ftwilliam.com
Train the Trainer 2017 Basic Training

Thursday August 24, 2017

PLEASE CALL
1-855-747-8824
Attendee Passcode: 681306#

Wolters Kluwer
Law & Business

Housekeeping

- All telephone lines are muted – please use the Chat or Q&A options to ask questions
  - We will compile these and circulate after the training
- We will be using polling during the presentation to maximize audience participation

Agenda

- Plan Set-up
- Census Data
- Supplemental Grids
- The Data Scrub
- Allocations
- The Transaction Menu
- Resources

Plan Set-up

Sources & Investment Accounts

Plan Specifications

- When you add the first plan year end, plan specifications will copy from the ftwilliam plan document software
  - One-time feed – changes made to the document during the year do not feed
- When you add subsequent year-ends, you have a choice to copy specifications from the document, or the prior year on Compliance
  - Default is the prior year on compliance

Plan Specifications

- Setting up accounts & sources - **ALWAYS** do before adding transactions!!!
  - Add asset custodian & ID code as applicable
  - Confirm source set-up – may need to click 'Add Default Sources' link
    - Avoid adding sources manually
    - Software now prevents users from adding source codes that are ftw system codes
  - Suppress any unused sources – don't delete
  - Add investment accounts if using and add to all non-suppressed sources

Work with Sources

Compliance Plan Specifications - Expand All Applicable / Expand All / Collapse All

