers only need to file a correction with the IRS/SSA if incorrect data was sent to the IRS. For example, if Recipient copies were mailed in January and errors were changed prior to sending data to the IRS/SSA, then no correction is necessary.

### Are Address-Only Corrections Reportable to the IRS?

Records reflecting address-only corrections are not eligible for filing with the IRS. Records with a corrected STATE may require direct reporting—either on paper or electronically—with the associated state(s). Contact your accountant and/or the specific state(s) for guidance; state reporting requirements vary and 1099 Pro cannot advise in this matter. Records with only a corrected STREET ADDRESS, CITY, STATE and/or ZIP are automatically excluded from Corrected IRS electronic files and Service Bureau Uploads.

### Do I need to issue corrections to my Recipients?

Yes, the IRS requires Filers to issue a "correct payee statement" to Recipients.

- If forms were sent with incorrect data to Recipients, but not to the IRS, consider sending Recipients a *revised* statement reflecting the accurate data. These forms will have a "Pending" or "Printed" status in the software. The corrected box is not marked; however, some Filers manually check the box with a pen to aid the Recipient in distinguishing the revised (good) form from the original issue form.
  - Filers can also force an "X" in the corrected box using the Advanced Print Options<sup>102</sup>. *Forcing an "X" does not qualify as a valid IRS correction.*
- If forms were sent with incorrect data to Recipients AND filed with the IRS a formal correction is required and corrected copies must be both sent to the Recipient and filed with the IRS. After generating the corrections these forms have a "Corr/Pend" status and the corrected box on the Recipient copy is automatically marked with an "X" when printed. See Correct a Record<sup>46</sup>

### Special Circumstances (10 Day Window)

If an IRS file was submitted within the last 10 calendar days and an error is discovered in it, the Service Bureau may be able to contact the IRS and request the file be marked as "BAD". Based on the User's individual circumstances, the Service Bureau will instruct the User to either 1) submit a new Original file to the Service Bureau, or 2) submit a Replacement file to the Service Bureau. The Service Bureau charges \$85 to take this action on behalf of the customer *in addition* to any Service Bureau processing fees. Email [sb@1099pro.com](mailto:sb@1099pro.com) for assistance as soon as the error is discovered.

### For More Information ...

Tax year 2019 form specific IRS/SSA instructions are available within this software installation and are accessible via the task panel > Help & Extras > IRS Pubs & Links. Double-click on any form or instruction to open, view or print it.

### Correct a Record

**Only forms that have been filed with the IRS/SSA are eligible to be corrected (or amended);** prior to filing with the IRS/SSA it is only necessary to change (or update) the form. All 1099 Pro software corrections must typically be processed manually, one-by-one, at the Work With My Tax Forms screen—the exception is Corporate Suite which allows for the importing of a corrected file. See About Corrections<sup>191</sup>

**Important**—Corrected returns must be filed electronically if the original return was filed electronically. Reference IRS Regulation, 26 CFR 301

**As of Tax Year 2016**—De minimis corrections do not need to be printed or filed UNLESS the Recipient specifically requests it. Filers are no longer required to create corrections if the amount difference is \$100 or less and \$25 or less for any tax withheld box. See the IRS General Instructions for Certain Information Returns for specific details.

### Correct AKA Amend a Form

1. On the task panel select Preparing My Forms > Work With My Tax Forms.
2. At the Work With My Tax Forms screen highlight the record and click the "Change" button. *Only records with an SB Filed, Filed Mag or 1096 / W-3 / 1042-T Filed status are eligible for corrections.*
3. At the Protected Form Update Options<sup>40</sup> screen click the "Create Correction" button.
4. You are presented with an original version of the record to correct. Click on any field to enter revised value(s).
  - To change the TYPE of TIN, delete the ENTIRE number and then re-enter it with the dashes placed as appropriate for an SSN or EIN.
  - Recipient mailing address changes can be processed as a correction for printing purposes; however, records reflecting address-only corrections are not eligible for filing with the IRS. Records with a corrected STATE may require direct reporting—either on paper or electronically—with the associated state(s). Contact your accountant and/or the specific state(s) for guidance; state reporting requirements vary and 1099 Pro cannot advise in this matter.
    - Records with only a corrected CITY, STREET ADDRESS, STATE and/or ZIP are automatically excluded from Corrected IRS electronic files and Service Bureau Uploads.
  - All fields with revised information values turn **BLUE**.
  - The bottom of the form includes a brief summary of any changes in the "Correction Type" box.

- The Payer/Filer/Employer field is not available to correct at this screen. To correct this field please contact the Service Bureau for support.
5. When done with corrections click the "Save Form" button. The Protected Form Update Options screen displays, with the opportunity to view both the original and corrected forms and the associated audit trail. Click "Close" to exit the Protected Form Update Options screen and return to the Work With My Tax Forms screen.
- Depending on the type of correction made, records will have a "Corr/Pending" or "Zero/Pending" status.
  - Mail a copy of the corrected form to the Recipient (see Quick-Print<sup>48</sup>), AND
  - File the correction with the IRS/SSA as soon as possible.

### Correct a CORRECTED Form (CS Only)

To correct an already filed corrected form, see Creating a Correction of a Correction<sup>196</sup>.

### Correct a PRIOR YEAR Form

Corrections to prior year forms must be handled in the appropriate program year version. For example, a 2016 1099-INT correction must be created in 1099 Pro 2016. Users can send that correction to the Service Bureau for filing for a fee or contact the IRS at 1-800-TAX-FORM and request a paper\* Copy A and 1096 Transmittal for the appropriate tax year and form type. **To electronically submit a prior year file *directly* to the IRS/SSA FIRE site, users must first manually edit the record.** For information on manually editing a prior year correction please contact Technical Support at 888-776-1099.

\* As of Tax Year 2018, if the original form was submitted electronically, the associated corrected form must likewise be filed electronically—even if submitting less than 250 forms totals.

**Corporate Suite:** This product has unique requirements for processing prior year filings (whether Original, Corrected or Replacement records). Please see Prior Year Service Bureau File Upload<sup>184</sup> (CS Only) for instructions.

### Corrections—Special Circumstances

- **10 Day Window**—If an IRS file was submitted within the last 10 calendar days and an error is discovered in it, the Service Bureau may be able to contact the IRS and request the file be marked as "BAD". Based on the User's individual circumstances, the Service Bureau will instruct the User to either 1) submit a new Original file to the Service Bureau, or 2) submit a Replacement file to the Service Bureau. The Service Bureau charges \$85 to take this action on behalf of the customer *in addition* to any Service Bureau processing fees.
- **Type 1 Only Corrections**— If corrections are Type 1 only (dollar field amount changes only—NO Name or TIN changes) the user can import a file and the Service Bureau may be able to manually edit the Original file and code it as a Corrected file. Contact the Service Bureau for specific guidelines, limitations and fees regarding this process.

See Types of Corrections<sup>195</sup>

## Protected Forms Options

Use the Protected Forms Options screen to view a "protected" record, create corrections and display a history of record changes. Records with any status besides Pending are "protected" from edits. See Record Status Overview<sup>[50]</sup>

### Initiate Correction

Most records at the Work With My Tax Forms screen with an SB Filing, Mag Media or Filed 1096/W-3/1042-T status can be corrected. The exception is ACA series forms 1095-B/1095-C which must first have their Receipt ID<sup>[243]</sup> marked as "Accepted" by the IRS. See About Corrections—An Overview<sup>[191]</sup>

1. Highlight the record and click the "Change" button.
2. At the Protected Form Update Options screen click the "Create Correction" button. See Correct a Record<sup>[46]</sup>
3. Return to the Protected Form Update Options screen after completing and saving the correction. Use the "Close" button to exit the screen and return to the Work With My Tax Forms screen where the Original, Corr/Pending and Zero/Pending (if applicable) records can be easily viewed and Quick-Printed.

### Protected Form Update Options screen

Use this screen to access protected records for viewing, reprints or initiating corrections.

1. At the Work With My Tax Forms screen highlight any "protected record" (i.e., effectively any record except those with a Pending status).
2. Click the "Change" button to access the Protected Form Update Options screen.
  - Use the "Field Update History" button to view a record's history of changes.

## Types of Corrections

All 1099 Pro software products *intuitively* generate corrections based on the error type. Users can IRS file corrections via the Service Bureau for a nominal fee. See About Corrections<sup>[191]</sup> and Correct a Record<sup>[46]</sup>.

### Error Type 1 / One-Transaction Correction

Applies to Original returns filed with one or more of the below errors. Type 1 errors require one return to make the correction; the corrected record will display a "Corr/Pending" status in the 1099 Pro software.

- a) Incorrect dollar amount(s)
- b) Incorrect code(s)
- c) Incorrect check box(es)
- d) Incorrect payee indicator
- e) Return should not have been filed

### Error Type 2 / Two-Transaction Correction

Applies to Original returns filed with one or more of the below errors. Type 2 errors require two returns to make the correction; the corrected records will display "Zero/Pending" and "Corr/Pending" statuses in the 1099 Pro software.

- a) No payee TIN (SSN, EIN, ITIN QI-EIN or ATIN)
- b) Incorrect payee TIN
- c) Incorrect payee name
- d) Wrong type of return indicator. For example, a Form 1099-DIV was filed when a Form 1099-INT should have been filed.

Reference IRS Pub.1220 (online), Section 11 Corrected Returns, for additional specifications on corrections.

### **Correction of a Correction (CS Only)**

Corporate Suite software allows users to correct an already corrected record. A corrected form must have a Filed status in order to correct a correction; if the corrected form has not been IRS filed it is only necessary to make changes and save the form. It may be necessary to file a Federal or State correction depending on what is done within the correction.

**As of Tax Year 2016**—De minimis corrections do not need to be printed or filed UNLESS the Recipient specifically requests it. Filers are no longer required to create corrections if the amount difference is \$100 or less and \$25 or less for any tax withheld box. See the IRS General Instructions for Certain Information Returns for specific details.

### **Correct a (Filed) Corrected Form**

1. On the task panel select Preparing My Forms > Work With My Tax Forms.
2. At the Work With My Tax Forms screen highlight the record and click the "Change" button. *Only records with a Corr/SB Filed, Corr/Filed Mag or Corr/1096 Filed status are eligible to be corrected.*
3. At the Protected Form Update Options screen click the "Initiate a NEW Correction Process" button and "Yes" to continue.
  - If more than one correction form was created for this record's previous correction (for example, there were both a State and a dollar amount change, thus generating two associated records; zero/pending and correction/pending), Corporate Suite automatically bases the initial values for this NEW correction on the most recently filed correction.
4. At the Adding a Correction screen modify the information for the correction. Any modified fields display in blue and the Correction Type box specifies the type of correction.
5. After making all changes click the "Save Form" button.
6. Return to the Protected Form Update Options screen where all corrections associated with this record are detailed. Click the "Close" button to exit this screen. Provide a corrected form to the Recipient and file with the appropriate Federal or State agency.



Associated Corrected and Corrections Forms					
Created	Form Type	TIN	Name	Correction Type	Status
8/08/07	1099-H	656565656	Samuel	IRS Amount Change	Pending
8/08/07	1099-H	656565656	Samuel	IRS Amount Change	Superseded

Change Delete Initiate a NEW Correction Process

Example of the Protected Form Update Options screen displaying the Associated Corrected and Corrections Forms

## IRS Pubs/Links

This software installation includes many helpful IRS/SSA forms and instructions. Additionally, users with an active Internet connection can access current versions of these and other files directly from the IRS/SSA websites. All documents are in PDF format and require Acrobat Reader to be viewed or printed. Download Acrobat Reader for free at [www.adobe.com](http://www.adobe.com).

## Print IRS/SSA Forms & Instructions

### View Local Files

1. On the task panel select Help & Extras > IRS/SSA Pubs & Links.
2. At the View or Print Blank Forms and Instructions screen set the Current View to "Local files installed on my machine".
3. Highlight a PDF document and click "View the Selected Form". The selected file opens automatically in Acrobat Reader.

### View Files on Internet

1. User must have an active Internet connection.
2. Follow the appropriate links provided at the Browse IRS Tax Forms<sup>197</sup> help topic.

## Caution—Red Preprinted Copy A Forms and Transmittals

- 1099 Informational Returns: The IRS requires these Copy A forms and 1096 Transmittal sheets to be preprinted with a special red ink that is invisible to IRS scanners. Do NOT send black and white printouts of these forms to the IRS as they will be rejected.
- Form W-2: The IRS allows these Copy A forms and W-3 Transmittal sheets to be 1) printed directly to blank paper using standard black ink per W-2 Pro's IRS approved format, or 2) preprinted with a special red ink that is invisible to IRS scanners.
- Form 1042-S: The IRS allows these Copy A forms and 1042-T Transmittal sheets to be printed directly to blank paper using standard black ink per 1042-S Pro's IRS approved format.

## Browse IRS Tax Forms

Various IRS/SSA instructions are included in all 1099 Pro software installations via the task panel > Help & Extras > IRS Pubs & Links. Some items can be viewed online with an active Internet connection. All documents are in PDF format and require Acrobat Reader to be viewed or printed. Download Acrobat Reader for free at [www.adobe.com](http://www.adobe.com)

Users with an active Internet connection can access many other files directly from the IRS/SSA websites.

### IRS Telephone Assistance: Information Reporting Customer Service Site

For questions about reporting on Forms 1096, 1098, 1099, 5498, W-2, W-2G, and W-3 call toll-free (866) 455-7438 or (304) 263-8700 or E-mail [mccirp@irs.gov](mailto:mccirp@irs.gov). For TTY/TDD equipment, call 304-267-3367 (not toll free).

The hours of operation for the call site are Monday through Friday from 8:30a.m. to 4:30 p.m., Eastern time.

### Other tax-related matters

For other tax information related to business returns or accounts, call (800) 829-4933.

### W-9/B-Notices Overview

1099 Pro\* software offers a user-friendly interface to create and track the following types of Information Requests:

- W-9 Request for Taxpayer Identification Number and Certification
- W-9S Request for Student's or Borrower's Taxpayer Identification Number and Certification
- W-8 Series (Corporate Suite Edition only)
- First and Second "B" Notices for Backup Withholding

See Manage Information Requests<sup>290</sup> and Information Request Wizard<sup>200</sup>

### Information Requests—Overview

IR Type	Description
Form W-9	An individual or entity who is required to file an information return with the IRS, must obtain the recipient's correct taxpayer identification number (TIN) to report, for example, income paid, real estate transactions, paid mortgage interest, acquisition or abandonment of secured property, cancellation of debt, or contributions made to an IRA. A TIN may be the recipient's social security number (SSN), individual taxpayer identification number (ITIN), or employer identification number (EIN). Use Form W-9 Request for Taxpayer Identification Number and Certification to request a recipient's TIN if the recipient is a U.S. person or U.S. resident alien. If the recipient is a foreign person use the appropriate Form W-8.  See the IRS's Instructions for the Requester of Form W-9 (online).
Form W-9S	An eligible educational institution, such as a college or university, or a lender of a student loan must get the recipient's correct identifying number to file certain information returns with the IRS and to furnish a statement. For students, this is their social security number (SSN) or, for those unable to obtain an SSN, their individual taxpayer identification number (ITIN). Use

IR Type	Description
	Form W-9S Request for Student's or Borrower's Taxpayer Identification Number and Certification to request a student's correct SSN or ITIN.
<b>Form W-8 Series (CS Only)</b>	<p>Form W-8 series are generally issued to assist withholding agents and foreign financial institutions in validating the forms for chapter 3 and 4 purposes in addition to outlining the due diligence requirements applicable to withholding agents for establishing a beneficial owner's foreign status and claim for reduced withholding under an income tax treaty.</p> <p>See the IRS's Instructions for the Requester of Forms the Requester of W-8BEN, W-8BEN-E, W-8ECI, W-8EXP, and W-8IMY (online).</p>
<b>B-Notices</b>	<p>A "B" Notice is a backup withholding notice. There are First and Second "B" Notices, each with different content. Filers must send the First "B" Notice and a Form W-9 to a recipient after receiving from the IRS a first CP2100/CP2100A Notice due to an incorrect Name/TIN combination. Filers send the second "B" Notice to a recipient after receiving from the IRS a second CP2100/CP2100A Notice within a 3 calendar year period.</p> <p>See the IRS's Pub. 1281 Backup Withholding For Missing And Incorrect Name/TIN(s) (online).</p>

\* 1042-S Pro, W-2 Pro and 8966 Pro software do not include Information Request functionality.

## Manage Information Requests (CS Only)

The Manage Information Requests screen (Corporate Suite Edition) allows users to track and view/reprint all previously issued Information Requests. Users can also update the status of an Information Request, attach pertinent documents and generate a summary report. Corporate Suite Users can access this screen via the task panel > TIN Management > Browse All Requests.

To issue new requests—including Forms W-9, W-9S, W-8 series and B Notices—use the Information Request Wizard<sup>200</sup>.

### Sort By Options

- **Current View/Sort**—Sort Information Requests by Recipient's Last Name, TIN or Barcode<sup>200</sup>.
- **Search for Name/TIN**—This feature is used in conjunction with the Current View/Sort drop menu.
- **Current Query**—Generate a custom query or select one of the many predefined queries including sort by; Batch ID Number, Created Date, Has Attached Documents, In Process, Match Status, Notice Date, Request Type, Tax Year and more.

### View/Print Report

The Information Request Summary Report includes the selected Recipients' TIN/Name/Address When Issued, Current TIN/Name/Address and the Requester/Form Type/Status. The report details the date the information request was originally Created, Closed, any associated B Notices and the Withholding percentage, if applicable.

Run Information Request Summary Report

### View/Reprint Selected

Reprint individual requests by highlighting the record and selecting the "View/Reprint Selected" button.

### Update Selected Request

Users can update any record's Request Type (e.g., W-9, 1st B Notice, etc.) with an Open/Pending status. Requests with a Closed or Escalated status have the option to "Reopen Request" if it was closed in error, or "Update Recipient" for any associated Recipient records with a Pending status.

### Update Status of an Information Request

1. At the Manage Information Requests screen highlight the appropriate record and select the "Update Selected Request" button.
2. At the Changing a Recipient's Record screen users can edit:
  - **Current Information**— Update Recipient's SSN/EIN, First and/or Last Name.
  - **Status of the Information Request**— Options include:
    - **Leave the Request as Open/Pending**
    - **Close the Request:** Updated information was received.
    - **Void the Request:** It should not have been issued. Once a request is voided it is considered "closed" and is not available for modifications.
    - **Close and Escalate to 1st B Notice/2nd B Notice (never responded):** If this option is chosen, upon clicking the "Save" button the existing request is closed and the User is taken directly to the Information Request Wizard to create a 1st B Notice or 2nd B Notice request.
3. Click "Save" to apply changes to all pending records for this Recipient or "Cancel" to exit this screen.

### Attach Documents

Users can attach *individual* scanned Information Request responses or other documents for safekeeping and ease of access. To attach a document highlight the appropriate request and click the "Attach Documents" button. Multiple documents in various formats, i.e., Excel, Word, PDF, etc., can be attached to any one request. To attach a *batch* of scanned Information Requests see Attach Information Request Batches<sup>352</sup>.

### Information Request Wizard

Information Requests, including Forms W-9, W-9s<sup>198</sup>, Form W-8 Series (Corporate Suite Edition only) and First and Second B Notices<sup>202</sup>, are important tools in maintaining current Recipient Name and TIN information. The Information Request Wizard simplifies the process of issuing these forms to Recipients individually or in batch. The status of these forms can then be tracked and updated as necessary. This utility is available in 1099 Pro Professional, Enterprise and Corporate Suite software only; W-2 Pro, 1042-S Pro, 8966 Pro and CRS Pro software do not offer it.

### Information Request Barcodes

Corporate Suite automatically prints a unique barcode on each issued Information Request (IR) to track requests in the numeric order created and to link Information Request responses with the associated Recipient. Users can scan the returned IRs, save them as PDF documents and attach them as a single batch into the software. Corporate Suite automatically links the returned IR to the issued IR by barcode; thus saving Users valuable time. See Attach Information Request Batches<sup>224</sup>

## Issue Information Requests

1. On the task panel select Help & Extras > W-9/B Notices.
  - Corporate Suite Users: On the task panel select TIN Management >Browse Batches. At the Create/Print Information Request screen click the "Create a New Batch of Information Requests" button and proceed directly to Step 4.
2. At the Manage Information Requests screen click the "Issue New Requests" button.
3. At the Print Information Requests screen click the "Print a New Batch of Information Request Forms" button.
4. At the 1099 Pro Information Request Wizard click "Next" to continue.
  - Review the IRS Instructions for the Requester of Form W-9.
5. Select the Specific Type of Information Request to print and click "Next" to continue:
  - W-9 Request for Taxpayer Identification Number and Certification
  - First B Notice
  - Second B Notice
  - W-9S Request for Student/Borrower's Taxpayer ID Number and Certification
  - W-8 Series (Corporate Suite Edition only)—Includes Forms W-8 BEN, W-8ECI, W-8EXP, W-8IMY, W-8BEN-E and W-8 Combined.
6. Specify the Requester (Filer) issuing these forms (this information appears on the printed forms). Any changes made at this screen are temporary and will not permanently affect your Filer record, or alternately use the "Select a Different Filer to use as the Requester" button.
7. If issuing B Notices, additional information is required including:
  - B Notice 'Must Respond By' date
  - Backup Withholding Rate (effective TY 2018, the default is 24%)
8. Select how Recipients will be selected for this batch and click "Next".
  - Manual selection: Tag (or select) Recipients.
  - Automatic selection: Select one or both options—
    - Pre-select all Recipients who do not have a TIN, or
    - Pre-select all Recipients who have an invalid TIN.
9. Set Print Options screen. The program remembers the user choices and automatically restores them each time this wizard is run. Click "Next" to continue.
  - Select the order to print forms (by Company/Last Name, TIN (SSN or EIN), ZIP/Postal Code or State)
  - Select whether to preview forms
  - Select WHEN forms should print:
    - Now, as soon as I click Finish.
    - Not yet, I have more batches to create. Selecting this option automatically returns you to the Information Request Wizard after clicking Finish.
10. Confirm settings and verify printer. Click "Finish" to print or return to the Wizard to select more forms (as determined in the previous step).

## B Notices—Overview

The IRS sends Filers a CP2100/CP2100A Notice if recipient mismatches, i.e., Name/TIN combinations not matching the IRS database, are determined after filing. The Filer must then issue a Form W-9 and a "B" Notice to the recipient in question unless the Filer determines the error was on their part, e.g., a misspelled name, transposed TIN, etc. Please note:

- The Recipient has 15 business days to respond to the notice and the Filer has 30 business days to reply to the IRS with their findings.
- The Filer need only issue a "B" notice 2 times in 3 calendar years to the same account.

### 1042-S Pro software does not prepare B Notices.

#### What is a CP2100/CP2100A Notice?

A CP2100/CP2100A notice informs a Filer that they may be required to backup withhold. The notice includes a listing of any recipients with incorrect Name/TIN combinations. Filers with 250+ incorrect Name/TINs receive a DVD file CP2100, Filers with 50-249 incorrect Name/TINs receive a paper CP2100 and Filers with <50 incorrect Name/TINs receive a paper CP2100A. Upon receipt of a CP2100/CP2100A Notice, compare the information with your records. If the TIN is missing, the Filer may have to immediately start backup withholding. For incorrect TINs, the Filer must attempt to obtain the recipient's Name/TIN combination via a "B" Notice. Failure to comply often results in Filer penalties<sup>[27]</sup>.

#### What is a Backup Withholding "B" Notice?

A "B" Notice is a notice to backup withhold. There are First and Second "B" Notices with different requirements for each, as outlined below. For more information see the IRS's Pub. 1281 Backup Withholding For Missing And Incorrect Name/TIN(s).

#### First "B" Notice

1. Send the First "B" Notice, Form W-9, and an optional reply envelope to the payee within 15 business days from the date of the CP2100 Notice or the date you received it (whichever is later). Date the "B" Notice no later than 30 business days after the date of the CP2100/CP2100A Notice or the date you received it (whichever is later). The outer envelope must be clearly marked "IMPORTANT TAX INFORMATION ENCLOSED" or "IMPORTANT TAX RETURN DOCUMENT ENCLOSED."
2. Make sure that necessary information such as the date, account number, and Backup Withholding (BWH) rate are on the "B" Notice before mailing it to the payee. If you do not include the optional reply envelope be sure to provide return address information in your mailing.
3. Update your records with the corrected information received from the payee and include it on any future information returns you file. Do not send the signed Form W-9 to the IRS.
4. Begin backup withholding on payments made to payees who do not return a signed Form W-9, response to the First "B" Notice no later than 30 business days after the date of the CP2100/CP2100A Notice or the date you received it (whichever is later). However, you may begin backup withholding the day after the date you receive the CP2100 Notice. Stop backup withholding no later than 30 calendar days after you receive the signed Form W-9 from the payee. You may stop any time within that 30 calendar day period.

*NOTE: Do not file a correction unless you are also making a change to the dollar amount reported. It is your responsibility to send the appropriate "B" Notice to the payee, when required, to obtain the correct Name/TIN. This information may not be solicited by telephone. You need a TIN that the payee certifies as correct on Form W-9 in order to stop current backup withholding or prevent backup withholding from starting.*

## **Second "B" Notice**

1. Send the Second "B" Notice and an optional reply envelope to the payee within 15 business days after the date of the CP2100 Notice or the date you received it whichever is later). Date the "B" notice no later than 30 business days after the date of the CP2100 Notice or the date you received it (whichever is later). Do not send a Form W-9. The outer envelope must be clearly marked "IMPORTANT TAX INFORMATION ENCLOSED" or "IMPORTANT TAX RETURN DOCUMENT ENCLOSED."
2. The payee must contact the SSA to have his or her social security number validated (on Form SSA-7028, Notice to Third Party of Social Security Number Assignment) or the IRS to get his or her employer identification number validated (on IRS Letter 147C).
3. Allow 30 business days after the date of the Second "B" Notice to receive SSA Form 7028 from the SSA or Letter 147C from the payee. Begin backup withholding on payments made to the payee if you don't receive Form SSA-7028 or Letter 147C by the 30th business day. You may at your option begin backup withholding during the 30 business day period. You must continue to backup withhold until you receive the validation. Stop backup withholding no later than 30 days after you receive the required verification. You may stop backup withholding anytime within that 30 calendar day period after receiving verification.

*NOTE: You are not required to file a correction unless you are also making a change to the dollar amount reported. It is your responsibility to send the appropriate "B" notice to the payee, when required, to obtain the correct Name/TIN. This information may not be solicited by telephone. You need a TIN validation (IRS Letter 147C or Form SSA-7028 as appropriate) in order to stop current backup withholding or prevent backup withholding from starting.*

## **Third and Subsequent Notices**

### ***Is a Third B-Notice Required?***

Generally, you may ignore a third or subsequent notice of missing or incorrect TIN(s) if you completed the actions for the First and Second "B" Notices and the incorrect payee name and TIN combination and account number remain the same. However, if the CP2100/CP2100A Notice and listing(s) relate to the same payee, but with a different Name/TIN combination than on the "first" and "second" notice, you must treat the notice as a "first" notice.

## **Name Control**

This overview provides an explanation on the Name/TIN matching process and the development of name controls. Understanding this process may help reduce the filing of incorrect information returns and limit penalty exposure.

## **Understanding Name Control in 1099 Pro Software**

To ensure accuracy in the IRS name control process, it's important that you enter Recipient Name and TIN data into the appropriate fields in 1099 Pro software. Whether you import your tax forms,

manually key records or add Recipients individually—1099 Pro provides standardized fields to simplify the process.

The IRS Name/TIN matching process is based on the unique combination of a record's TIN and Name, as outlined in the below table. Typically, Name Control is the first four characters of the Last or Company Name; however, there are several exceptions, as detailed in IRS Pub. 1586. **Name control is not performed on W-2 Wage & Tax Statement recipients.**

### TIN/Name Entry in 1099 Pro Software

TIN Field	First Name Field	Last Name/Company Field	Name 2 Field	<i>Name Control is Performed Against ...</i>
<b>EIN (XX-XXXXXXX)</b>	N/A	<b>CORPORATE NAME</b> <i>For example, The Software Company, wherein the name control is "Soft".</i>		EINs and other TINs issued by IRS
<b>SSN (XXX-XX-XXXX) for Individuals</b>	FIRST NAME	<b>LAST NAME</b> <i>For example, Wannamaker, wherein the name control is "Wann".</i>  <i>Alternatively, <b>FIRST NAME LAST NAME</b> can be entered together in this field. The same name control, "Wann", applies.</i>		SSNs issued by SSA
<b>SSN (XXX-XX-XXXX) for Sole Proprietorships</b>	FIRST NAME	<b>LAST NAME</b> <i>For example, Stewart, wherein the name control is "Stew".</i>	DOING BUSINESS AS (DBA) NAME	SSNs issued by SSA
<b>TIN (XXXXXXXXXX) Type Unknown, No Dashes</b>  It is acceptable to submit TINs without a dash; name control is performed against both the SSA and IRS databases.  The placement of the dash or dashes in a TIN is critical. Name control fails when a TIN is incorrectly entered as an SSN or EIN.	FIRST NAME (if provided)	<b>CORPORATE NAME</b> or <b>LAST NAME</b> <i>For example, Car Tow LLC and Steve Carter, wherein the name control for both is "Cart".</i>		Both SSNs issued by SSA and EINs and other TINs issued by IRS
<b>Blank, TIN Unknown</b>  A return may be submitted without a TIN; however, Filers should attempt to obtain a TIN and correct the return ASAP. If not corrected, Filer	FIRST NAME (if provided)	<b>CORPORATE NAME</b> or <b>LAST NAME</b>  *** If no TIN is provided, the individual return automatically fails name control. ***		N/A



TIN Field	First Name Field	Last Name/Company Field	Name 2 Field	Name Control is Performed Against ...
will receive Notice CP2100 from the IRS. Filings with a high percentage of missing TINs may be altogether rejected by the IRS.				

**Important:** If your Recipient Name/TIN data is incomplete or conflicting, issue Form W-9 Request for Taxpayer Identification Number and Certification to collect accurate data. Corporate Suite includes an Information Request Utility<sup>199</sup> to help manage this process. It is your responsibility to understand name control and provide accurate data to the IRS/SSA. Failure to comply can result in significant penalties.

### Examples in 1099 Pro Software

PAYER'S Federal identification number 19-1111111	RECIPIENT'S identification number 230-00-0000	PAYER'S Federal identification number 19-1111111	RECIPIENT'S identification number 23-0000000
First name: ADAM	First name:	First name:	First name:
Last/Comp: STEWART	Last/Comp: ADAM'S TOW TRUCK SERVICE INC.	Last/Comp: ADAM'S TOW TRUCK SERVICE INC.	Last/Comp: ADAM'S TOW TRUCK SERVICE INC.
Name 2: DBA ADAM'S TOW TRUCK SERVICE	Name 2:	Name 2:	Name 2:
Addr. Type: U.S.A.	Addr. Type: U.S.A.	Addr. Type: U.S.A.	Addr. Type: U.S.A.
Delivery/St.: 345 HIGHWAY 1	Delivery/St.: 345 HIGHWAY 1	Delivery/St.: 345 HIGHWAY 1	Delivery/St.: 345 HIGHWAY 1
Suite/apt/loc:	Suite/apt/loc:	Suite/apt/loc:	Suite/apt/loc:
City: Malibu State: CA ZIP: 90263-0000	City: Malibu State: CA ZIP: 90263-0000	City: Malibu State: CA ZIP: 90263-0000	City: Malibu State: CA ZIP: 90263-0000

Record issued to an individual with an SSN, acting as a sole proprietor. Name control is "STEW".

Record issued to a company with an EIN. Name control is "ADAM".

### IRS Name Control Guidance

Per IRS Pub. 1586, Reasonable Cause Regulations & Requirements for Missing and Incorrect Name/TINs:

*All information returns filed must include a correct name/TIN combination to allow for the matching of the information reported against the income included on the payee's income tax return. A verification check is performed to determine whether a name/TIN combination is correct by matching it against a file containing all SSNs issued by SSA and against a file containing all EINs and other TINs issued by IRS.*

*The name control (if provided) on an electronically filed information return is compared to the name control on file. If a name control is not provided or is provided incorrectly, one is developed from the name(s) provided on the first two name lines (up to 40 characters for each name line including spaces) of the information return. If a match can be made, it is considered correct. If a match is not found, the name/TIN combination is considered incorrect.*

*A name control consists of up to four characters. To help ensure that the name/TIN combination for an account matches the name/TIN combination on SSA or IRS files, use the following information when you open an account for a payee.*

### Individuals

The IRS develops name control for an individual from the last name on the return. For example:  
Ralph Teak OR Joe McCedar

For an individual that has a hyphenated last name, the name control is based on the first of the two last names. For example:

Brandy Cedar-Hawthorn OR Victoria Windsor-Maple

For joint names, regardless of whether the payees use the same or different last names, the name control is the first four characters of the primary payee's last name. For example:

Joseph Ash & Linda Birch OR Edward & Joan Maple

### **Sole Proprietors**

Sole proprietors must use their individual name as the legal name of the business. If a taxpayer has a true name and a trade name, the name control is based on their last name. For example:

True Name: Arthur Aspen

Trade Name: Sunshine Restaurant

NOTE: Sole proprietors should enter their business, trade, or "doing business as" name on Name Line 2 of the information return.

### **Partnerships**

Businesses "doing business as" with a trade name should use their DBA or trade name for name control. If the first word is "The" it is disregarded unless followed by only one other word. For example:

Bob Orange and Carol Black et al Prs., DBA The Merry Go Round

### **Corporations**

Name control is composed of the first four characters of the corporate name. Examples:

The Meadowlark Company

Barbara J. Zinnia ZZ Grain (if both an individual and corporate name appear, the name control is the first four characters of corporation name)

Kathryn Canary Memorial Foundation (if the organization includes the words "Foundation" or "Fund" corporate name control rules apply)

### **Estates, Trusts, and Fiduciaries**

The name control for estates is (generally) the first four characters of the last name of the decedent. The last name of the decedent must have the word "Estate" after the first four characters in the primary name line.

Other Organizations

Howard J. Smith Dec'd OR Howard J Smith, Estate

Howard J. Smith Dec'd OR Howard J Smith, Estate (EIN assigned online)

**There are many other possible scenarios; please review IRS Pub. 1586 online for further information.**

## Ch. 11 Top Menu / Toolbar Options

### File

#### Filers

##### Browse Filers

"Filer" refers to the business, individual or entity issuing a form to a Recipient. The terms Filer and Employer are sometimes used interchangeably, depending on the type of tax form being issued. Use the Filer Master List screen to add, change, delete and view Filers. Use the Select Filer<sup>[209]</sup> button to quickly jump between existing Filers.

##### Filer/Employer Overview

Access the Filer/Employer Master List screen via the menu bar > Filers List. This screen displays ALL Filers OR sort them by default options or create a custom query.

- Unlimited Filers are allowed.
- All 1099 Pro software products accept multiple Filers with one TIN. This is useful for companies issuing forms from multiple departments or for batch processors. See Create a Duplicate Filer<sup>[209]</sup>
- All 1099 Pro software products allow US, Canadian and foreign Filers.
- Filer Record Details<sup>[211]</sup> provides a thorough explanation on each Filer specific field.

##### Viewing Options

Current Sort/View Order	Users can sort Filers by Filer Name, TIN or PCode.
Current Query/Filter	By default all Filers are displayed. Users can display a subset of Filers via the "Current Query" drop menu and select a readymade query, e.g., "Combined Fed/State Filing" or "TIN is an EIN" or create their own custom query, e.g. "Address Type Code = Other Foreign", etc.

##### Onscreen Buttons

Button	Function
"Add"	Use to manually add individual Filers. Unlimited Filers are allowed. See Add a Filer <sup>[208]</sup>
"Change"	Use to change or edit a Filer. Cascading updates are applied to all existing records in the software with a "Pending" status; records with any other status are locked and will not reflect Filer updates. See Change a Filer <sup>[210]</sup> and Cascading Updates
"Delete"	Use to delete any Filer with no associated Recipient records; if any Recipient records are associated with the Filer (including deleted records) the Filer is locked and cannot be deleted. See Delete a Filer <sup>[210]</sup>
"Run Filer Report"	This report provides detailed information on a selected Filer including Name, TIN, Contact Information, State ID Numbers and a history of any address changes. See Filer Listing Report <sup>[289]</sup>

## Add a Filer

All 1099 Pro software products allow unlimited Filers. Please watch our online How to Add a Filer video tutorial.

See Import Filers<sup>[80]</sup>, Create a Duplicate Filer<sup>[209]</sup> and Filer Record Details<sup>[211]</sup> for a thorough explanation on all entry fields.

## Add a Filer

1. On the menu bar select File > Filers List .
2. At the Filer Master List screen click "Add".
3. At the Adding a Filer Record screen complete all fields and click "OK" to save the Filer.

## Contact Information

At the Filer Record screen add or edit a Contact Person, Department and Phone Number. Adding multiple contacts allows users to change the contact information on different records (change contacts at the Adding a Form Record screen via the "Dept" button). **At least one contact is required.** The contact phone number prints on ALL copies and the 1096/W-3/1042-T Transmittals; the contact name prints only on the Transmittals.

## Add/Edit Contacts

1. On the menu bar select File > Filers List.
2. At the Filer Master List screen highlight a Filer and click the "Change" button.
3. At the Filer Record screen (General tab) use the "Add", "Change" or "Delete" buttons as appropriate.
  - Dept. Code—The Filer's internal reference such as AP, Sales, HR, LA Office, NY Office, etc.
  - Full Dept. Name—For example, "Accounts Payable".
  - Default—Only one contact can be selected as default.
4. Corporate Suite Only—Use the Alternate Filer/Dept Address<sup>[208]</sup> tab to override the default Filer address when printing tax forms.
5. Use the "Save" button to save changes or "Cancel" to abort changes and exit.

All Filers are required to have at least one contact on file. In some instances Filers may want one address to appear on tax forms printed for Recipients and to use another address for their IRS filings.

## Add Alternate Address

1. At the Contact<sup>[208]</sup> screen select the Alternate Filer/Dept. Address tab and click the "Select/Update Alternate" button.
2. At the Alternate Addresses screen use the "Add" button to add a new address.
3. After updating all required fields, check the box to make the new address ACTIVE for address substitution. If not checked the new address is associated but it will not be used for printing.
  - The alternate address is applied to printing and print/mail exports only.
4. Click "Save" to save changes.

## W-2 Payer Types

A W-2 Filer/Employer/Payer must have at least one payer type associated with it. When adding a Filer, multiple payer types can be checked or associated with it. If a payer type is not checked, you will

not be able to create that type of W-2. A payer type cannot be unchecked once you have entered W-2s for that type. If you have more than one type of Form W-2, send each type with a separate Form W-3. To edit payer types, see Change a Filer<sup>[210]</sup>.

## Payer Types

For specific details on the various payer types please see the Specific Instructions for Form W-3 section in the IRS General Instructions for Forms W-2 and W-3.

- 941 (Regular)—default setting
- Military
- 943 (Agriculture)
- CT-1 (Railroad)
- Household Employer
- MQGE - Medicare Government Employer
- 944 (Annual)

Note: The “Third-party sick pay” indicator box does not designate a separate kind of payer.

## Duplicate Filers

Duplicate a Filer to isolate data by Department, Date, User, etc. or as otherwise directed by 1099 Pro Technical Support. Use the Payer Code (PCode) field to differentiate—and thus isolate—otherwise identical Filer data. **Payer Codes (PCodes) are internal reference values, visible in the software only.** See Filer Record Details<sup>[211]</sup>

## Create a Duplicate Filer

1. On the menu bar select File > Filers List.
2. At the Filer Master List screen click "Add".
3. At the Adding a Filer Record screen complete all fields identically to the original Filer.
4. In the Payer Code (PCode) field enter "REVISED", "CORRECTIONS", "AGGREGATION" or any other appropriate phrase.
5. Click "OK" to save the Filer.

When importing, printing or uploading data, you always have the ability to select Filers by Payer Code (see Image).

Browse the Filers File

**Select the Filer to use**  
The Current Filer determines what information is shown throughout the system

Search Name:  Current View: By Company/Last Name

TIN Location	Payer Code	Name Name 2	Address Line 1 Address Line 2	City State Zip
77-7777770 LOC 1	HEALTH FEES	DUMMY COLLEGE FILER NAME LINE 2	ADDRESS LINE 1 ADDRESS LINE 2	Acampo CA 95220
99-9089889 TX	PCODE TEST	DUMMY FILER FILER NAME 2	ADDRESS LINE 1 ADDRESS LINE 2	Benchley TX 77801
46-1235555 Lcode 1	REVISED	FILER IMPORT TEST COMPAN FILER IMPORT NAME 2	STREET ADDRESS ADDRESS LINE 2	City CA 90302
46-1235555	ORIGINAL	FILER IMPORT TEST COMPAN FILER IMPORT NAME 2	STREET ADDRESS ADDRESS LINE 2	CITY CA 90302

## Change a Filer

Changes to a Filer only affect records with a "Pending" status. To quickly switch between existing Filers use the "Select Another Filer" button.

## Change a Filer

1. On the menu bar select File > Filers List.
2. At the Filers Master List screen select the Filer and click "Change".
3. At the Changing a Filer Record screen make changes and click "OK".
  - Modify TIN Masking settings at the Extra Options tab. **TIN Masking is enabled, by default, for all Filers.**
4. The Administrator prompts to update all pending records with the new Filer information. Click "Yes" to apply the updates or "Cancel" to abort changes and exit the screen.

Review Filer Record Details<sup>[211]</sup> for a thorough explanation of each Filer field.

## Delete a Filer

If a Filer is associated with any records—including deleted or voided records—it cannot be deleted.

## Delete a Filer

1. On the menu bar select File > Filers List.
2. At the Filers Master List screen select the Filer and click "Delete".
3. At the Confirm Delete screen click "Yes" to delete the Filer or "No" to cancel.

## Filer Reports

### Summary of Forms Issued by Filer

*This report is not available in Corporate Suite software.* The Summary of Forms Issued by Filer report details records issued by Filer including Recipient Name, TIN, Address and each record's respective filing status, i.e., Pending, Printed, SB Printed, Filed 1096, eFiled, Corr/Pending, etc. For detailed Filer specific information see the Filer Listing Report<sup>[289]</sup>.

### Forms Issued By Filer Report

1. On the menu bar select Reports > All Forms Issued by Selected Filer.
2. Click "Yes" to preview the report.

3. At the Browse the Filers File screen click the "Tag" button to select Filers. A red check displays to the left of each tagged Filer. To sort Filers prior to tagging, use the View drop menu.
4. After tagging appropriate Filers click "Proceed to Next Step" to run the report.

### Unfiled Forms Summary

This report details "Filed" or "Not Filed" status for all records by form type and places special emphasis on records containing 1099-MISC Box 7/NEC amounts.

### Form Counts by Filer

This report generates a listing of all forms sorted by Filer, batched by status, i.e., Pending, Printed, SB Printed, Filed 1096, e-Filed, SB Filed and Not Filed. The last page of the report totals forms with errors and/or warnings and indicates if original or corrected.

### eFile Sessions/Logs Summary

Referred to as both the Mag Log and Electronic File Log, this report provides in-depth *comparative* summary information on selected Filers, Pcodes, Form Types, or Session IDs.

## Filer Record Details


Visit the 1099 Pro WIKI to download software specific Filer Import Maps and review additional import field specifications.

Access the Filer Record Details on the menu bar > File > Filers List > highlight Filer and select the "Add" or "Change" buttons.

## General Tab

Fields in **RED** are required.

Field	Description	Max Characters
<b>Filer TIN</b>	<p>The Filer Taxpayer Identification Number field is required. If the Filer does not have a TIN but has applied for one, enter "Applied For" in this field.</p> <ul style="list-style-type: none"> <li>• Filers can use an EIN or SSN to issue most forms.</li> <li>• Filers with an "Applied For" status can issue forms but cannot generate an electronic file or 1096/W-3 Transmittal until their TIN is entered.</li> <li>• The Filer TIN prints on all copies of Recipient records; it cannot be masked.</li> </ul>	11
Location Code	<ul style="list-style-type: none"> <li>• Use the Location Code to create multiple Filers sharing one TIN — allows different return addresses for different form types. Also used by batch processors grouping by month.</li> <li>• Location Codes are alpha-numeric and appear in Filer specific reports; they do not print on any tax forms.</li> <li>• If applicable, enter an SSA assigned Establishment Number in this field.</li> </ul>	14


Field	Description	Max Characters
	<ul style="list-style-type: none"> <li>This field flows through to the B record positions 41-44 as the "Payer's Office Code" (applies to electronic filers only). Per the IRS, the Location Code must also appear on backup withholding notices.</li> </ul>	
<b>Payer Code</b>	<p>Use the Payer Code (PCode) to setup multiple Filers with the same TIN. For example, use PCodes of "Sales", "Tech", "Exec" to differentiate subsets of Recipient records for a Filer.</p> <ul style="list-style-type: none"> <li>PCodes must be unique. If an already in use PCode is entered, the software prompts to create a new one.</li> <li>PCodes are alpha-numeric and visible in the software only.</li> <li>Typically, security and the return address settings are unique for each PCode.</li> <li>See Duplicate Filers  209</li> </ul>	15
<b>Filer Name</b>	Prints on all tax forms.	40
Filer Name 2	Prints on all tax forms.	40
Filer Name 3 & 4	In Corporate Suite only, prints on Recipient copies only.	
Country	Defaults to USA. Select Canada or Other to reformat the address fields.	25
Address Line 1	Prints on all tax forms.	40
Address Line 2	Prints on all tax forms.	40
City	Prints on all tax forms.	40
State / Province / Locale	Prints on all tax forms.	23
ZIP / Postal	Prints on all tax forms.	15
<b>Contact Information</b>	<p>Use the "Add" button to add a Contact Person, Department and Phone Number. Adding multiple contacts allows users to change the contact information on different records (change contacts at the Adding a Form Record screen via the "Dept" button). <b>At least one contact is required.</b></p> <ul style="list-style-type: none"> <li><b>Dept. Code:</b> For example, "HR".</li> <li><b>Full Dept. Name:</b> For example, "Human Resources"</li> <li><b>Contact Name:</b> The individual to contact with questions regarding the issued forms. <u>The contact name prints on the IRS/SSA paper transmittal only; it does NOT print on Recipient copies.</u></li> <li><b>Phone:</b> The phone number to call for questions regarding the issued forms. <u>The phone number prints on all copies and IRS/SSA paper transmittals.</u></li> </ul>	40



Field	Description	Max Characters
Fax	A fax number is optional.	
Email	An email address is optional.	
Notes / Has Notes	Enter notes specific to a Filer/Pcode for reference purposes. Indicates if notes are present for this Filer.	

