1042-S Pro is the easiest and most advanced software for filing all of your 1042-S forms. 1042-S Pro prepares form 1042-S on plain paper and allows you to print recipient copies B, C & D on one page and instructions to a separate page. With 1042-S Pro, you can file forms electronically.

This help manual will assist you with instructions and operations on how to use 1042-S Pro.
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Add a record
Add a recipient
Import forms
Important Dates - New Deadlines for Tax Year 2016
Update Software
Support

V. 7/14/2016

1.1 Disclaimer

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.

1.2 About 1099 Pro, Inc.

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 and 1042-S 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 over 100 million records) utilizing a 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 www.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 SSAE 16 SOC I Type II certification.

Software offered by 1099 Pro, Inc.

**1099 Pro Professional**
Professional edition offers a streamlined and 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 your 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 you can generate a formatted transmittal file for the IRS Fire site, or for an additional fee, upload your data to our Service Bureau for printing, mailing, and electronic filing to the IRS/SSA.

**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 you can generate a formatted transmittal file for the SSA site, or for an additional fee, upload your data to our Service Bureau for printing, mailing, and electronic filing.

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

**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 1097, 1098, 1099, 3921, 3922, 5498, W-2, W-2G, and 1042-S. Through the software you can generate a formatted transmittal file for the IRS Fire site, or for an additional fee, upload your data to our Service Bureau for printing, mailing, and electronic filing to the IRS.

**8966 Pro**
1099 Pro provides secure and intuitive FATCA Form 8966 software capable of tax form management and IRS XML reporting. The IRS is quickly finalizing the FATCA reporting requirements and will require 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, that must report to their host country who in turn transmits to the IRS, still must manage their FATCA Reports in one centralized location for ease of reporting.

The 1099 Pro Service Bureau
The 1099 Pro, Inc. Service Bureau was established for the purpose of helping companies ease through the tax season successfully. The Service Bureau features a highly secure SSAE 16 SOC I Type II and PCI Compliant environment, configured to process an unlimited amount 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. 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, you can easily transmit your records for printing, mailing, or filing. To make sure you are taking full advantage of our information reporting solutions, we offer free tech support via phone or live chat.

Services offered by 1099 Pro and the Service Bureau Include:

**Filing**
We can handle any volume of records for electronic filing. An upload feature, which safely sends your file directly to our Service Bureau, is built in to every version of the 1099 Pro, Inc. software.

**Print & Mail Services**
Printing, mailing, and electronic delivery services are available! Our SSAE 16 SOC I Type II Service Bureau offers a secure, efficient, and friendly solution.

**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. Our Qwest CyberCenter facilities are connected with OC-768 bandwidth to our state-of-the-art fiber optic IP network.

**Independent Contractor Reporting**
Many states require ICR reporting in their efforts to collect child support and alimony. You can report payments that you make to contractors by visiting IndependentContractorReporting.com, brought to you by 1099 Pro, Inc.

**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.

**Printing & Mailing with Web Presentment**
The Service Bureau can make your forms available for online viewing and reprinting via our secure internet site.

**Web Presentment Only**
Print and mail your forms in-house and have them available to view via our secure internet 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 chance 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.

1.3  Quick Tour

Quick Tour

Overview of Information Reporting

What is a 1099 Form?
According to the IRS and Federal tax law, you must report to the IRS payments totaling $600 or more made to independent contractors over the course of the calendar year. When a person is paid on the form, 1099-MISC for example, all money earned by the individual is paid on an untaxed basis. It is then the responsibility of the individual to file and pay the appropriate taxes. These taxes can be owed to Federal, State and Local governments. Workers compensation and unemployment issues also must be addressed independently.

Who Are We?
1099 Pro, Inc. provides award-winning 1099 software for filing tax forms 1099, 1098, W-2, 1042-S and many others. For your convenience, 1099 Pro carries a complete line of tax supplies including: 1099 forms, W-2 forms, 1042-S forms and envelopes. We also offer Print/Mail/E-Filing services through our Service Bureau. To save you time and money, 1099 Pro continues to offer complimentary technical support with the purchase of any of our software products.

The 1099 Pro Service Bureau
The Service Bureau is a Print/Mail/E-Filing service offered to users of 1099 Pro software. All of our software products allow the creation of a data UPLOAD file which can be easily transmitted to our Service Bureau. We can then print and mail the appropriate forms on your behalf and/or electronically submit your file to the IRS. We can process any number of filers, recipients, and form types.

Why should I Use the Service Bureau?
The 1099 Pro Service Bureau has provided Print/Mail/E-Filing services to thousands of our users. Our customers utilize the Service Bureau to save money, minimize administrative headaches, safeguard their sensitive data, and benefit from our extensive experience. We've made the process simple:

1. Purchase the appropriate 1099 Pro software package.
2. Call or E-Mail our Service Bureau to set an appointment date. We must have your data by the agreed upon appointment date to ensure that it is mailed or filed by the IRS deadline.
3. Manually enter or import your data into the 1099 Pro software.
4. Create an upload file within 1099 Pro software.
5. E-Mail or FTP your upload file to us on or before your appointment date.

Why Is It Important to Comply?
If you don't file information returns, you face various penalties.

For example, failing to file correct information returns by the due date results in penalties that range from $15 to $50 per Form W-2 or Form 1099, depending on how late you file the return, and the size of your business. The maximum penalty ranges from $75,000 to $250,000 ($25,000 to $100,000 for small businesses, defined as a business where your average annual gross receipts are $5 million or less).

If you intentionally disregard filing requirements, you can pay a penalty of at least $100 per information statement, with no maximum penalty.
There are three exceptions to these filing penalties:

- If you can demonstrate that your omission was due to an event that was beyond your control or due to some significant mitigating factor and was not willful neglect, you may avoid the penalty. You must also show that you acted in a responsible manner and took steps to avoid the failure to file.
- An inconsequential error or omission is not considered a failure to include correct information because it doesn't prevent or hinder the SSA/IRS from processing the Form W-2, or from correlating the information required to be shown on the form with the information shown on the payee's tax return.
- The IRS also has something called a *de minimis* rule for corrections when certain requirements are met. Basically, if the value provided to an employee is less than it would cost to fix the return, it may sink beneath notice. See the [IRS Topic: De Minimis (Minimal) Benefits](#).

### Filing Accurate Information Returns

The IRS issues very detailed and exacting instructions for filling out information returns. For instance, the IRS has very definite preferences for which forms can be used, what font you should use (no script characters), where you should place the data in the blocks, and where you can use zeros.

So follow the instructions carefully. If the IRS can't interpret your forms, you may be subject to a penalty of $50 for each return in an improper format.

### 1.4 Registration & Upgrades

#### Registration & Upgrades

**Software Activation**

To activate a "DEMO" version of software, users must enter their 14 character authorization code. Activating a demo provides the user access to all software features and retains their existing data. Purchase the software online or contact Sales to obtain an authorization code. Follow these steps to activate your software:

1. From within the software, at the top of the menu bar click 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 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.*

**How To Obtain an Authorization Code**

Internet: go to [www.1099pro.com](http://www.1099pro.com) and purchase the software from our web site.
Phone: call toll-free (888) 776-1099 or (888) pro-1099 from 6am-5pm PST or call (818) 876-0200
E-Mail: sales@1099 Pro.com

**Upgrading Transaction Limits**

Transactions are the number of actual tax forms that may be entered or imported, regardless of print status, into 1099 Pro. A standard installation allows for 5,000 transactions. To enter additional transactions users must upgrade 1099 Pro with a bump code. Bump codes may be purchased online at [www.1099pro.com](http://www.1099pro.com) or by contacting Sales at (888) 776-1099.
To Upgrade Transactions (Bump Codes)
1. At the menu bar go to Utilities > Registration And Upgrades.
2. Enter your Upgrade/Bump Code and click "Upgrade Now". Newly entered Bump Codes are immediately reflected in the Current Record Limit.
   - In multi-user environments, the Bump Code must be entered at the Admin or Web Update workstation; this option may not be available at individual work stations (depending on access rights).

How Many Transactions Do I Have?
The track records or transactions, refer to the Product Registration/Demo Activation screen:
1. At the menu bar go to Utilities > Software Registration/Demo Activation.
2. The Product Registration/Demo Activation screen displays both the Current Record Limit and Current Record Total.

1.5 Update Software

Update Software

Software Updates
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, software updates should be checked for frequently. Users may verify they are running the most up-to-date version of software the following ways:
- When starting any version of the software, a pop-up prompts to run a software update, OR
- In Windows, go to the Start Menu > Programs > 1099 Pro, Inc. > Check for 1099 Pro Updates, OR
- Visit our WIKI download site at host.1099pro.com.

2 The User Interface

2.1 1099 Pro Central

1042-S Pro Central

The 1042-S Pro Central Screen provides rapid access to important information!

Overview:
General layout of the tax form filing process from start to finish!

To-Do:
Keeps track of important dates/form status. Also allows you to leave notes for yourself!

Help/Videos*
Provides links to tech support resources, contact info for support, and Online Tutorials.

Compliance:
Information on Tax Form compliance such as additional services, tools, consultation, support, and Online Tutorials.
Services:
1099 Pro offers many additional services such as our Service Bureau.

2.2 Keyboard Shortcuts

Keyboard Shortcuts

<Alt>:
Use the <Alt> key and the underlined letter (or number) of any menu bar item to access a drop menu. For example, ALT + R to access "Reports".

<F1>:
Access context-sensitive help 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:

- **Recipient TIN field**: Access the Select a Recipient database.
- **State/Payer’s State ID No.**: Access the Select Filer State & ID database (available at 1099-MISC box 17, 1099-R box 11 and W-2G box 13)
- **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).

**Incremental Search:**
Access any recipient or filer via the Search Name field.

Drop Menu*:
Right click your mouse to view a pop-up box with options to add, change or delete records.

*Available at the Recipients list, Filers list (Manage) and Work With My Tax Forms screens only.

2.3 Task Panel: Ent & Prf

Task Panel

Please click on the links below for details on the options contained within each task panel area.

- Preparing My Forms
- Printing & Mailing
- Filing My Forms
- Help & Extras
2.3.1 Preparing My Forms

Preparing My Forms Task Panel

From the Preparing My Forms task panel section you can:

- **Work With My Tax Forms**
  View records, Add or Change a record, Delete a record, Void a record, Quick-Print Forms, Email Tax Forms and run various reports.

- **Import New Tax Forms**
  View import sessions, Void import sessions, Import comma delimited files or tab delimited files.

- **Form Totals Reports**
  Customize a Control Totals report with the option to generate a listing of any errors and/or warnings.

2.3.2 Printing & Mailing

Printing & Mailing Task Panel

From the Printing & Mailing task panel section users can:

- **Printing/Mail**
  Print via the Print Wizard, Reset Print Sessions

- **Via the Service Bureau**
  Access the Printing, Mailing, Filing and Bulk TIN Matching screen where users can begin a new Service Bureau session for Printing & Mailing or E-Delivery Upload or Bulk TIN Matching Upload as well as Reset Uploads.

- **Export Forms for Print-Mail**
  Export Forms to an ASCII text file for import into other programs.
2.3.3 Filing My Forms

Filing My Forms Task Panel

From the Filing My Forms task panel section you can:

- **Electronic Filing**: Generate Electronic Files for use via the IRS FIRE system.

- **Via the Service Bureau**: Takes you to the Printing, Mailing, Filing and Bulk TIN Matching screen where you can begin a new Service Bureau session for Printing & Mailing or E-Delivery Upload or Bulk TIN Matching Upload as well as Reset Uploads.

2.3.4 Help & Extras

Help & Extras Task Panel

From the Help & Extras task panel section, visible when you first launch the software, you can access:

- **Help and Tutorials**: Takes you to 1099 Pro Central Help/Videos Screen.

- **Correcting Filed Forms**: Create Corrections, Reprint Corrected or Original Forms

- **About the Service Bureau**: Offers more help regarding the 1099 Pro, Inc. Service Bureau

- **IRS Pubs & Links**: View a list of IRS publications included with 1099 Pro, plus links to the IRS and SSA websites

- **Recipients List**: View all recipients, Add or change recipients, Delete recipients, Run a recipient report

- **W-9/B-Notice**: Allows you to initiate a W-9 or B-notice request for solicitation of Recipient TIN numbers.
2.3.5 Print Preview Toolbar

Print Preview Toolbar

The Preview screen allows users to view a form or a report and check it for accuracy before printing. Use the following icons located at the top of the Preview screen:

- Use to print THIS page only.
- Use to VIEW the previous page.
- Use to view the NEXT page.
- Use to toggle STAY after printing.
- Use to Search for characters within a report.
- Use the "Print" icon to access the "Print Setup" screen to print the entire report. See Duplex Printing.
- Use to exit the preview report WITHOUT printing.
- Use to view the preview report in full WIDTH view.
- Use to view the preview report in full HEIGHT view.
- Use to save in PDF format when printing.

Additional options available for this screen include:
- "Zoom PCT" defaults to 98% (may vary depending on monitor) and adjusts from 25 - 250% viewing.
3 Browse Filers

Browse Filers

The Filer Master List screen allows users to view/sort filers and Add, Change or Delete filers. To quickly jump between existing filers use the Select Filer button.

Filer Highlights
- 1042-S Pro accepts multiple filers with one TIN. This is useful for companies that issue forms from multiple departments or for batch processors.
- 1042-S Pro allows US, Canadian and foreign filers.

See Filer Record Details for a thorough explanation on each filer specific field.

Views and Queries
- Current Sort/View Order - Users may sort filers by Filer Name, TIN or PCode.
- Current Query/Filter - By default all filers are displayed. Users can display a subset of the filers by clicking on the "Current Query" drop menu or create their own custom query, e.g. "Address Type Code = Other Foreign", etc.

Add a Filer
1042-S Pro allows unlimited filers.
See Adding a Filer

Change a Filer
Changes made to a filer affect only records with a pending status. To switch between existing filers use the Select Filer button.
See Changing a Filer

Delete a Filer
A filer can only be deleted if it is NOT associated with any recipient records.
See Deleting a Filer

Run Filer Report
The Filer/Employer/Payer Listing provides detailed information on filers including Name, TIN, Contact Information, State ID Numbers and a history of any address changes.
See Running Filer Reports

Select a Filer
Use the Select Filer screen to select a filer.
See Selecting a Filer

Tag Filers
1042-S Pro allows users to manually tag (select) filers for inclusion in a print session.
See Tagging Filers
3.1 Add a Filer

Add a Filer

1042-S Pro allows unlimited filers.

*Please visit https://www.1099pro.com/videos.asp and view the "How to Add a Filer" video for a brief tutorial on the filer process.

To add a filer
1. From the menu bar click File > Filer.
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.

See Filer Record Details for a thorough explanation on each entry field.

3.2 Change a Filer

Change a Filer

Changes made to a filer affect only records with a pending status. To switch between existing filers use the Select Another Filer button.

To change a filer
1. From the menu bar click File > Filer.
2. At the Filer Master List screen click "Change".
3. At the Changing a Filer Record screen make changes and click "OK".
4. The Administrator prompts to update all pending records with the new filer information. Click "Yes" to update filer or "Cancel" to abort changes and exit the screen.

See Filer Record Details for a thorough explanation on each entry field.

3.3 Contact

Contact

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. At least one contact is required. The contact phone number prints on all copies and 1096 Transmittals. The Transmitter/Submitter contact name is included in electronic files.

To Add/Edit Contacts:
1. On the menu bar select File > Filers List OR on the Select Filer button
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. A maximum of 15 characters is allowed.
   - Default - Only one contact may be selected as default.
4. Use the "Save" button to save changes or "Cancel" to abort changes and exit.
3.4 Delete a Filer

Delete a Filer

A filer can only be deleted if it is NOT associated with any recipient records.

To delete a Filer
1. From the menu bar click File > Filer.
2. At the Filer Master List screen highlight the filer and click "Delete".
3. At the Confirm Delete screen click "Yes" to delete the filer or "No" to cancel.

3.5 Filer Record Details

Filer Record Details

General Tab
Filer/Withholding Agent’s Identification Numbers
If the filer does not have a EIN but has applied for one, enter "Applied For" in this field.
- Filers must have an EIN to issue Form 1042-S.
- Filers with an "Applied For" status may issue forms but cannot generate an electronic file or 1042-T Transmittal until an EIN is entered.
- A filer's EIN prints on all tax records; it cannot be masked.
Select the Type of EIN:
- Standard EIN (default)
- QI, WP, or WT-EIN
- NQI-EIN
Other Filer Identification Number Fields:
- Global Intermediary Identification Number (GIIN) - The GIIN is a 19-character identification number in the XXXXXXX.XXXXX.XXX.XXX format. Use the <F2> key or right-click your mouse in this field to view the Foreign Financial Institution (FFI) List of GIINs. See GIIN composition
- Foreign TIN (if any)

Location/Estab. No. (Optional)
- Use to set up multiple filers with the same TIN; allows different return addresses for different forms.
- Multiple filers sharing one TIN (or batch processors grouping by month) can enter a Location Code of up to 4 alpha-numeric characters in this field. The Location Code appears in the filer name and in all reports.
- If applicable, enter an SSA assigned Establishment Number in this field.
- 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, this code must also appear on backup withholding notices.

Payer Code (Required)
For the user’s internal reference only, a Payer Code (or PCode) is an alphanumeric shorthand used to identify a Payer/Filer in the system. Users may set up several Filers with the same TIN in the system and the Payer Code is an easy way to identify the unique business. For example, use a Payer Code of ‘BOD’ if reporting for the Board of Directors. Typically security and/or the return address is different for each Payer Code. Additionally, in an import file with recipient/tax form data for more than one Payer/Filer, Payer codes can be used to define which Payer/Filer the recipient/tax form data should be posted to.
Payer Codes must be unique. If an already in use Payer Code is entered, the system prompts to create a new one for the user.

**Country**
Defaults to USA. Selecting Canada or a foreign country automatically reformats the address fields.

**Filer Name**
Prints on all tax records.

**Filer Name Line 2**
Prints on all 1099 forms.

**Address**
Prints on all tax records.

**Contact Information (Required)**
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 (use the Dept. field at the Adding a Form Record screen). At least one contact is required. The phone number prints on all copies and IRS/SSA paper Transmittals. The Transmitter/Submitter contact name is included in electronic files.

**Fax**
This field is optional.

**E-mail**
This field is optional.

**Notes**
Enter notes specific to a Filer/Pcode for reference purposes.

**State I.D. Number(s) Tab**

**State ID Numbers**
These 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 an accountant or attorney to determine if their company has a state ID number. Use the "Add" button to add as many state ID numbers as necessary.

For more information, see [State ID Number](#).

**Prior Address Tab**
Preserves prior filer address information for reference purposes. This information cannot be change.

### 3.6 Filer Reports

**Filers List 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.
See Summary of Forms Issued by Filer report for a detail of forms issued by filer including Form Counts, Recipient Name / TIN / Address and each record's respective status.

To Run Filers List Report
1. From the menu bar select File > Filers.
2. At the Filer/Employer/Payer Master List screen click "Run Filer Report".
3. The Administrator prompts to "Print One Filer Per Page" and preview the report. Select as appropriate.

3.7 Select Another Filer

Select Another Filer

Use the "Select Another Filer" button, located at the top left of your screen, to select a filer. To add, edit or delete a filer see Browse Filers.

To Select Filers
1. On the task panel click the "Select Another Filer" button.
2. At the Browse the Filers File screen highlight the filer to use and click "Select".
   Note: The selected filer displays on the toolbar above the "Select Another Filer" button.

To Add/Edit Filers
1. On the task panel click the "Manage" button to access the Filer Master List screen.

3.8 Tag Filers

Tag Filers

1099 Pro allows users to manually tag (or select) filers for inclusion in a print session.

Tag Records
1. In the Printing & Mailing task panel click "Print/Mail Forms Myself". Use the Current Form drop menu to select the form type to process.
2. At the Printing Tax Forms screen choose the "All Pending Forms for Selected Filers" option.
3. Click the "Begin a New Print Process" button.
4. At the Browse the Filers File screen click the "Tag" button to select filers. A red check mark appears beside each tagged filer. (See Tag Key Shortcuts below.)
   - To sort filers prior to tagging, use the View drop menu.
5. After tagging all filers, click "Proceed" to initiate the Print Wizard.

**Tag Key Shortcuts**
- **Tag**: Use this button (or ALT + T) to tag individual filers.
- **Tag All**: Use this button (or ALT + A) to tag all filers.
- **Untag**: Use this button (or ALT + U) to untag an individual filer.
- **Untag All**: Use this button to untag all filers.
- **Flip**: Use this button (or ALT + F) to reverse the tag status of an individual filer.
- **Flip All**: Use this button (or ALT + L) to reverse the tag status of all filers. For example, if there are three filers and only one filer is tagged, the Flip All button will tag the two previously untagged filers and untag the original filer.
- **Prev Tag**: Use this button (or ALT + P) to scroll backwards through tagged filers.
- **Next Tag**: Use this button (or ALT + N) to scroll forwards through tagged filers.

### 4 Recipients List

**Browse Recipients**

Use the Recipient Master List screen to add, change or delete recipients. To access these recipients at any data entry form, use the <F2> key in the recipient ID Number field.

- See [Recipient Record Details](#)

**Add**

1042-S Pro allows unlimited recipients.

See [Adding Recipients](#)

**Change**

Changes made to a recipient only effect records with a pending status. When making manual changes to the filer and/or recipient master list in 1042-S Pro, those changes cascade or update throughout all tax forms with a status of Pending. Cascading updates help ensure that the entire filer and recipient information, regardless of the tax form, synchronizes quickly and uniformly. These changes are NOT tracked through the Record History screen, only direct changes to a tax form are tracked under record history.

See [Changing a Recipient](#)

**Delete**

A recipient cannot be deleted if any records are associated with it.

See [Deleting a Recipient](#)

**Run Forms Issued Report**

The Forms Issued for Recipient report details all forms issued to each recipient. Includes filer, recipient address, and form status.

See [Running Forms Issued Reports](#)
**Group Actions**  
Group Actions allow users to tag/select a number of items and then perform a single action on them. In all instances the user is prompted to confirm their choice before the action is taken.  
See [Group Actions](#)

**Multiple Recipients - One TIN**  
Occasionally a filer may 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. To enter both recipients follow this procedure:  
See [Multiple Recipients w/ One TIN](#)

**Run Recipient Report**  
The Recipient Listing includes the Name, TIN, and Address of all recipients in the 1042-S Pro database. For more detailed recipient information, including Account Numbers and status of any forms, use the Control Totals report.  
See [How to Run a Recipient Report](#)

**Select a Recipient**  
All recipient records are stored in a master database that is accessible at any tax form. To access this information at any data entry screen place your cursor in the Recipient TIN field and hit the <F2> key or right-click your mouse. The Select a Recipient screen appears with ALL recipients for ALL filers available for selection. At the Select a Recipient screen, highlight a recipient and click "Select" or double-click the recipient.  
See [Selecting Recipients](#)

**Tagging Recipients**  
1042-S Pro allows users to manually tag (select) records for inclusion in a print session.  
See [Tagging Recipients](#)

**W-9 New Request for Recipient Indicator**  
Column shows if there have been requests for a recipient.  
See [W-9 Main Screen](#)

**Issue a W-9 or B-Notice**  
This button initiates the wizard to generate a W-9 for the selected recipient. This allows the user to issue forms individually without creating a batch.  
See [W-9 Wizard](#)

### 4.1 Add a Recipient

**Add a Recipient**

1099 Pro allows unlimited recipients.

**To add a recipient**
1. From the **menu bar** select File > Recipients.
2. At the 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** information.
4. After completing all fields click "OK" to save the recipient.
4.2 Change a Recipient

Change a Recipient

Changes made to a recipient only effect records with a pending status.

To change a recipient
1. From the menu bar select File > Recipients.
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 Filed 1096 status are not updated.

4.3 Delete a Recipient

Delete a Recipient

A recipient cannot be deleted if any records are associated with it.

To delete a Recipient
1. From the menu bar select File > Recipients.
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.

4.4 Forms Issued Report

Forms Issued for Recipients

The Forms Issued for Recipients report details all forms issued to each recipient including Form Type, Form Status, Form Filer (by TIN), Form Account Number, Date Created and Date Last Updated.

To Run Forms Issued for Recipients Reports
1. From the menu bar click "File" and "Recipients List".
2. At the Recipient Master List screen click the "Run Forms Issued Rpt" button.
3. The Administrator prompts, "Limit the report to just the selected recipient?"
   o Select "Yes" to run a report for ONLY the recipient selected (or highlighted) at the Recipient Master List screen.
   o Select "No" to run a report for ALL recipients in the database.
4. Click "Yes" to preview the report.

4.5 Group Actions

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

**Printing Pending Tax Forms**
You can select (tag) any number of tax forms that have a status of Pending, then print them using the Quick Print options to quickly select the paper type, Copies, sort order and more. If you need to print copy A forms and change the status of the forms from Pending to Printed, you must use the standard ‘Print Tax Forms’ button and wizard. Quick Printing does not allow for the changing of a record's print status..

**Reprinting Printed or Filed Tax Forms**
Allows you to select (tag) from a list of all forms that no longer have a status of Pending and then reprint the forms using the Quick Print options to quickly select the paper type, Copies, sort order and more.

**Adding New Forms for Selected Recipients**
This option lets you select (tag) any number of recipients, and then loop through the list creating new forms for them. The program will automatically fill in the recipient information on each new form, so all you have to do is fill in the specific box information for the form. For additional flexibility, you are also given the option to add the forms in any of four sort orders: by name, by TIN, by State or by ZIP.

**Deleting Pending Tax Forms**
Using this option, you can select (tag) any number of Pending tax forms and delete them with one operation. All notes associated with the form are also deleted.

**Resetting Printed Tax Forms Back To Pending**
You can select (tag) any number of tax forms that have a current status of Printed, and reset their status back to Pending so that they can be updated or deleted. The selected forms can belong to any print session.

**Voiding Printed Tax Forms**
You can select (tag) any number of tax forms that have a current status of Printed, and change their status to Void so that they cannot be filed. The selected forms can belong to any print session.

**Un-voiding Tax Forms**
You can select (tag) any number of tax forms that have a current status of Void, and reset their status back to Pending so that they can be updated or deleted.

### 4.6 Multiple Recipients - One TIN

**Multiple Recipients - One TIN**

Occasionally a filer may 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. To enter both recipients follow this procedure:

1. Enter Jane Doe as normal at any Adding a New Record screen. This will be the "master" recipient information for Jane Doe.
2. Click "Save" to save Jane Doe's record.
3. At the next Adding a New Record screen, enter the shared TIN in the Recipient TIN field. Jane Doe's
name and address automatically fill the screen.
4. Use SHIFT + TAB to move backwards through the fields and overwrite the name and/or address fields with Jane Doe DBA's information.
5. Click "Save" to save your changes.
6. The Administrator indicates a possible recipient information mismatch. Click "No" to not update Jane Doe DBA with the "master" record. Also uncheck the "Update All Other Pending Forms" checkbox.

☑ At the Browse the Recipients screen only the "master" record, Jane Doe, is listed. However, the recipient record does list the DBA under the Accounts/Name2 tab.

4.7 Recipient Record Details

Recipient Record Details

General Tab

SSN/EIN
The placement of the dash in the TIN field is critical. The entry of an SSN or EIN determines the formatting of the Name and Company fields. For 1042-S if TIN is unknown, leave field blank.

First Name (SSN)
Enter the recipient's First Name.

Last Name (SSN)
Enter the recipient's Last Name.

Company (EIN)
Enter the recipient's Company.

Name Line 2
Enter a second name or DBA, as appropriate.

Address Type
Defaults to USA. Selecting Canada or Other reformats the address fields. See Canadian Postal Code Rules.

Address
Enter the recipient's Address.

E-mail
This field is optional.

Accounts/Name 2 Tab

Name Line 2
This field is for reference only and reflects entries made at the data entry screen.

Account Numbers
Enter as many account numbers as necessary. Access this information at the Account Number field at any data entry screen via the <F2> key.

**W-9/B-Notices Request Tab** (Only Applicable if an open request exists for a recipient)
This tab allows you to change you update the TIN/Name and change the status of the request. If there is no open request, that tab is not shown. Your options for status requests are as follows:

- **Leave the Request Open as Pending**
  Any open requests will be untouched and left in a Pending status.

- **Close the Request**
  This option is used when corrected info has been received back from the recipient, etc.

- **Voided**
  VOID the request, it should not have been issued. (After you VOID a request and save your changes, that request can no longer be modified since it is now considered updated/closed)

- **Escalated**
  If you choose Escalate, when you save the Recipient form, the existing form is closed and you are taken directly to the Info Request wizard to create a new form. Your options to escalate are Escalate to the 1st B-Notice or Escalate to a 2nd B-Notice. When escalating, selecting either one of these options determines the proper screen you will be taken to.

### 4.8 Run a Recipient Report

**Recipient Listing Report**

The Recipient Listing includes the Name, TIN, and Address of all recipients in the 1042-S Pro database. For more detailed recipient information, including Account Numbers and status of any forms, use the Control Totals report.

**To run a report**
1. At the menu bar select Reports > Recipient Listing, 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”.

### 4.9 Select a Recipient

**Select a Recipient**

**Select a Recipient by TIN or Last Name**
All recipient records are stored in a master database that is accessible at any tax form. To access this information at any data entry screen place your cursor in the Recipient TIN field and hit the <F2> key or right-click your mouse. The Select a Recipient screen appears with ALL recipients for ALL filers available for selection. At the Select a Recipient screen, highlight a recipient and click "Select" or double-click the recipient. All Recipient associated information (TIN, Name, Address) automatically populates the form.

**To 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 hit TAB on your keyboard. For example, to view only recipients with last names starting with the letter "B", type "B" and TAB.
4. To remove the filter click the "Show All (remove filter)" button.

4.10 Tagging Recipients

Tagging Recipients

1099 Pro allows users to manually tag (select) records for inclusion in a print session.

Tagging Records
1. At the **Printing & Mailing** task panel click "Print/Mail Forms Myself". Use the Current Form drop menu to select the form type to process.
2. At the Printing Tax Forms screen choose the "Manually select forms..." option.
3. Click the "Begin a New Print Process" button.
4. At the Selecting Form Records screen click the "Tag" button to select records. A red check mark appears beside each tagged record. (See Tag Key Shortcuts below.)
   - To sort records prior to tagging, use the View or Query drop menus.
5. After tagging all records, click "Proceed to Next Step" to initiate the **Print Wizard**.

Tag Key Shortcuts

- **Tag**: Use this button (or ALT + T) to tag individual records.
- **Tag All**: Use this button (or ALT + A) to tag all records.
- **Untag**: Use this button (or ALT + U) to untag an individual record.
- **Untag All**: Use this button to untag all records.
- **Flip**: Use this button (or ALT + F) to reverse the tag status of an individual record.
- **Flip All**: Use this button (or ALT + L) to reverse the tag status of all records. For example, if you have 3 records and only one record is tagged, the Flip All button will tag the two previously untagged records and untag the original record.
- **Prev Tag**: Use this button (or ALT + P) to scroll backwards through tagged records.
- **Next Tag**: Use this button (or ALT + N) to scroll forwards through tagged records.

5 Helpful Hints

5.1 Adobe Acrobat

Adobe Acrobat

Use Acrobat Reader to open/view a PDF file. Download Acrobat Reader for free at ADOBE's website.

5.2 Alternative import layout

Alternative Import Layout

Standard Import vs. Alternative Import Layout
The standard import layout (as used in the sample import files) provides distinct City, State and Zip fields. The alternative import layout makes use of a single Combined City/ST/Zip field. Use one or the other layout in your import file.

See Sample Import Files

### 5.3 Canadian postal code rules

**Canadian Postal Code Rules**

- Must be 7 characters
- Character 4 must be a blank
- Format is letter-number-letter, a space, then number-letter-number
- For the first letter (position 1), only these letters are acceptable: ABCEGHJKLMNPRSTVXY
- For the letters in positions 3 and 6, these letters are acceptable (adds W and Z): ABCEGHJKLMNPQRSTUVWXYZ
- Valid example is C3H 4W9

### 5.4 Compliance Seminars

**Compliance Seminars**

For information about 1099 Pro sponsored seminars and conferences, visit our web site at [http://www.1099 Pro.com/servTrainingSeminars.asp](http://www.1099 Pro.com/servTrainingSeminars.asp) for more information.

### 5.5 Form Status Values

**Form Status Values**

1. **Form Status values**
   
   Standard tax form record status equates
   
   **NOTE:** These values “CANNOT” be changed once a product is in the field.

   **Original record (range: 0 - 10)**
   - ePending Equate(0)
   - ePrinted Equate(1)
   - ePrintedVoided Equate(2)
   - ePrintedFiled1096 Equate(3)
   - ePrintedFiledMag Equate(4)
   - ePrintedUploaded Equate(5)
   - eFiledMag Equate(6) Filed without printing
   - eUploaded Equate(7) Uploaded without printing

   **'Corrected' Original with blanked amounts (range: 10 - 19)**
   - eCorrectedPending Equate(10)
   - eCorrectedPrinted Equate(11)
   - eCorrectedPrintedVoided Equate(12)
   - eCorrectedPrintedFiled1096 Equate(13)
   - eCorrectedPrintedFiledMag Equate(14)
2. Voided Form
This one should already appear in the QW as a checkbox.

3. Correction Type
This is internal to the program.

4. Error Status
We ship with queries for these already.
0 = No errors
1 = Warnings
2 = Errors
3 = Warnings + Errors
4 = Fatal/major Error

5.6 Map by Name Import

Map By Name Import

Map By Name Import Method
Use if your import file incorporates header records from one of our sample import files. Simply click the "Map By Name" button and the fields automatically assign themselves.

For more information see the Import Wizard and Map By Name topics.

5.7 Master Audit Trail Browser

Master Audit Trail Browser

The Master Audit Trail Browser is available only to Administrators or Users with administrative access rights. The Master Audit Trail Browser offers greater functionality than the Record History screen including the ability to view all records and make changes directly to records.

See Audit Trails.
5.8 Master Tax Form

Master Tax Form

In terms of Aggregating data, the master tax form is considered to be the first tax form entered at the top of the transactions list.

5.9 Menu bar

Menu Bar

The menu bar is a traditional navigational tool located at the top of the 1099 Pro screen. For example, use ALT + R to access "Reports".

5.10 Online Help Tutorials

Online Help Tutorials

Video tutorials are available to view for free at http://www.1099pro.com/videos.asp.

5.11 Online knowledge base

Online Knowledge Base

Provides a searchable database of over 200 solutions for all 1099 Pro, Inc. software products. Access the Knowledge Base at http://www.1099pro.com/support.asp.

5.12 Protected Forms

See Form Status Overview

5.13 Registration code

Registration Code

A registration code (activation code) is provided upon proof of payment. Registration codes are 14 alpha/numeric characters (e.g., R9123456700XSE). The algorithm of your registration code indicates the edition, user license and number of transactions purchased.

See Registration topic

5.14 Toolbar

Toolbar
The toolbar provides quick access to common tasks.

5.15 Welcome Wizard

Welcome Wizard

Upon first entering 1099 Pro 2016, the Welcome Wizard walks users through creating their first filer and activating optional security features.

5.16 eFile Archiving

eFile Archiving

The features contained within this section are available exclusively to users of the Corporate Suite edition of our software.

During Electronic File (Mag Media – State and Quarterly) creation in the Electronic Filing link, there is an option to “Archive a copy of this file”. Checking the “Archive a copy of this file” box creates an archived Electronic File in the 1099 Pro database. If an Electronic File is created and the “Archive a copy of this file” box is checked, the file can be resent if your files have been lost or corrupted.

If you need to retrieve your archived data:
- Click on “Electronic Filing” in the “Filing & Corrections” section of your task bar.
- Highlight the eFile session
• Click on "Retrieve Archived File" at the bottom of the screen.

6 Corrections

About Corrections - An Overview

When do I need to create a correction?
If you filed a return with the IRS and later discover you made an error on it, you must correct it as soon as possible. For some corrections, you must file two returns with Form 1096 and for some only one return with Form 1096. In addition, you must provide statements to recipients showing the corrections as soon as possible. If you fail to file correct information returns or furnish a correct payee statement, you may be subject to a penalty.

To begin the process of making a correction(s), See Correct a Record About Corrections.

Do I need to file corrections with the IRS?
You need only file a correction with the IRS if you sent data to the IRS that was incorrect. If for example you sent out your forms in January and you fixed any errors before sending your data to the IRS, then the data the IRS has is correct.

Do I need to file corrections with my Recipients?
The IRS requires that you issue a "correct payee statement" to your recipients.

• If you sent out forms with incorrect data to your recipients, but not to the IRS, then consider sending your recipients a revised statement from 1099 Pro that has the good data on it. If the form is marked with a status of "Corr/Pend" meaning that a correction was made after it was filed with the IRS or uploaded to the Service Bureau, then an "X" will be marked automatically in the correct box on the recipient form when it is printed. If the correction doesn't really qualify as a correction but a revision because it has NOT been sent to the IRS or uploaded then you may use the Advanced Print Options feature to force an "X" in the corrections box. As an alternative you may indicate the statement is revised by manually checking the Corrected box with a pen. This will aid the recipient to distinguish the revised (good) statement from the previous 1099 form they received.

• If you sent out forms with incorrect data to your recipients AND to the IRS then you must do a formal correction that will go both to the IRS and your recipients. You can correct any form that 1099 Pro thinks has been filed with the IRS. Forms with a status of Filed, Uploaded or 1096 can be corrected as discussed at the Create Corrections topic.

For More Information …
You can view or print the form within 1099 PRO by choosing, "Forms" (Alt-M) from the general menu, and then "IRS Instructions and Blank Forms", and then choosing " <%PRODYEAR> General Instructions for Forms 1099, 1098, 5498 and W-2G".

About Corrections Screen

The About Corrections screen uses a red check mark to indicate any form types that contain corrected
records.

To access the About Corrections screen
On the task panel select the "Filing & Corrections" section and the "Correcting Filed Forms icon".

6.1 Correction of a Correction (CS Version only)

Creating a Correction of a Correction

The features contained within this section are available exclusively to users of the Corporate Suite edition of our software.

This simple tutorial guides users through the process of creating a correction of a correction. A corrected form must be filed with the IRS/SSA prior to correcting a correction; if the corrected form has not yet been 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.

☐ New for Tax Year 2016: For 1099 Informational Returns 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.

To Correct a Corrected Form
1. On the task panel select Forms & Printing and click the "Browse, Enter & Edit" link. Verify the appropriate Tax Year and Form Type are selected.

2. At the Browse, Enter & Edit screen highlight the recipient record to perform the correction of a correction on and click the "Change" button.

3. At the Protected Form Update Options screen click the "Initiate a NEW Correction Process" button and "Yes" to continue.
   o Note: If you had to create more than one correction form for your previous correction, e.g., you had a State and a dollar amount change, when you create the correction a notification box will appear informing you that the correction form you will be presented with will have the most recent values already filled out on it.

1. You will be presented with the most recently filed form, from here you may modify the information for the correction.

2. Once you have altered the text it will be displayed in blue, the corrections box along the bottom of the screen it will indicate the type of correction that was made as well. When you are done with your changes click the "Save Form" button.

   Example of Form before 2nd correction
3. Once you are done making this correction of a correction click on the "Save Form" button.

Example of modifying a corrected form

4. This will bring you back to the Protected Form Update Options screen, click on "close" and file your correction in the normal way.

Example of the screen showing the Associated Corrected and Corrections Forms
6.2 Corrected Options

Corrected Options

The Corrected Options screen is a useful tool for viewing corrected and associated forms; as well as for printing corrected and original forms.

Things to keep in mind:
- All forms, both corrected and non-corrected, are available at the "Work with My Tax Forms" screen.
- A corrected form may not necessarily be near its original form. Forms may have different TINs or names and be sorted accordingly. Or corrections may be of different form types (for example, Forms 1099-INT and 1099-DIV per Image 1).
- Some types of corrections generate two forms, while others generate only one.
- All corrections may be submitted on paper UNLESS there are 250+ corrections per filer, per form type (in which case they must be filed electronically). This is true even if your original 1099s were filed electronically.
- Audit trails do not track changes for corrected forms.
- 1099 Pro does NOT process corrections of already corrected forms. Prepare such corrections manually.

6.3 Creating a correction

Correct a Record

This simple tutorial guides users through the process of correcting (or amending) a record. Only forms that have been filed with the IRS/SSA may be corrected; prior to filing with the IRS/SSA it is only necessary to change
(or update) the form.

[New for 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.

To Correct AKA Amend a Form
1. On the task panel go to Preparing My Forms and click the "Work With My Tax Forms" link.

2. At the Work With My Tax Forms screen highlight the recipient to correct and click the "Change" button.

3. At the Protected Form Update Options screen select "Create Corrections".

4. Users are presented with an unadjusted version of the record to correct. Click on any field to adjust and enter the revised value.
   - To change the TYPE of TIN delete the ENTIRE number and then enter it with the dashes placed as appropriate for an SSN or EIN.
   - 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.
   - NOTE: 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 ability to view the original form or the corrected form and to view its audit trail. Click "Close" to exit this screen.
   - Remember to mail a copy of the corrected form to the recipient, AND
   - File the correction with the IRS/SSA as soon as possible.

To Correct a CORRECTED Form
Use this process to correct an already filed corrected form. Corporate Suite users please see Creating a Correction of a Correction.

1. First create a NEW record with the same information as the FIRST corrected return.

2. Mark the record as FILED (this may be forced by generating a dummy 1096 transmittal or electronic filing for it).

3. Create a correction of that record as outlined above.

To Correct a PRIOR YEAR Form
Corrections to prior year forms must be handled in the appropriate program year version. For example, a 2014 correction must be created in 1042-S Pro 2014. Users may send that correction to the Service Bureau for filing or contact the IRS at 1-800-TAX-FORM and request a Copy A and 1096 Transmittal for the appropriate tax year and form type. To electronically submit the file yourself to the IRS/SSA FIRE Site users must first manually edit the record. For information on manually editing a prior year correction please contact the Service Bureau.
6.4 Delete Corrected Forms

Delete Corrected Forms

Only corrected forms with a pending print status are available for deletion. If a corrected form with a pending print status is associated with a corrected form with any other print status, deletion is not possible. You must first reset all associated forms to pending.

To delete corrections
1. At the "Work with My Tax Forms" screen highlight any corrected record (Corr/Pending). Click the "Delete" button.
2. At the Associated Corrected and Corrections Forms screen highlight the record and click the "Delete" button.
3. The Administrator prompts to confirm deletion. Click "Yes" to continue or "Cancel" to abort.

The deleted form immediately exits the Corrected Options screen and reverts to the "Work with My Tax Forms" screen with its pre-corrected print status.