Sources & Investment Accounts

Sources/Accounts

Financial data import vendor: None

Export Vendor List by Plan

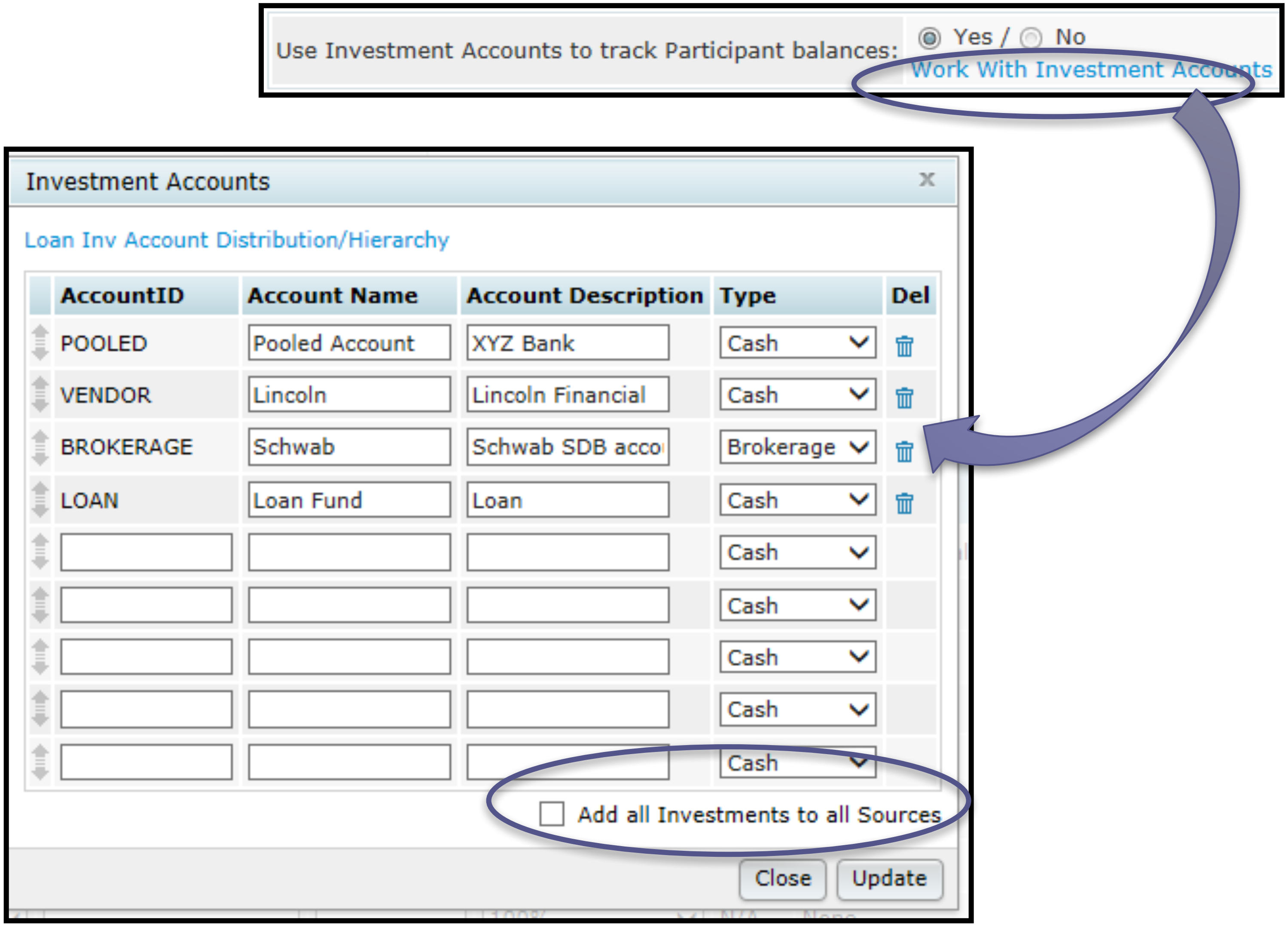
Work with Sources/Inv Accounts

SourceID	Suppress	Top Heavy	Source Name	Source External ID	Vesting	Vest Other	Contribution Source	Earnings Alloc Meth	Curr Yr Factor
401K	No	Yes	Elective Deferral		100%	N/A	ElectiveDeferral	Bal Forward - Trad	100.00
ROTH	No	Yes	Roth Deferral		100%	N/A	Roth	Bal Forward - Trad	100.00
MATCH	No	Yes	Matching Contribution		2-6 Year Graded	N/A	Matching	Bal Forward - Trad	100.00
QMAC	Yes	Yes	QMAC		100%	N/A	QMAC	Bal Forward - Trad	100.00
QNEC	Yes	Yes	QNEC		100%	N/A	QNEC	Bal Forward - Trad	100.00
PS	No	Yes	Profit Sharing		2-6 Year Graded	N/A	NonElective	Bal Forward - Trad	100.00
	No	Yes			100%	N/A	None	Bal Forward - Trad	
	No	Yes			100%	N/A	None	Bal Forward - Trad	
	No	Yes			100%	N/A	None	Bal Forward - Trad	
	No	Yes			100%	N/A	None	Bal Forward - Trad	
	No	Yes			100%	N/A	None	Bal Forward - Trad	

When to Add Investment Accounts

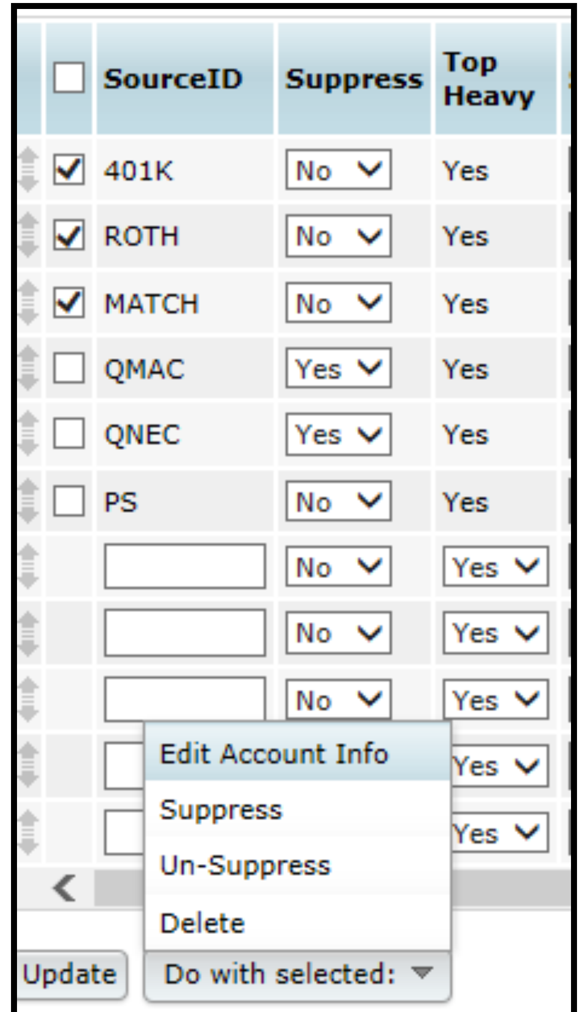
- Use Investment Accounts to track Participant balances?
  - YES If any of the following are applicable:
    - Assets in more than one place
    - Need to allocate earnings
    - Participants have individual brokerage accounts
    - You are tracking loans
  - NO If all the assets are with an asset custodian and you only need to track by source

Setting up Accounts



Add Investment Accounts to Sources

- Option to add all accounts to all sources is on the account setup screen
- Or from source setup screen use the check box to select sources and click ‘Do with selected’
  - Choose ‘Edit Account Information’



Plan Specifications

- Review other plan specifications
  - Make sure all date fields are correctly populated in the General Features section
  - New option added in 2016 for plans with last day rule – ‘Include Last Day’
    - If selected those who terminate on the last day will receive a contribution
    - Not in the document, so TPA needs to select in Compliance

Let's Look at the Software!

Polling Question

- Maria is an eligible participant; she terminated in April 2016, with 750 hours for the 2016 plan year. Based on the plan specifications on the screen, will she receive employer contributions for 2016?

Census Data

Adding Participant Census Data

Census Grids

- A new set of grids known as ‘System Grids’ was added in 2014
  - Names begin with * ftw; grids cannot be edited or deleted
- Two more grids were added to the list in 2017
  - *ftw TPG Projected HCE for next year - use to review HCE’s when plan uses top paid election
  - *ftw Catchup and Excess Report - use to review the catchup and excess amounts by limit - 402(g), 415, plan or ADP
- All users have access to the system grids

System Grids

Name	Grid ID	Used to
* ftw Beneficiary Fields	3d2a0cf	Enter and review beneficiary fields
* ftw Catchup and Excess Report	51e5089	Review catchup data and excess contributions
* ftw Catchup and Excess Report Fiscal	675e6b9	Review catchup data and excess contributions for fiscal year plan
* ftw Contribution Upload	d043c55	Upload contributionamounts
* ftw Correct 401(b) Failure	cb75a0f	Bring in participants to correct coverage failure
* ftw Davis Bacon	e570899	Enter Davis Bacon eligibility and contributions
* ftw DER Conversion	b1c01ec	Convert data from Relius, the first plan year plan is loaded on ftw system. Use the original for years prior to 2015, the 2015 version for 2015 & 2016 and the 2017 version for 2017 & later
* ftw DER Conversion 2015	a1a197c	
* Ftw DER Conversin 2017	d4f37fa	
* ftw Exclude by Class	c680e59	Enter employee class codes
* ftw First Year Supplemental Census Grid	a79ad3f	Add supplemental data for first plan year in ftw – takeover plans
* ftw General Test Acct Bal	8e0269a	Enter general test account balances for testing. See General Test Parameters – select ‘Account Balances’ for ‘Testing Period’ option
* ftw Override HCE Key	51e8e47	Override HCE and Key data
* ftw Override Initial Eligibility	58a0e0d	Override initial eligibility and entry dates – individual or global
* ftw Primary 1 Census (comp and comp after elig)	c1eb549	Enter census data for 401(k) plans using entry date compensation
* ftw Primary 2 Census Statutory Comp	f0e744e	Enter census data for 401(k) plans using full year compensation
* ftw Primary 3 Census Fiscal Plan Year	efb0e0a	Enter census data for non calendar year 401(k) plans
* ftw Primary 4 Census exclude certain comp	d915e5d	Enter census data for 401(k) plans needing compensation testing
* ftw Primary 5 Census Cash Balance	11eb264	Primary census grid for cash balance plans - in beta testing
* ftw Roth and Roth Rollover	91b0efa	Enter Roth data and Roth rollover contributions.
* ftw Self Employment Calculations	d6982aa	View self-employed calculations
* ftw Top Heavy Allocations	de7a272	View top heavy allocation calculations
* ftw TPG Projected HCE for next year	089ec77	See who will be in TPG next year