### General Tab (1042-S Pro Specific)

Field	Description	Max Characters
<b>Filer/Agent EIN</b>	<p>The Filer/Withholding Agent's Identification Number field is required. If the Filer does not have an EIN but has applied for one, enter "Applied For" in this field.</p> <ul style="list-style-type: none"> <li>Filers must have an EIN to issue Form 1042-S.</li> <li>Filers with an "Applied For" status can issue forms but cannot generate an electronic file or 1042-T Transmittal until their EIN is entered.</li> <li>The Filer EIN prints on all copies of Recipient records; it cannot be masked.</li> </ul>	11
Type of EIN	<ul style="list-style-type: none"> <li>Standard EIN (default)</li> <li>QI, WP, or WT-EIN</li> <li>NQI-EIN<sup>229</sup></li> </ul>	
Location Code	<ul style="list-style-type: none"> <li>Use the Location Code to create multiple Filers sharing one TIN — allows different return addresses for different form types. Also used by batch processors grouping by month.</li> <li>Location Codes are alpha-numeric and appear in Filer specific reports; they do not print on any tax forms.</li> <li>Per the IRS, this code must also appear on backup withholding notices.</li> </ul>	14
Global Intermediary Identification Number	<p>Global Intermediary Identification Number (GIIN)—The GIIN is a 19-character identification number in the XXXXXX.XXXXX.XX.XXX format. Use the &lt;F2&gt; key or right-click your mouse in this field to view the Foreign Financial Institution (FFI) List of GIINs. See GIIN composition<sup>216</sup></p>	19
<b>Payer Code</b>	<p>Use the Payer Code (PCode) to setup multiple Filers with the same TIN. For example, use PCodes of "Sales", "Tech", "Exec" to differentiate subsets of Recipient records for a Filer.</p> <ul style="list-style-type: none"> <li>PCodes must be unique, if an already in use PCode is entered, the software prompts to create a new one.</li> <li>PCodes are alpha-numeric and visible in the software only.</li> </ul>	15

Field	Description	Max Characters
	<ul style="list-style-type: none"> <li>Typically, security and the return address settings are unique for each PCode.</li> <li>See Duplicate Filers  209</li> </ul>	
Default Status Codes	Enter Chapter 3 and Chapter 4 status codes. Users can place their cursor in the field and right-click their mouse to view a list of all eligible codes.	2
<b>W/H Agent Name</b>	Prints on all tax forms.	40
W/H Agent Name 2	Prints on all tax forms.	40
Country	Defaults to USA. Select Canada or Other to reformat the address fields.	25
Address Line 1	Prints on all tax forms.	40
Address Line 2	Prints on all tax forms.	40
City	Prints on all tax forms.	40
State / Province / Locale	Prints on all tax forms.	23
ZIP / Postal	Prints on all tax forms.	15
<b>Contact Information</b>	<p>Use the "Add" button to add a Contact Person, Department and Phone Number. Adding multiple contacts allows users to change the contact information on different records (change contacts at the Adding a Form Record screen via the "Dept" button). <b>At least one contact is required.</b></p> <ul style="list-style-type: none"> <li><b>Dept. Code:</b> For example, "HR".</li> <li><b>Full Dept. Name:</b> For example, "Human Resources"</li> <li><b>Contact Name:</b> The individual to contact with questions regarding the issued forms. <u>The contact name prints on the IRS/SSA paper transmittal only; it does NOT print on Recipient copies.</u></li> <li><b>Phone:</b> The phone number to call for questions regarding the issued forms. <u>The phone number prints on all copies and IRS/SSA paper transmittals.</u></li> </ul>	40
Fax	A fax number is optional.	
Email	An email address is optional.	
Notes / Has Notes	Enter notes specific to a Filer/Pcode for reference purposes. Indicates if notes are present for this Filer.	

### Tax Form and Visual Options Tab (Corporate Suite Only)

Field	Description	Max Characters
1099/1042-S Options Tab	<ul style="list-style-type: none"> <li>• <b>Combined Federal/State Filing Program (CF/SF)</b>—By default, all Filers are included in the Combined Federal State/Filing Program<sup>147</sup>. Transmitters must have IRS approval prior to the the electronic submission of Forms 1099-B, DIV, G, INT, K, MISC, OID, PATR, R and 5498 for this program. If filing via the Service Bureau, IRS approval is not required as the Service Bureau is a CF/SF approved vendor.</li> <li>• <b>1099-INT Specific Info</b>—Routing Transit Numbers are used by banks and other financial institutions. If entered, this information appears only on Form 1099-INT.</li> <li>• <b>W-2G/1042-S Specific Options</b>—Default/set State Withholding (W/H) Box to "XX". Check to always use this default state.</li> <li>• <b>1042-S Specific Information</b>—Filer/WHA GIIN<sup>216</sup> (right-click mouse in this field to select a GIIN) and Foreign TIN (if any), Default Ch.3 and Ch. 4 Status Codes. Check if Filer is Nominee (TY 2006 only).</li> <li>• <b>Miscellaneous Default Info for Filer</b>—Fax and Email are both optional and do not print on any tax forms.</li> </ul>	<i>varies</i>
W-2 Options Tab	<ul style="list-style-type: none"> <li>• <b>Payer Types Allowed</b>—Forms can only be created for the payer types selected; at least one payer type must be selected to create any Form W-2. A payer type cannot be unselected once W-2s have been created for that type. Options include: 941 (Regular), Military, 943 (Agriculture), 944 (Annual), CT-1 (Railroad), Household Employer and Medicare Government Emp.</li> <li>• <b>Establishment Number</b>—This optional 4-character ID is used to distinguish between multiple filing entities with the same EIN (multiple divisions of one company, for example) when filing W-2 forms on paper or electronically.</li> <li>• <b>Sick Pay Provider Classification Option</b>—Select if Filer is a 3rd Party Sick Pay provider.</li> <li>• <b>Kind of Employer (for W-3 Forms)</b>—Options include None Apply, 501c Non-Govt, State/Local Non-501c, State/Local 501c and Federal Govt.</li> </ul>	
1099-K Options Tab	<p><b>Filer Classification:</b></p> <ul style="list-style-type: none"> <li>• Not applicable (does not file 1099-K forms)</li> <li>• PSE - Payment Settlement Entity</li> <li>• EPF - Electronic Payment Facilitator</li> <li>• TPP - Third Party Payer</li> </ul> <p><b>Additional Payment Settlement Entity (PSE) Info.</b> This field is available only if EPF or TPP is the designated Filer classification.</p>	

Field	Description	Max Characters
	<ul style="list-style-type: none"> <li>• PSE Name</li> <li>• PSE Phone</li> </ul>	
Visual/Print Options Tab	<b>Recipient TIN Masking</b> —By default this feature is enabled for all Filers. Recipient TIN Masking means that on Recipient copies all but the last four digits of a Recipient's TIN are masked, e.g., XXX-XX-1234. Filer's cannot mask their own TINs. See TIN Masking	

### State I.D. Number Tab

Field	Description	Max Characters
State	Select the appropriate State Abbreviation via the "Add" button.	2
State Name	The State name auto-fills after selecting the State Abbreviation.	
State ID Number	State ID Numbers are assigned by the individual state. For example, in California the Employer Development Department (EDD) assigns a state ID number. Users should check with their accountant or attorney to determine if their company has a state ID number. <u>Not all Filers have a State ID Number.</u> Multiple State ID numbers are allowed. See State ID Number <sup>176</sup> .	15

### Corporate Suite Only

W/H %	Withholding Percentage	
Unemployment ID	SUTA ID and Experience Rating for this Filer (W-2 Only)	
SUTA Percentage	State Unemployment Tax Act (SUTA) percentage sets a limit to the taxable wage base and varies by state (W-2 Only)	
Wage Plan Code	Wage plan codes are used by the Employment Development Department (EDD) (W-2 Only)	

### Prior Address Tab

Field	Description	Max Characters
Address	This tab displays only if a Filer's address has been modified. Prior Filer address information is preserved here for reference purposes and cannot be changed or deleted.	n/a

### GIIN Composition

GIIN is a Global Intermediary Identification Number assigned to a PFFI or Registered Deemed Compliant FFI. A separate GIIN will be issued to the FI to identify each jurisdiction, including the FI's jurisdiction of residence, in which the FI maintains a branch that is not treated as a Limited Branch. It is anticipated that the IRS FFI list will be updated on a monthly basis to add or remove FIs (or their

branches). The GIIN may be used by an FI to identify itself to withholding agents and tax administrations for FATCA reporting. A GIIN will be issued to only those FIs that are not Limited FFIs, Limited Branches, or U.S. branches of an FFI, and will be issued after an FI’s FATCA Registration is submitted and approved. See **Select a GIIN** <sup>218</sup>

The GIIN is a 19-character identification number that is a composite of several other identifiers. These identifiers include the following:

Each registering FI will be given a FATCA ID that will be used for purposes of establishing and accessing the FI’s online FATCA account. For all FIs other than Member FIs, the FATCA ID is a randomly generated six character alphanumeric string. These 6 characters are upper case letters excluding the letter O, or numbers, or a combination of both. For Member FIs, the FATCA ID will be comprised of 12 characters: the first 6 characters will be the Lead FI’s FATCA ID, followed by a period, and the last 5 characters will be alphanumeric and assigned sequentially to each Member. The FATCA ID is not the same as the GIIN.

The Financial Institution Type can be Single, Lead of an Expanded Affiliated Group, Member (not Lead) of an Expanded Affiliated Group, or Sponsoring Entity. The Financial Institution type is provided by the Financial Institution when creating its FATCA account.

The Category Code is a two-character abbreviation identifying either the Financial Institution Type as previously described or a branch of the Financial Institution.

The Country Identifier will be the ISO 3166-1 numeric standard country code for the Financial Institution’s country of residence for tax purposes that the Financial Institution identified in question 3 on the registration form, or, if the GIIN is for a branch, the branch country identified in question 9A on the registration form.

**Global Intermediary Identification Number (GIIN) Composition Format:  
 XXXXXX.XXXXXX.XX.XXX**

Character Representation	Characters	Position	Description / Rules
XXXXXX FATCA ID (first six characters)	6	1-6	Alphanumeric upper case only. For all Financial Institutions, this is the same as the first 6 characters of the FATCA ID. For leads and singles, this is your FATCA ID, for members; this is just the first six characters. <i>Note: The first six characters of any Financial Institution’s FATCA ID are randomly generated and will never use the letter “O”.</i>
Separator 1	1	7	Period = .
XXXXXX Financial Institution Type	5	8-12	Alphanumeric upper case only. Lead = 00000 Sponsoring Entity = 00000 Single = 99999

Character Representation	Characters	Position	Description / Rules
			Member = Same as the last 5 characters of the Member's FATCA ID (sequential, starting from 00001 and going to 99998, then A0000 – ZZZZZ; will never use the letter "O")
Separator 2	1	13	Period = .
XX Category Code	2	14-15	Alpha upper case only. Based on Financial Institution or Branch category LE = Lead SL = Single ME = Member BR = Branch (the first thirteen characters of a branch's GIIN will match the first thirteen characters of the GIIN of the Financial Institution with which the branch is associated) SP = Sponsoring Entity
Separator 3	1	16	Period = .
XXX Country Identifier	3	17-19	Numeric ISO 3166-1 numeric standard country code of the Financial Institution or branch <i>Note: Use 999 for country code "Other".</i>

## Select GIIN

The Global Intermediary Identification Number or GIIN is a 19-character identification number formatted as XXXXXX.XXXXX.XX.XXX. Learn more about GIIN Composition [\[216\]](#).

## Browse GIIN File

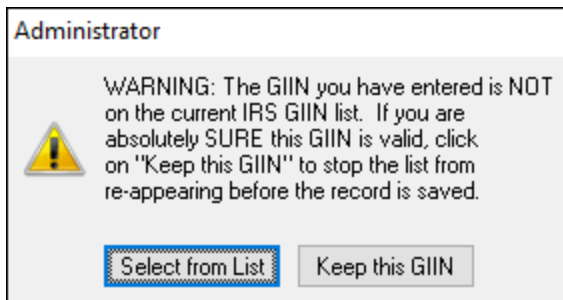
Access the Select the GIIN screen at any GIIN data entry field. Use the <F2> key or right-click the mouse to access a current IRS GIIN database.

## Update GIINs

1042-S Pro's GIIN database is updated regularly with IRS approved data per software updates. Users are strongly recommended to run all updates.

## Manually Add GIIN

Users can manually add a GIIN at any GIIN data entry field but must follow the exact GIIN Composition [\[216\]](#) rules. The Administrator responds with a Warning and the User must decide to keep the GIIN or make a different GIIN selection from the IRS approved list.



### Import GIINs

Users can include GIINs in their import files but must follow the exact GIIN Composition<sup>[216]</sup> rules. The 1042-S Pro sample import file includes both "Box 15e I/FTE GIIN" and "Box 16c Payer's GIIN" fields to automap this data. Also included is the "1042-S GIIN" field in the Filer Import Map. Imported GIINs that do NOT validate against the IRS GIIN approved list will trigger an Error in the software; Users can decide to continue and ignore the error or cancel the import.

### FATCA Identification Number

1099 Pro, Inc. does not provide legal or accounting advice. Please check with your legal or accounting resources and/or the appropriate government entities. See Filer Record Details<sup>[211]</sup>

### F1. How do I submit the FATCA XML Schema if I am a U.S. Withholding Agent (USWA), Territory Financial Institution (TFI), third party preparer, or other entity that is not required to have a GIIN?

*Certain entities, such as USWAs, TFIs, or other third party preparers (not sponsoring entities) submitting information on behalf of another entity, are not required to register or to obtain a GIIN and, therefore, should not do so. USWAs, TFIs, and other entities that are not required to have a GIIN ("non-GIIN filers") must follow the procedure, below, in order to obtain a FATCA ID number (FIN) that they will use in lieu of a GIIN to enroll in and use IDES (including submitting an Intergovernmental FATCA XML schema v1.1 (electronic Form 8966).*

*The FIN, along with the associated identifying information that you provide, will be treated as return information by the IRS. This FIN and the associated information provided will be used by the IRS to validate the non-GIIN filer's IDES enrollment and submission of files via IDES and for other FATCA purposes. The FIN, but not the associated information (such as your name), will be published on the Foreign Financial Institution (FFI) List to facilitate the IDES enrollment and your submission of files via IDES. For more information about the FFI List, see IRS FFI List FAQs.*

*Your published FIN will be accompanied by a generic name (e.g., "U.S. Withholding Agent 1") on the FFI List, and publication of your FIN on the FFI List does not change your status for FATCA purposes. That is, having your FIN published on the FFI List does not make you an FFI, and the FIN does not serve any function related to withholding tax on payments under FATCA. Note: In order to request a FIN, you must consent to the IRS's publication of the FIN on the FFI List because the FIN is return information. Visit the IDES Resources page for more information.*

### F3. How do I complete the FATCA XML Schema if I am a third party preparer or other entity that is not required to have a GIIN?

*If you are a third party preparer (not a sponsoring entity) or commercial software vendor and you are submitting the FATCA XML Schema on behalf of another entity (or on behalf of several other entities), enter your FIN, which you obtained to enroll and use IDES, in (1) "SendingCompanyIN" data element in the FATCA XML Schema Message Header and (2) "FATCAEntitySenderID" data element in the FATCA XML Metadata Schema. Note: For additional information, please read FAQ Q2 under the "Reporting" section on the General FAQ page.*

### IRS References:

- FATCA IDES Technical FAQs: <https://www.irs.gov/businesses/corporations/fatca-ides-technical-faqs>
- FATCA Identification Number (FIN) Enrollment Process: <https://www.irs.gov/businesses/corporations/finenrollment-process>

## Recipients

### Browse Recipients

"Recipient" refers to the individual or entity receiving a form issued by a Filer. The terms Recipient and Employee are sometimes used interchangeably, depending on the type of tax form being issued.

Use the Employee/Recipient Master List screen to add, change, delete and view Recipients. To access Recipients at any data entry form, place your cursor in the Recipient ID Number field and use the <F2> key or right-click your mouse.

### Employees/Recipients Overview

Access the Employee/Recipient Master List screen via the menu bar > Employees List. This screen displays ALL Recipients OR sort them by default options or create a custom query.

- Unlimited Employees/Recipients are allowed; however, a maximum of 5,000 transactions (or records) are allowed in a standard software installation. Additional transactions can be purchased via Bump Codes <sup>6</sup>.
- All 1099 Pro software products allow US, Canadian and foreign Recipients.
- Recipient Record Details <sup>222</sup> provides a thorough explanation on each Recipient specific field.
- Multiple Recipients—One TIN <sup>221</sup>, although rare, are allowed.
- Select a Recipient <sup>227</sup> record at any tax form.
- Deleted Recipient tax forms <sup>249</sup> can be made visible at the Work With My Tax Forms screens.

### Viewing Options

Current Sort/View Order	Sort Employees/Recipients by Name or TIN.
Current Query/Filter	By default all Employees/Recipients are displayed. Users can display a subset of Recipients via the "Current Query" drop menu and select a prebuilt query, e.g., "TIN is an SSN", "TIN is an EIN" or create their own custom query, e.g. "Address Type Code = Other Foreign", etc.



## Onscreen Buttons

Button	Function
"Add"	Use to manually add individual Employees/Recipients—most users prefer to import records. Unlimited Recipients are allowed, however a maximum of 5,000 transactions (or records) are included in a standard software installation. See Add a Recipient <sup>[225]</sup>
"Change"	Use to change or edit a Recipient. Cascading updates are applied to all existing records for that Recipient with a "Pending" status; records with any other status are locked and will not reflect Recipient updates. See Change a Recipient <sup>[226]</sup> and Cascading Updates
"Delete"	Use to delete any Recipient with no associated records; if any records are associated with the Recipient (including deleted or voided records) the Recipient is locked and cannot be deleted. Corporate Suite Users only can "un-delete" a previously deleted record. See Delete a Recipient <sup>[226]</sup>
"Run Recipient Report"	The Recipient Listing includes the Name, TIN, and Address of all Recipients in the database. For more detailed Recipient information, including Account Numbers and status of any forms, run the Control Totals report. See Recipient List Report <sup>[289]</sup>
"Run Forms Issued Report"	The Forms Issued for Recipient report details all forms issued to each Recipient including the Form Type, Form Status, Filer TIN, Account Number and Date Created.
"Delete All With No Forms"	All Recipients without any associated forms are permanently deleted. Recipients cannot be deleted if they are associated with any DELETED or VOID records.
"Issue W-9/B Notice"	This button initiates the wizard to generate a W-9 for the selected Recipient. This allows the user to issue forms <i>individually</i> without creating a batch. See W-9 Wizard <sup>[200]</sup> This feature is not available in 1042-S Pro and 8966 Pro.
"Lookup"	Use the Recipient Lookup feature to run a program wide search for a Recipient and view a list of associated form types with detailed information including form(s) status / error status, Filer TIN, Payer Code and Filer Name. This is a quick and powerful tool for locating a single Recipient for those users with a large volume of records and multiple Filers. See Recipient Lookup Utility <sup>[227]</sup> This utility is not available in 1042-S Pro, W-2 Pro and 8966 Pro.

### W-9 New Request for Recipient Indicator

Column shows if there have been requests for a Recipient. See W-9 Main Screen<sup>[200]</sup>

### Multiple Recipients—One TIN

Although rare, a Filer may need to issue multiple forms to the same Recipient or issue forms to two individuals sharing one SSN or EIN. For example, "Jane Doe DBA Jane's Courier Service" and "Jane Doe" both use an SSN of 123-45-6789. However, Jane Doe DBA and Jane Doe have different addresses.

## Enter Multiple Recipients—One TIN

1. Enter Jane Doe as normal at any Adding a New Record screen. This is the "master" Recipient record for Jane Doe. Click "Save" to save Jane Doe's record.
2. At the next Adding a New Record screen, enter the shared TIN in the Recipient TIN field. Jane Doe's name and address auto-populate the screen.
3. Use <SHIFT> + <TAB> to move backwards through the fields and overwrite the name and/or address fields with Jane Doe DBA's information. Click "Save" to save changes.
4. The Administrator indicates a possible Recipient information mismatch. Click "No" to **not** update Jane Doe DBA with the "master" record. Also deselect the "Update All Other Pending Forms" box.

*Note: At the Recipient Master List screen only the "master" record, Jane Doe, is listed. However, the Recipient record lists the DBA under the Accounts/Name 2 tab.*

## Recipient Record Details


Visit the 1099 Pro WIKI to download software specific Recipient Import Maps (Corporate Suite Only) and review additional import field specifications. Please see IRS Pub. 1586, Chapter 9, IRS Matching Process and Name Controls (online) for guidance on creating Recipient records for Individuals, Sole Proprietors, Corporations, etc.

Access the Recipient Record Details on the menu bar > File > Recipients List > highlight a Recipient and select the "Add<sup>225</sup>" or "Change<sup>226</sup>" buttons.

Fields in **RED** are required.

### Name/Address Tab

Field	Description	Max. Characters
Taxpayer ID (SSN/EIN)	The placement of the hyphen (dash) in the TIN field is critical. The entry of an SSN or EIN determines the formatting of the Name and Company fields. For 1099 Informational Returns if the TIN is unknown or applied for, leave this field blank. For W-2s if the TIN is unknown, enter "Applied For". For 1042-S if the TIN is unknown, leave this field blank. <i>Note: To change the TIN type (i.e., EIN to SSN or SSN to EIN) first highlight the entire "bad" TIN number and then delete it via your keyboard &lt;DELETE&gt; key. Then enter the new TIN with appropriately placed hyphens (dashes).</i>	11
First Name (optional)	If TIN is an SSN, enter the Recipient's First Name. Do not enter both the Recipient's First and Last Names in this field.	40
<b>Company or Last Name</b>	<ul style="list-style-type: none"> <li>• If TIN is an EIN, enter the Company Name.</li> <li>• If TIN is an SSN, enter the Recipient's Last Name. <u>It is acceptable to enter both the Recipient's First and Last Names in this field.</u></li> </ul> <i>Note: The formatting of this field is determined by the TIN type (SSN vs EIN) entered in the Taxpayer ID field.</i>	40

Field	Description	Max. Characters
Name Line 2 (optional)	If TIN is an SSN and Recipient is a Sole Proprietor, enter their DBA in this field.	40
Name Line 3	<i>Corporate Suite only field.</i>	40
Name Line 4	<i>Corporate Suite only field.</i>	40
USA Residency Status	<i>Corporate Suite only field.</i> Includes US citizen, Resident Alien, Non-Resident Alien or Other	
Address Type	Defaults to USA. Select Canada or Other to reformat the address fields.	1
Street Address	Prints on all tax forms.	40
Apt./Ste. Address	Prints on all tax forms. <i>Per USPS regulations, the Apt./Ste. Address field prints ABOVE the Street Address field.</i>	40
City	Prints on all tax forms.	40
State / Province / Locale	Prints on all tax forms.	23
ZIP / Postal	Prints on all tax forms.	15
Country	Country, if Address Type = O (Other)	25
Verification Required	Check this box if the Recipient's TIN, Name or Address needs to be verified.	1
Notes / Has Notes 	Enter notes specific to a Recipient for reference purposes. Indicates if notes are present for this Recipient.	512

### Pending\* Tab

Field	Description	Max. Characters
Outstanding Information Request (IR)	Lists the type of IR and date issued.	--
Original Information Printed on W-9	Displays the original information provided on issued IR and the assigned, unique barcode (CS Only). Use the Printer icon to reprint a copy of the originally issued Information Request.	--
Current (Corrected) Information	Enter the corrected Name and TIN information.	--
Update Status	Update the status of the IR. Once an Information Request is closed it is no longer available for edits.	--

\*Pending Tab displays only if there is an Open/Pending Information Request for this Recipient.

### Contact/Info Tab

Field	Description	Max. Characters
Email Address	This optional field is useful for emailing encrypted tax forms to Recipients upon request	11
Phone Number 1	Optional.	--
Phone Number 2	Optional.	--
Extra Information	These fields are optional and are for software specific, internal use only.	40

### Issued Tab

Field	Description	Max. Characters
Form Type / Account Number	The issued form type and associated Recipient account number.	n/a
Form Status / Error Status	The issued record's status at the Work With My Tax Forms screen and any Errors.	n/a
Filer TIN / Filer Name	The issuing Filer and Filer's TIN.	n/a

### W-9/B Notices Tab

Field	Description	Max. Characters
Requestor (Filer)	The Filer issuing the Informational Request	n/a
Request Type	The type of request, W-9, B Notice, etc.	n/a

### Accounts Tab

Field	Description	Max. Characters
Account Numbers	Multiple account numbers can be associated with a Recipient.	20

### Browse Attachments

Corporate Suite users can attach documents for safekeeping and ease of access. Documents, in most any file format, can be attached to either an individual Recipient record or a specific tax form.

#### Attach Recipient Document

Attachments to a Recipient record are displayed at any associated tax forms via the "Note/Doc" button.

1. At the Adding/Changing a Recipient screen, click the "Attachments" button.

2. At the Attachments for Recipient Record SSN/EIN screen click the "Add" button.
3. At the Record Will Be Added screen browse for the file to attach. Make a comment in the Note field. Multiple files can be attached. Use the "View Selected Document" button to view the attached file.
4. Click "Close" to exit the screen.

### **Attach Tax Form Document**

Attachments to a tax form are displayed at any associated tax forms via the "Note/Doc" button and may be displayed in the associated Recipient record.

1. At any Adding/Changing a Form screen, click the "Note/Doc" button and select "Attachments".
2. At the Attachments for Tax Form Record screen click the "Add" button.
3. The Administrator prompts, "What level should the new Attachment be connected to?"
  - Select the tax form to ONLY display the attached file in connection with the tax form, OR
  - Select the Recipient to display the attached file BOTH in connection with the tax form and in the Recipient record.
4. At the Record Will Be Added screen browse for the file to attach. Make a comment in the Note field. Multiple files can be attached. Use the "View Selected Document" button to view the attached file.
5. Click "Close" to exit the screen.

### **View Attachments**

Use the "View Selected Document" button to view any attached file. Depending on the file type, the User may need to pick an application to open the file. Once the file is opened it can be saved to the User's drive.

### **Add Recipients**

All 1099 Pro software products allow unlimited Recipients. In a standard software installation up to 5,000 Recipient transactions (tax records) are allowed; bump codes<sup>6</sup> can be purchased at any time.

*Note: All 1099 Pro software products allow users to manually add individual Recipient records. Most users prefer to import data—including tax form and Recipient information—thereby greatly reducing the need to manually add Recipients. Corporate Suite allows user to import Recipient-only data.*

### **Manually Add Recipients**

1. On the menu bar select File > Recipients List.
2. At the Employee/Recipient Master list screen click "Add".
3. At the Adding a Recipient Record screen complete all fields. Use the <F1> key at any time to access field specific<sup>222</sup> information.
4. After completing all fields click "OK" to save the Recipient.
  - Access the Recipient Master List at the Adding a Tax Form screen by placing your cursor in the "Recipient Identification Number""Employee's SSN""Recipient's US TIN" field and right-clicking your mouse OR using the <F2> key.

Example of Recipient list available for selection when adding a record.

## Import Recipients

Corporate Suite allows you to import Recipient-only data. See Manage Maps<sup>85</sup> for guidance on creating a Recipient-only import map.

## Change a Recipient

Changes to a Recipient only flow-through to associated tax forms with a Pending status.

## Change a Recipient

1. On the menu bar select File > Recipients List.
2. At the Recipient Master list screen highlight the Recipient and click "Change".
3. At the Changing a Recipient Record screen make changes and click "OK".
4. The Administrator prompts to update all pending records with the new Recipient information. Records with a Printed, Filed or SB Filed status are not updated.

## Delete a Recipient

A Recipient cannot be deleted if they are associated with ANY records including DELETED or VOIDED tax forms. Users are strongly encouraged to backup data<sup>18</sup> prior to deleting Recipients.

## Delete INDIVIDUAL Recipients

1. On the menu bar select File > Recipient List.
2. At the Recipient Master list screen highlight the Recipient and click "Delete".
3. At the Confirm Delete screen click "Yes" to delete the Recipient or "No" to cancel.

## Delete Recipients With No Forms

1. On the menu bar select File > Recipient List.
2. At the Recipient Master list screen click "Delete All With No Forms".
3. The Administrator warns this action cannot be reversed. Click "Yes" to continue with deletion or "No" to cancel and exit this screen.

## Select Recipients

All Recipient records are stored in a master database which is accessible at any tax form.

### Access Recipients

1. To access Recipient information at any data entry screen place your cursor in the Recipient TIN field and select the <F2> key or right-click your mouse.
2. The Select a Recipient screen displays ALL Recipients for ALL Filers in the software database.
3. At the Select a Recipient screen, highlight a Recipient and click "Select" or double-click the Recipient. All Recipient associated information (i.e., TIN, Name and Address) automatically populates the form.

Select a Recipient to Use

View by TIN (SSN/EIN) View by Last Name

Search/Filter:   Search anywhere in Last/Company Name

TIN	Company/Last Name	First Name & MI	Name 2	Address	Address 2
123-22-1030	BAKER	ROBERT J		44 NAUTILUS DR	
555-33-1234	Banana	Karen	DBA Ace Com	2535 N Central	
333-33-1031	BARAL	JEROME		123 E. BRIGHT RD #61	
444-44-1041	BARNES	GREGORY & CARLEN		123 W. 500 N.	BOX 828
123-22-1031	BASILE	ANTHONY		115-86 238TH ST	
123-22-1031	BASILE	ANTHONY		115-86 238TH ST	

Show All (remove filter) Select Cancel Help

Select a Recipient screen with Last Name filter in place.

### Filter Recipients

1. Place your cursor in the Search/Filter box.
2. Select the View by TIN (SSN/EIN) or View by Last Name tab.
3. Enter your search criteria and click <TAB> on your keyboard. For example, enter "BA" and <TAB> to display only recipients with a Company or Last Name starting with those letters.
4. To remove the filter click the "Show All (remove filter)" button.

### Recipient Lookups

Use the Recipient Lookup and Forms Issued utility to run a program-wide search for a Recipient and view a list of associated form types with detailed information including form(s) status / error status, Recipient Account Number(s), Filer TIN, Payer Code and Filer Name. This is a quick and powerful tool to locate a Recipient for those Users with a high volume of Filers and records in their database.

For a more refined search, use the Custom Query Wizard at the Recipient Master List screen to search by state, dollar amounts, dates, etc.

### Run Recipient Lookup\*

1. On the menu bar select File > Recipient Lookup OR at the Recipient Master List<sup>220</sup> screen click the "Recipient Lookup" button.
  - Determine your search criteria; by TIN, Last Name/Company or Account Number. Enter the first few characters and then click on the corresponding "by TIN", "by Account" or "by Name" button.

- All tax forms associated with the Recipient are displayed, including their status and the associated Filer. If more than one Recipient matches the search criteria, the Select a Recipient screen displays.
2. From this screen forms can be viewed, changed or corrected as available per their status and printed via the Quick-Print<sup>48</sup> button.

*\* The Recipient Lookup feature is not available in 1042-S Pro or 8966 Pro.*

## Transmitters

### Transmitter/Submitter Information

Transmitter and Submitter requirements are specific to the type of form being electronically filed. See Create Transmitter/Submitter<sup>229</sup>

### 1099 Informational Returns / Forms 1042-S

A Transmitter Control Code number or (TCC) is required when filing electronically. A TCC for FIRE is composed of five alpha-numeric characters starting with "22". If filing electronically via the Service Bureau, a TCC is not required and this information does not need to be entered.

#### Request a TCC for IRS FIRE System

To obtain a TCC file Form 4419 to request authorization to file forms electronically. Form 4419 must be filed no later than 45 days before the due date of the information returns. Print Form 4419 via the task panel > Help & Extras > IRS Pubs & Links. For more information on TCC's, contact the IRS's Technical Services Operation (TSO) Customer Service Section toll-free at (866)- 455-7438. [A single TCC can be used to file on behalf of multiple Filers.](#)

### Affordable Care Act / Forms 1094-B/1095-B & 1094-C/1095-C

The TCC for AIR is unique to filing ACA returns. The TCC issued for filing 1099 Informational Returns is not suitable for the AIR Site. A TCC for AIR is composed of five alpha-numeric characters starting with "BB". See TCC for AIR for important information on registering to use IRS e-Services, applying for a Transmitter Control Code (TCC) and submitting Test Files.

### Forms W-2 / W-2c

Submitter information is required when filing W-2s electronically and consists of a unique Submitter EIN and PIN. If filing electronically via the Service Bureau, this information is not required and this screen need not be completed.

- The term "Submitter" is sometimes used interchangeably with the term "Transmitter".
- A registered Submitter may file on behalf of multiple employers/payers/filers.

#### Request Submitter Information

To obtain a Submitter EIN and PIN, register with the SSA Business Services Online (BSO). Every BSO user must register personally; users may not register on behalf of another person. To register, go to [www.socialsecurity.gov/bsowelcome.htm](http://www.socialsecurity.gov/bsowelcome.htm) and click on the Register button.



## Browse Transmitter/Submitter

Transmitter and Submitter information is required when generating electronic files and is specific to the form type; see Transmitter/Submitter Information <sup>228</sup>. ***Transmitter/Submitter information is not needed if filing via the Service Bureau.***

### 1099 Informational Returns / Forms 1042-S

#### Create a Transmitter

1. On the menu bar select File > Transmitter Information.
2. At the Update eFile Transmitter Information screen:
  - o Enter the IRS assigned TCC. A TCC is composed of five alpha-numeric characters. The first two numbers are always "22". Alpha characters must be upper case.
  - o Enter the IRS assigned TIN (dashes MUST be inserted!).
  - o Enter the name of the company (or individual) owning the TCC.
  - o Enter a contact name and phone number.
  - o Enter the TCC owner's address.
3. Click "Save" or "Cancel" to exit the screen.

The transmitter information, including Transmitter Contact Name, is incorporated into the electronic file. The TCC displays on the "Computer Generated Substitute Form 4804/Form 4802" report which prints automatically after creating an Electronic File. If after creating electronic files it is discovered that the TCC was incorrectly entered, the Electronic File session must be voided. Changes made at the Update Electronic File Transmitter Information screen do NOT flow through to previously created electronic files.

### Forms W-2 / W-2c

#### Create a Submitter

1. On the menu bar select File > Submitter Information
2. At the Update Electronic Filing Submitter screen:
  - o Enter the Submitter EIN
  - o Enter the SSA assigned PIN (per the SSA, the PIN may not exceed 8 characters)
  - o Enter Submitter Name and Address
  - o Enter Company Name and Address
  - o Enter Contact Information
  - o Enter Preferred Method of Problem Notification
  - o Enter Preparer Code
3. Click "Save" or "Cancel" to exit the screen.

The Submitter information, including Submitter Contact Name, is incorporated into the electronic file. If after creating electronic files you discover that your Submitter information was entered incorrectly, the Electronic File session must be voided. Changes made at the Update Electronic Filing Submitter screen will NOT flow through to already created electronic files.

### NQI & I/FTE Lookup

Corporate Suite, 1042-S Pro and 8966 Pro software make it easy to add, change and delete NQI and flow-through entities associated with Form 1042-S. Review IRS information on Flow-Through Entities and Payments to Nonqualified Intermediaries (NQIs).

## Browse Filer NQI File Screen


1. On the Corporate Suite menu bar select File > 1042-S NQI Lookup List, OR
2. On the 1042-S Pro menu bar select File > Intermediary/Flow-Through Entity Lookup List, OR
3. On the 8966 Pro menu bar select File > Intermediary/Flow-Through Entity Lookup List.
4. This screen allows user to add, change and delete NQI and I/FT entities.

### The Browse Filer NQI File screen is accessible directly from:

The Adding a Form 1042-S Record screen via the <F2> key (or right-click the mouse) in Box 15a or Boxes 15d - 15g. Accessed this way, users can also Select and Clone entities.

See Update Filer NQI 

## Update Filer NQI

See Browse Filer NQI List  for information on Nonqualified Intermediaries (NQIs) and Flow-Through (FT) Entities.

## Update Filer NQI

At the Adding or Changing a NQI record screen complete fields. If the TIN is unknown leave the field blank.

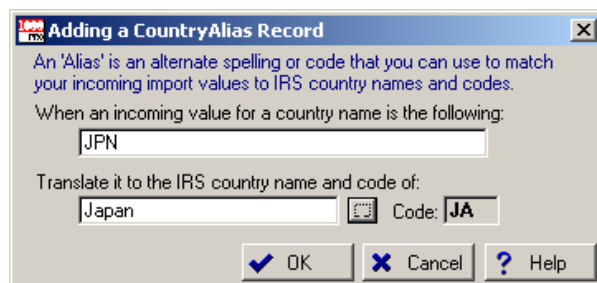
## Country Alias

All 1099 Pro software products support custom country name and validation options during the import process. This is useful in situations where the code used for a particular country does not match the one used by the IRS. For example, if using "JPN" to denote Japan, an error would occur as the IRS country code for Japan is "JP". To correct this error, the software allows users to create an alias for any country in the IRS database.

## Create Country Alias


These instructions make use of the above Japan, invalid "JPN" code, example.

1. On the initial import attempt, 1099 Pro generates an "Invalid Country" warning at the Edit, Post or Abandon Import Records screen.
2. Double-click on the record to determine that the country code—in this example, "JPN"—is invalid.
3. Click the "Update Country Alias File" button at the bottom center of the Edit, Post or Abandon Import Records screen. The Browse Country Alias/Translations screen lists any existing country alias. To create a new alias, click "Add".



4. At the Adding a Country Alias Record screen, in the top box enter the alias (or incoming value) and in the bottom box enter the name of the country OR click on the ellipses button for a complete list of IRS country names and codes. After entering both the alias and corresponding IRS country code, click "OK" to continue.
5. After configuring the alias, click the "Close" button on the Browse Country Alias/Translation window to return to the Import Wizard.
6. Click the "Reapply Alias/Validation" button and the Administrator prompts the user to apply the alias/translations. The alias can be applied to ALL records or only problem records.
7. Once the aliases/validations are applied, 1099 Pro software properly translates "JPN" to Japan or "JP" and the "Invalid Country" warning is removed.

## Update Country Alias

See Country Alias  for an overview.

## Add/Update Alias








1. At the Adding a Country Alias Record screen, in the top box enter the country alias (or incoming value). In the bottom box enter either:
  - The legal name of the country, OR
  - Use the ellipses button to select from a complete list of IRS country names and codes.
2. After entering both the alias and corresponding IRS country code, click "OK" to save changes and return to the Browse Country Alias/Translation screen.


## Security & Administration

Access the Corporate Suite Global Administrative Options screen via the menu bar > File > Security and Administration. Only Administrators and Users with permissions can modify these options.

## Security Options




Through the use of settings and rights, Administrators can restrict Users and thereby help protect sensitive company data. Use the "Security Groups" button to access the following items:

Item	Description
Add/Update Individual Users 	Administrators can use the Add/Update Individual Users screen to create users and assign them to specific tasks.
Access Groups  and User Profiles 	Create new Access Groups and User Profiles based on the user's custom settings. Your groups will be available when adding or changing a user and are included in all security reports  .
Passwords 	Passwords can help protect sensitive company data.
Security Access Logs 	The Security Access Log tracks every time Security or Audit Trails are enabled or disabled. If Security is enabled, the Security Access Log also tracks all logon attempts.
Security Reports 	1099 Pro offers numerous reports to track users and access groups. These security reports are available only to administrators or users with administrative rights.

Item	Description
Turn Security On/Off 	1099 Pro offers two levels of security; on and off. If security is enabled, access to 1099 Pro is limited to users with valid User ID/Password combinations. These users are restricted to specific tasks assigned by the Administrator. This provides a twofold method of protecting sensitive company data.


### Tax Form Audit Trail and Action Logging Options

Audit trails allow Administrators, or Users with administrative access, to track changes and actions taken on tax forms. Use the "Audit Trails & Logging" button to access the following items:

Item	Description
View Audit Trail Records	Use this button to access the Master Audit Trail Browser  and view both manual and cascading updates to all tax forms. Use the Record History  screen to view audit trails for individual tax forms.
Purge Excess Log Records 	The Audit Trail Record Log is invaluable for tracking tax forms changes. If the log becomes so large that the performance of 1099 Pro is compromised, older records may be purged. For most users however, purging is not necessary and is generally not recommended as this valuable information is <u>permanently</u> deleted from the system.




### Aggregation/Roll-Up Options









The 1099 Pro Aggregation Feature was designed to allow Users to consolidate more than one tax form of the same type, for one Recipient, under a given Filer. Use the "Combining Tax Forms" button to access this feature.

Item	Description
Aggregation 	The 1099 Pro Aggregation Feature was designed to allow users to consolidate more than one tax form of the same type, for one Recipient under a given Filer.

### Business Rules and Options



Review and modify overall program, task specific and form specific options and settings. Use the "Rules & Options" button to access the following items.

Item	Description
Preferences/Options 	Configure many of the software general settings such as date range warning, update checking and backup reminders plus some tax form specific options, too.
ASP Module Update Preferences/Options 	Specific to 1099PRO.NET (ASP) users only, configure general settings.
Manage ASP Module PS/ACL Access 	Specific to 1099PRO.NET (ASP), control the Pressure Seal (PS) or Alternate Combined Layout (ACL) print options. See Manage PS/ACL Access Control for more information.

Item	Description
Browse System Process Locks  <sup>252</sup>	View/delete locks on interrupted processes.
Configure TINCheck Account  <sup>252</sup>	TINCheck is available in 1099 Pro Enterprise, Professional, 1042-S Pro and 1099Pro.NET only, It is not available in Corporate Suite software.
Tax Form Validation for Import and Entry  <sup>252</sup>	View/edit IRS/SSA general and tax form specific business rules. <b>Disable rules with caution—they are in place to reduce the likelihood of IRS/SSA data rejection.</b>
Tax Form Print Codes & Custom Messages  <sup>254</sup>	Add up to three custom print codes associated with specific tax forms for selected Filers.
Manage Data Entry Code Lists & Options  <sup>257</sup>	View built-in IRS/SSA codes and add/edit select Recipient codes.
W-2 State SUTA Limits and Settings  <sup>258</sup>	Review/edit SUTA percentages, wage limits and State and Unemployment ID numbers unique to each Filer.
W-2 Region Code & SUTA State Table  <sup>258</sup>	Review region codes linking Filers and/or Recipients with a specific SUTA state.
1099-MISC for Puerto Rico Print Options  <sup>259</sup>	1099Pro.NET users can select default Puerto Rico Form 1099-MISC envelopes.








## Reporting Thresholds and Options

Review and modify Federal and State reporting thresholds. Use the "Reporting Thresholds" button to access the following items.

Item	Description
Manage State CFS Limits and Settings  <sup>262</sup>	The State CFS Limits and Settings Manager allows users to manage reporting thresholds for state filings.
Manage Federal Limits and Settings  <sup>260</sup>	Federal Thresholds allows users to manage reporting thresholds for Federal filings.




## Optional Fields



Review and modify optional and custom fields and manage email settings. Use the "User Fields & Email" button to access the following items.

Item	Description
Optional 1099-MISC Amount Box	Select the box to allow the additional field on Form 1099-MISC Recipient copies. Enter a custom title for the box. This information is not reported to the IRS or state.
Manage 1099-MISC Oil & Gas Fields 	This feature allows for up to three custom MISC amount boxes and/or custom Oil & Gas fields on Form 1099-MISC.
Manage Custom Codes and Text 	Manage Custom Code fields to assign print messages when printing certain PS/ACL layouts for Recipient copies.
Manage Country Names and Codes 	View all IRS/SSA approved country codes.
Scheduler Configurations : Set Email Server and Account 	Manage the email address, Recipients, and messages sent by the Scheduler Utility 
Manage Email Recipient Lists 	Manage list of emailed individual post Scheduler jobs.
Manage Automated Email/Message s Texts 	View/add email templates for scheduled emails.


## Puerto Rico Control Numbers by TY—Corporate Suite Only

Review and modify Puerto Rico specific options and settings. Use the "Puerto Rico Options" button to access the following items.

Item	Description
Manage Control Numbers 	Use to manage Puerto Rico Control Numbers as assigned by the Hacienda. See Puerto Rico Overview 
Assign Original Control Numbers 	Assign Control Numbers to all PENDING forms without a Control Number.


Item	Description
Assign Amended Control Numbers 	Assign Control Numbers to all CORR/PENDING forms without a Control Number.
View/Print Control Number Report 	View a sequential listing of Hacienda issued Control Number ranges and quantity of Control Numbers still available (unused) per EIN.

## Security Groups


Administrators and select Users can access Corporate Suite Security settings via the menu bar > File > Security and Administration > "Security Groups" button. See Global Administrative Options 


## Security Overview

Step 1: Password Requirements 


Step 2: Access Groups 

Step 3: Manage Profiles 


Step 4: Add/Update Individual Users 


Step 5: Add Users to a Profile 

## Security—Step 1: Password Requirements


The Security Preferences/Password requirements area allows Administrators to configure details regarding User passwords including: password length, lockout settings, expiration and password format. Corporate Suite additionally allows Administrators to set the login type and optionally link Corporate Suite security with Windows Active Directory security. Learn about First Time Login Password 

## Set Password Requirements

- To configure password and login requirements click the "Set Password Requirements" / "Set Security Preferences" (Corporate Suite) button.
- At the Modify System Security Settings window, configure the following settings:
  - Login Type: (Corporate Suite Only)
    - Default:** Requires the User to enter the **User ID** and **Password** assigned during User creation (Step 4 
    - AutoFill:** Pre-fills the login dialogue with the Windows User Name. When creating Users, requires using the same login name they use for Windows for this to be useful.
    - Active Directory:** Removes login prompts instead using the Windows Domain/Username/Login that the User logs into their computer with. The User ID in our software must match the User ID they log into Windows with.
  - Minimum Password Length: Defines the minimum character length the password can be; range is from 5-15 characters
  - Lock a User ID after this many invalid login attempts: Sets the maximum number of times a User can fail to login before needing to have their account unlocked by an Administrator.


- d. Days before a password expires: Sets the length of time a User's password is valid before they must choose a new one.
  - e. Days to warn a user before their password expires: Defines when the software will start notifying the User that their password is going to expire.
  - f. Times before a password can be used again: Defines how many different passwords must be used before a User can use the same password again.
  - g. Ignore case when validating Passwords ['e' = 'E']: Determines whether or not case matters when a User is entering their password. (Corporate Suite Only)
  - h. Require at least One (1) Uppercase Character: Determines whether or not there must be at least one uppercase character in a User's password.
  - i. Require at least One (1) Lowercase Character: Determines whether or not there must be at least one lowercase character in a User's password.
  - j. Require at least One (1) Numeric Character: Determines whether or not there must be at least one numeric character in a User's password.
  - k. Require Special Characters in Password: Determines whether or not special characters (i.e., !, @, #, \$, %, ^, etc.) are required in a User's password. Admin must specify which special characters are allowed before enabling this option (see "!" below).
  - l. Special Characters (Up to 15): Define special characters which may be used during password creation.
3. Continue to Security—Step 2: Access Groups 

## Passwords

Passwords help protect sensitive data. Learn about Setting Password Requirements .

## First Time Login

If security is enabled via the Welcome Wizard, the Administrator must create a new password the first time they log into the software

1. In the User ID field enter **Administrator**; in the Password field enter **NEW** (must be all caps).
2. Click "OK".
3. The Login screen requires the Admin to enter a new password.
  - Passwords must be at least five characters.
  - Passwords are case sensitive.
  - Password cannot be "NEW"
4. After successfully creating a password, Administrators are encouraged to create Users  (applies to multi-user installations only).

## Reset User Password

I lost my password! If a User forgets their password the Administrator can reset it.

1. On the menu bar select File > Security & Administration.
2. At the Administration screen click "Security Groups" and "Add/Update individual Users".
3. At the Browse & Update the List of Users screen select the User whose password needs to be reset and click "Change".



4. At the Changing a User screen click the "Reset" button. The password is automatically reset to **NEW** (must be all caps). The next time the User logs into the software they are required to change the password.

If the Administrator forgets their password they must contact Technical Support<sup>[11]</sup>. The purchaser of 1099 Pro must send a request on company letterhead stating that the Administrator password is lost and an unlock code is required. Upon receipt of this request, Technical Support can provide an unlock code good for that day only.

## Security—Step 2: Access Groups

Access Groups allow an Administrator to define the Program Areas and Form types that a User will have access to, as well as their level of access. Users only have the rights specifically assigned to them; any rights not assigned are denied by default. The rights available within 1099 Pro software products include: View/Access area, Create, Modify, Delete, Report, Correct, Print, and Reset/Void where applicable.