6.5 Protected Forms

Form Status Overview

Records with a Printed, Filed or Void status are "protected" from changes or edits. Use the Protected Form Update Options screen to access these records. Available update options vary according to the record's status.

Protected Form Update Options screen
Use this screen to access protected records for viewing, reprints or generating corrections.

1. At the Preparing My Forms task panel click the "Work With My Tax Forms" link.
   o Corporate Suite Users: At the Forms & Printing task panel click the "Browse, Enter & Edit" link.
2. Highlight any record with any status except pending.
3. Click the "Change" button to display the Protected Form Update Options screen.

<table>
<thead>
<tr>
<th>Record Status</th>
<th>Available Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pending</td>
<td>These forms are ready to be printed and/or filed. Users may view, change or delete the form. Print the form and/or file the form (to paper* on IRS/SSA Copy A, electronically or through the Service Bureau).</td>
</tr>
<tr>
<td>Printed</td>
<td>These forms have been printed and are ready to be filed. Users may view the form, reset the form to pending print status, void the form, reprint the form or file the form (to paper* on IRS/SSA Copy A, electronically or through the</td>
</tr>
</tbody>
</table>
Records that were imported with a printed status cannot be void, reset or delete. The entire import session must be reset.

**Voided**
These forms have been voided. Users may view the form, unvoid the form or reprint the form.

**Deleted**
These forms have been deleted and may not be undeleted. Users may view the form.

**Filed 1096**
These forms have been printed and filed via 1096 transmittal. Users may view the form, reprint the form or create corrections.

**Filed Mag**
These forms have been printed and filed electronically (magnetic media). Users may view the form, reprint the form or create corrections.

**SB Filing**
These forms have been submitted to the Service Bureau for electronic filing. Users may view the form, reprint the form or create corrections.

**SB Print+Mail**
These forms have been submitted to the Service Bureau for printing and mailing. Users may view the form, file the form (to paper* on IRS/SSA Copy A, electronically or via the Service Bureau), reprint the form or reset to pending.

**Corr/Pending**
These forms have been corrected and are ready to be printed and/or filed. Users may view the original or corrected form, reprint the original form. Print and/or file the corrected form (to paper* on IRS/SSA Copy A, electronically or through the Service Bureau). Change the corrected form or delete the correction.

**Corr/Printed**
These forms have been corrected and are ready to be filed. Users may view the original or corrected form, reprint the original or corrected form. File the corrected form (to paper* on IRS/SSA Copy A, electronically or through the Service Bureau). Reset the corrected form to pending status.

**Corr/SB Filing**
These forms have been corrected and submitted to the Service Bureau for electronic filing. Users may view the original or corrected form, reprint the original or corrected form.

**Corr/Mag**
These forms have been corrected and filed electronically (magnetic media). Users may view the original or corrected form, reprint the original or corrected form.

* Filers must file electronically if they have 250 or more forms of any one form type or risk IRS penalties.

**Create Corrections**
Refer to [About Corrections and Create Corrections - A Tutorial](#)
6.6 Reprint Corrections

Reprint Corrections

To reprint corrections
1. At the "Work with My Tax Forms" screen highlight any corrected record without a Pending print status. Click the "Change" button.

2. At the Corrected Options screen click the "Reprint Correction Form" button.

3. The Administrator prompts to reprint ALL associated corrections or just the selected form.

4. At the Print Options screen select the paper type: pre printed laser, blank stock, or pressure seal.
   - If selecting pre printed laser adjust margin alignment as necessary.

5. Select the copies to print.

6. Select the sort order to print forms (this field is ghosted if only one record is selected for print):
   - By Last Name/Company Name (default)
   - By TIN
   - By Zip Code (use to pre sort mailings for the post office)
   - By State Abbreviation

7. Enter an optional message to print in the upper right corner of the form(s).

8. When satisfied with all entries click the "Print Now" button. Click "Close" to exit this screen.

6.7 Reprint Originals

Reprint Originals

Use to reprint the original form, prior to any corrections.

To reprint originals
1. At the "Work with My Tax Forms" screen highlight any corrected record. Click the "Change" button.

2. At the Corrected Options screen click the "Reprint Original Form" button.

3. At the Print Options screen select the paper type: pre printed laser, blank stock, or pressure seal.
   - If selecting pre-printed laser forms you should adjust the margin alignment as necessary.

4. Select the copies to print.

5. The "Select the Sort Order to Print Forms" field is ghosted because only one record is selected for print.

6. Enter an optional message to print in the upper right corner of the form(s).

7. When satisfied with all entries click the "Print Now" button. Click "Close" to exit this screen.
3. Enter the payer, recipient, and account number information exactly as it appeared on the original incorrect return; however, enter 0 (zero) for all money amounts.

**Step 2.** Report correct information.
A. Form 1098, 1099, 5498, or W-2G
   1. Prepare a new transmittal Form 1096.
   2. Do not enter an "X" in the "CORRECTED" box at the top of the form. Prepare the new return as though it is an original.
   3. Include all the correct information on the form including the correct TIN, name, and address.

B. Form 1096
   1. Prepare a new transmittal Form 1096.
   2. Enter the words "Filed To Correct TIN", "Filed to Correct Name and Address", or "Filed to Correct Return" in the bottom margin of the form.
   3. Provide all requested information on the form as it applies to those returns prepared in Steps 1 and 2.
   4. File Form 1096 and Copy A of the return with the appropriate service center.

**NOTE: Do not include a copy of the original return that was filed incorrectly.**

## 7 Account Generation Wizard

### Generating Account Numbers

**Why would I need to generate Account Numbers?**
1099 Pro offers a feature that will generate account numbers for each form that does not have an account number. IRS Publication 1220, states on page 77 that the IRS requires account numbers. "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 ..." The IRS has indicated that they will not reject files if they do not have account numbers but by having account numbers the IRS will be able to process any corrections that they encounter. This wizard will create unique Account Numbers for unfiled tax forms to satisfy the new requirement. You can also individually specify which Filers and form types to process.

**Things to keep in mind:**
- Only unfiled forms with a status of Printed or Pending will be updated.
- Any form with existing Account information will NOT be changed regardless of status.
- You can manually replace generated account numbers at any time before filing.
- Account numbers are created using two letters from the last name, the IRS form code and a number unique to that form. For example, one might look like this AB-Q-0001234.

*See [Generating Account Numbers](#)*

### 7.1 How to generate account numbers

#### Generate Account Numbers

**To Generate Account Numbers:**
1. At the menu bar select Utilities > Generate Account Numbers.
2. At the Account Number Generation Wizard click "Next" through the screens.
3. Confirm the settings on the Account Number Generation summary screen.
4. Click "Finish" to begin generating Account Numbers. Existing account numbers will NOT be overwritten.

* The Generate Account Number Wizard is also available within the Print Wizard, Upload File Wizard and Electronic File Wizard.

See Account Generation Wizard

8 Security and Administration

Global Administrative Options

Select an available option on the left to manage those settings...

Security
Through the use of settings and rights administrators can restrict users and thereby protect sensitive company data.
Add/Update Individual Users
Administrators can use the Add/Update Individual Users screen to create users and assign them to specific tasks.
See Adding and Updating Users

Access Groups and User Profiles
Create new Access Groups and User Profiles based on your own custom settings. Your groups will be available when adding or changing a user and will be included in all security reports.

Passwords
Passwords can help protect sensitive company data.
See Passwords for more information

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.
See Security Access Logs

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.
See Security Reports

Turn On/Off Security
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 performs a two fold method of protecting sensitive company data.
See How to Enable or Disable Security

Tax Form Audit Trail and Action Logging Options

View Audit Trail Records
The Master Audit Trail Browser is available only to administrators or users with administrative access rights. Use it to view all manual and cascading changes to all tax forms (the Record History screen allows the viewing of individual tax forms only).
See Master Audit Trail Browser.

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 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.
See Purging Audit Trail Logs for more information.

Rules and Options
Preference, Update and Program options
Configure many of the software general settings such as date range warning, update checking and backup reminders. 
*See Preferences for more information.*

**Tax Form Validation for Import and Entry**
Adjust settings to configure the warning and error messages displayed when importing or manually entering forms. 
*See Custom Tax Form Validation Rules for more information.*

### 8.1 Security Overview

#### 8.1.1 System Security Settings/Password Requirements: Step 1

**Setting Password Requirements**

**Step 1: Set Security Preferences/Password requirements**

The Security Preferences/Passwords requirements section allow you to configure details regarding a user's password such as password length, lockout settings, expiration, and password format. For Corporate Suite users you can also set the login type such as tying Corporate Suite security into Windows Active Directory security.

1. To configure password/login requirements click the “Set Password requirements”/“Set Security Preferences” (Corporate Suite) button.

2. At the “Modify System Security Settings” window, you have the option of configuring the following settings:
   
   a. **Login Type:** *(Corporate Suite Only)*
      
      i. Default: Requires the user to enter the username and password assigned to during user creation (Step 4).
      
      ii. AutoFill: Pre-fills the login dialogue with the Windows User Name. When creating users you must use the same login name they use for Windows for this to be useful.
      
      iii. Active Directory: Removes login prompts instead using the Windows Domain/Username/Login that the user logged into their computer with. The username in our software must match the username they log into Windows with.

   b. **Minimum Password Length**: Defines the minimum character length the password can be. Length ranges from 5-15 characters

   c. **Lock a User ID after this many invalid login attempts**: Sets the maximum number of times a user can fail to log in 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 begin notifying when the user’s 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 the case matters when a user is entering their password.

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. **NOTE**: You must specify which special characters may be used before enabling this option (see “K” below).

l. **Special Characters (Up to 15)**: Define special character’s which may be used during password creation.

### 8.1.2 Security - Access Groups: Step 2

**Security - Access Groups**

**Step 2: Creating and Managing 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 are View/Access area, Create, Modify, Delete, Report, Correct, Print, and Reset/Void where applicable.

1. At the menu bar click 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.
   - You may also select “Change” or “Delete” to modify any access groups you have already created or to view the contents of a built in Access Group.
   - **IMPORTANT**: 1099 Pro includes multiple built-in access groups (indicated by a TEAL color) that cannot be modified or deleted.

4. **Assign or Modify Access Rights** at the Update Access Groups screen by entering a Group Name
and then “Tag” (or select) items in the Access Form or Program Area to configure. After tagging an item click the “Modify Highlighted Records” button.

5. The Modify Access Rights window opens and allow you to assign specific rights to the form or program area by clicking the check box to the left of the form you wish to modify. If the right is ghosted or grayed out then that right is unavailable for that particular area. You may also “Select All Rights” or “Clear All Rights”.

6. Click “Save” when done to return to the Update Access Groups screen. You may add Notes for the Access Group if desired. When done modifying Access rights click “Save Changes to Group” to exit and save changes.

7. At this point you may “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.
   - IMPORTANT: If you “Tag” a Program Area or Form type and do not assign any other rights to it, you have created a “View only” access rule. This will allow assigned users to enter an area or form but they will NOT be able to enter or save any changes.

8.1.3 Security - Manage Profiles: Step 3

Security - Manage Profiles

Step 3: Create and Manage User Profiles

User Profiles allow you to apply Access Groups to specific Filers/Departments. When you assign a user to this profile (Step 4) they will only have the specific rights granted by that Access Group on the specified Filers. 1099 Pro’s built-in User Profiles are applied to all filers. NOTE: In order to access the 1099 Pro system, a User must have rights to AT LEAST 1 Filer, in other words, they must be assigned to at least 1 User Profile.

The diagrams below illustrate the components comprising a User Profile. In step 4 you will assign users to these profiles.

Diag 1:
User profile composed of multiple filers (companies/departments) and 1 access group.

Diag 2:
User profile composed of 1 filer and multiple access groups.
1. To create or manage an User Profile click “Create and Manage User Profiles for Filers and Access Groups” from within the “Security Options” window. 1099 Pro has built in User Profiles. Built in groups will be colored in teal and cannot be modified or edited. **NOTE: By default, all built-in User Profiles will have access to all current and Future Filers**

2. Click “Add” to create a new user profile. You may also select “Change” to modify any User Profiles. The “Quick Assign” button will walk you through these steps in a wizard. “Clone Profile” will allow you 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” you will be working in the “Update User Profile” screen. Here you will assign Access groups to Filers.

**To create or update a user profile follow these instructions.**

a. Create a name for the User Profile.

b. Tag the Filers that you wish to have access to. To tag a selection highlight the line and use the “Tag” button or click in the tag column next to Filer(s) this profile will have access to.

c. Highlight the filer you wish to configure and click the “Assign Access Groups” button to attach Access Groups that were previously created to the profiles.

d. The “Tag Access Group” screen opens and allows you to select profiles that have previously been created (Step2).

e. After you are done selecting profiles click “Save” to exit. **NOTE: You will need to repeat steps C, D, and E for each filer that is in this profile.**

4. Upon exiting the “Update User Profile” screen you are returned to the “User Profiles” window. You can continue to add, change, or delete profiles here. Once you are done updating profiles click “Close” to be returned to the “Security Options” window.
8.1.4 Security - Add/Update Individual Users: Step 4

Security - Add/Update Individual Users

Step 4: Add/Update Individual Users

Generally you will have one user for each physical user of the software. This section will guide you through creating, updating, and deleting Users.

1. To configure Users, click on the “Add/Update Individual Users” from within the “Security Options” window.

2. The “Users” window opens displaying a list of all current users in the software. The “Add User” button allows you to add a new user. The “Change” button allows you to modify an existing user or view the profiles they are associated with. The “Delete” button will remove a user from the system.

3. Clicking the “Add User” button will open the “Adding a User” window. Here you will input the login information that will be used to access the software. (or “Change User” in the case of clicking “Change” button.

The information below will assist you in adding a new user or modifying an existing user:

a. User ID: Enter that will be used to login. Note: Corporate Suite users using the Active Directory Login Type must use the same username that the user logs into their network with.

b. Password: By default all new accounts start with “NEW” as their password and cannot be edited here. You may set the requirements users must meet for passwords by clicking “Set Security Preferences” on the “Security Options” window.

c. Lock Status: this field displays whether or not an account is locked due to login failures. Click “Change” to lock or unlock an account for use. Remember to reset the password if it is a case of the user forgetting their login information.

d. (Corporate Suite only) Pre-W2K Domain: This is only used when Active Directory Login type is selected by clicking “Set Security Preferences” on the “Security Options” screen.

e. Optional Information:
i. User Name: Provide the end users full name and email address. This does not affect login.
ii. Phone: Supply a contact phone number for the user.
iii. Other info: This field can be used to store other info such as department, e-mail address, location etc.

f. User Profile Membership: This field displays all of the User Profiles that the user is currently associated with. Step 5: will cover adding users to profiles.

g. Click “Ok” to complete adding a user or “Cancel” to abandon any changes

Note: built in accounts cannot be modified or deleted
8.1.5 Security - Add Users to a Profile: Step 5

Security - Add Users to a Profile

Step 5: Add Users to Profiles:
This last step in configuring security will guide you through the process of assigning a user to a profile created during Step 3.

To add a User to a User Profile
1. Click on the “Add/Remove Users from Profiles” button located on the “Security Options” window.
2. At the “Security – Assign Users” (“Available User Profiles” in Corporate Suite) screen you will assign the users you have created to a profile.
3. Select the profile you wish to add users to by clicking the “Available User Profiles” dropdown.
4. Tag the users that you wish to have applied to the selected profile. NOTE: You must click “Save” prior to adding users to another profile.
5. To tag a user highlight the user and click “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.

8.1.6 Turn On/Off Security

Turn On/Off Security

Section 1: Accessing Security
- To access the 1099 Pro security control panel, select “File” from the program menu and then select “Security and Administration”.
- From the “Global Administrative Options” window, click the “Security Groups” button on the left.
- Security status is displayed in the blue box toward the top of the window, next to the “Security is currently: (On/Off)” text. If security is not enabled, click on the “Activate Security” button to enable it. You will be prompted to restart the program to finalize this change.

8.1.7 Passwords

Passwords

Passwords can help protect sensitive company data.

First Time Logon
If security is enabled during the Welcome Wizard, the Administrator must create a new password the first time they logon to 1099 Pro.

1. In the User ID field enter Administrator, in the Password field enter NEW.
2. Click "OK".
3. The Logon screen requires you to enter a new password.
o Passwords must be at least 6 characters.
o Passwords are case sensitive.
o Password cannot be "NEW"

4. After successfully creating a password, Administrators are encouraged to create Users.

I Lost My Password!
If a User forgets their password the Administrator may reset it.

1. At the menu bar click on "File" and then on "Security & Administration".

2. At the Administration screen click "Security Groups", and then click on "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". The next time the User logs into 1099 Pro they are required to change the password.

NOTE: If the Administrator forgets their password they must contact Technical Support. 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 will provide an unlock code good for that day only.

8.1.8 Security Reports

Security Reports

1099 Pro offers numerous reports to track Users, User Profiles, and Access Groups. These security reports are available only to administrators or users with administrative rights.

To generate security reports

1. At the menu bar go to 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 the User Profiles they are associated with.
   • Profiles and Associated Access Groups: Lists User Profiles and the Access Groups, Filers and Departments they are associated with.
   • 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 option.

8.1.9 Security Access Log

Security Access Log

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 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 an 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. At 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 log-on's are deleted. To purge records:

1. At 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.
8.2 Data Maintenance

8.2.1 Backup Data

**Backup Data**

1042-S Pro backups can automatically 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 and aggravation!

- See [Restore Data](https://www.winzip.com) (via a backup file)

**To Modify Backup**

1. At 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 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.
   - Uncheck the box to disable backup prompts (not recommended).

**To Backup Data**

Access the Backup Wizard as prompted automatically by 1042-S Pro (see Modify Backup above). The Backup Wizard application, Backup15.exe, may also be accessed directly through File Explorer. In a standard installation it is located at `<%DEFAULTPATH-1042-S%>\Data Backups`. **All users must exit the software prior to running the backup.**

1. At the 1099 Pro 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).
8.2.2 Restore Data

Users 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.

No backup file? If you used the Service Bureau to process your forms, we may be able to recover your data files for a fee. Contact the Service Bureau for more information.

To 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 (Professional or Enterprise). Consult Technical Support with questions.

2. Locate your .ZIP backup file (e.g., "1099 Pro Backup 9-AUG-2016 9-38AM.ZIP") which in a standard installation is located in the Data Backups folder (i.e., `<%DEFAULTPATH-1042-S%>`\Data Backups).

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 (i.e., `<%DEFAULTPATH-1042-S%>`\Data).
   - Learn more about WinZip.

4. Open your software and run a Form Counts by Filer report to verify accuracy of restored data.

5. After successfully restoring your data, update your software to its most recent version.

8.3 Rules and Options

8.3.1 1099 Module Preferences

1099 Module Preferences

The features contained within this section are available exclusively to users of the Corporate Suite edition of our software.

Here we will explain what the preferences are for the various tabs contained within the "1099/98/5498/W-2G/Preferences/Options" area in the 1099 Pro Corporate Suite software.

8.3.1.1 Global

Global Tab

Options that apply to ALL users.
- Require A full name and address before a form can be saved: Checking off this option will require a full name and address to be entered when manually creating a record.
- Auto capitalize names, addresses & localities during manual entry: This will automatically place
everything that was manually entered for a record in an upper-case format when the text entry has been completed.

- Hide the optional form Category field on data entry forms: Checking this box hide the areas “Source” and “Category” on records when manually entering forms. *Note: These fields are only used as a means of organizing data for searches.*
- Remind me not to print the Red Copy A until February:

**Backing Up Your Data Files**

Creating backup copies of your data files should be performed by your network and/or your network Administrators on a regular basis.

**Global Date Range Checking**

- Warn if dates entered on forms are outside of this range: Enabling this option will cause the program to give a warning if an accounting date is entered that goes outside the specified date range entered.  
  *Note: The options for "Date is before" and "or after" will only apply if the "Warn if dates entered on forms are outside of this range" option is turned on.*
- Date is before: If the date, or prior, entered at the time of record entry, is before the date entered in this box, the user will receive a warning.
- or after: If the date, or after, entered at the time of record entry, is before the date entered in this box, the user will receive a warning.

**Form Options**

- Do NOT Allow: Choosing this option will disable the ability to enter forms with an accounting date on or after 1/1/2016.
- Allow Now: This will allow users the ability to enter forms with an accounting date on or after 1/1/2016.
- Not until Jan 1st, 2016: (Default) Choosing this option will only allow user to enter forms with an accounting date on or after 1/1/2016.

**Special Features**

Activate Extended Casino W-2G/1042-S options: Turning on this option will enable

**W2G**

- Add an additional cash field in Box 1 (Gross winnings)
- Add the ability to set withholding as a percentage in box 2 (Federal income tax withheld). *Note: Either Federal: 25% State 5%, or Federal: 10%, State 2%.*
- A drop down box for boxes 11 (First I.D.) and 12 (Second I.D.) *Note: The ID’s used in these boxes can be defined under, “Security and administration” then “Business Rules”, “Manage Data Entry Code Lists & Options” then click on the “Code Type to view/update” of “Recipient I.D. Types”, with that option selected, you will have click on “Add” to add optional groups/people to the box 11 or 12 drop down lists.)*

**1042-S**

- Suppress No TIN Message: Turning on this option will suppress the warning given if a form is entered
and there is no TIN number assigned to the form at that time.

- Filter the CSR list by Filer is Security is on:

### 8.3.1.2 Local

#### Local Tab

**Recipient Address ZIP Code/City Options**

1. Convert City to UPPER case during manual entry ZIP lookups: Clicking this check box will cause the program to automatically convert the City to all upper case characters when using the software's build in zip code to city matching utility.

2. Always convert Recipient City to UPPER case during printing: When printing records from the Corporate Suite software, or ASP interface, the City name will always print in upper case, regardless of what is viewed in the Work With My Tax Forms screen.

#### Local Options

1. Automatically reselect the last Filer at program start: (Default On) Turning on this option will automatically start the user viewing the filer information that they were viewing when they exited the software.

2. Show a reminder when using 'Add Recipient": Turning on this option will enable a warning that states:

   "Tip: In order to reduce typing and save time, recipients are normally added to 1099 Pro as part of the process of creating their 1099 forms. You do NOT need to add a recipient here before creating a tax form for them. Do you still want to add a new recipient/employee right now?"

3. Whenever you add a recipient in the "Recipient" section. Note: You will also be given the option to disable this message, at the time this message is displayed.

4. Show a reminder that First Name is discarded for EIN/Company: Note: These options can be set/changed by the user on each workstation. Your choices here will provide the default.

### 8.3.1.3 Limits

#### Limits Tab

This area will allow you to set the accounting day limit entries on records, so if you enter a specific date in these areas, users will receive a warning that they cannot save the record because it goes beyond that date.

There are two different areas where dates may be entered, the Transaction/Accounting Date Cutoff, and the Open Window Cutoff Date (WEB/ASP data entry only) which is extremely useful because representatives that are only allowed to interface with the program using the internet browser, can have different limits for record creation, allowing for a method of administration. **Note:** If the "Accounting Date Cutoff Date" or "Open Window Cutoff Date" are left blank, the accounting date will not be enforced, and no warning will be issued, regardless of the accounting date entered at the time of the records entry.
8.3.1.4 Checking For Updates

Checking for Updates

This area will assist you in the methods that the 1099 Pro program uses to check for updates. Updates will help to make sure that the program abides by the latest rules and regulations set forth by the IRS/SSA. Ask for confirmation every time before checking (Default on): leaving this option on will cause the program to prompt you whenever it would like to connect to the internet in order to check for updates, if you uncheck this box, the program will connect to the internet in order to download updates without asking permission to do so. Note: Uncheck this only if your internet connection is "Always on". If a update is available, you will still be prompted before installation begins, regardless of the status of this box.

How often does the program check for updates?
• Automatic Adjustments (Recommended): The program will check for updates occasionally during the summer, more frequently as tax season approaches, and, finally, everyday at the height of tax season.
• Specified Interval (1 - 45 days) Throughout the year: You can adjust the number of days in between when the program will check for updates.
• Manual checking only: Choosing this option, you will need to manually inform the program to check for updates under “Help” and then “Check for 1099 Pro updates”. Note: You will also see an indicator at the bottom of the screen that indicates the last time a check was performed for an updated version of the software.

8.3.1.5 Update Options

Update Options

Change Recipient Address on Filed Forms (ASP Only)
• Create correction: Choosing this option will allow users to allow representatives using the ASP interface to adjust the address on accounts after the form has been saved, and then filed.
• Update Address for Filed Forms without creating correction: Choosing this option will allow representatives using the ASP interface to alter a records recipient information, that has been filed, without creating a correction.

Refile Forms already filed to a State:
• Forms can not be re-filed to a state: When a eFile has been generated for the State, it will not be sent to the State via the CFS (Combined Federal & State filing program) if that option is selected in the Federal eFile creation.
• Enable option to file form already filed to a State: If a record has been submitted using the State Subset eFile creation utility it will not then be submitted to the State again if the CFS (Combined Federal & State filing program) is checked during the Federal eFile file creation process.

Change of Status from Quick Print (ASP Only)
• Disallow status changes from Quick Print: Regardless of what copies are printed using the quick print tool, the status of the form will not change.
• Allow Quick Print status changes, option will not be checked:
• Allow Quick Print status changes, option will be checked:

Restrict Creation of Filed Wrong Form Corrections:
• **No Restrictions:** Anyone who has access to create corrections will have the ability to choose the filed wrong form option when a record will have its information manipulated.

• **Restrict for ASP only:** Representatives that use the ASP interface will not be able to choose the option "Filed Wrong Form" when manipulating a filed Record.

• **Restrict for ASP and CS:** Users in general will not have the option to choose the "Filed Wrong Form" option when choosing to alter a filed form.

• **Restrict Form 1099-LTC Box 5:** This area will give you the option of what information is displayed when a 1099-LTC is printed out. *Note: Box 5 indicates a Chronically Ill or Terminally Ill status.*

• **Use Box 5 information for printing/filing:** Information entered in box 5 of the 1099-LTC will be printed for all copies and included in electronic filing.

• **Suppress Box 5 for printing and filing:** This option suppresses printing or reporting via electronic filing information entered in box 5 of the 1099-LTC

**Options for allowing "Processing Restrictions" to be used with Tax Forms.**

*Note: These restrictive actions are allowed by default. Enabling them to disallow use.*

• **Restrict "Do Not Print" option:** Checking this box will disable a representatives ability to check the "Do not print" box in the ASP interface and Corporate Suite software.

• **Restrict "Do Not File" option:** Checking this box will disable a representatives ability to check the "Do Not File" box in the ASP interface and Corporate Suite software.

• **Restrict "Do Not Merge" option:** Checking this box will disable a representatives ability to check the "Do Not Merge" box in the ASP interface and Corporate Suite software.

• **Restrict "User Hold" option:** Checking this box will disable a representatives ability to click the "Hold" button on a form in the ASP interface and Corporate Suite software.

**Specify the max number of records that will be return by Search engine in ASP:** In this area you can determine how man records will be returned when a search is initiated using the "Form lookup" utility within the ASP interface, limiting this number can significantly reduce the amount of time that is used to search the database when a search criteria that is vague is used. *Note: If no number is set, it will default to returning 100 records.*

### 8.3.1.6  RCP Options

**RCP (Recipient) Options**

The features contained within this section are available exclusively to users of the Corporate Suite edition of our software.

This area will allow you what rules apply to recipient information as it is entered into the system manually, or if it is imported into the software via the import utility.

**Recipient Select options:**

The following list applies only if you have an existing list of recipients within the software.

• **Select from Recipient list:** (Default) Choosing this option will allow people who are manually entering a record to pull information from the recipient list into the form.
• **Select Recipients from forms (ASP Only):** Choosing this option will only allow people using the ASP interface to pull information from the recipients list when manually entering a record.

• **Select Recipients from Forms (Corporate Suite and ASP only):** Choosing this option will not allow people using the Corporate Suite software, or ASP interface to pull information from the already existing recipients database.

**Force Recipients as New**
• **Do not force Recipients as new:** Choosing this option will cause the software to ask the user who is entering recipient information if they would like to update users and forms already in the recipient database. *The above option applies on both manual entry and import.*

• **All Recipients on import or manual entry are forces as new/unique:** Choosing this option will create a new entry in the recipient database for every recipients information entered into the software. *The above option applies on both manual entry and import.*

• **Disable Recipient List:** Choosing this option will disable the storing of recipients information altogether, and information will not be available to users manually entering forms, or importing them into the software.

*The following applies to the 1099 Pro Corporate Suite/ASP interface only.*

If you have the recipients list disabled during an import, the records that were imported will not be combined with future transactional imports. This is because there is no record kept of the transaction being linked to a specific recipient when the “Recipient list” has been disabled.)*

**Bypass Recipient Compare process**
• **Compare Tax Form date to Recipient record on entry and offer updates:** When importing or manually entering recipient information, the software will prompt if this is newer information than the information currently stored in the recipient database.

• **Bypass Recipient Compare process for ASP only:** When manually entering recipient information into the Corporate Suite software, the software will prompt if this is newer information than the information currently stored in the recipient database.

• **Bypass Recipient Compare process for ASP and CS:** You will not be prompted when entering recipient information if this is newer information than the information stored in the recipient database in either the Corporate Suite software or the ASP interface.

**Bypass Recipient cascade process**
Recipient Cascade process depends on Recipient Compare settings. If Bypass Recipient Compare is turned on then no cascades can take place regardless of the setting for Bypass Recipient Cascade.

• **Allow cascade:** (Default) This option will allow changed in recipient information to take place across multiple filer, and different take forms, so that if there are multiple form types for one filer, you will not have to adjust them all. This does not effect forms that have a status other than "Pending".

• **Restrict to current Filer only:** This option will allow changes in a recipients information to adjust multiple form types at the same time, but will not allow adjustments across multiple Filers.
• Disable Cascade: This will disable the ability for adjusted recipient information to be spread across multiple form types, and filers, all together.

Error Level if missing Address Line 1 and 2
• No Error: (Default) Turning on this option will disable the warning message if there is a missing Address line 1 or 2 for recipient information entered manually or via import.

• Warning: Turning on this option will give a warning message with a status of "Warning" when entering recipient information that is missing a Address line 1 or 2 for recipient information either manually or via import. The error message of warning will not prevent the tax form from being saved, or from being brought into the software without prompt.

• Error: Turning on this option will give a warning message with the status of "Error" when entering recipient information that is missing a Address line 1 or 2 for recipient information either manually or via import. The warning status of "Error" is more severe than the status of warning, but is still capable of being brought into the software.

• Reject: Turning on this option will give a warning message with the status of "Reject" when entering recipient information that is missing a Address line 1 or 2 for recipient information either manually or via import. The warning status of "Reject" is the most severe message, and records with the status of reject will not be allowed to be saved in the system.

Error Level if for SWT (State Withholding Tax) for non-taxing states
This is the error warning that a user will see if they enter information for State Withholding Tax for a non-taxing state, this will be via the Corporate Suite software or the ASP interface, whether entered manually or imported into the software.

• No Error: (Default) Choosing this option will not attribute an error message to forms that are entered with State Withholding Tax on non-taxing States.

• Warning: Choosing this option will attribute an error message of "Warning" to forms that are entered with State Withholding Tax on non-taxing States. The error message of warning will not prevent the tax form from being saved, or from being brought into the software without prompt.

• Error: Choosing this option will attribute an error message of "Error" to forms that are entered with State Withholding Tax on non-taxing States. The warning status of "Error" is more severe than the status of warning, but is still capable of being brought into the software.

• Reject: Choosing this option will attribute an error message of "Reject" to forms that are entered with State Withholding Tax on non-taxing States. The warning status of "Reject" is the most severe message, and records with the status of reject will not be allowed to be saved in the system.

8.3.2 Preferences

Preferences
Preference items allows the customization of 1042-S Pro software. Any user with access to Security and Administration may modify preferences. In multi-user environments, Administrators may opt to restrict user access to this area by setting permissions within Access Groups.

- Changes made at the Preferences screen are universal to the program; not specific to the user.

To Modify Preferences
1. At the menu bar select File > Security and Administration.

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.
   - **Corporate Suite Users:** At the Global Administrative Options screen click the "Rules & Options" button and under Business Rules and Options click the form specific "Preferences / Options" button.

3. At the Preferences screen, tabs include; General, General (More) and Checking for Updates. Many items are checked "on" by default with the intention to help safeguard user data. Functions may be set "off" or "on" at the user's discretion by inserting or removing a check in the corresponding box.
   - **Corporate Suite Users:** Preferences screen tabs include; Global, Local, Updates Checking, Limits, Update Options and Recipient Option. The below listed Preference Options are included in Corporate Suite and many more as well. For information on these options please consult your Corporate Suite Account Manager.

4. Changes go into effect after clicking "OK" and then exiting and re-opening the software.

Preferences Options
- **Overall Options**
  Auto capitalize names, addresses and localities during manual entry.

- **Backing Up Data Files**
  Remind me to backup every X days. Users are strongly encouraged to backup data on a regular basis. To backup once per day enter "1", every two days enter "2", etc. Set to zero to backup every time the program is exited.

- **Global Date Range Checking***
  Warn if dates entered on forms are outside of this range. Set dates are within the respective tax year. Dates may be modified by clicking the ellipses buttons.
  - Date is before 1/01/2016 (default entry)
  - Date is after 12/31/2016 (default entry)
  * This feature is not available in 1042-S Pro.

- **Options for Manually DELETED Tax Forms**
  - Allow previously deleted tax forms to be visible at the Work With My Tax Form screen.
  - Allow users to undelete previously deleted tax forms. Available in Corporate Suite only.

- **Other Global Options**
  - Suppress/turn off the Report Wizard 'Custom Reports' option on Browses.
  - Suppress/hide all TINCheck functions and capabilities.

- **Recipient Address ZIP Code/City Options**
- Convert City to UPPPER case during manual entry ZIP lookups
- Always convert Recipient City to UPPPER case during printing

Other Options
- Automatically reselect the last Filer at program start
- Show a reminder when using ‘Add Recipient’

Task Menu Display
- Suppress the "Control Total Reports" option
- Suppress the "Recipients List" option

Checking for Updates
- Ask for confirmation every time before checking for updates. Only uncheck this box if your Internet connection is always on.
- How often should program check for updates:
  - Automatic Adjustment (recommended) - The program will check for updates occasionally during summer, more frequently as tax season approaches and every day at the height of tax season.
  - Specified Interval (1 - 45 days) Throughout the Year - Checks will occur at the interval you set here.
  - Manual Checking Only

1042-S Specific Options
To Help Reduce Data Errors, When Possible
Calculate and fill in Federal Withholding in 1042-S Box 7. Available in Corporate Suite only.

Foreign Address Postal Code
Flag missing Postal Code for foreign recipients as an error. Per Pub. 1187, 1042-S forms should NOT have postal codes in the City field.

8.3.3 Custom Tax Form Validation Rules

Custom Tax Form Validation Rules

1099 Pro E/SQL software allows you to create and manage tax form validation rules. These rules are used for detecting errors and/or warnings on tax forms. Items such as invalid TINs, invalid zip codes, and the rules that govern how boxes should be filled out. The software does come with a basic set of rules built-in, but this new feature will allow you to create your own validation rules at any time.

1. To view, change or delete tax for validation rules, click on "File" from the top menu and then select "Security and Administration".
2. At the Global Administrative Options window, click on the "Business Rules" button on the left pane.
3. Now click on the "Tax Form Validation for Import and Entry" button.
4. 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.

5. The "DT.Imp/Web" column determines where the validation rule is applied. "DT" applies the rules to a manual data entry, "Imp" to imports and "Web" refers to users on the web/internet module. There are also three levels of error message severity. "W" is a warning, which is a non fatal problem with your form. "E" is an error which may be a fatal problem with the form and "R" is a reject which will not allow the form to be saved or imported at all. You can also define "OK" which will allow the form to be saved without warning or you can use the "Default" option, which will use the systems default rules to evaluate the form.

6. To deactivate a rule that you may want to reactivate later or customize a rule, see Business Rules/
Validation Changes for instructions.

8.5 Check for Updates

Check for Updates

This option requires a connection to the Internet. If you do not have an active internet connection, please be sure you are online before initiating an update check.

Overview
This option uses the Internet to check the 1099 Pro, Inc. update servers for a newer version of this program. Instead of running the full Web Update procedure from your Windows Start > Programs menu, you can now quickly check for updates from within 1099 Pro, or even have the program automatically check for you. If there is a new version, a message will pop up to display the new version and a one line summary of what is included in the update.

To Check Manually
From the 1099 Pro “Help” menu, select the “Check for updates to 1099 pro” option. Follow the steps below to manually check for an update:

- Close the 1099 Pro software.
- Click on the “Start menu”, highlight “Programs”, then find your 1099 Pro Professional or Enterprise item in the list and highlight it.
- In the menu for 1099 Pro, find the “Check for Updates” item and click on it to begin.
- Follow the prompts by clicking “Next” then select any “Advanced” options if needed, if not then click “next”. If there is a new version, a message will pop up to display the new version and a one line summary of what is included in the update. Download the update and allow the update to install. This process should begin automatically for you.
- After the process is finished, confirm that your version number of the software matches with the version number of the patch download by going to the “Help” menu and selecting “About”.

If you continue to have problems downloading an update to the software it is possible you may have a firewall on your network or local machine preventing you from retrieving this update. Check with your Administrator or disable your firewall. As an alternative you may visit our host site at http://host.1099Pro.com/ and search for the product by “year” and then by “product type” (either Pro or Enterprise), then search for the Web Update folder.

To Automate Checking
Options for automating the update checking process are set via the Program Preferences, which can be found on both the “File” menu and “General Options” tab on the left side of the 1099 Main Menu.

Notes
- If your installation of 1099 Pro has Security turned on, and you do not have Administrator level access, you will not be able to view or change the Update Checking options on the Program Preferences.
- If Security is not turned on and you are on a workstation, you will not be able to view or change the Update Checking options on the Program Preferences. They will need to be set from the Server install.
- Workstations cannot run the actual web update process -- they can only check for new versions.
Once your Server has been updated, each workstation will automatically update itself the next time 1099 Pro is run on that machine.

You should always keep your 1099 Pro up to date to ensure that you have the latest features and fixes for any reported issues.

8.6 Installing

Install Software

To download any 1099 Pro software product please visit: http://host.1099pro.com. All software installations are two-step, requiring both the Full Install and the Update.

See Multi-User/Network Installations

To Install Single-User* or Demo
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 1099 Pro executable.
4. Click "OK" to start the setup program.
5. Follow the instructions provided by the setup program. If 1099 Pro prior year data is detected on your system the Roll Forward Utility activates.

Virus Checkers
Disable virus checkers (e.g., Norton, McAfee, ViruScan, etc.) PRIOR to installation to avoid potential corruption. Random errors in 1099 Pro are typically due to installation of software while running a virus checker. After a successful installation, re-enable the virus checker.

8.7 Logging in as a Different User

Logging in as a Different User

If you are currently logged in with a user account in 1099 Pro, you may log off your existing user and log in as a different user without fully closing the software. Follow the steps below to log in as a different user. IMPORTANT! You must first close all screens in 1099 Pro using the close button at the bottom right. "Logon as Different User" will only appear once you close all top level screens and you can see the following window in your 1099 Pro software.
Steps to change your current logon account.
1. Click on "File" on the toolbar at the top in 1099 Pro.
2. Select "Logon as Different User"
3. When you are prompted with the 1099 Pro logon screen, type in your User ID and then your password.
4. Click "OK".

Finally verify your login has changed by checking the user currently logged in in the bottom right corner of the screen.

8.8 Optional Fields

MISC Optional Field

This feature is available only to Corporate Suite users.

The 1099-MISC optional amount field configuration box allows you to enable an extra field at the bottom of a 1099-MISC form.

- To enable the Optional Field, place a check in the check box labeled "Allow use of 1099-MISC extra amount box".
- Upon placing a check in the "Allow use of 1099-MISC Amount Box", the "Enter a title for the box:" will
become available. Type the title for your optional amount field here.

- When you have finished configuring the optional amount field, click on the "Apply Now" button to save your changes.
- When entering a form, you will now notice that the "Optional Text" box will be available.

### 8.9 Reporting Thresholds

**Reporting Thresholds and Options**
Corporate Suite includes the ability to manage the built-in state reporting limits/thresholds that are applied when generating a State Subset eFile. Thresholds are used to determine which amounts should or should not be reported. Typically these thresholds are set by each individual state and may vary.

- See State Reporting - Manage State CFS Limits and Settings
- See Combined Federal State Filing Program

Configuring Reporting Thresholds
To configure State Reporting Thresholds please use the following steps:

1. From the menu bar select File > Security and Administration.
2. At the Global Administrative Options window click the "Reporting Thresholds" button.
3. From the Reporting Thresholds and Options window, click on the Manage State CFS Limits and Settings button.

4. At the View/Manage CFS Filing Thresholds window a list of all the current state thresholds for all states 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.
   - 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. active, inactive).
   - Rules Type to Display: Select which rules are visible based on the type of rule (i.e. display All rules, Standard rules, etc).
Customizing a Standard Rule
To customize a built-in state threshold rule follow these steps:
1. Select the threshold rule to customize from the View/Manage CFS Filing Thresholds window by highlighting it. Click the "Customize Rule" button.
2. At the Record Will Be Added window options include:
   - **Active**: When this box is checked, the rule is enabled (active), when it is unchecked the rule will be 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) etc.).
   - **State**: The state that the rule is associated with.
   - **State Rule**: This box contains the actual rules used when the thresholds are evaluated.
3. If you are customizing a built-in rule the Form Type, Rule Year, Rule Type and State boxes will be grayed out. You will only be able to Activate or De-activate the rule and/or customize the "State Rule".

Editing the "State Rule" box
There are two ways to edit the contents of the "State Rule" box.
1. Manual Keying in of rules: If you are familiar with the names of the fields and mathematical symbols used to evaluate the rules, you can modify any existing rules or enter new rules at anytime.
2. Right Clicking in the "State Rule" box: If you are new to customizing threshold rules this is the recommended method.

- Upon right-clicking in the "State Rule" box a menu appears with two options:
  o Select Form Fields: Click on this option to choose which amount field(s) to evaluate (e.g., Box Amount 1, Box Amount 2, etc.)
- Select Operator: Click on this option for a list of all available operators that can be used to evaluate your rules.

- Select an operator by highlighting it and clicking the "Select High-Lighted Value" button.