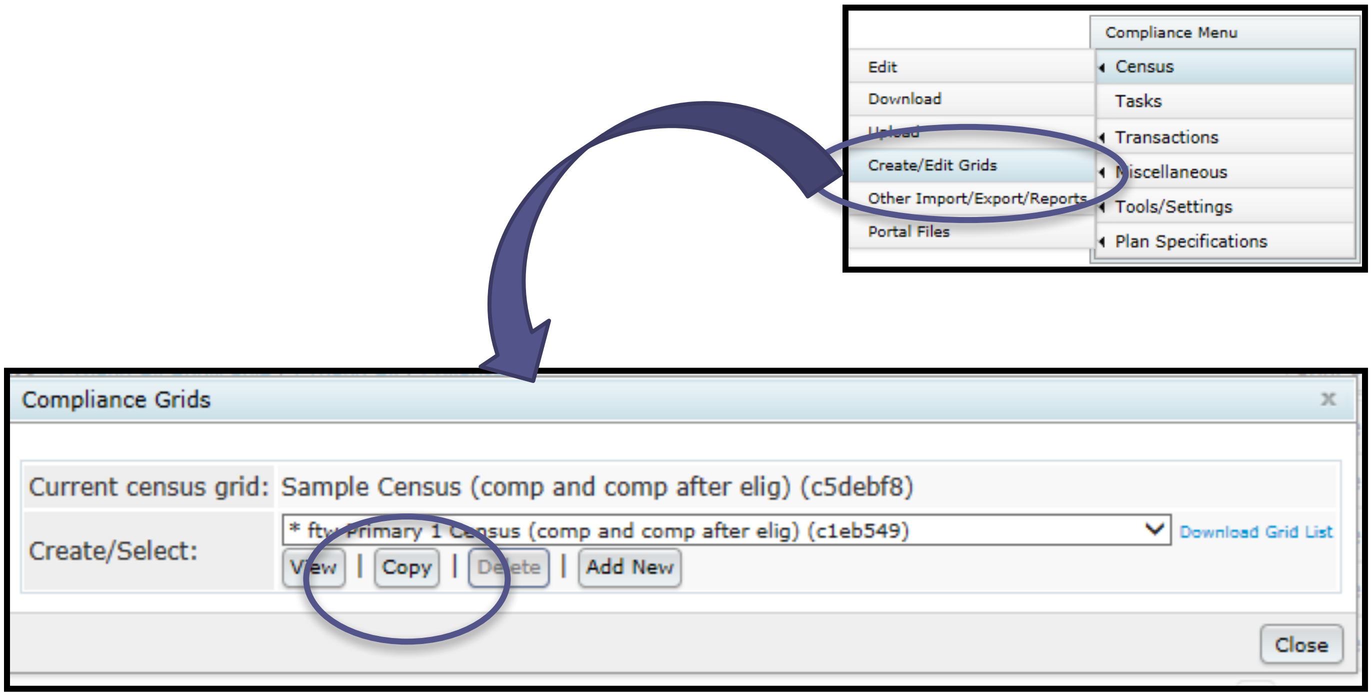
Choosing a Primary Census Grid

- Start with one of the ‘system’ primary grids
  - These contain data needed for annual processing for most plans
  - Mapping is pre-set
- To customize a system grid first copy it, then rename
  - Maintains system grids
  - Avoids confusion with other associates’ grids