### Assign Access Groups

1. On the menu bar select File > Security & Administration > Security Groups.
2. At the Security Options screen click the "Create and Manage Access Groups" button to access the Access Groups screen.
3. Click "Add" to open the Update Access Groups screen and create a new access group. Admin can also select "Change" or "Delete" to modify any existing access groups or to view the contents of a built in Access Group.
  - *This software includes multiple built-in access groups (indicated in **BLUE**) that cannot be modified or deleted.*
4. At the Update Access Groups screen enter a Group Name.
5. Use the "Tag" button to select the Forms or Program Areas to include in this group.
6. After selecting each item, use the "Modify Highlighted Record" button to assign rights<sup>[237]</sup> within this area. **If a Program Area or Form type is selected (or "tagged") but no rights are assigned to it, a "View Only" access rule is created.** This allows assigned users to enter/view an area or form only; they will NOT be allowed to edit or save changes.
7. After selecting all Forms and/or Program Areas AND assigning rights, Administrators can add detailed Notes for the Access Group. Click "Save Changes to Group" to return to the Update Access Groups screen.
8. At this point the Admin can "Add", "Change" or "Delete" other Access Groups as necessary; excluding 1099 Pro's built-in access groups. When finished click "Close" to return to the Security Options screen.
9. Continue to Security—Step 3: Manage Profiles<sup>[238]</sup>

### Access Rights

When creating or modifying an Access Group<sup>[237]</sup>, Administrators select the Form(s) and/or Program Area(s) to include and must also assign a level of access rights. By default, NO access rights are preset. If a Program Area or Form type is selected (or "tagged") but no rights are assigned to it, a "View Only" access rule is created. This allows assigned users to enter/view an area or form only; they will NOT be allowed to edit or save changes.

### Assign Access Rights

1. At the Update Access Groups screen, highlight any selected Form or Program Area and click the "Modify Highlighted Record" button.
2. At the Modify Access Rights screen Admin can "Select ALL Rights" or individually select rights. Options include:
  - Create new items or initiate processes
  - Modify exiting items
  - Delete existing items
  - Run Reports in this area
  - *Items that are grayed out are unavailable for selection.*
3. Click "Save" to return to Update Access Groups.

## Tag Access Groups

At the Tag Access Groups screen, Administrators can assign access groups to Users; thus restricting a User's access to a selected Filer(s) and permissions within that Filer. For example, an Administrator may assign to User "John Doe", access to Filers "ABC Company" and "123 Company", but only for "W-9 Tracking" and to "Allow TINCheck Access". User "Jane Doe" however, has access to the same Filers but with "Tax Forms (Full Rights)".

See Security - Manage Profiles<sup>238</sup> and Security - Access Groups<sup>237</sup>

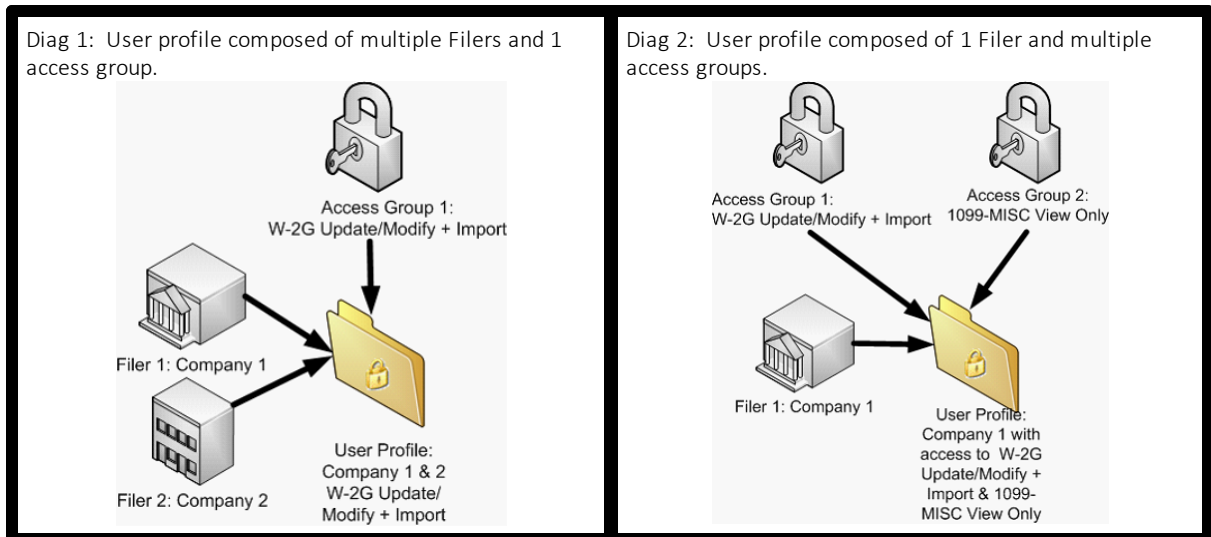
## Assign Access Groups

1. On the menu bar select Filers > Security and Administration.
2. At the Global Administrative Options screen select "Security Groups".
3. At the Security Options screen select "Create and Manage User Profiles for Filers and Access Groups".
4. At the User Profiles screen click the "Add" button.
5. At the Update User Profile screen enter a Profile Name for the user.
  - Profile names must be unique and contain a minimum of four characters.
6. Tag (or select) the Filer(s) this user can access. Highlight Filers individually and click the "Assign Access Group(s) to Highlighted Record" button.
7. At the Tag Access Groups screen tag access groups to assign to the user profiles (see Step 2: Creating and Managing Access Groups<sup>237</sup>). Click the "Save" button to save changes and exit this screen.
  - Use the "Show Tagged" button to display only the Access Groups assigned to this user profile.
  - **If there are multiple Filers assigned to the user profile, the above steps 5 - 6 must be repeated separately for each Filer.**
8. After assigning Access Group rights to all Filers associated with the User Profile, click the "Save Changes To Group" button at the Update User Profile Screen. This newly created User Profile is displayed at the User Profile screen and is available for future changes, deletion or cloning.

## Security—Step 3: Manage Profiles

User Profiles allow Administrators to apply Access Groups to specific Filers/Departments. When assigning a User to this profile (Step 4), the User only has the specific rights granted by that Access Group to the specified Filers. 1099 Pro's built-in User Profiles are applied to ALL Filers. In order to access the 1099 Pro system, a User must have rights to AT LEAST one Filer, in other words, they must be assigned to at least one User Profile.

The below diagram illustrates the components comprising a User Profile. In Step 4 the users are assigned to the profiles.



## Set User Profiles

1. To create or manage a User Profile click "Create and Manage User Profiles for Filers and Access Groups" from within the Security Options window. 1099 Pro includes built-in User Profiles. Built-in groups are indicated in **BLUE** and cannot be modified or edited. **By default, all built-in User Profiles have access to ALL current and future Filers.**
2. Click "Add" to create a new user profile or select "Change" to modify any existing User Profiles. The "Quick Assign<sup>239</sup>" button walks users through these steps in a wizard. Use the "Clone Profile" button to clone a previously created profile and then edit the Filers and Access Groups assigned to it.
3. After clicking "Add", "Change" or "Clone Profile" the Update User Profile screen opens. At this screen assign Access groups to Filers.
4. Create or update a User profile:
  - A. Create a name for the User profile.
  - B. Tag (or select) the Filers to allow access to.
  - C. Highlight the Filer to configure and click the "Assign Access Groups" button to attach Access Groups that were previously created to the profiles.
  - D. At the Tag Access Group screen select the previously created profiles (Step 2).
  - E. After selecting profiles click "Save" to exit. **Repeat Steps C, D and E for each Filer in this profile.**
5. Upon exiting the Update User Profile screen return to the User Profiles screen where Admin can continue to add, change or delete profiles. After updating profiles click "Close" to return to the Security Options window.
6. Continue to Security—Step 4: Add/Update Individual Users<sup>240</sup>.

## Quick Assign User Profile Wizard

Use the Quick Assign Wizard to simplify the process of creating user profiles. This section is only available to Administrators or those Users with Access Rights. See Security - Manage Profiles<sup>238</sup>

## Run Quick Assign Wizard

1. On the menu bar select File > Security and Administration.
2. At the Global Administrative Options screen click "Security Groups" and "Create and Manage User Profiles for Filers and Access Groups" to access the User Profiles screen. Note: All 1099 Pro software products have built-in User Profiles (colored in **BLUE**) that cannot be modified or edited. By default, all built-in User Profiles have access to all current and Future Filers.
3. Click the "Quick Assign" button to initiate the User Profile Wizard.
  - The "Clone Profile" button clones a previously created profile; you may then edit the Filers and Access Groups assigned to it.
4. In the Wizard click the "Next" button to move forward; click "Back" at any time to reverse a step.
5. At the Choose Filers for This User Profile screen tag (or select) filers to include in this User Profile and click "Next".
6. At the Choose An Access Group for this User Profile screen select access groups as appropriate. Multiple access groups may be assigned. Built-in access groups are colored in teal.
7. At the Ready To Create This User Profile screen enter a unique user profile name. Review settings and if satisfied, click "Finish".
8. Upon completion of the User Profile Wizard you are returned to the User Profiles screen. You can continue to add, change, or delete profiles here. Once done updating profiles click the "Close" button to return to the Security Options window.

## Security—Step 4: Add/Update Individual Users

There is typically one assigned User for each physical user of the software. This section assists in the creating, updating, and deleting of Users. Remember, built-in accounts cannot be modified or deleted; however they can be copied and then modified.

### Set Individual Users

1. To configure Users, click on "Add/Update Individual Users" at the Security Options screen.
2. The Users screen displays all current users in the software. Use the "Add User" button to add a new user and the "Change" button to modify an existing User or view their associated profiles. The "Delete" button removes Users from the system.
3. Click the "Add User" button to open the Adding a User window where Admin creates the login information required for the new User to access the software (or Change User in the case of clicking the "Change" button). Define User Login Settings:
  - **User ID**—Enter a User ID (User Name) for software login. Corporate Suite users using the Active Directory Login Type must use the same user name that the user logs into their network with.
  - **Password**—By default, all new Users are assigned **NEW** (all caps) as their password—this cannot be changed at this screen. To set the user requirements for password see Security Password Requirements<sup>235</sup>.
  - **Lock Status**—Indicates if a user account is locked due to login failures. Click "Change" to lock or unlock an account. The Admin can reset the password<sup>236</sup> as necessary.
  - **Pre-W2K Domain (Corporate Suite only)**—This is only used when Active Directory Login type is selected by clicking "Set Security Preferences" on the "Security Options" screen
  - Optional Information includes:
    - User Name—User's full name; this information does not impact login credentials.

- Phone—User's contact phone number.
  - Other Info—Add other information such as user's department, e-mail address, location, etc.
  - User Profile Membership—This field displays all of the User Profiles associated with the User.
4. Continue to Security—Step 5: Add Users to a Profile<sup>[241]</sup>.

## Security—Step 5: Add Users to a Profile

This final step in configuring security guides Admin through the process of assigning a User to a profile created during Step 3: Manage Profiles<sup>[238]</sup>.

### Assign Users to Profiles

1. Click on the "Add/Remove Users from Profiles" button located on the Security Options window.
2. At the Security—Assign Users screen (or Available User Profiles screen in Corporate Suite) assign newly created Users to a profile.
3. Select the profile to add Users to via the "Available User Profiles" drop menu.
4. Tag the Users to apply to the selected profile. Click "Save" prior to adding Users to another profile.
  - To tag a User highlight the user and click the "Tag" button or click in the column to the left of their UserID.

### Select which tax years users have access to under the profile. (Corporate Suite Only)

1. Click "Save"/ "Save my Changes to this Profile/Year"
2. Repeat the steps above to add Users to additional profiles.

## Turn On/Off Security

### Activate Security

1. On the menu bar select File > Security and Administration > Security Groups.
2. At the Security Options screen the Security status is displayed as ON or OFF.
3. If security is OFF (or not enabled) click the "Activate Security" button to enable it.
4. Restart the program for settings to take effect.

## Security Reports

All 1099 Pro software products offer reports to track Users, User Profiles, and Access Groups. [These security reports are available only to Admin or Users with administrative rights.](#)

### Security Reports

1. On the menu bar select File > Security and Administration.
2. At the Administration screen click the "View/Print Security Reports" button. Available reports include:
  - Print Users by Name: Lists all users sorted by User ID.
  - Users and Attached Profiles: Lists all access users and all of their associated User Profiles.
  - Profiles and Associated Access Groups: Lists User Profiles and their associated Access Groups, Filers and Departments.
  - Access Group Detail: Lists Access Groups and all of the permissions assigned to them.
  - Detailed Security Report: Summarizes the User Profiles and Access Groups selected Users are assigned to.

- Security Log: Generates a report based on the security audit trail.
3. All reports offer a print preview<sup>96</sup> option.

## Security Access Log

The Security Access Log tracks every instance that Security or Audit Trails are enabled or disabled. If Security is enabled, the Security Access Log also tracks all log-on attempts.

### Browse & Manage the Security Access Log

1099 Pro includes predefined queries for sorting access log records including:

- All Records: Default selection that displays all records.
- Access for One Date: Select this query and then enter the date for which you want to show logs.
- Access for One User: Select this query and then click "Select User to Show" to pick a user, or click "Show Records with No Users" for any records with an unknown user.

### Export Log-on Records to Excel Spreadsheet

The Security Access Log tracks all attempts to open 1099 Pro. This log can be exported for review in an Excel document.

1. On the menu bar select File > Security and Administration.
2. At the Administration screen click "Manage Security Access Logs".
3. Click on "Export to XML" located near the bottom left.
4. Select your destination folder and click "OK"

### Purge Log-on Records

The Security Access Log tracks all attempts to open 1099 Pro. If the log becomes so big that the performance of 1099 Pro is compromised, older records may be purged. When purging records ONLY successful logons are deleted.

#### Purge Records

1. On the menu bar select File > Security and Administration.
2. At the Administration screen click "Manage Security Access Logs".
3. At the Browse & Manage the Security Access Log screen click the "Purge Log-on Records" button.
4. The Purge Audit History screen allows the user to indicate the date PRIOR to which log-on records are purged. Modify this date as necessary.
5. Click "Begin" to start deleting records. A warning screen reminds that all deletions are permanent. Click "Start Deleting" to continue or "Cancel" to abort. All purge attempts are permanently recorded in the log.

## Audit Trails & Logging

### Audit Trail Overview

Audit Trails track certain activities related to a Tax Form, Recipient Record or Filer Record including Created, Viewed, Deleted and any Quick-Prints or ASCII Exports and more. Audit trails detail the Date/Time and User ID associated with the activity. Audit trails do NOT track cascading updates. If Audit Trail Records don't reflect a known change; Audit Trails are (or were) disabled. See Disable Audit Trails<sup>245</sup> (CS Only)

## Master Audit Trail Browser

The Master Audit Trail Browser is available only to Administrators or Users with permissions. Use it to view all manual changes to ALL tax forms (the Record History<sup>[35]</sup> screen allows the viewing of individual tax forms only). From this browse screen users can run an Audit Trails Activity Report<sup>[244]</sup> and view highly detailed audit trail information.

1. On the menu bar select File > Security & Administration > Audit Trails & Logging.
2. At the Tax Form Audit Trail and Action Logging Options screen click the "View Audit Trail Records" button.
3. Specify Audit Trail Filters<sup>[243]</sup>, otherwise the report can be very large and slow to generate. Click "OK" to continue.

## About Record History

The Record History screen displays audit trail information for the selected tax form and is available to all Access Groups<sup>[242]</sup>. A limited version of the Master Audit Trail Browser, this screen tracks all manual changes made directly to a record; cascading updates are not reflected. See Record History<sup>[35]</sup> for more information

## Purging Audit Trail Logs

The Audit Trail Record Log is invaluable should you need to track tax forms changes. If the log becomes so big that the performance of 1099 Pro is compromised, older records can be purged. For most users however, purging is not necessary and is generally not recommended as this valuable information is permanently deleted from the system. See Purging Audit Trail Logs<sup>[245]</sup> for more information.

## Disable Audit Trails

Only Corporate Suite allows the disabling of Audit Trails. Administrators should only disable Audit Trails if speed and performance is critical to the user. By disabling this feature tax form changes are not tracked AND the Record History<sup>[35]</sup> screen is automatically disabled. See Disable Audit Trails<sup>[245]</sup>

## Audit Trail Report Filters

It is important to set Audit Trail Filters, otherwise generated reports and/or the Master Audit Trail Browse screen can be very large and slow to generate.

### Set Filters

Options	Description
Limit Report to Changes for Form Type:	<ul style="list-style-type: none"> <li>• All Forms</li> <li>• One Form Type</li> </ul>
Limit Report to Changes for one PCode (payer code)	<ul style="list-style-type: none"> <li>• All Filers</li> <li>• One Filer</li> </ul>
Limit Report to Changes from one User ID or Workstation	<ul style="list-style-type: none"> <li>• All Users</li> <li>• One User</li> <li>• One Workstation</li> </ul>

Options	Description
Limit Reports to a Date Range	<ul style="list-style-type: none"> <li>• None</li> <li>• Today or Yesterday</li> <li>• Last 7 Days, Last 14 Days or Last 30 Days</li> <li>• Specify Other Range—Set the date range for this report. <b>If the range is too large, the report may be *very slow to generate.</b></li> </ul>
Record Activity Options	<ul style="list-style-type: none"> <li>• All Activity</li> <li>• All But Views</li> <li>• Only Deleted</li> </ul>

### Audit Trails Activity Report

Audit trails track certain activities related to a Tax Form, Recipient Record or Filer Record including Created, Viewed, Deleted and any Quick-Prints or ASCII Exports. Audit trails detail the Date/Time and User ID associated with the activity. **If Audit Trail Records don't reflect a known change; Audit Trails are (or were) disabled.** See Disable Audit Trails<sup>245</sup> (CS Only)

### Run Audit Trails Report

Administrators and Users with permissions can generate reports of all audit trail activity related to one or more areas in your 1099 Pro software product.

1. On the menu bar select File > Security & Administration > Audit Trails & Logging.
2. At the Tax Form Audit Trail and Action Logging Options screen click the "View/Print Audit Changes Report" button.
3. Set Audit Trail Filters<sup>243</sup> and click "OK" to generate report.

### Run Recipient Specific Audit Trails Report

Users with permissions can view all activity related to a specific Recipient form; for example, all activity on a TY 2019 1099-MISC issued to John Doe.

1. At the Work With My Tax Forms screen select the record to review.
2. Click the "Change" button to open the Changing a Form screen.
  - If record has a Filed status, click the "View the Form" button at the Protected Form Update screen to continue to the Viewing a Form screen.
3. Click the "Audit Trail" button to view the record history.
4. Click the "Print Current Changes Report" button and select "Yes" to preview the report.

### Audit Trails Report Legend

- T = TIN (Tax ID Number)
- N = Recipient Name
- R = Recipient Name
- A = Account Number
- D = Filer Department
- Subtype: Audit report tool doesn't know what was done with the record.
- TransType: Audit report tool doesn't know what was changed on any transactions.



## Disable Audit Trails

Corporate Suite allows Administrators and Users with rights to turn Audit Trails ON/OFF. Audit trails cannot be disabled for other 1099 Pro software products. Only disable audit trails if speed and performance is critical to the end user. By disabling this feature tax form changes are not tracked AND the Record History<sup>[35]</sup> screen is automatically disabled.

### Disable Audit Trails

1. On the menu bar select File > Security & Administration > Audit Trails & Logging.
2. The Tax Form Audit Trail and Action Logging Options screen indicates if Audit Trails are currently "ON" or "OFF".
3. Use the "Turn OFF Audit Trails" or "Turn ON Audit Trails" button as appropriate.
4. The Administrator prompts to confirm the selection.

### View Record History

At the Work With My Tax Forms screen highlight a record and click "Change".

- Records with a Pending status display the Changing a Record screen. Click the "Audit Trail" button located in the upper right corner of the screen.
- Records with any other status display the Protected Form Update screen. Click the "Field Update History" button.

### Purge Audit Trails

The Audit Trail Record Log is an invaluable tool for tracking tax forms changes. If the log becomes so big that the performance of 1099 Pro is compromised, older records may be purged. For most users however, purging is not necessary and is generally **not recommended** as this valuable information is permanently deleted from the system.

### Purge Audit Trail Log

1. On the menu bar select File > Security and Administration.
2. At the Administration screen click "Purge Audit Trail Records".
3. At the Purge Tax Data Audit Trail Record screen all records prior to the selected date are deleted. Modify this date as necessary.
4. Click "Begin" to start deleting records. A warning screen reminds that all deletions are permanent. Click "Start Deleting" to continue or "Cancel" to abort.

### Turn Audit Trails On/Off

Corporate Suite allows Administrators and Users with rights to turn Audit Trails ON/OFF. Audit trails cannot be disabled for other 1099 Pro software products. Only disable audit trails if speed and performance is critical to the end user. By disabling this feature tax form changes are not tracked AND the Record History<sup>[35]</sup> screen is automatically disabled.

### Disable Audit Trails

1. On the menu bar select File > Security & Administration > Audit Trails & Logging.
2. The Tax Form Audit Trail and Action Logging Options screen indicates if Audit Trails are currently "ON" or "OFF".
3. Use the "Turn OFF Audit Trails" or "Turn ON Audit Trails" button as appropriate.
4. The Administrator prompts to confirm the selection.

## View Record History

At the Work With My Tax Forms screen highlight a record and click "Change".

- Records with a Pending status display the Changing a Record screen. Click the "Audit Trail" button located in the upper right corner of the screen.
- Records with any other status display the Protected Form Update screen. Click the "Field Update History" button.

## Audit Trail Report Filters

It is important to set Audit Trail Filters, otherwise generated reports and/or the Master Audit Trail Browse screen can be very large and slow to generate.

### Set Filters

Options	Description
Limit Report to Changes for Form Type:	<ul style="list-style-type: none"> <li>• All Forms</li> <li>• One Form Type</li> </ul>
Limit Report to Changes for one PCode (payer code)	<ul style="list-style-type: none"> <li>• All Filers</li> <li>• One Filer</li> </ul>
Limit Report to Changes from one User ID or Workstation	<ul style="list-style-type: none"> <li>• All Users</li> <li>• One User</li> <li>• One Workstation</li> </ul>
Limit Reports to a Date Range	<ul style="list-style-type: none"> <li>• None</li> <li>• Today or Yesterday</li> <li>• Last 7 Days, Last 14 Days or Last 30 Days</li> <li>• Specify Other Range—Set the date range for this report. <b>If the range is too large, the report may be *very slow to generate.</b></li> </ul>
Record Activity Options	<ul style="list-style-type: none"> <li>• All Activity</li> <li>• All But Views</li> <li>• Only Deleted</li> </ul>

## Combining Tax Forms

Tax Form Aggregation was designed to allow you to consolidate more than one tax form of the same type, for one Recipient, under a given Filer. Corporate Suite software offers two types of aggregation: Transactional and Year-To-Date.

### Transactional Aggregation

Based on a set of matching criteria, values on imported records are added or subtracted to amounts on existing records. For example, John Smith owns an automobile detail business and frequently comes by the movie studio to wax and wash the studio automobiles. The Filer, issuing a 1099-MISC form, pays John on a bi-weekly basis. Instead of printing and issuing multiple 1099 forms for John, the Filer prefers to provide him with a single, combined form at year end. Transactional aggregation allows the Filer, to view/print the aggregated box amount totals in the tax form which is a reflection of

all tax form dollar amounts for this Recipient under this "master tax form" only. Master Tax Form is defined as the first tax form at the top of a transaction list.

### Year-To-Date Aggregation

Based on a set of matching criteria, values on imported records override amounts on existing records. For example, Patty Smith owns a floral company and delivers flowers on a regular basis for a vendor. The Filer, issuing a 1099-MISC form, pays Patty on a monthly basis. As the Filer regularly imports updated data into Corporate Suite, any newly imported values for Patty override the existing amounts. At year end the Filer has a single "Master Tax Form" for Patty.

Also see Transactional Imports<sup>[68]</sup>, Year-To-Date Imports<sup>[69]</sup> and Browse Transactions<sup>[36]</sup>.

### How Aggregation Works

You must first enable Filer aggregation and set aggregation criteria (see Aggregation Rules)<sup>[247]</sup>. Import your Recipient-only data and then create an import map with an Import Type of "Transactional" or "Year-To-Date". During the import process of your tax form data, aggregation is automatically triggered—based on your previously set rules (e.g., by TIN, Name, etc.)—during each successive import. You can view an individual record's aggregated amounts at the Changing a Form Record screen via the "Transactions" button. If the "Transaction" button is unavailable at this screen, aggregation is disabled for this Filer and/or Form Type.

The initial tax form can be manually entered and subsequent associated transactional imports are aggregated to it. However, future manually entered tax forms for the same Recipient and form type are *not* aggregated as they are not linked to the original master tax form. **For aggregation to occur, tax forms must be imported via a Transactional import.**

### Aggregation Rules

Aggregation allows you to combine Recipient records of the same PCode (PTIN) and Form Type into one record. Corporate Suite offers both Transactional<sup>[68]</sup> and Year-To-Date<sup>[69]</sup> aggregation. See Tax Form Aggregation<sup>[246]</sup>

### Turn On Aggregation

Once aggregation is turned on, it is automatically turned on for ALL Filers. To disable aggregation for a particular Filer, see Exceptions for Individual Filers<sup>[248]</sup>.

1. On the menu bar select File > Security & Administration.
2. At the Global Administrative Options screen select the "Combining Tax Form" button.
3. At the Aggregation/Roll-Up Options screen select the "Turn ON Aggregation" button.

### Turn Off Aggregation

1. To remove existing aggregation from a tax form, check the "Disable Aggregation for This Filer" box.
2. Click "Save/Apply Rule Now" to apply setting.
  - All forms currently aggregated are immediately de-aggregated and revert to individual tax forms. **If any forms associated with the process have a protected status (e.g., Filed or Corrected), aggregation cannot be disabled.**

## Select Tax Form for Aggregation

Select the tax form to enable Global Aggregation for and click the "Set/Change Matching Criteria" button. First time users must set aggregation rules which determine current rules for combining tax forms in a particular order. Tax forms that match all of the selected criteria for the Filer will be combined into a single aggregate form.

## Set Aggregation Rules (Criteria)

1. The list of available fields include TIN, Account Number, Tax State, Category, Form Source & Department. Additional fields may be available based on form type.
2. From the list of Available Fields for Aggregation window, highlight and drag a field to the Selected Fields for Aggregation window.
3. To adjust the order of the fields, use the UP/DOWN arrow keys. When finished, click "OK" and "Save" to apply your changes.
4. The software aggregates the forms according to these rules.

## Exceptions for Individual Filers

Aggregation can be set for individual Filers as exceptions. For unique Filer circumstances related to aggregation, see Duplicate a Filer<sup>209</sup>.

1. Click "Add" to add an aggregation exception for a Filer.
2. The list of available fields include TIN, Account Number, Tax State, Category, Form Source & Department.
3. From the list of Available Fields for Aggregation window, highlight and drag a field, to the Selected Fields for Aggregation window.
4. To adjust the order of the fields, use the UP/DOWN arrow keys. When finished, click "OK" and "Save" to apply changes.
5. The software aggregates based on the chosen fields for this Filer for the specified form type.

## Rules & Options

### Preferences/Options

All 1099 Pro software products allow users to customize the program via Preference settings. Corporate Suite offers enhanced Preference Settings far beyond those offered in other 1099 Pro software products. Any user with access to Security and Administration can modify these settings. Changes made at the Preferences screen are UNIVERSAL to the program; they are not user-specific. In multi-user environments Administrators can restrict User access to this area by setting permissions within Access Groups<sup>237</sup>.

### Modify Corporate Suite Preferences

1. On the menu bar select File > Security & Administration > Rules & Options.
2. At the Business Rules & Options screen select the tax form specific "Preferences / Options" button to access the respective Preferences screen.
3. At the Preferences screen tabs include: Global, Local, Updates Checking, Limits, Update Options and Rcp Options. Many items are "ON" by default with the objective of safeguarding user data. Functions can be set ON/OFF at the user's discretion by inserting or removing a check in the corresponding box.
4. Changes take effect AFTER clicking "OK" and then exiting and re-opening the software.

## Corporate Suite Preference Settings

Many Preference settings are "ON" by default with the objective of safeguarding user data. For further assistance implementing these settings please consult your Corporate Suite Account Manager.

### GLOBAL Tab

Item	Description
Universal Options	<ul style="list-style-type: none"> <li>Require a full name and address before a form can be saved.</li> <li>Auto capitalize names, addresses and localities during manual entry.</li> <li>Hide the optional form Category field on data entry forms.</li> <li>Remind me not to print Red Copy A until February.</li> </ul>
Backup Up Data Files	<b>Your network and/or database administrators should create backup copies of this database on a regular, if not daily, basis.</b> IRS regulations require tax data to be maintained by Filers for five years.
Global Date Range Checking	Warn if dates entered on tax forms are outside the January to December range for the selected tax year. For example, if creating a 2019 form, the User is warned if "2017" is entered.
2019 Form Options	Indicate when Users can access and create tax forms for upcoming tax year. Options include Do NOT Allow, Allow Now or Not Until January 1st, 201X.
Options for Manually DELETED Forms	<ul style="list-style-type: none"> <li>Allow previously deleted tax forms to be visible on Tax Form browses.</li> <li>Allow users to undelete previously deleted tax forms. This option requires deleted forms be visible.</li> </ul>
Special Features	<ul style="list-style-type: none"> <li>Activate Extended Casino W-2G/1042-S options.</li> <li>Filter the CSR list by Filer if Security is enabled (only applies if Recipient Table links are disabled).</li> <li>Allow custom reports to be created via the Report Wizard.</li> <li>Default Import Sessions Date Range to the current date.</li> <li>Suppress No TIN Message</li> </ul>

### LOCAL Tab

Item	Description
Recipient Address ZIP Code Options	<ul style="list-style-type: none"> <li>Convert City to UPPER case during manual entry ZIP lookups</li> <li>Always convert Recipient City to UPPER case during printing</li> </ul>
Local Options* <i>*Local options can be set by the individual User at their respective workstation.</i>	<ul style="list-style-type: none"> <li>Automatically reselect the last Filer at program start</li> <li>Show a reminder when using "Add Recipient"</li> </ul>

### W-2 OPTIONS Tab


Item	Description
Reduce Data Errors	<ul style="list-style-type: none"> <li>Calculate and fill in Social Security and Medicare on W-2.</li> </ul>

Item	Description
	<ul style="list-style-type: none"> <li>• Hide Calc (Calculate) button on entry forms (works with auto-calculate).</li> <li>• Warn if saving a form with possibly incorrect calculations.</li> <li>• Show warning if data may exceed IRS/SSA limits.</li> </ul>
Speed Data Entry	<ul style="list-style-type: none"> <li>• Skip over the W-2 Control Number field.</li> <li>• Hide account numbers of W-2 forms.</li> </ul>

#### 1042-S OPTIONS Tab

Item	Description
Reduce Data Errors	Calculate and fill in Federal Withholding in 1042-S Box 7 (applies to TYs 2013 and earlier only).
Foreign Address Formatting	Print Address 1 (Street) and Address 2 (Apt/Suite) fields using the same format for US, Canadian and Foreign (O—Other) addresses. <i>The USPS prefers that the Apt./Suite data is printed ABOVE the Street Address. By default, Corporate Suite software prints the address in this "reversed" sequence. Foreign addresses are normally not reversed.</i>

#### UPDATES CHECKING Tab

Item	Description
Confirm Prior to Checking?	Uncheck this box only if your Internet connection is always active.
How Often Should Program Check for Updates?	<ul style="list-style-type: none"> <li>• <b>Automatic Adjustment (recommended)</b>—The program checks for updates occasionally during summer, more frequently as tax season approaches and daily during peak tax season.</li> <li>• Specified Interval (1-45 Days) Throughout the Tax Year—Checks occur at the specified interval.</li> <li>• Manual Checking Only (NOT recommended)</li> </ul> <p>See Software Updates </p>

#### LIMITS Tab

Item	Description
Transaction/Accounting Date Cutoff	Enter the last date for which transactions can be manually created or imported. This date is used to prevent Users from creating or importing transactions beyond the current tax year or accounting quarter. If blank, this restriction is not enforced.
Earliest TY to Show for 1099 Module	This options sets the minimum (or earliest) Tax Year that Users can select to create tax forms. Years prior to this entry will not be accessible, use this option with caution. If blank, all supported years are available for form creation.

#### UPDATE OPTIONS Tab (Applies to 1099Pro.NET (ASP) Only)

Item	Description
Change Status via Quick-Print	<ul style="list-style-type: none"> <li>• Disallow status changes from Quick-Print.</li> <li>• Allow Quick-Print status changes, default status is NOT updated.</li> <li>• Allow Quick-Print status changes, default status is updated.</li> </ul>
Restrict Form 1099-LTC, Box 5 Options	Users can restrict the printing and filing of Forms 1099-LTC containing Box 5/Date Certified values. By default, this option is suppressed.
Specify Max Number of Records per Search	If blank, search returns a maximum of 100 records.
TIN Conversion	<ul style="list-style-type: none"> <li>• Make no Changes to a TIN of all zeros</li> <li>• Change "000000000" to blanks and blank TIN type if applicable</li> </ul>

### RCP OPTIONS Tab

Item	Description
Recipient Select Options	<ul style="list-style-type: none"> <li>• Select from Recipient List</li> <li>• Select Recipient from Forms (ASP only)</li> <li>• Select Recipient from Forms (ASP and CS)</li> </ul>
Force Recipient as NEW	<ul style="list-style-type: none"> <li>• Do not force Recipient as new</li> <li>• All Recipients on import or entry are forced as new/unique</li> <li>• Disable Recipient list</li> </ul>
Bypass Recipient Compare Process	<ul style="list-style-type: none"> <li>• Compare Tax Form date to Recipient record on entry and offer updates</li> <li>• Bypass Recipient Compare process for ASP only</li> <li>• Bypass Recipient Compare process for ASP and CS</li> </ul>
Bypass Recipient Cascade Process	<p>The Recipient Cascade process relies on Recipient Compare settings. If Bypass Recipient Compare is selected, then NO cascades take place REGARDLESS of the the setting for Bypass Recipient Compare.</p> <ul style="list-style-type: none"> <li>• Allow Cascade</li> <li>• Restrict to Current Filer Only</li> <li>• Disable Cascade</li> </ul>
Error Level, Missing Address Line 1 & 2	Select No Error, Warning, Error or Reject
Error Level, SWT for Non-Tax States	Select No Error, Warning, Error or Reject

## Manage ASP Module

1099Pro.NET (ASP) users can manage Pressure Seal (PS) and Alternate Combined (ACL) print layouts via this screen.

### Set ASP Options

1. On the menu bar go to File > Security and Administration > Rules & Options > Manage ASP Module PS/ACL Access.
2. At the Web PS/ACL Access Control screen select the tax year and type of form to manage.

3. Available layouts are detailed on the left. Users can "Approve" or "Remove" layouts for access within the 1099PRO.NET (ASP) module.
  - Custom layouts are available. Please contact your Corporate Suite Account Manager for information on specifications, turnaround time and pricing.

## Browse System Locks

Some processes may get locked if interrupted prior to completion. Such processes may have been initiated by a User or per the Scheduler<sup>[266]</sup>. The Admin must remove the lock.

### Edit Locks

1. On the menu bar go to File > Security and Administration > Rules & Options > Browse System Process Locks to access the Browse the Process Lock Table.
2. Any process that was locked, such as an Import or Backup, indicates the Lock Date, Lock Time and Station ID where it occurred.
3. Highlight the process and click "Delete/Remove Lock" to abort the process. The item is removed from this list and the process is halted. Removing the lock does not allow the interrupted process to complete.

## Configure TINCheck Account

An active, paid TINCheck account is required to use this feature. Visit <https://www.tincheck.com/plans> to review plans and sign up. See TINCheck Results<sup>[37]</sup> for details on running TINChecks and reading results. TINCheck Validations are not available in Corporate Suite software.

### TINCheck Account

Please watch the online video, How to Use Integrated TIN/Name validation, prior to starting this process. The TINCheck feature is limited to Users with "Allow TIN Check" enabled in their security profile.

1. On the menu bar select File > Security & Administration > Program Options.
2. At the Business Rules & Options screen click the "Configure TINCheck Account" button to access the Manage My TINCheck Account screen.
3. STEP 1: Create a TINCheck account. Users without an active TINCheck account cannot use this service.
4. STEP 2: Enter TINCheck Login Credentials
  - **TINCheck User (login) ID**—Enter your TINCheck user ID, this is normally an email address.
  - **TINCheck Password**—Enter your TINCheck password. Use the "Test My TINCheck Connection" button to verify settings are accurate.
  - **Account Description**—Enter a description regarding this service, this information has no impact on the processing of TINs.
  - **Account Notes**
5. Click "Save" or "Cancel" to exit this screen.

## Tax Form Validation

All 1099 Pro software products include standard rules for detecting errors and/or warnings on tax forms such as invalid TINs, ZIP codes plus IRS/SSA rules that govern how boxes should be completed.



Users can change existing validation rules as outlined below and create custom validation rules at any time.

**Business rules are in place to provide you with the highest likelihood of your data being accepted by the IRS/SSA. Disabling a rule to process your forms increases the risk of your data being rejected.**

### Deactivate (Turn-Off) Rules

1. On the menu bar go to File > Security and Administration > Rules & Options > Tax Form Validation for Import and Entry to access the Manage Business Rules/Validation screen. Use the Tax Form drop menu to select a specific tax forms or "Common" rules that apply universally to the software.
2. The Manage Business Rules/Validation screen summarizes the rules for a particular form and indicates if the rule is active, where the rule is active and the severity.
  - Column "DT/Imp/Web" indicates where the rule is applied. **DT** = Manual Data Entry, **Imp** = Imports and **Web** = Web/Internet Module Users.
  - Error message severity is indicated by **W** = Warning (non-fatal), **E** = Error (may be error) and **R** = Reject (form will not be imported or saved).
3. To disable a rule, uncheck the "Rule is active/applied" box and click the "Save" button. Rules can be reactivated at any time.
  - To customize or edit a rule highlight it and click "Change" to access the Rule Will Be Changed screen.

### Business Rules Summary Report

This report details both common and form specific business rules. Failure to follow business rules can result in a record receiving an Error, Warning or possibly Reject status. Review Error & Validation Checks<sup>[83]</sup>. See 1042-S Errors<sup>[84]</sup> for common errors and solutions.

### Common rules

These rules detail Recipient and common field requirements. For example:

- Common Rule 01—If Recipient TIN or Last/Company Name is missing; a Reject Error is flagged.
- Common Rule 02—If Last/Company Name or Address information is missing; a Warning is flagged.

Date: 9/28/18 Time: 11:31AM		Business Rules Summary Report Common Rules for All Years		Page: 1
Active	Severity if fails the rule (If customized, the default is in parentheses) Short Message/Long Message/Suggestion (asterisks = customized)			Rule Key
Tax Year: 2018 Section: Common				
<input checked="" type="checkbox"/>	<b>KEY Values - TIN or Last/Company Name is required</b> Entry: Reject      Import: Reject      Web: Reject No TIN or Name Must have either TIN or Last Name Enter a last/company name or a valid TIN			COM*01
<input checked="" type="checkbox"/>	<b>Name/Address - Missing Last/Company name or Address information</b> Entry: Error      Import: Error      Web: Error Missing name/address information Missing name or address information These fields are normally required			COM*02

Image 1

### Form Specific Rules

These rules detail tax form specific box or field specific requirements. For example, Form 1099-MISC default rules include:

- Rule 01—If Box [4] Federal withholding is greater than the sum of boxes 1-3, 5-8, 10 and 13-14, 15a, 15b; an Error is flagged.
- Rule 02—If State withholding is specified, but no state is specified; a Warning is flagged.

Date: 9/28/18 Time: 11:32AM	<b>Business Rules Summary Report</b> 1099-MISC Rules for All Years		Page: 1
Active	Severity if fails the rule (If customized, the default is in parentheses) Short Message/Long Message/Suggestion (asterisks = customized)		Rule Key
<b>Tax Year: 2018    Section: 1099-MISC</b>			
<input checked="" type="checkbox"/>	<b>R01: Box Fed w/h greater than sum of payments</b> Entry: Error                      Import: Error                      Web: Error Box Fed w/h more than sum of payments Box Fed w/h greater than sum of boxes 1-3, 5-8, 10 and 13-14, 15a, 15b Check your calculations		1099MISC*R01
<input checked="" type="checkbox"/>	<b>R02: State missing for SWH amount</b> Entry: Warning                      Import: Warning                      Web: Warning State missing for SWH amount State w/h specified but no state was specified Check State entries for consistency		1099MISC*R02

Image 2

### Run Report

1. On the menu bar go to File > Security and Administration > Rules & Options > Tax Form Validation for Import and Entry to access the Manage Business Rules/Validation screen. Use the Tax Form drop menu to select a specific tax forms or "Common" rules that apply universally to the software.
2. Click the "View/Print Rules Report" button.
3. The Administrator prompts to select either 1—All Form Types or 2—Selected Form Types. If 2 is selected, the generated report can be lengthy. You are encouraged to preview the report.

### Tax Form Print Codes & Custom Messages

Corporate Suite allows users to create custom print codes that are associated with specific tax forms for selected Filers. Users can set up to three print codes per form type to print on selected copies. The message can be either a static message or the duplication of select fields. The print codes can be imported or manually added at the individual tax form (see Apply Print Codes)<sup>257</sup>. Tax form print codes differ from Custom Codes<sup>265</sup> which are not form type specific.



## Custom Message

For an overview of custom messages see Tax Form Print Codes & Custom Messages<sup>254</sup>.

### Set Print Codes & Custom Messages

1. On the menu bar go to File > Security and Administration > Rules & Options > "Tax Form Print Codes & Custom Messages" button.
2. The Browse Custom Print Codes screen displays current print codes and a brief description.
  - Use "Add" to add a print code.
  - Use "Change" to edit an existing print code.
3. At the Custom Code/Message screen define the print code and message parameters:
  - **Message Form Type**—The form type associated with this print code.
  - **Message Description**—A brief description of your print code that displays at the Browse Custom Print Codes screen.
  - **Print Code**—Code that is associated with the custom print code/message.
  - **Message Prints on Copies**—Indicate the copies of the forms that the custom text prints on. Multiple copies can be selected, enter copy codes without spaces, commas or other characters. For example, enter "12C" to include custom message on all Copy 1 For the State Dept, Copy 2 For the Recipient to File with State Tax Returns and Copy C for Payer forms.
    - **1**=Message prints on "Copy 1 For the State Dept" forms.
    - **2**=Message prints on "Copy 2 For the Recipient to File with State Tax Return" forms.
    - **B**=Message prints on "Copy B for Recipient" forms.
    - **C**=Message prints on "Copy C for Payer" forms.
    - **R**=Message prints on "Combined for Recipient (B/Instructions/2)" forms.
  - **Set Font**—Select the font, size and color. Larger fonts may override the defined print code/message field.
  - Message Process Type: Enter the custom message to be printed OR the field to be duplicated.
    - **Plain Text**—Enter a maximum of 39 characters. If larger font settings are used your message may override the print code/message field.
    - **Duplicate or Additional Field**—Only the Account Number, Filer Department, Category and Source fields can be duplicated.
  - **Print Positioning Method**—Set the X (horizontal; negative value shifts message to the left and positive value shift message to the right) and Y (vertical; negative value shifts message up and positive value shift message down) positioning of your custom message. Default settings are X=550 Y=550. If X=0 and Y=0 then the message will not print.
4. Select the Filers that will have access to this custom print code. Options include:
  - **All Filers**—Select the box.
  - **Select Filers**—Use the "Select Specific Filers" button to access the Browse the Filers File screen. Use the "Tag" key to manually select Filers; use the Current View drop menu to quickly sort Filers by PCode, Company or TIN. After selecting Filers click the "Proceed to Next Step" button to save changes and return to the Custom Code/Message screen.
5. Click the "Save" button to save changes and exit this screen.
6. See Apply Print Codes<sup>257</sup> for instructions on applying your custom print codes to tax forms.

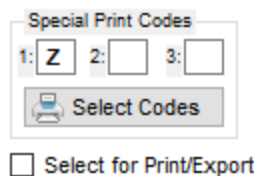
## Apply Codes

Corporate Suite allows users to define different codes for print on select Recipient copies. After defining the codes, they can be applied to forms either manually, on a per form basis, or during an import.

### Manually Apply Special Print Codes

See Tax Form Print Codes & Messages<sup>254</sup> to review print code specifications.

1. At the Work With My Tax Form screen select an existing record and click the "Change" button.
2. Locate the Special Print Codes box at the bottom of the form entry window. Enter up to three print codes or click on the "Select Codes" button.

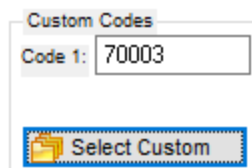


3. The selected print codes are applied when the form is printed.

### Manually Apply Custom Codes

See Manage Custom Codes<sup>265</sup> to review custom code specifications.

1. At the Work With My Tax Form screen select an existing record and click the "Change" button.
2. Locate the Custom Codes box at the bottom of the form entry window. Enter a single custom code in the box or click on the "Select Custom" button.



3. The selected custom code is applied when the form is printed.

## Import Print or Custom Codes

Corporate Suite users must properly associate codes when creating their custom import mappings.

### Manage IRS Codes

Corporate Suite allows users to view IRS/SSA codes. Users can add and edit select Recipient codes. Most codes are set per IRS/SSA specifications and cannot be modified—they are locked in VIEW-ONLY mode.

### Manage IRS Codes

1. On the menu bar go to File > Security and Administration > Rules & Options > Manage Date Entry Code Lists & Options.

2. The Manage Code Lists and Options screen allows user to sort IRS codes by Code Year, Form Type and Recipient Classification Codes.
3. Highlight any code and click the "view" button to review Code Type, Code Value and Code Description details.
4. Users can add **RecipientType** and **Recipient ID Type** codes only. All other codes are IRS/SSA presets and locked.

## W-2 State SUTA Limits

When adding or changing information on a tax form, the Recipient Master List, or Filer/Employer Master List users have the option of selecting the State code via a list of state names and abbreviations.

### Access States Code Table

In the State field use the <F2> key or right-click your mouse to access the database. The database is populated by the selected Address Type. For example, if USA address type then states display, if Canada address type then provinces display and if Other address type then the Country Codes Table displays.

See SUTA/State Limits 

See Tax Reporting State 

### SUTA/State Limits

SUTA (State Unemployment Tax Act) percentages, wage limits and State and Unemployment ID numbers are unique to each Filer. Typically SUTA percentages change at the beginning of each calendar year. SUTA percentages for each Filer/Employer can be changed to reflect the various states and experience ratings.

Access this screen via the menu bar > File > Security and Administration > Rules & Options > "W-2 State SUTA Limits and Settings" button.

### Adjust State Limits

1. At the Select State to Adjust screen highlight any state and click the "Adjust Settings" button.
  - Fields in BLUE are locked and cannot be modified.
  - Corporate Suite annually updates SUTA limits. Verify any changes made are accurate for the TY selected.
2. "Save" changes or "Exit" to cancel.

### Browse Region Code SUTA State Table

Use Region Codes to link a business entity with a specific SUTA (State Unemployment Tax Act) state. In an import, Region Codes may be used to assign a Recipient to a particular state for SUTA purposes if they differ from their residence or tax state. Region Codes must be unique.

### Browse Region Code/SUTA State Table

1. On the menu bar > File > Security and Administration > Rules & Options > "W-2 Region Code & SUTA State Table" button.

2. At the Browse the Region Code/SUTA State Table screen use the "Add" or "Change" button to access the Region Code Update & Maintenance screen.
  - See Region Code Maintenance<sup>[259]</sup>
3. Region Codes are accessible on Form W-2 in the Region Code field via the <F2> key or by double-clicking your mouse.

See SUTA and Secondary State Limits<sup>[258]</sup> for information on editing state specific values and secondary calculations.

## Region Code Maintenance

Region/Area codes are identifiers used to link a business entity with a specific State Unemployment Tax (SUTA) state. Region Codes are accessible on Form W-2 in the Region Code field via the <F2> key or by double-clicking your mouse. See Adjust SUTA and Secondary State Limits<sup>[258]</sup>

## Edit Region Codes

1. From the Browse the Region Code/SUTA State Table<sup>[258]</sup> screen use the "Add" or "Change" button to access the Region Code Update & Maintenance screen.
2. At the Region Code Update & Maintenance screen enter a unique Region Code to link a business entity with a SUTA state.
3. Enter the business entity's Name and Address information.
4. Click "OK" to save entry. Changes made at this screen flow through to associated Form W-2 records with a Pending print status.