8.10 Un-Installing

Uninstall Routines

The Select Uninstall Method screen offers two options for removing 1099 Pro from your hard drive:
- "Custom" allows the user to select files individually (recommended).
- "Automatic" initiates a default uninstall routine.
To uninstall 1099 Pro (custom)

1. Close all applications including 1099 Pro.
2. On your Windows desktop click the “Start” button.
3. Go to “Settings”, “Control Panel” and select “Add/Remove Programs”.
4. Select “1099 Pro 2016” and click the “Add/Remove” button.
5. At the Select Uninstall Method screen choose “Custom” and then click the “Next” button to start the uninstall program.
6. Files are categorized for deletion. Users may “Select All” (recommended), “Select None” or use their mouse to select specific files. Categories include:
   - System Files
   - Directories
   - INI Files
   - INI Entries
   - Registration Database Keys
7. After selecting appropriate files click “Finish” to complete the uninstall.

To uninstall 1099 Pro (automatic)

1. Close all applications including 1099 Pro.
2. On your Windows desktop click the “Start” button.
3. Go to “Settings”, “Control Panel” and select “Add/Remove Programs”.
4. Select “1099 Pro” and click the “Add/Remove” button.
5. At the Select Uninstall Method screen choose “Automatic” and then click the “Next” button to start the uninstall program.
6. 1099 Pro prompts you through the remainder of the uninstall routine.

Using the “Automatic” uninstall feature does the following: Leaves behind your current data files under the main program directory in the folder named “Data”, preserves the “Uploads” folder containing any uploads generated by the 1099 software for submission to the Service Bureau, and miscellaneous .DLL files are left in the Program root directory used by the software. In addition the .INI file is also preserved in the\Admin or \Windows directory.

NOTE: Users who uninstall 1099 Pro and then reinstall it may get an “Invalid Record Declaration (47) Accessing TAXDATA.TPS [or FILERS.TPS]. Press OK to end this application” warning. This error occurs because some files were not deleted during the automatic uninstall. Users must perform a custom uninstall of 1099 Pro (and select all files for deletion) and then reinstall the software.
9 Audit Trails

Audit Trails Overview

Audit Trails DO NOT track the history of manual and cascading changes to a tax form including old and new values, date changed and the user responsible for changes. NOTE: If Audit Trail Records don't reflect a known change; Audit Trails are (or were) disabled.

Master Audit Trail Browser

The Master Audit Trail Browser is available only to administrators or users with administrative access rights. Use it to view all manual and cascading changes to all tax forms (the Record History screen allows the viewing of individual tax forms only).

See Master Audit Trail Browser.

About Record History

The Record History screen displays audit trail information for the selected tax form and is available to all Access Groups. 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 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 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.

See Purging Audit Trail Logs for more information.

Enabling/Disabling Audit Trails

Disable Audit Trails only if speed/performance is critical to the user. By disabling this feature tax form changes are not tracked AND the Record History screen is automatically disabled.

See Enabling/Disabling Audit Trails.

9.1 Audit Trails Activity Report

Audit Trails Activity Report

This tutorial will guide you through the process of printing a report of all audit trail activity related to one or more areas in your 1099 Pro software.

1. The Audit Trail Activity Report is available by launching the software
2. Click on “File” from the main menu.
3. Click on “Security and Administration”.
4. Click on the “Audit Trails & Logging” button.
5. Click the “View/Print Audit Changes Report” button.
6. Select the options you would like to have included in your Audit Trail Activity Report and then click the “OK” button.
7. You will now be brought to a screen that will ask, “Do you wish to PREVIEW this Report?”
   a. Click the “Yes” button to access the preview options
   b. Click the “No” button to send the Audit Trail Activity Report to the printer to the printer without previewing.
   c. Click the “Cancel” button to continue without generating the Audit Trail Activity Report.

Note: Once the report prints out, use the following legend to determine what changes have been made to the records and filers on the report.

Definitions of the items on the “Audit Trail Activity Report” are as follows:

- **T** = TIN (Tax ID Number)
- **N** = Recipient Name
- **R** = Recipient Name
- **A** = Account (#)

Old values are on the left
New values are on the right

**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.

### 9.2 Deleted Record Detail

**Deleted Record Detail**

From the Master Audit Trail Browser, click the "Deleted Record Details" button to display the contents of a deleted tax record. **NOTE:** The Master Audit Trail Browser will not reflect records that were deleted while Audit Trails were disabled.

See [Master Audit Trail Browser](#)

### 9.3 Master Audit Trail Browser

**Master Audit Trail Browser**

The Master Audit Trail Browser is available only to administrators or users with administrative access rights. Use it to view all manual and [cascading](#) changes to all tax forms (the Record History screen allows viewing of individual tax forms only).

**To view records**
1. On the menu bar click "File" and "Security and Administration".
2. At the Administration screen click "Audit Trails & Logging", "View Audit Trail Records".
3. At the Master Audit Trail Browser screen refer to the Date, Time, User ID, Field Name, Old Value and New Value columns for invaluable information.
9.4 Purge

Purge Audit Trail Log Records

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.

To 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.

9.5 Record History

Record History

The Record History screen displays audit trail information for the selected tax form and is available to all Access Groups. 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. NOTE: If Record History does not reflect a known change to a tax form, Audit Trails are, or were, disabled.

To learn more See Viewing Record History and Enabling & Disabling Audit Trails.

9.6 Turn Audit Trails On/Off

Turn Audit Trails On/Off

Disable Audit Trails only if speed/performance is critical to the user. By disabling this feature tax form changes are not tracked AND the Record History screen is automatically disabled.

To turn audit trails On/Off
1. On the menu bar click “File” and “Security and Administration”.
2. The Administration screen indicates if Audit Trails are on or off.
   - Click "Activate Audit Trails" to turn on functionality.
   - Click "Turn OFF Audit Trails" to turn off functionality.

To view record history
At the "Work with My Tax Forms" screen highlight a record and click "Change".
   - Records with a pending print 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 print status display the Protected Form Update screen. Click the "Field Update History" button.
9.7 Audit Trail Report Filters

Audit Trail Report Filters

1. In this section you may print or view a report showing an audit trail using that are narrowed down by filters.
2. To begin this process click on the “File” button on the menu bar.
3. Then Click on the "Security and Administration" button, this will bring you to the "Global Administrative Options" window.
4. From here, click on the "Audit Trails and Logging" button, here you will be taken to the "Tax Form Audit Trail and Action Logging Options" window.
5. From here click on the “View/Print Audit Changes Report” button, you will be given the "Specify Audit Trail Report Filters” screen. From here you can choose what options to use to filter down what information will go into the Audit Trail report.
   - **Limit Report to changes for one Form Type**
     - **All Forms**: Choosing this option will list all available form types on your report.
     - **One Form Type (select from list)**: This option will let you choose which forms will be used in the report from a list. You will be asked to TAG each form type you would like listed.
   - **Limit Report to changes for one PCode**
     - **All Filers**: Choosing this option will show all available PCodes on the report
     - **One Filer (Select from list)**: Choosing this option will allow you to choose which PCodes will be included on your report.
   - **Limit Report to changes from one User ID**
     - **All Users**: Choosing this option will show all available UserID's on your report.
     - **One User - enter User ID**: Choosing this option will allow you to choose which UserID will be used to filter down your report. (P3)
   - **Limit report to a Date Range**
     - **None - all dates will be shown**
     - **Today**: Choosing this option will show all changes made today.
     - **Last 7 days**: Choosing this option will show all changes made within the last 7 days.
     - **Last 14 days**: Choosing this option will show all changes made within the last 14 days.
     - **Last 30 days**: Choosing this option will show all changes made within the last 30 days.
     - **Specify Other Range**: Choosing this option will allow you to choose the date range that will be used to display your Audit Trail Report. (P4)

(P3)

(P4)
Deleted Record Options
- All activity: choosing this option will show you all deleted options.
- Skip deleted: If you choose this option deleted records will not be displayed on your report.
- Only deleted: Choosing this option will display only deleted records on your report.

6. Once you are done choosing the options you prefer, click on the "OK" button.
7. Now you will be given the option PREVIEW your report before it is printed. Click "Yes" if you would like to view the report before it actually prints out. Click "NO" to have the report begin printing or click "Cancel" to change your options before you begin printing your report.

10 Browse Records

Work With My Tax Forms

To access the Work with My Tax Forms screen go to the Preparing My Forms task panel and select the "Work With My Tax Forms" link. Use the Current Form drop menu to switch form types.

The Work With My Tax Forms screen allows users to view all forms of a particular form type which can be sorted in the order designated. From this screen users can Add, Change, Delete, Print, Total as well as perform Group Actions with their forms.

- Current Sort/View Order - Users may sort forms by Last Name/Company, TIN, Account or by creating a custom view. See Current Sort/View Order for further details. There are two ways to search for a form; one from the keyboard depending on your sort order and one by using your mouse.

- Current Query/Filter - By default all forms for the form type selected are displayed. Users can display a subset of the current form type by clicking on the "Current Query" drop down and use an alternate ready-made query, e.g. "Filed Corrections Only" or create their own custom query, e.g.
"Tax State = CA, Corrected Forms Only", etc. Note that 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 - you could limit the forms displayed by their respective status.

**Add a Record**
1099 Pro allows records to be added (either manually or via import) up to the user's current transaction limit. Transactions can range from 5,000 in a standard purchase up to an unlimited number of transactions.
See [Adding a Record](#) and [Registration & Upgrades](#) for more information.

**Change a Record**
Only records with a pending status are available for modification.
Note: Cascading updates are changes made to a filer and/or recipient's information globally throughout all tax forms.
See [Cascading Changes](#) and [Changing Records](#) for more information.

**Delete a Record**
Only records with a pending status are available for deletion. Delete records individually at this screen or in batch via Group Actions.
See [Deleting Records](#) and [Group Actions](#) for more information.

**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 Reports](#)

**Group Actions Button**
Group Actions allow users to tag (or select) a number of items and then perform a single action on them. In all cases, users are prompted to confirm their 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](#) for more information

**Browse by Form Button**
The new "Browse by Form" button allows users to initiate browsing tax forms using the update form. This allows the user to quickly move from form to form while viewing all of the data for each form. When using Browse by Form, your current view and Query settings remain in effect, just as if you were using the standard browse. For example, if you are 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 you switch to Browse by Form mode.
See [Browsing by Form](#) for further instructions.

**Quick-Print Form Button**
To quickly print any tax form, regardless of print status, highlight the form and click on "Quick-Print Form".
See [Quick-Print](#) for further instructions
Email Tax Form Button
Use to e-mail tax forms to recipients. Requires a default mailing client for your computer. See E-Mail Tax Forms for further instructions

10.1 Browse IRS Instructions

Browse IRS Instructions

The following instructions are available within your local 1042-S Pro installation via the task panel under Help & Extras > IRS Pubs & Links OR may be viewed online (with an active Internet connection) by selecting the appropriate link. Corporate Suite Users: At the menu bar select Forms > IRS/SSA PDF Instructions and Blank Forms.

1042-S Forms & Instructions

Form 1042-S Instructions for Foreign Person's U.S. Source Income Subject to Withholding
And many others

Miscellaneous Instructions*

Publication 3609 - Filing Information Returns Electronically
Form 4419 Application for Filing Information Returns Electronically/Magnetically
Form 8809 Request for Extension of Time to File Information Returns
Form SS-4 Application for Employer Identification Number
Form W-7 Application for IRS Individual Taxpayer Identification Number
Form W-8 Instructions for the Requester of Forms W-8BEN, W-8ECI, W-8EXP & W-8IMY
Form W-9 Request for Taxpayer Identification Number and Certification
Form W-9s Request for Student's or Borrower's Taxpayer Identification No. Certification
Puerto Rico Forms Informative Returns Electronic Filing Instructions (rev. 1/2016)

* Availability of forms and instructions is specific to software version installed.

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. For TTY/TDD equipment, call 304-267-3367 (not toll free).

The hours of operation for the call site are Monday through Friday from 8:30 a.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.

Note: Users with an active internet connection can access many other files directly from the IRS/SSA websites. For details see Print Blank Forms & Instructions.
10.2 Entry Forms

Entry Forms

Entry forms are used to add, edit or view tax form information for a recipient. Recipients or payees are defined as the individual or entity receiving the informational return. All 1099 Pro software products allow up to 5,000 recipient records (or “transactions”) in a standard installation; additional transactions may be purchased.

Browsing & Working with Entry Forms
Navigating / Filling In Forms
About Updates & Corrections
Saving & Canceling Changes
About Protected Forms
View List of Changes to a Form
Group Actions
Using Lookups

Navigating Fields / Filling In Boxes
Use the TAB key to move through fields on the tax form. To move backwards through fields use the SHIFT and TAB keys concurrently. To select/unselect a check box use the space bar and then TAB to the next field.

Updates and Corrections
Make necessary changes, additions or deletions to the form and click the "Save" button to exit and return to the Enter, Update & View screen. Any changed values or amounts turn blue to distinguish between original and corrected information.
- TINs - To change an SSN to an EIN or vice versa delete the entire number and then re-enter with appropriately placed hyphens.

If generating a correction, the IRS stipulates that the account number on the corrected form remain exactly as it was on the original form.

Saving and Canceling
Any changes made to a tax form may be saved immediately by clicking the "Save" button or abandoned via the "Cancel" button.
Changes to a Form
Group Actions
About Protected Forms
Using Lookups
Saving & Canceling

What Is a Protected Form?
A form with any status other than pending is protected or locked to prevent any mismatch of data from the original record that has been mailed to a recipient and/or submitted to the IRS. This includes records with a status of Printed, Filed, SB Print+Mail, SB Filing, Filed 1096, etc. It is also possible that these forms were imported in a status other than pending in which case they would also be considered protected until they are Reset (VOIDED). Forms with a pending status may be changed or deleted.
Use Lookups to Fill In Information

1042-S Pro allows users to select existing recipients from the Recipients Master List to add to or update a form. All recipient records are stored in a master database that is accessible on any tax form. To access this information at any data entry screen place your cursor in the Recipient TIN field and hit the <F2> key or right-click your mouse. The Select a Recipient screen appears with ALL recipients for ALL filers available for selection. Lookups are also available via the <F2> key in the Account Number, State ID Number and various Income Code fields.

Adding a group of forms

Group Actions let you tag/select any number of recipients, and then loop through the list creating new forms for them. The program will automatically fill in the recipient information on each new form, so all you have to do is fill in the specific box information for the form. For additional flexibility, you are also given the option to add the forms in any of four sort orders: by name, by TIN, by State or by ZIP. The Group Actions button can be found on the main Enter, Update & View screen at the bottom of the screen.
1. Click the "Group Actions" button
2. Select the Add tab, then click the "proceed with this action" button.
3. On the next screen, begin by selecting (tagging) all of the recipients you want to add to blank forms.
4. Next Select the "Sort" order in how these form will be placed.
5. Finish by filling out all information for each form and clicking "save".

Viewing the list of prior changes to a form

1099 lets you view a list of prior changes to a form. Records with a pending status display the Changing a Record screen. In the upper right corner of the form is an audit trails button. Click the "audit trails button". This screen tracks all manual changes made directly to a record.

TIN Validation

This feature checks your recipients information against the lists below
(Note: Please note that it is required that you have an account at TINCheck.com prior to using this feature.)
- **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).
- **(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.
- **(SDN/OFAC) Specially Designated Nationals (SDN/PLC) Office of Foreign Assets Control (OFAC)**: 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.

10.3 Browsing by Form

Browsing by Form

All tax form browses now have a new button on them to initiate browsing tax forms using the update form. This lets you move from form to form while viewing all of the data for each form.
To use this feature:
1. Click on 'Forms & Printing' on the navigation bar on the left, then click on 'Enter & Edit Tax Forms'.
   You could also just choose Create, Edit and View from the Forms menu.
2. Select the type of tax form to browse.
3. Select the individual form you want to start browsing at.
4. Click on the 'Browse by Form' button.
5. Use your PageUp and PageDown keys to move forwards and backwards through the list of forms. If a form has been printed or filed you will only be able to view it. If the form has a status of Pending you will be able to update it and save your changes.
6. If you want to keep browsing after making changes to a Pending form, just press PageUp or PageDown to continue. You will be asked if you want to save your changes (answer YES), then your changes will be saved and the next form will be displayed.
7. To stop browsing by form and return to the list, just press Cancel or Save on any form.

NOTE: When you use Browse by Form, your current View and Query settings will still be in effect, just as if you were using the standard browse. For example, if you are 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 you switch to Browse by Form mode.

10.3.1 State Status

State Status Legend

The features contained within this section are available exclusively to users of the Corporate Suite edition of our software.

Note if the state is known then the status below will be preceded by the state abbreviation. For example, CA Orig/Pending

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Orig/Pending</td>
<td>Record is to be filed as State Original</td>
</tr>
<tr>
<td>Orig/Filed</td>
<td>Record was filed with State as Original</td>
</tr>
<tr>
<td>Orig/Filed CFS</td>
<td>Record was filed CFS as Original</td>
</tr>
<tr>
<td>Orig/Filed ST corr/</td>
<td>Record is filed with State as Original and all State Correction(s) that exist for the record filed with the State(s)</td>
</tr>
<tr>
<td>Filed</td>
<td></td>
</tr>
<tr>
<td>Orig/Superceded</td>
<td>Record was IRS filed but not filed with the state. Then a correction was created which will be an Original to the state.</td>
</tr>
<tr>
<td>Orig/Pending but</td>
<td>Record was IRS filed but not filed with the state. Then a correction was filed with the IRS. And then a correction of a correction was created which will be an Original to the state.</td>
</tr>
<tr>
<td>Superceded</td>
<td></td>
</tr>
<tr>
<td>Orig/Filed but</td>
<td>Record was IRS filed but not filed with the state. Then a correction was filed with the IRS &amp; with the state. And then a correction of a correction was created which will be an Correction to the state.</td>
</tr>
<tr>
<td>Superceded</td>
<td></td>
</tr>
<tr>
<td>Orig/n/a</td>
<td>Original State records for one of the non taxing states</td>
</tr>
<tr>
<td>Corr Active</td>
<td>Record was filed with State and at least one state correction for the records is pending</td>
</tr>
<tr>
<td>Corr/Pending</td>
<td>Record is to be filed as State Correction</td>
</tr>
<tr>
<td>Corr/Filed</td>
<td>Record is filed with State as Correction</td>
</tr>
<tr>
<td>Corr/Superceded</td>
<td>Record is created as state Correction but superceded by creating of new correction</td>
</tr>
</tbody>
</table>
Corr/Pending but Superceded | Record was IRS & state filed. Then a correction was filed with the IRS. And then a correction of a correction was created which will be an Correction to the state.
---|---
Corr/Filed but Superceded | Record was IRS & state filed. Then a correction was filed with the IRS and with the state. And then a correction of a correction was created which will be an Correction to the state.
Corr/n/a | Correction State records for one of the non taxing stated
n/a/n/a | No state information on the record

10.4 1042-S

**Browse, Enter & Edit Screen**

The 1042-S Browse, Enter & Edit screen (sometimes referred to as the Work With My Tax Forms screen) provides direct access to recipient forms. At this screen numerous options are available for records as discussed below.

**Access the Browse, Enter & Edit Screen**

1. At the **Forms & Printing** task panel select the Browse, Enter & Edit link.
   - Use the Tax Form drop menu to select the appropriate Tax Year.
   - Use the Current Form drop menu to select the appropriate Tax Form.

**Sort By Options**

**Current View:** Allows users to sort records by TIN, Last Name/Company or Account Number or to define their own Custom View. See [Current View](#) for specifics.

**Current Query / Custom Query:** By default all records for the selected form type are displayed. To display a subset of the current form type use the "Current Query" drop menu and select an alternate predefined query such as "Corrections (Filed)" or "Errors Only".

Savvy users may create custom queries (e.g., **Tax State** = CA, **Date Imported** = X/XX/YYYY, etc.). Furthermore, the **FormStatusCode** (Printed, Pending, or Filed) when used in conjunction with other fields can create powerful queries to limit the records displayed.

**Add a Record**

Manually add records at this screen or use the **Import Wizard** to quickly import records. If preparing more than 250 records of any one type for a filer, you must file those records electronically.

**Change a Record**

Only records with a pending status are available for modification. Users may reset or void a Print Session to pending to revert records to a pending status.

**Delete a Record**

Only records with a pending status may be deleted. To delete all other records users must first reset their print status.

**1042-S 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).
Custom Reports
Users may create and save tax form specific, custom query reports.

Group Actions Button
Group Actions allow the users to tag (or select) a number of items and then perform a single action on them. In all cases, the user is prompted to confirm their choice before the action is taken. For example, deleting a group of pending forms allows for the manual tagging of any number of pending forms for removal. All associated notes for the forms are also deleted. See Group Actions for more information.

Browse by Form Button
All tax form browses now have a new button on them to initiate browsing tax forms using the update form. This lets you move from form to form while viewing all of the data for each form. When you use Browse by Form, your current View and Query settings will still be in effect, just as if you were using the standard browse. For example, if you are 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 you switch to Browse by Form mode. See Browsing by Form for further instructions.

Quick Print Form Button
To quickly print any record from the Browse, Enter & Edit screen, highlight the record and click the "Quick-Print Form" button. See Quick Print for further instructions.

10.5 Add a Record
Add a Record

*Please visit https://www.1099pro.com/videos.asp and select the "How to Add a Form" video for a brief tutorial on the process for adding a form.

1. At the Preparing My Forms task panel click the "Work With My Tax Forms" link. Use the Current Form drop menu to select the form type to process.
   - Corporate Suite Users: At the Forms & Printing task panel click the "Browse, Enter & Edit" link. Use the Current Form drop menu to select the form type to process and Tax Year drop menu to select the year.
2. At the Work with My Tax Forms screen click "Add" to access the Adding a Form Record screen.
3. After completing all fields 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.

10.6 Void Records
Void Records

Records are voided, instead of deleted, to retain data for possible future reference. Only records with a printed status can be voided.

To void a record
1. At the "Work with My Tax Forms" screen highlight a record and click "Change" to access the Protected Form Update Options screen.
2. Click the "Void the Form" button.
3. 1099 Pro prompts, "Are you sure you want to do this?" Click "Yes" to void the record.

Un-Void a Record
A voided record may be un-voided (or reset) to a pending status.

To un-void a record
1. At the "Work with My Tax Forms" screen highlight a record and click "Change" to access the Protected Form Update Options screen.
2. Click the "Un-Void the Form" button.
3. 1099 Pro prompts, "Are you sure you want to do this?" Click "Yes" to un-void the record. The record automatically reverts to pending status.

10.7 Browse Notes/Attachments

Browse Notes

All tax forms, recipient forms and filer forms now have an icon/button to the left of the SAVE button that lets you create and update notes for that item.

When you are on a data entry form, the Notes button will change colors to help you know if there are existing notes or not.
• If the button background is BLUE, no notes have been entered for the item yet, or any existing notes have been deleted.
• If the button background is RED, there are currently notes for the item.

Each note can contain up to 512 characters, and you can have as many notes as you want for each item. Every time a note is created or updated, the note will show the date and time of the action and either the User ID of the person who made the change (if you have Security turned on) or the network name/ID of the machine where the change was made.

Depending on the type of note, you may be able to view and update them from multiple places within the program.

Global Notes
These are visible everywhere within the program, and can be viewed and updated from every Notes browse. You can also enter Global Notes directly from the main File menu, using 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 Recipient, 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 of the form, as well as view/update all Global notes.

**Attachments**
*(Corporate Suite/ASP Version Only)*
You may attach documents to Filer/Form/Recipient Notes. You will be able to View/Download these documents from the program.

10.7.1 **Update Notes**

**Update Notes**

This screen will allow you to add or modify note. Please see Browse Notes/Attachments for all available note types.

10.8 **GIIN Validation**

**GIIN Validation**

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.

The Internal Revenue Service (IRS) Automatically validates a Global Intermediary Identification Number (GIIN) against the most up to date IRS information. A GIIN is a 19 digit identification number that is instrumental in the United States' new FATCA legislation. Any Foreign Financial Institution (FFI) will undoubtedly need to validate all GIIN information before reporting the upcoming FATCA Form 8966.

Below is some information on GIIN formatting.

Format: XXXXXXX.XXXXX.XX.XXX

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.

10.9 GIIN Composition

GIIN Composition

☐ Enter a filer's GIIN at the Add a Filer screen.

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.

Format: XXXXXX.XXXXX.XX.XXX

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:**

```
 XXXXX.XXXXX.XX.XXX
```

<table>
<thead>
<tr>
<th>Character Representation</th>
<th>No. of char</th>
<th>Position</th>
<th>Description / Rules</th>
</tr>
</thead>
<tbody>
<tr>
<td>YYYYYYYY</td>
<td>6</td>
<td>1-6</td>
<td>FATCA ID (first six characters)</td>
</tr>
<tr>
<td>Separator 1</td>
<td>1</td>
<td>7</td>
<td>Period = .</td>
</tr>
<tr>
<td>XXXXXXX</td>
<td>5</td>
<td>8-12</td>
<td>Financial Institution Type</td>
</tr>
<tr>
<td>Separator 2</td>
<td>1</td>
<td>13</td>
<td>Period = .</td>
</tr>
<tr>
<td>XX</td>
<td>2</td>
<td>14-15</td>
<td>Category Code</td>
</tr>
</tbody>
</table>

- **FATCA ID (first six characters):**
  - 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.
  - (First 6 characters of any Financial Institution’s FATCA ID are randomly generated and will never use the letter “O”)

- **Separator 1:**
  - Period = .

- **Financial Institution Type:**
  - Lead = 00000
  - Sponsoring Entity = 00000
  - Single = 99999
  - 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:**
  - Period = .

- **Category Code:**
  - 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
10.10 Capitalization

Capitalization

1099 Pro capitalizes the first letter of names, addresses and non-ID boxes (Form W-2G only) during manual data entry. This is a default preference setting that may be modified.

Please note:
- Account number and free form text fields have no special formatting.
- State abbreviations are forced uppercase.

10.11 Cascading Changes

Cascading Changes

What are Cascading changes?
When you make manual changes to the filers & recipient master list in 1099 Pro, those changes are then cascaded or (updated) throughout all tax forms with a status of Pending. Cascading updates help ensure that the entire filer and recipient information, regardless of the tax form, synchronizes quickly and uniformly.

When does the cascading of those changes take place?
As you make changes to a filer or recipient, click "Save" to save your changes. You are then prompted with the option to "Update all Pending forms with these changes as well?" Place a check mark in the box if you want all changes to then synchronize throughout all pending tax forms. To make changes on the current tax form only, remove the check mark and proceed to save your changes. If existing tax forms contain information that need updating and have statuses other than Pending, (i.e., Printed, Filed, Uploaded,...etc.) You must manually reset that form's status back to Pending and then go back and allow the software to include those tax forms in the cascading process.

I made changes earlier to a tax form and now I am being prompted with a window "Recipient Record may need updating" or "Possible Recipient Information Mis-Match." What do I do now?
1099 Pro will prompt you to update or synchronize changes if it sees that the existing information doesn't match with what is in the master recipient database. It will continue to do this for all consecutive tax forms that require updating. Click "Yes" to apply the changes or "No" Do not make any changes. The same applies to changes made to filer and contact information, as well as manual changes made to the
Recipient Master list directly.

10.12 Change a Record

Change a Record

Only records with a pending status are available for modification.

To Change a Record
1. At the Preparing My Tax Forms task panel click the "Work With My Tax Forms" link.
   - Corporate Suite Users: At the Forms & Printing task panel click the Browse, Enter & Update link.
2. At the Enter, Update and View 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".

10.13 Delete a Record

Delete a Record

1. At the "Work with My Tax Forms" screen highlight the record and click "Delete".
2. 1099 Pro prompts to confirm the deletion. Click "Yes" to delete the record or "No" to cancel.

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).

10.14 Department

Department

The "Select Department" feature allows users to quickly change the department phone number associated with the current filer contact. Click on the down arrow in the tax form to display the list of contacts. Choose the contact by highlighting it and then click on "Select". Return to the tax form and the current contact phone number and department ID are listed. The name of the department does not print out.

Contacts can be added by clicking on "File" from the main menu and then selecting Filers list, Change Filer, Add as described in Filer Record Details.

10.15 Options for Tax Form Data Entry

Options for Tax Form Data Entry

1099 Pro contains a list of data entry options which can now be accessed in the Tax Form screen. Inactive buttons in this list indicate the tax form is non-edit able and therefore not available for use. The image below displays how the button title changes after information has been entered.
Audit Trails - This screen displays record history information for the selected tax form.

Notes - Allows you to View, Add, Update and Delete Notes for this tax form. After entering in Notes the button changes to “Has Notes” with BOLD text to indicate that notes now exist for this form. For more help on Notes, See Browse Notes.

Preferences - Takes you to the "Data Entry Preferences for Form" screen where you can change the position of the First Name and Last Name/Company orientation in how it is displayed on the tax form.

Tax State - Tax State is used for State filing only. It is normally the same as the state withholding (if any) or address state unless there is an explicit need to override it.

Withholding State: When a tax form or electronic file is generated from our software the “Withholding State” is determined to be the state with dollar amounts withheld (For Example: 1099-R Box 10 "State Tax Withheld").

Tax State with no amounts withheld: If there is no amounts withheld and you still want to designate a “Tax State” since the work or event took place in a specific state, then use the Tax State override button to do this. Click the “State” button to set a "Tax State".

Residence State: If there is no "Tax State" then the state is the “State of Residence”

IRS Instructions - You can open the 2016 General Instructions and more specifically the “Current Tax Form” instructions.

Form Help - Provides help for the current tax form.

10.16 Print/View Reports

Print/View Reports
How to Print/View Reports
1. At the "Work with My Tax Forms" screen click the "Print/View Report" button.

2. 1099 Pro prompts to use the current query. The current query is displayed in the upper right of the "Work with My Tax Forms" screen. Click "Yes" to use the current query, "No" for query options or "Cancel" to exit. Query Options include:
   - Select a previously saved query
   - Create a New Query
   - Do Not Apply a Query (generates standard Control Totals report)
   - Cancel Without Continuing

10.17 Search

Search

Use the Search field to quickly locate a recipient or filer.

To search (AKA incremental index)
1. Set the Current View to the correct sort order criteria (i.e. By TIN)

2. At the Browse the Recipients, Browse the Filers or Browse Forms screen of the software, place your cursor in the Search field.

3. Enter the first few characters of your search criteria and hit the TAB key.
   - The browse screen highlights the record matching your entry. If multiple records match your entry the screen highlights the first match. Use the ARROW keys to scroll through the matches.
   - The Search results are governed according to the column sort order. (i.e. If searching by Last Name/Company, and you search the last name of Charlie Tuna in ascending order by typing in the letters "T" then "U"... in the search field then hit the TAB key, the search results listed are displayed with Charlie Tuna's last name.) If searching by Recipient TIN and you’re sort order is set in ascending order then your search results are going to be listed in numeric order from beginning to end for this column only. This same method and result applies to all respective columns.

Note: For a quick form lookup without using you mouse, type the 1st numbers of the TIN (when your sort order is by TIN) and you will drop down to that particular record, if your sort order is by another field (Last Name or Account …) then type the first few characters you of the field to drop down to that record. To use the "Search …" box you must click in the box, type your characters and hit the Tab key.

10.18 Select a Form

Select a Form

Use the Select a Form Type screen to select the form type you want to process.

To search for forms
1. Place your cursor in the search field.
2. Enter the first few letters of the form type, for example "1099-M", and click TAB. The first record matching your entry is highlighted.
10.19 Select Form Type

Select Form Type

If a record was originally issued on an incorrect form type, select the correct form type. The user is presented with a new form that displays the original recipient TIN and address but no individual box amounts or values.

10.20 Tagging Records

Tagging Records

1099 Pro allows users to manually tag (or select) records for inclusion in a print session.

To tag records
1. On the Forms & Printing task panel select the "Print Tax Forms" link. Use the Selected Form drop menu to select the form type to process.
2. At the Printing Tax Forms screen choose the "Manually select forms..." option.
3. Click the "Begin Print Process" button.
4. At the Selecting Form Records screen click the "Tag" button to select records. A red check mark appears beside each tagged record. (See Tag Key Shortcuts below.)
   - To sort records prior to tagging, use the View or Query drop menus.
5. After tagging all records, click "Proceed to Next Step" to initiate the Print Wizard.

Tag Key Shortcuts

- **Tag**: Use this button (or ALT + T) to tag individual records.
- **Tag All**: Use this button (or ALT + A) to tag all records.
- **Untag**: Use this button (or ALT + U) to untag an individual record.
- **Untag All**: Use this button to untag all records.
- **Flip**: Use this button (or ALT + F) to reverse the tag status of an individual record.
- **Flip All**: Use this button (or ALT + L) to reverse the tag status of all records. For example, if there are three records and only one record is tagged, the Flip All button will tag the two previously untagged records and untag the original record.
- **Prev Tag**: Use this button (or ALT + P) to scroll backwards through tagged records.
- **Next Tag**: Use this button (or ALT + N) to scroll forwards through tagged records.

10.21 Zip Code Lookup

Zip Code Lookup

1099 Pro allows you to quickly find or verify zip codes, cities, and states within the USA.

The Zip Code Lookup feature:
- Includes every 5 digit ZIP code in the USA.
- Includes FPO (Fleet Post Office) and APO (Army Post Office) ZIP codes.
• Allows you to search by city, state, or ZIP code.
• Contains current ZIP code data.

Zip Codes can be looked up from either the City field (shows all matching cities) or the ZIP field (more precise, shows matching zips.) If you type a partial city or ZIP and then invoke the pop up, the list will start at the closest approximation. This database includes all zip codes and cities accepted by the United States Postal Service. The USPS currently recognizes all United States ZIP codes by either their preferred or alternate city names.

**USPS Codes:**
P = Preferred City Name (Example: Philadelphia, 19101)
A = Alternate (Example: Phila, 19101)

**Tip**
You can right click on the City or Zip Code fields to pull up the list of cities in the U.S. You may also type in the name of the City or ZIP code in the search field. As you type, the software will narrow down the closest match based on your entry. A third tab, By State, allows you to type in the abbreviation of the state to match the ZIP code you are searching for.

10.22 IRS Codes

**IRS Codes**

Please review the IRS Instructions for the form to find a current listing of codes.

These instructions are available via the menu bar and selecting "Forms" and "IRS/SSA Instructions &
11 Current Sort/View

Current Sort/View

Record Sorting:
1099 Pro offers 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 will result in a failed search attempt.

Views are available at select browse screens.

11.1 Custom Sort Order

Custom Sort Order

To define a custom sort order
- In the Enter, Update & View screen, click the “Current Sort/View” drop menu, then click “Custom View”. (The software displays the “Define View Format”)
- Click the view field under the entitled "sort view by" category.
- Make your selection to arrange the fields in ascending or descending order
- To ignore the distinction between Upper case and lower case characters put a check in the box below.
- After Defining your Sort Order, click “OK” to save your entries for the currently defined view.
- To cancel Defining a Custom View, click “Cancel.”
- To clear all fields and reset them back to none, click “Clear All”.

11.2 Current Sort/View

Custom View

Custom sorting of records & custom column display
Sophisticated users can select Custom View from the Current View drop menu and design their own views.

To define a custom view
1. At the "Enter, Update and View" Screen", where you can browse your form, click the drop down arrow in the field located in the upper right labeled "Current Sort/View."
2. Select Custom View from the list. (The software displays the Define View Format Layout Screen.)
3. This screen allows you to select the available fields from the left column and organize them in the "show these fields in this order" column on the right.
4. You may move the position of these items in the order in which they will appear by highlighting them on by one and clicking the up or down arrow to adjust it's position accordingly.
5. To save these changes click, "Apply" or Click "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 you may:
Current Sort/View

- Use the default sort order (Which tells 1099 Pro to accept the current sort order)
- Select a predefined sort order (fastest) which tells the software to use the built in predefined list (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) Allows you to indicate what custom sort order the software should follow based on your custom field selections.

12 Error & Validation Checking

Error & Validation Checking

1099 Pro performs various validation checks on your data. This helps users find and fix potential tax form errors (see Disclaimer) prior to submission to recipients or the IRS. Users can print out forms with errors & warnings only by running an extended report as described below. Error and validation checks occur when data is manually entered or imported. It also occurs when printing a form or when generating a 1096 transmittal, electronically file or service bureau file. If a problem is found, 1099 Pro flags the record with a warnings, error or reject error. Users are encouraged, but not required, to fix warnings and errors prior to submitting their records to recipients or the IRS. An option to manually check for errors and warning is available under the Utilities menu titled "Check Update Error Status for all forms" which you can invoke at any time. See Filing Problems

Warnings & Errors Defined

"Warnings" are intended to flag a possible inconsistency or omission in the data that may result in the record being rejected by the IRS/SSA.

"Errors" are serious flaws in the data that would most likely result in the record being rejected by the IRS/SSA.

"Reject Errors" occur when the user has not entered correct data, resulting in an automatic rejection.

Note: Whether entering records manually or importing them 1099 Pro software will inform you if your records have any errors or warnings associated with them, or if they were rejected.

Finding Problem Records

1099 Pro makes it easy to find problem forms. Users may run a Form Counts Report to quickly determine which filer and form types have errors or warnings. To view all errors and warnings in detail, run a Control Totals Report (Extended Version). Users may also generate an error query at the "Work with My Tax Forms" screen.

Error Queries

To create a query that limits the "Work with My Tax Forms" screen to just forms with errors and/or warnings, do the following:

1. At the "Work with My Tax Forms" screen, drop down the 'Current Query' list and select 'Custom Query...'
2. Select 'Error Status' on the list of fields to evaluate (press 'E' to go right to it).
3. Click on "NEXT", then select 'Is Greater Than' as the operation.
4. Click on "NEXT". A zero is already entered as the value entry, which is correct
5. Click on "NEXT", then "FINISH". Answer YES to the save query question, and enter a custom name.

When you return to the "Browse Forms Records" screen, only forms with errors and warnings will be displayed. If you update a problem form and fix it, it will disappear from this list. Continue until all forms are fixed, then choose 'All Records' as the current query to view all of your records again.

For reports, there are already the built-in options for displaying errors and warning messages and/or filtering the report to only list forms with problems.

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
If you come across a situation that you feel should generate an Error or Warning in the software please feel free to discuss the situation including the form type, data set and IRS regulations by E-Mailing Compliance at compliance@1099 Pro.com.

12.1 Warnings and Errors Scan Screen

Warnings & Errors Scan

Users may scan their records for errors and warnings prior to generating a electronic file or Service Bureau upload file. If errors or warnings are found in electronic files, users may choose whether or not to process those records. For uploads, all records are processed regardless of any errors or warnings; the scan is simply a final informational check.

Processing Records with Errors/Warnings
Errors and Warnings typically indicate missing or incorrect information. Missing SSNs, TINs, EINs, and State Fields are typical warnings. An incorrect Zip Code, for example, would generate an error. Typically the IRS will accept uploads with errors and warnings but a high percentage of missing TIN's or other errors or warnings may cause the IRS to reject your file and/or result in penalties.

Users are encouraged to make every effort to fix missing or invalid data but if unable to do so; file the records anyway. A good way to identify errors and warnings is to run a Control Totals Report, Extended Version. See Finding & Fixing Records with Problems.

☐ Try to fix Errors and Warnings before filing with the IRS. Consider filing Form 8809 for a 30-day filing extension in order to submit more accurate data.

12.2 Filing Problems

Filing Problems

Users may scan their records for errors and warnings prior to generating a electronic file or Service
Bureau upload file. If errors or warnings are found in electronic files, users may choose whether or not to process those records. For uploads, all records are processed no matter what; the scan is just a last chance informational check.

**Processing Records with Errors/Warnings**

Errors and Warnings typically indicate missing or incorrect information. Missing SSN's, TIN's, EIN's, and State Fields will typically be a warning. An incorrect Zip Code for example would generate an error. Typically the IRS will accept uploads with errors and warnings but a high percentage of missing TIN's or other errors or warnings can cause the IRS to reject your file and/or result in penalties.

Users are encouraged to make every effort to fix missing or invalid data but if they are unable to do so, file the records anyway. A good way to identify errors and warnings is to click on "Reports" from the main menu, select Extended Reports and then limit the report to printing out only Errors & Warnings. Try to fix Errors & Warnings before filing with the IRS. Consider filing Form 8809 for a 30 day filing extension in order to submit more accurate data.

See [Finding & Fixing Records with Problems](#).

**12.3 Penalties**

**Penalties**

The following penalties generally apply to the person or entity required to file information returns. The penalties apply to both paper and electronic filers.

**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. Please see the IRS Help for Taxpayers site for information and advice on late filings and penalties.

**13 Exports**

**Export Overview**

1099 Pro features powerful yet intuitive Export Wizards to allow exporting of tax form data in a Mapped ASCII (Fixed/Delimited/Excel) format, IRS (Pub 1220 Format) (Note: 1099 Pro Enterprise/Corporate Suite only), and Moore 1099 Print Export.

**13.1 Export Maps**

**Export Maps**

The 1099 Pro Export Wizard simplifies the process of creating Export Maps. The first step in creating an
Export Map is to specify how the records to export will be selected and where the files should be placed. Export files can be created in a variety of formats, including delimited and fixed length. All formats are created as standard ASCII files.

Follow the steps below to create and/or define an export map.
1. From the main screen in 1099 Pro you can click on the "Export Forms for Print/Mail" link in the navigation bar to the left, or as an alternative, click on "Utilities" tab on the main menu, then click "Export Tax Forms to ASCII file(s)".

2. Read the introductory information and then click the "Next" button to continue.

3. Click on the "Add or Update Export Maps".

4. Next, Click Add to add a new export map to the list or highlight an existing entry in the "Export Map List" then click "Change". To delete and export map, highlight it and then click the "Delete" button. There are three columns which define an export map: Map Type, File Format and Details. The description column gives details about the currently selected export map and the Notes windows to the right give additional details.

5. When clicking Add or Change you are prompted to go through the wizard for creating and/or modifying export maps, click "Next".

6. Select your Export Data Type either a Tax Form, Recipients or Filers. Next select a File Format, either Delimited, Fixed or XML. Next set your Field Delimiter and End of Record Options. When finished, Click "Next".

7. The following options are available for you to set: When complete, click "Next". Click on a checkbox or "radio button" to turn the option on or off.