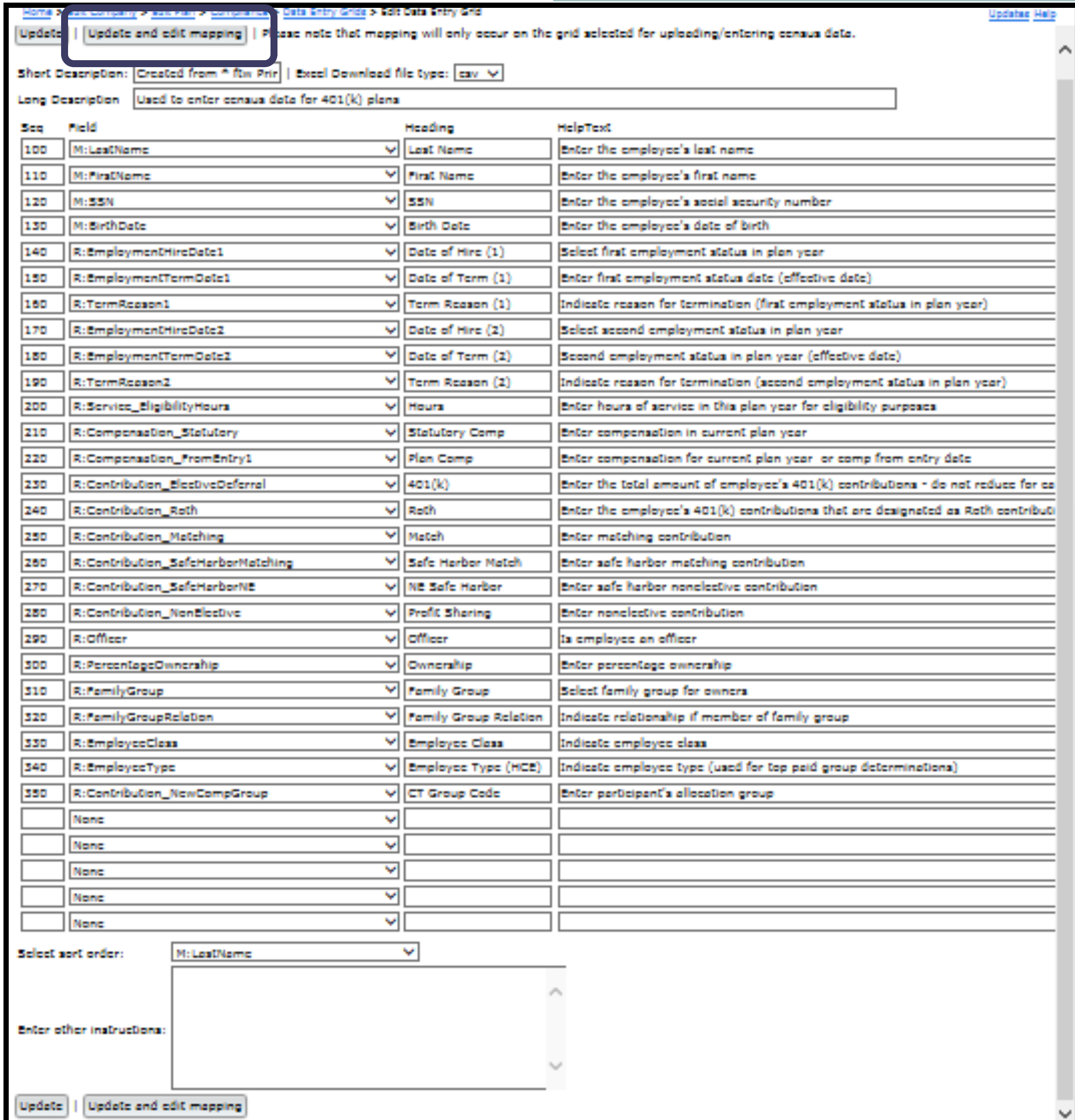
Primary Census System Grids

Grid Name	When to use
* ftw Primary 1 Census (comp and comp after elig)	Plan that uses entry-date comp for plan calculations
* ftw Primary 2 Census Statutory Comp	Plan that uses statutory comp for all plan calculations
* ftw Primary 3 Census Fiscal Plan Year	Non-calendar year plan
* ftw Primary 4 Census exclude certain comp (414s comp test)	Plan that uses a non-Safe Harbor definition of compensation and needs 414(s) testing
* ftw Primary 5 Census Cash Balance	For cash balance plans

Copying a Primary Grid



Edit Grid Screen


Home > [illegible] > [illegible] > Compliance > Data Entry Grids > Edit Data Entry Grid

Updates Help

Update | Update and edit mapping | Please note that mapping will only occur on the grid selected for uploading/entering census data.

Short Description: Created from * ftw Prir | Excel Download file type: csv

Long Description: Used to enter census data for 401(k) plans

Seq	Field	Heading	HelpText
100	M:LastName	Last Name	Enter the employee's last name
110	M:FirstName	First Name	Enter the employee's first name
120	M:SSN	SSN	Enter the employee's social security number
130	M:BirthDate	Birth Date	Enter the employee's date of birth
140	R:EmploymentHireDate1	Date of Hire (1)	Select first employment status in plan year
150	R:EmploymentTermDate1	Date of Term (1)	Enter first employment status date (effective date)
160	R:TermReason1	Term Reason (1)	Indicate reason for termination (first employment status in plan year)
170	R:EmploymentHireDate2	Date of Hire (2)	Select second employment status in plan year
180	R:EmploymentTermDate2	Date of Term (2)	Second employment status in plan year (effective date)
190	R:TermReason2	Term Reason (2)	Indicate reason for termination (second employment status in plan year)
200	R:Service_EligibilityHours	Hours	Enter hours of service in this plan year for eligibility purposes
210	R:Compensation_Statutory	Statutory Comp	Enter compensation in current plan year
220	R:Compensation_FromEntry1	Plan Comp	Enter compensation for current plan year or comp from entry date
230	R:Contribution_ElectiveDeferral	401(k)	Enter the total amount of employee's 401(k) contributions - do not reduce for ca
240	R:Contribution_Roth	Roth	Enter the employee's 401(k) contributions that are designated as Roth contributi
250	R:Contribution_Matching	Match	Enter matching contribution
260	R:Contribution_SafeHarborMatching	Safe Harbor Match	Enter safe harbor matching contribution
270	R:Contribution_SafeHarborNE	NE Safe Harbor	Enter safe harbor nonelective contribution
280	R:Contribution_NonElective	Profit Sharing	Enter nonelective contribution
290	R:Officer	Officer	Is employee an officer
300	R:PercentageOwnership	Ownership	Enter percentage ownership
310	R:FamilyGroup	Family Group	Select family group for owners
320	R:FamilyGroupRelation	Family Group Relation	Indicate relationship if member of family group
330	R:EmployeeClass	Employee Class	Indicate employee class
340	R:EmployeeType	Employee Type (HCE)	Indicate employee type (used for top paid group determinations)
350	R:Contribution_NewCompGroup	CT Group Code	Enter participant's allocation group
	None		
	None		
	None		
	None		
	None		