## MISC/Puerto Rico Print Options

Exclusive to 1099Pro.Net/ASP users, select the default envelope to be used for all Puerto Rico, Form 1099-MISC, ASP print jobs. Options include:

- Envelope #7777-1, use for bi-fold forms
- Envelope #8888-1, use for tri-fold forms

View envelopes and specs online at <https://www.1099pro.com/taxforms.asp>. These envelopes and blank laser perforated stock are available for purchase.

## Reporting Thresholds

Thresholds are exceptions to general rule validations and are used to determine which records should or should not be reported. Thresholds can be tax form or state specific and may be adjusted annually. Corporate Suite software allows users to review thresholds and optionally, exclude individual records if conditions are not met. This differs from all other 1099 Pro software products that do NOT impose thresholds; thus, all eligible records (assuming \$0.01 or more is reported) are included by default in IRS/SSA or state filings.

Administrators and Users with permissions can view and configure State CF/SF Threshold Rules<sup>[260]</sup> and Federal Thresholds<sup>[260]</sup>.

## Federal Thresholds

Federal thresholds are exceptions to form specific IRS/SSA business rule validations. Thresholds vary by form type and may be adjusted annually. Corporate Suite software allows users to review form specific thresholds and optionally, exclude individual records if conditions are not met. For example, if a 2019 1099-MISC record reports a total amount less than \$600 AND Boxes 1, 3, 6, 7, and 10 contain zero amounts AND the Filer applies Federal thresholds, this record is excluded from IRS reporting. This differs from all other 1099 Pro software products that do NOT impose thresholds; thus, all eligible records (assuming \$0.01 or more is reported) are included by default in IRS/SSA or state filings.

### Browse Federal Thresholds

Administrators and Users with permissions can configure Federal thresholds by form type; some forms include threshold variations including 1099-MISC, 1099-INT and W-2G.

1. On the menu bar select File > Security & Administration > Reporting Thresholds.
2. At the Reporting Thresholds and Options screen click the "Manage Federal Limits and Settings" button to access the Browse Federal Threshold Rules screen.
  - Use the "Add" or "Change" buttons as appropriate.
  - Use the "Print Threshold Rules" button to generate a detail of business rule exceptions by form type.

### Test Federal Thresholds

Filers can test records to apply business rules and view exception forms.

1. At the Browse Federal Thresholds Rules screen, check the "Show Federal Threshold Test Options" box to apply test by EIN, PCode (PTIN) or Process Individually.
2. Click the "Test Selected Thresholds Rule" button. After test completes use the "Print/View Report" button to review the very detailed results.

## State CF/SF Thresholds

State thresholds are exceptions to state specific reporting limits. Thresholds are used to determine which records should or should not be reported. They are generally set by the individual state, by form type, and vary each year. Corporate Suite allows users to manage built-in state reporting thresholds that are applied when generating a State Subset File<sup>166</sup> and for submission to the Combined Federal State Filing (CF/SF) Program<sup>147</sup>.

### CF/SF Participation

If a Filer has the CF/SF box checked its forms are eligible to be filed in the Combined Federal State Filing program **if all** of the following requirements are met:

- The state participates in the CF/SF Program, AND
- The form type is included in the CF/SF Program, AND
- The records meet the State Thresholds (discussed below), AND
- There is not a CF/SF Exception rule that excludes the related records from being included in the CF/SF file.



## State Threshold Rules

- Standard Rules—Records meeting the criteria in these rules excluded from state filing; either directly or via the CF/SF program.
- Standard (Custom)—These rules override Standard Rules and can be created/edited by the user. Both Standard & Standard (Custom) rules can be active and the Standard (Custom) rule will trump the standard.
- CF/SF Exceptions—Records meeting the criteria in these rules will be excluded from the CF/SF program filing **even if** the state and form type participate in the program. This is done to accommodate state reporting thresholds, for example if a state requires direct filing.

## Configure CF/SF Thresholds

Administrators and Users with permissions can review and edit CF/SF filing thresholds. Some options may be unavailable based on the form type and user's permissions.

1. On the menu bar select File > Security and Administration.
2. At the Global Administrative Options window select the "Reporting Thresholds" button.
3. From the Reporting Thresholds and Options window, click the "Manage State CF/SF Limits and Settings" button.
4. At the View/Manage CF/SF Filing Thresholds window a list of ALL current state thresholds for ALL states for ALL years is displayed. Available options include:
  - Select State: Select All States or an individual state to view associated thresholds.
  - Select Year: Select All Tax Years or a specific year to view associated thresholds.
  - Select Form: Select All Form Types or an individual form to view associated thresholds.
  - Add: Create a new threshold rule.
  - View: View an existing threshold rule.
  - Delete: Delete a threshold rule.
  - Customize Rule: Edit an existing threshold rule (see Edit Custom Rule below).
  - Report: Generate a report of threshold rules based on view selections (i.e. Select State, Select Form, etc).
  - Status to Display: Select which rules are visible based on their status (i.e. All, Active or Inactive/Bypassed).
  - Rules Type to Display: Select which rules are visible based on the type of rule (i.e. display All rules, Standard, CF/SF Exceptions, etc).

**View/Manage CFS Filing Thresholds**

**Standard Rules** - Forms meeting these criteria will be filed with the state either directly or via CFS.  
**CFS Exceptions** - Forms meeting this criteria will NOT be filed in the CFS program even if they are eligible for CFS filing!

Select State:  Year:  Select Form:

Rules Displayed = 831

Active	Tax Year	Form Type	State	Rule Type
No	2017	1098	AL	Standard
No	2017	1098	AL	Standard (Custom)
Yes	2017	1098	AR	Standard
Yes	2017	1098	CA	Standard
Yes	2017	1098	CT	Standard
Yes	2017	1098	CT	Standard (Custom)
No	2017	1098	DC	Standard
No	2017	1098	GA	Standard
Yes	2017	1098	GU	Standard
Yes	2017	1098	ID	Standard
Yes	2017	1098	ID	Standard (Custom)
Yes	2017	1098	KS	Standard
Yes	2017	1098	KS	Standard (Custom)
Yes	2017	1098	MA	Standard
No	2017	1098	MN	Standard

Buttons: + Add, Change, Delete, Customize Rule, Report, Help, Close

(Buttons may be enabled/disabled based on selected record type and your Security Level)

## Customize Rules

See [Customize State CF/SF Rules](#) <sup>262</sup> to add a new rule or customize an existing one.

## Customize State CF/SF Rules

Thresholds are exceptions to general rule validations and are used to determine which records should or should not be reported. Access this screen via the menu bar > Security & Administration > Reporting Thresholds, Manage State CF/SF Limits & Settings.

## State Threshold Rules

Use to add or edit a built-in state threshold.

1. Select the threshold rule to customize from the View/Manage CF/SF Filing Thresholds window and click the "Customize Rule" or "Add" button as appropriate.
2. At the Record Will Be Added/Changed window options include:
  - Active: When this box is checked the rule is enabled (active), when it is unchecked the rule is disabled.
  - Form Type: The Form Type the rule is associated with.
  - Rule Year: The Tax Year to which the rule applies.
  - Rule Type: Defines the kind of rule that is being edited (i.e., Standard, Standard (Custom) or CF/SF Exception). Review [State Threshold Rules](#) <sup>260</sup>.
  - State: The state that the rule is associated with.
  - State Rules: This box contains the actual rules used when the thresholds are evaluated. See [Modify State Rules](#) below.
3. If customizing a built-in rule the Form Type, Rule Year, Rule Type and State boxes are grayed out; users can only make the rule "Active" or "Inactive" and/or customize the "State Rule" field.

## Modify State Rules

There are two ways to edit the contents of the "State Rules" box.

### Option 1—Manually Code Rules

Users familiar with the names of the fields and mathematical symbols used to evaluate the rules can modify any existing rules or enter new rules at anytime.

### Option 2—Other Method

Users new to customizing threshold rules should use this method.

1. Right-click anywhere in the "State Rules" window.
2. Select "Add", "Edit" or "Delete" to display the corresponding rule.
3. Select or modify all options. At the State Rules window right-click your mouse and "Add", "Change" or Delete".
4. Select or modify the Field Description, Name, Operator and assign a Field Value.
5. Click "Save".

## Field Rules

Users familiar with the names of the internal form fields and mathematical symbols used to evaluate the rules can modify any existing rules or enter new rules at anytime. Otherwise, manually enter the Field Description, Field Name, Operator(s) and assign a Field Value.

## User Fields & Email

### Optional Fields

All 1099 Pro software products allow users the ability to query records by optional field filters. All sample import files and data entry screens include the optional Source, Category and Batch ID fields. Users can populate these fields at their discretion and then use the Custom Query wizard to sort records.

### Corporate Suite Only—Filter Options

Corporate Suite offers enhanced filter options. Most of these options must be preset by the Administrator—or a User with Admin privileges—at the Business Rules & Options area of Security and Administration<sup>231</sup>. The below options are accessible via the tax form data entry screen for all form types. Most of these fields can be populated via import file data by making use of the Custom Import Map Wizard<sup>86</sup>. Further, this optional data can be exported to an ASCII file via the Export Wizard<sup>127</sup>.

### Optional Fields

The Source, Category and Batch ID fields are user specified, internal fields for sorting purposes. This data is often included in an import file.

The Alternate Account/Info field is a secondary, internal reference value and does not print on the tax form.

The screenshot shows the 'Optional Fields' tab selected. Under the heading 'Optional Grouping/Filtering fields', there are four input fields: 'Source', 'Batch ID', 'Category', and 'Alternate Acct/Info'.

### Codes & Flags

Up to three Special Print Codes <sup>254</sup> can be associated per tax form for print or export purposes. Special print codes data can print on select Recipient copies. Codes are set at the *Tax Form Print Codes & Custom Messages* section of Security and Administration.

Custom Codes <sup>265</sup>: User defined codes that print up to 120 characters on Recipient Combined copy forms only.

Processing Restrictions:

- Do NOT Print/Mail to Recipient
- Do NOT File with IRS
- Do NOT Merge with other forms

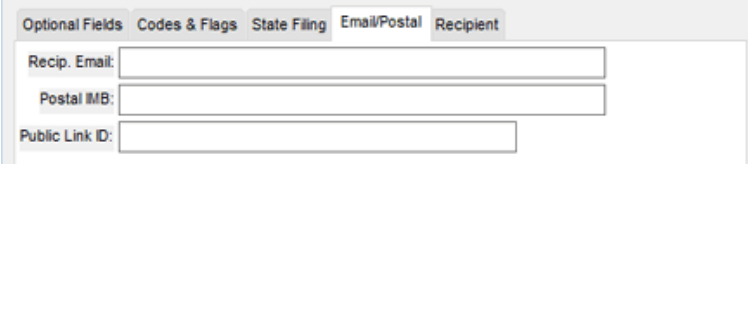
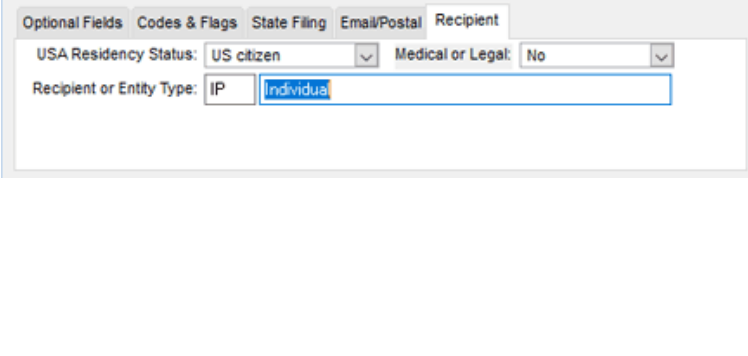
Check the "Select for Print/Export" box to tag individual records for future print/export processes. See Print/Export Checkbox

The screenshot shows the 'Codes & Flags' tab selected. It is divided into three sections: 'Special Print Codes' with three numbered input boxes and a 'Select Codes' button; 'Custom Codes' with a 'Code 1' input box and a 'Select Custom' button; and 'Processing Restrictions' with three checkboxes: 'Do NOT Print/Mail to Recipient', 'Do NOT File the form w/IRS', and 'Do NOT Merge with other forms'. There is also a 'Select for Print/Export' checkbox.

### State Filing

Lists the record's tax reporting state <sup>37</sup> and filing status. Review changes to this record's tax state via the Browse State History <sup>39</sup> screen.

The screenshot shows the 'State Filing' tab selected. It displays 'Current State Filing Status' with 'Type: Original' and 'Status: New Form', and a 'View State History' button. To the right, under 'Optional State Specific Information', it says '\*No designated state fields yet'.

<p><b>Email/Postal</b></p> <ul style="list-style-type: none"> <li>• Recipient Email: Populated by import file data or manually entered.</li> <li>• Postal IMB: Store the decimal value of each Recipient's unique Intelligent Mail Barcode</li> <li>• Public Link ID:</li> </ul>	
<p><b>Recipient</b></p> <ul style="list-style-type: none"> <li>• USA Residency Status: US Citizen, Resident Alien, Non-Resident Alien or Other</li> <li>• Recipient or Entity Type: Use the &lt;F2&gt; key in this field to access the Recipient/Entity Type Code<sup>[257]</sup> database</li> <li>• Medical or Legal: No, Medical Entity or Legal Entity</li> </ul>	

## Manage Oil & Gas Fields

Corporate Suite software allows users to activate up to three oil and gas amount fields for Form 1099-MISC. When activated and populated, amounts from these fields prints on Recipient "Custom Print" forms only. This data is NOT reportable to the IRS and does not print to standard forms. For information on Custom Print layouts, turnaround time and pricing please contact your Corporate Suite Account Manager.

Only Administrators and Users with rights can manage these fields. Manage Oil & Gas fields via the menu bar > File > Security and Administration > "User Fields and Email" button.

## Manage Custom Codes

Corporate Suite includes optional field filters<sup>[41]</sup> on all tax form entry screens. The "Custom Code 1" and "Custom Code 2" fields can be used to import, export or manually enter codes of up to 5 characters. When printing certain PS/ACL layouts this code translates to a string of up to 120 characters for Recipient printouts only. The printed message is user defined and can be assigned a custom font and size. The Custom Code fields print to Pressure Seal/ACL paper type, "Copy B, Instructions, 2, With Custom" forms only. **This data is NOT reportable to the IRS and does not print to standard forms.** Custom codes differ from Tax Form Print Codes & Messages<sup>[254]</sup> which are form type specific.

CORRECTED (if checked)

PAYER'S name, street address, city or town, state or province, country, ZIP or foreign postal code, and telephone no. David Filer first David Filer last 123 main st Address line 2 Calabasas, CA 91302 1 (121) 212-1212x3434343		1 Rents \$	2 Royalties \$	OMB No. 1545-0115 <b>2017</b> Form 1099-MISC
PAYER'S federal identification number 51-2658435		3 Other income \$	4 Federal income tax withheld \$	
RECIPIENT'S identification number XXX-XX-4545		5 Fishing boat proceeds \$	6 Medical & health care payments \$	<b>Miscellaneous Income Copy B - For Recipient</b> This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.
RECIPIENT'S name SMITH HARRY UNIT 1 123 ANY STREET Appleyard, WA 98801		7 Nonemployee compensation \$ 1000.00	8 Substitute payments in lieu of dividends or interest \$	
Account number (see instructions) ABC 123		9 Payer made direct sales of \$5,000 or more of consumer products to a buyer (recipient) for resale <input type="checkbox"/>	10 Crop insurance proceeds \$	
IBEN: Testing the Custom Code field with Comic Sans MS, BOLD, 10 pt, in pink		11	11	
Form 1099-MISC (keep for your records)		13 Excess golden parachute payments \$	14 Gross proceeds paid to an attorney \$	
www.irs.gov/irm1099misc		15a Section 409A deferrals \$	15b Section 409A income \$	
Department of the Treasury - Internal Revenue Service		16 State tax withheld \$	17 State/Payer's state no. \$	
		18 State income \$	18 State income \$	
			Opt1 box ATCA filing requirement <input type="checkbox"/>	

Sample tax form using a "Custom Code". Custom codes are universal and can be applied to any Filer or form type.

Only Administrators and Users with rights can access this section. Access via the menu bar > File > Security and Administration > "User Fields and Email" and "Manage Custom Codes & Text" buttons. See Update Custom Codes<sup>266</sup> and Apply Print Codes<sup>257</sup>

## Update Custom Codes

Use the Custom Code screen to modify custom codes that are printed in certain PS/ACL layouts. This code translates to a string of up to 120 characters and is available for Recipient Combined printouts only. The message that is printed can be assigned a custom font and size. See Manage Custom Codes<sup>265</sup>

## Browse Country Names

The Browse Country Names screen displays all IRS/SSA approved Country Codes. Users can edit codes and run a report of all countries and their associated codes. **CAUTION:** Do not add or edit a country code without first verifying it is IRS approved; unapproved codes risk the IRS rejection of your file.

## Browse Country Names

1. On the menu bar select File > Security & Administration.
2. At the Global Administrative Options screen click the "User Fields and Email" button.
3. Under Lookup and Code Translations click the "Manage Country Names and Codes" button.
4. At the Browse Country Names screen users can Add, Change or Delete the IRS/SSA Country Codes as needed.
5. To run a summary report of all countries and associated codes click the "Export to Excel" button.

## Scheduler Utility

The Scheduler allows users to schedule unattended imports, printing, posting of records, and reporting. This allows users to set these tasks to run during off hours; thereby increasing productivity and decreasing load on your server during business hours.

See Set Email Server<sup>[267]</sup>, Manage Email User Lists<sup>[268]</sup>, Manage Automated Emails/Texts<sup>[268]</sup> and Scheduler Archive<sup>[333]</sup>.

## Manage Scheduled Jobs

Only Administrators and Users with rights can access the Scheduler and manage Scheduled jobs. Access Corporate Suite's Manage Scheduled Jobs window via the menu bar > Utilities > Scheduler.

## Scheduled Job Wizard

Use the "Add" or "Change" buttons on this screen to access the Scheduled Job Wizard<sup>[326]</sup>.

## Browse Scheduled Jobs

The Manage Scheduled Jobs screen details all scheduled jobs.

Column	Description
Scheduled Jobs	User created description of job.
Tax Year/Session ID	Tax year of records in job.
Status/Outcome Results	Possibilities include: Enabled, Failed, Completed or Cancelled
Process Type	Import, Export, Reprint, Import Preprocess (Unpacker), Reports and Archive Scheduler Logs
Start Date/Run Date	The completed job date.
Time	The completed job time.
Next Date/Scheduled Date	The next scheduled job date.
Time	The next scheduled job time.

## Browse Job Summary

This report details parameters<sup>[332]</sup> of the scheduled job.

## Run Browse Job Report

Click the "Browse Job" button to view the Report Options screen. Users are encouraged to preview<sup>[96]</sup> the report, then click "OK" to continue.

## Set Email Server & Account

Settings must be configured in order for the Scheduler<sup>[266]</sup> to email notifications. If your email server is set up for anonymous relay then all options with the exception of "Server" are optional.

Access the Scheduler Utility Email Settings via the menu bar > File > Security and Administration > "User Fields and Email" button.

- **Server:** Specify the location of your server using the domain name or IP address.

- **User Name:** Supply the user name set up for the scheduler on your email server.
- **User Password:** Supply the password for the account set up for the scheduler on your email server.
- **Send Account:** Specify the email address you would like the email to appear as coming from. If this address is not configured on your email server any replies will be returned to the person replying.

## Manage Email Users Lists

The Scheduler's Browse Email List screen displays the email addresses available for notification when a scheduled job is complete. Use the "Add" or "Change" buttons on this screen to enter or update a user's Email Address and Display Name.

## Manage Automated Emails/Text

Use the Email Template screen to change and delete email templates for scheduled jobs. Choose options under "Status of Request" and "Process Type" to select which type of email template to display. Templates can be added at this screen and also during job creation.

Use the "Add" or "Change" buttons on this screen to select the criteria for the email as well as enter a custom text to be sent to the email contact upon Job Completion, Failure, or Cancellation. Unlimited custom templates can be created.

## Puerto Rico Options

Control Numbers are required for each Puerto Rico form type filed. New for Tax Year 2019, control numbers are assigned by the employer and not by the Hacienda.

## Control Number Guidelines

Per Pub. 19-02, "The employer will generate and assign control numbers for withholding forms. Control numbers must be 9 digits and must be unique for the employer, form type, and tax year...The Department does not assign control numbers via text file. The control number will be assigned by the employer on submission. This number must consist of nine digits and cannot be repeated for the same employer, same form type, and same tax year. **Starting tax year 2019 the sequence from 90000000 to 99999999 will be reserved only for the use of the Department for all other submissions, excluding text file submissions."**

In summary, control numbers:

- Are set by the employer, and
- Must be unique for the employer, form type and tax year, and
- Must be 9 digits (cannot contain any alpha characters or delimiters), and
- Cannot contain any numbers within the restricted range established by the Hacienda.

See Puerto Rico Overview<sup>339</sup> and Puerto Rico Electronic Filing<sup>177</sup>

## Manage/Assign Control Numbers

Puerto Rico Control Numbers cannot be manually assigned at the Adding/Changing a Form screen. Set the appropriate year via the "Tax Year" drop menu located on the Corporate Suite main screen.



1. On the menu bar go to File > Security and Administration.
2. At the Global Administrative Options screen click the "Puerto Rico Options" button to access the Puerto Rico Control Numbers screen (verify the tax year).
3. **Manage Control Numbers**— Enter a range of control numbers per the above Control Number Guidelines. Indicate if the range is for Original or Corrected/Amended forms.
4. **Assign ORIGINAL Control Numbers**— Use this button to assign Control Numbers to all PENDING forms without a Control Number. This utility matches control numbers against the previously indicated filer EIN and form type(s). The process starts at the next available number after the highest previously assigned number within the range. If one range runs out it automatically moves to the next range (assuming there is more than one range assigned for that EIN/Form type.) Run the process as many times as necessary. Forms with existing control numbers are not affected.
5. **Assign AMENDED Control Numbers**— Use this button to assign Control Numbers to all CORR/PENDING forms without a Control Number. For tax years 2014 and on a new set of Control Numbers for Amended forms must be assigned.

### Control Number Report

Run the Control Number summary report to view numeric ranges in the system, forms without numbers, the highest used number, etc.

1. On the menu bar go to File > Security and Administration.
2. At the Global Administrative Options screen click the "Puerto Rico Options" button to access the Puerto Rico Control Numbers screen (verify the tax year).
3. View/Print Control Number Report

### Manually Add/Edit a Control Number via SQL

To assign a specific Control Number, it must be directly entered into your database using an update statement. For example:

```
Update Pro1099.Form480_7C
Set ControlNumberPR = XX1234567
Where TaxRecID = 100
```

### Switch Users

#### Logging in as a Different User

When running 1099 Pro software in a multi-user configuration, it is possible to switch users without fully closing the software. Follow the steps below to log in as a different user.

**IMPORTANT:** First close all top level screens in 1099 Pro; "Logon as Different User" is only available when the following window is displayed at the main screen:

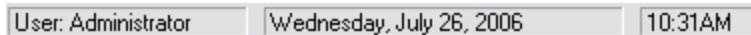


### Switch User Logon

1. On the menu bar select File > Logon as Different User.
2. At the 1099 Pro logon screen, enter the User ID and Password.
3. Click "OK".



Verify the currently signed in user by referring to the [bottom right](#) corner of the screen.



## Reports | Corporate Suite

### Unfiled Forms Summary Report

The Unfiled Forms Summary report details "Filed" or "Not Filed" status for all records by form type and places special emphasis on records containing 1099-MISC Box 7/NEC amounts. ***This report is a great resource to ensure that no records are accidentally overlooked during the filing season.*** See Filing Status—Am I Done?<sup>190</sup>

### Unfiled Forms Summary Report

1. On the Corporate Suite menu bar select Reports > Unfiled Forms Summary Report to display the Unfiled Forms Summary Wizard.
2. Choose how records will be selected.
  - ALL Forms for ALL Filers: This selection includes ALL eligible records for ALL Filers in the software.
  - Selected Form Types for ALL Filers: Use to manually select the form types to include in the report. All Filers are processed.
  - Selected Form Types for Selected Filers: Use to manually select individual Filers and form types for inclusion in the report.
3. Click "Yes" to preview the report.

Report Date:7/16/2018 Report Time:2:11PM		Unfiled Forms Summary Single Filer, All Form Types		Page 1 of 2 Tax Year:2017	
Filer: Dummy Filer Data		Payer Code: PCODE 1 Status: Active		W-2 Estab.:	
TIN: 55-	Location!ED*!	Filed Forms		NOT Filed	
		Originals	Corrections	Originals	Corrections
1097-BTC		0	0	14	0
1098		0	0	1	0
1099-C		0	0	6	0
1099-DIV		0	0	366	0
1099-G		0	0	266	0
1099-INT		0	0	399	0
1099-K		0	0	308	0
1099-MISC w/o Box 7		452	0	94	0
1099-MISC w/ Box 7		102	0	7	0
1099-OID		0	0	312	0
1099-R		0	0	362	0
3921		0	0	3	0
592-B		0	0	1	0
W-2		0	0	62	0
W-2G		0	0	167	0
Filer Totals: Forms with Warnings:		810	With Errors: 1,240	Total Forms: 3,411	Not Filed: 2,438

## Control Totals Report

Control Totals are an invaluable resource for reviewing Recipient records and identifying errors and warnings. This tax form and Filer specific report includes:

- Filer's Name and TIN
- Recipient First Name, Last Name, TIN, Account Number and Address
- Individual record status<sup>50</sup> and date of last update
- Box-by-box totals
- Errors and Warnings<sup>83</sup>
- Number of missing TINs and more....

Corporate Suite also includes a "Custom Reports" tab. Contact your Corporate Suite Account Manager for information on custom report options, turnaround time and pricing.

## Control Totals Report

By default, the Control Totals report includes all form specific details including Recipient First Name, Last Name, TIN, Account Number and Address. Select "Print Totals Only" (Step 7) to generate a summarized report, comparable to a 1096 / 1042-T / W-3 transmittal.

1. Select the form type and Filer.
2. On the menu bar select Reports > Control Totals for Current Filer & Form Type OR on the task panel select Preparing My Forms > Forms Totals Report.
3. At the View/Print Control Totals Report screen select a printer. Consider printing to PDF to save paper.
4. Report Filter and Form Selection Options—Choose a method for selecting records:
  - All Pending Originals for this Filer
  - All Original Forms for this Filer

- Use Query Wizard to choose or create a query
  - Manually select records (tagging)
  - Pending corrections for this Filer
  - All corrections for this Filer
5. Error and Warning Messages—Determine how to print warnings and/or errors. *This option is unavailable if "Print Totals Only" is selected in Step 7.*
- Don't print error and warning details
  - Print error and warning details
  - Print ONLY forms with errors and warnings
  - Print ONLY forms with errors
6. Report Record Ordering Options—Choose how to sort the records:
- By Last Name
  - By TIN
  - By Account Number, then Last Name
7. Report Format Options—Choose a report format:
- Print Preview<sup>[96]</sup>
  - Add custom notes for this report run. Notes appear on last page of report, below the box-by-box totals.
  - Print totals only (suppress individual form details). **Generates a summarized report (i.e., amounts only, no Recipient or error/warning details), comparable to a 1096 / 1042-T / W-3 transmittal, which is suitable to provide to your client, accountant or auditor.**
  - Print Transactions (aggregation) for each tax form (CS Only)
8. To generate report click "Print Now".
9. The last page of the report provides box-by-box summary totals.
- See Troubleshooting Control Totals

## 1099 Series Specific Reports

### Summary Balancing Report

Corporate Suite offers two balancing reports:

- The Summary Balancing Report reflects values by Tax State and Filer including box-by-box totals, total number of records, etc.
- The 945 Federal and State Balancing Report<sup>[274]</sup> (Excel format only) for totaling the amount of FWT and SWT values for select form types; further isolates records by Cutoff Date that may be subject to IRS/SSA penalties.

Also see W-2 Balancing Report<sup>[282]</sup>

### Summary Balancing Report

Generates a Tax State, form specific report by Filer including box-by-box totals, total number of records, etc. with user selected grouping criteria.

Report Date: 7/17/2018 9:08AM

**Form 1099-R Balancing Report**

Page 1 of 1

**Group By Tax State**

**Originals & Corrections**

**Tax Year: 2017**

Box 1: Gross distribution  
 Box 2a: Taxable amount  
 Box 3: Capital gain (included in box 2a)  
 Box 4: Federal income tax withheld  
 Box 5: Employee contrib or insurance pre  
 Box 6: Net unrealized appreciation in em  
 Box 7: Other amount  
 Box 8: Total employee contributions  
 Box 9: Amount allocable to IRR win 5 y  
 Box 10: State tax withheld  
 Box 11: State distribution  
 Box 12: State tax withheld  
 Box 13: State distribution  
 Box 14: State distribution  
 Box 15: Local tax withheld  
 Box 16: Local tax withheld  
 Box 17: Local distribution

**Tax State: CA**

	Form Count:	96,899.95	77,999.97	50,432.95	50,824.94
	73	50,599.95	54,000.08	53,698.96	130,502.96
		52,039.99	54,619.05	55,389.95	51,720.01
		54,750.01			
<b>Grand Totals</b>		96,899.95	77,999.97	50,432.95	50,824.94
<b>Total Forms:</b>	73	50,599.95	54,000.08	53,698.96	130,502.96
		52,039.99	54,619.05	55,389.95	51,720.01
		54,750.01			

Sample 1099-R Balancing Report, Original and Corrected records.

**Run Report**

- On the menu bar select Reports and as appropriate:
  - 1099/1098/5498/W-2G\* Reports > Tax Form Summary Balancing Report, or  
 \*Also includes ACA Forms 1095-B/1095-C and Puerto Rico series forms.
  - 1042-S Specific Reports > 1042-S Tax Form Summary Balancing Report.
- At the 1099 Pro Balancing Report Wizard click the "Next" button to initiate the wizard, go "Back" at any time.
  - For 1099/1098/5498/W-2G specific reports use the "Select Form" button to select the specific tax form to report including Forms 1095-B/1095-C and click "Next"..
- At the Choose How Totals Will Be Calculated screen users can select up to four Sort/Group Levels (or Filer specific filters) to sort totals. At least one Sort/Group Level must be provided. Options include Group By; TIN, Filer/PCode, Filer Dept., Source, Category and Tax State. Data may be further sorted in Ascending/Descending order.
  - Tax State must be defined as either:
    - Filing State**—Determined by hierarchy; first the explicit state in the numbered box on the form, if missing then the tax state, if missing then the Recipient's mailing address state.
    - Explicit**—The Tax State is the State Abbreviation shown in the numbered box on the form. Forms with no explicit state abbreviation are reported as **\*\*NO TAX STATE\*\***.
- Select the Type of Forms to Process For This Report:
  - Originals and Corrections**—Returns all forms except if an original form has been corrected, e.g., the original form has \$100 in Box 1 and the corrected form has \$200 in Box 1, then the \$200 value is included in the totals.
  - Corrections**—Returns all corrections related to an original filed form. For example, if John Doe had a name change to John Smith, both the zeroed out John Doe and the new John Smith correction are included.
  - Originals (Not Corrected)**—Originals excluding originals that have been corrected. For example, if 100 forms are filed and then 1 is corrected, only the remaining 99 forms are included. The corrected forms related to the original are not included.
  - Originals (All)**—Returns all original forms regardless if they were filed or not. This choice also has an option to return only those originals which were filed. Corrections of any type do not impact this report.
- At the Select the Filers screen choose a method for selecting eligible records:

- ALL Filers—This option automatically selects every eligible Filer in the system.
  - Selected Filers—If this option is selected, you will be asked to choose Filers to include during processing.
6. At the Select the States to Process screen tag states to include in this report. At least one state must be tagged or selected.
    - This screen is only available if "Tax State" was selected as one of the Sort/Group Levels in Step 3.
  7. At the Ready to Generate Balancing Report review onscreen settings and if satisfied, click the "Finish" button.

## 945 Federal/State Balancing Report

Corporate Suite offers two balancing reports:

- The 945 Federal and State Balancing Report (Excel format only) for totaling the amount of FWT and SWT values for select form types; further isolates records by Cutoff Date that may be subject to IRS/SSA penalties.
- The Summary Balancing Report<sup>272</sup> reflects values by Tax State and Filer including box-by-box totals, total number of records, etc.

### Federal and State Balancing Reports

The 945 Federal and State Balancing Report generates an Excel spreadsheet detailing Federal (FWT) and/or State Withholding Tax (SWT) to-date. The report for Form 1042-S Federal amounts reflects "Box 7a Federal Tax Withheld" values; State amounts reflect "Box 17a State Tax Withheld" values. The report for Form INT / K / MISC / R / W-2G Federal amounts reflects "Box 4 Federal Income Tax Withheld" values; reflected State amounts vary by form type. Reference Form 945 on the IRS website.

Cutoff Date = 7-17-2018									
Tax Year = 2017									
945 Balancing Report - Federal (Filed Forms Only) Default									
Originals filed before Cutoff Date ( Filed Forms Only) Exclude Do Not File forms									
Exclude records that are marked as Do Not File									
1 - Name Line 1 DUMMY FILER 01-1234567									
FEIN	PCode	Department	Type	1099-INT	1099-MISC	1099-R	W-2G	1099-K	Totals
01-1234567	PCODE123	Contact Dept 1	Original	\$0.00	\$0.00	\$2,800.00	\$0.00	\$0.00	\$2,800.00
01-1234567		EIN Totals	Original	\$0.00	\$0.00	\$2,800.00	\$0.00	\$0.00	\$2,800.00
01-1234567		Totals		\$0.00	\$0.00	\$2,800.00	\$0.00	\$0.00	\$2,800.00

Sample 945 Federal Excel file for 1099 forms. The end of the report (not shown) tallies all amounts for all Filers.

### Run Report

1. On the menu bar select Reports > 1098/1099/5498/W-2G Reports or 1042-S Specific Reports > 945 Federal and State Balancing Report.
2. At the 945 Balancing Report Wizard review onscreen information. Click "Next" to proceed, go "Back" at any time.
3. At the Choose How Totals Will Be Calculated screen options include:
  - Cutoff Date:
    - Late Originals are on or after TODAY'S DATE (by default) or enter appropriate date. All Originals are BEFORE this date.
  - Start a new page whenever the EIN changes by marking check box.

- Report Type:
    - **DEFAULT**—Includes all original transactions entered before the cutoff date, NOT the accounting date. The default report returns the FWT and/or SWT on all Forms 1099-INT / 1099-K / 1099-MISC / 1099-R / W-2G created *prior* to the cutoff date. The cutoff date defaults to the current date unless manually overridden.
    - **COMPREHENSIVE**—Includes default amount from above AND late adds (new transactions on or after the cutoff date) AND net change of ALL corrections (detail of final non-corrected amount versus corrected amount). This report details FWT and SWT on all Forms 1099-INT / 1099-K / 1099-MISC / 1099-R / W-2G in the following manner:
      - On or Prior to the cutoff date regardless of filed status.
      - Late Originals created after the cutoff date.
      - Originals entered on or before the cutoff date.
      - Originals filed on or before the cutoff date.
  - Select 945 Federal or State Balancing Report
  - Forms To File:
    - **Filed Forms Only**—Original defined as filed at the Federal level before the Cutoff Date, Late Originals filed on or after Cutoff Date
    - **Filed AND Not Filed**—Uses the Federal Filing Date for Filed Records. The date used with Not Filed Originals is the date last edited. If the form was not edited then the report uses the date created. Consequently, Late Originals are defined as the date *on or after* the Cutoff Date.
4. At the Select the Filer screen indicate:
    - ALL Filers—This option automatically selects every eligible Filer in the system.
    - Selected Filers—This option allows the user to choose Filers.
  5. At the Generate a 945 Worksheet Export File screen select the Destination Folder to save the export file.
  6. Confirm settings and if satisfied click "Finish" to generate the report.
    - The file name contains two dates and a time; the first date is the cutoff date, the second date is the date and time the report was created. (Example: "945 1099 Federal Balancing Report CD 12-21-201912-21-2019 14-14-29.XLS").
    - The spreadsheet is designed so that users can work with detailed totals by Department or with Filer totals by FEIN.

## Corrections/Late Add Report

The Corrections/Late Add report generates an Excel file detailing those records that either need to be filed OR have been filed as of a set date. The resulting Excel file includes a separate report for each form type via worksheets within the main Excel spreadsheet (worksheets are accessible via tabs at the bottom of the document window).

### Run Report

1. On the menu bar select Reports > 1098/1099/5498/W-2G Reports > Corrections/Late Add.
2. In the Corrections/Late Add Wizard review onscreen information. Click "Next" to proceed, go "Back" at any time.
3. At the Select Form Status screen options include:
  - Type of Export/Report: Federal OR State
  - Cutoff Date: This date is tied to the type of forms\* selected below.

- Export Type: Summary or Detail Records
  - Forms\* To File:
    - **Only Filed/Uploaded Forms**—Includes corrections and late adds filed ON or AFTER the Cutoff Date only.
    - **Only Pending/Printed Filed**—Includes records that have NOT been filed and were created *ON or BEFORE the Cutoff Date*.
4. At the Select the Filers & Forms Types screen indicate:
    - ALL Forms for ALL Filers—Default option
    - Selected Form Types for ALL Filers
    - Selected Forms Types for Selected Filers
  5. Select Eligible States: ALL States or Selected States
  6. Select Destination Folder:
    - Specify the Export File Destination Folder. Check the box to overwrite the Destination File Name (not recommended).
    - Location Where Export File Will Be Created. The default folder is Exports.
  7. Confirm settings and when satisfied click "Finish" to start the Export process. The Administrator indicates when process is complete.

## State Quarterly Report

Use this wizard to generate state quarterly electronic files for select forms and states. Corporate Suite software formats the generated electronic files per each state and form's unique specifications.

### Considerations

- This wizard generates quarterly electronic files for Tax Years 2017 and onwards only.
- Eligible states include California, Maine and New York.
- Eligible form types include 1099-INT, 1099-K, 1099-MISC, 1099-R and W-2G. and W-2.
- Filers/Pcodes with the same EIN are combined under one Filer in the electronic output files for NY, CA and ME.

### Generate State Quarterly Files

For additional assistance on state quarterly files please contact the appropriate state agency.

1. On the task panel select Filing & Corrections > Electronic Filing. Select the type of tax form to process and click "OK".
2. At the Begin a New IRS eFile Generation Session screen click the "Quarterly State Reporting" button and select "Create Quarterly Files" OR on the menu bar select Reports > 1098/1099/5498/W-2G Reports > State Quarterly Report.
3. In the State Quarterly Filing Wizard carefully review special rules for state quarterly processing. Click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Choose how records will be selected. Voided records are not included in quarterly electronic files.
  - ALL Forms for ALL Filers: This selection includes ALL eligible records for ALL Filers (and consequently may generate a very large file).
  - Selected Form Types for ALL Filers: Use to manually select the form types to include in the electronic file. All Filers are processed.



- Selected Form Types for Selected Filers: Use to manually select individual Filers and form types, for inclusion in the electronic file (recommended)
6. Select the States to Generate Files. Tag (or select) the states to include in the electronic file. A separate file is created for each state, but only if forms have been issued to Recipients and taxes withheld for that state.
  7. Specify the File Type and Transmission Medium. Only Original records are processed. Review Filing Deadlines and Important Quarterly Notes below.
    - Select the Quarter to Process:
      - Quarter 1
      - Quarter 2
      - Quarter 3
      - Quarter 4
      - Yearly - Jan. 1st to Dec 31 (Not applicable to CA)
    - Select the Form Type to Process:
      - Only Filed/Uploaded forms—This option generates a file for only records with a Filed or Uploaded status (thus ensuring work is not duplicated).
      - Only Pending/Printed forms—This option generates a file for only records with a Pending or Printed status.
      - ALL Forms—This default option generates a file for ALL records, regardless of status.
  8. At the Select Destination Folder for your State Quarterly Filing screen all electronic files are saved in the MagFiles folder by default. Users are encouraged to save files to a LOCAL drive and then move them as necessary. All files are named automatically and individually for each state. The naming convention is preset for the State abbreviation, filing quarter, today's date and time; for example, **CA Q3TAX 7-30-15 4-43PM.TXT**. States may have their own unique naming requirements. Check with the individual state and rename the file as necessary.
    - Archive a Copy of this File (recommended): Creates an original copy of this file as a BLOB retrievable should your original file become corrupted or lost.
    - Create a State Withholding Summary Report
      - Detail Report: Includes Recipient Names and TINs with totals, by Filer.
      - Summary Report: Includes totals only, by Filer.
    - Excel Exception File: Check this box to filter out records from the XML output file and create an Excel exception file that identifies which records were filtered; for example, records that contain "Trust" or "Inc." in the First or Last Name fields will be filtered.
  9. At the Verify Transmitter information for your State Quarterly Filing screen review Transmitter TCC, TIN and Name for accuracy and modify as necessary. Changes made at this screen are temporary and apply to this session only. To make Transmitter information changes permanent see Browse Transmitter<sup>[228]</sup>. Click "Next" to continue.
  10. At the Verify your Contact and Company Information screen verify information and update as necessary. This information is included in your quarterly report and may be used by a respective state should it have any questions regarding your file. Click "Next" to continue.
    - Required fields include Contact Name, Phone Number (in the XXX-XXXX format), Company Name and Company Address.
  11. At the Ready to Generate State Quarterly eFile(s) screen review settings and click the "Finish" button to initiate the electronic file creation and report (if selected in Step 8). Use the "Back" button at any time.
    - The file is saved to the default file location unless a different location was selected.
    - If a State Withholding Summary Report was selected it automatically displays in PDF format.

12. Transmit file to the appropriate state agency.

## Filing Deadlines

State quarterly filing deadlines vary by state; check with the respective state for specific information.

## Maine—Important Quarterly Notes

Maine (ME) quarterly files require additional editing in order to properly complete and submit the files per the 941ME Withholding eFile format. This is because the 941ME Withholding eFile format requires data that is not present on the 1099 tax form (such as bi-weekly payment dates). Users should review the entire withholding file, which includes, but is not limited to, the below.

## T Record Positions

123-133 - Line 3a from Form 941ME

175-185 - Total Amount Due

## R Record

Users must create and insert the R Record(s) according to the specifications in the 941ME Withholding eFile format. See - <http://www.state.me.us/revenue/magmedia/magmedia.html>, "MEETRS File Formatting Specifications for Electronic Transmittal of Quarterly Income Tax Withholding".

## Import: Zero Drop Balancing Report

Use the Zero Drop Balancing report to reconcile the the total number of records and amounts with outside financial systems.

## Run Report

1. On the menu bar select Reports > 1098/1099/5498/W-2G Reports or 1042-S Specific Reports > Import: Zero Drop Balancing Report.
2. At the Zero Drop Balancing Report Wizard review onscreen information. Click "Next" to proceed, go "Back" at any time.
3. At the Select the Type of Tax Form screen select a form to process.
4. At the Choose Filers and Options screen select:
  - ALL Filers or Selected Filers, and
  - Select a Date Range (current tax year only).

## Daily Totals Report

The Daily Totals Report by UserID displays the total changes made via manual entry by UserID<sup>240</sup>. The user must specify the date, Filer(s) and form(s) to include in this report. This report is useful for tracking changes made to records by individual users.

## Run Report

1. On the menu bar select Reports > 1098/1099/5498/W-2G Reports > Daily Totals Report by User.
2. At the Daily Totals Report by UserID Wizard review onscreen information. Click "Next" to proceed, go "Back" at any time.
3. Set a report date. *The report generates only for one day.*
4. Choose a method for selecting eligible tax forms. Options include:

- ALL Forms for ALL Filers: This option automatically selects every eligible form for all Filers.
  - Selected Form Types for ALL Filers: This option prompts to manually select form types to include. All Filers are processed.
  - Selected Form Types for Selected Filers: This option prompts to manually select the Filers and the form types to include.
5. Review settings and click "Finish" to generate report.

Report Date: 7/16/2018 1:45PM  
 Report Period: 7/16/2018  
 Tax Year: 2017

Page 1 of 1

**Daily Totals Report by UserId**  
 For All Filers based on Security access

UserId: Administrator									
1099-A	Added	+	Increased	-	Decreased	-	Deleted	=	Net
BOX2AMT	0.00		0.00		22,500.00		0.00		(22,500.00)
BOX4AMT	0.00		0.00		12,300.00		0.00		(12,300.00)
Record Count:	0		0		1		0		1
Net Total:									(34,800.00)

**1042-S Specific Reports**

**Summary Balancing Report**

Corporate Suite offers two balancing reports:

- The Summary Balancing Report reflects values by Tax State and Filer including box-by-box totals, total number of records, etc.
- The 945 Federal and State Balancing Report<sup>[274]</sup> (Excel format only) for totaling the amount of FWT and SWT values for select form types; further isolates records by Cutoff Date that may be subject to IRS/SSA penalties.

Also see W-2 Balancing Report<sup>[282]</sup>

**Summary Balancing Report**

Generates a Tax State, form specific report by Filer including box-by-box totals, total number of records, etc. with user selected grouping criteria.

Report Date: 7/17/2018 9:08AM

## Form 1099-R Balancing Report

Page 1 of 1

## Group By Tax State

## Originals &amp; Corrections

Tax Year: 2017

Box 1: Gross distribution  
 Box 5: Employee contrib or insurance pre  
 Box 10: Amount allocable to IRR win 5 y  
 Box 17: Local distribution

Box 2a: Taxable amount  
 Box 6: Net unrealized appreciation in em  
 Box 12: State tax withheld

Box 3: Capital gain (included in box 2a)  
 Box 8: Other amount  
 Box 14: State distribution

Box 4: Federal income tax withheld  
 Box 9: Total employee contributions  
 Box 15: Local tax withheld

## Tax State: CA

	Form Count:	96,899.95	77,999.97	50,432.95	50,824.94
	73	50,599.95	54,000.08	53,698.96	130,502.96
		52,039.99	54,619.05	55,389.95	51,720.01
		54,750.01			
<b>Grand Totals</b>		96,899.95	77,999.97	50,432.95	50,824.94
<b>Total Forms:</b>	73	50,599.95	54,000.08	53,698.96	130,502.96
		52,039.99	54,619.05	55,389.95	51,720.01
		54,750.01			

Sample 1099-R Balancing Report, Original and Corrected records.

## Run Report

- On the menu bar select Reports and as appropriate:
  - 1099/1098/5498/W-2G\* Reports > Tax Form Summary Balancing Report, or  
*\*Also includes ACA Forms 1095-B/1095-C and Puerto Rico series forms.*
  - 1042-S Specific Reports > 1042-S Tax Form Summary Balancing Report.
- At the 1099 Pro Balancing Report Wizard click the "Next" button to initiate the wizard, go "Back" at any time.
  - For 1099/1098/5498/W-2G specific reports use the "Select Form" button to select the specific tax form to report including Forms 1095-B/1095-C and click "Next"..
- At the Choose How Totals Will Be Calculated screen users can select up to four Sort/Group Levels (or Filer specific filters) to sort totals. At least one Sort/Group Level must be provided. Options include Group By; TIN, Filer/PCode, Filer Dept., Source, Category and Tax State. Data may be further sorted in Ascending/Descending order.
  - Tax State must be defined as either:
    - Filing State**—Determined by hierarchy; first the explicit state in the numbered box on the form, if missing then the tax state, if missing then the Recipient's mailing address state.
    - Explicit**—The Tax State is the State Abbreviation shown in the numbered box on the form. Forms with no explicit state abbreviation are reported as **\*\*NO TAX STATE\*\***.
- Select the Type of Forms to Process For This Report:
  - Originals and Corrections**—Returns all forms except if an original form has been corrected, e.g., the original form has \$100 in Box 1 and the corrected form has \$200 in Box 1, then the \$200 value is included in the totals.
  - Corrections**—Returns all corrections related to an original filed form. For example, if John Doe had a name change to John Smith, both the zeroed out John Doe and the new John Smith correction are included.
  - Originals (Not Corrected)**—Originals excluding originals that have been corrected. For example, if 100 forms are filed and then 1 is corrected, only the remaining 99 forms are included. The corrected forms related to the original are not included.
  - Originals (All)**—Returns all original forms regardless if they were filed or not. This choice also has an option to return only those originals which were filed. Corrections of any type do not impact this report.
- At the Select the Filers screen choose a method for selecting eligible records:

- ALL Filers— This option automatically selects every eligible Filer in the system.
  - Selected Filers— If this option is selected, you will be asked to choose Filers to include during processing.
6. At the Select the States to Process screen tag states to include in this report. At least one state must be tagged or selected.
    - This screen is only available if "Tax State" was selected as one of the Sort/Group Levels in Step 3.
  7. At the Ready to Generate Balancing Report review onscreen settings and if satisfied, click the "Finish" button.