<table>
<thead>
<tr>
<th>Category</th>
<th>Options Available</th>
<th>Additional Information and Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Characters</td>
<td>1. Convert to all UPPER case</td>
<td>Character values include Names, Address Fields, Descriptions...etc</td>
</tr>
<tr>
<td>Amounts</td>
<td>1. Include Commas</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>2. Include Dollar Signs</td>
<td></td>
</tr>
<tr>
<td>Check Boxes</td>
<td>1. Blank for unchecked - &quot;X&quot; for checked</td>
<td>Check boxes are logical values. (Yes/No, True/False, On/Off)</td>
</tr>
<tr>
<td></td>
<td>2. Use Y/N</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Use T/F</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. Use 0/1</td>
<td></td>
</tr>
<tr>
<td>Dates</td>
<td>1. mm/dd/yy</td>
<td>Dates can be from a tax form box or for example when a form was created.</td>
</tr>
<tr>
<td></td>
<td>2. mm/dd/yyyy</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. yymmdd</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4. yyyyymmd</td>
<td></td>
</tr>
<tr>
<td>Numeric</td>
<td>1. Round to the nearest whole number</td>
<td>Numeric values are numbers that are NOT dollar amounts like percentages or total shares</td>
</tr>
<tr>
<td>EIN/SSN</td>
<td>1. Formatted (TIN type not required)</td>
<td>EIN/SSN values are Tax ID numbers</td>
</tr>
<tr>
<td></td>
<td>2. Unformatted (Must include the TIN type)</td>
<td></td>
</tr>
<tr>
<td>Text (Multiline)</td>
<td>Convert to all UPPER case</td>
<td>Text values are multiline box values</td>
</tr>
</tbody>
</table>

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7. Select specific fields to include in the export process. Click on a field from the available fields on the left and drag it across to the field/header screen on the right. Alternatively you can click on the "Add Field button" to add a field to the field/header screen on the right.

8. Repeat this procedure until all of the necessary fields have been added to your layout. If the wrong field is accidentally assigned, click and highlight the incorrect field and then click the "Remove" button. Begin again by dragging the correct field from left to right until you are finished. You may also click the up and down arrows to change the order of a specific field up or down in the list. You also have the ability to customize the parameters of a mapped field. In the Field/Header list to the right, double click on the field name until you see the "Customize a mapped field" screen pop up.

9. Next, specify the name of the map description or title and the map usage notes. Click "Next" when finished.

10. Next, Select the destination folder. Default location is <%DEFAULTPATH%>\Exports. It is preferable to create your file on a hard drive rather than floppy diskettes to avoid the possibility of disk error. It is also faster.

11. Confirm the settings on the summary screen and click "finished" then close the Browse the Export Map List Screen. You will then be taken back to the 1099 Pro Export Wizard.

12. If you created a new Custom Map Field, you can now select it from the list and proceed to create your Export file with these new settings.

13.2 Export Wizard

Export Wizard

The 1099 Pro Export Wizard simplifies the process of creating export files. Users may select the forms and filers to export. To view the export files use Excel or Access. If using Notepad to view files, they will appear out of alignment as the export files are Tab delimited. **NOTE: All export files are "Map by Name" compatible and may be directly imported into another Filer.**

- See Import Wizard
- See IRS Bulk TIN Export Wizard

To export data:
1. At the **menu bar** select Utilities > Export Tax Forms to ASCII File(s).

2. At the 1099 Pro Export Wizard click "Next" to proceed. Use the "Back" button at any time to go back a step.
3. At the "Select the type of data and format to use" screen use the drop menu to select the appropriate form type. Highlight the file format to export.
   o To add or update export maps click the "Add or Update Export Map" button. See Export Maps for more information.

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.
   - Indicate whether or not to split filers and form types into separate export files. Mark the check box to export each filer and form type as a separate export file. Leave the check box unmarked for a single, larger file containing all filers and form types.

5. Select the destination folder. Default location is <%DEFAULTPATH%>\Exports and click "Next" to continue.

6. Review settings and click "Finish" to create your export file.

13.3 Bulk TIN Matching

IRS Bulk TIN Matching Overview

The features contained within this section are available exclusively to users of the Enterprise and Corporate Suite editions of our software.

Name / TIN mismatches on 1099 Informational Returns can generate penalties of $100/record, up to a maximum of $250,000 per company! Fortunately, the IRS offers an interactive TIN Matching and Bulk TIN Matching Program for Forms* 1099-B, DIV, INT, K, MISC, OID and PATR.

Consider using the Service Bureau's Bulk TIN Matching. No registration is required and results are available within one business day.

There Are Two Steps To Participate:
   - Register for the IRS TIN Matching System; allow at least 4-6 weeks.
   - Perform a 1099 Pro Web Update to acquire the latest updates for your 2016 software.

Register For the IRS TIN Matching Program:
   - 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.
   - 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.
After receiving the confirmation code, return to the Registration Services page and select the "Confirm Registration" link.

Once your registration is officially confirmed, complete the application for the TIN Matching Programs.

Notes On System Use:
- Registered users may verify Names and TINs interactively. Manually enter up to 25 Name and TINs at one time. Registered users may also submit a .TXT file as generated by the IRS Bulk TIN Export Wizard.
- BE SURE NOT TO SUBMIT THE SAME DATA WITHIN A 24 HOUR PERIOD OR THE SYSTEM WILL SUSPEND YOUR ACCOUNT FOR 96 HOURS!
- 1099 Pro suggests verifying Name/TIN combinations in January 2016.

How To Respond To System Results:
- Review your IRS Bulk TIN Results.
- Verify your data against the original W-9 form on file for the Recipient.
- Use the 1099 Pro software to issue and track additional W-9s, 1st B Notices or 2nd B Notices as applicable.
- Lastly, mail corrected returns to recipients and file IRS corrections as necessary.

Protection From IRS Penalties:
- Due Diligence: Using the TIN Matching System allows you 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.

For More Information:
Direct questions regarding specific tax regulations or regulatory services to IRSCompliance.org at:
Phone: 877 TAX-REGS (877) 829-7342
Email: compliance@IRSCompliance.org

*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!

Within 24 hours, the response will be sent to a "secure object repository" and an E-Mail notification will be sent to you indicating a response is waiting. You will 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 you sent in the .txt file will be returned with one additional field containing the results indicator.
13.3.1 IRS Incorrect TIN Flowchart

IRS Incorrect TIN Flowchart
13.3.2 IRS Missing TIN Flowchart

The features contained within this section are available exclusively to users of the Enterprise and Corporate Suite editions of our software.

Registered users of the IRS TIN Matching System can quickly generate .TXT files suitable for submission to their program.

13.3.3 IRS Bulk TIN Export Wizard

The features contained within this section are available exclusively to users of the Enterprise and Corporate Suite editions of our software.
13.3.4 Bulk TIN Results

Bulk TIN Results

Users who receive Bulk TIN results (after submitting a Service Bureau Bulk TIN Upload or via the IRS Bulk TIN Matching Program) are provided coded responses for all invalid Name/TIN combinations.

Bulk TIN Results

Bulk TIN results contain the following coded information from the IRS:
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;183421111;Matthew Mulberry;89765;2
2;562611111;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;562611111;;8976

The above line would generate a "4" in the results data file, indicating an Invalid Request, as follows:

2;562611111;;89765;4

*Any record submitted without the required fields (TIN Type, TIN, Name) automatically receives Indicator 4 - Invalid Request. If TIN Type is unknown, you may 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, you will be unable to 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 at:
Phone: 877 TAX-REGS (877) 829-7342
Email: compliance@IRSCompliance.org

14 Filing via eFile

Filing via eFile

FIRE System
Use the Filing Information Returns Electronically (FIRE) System to electronically upload informational
returns to the IRS. Electronic files created via the 1099 Pro Electronic File Wizard fully comply with required IRS record formats per Pub. 1220 including the Combined Federal State Filing Program format. If you have 250 or more records to file you must file electronically or you may be subject to IRS Penalties of $50 per record.
See IRS FIRE System for more information.

AIR System (Corporate Suite only)
Use the Affordable Care Act Informational Return (AIR) System to electronically file Forms 1095-B and 1095-C and their associated 1094 transmittals. The AIR system has different requirements than FIRE. If you have 250 or more records to file you must file electronically or you may be subject to IRS Penalties.
See ACA Filing - Mag Media for more information.

Service Bureau Upload Wizard
The Service Bureau is proud to offer a wide variety of services to registered users of 1099 Pro. Customers are encouraged to schedule their print/mail and electronic uploads appointments now! Rates and availability are not guaranteed until your appointment is booked.
See Service Bureau Upload Process to begin.

eFile Wizard
The 1099 Pro eFile Wizard simplifies the process of generating Electronic files. The Electronic File Wizard is available to purchasers of the 1099 Pro Enterprise Edition only. We recommend waiting to generate your electronic files until the end of the filing period. This allows you the maximum amount of time to correct any errors before filing with the IRS.
See eFile Wizard to learn how.

Account Number Generation
Why would I need to generate Account Numbers?
1099 Pro offers a feature that will generate account numbers for each form that does not have an account number. IRS Publication 1220, states on page 77 that the IRS requires account numbers. "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 ..."
See How to Generate Account Numbers for more information.

Generate State Subset
The "Create State Subset Files" wizard will walk you through the file generation process. As usual you can select all filers or selected filers, all form types or selected form types and all states or selected states. All files are generated in the IRS format detailed in Publication 1220 with record types T, A, B, C, K & F.
See How to Generate State Subset Files for more information.

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 your company’s state ID number. Many companies do NOT have one.
See State ID Number for more information
The Main Screen of the Electronic File Viewer (with file open)

After you open the Electronic File you will see the contents of the file. The left side of the window contains a listed hierarchy of "T", "A", "B", "C", "K", and "F" records. As you highlight each field, (i.e. The "T" record field for a Transmitter, the right side of the window displays data in relation to the current field selected on the left. While navigating up and down in a vertically with the cursor keys on the keyboard, you will notice that you must click with your mouse in order to have the right pane to display the data. The top of the screen contains an overall summary of the Transmitter Detail. There are also two different viewing options. View as Field List and View as Text.

See Electronic File Viewer for more information

File Format Illustration

The 750 Byte file structure may be either sequential or random. If a sequential file is created, the record delimiter - the combination of a CARRIAGE RETURN (CR) character and a LINE FEED (LF) character- must occur in that sequence (CR/LF) and only once following the end of each record. There must be no delimiter before the first record. Random files must have a record length of exactly 750 bytes. The CARRIAGE RETURN and LINE FEED should follow the record after position 750 in what would be positions 751 & 752. All data records must be a fixed length of 750 bytes.

See File Format Illustration

Viewing Options

Your options for viewing data in a 750 byte record length file are viewing the data in a field by field format or to view it specifically as text.

See Viewing Options for more information

14.1 eFile Wizard

eFile Wizard

The Electronic Filing Wizard simplifies the process of creating an electronic file per IRS Pub. 1220. This Wizard allows users to create Original, Corrections, Test and Replacement files. To create an electronic file users must have a Transmitter Control Code (TCC) assigned by the IRS and be registered with the IRS FIRE Site. Users without a TCC must apply for one no later than 30-days prior to the filing deadline or alternatively, consider using the 1099 Pro Service Bureau for their filing needs.

See State Subset Wizard

Sort By TIN Formatting

If you require your electronic file records to be sorted by TIN, you must manually add the following line in the [System] portion of your .INI file found in the Admin folder. (Default location is C:\1099 Pro\Pr42ST16\Admin\Pr42ST16.INI.) Altering settings in this location could potentially damage the software, please
contact Technical Support if you need assistance with this process.

When completed, your new entry should look like this:

[System]
EnableMagTinSort=1

A value of 1 will sort by FilerID, RCPTin which will increase processing time. A value of 0 (default) will sort by FilerID.

**Generate Electronic Files**
Prior to running the eFile Wizard users must enter their TCC information at the menu bar > File > Transmitter Information.

1. Go to the **Filing My Forms** task panel and click the "Electronic Filing" link.

2. At the Begin New 1220 Generation Session screen click the "Create a new 1220 format file for eFile" button.

3. At the eFile Wizard screen click "Next" to continue. Click "Back" at any time to go back a step.

4. Check for software updates and click "Next" to proceed. Although not required to continue with this process, it is always smart to update to the most recent version of the software.

5. If your records do not have account numbers associated with them, run the **Generate Account Numbers Wizard** and then click "Next" to proceed.
   - Per IRS Pub. 1220, account numbers are required if submitting more than one information return of the same type for the same payee.
   - The Generate Account Numbers Wizard will NOT overwrite any existing account numbers.

6. Choose a method for selecting eligible records. Eligible records include those that have NOT been voided or previously filed.
   - **ALL Forms for ALL Filers**: This default option automatically selects every eligible form for all filers.
   - **Selected Form Types for ALL Filers**: This option prompts you to manually select (tag) the form types to include in the electronic file. All filers are processed.
   - **Selected Form Types for Selected Filers**: This option prompts you to manually select (tag) both the filers and form types to include in the electronic file.

7. Select the type of file to generate:
   - **Original**: Select if submitting file for the first time to the IRS.
   - **Corrections**: Select if, after submitting file to the IRS, you need to correct data. For example; a TIN, Amount, Name or form type were incorrect.
   - **Test**: Select if creating a test file for submission to the Combined Federal/State Filing Program.
   - **Replacement of Original File**: Select if the IRS requests a replacement because the original file was damaged.
   - **Replacement of Corrections File**: Select if the IRS requests a replacement because the corrected file was damaged.
     - Replacement Files **require a FIRE replacement file name or alpha character from a 9267 Tracking Slip**.
8. Select how you will submit the file to the IRS/MCC. Form 4804 is no longer required for electronic filing.
   - **Electronic Filing**

9. Check for possible Electronic File data problems. Users may opt to scan their files for any errors or warning that might cause their file to be rejected by the IRS. Should errors or warnings be determined, users may choose whether or not to include those records in this electronic file.
   - See Filing Problems and Error & Validation Checking

10. Select the destination folder. Default location is C:\1099 Pro\Pr42ST16\MagFiles.

11. Verify Transmitter 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 screen.

12. 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 screen.

13. Select filers for submission to the Combined Federal/State Filing Program. You must have prior permission from the IRS to participate in this program.
   - Changes made to a filer's CFSF status are permanent. CFSF status may also be set at the Browse the Filers screen.

   - Your electronic file is available, in a default file creation, at C:\1099 Pro\Pr42ST16\MagFiles.
   - The file name (for example, IRSTAX-00005 (Orig) 2015 02-10-16 01-43-27PM.IRS) includes the date and time of creation and whether it is an Original, Test, Replacement or Corrections file. Do not rename electronic files.
   - Electronic files may be viewed in the eFileViewer or a text editor such as Notepad.

15. Post your file on the IRS FIRE site. See FIRE System.

   - Check the status on an IRS FIRE upload at https://tools.1099pro.com/CheckStatus.aspx.

### 14.1.1 Efile States Subset File Wizard

#### 14.1.1.1 How do I Generate State Subset

**State Subset Overview**

The features contained within this section are available exclusively to users of the Enterprise and Corporate Suite editions of our software. For all others, contact the Service Bureau for CF/SF Program options.

**Important Disclaimer - Please Read**

- All files generated will be in the 750 byte format per Publication 1220 from the IRS unless otherwise noted*. Not all states use this format.
- While 1099 Pro makes every effort to keep these formats updated it is your responsibility to verify the state(s) receiving your files will accept both the format and the data generated prior to submission.
- *1099 Pro Corporate Suite generates files for the following states which use a format other than that
The Enterprise version of the software does not apply state thresholds when filing. Enterprise will create a file for all non-zero forms and it is up to the end-user to decide which records/files to submit. The Corporate Suite software provides a “State Filing Thresholds” database which is used to filter out unwanted or unnecessary forms. See Reporting Thresholds.

Please see below for a special note regarding MA subset files for 1099-INT.

Background
The IRS format, per Publication 1220, is the most widely accepted format for states receiving files. However, some states require different formats. Check with each state to see if they will accept the format listed, paper filing, or … 1099 Pro maintains various hyperlinks to states in the “Compliance” section of our website at www.1099pro.com

How does 1099 Pro know the “tax state” for a recipient? It's easy, the “tax state” is determined by the following rules:

1. State Withholding: if there is state withholding on a form for a state then that state is the "tax state" regardless of the recipient's address or category. These forms include: 1099-B, 1099-DIV, 1099-G, 1099-INT, 1099-MISC, 1099-OID, 1099-R, W-2G.

2. Override default for State tax reporting: 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.

See State Subset Wizard to begin the process

**TIP Number 1:** Be careful of potential duplicate filings where you may have already filed your data in the Combined Federal State Filing Program. If you have specific questions concerning state filing, please contact that state.

**TIP Number 2:** 1099 Pro is capable of combining multiple filers with the multiple form types in one file. If you want separate files for Filers A, B and C and multiple form types then consider processing one Filer and Form type at a time.

**MA 1099-INT Files:** Currently 1099 Pro is unable to generate proper state subset files for the MA 1099-INT due to the fact that information that information is needed that is not discernible from the tax form. Please contact the Massachusetts DOR for assistance in filing or a qualified tax advisor if you need to submit 1099-INT records.

14.1.1.2 State ID Number

**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.

**To Add/Change/Delete State ID Number**

1. On the menu bar select File > Filers List.
   - **Corporate Suite Users:** On the General Options task panel select 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.

**To Access the Select State ID database**

When adding or changing a record place your cursor in the state box, located:

- 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
- 8966: Not Applicable

Use the <F2> key or right-click your mouse to access the Select State ID database.

14.1.1.3 What can I expect from the States Subset File Wizard

**What To Expect From the State Subset**

**What Happens When Generating State Subset Files?**

Files will be placed in the "MagFiles" directory unless a different directory was selected. State Files are labeled by State Abbreviation, Date & Time with a TXT extension; for example, "CA TAX 2-25-09 5-01PM.TXT".

The eFile Viewer™ will launch and may load and view their files or close the eFile Viewer.

Where electronic files are generated also doubles as the Completed eFile Session List. Users may identify individual state files from the Completed eFile Session List as the “Trans Type” column has the two letter state abbreviation followed by the type of file generated e.g. "CA:Original". Detailed listings of any electronic file generated can be obtained by highlighting the eFile session in question and then by clicking the "View/Print Log Report" button. These reports can be previewed to the screen or printed.
Additionally, the IRS form 4804 may be printed in the same manner if desired for any electronic filing session.

Note: See IRS Publication 1220 for more details.

14.1.1.4 State File Generation Wizard

State Subset Wizard

The features contained within this section are available exclusively to users of the Enterprise and Corporate Suite editions of our software. For all others, contact the Service Bureau for CF/SF Program options.

How to Generate State Subset Files

Prior to starting this wizard please see State Subset Overview for important information. Review Reporting Thresholds.

1. Go to the Filing My Forms task panel and click the "Electronic Filing" link.

2. At the Preparing Tax Forms for Filing Electronically screen click the "Create State Subset Filing" button.
   - To generate Puerto Rico subset files select "Create Puerto Rico Files" options (Corporate Suite users only).

3. At the Initializing Wizard screen review Important information and then click "Next" to proceed:
   - All non-zero records, regardless of status, will be included in your state subset files except for corrections. 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 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 may be generated.

4. Check for Updates - It is recommended to routinely check for program updates.

5. Choose How Forms Will Be Selected - Select which tax forms will be included and then click "Next" to proceed.
   - All Forms for ALL Filers Types: This default selection includes all form types for the Filer(s) selected and includes all eligible records.
   - 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 For - A separate report will be created for each state, but only if you have issued forms to recipients or withheld taxes for that state.
   - Tag (or select) states as appropriate then click "Next" to continue.

7. Account Numbers - Some form types require recipients to have unique account numbers; the wizard will not overwrite existing account numbers. See Generate Account Wizard.

8. Group by EIN - New for Tax Year 2015, choose 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, will be grouped together. Please use if a state requires that all submissions for an EIN be made in a single Payer record.

9. **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 with an SSN has their names entered with first name first" check box IF:
   - You place all Recipient Name data in the LAST NAME field. You do NOT use the FIRST NAME field.
   - The LAST NAME field for your Recipients with an SSN has their names entered as first name first, e.g. "John Doe", rather than "Doe, John".

10. **Select Destination Folder** - The default location is C:\1099 Pro\Pr42ST16\MagFiles.

11. **Verify Transmitter Information** - Changes made are temporary.

12. **Verify Contact and Company Information** - Changes made are temporary.

13. **Click "Finish" to generate state subset file(s).**
   - Use E-File Viewer to easily review your state subset files or a text editor such as Notepad.

### 14.1.2 The Advantage of Filing Electronically

**Advantages of Filing Electronically**

- Online notification within 1 - 2 work days as to the acceptability of the data transmitted for Forms 1098, 1099, 5498 and W-2G. It is the filer's responsibility to log back in to check results.
- Later due dates than paper for electronically filed Forms 1098, 1099 and W-2G.
- Allowing more attempts than electronic filing to correct bad files before imposing penalties for Forms 1098, 1099, 5498 and W-2G.
- Better customer service due to on-line availability of transmitter files for research purposes.

**FIRE System Specifics**

For detailed information on the FIRE System including; data compression, file preparation, file naming and electronic filing protocols please review Pub. 3609 Filing Information Returns Electronically (PDF). This publication is very helpful and will answer 99% of your questions and provides an IRS contact number for any remaining questions. This can be located within 1099 Pro by clicking on "Forms" from the main menu, then selecting "IRS Instructions and Blank Forms", then double click on "Filing Information Returns Automatically".

**10 Day Window for Electronic Filers**

Per IRS Pub. 1220, part C, section 7:
"If the [electronic] file is good, it is released for mainline processing 10 calendar days from receipt. Contact [the IRS] at 304-263-8700 within this 10 day period if there is a reason the file should not be released for further processing. If the file is bad, normal replacement procedures are followed."
14.1.3  FIRE System

FIRE System

Use the Filing Information Returns Electronically (FIRE) System to electronically upload informational returns to the IRS. Electronic files created via the 1099 Pro Electronic File Wizard fully comply with required IRS record formats per Pub. 1220. The FIRE System is available 24 hours a day, 7 days a week to any transmitter and can be reached by visiting https://fire.irs.gov. The FIRE System can be accessed by opening a web browser, accessing the Internet and typing in the address https://fire.irs.gov in the address field.

To use the FIRE System you must have a valid Transmitter Control Code (TCC). Filers who currently have a TCC for Electronic filing do not have to request a second TCC for electronic filing. All transmitters are required to have User ID, Password, and PIN which is obtained thru the FIRE System after obtaining a TCC.

For more information on the IRS Fire System select Forms from the main menu, then select "IRS instructions and blank forms" from the drop down menu, then double click on "Filing Information Returns Electronically" from the View or Print Blank Forms and Instructions (PDF Format) screen.

14.1.4  Electronic Filing Module

Electronic File Module

The Electronic File Module is available in the Enterprise or Corporate Suite Edition only. Users may upgrade or use the Service Bureau to file electronically with the IRS on your behalf.

Filing Deadlines:
Paper filers must file returns by

14.1.5  Electronic Filing Session Window

eFile Filing Session Window

The eFile Filing Session window contains many of the electronic filing functions available in 1099 Pro. From this window you can generate the following electronic files:

1. Federal eFile - These files can be submitted to the IRS via their web site at http://fire.irs.gov
2. State Quarterly File - These files contain quarterly filing information for submission to a desired state.
3. State Subset File - State Subset files contain data for selected states ONLY.
Generating Electronic Files:

Clicking on the "Create eFile" button will begin the wizard for generating federal electronic filing files.

Clicking on the "Quarterly State Reporting" button will begin the wizard for generating quarterly state files.

Clicking on the "Create State Subset Files" button will begin the wizard for generating a state subset electronic filing file.

eFile Session Log:
The eFile Session Log contains details regarding any files or forms you have generated using the eFile wizard. The session log will display information all forms or files ever generated using 1099 Pro.

Log: The log number is a specific number assigned to every individual file generated by the eFile wizard.
Session: The session number is a number assigned to any group of files generated together by the eFile wizard.
Filer TIN: This is the TIN number of the filer that the associated records were generated for.
Form Type: This is the form type of the records that were generated.
Copy Count: The number of forms generated for that particular log.
Trans Type: The Trans Type describes the type of transaction that was processed for that session.
Info: The info field will display information regarding how the file was processed. The information displayed here can be broken up into two categories:

1. Federal Files
   - CFS: This denotes that the file generated had the Combined Federal and State filing flag set to on in the file generated.
   - Std: This denotes that the file generated did NOT have the Combined Federal and State filing flag set on.

2. State Files
   - The info field for state files use the following pattern: Letter + Letter (e.x. U+A).
   - The first letter position denotes the primary process filter:
     - U: Unfiled Records
     - A: All Records
   - The second position is a static "+" (plus).
   - The third letter position denotes the threshold setting used:
     - A: Indicates that no thresholds were applied (all eligable forms were selected).
     - S: Denotes that only state thresholds were applied.
     - F: Denotes that only federal thresholds were applied.

Session Date: This field displays the date that the eFile session was run on.
Time: This field displays the time at which the eFile session was run.
Reset/Void: This field indicates whether or not a particular session has been void/reset.
File name: This field displays where the file that was generated was stored.

The "View/Print Log Report" button will allow you to generate a totals report on the currently selected session.

The "Reset (Void) eFile" button will allow you to void/reset the currently selected filing session along with any log i.d.’s associated with that session.

14.1.6 E-File Sort Order

Changing the default sort order

If you require that your records be sorted by TIN when generating your electronic filing then you must add & save the following line in the [System] portion of your .ini file found in the Admin folder. (Default installation location is `<%DEFAULTPATH%>\Admin\Pro99T16.INI). Altering settings in this location could potentially damage the software, please contact 1099 Pro if you need assistance with this process.

When completed, your new entry should look like this
[System]
EnableMagTinSort=1

Note: A value of 1 will sort by FilerID,RCPTIn which will increase processing time. A value of 0 (default)
14.1.7 FIRE upload process

FIRE System Upload

This process applies to 1099 Informational Returns (including 1098, 1099s, 5498s and W-2Gs) and 1042-S Foreign Person’s U.S. Source Income Subject to Withholding. The purpose of this tutorial is to guide you through account creation for the IRS FIRE (Filing Information Returns Electronically) system and uploading your file to the IRS.

This process does not apply to Form W-2 Wage & Tax Statements.

If you have never created an IRS FIRE system account, you will need to do so.
1. Visit http://FIRE.IRS.gov
2. Click on the link labeled Create New Account
3. Now you will be asked to enter your company specific information. Enter your information in the indicated fields. This is critical because if there is any problem with the file, this is the information the IRS will use to attempt to contact you.
4. Once you have completed filling the information in, click “Submit” to continue.
5. You will be taken to a screen where you can create a user name and a password for accessing the IRS FIRE system. Read the directions carefully. The password that you create MUST be 8 characters in length, and have an upper case, a lower case and a numeral, but cannot contain your user id or personal name.
6. Once you have input your chosen user name and password, click the “Create” button.
7. You will be asked to create a pin number. This number will be used when you upload your file (which is created by the 1099 Pro software).
8. Once you are done with the PIN creation process click the “Submit” button.
9. Now you will be redirected to the FIRE system account page, where you can make modifications to your account, or you can upload the file that 1099 Pro has created.

10. To continue with the file upload process, click on the "Send Information Returns" link in the top left corner.

11. You will be asked to enter your TCC and EIN at this point. Once you have entered this information, click the "Submit" button.

Note: If you do not have a TCC number you will need to complete form 4419 and submit the completed document to the IRS (http://www.irs.gov/pub/irs-pdf/f4419.pdf)
12. Now you will be shown your contact information. You can make any adjustments that are necessary, and once you are done, click the “Accept” button.

13. Here you will be shown a list of links, and you will choose what type of file you are uploading.

**Original File**: An information return that has never been reported.
1. Once you have clicked on the “Original File” link, you will be asked to enter the PIN number that you created in step 7. Once you have done this, click “Submit”.
2. Now you will need to click on “browse” and locate the file that the 1099 Pro software created for you.
3. After locating the file, click the “Upload” button to send it to the IRS.

**Replacement File**: If an original or correction information return is bad, it must be sent as a replacement file after you fix the errors. Once you have clicked on the “Replacement file” link you will need to choose if you are replacing an Electronic file. The 1099 Pro software generates eFile.

**Amended/Correction File**: An information return which is submitted by the transmitter, in order to correct an information return that was previously submitted and processed by the IRS, but contained erroneous data. An amended/correction file will only contain the records in error, not the entire original submission. If you are sending a 1042-S file, you would click on Amended File. Otherwise, click on Correction File.
1. Click on “Correction file”.
2. You will be prompted to enter the PIN you created in step 7 of this tutorial. Once you have done this click “Submit”.
3. You will now need to click on “Browse” and locate the file that you created using the 1099 Pro software. Once you have located the file, you will need to click on the “Upload” button.

Do not send W-2’s on this system. They must be filed via www.ssa.gov/employer.

 None of the information gathered on this form is necessary for filing Form 1099. Form 1099 information is not stored in the system. If you’re unsure about a form or registration, please call the 1099 Pro Support Line at 1-866-955-7438 for assistance.
Test File: This option is used to test your files for the upcoming tax year.
1. Click on the “Test File” link.
2. Click on Browse and locate the test file that you created using the 1099 Pro software. Once you have done this, click on the “Upload” button.

Once you are done with uploading any electronic files to us, click on “Logout” to complete your upload session.

Log Off the FIRE System

Thank you for using the FIRE system.

Please close your browser at this time! The account information you entered remains in your web browser’s cache until you close the browser.

Close Web Browser

14.2 Combined Federal/State Filing Program

The Combined Federal/State Filing Program (CF/SF) is open to electronic filers. It was established to simplify information returns filing for the taxpayer. IRS/MCC will forward this information to participating states free of charge for approved filers. Separate reporting to those states is not necessary.

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 [emphasis added].

“All corrections properly coded for the Combined Federal/State Filing Program will be forwarded to the participating states.”

* 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)
2. Submit a test file to the IRS. Test files may be generated via the Electronic Wizard.
   • Hard copy print tests are no longer acceptable.
   • Electronic test files may be submitted between 11/02/15 to 2/19/16 (TY 2015).
   • 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 2015

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, SC, VA, VT and WI.

Forms INCLUDED in Program

Forms NOT Included In Program
The following informational returns MAY NOT be filed under this program: 1098, 1098-C, 1098-E, 1098-T, 1099-A, 1099-C, 1099-CAP, 1099-LTC, 1099-Q, 1099-S, 1099-S, 1099-S, 1099-SA, 3921, 3922, 5498-ESA, 5498-SA and W2-G.

Test Files
1. Electronic test files coded for this program must be submitted between November 2, 2015, through February 19, 2016 (for Tax Year 2015).
   o The FIRE Test System will be down from 6 p.m. (Eastern) December 11, 2015, through January 3, 2016, for yearly 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 Revenue Procedure.
4. Electronic filers must log on to the FIRE System within two business days to check the acceptability of their test file. The new test file must be transmitted between is not available at this time.

1099 Pro Service Bureau
If the Service Bureau is filing your informational returns a test file is not required.

14.3 IRS Name Control

IRS Name Control

For 1099's and W-2G's, The following overview provides an explanation on the taxpayer identification number matching process and the development of name controls. Understanding this process could help decrease the filing of incorrect information returns such as 1099 documents used to report various types of income and W-2G's used to report gambling winnings.

The information returns you file must include a correct name and taxpayer identification number (TIN) combination to allow the IRS to match the information reported against the income included on the payee's income tax return. They check whether a name/TIN combination is correct by matching it against a file containing all social security numbers (SSNs) issued by the Social Security Administration and against a file containing all employer identification numbers (EINs) issued by the IRS. Then, they compare the name control on the payee document (if provided) to the name control on file. If a name control is not provided or is provided incorrectly, they develop it from the name(s) provided on the first two name lines of the information return. If they can match a developed name control to the name control in
our records, they consider it to be correct. If no match is found using this process, they consider your
name/TIN combination to be incorrect.

Name Controls
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 Dorothy Willow Joe McCedar

For an individual that has a hyphenated last name, they develop the name control from the first of the
two last names. For example:
Brandy Cedar-Hawthorn Victoria Windsor-Maple

For Joint Names
Regardless of whether the payees use the same or different last names, they develop the
name control from the primary payee's last name. For example:
Joseph Ash & Linda Birch Edward & Joan Maple

Sole Proprietors
The IRSs generally develop the name control for a sole proprietor, who may have both a SSN and an EIN,
from the individual's last name (not the business name) on the information return. For example:
Mark & Jane Hemlock Karen Birch
The Sunshine Café Ace Computer Co.

NOTE: Sole proprietors should enter their business, trade, or "doing business as" name on the second
name line of the information return.

Other Organizations
They develop the name control for other organizations from the entity's name on the original Form SS-4
(which was used to apply for the EIN). For example:
St. Bernard's Methodist Church ABC Company
Building Fund Main Street Store

Knowing how name controls are developed should be helpful in the filing of correct information returns.

Reminder: If a payee has changed his or her last name, for instance, due to marriage, he or she
SHOULD inform the Social Security Administration of the name change.
HINT: On name line one of the Form 1099, a payor should enter the payee's first name and new
last name (if the change has been made with SSA), or the payee's first name, former last name, and
new last name (if the change has not been made with SSA).
14.4 Reset E-File Session

Reset eFile Session

Void a eFile session and all records are automatically reset to their pre-eFile status.

To reset session
1. On the task panel select the Filing & Corrections and then File via eFile or Disk icon.
2. At the Completed eFile Session List highlight a session and click the "Reset (Void) eFile" button.
3. 1099 Pro prompts, "Are you sure you want to void this transmittal?" Click "Yes" to proceed or "No" to cancel.
   • The "Trans Type" column indicates that the session has been voided.

14.5 Rule-of-250

Rule of 250

The Rule-of-250 states that any filer submitting 250 or more forms of any one type must submit those forms electronically. Failure to do so may result in fines of up to $100 per form. If you are not signed up for the IRS FIRE system or do not wish to do so our SSAE 16 SOC I TYPE II Service Bureau offers electronic filing services. Please call us at (866) 444-3559 to schedule an appointment and obtain pricing.

Financial institutions that are required to report payments made under chapter 3 or 4 must electronically file Forms 1042-S (regardless of the number of forms to file). If you are either a person (including a corporation, partnership, individual, trust, or estate) that is required to file 250 or more Forms 1042-S, or a financial institution, whether U.S. or foreign, you are required to submit Forms 1042-S electronically.

See the Instructions for form 1042-S for more information.

From the IRS General Instructions for Form 1042-S.

Electronic Reporting

If you file 250 or more Forms 1042-S, you are required to submit them electronically. Electronic submissions are filed using the Filing Information Returns Electronically (FIRE) System. The FIRE System operates 24 hours a day, 7 days a week, at http://fire.irs.gov. For more information, see Pub. 1187.

The electronic filing requirement applies separately to original and amended returns. Any person, including a corporation, partnership, individual, estate, and trust, that is required to file 250 or more Forms 1042-S must file such returns electronically. The filing requirement applies individually to each reporting entity as defined by its separate taxpayer identification number (TIN). This requirement applies separately to original and amended returns. For example, if you have 300 original Forms 1042-S, they must be filed electronically. However, if 200 of those forms contained erroneous information, the amended returns may be filed on paper forms because the number of amended Forms 1042-S is less than the 250-or-more filing requirement.

If you file electronically, do not file the same returns on paper. Duplicate filing may cause penalty notices to be generated.

Note: Even though as many as 249 Forms 1042-S may be submitted on paper to the IRS, the IRS
encourages filers to transmit forms electronically.

15 eFileViewer Overview

**eFile Viewer**

The eFile Viewer is a program that allows users to view Electronic Files generated via the Electronic File Wizard. This tool is run separately from the 1099 Pro software.

15.1 Installation and Registration

15.1.1 License Agreement

**eFileViewer - Tax Year 2016**

END USER LICENSE AGREEMENT FOR eFileViewer SOFTWARE

IMPORTANT-READ CAREFULLY: This End-User License Agreement ("EULA") applies to all versions of eFileViewer Software including but not limited to Demo, Demonstration, Free, Single, Client/Server, Network and Multiuser versions of eFileViewer Software.

This End-User License Agreement ("EULA") is a legal agreement between you (either an individual person or a single legal entity, who will be referred to in this EULA as "You") and the Licensor for the eFileViewer software technology that displays this EULA, including any associated media, printed materials and electronic documentation (the "Software"). The Software also includes any software updates, add-on components, web services and/or supplements that the Licensor may provide to You or make available to You after the date You obtain Your initial copy of the Software to the extent that such items are not accompanied by a separate license agreement or terms of use. By installing, copying, downloading, accessing or otherwise using the Software, You agree to be bound by the terms of this EULA. If You do not agree to the terms of this EULA, do not install, access or use the Software. For purposes of this EULA, the term "Licensor" refers to 1099 Pro, Inc. By installing, copying, downloading, accessing or otherwise using the Software, You agree to be bound by the terms of this EULA. If You do not agree to the terms of this EULA, Licensor is unwilling to license the Software. In such event, You may not install, copy, download or otherwise use the Software.

SOFTWARE LICENSE

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1. GRANT OF LICENSE. This EULA grants You the following rights:
   • **Single User Version.** You may install and use one (1) copy of the Software. Only one user of the Software can use the Software. Multiple use of the software concurrently requires additional Single User Version(s).
   • Tax year - you may process 2016 tax forms as well as some other prior years with this software.

2. DESCRIPTION OF OTHER RIGHTS AND LIMITATIONS.
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15.2 eFileViewer Main Screen

At the eFileViewer Screen, you will see the files you have opened. The column categories displaying the contents of the file information as follows:

- File Type
- Tax Year
- Total Records
- Date & Time the file was loaded into the viewer
- Total Filers
- Total Recipients
- File Name

You will typically find the following general field descriptions embedded in a Electronic file:

- Transmitter "T" Record
- Payer "A" Record
- Payee "B" Record
- End of Payer "C" Record
- State Totals "K" Record
- End of Transmission "F" Record

The Main Screen of the eFileViewer (with file open)

After you open the Electronic File you will see the contents of the file. The upper left side of the window contains a listed hierarchy of "T", "A", "C", "K", and "F" records. The "B" record is displayed in the lower left when you have an "A" record highlighted. As you highlight each field, (i.e. The "T" record field for a Transmitter), the right side of the window displays to data in relation to the current field selected on the left. While navigating up and down in a vertically with the cursor keys on the keyboard, you will notice that you must click with your mouse in order to have the right pane to display the data. The top of the screen contains an overall summary of the Transmitter Detail. There are also two different viewing options. View as Field List and View as Text.
15.2.1 Viewing Options

Viewing as Field List

For viewing the data in a field by field format.

- **From, Thru, Size** - Denotes the physical location of the fields.
- **Field Name** - Displays the title of the field that contains the data
- **Field Value** - Contains the data manually entered by the filer or imported from an ASCII text file.

Viewing as Text

For viewing the data in a record without fields

- The cursor position allows you to locate specifically where your cursor is within a record.

15.3 File Format

Transmitter "T" Record (all fields marked required must include transmitter information)

Payer "A" Record

Multiple Payee "B" Records (at least 11 "B" Records per each "A" Record)

End of Payer "C" Record

State Totals "K" Record, if participating in the Combined Federal/State Filing Program

End of Transmission "F" Record (See Part C for record formats.)
*Note:* When generating State files "K" records will be generated if you have checked the "Combined Federal State Filing Program" (CFS) for the Filer and if the form type is in the CFS program i.e. DIV, G, INT, MISC, OID, PATR, R, 5498. "K" records will only be generated for states that participate in the combined program. Use of the Category option can result in multiple K records if the Filer & Form Type are in the CFS program. Filers where you opt out of the CFS will not have "K" records. To change the variable for the CFS click on "File" then "Filers list" and double click on the Filer to change any parameters. If you have state withholding or if you use the category field you may generate multiple K records. To suppress K records consider opting out of the CFS before generating files for states that do not participate in the CFS program.

15.4  **Loading and Viewing Files**

**To load a new file or view existing files**

1. Begin by opening the eFileViewer in the root of the program directory (i.e. `<%DEFAULTPATH%>`) or via the start menu under the 1099 Pro group for your program. Find the file eFileViewer.exe and double-click to open.

2. Click the "Load New File" button to load a file.

3. Browse your local drive or network drive location for the Electronic File you want, click on it once to select it, then click "Open".
   - The file you selected is displayed in the eFileViewer window.
4. View the selected file by first highlighting the one you want to open and click the "View Selected File" button.
   - Additionally you may delete a file by highlighting it and selecting "Delete Selected File" or close the eFileViewer Tool by Clicking the "Close" button.

NOTE: In general, when you open the eFileViewer and load a new file the file is copied to a temporary location on the local drive and is used as your temporary "working" file, leaving your original Electronic File untouched.

15.4.1 Electronic Sessions Summary Report

eFile Log Summary Report

The features contained within this section are available exclusively to users 1099 Pro Professional, Enterprise and Corporate Suite.

The Electronic File Log Summary report provides in-depth comparative information on selected Filers, Pcodes, Form Types, or Session IDs.

☐ See eFile Session Summary Report

To Generate Report
1. On the menu bar select Reports > eFile Sessions/Logs Summary Report.

2. At the eFile Log Report Wizard review the overview 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 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 (or select) 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, 1/01/2016 to 12/31/2016 for 1099 Pro 2016. 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. At the Ready To Generate eFile Log Report screen review settings and click "Finish" to generate report, use the "Back" button to go back and make changes if necessary. After clicking the "Finish"
button the Administrator automatically prompts to preview the report.

15.5 Exporting a File

Exporting a File

1. Begin by opening the eFileViewer in the root of the program directory (i.e. `<%DEFAULTPATH%>`)
   Find the file eFileViewer.exe and double-click to open.
2. Click the “Export” button. Review and accept the Readme and License Agreement.
3. Specify the Output Directory, Output File Name*, Extension type, Specify how to display data in fields
   663-722.
   - It is recommended that you do not specify an output file name and let eFileViewer create one.

15.5.1 Limitations of Export

Limitations of Export

This utility will create files that can be imported into 1099 Pro. While the utility has been thoroughly
tested you the user must exercise precautions to verify the accuracy of your data.

All output files will be given abbreviated names in the form of ‘PTin’ plus the PTin, Form Type, Orig or Corr, and a two-digit number to account for possible duplicates in Filer Name and Form Type, and a three-character extension which you may specify.

A log of output file names, filers and form types is also created. You may also print out this log file for reference.

**Note** Running eFileViewer more than one time can result in files that are overwritten. Overwriting can occur if you direct eFileViewer to place the output in a directory with existing files from a previous eFileViewer session.

**KNOWN LIMITATIONS**

All exports are in the format for 2016 form layouts. If exporting data from a prior year format please verify that all boxes still exist in the 2016 format.

Caution! The information on your printed form(s) and the information contained in the file sent to the IRS can differ on the following forms! Please pay special attention to the below conditions where your original form and the data imported may vary.

The IRS file being processed does not contain the following fields hence they will not be present during import for all form type when using the Standard:

- Address Apt/Suite
- Country
- Form Category
- Form Source
- Tax State

1099-PATR
Box 10 - Other Credits and Deductions will not pass thru.

The following Items boxes are not contained in the IRS 750 file and will therefore not be present when imported into 1099 Pro.