Select sort order: M:LastName

Enter other instructions:

Update | Update and edit mapping

Mapping Example

- On the Edit Grid screen click ‘Update & Edit Mapping
- On the View Grid screen click ‘View Mapping’

Description: * **ftw Primary 1 Census (comp and comp after elig)**

System Field	**Grid Field**
Service_EligibilityHours	On data entry grid
Service_EligibilityHoursInitial	Service_EligibilityHours
Service_VestingHours	Service_EligibilityHours
Service_ParticipationHours	Service_EligibilityHours
Compensation_ElectiveDeferral	Compensation_FromEntry1
Compensation_Matching	Compensation_FromEntry1
Compensation_MatchingSH	Compensation_FromEntry1
Compensation_NonElective	Compensation_FromEntry1
Compensation_NonElectiveSH	Compensation_FromEntry1
Compensation_TopHeavy	Compensation_Statutory
Compensation_ACPTesting1	Compensation_FromEntry1
Compensation_ACPTesting2	Compensation_FromEntry1
Compensation_ADPTesting1	Compensation_FromEntry1
Compensation_ADPTesting2	Compensation_FromEntry1
Compensation_NonElectiveTesting	Compensation_FromEntry1
Compensation_Statutory	On data entry grid
Compensation_Statutory_FromEntry	Compensation_Statutory
Compensation_Statutory_PriorYear	None
Compensation_Statutory_CalYr	Compensation_Statutory
Compensation_ExclDeferrals	Compensation_FromEntry1
Compensation_Deduction	Compensation_Statutory

Tips on Grids

- System grids cannot be edited or deleted
  - Copies of system grids can
- Heading & Help Text fields in the system grids are more descriptive
  - These fields are editable - use the Edit Grid screen to change
- Cleaning up grids makes for easier grid management
  - Label custom grids using both the short & long descriptions
  - Delete empty grids – these show as () in the grid list

Loading Census Data

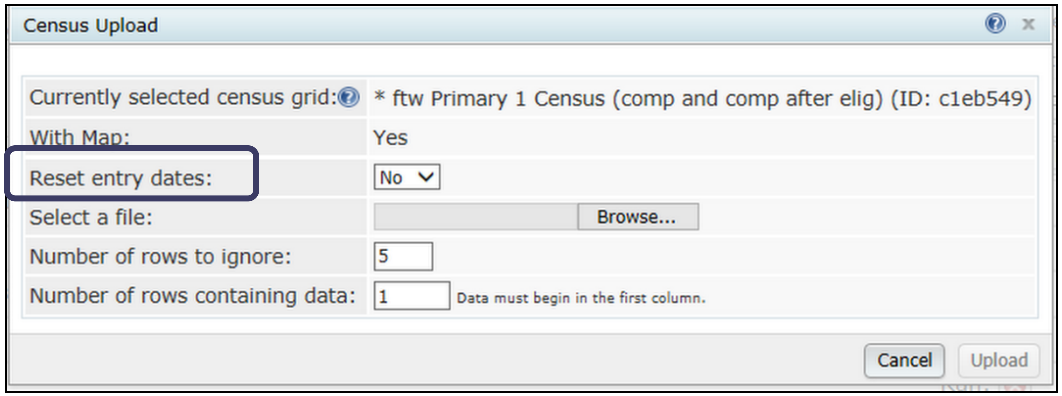
- The data you load on your primary census grid allows the software to calculate eligibility and determine HCEs & Keys
- To add data, upload via worksheet – preferred method
  - From the Compliance Menu select Census=>Download
  - Select ‘Current’ the first year in ftwilliam
  - Select ‘Prior’ otherwise
  - Open the worksheet

Loading Census Data

- Edit the worksheet to add the data
  - Do not change the rows at the top of the worksheet – grid ID must be in cell A3
- To upload, from the Compliance Menu select Census=>Upload
- Choices on the upload screen are different for first year in ftwilliam vs subsequent years

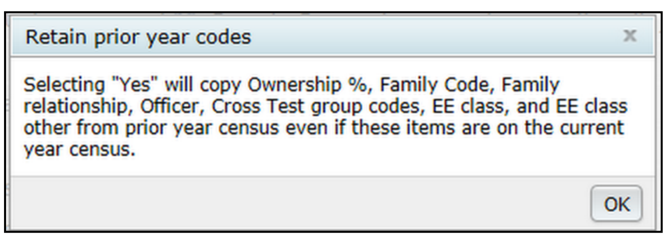
Census Upload Screen

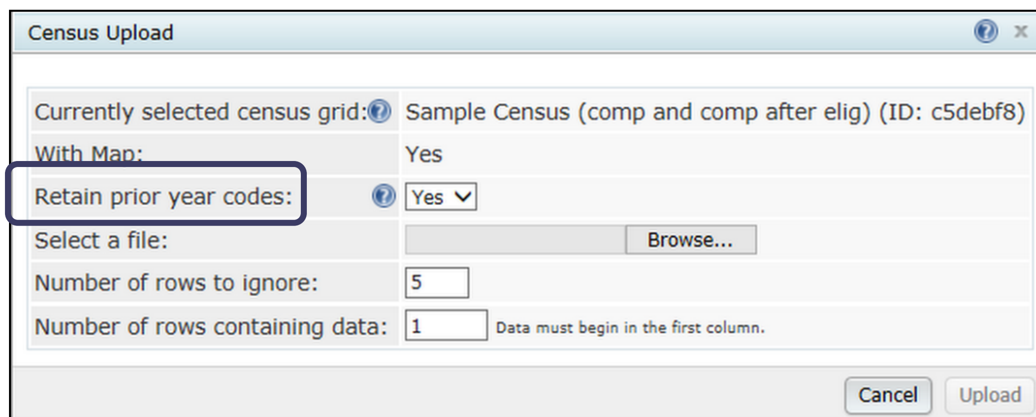
Year 1



Resetting Entry dates clears out previously calculated eligibility & entry dates, and years of service

Year 2 & Later





Let’s Look at the Software!