### 945 Federal/State Balancing Report

Corporate Suite offers two balancing reports:

- The 945 Federal and State Balancing Report (Excel format only) for totaling the amount of FWT and SWT values for select form types; further isolates records by Cutoff Date that may be subject to IRS/SSA penalties.
- The Summary Balancing Report<sup>272</sup> reflects values by Tax State and Filer including box-by-box totals, total number of records, etc.

### Federal and State Balancing Reports

The 945 Federal and State Balancing Report generates an Excel spreadsheet detailing Federal (FWT) and/or State Withholding Tax (SWT) to-date. The report for Form 1042-S Federal amounts reflects "Box 7a Federal Tax Withheld" values; State amounts reflect "Box 17a State Tax Withheld" values. The report for Form INT / K / MISC / R / W-2G Federal amounts reflects "Box 4 Federal Income Tax Withheld" values; reflected State amounts vary by form type. Reference Form 945 on the IRS website.

Cutoff Date = 7-17-2018									
Tax Year = 2017									
<b>945 Balancing Report - Federal (Filed Forms Only) Default</b>									
Originals filed before Cutoff Date ( Filed Forms Only) Exclude Do Not File forms									
Exclude records that are marked as Do Not File									
1 - Name Line 1 DUMMY FILER 01-1234567									
FEIN	PCode	Department	Type	1099-INT	1099-MISC	1099-R	W-2G	1099-K	Totals
01-1234567	PCODE123	Contact Dept 1	Original	\$0.00	\$0.00	\$2,800.00	\$0.00	\$0.00	\$2,800.00
01-1234567		EIN Totals	Original	\$0.00	\$0.00	\$2,800.00	\$0.00	\$0.00	\$2,800.00
01-1234567		Totals		\$0.00	\$0.00	\$2,800.00	\$0.00	\$0.00	\$2,800.00

Sample 945 Federal Excel file for 1099 forms. The end of the report (not shown) tallies all amounts for all Filers.

### Run Report

1. On the menu bar select Reports > 1098/1099/5498/W-2G Reports or 1042-S Specific Reports > 945 Federal and State Balancing Report.
2. At the 945 Balancing Report Wizard review onscreen information. Click "Next" to proceed, go "Back" at any time.
3. At the Choose How Totals Will Be Calculated screen options include:
  - Cutoff Date:
    - Late Originals are on or after TODAY'S DATE (by default) or enter appropriate date. All Originals are BEFORE this date.
  - Start a new page whenever the EIN changes by marking check box.

- Report Type:
    - **DEFAULT**—Includes all original transactions entered before the cutoff date, NOT the accounting date. The default report returns the FWT and/or SWT on all Forms 1099-INT / 1099-K / 1099-MISC / 1099-R / W-2G created *prior* to the cutoff date. The cutoff date defaults to the current date unless manually overridden.
    - **COMPREHENSIVE**—Includes default amount from above AND late adds (new transactions on or after the cutoff date) AND net change of ALL corrections (detail of final non-corrected amount versus corrected amount). This report details FWT and SWT on all Forms 1099-INT / 1099-K / 1099-MISC / 1099-R / W-2G in the following manner:
      - On or Prior to the cutoff date regardless of filed status.
      - Late Originals created after the cutoff date.
      - Originals entered on or before the cutoff date.
      - Originals filed on or before the cutoff date.
  - Select 945 Federal or State Balancing Report
  - Forms To File:
    - **Filed Forms Only**—Original defined as filed at the Federal level before the Cutoff Date, Late Originals filed on or after Cutoff Date
    - **Filed AND Not Filed**—Uses the Federal Filing Date for Filed Records. The date used with Not Filed Originals is the date last edited. If the form was not edited then the report uses the date created. Consequently, Late Originals are defined as the date *on or after* the Cutoff Date.
4. At the Select the Filer screen indicate:
    - ALL Filers—This option automatically selects every eligible Filer in the system.
    - Selected Filers—This option allows the user to choose Filers.
  5. At the Generate a 945 Worksheet Export File screen select the Destination Folder to save the export file.
  6. Confirm settings and if satisfied click "Finish" to generate the report.
    - The file name contains two dates and a time; the first date is the cutoff date, the second date is the date and time the report was created. (Example: "945 1099 Federal Balancing Report CD 12-21-201912-21-2019 14-14-29.XLS").
    - The spreadsheet is designed so that users can work with detailed totals by Department or with Filer totals by FEIN.

## W-2 Specific Reports

### W-2 Fed/State Summary Balancing Report

Corporate Suite offers several W-2 specific balancing reports:

- The W-2 Summary Balancing Report totals Federal or State withholding boxes by Employer/Filer including box-by-box totals, total number of records, etc.
- The W-2 941 Federal & State Balancing Report<sup>284</sup> (Excel and PDF formats) totals the amount of Federal or State tax by Employer/Filer; isolates records by Cutoff Date that may be subject to IRS/SSA penalties.
- The W-2 SUTA Quarterly Balancing Report<sup>285</sup> totals quarterly wages for State Unemployment Tax Act (SUTA) reporting purposes.
- The W-2 BLS Quarterly Balancing Report<sup>287</sup> totals state quarterly contributions for Bureau of Labor Statistics (BLS) reporting purposes.

Also see 1099 Series Balancing Reports <sup>272</sup>

### Summary Balancing Report

Generate a summary report by Employer/Filer including box-by-box totals, total number of records, etc. with user selected grouping criteria.

Report Date: 7/17/2018 9:49AM		Form W-2 Filing STATE Balancing Report			Page 1 of 2
Group By TIN, Tax State, Employer/PCode				Originals (Not Corrected)	
Tax Year: 2017	State wages, tips, etc. Gross Unemployment Wages	State income tax SDI(Disability)	Local wages, tips, etc.	Local income tax	
<u>TIN: 323232323</u>					
<u>Tax State: CA</u>					
Employer/PCode: 23 32-3232323 EMI					
State Entries: 1	550.00	505.00	505.00	505.00	
	505.00	55.00			
<u>Sub Total for Tax State: CA</u>				550.00	505.00
State Entries: 1	505.00	55.00	505.00	505.00	
<u>Sub Total for TIN: 323232323</u>				550.00	505.00
State Entries: 1	505.00	55.00	505.00	505.00	

Sample W-2 STATE Balancing Report, Original records only.

### Run Report

- On the menu bar select Reports > W-2 Federal/State Summary Balancing Report
- At the W-2 Pro Balancing Report Wizard click the "Next" button to initiate the wizard, go "Back" at any time.
- Select the Type of Summary Balancing Report. Options include summarize Federal or State information.
  - Federal summary (Boxes 1 to 12)
    - Check to include Box 12 amounts totals by code with report.
  - State-by-state summary (Boxes 15 to 20 plus Gross Unemployment Wages)
    - Tax State must be defined as either:
      - Filing State**—Determined by the hierarchy the explicit state in the numbered box on the form, if missing then it would be the tax state, if missing then the state in the Recipient's address.
      - Explicit**—The Tax State is the State Abbreviation shown in the numbered box on the form. Forms with no explicit state abbreviation are reported as **\*\*NO TAX STATE\*\***.
- At the Choose How Totals Will Be Calculated screen select up to four Sort/Group Levels (or Filer specific filters) to sort totals. At least one Sort/Group Level must be provided. Options include Group By; Employer/PCode, Employer Dept., Source, Category, Payer Type and TIN. Data can be further sorted in Ascending/Descending order.
- Choose a method for selecting eligible records: either ALL Filers or Selected Filers.
- Select the Type of Forms to Process For This Report:
  - Originals (Not Corrected)**—Originals forms includes all Pending and Filed forms that are NOT Corrections. For example, if 100 forms are filed and then 1 is corrected, only the remaining 99 forms are included. The corrected forms related to the original are not included.
  - Originals (All)** —Corrected and Not Corrected. This choice also has an option to return only those originals which were filed. Corrections of any type do not impact this report.

- **Corrections**—Returns all corrections related to an original filed form. For example, if John Doe had a name change to John Smith, both the zeroed out John Doe and the new John Smith correction are included.
  - **Originals and Corrections**—Returns all forms *except* if an original form has been corrected, e.g., the original form has \$100 in Box 1 and the corrected form has \$200 in Box 1, then the \$200 value is included in the totals.
7. At the Select the States to Process screen tag states to include in this report. At least one state must be tagged or selected.
    - This screen is only available if "Tax State" was selected as one of the Sort/Group Levels in Step 3.
  8. At the Ready to Generate W-2 Balancing Report review onscreen settings and if satisfied, click the "Finish" button.

## W-2 941 Federal/State Balancing Report

Corporate Suite offers several W-2 specific balancing reports:

- The W-2 941 Federal & State Balancing Report (Excel and PDF formats) totals the amount of Federal or State tax by Employer/Filer; isolates records by Cutoff Date that may be subject to IRS/SSA penalties.
- The W-2 Summary Balancing Report<sup>282</sup> totals Federal or State withholding boxes by Employer/Filer including box-by-box totals, total number of records, etc.
- The W-2 SUTA Quarterly Balancing Report<sup>285</sup> totals quarterly wages for State Unemployment Tax Act (SUTA) reporting purposes.
- The W-2 BLS Quarterly Balancing Report<sup>287</sup> totals state quarterly contributions for Bureau of Labor Statistics (BLS) reporting purposes.

## Federal and State Balancing Reports

The 941 Federal and State Balancing Report allows users to generate *both* a PDF report and an Excel spreadsheet detailing Federal and/or State Withholding Tax to-date. Federal amounts reflect Boxes 1 through 8 values; State amounts reflect Box 17 State Income Tax values. Reference Form 941 on the IRS website.

Cutoff Date = 7-17-2018											
Tax Year = 2017											
941 Balancing Report - Federal (Filed And Not Filed) Default											
Originals entered before Cutoff Date (Filed and Not Filed) Include Do Not File forms											
DUMMY FILER 05-123456											
FEIN	Department	Type	Amt 1	Amt 2	Amt 3	Amt 4	Amt 5	Amt 6	Amt 7	Amt 8	
05-123456	Sales	Original	\$1,239,266.25	\$200,000.00	\$1,124,659.00	\$69,729.30	\$1,239,116.00	\$18,192.19	\$123.00	\$124.00	
05-123456	EIN Totals	Original	\$1,239,266.25	\$200,000.00	\$1,124,659.00	\$69,729.30	\$1,239,116.00	\$18,192.19	\$123.00	\$124.00	
05-123456	Totals		\$1,239,266.25	\$200,000.00	\$1,124,659.00	\$69,729.30	\$1,239,116.00	\$18,192.19	\$123.00	\$124.00	

Sample 941 Federal Excel file for Form W-2. The end of the report (not shown) tallies all amounts for all Employers/Filers.

## Run Report

1. On the menu bar select Reports > W-2 Specific Reports > W-2 941 Federal and State Balancing Report.
2. In the 941 Balancing Report Wizard review onscreen information. Click "Next" to proceed, go "Back" at any time.
3. At the Choose How Totals Will Be Calculated screen options include:



- Cutoff Date:
    - Late Originals are on or after TODAY'S DATE (by default) or enter appropriate date. All Originals are BEFORE this date.
  - Start a new page whenever the EIN changes by marking check box.
  - Report Type:
    - **DEFAULT**—Includes all original transactions entered before the cutoff date, NOT the accounting date. The default report returns the FWT and/or SWT for forms created *prior* to the cutoff date. The cutoff date defaults to the current date unless manually overridden.
    - **COMPREHENSIVE**—Includes default amount from above AND late adds (new transactions on or after the cutoff date) AND net change of ALL corrections (detail of final non-corrected amount versus corrected amount). This report details FWT and SWT in the following manner:
      - On or Prior to the cutoff date regardless of filed status.
      - Late Originals created after the cutoff date.
      - Originals entered on or before the cutoff date.
      - Originals filed on or before the cutoff date.
  - Select 941 Federal or State Balancing Report
  - Forms To File:
    - **Filed Forms Only**—Original defined as filed at the Federal level before the Cutoff Date, Late Originals filed on or after Cutoff Date
    - **Filed AND Not Filed**—Uses the Federal Filing Date for Filed Records. The date used with Not Filed Originals is the date last edited. If the form was not edited then the report uses the date created. Consequently, Late Originals are defined as the date *on or after* the Cutoff Date.
4. At the Select the Filer screen indicate:
- ALL Filers—This option automatically selects every eligible Filer in the system.
  - Selected Filers—This option allows the user to choose Filers.
5. At the Generate a 941 Worksheet Export File screen select the Destination Folder to save the export file.
6. Confirm settings and if satisfied click "Finish" to generate the report.
- The file name contains two dates and a time; the first date is the cutoff date, the second date is the date and time the report was created. (Example: "941 State Balancing Report CD 7-17-2019 7-17-2019 11-31-20.XLS").
  - The spreadsheet is designed so that users can work with detailed totals by Department or with Filer totals by FEIN.

## W-2 SUTA Quarterly Balancing Report

Corporate Suite offers several W-2 specific balancing reports:

- The W-2 Summary Balancing Report<sup>282</sup> totals Federal or State withholding boxes by Employer/Filer including box-by-box totals, total number of records, etc.
- The W-2 941 Federal & State Balancing Report<sup>284</sup> (Excel and PDF formats) totals the amount of Federal or State tax by Employer/Filer; isolates records by Cutoff Date that may be subject to IRS/SSA penalties.
- The W-2 SUTA Quarterly Balancing Report totals quarterly wages for State Unemployment Tax Act (SUTA) reporting purposes.

- The W-2 BLS Quarterly Balancing Report<sup>287</sup> totals state quarterly contributions for Bureau of Labor Statistics (BLS) reporting purposes.

## W-2 SUTA Quarterly Balancing Report

The State Unemployment Tax Act (SUTA) imposes a tax on the wages that employers pay to their employees. This tax is used by the state to fund unemployment insurance programs that benefit fired or laid-off employees. The W-2 SUTA Quarterly Balancing Report generates totals for SUTA reporting purposes.

### Run Report

1. On the menu bar select Reports > W-2 Specific Reports > W-2 SUTA Quarterly Balancing Report.
2. In the SUTA Report Wizard review onscreen information. Click "Next" to proceed, go "Back" at any time.
3. At the Choose How Totals Will Be Calculated screen options include:
  - Select Accounting Quarter
    - Quarter 1 (01/01/2019 to 03/31/2019)
    - Quarter 2 (04/01/2019 to 06/30/2019)
    - Quarter 3 (07/01/2019 to 09/30/2019)
    - Quarter 4 (10/01/2019 to 12/31/2019)
  - Choose a method for selecting eligible records:
    - ALL Filers—This option automatically selects every eligible tax form for every Filer in the system.
    - Selected Filers—This option allows the user to choose Filers.
4. Select the states to process in the report.
5. At the Run Negative Records report screen users can optionally generate a report to view records containing negative SUTA wages.
6. At the Generate an Optional Export File screen check the box to create a SUTA Excel format worksheet. Then select the Destination Folder to save the export file.
7. Select the Address to Use for Filers. For each Filer/Employer included in the SUTA worksheet report, users can select to use either the Filer's own address, or to override ALL addresses with a single master address. For example, if all worksheets should be referred back to a single corporate tax office or similar entity.
  - Individual Filer Address (default)
  - Submitter Address from electronic filing transmittal information
  - Company Address from electronic transmittal information
8. Select Print Options to include additional details to the Quarterly State report. If neither box is checked, only the final summary totals for the selected quarter and states will be generated for the report.
  - Print the Summary Worksheets for each State
  - Print the Transaction detail records for each State
9. Confirm settings and if satisfied click "Finish" to generate the report.
  - The file name contains the date and time the report was created, e.g., "SUTA Worksheet 6-15-2019 10-45AM.CSV".

## W-2 BLS Quarterly Report

Corporate Suite offers several W-2 specific balancing reports:

- The W-2 Summary Balancing Report<sup>[282]</sup> totals Federal or State withholding boxes by Employer/Filer including box-by-box totals, total number of records, etc.
- The W-2 941 Federal & State Balancing Report<sup>[284]</sup> (Excel and PDF formats) totals the amount of Federal or State tax by Employer/Filer; isolates records by Cutoff Date that may be subject to IRS/SSA penalties.
- The W-2 SUTA Quarterly Balancing Report<sup>[285]</sup> totals quarterly wages for State Unemployment Tax Act (SUTA) reporting purposes.
- The W-2 BLS Quarterly Balancing Report totals state quarterly contributions for Bureau of Labor Statistics (BLS) reporting purposes.

## W-2 BLS Quarterly Balancing Report

The Bureau of Labor Statistics (BLS) conducts a quarterly survey of large employers to collect statistical information by employers through State Unemployment Insurance (UI) and Quarterly Contribution Reports (QCRs). The W-2 BLS Quarterly Balancing Report generates totals for BLS reporting purposes. **To successfully run this report requires the use of Transactional Imports<sup>[68]</sup> and Region Codes<sup>[258]</sup>.**

### Run Report

1. On the menu bar select Reports > W-2 Specific Reports > W-2 BLS Quarterly Balancing Report.
2. In the BLS Report Wizard review onscreen information. Click "Next" to proceed, go "Back" at any time.
3. At the Choose How Totals Will Be Calculated screen options include:
  - Select Accounting Quarter
    - Quarter 1 (01/01/2019 to 03/31/2019)
    - Quarter 2 (04/01/2019 to 06/30/2019)
    - Quarter 3 (07/01/2019 to 09/30/2019)
    - Quarter 4 (10/01/2019 to 12/31/2019)
  - Choose a method for selecting eligible records:
    - ALL Filers—This option automatically selects every eligible tax form for every Filer in the system.
    - Selected Filers—This option allows the user to choose Filers.
  - Print States with Multiple Work Sites Only
4. Select the states to process in the report.
5. At the Generate an Optional Export File screen check the box to create a BLS Excel format worksheet. Then select the Destination Folder to save the export file.
6. Confirm settings and if satisfied click "Finish" to generate the report.
  - The file name contains the date and time the report was created, e.g., "BLS Report 6-15-2019 10-45AM.TXT".

## Non-Classified W-2 Transactions

The W-2 Transaction Summary details all W-2 records with missing or invalid accounting dates, Region Codes and/or SUTA states for the current tax year. Grand totals are presented on the last page of the summary including total Transactions, Filers Listed, Recipients Listed and Quarterly Counts. Box 12 codes are individually tallied by dollar amount.

### Run Report

1. On the menu bar select Reports > W-2 Specific Reports > Non-Classified W-2 Transactions.
2. At the W-2 Report Options screen select the printer to use and other report options.
3. Click "OK" to run the report or "Cancel" to exit.

### Withholding Manual Changes Report

The Withholding Excel Report generates an Excel file reflecting manually processed changes in Federal (FWT) and/or State (SWT) withholding during a set date range. Amount changes after Year End filing (such as corrections) are not included in this report. Only those EINs, PTINs and form types allowed by the User's security profile are eligible to be included in this report.

### Run Report

1. On the menu bar select Reports > Withholding Manual Changes (Excel).
2. In the Withholding Report Wizard review important onscreen information. Click the "Next" button to initiate the wizard, go "Back" at any time.
3. Select Form Selection Options:
  - Type of Export/Report to Create—Federal, State or Locality Report
  - Cutoff Date Range—On or After OR On Or Before
  - Records to Include—Include records manually **created** during the date range OR include records that were manually **updated** during the date range.
  - Additional Filters—Include Voided records, Deleted Records, Records Marked as "Do Not File" and Records Marked as "Do Not Print".
4. Select the Filers and Forms Types:
  - ALL Forms for ALL Filers—Default option
  - Selected Form Types for ALL Filers
  - Selected Form Types for Selected Filers
  - ALL Form Types for Selected Filers
5. Select Destination Folder:
  - Specify the Export File Destination Folder. Check the box to overwrite the Destination File Name (not recommended).
  - Location Where Export File Will Be Created. The default folder is Exports.
6. Confirm settings and when satisfied click "Finish" to start the Export process. The Administrator indicates when process is complete.

### Form Counts by Filer/Status Report

The Form Counts by Filer reports generates a listing of all forms sorted by Filer, batched by status, i.e., Pending, Printed, SB Printed, Filed 1096, e-Filed, SB Filed and Not Filed. The last page of the report totals forms with errors and/or warnings and indicates if original or corrected. This report is very useful for tracking the status of forms and determining if records contain errors or warnings and their filing status. See Filing Status—Am I Done?<sup>190</sup>

### Form Counts by Filer Report

1. On the menu bar select Reports > Form Counts by Filer/Status (all Filers/all Form types).
2. Click "Yes" to preview the report.

## eFile Log Summary Report

Referred to as both the Mag Log and Electronic File Log, this report provides in-depth *comparative* summary information on selected Filers, Pcodes, Form Types, or Session IDs. Also see eFile Log Summary<sup>[155]</sup> report for highly detailed information on records by Filer.

### Run Report

1. On the menu bar select Reports > eFile Sessions/Logs Summary Report.
2. At the eFile Log Report Wizard review onscreen information and click "Next" to proceed.
3. At the Limit Log Records for this eFile Log Report screen select a report option. Choices include:
  - **One or more Filers (by PCode)**—Filter the report for only selected PCodes. A PCode or Payer Code is an alphanumeric shorthand used to identify a Payer/Filer in the system. See Filer Record Details<sup>[211]</sup> for further information.
  - **One or more Filers (by EIN)**—Filter the report for only selected EIN(s).
  - **One or more Form Types**—Filter the report for only selected form type(s).
  - **One or more Session IDs**—Filter the report for only selected electronic log session ID(s).
4. At the same screen, users may opt to select the "Group and Generate Additional Subtotals by EIN" checkbox. This feature is useful for tallying up recipient information by Filer. After making appropriate choices click "Next" to continue.
5. At the next screen users must tag the appropriate PCode(s), Filer(s), Form Type(s) or Session ID(s) as indicated in Step 3, then click "Next" to continue.
6. At the Select the Date Range screen the current tax year is set as the default; for example, 1/01/2019 to 12/31/2019 for 1099 Pro 2019. To modify the Log Summary Report setting click the "Date Range To Use" button to customize the date range value by Day/Month/Year or alternately by quarter or tax year. Click "OK" to save changes and then "Next" to continue.
7. Review settings at the Ready To Generate eFile Log Report screen, then click "Finish" to generate report. After clicking the "Finish" button the Administrator automatically prompts to preview the report.

## Recipient Listing Report

The Recipient Listing includes the Name, TIN, and Address of all recipients in the software database. For more detailed recipient information, including Account Numbers and status of any forms, use the Control Totals<sup>[95]</sup> report.

### Recipient Listing Report

1. On the menu bar select Reports > Recipients List or alternately, at the Recipient Master List screen click the "Run Recipient Report" button.
2. At the Recipient Master List screen the Admin prompts to preview report, click "Yes".

## Filer Listing Report


The Filer/Employer/Payer Listing provides detailed Filer specific information including Name, TIN, Contact Information, State ID Numbers and a history of any address changes. All Filers are automatically included in the report. For a detail of Recipient records issued by Filer, see Summary of Forms Issued by Filer<sup>[210]</sup>.


### Filer Listing Report

1. On the menu bar select File > Filers List.

2. At the Filer/Employer/Payer Master List screen select "Run Filer Report".
3. The Administrator prompts to "Print One Filer Per Page" and preview the report. Select as appropriate.

## W-9 and B Notice Tracking

Use the Manage Information Requests screen to track, update, print and view/reprint all previously issued Information Requests (IRs) including Forms W-9 and 1st / 2nd B Notices. Access this screen via the task panel > Help & Extras > W-9/B Notices. Corporate Suite Users see Manage Information Requests (CS) 

Use the Information Request Wizard  to issue new requests including Forms W-9, W-9S and B Notices.

## Viewing Options

Current View/Sort	Sort Information Requests by Recipient's Last Name or TIN (SSN or EIN).
Search for Name/TIN	This feature must be used in conjunction with the Current View/Sort drop menu.
BWH Date Filter	Sort requests by their backup withholding date.
Additional Filters	<p>Place check marks in the below boxes and 1099 Pro filters the list based on the selected criteria.</p> <ul style="list-style-type: none"> <li>• Request Types To Show: <ul style="list-style-type: none"> <li>○ W-9—Show all W-9 requests only.</li> <li>○ W-9S—Show all W-9S Requests only.</li> <li>○ 1st B-Notice—Show only a list of first B-Notice requests.</li> <li>○ 2nd B-Notice—Show only a list of second B-Notice requests.</li> <li>○ Show All—Click this button to automatically place a check mark in all boxes.</li> </ul> </li> <li>• Request Status Types To Show: <ul style="list-style-type: none"> <li>○ Open/Pending—Show all currently open/pending requests.</li> <li>○ Close/Resolved—Show all closed or resolved requests when corrected information has been received back from the recipient.</li> <li>○ Voided—Show all VOIDED requests.</li> <li>○ Escalated—Show only escalated requests.</li> <li>○ Show All—Click this button to automatically place a check mark in all boxes.</li> </ul> </li> </ul>

## Onscreen Buttons

"View/Print Batch Report"	The Information Request Summary Report includes the selected Recipients' TIN/Name/Address When Issued, Current TIN/Name/Address and the Requester/Form Type/Status. The report details the date the information request was originally Created, Closed, any associated B Notices and the Withholding percentage, if applicable.
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"Reprint Forms"	Reprint individual requests by highlighting the record and selecting the "View/Reprint Selected" button.
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### View/Print Report

The Information Request Summary Report includes the selected Recipients' TIN/Name/Address When Issued, Current TIN/Name/Address and the Requester/Form Type/Status. The report details the date the information request was originally Created, Closed, any associated B Notices and the Withholding percentage, if applicable.

Run Information Request Summary Report

### Issue New Requests

Use to access the Print Information Requests Screen and the Information Request Wizard<sup>200</sup>. View previously issued Information Requests in batch and reprint as necessary.

### Update Selected Request

Users can update any record's Request Type (e.g., W-9, 1st B Notice, etc.) with an Open/Pending status. **Requests with a Closed, Escalated or Voided status cannot be updated.**

### Update Status of an Information Request

1. At the Manage Information Requests screen highlight the appropriate record and select the "Update Selected Request" button.
2. At the Changing a Recipient's Record screen users can edit:
  - Current Information - Update Recipient's SSN/EIN, First and/or Last Name.
  - Status of the Information Request:
    - **Leave the Request as Open/Pending**
    - **Close the Request**—Updated information was received.
    - **Void the Request**—It should not have been issued. Once a request is voided it is deemed closed and is no longer available for updates.
    - **Close and Escalate to 1st B Notice/2nd B Notice (never responded)**— If this option is chosen, upon clicking the "Save" button the existing request is closed and the user is taken directly to the Information Request Wizard to create a 1st B Notice or 2nd B Notice request. Closed, Escalated and Voided Requests cannot be updated; although they can be reprinted.
3. Click "Save" to apply changes to all pending records for this Recipient or "Cancel" to exit this screen.

## Forms

### Create, Edit & View

The Work With My Tax Forms screen serves as the primary place to view, edit and track your records. You are encouraged to familiarize yourself with it prior to the onset of tax season.

## Work With My Tax Forms Overview

Access the Work With My Tax Forms screen via the Preparing My Forms task panel > Work With My Tax Forms. In Corporate Suite use the "Current Form" drop menu to switch form types and the "Tax Year" drop menu to select the appropriate year. The Work With My Tax Forms screen allows you to view ALL forms of the selected form type and tax year, sort them by default options or create a custom query. From this screen you can Add, Change, Delete, Quick-Print and Email individual records plus initiate Group Actions.

## Viewing Options

Current Sort/View Order	Sort forms by Last Name/Company, TIN, Account or by creating a custom view <sup>[43]</sup> . See Current Sort/View Order <sup>[43]</sup> for further details. Scroll through results with the mouse or the keyboard UP/DOWN arrow keys.
Current Query/Filter	<p>By default all forms for the selected form type are displayed. You can display a subset of the current form type via the "Current Query" drop menu and select a prebuilt query, e.g. "Filed Corrections Only" or create your own custom query, e.g. "Tax State = CA, Corrected Forms Only", etc. See Custom Query Wizard<sup>[55]</sup></p> <p><i>Note: The "Status" of a form can be used to create powerful queries to limit the records displayed. For example, if two batches of forms were imported—one with a Pending status and the other a Printed status—the displayed forms can be limited by their respective status.</i></p>
Status Column	<p>This column indicates an individual record's position in the filing cycle and is an invaluable reference tool. A record's Status is directly tied to its position in the filing cycle. See Status Overview<sup>[50]</sup></p> <p>Corporate Suite includes both "IRS Status" and "ST Status" columns to allow users to separately track Federal and State filing statuses.</p> <p>Please see <b>Filing Status—Am I Done?</b><sup>[190]</sup></p> <p>* An asterisk appended to a status indicates that the record contains errors and/or warnings<sup>[83]</sup>. For example, Pending* or SB Filed*.</p>
ACA Custom Queries (CS Users Only)	<p>Corporate Suite includes ACA (Forms 1095-B and 1095-C) specific queries to easily sort AIR records and search for dependent related information. Use the "Current Query" drop menu to select amongst the following queries:</p> <ul style="list-style-type: none"> <li>• AIR Waiting—Records have been filed but the AIR ACK1095...XML acknowledgment file has not been imported.</li> <li>• AIR Accepted—Records were accepted without errors by AIR.</li> <li>• AIR Error—Records that AIR identified as having an error that should be corrected.</li> <li>• AIR Rejected—Records that were submitted but AIR rejected the entire submission.</li> <li>• CI SSN Lookup—Find a form with a particular Covered Individual (CI) using the SSN (without dashes).</li> <li>• Receipt ID Lookup—Find an AIR Receipt ID<sup>[154]</sup>, e.g. 1095C-16-00012345.</li> </ul>



## Onscreen Buttons

"Add"	<p>Use to manually add individual records; most users prefer to import their records. All 1099 Pro software products allow records to be added (either manually or via import) up to the user's current transaction limit. Transactions range from 5,000 in a standard software license to an unlimited number of transactions.</p> <p>See Add a Record <a href="#">44</a> and Registration &amp; Upgrades <a href="#">5</a> for more information.</p>
"Change"	<p>Use to change or edit any record with a Pending status; records with any other status are "protected" (locked) and cannot be changed. See Protected Forms Options <a href="#">40</a> screen and <b>Correct a Record</b> <a href="#">46</a> <i>Cascading updates are changes made to a Filer and/or Recipient's information globally throughout all tax forms.</i></p> <p>See Change a Record <a href="#">45</a> and Cascading Updates</p>
"Delete"	<p>Use to delete any individual record with a Pending status; records with any other status are locked and cannot be deleted. To delete records in batch see Group Actions <a href="#">48</a>.</p> <p>See Delete a Record <a href="#">45</a></p>
"Track"	<p>Service Bureau Print+Mail customers can track the delivery of their forms. Requires an active Internet connection.</p> <p>See Mail Tracker™ <a href="#">118</a></p>
"Browse by Form"	<p>The "Browse by Form" button allows you to initiate browsing tax forms using the update form. This allows you to quickly move from form to form while viewing all of the data for each form. When using Browse by Form, the current view and Query settings remain in effect, just as when using the standard browse. For example, when viewing the list of forms in Last Name/Company order, with a Query to only show forms that contain Notes, those settings remain in effect when switching to Browse by Form mode.</p> <p>See Browse by Form <a href="#">32</a> for further instructions.</p>
"Group Actions"	<p>Use to tag (or select) records and perform a single action on them. In all cases, you are prompted to confirm your choice before the action is taken. For example, deleting a group of Pending forms allows you to manually select any number of Pending forms for removal. All associated notes for the forms are likewise deleted.</p> <p>See Group Actions <a href="#">48</a></p>
"Quick-Print"	<p>Use to quickly print an individual tax form, regardless of print status. Simply highlight the form, select "Quick-Print Form" and choose your print options.</p>

	See Quick-Print <sup>[48]</sup>
"Email Tax Form"	Use to email individual tax forms to Recipients. Requires a default mailing client for your computer.  See Email Tax Forms <sup>[52]</sup>
"Print/View Report"	This report is based on the currently selected query (if the default query, All Records, is chosen, then the report is identical to the Control Totals report).  See Print/View Report
"Custom Report"	Use to create and save Custom Query reports. Visibility to these reports can be limited by User by the Administrator.

### Print, Reprint or Reset

All 1099 Pro software products allow you to print forms directly to blank paper or preprinted forms. Many of our users prefer to outsource the printing and mailing of their forms to the 1099 Pro Service Bureau<sup>[109]</sup>—it is SOC 1 Type 2<sup>[7]</sup> secure, cost-effective and efficient.

The Tax Form Print Sessions screen simplifies the in-house printing process. At this screen you can generate Original and Corrected print runs, reprint and reset/void print sessions and more. Access this screen via the task panel > Printing & Mailing > Print/Mail Forms Myself.

### Print Wizard

All 1099 Pro software products allow you to print most forms in-house, directly to blank paper; the exception is IRS Copy A\* forms which require a preprinted form with a special red ink. Most IRS approved, preprinted tax forms are compatible with our software. See **Print Wizard**<sup>[98]</sup> for instructions on printing Original and Corrected forms. To quickly print an individual form see Quick-Print<sup>[48]</sup>.

*\* 1042-S Pro offers a special, IRS approved Copy A form that prints to blank paper with standard black ink.*

### Print Session Considerations

- Print sessions are Filer and Tax Form specific. If a print session is not visible, verify that the correct Filer and tax form are selected.
- The "Session Type" column indicates the type of forms printed including Originals or Corrected.
- Additional columns detail the total number of forms and forms with errors or warnings.
- The "Date Filed" column populates automatically, AFTER an IRS filing is generated for this print session. Options include "Filed 1096/W-3", "MagMedia" or "Upload (Service Bureau)". If the "Date Filed" column is empty, an IRS/SSA filing (or IRS paper transmittal or SB IRS Upload) has NOT been generated for this print session. If this field is populated, it is the USER's responsibility to ensure that the generated IRS filing was successfully submitted to the IRS.

### Custom Print Statements

Corporate Suite offers the ability to print tax data on customized statements for a fee. Select the "Custom Print Process" button to initiate the Custom Statement Wizard<sup>[108]</sup>.

## Reset (Void) Print Session

Highlight any print session that has not been filed to void it. If a print session has been filed (refer to the "Date Filed" column) it cannot be voided until its associated "MagMedia", "1096/W-3" or "Upload" (Service Bureau) file has been reset. A voided session cannot be un-voided.

## Print Session Summary

This report generates a per record detail of a print session. The last page of this report includes Total Form Count, Number of Forms with Missing TINs, Box-By-Box Totals and a State Withholding Breakdown.

## Run Report



1. Click the "View/Print Session Summary" button.
2. Other Report Options include:
  - Preview before printing
  - Print Summary totals only
  - Errors and Warnings only
3. Click "OK" to continue.

## Reprint Print Session



Use to reprint an entire print session.

## Reprint Print Sessions

All 1099 Pro software products make it easy to reprint an entire print session.

- To reprint an individual record, as opposed to an entire print session, see Quick-Print .
- To reprint a group of forms, regardless of print status or session, see Group Actions .

## Reprint a Print Session

1. On the task panel select Printing & Mailing > Print/Mail Forms Myself. Use the Current Form drop menu to select the form type to process.
2. At the Completed Print Sessions screen highlight a print session and click the "Reprint Session" button.
3. Select printer and click "Next" to continue.
  - PDF File Generation—Select a PDF driver such as Adobe PDF to quickly create a digital PDF copy of your tax forms. To protect sensitive data users are encouraged to password protect PDF files and save them to a location on their hard drive or network. See PDF Files
4. Select paper type including:
  - **Blank Stock—Select this option to print the physical form and tax data directly to blank paper. Most users select Blank Stock and Combined Recipient Copies.**  
Review Blank Paper  options.
  - **Preprinted Plain Paper Forms**—Adjust margin alignment  as necessary. *Not available for Forms 1042-S.*
  - **Pressure Seal/ACL**—Some form types offer unique print layouts. For example, 1099-R has alternate layouts to accommodate multi-page instructions. 1042-S has an alternate layout to allow additional characters in the recipient name fields.

5. Select the copies to print. Available options are determined by type of paper selected in previous step.
  - Combined Recipient Copies is a smart choice to print all required recipient copies and instructions on a single page. Must select Blank Stock as paper type.
6. Select the sort order to print forms (this field is unavailable if the print session contains only one record):
  - By Last Name/Company Name (default)
  - By TIN/Name/Account
  - By Zip/Postal Code (use to pre-sort mailings for the post office)
  - By State Abbreviation
  - By Account Name
7. Indicate preview preference:
  - Ask me before processing each copy (default)
  - Yes, preview each selected copy type without asking me
  - No, send the forms directly to the printer without previewing them
8. Advanced Options are only available for Recipient copies. Settings apply to this print run only. Options include:
  - Include a brief, standardized message on all forms
  - Force an "X" in the Corrected box on all forms. **IMPORTANT:** Forcing an "X" does not create a valid correction.
  - Force "0.00" instead of blanks for all zero amounts
  - Modify TIN Masking settings
9. Select the "Print Now" button or "Cancel" to exit the screen.

## Print/Mail via the Service Bureau

The 1099 Pro Service Bureau is proud to offer a variety of services to registered users of 1099 Pro software products, all performed in our secure **SOC I Type II** environment at highly competitive rates.

The Service Bureau Upload Sessions screen provides direct access to optional Service Bureau utilities including Print + Mail, Electronic Filing and Bulk TIN Matching. Additionally, you can view upload sessions, reset/void uploads, complete pending uploads and view reports. Access this screen via the task panel > Filing My Forms > Via the Service Bureau.

### Related Topics:

- Service Bureau—An Overview<sup>109</sup>
- Service Bureau Print+Mail<sup>181</sup> (CS) Wizard, Service Bureau IRS Filing<sup>181</sup> (CS) Wizard and Bulk TIN Matching<sup>124</sup> Wizard

### Service Bureau Specific Considerations

- Upload sessions are Filer specific. If you don't see an upload session, verify that the correct Filer is selected.
- One upload session can contain multiple logs composed of different Filers and form types.
- The "Upload Task" column indicates the type of upload sent to the Service Bureau including: Bulk TIN, Print+Mail, Filing, etc.

- The "Status" column indicates if the upload is "Done (HTTPS)", "Done (Manual)", "Pending" or has been "Voided". It is your responsibility to ensure that all uploads are successfully completed by your scheduled upload date. Please see [Filing Status—Am I Done?](#)<sup>190</sup>

### **Reset (Void) Session**

**Prior to resetting any upload with a "Done" status, see Reset Service Bureau Sessions**<sup>189</sup> **for important considerations.** Otherwise, reset any "Pending" upload session to reset and void.

If there are multiple logs within the session, highlight any single log to void the entire session. A voided session cannot be un-voided.

### **Complete Pending Upload**

Highlight the session to upload and select the "Complete Pending Upload" button. If there are multiple logs within the session, highlight any one log to upload the entire session. To complete a pending upload you must certify your data (even if you've previously done so) via Step 2—Submit Service Bureau Upload<sup>120</sup> and then submit it at the same screen. After successfully uploading the file, the "Status" column updates to "Done".

### **Session Summary**

If selected session has a "Done" status, generates a copy of the signed Upload Confirmation Sheet and, if selected, corresponding Control Totals. If selected session has a "Pending" status, generates a copy of the Summary & Instructions Sheet and, if selected, corresponding Control Totals.

*Submitting a Manual Upload?* Reference your Summary & Instructions Sheet when submitting a manual upload file; it details your upload file name and the Service Bureau's secure FTP site and login credentials.

### **Run Report(s)**

1. Click the "View/Print Session Summary" button.
2. You are prompted to check "Reprint Control Totals" as necessary. Click "OK" to continue.

### **Log Report**

Also referred to as the Upload Form Summary, this report generates a log specific detail of an upload file. The last page of this report includes Total Form Count, Number of Forms with Missing TINs, Box-By-Box Totals and a State Withholding Breakdown.

### **Run Report**

1. Click the "View/Print Log Report" button.
2. You are prompted to select a printer; consider printing to PDF to save paper.
3. Select the Sort Order; by Last Name/First Name or By TIN
4. Other Report Options include:
  - Preview before printing
  - Print Summary totals only
  - Errors and Warnings only

## IRS Instructions and Blank Forms

This software installation includes many helpful IRS/SSA forms and instructions. Additionally, users with an active Internet connection can access current versions of these and other files directly from the IRS/SSA websites. All documents are in PDF format and require Acrobat Reader to be viewed or printed. Download Acrobat Reader for free at [www.adobe.com](http://www.adobe.com).

### Print IRS/SSA Forms & Instructions

#### View Local Files

1. On the task panel select Help & Extras > IRS/SSA Pubs & Links.
2. At the View or Print Blank Forms and Instructions screen set the Current View to "Local files installed on my machine".
3. Highlight a PDF document and click "View the Selected Form". The selected file opens automatically in Acrobat Reader.

#### View Files on Internet

1. User must have an active Internet connection.
2. Follow the appropriate links provided at the Browse IRS Tax Forms<sup>197</sup> help topic.

### Caution—Red Preprinted Copy A Forms and Transmittals

- 1099 Informational Returns: The IRS requires these Copy A forms and 1096 Transmittal sheets to be preprinted with a special red ink that is invisible to IRS scanners. Do NOT send black and white printouts of these forms to the IRS as they will be rejected.
- Form W-2: The IRS allows these Copy A forms and W-3 Transmittal sheets to be 1) printed directly to blank paper using standard black ink per W-2 Pro's IRS approved format, or 2) preprinted with a special red ink that is invisible to IRS scanners.
- Form 1042-S: The IRS allows these Copy A forms and 1042-T Transmittal sheets to be printed directly to blank paper using standard black ink per 1042-S Pro's IRS approved format.

## IRS

### File On Paper

#### Filing 1096 Transmittals

The Paper Filing Session screen features the 1096 Print Wizard<sup>134</sup>. Use this wizard to process Form 1096, Annual Summary and Transmittal of U.S. Information Returns, to transmit paper Forms 1099, 1098, 5498, and W-2G to the IRS. Do not use Form 1096 if filing electronically. Don't want to bother with preprinted forms? Consider filing via the 1099 Pro Service Bureau<sup>109</sup>.

Access the Paper Filing Session window via the task panel > Filing My Forms > Filing on Paper.

#### 1096 Considerations

- **Effective TY 2018**—If filing a *combined total* of 250 or more Forms 1099, 1098, 5498, and W-2G you are required to submit them electronically. If filing less than 250 Forms you are encouraged to file them electronically. See new Rule-of-250<sup>27</sup> requirement.
- Form 1096 can only be generated for records with a Printed status.
- The preprinted 1096 contains a special red ink, invisible to the IRS scanners. Although printed data should ideally align in the proper box, it is OK if the data slightly overlaps the red ink.

- Print a test page to blank paper to minimize form waste. Align margins<sup>104</sup> if data does not align in the proper box.
- A corrected 1096 automatically prints "Filed to Correct TIN, Name &/or Address" or "Filed to Correct Document Type" at the bottom of the transmittal.
- **Help—I filed electronically but my accountant needs a copy of my 1096!** When filing electronically there is no 1096; however, the Control Totals<sup>95</sup> report provides box-by-box summary totals on the last page. This comparable report is suitable to provide to your accountant or auditor.

### Onscreen Options

Button	Description
"View/Print Session Report"	The 1096 Session Summary report details all data for the selected transmittal.
"Reset (VOID) 1096"	Void a 1096 and all records in that print session are automatically reset to Printed status.
"Reprint 1096 Form"	See Reprint Transmittal <sup>140</sup>

### Filing 1042-T Transmittals

The Paper Filing Session screen features the 1042-T Print Wizard<sup>134</sup>. Use this wizard to process Form 1042-T, Annual Summary and Transmittal of Forms 1042-S, to transmit paper Forms 1042- to the IRS. Use a separate Form 1042-T to transmit each type of Form 1042-S (i.e., Original, Pro-Rata or Amended). Do not use Form 1042-T if filing electronically. Don't want to bother with preprinted forms? Consider filing via the 1099 Pro Service Bureau<sup>109</sup>.

Access the Paper Filing Session window via the task panel > Filing My Forms > Filing on Paper.

### 1042-T Considerations

- If filing 250 or more Forms 1042-S you are required to submit them electronically. If filing less than 250 Forms 1042-S you are encouraged to file them electronically. If you are a financial institution you are required to submit Form 1042-S electronically irrespective of the number of Forms 1042-S you submit.
- Filing Forms 1042 and 1042-S. Use of this form to transmit paper Forms 1042-S does not affect your obligation to file Form 1042, Annual Withholding Tax Return for U.S. Source Income of Foreign Persons.
- Form 1042-T can only be generated for records with a Printed status.
- 1042-S Pro software prints an IRS approved Form 1042-T directly to blank paper—there is no special red ink form.
- A corrected 1042-T automatically prints "Filed to Correct TIN, Name &/or Address" or "Filed to Correct Document Type" at the bottom of the transmittal.
- **Help—I filed electronically but my accountant needs a copy of my 1042-T!** When filing electronically there is no 1042-T; however, the Control Totals<sup>95</sup> report provides box-by-box summary totals on the last page. This comparable report is suitable to provide to your accountant or auditor.

### Onscreen Options

Button	Description
"1042-T Session Report"	The Print Session report summarizes all data for the selected transmittal.
"Reset (VOID) 1042-T"	Void a 1042-T and all records in that print session are automatically reset to Printed status.
"Reprint 1042-T Form"	See Reprint Transmittal <sup>140</sup>

### Filing W-3 Transmittals

The Paper Filing Session screen features the W-3 Print Wizard<sup>136</sup>. Use this wizard to process Form W-3, Transmittal of Wage and Tax Statements, to transmit paper Forms W-2 the IRS. Do not use Form W-3 if filing electronically. Don't want to bother with preprinted forms? Consider filing via the 1099 Pro Service Bureau<sup>109</sup>.

Access the Paper Filing Session window via the task panel > Filing My Forms > Filing on Paper (via W-3).

**Did You Know?** W-2 Pro and Corporate Suite software both print IRS W-2 Copy A and the W-3 Transmittal directly to blank paper. This IRS approved version prints in black ink per IRS Pub. 1223.

### W-3 Considerations

- If filing 250 or more Forms W-2 you are required to submit them electronically. If filing less than 250 Forms W-2 you are encouraged to file them electronically.
- Form W-3 can only be generated for records with a Printed status.
- Print a test page to blank paper to minimize form waste. Align margins<sup>104</sup> if data does not align in the proper box.
- Corrected Forms W-2c must be filed via Form W-3c, see Filing W-3c Transmittals<sup>137</sup>.
- **Help—I filed electronically but my accountant needs a copy of my W-3!** When filing electronically there is no W-3; however, the Control Totals<sup>95</sup> report provides box-by-box summary totals on the last page. This comparable report is suitable to provide to your accountant or auditor.

### Onscreen Options

Button	Description
"View/Print Session Report"	The W-3 Session Summary includes all data for the selected transmittal with box-by-box totals on the last page.
"Reset (VOID) W-3"	Void a W-3 and all records in that print session automatically reset to Printed status.
"Reprint Form W-3"	See Reprint Transmittal <sup>140</sup>

### Filing W-3c Transmittals

The Paper Filing Session screen features the W-3c Print Wizard<sup>138</sup>. Use this wizard to process Form W-3c, Transmittal of Corrected Wage and Tax Statements, to transmit corrected paper Forms W-2c



the IRS. Do not use Form W-3c if filing electronically. Don't want to bother with preprinted forms? Consider filing via the 1099 Pro Service Bureau <sup>109</sup>.

Access the Paper Filing Session window via the task panel > Filing My Forms > Filing Corrections Form W-3C.