Note: State and Local Income Tax Withheld pos.723-746 in IRS specifications do not have a location to display on some forms and therefore will not always import if present.

1098
Box 5

1099-B
CORPORATION'S name, street address, city, state, and ZIP code

1099-CAP
Box 5

1099-INT
Payer's RTN. This can be added at the Filer level in 1099 Pro Software.

1099-MISC
Optional Text Line 1 and Line 2, 17, 18

1099-Q
FMV amount and Distribution code (1-6)

1099-R
Box 8 percentage Box 11, 12, 14, 15 Note Box 2a will be blank if Box 2b checkbox taxable amount not determined is checked.

5498
Armed Forces Box

W-2G
Box 13

W-2
Box 20

General - Text description boxes will lose their formatting. Some boxes will be truncated.

**IF YOUR DATA CONTAINED ANY INFORMATION IN THE BOXES LISTED ABOVE YOU WILL NEED TO EITHER MANUALLY KEY IN THE ADDITIONAL INFORMATION AFTER IMPORTING OR FIND SOME OTHER METHOD FOR CAPTURING THAT INFORMATION.**

The 1099 Pro Service Bureau at (866) 444-3559 may be able to assist you in capturing the additional fields listed above.

After running the Utility & importing your data we strongly recommend that you proof your control totals and individual data items. This can be done by clicking on File & Reports from within 1099 Pro.

## 16 Form Status Overview

**Form Status Overview**

Users must select an import status for their data in the first step of the import routine, Import Data. Selecting the correct status is important because aside from Pending, the status of the session can only be reset by voiding (deleting) the entire session.

Use the Import Session Report to review the status of records in an import session.

### 16.1 Printed

**Printed**

All records are assigned a print status that determines their position in the filing cycle. A printed record is available for inclusion in a 1096 transmittal or electronic filing. To edit a *printed* record you must first
reset its print status to pending.

See Print Status topic.

16.1.1 Print sessions

Print Sessions

A print session is any batch of records with a Printed or Filed 1096 print status.

See Print Status topic.

16.1.2 Printed Status

Printed Status

1099 Pro assigns a print status to all records. To determine a record's status go to the "Work with My Tax Forms" screen and refer to the Status column.

See Print Status Overview

Shortcut

1099 Pro includes a shortcut to assign "pending" records a "printed" status without actually printing the records (also referred to as a false print session).

To update records to a printed status
1. Follow the Print Wizard instructions through steps 1-4.
2. At step 5 select Preprinted forms as your paper type and do NOT select any copies to print.
3. Use the "Next" button to continue through the Print Wizard.
4. At the Print Summary screen, the Print Wizard will warn you that no copies have been selected to print. Click "OK" to proceed and click the "Print" button.
5. At the Are these forms ready to send to the IRS? screen select "I have printed and verified my red Copy A forms...". These records are assigned a printed status.

16.2 Forms Status Values

Forms Status Values

1. Form Status values
   Pending (0)
   Printed (1)
   Printed/Voided (2)
   Printed/Filed1096(3)
   Printed/FiledMag(4)
   Printed/Uploaded(5)
   Filed/Mag 6) ! Filed without printing
Uploaded Equate(7) ! Uploaded without printing
!-- 'Corrected' Original with blanked amounts (range: 10 - 19)
Corrected/Pending(10)
Corrected/Printed(11)
Corrected/PrintedVoided(12)
Corrected/PrintedFiled1096 (13)
Corrected/PrintedFiledMag (14)
Corrected/PrintedUploaded(15)
Corrected/FiledMag(16)
Corrected/Uploaded(17)
!-- Correction record (range: 20 - 29)
Correction/Pending (20)
Correction/Printed(21)
Correction/PrintedVoided (22)
Correction/PrintedFiled1096 (23)
Correction/PrintedFiledMag (24)
Correction/PrintedUploaded (25)
CorrectionFiledMag (26)
Correction/Uploaded Equate(27)

2. Voided Form
This should already appear in the QW as a checkbox.

3. Correction Type
This is internal to the program.

4. Error Status
We ship with queries for these already.
0 = No errors
1 = Warnings
2 = Errors
3 = Warnings + Errors
4 = Fatal/major Error

16.3 Statuses

Statuses

Pending
These forms were input or imported. Forms with a Status of Pending may be changed or deleted.

Printed
If you print out forms you will be asked if you have printed out your red copy A’s. If you answer “yes” then the status will be changed from Pending to Printed. Forms with a Status of Printed (or higher) cannot be deleted or changed. If your forms have a status of printed then you can only print out an entire print run or an individual form. To revert the status back to 'Pending' you can click on the "Print Tax Forms" icon and change the status back to Pending by clicking on the "Reset" button each print log.
Filed 1096
A paper 1096 / Annual Summary and Transmittal can only be prepared for forms that have a status of “Printed”.
To revert the status back to 'Printed' you can click on the “File via 1096 (paper)” icon and change the status back to 'Printed' by clicking on the "Reset" button each 1096 log.

E-Filed
This indicates that a file for the IRS was created and uploaded to the IRS.
To revert the status back to 'Pending' or 'Printed' you can click on the “File via eFile or disk” icon and change the status back by clicking on the "Reset" button each eFile log.

SB Print + Mail
This status indicates that an upload file has been generated and marked with a request for the Service Bureau to print and mail your forms to your recipients.

SB Filing
This status indicates that an upload file has been generated and you have elected the Service Bureau to file your forms to the IRS.

SB Print + File
This status indicates that an upload file has been generated and you have elected for the Service Bureau to Print & Mail to your recipients, then File your forms to the IRS.

Corrections
Corrections can only be done on a form that has a status ofFiled, SB Print + File, SB Filing or E-Filed. The status of these new forms will include "Correction".

Form Counts
The Form Counts Report is a great way to see the status of all forms.
Note 1: an * in front of the status means that there may be an error with the form e.g. it is missing a SSN or address value …
Note 2: for exact Status values see the Query Wizard.

17 Important Dates

17.1 Filing Deadlines

Filing Deadlines

1099 Pro, Inc. strongly recommends verifying all filing deadlines and addresses and assumes no liability for inaccuracies or changes contained herein.

Form 1042-S Deadlines
Recipient Copy “B” Filing Deadline
Deadline to file recipient Copy B paper returns is March 15th, 2017 for the 2016 tax year.

IRS Copy A and Electronic Filing Deadline
Deadline to file Copy A and Transmittal Sheet paper returns or electronically is March 15th, 2017 for the
2016 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 require withholding at the state level. Please check with your local state tax authority for further information.

**Extensions**
File for an extension or check on your files status at no cost from the 1099 Pro Tools site: [https://tools.1099pro.com/](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 Internal Revenue Service Center, Philadelphia, PA 19255. Also send amended returns to this address.

**Electronic Filing**
For more information about electronic filing, see our FIRE System help topic or visit the IRS FIRE Site. For more information on filing Form 1042-S please review the IRS Instructions.

### 18 Imports Overview

**Import Overview**

1099 Pro features a powerful, intuitive Import Wizard to simplify the process of importing your data. Generally, users who can access their data in Excel (or a similar product) can import it! Importing delimited data is easiest, however users may also import Fixed Length files such as those created for the IRS. The Microsoft applications Excel, Access and SQL allow data to be saved in a .TXT format (see converting from Excel formats); whereas older applications allow data to be saved in a comma separated values or .CSV format.

**All 1099 Pro software installations include sample import files.** Users who review the sample import files and include our Header Records have great success with their imports! See Sample Import Files and Import File Conventions.

**Error and Validation Checking** is automatically performed on all imports; thereby allowing users the opportunity to find and fix any problem records before importing into the software.
**Import Wizard Steps**

**Step 1: Importing Data** - Begin the import process.

**Step 2: Validating Data** - Test data for errors and warnings.

**Step 3: Post Results** - Post imported data for access at the Work With My Tax Forms screen.

## 18.1 Import Data

### Import Data

1042-S Pro features a user-friendly Import Wizard to simplify the import routine. Many database and spreadsheet applications such as Microsoft Excel, Access and Lotus 1-2-3 provide for the exporting of data to an ASCII file. These files can be imported into 1042-S Pro, thus relieving the burden of manually entering the information onto the tax form.

- **Import Maps for a Delimited or Excel File Type**
- **Corporate Suite Users:** Import Maps for Fixed Length Files

### 18.1.1 Import Wizard

### Import Wizard

1099 Pro simplifies the import process with our Import Wizard. The Import Wizard consists of three simple steps that may be done at once or at different times. Nothing is actually imported into the software until all three steps are completed.

- See [Create An Import File](#) - Please review PRIOR to using the Import Wizard.
- See [Import Session Summary Report](#)

**Import Wizard Steps:**

**Step 1: Importing Data** - Begin the import process.

**Step 2: Validating Data** - Allows the opportunity to test data for errors and warnings.

**Step 3: Post Results** - Post imported data for access at Work With My Tax Forms screen.

### 18.1.1.1 Manage Import Maps

### Manage Import Maps

The Browse Screen for Import Map files lists the type of mapping and the file format used for those maps. Additional details are available such as Map Notes and Formatting Details for each map and Notes created during the time you created the map will be displayed in the Map Notes section.
To Add a New Map
1. From the main screen in 1099 Pro you can click on the "Import New Tax Forms" then click on "Begin a new Delimited Import Process". read the instructions, then click "Next".
2. Click on "Add/update Import Maps".
3. To add a new map, click the Add button on this screen and follow the steps in the wizard after choosing your map type of Delimited or Fixed Length.

Change an existing map
You can highlight an existing map on this screen and click "Change". Follow the steps on the screen and the wizard will guide you through the process of changing an existing map. Any change made will overwrite the current mapping.

To Delete an existing Map
1. Highlight the existing map you want to delete and when asked to confirm your ok to delete a file, choose ok.
2. If you have any existing mapping tied to a current import/in process import session it cannot be deleted. You must first complete or abandon all imports in process and then you will be able to archive the map, however, you cannot use it again.

View/Print Map Reports
18.1.1.1 Import or Export an Import Map

**Importing or Exporting Maps**

Using this screen you may import or export maps for use on other 1099 Pro installations.
- [Import Maps for a Delimited or Excel File Type](#)
- [Export Maps](#)

18.1.1.2 Custom Record Filter

**Custom Record Filter**

The features contained within this section are available exclusively to users of the Corporate Suite edition of our software.

From the define import maps wizards, users can enter a value that will be used to filter records in the event that the user is importing a file containing multiple form types. Any form that does not have the matching value entered on this window will be skipped/ignored.

For example, a file might have rec types ‘9I’ for 1099-INT and ‘9M’ for 1099-MISC records. Adding the ‘Filter: RecType’ field to a map triggers filtering. Entering ‘9M’ in the window will cause the map to ignore the ‘9I’ records, etc. Also, if you add the filter trigger field, you will not be able to save the map without entering a filter value.
18.1.3 Customize a Fixed Field

Customize a Fixed Field

The features contained within this section are available exclusively to users of the Corporate Suite edition of our software.

During the Import of Fixed Length files, users have the option to customize the "field size" of a mapped field.

To 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 which carries 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 until you see the "Customize a mapped field" screen pop up. The following chart explains the title of the field and its contents.
Field Number: Field or Record Number (Equivalent to a column in an excel spreadsheet).

Position From - Through: Location of the field value expressed in numeric positions from the first location to the last location.

Field Size: Total Number of characters form 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: Allows users to enable specialized processing rules for the imported field.
- If the field is empty, fill it with this: Specify what should be entered into a field that is empty.
- Removing leading/trailing characters: Trim both leading or trailing characters from the imported field by a specified amount.
- Changing the case of the imported value: Force all characters to be either all upper or lower case for the imported field.
- Adding fixed characters to the imported value: Add characters to both the beginning or end of an imported field.
18.1.1.4 Delimited or Excel Import Map Wizard

**Delimited or Excel Import Map**

The 1099 Pro Import Wizard simplifies the process of creating Import Maps so you can then import your data into the 1099 Pro software. The first step in creating an Import Map is to specify how the records to import will be selected and where the records will be inserted into the tax form. Import files can be imported in a variety of formats, including delimited .CSV, Tab-Delimited, Pipe-Delimited, Fixed Length, and Excel (XLS or XLSX). Follow the steps below to create and/or define an Import map.

**Defining a Delimited or Excel Map Type**
1. From the main screen in 1099 Pro you can click on the "Import New Tax Forms" link in the navigation bar to the left, or as an alternative, click on Utilities tab on the main menu then click "Run the Import Wizard"

2. Click on "Add/update Mapped Imports".

3. Next, Click "Add" to add a new *Import map to the list, when prompted with "Which type of import would you like to create?", click "Delimited" or "Excel" depending on the map type you wish to create. To delete and import map, highlight it and then click the "Delete" button. **Note:** There are three columns which define an Import Map: Map Type, File Format and Description. The description column gives details about the currently selected import map and the Notes window to the right give additional details.

4. When clicking "Add" or "Change" you are prompted to go through the wizard for creating and/or modifying Import maps, click "Next".

5. Select a File Format, either Tab Delimited, Comma or Pipe. Next set your Field Delimiter and End of Record Options. Click "Next".

6. Specify whether you want to:

   **"Use a sample file to provide the column header information"** or
   - Select the file you wish to import by clicking on the "Browse" button and then locating the file you wish to import. Once you have selected your file click on the "Open" button to continue.
   - You should now see a sample of your data, click on the "Next" button to continue.
   - Match each field from the input file on the left to the corresponding tax form field on the right by dragging and dropping. To cancel a match, drag from right to left or double-click on it. Alternatively, you can use the "Map by Name" button which will automatically map all fields with matching names. When you have mapped all of your fields, click on the "Next" button to continue.

   **"Map by Name using your own Column Entered Header List"**
   - If you placed a check in the Has a Header Record check box, you will be prompted to enter your header values one header per line. All header field values must be unique and fields that will not be mapped do not need to be added to the list.
   - Match each field on the left to the corresponding tax form field on the right by dragging and dropping. To cancel a match, drag from right to left or double-click on it. Alternatively, you can use the Map by Name button which will automatically map all fields with matching names. When you have mapped all of your fields, click on the "Next" button to continue.

7. **Set the Default Formatting and Processing Options for the Import Fields**
a. Next, specify your dollar amount format options for and using implied "decimals", then set your date field format options and the order in which your date components will be displayed. Click "Next".

b. Enter a title and description which will be displayed for users when they need to select an import map to use. You may also enter some optional notes which describe your custom map.

8. **Set options for locating your import files.**
   a. Specify the default folder where this type of import file will be located. If left blank, you will always be prompted to locate the import file.
   b. Next, you may optionally specify a default file name for the files that will be imported using this map. Click "Next" to continue.

9. **Processing Options for Tax Form Imports (Note: This is a Corporate Suite/ASP Feature ONLY).**
   a. Select the type of data processing that will be applied when your import is performed.
      i. **Standard:** All forms are added as individual records regardless of whether other forms may exist in the system for the same recipient.
      ii. **Transactional:** If existing forms are found for a recipient that match the form matching rules configured at the time of import, the new information will update the existing record and be added as a transaction for that record. Non-matching forms are added as new.
      iii. **Year To Date:** Transactions are added to existing tax forms to reflect the new Year to Date (YTD) amounts and information. Existing forms that are not included in the YTD import will be flagged as zero-drop candidates if the zero-drop option is enabled.
      iv. **Replacement:** This feature is currently unavailable.

10. Finally, *confirm the settings on the summary screen before you click "Finish".*

    * Confirm the settings on the summary screen and click "finished" then close the Custom Import Maps screen. You will then be taken back to the main Browse the Import Maps screen. If you created a new Custom Map Field, you can now select it from the list. If you make changes to your header name changes to your import file then you will need to modify your existing map or if you chose create a new map which matches those changes.
### 18.1.1.5 Modifying an Existing Import Map

**Modify an Existing Import Map**

#### Adding a header after import map creation for a custom import map with headers

1. Click on “Import New Tax Forms” from the left hand navigation menu.
2. Click on "Begin a new XXXX Import Process".
3. Click "Next".
4. Click on “Add/Update XXXX Import Maps”.
5. Select the import map that you would like to add the new header to.
6. Click on “Change”.
7. Click “Next”.
8. Click “Next”.
9. Click “Add”.
10. You will see two fields, one labeled “Mapped to Field” and one labeled “Field Name/Column”.

![Adding a New Input Field Name/Column](image)

11. Enter the name of the header into “Field Name/Column”.
12. Drag the new header (Input Field Name/Column) to the “Mapped Import Field/Column Value” corresponding to the “Map to Field/Destination”. See the Map by Name section for more detail.
13. Once you are done, click “Next”.
14. Please review all subsequent screens and click “Next” if they meet with your approval.
15. Click on “Finish”.

Your import map will now be modified and the next time that you use this import map to bring in tax forms, it will also bring in the information located underneath the newly designated header.

#### Adding an import field after import map creation for a custom import map without headers. (Fixed Position)

1. Click on “Import New Tax Forms” from the left hand navigation menu.
2. Click on "Begin a new XXXX Import Process".
3. Click "Next".
4. Click on “Add/Update XXXX Import Maps”.
5. Select the import map that you would like to add the new import field to.
6. Click on "Change".
7. Click “Next”.
8. Click “Next”.

9. Select the Database(Form) Field on the left hand side that you wish to add. (Highlighted in yellow below)

10. Click "Add this Field" to move the Database Field over to your import map.

11. Use the Up and Down Arrows to move the Database(Form) field to match the column in your import file. Note: The column on the import map must match the column’s location on the spreadsheet. In the "Col", you will see which column on the spreadsheet the import map will be referencing when it imports.

12. When you are done making changes/adding columns, click "Next".

13. Please review all subsequent screens and click "Next" if they meet with your approval.

14. You will see your new entry in the "Drag (map) Fields from here...", on the left side under the "Col" entry will be the column where the import map will be looking for the information to import on your spreadsheet.

15. It is very important that the column number that is listed in there matches the column number over from the left on your spreadsheet. For example, if it indicated that it will be the 6th column over on your new import map area, it must be the 6th column over on your spreadsheet.

16. Please review the information located in the right window that contains the "Map to Field/
18.1.2 Step 1 - Import Filers, Recipients, or Data

**Step 1 - Import Filers, Recipients or Data**

Importing of Filers/Recipients is available exclusively to users of the Corporate Suite edition of our software.

Welcome to the first step of the Import Wizard. Users may import Filers, Recipients or Data into the program; thereby eliminating the need to manually enter data and thus saving you time!

Prior to starting an import please consider:

- All programs include [sample import files](#). In a standard installation they are located at C:\1099 Pro \Pr42ST16\Import. Users are strongly encouraged to review the sample files and incorporate the Header Records to ensure a smooth import.
- If your data file includes leading zeros in TINs or ZIP codes save the file in Text (Tab Delimited) (.txt) format in Excel to preserve formatting.
- For detailed information on import file conventions please reference the online [1099 Pro WIKI](#).

**Import Wizard - Step 1: Importing Data**

Please visit [https://www.1099pro.com/videos.asp](https://www.1099pro.com/videos.asp) and click the “Importing Using Standard Maps” video to watch a brief tutorial of the import process.

1. Go to the [Preparing My Forms task panel](#) and click the "Import New Tax Forms" link.
   - **Corporate Suite Users:** At the menu bar select Utilities > Run the Import Wizard. User is prompted to select the type of form to import.

2. At the Start a New Import Process screen click the "Import Records From Excel or a Delimited Text File" button.
   - **Corporate Suite Users:** At the Begin a New Import Session screen click the “Begin a New TY Import Process” button.

3. At the Import LOAD Wizard screen click "Next" to proceed. Use the "Back" button at any time to go back a step.
   - **Corporate Suite Users Only:** Select the form series to import. For filer or recipient imports, make any selection.

4. Select the Type of Data and Format and then click "Next" to proceed. If working in a multi-user or network environment see [Troubleshooting](#) below.
   - Select the type of tax form
   - Indicate the Import File Format: Excel or Delimited
   - If your import file does NOT include Header Records, use the "Add/Update Import Maps" button to create a custom mapping. See [Manage Import Maps](#) and the Delimited Import
Map Wizard.

- **Corporate Suite Users Only**: If importing filers or recipients, select "FILERS" or "RECIPIENTS".

5. The Tax Forms Revisions Notice appears for any form type with new tax year changes. Checking the "I understand and agree" box will cancel the reminder for future imports to this form type. Click "Next" to continue.

6. At the Select the File To Import screen browse for your file and click "Next" to continue.
   - The selected file should appear in the display box; although the data may appear slightly askew.
   - Your data may NOT appear if 1) there is a blank row at the top of your import file, or 2) there is a blank row between the Header Row and the start of your data. Users should cancel the import and modify their import file accordingly.
   - If your data is based on our sample import files and you deleted any columns/fields, you may receive a WARNING at the next screen indicating some expected fields are missing. Please review the screen carefully for instructions.

7. Select the Filer for the Import. By default the forms will import to the currently selected Filer. Use the "Select a Filer" button to change as necessary.

8. At the View the Mapped Import Records screen scroll down to verify that data is correctly mapping. Use the "View Next" button to sort through actual records and see live data. Should your data contain any strange characters; see Import File Conventions. You can also verify the Data Type, File Format, and Process Type before proceeding. Click "Next" to continue.

9. Specify Import Status and click "Next" to continue. See Import Statuses.
   - Pending - This default status allows you to edit, print and print records. Most users select Pending status.
   - Filed - To indicate forms have been filed on paper with the IRS/SSA, e.g., Copy A and associated 1096 / W-3 / 1042 transmittal.
   - Uploaded - To indicate forms have been sent to the 1099 Pro Service Bureau.
   - E-Filed - To indicate forms have been printed and filed with the IRS/SSA.

10. At the Confirm, Text and/or Begin Import Process screen users may test their import file for potential errors or warnings. If errors or warnings are determined, users are encouraged to cancel the import and edit their import file as necessary. Users may NOT edit errors and save changes at this screen. Click "Finish" if you are satisfied with your import file and ready to proceed to Import Wizard - Step 2: Validating Data.

11. The Administrator prompts, "What do you want to do?"
   - 1 - Report: Select to review any warnings or errors in your import data and generate a report or correct them interactively.
   - 2 - Continue: Select to proceed directly to Import Wizard - Step 2: Validating Data.
   - 3 - STOP: Select to return to the Import Wizard at a later time.

**Troubleshooting Import Issues**

*Note*: When importing a text file from (i.e. Microsoft Excel): During the import, you may run into a problem where during the process of assigning fields in the "Specify Form Field Mapping Screen", the software generates "0" records on the left hand side in the Available Input Fields column. Typically this can be caused by the import file being "locked" in memory by the application Microsoft Excel or similar
application across a network LAN or WAN. The idea is to have Microsoft Excel or similar application to release control over the text file to be imported. To solve this problem, follow the steps below:

If working locally (An individual computer not on a network) First, close all instances of (i.e. Microsoft Excel) or another program used to generate your text file for import. Rename the file to a different file name. (i.e. "import.tab" >>> import2.tab.) Begin the Import Data process again starting with Step 1 above.

If working on a network (Your import file resides on another computer such as a workstation or a server) Again, close all instances of (i.e. Microsoft Excel) or another program used to generate your text file for import. Copy the file from the server to a folder on your local hard drive. (For Example: C:\Imports) Rename the file to a different file name. (i.e. "import.tab" >>> import2.tab.) Begin the Import Data process again starting with Step 1 above. Be sure and check with your Administrator to ensure you have the proper rights to carry out this task.

18.1.3 Step 2 - Validate your Data

Welcome to the second of three steps of the Import Wizard. At this screen users validate and check their data for any potential errors.

Import Wizard - Step 2: Validating Data

Please visit https://www.1099pro.com/videos.asp and click the "Importing Using Standard Maps" video to watch a brief tutorial of the import process.

1. Click 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, however changes are not saved in test mode. This is an excellent opportunity to verify your data and go back and make any necessary changes to mappings, delimiters, etc. Click "Close" to exit this screen.

2. Decide how to proceed with the import:

3. If records need to be corrected or deleted click "Finish" and then "Report" to run a summary report detailing any errors or warnings. This report is not available once the import session is posted. Then proceed to the Edit, Post or Abandon Imported Records screen.

4. If NO records need to be corrected or deleted AND you want to proceed directly to the final step of the import routine, click "Finish" and then "Continue". At the Edit, Post or Abandon Imported Records screen click "Post Session". You immediately enter the Post Import Records wizard.

5. If NO records need to be corrected or deleted BUT you don't want to proceed to the final step of the import routine at this time, click "Finish" and then "Stop". Remember to return at some point to modify, delete or post this import session!

6. A standard installation of 1099 Pro allows up to 5,000 transactions. If the combined total of existing records in the database and imported records exceeds 5,000, the import may abort.

Note: To handle more than 5,000 transactions contact Sales at (888) 776-1099.
Proceed to Import Wizard - **Step 3: Posting Results.**

### 18.1.4 Step 3 - Final Import - Post Results

#### Step 3 - Final Import - Post Results

Welcome to the final step the Import Wizard. At this screen users post their data into the software.

- Users importing very large import files should consider optimizing the post process.

**Import Wizard - Step 3: Post Results**

**Posting Import Session**

1. Open the Post Import Wizard via:
   - Continuing directly from the Import Wizard [Step 2: Validate Data](#) and selecting "Post This Session", OR
   - At the Preparing My Forms task panel select the "Import New Tax Forms" link. At the Completed and In-Process Import Session screen select any import session with a Loaded or Partial status and click "Continue with Session" and then "Post This Session".

2. At the Post Import Wizard click "Next" to continue. At any time click "Back" to go back a step.

3. If any records in the session contain errors or warnings you must decide how to handle them. Options include:
   - Do not post records with errors: (Recommended!) Records without errors are posted and problem records are placed on "hold" so you can fix them at a later time.
   - Post records with Warnings/Errors: Post all records now. You'll need to review individual records and manually update these fields at a later time.

4. Specify how to deal with existing recipients in the 1099 Pro system. Options include:
   - Match forms with existing Recipients, but do not update addresses
   - Ignore existing TINs, add every Recipient as new
   - Update the incoming tax form with my currentRecipient information
   - Update my Recipient information with new information from the tax forms (default selection)

5. Review settings and click "Finish" to post your import session. Your imported records are available to view and/or edit at the Work With My Tax Forms screen.
   - See Import Session Summary Report
   - See Print Wizard

### 18.1.5 Quickbooks Import Wizard

**QuickBooks™ Import Wizard**

1099 Pro allows users to import Form 1099-MISC data directly from QuickBooks.

Please note:
- Any QuickBooks version from 2008 onward is supported for the US, Canada, Australia and United
The QuickBooks Online Edition is NOT currently supported.
1099 Pro ONLY imports 1099-MISC data; no other form types may be imported via this wizard.
See QuickBooks Troubleshooting below.

QuickBooks Import

1. Go to the Preparing My Forms task panel and click the "Import New Tax Forms" link.

2. At the Start a New Import Session screen click the "Import records directly from QuickBooks" button.

3. At the QuickBooks Import Wizard screen review important information and click the "Next" button to start the process.
   - QuickBooks must be properly installed, configured, open and running on this computer. You must have Administrative credentials for QuickBooks.
   - The company you want to import data from must already be open in QuickBooks.
   - If there is a discrepancy between the QuickBooks Recipient information and existing Recipient information, the existing record will be updated or overwritten to reflect the imported QuickBooks data.

4. At the Connect to QuickBooks screen click the "Connect to QuickBooks" button.

5. Switch to the QuickBooks software.

6. Select the following options when prompted:
   - "Yes, whenever this QuickBooks company file is open."
   - "Allow this application to access personal data such as Social Security Numbers and customer credit card information."

7. Choose an account with Administrator privileges.

8. After selecting the previous options, switch back to the 1099 Pro software and click the "Next" button.

9. Click on “Continue…”.

10. Click on “Done”. 1099 Pro will now open and inform you that the connection was successful. Click on “Ok” and then "Next".

11. Click on “Select Filer” and choose the Filer where the 1099-Misc information from QuickBooks will be imported.

12. Verify the Filer you want is selected and click “Select” and then "Next".

13. Click “Load QuickBooks Data Now”. You should receive a message that indicates that "QuickBooks data successfully loaded". Click “Ok” and then "Next".

14. You will see a preview of all the information that will be imported from QuickBooks into the 1099 Pro software. Options Include:
   - Skip forms with errors?: Select this option to skip any records with errors (Note: There is a errors column where records with errors are noted.)
Skip forms with Warnings?: Select this option to skip any records with errors (Note: There is a warnings column where records with errors are noted.)

Combine forms by TaxID: Select this option to combine multiple tax forms with the same TaxId into one form.

Use Company Name?: Select this option to import the companies’ vendor name when creating the form. If this is not selected, the vendor's first name and last name will be used.

15. If information is acceptable click “Finish”.

16. You can now view a report of all the forms imported by clicking on “Report” or simply click “Exit” from the administration warning screen.

17. Once you are done reviewing your information or have exited you can click on “Work with my Tax Forms” to review the information that you’ve just imported.

QuickBooks Troubleshooting
If you receive an error stating that the 1099 Pro software could not establish a connection to QuickBooks, take the following steps:

1. Click on the start button.
2. Right click on “Computer”
3. Click on “Manage”
4. Expand “Services and Applications”
5. Click on “Services”
6. Scroll down to QuickbooksDB21 and right click on it.
7. Click “Properties”
8. On the start up type drop down change it to “Automatic” and click ok.
9. Try connecting via the 1099 Pro software again.

18.1.6 Country Codes Table

Country Codes Table

When adding or changing information in a tax form users have the option of setting the address type for the recipient address.

Address Type Options:
- USA
- Canada
- Other
If "Other" is selected the Select Country Code screen appears. The list of country codes are consistent with the list of codes on the IRS website at https://www.irs.gov/tax-professionals/e-file-providers-partners/foreign-country-code-listing-for-modernized-e-file. Select the appropriate code from the list then click the "select" button or click "cancel" to go back to the tax form screen.

18.1.7 Country Alias

Country Alias and Validation Options

1099 Pro supports custom country name and validation options during the import process. This is useful in situations where the code you use for a particular country does not match the one used by the IRS. Such an example would be if you used "JPN" to represent Japan; this country code would not be recognized during import since the IRS country code for Japan is "JP". In order to correct this error, 1099 Pro allows you to create alias for any country in the IRS database.

Example:
Let's take the example above:

1. On the initial import attempt, 1099 Pro generates an "Invalid Country" warning.
2. On closer inspection we find that the country code "JPN" in invalid.

3. To correct this we can use the "County Alias/Validation Options".
4. Click on the "Update Country Alias File" button to add "JPN" as an alias country code for Japan.

5. At the "Browse Country Alias/Translations" window you will see a list of all of the current country alias, if any exist. To create a new alias, click on the "Add" button.

6. At the "Adding a Country Alias Record" window, type the alias that you are currently using (in this case JPN) in the first box (top). On the second box (bottom) enter the name of the country or click on the "..." (ellipsis) for a complete list of IRS country names and codes. With your alias and corresponding IRS country code selected, click on the "OK" button.

7. Now that you have your alias configured, click on the "Close" button on the Browse Country Alias/Translation window to return to the import wizard.

8. You can now click on the "Reapply Alias/Validation" button to allow 1099 Pro to use your new country code alias.
9. After clicking on the "Reapply Alias/Validation" button, 1099 Pro will ask how you would like to apply your alias/translations. You can apply them to all records or records with problems only.

10. Once your aliases/validations have been applied, 1099 Pro will be able to properly translate "JPN" to Japan or "JP" and the "Invalid Country" warning will be removed.
18.1.8 Import File Conventions

Import File Conventions

For a smooth import please thoroughly review these conventions PRIOR to creating your import file. We highly encourage our users to review the sample import files that are included in our software and available, in a standard installation, at C:\1099 Pro\Pr42ST16\Import\Sample_XLS Files. Users who review the sample import files and include our Header Records have great success with their imports!

For additional form specific import file conventions please refer to the 1099 Pro Wiki site.

The order of data fields is not important and it is acceptable to have extra fields that won't be included in your import file (e.g., phone number, date of birth, etc.).

Fields in **RED** are required.

<table>
<thead>
<tr>
<th>Field (Header Record)</th>
<th>Description</th>
<th>Maximum Characters</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rcp TIN</td>
<td>Enter dashes in TINs to differentiate SSNs and EINS. Leave blank if TIN is missing or unknown.</td>
<td>11</td>
</tr>
<tr>
<td>Last Name / Company</td>
<td>Enter Company if Recipient TIN is an EIN. Enter Last Name if Recipient TIN is an SSN.</td>
<td>40</td>
</tr>
<tr>
<td>Field</td>
<td>Description</td>
<td>Units</td>
</tr>
<tr>
<td>----------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-------</td>
</tr>
<tr>
<td><strong>First Name</strong></td>
<td>Enter First Name only if Recipient TIN is an SSN. If Recipient TIN is an EIN, leave this field blank.</td>
<td>40</td>
</tr>
<tr>
<td><strong>Name Line 2</strong></td>
<td>Name line 2.</td>
<td>40</td>
</tr>
<tr>
<td><strong>Address Type</strong></td>
<td>Leave blank for US addresses. Enter &quot;C&quot; for Canada or &quot;O&quot; (not zero) for Other foreign countries. See Country Codes Table for more information. Please see Address Type Error below.</td>
<td>1</td>
</tr>
<tr>
<td><strong>Address Deliv / Street</strong></td>
<td>Recipient address line 1</td>
<td>40</td>
</tr>
<tr>
<td><strong>Address Apt / Suite</strong></td>
<td>Recipient address line 2</td>
<td>40</td>
</tr>
<tr>
<td><strong>City</strong></td>
<td>US/Canada enter City. Foreign addresses ONLY enter City, Country and Postal Codes.</td>
<td>40</td>
</tr>
<tr>
<td><strong>State</strong></td>
<td>US State or Canadian Province.</td>
<td>2</td>
</tr>
<tr>
<td><strong>ZIP</strong></td>
<td>US/Canada enter postal codes. For Canada the required format is letter-number-letter, a space, then number-letter-number. For example, &quot;C3H 4W9&quot; is a valid Canadian postal code. Foreign addresses enter postal codes in City field.</td>
<td></td>
</tr>
<tr>
<td><strong>Country</strong></td>
<td>Enter if Address Type is &quot;O&quot;. Please see Country Field below.</td>
<td>25</td>
</tr>
<tr>
<td><strong>Rcp Account</strong></td>
<td>Recipient Account Number. The Generate Account Wizard can auto populate field if required.</td>
<td>20</td>
</tr>
<tr>
<td><strong>Rcp Email</strong></td>
<td>Useful if you want the ability to e-mail forms (individually) to your recipients. See E-Mail Tax Forms.</td>
<td></td>
</tr>
</tbody>
</table>

**Additional Fields**

- **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.  
  - Units: 1

- **Dates**
  - Use MM/DD/YYYY format only. Unacceptable formats include Jan 3, 2016 and January 3, 2016.  
  - Units: 2

- **Dollar Amounts**
  - Do not use commas or dollar signs, 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.  
  - Units: 1

**COUNTRY FIELD**

- The following formats are acceptable to enter in 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.
  - **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.

### 18.1.9 Drag and drop methods

**Drag and Drop Methods**

**Drag & Drop Import Method**
Use if your import file contains your own unique headers or no headers at all. Click on a field from the Available Input Fields and drag it across to the matching field in the Input Field list. Repeat this procedure until all of the necessary fields have been assigned. If the wrong field is accidentally assigned, double left click the mouse on the incorrect field on the Input Field and the information is removed. Then drag the correct field from the Available Input Field to the Input Field.

For more information see the Import Wizard and Delimited or Excel Import Map topics.

☐ Eliminate the need to Drag & Drop by using our Sample Import Files.

### 18.1.10 Map by Name

**Map by Name**

**To perform manual Map By Name**
At the "Map the import Fields/Columns to your..." area of the Delimited Import Map Wizard use the Drag & Drop method to map fields.

- Drag the Combined City/St/Zip Available Input Field to the Combined City/St/Zip Input Field. Do not drag it to the individual City, State and Zip fields. Performed correctly, (Combined City/St/Zip) appears at each of the individual City, State and Zip fields. The parentheses indicate a successful mapping.
- Drag the Address Delivery/St available Input Field to the Address Delivery/St Input Field. Then drag the Address Apt/Suite available Input Field to the Address Apt/Suite Input Field. Performed correctly, Address Delivery/St+ appears at the Address Delivery/St Input Field only. The plus sign indicates Address Lines 1 & 2 have merged for a successful mapping.
- Drag all other fields as normal.

**Header Records**
Sample import files utilize header records for an easy Map By Name import. Header records describe a field of data. For example, row 1 of the 1099MISC.TAB sample import file is composed entirely of header records (i.e., Recipient TIN, Last name/Company, First name and so on). Header records are not case sensitive.

Users are encouraged to incorporate header records from the sample import file into their own import file.
This ensures an easy Map By Name import. If using your own header records or none use the Drag & Drop method.

### 18.1.11 Sample Import Files

#### Sample Import Files

All 1099 Pro software installations include sample import files (also referred to as XLS Data Shells). We highly encourage our users to review the sample import files included in our software and available, in a standard installation, at C:\1099 Pro\Pr42ST16\Import\Sample_XLS Files. Users who review the sample import files and include our Header Records have great success with their imports!

- Please review Import File Conventions.
- For customers not interested in using our Header Records or for information on importing Delimited File Types, See Import Maps for a Delimited File Type, or Excel.

#### Instructions for An Easy Import

Users who review our sample import files PRIOR to creating theirs and include our Header Records (the respective field names) have great success with their imports. Follow these steps:

1. Access your software Import folder, which in a standard installation is located at C:\1099 Pro\Pr42ST16\Import.
2. In the Import folder, double-click on the Sample XLS Files folder to view all available sample import files. Select and open the appropriate sample file, for example, “1042-S Sample Excel Import.xls”.
3. Review our sample data and notice the formatting of the TINs and First and Last Names, etc. Review Import File Conventions completely before proceeding.
4. Copy the Header Records (the first row of data containing the respective field names) onto a new Excel sheet. Then copy your relevant data into the appropriate fields.
   - Do not place a blank row between the Header Records and the start of your data.
5. Save this excel sheet as a Text (Tab Delimited).TXT file to preserve formatting. This file is now ready to be imported into the software.

See Import Wizard - Step 1: Importing Data

### 18.1.12 States Code Table

#### States Code Table

When adding or changing information on a tax form, the Employees’ master list, or Employers’ master list, users have the option of selecting the State code via a list of state names and abbreviations. Users can right-click on an existing State field in a tax form or an entry screen and select from the list of states. The list that appears on the screen is determined by the Address Type you have selected. For Example: Choose an address type of USA and a list of states will appear. Select Canada to display a list of provinces. Other allows the user to select a country from the Country Codes Table.
18.1.13 Import Status Overview

Import Status

Users must select an import status for their data in the first step of the import routine, Import Data. Selecting the correct status is important because aside from Pending, the status of the session can only be reset by voiding (deleting) the entire session. Use the Import Session Report to review the status of records in an import session.

Import Status Overview

**Loaded**: Nothing has been done to the entire import other than the initial load.

**In Process**: Something has happened to logs (edit, posted, abandon, etc.), but there are still more records left.

**Completed**: All logs either posted, abandoned or reset. Nothing left to do.

**Discarded**: All logs abandoned or reset.

**All Reset**: All logs were posted, then reset.

**Individual Logs (one per Filer) can have the following values:**

**Loaded**: Nothing has been done to the records other than the initial load.

**Updated**: At least one of the records in import hold has been opened and saved, e.g., changes were possibly made. Re-applying validation, etc., will also trigger this status.

**Partial**: Some records were posted, some are still left.

**Imported**: All records were posted, processing completed.
Imp/Disc: Some records were posted, the rest were abandoned, so processing still completed.

Abandoned: All records for the log were abandoned, none imported.

Reset/Void: 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.

18.2 Import History

View History

The history button will allow you to view a summary of the highlighted import.

In order to view the history of an import enter the "Import Forms" area, click on the import session that you'd like to view a summary of so that it's highlighted and click the "History" button.

The history screen will show you the form type, import map used, tax year, the date and time it was imported, the total number of records imported as well as the number of errors and warnings associated with the import session.

18.3 Converting From Excel Formats

Converting Excel Formats
Excel Spreadsheet Files
When saving data in Excel, use the ‘Save As’ method to save your file in .TXT (TAB delimited) format, not .XLS format. Sample import files in this format are included in your 1099 Pro installation and are very helpful. These files appear out of alignment when viewed from a text editor such as Notepad but look great when viewed from Excel. To import .TXT (TAB delimited) files select [TAB], [CR LF] and Double Quotes as your delimiters in the Import Wizard. .TAB files will not display at the “Open” screen in Excel unless “All Files (*.*)” is selected at the “Files of Type” field.

Comma Quote Delimited Files
In a database program such as Microsoft Access save your file in .CSV (Comma Separated Values) format. To import .CSV files select Double Quotes and Comma as your delimiters in the Import Wizard or the import will fail. Examples of acceptable .CSV file formats (note formatting of dollar amounts):

"Charlie","Tuna","100.00","555-55-5555","1525 Bruin Ave","Westwood","CA","90024"
"Charlie","Tuna",100.00,"555-55-5555","1525 Bruin Ave","Westwood","CA","90024"

Other Spreadsheet Files
In your program determine if files can be saved in .TXT (text) format. If difficulty is encountered, columns may be inserted between the existing columns and a "|" (pipe) may be entered as a delimiter. To import .TXT files select Pipe as your delimiter in the Import Wizard.

No Obvious Way to Create an Import File
If nothing else works, try printing your data to a file. A generic text driver that only prints text characters may be required. Import that file into a spreadsheet, parse the various columns and then import into 1099 Pro.

18.4 Microsoft Access 2007 Rollup Procedure

Microsoft Access Roll up Procedure for Microsoft Office 2007

This procedure will walk you through the process of aggregating information for multiple tax forms located on one spreadsheet and combining them all into one sheet. This walk though can be useful if you are exporting information from multiple databases, and several of them have information for the same recipient. 1099 Pro does not supply customers with Microsoft Office 2007, or Microsoft Access 2007. Microsoft Access Rollup Procedure for Microsoft Office 2007. You will need tax form information in an existing Excel spreadsheet prior to beginning this tutorial.

2. Click on “Blank Database” and name it something appropriate. If necessary select an alternate location to save your database file to.
3. Click on the “External Data” tab.
4. Click on “Excel” over the “Import” area.
5. Click on “Browse” and you will be given the option to locate the excel file that you would like to import. Make sure the option “Import the source data into a new table in the current database” is selected.
6. You will then be presented with a screen showing you everything in your spreadsheet divided by columns. It is HIGHLY recommended that you use headers for your columns in excel, and you select the option “First Row Contains Column Headings”.