Polling Question

- Which column(s) need to be completed on the census for the software to correctly identify a 50% owner's daughter as an HCE?

The Other Imports/Exports/ Reports Screen

Adding Supplemental Data

First Year in the System

- The first year on ftwilliam, the software will assume that prior year data was the same as the current year

Data Entry Grid (Census Grid) - ftw Primary 1 Census (comp and comp after elig)

Plan: **JN 2014 Training Plan** | Year End: **2014-12-31** Change Year End

Refresh the Grid | **Active/Inactive Participants not on current census: None** | Show Actives Only

Bacall, Lauren | Select Participant | Delete Participant

Add Participant | SSN: | Last Name: | First Name:

	Last Name	First Name	..	Date of Ter...	Term Reason (1)	Date of Hire...	Date of Ter...	Term Reason (2)	Hours	Statutory Comp
	Help	Help		Help	Help	Help	Help	Help	Help	Help
1	Bacall	Lauren							2,080	106,000.00
2	Ball	Lucy							2,080	65,000.00
3	Bogart	Humphrey							2,080	104,000.00
4	Burton	Richard							2,080	55,000.00
5	Davis	Bette							2,080	35,000.00
6	De Havilland	Olivia							2,080	109,000.00
7	Fonda	Henry							2,080	175,000.00
8	Gable	Clark							2,080	245,000.00
9	Grant	Cary		05/17/2014	Termination				801	[illegible]5,000.00
10	Hepburn	Audrey							2,080	150,001.00
11	Hepburn	Katharine							2,080	145,000.00
12	Kelly	Grace		10/10/2013	Termination				0	0.00
13	Leigh	Vivien							2,080	300,000.00
14	Monroe	Marilyn							2,080	25,000.00
15	Presley	Elvis							2,080	37,000.00

Adding Historical Data for Plan Calculations

- You can add historical data using a supplemental grid – we suggest:
  - * ftw First Year Supplemental Census Grid – add this on the Other Import/Export/ Reports screen under one of the user defined drop-down boxes

Years of Service

- Add the correct prior years of service in each of the Prior YOS columns for the affected participants

	Last Name	First Name	SSN	Prior Y...	Prior Y...	Prior Y...	Prior Y...	Prior Y...	TH Inserv Distri...	TH Inserv Distri...	TH Inserv Distri...
	Help	Help	Hel	Help	Help	Help	Help	Help	Help	Help	Hel
1	Bacall	Lauren	111-11-1111	0	0	0	0	0	0.00	0.00	0.0
2	Ball	Lucy	111-11-1112	0	0	0	0	0	0.00	0.00	0.0
3	Bogart	Humphrey	111-11-1113	0	0	0	0	0	0.00	0.00	0.0
4	Burton	Richard	111-11-1114	0	0	0	0	0	0.00	0.00	0.0
5	Davis	Bette	111-11-1115	0	0	0	0	0	0.00	0.00	0.0
6	De Havilland	Olivia	111-11-1116	0	0	0	0	0	0.00	0.00	0.0
7	Fonda	Henry	111-11-1117	0	0	0	0	0	0.00	0.00	0.0
8	Gable	Clark	111-11-1118	0	0	0	0	0	0.00	0.00	0.0
9	Grant	Cary	111-11-1119	0	0	0	0	0	0.00	0.00	0.0
10	Hepburn	Audrey	111-11-1120	0	0	0	0	0	0.00	0.00	0.0
11	Hepburn	Katharine	111-11-1121	0	0	0	0	0	0.00	0.00	0.0
12	Kelly	Grace	111-11-1122	0	0	0	0	0	0.00	0.00	0.0
13	Leigh	Vivien	111-11-1123	0	0	0	0	0	0.00	0.00	0.0
14	Monroe	Marilyn	111-11-1124	0	0	0	0	0	0.00	0.00	0.0
15	Presley	Elvis	111-11-1125	0	0	0	0	0	0.00	0.00	0.0
	Totals:			0	0	0	0	0	0.00	0.00	0.0

Other Supplemental Data on Grid

- In-service distribution amounts for top heavy testing
- Key employee indicators, e.g. former key employee
- Prior year statutory compensation
- Top paid group – prior year
- Fiscal year fields – only needed for a non-calendar year plan the first year in ftwilliam

Let’s Look at the Software!

Polling Question

- The plan excludes interns; plan specs indicate this as an other class exclusion. How do you indicate that Sanjay is an excluded employee?