### W-3c Considerations

- If filing 250 or more Forms W-2c you are required to submit them electronically. If filing less than 250 Forms W-2c you are encouraged to file them electronically.
- Form W-3c can only be generated for corrected records with a Printed status, i.e., "Corr/Printed".
- Corporate Suite and W-2 Pro software print an IRS approved Form W-3c directly to blank paper—there is no need for a special red ink form.

### Onscreen Options

Button	Description
"View/Print Session Report"	The W-3c Session Summary offers two report options. Both reports include detailed employee data and box-by-box totals on the last page. 1 All Info—Report is in W-2 format and details current values. 2 Changes—Report is in W-2c format and compares both Original and Corrected values.
"Reset (VOID) W-3c"	Void a W-3c and all records in that print session automatically reset to Printed status.
"Reprint Form W-3c"	See Reprint Transmittal <sup>140</sup>

### Create Electronic Files

The Electronic Filing Session screen features the electronic filing utilities available in your 1099 Pro\* software product. These utilities are appropriate if submitting electronic files directly to the IRS, SSA or other agency. If filing via the 1099 Pro Service Bureau see Service Bureau Uploads <sup>114</sup>.

Access the Electronic Filing Session window via the task panel > Filing My Forms > Electronic Filing.

### Electronic File Formats

eFile Format	Software Product	Accessed Via
Federal Files (1220 Format)	1099 Pro Enterprise & Corporate Suite	Enterprise: "Create a New 1220 Format File for e-File" button. CS: "Create an IRS FIRE or AIR eFile" button > "Create 1220 Format Files" button.
Federal Files (1187 Format)	1042-S Pro & Corporate Suite	1042-S Pro: "Create a New 1042-S Electronic File" button. CS: "Begin a New File Generation Process" button.
Federal Files (EFW2/EFW2c Format)	W-2 Pro & Corporate Suite	W-2 Pro: "Create a New SSA Format Electronic File" button. CS: "Create an SSA (Federal EFW2) Formatted File" button.

eFile Format	Software Product	Accessed Via
Federal Files (ACA Format)	Corporate Suite Only	"Create an IRS FIRE or AIR eFile" button > "Create 1095 XML Files" button.
Federal Files (FATCA XML Format)	8966 Pro Only	"Create an 8966 FATCA XML File" button.
State Subset Files	1099 Pro Enterprise, W-2 Pro & Corporate Suite	Enterprise: "Create State Subset Files" button. W-2 Pro: "Create State Subset Files" button. CS: "Create State Subset Files (W-2/499R2)" button.
State Quarterly Files	Corporate Suite Only	"TY Quarterly State Reporting" button. See State Quarterly Files Wizard <sup>171</sup>

\*1099 Pro Professional offers electronic filing only via the Service Bureau for a fee.

### Completed eFile Sessions List

This screen is composed of logs detailing all electronic files generated via the eFile wizard. Not all columns are included in all 1099 Pro software products.

Column	Description
Log	A unique number assigned to each file generated by the eFile Wizard. Logs are batched by Filer, Form Type and Trans Type. Multiple logs can be included in a single session.
Session	A number assigned to any group of files generated together by the eFile Wizard. One session can include multiple logs.
Filer TIN	The Filer TIN associated with a specific log.
Form Type	The form type associated with a specific log.
Copy Count	The number of forms generated for a specific log.
Trans Type	The type of transaction for a particular log (varies by software product): <ul style="list-style-type: none"> <li>• 1099 Pro types include: "Originals", "VOID: Originals", "G Corrections", etc.</li> <li>• 1042-S Pro types include "Originals", "Pro-Rate Originals", "VOID: Originals", etc.</li> <li>• W-2 Pro types include "Originals", "VOID: Originals", "Corrections", "State Subset File - STATE", etc.</li> <li>• 8966 Pro types include "Originals", "VOID: Amended", "Void", etc.</li> </ul>
Info	Indicates if the session was processed for Federal or State eFiling. FEDERAL FILES— <ul style="list-style-type: none"> <li>• CFS: Session had the Combined Federal State Filing flag set "On".</li> <li>• Std.: Session had the Combined Federal State Filing flag set "Off".</li> </ul> STATE FILES— <ul style="list-style-type: none"> <li>• The information field for the state files uses the following pattern: Letter + Letter, e.g., "U+A".</li> <li>• The first letter position denotes the primary process filer:</li> </ul>

Column	Description
	<ul style="list-style-type: none"> <li>○ U: Unfiled records</li> <li>○ A: All Records</li> <li>● The second position is a static "+" (plus).</li> <li>● The third letter position denotes the threshold setting used. <ul style="list-style-type: none"> <li>○ A: No thresholds were applied (all eligible forms were selected).</li> <li>○ S: Only state thresholds were applied.</li> <li>○ F: Only federal thresholds were applied.</li> </ul> </li> </ul>
Session Date	The date the session file was created.
Time	The time the session was created.
Receipt ID <sup>154</sup> (Corporate Suite)	Tracks the IRS confirmation for AIR filings specific to Forms 1095-B and 1095-C (ACA). Use the "Update 1095/1094" button to manually populate this field.
Reset/Voided	Indicates the date a session was voided or reset.
File Name	Details the file name and location saved.

### Onscreen Options

Button	Description
"View/Print Log Report"	Generate an eFile Log Summary <sup>155</sup> report for the currently selected session including box-by-box totals, state withholding breakdowns, Recipient count and individual Recipient details, etc.
"Reset/Void Session"	Use to Void/Reset the highlighted electronic filing session including all log IDs associated with that session. See Reset eFile Session <sup>158</sup>
"Visit IRS FIRE Site" or "Visit SSA BSO Site"	Direct access to government agencies.
Restore Archived File (Corporate Suite)	The eFile Wizard allows users to create an archival copy of their electronic or magnetic media file in a Binary Large Object (BLOB) retrievable format should their original eFile become corrupted or lost. Click this button to restore such an archived file. See eFile Archiving
Session Tracking (Corporate Suite)	Use to document an eFile's upload date, the IRS/SSA/State assigned file name or tracking ID, and if the file was Accepted or Rejected. See Browse Session List <sup>146</sup>
"Update 1094/1095" (Corporate Suite)	Use to document an eFile's upload date, the IRS/SSA/State assigned file name or tracking ID, and if the file was Accepted or Rejected. See Receipt ID <sup>154</sup>

## Service Bureau Filings

The 1099 Pro Service Bureau is proud to offer a variety of services to registered users of 1099 Pro software products, all performed in our secure **SOC I Type II** environment at highly competitive rates.

The Service Bureau Upload Sessions screen provides direct access to optional Service Bureau utilities including Print + Mail, Electronic Filing and Bulk TIN Matching. Additionally, you can view upload sessions, reset/void uploads, complete pending uploads and view reports. Access this screen via the task panel > Filing My Forms > Via the Service Bureau.

### Related Topics:

- Service Bureau—An Overview
- Service Bureau Print+Mail (CS) Wizard, Service Bureau IRS Filing (CS) Wizard and Bulk TIN Matching Wizard

### Service Bureau Specific Considerations

- Upload sessions are Filer specific. If you don't see an upload session, verify that the correct Filer is selected.
- One upload session can contain multiple logs composed of different Filers and form types.
- The "Upload Task" column indicates the type of upload sent to the Service Bureau including: Bulk TIN, Print+Mail, Filing, etc.
- The "Status" column indicates if the upload is "Done (HTTPS)", "Done (Manual)", "Pending" or has been "Voided". It is your responsibility to ensure that all uploads are successfully completed by your scheduled upload date. Please see Filing Status—Am I Done?

### Reset (Void) Session

**Prior to resetting any upload with a "Done" status, see Reset Service Bureau**

**Sessions** for important considerations. Otherwise, reset any "Pending" upload session to reset and void. If there are multiple logs within the session, highlight any single log to void the entire session. A voided session cannot be un-voided.

### Complete Pending Upload

Highlight the session to upload and select the "Complete Pending Upload" button. If there are multiple logs within the session, highlight any one log to upload the entire session. To complete a pending upload you must certify your data (even if you've previously done so) via Step 2—Submit Service Bureau Upload and then submit it at the same screen. After successfully uploading the file, the "Status" column updates to "Done".

### Session Summary

If selected session has a "Done" status, generates a copy of the signed Upload Confirmation Sheet and, if selected, corresponding Control Totals. If selected session has a "Pending" status, generates a copy of the Summary & Instructions Sheet and, if selected, corresponding Control Totals.

*Submitting a Manual Upload?* Reference your Summary & Instructions Sheet when submitting a manual upload file; it details your upload file name and the Service Bureau's secure FTP site and login credentials.

### Run Report(s)

1. Click the "View/Print Session Summary" button.
2. You are prompted to check "Reprint Control Totals" as necessary. Click "OK" to continue.

### Log Report

Also referred to as the Upload Form Summary, this report generates a log specific detail of an upload file. The last page of this report includes Total Form Count, Number of Forms with Missing TINs, Box-By-Box Totals and a State Withholding Breakdown.

### Run Report

1. Click the "View/Print Log Report" button.
2. You are prompted to select a printer; consider printing to PDF to save paper.
3. Select the Sort Order; by Last Name/First Name or By TIN
4. Other Report Options include:
  - Preview before printing
  - Print Summary totals only
  - Errors and Warnings only

### Correct Filed Forms

For a fee, the Service Bureau<sup>109</sup> can Print+Mail and/or IRS File your corrections. Most users print the corrections themselves, in-house, and send only an IRS File to the Service Bureau. The cost to IRS File corrections is a flat \$45 per upload. The minimum cost to Print+Mail+IRS File is \$85 per upload for Original or Corrected records.

**Corrections Requirement**—Corrected returns must be filed electronically if the original return was filed electronically. Reference IRS Regulation, 26 CFR 301

### About Corrections—An Overview

The About Corrections screen displays all form types that contain corrected records. To begin the process of making a correction(s), see Correct a Record<sup>46</sup>.

### View About Corrections Screen

On the task panel select Help & Extras > Correcting Filed Forms. A red check displays to the left of any form type containing corrected records.

### When do I need to create a correction?

If a return is filed with the IRS/SSA and an error is discovered it must be corrected *as soon as possible*. Some corrections require one return, others require two. All 1099 Pro software products intuitively create the appropriate corrected return(s) based on the type of correction created. Additionally, users must provide corrected returns to Recipients as soon as possible. Filers may be subject to penalties<sup>27</sup> for failure to file correct information returns or furnish a correct payee statement. See Types of Corrections<sup>195</sup>

### Corrections Deadlines

*Corrections are due within 30 days of the original file acceptance date. After 30 days of the original filing deadline, Filers have until August 1st to submit corrections before the next potential penalty tier. For further information reference the IRS General Instructions for Certain Information Returns, Failure To File Correct Information Returns by the Due Date (Section 6721) and Penalties: "If you do not file corrections and you do not meet any of the exceptions to the penalty, the penalty is \$270 per information return". It is never too late to file corrections—including prior year corrections, too!*

### **Do I need to file corrections with the IRS?**

Filers only need to file a correction with the IRS/SSA if incorrect data was sent to the IRS. For example, if Recipient copies were mailed in January and errors were changed prior to sending data to the IRS/SSA, then no correction is necessary.

### **Are Address-Only Corrections Reportable to the IRS?**

Records reflecting address-only corrections are not eligible for filing with the IRS. Records with a corrected STATE may require direct reporting—either on paper or electronically—with the associated state(s). Contact your accountant and/or the specific state(s) for guidance; state reporting requirements vary and 1099 Pro cannot advise in this matter. Records with only a corrected STREET ADDRESS, CITY, STATE and/or ZIP are automatically excluded from Corrected IRS electronic files and Service Bureau Uploads.

### **Do I need to issue corrections to my Recipients?**

Yes, the IRS requires Filers to issue a "correct payee statement" to Recipients.

- If forms were sent with incorrect data to Recipients, but not to the IRS, consider sending Recipients a *revised* statement reflecting the accurate data. These forms will have a "Pending" or "Printed" status in the software. The corrected box is not marked; however, some Filers manually check the box with a pen to aid the Recipient in distinguishing the revised (good) form from the original issue form.
  - Filers can also force an "X" in the corrected box using the Advanced Print Options<sup>102</sup>. *Forcing an "X" does not qualify as a valid IRS correction.*
- If forms were sent with incorrect data to Recipients AND filed with the IRS a formal correction is required and corrected copies must be both sent to the Recipient and filed with the IRS. After generating the corrections these forms have a "Corr/Pend" status and the corrected box on the Recipient copy is automatically marked with an "X" when printed. See Correct a Record<sup>46</sup>

### **Special Circumstances (10 Day Window)**

If an IRS file was submitted within the last 10 calendar days and an error is discovered in it, the Service Bureau may be able to contact the IRS and request the file be marked as "BAD". Based on the User's individual circumstances, the Service Bureau will instruct the User to either 1) submit a new Original file to the Service Bureau, or 2) submit a Replacement file to the Service Bureau. The Service Bureau charges \$85 to take this action on behalf of the customer *in addition* to any Service Bureau processing fees. Email sb@1099pro.com for assistance as soon as the error is discovered.

### **For More Information ...**

Tax year 2019 form specific IRS/SSA instructions are available within this software installation and are accessible via the task panel > Help & Extras > IRS Pubs & Links. Double-click on any form or instruction to open, view or print it.

### **Request Filing Extension (CS Only)**

Corporate Suite software offers three ways to request IRS filing extensions.

#### **Considerations**

- Extension requests are for IRS filing extensions only, not for providing Recipient or Employee copies.
- Extension requests must be made *PRIOR* to the filing deadline.
- A separate extension request must be made for each Filer. Corporate Suite offers a Multi-Filer Extension utility to streamline this process.
- A TCC number is not required to file an extension request.
- Extension requests for Form W-2 are NOT automatically granted.

#### **Multi-Filer Extension Utility**

Corporate Suite features this time-saving utility to bundle multiple Filers into a single filing extension request.

1. On the menu bar select Filing > Request a 30 Day Extension.
2. At the About Requesting a Filing Extension screen click the "Create an Upload File Now" button.
3. At the Filing Extension Request Wizard screen complete onscreen, required fields.
4. Click "Proceed" to generate file.
5. The file is saved to C:\1099 Pro\Pro99CS\Exports with the naming convention of "Extension Request XX-XX-201X 9-54-53AM.txt".
6. The Administrator prompts the User to immediately to to the IRS FIRE site and post their file ASAP.

#### **Internet Extension Requests**

Go to the IRS FIRE site at <https://fire.irs.gov/>. Log into the system (create login credentials if necessary) and select "Extension of Time Request" > "Fill-In Extension Form". This form must be completed manually for each Filer requesting an extension of time to file.

#### **Print/Mail Extension Requests**

Use IRS Form 8809 to print and mail your requests to the IRS.

### **Utilities**

#### **Name/Address Reconcile**

Corporate Suite users can run a reconciliation to view tax forms with matching TINs and select a "preferred" form with the best name and address combination.

#### **Run Name/Address Reconciliation**

1. On the menu bar select Utilities > Name/Address Reconcile.
2. At the Recipient Name/Address Reconciliation by TIN Options screen select:

- Filer Selection Options—Current Filer Only
  - Form Type Selection Options—Current Form Type, All Form Types (within User's Security settings), Selected Form Types
  - Skip a TIN if all forms have been previously matched.
  - Include all Form Status (if not checked, selects only forms that can be updated)
  - Export the matching TIN results to Excel instead of viewing them. The generated Excel file is saved to the Exports folder.
  - Apply Recipient TIN Range Filter—Apply TIN range to filter values. Set From and To TIN values.
3. Click "OK" to start the reconciliation.
  4. If any forms with matching TINs are located, the User has the option to select a "preferred" Name/Address combination and apply it to the other matching forms.

## Import Wizard Overview

The Corporate Suite Import Wizard streamlines the import process. Your Tax Form, Filer Only or Recipient Only data is accessible within the software after the successful loading and posting of your import file.

### Import Wizard

- **Load Data**<sup>[59]</sup>—Initiate the import process.
- **Post Data**<sup>[63]</sup>—Post your imported data, then access it at the Work With My Tax Forms screen and other areas.

### Related Topics:

- Sample Import Files<sup>[72]</sup>—Successfully structure your import data.
- Import File Conventions<sup>[73]</sup>—Review TIN, Name, address and other required field specifications.
- Import Overview<sup>[57]</sup>—Understand the Import Sessions screen and import session statuses.
- Error and Validation Checks<sup>[83]</sup>—Fix problem records before posting your import data.
- Delimited or Excel<sup>[86]</sup> and Fixed Length<sup>[89]</sup> import maps.
- Transactional Imports<sup>[68]</sup>—Aggregate tax form amounts.
- Year-To-Date Imports<sup>[69]</sup>—Override existing tax form amounts and select fields.
- Zero Drop Process<sup>[70]</sup>—Drop (delete) records not included in your latest YTD import.

## Custom Import Maps

### Delimited/Excel Custom Import Maps

All 1099 Pro software products offer custom Import Wizards to simplify the process of creating Delimited/Excel or Fixed Length<sup>[89]</sup> import maps. Corporate Suite users must always create custom import maps.

### Related Topics:

- Import Wizard (CS Only)<sup>[28]</sup>
- Import Map Report<sup>[93]</sup>



## Create Delimited/Excel Import Map (CS Only)

Import tax form specific, Recipient only, Filer only or generic Puerto Rico data in delimited and Excel formats (i.e., .XLS, .XLSX, .CSV, tab-delimited and pipe-delimited files).

1. On the task panel select Preparing My Forms > Import New Tax Forms.
2. At the Begin a New Import Session screen, click the "Create/Manage/Print Import Maps" button.
3. Select the data to import: tax form specific, Recipient only, Filer only or generic Puerto Rico and confirm the tax year.
4. The Manage Import Maps screen opens per your selected criteria. Import maps are defined by their Map Type (form type or Recipient only or Filer only), File Format (Excel, Delimited or Fixed Width), Process Type (Standard, Transactional or YTD), Status and Description.
5. At the Manage Import Maps screen click the "Add" or "Change" button and select Excel or Delimited as your import format.
6. The Delimited/Excel Import Wizard opens. Select a method for creating your list of import fields.
  - **Sample File (Recommended!)**— Use a sample file to populate the column headers. Click "Next" to browse for your sample import file.
  - **Map by Name (Manual Entry)**— Create a list of column headers based on data contained in the first record of your import file. Then use these headers to manually map columns in your import file to the correct import field. Click "Next" to enter your header values, one per line.
7. Map the Import Fields/Columns to Data Fields options include:
  - **Map by Name**— Use to automatically map fields with identical names. To cancel a Map by Name, use the "Reset/Clear the Map" button. See Combined Address Mapping below.
  - **Drag & Drop Fields**— Manually drag header records from the Input fields to the Mapped To fields. To cancel a match, double-click on a field. See Combined Address Mapping below.

Use the "Assign Value" button to assign a fixed value to an unmapped field, as necessary.

**Combined Address Mapping:** Import files containing a combined City, State and Zip field— instead of individual City, State and ZIP fields— must be mapped to the *Comb City/St/Zip* input field. Do not map a combined address field to the individual *City, State* and *Zip* fields. An import file can contain the *Comb City/St/Zip* field OR the individual *City, State* and *Zip* fields, but NOT both.

8. Default Field Size and Format Options:
  - Amount (Dollar) Format Options— Check if "Amounts Use Implied Decimal Formatting". Use if your imported dollar amounts do NOT contain an explicit period between the dollars and cents portions of the amount (e.g., "10000" equals "100.00" in implied decimals). The use of implied decimals is rare.
  - Date Field Format Options— Select the date component order, if dates use four digits for the year, and if dates includes separators.
9. At the Set Recipient Matching Options screen, indicate how the software should match imported records with existing Recipients or tax forms. Options include:
  - Matching Recipients with a TIN

- TIN plus Account Number (default option)
  - TIN plus Last Name (use only if account numbers are unavailable or inconsistent)
  - TIN Only (not recommended unless data is clean and consistent)
  - Matching Recipients When TIN is Missing/Blank
    - Account and then Last Name (default option)—Looks for account numbers first, then matches for Last Name for the Account.
    - Account plus a blank/missing TIN—Use when TIN/Account Number are the only identifying fields in the field (no name information is provided).
    - Last Name and then Account—Looks for the Last Name first, then matches for Account Number for the Recipient.
    - Last and First Name (use if account numbers are unavailable or inconsistent)—Account numbers are NOT used to match for Recipients.
    - No Matching (treat all non-TIN records as unique and new).
- 10 Custom SQL Processing<sup>[91]</sup> is available only if activated by your Corporate Suite Account Manager. Associate up to three SQL scripts with this import.
- 11 At the Specify a Name and Usage Notes for the Import Map screen enter a descriptive title for this map. You can also add usage notes for further clarification. Click "Next" to continue.
- 12 Set Options for Locating Your Import Files include:
- Specify the default folder where this type of import file will be located. If blank, the software prompts to locate the import file.
  - Specify a default file name.
- 13 Specify the Type of Import: Options include:
- A. **Standard**—By default, all tax forms are added as individual records, independent of all other forms and regardless of whether other forms may exist in the system for the same Recipient.
  - B. **Transactional<sup>[68]</sup> (Aggregation Must Be Enabled)**—If an existing form is found for a Recipient according to the form matching rules currently in effect for the Filer, the new information updates the existing record and is added as a transaction for that record. Non-matching forms are added as new.
  - C. **Year-To-Date<sup>[69]</sup>**—Existing tax forms are replaced with the new YTD information showing the change in amount. Existing forms that are not validated by a record in the import can be dropped in the Zero Drop Process<sup>[70]</sup>.
  - D. **Standard Originals with Matching On**—Standard tax forms are added as original records if other forms do not exist in the system for the same Recipient. Duplicate originals will be rejected.
  - E. **Adjustments/Corrections of Matched Forms (Auto-Correction Imports Only)**—The record to correct must exist in the database or the record will be rejected. Existing Pending or Printed records are updated for non-transactional forms only. IRS filed records result in a correction. State filed records result in a state correction if there is a state impact.
- 14 Review summary settings and click "Finish". The Administrator indicates if the import map was successfully created. Your newly created Import Map is available for selection at the Manage Import Maps<sup>[85]</sup> screen.

### Fixed Length Import Map Wizard (CS version only)

Corporate Suite supports custom, fixed length import maps.

**Related Topics:**

- Import Wizard (CS Only)<sup>[28]</sup>
- Import Map Report<sup>[93]</sup>

**Create Fixed Length Import Map**

Fixed length import files use ordinal (numeric) positions to define where fields are located in a record. Fixed length files do not contain delimiters (such as tabs, pipes or commas) and are typically .TXT format. An electronic file generated per IRS Pub. 1220 specifications is an example of a fixed length file.

1. On the task panel select Preparing My Forms > Import New Tax Forms.
2. At the Begin a New Import Session screen, click the "Create/Manage/Print Import Maps" button.
3. Select the data to import: tax form specific, Recipient only, Filer only or generic Puerto Rico and confirm the tax year.
4. The Manage Import Maps screen opens per your selected criteria. Import maps are defined by their Map Type (form type or Recipient only or Filer only), File Format (Excel, Delimited or Fixed Width), Process Type (Standard, Transactional or YTD), Status and Description.
5. At the Manage Import Maps screen click the "Add" or "Change" button and select Fixed Length as your import format.
6. The Fixed Length Import Wizard opens. Review onscreen information and click "Next" to continue.
7. At the Set the Data Type screen select an End of Record option and check if the import file contains one or more Header Records<sup>[72]</sup>.
8. At the Set Default Field Size and Format Options screen:
  - Select dollar amount format options and if using implied "decimals". Default Amount Field Size = 12 (This option is not available when importing Recipient or Filer data.) An Implied Decimal means that the dollar amounts being imported do not have an explicit period between the dollars and cents portions of the amount. For example, "10000" = "100.00" in implied decimals. Fixed length files almost always use implied decimal format.
  - Select TIN (EIN/SSN) format options. Default value = 11
  - Select date field format options. Various options are available. Indicate if date uses four digits, i.e., XXXX, and if date includes separators.
  - Select Checkbox size. Default value = 1
9. At the Select Specific Fields to be Included in the Import Process screen select the fields to include in the import and add to your layout. Do this by highlighting a "Database Field" in the left column and clicking the "Add Field" button. This field is transferred to the "Field Value" in the right column. The right columns also display the positions of the information in the file as well as the character size of the fields. Use the "Add Filler<sup>[91]</sup>" button to insert blank columns if necessary.

Repeat this procedure until all of the necessary fields have been added to the layout, then click "Next" to continue.

- If the wrong field is accidentally assigned, highlight the incorrectly assigned field and click the "Remove" button.

- Use the Up / Down buttons to change the order of a specific field in the list.
  - To customize the parameters of a mapped field, see Customizing a Mapped Field<sup>91</sup>.
- 10 At the Set Recipient Matching Options screen, indicate how the software should match imported records with existing Recipients or tax forms. Options include:
- Matching Recipients with a TIN
    - TIN plus Account Number (default option)
    - TIN plus Last Name (use only if account numbers are unavailable or inconsistent)
    - TIN Only (not recommended unless data is clean and consistent)
  - Matching Recipients When TIN is Missing/Blank
    - Account and then Last Name (default option)—Looks for account numbers first, then matches for Last Name for the Account.
    - Account plus a blank/missing TIN—Use when TIN/Account Number are the only identifying fields in the field (no name information is provided).
    - Last Name and then Account—Looks for the Last Name first, then matches for Account Number for the Recipient.
    - Last and First Name (use if account numbers are unavailable or inconsistent)—Account numbers are NOT used to match for Recipients.
    - No Matching (treat all non-TIN records as unique and new).
- 11 Custom SQL Processing<sup>91</sup> is available only if activated by your Corporate Suite Account Manager. Associate up to three SQL scripts with this import.
- 12 At the Specify a Name and Usage Notes for the Import Map screen enter a descriptive title for this map. You can also add usage notes for further clarification. Click "Next" to continue.
- 13 Set Options for Locating Your Import Files include:
- Specify the default folder where this type of import file will be located. If blank, the software prompts to locate the import file.
  - Specify a default file name.
- 14 Specify the Type of Import: Options include:
- A. **Standard**—By default, all tax forms are added as individual records, independent of all other forms and regardless of whether other forms may exist in the system for the same Recipient.
  - B. **Transactional<sup>68</sup> (Aggregation Must Be Enabled)**—If an existing form is found for a Recipient according to the form matching rules currently in effect for the Filer, the new information updates the existing record and is added as a transaction for that record. Non-matching forms are added as new.
  - C. **Year-To-Date<sup>69</sup>**—Existing tax forms are replaced with the new YTD information showing the change in amount. Existing forms that are not validated by a record in the import can be dropped in the Zero Drop Process<sup>70</sup>.
  - D. **Standard Originals with Matching On**—Standard tax forms are added as original records if other forms do not exist in the system for the same Recipient. Duplicate originals will be rejected.
  - E. **Adjustments/Corrections of Matched Forms (Auto-Correction Imports Only)**—The record to correct must exist in the database or the record will be rejected. Existing Pending or Printed records are updated for non-transactional forms only. IRS filed records result in a correction. State filed records result in a state correction if there is a state impact.

- 15 Review summary settings and click "Finish". The Administrator indicates if the import map was successfully created. Your newly created Import Map is available for selection at the Manage Import Maps<sup>85</sup> screen.

## YTD Zero Drop Process (CS Only)

The Zero Drop process is for use with Year-To-Date (YTD) imports<sup>69</sup> only. This process is designed to remove/delete (drop) tax records that were not in the latest YTD import file or within a specific date range. For example:

- A company imports their Quarter 1 (Q1) data for quarterly reporting purposes. The data has two recipients who each received \$500.
- The company then imports their Quarter 2 (Q2) data. This time, the data only has one recipient for \$1500. The second recipient was paid in error from Q1 and Accounting reversed the payment.
- The zero drop process can be used to remove/delete (drop) the second recipient's existing tax form (for \$500) because that amount should have never been paid and was reversed.
  - This becomes helpful when you have hundreds, or thousands, of such reversals and/or if your Accounting does not tell you which recipients should be dropped.

Year-To-Date (YTD) imports should contain the most recent data available at the time of import. The data in the YTD import files overrides the existing data, with the new values from the import file, for any related Recipient's tax form in the system. YTD imports differ from Transactional Imports<sup>68</sup>, which are intended to aggregate data.

### Perform a Zero Drop

On the menu bar select Utilities > Manage Year-to-Date Import Zero Drops. At the Begin a New Zero Drop Process screen are two options:

**OPTION 1—Begin a Drop by Import Session Process:** Use to apply the Zero Drop process to records based on an *Import Session ID*.

1. Click the "Begin a Drop by Import Session Process" button to access the Select Import Session screen. Select (or highlight) an Import Session ID and click the "Select" button.
2. Select the Filers to apply the zero drop process to via the "Tag" button; multiple Filers can be selected or tagged. Click the "Proceed to the next step" button.
3. The program prompts to confirm the "Zero Drop" process. Click the "OK" button to continue or the "Cancel" button to exit this screen.

**CAUTION:** This process drops all tax forms—for the form type and filers selected—that were not included/updated in one specific import session. If you imported YTD forms from multiple files, this process drops all records not in the one specific import session (file) that is selected.

**OPTION 2—Begin a Drop by Date Range Process:** Use to apply the Zero Drop process based on a *specified date range*.

1. Click the "Begin a Drop by Date Range Process" button to start.
2. At the Form Selection screen choose the form type to apply the Zero Drop process to by highlighting it and pressing the "Select" button.

3. Select the Filers to apply the Zero Drop process to via the "Tag" button; multiple Filers can be selected or tagged. Use the "Save" button to save these selected Filers for later usage. These saved Filers can be loaded during future processes by clicking the "Load" button.
4. With Filers selected, click on the "Select Date Range to use" button.
5. Select your date range by either entering a date into the "Set Range From" and "Through" fields—use the calendar icon button to the right of the date range boxes to display a pop-up calendar for easy date selection—or choose from any of the predefined options in the "Default Ranges" box. Click in any radio box to the left of the date range and entered dates auto-fill the "Set Range From" and "Through" fields.
6. Click the "OK" button to save date ranges and continue.
7. Use the "Ignore Manually Created Records" checkbox to have this process ignore any records that were manually keyed into the software (i.e., such as one-off records). If checked, these manually entered records are excluded from the Zero Drop process altogether.
8. Use the "Proceed to the next step" button to load the Zero Drop.
9. The program prompts to confirm the "Zero Drop" process. Click the "OK" button to continue or the "Cancel" button to exit the this screen.

**CAUTION:** This process drops all tax forms—for the form type and filers selected—that do not have a transaction accounting date within the specified date range. Ensure that all of your YTD transactions for that date range have been successfully imported into the software before performing this process. Otherwise, the forms from those imports may be dropped due to not having a transaction in the specified date range.

## Export Tax Forms to ASCII File(s)

All 1099 Pro software products feature an intuitive Export Wizard<sup>127</sup> for the exporting of tax form data in a Mapped ASCII (Fixed/Delimited/Excel) format per IRS Pub 1220 specs. Corporate Suite offers enhanced exporting features. Learn how to Manage Export Maps<sup>85</sup>.

## Export Session Window

Access Corporate Suite's Export Session window via the task panel > Printing & Mailing > Export Forms and select the type of form to export. Export formats vary by form type selected.

## Export Formats

- Mapped ASCII Export<sup>127</sup> (Fixed/Delimited/Excel): Available to all form types
- IRS 750-byte Export<sup>129</sup> (Pub. 1220 Format): Available to Informational Returns (1098/1099/3921/3922/5498/W-2G) and Puerto Rico series only
- Moore 1099 Print Export<sup>130</sup> (MWPL Format): Available to all forms except 1042-S
- ACA Export Wizard<sup>152</sup>: Export Forms 1095-B / 1095-C

## Completed Export Session List

The Export Session List contains logs detailing all export sessions.

Column	Description
Exported On	The date the export file was created.
Time	The time the export file was created.

Column	Description
Export Type	Possibilities include: IRS 750 Delimited/Org Delimited/Corr MW 1099/Print VOID
Form Type	The form type associated with a specific log.
Log(s)	A unique number assigned to each export session. Logs are batched by Filer, Form Type and Trans Type. There may be multiple logs within a single export session.
Total Forms	Indicates total forms included in an export file.
File Name	
Export by User	The Corporate Suite user generating the export file.
Split	FLR = One Filer per report NO = All Filers included in report that meet set criteria
Session Reset Date / Session Reset Time	The date / time the export file was reset.
Reset By	The Corporate Suite user resetting (voiding) the export file.

### Session Details & Options

The Session Details/Options window allows users to view detailed export file information, run a report and void the export session.

#### View Session Details

Highlight any session and click the "Session Details and Options" button. The Export Session Details/Options screen displays key information about the selected export session including the Tax Year, Form Type, Format, Map Title, File Name and File Location.

Export Session Details/Options

Tax Year: 2016 Count: 1  One File per Filer  Print/Mail export  
 Form Type: 1099-MISC Format: Delimited, Tab, CR/LF  
 Map title: 2016 1099-MISC export map  
 Exported by: Jon

Export File: EXPORT 1099-MISC 12-03-2015 01-07-24PM.TXT  
 Placed in: C:\Users\jonathancl\Desktop\2016 CS test\

Detail for Export Session 1,089

Form Type	Form Count	Payer Code	Filer Name
1099-MISC	1	JON	JON1

View/Print Report Discard/Void this Session Help Close

## Export Session Summary

This report details the Form Type, Filer, Counts and Recipients in a selected export session and the date generated. If there are multiple logs within the session, then multiple reports are generated.

## Run Export Session Report

Click the "View/Print Report" button to view the Report Options screen. Users are encouraged to preview the report and click "OK" to continue.

## VOID Export

Click the "Discard/Void This Session" button to void an export session. The Administrator prompts, "Are you sure you want to reset this export session?" Click "Yes" to continue or "No" to cancel. A voided export session cannot be un-voided.

## Export ASCII Forms

All 1099 Pro software products feature an intuitive Export Wizard<sup>127</sup> for the exporting of tax form data in a Mapped ASCII (Fixed/Delimited/Excel) format that is accessible in spreadsheet applications such as Microsoft Excel or Access. If using Notepad to view files, data will appear out of alignment as the export files are Tab delimited. All export files are "Map by Name" compatible and can be imported directly into another Filer. Corporate Suite software offers enhanced exporting features<sup>314</sup>.

- See Import Wizard<sup>308</sup>
- See IRS Bulk TIN Export Wizard
- See Pub. 1220 Export Wizard<sup>129</sup> (CS Only)
- See Moore 1099 Print Export<sup>130</sup> (CS Only)
- See ACA Export Wizard<sup>320</sup>

## Export ASCII Data

1. On the menu bar select Utilities > Export Tax Forms to ASCII File(s).
2. In the Export Wizard review onscreen information and click "Next" to continue, go "Back" at any time.



3. At the "Select the type of data and format to use" screen use the drop menu to select the appropriate form type and click "Next".
  - To customize the delimiters and data exported use an export map, accessed via the "Add or Update Export Map" button. See Export Maps Wizard<sup>[318]</sup> for important field descriptions.
4. Choose a method for selecting eligible tax forms. Options include:
  - Export tax forms for ALL Filers: This option automatically selects every eligible form for all Filers.
  - Export tax forms for up to 25 selected Filers: This option prompts to manually select (tag) the filers to include in the export file. All form types for the selected Filers are processed.
  - Split export records into separate files for each Filer?: Mark the check box to export Filers' records into individual files. Leave the check box unmarked for a single, larger file containing data for all Filers and form types.
  - (CS Only) Group export records by Address Type: Forms are grouped by US, Canadian, Other within each export file.
5. (CS Only) Select the type of forms to export:
  - Originals: Defined as forms that do not have a Corrected status in the IRS Status column, i.e., forms with any other status, Pending, Printed, Filed, excluding forms with a Void or Deleted status. *Note: If a record has been filed, and subsequently had a correction made, only the Originally filed form will be exported (the Corrected form will not).*
  - Corrections: Defined as forms that correct or replace forms that have been filed with the IRS/SSA, i.e., forms with a Corr/Filed status.
6. (CS Only) Select Extra Filters Options including:
  - Category/Source Filters<sup>[41]</sup> (optional, user defined import file values)
    - Form Category = Only records with this exact text in the Form Category field on the record will be exported. If left blank, no Form Category will be applied.
    - Form Source = Only records with this exact text in the Form Source field on the record will be exported. If left blank, no Form Source filter will be applied.
  - Date Range Filters if unchecked ALL forms for all variables selected up to this point are included in the export file. Check this box to select a Qualifying Date Range defined as:
    - All Activity = All records that have been added or updated, within the specified time range, will be exported.
    - Only Created/New = Only records that have been imported or added, within the specified time range, will be exported.
    - Only Existing/Updated = Only existing records that have been updated or modified, within the specified time range, will be exported.
  - Apply Federal and State Thresholds
    - Export forms meeting Federal Thresholds for TY 20XX
    - Federal Grouping Options Filters include EIN, PCode (PTIN) or Apply Individually
    - Export forms meeting State Thresholds for TY 20XX.
    - Records that meet state criteria will be included even if they do not meet federal criteria.
    - Filter (skip) forms that do not have any dollar amounts
7. (CS Only) Select Special Processing Flags including:
  - Limit forms to those with the print/export indicator checked (subject to other filters) Only records that have marked the "Select for Print/Export" box are included in the export.
  - Reset/Remove print export indicators when complete The "Select for Print/Export" checkbox, on the record, will be removed/unchecked after the export process is complete.

- Reset/Remove Print as Corrected indicator The "Print as Corrected" checkbox, on the record, will be removed/unchecked after the export process is complete.
  - \*1099-MISC ONLY\* New 1099-MISC requirements. **The 2019 IRS filing deadline for 1099-MISC / Box 7 data is 1/31/2020**. Users can opt to export all 1099-MISC records or only those with Box 7/NEC data.
8. Select the destination folder and click "Next" to continue.
  9. Review settings and click "Finish" to generate your export file.

## Export Map Wizard

All 1099 Pro software products allow users to customize the delimiters and data exported by generating unique export maps. Export maps are Filer, Form or Recipient specific and are saved as external .TPS files.

### Related Topics:

- Import Map Reports <sup>93</sup>
- Export ASCII Wizard <sup>127</sup>
- Pub. 1220 Export (CS Only)

## Generate Export Maps

1. On the menu bar select > Utilities > Export Tax Forms to ASCII Files. Note: This process is also available in the Import Wizard <sup>59</sup> at the Select the Type of Data and Format screen via the "Add/Update Form Import Maps" button.
  - **Corporate Suite Only:** On the task panel select "Export Forms" link and select the type of form to export. At the Begin a New [TY] Export Session screen click the "Create/Manage/Print Export Maps" button, select a form type and continue to Step 3 below.
2. In the Export Wizard review onscreen information and click "Next" to continue to the Select the Type of Data and Format screen.  
Select the "Add or Update Export Maps" button.
3. At the Manage Export Maps screen highlight the map to edit and click the "Change" button. Default/built-in maps are not available for edits; however, they can be duplicated via the "Copy" button and the copied version can be edited. To add a new map click the "Add" button.
  - Export maps are defined by their Map Type, File Format (Delimited or Fixed), Status (Default or OK) and Description. The Description column gives details about the currently selected export map and the Notes windows provides additional details.
4. In the Export Map Wizard review onscreen information and click "Next" to continue.
5. At the Define File Format for Exported Information screen select the type of information to export. These fields are available only when adding a new export map; if changing an existing map these fields are grayed out and unavailable.
  - Tax Form: One form type can be exported per map.
  - Recipients
  - Filers
6. Select additional file format options including:
  - File Format: Delimited (default), Fixed, Excel, XML
    - Options available for Delimited Format only:
      - Field Delimiter: Tab (default). Comma, Pipe

- Create Header Record: The first row of export file has field names instead of data (recommended)
  - Always Quote: Put quote marks around all fields
  - End of Record Character: CR/LF (default), CR, LF
7. Tab through the default field processing options—reference the below chart for helpful information. Click on a check box or "radio button" to set options On or Off.

Category	Options Available	Additional Information and Details Characters
Characters	1. Convert to all UPPER case	Character values include Names, Address Fields, Descriptions, etc.
Amounts	1. Include Commas 2. Include Dollar Signs	None
Check Boxes	1. Blank for unchecked - "X" for checked 2. Use Y/N 3. Use T/F 4. Use 0/1 5. Use Blank/1	Check boxes are logical values: Yes/ No, True/False, On/Off
Dates	1. mm/dd/yy 2. mm/dd/yyyy 3. yymmdd 4. yyyyymmdd	Dates can be from a tax form box or when a form was created
Numeric	1. Round to the nearest whole number 2. Export blanks if number = zero (0)	Numeric values are numbers that are NOT dollar amounts like percentages or total shares.
EIN / SSN	1. Formatted (TIN type not required) 2. Unformatted (must include the TIN type)	EIN/SSN values are Tax ID numbers (TINs).
Text (Multi-line)	1. Convert to all UPPER case 2. Don't convert CR/LF, export as is 3. Convert CR/LF to a single space	Text values are multi-line box values such as a transaction description. CR/LF refers to Carriage Return / Line Feed (effectively a new line of data)

8. Select specific fields to include in the export process by dragging available fields on the left side to the right side. Alternately select a field and click the "Add Field" button. Repeat until all of the necessary fields have been added.
- If the wrong field is accidentally assigned, highlight the incorrect field and click the "Remove" button.
  - Use the Up / Down arrows to change the order of a specific field in the list.
  - Customize the parameters of a mapped Field Header by double-clicking it.

9. At the Specify a Name and Usage Notes screen enter a brief title for the export map. Use the Map Usage Notes field to enter specific notes for future reference.
10. **Corporate Suite Only:** At the Export for Print/Mail Filter Options screen users can designate the export map as a Print/Mail Export suitable for sending to a Print/Mail facility for the purpose of printing and mailing recipient copies. The following rules apply if this box is checked:
  - Only forms with a Pending, Corr/Pending or Zero/Pending status are included in the export file.
  - Any Pending form with a "Do Not Print/Mail" restriction is excluded from the export file.
  - All Pending records in the export file AUTOMATICALLY have their status updated to Printed after the file is generated.
11. At the Set Options screen the default destination folder is Exports.
12. At the Ready to Generate Export File screen review settings and click "Finish" to generate export map. Return to the Manage Form Export Maps screen and close it. Now return to the Select the Type of Data and Format screen within the Export Wizard and select your newly created export map. Click "Continue" and complete the export process with the newly created export parameters.

### External .TPS Export File

Use this process to create an external copy—in .TPS format—of your export file. The .TPS file is suitable for copying into other versions of 1099 Pro to duplicate your custom export map settings.

1. At the Manage Export Maps screen highlight a map and click the "Export Map" button.
2. At the Map Export screen review the default Export Location and change if necessary. The file is automatically named in the *MAP EXPORT FFF IDnnn MM-DD-YY HH-MMxM.TPS* format wherein "FFF" is the Form Type and "nnn" is the export Map ID Number.
3. Click "Finish" to create the external export map.

### Export 1095 Forms to ASCII File

This wizard allows users to export Forms 1095-B & 1095-C of the Affordable Care Act (ACA) records in an ASCII format. This information is helpful for identifying Affordable Care Act Information Return (AIR) Errors such as a missing Address, City or State. These errors, and others, will result in AIR rejecting your file. See ACA XML Wizard [152](#)

### Export ACA Data

1. On the Corporate Suite menu bar select Utilities > Export 1095 Tax Forms to ASCII File.
2. At the ACA 1095 Database Export Wizard screen review important onscreen information. Click "Next" to proceed; use the "Back" button at any time.
3. Select the Form Type to export:
  - Form 1095-B Health Coverage
  - Form 1095-C Employer-Provided Health Insurance Offer and Coverage
4. Select Records Snapshot:
  - **Current Snapshot ALL Records—Latest Values Export:** All records, regardless of print status, are included. If a record has been corrected only the most recent correction is included.
  - **Current Snapshot AIR Errors Only:** Any record with an AIR Error that has not been superseded is included. If the most recent record is a correction which has an AIR Error, the Correction is included but the original and any previous corrections are not. If a correction has

been issued but the AIR ACK (Acknowledgment) file is not processed, then the correction is NOT included. *AIR errors are linked to records by the processing of ACK files.*

5. Select Filer(s) to include.
6. Select destination folder for ACA Export file; default location is C:\1099 Pro\Pro99CS\Exports.
7. At the Ready to generate ACA Export File screen review settings and click "Finish" to generate your export file.

## Export for IRS Bulk TIN Matching

Name/TIN mismatches on 1099 Informational Returns can generate significant penalties of up to \$270/record, up to a maximum penalty<sup>[27]</sup> of \$3,282,500 per company! The IRS offers an interactive TIN Matching and Bulk TIN Matching Program for Forms\* 1099-B, DIV, INT, K, MISC, OID and PATR. Or consider using 1099 Pro's Bulk TIN Matching Service; no IRS registration is required, it's easy to create an upload file within our software and results are generally available within one business day. Cost is \$135 for a single upload file containing up to 100,000 records.

Use the 1099 Pro Service Bureau's Bulk TIN Match Wizard<sup>[125]</sup> or generate an IRS Bulk TIN file for direct submission to the IRS TIN Matching program.

## Steps To Participate In IRS TIN Matching Program:

1. Register for the IRS TIN Matching System; allow at least 4-6 weeks.
2. Perform a 1099 Pro Web Update to acquire the latest updates for your 2019 software.

## IRS TIN Matching Program Registration

1. Go to <http://www.irs.gov/Tax-Professionals/e-services---Online-Tools-for-Tax-Professionals> and click on the E-Services link.
2. Click on the "Register" button. Registrants will be asked to provide personal data including their Adjusted Gross Income (AGI) from their most recent individual income tax return.
3. After completing the online registration, SAVE YOUR USERNAME AND PASSWORD for future reference. It takes approximately 10 business days to receive your IRS confirmation code by mail.
4. After receiving the confirmation code, return to the Registration Services page and select the "Confirm Registration" link.
5. Once your registration is officially confirmed, complete the application for the TIN Matching Programs.

## Notes On System Use

- Registered users can verify Names and TIN's interactively. Manually enter up to 25 Name/TIN combinations at one time. Registered users can also submit a .TXT file as generated by the IRS Bulk TIN Export Wizard.
- IRS responses are sent to a "secure object repository" and an E-Mail notification is sent to the registered user indicating a response is waiting. Users have 30 days to access and download the results file. Once accessed, the results are retained for 3 days before being purged. The same information sent in the .txt file is returned with one additional field containing the results indicator.
- DO NOT TO SUBMIT THE SAME DATA WITHIN A 24 HOUR PERIOD OR THE SYSTEM WILL SUSPEND YOUR ACCOUNT FOR 96 HOURS!
- 1099 Pro, Inc. recommends verifying Name/TIN combinations prior to January.

## How To Respond To System Results

1. Review your IRS Bulk TIN Results<sup>126</sup>.
2. Verify your data against the original W-9 form on file for the Recipient.
3. Use the 1099 Pro software to issue and track additional W-9s, 1st B Notices or 2nd B Notices as applicable.
4. Lastly, mail corrected returns to recipients and file IRS corrections as necessary.

## Protection From IRS Penalties

- Due Diligence: Use either 1099 Pro's Bulk TIN Matching Service<sup>124</sup> or the IRS TIN Matching System to verify the accuracy of TIN and Name information prior to submitting information to the IRS.
- IRS Code 6724 provides any penalties under Section 6721 may be waived if the Filer shows the failure to provide a correct TIN on an information return is due to Reasonable Cause and not Willful Neglect.
- Filers may prove Due Diligence and receive a waiver from proposed penalties if they prove the TIN and Name combination they submitted matched IRS records. Providing a copy of the "Print Screen" of your IRS System Responses will be considered proof of Due Diligence.

\*Note: As of this writing, the IRS does not allow other form types to participate in this program under penalty of perjury and possible imprisonment.

## Generate Account Numbers

Most 1099 Pro software products include a wizard to generate account numbers for eligible forms missing this information. W-2 Pro software does not offer this utility.