7. Once you have verified that the information appears correct, click on the “Next” button to proceed.

8. Now you will be presented with a screen that will allow you to choose what type of information each column contains, go through the list, and then click on “Next” to continue.

9. On the next screen, you will be prompted to choose which field will be used as a primary key; we recommend letting access choose the primary key. Once you are done, click “Next” to continue.

10. You will then be asked to name the table that you have created, and then click on “Finish”.

11. You will be prompted to save the import steps that you used to create this table. If you would like to, click the “Save Import steps” checkbox. Otherwise click “Close”.

12. You will then be brought back to your MS access screen; right click on the “Tab” labeled “Table 1” and click close.

13. Now double click on the table name for the table you created in order to open the table.

14. With you table open, right click on the table name under the “All Tables” drop down menu on the left hand side, and click on “Design View”.

15. You will then be shown 3 columns: Field Name, Data Type and Description.

16. Under the “Field Name” column, you will find each of the boxes from your imported spreadsheet.

17. Under “Data Type” you will see how MS Access sees the information in the boxes to the left.

18. Here you will have to see if any of the boxes that you have imported have been imported as the incorrect data type. It is necessary that all boxes that you would like to be aggregated be marked as “Number”. The program will generate errors when aggregating the forms if you have the incorrect data type associated for a box type.
19. Under “Description” you can put any notes that you would like to associate with that box; this will not impact your forms in any way.

20. Now click on the “Create” tab, and then click on “Query Design”.

21. You will see a list containing your table on it. With your table highlighted, click on “Add”.

22. You will then see a window with your table information open in it. You may now click on “Close” to close the “Show Table” screen.

23. You must now drag and drop the header names from within the query window into the “Field” area on the bottom of the screen. You must drag and drop each header that you want to appear in the export into the field area on the bottom of the screen.

24. Once this is done, for each box area where you would like the amounts to be aggregated, click on the “Totals” area underneath the desired box and select “Sum”.

25. For all areas that should have their information combined, leave the “Totals” area at “Group by”. This will combine their fields, and this is what should be used for things like TIN, Address types, etc.

26. Once you are done, click on the “Run” icon.

27. If everything was entered correctly, you will be presented with a combination of all your matching forms as well as the totals for all the boxes where the prior information matched identically. If “Sum” was chosen for an area that could not be “Summed” (I.E. Form Category), you will receive the following error message:

28. Once that is done, you will be presented with a new object that contains all the information that you chose to aggregate.
29. You can now click on the “External Data” tab, and over the “Export” area, click on “Text File”.

30. It is not recommended that you select any of the options on this page. You will be given further options once you have clicked “Ok”.

31. You will now see all your information in the “Sample Export Format” window. In addition to this, you will be given the option to save your text file as a “Delimited” or “Fixed Width”. It is recommended that you choose “Delimited” file. Click “Next” to continue.

32. You will now be given the choice of what delimiter will be used. It is recommended that you use the “Tab” delimiter. Also select “Include Field Names on First Row” and change the “Text Quantifier” to “None”, and click “Next” to continue.

33. You will now be given the chance to name your file; it is suggested that you name the file that will easily identify it, and click “Finish”. If you plan on creating many of these types of files, it is recommended that you select the option to “Save Export Steps” and choose a name that will easily identify the delimited text file creation process.

### 18.5 Delimiters

**Delimiters**

A Delimiter is defined as a character used to indicate the beginning and end of a data string. Delimiters can be commas, periods, tabs, spaces, and even quotes. You will need to specify delimiters for your import file. Upon correctly setting delimiters, each field of your header record should appear on a different line at the Import Data Delimiter screen. If your data displays in one long row or contains strange characters the wrong delimiter was used. Select the appropriate delimiter to correct this problem.

**File Format Choices**
- **Standard Tab Delimited**: Works with all .TAB sample import files and standard .TAB files.
- **Standard Comma Delimited (CSV)**: Works with comma separated value (CSV) files.
- **Pipe**: Works with pipe delimited "|" values.

### 18.6 Import Session Report

**Import Session Summary Report**

The Import Session Summary details all records in the selected import session.

**To Generate Report**
1. At the **Preparing My Forms** task panel select the "Import New Tax Forms" link.
2. At the Completed and In-Process Import Sessions screen highlight an import session and click the “Amount/Totals Report” button.
   - The "Amount/Totals Report" button is ghosted 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 Import Session
Resetting an import session voids (deletes) all records. The only exception is if some records from a pending import session have been upgraded to filed status. Those records would not be voided. Voiding an import session does not delete recipient information from the master recipient database.

To Reset/Void Session
1. At the Preparing My Forms task panel select the "Import New Tax Forms" link.

2. At the Completed and In-Process Import Sessions screen highlight an import session and click the "Reset (Void) Session" button.
   - Only sessions with an Imported or Partial status are available for void.

3. Administrator prompts to confirm the void. Click "Proceed with Reset/Void" to continue or "Cancel" to abort. Session status immediately updates to Voided.

18.7 Reject Imports

Reject Imports

Records that contain certain errors are automatically rejected for import. Reject errors include:
- Missing Last Name and TIN
- Field contains non-allowed negative amounts

If the correct information is available, users should exit the Import Post Wizard and fix the record at the Edit, Post or Abandon Records screen. If the correct information is not available, users may proceed with their import. The rejected record is held at the Completed & In-Process Import Sessions screen and may be fixed at a later time.

For more information on Warnings, Errors and Reject Errors see Error & Validation Checking.

18.8 Review Import Session

Review Import Session

The second step of the import routine, Review Import Session, allows you to correct errors, delete records or abandon an import session.

To review import session
1. Verify you are at the Edit, Post or Abandon Imported Records screen. If you are not at this screen, access it by selecting your import session at the Completed and In-Process Import Session window and clicking the "Continue with Session" button."

2. At the Edit, Post or Abandon Imported Records screen the Error Messages column lists any errors or warnings. To correct an error highlight the record and click "Change". Make changes and click "OK". You are prompted to save changes to the record, click "OK". The error message should be removed.
3. If errors cannot be corrected (because the correct information is not available) you may either:
   - Click "Abandon This Session" to permanently delete all records. This deletes only these records from the import session; it does not delete other records in this session that have already been posted.
   - Click "Delete" to delete a single record.
   - Ignore errors and fix them later.

4. After making necessary edits and/or deletions click "Post This Session" to proceed to the final step of the import routine, Post Import Session.
   - Remember, any record not posted in this session may be modified and/or posted at a later date; simply repeat the above steps!

18.9 Independent Contractor Reporting Overview

The Independent Contractor Reporting (ICR) Service, offered by 1099 Pro Inc., provides a simple way for you to stay compliant with states that require that you inform them of payments that you make to contractors that your business hires. Many states have implemented such laws for the purpose of tracking and collecting child support and alimony from non-custodial parents. Because state laws change from year to year and because more states are adopting tracking and collection laws, compliance for businesses that do not have large legal staffs can be difficult. 1099 Pro's software solutions and web-based solutions such as ICR, help businesses stay compliant.

For a minimal fee, you can submit a single filing, hundreds of filings or thousands of filings to a state. Currently, our service supports filings with the state of California. However, we are diligently working to add support for more states within the coming months.

Using our service is very simple:
   - Setup a FREE account online.
   - Enter or upload your recipient information.
   - Enter or upload your provider information.
   - Add your filings to your shopping cart and pay for the submission of them.
   - We take care of the rest.

As an added bonus, if you already use 1099 Pro software to file your 1099's, then taking advantage of our ICR Service is even easier as we can get the information for your ICR filings right from your 1099 Pro export files! For customers that want to use our ICR Service but that do not use 1099 Pro software for filing 1099's, you can manually enter information or you can upload comma/tab delimited files.

Visit our website at http://www.1099icr.com for more information. Existing 1099 Pro customers receive a discount and/or free filing when using this service.
18.10 Voiding an Import Session

Review Import Session

This section will allows you to void previously imported records. In order for records to be voided they must match their original status.

RESET Session 1555 -- 12 imported 1099-INT forms
Please read carefully before proceeding!

What happens when you reset an Import Session...
- All tax forms associated with this import have original import status (or were manually deleted) and will be deleted as result of the reset process.
- If this was a partial import, all records still in the import hold file are also deleted.

What does NOT happen when you reset an Import Session...
- Recipient records added or changed during the import are NOT deleted or rolled back. If you wish to remove them, that must be done separately.

Form totals for each Status level for each Log within this Import Session

<table>
<thead>
<tr>
<th>Log Id</th>
<th>PCode</th>
<th>Rec Count</th>
<th>Form Status</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>_LC</td>
<td>12</td>
<td>Pending</td>
<td>Status same as imported</td>
</tr>
</tbody>
</table>

18.11 Importing from QuickBooks™

Importing from QuickBooks™

Please see the QuickBooks Import Wizard

19 Printing Overview

Printing Overview

Print Tax Forms
The 1099 Pro Print Wizard simplifies the printing routine; print to preprinted laser forms or blank stock. See **Print Tax Forms Wizard** for more information.

**Quick Print**
1099 Pro makes it easy to quickly print a tax form using the Quick-Print feature within the Enter, Update and View Screen.
See **Quick-Print** for more information.

**Print Status**
1099 Pro assigns a print status to all records. To determine a record's status go to the "Work with My Tax Forms" screen and refer to the Status column.
See **Print Status** for more information.

**Margin Alignments**
Alignment adjustments can be made when printing to blank stock (plain copy paper). After choosing blank stock select **Advanced Print Options** at the "Ready to Print" summary screen.

**Pre-Printed Forms Address Alignment**
The Print Wizard offers the opportunity to print a test alignment, and adjust margins accordingly, prior to printing forms. A test alignment to a blank sheet of paper is a smart way to minimize form waste.
See **Troubleshooting Margin Alignments**

**PCL Printing**
Please contact Technical Support for more information about this feature.
See High-speed **PCL printing** is designed for printing thousands of forms.

**Reprint Records**
1099 Pro makes it easy to reprint an individual record from a print session.
See **Reprinting Records** for more information.

**Reprint Print Sessions**
1099 Pro makes it easy to reprint a print session.
See **Reprinting Print Sessions** for more information

**Reset Print Sessions**
Only print sessions with a printed* status may be reset. Resetting a session automatically resets ALL records to pending status. To reset an individual record see **Print Status**.
See **Reset Print Sessions** for more information.

**Printing IRS Instructions Sheets**
Your 1099 Pro installation includes many useful 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.
See **Printing Blank Forms** for more information

**Troubleshooting Printer Issues**
1099 Pro 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** for more information

**Form Limits**
1099 Pro contains a feature called Form Session Limits which provides extra filtering options when printing forms. See Form Limits for more information.

PDF File Generation
Creating PDF files is fast and easy! 1099 Pro allows users to e-mail or electronically transfer PDF files via the Internet. To protect sensitive data users may optionally password protect PDF files and save them to a location on their hard disk or network. See Initial PDF Options for more information.

Advanced Print Options
1099 Pro offers an Advanced Print Option to allow you to shift the position of the Filer and Recipient Addresses either vertically or horizontally on a printed recipient copy and also force an “X” into the “Corrected” and VOID boxes on the form. These options are only available on copies for Recipients, not Federal or Local State copies or copies for your own records. See Advanced Print Options for more information.

19.1 Advanced Print Options
Advanced Print Options

1099 Pro offers Advanced Print Options to allow users additional print functionality when printing recipient copies. Choices made at this screen are unique to the individual print run and must be reset for subsequent print runs.

Advanced Print Options include:
• 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.
• Force an “X” in the Corrected* box
• Force an “X” in the Void* box (the Void box is available on a limited number of forms)
• Print “0.00” instead of blanks for all zero amounts.
• TIN Masking On/Off
• Address/Envelope Offsets - shift the position of the Filer and Recipient addresses up or down and left or right. Address adjustments are measured in hundredths of an inch from the DEFAULT placement. For example, a change of ".25" will shift address down or to the right 1/4-inch. Likewise, a change of “-.25” will shift address up or to the left 1/4-inch.

* Forcing an "X" in the Corrected or Void box does not create a valid correction or void a form. These boxes may only be checked on Recipient copies, not Federal, Local/State or Filer copies.

Related topics:
An Overview of Print Status
Print Wizard
About Forcing an "X" in the Corrected Box
TIN Masking
Using the Print Message Option
Adjusting Address placements for Non-Standard Envelopes
19.1.1 Inserting a Custom Print Message

Inserting a Custom Print Message

Why would I want to do this?
This is an optional task that allows you to notify your recipients with a custom message such as "Revised & Re-Issued" or "Corrected and Re-Issued" on the form. This way they have some indication of what was done whether it was a correction to a SSN number for example or a confirmation of an address change.

To select or enter a message, or force an "X" to be printed:
1. "The Special Options for this run only" tab allows you to specify an optional message to be printed on all Recipient copies for the print run. For your convenience, 1099 Pro provides a number of built-in messages, such as:
   - * Re-issued Form *
   - * Revised and Re-Issued *
   - * Corrected and Re-issued *
   - * Replacement Copy *
   - * Duplicate copy per request *

2. You may also force an "X" to be printed in the corrected box for the forms by placing a check mark in this option. For the few recipient copies that have a VOID box on them (most forms don't), you can force an "X" to be printed in that box as well.

19.1.2 Forcing an X

Forcing an X

Why would I want an 'X' in the Corrected box?
Many people regard these revised, re-issued forms as a correction, and want to have that box checked to help indicate to the Recipient that the new form has updated information on it. The Advanced Options will allow you to force an "X" and thus help avoid confusion for the recipient. What's important to understand is that the IRS does NOT regard this as a correction. Since the information has not yet been filed with them, they neither know nor care how many versions of a form have been issued and/or reissued before they get the final information.

Regarding formal IRS corrections (i.e., a correction to information AFTER it has been submitted to the IRS), the IRS has very strict rules about which forms should have the Corrected and/or Void boxes checked. That's why the Advanced Options are only available for forms that go to the Recipient -- send the IRS an original form with the Corrected box checked and it will probably be rejected.

To enter a message, or force an "X" to be printed:
1. "The Special Options for this run only" tab allows you to specify an optional message to be printed on all Recipient copies for the print run. For your convenience, 1099 Pro provides a number of built-in messages, such as:
   - * Re-issued Form *
   - * Revised and Re-Issued *
   - * Corrected and Re-issued *
   - * Replacement Copy *
2. You may also force an "X" to be printed in the corrected box for the forms by placing a check mark in this option. For the few recipient copies that have a VOID box on them (most forms don't), you can force an "X" to be printed in that box as well.

Reminder: Printing an "X" in the Corrected or Void boxes is purely visual. Checking these boxes does NOT create a valid correction or VOID a form. These special options apply to the current print run only. If you need to use them for more than one print run, you must set them again each time.

19.1.3 Making Address Adjustments

Making Address Adjustments

Address adjustments are measured in hundredths of an inch from the default placement. For example, a change of ".25" would result in the address shifting down or to the right 1/4 of an inch.

To modify the position of the address vertically or horizontally:

1. Choose the form type in the Current Form drop down menu (above the Forms & Printing section)
2. Choose the method to be used for selecting the 1099 form to be printed.
3. Click on the "Begin Print Process button" in the Print Forms for Recipients and the IRS screen.
4. Select the print stock you will be printing on, whether pre-printed, or blank stock forms. Click "Next"
5. Choose a sort order. Click "Next" to continue
6. Choose whether to preview the forms for printing. Click "Next" to continue
7. On the summary screen you are then presented with a summary of your current printer, print options, paper type, total recipients, selected form, sort order and other information.
   a. The Advanced Print Options button appears in the middle of the summary screen. Click on "Advanced Print Options" button.
8. On the Address/Envelope Offsets tab, begin by modifying the values for vertical and horizontal adjustments using the arrows. As you make your adjustments, the adjustment title will turn RED indicating that your adjustments may be too large. When finished click "OK."
9. To close this window, validate all of your settings and click "OK" or to abandon your settings click "Cancel". If you have made Advanced Printer Option modifications then click "Print" to preview your changes and/or click "Print" to print the form.
19.2 Form Limits Overview

Form Limits Overview

1099 Pro now contains a feature called Form Session Limits which provides extra filtering options when printing forms.

Why would I want to use a Form Session Limits Filter?
Let's say you have a group of 1,000 forms that need to be printed. You have already set the print process to generate, "ALL Pending forms for the current filer", however, you want to go the extra step and filter "ALL Pending forms..." with a Zip code range of 90001 thru 90650 because your intention is to filter these forms and narrow them down to a specific county geographically within a large town or county. The Form Session Limits Filter will make this possible.

19.2.1 Enabling Form Limits Filter

Enabling Form Limits Filter

To enable the Form Session Limits Filter:
1. At the Enter, Update and View Screen where you can browse forms, click the Forms & Printing section on the task panel to the left side of the screen.

2. Click the "Print Tax Forms" icon. The software displays the Printing Tax Forms Screen where you can choose a printing method based on the criteria of your current selected form. Your criteria selections are listed as "Begin printing IRS approved tax forms:
   • ALL Pending Forms for the current filer
   • ALL Pending Forms for all filers
   • Manually select forms for the current filers
   • ALL Pending forms for Selected filers

3. Put a check mark in the box next to the description: Show me the optional extra filters for limiting the number of records that will be selected.

4. Click the "Begin Print Process" button to execute the command.

19.3 PDF File Generation Overview

PDF File Generation Overview

What is a PDF file?
PDF stands for Portable Document Format. It's a distribution format developed by the Adobe Corporation to allow electronic information to be transferred between various types of computers. The software which allows this transfer is called Acrobat. In order to view and print a PDF file you will first need to download and install a copy of the Adobe Acrobat Reader.
To download and install Acrobat Reader, please visit Adobe.
Adobe Acrobat Reader may be installed in two different ways.
- As a plug-in to your browser, your PDF documents can be viewed directly in the browser window.
- As a stand-alone program, PDF files can be downloaded and viewed separately.

Why would I want to generate a PDF file?
Creating PDF files is fast and easy. For example: You want to E-Mail or electronically transfer your PDF file via the Internet. This is now the preferred method of generating a PDF file instead of printing through a PDF printer selection or driver through the print menu. In addition, you are given the option to password protect your PDF file and save it to a location on your hard disk or on a network as well as view it in Adobe Acrobat.

I plan on E-Mailing my information over the Internet and I'm concerned about security. Does 1099 Pro generate PDF’s that are secure?
1099 Pro offers the option to encrypt and password the PDF for security. This feature enables 1099 Pro to create and process encrypted PDF documents according to the Acrobat 5.0 standard. Encryption is commonly used to prevent unauthorized viewing, printing, editing, copying text from the document and doing annotations. You can then control how they are used. The "Standard Security" encryption feature of the PDF Library has been enhanced to provide 128-bit encryption support.

Click here to see the options available for PDF printing

19.3.1 Initial PDF Options

Initial PDF Options Window

Generate PDF Options
Generating PDF documents enables your organization to optimize the delivery of professional-looking, compliant documents. This feature, now available in 1099 Pro allows users to print reports to an encrypted PDF file which can be password protected. Follow the steps below to generate a PDF file.

Generate Tax Forms &/or Reports in PDF Format:

1. On the Printing & Mailing task panel select "Print/Mail Forms Myself". Use the Current Form drop menu to select the form type to process.

2. At the Begin Printing IRS Approved Tax Forms screen choose the method to select pending forms for print:

3. Click the "Begin a New Print Process" button to access the Print Wizard.

4. Select processing options for any records with errors or warnings at the Confirm Processing screen.

5. Select Printer and Paper Type:
   - Review the selected printer and change if necessary
   - Choose your paper type: Preprinted laser forms or Blank stock forms.

6. Select the copies you want to print.
• The Combined Print option, available when printing to Blank stock, prints all recipient copies and instructions on one sheet of paper

7. Select a sort order to print forms:

8. Select "Yes to preview each selected copy type without asking me"

9. Review print summary and if satisfied, click "Print" to begin printing.

10. As the Print Preview screen loads you will see icons in the upper right corner of the screen. (See image #1 below)
   a. Make a PDF - converts the print job to a PDF document and prompts you to save this file to a location on your hard drive. The default location (<%DEFAULTPATH%>\PDF) You may also view a PDF which converts the print job to a PDF document and then starts Adobe Acrobat to view the file and finally, you can Password Protect a PDF which prompts you to password protect the file before generating it and then allows you to save to a location on your hard drive.

   Click this button to begin the PDF generation process. The print screen will be displayed and then click ok to be taken directly to the PDF options screen.

(Image #1)

11. In addition you may use the "Search" feature to search for characters on any of the pages to be printed or use the "Toggle Stay after Printing" feature to keep the tax form or report preview on the screen.

12. When you are finished generating a PDF, indicate if forms are ready to send to the IRS:
   a. Select "I haven't printed my red Copy A yet..." if you are still printing copies of these records. These records have a pending status and are available for edits and further printing.
   b. Select "I have printed and verified my red Copy A forms..." after printing/approving all copies of these records. These records are assigned a printed status and are now ready to generate a 1096 transmittal.

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

19.4 Printing Blank Forms Overview

Printing Blank Forms Overview
Your 1099 Pro installation includes many useful 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.

See View & Print IRS Tax Forms & Instructions

19.4.1 Print IRS Form & Instructions

Print IRS Forms and Instructions

To View Local Files
1. On the Help & Extras task panel select “IRS Pubs & Links”.
   - Corporate Suite Users: On the menu bar select Forms > IRS/SSA PDF Instructions and Blank Forms.
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.

To View Files on Internet
1. User must have an active Internet connection.
2. Follow the appropriate links provided at the Browse IRS Tax Forms help topic.

IMPORTANT: Copy A Forms and 1096 / W-3 Transmittals
The IRS requires all Copy A forms and 1096 and W-3 Transmittal sheets to be preprinted with a special red ink that is invisible to their scanners. Do NOT send a black and white printout of any of these forms as they will be rejected.

19.5 Email: Emailing tax forms

E-Mail Tax Forms

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

1099 Pro software uses the default mailing client for your computer. Users without a default mailing client setup will be unable to send encrypted PDF documents to recipients through the 1099 Pro software. See No E-Mail Client Detected.

E-Mail Tax Forms
Tax forms are e-mailed individually to recipients.

1. At the Preparing My Forms task panel click the “Work With My Tax Forms” link.
2. At the Work With My Tax Forms screen highlight the recipient to e-mail a tax form to and click 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 e-mail address was included in your import file (using the `Rcp Email` column header). Otherwise the field is blank and the e-mail 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 complex a 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.** For example, 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 e-mail, "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." Users may alternately enter a password of their own choosing.
   - **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**
     - Force an X in the "Corrected" checkbox.
     - 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.

### 19.6 Email: No email client

**Email: No E-Mail Client Detected**

If you do not have a default email client setup (Examples: Microsoft Outlook, Mozilla Thunderbird, gmail) you will see the below image letting you know where a PDF version of the tax form you were going to send will be saved, the email address it was going to, the subject line for the aforementioned email and the text.
19.7 Assigning a Printed Status

Assigning a Printed Status

Select this option after printing and approving all copies of these records (including Copy A). These records are assigned a printed status and are now ready to generate a 1096 transmittal or electronic file.

Print Status Overview

19.8 Field Sizes

Field Sizes

Listed below are the maximum number of characters that will print in the respective field. In some fields, 1099 Pro may allow the entry of more characters than will actually print. The maximum printable characters is assumed numeric unless otherwise stated. Some field sizes are dependent on the selected address type; USA, Canada or Other (foreign, not Canada).

For form specific data fields please see Import Field Definitions and Data Types.
Filer Data
Location Code/Establishment No. = 4
Filer Name = 36
Filer Name 2 = 36
Address 1 = 36
Address 2 = 36
City = 21
State = 2
ZIP = 9
Department = 6
Contact Name = 24
Phone Number = 10
Extension = 5
RTN = 9
Fax Number = 10
E-Mail = 40

Recipient Data
If using an SSN:
First Name = 40
Last Name = 40
Name Line 2 = 40

If using an EIN:
Company = 40
Name Line 2 = 40

State ID Numbers
State Abbreviation = 2
State ID Number = 14
Recipient Data
If using an SSN:
First Name = 40*
Last Name = 40*
Name Line 2 = 40*

If using an EIN:
First name = 40
Company = 40
Name Line 2 = 40

USA Address Type
Address = 40
Address 2 = 40
City = 21
State = 2
ZIP = 9

**Canadian Address Type**
Address = 40
Address 2 = 40
City = 21**
Province = 2
Postal = 6 (plus 1 space)

**Other Address Type**
Delivery/St. = 40
Other/loc. = 40
City/Postal = 40
E-Mail = 40
Account Number = 20

**Optional Grouping Fields for Querying**
Form Source = 12
Category = 6

Note: *The First & Last Name fields print a combined maximum of 37 characters (plus one space) UNLESS the Last Name field contains 24 or more characters AND the First Name field contains 14 or more characters; then the First Name field prints only 1 character regardless of actual characters in that field. If there are 20 or more characters in the City field, "Canada" is automatically truncated to "Cana".

**19.9 Margin Alignments**

**Margin Alignments**

**Alignment Adjustments when printing to Blank Stock**
Alignment adjustments can be made when printing to blank stock. After choosing blank stock you can select Advanced Print Options at the “Ready to Print” summary screen.

**Pre-Printed 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.
To Test Alignment
Initiate the Print Wizard; it automatically prompts to print a test alignment prior to printing your forms*.

- If selecting preprinted laser as your paper type, you are prompted to test alignment after selecting your copies to print. For your first test print do not modify the default Top and Left margin settings. 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.

Review Margin Limitations

19.10 PCL Printing

PCL Printing

Please contact Technical Support for more information about this feature.

High-speed PCL printing is designed for printing thousands of forms. In order to provide an efficient and effective way to control printer features across many different printing devices, HP created PCL. PCL was originally conceived and devised for HP’s dot matrix and Inkjet printers. The first printer in HP’s LaserJet series, the HP LaserJet was released in 1984 with the PCL 3 version of the language.

PCL commands are compact escape sequence codes that are embedded in the print job before being sent to the printer. Issuance of the sequence was relatively easy from any high level language or form assembler. HP PCL formatters and fonts were designed to quickly translate application output into high-quality, device-specific, raster print images. The PCL printer language is common to virtually all HP printers, but not universal and not always backward compatible. This conceptual thinking enabled HP to minimize printer support problems and protect HP printer investment in applications and printer driver software. It is why the HP laser printers quickly became the industry standard.

The PCL printer language is successful because the following points remain consistent across all levels:
1. All HP LaserJet series printers implement PCL printer language features consistently.
2. HP printers implement the PCL feature in very cost-effective formatters.
3. HP printers have the ability to ignore most unsupported commands without causing the printer or
issuing device to crash.

There are six major levels of PCL. The creation of these levels was driven by the combination of printer technology developments, changing user needs and application software improvements. The first versions of PCL (PCL 1 and 2) were used in HP impact and Inkjet printers in the early 1980s. The major phases of the PCL printer language are as follows:

**PCL 1** This version is supported by all HP LaserJet series printers (except the HP LaserJet 3100 and 3150 series products). It provided very basic printing and spacing functionality, but was limited to only text printing and ASCII characters. PCL 1 is the foundational base set of functions provided for simple, single-user workstation output. It was created in the late 1970s and introduced in the late 70s and early 80s.

**PCL 2** As was PCL 1, this version is supported by all HP LaserJet series printers (except the HP LaserJet 3100 and 3150 series products). Hence it covered all PCL functionality and provided Electronic Data Processing/Transaction functionality. Functions were added for general purpose, multi-user system printing, but still in ASCII printing only. It was Introduced in the early part of 1982.

**PCL 3** This was the first of the intelligent series of efforts by HP to incorporate graphics, crude as they were back then. It was the embedded code for the original HP LaserJet series printer, and the HP LaserJet Plus series printer. This version provided the commands and features required for simple high quality word processing and data printing. Allowed for the use of a limited number of bitmapped fonts and graphics. It quickly rost to the position of industry standard and PCL 3 was widely imitated by other printer manufacturers, commonly referred to as "LaserJet Plus Emulation" when used by other companies. It came out in 1984.

**PCL 4** This industry standard release was the embedded code for the HP LaserJet Series II, commonly referred to as the workhorse laser, the HP LaserJet IID, HP LaserJet IIP, and HP LaserJet IIP Plus. It had a host of new page printing capabilities, including support for macros, larger bitmapped fonts and graphics. Introduced in 1985, it was the most radical of version improvements and would be more than sufficient for users for several years.

**PCL 5** As the foundation of the HP LaserJet III, HP LaserJet IIIID, HP LaserJet IIIP, and HP LaserJet IIISI, PCL 5 provided ultimate office publishing functionality. It was released to allow compatibility for industry acceptance for font scaling, outline fonts and HP-GL/2 (vector) graphics. PCL 5 was designed for more complex desktop publishing, graphic design, and presentation applications. Introduced in mid-1990 with the HP LaserJet III, this is the most widely used version of PCL compatibility in use by customers.


**PCL 5C** (Color) This was also an enhancement to PCL 5 to add functional color support for HP Color LaserJet, HP Color LaserJet 5, HP Color LaserJet 5M, HP Color LaserJet 2500 series, HP Color LaserJet 4500 series, HP Color LaserJet 4550 series, HP Color LaserJet 4600 series, HP Color LaserJet 5500 series, HP Color LaserJet 8500 series and HP Color LaserJet 8550 series printers. It offered no other changes except the commands needed to support color printing.
PCL 6  This version offered significant changes in the backward compatibility issue for HP. PCL6 is very different from PCL5 and previous PCL versions. One significant difference is the manner in which the commands are sent to the printer. The target was performance and reliability; the jury is still out on the question of better. Prior to PCL 6, each new version of the language included commands not found in older versions as well as the older PCL commands. As a result, printers with more recent versions of PCL are backwards compatible with software that supports older versions of the language. PCL 6 was released with the HP LaserJet 4000 series, HP LaserJet 4100 series, HP LaserJet 2100 series, HP LaserJet 2200 series, HP LaserJet 1200, HP LaserJet 3200, HP LaserJet 3300, HP LaserJet 4200 series, HP LaserJet 4300 series, HP LaserJet 5000 series, HP LaserJet 5100 series, HP LaserJet 8000 series and HP LaserJet 9000 series printers. PCL 6 features new modular architecture that can be easily modified for future HP printers. The efforts for faster, post printing return to application have made somewhat of a problem with older operating systems. Other performance efforts are faster printing of complex graphics, more efficient data streams for reduced network traffic, better WYSIWYG printing, improved print quality, truer document fidelity, and complete backward compatibility. The compatibility issues have caused many users to select PCL 5 as the language version.

The PCL printer commands activate the printer features. Be design, HP provided four general types of HP printer language commands. Control codes, PCL commands, HP-GL/2 commands and PJL commands. A control code is a character that initiates a printer function (for example, Carriage Return (CR), Line Feed (LF), Form Feed (FF), etc.).

PCL commands provide access to the printer's PCL control structure. The PCL structure controls all of the printer's features except those used for vector graphics, which are controlled by the HP-GL/2 commands. PCL commands (other than single-character control codes) are also referred to as "escape sequences." That design provided very easy use from high level programming languages and in reality, made the PCL the industry standard. The terms are used interchangeably. Once a PCL command sets a feature of the printer that feature remains set until that PCL command is repeated with a new value, or the printer is reset to default. In other words you turn on the feature and then turn it off.

HP-GL/2 (vector graphic) commands are two letter codes that represent the function of the command (such as IN for initialize). After the two-letter mnemonic, there may be one or more parameters that identify details of how to process the command.

HP made great efforts to yield an ease on selecting feature and capabilities in the PCL designs and procedures. That ease rewarded HP with the popularity that is second to none in the industry for laser printers. They have been active in creating other printer languages and utilities as well, such as PJL, a JCL type language and utility.

19.11 Print Session Report

Print Session Report

The Print Session report summarizes all records in a selected print session. Details include recipient name, TIN, address, account number, individual box amounts and the record's print status.

To generate this report
1. On the task panel select the Forms & Printing section and the Print Tax Forms icon. Use the Current Form drop down menu to select the form type to process.
2. At the Completed Print Session List highlight a print session and click the "View/Print Session Report" button. Click "Yes" to preview the report.
19.12 Printing Tax Forms Wizard

Print Wizard

Print Tax Forms Wizard

The Print Wizard simplifies the process of printing tax forms. 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 may be printed individually via Quick-Print or in batch via Group Actions.

☐ See Printing and Mailing via the Service Bureau

To Print Via Print Wizard

1. At the Printing & Mailing task panel click the "Print/Mail Forms Myself" link.
   - Corporate Suite Users: At the Forms & Printing task panel click the "Print Tax Forms" link. 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.

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.

6. Confirm Processing: This screen is triggered only if any records in the print run have errors or warnings. Filing records with missing or invalid data may result in the record being rejected by the IRS. If your data contains no errors or warnings this screen will not appear. Users may choose to:
   - 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 report. To proceed with the Print Wizard click "Next". Use the "Back" button at any time to go back a step.
8. Select Printer and Paper Type and then click "Next" to continue.
   - Review the selected printer and change if necessary
   - Choose your paper type:
     - **Preprinted** laser forms: Including IRS red Copy A forms
     - **Blank** stock forms: Select to use the Combined Print option (at the next screen) which prints all recipient copies and instructions directly to blank paper.
     - Pressure Seal/Alternate Combined Layouts: Some form types offer unique print layouts. For example, 1042-S has an alternate layout to allow additional characters in the recipient name fields.

9. Select copies to print. Multiple copies may be selected; user is prompted to load preprinted copies into the printer as required.
   - Review various ways to Safeguard TINs

10. Verify Print Alignment (preprinted form users only). Users are highly encourage to print a test alignment to BLANK paper prior to inserting 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 as necessary. When satisfied, click "Next" to continue.
   - Adjustments: Are measured in hundredths of an inch, e.g. "0.25" will shift the margin 1/4-inch.
   - Top Margin: Positive numbers move the data down, negative numbers move data up.
   - Left Margin: Positive numbers move the data right, negative numbers move data left.

11. 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. 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

14. Review print summary and **advanced print options**. When ready to proceed click "Print". The Print Wizard pauses before printing each copy and prompts you to load the appropriate form into the printer.
    - **FALSE PRINT**: To change a record's print status from Pending to Printed WITHOUT printing any forms do NOT select any copies to print. The Administrator will prompt you to press the "Print" button.

15. Indicate if forms are ready to send to the IRS/SSA:
    - **NO - I haven't printed my finalized or red Copy A yet**. These forms continue to have a 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 Printed status and are no longer available for edits. These forms are ready to transmit to the IRS via electronic filing or on a 1096 transmittal.
16. Click "Finish" to exit the Print Wizard.

**ATTENTION**

New IRS regulations effective as of 2015 make printing Form 1042-S difficult.
- A substitute form 1042-S, Copy A, must be an exact copy of Form 1042-S. If it is not, the form may be rejected as incorrect and the IRS may impose penalties; see page 1 of the 1042-S Instructions for more information.
- Copies B, C, and D MUST be identical to the IRS form (Publication 1179).

Because box and font sizes cannot be changed, unavoidable situations will be encountered:
1. Users may have more data than will fit into a box(es).
2. Mailing addresses must print separately at the end of each printout.

**Available Print Options Include:**

**Paper is Blank Stock (plain or pre-perforated)**
- Combined Copy B, C and D with address – This prints out two pages that when folded into thirds fit neatly into our #8888-1 envelope. (two pages)
- Combined Copy B, C and D with address AND check “Print instructions after each combined form” – This print out is also meant to be folded into thirds for use with the #8888-1 envelope. Duplex this print run if possible as it is four pages.

**Paper is Pressure Seal/Alternate Combined Layouts** (Both options print four pages and should ideally be duplexed)
- 7985E option should be folded in half for use with the #7985E envelope.
- 8888-1 option should be folded into thirds for use with the #8888-1 envelope.

If needed, the paper stock item #BLW2 has a perforation for folding in half and #BL1099 has two horizontal perforations for folding into thirds.

Alternatively, consider using the 1099 Pro Service Bureau to print and mail your forms.

**19.13 Puerto Rico compliant tax forms (CS version only)**

**Puerto Rico Compliant Tax Forms**

The features contained within this section are available exclusively to users of the Corporate Suite edition of our software.

1099 Pro Corporate Suite (CS) software supports enhanced Puerto Rico form printing from both the desktop and ASP web interface.

This section of the help file will assist you with printing tax forms that are acceptable in Puerto Rico. This feature is accessible in either the "Quick-Print" or "Print tax forms" sections of the software. Additionally, Puerto Rico compliant tax forms can also be printed from our ASP interface, specifically via the quick print function in the software. Please see the section of the help file entitled, “For Puerto Rico Printing via the ASP web interface”, for more information.

The following information is for Corporate Suite only. Please see below for instructions on printing Puerto Rico forms.
These steps are to be used when you are asked to select what type of paper to use in either the "Quick
Print” or "Print tax forms screen”. To Print 1099-R’s on approved Puerto Rico forms in the CS software:
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 the “Select” button.
4. Click the "Print Now" button.

Since there are multiple pages required for a Puerto Rico 1099-R compatible printout (6 pages per recipient), it is recommended that you put the printer in duplex mode before printing. Currently address information is spaced to fit into an 8888-1 envelope. If needed 1099 Pro can create a template for the address information to be displayed properly with other envelopes.

To Print 1099-Int’s on approved Puerto Rico forms:
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 the “Print Now” button.

Since there are multiple pages required for a Puerto Rico printout (4 pages per recipient), it is recommended that you put the printer in duplex mode before printing. Currently address information is spaced to fit into an 8888-1 envelope. If needed 1099 Pro can create a template for the address information to be displayed properly with other envelopes.
To Print 1099-Misc's on approved Puerto Rico forms:
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”.
   a. Select “Puerto Rico 480.6A Corp/Partners” to print 1099-Misc Copy A Puerto Rico forms for Corporations or Partnerships.
   b. Select “Puerto Rico 480.6B Corp/Partners” to print 1099-Misc Copy B Puerto Rico forms for Corporations or Partnerships.
   c. Select “Puerto Rico 480.6A Individuals” to print 1099-Misc Copy A Puerto Rico forms for Individuals.
   d. Select “Puerto Rico 480.6B Individuals” to print 1099-Misc Copy B Puerto Rico forms for Individuals.
2. Click "Select”.
3. When you are done selecting the type of form you want to print, click “Print Now”.

Note: Since there are multiple pages required for a Puerto Rico printout (4 pages per recipient), it is recommended that you put the printer in duplex mode before printing. Currently address information is spaced to fit into an 8888-1 envelope. If needed 1099 Pro can create a template for the address information to be displayed properly with other envelopes.
To Print 5498’s on approved Puerto Rico forms:

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".

Since there are multiple pages required for a Puerto Rico printout (6 pages per recipient), it is
recommended that you put the printer in duplex mode before printing. Currently address information is
spaced to fit into an 8888-1 envelope. If needed 1099 Pro can setup a template for the address
information to be displayed properly with other envelopes.

<table>
<thead>
<tr>
<th>Vendor</th>
<th>Paper Format</th>
<th>Print Style</th>
</tr>
</thead>
<tbody>
<tr>
<td>Moore/Wallace</td>
<td>8 1/2&quot; x 11&quot;, Single Sided, Z Fold</td>
<td>Preprinted</td>
</tr>
<tr>
<td>MW 353 Pressure Seal</td>
<td>Copies 2 B with Preprinted Instructions</td>
<td></td>
</tr>
<tr>
<td>Moore/Wallace</td>
<td>8 1/2&quot; x 11&quot;, Single Sided, EZ Fold</td>
<td>Blank</td>
</tr>
<tr>
<td>N11EZ Pressure Seal</td>
<td>Copy B, Instructions</td>
<td></td>
</tr>
<tr>
<td>Moore/Wallace</td>
<td>8 1/2&quot; x 11&quot;, Single Sided, Z Fold</td>
<td>Blank</td>
</tr>
<tr>
<td>N11Z Pressure Seal</td>
<td>Copy B, Instructions</td>
<td></td>
</tr>
<tr>
<td>Moore/Wallace</td>
<td>8 1/2&quot; x 11&quot;, Duplex, C Fold</td>
<td>Blank</td>
</tr>
<tr>
<td>N11C Pressure Seal</td>
<td>Copy 2 B, Instructions</td>
<td></td>
</tr>
<tr>
<td>Nelco</td>
<td>8 1/2&quot; x 11&quot;, Single Sided, Z Fold</td>
<td>Blank</td>
</tr>
<tr>
<td>LMISCPSB Press Seal</td>
<td>Copies 2 B with Preprinted Instructions</td>
<td></td>
</tr>
<tr>
<td>Relyco</td>
<td>8 1/2&quot; x 11&quot;, Single Sided, Z Fold</td>
<td>Preprinted</td>
</tr>
<tr>
<td>PS350 Pressure Seal</td>
<td>Copies 2 B with Preprinted Instructions</td>
<td></td>
</tr>
<tr>
<td>Std Register</td>
<td>8 1/2&quot; x 11&quot;, Single Sided, Max 4 Filler Lines</td>
<td>Preprinted</td>
</tr>
<tr>
<td>0775</td>
<td>Copy 2 B, Instructions on Back, Preprinted</td>
<td></td>
</tr>
<tr>
<td>TFP Data System</td>
<td>8 1/2&quot; x 11&quot;, Single Sided, Z Fold</td>
<td>Preprinted</td>
</tr>
<tr>
<td>5113 Pressure Seal</td>
<td>Copies 2 B with Preprinted Instructions</td>
<td></td>
</tr>
</tbody>
</table>
For Puerto Rico Printing via the ASP web interface.
The 1099-R, 1099-Misc, 1099-INT or 5498 Puerto Rico tax form can be printed using the "Quick Print" option in the ASP interface.
1. Click on the record that needs to be printed.
2. Click on the "Quick Print" button on the bottom left corner of your screen.
3. Make sure the box to the left of the "Use Puerto Rico 480.x format instead of US format" is checked.

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.

19.14 Quick Print

Quick-Print

1099 Pro makes it easy to quickly print an individual form using the Quick-Print feature. Please visit https://www.1099pro.com/videos.asp and watch the "Using Quick-Print" video for a brief tutorial on this process.

- To reprint a group of forms, regardless of print status, please see Group Actions.
- To reprint an entire print session, as opposed to an individual form, see Reprint Print Session.

ATTENTION
Because of new regulations from the IRS for 2015 printing of the 1042-S records can be difficult:
A substitute form 1042-S, Copy A, must be an exact copy of Form 1042-S. If it is not, the form may be rejected as incorrect and the IRS may impose penalties; see page 1 of the 1042-S Instructions for more information.