The Data Scrub/Eligibility

Running the Scrub and Calculating Eligibility

Before Running the Data Scrub

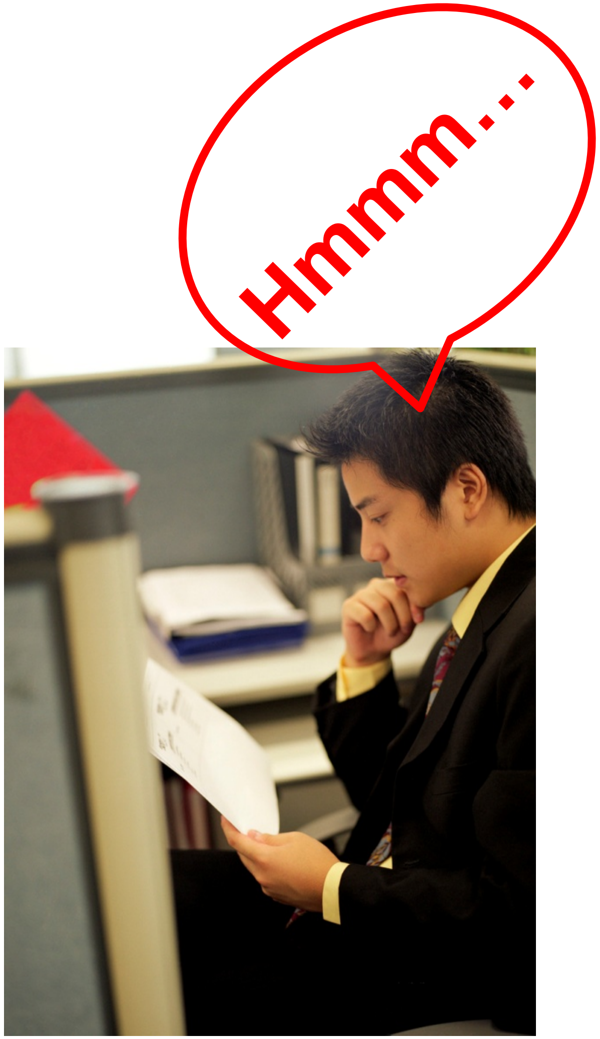
- Save yourself some time - make sure that:
  - Plan specifications are coded correctly, especially the General Features & Eligibility sections
  - Census data is clean
- Run the scrub once you have added the supplemental data – order is very important:
  - Upload primary census
  - Add supplemental grid and enter years of service etc. where necessary
  - Run the data scrub

Running the Data Scrub

- The data scrub calculates eligibility and entry dates and determines HCEs and Key employees
- Pay attention to errors on the scrub results screen
  - Missing data – dates, compensation etc.
  - Eligibility incorrect – e.g. deferrals listed for ineligible employees
  - We suggest suppressing warning messages, especially the first year

Review Reports

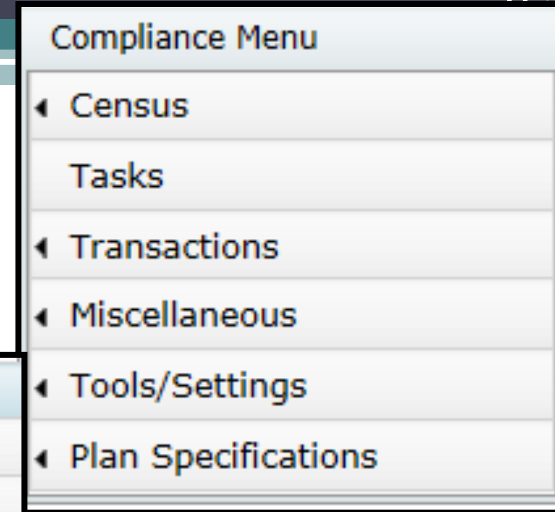
- Always review the eligibility & HCE/Key status reports to ensure the eligibility & entry dates are correct and the HCEs and key employees are properly identified
- Review ‘Key for Next Year’ report for key employees used in the top heavy test

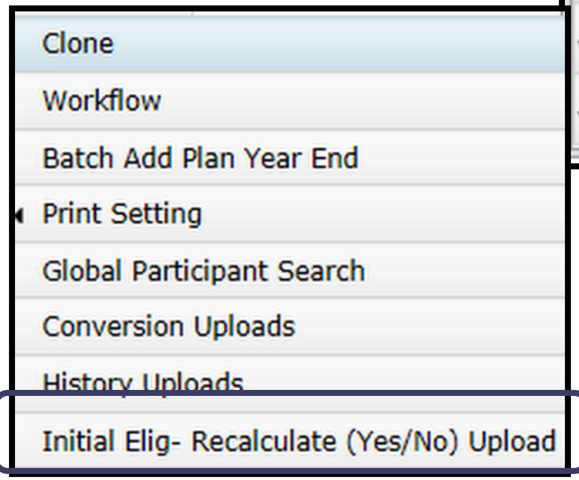


Eligibility

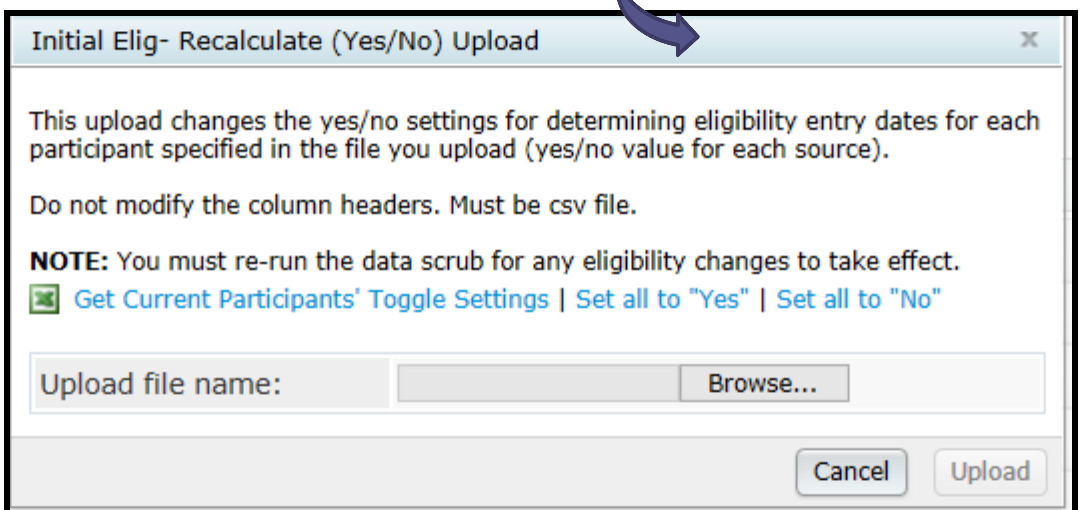
- The software calculates eligibility & entry dates based on census data
- Once dates are determined they are not recalculated unless you reset
- Two ways to recalculate eligibility
  - First year in ftwilliam you can re-upload the census and select Yes on the upload screen to reset entry dates
  - Use the new tool to recalculate eligibility