Per IRS. Pub. 1220: *The account number is required if there are multiple accounts for a recipient for whom more than one information return of the same type is being filed. This number will identify the appropriate incorrect return if more than one return is filed for a particular payee. Do not enter a TIN in this field. A payer's account number for the payee may be a checking account number, savings account number, serial number, or any other number assigned to the payee by the payer that will distinguish the specific account. This number must appear on the initial return and on the corrected return for the IRS to identify and process the correction properly.*

Per IRS Pub. 1187: *Financial institutions reporting amounts paid to direct account holders with respect to an account maintained by institution at a U.S. office or U.S. branch, must report the recipient(s) account number.*

## Why Generate Account Numbers?

The IRS requires account numbers in many instances and for all corrected forms. The Generate Account Number wizard creates unique Account Numbers for eligible tax forms to satisfy this requirement. It is a smart business practice to populate the account number field on ALL forms.

- Only forms with a status of Printed or Pending are updated.
- Any form with existing Account information is NEVER overwritten, regardless of status.
- Users can manually replace generated account numbers at any time before filing with the IRS/SSA.
- The Account Wizard algorithm is the first two letters of the Recipient's last name, the IRS form code and a number unique to that form. For example, one might look like this SM-M-0001234.

## Account Number Generation Wizard

This wizard is accessible via the menu bar > Utilities > Generate Account Numbers and is also available during many processes including importing, print, uploading and electronic filing. This wizard will create a unique account number for all Pending and Printed records without an account number—existing account numbers are never overwritten.

### Generate Account Numbers

1. In the Account Number Generation Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
2. Choose a method for selecting eligible tax forms. Options include:
  - ALL Forms for ALL Filers: This option automatically selects every eligible form for all Filers.
  - Selected Form Types for ALL Filers: This option prompts to manually select form types to include in this process. All Filers are processed.
  - Selected Form Types for Selected Filers: This option prompts to manually select the Filers and the form types to include in this process.
3. Review settings and click "Finish" to generate account numbers.
4. The Administrator indicates:
  - Total Forms Scanned
  - Total Forms Without Account Numbers
  - Number of Forms Updated with new Account Numbers

## Check Error Status for Forms

Use the Error Scan Wizard to check current year tax forms for any errors or warnings<sup>833</sup>. Based on the volume of records in your Corporate Suite installation and the Filer and form options selected, this process can be time consuming. This wizard generates a detailed Error Scan Report.

### Error Scan Wizard

1. On the menu bar select Utilities > Check/Update Error Status for All Tax Forms.
2. In the Error Scan Process Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
3. Choose how forms will be selected for error scan:
  - All Forms for ALL Filers (default)
  - Selected Form Types for ALL Filers
  - Selected Form Types for for SELECTED Filers
4. At the Ready to Begin the Error Scan Process screen click "Finish" to initiate the scan.
5. After the scan is completed the Select the Error Level window allows users to select the following options: Rejects, Errors, Warnings and OK.
6. Click "OK" to view the report.

## Issue W-9 & B Notice Forms

**This feature is not available in 1042-S Pro software.**

## Track W-9 & B Notice Requests

The Manage Information Requests screen (Corporate Suite Edition) allows users to track and view/reprint all previously issued Information Requests. Users can also update the status of an

Information Request, attach pertinent documents and generate a summary report. Corporate Suite Users can access this screen via the task panel > TIN Management > Browse All Requests.

To issue new requests—including Forms W-9, W-9S, W-8 series and B Notices—use the Information Request Wizard<sup>200</sup>.

### Sort By Options

- **Current View/Sort**—Sort Information Requests by Recipient's Last Name, TIN or Barcode<sup>200</sup>.
- **Search for Name/TIN**—This feature is used in conjunction with the Current View/Sort drop menu.
- **Current Query**—Generate a custom query or select one of the many predefined queries including sort by; Batch ID Number, Created Date, Has Attached Documents, In Process, Match Status, Notice Date, Request Type, Tax Year and more.

### View/Print Report

The Information Request Summary Report includes the selected Recipients' TIN/Name/Address When Issued, Current TIN/Name/Address and the Requester/Form Type/Status. The report details the date the information request was originally Created, Closed, any associated B Notices and the Withholding percentage, if applicable.

Run Information Request Summary Report

### View/Reprint Selected

Reprint individual requests by highlighting the record and selecting the "View/Reprint Selected" button.

### Update Selected Request

Users can update any record's Request Type (e.g., W-9, 1st B Notice, etc.) with an Open/Pending status. Requests with a Closed or Escalated status have the option to "Reopen Request" if it was closed in error, or "Update Recipient" for any associated Recipient records with a Pending status.

### Update Status of an Information Request

1. At the Manage Information Requests screen highlight the appropriate record and select the "Update Selected Request" button.
2. At the Changing a Recipient's Record screen users can edit:
  - **Current Information**—Update Recipient's SSN/EIN, First and/or Last Name.
  - **Status of the Information Request**—Options include:
    - **Leave the Request as Open/Pending**
    - **Close the Request:** Updated information was received.
    - **Void the Request:** It should not have been issued. Once a request is voided it is considered "closed" and is not available for modifications.
    - **Close and Escalate to 1st B Notice/2nd B Notice (never responded):** If this option is chosen, upon clicking the "Save" button the existing request is closed and the User is taken directly to the Information Request Wizard to create a 1st B Notice or 2nd B Notice request.



3. Click "Save" to apply changes to all pending records for this Recipient or "Cancel" to exit this screen.

## Attach Documents

Users can attach *individual* scanned Information Request responses or other documents for safekeeping and ease of access. To attach a document highlight the appropriate request and click the "Attach Documents" button. Multiple documents in various formats, i.e., Excel, Word, PDF, etc., can be attached to any one request. To attach a *batch* of scanned Information Requests see Attach Information Request Batches<sup>352</sup>.

## Scheduler

The Scheduler allows users to schedule unattended imports, printing, posting of records, and reporting. This allows users to set these tasks to run during off hours; thereby increasing productivity and decreasing load on your server during business hours.

See Set Email Server<sup>267</sup>, Manage Email User Lists<sup>268</sup>, Manage Automated Emails/Texts<sup>268</sup> and Scheduler Archive<sup>333</sup>.

## Manage Scheduled Jobs

Only Administrators and Users with rights can access the Scheduler and manage Scheduled jobs. Access Corporate Suite's Manage Scheduled Jobs window via the menu bar > Utilities > Scheduler.

## Scheduled Job Wizard

Use the "Add" or "Change" buttons on this screen to access the Scheduled Job Wizard<sup>326</sup>.

## Browse Scheduled Jobs

The Manage Scheduled Jobs screen details all scheduled jobs.

Column	Description
Scheduled Jobs	User created description of job.
Tax Year/Session ID	Tax year of records in job.
Status/Outcome Results	Possibilities include: Enabled, Failed, Completed or Cancelled
Process Type	Import, Export, Reprint, Import Preprocess (Unpacker), Reports and Archive Scheduler Logs
Start Date/Run Date	The completed job date.
Time	The completed job time.
Next Date/Scheduled Date	The next scheduled job date.
Time	The next scheduled job time.

## Browse Job Summary

This report details parameters<sup>332</sup> of the scheduled job.

## Run Browse Job Report

Click the "Browse Job" button to view the Report Options screen. Users are encouraged to preview<sup>96</sup> the report, then click "OK" to continue.

## Scheduled Job Wizard

The Scheduled Job Wizard simplifies the creation of automated, user directed processes. See Browse Scheduled Jobs<sup>266</sup>

## Schedule a Job

Only Administrators and Users with rights can access the Scheduler and manage Scheduler jobs.

1. On the menu bar select Utilities > Scheduler.
2. At the Manage Scheduled Jobs screen click the "Add" button to access the Scheduled Job Wizard.
3. In the Scheduled Job Wizard review onscreen information and click "Next" to continue, go "Back" at any time. Select the Type of Process to Schedule. Options include:
  - Import Into Database<sup>327</sup>
  - Export Out of Database
  - Electronic File Creation for Filing (not currently available)
  - Reports<sup>329</sup>
  - Reprint Tax Forms<sup>330</sup>
  - Import Preprocess (Unpacker)—This process drops source data into a folder and then unpacks the file for import. The Unpacker is designed for select Corporate Suite customers; please contact your Corporate Suite account manager with questions.
  - Archive Scheduler Logs<sup>333</sup>
4. Assign a Descriptive Name and Start Date/Time.
5. Job Dependency<sup>327</sup> (optional). Select a task that must be completed prior to initiating this job.
6. Set Job Frequency.
  - **Daily—Set start date and time the job will be run then select recurrence options.**
    - Every day: Allows job to be run every day. By selecting this option you may also select options to have the job repeat at specified intervals throughout the day.
    - WeekDays: Runs daily, Monday through Friday.
    - Every "X" days: Allows user to set a custom day interval for the job to run.
  - **Weekly—Select how many weeks between each job.** Select the day(s) of the week to run this process on: Choose which days this job should run on.
  - **Monthly—Select the start Day or Select via the Day of Week.** Select the months to run this process - Tag the months this process will be run in.
  - **One-Time Only—This job runs on the time and date specified one-time only.** If a past date is selected, the job immediately runs.
7. Define Job Parameters<sup>332</sup>.
8. Confirm settings and click "Finish" to create the scheduled job.

## Job Dependencies

When creating a Scheduled Job, users can create optional job dependencies. For example, before Jane's Scheduled Import Job can start, John's Scheduled Export Job must conclude. Although only one job dependency can be selected per scheduled job, multiple scheduled jobs can be linked. For example, first John's Scheduled Export Job finishes, then Jane's Scheduled Import Job runs and after that Bob's Scheduled Report job begins—the start of Jane's and Bob's jobs is contingent upon the successful completion of the prior job(s).

The Select Schedule Job screen is accessed via the "Select Dependency" button in the Scheduled Job Wizard<sup>326</sup>. The Select Schedule Job screen lists ALL jobs for ALL years.

## Scheduler Import Job

### Add an Import Job

1. From within the Scheduled Job Wizard<sup>326</sup>, choose "Import into Database".
2. Enter the name of Job, Initial Start date and Time as well as any dependencies<sup>327</sup> (jobs that must be completed prior to this one).
3. Select Job Frequency Detail<sup>326</sup> to set the frequency of jobs.
4. Import Load and Post Parameters: Prior to using the Import Scheduler, an import map must be created. Review Manage Maps<sup>85</sup> for assistance creating import maps.

**Scheduled Job Wizard**

**Import Load and Post Parameters**  
These parameters will be used during the scheduled import process

**Import Load Parameters & Email Alerts**

Form Type	Map Name	Print Report	Import Type
1099-MISC	A+ Laura Test		Transactional Import

+ Add  
Change  
Delete

**Import Post Parameters & Email Alerts**

Warnings Options	Errors Options
Post records with Warnings	Do not post records with Errors

+ Add  
Change  
Delete

Back Next Cancel Help

- Import Load Parameters & Email Alerts: Set thresholds pertaining to the posting of import files should a set percentage of records contain Rejects, Errors or Warnings.

- Import Post Parameters & Email Alerts: Set the criteria for posting a record; should records with Errors and/or Warnings be posted to the Corporate Suite database or be held for editing and posting at a later time? Users can also specify an Accounting Date which is useful for the subsequent classifying and grouping of transactions
5. The job is ready to run after defining all parameters.

### Additional Email Options for Import/Export

In addition to the notification email created during scheduled import jobs, administrators can send notifications to users from file name. To utilize this feature, the selected import file must contain an email address(es) in the following formats.

- [email@1099 Pro.com]
- [email1@1099 Pro.com; email2@1099 Pro.com; email3@1099 Pro.com]
- 'email@1099 Pro.com'
- 'email1@1099 Pro.com; email2@1099 Pro.com; email3@1099 Pro.com'

Example file names:

- "1099-Misc Import 2019 [email@1099 Pro.com].tab"
- "1099-Misc Import 2019 'email@1099 Pro.com'.tab"

This option automatically notifies users of the status of their import job regardless of the notification options set up when creating the job. These status emails contain both the import file name and Import Session information.

## Scheduler Export Job

### Add an Export Job

1. From within the Scheduled Job Wizard<sup>326</sup>, choose "Export out of Database".
2. Choose the type of Export to Schedule.

3. Enter the name of Job, Initial Start date and Time as well as any dependencies<sup>[327]</sup> (jobs that must be completed prior to this one).
4. Select Job Frequency Detail<sup>[326]</sup> to set the frequency of jobs.
5. Export parameters—Define export parameters. Review Manage Maps<sup>[85]</sup> for assistance creating an export map.
6. The job is ready to run after defining all parameters.

Also see Additional Email Options for Import/Export<sup>[327]</sup>.

## Scheduler Report Job

### Add a Report Job

1. From within the Scheduled Job Wizard<sup>[326]</sup>, choose "Reports".
2. Select the Type of Report to Schedule including various Tax Form Summary and Federal & State Balancing Reports<sup>[272]</sup>, Form Totals Reports<sup>[330]</sup>, User Detail Reports<sup>[329]</sup> and more.
3. Enter the name of Job, Initial Start date and Time as well as any dependencies<sup>[327]</sup> (jobs that must be completed prior to this one).
4. Select Job Frequency Detail<sup>[326]</sup> to set the frequency of jobs.
5. Define Report Parameters. Learn about report options such as Print Preview<sup>[96]</sup>.
6. The job is ready to run after defining all parameters.

## User Detail Report Wizard

The User Detail Report Wizard generates a security report listing all active users and includes their User ID/Name, Phone and Email/Login Domain. This is a subwizard of the Scheduled Job Wizard<sup>[326]</sup>.

### Schedule User Detail Report

1. From within the Scheduled Job Wizard<sup>[326]</sup>, choose "Reports" and "User Detail Report".
2. Enter the name of Job, Initial Start date and Time as well as any dependencies (jobs that must be completed prior to this one).
3. Select Job Frequency Detail<sup>[326]</sup> to set the frequency of jobs.
4. At the Report Parameters & Email Alerts screen, click the "Add" button.
5. In the User Detail Report Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
6. Specify Email Settings. This individual receives email notification when the process is completed, failed or canceled.
  - A maximum file size for attached reports can be set. To attach reports to email notification requires specific Email Server and Account Settings. See onscreen details.
7. At the Ready to Create the Scheduled Job screen, review settings and click "Finish" to save settings and initiate the report.

## Daily Totals Report Wizard

Use the Daily Totals Report Wizard to create a UserID specific report detailing all keyboard entry changes within a set date range. This is a subwizard of the Scheduled Job Wizard<sup>[326]</sup>.

### Schedule Daily Totals Report

Only Administrators and Users with rights can access the Scheduler and manage Scheduler jobs.

1. From within the Scheduled Job Wizard<sup>326</sup>, at the Select Report Parameters screen click the "Add" button
2. In the Daily Totals Report by UserID Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
3. Select Report Options and Limits.
4. Select Filers and Form Types.
5. Specify Email Settings. This individual receives email notification when the process is completed, failed or canceled.
  - A maximum file size for attached reports can be set. To attach reports to email notification requires specific Email Server and Account Settings. See onscreen details.
6. At the Ready to Generate Report screen review settings and click "Finish" to save Daily Totals Report settings and return to the Scheduled Job Wizard.

## Form Totals Report Wizard

The Form Totals Report Wizard generates scheduled Control Totals<sup>95</sup> reports based on user selected criteria. This is a subwizard of the Scheduled Job Wizard<sup>326</sup>.

### Schedule Form Totals Report

1. From within the Scheduled Job Wizard<sup>326</sup>, choose "Reports" and "Form Totals Report".
2. Enter the name of Job, Initial Start date and Time as well as any dependencies (jobs that must be completed prior to this one).
3. Select Job Frequency Detail<sup>326</sup> to set the frequency of jobs.
4. At the Report Parameters & Email Alerts screen, click the "Add" button.
5. In the Form Totals Report Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
6. Select a Form Type and Filer(s).
7. Choose How Totals Will Be Calculated: Select a method for selecting eligible tax forms, a record ordering option and a report format.
8. Specify Email Settings. This individual receives email notification when the process is completed, failed or canceled.
  - A maximum file size for attached reports can be set. To attach reports to email notification requires specific Email Server and Account Settings. See onscreen details.
9. At the Ready to Create the Scheduled Job screen, review settings and click "Finish" to save settings and initiate the report.

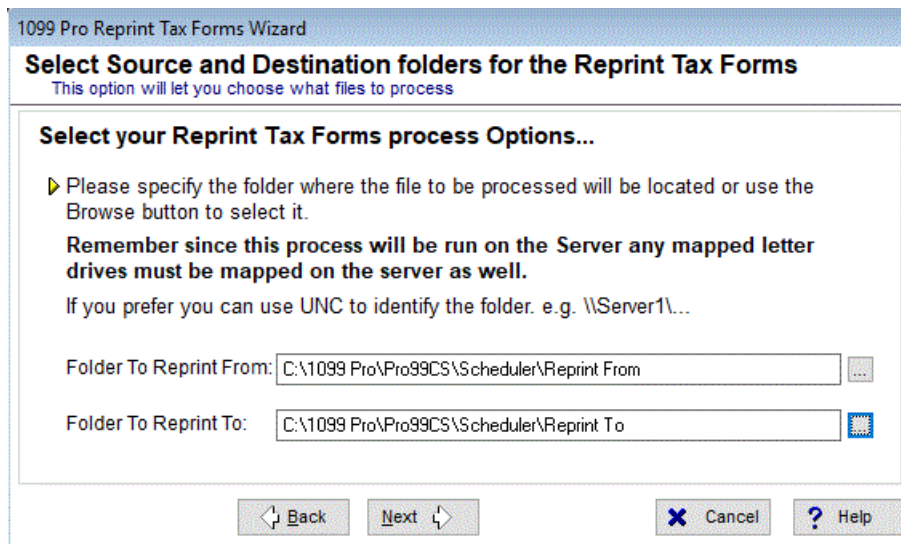
## Schedular Reprint Tax Forms

Use the Reprint Tax Forms Wizard to create a PDF file for each form type containing successfully processed entries. In addition, a .TXT file is created which details all failed entries. This is a subwizard of the Scheduled Job Wizard<sup>326</sup>.

### Reprint Tax Forms Wizard

Only Administrators and Users with rights can access the Scheduler and manage Scheduler jobs. The specifications for the reprinted tax forms are set in the *Reprint\*.TXT* file; which must be manually created by the user prior to this process. See File Format Conventions<sup>331</sup> below.

1. From within the Scheduled Job Wizard<sup>326</sup>, choose "Reprint Tax Forms".
2. Enter the name of Job, Initial Start date and Time as well as any dependencies (jobs that must be completed prior to this one).
3. Select Job Frequency Detail<sup>326</sup> to set the frequency of jobs.
4. At the Reprint Tax Forms Parameters & Email Alerts screen, click the "Add" button.
5. In the Reprint Tax Forms Wizard review important onscreen information. Click "Next" to continue, go "Back" at any time.
6. At the Select Source and Destinations Folders screen, the designated Folder to Reprint From must include the user's *Reprint\*.TXT* file. All generated files are placed in the user designated Folder to Reprint To.
  - This is a Server run process; please map letter drives or use UNC to identify the folder.
  - IMPORTANT: If the designated Folder to Reprint From contains more than one Reprint\*.TXT file, ALL files will be automatically processed.



7. Specify Email Settings. This individual receives email notification when the process is completed, failed or canceled.
  - A maximum file size for attached reports can be set. To attach reports to email notification requires specific Email Server and Account Settings. See onscreen details.
8. At the Ready to Reprint Tax Forms screen review settings and click "Finish" to save Reprint Tax Forms settings and return to the Scheduled Job Wizard.

### File Format Conventions

Prior to running the Reprint Tax Forms wizard, users must set reprint specifications in the *Reprint\*.TXT* file. Users must manually create a .TAB delimited text file, in the following naming convention: ***Reprint\_MMDDYYYY\_Seq#.TXT***, e.g., *Reprint\_03072016\_Seq123456.TXT*.

Text File Format is .TAB delimited with the following columns: (Header row optional)

- Col 1—Tax Year (e.g., 2016 or 2019)
- Col 2—Form Type
- Col 3—Filer PCode

- Col 4—Recipient TIN
- Col 5—Recipient Account Number
- Col 6—TIN Masking: 0 = No Mask (default), 1 = Mask, 2 = PCode Filer Preference

To submit a text file without any records to be reprinted, use the wording, "NO DUPLICATE [Form Type] TAX FORM REQUESTS". This returns a failed file containing "No Duplicate Tax Form Requests".

### Job Parameters—Configuration File Settings

When reprinting tax forms via Scheduler, users can create additional filters by manually editing the *ReprintScheduler.exe.Config* file. On the Web Update workstation, this file is located in Pro99CS\Tools and can be opened and edited in Microsoft WordPad.

Setting	Values
<b>IncludeOriginal</b>	<p>Default Value—False (if not included in the config file) Possible Values—True / False</p> <ul style="list-style-type: none"> <li>• True—The original version of a corrected 1099, along with the corrected version, will be returned (1099 series only).</li> <li>• False—Only the specified corrected version of a 1099 will be returned (omits the original version).</li> </ul> <p>Full Text—<code>&lt;add key="IncludeOriginal" value="false" /&gt;</code></p>
<b>IgnoreW2SupersededInformation</b>	<p>Default Value—False (if not included in the config file) Possible Values—True / False</p> <ul style="list-style-type: none"> <li>• True—If the W-2 record being returned is corrected (a W-2C) then the original, or superseded, W-2 will be omitted from the results.</li> <li>• False—If the W-2 record being returned is corrected (a W-2C) then the original, or superseded, W-2 is also returned with the results.</li> </ul> <p>Full Text—<code>&lt;add key="ignoreW2SupersededInformation" value="true" /&gt;</code></p>
<b>AllowBlankTins</b>	<p>Default Value—False (if not included in the config file) Possible Values—True / False</p> <ul style="list-style-type: none"> <li>• True—If the TIN on the desired record is blank/empty then this parameter allows users to pass "[BLANK]" in the reprint text file and will return results. <ul style="list-style-type: none"> <li>○ This allows users to return specific records that have a blank TIN but other identifying criteria, such as an Account Number.</li> </ul> </li> <li>• False—If the TIN being passed in the reprint text file is blank/empty then the TIN field is ignored, not treated as a filtering factor at all, when filtering records to include in the results file. <ul style="list-style-type: none"> <li>○ That is, if a file passes a blank TIN, Tax Year, Form Type, PCode, and Account Number, then every record for that</li> </ul> </li> </ul>



Setting	Values
	Tax Year, Form Type, PCode, and Account Number will be included (not only records with blank TINs). Full Text—<add key="AllowBlankTins" value="true" />
<b>AllowBlankAccounts</b>	Default Value—False (if not included in the config file) Possible Values—True / False <ul style="list-style-type: none"> <li>• True—If the RCP Account Number on the desired record is blank/empty then this parameter allows users to pass "[BLANK]" in the reprint text file and will return results.               <ul style="list-style-type: none"> <li>○ This allows users to return specific records that have a blank RCP Account Number but other identifying criteria, such as a TIN.</li> </ul> </li> <li>• False—If the RCP Account Number being passed in the reprint text file is blank empty then the RCP Account Number field is ignored, not treated as a filtering factor at all, when filtering records to include in the results file.               <ul style="list-style-type: none"> <li>○ That is, if a file passes a TIN, Tax Year, Form Type, PCode, and blank RCP Account Number, then every record for that TIN, Tax Year, Form Type, and PCode will be included (not only records with blank RCP Account Numbers).</li> </ul> </li> </ul> Full Text—<add key="AllowBlankAccounts" value="true" />

## Scheduler Email Recipients

### Adding or Updating an Email Recipient

After clicking "Add or "Change" on the Manage Email Recipient Lists<sup>268</sup> you can enter or update a user's Email Address and Display Name.

Also see Additional Email Options for Import/Export<sup>327</sup>

## Scheduler Email Templates

### Add or Update Email Templates

After clicking "Add or "Change" on the Manage Automated Email Messages/Text<sup>268</sup> screen you can select the criteria for the Email as well as enter a custom text to be sent to the Email Recipient Upon job Completion, Failure, or Cancellation. You will need to create templates for every criteria you wish to notify a recipient of.

## Scheduler Archive

Archiving is recommended for those users with 10,000 or more scheduler logs in the system. For example, a scheduled process that runs every 5 minutes of every day would create 1,051,200 Logs under the scheduled Job in one year.

Scheduling a periodic archival of your logs helps clean up old data. Things to consider:

- The Scheduler Archive only archives data found in the Scheduler's logs. It will not archive data found outside of the Scheduler such as an import log showing the number of forms imported, Warnings, Errors, Rejects and form type.

- You can optionally archive logs older than one or more months.
- You can optionally archive all results or just some results. The result "Nothing to Do" indicates that the Job found no work to perform.
- Archived data is moved to another table where it can only be viewed via MS SQL.
- For more information, review the "Scheduler" topics in the Help file.

### Schedule an Archive

1. From the Corporate Suite menu bar go to Utilities > Scheduler.
2. At the Manage Scheduled Jobs screen click on "Add", "Next" and select "Archive Scheduler Logs" and "Next".
  - Enter a name for the scheduled job.
  - Enter a date and time for your scheduled job to begin.
  - Select a dependency (optional). A job dependency is a job that must be completed prior to this process starting. Only one job can be selected but multiple jobs may be chained together.
3. Indicate a frequency for the scheduled job to run: Daily, Weekly, Monthly or One-Time Only. It is required to specify the criteria and job types for the archive job to process.
4. Enter email addresses for who should receive confirmation of completed and/or failed jobs.
5. Click "Next" and "Finish".

### Registration & Upgrades

In Corporate Suite software only Administrators have access to the Registration and Updates screen.

### Software Activation

Enter your 14-character Authorization code to activate a "DEMO" version of this software. Activating a demo provides access to all software features and retains existing data. Purchase the software license online or contact Sales to obtain your code.

### Activate Software

1. On the menu bar select Utilities > Registration And Upgrades.
2. At the Product Registration/Demo Activation screen enter your Authorization Code and click the "Activate Now" button.
3. If your code does not work, please verify that the correct version of the purchased software is installed. For example, a 1099 Pro Enterprise Authorization Code is incompatible with a 1099 Pro Professional installation.

### Purchase an Authorization Code

Online	New customers can go to <a href="https://www.1099pro.com/products.asp">https://www.1099pro.com/products.asp</a> to purchase software. Renewal customers can go to <a href="https://www.1099pro.com/prodRenewals.asp">https://www.1099pro.com/prodRenewals.asp</a> to renew software.
Phone	Call Sales toll-free at (888) 776-1099, Monday to Friday, 7AM to 5PM PST. International customers can call Sales at (818) 876-0200.
Email	Sales@1099pro.com

## Transaction Limits (Bump Codes)

Transactions are the number of actual tax forms that can be entered or imported—regardless of record status—into 1099 Pro, 1042-S Pro, W-2 Pro or 8966 Pro software. Our standard software license allows for 5,000 transactions. If you exceed the number of purchased transactions, a nag screen reminds you to purchase bump codes. To remove the nag screen and enter additional transactions you must upgrade your license with a bump code. Bump codes can be purchased online at [www.1099pro.com](http://www.1099pro.com) or by contacting Sales at (888) 776-1099. Per the terms of our EULA, you are required to purchase all transactions used.

In multi-user environments, the Bump Code must be entered at the Admin or Web Update work station; this option may not be available at individual work stations (depending on access rights).

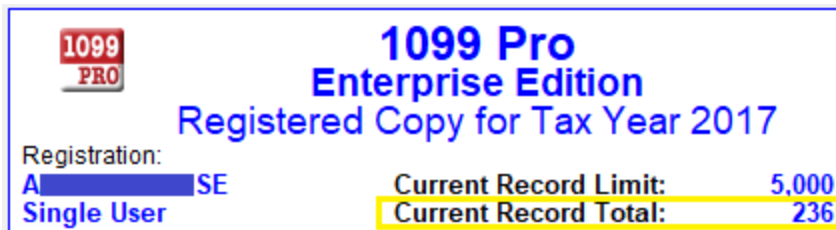
## Upgrade Transactions

1. On the menu bar select Utilities > Registration And Upgrades.
2. Enter your Upgrade/Bump Code and click "Upgrade Now". Newly entered transactions are immediately reflected in the Current Record Limit.

## How Many Transactions Do I Have?

To track records or transactions, refer to the Product Registration/Demo Activation screen:

1. On the menu bar select Utilities > Software Registration/Demo Activation.
2. The Product Registration/Demo Activation screen displays both the Current Record Limit and Current Record Total.



*In this example, 236 of 5,000 transactions have been used.*

## Ch. 12 1099Pro.NET

Available as an add-on feature to Corporate Suite software, 1099Pro.NET is a web-based module allowing immediate usage via SSL internet or intranet. Access is through Internet Explorer; no software installation is required.

### New for 2019

- Added secure sign-on options of SSO for SAML SSO & OKTA. For more information on SSO (Single Sign On through Identity Provider) for 1099 Pro.NET see the 1099 Pro Wiki.
- Added Mail Tracking for print jobs performed by the 1099 Pro Service Bureau. Mail tracking allows you to review where and when a tax form to a Recipient was last scanned. Data is provided per the Informed Visibility Mail Tracking & Reporting (IV-MTR) offered by the USPS.
- Optional default password for emailed PDF copies of forms to Recipient Account Number. To implement this change contact [tech@1099pro.com](mailto:tech@1099pro.com) and request a script per JIRA ASP-457.
- Service Bureau functionality.

## 1099Pro.NET Features

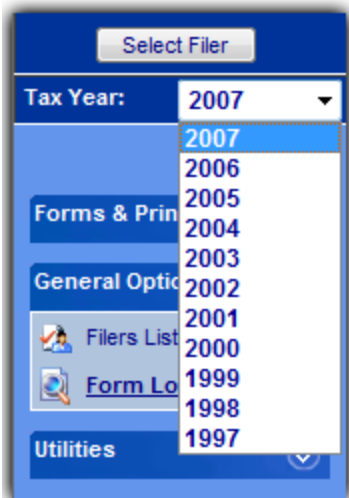
- Utilizes the advanced capabilities of the SQL database coupled with ASPs enhanced dynamically created web pages to present a compact, powerful package aimed directly at large scale businesses.
- An Internet browser based interface makes setting up multiple users quick and simple, if they have Internet Explorer, they have access to the program, access to the internet is not necessary as all users need is access to the server where 1099 Pro.net is installed via intranet or internet.
- Multi Year lookup makes digging through multiple pieces of software or files obsolete. All tax year information entered into the SQL database (Searchable to 1997) can be accessed from the same interface, by using a simple drop down menu.
- Information stored in the SQL database can be easily accessed using customizable queries, multiple search criteria can be used, one at a time or in conjunction with one another. This information is further narrowed by different operators.
- High level encryption keeps your information secure, utilizing up to 256-bit levels of encryption. Note: Security levels are configurable by the administrator.
- Output forms as Adobe Acrobat PDFs so that they can easily be emailed, printed or transferred to recipients, or stored in their completed format outside the SQL database.

## Multi-Year Lookup

1099 Pro.NET includes the ability to look up multiple years worth of information, all drawn from the same database.

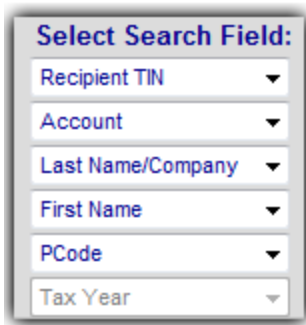
Using a simple drop down menu (Image 1) users have the ability to go through past filer information that has been entered into the SQL database—no more checking through multiple programs or digging through cabinets and drawers confirming last year's returns! Search back to tax year 1997.

Image 1



Select a tax year then use our improved search screen (Image 2) to find your necessary information.

Image 2



## Custom Queries

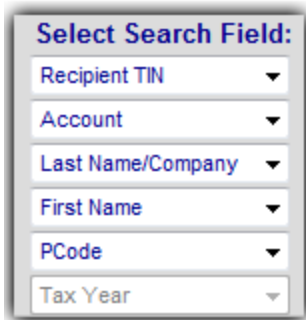
The SQL advanced database features are incredibly easy to use and offer significant time saving search criteria (see Image 1).

Search for Information by:

- Recipient TIN
- Account
- Last Name/Company
- First Name
- PCode
- Tax Year

Note: Use information from multiple search fields to narrow down information from the database. For users with multiple Filers this is great for speeding up searches.

Image 1



Within each search field users can further narrow their search by the following operators (see Image 2):

- **Equal:** Use to return the exact information placed in the search criteria field.
- **Not Equal:** Use to return all information NOT corresponding with the information placed in the search criteria field.
- **Starts with:** Use to return all results starting with the information placed in the search criteria field.
- **Ends with:** Use to return all results ending with the information placed in the search criteria field.
- **Contains:** Use to return all results containing the information placed in the search criteria field.

Note: Use multiple search fields in conjunction with different operator types to narrow down a search. For example, use the Search Field "First Name" with the Operators "Starts With" and "Ends With" concurrently.

Image 2



## Security

With administrator configurable encryption going up to 256-bit your information can now be trusted to users outside the local area network. Now users from multiple locations can safely and securely draw upon the information stored in your SQL database to both input information and print.

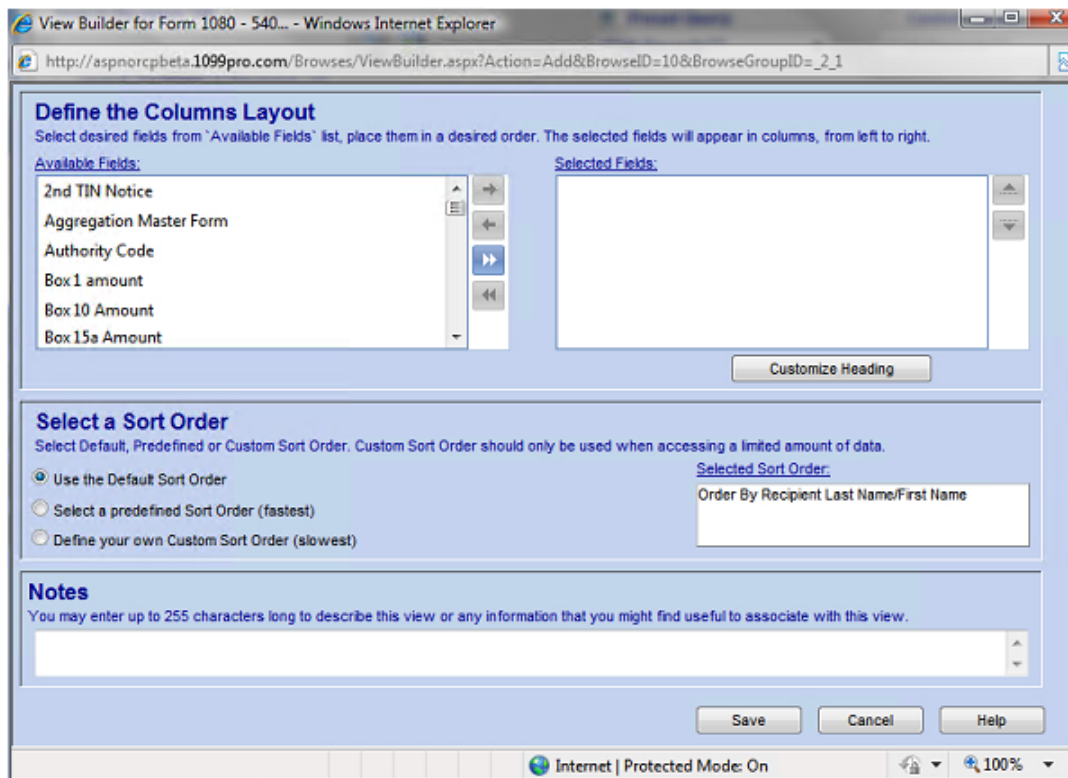
1099 Pro.NET offers unparalleled levels of access restrictions. Administrators have the ability to limit the areas users have access to. If you don't want certain forms or boxes changed after certain times of the year, you can now limit that, this can also save time from mistakes potentially being made.

## Recipient Printable Forms

Information can be easily exported in the commonly used Adobe Acrobat PDF format, without the need for Adobe to be installed on the user's machine. Exporting forms in PDF format simplifies sending forms to Recipients—simply e-mail or transfer the forms to the Recipient. With this advanced feature Recipients can now have records of their forms accessible to them almost immediately!

## Custom Column Views

As part of the 1099 Pro.NET module, users can modify the Work With My Tax Forms screen to display the information most relevant information to them! This information is customized per user and can be shared amongst users. In addition to being able to select columns to display, users can rename them and/or select a default custom sort order to display the information.



## Ch. 13 Extra—Puerto Rico Overview

*DISCLAIMER: Functionality is subject to change as rules and regulations are updated frequently by the Hacienda.*

### Import Puerto Rico Tax Forms

See Import Wizard <sup>308</sup>. Sample Puerto Rico series import files are available on the 1099 Pro WIKI.

### Manage Puerto Rico Control Numbers

Control Numbers are required for each Puerto Rico form type filed. Control numbers are managed through security settings and are assigned at a batch level. See **Puerto Rico Control Numbers** <sup>268</sup> for further details.

### Confirmation Number to Puerto Rico Forms

***Puerto Rico forms require the confirmation number on the printed form.*** This confirmation number always starts with an alpha character and is received after successfully submitting the electronic file to the Hacienda's site.

### Enter Confirmation Number

1. On the task panel go to Filing My Forms > Electronic Filing. Select Puerto Rico as the Type of Form to process.
2. At the Completed IRS eFile Generation Session List highlight the electronic file session and click the "Session Tracking" button.
3. At the Session List screen select the "Puerto Rico Session" radio button. Highlight the session log and click the "Update Session Tracking/Information" button.

4. Complete the Tracking Information screen and then click "Apply Confirmation Number".
5. You will receive a confirmation message, click "OK" to acknowledge and continue. Then click "Save" to update the tracking for that session.
6. Details for the selected session display.

### Printing Puerto Rico Tax Forms

See Puerto Rico Compliant Tax Forms<sup>[341]</sup> for form specific printing instructions.

### Electronic Filing

See Puerto Rico Electronic Filing<sup>[177]</sup>

### Puerto Rico Control Numbers

Control Numbers are required for each Puerto Rico form type filed. New for Tax Year 2019, control numbers are assigned by the employer and not by the Hacienda.

### Control Number Guidelines

Per Pub. 19-02, "The employer will generate and assign control numbers for withholding forms. Control numbers must be 9 digits and must be unique for the employer, form type, and tax year...The Department does not assign control numbers via text file. The control number will be assigned by the employer on submission. This number must consist of nine digits and cannot be repeated for the same employer, same form type, and same tax year. **Starting tax year 2019 the sequence from 900000000 to 999999999 will be reserved only for the use of the Department for all other submissions, excluding text file submissions.**"

In summary, control numbers:

- Are set by the employer, and
- Must be unique for the employer, form type and tax year, and
- Must be 9 digits (cannot contain any alpha characters or delimiters), and
- Cannot contain any numbers within the restricted range established by the Hacienda.

See Puerto Rico Overview<sup>[339]</sup> and Puerto Rico Electronic Filing<sup>[177]</sup>

### Manage/Assign Control Numbers

Puerto Rico Control Numbers cannot be manually assigned at the Adding/Changing a Form screen. Set the appropriate year via the "Tax Year" drop menu located on the Corporate Suite main screen.

1. On the menu bar go to File > Security and Administration.
2. At the Global Administrative Options screen click the "Puerto Rico Options" button to access the Puerto Rico Control Numbers screen (verify the tax year).
3. **Manage Control Numbers**—Enter a range of control numbers per the above Control Number Guidelines. Indicate if the range is for Original or Corrected/Amended forms.
4. **Assign ORIGINAL Control Numbers**—Use this button to assign Control Numbers to all PENDING forms without a Control Number. This utility matches control numbers against the previously indicated filer EIN and form type(s). The process starts at the next available number after the highest previously assigned number within the range. If one range runs out it automatically moves to the next range (assuming there is more than one range assigned for that



EIN/Form type.) Run the process as many times as necessary. Forms with existing control numbers are not affected.

5. **Assign AMENDED Control Numbers**—Use this button to assign Control Numbers to all CORR/PENDING forms without a Control Number. For tax years 2014 and on a new set of Control Numbers for Amended forms must be assigned.

### Control Number Report

Run the Control Number summary report to view numeric ranges in the system, forms without numbers, the highest used number, etc.

1. On the menu bar go to File > Security and Administration.
2. At the Global Administrative Options screen click the "Puerto Rico Options" button to access the Puerto Rico Control Numbers screen (verify the tax year).
3. View/Print Control Number Report

### Manually Add/Edit a Control Number via SQL

To assign a specific Control Number, it must be directly entered into your database using an update statement. For example:

```
Update Pro1099.Form480_7C
Set ControlNumberPR = XX1234567
Where TaxRecID = 100
```

### Puerto Rico Compliant Tax Forms (CS Only)

Corporate Suite (CS) software supports enhanced Puerto Rico form printing from both the desktop and 1099Pro.NET (ASP) interface. Puerto Rico has specific tax form printing requirements.

This feature is accessible in both the "Quick-Print" or "Print Wizard" sections of the software. Additionally, Puerto Rico compliant tax forms be printed via the 1099Pro.NET interface, specifically via the "Quick-Print" feature (discussed later).

### Print Puerto Rico Approved Forms 1099-R

There are six pages required for this Puerto Rico compliant Form 1099-R printout, thus duplex printing is encouraged. Address information is formatted to fit into a **#8888-1** envelope.

1. From either the "Quick Print" screen or the "Print Tax Forms" screen, select "Pressure Seal/ACL" when asked to "Select the type of paper you want to print on".
2. Click on "Puerto Rico 480.7C".
3. Click "Select" and "Print Now".

### Print Puerto Rico Approved Forms 1099-INT

There are four pages required for this Puerto Rico compliant Form 1099-INT printout, thus duplex printing is encouraged. Address information is formatted to fit into a **#8888-1** envelope.

1. Select "Pressure Seal/ACL" when asked to "Select the type of paper you want to print on".

2. Click "Puerto Rico 480.7A No PR Tax W/H" to print 1099-Int Puerto Rico forms without Tax withheld for Puerto Rico, or Select "Puerto Rico 480.7A PR Tax W/H" to print 1099-Int Puerto Rico forms with Tax withheld for Puerto Rico.
3. Click "Print Now".

### **Print Puerto Rico Approved Forms 1099-MISC**

There are four pages required for this Puerto Rico compliant Form 1099-MISC printout, thus duplex printing is encouraged. Address information is formatted to fit into a **#8888-1** envelope.

1. From either the "Quick Print" screen or the "Print Tax Forms" screen, select "Pressure Seal/ACL" when asked to "Select the type of paper you want to print on".
  - Select "Puerto Rico 480.6A Corp/Partners" to print 1099-MISC Copy A Puerto Rico forms for Corporations or Partnerships.
  - Select "Puerto Rico 480.6B Corp/Partners" to print 1099-MISC Copy B Puerto Rico forms for Corporations or Partnerships.
  - Select "Puerto Rico 480.6A Individuals" to print 1099-MISC Copy A Puerto Rico forms for Individuals.
  - Select "Puerto Rico 480.6B Individuals" to print 1099-MISC Copy B Puerto Rico forms for Individuals.
2. Click "Select" and "Print Now".

### **Print Puerto Rico Approved Forms 5498**

There are six pages required for this Puerto Rico printout, thus duplex printing is encouraged. Address information is formatted to fit into a **#8888-1** envelope.

1. From either the "Quick Print" screen or the "Print Tax Forms" screen, select "Pressure Seal/ACL" when asked to "Select the type of paper you want to print on".
2. Click "Puerto Rico 480.7".
3. Click "Print Now".

### **Puerto Rico Printing via 1099Pro.NET (ASP)**

The 1099-R, 1099-MISC, 1099-INT or 5498 Puerto Rico tax forms can be printed using the "Quick-Print" option in the 1099Pro.NET interface.

1. Highlight the record to print.
2. Click the "Quick-Print" button on the bottom left corner of your screen.
3. Select the "Use Puerto Rico 480.x format instead of US format" box.

The filing state on the record being printed must be Puerto Rico otherwise the following option will not appear:

- Click the printed form type that you would like and click "Print Now" button to begin the print process.

### **Puerto Rico Electronic Filing**

Puerto Rico files are formatted per the Hacienda's annual eFile specifications. **It is the user's responsibility to ensure that the receiving state(s) will accept this format.** Each selected

form type generates its own file. A single 480.5 form is generated at the end; it is a summary of all forms included in the electronic file. All generated files are zipped into a single .ZIP file. All files contained in this .ZIP must be uploaded simultaneously.

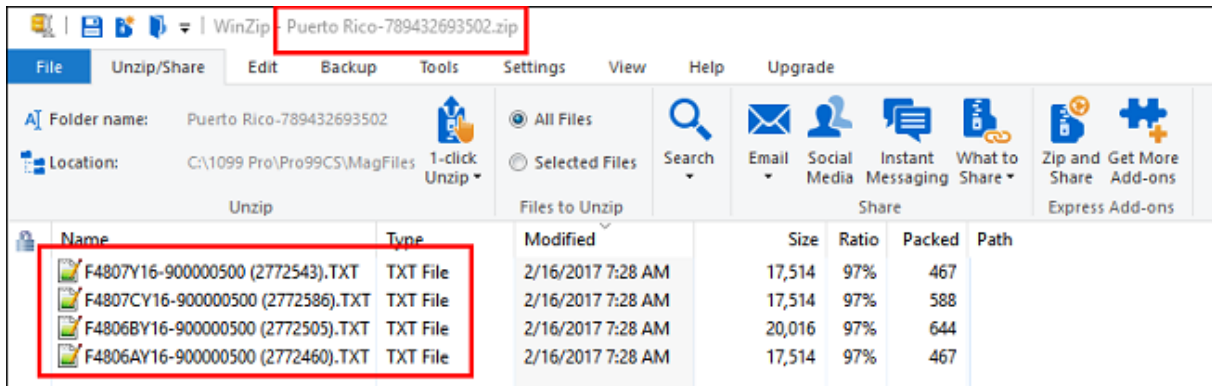
See Puerto Rico, Special Cases for Electronic Filing<sup>344</sup>, Puerto Rico Overview<sup>339</sup> and Puerto Rico Control Numbers<sup>268</sup>

## Generate Electronic PR Files

1. On the task panel go to Filing My Forms > Electronic Filing. Select Puerto Rico as the Type of Form to process.
2. At the Begin a New IRS eFile Generation Session screen select Create State Subset Files > Create Puerto Rico Files.
3. In the Wizard review onscreen information and click "Next" to continue, go "Back" at any time.
4. Check for software updates. Although not required to continue with this process, it is strongly recommended.
5. Choose how eligible forms will be selected:
  - ALL Forms for ALL Filers
  - Selected Form Types for ALL Filers
  - Selected Forms for Selected Filers
6. Specify the Type of Forms to Process. Options include:
  - Original—File these records for the first time.
  - Correction—Use to Amend records that were previously filed.
  - Department of Treasury Notification—Rarely used. Select this option ONLY if notified by the Department of the Treasury to make this correction.
7. Select the Type of Original forms to include in the subset files:
  - Filled/Uploaded—Select forms that have already been filed.
  - Pending/Printed—Select forms that have a Pending or Printed status (thus, NOT filed).
  - ALL forms—Select all eligible forms, regardless of status.
8. Specify How Zero Amount Forms are Processed:
  - Filter—Skip forms that do not contain any dollar amounts. However, some forms with zero amounts may be included IF certain boxes are checked or due to other requirements.
  - Process ALL forms including ones with all zero amounts (subject to threshold selections).
9. Specify How Filers are Grouped.
  - **Do NOT group by EIN**—Default option wherein Filers with the same EIN, but different PCodes, are not consolidated into a single Payer record.
  - **Group by EIN**—This option consolidates a group of Filers with the same EIN, but different PCodes, under a single Payer record. Select this option if a state requires that all submissions for an EIN be submitted in a single Payer record.
10. Select the destination folder. By default all electronic files are saved to the MagFiles folder. Archive a copy of this file (recommended).
11. Verify Submitter Information. Changes made here are temporary and apply to this session only. To make permanent changes exit this Wizard and go to the Update eFile Transmitter Information<sup>228</sup> screen.
12. Verify Contact and Company Information. Changes made here are temporary and apply to this session only. To make permanent changes exit this Wizard and go to the Browse the Filers<sup>207</sup> screen.