Copies B, C, and D MUST be identical to the IRS form (Publication 1179)

Because box and font sizes cannot be changed you will encounter unavoidable situations:

- Where you have more data than will fit in the box.
- Because we can’t modify the layout of the 1042-S, the addresses now have to print separately at the end of each printout.

Your print options include:

- Paper is Blank Stock (plain or pre-perforated)
- Combined Copy B, C and D with address – This will print out 2 pages that if folded into thirds they will fit into our 8888-1 envelope. (2 pages)
- Combined Copy B, C and D with address & check Print instructions after each combined form – This print out is also meant to be folded into thirds for use with the 8888-1 envelope. Note: You should duplex this print run if possible as it is 4 pages.
- Paper is Pressure Seal/Alternate Combined Layouts (Note - both print 4 pages and should be duplexed)
  - 7985E option should be folded in half for use with the 7985E envelope
  - 8888-1 option should be folded into thirds for use with the 8888-1 envelope

If needed the paper stock BLW2 has a perforation for folding in half and the BL1099 paper has two horizontal perforations for folding into thirds.

Alternately, consider using the Service Bureau to print and mail these forms.

**To Quick-Print a Form**

1. At the Preparing My Forms task panel select the Work With My Tax forms link. Use the Current Form drop menu to select the form type to print.
   - Corporate Suite Users: At the Forms & Printing task panel select the Browse, Enter & Edit link. Use the Current Form drop menu to select the form type and Current Year to select the tax year.

2. Highlight an existing record and click the "Quick-Print Form" button to access the Print Options screen.

3. Select the printer to use.

4. Select the type of paper:
   - Preprinted forms - including IRS/SSA red copy A. Adjust margin alignment as necessary.
   - Blank stock - print the form and data directly to blank paper.
   - Pressure Seal/Alternate Combined Layout (ACL)

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 in previous step.

6. 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

7. Select the sort order to print forms (this field is ghosted if the print session contains only one record):
   - By Last Name/Company Name (default)
   - By TIN/Name/Account
   - By Zip Code (use to pre-sort mailings for the post office)
   - By State Abbreviation
   - By Account/Name

8. Advanced Options are only available for Recipient copies. Settings apply to all forms in 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 an "X" in the Void box. Most forms do NOT have a Void box. IMPORTANT: Forcing an "X" does not void a form.
   - Force "0.00" instead of blanks for all zero amounts
   - Modify TIN Masking settings

9. Click the "Print Now" button to print or "Cancel" to exit the screen.

19.15 Reprint Print Sessions

Reprint Print Sessions

1099 Pro makes it easy to reprint a print session.

To reprint a print session

1. On the task panel select the Forms & Printing section and the Print Tax Forms icon. Use the Current Form drop menu to select the form type to process.

2. At the Completed Print Session List highlight a print session and click the "Reprint Session" button.

3. At the Print Options screen select the paper type; Preprinted forms, or Blank stock. If selecting pre-printed forms, adjust margin alignment as necessary.

4. 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

5. Select the sort order to print forms (this field is ghosted if the print session contains only one record):
   - By Last Name/Company Name (default)
   - By TIN
   - By Zip Code (use to pre-sort mailings for the post office)
   - By State Abbreviation
that session to pending status. This is usually for making a revision to a tax form. For Example: an incorrect address, a dollar amount, or a TIN number…etc. To reset an individual record see Print Status.

**To reset session**
1. On the Printing & Mailing task panel select the "Print/Mail Forms Myself" link. Use the Current Form drop down menu to select the form type to process.
2. At the Completed Print Session List highlight a print session and click the "Reset (VOID) Session" button.
3. The software prompts, "Are you sure you want to reset these records to pending status?" Click "Yes" to proceed or "No" to cancel.

* After a print session is filed, users must first void any associated transmittal (i.e., 1096, W-3 or 1042-T) and then may reset the print session.

### 19.18 Troubleshoot Printer Issues

**Troubleshoot Printer Issues**

**Margin Limitations**
1099 Pro prints to most Windows compatible printers, 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 if you 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 work around is to print 2 forms to a page instead of 3 forms per page.

**Postscript Drivers**
1099 Pro prints to almost all 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.

**Help File Print Problems**
Some print drivers may have difficulty printing hot spot or jump items. For example, instead of printing a dotted or solid line underneath the hot spot/jump item, only a blank line prints. To resolve this issue install an HP 4L print driver and set it as the default printer.

**Default Printer**
1099 Pro 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 Errors**
Occasionally a virus checker (e.g., Norton, McAfee) can corrupt the 1099 Pro installation and cause random, inexplicable errors. If this happens, backup your data files, perform a custom uninstall and
then reinstall the software with the virus checker disabled.

12 CPI (characters per inch)
1099 Pro prints at 12 CPI to allow the maximum number of characters per field (e.g., 36 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 fine you $50 for each form!, or
- On your Windows desktop click "Start", "Settings", "Printers" and highlight the printer. Right click your mouse, select "Properties" and click the "Device Options" tab if available (may not be available). You must know what control code(s) will 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 indicates your driver is obsolete then consider installing an additional print driver.

Go to the Windows Machine connected to the printer. Click "Start", "Settings", "Printers" and "Add Printer". In the left window select "Generic" and then "Next". Keep your existing driver, select LPT1 (if appropriate) and name the printer "Generic12CPI". Indicate this is NOT the default printer and if prompted, provide the computer with your Windows CD. After installing this new print driver verify paper size is 8½-inch x 11-inch and dip switches are off.

If you are on a Windows Network you must install this "Generic12CPI" driver on the computer connected to the printer and allow sharing. To allow sharing click "Start", "Settings", "Printers", right click on "Generic12CPI" and select "Sharing".

19.19 View Selected Records

View the Records Selected for this Process

This screen will give you a preview of the records selected for this print process. This information is also available via log reports.

20 Queries

Queries

1099 Pro offers predefined queries to filter your data. The Current Query drop menu is available at the Work with My Tax Forms, Filer Master List and Recipient Master List screens.

Pre-defined Queries include:
- Corrections (Filed)
- Corrections (Not Filed)
- Errors and Warnings
- Filed Original Forms
- Forms with Notes
- Pending Original Forms
- Printed Original Forms
- Voided Original Forms
Recipient
- Has notes
- Only SSN
- Only EIN
- TIN nonstandard
- Foreign, Canada, US for various addresses
- Open W-9s
- Any W-9s

Filer:
- Has notes
- SSN
- EIN
- Combined Fed/State filing program

20.1 Custom Query using Manual Override

Custom Query using Manual Override

To define a custom query using the manual override feature follow the steps below. To allow for even more customization in defining a custom query, sophisticated users can quickly build expressions from scratch using the Expression Builder which has additional Date and Function Categories.

1. At the Query Wizard Field Selection window, click the "Manual" button in the lower left of the window.
2. In the Query Wizard Manual Override screen you may choose pre-selected fields from the "field list.". To open the Expression Builder click [...] to the right of the Field List.

- **Data and function categories**: Select the category of the function to be applied in this column.
- **Data and function names**: Contains a list of logical expressions to be applied to the query. A logical expression consists of a field, operator and value.
- **Validate**: This button will compile and determine if the current expression has been constructed properly.
- **Clear**: Removes the contents of the current expression from the expression builder main screen.
- **Insert**: Inserts the currently highlighted "Data and function name" into the Expression Builder Window.
- **Ok**: Executes the "Validate" feature to check the validity of the expression and saves your expression.
- **Cancel**: Closes the expression builder and returns you to the Query Wizard "Field Selection screen.
- Once you have saved your expression, you can select it form the "Current Query" drop-down menu at any time.

### 20.2 Custom Query Wizard

#### Custom Query Wizard

The Query Wizard allows custom access to your data via an intuitive wizard driven interface. All users can quickly create and save customized queries and then re-use those queries.
1. 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 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 may 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 may add any additional selection criteria as needed.
   - Use the "Change" button to change your 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.

20.3 Select a User

Select a User

The Select a User screen displays all users. Use to select an individual user for querying or reporting purposes.

21 Reports

Reports

Troubleshooting
If while printing from the Report Filter and Forms Selection Options section you come across: (Example Reports won't print.)
See Trouble-shooting Control Total Reports for more information

See Control Totals Reports for more information
Also See Form Counts and Forms Issued by Filers

21.1 Form Control Totals

Form Control Totals
The Control Totals report is an invaluable tool for reviewing recipient records and pinpointing recipient errors and warnings. Information contained in this report includes:

- Form type
- Filer’s Name and TIN
- Recipient’s First Name, Last Name, TIN, Account Number and optionally, their Address
- Individual record print status and date of last update
- Box-by-box totals
- Errors and Warnings
- Number of missing TINs and more....

To Run Control Totals Report

1. Select the appropriate form type and filer.

2. At the menu bar select Reports > Control Totals for Current Filer & Form Type.

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 PendingOriginals for this filer
   - All Original Forms for this Filer
   - Use Query Wizard to choose or create a query
   - Manually select records (tagging)

3. Error and Warning Messages - Choose how to print warnings and/or errors. **This option is only available if Extended Version is selected under Report Format Options, below.**
   - Don’t print error and warning details
   - Print error and warning details
   - Print ONLY forms with errors and warnings
   - Print ONLY forms with errors

4. Report Record Ordering Options - Choose how to sort the records:
   - By Last Name
   - By TIN
   - By Account Number, then Last Name

5. Report Format Options - Choose a report format:
   - Summary Version (amounts only, no address, text or error/warning detail)
   - Extended Version (all form details including address and errors/warnings)

6. Additional options include:
   - Add custom notes for this report run
   - Print totals only (suppress individual form details)
   - Print Preview

7. To generate report click "Print Now".

8. At the preview screen go to the last page to view box-by-box totals.
21.1.1 Troubleshooting Control Totals

Troubleshooting Control Totals

If while printing from the Report Filter and Forms Selection Options section you come across: (Example Reports won't print.)

Solution:
- Verify that you have selected the correct form type (i.e. 1099-MISC) from the drop down arrow to the left of the report.
- Verify that you have specified the right status. (i.e. "All Original Forms" [Except Corrections]). This means that every form regardless of the current form status will be displayed.
- The "All Pending Forms" option will display forms that truly are in Pending Status. "The Pending Corrections for this Filer" option does not appear in the View/Print Control Total Reports screen unless you have a minimum of at least one form with a Corr/Pending status.

21.2 Form Counts

Form Counts by Filer

The Form Counts by Filer reports generates a listing of all forms sorted by filer, detailed by print status. The last page of the report tallies forms with errors and/or warnings and indicates if original or corrected. This report is very useful for tracking the status of your forms and determining if records contain any errors or warnings.

To Run Form Counts by Filer
1. At the menu bar click "Reports" and "Form Counts by Filer/Status (all Filers/all Form types)".
2. Click "Yes" to preview the report.

21.3 Forms Issued By Filer

Forms Issued by Filer

The Summary of Forms Issued by Filer provides detailed recipient information for all forms issued by the selected filer(s).

To Run 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 checkmark appears beside each tagged filer. To sort filers prior to tagging, use the View drop menu.
   - Review Tag Key Shortcuts
4. After tagging appropriate filers click "Proceed" to run the summary.
21.4 Import Map Reports

Import Map Reports

The Import Map report is an invaluable tool for reviewing import maps.

To generate or view an Import Map report
1. Click on "Import New Tax Forms" under "Preparing My Forms" on the Task Panel OR Click on Utilities at the top Menu Bar, then click "Run the Import Wizard"
2. Click on "Import records from a Delimited text file" button
3. Click the "Next" button on the Import LOAD Wizard / Step 1 Screen
4. Click on "Add/update (form type) Import maps" button
5. Highlight the Import Map you created in the "Manage (Form type) Import Maps" Screen
6. Then Click on "View/Print Map" button
7. When prompted to Preview the Report click yes or you may click "NO" to send the report directly to your default printer.
8. If you elected to Preview the Report, you can view the report on screen.
9. When satisfied with your selections click the printer icon to "Print Now".

Information contained in this report includes:
- 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...

21.5 Late Add/Corrections Report

Late Add/Corrections Report

The Late Add/Corrections report allows you to generate a report that reflects which Late Adds and Corrections need to be filed or have been filed since a specified date. To generate a Late Add/Corrections report, select the "Reports" option from the top menu.
21.6 Daily Totals Report by UserID

Daily Totals Report by UserID

The Daily Totals Report by UserID will display the total's for changes made via manual entry by UserID. You will need to specify the date you want to check, and which filer's and/or specific forms you want to be included in the report. This report is useful for verifying changes made to records by an individual user.

22 Service Bureau Overview

Service Bureau Overview

Why should I use the Service Bureau?
NO customer has EVER incurred an IRS penalty 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 SSAE 16 SOC I TYPE II environment. We provide Printing and Mailing, Electronic Delivery, Web Presentment, Bulk TIN Matching, and IRS Filing services to thousands of our users.

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

We've made the process simple:
1. Purchase the appropriate 1099 Pro software package for the type of form you wish to file.
2. Call or E-Mail our Service Bureau to schedule an appointment date. We must have your data by the
agreed upon appointment date to ensure that it is posted online, mailed or filed by the IRS deadline.
3. Enter your data into the software via the Import Wizard or manual entry.
4. Use the Service Bureau Wizard to quickly and easily create, approve and transfer your upload file.

☐ Customers are encouraged to schedule their upload appointments now! Rates and availability are not guaranteed until your appointment is booked.

Contact the SSAE 16 SOC I TYPE II Service Bureau
Contact the 1099 Pro Service Bureau team to book your printing, mailing and/or electronic filing appointment and for all Service Bureau related inquiries.
- Phone: (866) 444-3559 (toll-free) or (818) 876-0200
- E-Mail: sb@1099 Pro.com
- Internet: http://www.1099 Pro.com

Instant price estimates are available online at http://www.1099 Pro.com/servPricing.asp

22.1 Service Bureau Packages

1099 Pro Service Bureau Packages

These services are only available to 1099 Pro registered users.

The following standard options below are available.
Contact the 1099 Pro SSAE 16 SOC I TYPE II Service Bureau – (866) 444-3559, direct (818) 876-0200, or via email sb@1099pro.com
- **Print and Mail Only:** The 1099 Pro Service Bureau (SSAE 16 SOC I TYPE II certified) will print and mail recipient copies by the IRS due date. (Our pricing includes first-class US postage).
- **Electronic Filing Only:** The 1099 Pro Service Bureau will file your data electronically with the IRS on your behalf.
- **The Complete Package:** The 1099 Pro Service Bureau will print and mail recipient copies and file your data electronically with the IRS. (Our pricing includes first-class US postage).
- **Service Bureau Support for the IRS Bulk TIN Matching Program:** The SSAE 16 SOC I TYPE II Service Bureau as an authorized agent can submit TIN/Name combinations to the IRS on behalf of our users and results are available to our customers within 24 hours! We encourage our customers to use this service to correct serious errors like invalid TIN numbers that would likely result in a 972CG, CP2100 or CP2100A notice from the IRS and possible penalties of $100.00 per mismatch. Call to schedule a Bulk TIN appointment today – (866) 444-3559.
- **TRA97 Compliance (Educational Institutions) 1098-T form:** This option is unique to form 1098-T and designed for colleges/universities. The SSAE 16 SOC I TYPE II 1099 Pro Service Bureau prepares and mails the form 1098-T tuition statements and also files the forms electronically with the IRS. Call for a quote (866) 444-3559.

The following services are available to 1099 Pro users for an hourly fee or flat rate.
Contact the Service Bureau for more information toll free (866) 444-3559 or email sb@1099pro.com.
- **Custom WMF Files:** Our team will design a detailed custom layout for your specific printing needs including logo and/or statement design.
- **Custom Programming**
• Custom Reports
• File Translation/Data Manipulation
• Data Entry
• Remote Hosting via the Internet
• Full Service Provider
• Corporate Suite Installation and Support

Filing to the States: Filing via the CFSF program is included free of charge in our Service Bureau Package listed above. If additional state filing is required our Compliance Team can assist you.

• Corrections: Upload your corrections to the 1099 Pro Service Bureau via a secure FTP site, to eliminate the tedious 1096 process. Electronic filing of corrections via the Service Bureau is a $45 flat fee.

22.2 Service Bureau Overview & Upload Process

Service Bureau Overview

Why should I use the Service Bureau?
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 SSAE 16 SOC I TYPE II environment.

All Domestic Service Bureau Print / Mail Jobs Include IMB Tracing
IMB tracing on domestic mailings by the 1099 Pro Service Bureau are sent out with an IMB (Intelligent Mail barcode) which reports the last time each 1099 individual was scanned by the post office. We pre-sort your mail and send it out in pallets to the regional post offices. IMB information is not available until scanned by the Postal Service Facility. At each point where a mail piece is scanned this information is updated once per day. For example, mail is scanned when the mail goes out for delivery and where available the estimated delivery date is shown as well.

In the event a recipient says they did not receive a document, you may wish to mail an additional copy to the recipient (see Quick-Print) or you may email them an encrypted PDF of their tax form (see Email encryption).

For generalized information on this service from the USPS see:
https://mailtracking.usps.com/mtr/landing/resources/confirm/landingConfirmLaunch.jsp

We provide Printing & Mailing, Electronic Delivery, Web Presentment, Bulk TIN Matching, and IRS Filing services to thousands of our users.

Our customers utilize the Service Bureau to save money, minimize administrative headaches, safeguard their sensitive data, and benefit from our extensive experience.

Whether you have a large or small job, consider the cost savings and the value of a “job done right” during your busiest months of the year.

We’ve made the process simple:
1. Purchase the appropriate 1099 Pro software package for the type of form you wish to file.
2. Call or E-Mail our Service Bureau to schedule an appointment date. We must have your data by the
agreed upon appointment date to ensure that it is posted online, mailed or filed by the IRS deadline.
3. Enter your data into the software via the Import Wizard or manual entry.
4. Use the Service Bureau Wizard to quickly and easily create, approve and transfer your upload file.

Contact the SSAE 16 SOC I TYPE II Service Bureau
Contact the 1099 Pro Service Bureau team, to book your printing, mailing and/or electronic filing appointment and for all Service Bureau related inquiries. Rates and availability are not guaranteed until your appointment is set!
- Phone: (866) 444-3559 (toll-free) or (818) 876-0200
- E-Mail: sb@1099 Pro.com
- Internet: http://www.1099 Pro.com

Instant price estimates are available online at http://www.1099 Pro.com/servPricing.asp
Click here to learn more about the Service Bureau Upload Process

22.2.1 Step 1 - Creating an Upload File for Print/Mail or E-File

Step 1 - Create an Upload File

Creating an upload file is the first of three steps to submit your files to the 1099 Pro Service Bureau.

Prior to starting this process please consider:
- There are fees to use the Service Bureau (see the Service Bureau Price Estimator) and an appointment is required.
- If using the Service Bureau's Complete Package (Printing, Mailing and eFiling) you will transmit to us a Printing and Mailing upload in January AND an Electronic Filing upload in March. This allows you the opportunity to make any changes to your forms so only the most accurate data is filed with the IRS/SSA.
- A record's print status determines its eligibility to be included in an upload file. See Print Status Overview.
- By default, all Filers are included in the Combined Federal/State Filing Program. You may un-select this option when creating your upload file.
- All upload processes include the opportunity to run the Generate Accounts Wizard. Some form types require recipients to have unique account numbers; the wizard will not overwrite existing account numbers.
- Users are highly encouraged to run a software Web Update prior to starting an upload.

See Service Bureau Upload Sessions

Printing and Mailing
Please visit https://www.1099pro.com/videos.asp and watch the "How to Print and Mail Using the Service Bureau" video for a brief tutorial on printing and mailing using the Service Bureau.

1. To have the Service Bureau print and mail your forms go to the Printing & Mailing task panel and click the "Via the Service Bureau" link.
   - Corporate Suite Users: Go to the Service Bureau task panel and click the "Printing & Mailing" link. Select the type of tax form to process and click "OK".

2. At the Printing, Mailing, Filing and Bulk TIN Matching screen click the "Printing & Mailing or E-
Delivery Upload" button. **NOTE:** Only records with a *Pending* print status (or *Corr/Pending* for corrected forms) are available for inclusion in this upload file.

3. At the Create Upload File Wizard screen click the "Begin" button to start the process. You also have the option to:
   - Check for software updates, and/or
   - "Start the Generate Accounts Wizard". Learn more about Account Numbers.

4. **STEP 1: Select Filers** - Specify which filers should be processed.
   - **All of my Filers:** This default selection includes ALL eligible records for ALL Filers in the software. When uploading to the Service Bureau bundle all records into a single file to avoid additional charges.
   - **Select (Tag) Filers:** This allows you to manually tag (or select) each Filer for inclusion in the Service Bureau Upload.
   - **Current:** This uses only the currently selected Filer for uploading Filer information to the Service Bureau.

5. **STEP 2: Form Types** - Select which tax forms will be included:
   - **All Form Types:** This default selection includes all form types for the Filer(s) selected and includes all eligible records. When uploading to the Service Bureau bundle all records into a single file to avoid additional charges.
   - **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
- **Upload/Print Original Forms:** Default selection to upload original issue forms.
- **Upload/Print Corrections:** Use to select corrected forms (with a *Corr/Pending* status) for upload to the Service Bureau.

6. **STEP 3: Upload Action** - Select what the Service Bureau will do with the forms. **IMPORTANT:** To take advantage of Web Presentment or Electronic Delivery the recipient's email address must be included in your original import file. Both Web Presentment and Electronic Delivery have a $150 setup fee.
   - **Print and Mail the forms:** This default option includes the printing and mailing of your selected forms.
   - **Print and Mail with Web:** This option includes both the printing and mailing of your selected forms AND forms are available on our ViewMyForms.com website for easy recipient download and printing. Recipients must register online to access this service.
   - **Electronic Delivery:** This option includes the electronic delivery (email) of encrypted tax forms to recipients.
   - **Web Presentment Only:** This option includes email notification to your recipients that tax forms are available on our ViewMyForms.com website for easy recipient download and printing. Recipients must register online to access this service.

Additional Options (New)
- **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. Most users will upload a file for print/mail in January and submit a second, revised file in March for filing with the IRS.
- **Use CFS:** This default option includes selected records in the [Combined Federal/State Filing Program](#). 

7. **STEP 4: Thresholds** - Filter tax forms based on dollar amounts.
• Check the "Do not include forms with no dollar amounts" box as desired.

8. **STEP 5: Contact Information** - Who should be contacted if there are questions? Enter the individual the Service Bureau should contact if there are any issues with the information in your upload file. Click "Update Contact" to edit individual.

9. **STEP 6: Printer** - Several reports print at the end of the Service Bureau Upload Wizard from the selected printer.

10. **Extra Options**
    - **TIN Masking:** Choose an option to mask the recipient's SSN or EIN or leave with default Filer setting. Learn more about TIN Masking.
    - **Extra Print Options:** Choose this for advanced printing options unique to this run 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).
    - **Error Scan:** Use to check records for the chosen Filer(s) and Form type(s) for errors or warnings prior to their being uploaded to the Service Bureau. Review Errors & Warnings for information on reviewing and/or adjusting any such records.
    - **Folder:** The default location is C:\1099 Pro\Pr42ST16\Uploads. Although not recommended, you may change the location where an upload file will be saved.

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

12. **STEP 6: Printer** - Several reports print at the end of the Service Bureau Upload Wizard from the selected printer.

13. Proceed to **Step 2 - Approve Control Totals**.

**Electronic Filing**
Please visit https://www.1099pro.com/videos.asp and watch the "Filing Electronically with the Service Bureau" video for a brief tutorial on the Service Bureau filing process.

1. To have the Service Bureau electronically file your forms go to the **Filing My Forms** task panel and click the "Via the Service Bureau" link.
   - **Corporate Suite Users:** Go to the Service Bureau task panel and click the "Filing with the IRS" link. Select the type of tax form to process and click "OK".

2. At the Printing, Mailing, Filing and Bulk TIN Matching screen click the "Filing With the IRS Upload" button. **NOTE:** All records with a Pending, Printed and SB Print-Mail print status (or Corr/Pending and Corr/Printed for corrected forms) are available for inclusion in this upload file.
   - **Corporate Suite Users:** Click the "Create an IRS or AIR Upload" button and select "Filing with the IRS Upload" for all 1099 Informational Returns or "1095-B Filing With the IRS Upload" or "1095-C Filing With the IRS Upload" as appropriate.

3. At the Create Upload File Wizard screen click the "Begin" button to start the process. You also have the option to:
   - Check for software updates, and/or
   - "Start the Generate Accounts Wizard". Learn more about Account Numbers.

4. **STEP 1: Select Filers** - Specify which filers should be processed.
   - **All of my Filers:** This default selection includes ALL eligible records for ALL Filers in the
software. When uploading to the Service Bureau bundle all records into a single file to avoid additional charges.

- **Select (Tag) Filers:** This allows you to manually tag (or select) each Filer for inclusion in the Service Bureau Upload.
- **Current:** This uses only the currently selected Filer for uploading Filer information to the Service Bureau.

5. **STEP 2: Form Types** - Select which tax forms will be included:
   - **All Form Types:** This default selection includes all form types for the Filer(s) selected and includes all eligible records. When uploading to the Service Bureau bundle all records into a single file to avoid additional charges.
   - **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**
   - **File Original Forms:** Default selection to upload original issue forms.
   - **File Corrections:** Use to select corrected forms (with a Corr/Pending and Corr/Printed status) for upload to the Service Bureau.

   - **Original (first) upload for these forms:** This default option is for both original uploads and corrected uploads.
   - **Replacement:** Select this option only if notified by the IRS. *Replacement forms are different than corrected forms.*
   
   **Additional Option**
   - **File the forms using CFS:** This default option includes selected records in the Combined Federal/State Filing Program.

7. **STEP 4: Contact Information** - Who should be contacted if there are questions? Enter the individual the Service Bureau should contact if there are any issues with the information in your upload file. Click "Update Contact" to edit individual.

8. **Extra Options**
   - **Error Scan:** Use to check records for the chosen Filer(s) and Form type(s) for errors or warnings prior to their being uploaded to the Service Bureau. Review Errors & Warnings for information on reviewing and/or adjusting any such records.
   - **Folder:** The default location is C:\1099 Pro\Pr42ST16\Uploads. Although not recommended, you may change the location where an upload file will be saved.

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

10. Proceed to **Step 2 - Approve Control Totals**.

### 22.2.2 Step 2 - Approve Control Totals

**Step 2 - Approve Control Totals**

After successfully completing **Step 1 - Create an Upload File**, users must certify their data by carefully reviewing associated reports. The **Summary Report** details the Form Types, Form Counts and
Filers included in the upload and contains important information including the name and location of your upload file. There is a unique Control Totals Report for every Filer and Form Type with box-by-box dollar totals and form counts.

See Service Bureau Upload Sessions

Certify Your Data
The Certify Your Data screen displays automatically after creating an upload file. To continue the upload process, users must certify their data by carefully reviewing the Summary and Control Totals reports.
- If in agreement with the reports please proceed to the below steps.
- If not in agreement with the reports, click the “Cancel” button and use the “Reset/Void Upload” button at the Service Bureau Upload Sessions screen. All of the forms associated with the session will reset to their original, pre-upload status. Correct any problems discovered while reviewing the Control Totals Reports, then start anew at Step 1 - Create an Upload File.
- 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.

1. Step 1 – 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.

2. Step 2 – 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 – 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.

4. Click “Upload My File” to continue to Step 3 – File Upload Transmission & Completion.

22.2.3 Step 3 - File Upload Transfer & Completion

Step 3 - File Upload Transfer & Completion

Welcome to the final step in transmitting your files to the Service Bureau! After successfully completing the first two steps, users must transmit their upload file.

Service Bureau File Transfer Wizard
The File Transfer Wizard simplifies the transmission of your upload file.

1. Access the File Transfer Wizard either:
   - Automatically upon the completion of Step 2 – Approve Control Totals, or
   - At the Service Bureau Upload Session screen by selecting the appropriate session and clicking the “Complete Pending Upload” button. You will be required to first certify your data.

2. At the Pre-Upload Checklist click “Next” to continue.

3. Select How the File Will Be Transferred to the Service Bureau then click “Next” to continue.
   - 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.
• **Built-In FTP Using the Internet**: This is an alternate method of uploading to the Service Bureau. The Wizard will automatically upload the file using standard File Transfer Protocol. *An internet connection is required for this method.

• **Manual Transfer**: This option requires you to manually upload your file to our FTP site, e-mail it or send it to our Service Bureau via postal service. See Manual Transfer Options below.

4. At the Ready to Upload Forms for Filing with the IRS screen please confirm settings in the summary window before starting the Upload Process:
   - Upload Type – Upload for filing with the IRS
   - Upload Method – HTTPS (built-in), FTP (built-in) or Manual Transfer
   - Total Filer/Form Combinations
   - Total Tax Forms
   - File Name – (Example, S9999999-ABC123.zip)
   - Type – Original or Corrected
   - File Location – (e.g., C:\1099 Pro\Pr42ST16\Uploads, in a standard installation)
   - Contact Information – Contact First and Last Name, E-mail Address, and Phone Number

5. Click the “Upload Now” button to immediately transmit your upload file to the Service Bureau. The software indicates if upload was successful and if so you will receive an e-mail confirmation from the Service Bureau, usually the same business day.
   - If upload was not successful, repeat the above procedure using the Built-in FTP or Manual Transfer option as appropriate.

**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.

**Method A**: Transmit your file to our secure SSAE 16 SOC I Type II Service Bureau via FTP:
   1. In your web browser go to [https://uploads.1099pro.com/](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 e-mail notification from the Service Bureau within 30 minutes of successfully posting your upload file.
   - There is no need to notify the Service Bureau that a file was posted.
   - 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 B**: Transmit your upload file via e-mail.
   1. 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 e-mail within 30 minutes.
   - There is no need to notify the Service Bureau that a file was e-mailed.
   - 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 may easily get damaged, delayed or lost in the mail. Please contact the Service Bureau at (866) 444-3559 for more information on proceeding with this method.
22.3 Bulk TIN Matching via the Service Bureau Overview

Bulk TIN Matching Upload

The 1099 Pro Service Bureau has simplified the process of validating Name/TIN combinations in bulk to help filers minimize penalties. Please review Bulk TIN Matching for pricing and other important information.

- Step 1 – Create Bulk TIN Upload File
- Step 2 – Approve Control Totals
- Step 3 – File Upload Transmission & Completion

22.3.1 Using Bulk TIN Matching

Bulk TIN Matching

Avoid $100/record mismatch penalties! Utilize 1099 Pro’s Bulk TIN Matching Service!

- See the Bulk TIN Matching Upload Wizard

Offer Details

- $135 for a single upload of up to 100,000 records
- E-mail the Service Bureau at sb@1099pro.com if the file is greater than 100,000 records
- Approximately 24 hour turn-around time
- Access to a FREE trial of our individual TIN Matching service (details below)

Bulk TIN checks are an essential compliance and risk mitigation service that identify TIN/Name mismatches prior to filing with the IRS. Penalties can be assessed at up to $100/record at the IRS’s discretion.

Additional Services - TINCheck.com

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.

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.
- FREE trial account - Sign up online at TINCheck.com for 10 free TIN checks!

22.3.2 Step 1 - Creating an Upload File for Bulk TIN Matching

Bulk TIN Matching Wizard
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.

**Step 1 - Create an Upload File**
To submit a Bulk TIN Upload first schedule a Service Bureau appointment *unless* you have already used the Service Bureau for the current tax season. Current Service Bureau customers are welcome to upload at any time.

**To Create Upload File**
1. On the **Printing and Mailing** task panel select the "Print/Mail Forms Myself" link to access the Printing, Mailing, Filing and Bulk TIN Matching screen.
   - **Corporate Suite Users:** On the **Service Bureau** task panel select the "Bulk TIN Matching via SB" link.

2. Click the "Bulk TIN Matching Upload" button to access the Bulk TIN Matching Upload Wizard. Click "Next" to proceed. Use the "Back" button at any time to go back a step.

3. Review informational screens and click "Next" to continue.

4. Run Software Update as prompted. It is highly recommend to check for updates to this program before starting any printing or filing process. This ensures the most recent version of the software is running. [See Web Updates for more information](#)

5. Choose a method for selecting eligible records.
   - **Selected Form Types for ALL Filers:** This default option prompts to select (tag) the form types to include in this upload file. All filers will be processed.
   - **Selected Form Types for Selected Filers:** This option prompts to select (tag) the filer and the form types to include in this upload file.

6. Set options for your upload.
   - **Force TIN Type as Unknown for all records:** Selecting this check box removes the SSN or EIN identifying hyphens. You will not be able to import your results back into the software if this box is checked.
   - **Select the destination folder:** The default location is C:\1099 Pro\Pr42ST16\Uploads.

7. Enter your Contact Information and User Password:
   - This information is critical to how we will contact you with issues and where we will email the encrypted results.
   - The password is used 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 and change as necessary.

9. At the Ready to Generate Bulk TIN Upload File screen review settings and click "Finish" when satisfied. The system will process your file and the Administrator indicates when file is "Done".
10. Continue to Step 2 - Approve Control Totals.

22.4 Wizard SB Upload

Service Bureau Upload Wizard

The 1099 Pro Service Bureau has simplified the process of electronic filing into three easy steps:

- Step 1 – Create an Upload File
- Step 2 – Approve Control Totals
- Step 3 – File Upload Transmission & Completion

22.5 Reset Void Service Bureau Upload

Reset (Void) Service Bureau Upload

Reseting an upload session voids (deletes) the entire upload session. All forms automatically revert to their pre-upload status.

To reset session
1. On the Service Bureau task panel select "Printing & Mailing".
2. At the Completed Service Bureau Upload Session List screen highlight an upload session and click the "Reset (Void) Session" button.
3. The Administrator prompts to confirm the void. Click "Yes" to continue or "No" to abort. Session status immediately updates to Voided.

23 Tax Supplies

Tax Supplies

1099 Pro, Inc. sells all of the tax forms and supplies necessary for use with 1099 Pro* software at competitive rates.
- All forms and supplies offered by 1099 Pro, Inc. are IRS approved.
- All orders over $100 automatically receive a 10% discount.
- Order in advance; overnight shipping of forms can cost more than the actual forms!
- Returns are NOT accepted after November 30, 2016. Customer is responsible for all return shipping charges.

*All tax forms and supplies are subject to availability. Prices subject to change without notice.

Online Ordering
Customers may place orders online for laser forms and envelopes (current tax year only). In addition to placing orders, customers may view tax forms and a brief item description. Try it at www.1099pro.com; click on the "Products" button and the "Tax Forms" hyperlink.

**Online Customer Account Access**
Customers who've purchased items in the past year may go online to view prior orders and activation codes. Order tracking is also available to see if your order has shipped. Try it at www.1099pro.com; click on the "Login" button and follow the prompts.

**Telephone Orders**
Customers may place orders for all tax supplies (including laser for current and past tax years) by telephone with our Sales team at (888) 776-1099.

### 23.1 Blank Copier Paper

**Blank Copier Paper**

**Blank Copier Paper:** Print Copy 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). 1099 Pro, Inc. offers custom designed IRS regulation envelopes to fit copier paper.

**Blank Laser Perf:** Print Copy B &/or C directly onto blank laser perforated stock (1099 Pro prints the necessary graphics). Easier to fold than blank copy paper because of the perforations and since it is blank...it won't go out of date! Also prints instructions. When using blank stock you must select the copies to print. The Print Wizard features a Combined option that prints all required copies for the recipient on one sheet (e.g., 1099-MISC Combined includes copies B, 2 and instructions). You may instead select the individual copies for the recipient, but you will need to manually collate the copies.

*Please visit https://www.1099pro.com/videos.asp and select the "Quick Tips: Print to Blank Paper" video for a brief guide on printing on blank perforated paper.

**When printing instructions to blank paper you may:**
- Print them as part of the normal print run with one copy per recipient. Remember to collate instructions with the recipient copies, OR
- Print them on one sheet now and photocopy it as many times as needed. Then use the reverse side of the photocopied sheets to print your forms. If selecting this option do NOT print any copies at this time, first prepare the instructions and then print the copies, OR
- Print "X" pages at this time.

The IRS requires you to send both tax forms and instructions to recipients.

### 23.2 Preprinted Paper

**Preprinted Paper**
Preprinted Laser Perf: When using preprinted laser forms the user select 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 preprinted with the necessary information in an IRS/SSA approved ink (Copy A in red drop-out ink, Copy B in black, etc.). The Print Wizard pauses before printing each copy to prompt the user to load the appropriate form into the printer.

- Preprinted forms save toner and time - order your tax forms today at (888) 776-1099.

23.3 Pressure Seal Forms

Pressure Seal Forms

Support
To meet the needs of customers who are printing high volumes of forms, 1099 Pro, Inc. offers the ability to print to pressure seal forms in all of our products. Numerous pressure seal forms are available for purchase from 1099 Pro Sales for use with our software products. If there is a pressure seal form you would like to use that is not listed as a printing option in our software, contact our Service Bureau and we may be able to customize the software to accommodate the form (fees may apply).

Trouble Shooting
Customers may experience issues when attempting to print on the large 8.5" x 14" pressure seal forms. If the printer software is not configured correctly during the print process after selecting pressure seal forms (any 8.5 x 14" form either preprinted or blank) you will find that it appears that the printer is compressing the graphics and text. The reason: The default setting for most printers is 8.5" x 11" letter paper. In order for the text and graphics to appear properly on the 8.5 x 14" paper you should select legal for the paper format. If you are unsure about how to select legal paper during the print process you will want to contact your printer manufacturer.

24 Transmitter Information

Transmitter Information

A Transmitter Control Code number or (TCC) is required when filing electronically. A TCC is composed of five alpha-numeric characters. If filing electronically via the Service Bureau, a TCC is not required and this information need not be completed.

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 mailed at least 30 days prior to the filing deadline for the electronic file. To print Form 4419 go to the task panel Help & Extras and select the IRS Pubs & Links icon. For more information on TCC's, contact the IRS-MCC at (304) 263-8700. A single TCC may be used to file on behalf of multiple filers.

Request a TCC for AIR
The TCC for AIR is unique to filing ACA returns. The TCC issued for filing 1099 Informational Returns is suitable for the IRS FIRE System, not the AIR Site. 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.

See How to Create a Transmitter.

24.1 Create a Transmitter

Create a Transmitter

To Create a Transmitter
1. At the menu bar click "File" and "Transmitter Information".
2. At the Update eFile Transmitter Information screen:
   - Enter the IRS assigned TCC (five alpha-numeric characters).
   - Enter the IRS assigned TIN (dashes MUST be inserted!).
   - Enter the name of the company (or individual) owning the TCC.
   - Enter a contact name and phone number.
   - Enter the TCC owner's address.
3. Click "Save" or "Cancel" to exit the screen.

The transmitter information is incorporated into the electronic file. The TCC displays on the "Computer Generated Substitute Form 4804/Form 4802" report which prints automatically after creating your Electronic File. If after creating electronic files you discover that your TCC was entered incorrectly, the Electronic File session must be voided. Changes made at the Update Electronic File Transmitter Information screen will NOT flow through to already created electronic files.

See Transmitter Information

25 W-9

25.1 W-9 Overview

Form W-9 Overview

To comply with the following IRS guidelines for W-9s & B-Notices see the W-9 Request Wizard

A person who is required to file an information return with the IRS, must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA. *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.
25.2 W-9 Main Screen

Manage Information Requests

From the Manage Information Requests screen users may track, update, print and view/reprint all previously issued Information Requests including Forms W-9 and 1st / 2nd B Notices. This screen is accessed via the Help & Extras task panel by selecting the "W-9/B Notices" link. Corporate Suite Users: At the TIN Management task panel select "Browse All Requests".

Current View/Sort
Sort Information Requests by Last Name or by TIN.

Search for Name/TIN
This feature is used in conjunction with the Current View/Sort drop menu.

BWH Date Filter
Sort requests by their backup withholding date.

Additional Filters
Place check marks in the below boxes and the software filters the list based on the selected criteria.

- **Request Types To Show:**
  - W-9 - Show all W-9 requests only
  - W-9S - Show all W-9S Requests Only
  - 1st B-Notice - Show only a list of first B-Notice requests
  - 2nd B-Notice - Show only a list of second B-Notice Requests
  - Show All - Click this button to automatically place a check mark in all boxes.

- **Request Status Types To Show:**
  - Open/Pending - Shows all currently open/pending requests
  - Close/Resolved - Shows all closed or resolved requests when corrected info has been received back from the recipient.
  - Voided - Shows all VOIDED requests
  - Escalated - If you choose Escalate, when you save the Recipient form, the existing form is closed and you are taken directly to the Info Request wizard to create a new form.
  - Show All - Click this button to automatically place a check mark in all boxes.

View/Print Report
Run a report based on the current list of requests and optionally print it.

Issue New Requests
Access the Print Information Requests Screen and the Information Request Wizard. View previously issued Information Requests and reprint as necessary.

View/Reprint Selected
Reprint individual requests by highlighting the individual and clicking this button.

Update Selected Request
Update any request with an Open/Pending status to:
- Leave the Request as Open/Pending
- Close the Request - Updated information has been received.
- **Void the Request** - It should not have been issued. Once a request is voided it is considered updated/closed and it is no longer available for modifications.
- **Close and Escalate to X (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.

### 25.3 W-9 Report

#### W-9 Report

**Information Request Report Options available are as follows:**

- **Select the Printer** - Selects the current printer to use to print the request.

- **Select the Sort Order**
  - By Last Name
  - By TIN

- **Report Preview** - Enables you to preview the report before it is printed.

- **Request Types** - W-9, W-9S, 1st B-Notice, & 2nd B-Notice.

- **Request Status** - Opened/Pending, Closed/Resolved, Voided, Escalated.

- **Date Issued Range** - From [Begin Date] to [End Date]

- **Filer to Include** - Option available for selection is "All Filers"

### 25.4 W-9 Single/Batch Requests

#### Browse W-9 Single/Batch Requests

Filers may issue Information Requests (i.e., W-9, W-9S, 1st B Notice and 2nd B Notice forms) individually or in batches.

- **Batches**: To issue forms in batches there are two options: Use the "Issue W-9 and B-Notice Forms" option under Utilities to access directly. The second option is to Click on "W-9/B Notices" on the task panel then "Issue New Requests" from the "Manage Information Requests" window.
- **Single Form**: Navigate to the recipient browse screen, click on the "Issue W-9/B-Notice" button to issue a form for the selected recipient. Or, on the W-9 tab on the Recipient update form, click on "Issue an Information Request Form" button there as well.

[See Begin W-9 Request Wizard](#) for more information

**Current Query**
The Current Query field on this screen allows you to view "All Batches for all filers" or "All batches for the current filer."
View/Print Batch Report
You can generate a report based on the current active W-9 requests containing the following information: "Current TIN/Name/Address", "TIN/Name/Address when issued", "Requester/Form Type/Status/Date Created".