13. Confirm settings and click "Finish" to generate your electronic files.

- Your electronic file is available, in a default file creation, at C:\1099 Pro\Pro99CS\MagFiles.
- The ZIP file name (e.g., Puerto Rico-789432693502.ZIP) includes the individual Puerto Rico files, named by file type and Tax Year. Please see below image for reference. **Do not rename electronic files.**
- Most Puerto Rico electronic files can be easily viewed in the add-on eFileViewer utility or a text editor such as Notepad.



14. Submit your file(s) to the Hacienda.

## Special Cases for Puerto Rico Filings

### Form 480.6SP

Puerto Rico requires that the electronic file include a withholding waiver type and withholding waiver certificate number, if applicable. However, the Puerto Rico form does not have this information present so it must be included in the below format for the 1099 Pro Corporate Suite software to include the information the electronic file. This information can be manually entered, or imported, into the software.

- Alternate Account/Info Field (at the bottom of the form)
  - Enter "EFILE:WVR=[WaiverType][WaiverNumber]"
    - [WaiverType] – 'P' or 'T'
      - P – Partial
      - T – Total
    - [WaiverNumber] – Actual Waiver Number
      - Up to 20 characters, alpha-numeric
  - Sample – "EFILE:WVR=P12345678901234567890"

## Ch. 14 Extra—TINCheck Overview

You can quickly validate Recipient Name/TIN combinations with an active TINCheck account associated with this software. TINCheck validations are not available in Corporate Suite software. See [Manage TINCheck Account](#)<sup>[252]</sup>. All 1099 Pro software products include optional Bulk Name/TIN Matching<sup>[124]</sup> via the Service Bureau for a fee.

### Validate Name/TIN

Click the "TIN Validation" button when adding or viewing a tax form. TIN validations require both the TIN and Last Name/Company fields to be populated. It is not possible to verify a TIN without Name/Company data—the IRS considers this "phishing" and it is illegal.

### TINCheck Results

The results screen details the TINCheck Date/Time and User ID and additional information:

- **Validation Result**—Indicates if request was successfully completed. The IRS site does go down periodically for maintenance and TINCheck services are not available at such times.
- **TIN/Name Result**—Indicates if Name/TIN combination matches the IRS records. This verification process, for both EIN and SSN numbers, ensures that payers file accurate payee TIN/Name combinations reducing or eliminating yearly IRS TIN/Name discrepancy penalties (B-Notices, CP2100(A)s, 972CGs). The IRS can assess significant penalties<sup>[27]</sup> for non-compliance. In the event of intentional disregard, there is no limit.
- **DMF Result**—Death Master File per the SSA is a continually updated list of all known deceased individuals. It is used by the financial industry as well as government agencies to prevent identity fraud. IRS TIN/Name Matching does not discern whether or not a payee is deceased. For some payers, knowing whether they are paying a deceased individual is prudent. Checking payees against the Death Master File gives the payer community the ability identify and prevent fraud.
- **OFAC Result**—Office of Foreign Assets Control per the Department of Treasury. Unlike IRS penalties for TIN/Name discrepancy, payers neglecting to verify the Office of Foreign Assets Control (OFAC) lists open themselves up to civil as well as criminal penalties. OFAC non-compliance carries significant civil penalties per violation plus criminal fines and imprisonment ranging from 10 to 30 years.

**TIN Check Result**

This Tin/Name combination was previously validated with IRS and has valid results. The most recent result is loaded below. Click on 'Check Tin/Name' button if you wish to validate your TIN/Name combination again.

TIN Check Date: 7/01/2014      TIN Check Time: 16:40:09

User ID: Administrator      Checked Via: TINCheck Interactive

TIN: 123-22-1002

Last Name: ADAM      First Name: LILLIAN

Validation Result: Request Completed The IRS is currently experiencing intermittent issues. Other TINCheck Services will not be affected.

TIN/Name Result: No IRS Match found. TIN and Name combination does not match IRS records

DMF Result: No Death Master File Match Found.

OFAC Result: OFAC/SDN List: No Match Found

TINCheck History      Check TIN/Name      Close      Help

## Manage TINCheck Account

An active, paid TINCheck account is required to use this feature. Visit <https://www.tincheck.com/plans> to review plans and sign up. See TINCheck Results<sup>37</sup> for details on running TINChecks and reading results. TINCheck Validations are not available in Corporate Suite software.

## TINCheck Account

Please watch the online video, How to Use Integrated TIN/Name validation, prior to starting this process. The TINCheck feature is limited to Users with "Allow TIN Check" enabled in their security profile.

1. On the menu bar select File > Security & Administration > Program Options.
2. At the Business Rules & Options screen click the "Configure TINCheck Account" button to access the Manage My TINCheck Account screen.
3. STEP 1: Create a TINCheck account. Users without an active TINCheck account cannot use this service.
4. STEP 2: Enter TINCheck Login Credentials
  - **TINCheck User (login) ID**—Enter your TINCheck user ID, this is normally an email address.
  - **TINCheck Password**—Enter your TINCheck password. Use the "Test My TINCheck Connection" button to verify settings are accurate.
  - **Account Description**—Enter a description regarding this service, this information has no impact on the processing of TINs.
  - **Account Notes**
5. Click "Save" or "Cancel" to exit this screen.

## TINCheck History

The Browse TINCheck History screen allows users to view all TINCheck requests and results associated with the viewed record. In this way it also serves as an audit trail allowing users to see the

information associated with that TIN at the time it was checked and who performed that check (assuming multiple login IDs have been configured for this functionality).

### TINCheck History Report

1. At any tax form screen click the "TIN Validation" button to access the TINCheck Result screen.
2. Click the "TINCheck History" button.
3. At the Browse TINCheck History screen review onscreen data and click "Print/View" button to generate an audit trail report.

### TINCheck Integration

There are two ways to provide user access to TINCheck's integrated features. The simplest method is for the Administrator to select an existing access group with TINCheck permissions and add user(s) to that access group. Individual TINCheck validations are not available in Corporate Suite software.

### Customized Access

The Administrator creates a customized built-in access group with TINCheck integration enabled and include the user(s) in that group. A paid, active TINCheck account is required to use this functionality.

1. In Access Groups modify an existing group or add a new group. Groups in **BLUE** are built-in and cannot be modified.
2. At the Update Access Group screen tag "Allow Access to TINCheck" and then the "Modify" button.
3. At the Modify Access Rights screen select the TINCheck rights to enable for this custom user group and click "Save".
4. Select any other forms or program areas to include for this custom access group and then click "Save Changes to Group".
5. Go to User Profiles and assign user(s) to this custom access group created for TINCheck integration. Tag the access group and click "Save Changes to Group".

### TIN Management

#### Browse All Requests

The Manage Information Requests screen (Corporate Suite Edition) allows users to track and view/reprint all previously issued Information Requests. Users can also update the status of an Information Request, attach pertinent documents and generate a summary report. Corporate Suite Users can access this screen via the task panel > TIN Management > Browse All Requests.

To issue new requests—including Forms W-9, W-9S, W-8 series and B Notices—use the Information Request Wizard<sup>200</sup>.

#### Sort By Options

- **Current View/Sort**—Sort Information Requests by Recipient's Last Name, TIN or Barcode<sup>200</sup>.
- **Search for Name/TIN**—This feature is used in conjunction with the Current View/Sort drop menu.
- **Current Query**—Generate a custom query or select one of the many predefined queries including sort by; Batch ID Number, Created Date, Has Attached Documents, In Process, Match Status, Notice Date, Request Type, Tax Year and more.

## View/Print Report

The Information Request Summary Report includes the selected Recipients' TIN/Name/Address When Issued, Current TIN/Name/Address and the Requester/Form Type/Status. The report details the date the information request was originally Created, Closed, any associated B Notices and the Withholding percentage, if applicable.

Run Information Request Summary Report

## View/Reprint Selected

Reprint individual requests by highlighting the record and selecting the "View/Reprint Selected" button.

## Update Selected Request

Users can update any record's Request Type (e.g., W-9, 1st B Notice, etc.) with an Open/Pending status. Requests with a Closed or Escalated status have the option to "Reopen Request" if it was closed in error, or "Update Recipient" for any associated Recipient records with a Pending status.

## Update Status of an Information Request

1. At the Manage Information Requests screen highlight the appropriate record and select the "Update Selected Request" button.
2. At the Changing a Recipient's Record screen users can edit:
  - **Current Information**—Update Recipient's SSN/EIN, First and/or Last Name.
  - **Status of the Information Request**—Options include:
    - **Leave the Request as Open/Pending**
    - **Close the Request:** Updated information was received.
    - **Void the Request:** It should not have been issued. Once a request is voided it is considered "closed" and is not available for modifications.
    - **Close and Escalate to 1st B Notice/2nd B Notice (never responded):** If this option is chosen, upon clicking the "Save" button the existing request is closed and the User is taken directly to the Information Request Wizard to create a 1st B Notice or 2nd B Notice request.
3. Click "Save" to apply changes to all pending records for this Recipient or "Cancel" to exit this screen.

## Attach Documents

Users can attach *individual* scanned Information Request responses or other documents for safekeeping and ease of access. To attach a document highlight the appropriate request and click the "Attach Documents" button. Multiple documents in various formats, i.e., Excel, Word, PDF, etc., can be attached to any one request. To attach a *batch* of scanned Information Requests see Attach Information Request Batches<sup>352</sup>.

## IRS Batch Processing

Filers receiving CP2100/CP2100A, 972CG and Bulk TIN notices from the IRS can enter this information into Corporate Suite to streamline responses and tracking. The IRS may provide these notices in a CD data file or on paper; Corporate Suite allows users the flexibility to import or manually enter this data into batches.



After these notices or "batches" are entered into 1099 Pro, users can track their Status / Batch Type / Notice Date and export data, approve for printing and more at the Previously Imported/Created Batches screen.

#### Related Topics:

- Create/Import Batch Wizard<sup>350</sup>
- Browse Information Requests<sup>323</sup> to issue Information Requests (i.e., Forms W-9, W-9S, W-8 series and B Notices).

### Previously Imported/Created Batches Screen

Access this screen via the task panel > TIN Management > IRS Batch Processing. The following options are available for batches containing records—if a batch contains "0" (zero) records these options are ghosted and unavailable.

Option	Description
<b>Auto-Match Process</b>	Links Recipient information in the imported file to existing Recipients in the Corporate Suite database. Thus for purposes of a Bulk TIN Import users can automatically generate W-9's for the Recipients whose TIN's did not match.
<b>Create/Link Recipients</b>	Link Recipients from the IRS Batch Processing with EXISTING Recipients in the Recipient Master List.
<b>View/Print Batch Report</b>	The Batch Report is specific to the Information Requests contained within the selected Batch ID (Batch IDs are generated automatically in numerical sequence of date created). This report contains the selected Recipients' Current TIN/Name/Address, TIN/Name/Address When Issued and the Requester/Form Type/Status. It further details the date the information request was originally Created, Closed, any associated B Notices and the Withholding percentage, if applicable.  To run a multi-batch or multi-filer Information Request report see Information Request Summary Report.
<b>Export Batch to Excel</b>	Generate a batch specific report to Excel in a user specified destination folder. Report contains detailed information including; Request Type, Batch Type, Status (e.g., Open/Pending, In Progress, etc.), Linked Recipient, Match Status, Recipient Name/Address, Date Created and more. Filter options for this report include All Records, Approved Only or Not Approved Only.
<b>Delete Batch</b>	A batch with a Pending or In Process status can be deleted. A batch with a Printed or Approved status cannot be deleted unless the batch is first Reset/Void at the Browse Batches screen.
<b>Abatement Report</b>	Prior to generating this report, an Auto-Match Process must be completed on the batch.

Option	Description
<b>Browse Batch</b>	Access the Manage Information Requests screen for the selected batch where users may Add / Update / Delete selected Information Requests and attach relevant documents. This area is also accessible by double-clicking a batch record.
<b>Approve Batch</b>	Once a batch is approved, it is available at the Information Request Print Batches screen for printing. See Print Information Requests <sup>323</sup>

## IRS Batch Process Wizard

Filers receiving CP2100/CP2100A, 972CG and Bulk TIN notices from the IRS can use the Create/Import Batch Wizard to quickly import this data into Corporate Suite. After entering the notices or "batches" use the the IRS Batch Processing<sup>348</sup> screen to track their status, auto-match and/or link recipients and run various reports.

### Create IRS Batch Requests

1. On the task panel select TIN Management > IRS Batch Processing.
2. At the Import/Create CP2100A/CP2100/972CG screen click the "Create/Import New Batch" button.
3. At the 1099 Pro Create/Import Batch Wizard review onscreen information and click "Next" to continue.
4. At the Select Process and Batch Type screen select the batch type and process type:
  - **Key-In IRS Data**—Use this option if you received a CP2100A, CP2100, 972CG or Bulk TIN Results on paper and it must be manually entered as a batch. After selecting "Finish" in Step 6, the user is returned to the Import/Create CP2100A/CP2100/972CG screen where they must highlight the newly created batch and use the "Browse Batches" button to access the Manage Information Requests screen. At this batch specific screen use the "Add New Request button" to manually add IRS data.
  - **Import IRS File**—Use this option if you received a CP2100, 972CG or Bulk TIN results in a file and the batch can be automatically imported. Users must select the IRS electronic files and continue through prompts.
  - **Batch Type**—Select CP2100 or CP2100A (B Notice), or 972CG (Penalty) or Bulk TIN Matching Results
5. At the Select Requester Information for this Batch of Requests screen review the default information (the currently selected Filer), select a different Filer or manually enter requester information. The "Notice Date" is the date the notice was received from the IRS or the date printed in the upper right-hand corner of the notice, whichever is more recent. Click "Next" to continue.
6. Verify settings and click "Finish" to create batch.

### Browse Batches

This feature is not available in 1042-S Pro software.

### Information Request Wizard

Information Requests, including Forms W-9, W-9s<sup>198</sup>, Form W-8 Series (Corporate Suite Edition only) and First and Second B Notices<sup>202</sup>, are important tools in maintaining current Recipient Name and

TIN information. The Information Request Wizard simplifies the process of issuing these forms to Recipients individually or in batch. The status of these forms can then be tracked and updated as necessary. This utility is available in 1099 Pro Professional, Enterprise and Corporate Suite software only; W-2 Pro, 1042-S Pro, 8966 Pro and CRS Pro software do not offer it.

### **Information Request Barcodes**

Corporate Suite automatically prints a unique barcode on each issued Information Request (IR) to track requests in the numeric order created and to link Information Request responses with the associated Recipient. Users can scan the returned IRs, save them as PDF documents and attach them as a single batch into the software. Corporate Suite automatically links the returned IR to the issued IR by barcode; thus saving Users valuable time. See [Attach Information Request Batches](#)<sup>224</sup>

### **Issue Information Requests**


1. On the task panel select Help & Extras > W-9/B Notices.
  - Corporate Suite Users: On the task panel select TIN Management >Browse Batches. At the Create/Print Information Request screen click the "Create a New Batch of Information Requests" button and proceed directly to Step 4.
2. At the Manage Information Requests screen click the "Issue New Requests" button.
3. At the Print Information Requests screen click the "Print a New Batch of Information Request Forms" button.
4. At the 1099 Pro Information Request Wizard click "Next" to continue.
  - Review the IRS Instructions for the Requester of Form W-9.
5. Select the Specific Type of Information Request to print and click "Next" to continue:
  - W-9 Request for Taxpayer Identification Number and Certification
  - First B Notice
  - Second B Notice
  - W-9S Request for Student/Borrower's Taxpayer ID Number and Certification
  - W-8 Series (Corporate Suite Edition only)—Includes Forms W-8 BEN, W-8ECI, W-8EXP, W-8IMY, W-8BEN-E and W-8 Combined.
6. Specify the Requester (Filer) issuing these forms (this information appears on the printed forms). Any changes made at this screen are temporary and will not permanently affect your Filer record, or alternately use the "Select a Different Filer to use as the Requester" button.
7. If issuing B Notices, additional information is required including:
  - B Notice 'Must Respond By' date
  - Backup Withholding Rate (effective TY 2018, the default is 24%)
8. Select how Recipients will be selected for this batch and click "Next".
  - Manual selection: Tag (or select) Recipients.
  - Automatic selection: Select one or both options—
    - Pre-select all Recipients who do not have a TIN, or
    - Pre-select all Recipients who have an invalid TIN.
9. Set Print Options screen. The program remembers the user choices and automatically restores them each time this wizard is run. Click "Next" to continue.
  - Select the order to print forms (by Company/Last Name, TIN (SSN or EIN), ZIP/Postal Code or State)
  - Select whether to preview forms
  - Select WHEN forms should print:

- Now, as soon as I click Finish.
  - Not yet, I have more batches to create. Selecting this option automatically returns you to the Information Request Wizard after clicking Finish.
10. Confirm settings and verify printer. Click "Finish" to print or return to the Wizard to select more forms (as determined in the previous step).

## Attach Documents

This screen allows users to track returned W-9 and B Notices. Specifically, all information requests generated within Corporate Suite software include a unique barcode. Upon receipt of a completed W-9 or B Notice, the user scans the document(s) into a PDF file and then uploads it into the Corporate Suite database. Corporate Suite intuitively matches the barcode on each page in the PDF file to the corresponding Information Request issued by the software. Pages without a barcode, such as a letter following a W-9, are assumed to be associated with the previous barcode and are inserted into the database, too.

Corporate Suite Users can access this screen via the task panel > TIN Management > Attach Documents.

<b>Requester:</b>		
FILER NAME LINE 1		
FILER NAME LINE 2		
STREET ADDRESS 1		
STREET ADDRESS 2		
CITY, ST 99999-9999		
<b>Account Holder:</b>		
 0000026053		
Form <b>W-9</b> <small>(Rev. Oct. 2015) Department of the Treasury Internal Revenue Service</small>	<b>Request for Taxpayer Identification Number and Certification</b> <small>Go to www.irs.gov/irm/99 for instructions and the latest information.</small>	<b>Give form to the requester. Do not send to the IRS.</b>
1 of 1 page	1 Name (as shown on your income tax return). Name is required; do not leave this line blank.	
	2 Business name (disregarded entity name, if different from above)	

Sample Form W-9 illustrating scannable barcode.

## View/Print Batch Report

The Information Request Summary Report includes the selected Recipients' TIN/Name/Address When Issued, Current TIN/Name/Address and the Requester/Form Type/Status. The report details the date the information request was originally Created, Closed, any associated B Notices and the Withholding percentage, if applicable.

Run Information Request Summary Report

## Reprint Batch

Reprint an entire batch by highlighting the batch and selecting the "Reprint Batch" button.

## Reset/Void Batch

Void an entire batch by highlighting the batch and selecting the "Reset (Void) Batch" button.

## Attach Documents

Users can attach batches of scanned Information Request responses for safekeeping and ease of access. To attach a document highlight the appropriate request and click the "Process a New Batch of Information Requests" button. Upload returned W-9s and B Notices in scanned PDF format. Corporate Suite intuitively matches the barcode on each page in the PDF file to the corresponding Information Request issued by the software.

## Create Bulk TIN Match File

1099 Pro's Bulk TIN Matching is an essential compliance and risk mitigation service that identifies Recipient Name and TIN mismatches prior to filing with the IRS. The Bulk TIN Matching Wizard allows users to run up to 100,000 Name/TIN combinations in a single upload file for only \$135. Results are typically available the following business day. **Bulk TIN Uploads are not available in W-2 Pro software.**

## Bulk TIN Upload Guidelines

- Current Service Bureau customers do NOT require an upload appointment—they are welcome to upload at any time.
- New Service Bureau customers must contact the Service Bureau<sup>[109]</sup> prior to uploading a file.
- Optionally, users can manually submit a flat file for Bulk TIN Matching. Download our online Bulk TIN Manual Submission guidelines.
- See Bulk TIN Matching<sup>[124]</sup> and Bulk TIN Match Results<sup>[126]</sup>

## Create Bulk TIN Match Upload File

1. On the task panel select Printing and Mailing (or Filing My Forms) > Via the Service Bureau.
2. At the Printing, Mailing, Filing and Bulk TIN Matching screen select the "Bulk TIN Matching Upload" button.
3. In the Bulk TIN Matching Upload Wizard review important onscreen information. Click "Next" to proceed. Use the "Back" button to go back a step.
4. Choose a method for selecting eligible records.
  - Selected Form Types for ALL Filers: This default option prompts to select the form types to include in this upload file. All Filers are processed.
  - Selected Form Types for Selected Filers: This option prompts to select the Filer and the form types to include in this upload file.
5. Select form types to include in upload.
6. Set options for your upload.
  - **Force TIN Type as Unknown for all records:** Select this option to validate TINs against *both* the SSN and EIN master files. This option removes the SSN or EIN identifying hyphens for all TINs. The returned IRS result indicates if the Name/TIN matches the the IRS SSN, EIN or SSN and EIN records (see Bulk TIN Match Results<sup>[126]</sup>). Users cannot import results back into the software if this option is selected.
  - Select the destination folder: By default all Service Bureau Upload Files are saved to the Uploads folder. Users must have read/write/modify folder permissions to successfully upload files. Although not recommended, users can change the default Uploads folder.
7. Enter your Contact Information and User Password:

- The Service Bureau emails your encrypted results to the email address provided. **Please ensure that you can receive emails, with .ZIP attachments, from sb@1099pro.com.**
  - Enter a password to encrypt your Bulk TIN matching results; retain the password to access your results. Your password must be 8 to 30 characters in length.
8. Select the Printer for your Bulk TIN Matching summary and instructions.
  9. At the Ready to Generate Bulk TIN Upload File screen review settings and select "Finish". The system processes your file and the Administrator indicates when file is "Done".
  10. Continue to **Submit Service Bureau Upload File**<sup>[120]</sup>.

## Ch. 15 Extra—Troubleshooting

### Error Messages

Error messages appear as pop-ups within the software due to user error or a software bug. Many of these errors have simple solutions that can be easily applied by the user, the user's IT department or 1099 Pro Tech Support. Prior to applying any solution backup data<sup>[18]</sup> to avoid any possible data loss.

#### ***Most error messages result from one or more of the following issues:***

- Inadequate user rights to read/write/modify data files and/or folders; please contact your internal IT support to verify your user rights.
- Incorrectly mapped data file.
- Third party AV programs (anti-virus) removing critical software files.
- Incomplete software updates.
- Minimum TLS 1.1 browser requirement<sup>[9]</sup> not met.

### Common Error Messages & Solutions

- Error Code 0002:0005<sup>[355]</sup>
- Invalid Record Declaration Error 47<sup>[355]</sup>
- ERROR: Uploaded Data Size Mismatch<sup>[356]</sup>
- Unable to Open Required File (ProTips): 2—File Not Found<sup>[356]</sup>
- Unable to Open Required File (ProTips): 3—Path Not Found<sup>[357]</sup>
- Unable to Open SystemID: 2—File Not Found<sup>[357]</sup>
- Unable to Open SystemID: 3—Path Not Found<sup>[358]</sup>
- Unable to Open SystemID: 5—Access Denied<sup>[358]</sup>
- Unable to Open SystemID: 53—Invalid Clarion File<sup>[358]</sup>
- Clarion Trappable Runtime Errors<sup>[359]</sup>
- EC002—Unable to Open Files!<sup>[361]</sup>
- Error Code #0008—Can't Find Stub Loader<sup>[361]</sup>
- Could Not Load DLL Library \USER32.DLL<sup>[361]</sup>
- Single User Version Error<sup>[362]</sup>
- File Not Found: Information Request<sup>[362]</sup>
- Software Not Responding<sup>[362]</sup>

## Authorization Code Error

If an Authorization Code does not work it is almost always because an incorrect version of the software was installed. For example, a 1099 Pro Enterprise Authorization Code is incompatible with a 1099 Pro Professional installation; likewise a W-2 Pro 2018 Authorization Code is incompatible with a W-2 Pro 2019 installation. Users should verify that the version installed matches the version purchased.

## Antivirus Exceptions

1099 Pro software requires full rights to certain folders and subfolders plus a carve-out from any antivirus programs (e.g., Norton, McAfee, Sophos, Kaspersky, Webroot, etc.). This includes full rights and permissions to where the software is installed—which is typically C:\1099Pro—and all subfolders. In the case that your data folder is on a network, users will also need full rights to the Data folder where the .TPS files reside.

Antivirus (AV) programs often prevent installations, software updates and corrupt data files. The following assumes that the software is installed in the default installation locations. Be sure to create exceptions which correspond to where the software is launched from and where your data (.TPS) files reside.

For detailed instructions on setting up a carve-out for 1099 Pro software products please refer to the 1099 Pro WIKI at <https://wiki.1099pro.com/display/PDWA/Antivirus+Exceptions>.

## Can't Open Help Files

HTML Help .CHM files are prohibited from opening on network drives due to a Microsoft security patch. All 1099 Pro software help files must be installed on the user's local C: drive.

## Error Code 0002:0005

### Issue

Error Code#: 0002:0005

### Solution

Perform a fresh download and install with AV programs disabled.

The first part of the error code (0002) tells us that the LoadLibraryA Windows API call to load the "unpacked" high-performance decompression library (located in the temporary Windows folder) failed. The return value is NULL. The second part of the error code (0005) is the return value from the GetLastError Windows API. It returns a typical ERROR\_ACCESS\_DENIED = 5 (0x5) = Access is denied error.

This most likely means that the system "blocks" your setup (anti-virus system, anti-spyware system, Windows Defender, etc.) and is caused by a bug in the protection system.

## Invalid Record Declaration (47)

### Issue 1

File Access Error: Invalid Record Declaration (47)

**Solution:**

This error can occur when either system latency or anti-virus software interrupts the record-numbering process. Please contact 1099 Pro Technical Support [111](#) to further assist in renumbering records.

**Issue 2**

Form1098F has an invalid File structure. Error 47 - Invalid Record Declaration. FileError KEY : 10 : ATTRIBURE : D00001

**Solution 2:**

- Assuming you do not use Form 1098-F, in File Explorer go to \1099 Pro\Pro99T19\Data and manually delete the **Form1098F.tps** file. Re-open your 1099 Pro software.
- If you do use Form 1098-F, in File Explorer go to \1099 Pro\Pro99T19\Admin and run the **Convert1098F2019.exe** utility. You may need to request this utility from Technical Support.

**Uploaded Data Size Mismatch****Issue**

User is unable to upload SB Print + Mail, SB Filing or SB Bulk TIN files to the Service Bureau.

**Solution**

This error occurs when users generate an upload file to transmit to the Service Bureau and select a **non-local destination drive** during the wizard; user is typically changing the Destination folder to a network drive. The upload file must be saved to a LOCAL COMPUTER DRIVE.

**Unable to Open Required File (ProTips): 2—File Not Found****Issue**

Unable to Open Required File (ProTips): 2 – File Not Found

**Solution**

This error most often occurs if there was an error during installation or an error when mapping the file path to your data folder. First, verify the software is not running from a network location; the software must be run locally, or from a client installation linked to a hosted data file.

The software may be redirected to the correct data file by editing the .INI file:

- Navigate to C:\1099 Pro\Pro99Txx\Admin.
- Open the file **Pro99Txx.INI**.
- Edit the file path associated with "SAV:GlobalDataPath" to point to your data file.
- Save and run the software.

Please note that the default location for a single-user install saves the data file in C:\1099 Pro\Pro99Txx\Data. If setting up a multi-user workstation, the data folder is most likely in a custom location specified during the server installation.



## Unable to Open Required File (ProTips): 3—Path Not Found

### Issue

Unable to Open Required File (ProTips): 3 – Path Not Found

### Solution

This error most often occurs when the software is not linked to the correct data file. This can be fixed by reinstalling and directing the workstation to the proper data folder. Alternatively, the software may be redirected to the correct data file by editing the .INI file:

- Navigate to C:\1099 Pro\Pro99Txx\Admin.
- Open the file **Pro99Txx.INI**.
- Edit the file path associated with "SAV:GlobalDataPath" to point to your data file.
- Save and run the software.

Please note that the default location for a single-user install saves the data file in C:\1099 Pro\Pro99Txx\Data. If setting up a multi-user workstation, the data folder is most likely in a custom location specified during the server installation.

## Unable to Open SystemID: 2—File Not Found

### Issue

Unable to Open SystemID: 2 – File Not Found

### Solution

This error most often occurs if there was an error during installation, or if a third party virus protection software removed 1099 Pro program files. Verify the file "Systemid.TPS" exists; located in file path C:\1099 Pro\Pro99Txx\Resource. If this file has been removed, or was blocked from installation, you may need to backup your data [\[18\]](#), then uninstall and reinstall the software. Be sure to list 1099 Pro as trusted software in your anti-virus software to avoid having files removed.

If "Systemid.TPS" is present, it's possible that the file path to your data contains unacceptable characters. This can be changed by editing your .INI file:

- Navigate to C:\1099 Pro\Pro99Txx\Admin.
- Open the file **Pro99Txx.INI**.
- Locate the file path associated with "SAV:GlobalDataPath".
- Make sure the data file path does not contain a backslash at the end of the path, or any periods if using a UNC. For example: \\stationx.1099pro.com\c\xxx\.
- Save and run the software again.

Please note that the default location for a single-user install saves the data file in C:\1099 Pro\Pro99Txx\Data. If setting up a multi-user workstation, the data folder is most likely in a custom location specified during the server installation.

Please contact 1099 Pro Technical Support [\[11\]](#) to further assist in renumbering your records.

## Unable to Open SystemID: 3—Path Not Found

### Issue

Unable to Open SystemID: 3 – Path Not Found

### Solution

This error most often occurs when the software is not linked to the correct data file. This can be fixed by reinstalling and directing the workstation to the proper data folder. Alternatively, the software may be redirected to the correct data file by editing the .INI file:

- Navigate to C:\1099 Pro\Pro99Txx\Admin.
- Open the file **Pro99Txx.INI**.
- Edit the file path associated with "SAV:GlobalDataPath" to point to your data file.
- Save and run the software.

Please note that the default location for a single-user install saves the data file in C:\1099 Pro\Pro99Txx\Data. If setting up a multi-user workstation, the data folder is most likely in a custom location specified during the server installation.

## Unable to Open SystemID: 5—Access Denied

### Issue

Unable to Open SystemID: 5 – Access Denied

### Solution

This error occurs when a user does not have full read/write/edit privileges to the location where the data folder is hosted. **First contact your IT department to verify that the rights are correct in both the shared location and the folder's security settings.** If your IT department has confirmed that your security settings are set properly, contact 1099 Pro Technical Support [\[11\]](#) for further guidance.

## Unable to Open SystemID: 53—Invalid Clarion File

### Issue

Unable to Open SystemID: 53 – Invalid Clarion File, Driver Type Topspeed

### Solution

This error most often occurs when the software is not linked to the correct data file. This can be fixed by reinstalling and directing the workstation to the proper data folder. Alternately, the software may be redirected to the correct data file by editing the .INI file:

- Navigate to C:\1099 Pro\Pro99Txx\Admin.
- Open the file Pro99Txx.INI.
- Edit the file path associated with "SAV:GlobalDataPath" to point to your data file.
- Save and run the software.

Please note that the default location for a single-user install saves the data file in C:\1099 Pro\Pro99Txx\Data. If setting up a multi-user workstation, the data folder is most likely in a custom location specified during the server installation.

## Clarion Trappable Runtime Errors

The following errors can be trapped in code with the ERRORCODE and ERROR procedures. Each error has a code number (returned by the ERRORCODE procedure) and an associated text message (returned by the ERROR procedure) indicates the issue.

Error	Description
2—File Not Found	The requested file does not exist in the specified directory.
3—Path Not Found	The directory name specified as part of the path does not exist.
4—Too Many Open Files	The total number of file handles available has been used. Check the FILES= setting in the CONFIG.SYS file, or the user's or network's simultaneous open files setting in a network environment.
5 —Access Denied	The file has already been opened by another user for exclusive access, has been left in a locked state, or you do not have network rights to open the file. This error can also occur when no disk space is available.
7—Memory Corrupted	Some unknown memory corruption has occurred.
8—Insufficient Memory	There is not enough unallocated memory left to perform the operation. Closing other applications may free up enough memory.
15—Invalid Drive	An attempt to read a non-existent disk drive has failed.
27—Invalid Table Declaration	An attempt to open a table that has an invalid table structure has failed. This is normally found when a Dynamic File has been created incorrectly. Also seen in IP Driver based applications.
30—Entry Not Found	A GET to QUEUE has failed. For GET(Q,key), the matching key value was not found, and for GET(Q,pointer), the pointer is out of range.
32—File Is Already Locked	An attempt to LOCK a file has failed because another user has already locked it.
33—Record Not Available	Usually an attempt to read past the end or beginning of file with NEXT or PREVIOUS. May also be posted by PUT or DELETE when no record was read before the attempted PUT or DELETE.
35—Record Not Found	For a GET(File,key), the matching key field value was not found.
36—Invalid Data File	Some unknown data file corruption has occurred, or the OWNER attribute does not match the password used to encrypt the file.
37—File Not Open	An attempt to perform some operation that requires the file be already open has failed because the file is not open.
38—Invalid Key File	Some unknown key file corruption has occurred.
40—Creates Duplicate Key	An attempt to ADD or PUT a record with key field values that duplicate another existing record in the file has been made to a file with a key that does not allow duplicate entries.
43—Record Is Already Held	An attempt to HOLD a record has failed because another user has already held it.
45—Invalid Filename	The filename does not meet the definition of a valid DOS filename.
46—Key File Must Be Rebuilt	Some unknown key corruption has occurred that requires the BUILD statement to re-build the key.

Error	Description
47—Invalid Record Declaration	The data file on disk does not match the file's declaration in the .EXE, usually because you have changed the file's definition in the Data Dictionary and have not yet converted the existing data file to the new format. See Error 47 <sup>[355]</sup>
48—Unable to Log Transaction	A transaction logout or pre-image file cannot be written to disk. This usually occurs because no disk space is available, or the user does not have the proper network rights.
52—File Already Open	An attempt to OPEN a file that has already been opened by this user.
54—No Create Attribute	An attempt to execute the CREATE procedure on a file whose declaration does not include the CREATE attribute.
55—File Must Be Shared	An attempt to open a file for exclusive access that must be shared. (Legacy error, no longer used)
56—LOGOUT Already Active	An attempt to issue a second LOGOUT statement while a transaction is already in progress.
57—Invalid Memo File	Some unknown memo file corruption has occurred. For Clarion data files, this could come from a corrupt .MEM file "signature" or pointers to the memo file in the data file that are "out of sync" (usually due to copying files from one location to another and copying the wrong .MEM file).
63—Exclusive Access Required	An attempt to perform a BUILD(file), BUILD(key), EMPTY(file) or PACK(file) was made when the file had not been opened with exclusive access.
64—Sharing Violation	An attempt to perform some action on a file which requires that the file be opened for shared access.
65—Unable to ROLLBACK Transaction	An attempt to ROLLBACK a transaction has failed for some unknown reason.
73—Memo File Missing	An attempt to OPEN a file that has been declared with a MEMO field and the file containing that memo data does not exist.
75—Invalid Field Type Descriptor	Either the type descriptor is corrupt, you have used a name that does not exist in GET(Q,name), or the file definition is not valid for the file driver. For example, trying to define a LONG field in an xBase file without a matching MEMO field.
76—Invalid Index String	The index string passed to BUILD(DynIndex,string) was invalid.
77—Unable To Access Index	An attempt to retrieve records using a dynamic index failed because the dynamic index could not be found.
78—Invalid Number Of Parameters	You did not pass the correct number of parameters to a procedure called in an EVALUATE statement. Note: As of Clarion Version 6.2 (9047), the SQL Drivers now add more information to the trace log file, explaining why the ERRORCODE 78 was generated.
79—Unsupported Data Type In File	The file driver has detected a field in the file declared with a data type that is not supported by the file system the driver is designed to access.
80—Unsupported File Driver Function	The file driver has detected a file access statement that is not supported. This is frequently an unsupported form (different parameters) of a statement that is supported.
81—Unknown Error Posted	The file driver has detected some error from the backend file system that it cannot get further information about.
88—Invalid Key Length	An attempt to CREATE a Clarion file driver KEY or INDEX with more than 245 characters. Other file drivers can also return this error when their file system key length limits are exceeded.
89—Record Changed By Another Station	The WATCH statement has detected a record on disk that does not match the original version of the record about to be updated in a network situation.
90—File Driver Error	The file driver has detected some other error reported by the file system. You can use the FILEERRORCODE and FILEERROR procedures to determine exactly what native error the file system is reporting.

Error	Description
91—No Logout Active	The COMMIT or ROLLBACK statement has been issued outside of a transaction frame (no LOGOUT statement has been executed).
92—BUILD in Progress	A BUILD statement has been issued and PROP:ProgressEvents has been set to generate events. The statement generating this error is not appropriate to execute during a BUILD process.
93—BUILD Cancelled	The user cancelled the BUILD. This error is set when EVENT:BuildDone is posted.
94—Record Limit Exceeded	The target file has exceeded the record limit. This value is file driver dependent, and can be returned during any attempt to modify a file where the record limit is exceeded.
97—Stream Error	Used during RTF processing.
100—Trigger Error	This error is set whenever a registered file callback method returns FALSE. See CALLBACK
1010—Illegal Expression	The EVALUATE procedure has detected an error in the syntax of the expression it is attempting to evaluate.
1011—Variable Not Found	The EVALUATE procedure has not found a variable used in the expression it is attempting to evaluate. You must first BIND all variables used in the expression for them to be visible to EVALUATE.

## EC002 - Unable to Open Files

### Issue

EC002 – Unable to Open Files!

### Solution

This error most often occurs when attempting to restore data from the wrong year (e.g., data from 2018 into 2019 software). Users cannot restore data into a different year's software. This is a security measure to ensure that users do not accidentally file the wrong data.

Recipient and Filer information may be rolled forward during or immediately after installing. For more information, see Roll Forward Data [20].

## Error Code 0008—Can't Find Stub Loader

### Issue

Error Code #0008 - Can't Find Stub Loader / Uninstall Error

This error has been noted when software is uninstalled and then re-installed in Windows 7/8 for those users running Customer Experience Improvement Program (CEIP).

### Solution

To Modify Windows CEIP Settings on Windows 7:

1. Click Start, select Control Panel, and click the Action Center.
2. In the left pane, click Change Action Center settings.
3. Under Related settings, click Customer Experience Improvement Program settings.
4. To turn off the Windows CEIP, select "No, I don't want to participate in the program", and then "Save Changes".

## Error Could Not Load DLL Library

### Issue

Could not load the DLL library C:\Windows\USER32.DLL.

The specified module could not be found.

### **Solution**

This error occurs when a user does not have full read/write/edit privileges to the location where the data folder is hosted. Contact your internal IT department to verify the rights are proper in both the shared location and the folder's security settings. If your IT department has confirmed that your security settings are set properly, contact 1099 Pro Technical Support<sup>[11]</sup> for guidance.

## **Single User Version Error**

### **Issue**

Single User Version Error

### **Solution**

This error occurs when a user does not have full read/write/edit privileges to the location where the software is installed. Contact your internal IT department to verify the rights are proper in both the shared location and the folder's security settings. If your IT department has confirmed that your security settings are properly set, contact 1099 Pro Technical Support<sup>[11]</sup> for guidance.

## **File Not Found: Information Request**

### **Issue**

File Not Found: Information Request

### **Solution**

This error may occur when performing a Roll Forward<sup>[20]</sup> procedure if some of the user selected items such as "Prior Year Security Settings" or "Prior Year Import Maps" do not contain data. For example, in the 2018 software security was not used or custom import maps were not created.

The user can click "OK" and continue with the installation.

## **Software Not Responding**

### **Issue**

User attempts to open 1099 Pro software and it is non-responsive after user restarts both 1099 Pro software and computer. Issue is most likely due to the software attempting—unsuccessfully—to launch the web update during start up.

### **Solution**

In the user's Pro99T19.INI file, typically located at C:\1099 Pro\Pro99T19\Admin, edit the **LS=1** line to **LS=0** and add **LSX=0**. These lines must be edited in both the [System] and [Preferences] sections of the INI file. Save changes and re-open 1099 Pro software.

User should periodically perform a manual check for software updates via the 1099 Pro menu bar > Help > Check for Updates to 1099 Pro.

## Printer Issues

All 1099 Pro software products are designed to print the physical form and data directly to blank paper.

## Margin Limitations

Most Windows compatible printers work with 1099 Pro software products, subject to the printer's margin limitations. If your bottom margin is greater than 1/3-inch you may not be able to print data at the bottom of the page or you may have to print 2 forms to a page. Check your printer's manual and/or *Maximum Printable Area* for your BubbleJet, Deskjet, Inkjet or Laserjet with have questions.

- Preprinted forms accepting up to a 1/2-inch bottom margin: 1099-MISC, 1099-R
- Preprinted forms requiring 1/3-inch or less bottom margin: 1098, 1098-T, 1099-DIV, 1099-INT, 1099-PATR, 1099-S, 5498, 1099-B (Needs 1/36-inch additional room at the bottom margin.)

## Data Truncation

1099 Pro recommends a 1/5-inch (0.20) bottom margin when printing to blank paper. Data truncation occurs if bottom margin is greater than 1/3-inch. Suggested workaround is to print 2 forms to a page instead of 3 forms per page.

## Postscript Drivers

1099 Pro software prints to almost all Windows compatible printers. When opting to print to blank paper, the forms and/or fonts may print too large or otherwise print strangely. This is typically due to printing with a postscript driver. To resolve this situation try printing to a PCL 5, PCL 6, EMF or any other non-postscript driver.

## Default Printer

1099 Pro software may default to a specific printer. Always review the selected printer while choosing your paper type in the Print Wizard. To switch printers use the "Select a Different Printer or Port" button to access the "Print Setup" screen.

## Random Print Errors

Occasionally AV programs (e.g., Norton, McAfee) can corrupt your software installation and cause random, inexplicable errors. If this occurs, backup<sup>18</sup> your data files, perform a custom install and then reinstall the software with the virus checker disabled.

## 12 CPI (characters per inch)

Our software prints at 12 CPI to allow the maximum number of characters per field (e.g., 40 characters in a name field). Accordingly, your printer must be set at 12 CPI. To set your printer either:

- Adjust the front panel of the printer manually by setting the CPI to 12 and selecting a font like Courier. Do not select a proportional font or the IRS may penalize you per form, or
- In your Windows Control panel set your printer to 12 CPI. For example, in the case of many Epson printers hit the <ESC> key, type an uppercase M, and <ESC>M then displays in the box. This may differ for your printer.

### Generic Print Driver

If 1099 Pro software indicates your driver is obsolete then consider installing an additional print driver.

## Ch. 16 Extra—Tax Supplies

1099 Pro, Inc. sells IRS approved forms and envelopes compatible with our software products. Due to recent price increases in paper products and seasonal shipping issues, we encourage customers to consider the Service Bureau for their Print+Mail and IRS Filing needs.

### \* Policies \*

A 50% discount is available to all tax forms and envelopes orders placed by mid-December. Please note:

- The 50% discount applies ONLY late summer through mid-December—no exceptions will be made.
- Large orders > \$200 receive an additional 10% off in October, 5% off in November/December.
- During Busy Season (January through March) we cannot guarantee delivery turnaround times. Although overnight and 2nd day shipping are available, warehouse processing time can be up to 3 business days before the order ships.
- There is a strict NO RETURN policy. Please double-check items before placing your order.
- All tax forms and supplies are subject to availability. Prices subject to change without notice.

### Online Ordering

Customers can order laser forms and envelopes online for the current tax year only. In addition to placing orders, customers can view tax forms and a brief item description. Try it at <https://www.1099pro.com/taxforms.asp>. Learn more about Blank Laser Perforated Paper and Preprinted Forms<sup>365</sup> and Pressure Seal/ACL printing.

**W-2 Copy A:** In the December 2018 update of W-2 Pro and Corporate Suite software, print IRS W-2 Copy A and the W-3 Transmittal directly to blank paper. This IRS approved version prints in black ink per IRS Pub. 1223.

### Online Customer Account Access

Customers who've purchased items in the past year may go online to view prior orders and Authorization Codes. Order tracking is available to determine if your order has shipped. Log into your account at <https://www.1099pro.com/acctLogin.asp> and follow the prompts.

### Phone Orders

Customers can place orders with our Sales team at (888) 776-1099.

### Save Time—Go Green!

Use our Service Bureau to Print+Mail and/or IRS File your forms electronically—it's faster, easier, efficient and green. The Service Bureau provides users with email confirmation of all steps including file receipt, print date, and eFile date with IRS Confirmation number. Included at no additional cost:

- Optional submission to the IRS's (CF/SF)<sup>147</sup> Combined Federal State Filing Program for participating forms and states.



- Automatic notification of the number of Name/TIN mismatches in your 1099 file.
- Four year data archival (retrievable for a fee).
- YouTube support videos and 7-day support in January.

Pricing for Print+Mail+IRS Filing is \$1.16 per record (rate includes First-Class postage and applies to 1099 Informational Returns and W-2 Wage & Tax Statements) with volume discounts available. See the Service Bureau Pricing Calculator or email [sb@1099pro.com](mailto:sb@1099pro.com).

\* Pricing and terms are effective May 2019 and are subject to change without notice. \*

## Blank Stock

**All 1099 Pro software products are designed to print BOTH the tax form and Recipient data directly to blank paper.** If printing in-house, there is no need to purchase preprinted tax forms for your Recipient copies. Most of our users prefer to outsource their printing to the 1099 Pro Service Bureau<sup>109</sup>; our SOC I TYPE II<sup>7</sup> facility is secure, fast and economical.

**W-2 Copy A:** Both W-2 Pro and Corporate Suite software print IRS W-2 Copy A and the W-3 Transmittal directly to blank paper. This IRS approved version prints in black ink per IRS Pub. 1223.

## In-House Printing—Paper Options

1099 Pro, Inc. sells paper supplies and offers financial incentives to order paper products PRIOR to tax season. See Tax Supplies<sup>364</sup>

Item	Description
Blank Laser Perforated Stock	Print Copies B &/or C plus instructions directly onto blank laser perforated stock. Easier to fold than blank copy paper because of the perforations and since it is blank...it won't go out of date!
Blank Copier Paper	Print Copies B &/or C directly onto blank copier paper. Good in case of an emergency when Blank Laser paper is unavailable (might require special folding and/or cutting to fit in standard IRS approved envelopes).
Preprinted Tax Forms	Print all copies to most IRS approved tax forms.
Pressure Seals Supplies	See Pressure Seal/ACL Overview
Envelopes, D/W, imprinted with "Important Tax Information Enclosed"	1099 Pro, Inc. sells a variety of envelopes to fit multiple blank stocks and preprinted forms.

## Blank Stock Printing

Please watch our online video tutorial, Quick Tips: Print to Blank Paper.

## Combined Print Option

When using blank stock the user selects the copies to print. The Print Wizard features a *Combined Print* option to print all required copies for the Recipient on one sheet (e.g., 1099-MISC Combined includes copies B, 2 and instructions). Users can select the individual copies for the Recipient, but then must manually collate the copies.

**Instructions**

The IRS requires Filers to send both tax forms and instructions to Recipients. Users can print instructions to blank paper either:

- As part of the Combined Print Option, outlined above.
- As part of a normal print run with one copy per Recipient and then collate instructions with the Recipient copies, OR
- Print instructions to one sheet now and photocopy it as many times as needed. Then use the reverse side of the photocopied sheets to print your Recipient forms.

**Preprinted Form Printing**

With preprinted laser forms the user selects the copies to print; for example, Copies A, B, C and/or the 1096/W-3 Transmittal. Preprinted forms are perforated, with each required copy containing the required information in an IRS/SSA approved ink (Copy A in red drop-out ink, Copy B in black, etc.). The special red ink is invisible to the IRS/SSA scanners. The Print Wizard pauses before printing each copy and the user is prompted to load the appropriate preprinted form into the printer.

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