25.5 W-9 Wizard

Information Request Wizard

Information Requests, including Forms W-9, W-9s and First and Second B Notices, 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.

To Issue Information Requests
1. At the Help & Extras task panel select the "W-9/B Notices" link.
   - Corporate Suite Users: At the TIN Management task panel select the "Browse Batches" link. At the Browse Batches screen click the "Create a New Batch of Information Requests" button and proceed 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 (available to Corporate Suite users only)
6. Specify the Requesting Filer who is mailing these forms. This information will appear on the issued forms. Any changes made at this screen are temporary and will not 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 (default is 28%)
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 that do not have TIN, or
     • Pre-select all recipients who have an invalid TIN.
9. Set Print Options screen. The program will remember your choices and restore them each time you run this wizard. Click "Next" to continue.
   • Select the order to print forms.
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).

See Duplex Printing

25.6 B Notices

**B Notices Overview**

If after submitting files to the IRS, a mismatch is determined, (e.g., a recipient's name and TIN do not match the IRS records), the IRS sends the Filer a 9872CG, CP2100 or CP2100A Notice. 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 typo). Note the following:
- 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 Pro simplifies the process of issuing B Notices via the Information Request Wizard.

**What is a backup withholding CP2100/CP2100A "B" Notice?**

CP2100/CP2100A "B" Notice "Backup withholding explained" is used for the purpose of soliciting correct name/TIN combinations. There are actually two "B" notices—the First "B" Notice and the Second "B" Notice. The text of the Second "B" Notice is different from that of the First "B" Notice. It instructs the payee to contact IRS or the Social Security Administration (SSA) to obtain the correct name/TIN combination as shown in their records. See IRS Instructions.

**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 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.

### 26 Error Messages

**Common Error Messages & Solutions**
Error messages can appear as pop-ups within your software in the event of a software bug, or user error. Many of these errors have simple solutions that can be fixed by you, your IT department, or 1099 Pro's technical support team. To avoid any possible data loss, be sure to backup your data regularly.

Most error messages result from one or more of the following issues:

- Incorrectly mapped data file.
- Inadequate user rights to read/write/edit data file.
- Third party anti-virus software removing critical software files.

26.1 Unable to open SystemID file: 53 - Invalid Clarion File

Unable to Open SystemID file: 53 - Invalid Clarion File

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 called 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\Pro99T11\Data. If you are setting up a multi-user workstation, your data folder is most likely in a custom location specified during the server installation.

26.2 Unable to open required file (ProTips): 53 - Invalid Clarion File

Unable to open required file (ProTips): 53 - Invalid Clarion File
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 called 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\Pro99T11 \Data. If you are setting up a multi-user workstation, your data folder is most likely in a custom location specified during the server installation.

26.3 Unable to open SystemID: 3 - Path Not Found

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 called 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\Pro99T11 \Data. If you are setting up a multi-user workstation, your data folder is most likely in a custom location specified during the server installation.

26.4 **Unable to open systemID: 5 - access denied**

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. Contact your 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 for additional assistance.

26.5 **Unable to open required file (ProTips): 3 - Path Not Found**

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 called 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\Pro99T11 \Data. If you are setting up a multi-user workstation, your data folder is most likely in a custom location specified during the server installation.

File Access Error.
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 to further assist you in renumbering your records.

26.7 Unable to Open SystemID: 2 - File not found

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. Check to make sure a file called "systemid.TPS" 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, 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 still present, it’s possible that the file path to your data contains unacceptable characters. This can be changes by editing your .INI file:

- Navigate to C:\1099 Pro\Pro99Txx\Admin
- Open the file called 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\xxxx.
- 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\Pro99T11\Data. If you are setting up a multi-user workstation, your data folder is most likely in a custom location specified during the server installation.

Please contact 1099 Pro Technical Support to further assist you in renumbering your records.
26.8 Unable to open required file (ProTips): 2 – File Not Found

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, be sure you are not running the software from a network location; 1099 pro 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 called 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 you are setting up a multi-user workstation, your data folder is most likely in a custom location specified during the server installation.

26.9 EC002 – Unable to open files!

EC002 – Unable to open files!

Solution:
This error most often occurs when attempting to restore data from the wrong year (e.g. data from 2007 into 1099 Pro for 2008). 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 over during or immediately after installing. For more information, see Roll Over Data.

26.10 Could not load the DLL library C:\Windows\USER32.DLL. The specified module could not be found.

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 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 for additional assistance.

26.11 This Single User version of 1099 Pro can only be used by one person at a time.

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 software is installed. Contact your 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 for additional assistance.

26.12 Clarion Trappable Runtime Errors

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) indicating what the problem is.

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.

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 How do I handle an Error 47

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.

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 dependant, 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.

27  Additional Services

27.1  TINCheck

**TINCheck: TIN/Name Verification**

The IRS penalty for TIN/Name mismatches is now $100 per mismatch. The TINCheck service is an essential tool in identifying mismatch errors through an interactive and user friendly website prior to filing information returns. Simply log in with a username and password, and instantly gain access to multiple verification sources in one place. Users also have the option of integrating the API/web service into an existing accounts payable system, allowing your company to seamlessly verify information while entering new vendor information into your database.

**IRS TIN/NAME MATCHING (IRS TIN MATCHING) Internal Revenue Service (IRS)**

Internal Revenue Service (IRS) 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 penalties of up to $1,500,000 ($500,000 for small business) for non-compliance. In the event of intentional disregard, there is no limit.

**EIN/NAME LOOKUP SYSTEM (ELS) Internal Revenue Service (IRS) issued EINs**

Internal Revenue Service (IRS) issued EINs This lookup process will retrieve the company name that is associated with a given EIN number. This lookup is only for public knowledge company EIN numbers, it does not return individual names from Social Security Numbers (SSNs). This lookup is very useful for getting the correct company name that was identified as a mismatch by the IRS TIN Matching process.

**SPECIALLY DESIGNATED NATIONALS (SDN/PLC) Office of Foreign Assets Control (OFAC)**

Office of Foreign Assets Control (OFAC) 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 civil penalties of up to $1,000,000 per violation plus criminal fines of up to $10,000,000 and imprisonment ranging from 10 to 30 years.

**DEATH MASTER FILE (DMF) Social Security Administration (SSA)**
Social Security Administration (SSA) 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. 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.

**DENIED PERSONS LIST (DPL) Department of Commerce (DOC)**
Department of Commerce (DOC) The DPL is a list created by the U.S. Department of Commerce of individuals and entities that have been denied export privileges. Any dealings with a party on this list that would violate the terms of its denial order is strictly prohibited. Violation can result in a civil penalty amounting to the greater of $250,000 or twice the value of the transaction for each violation. For criminal violations, violators may be fined up to $1,000,000 and/or face up to 20 years of imprisonment.

**EXCLUDED PARTIES LIST SYSTEM (EPLS) General Services Administration (GSA)**
General Services Administration (GSA) The Excluded Parties List System includes companies that have been debarred, suspended, excluded, or disqualified from receiving Federal contracts, subcontracts, assistance, and benefits. Government agencies and contractors are required to check this list to validate vendors and/or payees are in good standing with the federal government.

**EXCLUDED INDIVIDUALS AND ENTITIES (LEIE) Office of Inspector General (OIG), Health & Human Services (HHS)**
Office of Inspector General (OIG), Health & Human Services (HHS) In the health care industry, anyone who hires an individual, entity, or contractor on the LEIE may be subject to civil monetary penalties (CMP) by the OIG ranging into the millions of dollars. To avoid CMP liability, health care entities need to routinely check the LEIE to ensure that new hires, current employees, or contractors are not on the excluded list.

**DESIGNATED FOREIGN TERRORIST ORGANIZATIONS (FTO) Department of State (DOS)**
Department of State (DOS) Foreign Terrorist Organizations (FTOs) are foreign organizations that are designated by the Secretary of State in accordance with section 219 of the Immigration and Nationality Act (INA).

**POLITICALLY EXPOSED PEOPLE (PEP) Central Intelligence Agency (CIA)**
Central Intelligence Agency (CIA) A quarterly updated list compiled by the CIA of Chiefs of State and Cabinet Members of Foreign Governments.

**FBI Wanted Lists (FBL) Federal Bureau of Investigation (FBI), Department of Justice (DOJ)**
Federal Bureau of Investigation (FBI), Department of Justice (DOJ) Criminal Enterprises, Cyber Crimes, White Collar Crimes, Violent Crimes, Crime Alerts, Crimes Against Children, Domestic Terrorism, Seeking Information, Seeking Terror Information, Top Ten Fugitives, Most Wanted Terrorists, etc.

**ADDRESS VALIDATION (AV) United States Postal Service (USPS)**
United States Postal Service (USPS) Automatically validate a address (if provided) using the USPS
Address Validation and Normalization Database to insure the most accurate and up-to-date address information.

**ADDITIONAL VERIFICATIONS State Banned Lists** Including state and local banned patron lists for casinos and other various lists.

For more information on TINCheck products and services, contact us!

The TINCheck Sales and Support team is available Monday through Friday, 8AM to 5PM PST.

Contact Sales
Email: sales@tincheck.com
Phone: 1-866-452-3467

Contact Support
Email: support@tincheck.com
Phone: 1-866-452-3467

### 27.1.1 Manage my TINCheck account

**TINCheck: Managing your TINCheck account**

**Note**: Before you can begin to use the TINCheck service an account needs to be created. To review different plans please visit: [https://www.tincheck.com/plans](https://www.tincheck.com/plans)

*Please visit [https://www.1099pro.com/videos.asp](https://www.1099pro.com/videos.asp) and select the "How to Use Integrated TIN>Name validation" to watch a brief tutorial on the TINCheck integration process.*

In order to order to enter your tincheck account information into the software so that you can utilize real time tin verification please complete the following steps.

Click on "File"
Click on "Security and administration"
Click on "Program Options"
Click on "Set TINCheck Account"
In the TINCheck User (login) ID field please enter your TINCheck user ID (**Note**: This is normally an email address)
In the TINCheck Password field please enter your TINCheck password.
After completing the preceding two steps it is recommended that you click the "Test my TINCheck connection now!" button to make sure that your account information has been entered correctly before proceeding.

**Note**: If in the future you would like to disable the software's ability to verify TIN's then click the "Turn off (Disable) all TINCheck functionality" checkbox.
If you would like to enter any notations or descriptions regarding the TINCheck service please enter them in the Account description or Account notes fields; please note that neither of these areas will have any impact on the processing of TIN's.
Once you are done click on "Save" or, if you would like to discard of the changes made to this screen click on "Cancel".

If you attempt to verify a TIN prior to entering a TINCheck account you'll see the below screen, click the "Configure TINCheck account" button to enter TINCheck account information, or click the "Sign up now!" button to open the www.TINCheck.com website in your default internet browser.
27.1.2 Manage my results

TINCheck: Managing your results

In order to check the validity of a TIN that you’re using on a tax record:
When editing an existing tax form or adding a new one click the "Tax Validation" button.
Click "Check TIN/Name"

Please note that when checking TIN's the TINCheck service also provides you with information on the following lists:

**IRS TIN/Name Matching (TIN Matching):** Internal Revenue Service; 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 penalties of up to $1,500,000 ($500,000 for small business) for non-compliance. In the event of intentional disregard, there is no limit.

**Specially Designated Nationals (OFAC/SDN/PLC):** Office of Foreign Assets Control, 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 civil penalties of up to $1,000,000 per violation plus criminal fines of up to $10,000,000 and imprisonment ranging from 10 to 30 years.

**Death Master File (DMF):** Social Security Administration; 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. 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.
27.1.3 History Requests

TINCheck: History of Requests

The TINCheck History screen allows you to see all instances of the TIN associated with the record that you're viewing having been checked; in this way it also serves as an audit trail allowing you to see the information associated with that TIN at the time it was checked, and who performed that check (If you have multiple login ID's configured)

If you would like to print/view a report of the audit trail quite simply press the "Print/View" button.
27.1.4 TINCheck Integration

**TINCheck Integration**

There are 2 ways you can give a user access to TINCheck integrated features. If the end user is part of a “built-in” access group, the admin can create. If the user is part of a custom access group, you can simply modify the user profile under the access group. Users belong to access group that are highlighted in green are using Built-in Groups. If using built-in groups, a new access group will have to be created to allow access to TINCheck.
Users already using custom access groups and profiles will need to update the access group to allow TINCheck integration. Highlight the group and click the Change button. Tag the Program Area named “Allow access to TINCheck” and the click the Modify button.
Click Select All Rights then Save.
Click Save Changes to Group. For users using Built-In Groups, you will need to create an Access Group first and then update your User Profile(s). Click the Add button at the bottom.
Give your new access group a name and tag Allow access to TINCheck and click the Modify button.
Click Select All Rights then Save.
Click Save Changes to Group. Go to your User Profiles and update them to include the new access group we created for TINCheck access. Tag the access group and click Save Changes to Group.
27.1.5 Status Icons

TINCheck Status Icons

These status symbols can be found when adding/editing an individual record; you'll find them to the right of the TIN being checked.
Clicking on the symbol will give you more information about it and allow you to validate the TIN once more by clicking on the "Go to Validation" button.
27.2 Managed Services

Managed Services

The 1099 Pro Managed Services team, IRSCompliance, can maintain your payee and payment database in our secure SSAE 16 SOC I Type II environment, or on your secure servers. Managed Services can support current and prior years of tax data for forms 1098, 1099, 5498, W-2G, W-2, 1042-S, 3921, 3922, as well as Puerto Rico payment information. This service includes regulatory support, compliance training, and year-end recipient statements. Users can access the 1099 Pro Corporate Suite software to securely view and print their payee and payment information and perform data queries, either online or through a secure network.

With more than 25 years of experience, IRSCompliance members have real world experience in a variety of industries, and as a result, are experts in federal law, state tax, local tax, and payment types that are subject to reporting. IRSCompliance’s expertise and efficiency will improve your compliance and minimize financial risk to your company.

CUSTOM AND SCALABLE FEATURES
Federal & state filing for originals and corrections   
Quarterly wage reporting   
Independent Contractor Reporting   
TIN Compliance Management: B-Notices, TIN matching, W-8 and W-9 processing   
Balancing and reconciliation   
Transaction detail history and audit trails   
Penalty abatement   
Form 1099-K processing and reporting

OPTIONAL SERVICES
Withholding & deposit services   
Policy and procedure development   
Regulatory publications, webinars, and events   
Standard and custom printing services   
Consulting, risk assessment services, and curing   
Penalty appeals   
Electronic filing services   
Electronic payee statement presentment   
Electronic solicitation and validation of W-8s & W-9s

1099 Sales and Technical Support
(888) 776-1099
sales@1099pro.com

27.3 StateComply

StateComply
This feature has been discontinued.

28 Glossary

Glossary

- 1 -

10 Day
Per IRS Pub. 1220, part C, section 7:
"If the [electronic] file is good, it is released for mainline processing 10 calendar days from receipt. Contact [the IRS] at 304-263-8700 within this 10 day period if there is a reason the file should not be released for further processing. If the file is bad, normal replacement procedures are followed."

1096 Transmittal
Use this form to transmit paper Forms 1099, 1098, 5498, 39XX and W-2G to the Internal Revenue Service. Do not use Form 1096 to transmit electronically. For electronic submissions, see Pub. 1220, specifications for Filing Forms 1098, 1099, 5498 and W-2G Electronically.

- 2 -

250 Rule
The Rule-of-250 states that any filer submitting 250 or more forms of any one type must submit those forms electronically. Failure to do so may result in fines of up to $100 per form.

See Rule-of-250 for detailed information.

- 4 -

4419
To obtain a TCC number, file Form 4419 to request authorization to file forms electronically. Form 4419 must be mailed at least 30 days prior to the filing deadline for the electronic file. Form 4419 may be printed at the Print Blank Forms screen.

- 8 -

8809
Purpose of form. Use this form to request an extension of time to file 1098 series, 1099 series, W-2 series, W-2G, 5498 series, 8027, 1099-INT/OID for REMIC and 1042-S forms.

- A -

"A" Record
Identifies the person making payments

Access Groups
Access Groups determine which Filers and tax form types a user can access and which tasks they can perform upon those tax forms. By default, all users can access ALL forms and All Filers unless you create your own Access Groups. Built in Groups are groups that cannot be deleted or changed other
than just adding or removing members. Available built groups consist of "All Forms/All Filers". The key to restricting forms and Filers to a user is to minimize the number of Filers and/or forms you make available to them.

**Account Generation Wizard**
1099 Pro offers a feature that will generate account numbers for each form that does not have an account number. IRS Publication 1220, states on page 77 that the IRS requires account numbers "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 ..." The IRS has indicated that they will not reject files if they do not have account numbers but by having account numbers the IRS will be able to process any corrections that they encounter.

**Activation Code**
A registration code (aka activation code or product ID) is provided upon proof of payment. The algorithm of your registration code indicates the edition, user license and number of record transactions purchased.

**Aggregation**
The 1099 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.

For example, John Smith owns an automobile detail business and frequently comes by the movie studio to wax and wash the studios automobiles. You, (the Filer) issuing the 1099-MISC form, pay John frequently on a bi-weekly basis so instead of printing and issuing multiple 1099 forms for John you only want to view/print it as one combined form. This feature will allow you to view the aggregated box amount totals highlighted in green in the tax form which is a reflection of all tax form dollar amounts for this recipient under this master tax form only.

**Audit Trails**
Audit Trails do NOT track the history of all manual and cascading changes to a Master Recipient & Filer List. Only direct changes to a tax form are stored in the record history screen.

- **B** -

**"B" Record**
Contains the payment information from the information returns.

**B-Notice**
If after submitting files to the IRS, a mismatch is determined, (e.g., a recipient's name and TIN do not match the IRS records), the IRS sends the Filer a CP2100 or CP2100A Notice. 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 typo).

**Backup Data**
The 1099 Pro Backup Wizard automatically copies all data files and compresses them into a WinZip format. By default, 1099 Pro prompts for a daily backup.

**Blank Paper**
Print Copy B &/or C directly onto blank copier paper. This is good in case of an emergency when Blank Laser Perforated paper is unavailable (might require special folding and/or cutting to fit in standard IRS approved envelopes). 1099 Pro, Inc. offers custom designed IRS regulation envelopes to fit copier paper.
Blank Laser Perforated
Print Copy B &/or C directly onto blank laser perforated stock (1099 Pro prints the necessary graphics). Easier to fold than blank copy paper because of the perforations, and since it is blank, it won't go out of date!

Bulk TIN Matching
TIN Matching is a pre-filing service offered to payers and/or authorized agents who submit any of six information returns subject to backup withholding (Forms 1099-B, INT, DIV, OID, PATR, and MISC). With Interactive TIN Matching authorized payers can match up to 25 payee TIN and name combinations against IRS records prior to submitting an information return. Bulk TIN Matching allows payers and/or authorized agents filing any of the six information returns to match up to 100,000 TIN and name combinations. In order to participate in TIN Matching, payers must be listed in the IRS Payer Account File (PAF) database. If your firm has not filed information returns with the IRS in one of the past two tax years, the application will not be available to you at this time.

Click here to learn how to use Bulk TIN Matching

Business Rules
Business Rules are formulated in conjunction with the compliance experts from IRS Compliance to check that data being processed in 1099 Pro's software does not contain common formatting errors, form specific errors, is valid for State and Federal filing, and can be used to separate records with different levels of issues for processing.

- C -

"C" Record
Contains the total number of payees and the totals of the payment amount fields filed for each payer and/ or particular type of return.

CFSF / CFSFP - Combined Federal State Filing Program
The Combined Federal/State Filing Program was established to simplify information return filings for taxpayers. The CF/SF Program allows the IRS to forward electronically-filed information returns to participating states free-of-charge for approved filers, thus eliminating separate reporting to those states.

Control Totals
The Control Totals report is an invaluable tool for reviewing recipient records. Information contained in this report includes:

- Form type
- Filer's Name and TIN
- Recipient's First Name, Last Name, TIN, Account Number and optionally, their Address
- Individual record print status and date of last update
- Box by box totals
- Number of missing TINs and more....

Corrections
If you filed a return with the IRS and later discover you made an error on it, you must correct it as soon
as possible. For some corrections, you must file two returns with Form 1096 and for some only one return with Form 1096. In addition, you must provide statements to recipients showing the corrections as soon as possible. If you fail to file correct information returns or furnish a correct payee statement, you may be subject to a penalty.

- E -

Electronic Filing
See IRS FIRE System

EIN (Employer Identification Number)
An Employer Identification Number (EIN) is also known as a federal tax identification number, and is used to identify a business entity. Generally, businesses need an EIN.

Excel Spreadsheet Files
When saving data in Excel, use the 'Save As' method to save your file in .TXT (TAB delimited) format, not .XLS format. Sample import files in this format are included in your 1099 Pro installation and are very helpful. These files appear out of alignment when viewed from a text editor such as Notepad but look great when viewed from Excel. To import .TXT (TAB delimited) files select TAB, CR LF and Double Quotes as your delimiters in the Import Wizard.

Export Database
The 1099 Pro Export Wizard simplifies the process of creating export files. Export files are written in ASCII format, delimited with a TAB character, and may be easily opened in Microsoft Excel, Access or Notepad.

- F -

"F" Record
End of Transmission

Filer
The individual or organization filing the 1099.

FIRE System
Use the Filing Information Returns Electronically (FIRE) System to electronically upload informational returns to the IRS. Electronic files created via the 1099 Pro Electronic File Wizard fully comply with required IRS record formats per Pub. 1220. The FIRE System is available 24 hours a day, 7 days a week to any transmitter and can be reached by visiting https://fire.irs.gov. The FIRE System can be accessed by opening a web browser, accessing the Internet and typing in the address https://fire.irs.gov.

Form Status
Users must select an import status for their data in the first step of the import routine, Import Data. Selecting the correct status is important because aside from Pending, the status of the session can only be reset by voiding (deleting) the entire session.

Forms
Fill-in forms allow you to enter information while the form is displayed 1099 Pro in the Enter, Update & view Screen. You can then print the completed form for your records and for filing with the IRS.

Forms Status Values
See topic on "Forms Status Values"

- G -

Generating Account Numbers
See Account Number Generation

Group Actions
Group Actions let you tag/select a number of items and then perform a single action on them. In all cases, you will be asked to confirm your choice before the action is taken.

- H -

History
1099 Pro lets you view a list of prior changes to a form. Records with a pending status display the Changing a Record screen. In the upper right corner of the form is a audit trails button. Click the "audit trails" button. This screen tracks all manual changes made directly to a record.

- I -

Import
Many database and spreadsheet applications such as Microsoft Excel, Access and Lotus 1-2-3 provide for the exporting of data to an ASCII file. These files can be imported into 1099 Pro, thus relieving the burden of manually entering the information onto the tax form. If your data has already been entered once, why type it again?

INI Files
The "Pro99T16.INI" file contains information specific to your installation and is located at <% DEFAULTPATH%>\Admin. If installing to a directory such as Program Files it may be placed in C:\Windows. The INI file may or may not be deleted during a custom uninstall. This file can be manually deleted if you want to totally remove 1099 Pro from your system or if you want to perform a clean re-installation. This file can remain if you want to reinstall the software but retain your settings.

Install
See Instructions on Installing 1099 Pro.

IRS/MCC
The Internal Revenue Service, a division of the U.S. Treasury Dept. that is responsible for the assessment and collection of most federal taxes, except those relating to alcohol, tobacco, firearms, and explosives. Established in 1862, the IRS derives most of its revenues from the collection of corporate and individual income tax.

- K -

"K" Records
Contains the summary for a given payer and a given state in the Combined Federal/State Filing Program, used only when state-reporting approval has been granted.
Keyboard Shortcuts
Keyboard shortcuts allow you to quickly enter or carry out functions by applying a combination of ALT [SHIFT] or Ctrl + key Commands on your keyboard.

-L-

Laser Forms
When using preprinted laser forms you must select the copies to print. The Print Wizard pauses before printing each copy to prompt you to load the appropriate form into the printer. For use with Copy A, B, C &/or 1096. Forms are perforated, with each required copy preprinted with the necessary information (Copy A in red drop-out ink, Copy B in black, etc.). Saves toner and time!

-M-

Master Tax Form
In terms of Aggregating data in a tax form, the master tax form is considered to be the first tax form entered at the top of the list.

-O-

Online Help Tutorials
Flash enabled tutorials walk you through various tasks including importing, exporting, printing, Electronic File, queries, etc. Tutorials simplify the 1099 Pro learning curve - try one at http://www.1099 Pro.com

Online Knowledge Base

-P-

Passwords
The Logon screen requires you to enter a new password. Passwords must be 3-8 characters, should not be case sensitive, and you cannot use the word "new."

Payer Codes
A Payer code is an alphanumeric shorthand used to identify a Payer/Filer in the system. You might set up several Filers with the same TIN in the system and the Payer Code is an easy way to identify the business area you are dealing with. For example a Payer Code of 'BOD' where reporting for the Board of Directors takes place. Typically security and/or the return address would be different for each Payer Code.

Additionally, in an import file with recipient / tax form data for more than one Payer/Filer, Payer codes can be used to define which Payers / Filers the recipient / tax form data should be posted to.

(Corporate Suite Only: The software will automatically assign Payer Codes if you do not.)

Penalties
See Errors and Warnings

Pending
These forms were inputted or imported. Forms with a Status of Pending may be changed or deleted.
Preferences
At the menu bar click "File" and "Program Preferences", or on the toolbar select the General Options tab and the Preferences icon. Preferences allow you to make changes to general settings which affect how the software functions globally.

- Q -

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

- R -

Recipients
The receiver of a 1099 tax form.

Reports
Reports are very useful for tracking the status of your forms and determining if records contain any errors or warnings. 1099 Pro offers 3 main reports to choose from: Form Control Total, Forms issued by Filer, and Form Counts.

Restore
The 1099 Pro Backup Wizard automatically copies all data files and compresses them into a WinZip format. You can use the program WinZip to restore your data to a location on your hard drive.

Rights Groups
Activity Groups are used to allow or deny users from performing various activities within the system. Examples may be rights to View tax forms or rights to Import/Export tax form data. Activity Groups assigned to users cause these users to inherit the rights assigned to the Group. Activity Groups consist of two types:

- Built in Groups (Denoted by the blue/green color)
- Custom Groups that you create

Note: Built in Groups cannot be deleted or changed other than just adding or removing members.

Roll Forward
During installation the wizard automatically looks for prior year data files. If files are located the wizard prompts to "Copy 2015 Filers to 1099 Pro 2016". This is the only opportunity to roll forward prior year data into 1099 Pro 2016.

Rule-of-250
See 250 Rule

- S -

Search
Access any recipient or filer via the Search Name field.

Security
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 performs a twofold method of protecting sensitive company data.

**Service Bureau**

1099 Pro has a proven track record at printing, mailing and electronic filing. Our 1099 Service Bureau will relieve you of the burden of ordering supplies, arranging for printing, stuffing and mailing of your tax forms. Input your data into our software, when you are ready to file, you transmit an encrypted file via the Internet to a secured site where we:

- Print and mail all recipient copies
- File required Federal copies
- File State copies (if necessary)
- Print, Mail & File Corrections

**SSN (Social Security Number)**

The nine-digit Social Security number is divided into three parts:

- The first three digits are the area number. If your Social Security number was assigned before 1972 when Social Security cards were issued by local offices, the area number reflects the State where you applied for your number. If your number was assigned in 1972 or later when we began issuing Social Security cards centrally, the area number reflects the State as determined by the ZIP code in the mailing address on your application for the number.
- The middle two digits are the group number. They have no special geographic or data significance but merely serve to break the number into conveniently sized blocks for orderly issuance.
- The last four digits are serial numbers. They represent a straight numerical sequence of digits from 0001-9999 within the group

**Spreadsheets**

When saving data in Excel, use the 'Save As' method to save your file in .TXT (TAB delimited) format, not .XLS format. Sample import files in this format are included in your 1099 Pro installation and are very helpful. These files appear out of alignment when viewed from a text editor such as Notepad but look great when viewed from Excel. To import .TXT (TAB delimited) files select TAB, CR LF and Double Quotes as your delimiters in the Import Wizard.

**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. Check with your accountant or attorney to determine your company’s state ID number. Many companies do NOT have one.

- **Transmitter "T" Record**
  Identifies the Transmitter of Electronic file information contained on 4419 forms.

- **Tag**
  The act of selecting a filer or recipient.

- **TCC - Transmitter Control Code**
  A Transmitter Control Code number or (TCC) is required when filing electronically. A TCC is composed of five alpha-numeric characters. If filing electronically via the Service Bureau, a TCC is not required and this information need not be completed.
Technical Support
See Technical Support

TIN - Taxpayer Identification Number

NOTE: All Forms 1099 must include payee tax identification numbers (TINs). A TIN is a social security number issued by the Social Security Administration, an Employer Identification Number issued by the IRS, or an Individual Tax Identification Number issued by the IRS. Individual Tax Identification Numbers are generally restricted to certain foreign vendors who are not eligible for social security numbers.

TIN Matching
See Bulk TIN Matching

Transmitter Information
The Individual or Organization responsible for filing the tax forms electronically to the IRS. To obtain a TCC, file Form 4419 to request authorization to file forms electronically. Form 4419 must be mailed at least 30 days prior to the filing deadline for the electronic file. Form 4419 may be printed at the Print Blank Forms screen. For more information on TCC's, contact the IRS-MCC at (304) 263-8700.

- U -

Un-Installing
The Select Uninstall Method screen offers two options for removing 1099 Pro from your hard drive:

- "Custom" allows the user to select files individually (recommended).

- "Automatic" initiates a default uninstall routine. This option leaves behind your current data files under the main program directory in the folder named "Data", the Uploads folder containing any uploads generated by the 1099 software for submission to the Service Bureau, and miscellaneous .DLL files used by the software. In addition the .INI file is also preserved in the \Windows directory.

User(s) / UserID
A user is an individual who has access to the software. Rights and permissions which delegate what this user can and cannot do are assigned to the user and then the user freely uses the software either with some restrictions or no restrictions.

User Group(s)
User Groups are created by attaching one or more Access Groups and one Activity Group to them. A user's rights are determined based on which User Groups they are a member of:

- Administrator/ALL Rights
- Tax Forms (Edit/Pending)
- Tax Forms (Full Rights)
- Tax Forms (View Only)
- Import Tax Form Data
- Export Tax Form Data
- All Tasks Except Security
- File Tax Forms with IRS
- Service Bureau Upload
- W-9 Tracking

- V -
Virus Checkers
Disable virus checkers (e.g., Norton, McAfee, ViruScan, etc.) PRIOR to installation to avoid potential corruption. Random errors in 1099 Pro are typically due to installation of software while running a virus checker. After a successful installation, re-enable the virus checker.

- W -

W-9
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 How to Create a W9 Request in the software

Warnings
See Errors and Warnings

Web Updates
The Check for Updates feature uses the Internet to check the 1099 Pro, Inc. update servers for a newer version of this program. Instead of running the full Web Update procedure from your Windows Start-Programs menu, you can now quickly check for updates from within 1099 Pro, or even have the program automatically check for you. If there is a new version, a message will pop up to display the new version and a one line summary of what is included in the update.

28.1 250 rule

Rule-of-250

The Rule-of-250 states that any filer submitting 250 or more forms of any one type must submit those forms electronically. Failure to do so may result in fines of up to $100 per form.

If you are not signed up for the IRS FIRE system or do not wish to do so our SSAE 16 SOC I TYPE II Service Bureau offers electronic filing services. Please call us at (866) 444-3559 to schedule an appointment and obtain pricing.

Please see the excerpts below from the IRS General Instructions for Forms 1099, 1098, 5498, and W-2G.

1099 Informational Returns

Electronic reporting may be required for filing all information returns discussed in these instructions (see Who must file electronically on this page). Different types of payments, such as interest, dividends, and rents, may be reported in the same submission.

Pub. 1220 provides the procedures for reporting electronically and is updated annually. Pub. 1220 is available on the IRS website at www.irs.gov. You can file electronically through the Filing Information Returns Electronically System (FIRE System); however, you must have software that can produce a file in the proper format according to Pub. 1220. The FIRE System does not provide a fill-in form option. The FIRE System operates 24 hours a day, 7 days a week. You may access the FIRE System via the

Who must file electronically:
If you are required to file 250 or more information returns, you must file electronically. The 250-or-more requirement applies separately to each type of form. For example, if you must file 500 Forms 1098 and 100 Forms 1099-A, you must file Forms 1098 electronically, but you are not required to file Forms 1099-A electronically. The electronic filing requirement does not apply if you apply for and receive a hardship waiver. See How to request a waiver from filing electronically below.

The IRS encourages you to file electronically even though you are filing fewer than 250 returns.

Filing requirement applies separately to originals and corrections.
The electronic filing requirements apply separately to original returns and corrected returns. Originals and corrections are not aggregated to determine whether you are required to file electronically. For example, if you file 400 Forms 1098 electronically and you are making 75 corrections, your corrections can be filed on paper because the number of corrections for Form 1098 is less than the 250 filing requirement. However, if you were filing 250 or more Form 1098 corrections, they would have to be filed electronically.

How to get approval to file electronically:
File Form 4419, Application for Filing Information Returns Electronically, at least 30 days before the due date of the returns. File Form 4419 for all types of returns that will be filed electronically. See Form 4419 for more information. Once you have received approval, you need not reapply each year. The IRS will provide a written reply to the applicant and further instructions at the time of approval, usually within 30 days.

How to request a waiver from filing electronically:
To receive a waiver from the required filing of information returns electronically, submit Form 8508, Request for Waiver From

Filing information returns Electronically, at least 45 days before the due date of the returns. You cannot apply for a waiver for more than 1 tax year at a time. If you need a waiver for more than 1 year, you must reapply at the appropriate time each year.

If a waiver for original returns is approved, any corrections for the same types of returns will be covered under the waiver. However, if you submit original returns electronically but you want to submit your corrections on paper, a waiver must be approved for the corrections if you must file 250 or more corrections. If you receive an approved waiver, do not send a copy of it to the service center where you file your paper returns. Keep the waiver for your records only.

Penalty:
If you are required to file electronically but fail to do so, and you do not have an approved waiver, you may be subject to a penalty of $100 per return for failure to file electronically unless you establish reasonable cause. However, you can file up to 250 returns on paper; those returns will not be subject to a penalty for failure to file electronically. The penalty applies separately to original returns and corrected returns.

28.2 Alignment
Alignment
Alignment adjustments are measured in hundredths of an inch from the default margin. For example, "0.25" would shift the top margin down 1/4-inch and "-0.25" would shift the top margin up 1/4-inch.

28.3 **Business Rules**

**Business Rules**

Business Rules are formulated in conjunction with the compliance experts from IRS Compliance to check that data being processed in 1099 Pro’s software does not contain common formatting errors, form specific errors, is valid for State and Federal filing, and can be used to separate records with different levels of issues for processing.

28.4 **Ascii**

**ASCII**

A simple text file where fields are delimited (or separated) with certain characters such as a tab, space or pipe. 1099 Pro's import capability allows for most any ASCII file. These files can be exported out of most database and spreadsheet applications as an ASCII file, comma separated value (CSV) or tab delimited. Need help? Contact Technical Support.

**Phone**: (888) PRO-1099, Select Option 2

**Email**: Click [here](mailto:) to E-Mail Support

**Technical support is available**: Monday thru Friday from 7am to 5pm (PST), Excluding Holidays

28.5 **Cascading updates**

**Cascading updates**

Cascading updates are changes made to a recipient's name or address at the Browse Recipients screen.

28.6 **Corrected options**

**Corrected Options**

The Corrected Options screen is accessed whenever a corrected form (or original form associated with a correction) is selected at the "Work with My Tax Forms" screen.

28.7 **End of Payer "C" Record**

**End of Payer "C" Record**

End of Payer "C" Record - Contains the total number of payees and the totals of the payment amount fields filed for each payer and/or particular type of return.
28.8  End of Transmission "F" Record

End of Transmission "F" Record - Contains a summary of the number of payers in the entire file.

28.9  Filer

Filer

The term Filer is used by the IRS for the person or organization filing the 1096 transmittal. The terms filer, employer and payer are sometimes used interchangeably.

28.10 Hotspot

Hotspot

Hotspot (or popup) items are indicated by a dotted line underneath a word or phrase. Click the hot spot to view a popup information box.

Jump items are indicated by a solid line underneath a word or phrase. Click the jump to link to a related help topic.

28.11 Import Map

Import Map

Import Maps describe the format and contents of external data files so that the information they contain can be imported into the program.

28.12 Location code

Location Code

Use to set up multiple filers with the same TIN; allows different return addresses for different forms.

28.13 Payee "B" Record

Payee "B" Record

Payee "B" Record - Contains the payment information from the information returns

28.14 Payer "A" Record

Payer "A" Record

Payer "A" Record - Identifies the person making payments

28.15 Pending

Pending

All records are assigned a print status that determines their position in the filing cycle. A pending record is available for printing and/or changes. The terms "pending" and "not printed" are sometimes
used interchangeably.

See Print Status topic.

28.16 Pending Status

Pending Status

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.

☑️ Print Status Overview

28.17 Recipient Employee

Recipient Employee

A recipient is an individual or business that receives a 1099 or a 1042-S. An employee receives a W-2. The terms recipient and employee are sometimes used interchangeably.

28.18 Roll Forward Utility

Roll Forward

Users may roll forward their prior year data during the installation wizard (Image 1) or from the Start Menu (Image 2). It's important to note that users cannot roll over any data once a new filer and/or recipients have been added, so roll forward data BEFORE adding any new data.

(Image 1 - Roll over data option available through initial installation wizard.)
SSAE 16 SOC I Type II

Definitions
- SSAE 16 - Statement on Standards for Attestation Engagements No. 16.
- SOC I - Service Organization Control Report No. 1
- Type I - Audit of a system on a specified date
- Type II - Audit of a system throughout a specified time period

Overview
The SSAE 16 is an attestation standard put forth by the Auditing Standards Board (ASB) of the American Institute of Certified Public Accountants (AICPA).

SSAE 16 SOC I Type II is a high-level security certification requiring a stringent audit process.
Pro’s hosting and data facilities have passed this difficult audit without exception, ensuring that your data is secure when using any of our software or services. The SSAE 16 effectively replaces the SAS 70 for reporting periods ending on or after June 15, 2011.

This standard applies to engagements undertaken by a Service Auditor for reporting on controls at organizations like 1099 Pro which provide services to their customers. The controls in place at service organizations are likely to be relevant to a customer's internal control over financial reporting (ICFR).

Details

The SSAE 16 requires certain enhancements from the SAS 70 report - such as the service organization provide a description of its system. The description should include the services provided, control objectives, supporting processes, policies, procedures, personnel and operational activities that constitute the organization's core activities relevant to its customers.

Additionally, the SSAE 16 requires a Written Assertion by management be provided to the Service Auditor. In this document, management must assert that the system description and control objectives included therein are a fair presentation for the time period specified in the SOC 1 report.

SOC 1 reports are performed and issued under the Statement on Standards for Attestation Engagements No. 16 (SSAE 16) as explained above. The controls addressed in a SOC 1 report are those that a service organization like 1099 Pro implements to prevent, detect and correct errors or omissions in the information it provides to customers.

Type II indicates that the service organization's system was suitably designed to achieve stated control objectives and to operate effectively throughout a specified time period. Type I refers to a system designed for implementation on a specific date, rather than throughout a specified time period.

For further information, or report details, please contact the 1099 Pro Service Bureau.

The Service Bureau
Phone: 866-444-3559
Email: sb@1099pro.com

28.20 SSN

Social Security Numbers

Social security numbers (SSNs) should be formatted as ###-##-####. Dashes are required to differentiate EINs from SSNs. There are approximately 100,000 numbers that are identical except for the placement of the dash!

28.21 State Totals "K" Records

State Totals "K" Records

State Totals "K" Records - Contains the summary for a given payer and a given state in the Combined Federal/State Filing Program, used only when state-reporting approval has been granted.

28.22 Tag

Tag
Individually tag (select) a record, print session or filer. A tagged item is marked by a red checkmark.

28.23 Task Panel

Task Panel

The task panel is the blue bar on the left side of the screen and provides quick access to common tasks.

28.24 TCC

TCC

TCC for IRS FIRE System
Transmitter Control Code. Assigned to a filer when they have filled out Form 4419 at least 30 days prior to the filing deadline for the electronic file. To print Form 4419 go to the Help & Extras task panel and select the "IRS Pubs & Links" icon.

TCC for AIR (ACA)
The TCC for AIR is unique to filing ACA returns. The TCC issued for filing 1099 Informational Returns is suitable for the IRS FIRE System, not the AIR Site. 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.

28.25 TIN

TIN

Taxpayer identification number. An SSN (Social Security Number) has 9 digits divided by 2 hyphens, i.e. 333-22-4444. An EIN (Employer Identification Number) has 9 digits divided by 1 hyphen, i.e. 22-7777777. The placement of the dash is critical!

28.26 TIN (SSN) Masking

TIN Masking

What Is TIN Masking?
Internal Revenue Bulletin 2014-31 allows for the truncation of recipient identification numbers on statements. The goal of these regulations is to reduce the risk of identity theft that may arise from placing a taxpayer’s entire identifying number on a recipient statement. The regulations allow for the replacement of the first five digits of the nine digit number with Xs.

1099 Pro TIN Masking
As allowed, all 1099 Pro software products provide optional TIN Masking. Use of this option allows you to print recipient copies of forms with the TIN masked, for example "444-12-1234" prints as "XXX-XX-1234", for added security when mailing to the recipient. By default, all Filers have TIN Masking enabled. To disable TIN masking see Changing a Filer. TIN masking may also be temporarily set "On/Off" at the Advanced Print Options screen.

IRS Rules and Restrictions for use of TIN Masking*:
- A masked TIN has an 'X' for the first 5 digits. Example: XXX-XX-1234 or XX-XXX1234.
• Masking is only available for Recipient copies. **If masking is enabled, all recipient copies will have the TIN masked.** For example, if the recipient receives both a recipient and a state copy the TIN will be masked on both.

• Masking is allowed on Forms 1098 series (except 1098-C), 1099 series, 5498 series and 1095-C as per IRS Bulletin 2014-31. **Masking is not allowed on Form W-2.** Masking is available for Calendar years 2009 onwards.

• Masking is NOT allowed on IRS Copy A.

• Filers may not mask their own TIN.

*This software automatically applies these rules as needed when TIN masking is selected.

### 28.27 Transmitter "T" Record

Transmitter "T" Record

**Transmitter "T" Record:** Identifies the Transmitter of Electronic file information contained on 4419.
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