Recalculate Eligibility Tool





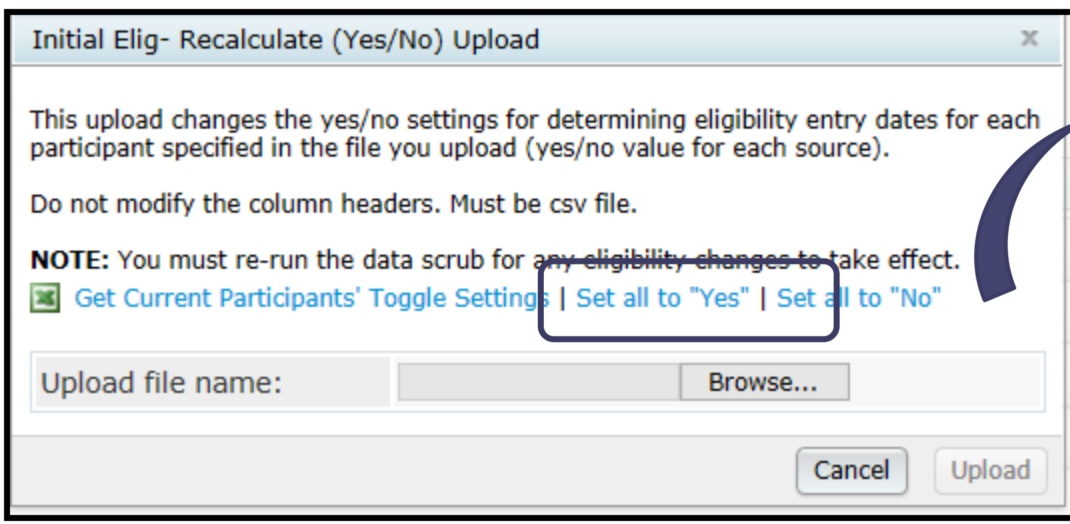
Recalculation window

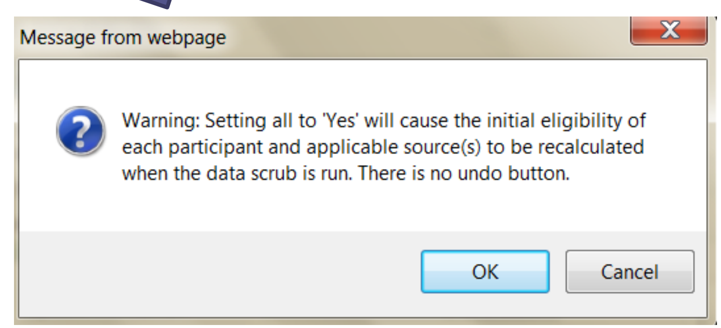


- Window opens
- Options to download worksheet or set all participants eligibility

Recalculate Eligibility Tool

- To recalculate eligibility dates for all participants for all sources, click Set all to “Yes” link. Confirm that you want to reset for all
  - Close the recalculation window and run the scrub





Recalculate Eligibility Tool

- To recalculate for some participants and/or for some sources, download the worksheet – click the Get Current Participants' Toggle Settings link
  1. Open the worksheet and delete the rows for participants you don't want to recalculate
     - Contains a list of participants with a column for each source and No in each cell
  2. Change No to Yes for the sources you are recalculating
  3. Save as a CSV file & upload the worksheet from the recalculation window
  4. Tip – you can click 'Set All to Yes' before downloading the worksheet to avoid step 2 above

Let’s Look at the Software!

Polling Questions

1. Quentin:
   Ownership = 5%, Comp =$50,000,
   DOB = 2/2/1999.
   Why is Quentin not an HCE?
2. What does the status 'P-Term' mean?

The Allocation

Employer Contributions

Allocations

- Option to calculate or upload employer contributions
  - If uploading, set overrides on Set Allocation Parameters screen BEFORE running the data scrub
    - Option to run a true-up report
    - Additional option for match to calculate associated match from ADP refunds
- Can also push contribution amounts from the transaction menu to the allocation and test on those

Allocation Overrides

Allocation Overrides	
Override Employee Contributions to be matched (requires entry of matched contributions in census):	Yes / No
Match allocation manual override:	Yes / No
If Match allocation override, calculate true-ups:	Yes / No
If Match allocation override, calculate match associated with ADP refund based on formula:	Yes / No
Safe Harbor Match allocation manual override:	Yes / No
Nonelective allocation manual override:	Yes / No
QNEC allocation manual override:	Yes / No
Average benefits calculation override:	Yes / No
Is there another plan that must be taken into account for Average Benefits:	Yes / No

Allocations

- Enter formula(s) on Set Allocation Parameters screen
- Making maximum PS contribution – can choose one person or all HCEs
- ‘Maximize’ is not an option for new comparability – allocation type MUST BE ‘Specified’
  - Enter a % or dollar amount for each group under ‘Define Allocation Groups’ – amount or % goes to each person in the group
  - To maximize people, allocate enough to their groups – software caps at 415 limit

Allocation - Match Parameters

▾ Matching Allocation

Matching - Safe Harbor

+	
+	
+	
+	
+	

Matching - Fixed Rates

Matching Contribution formula (if SH Match, enter number of added Tiers):	1 rate
Indicate whether max component of tier is percent or dollar amount:	Percent
Enter rate of Matching Contributions on first tier:	50.000000
Enter maximum amount of Employee Contributions matched on first tier:	4.000000
+	

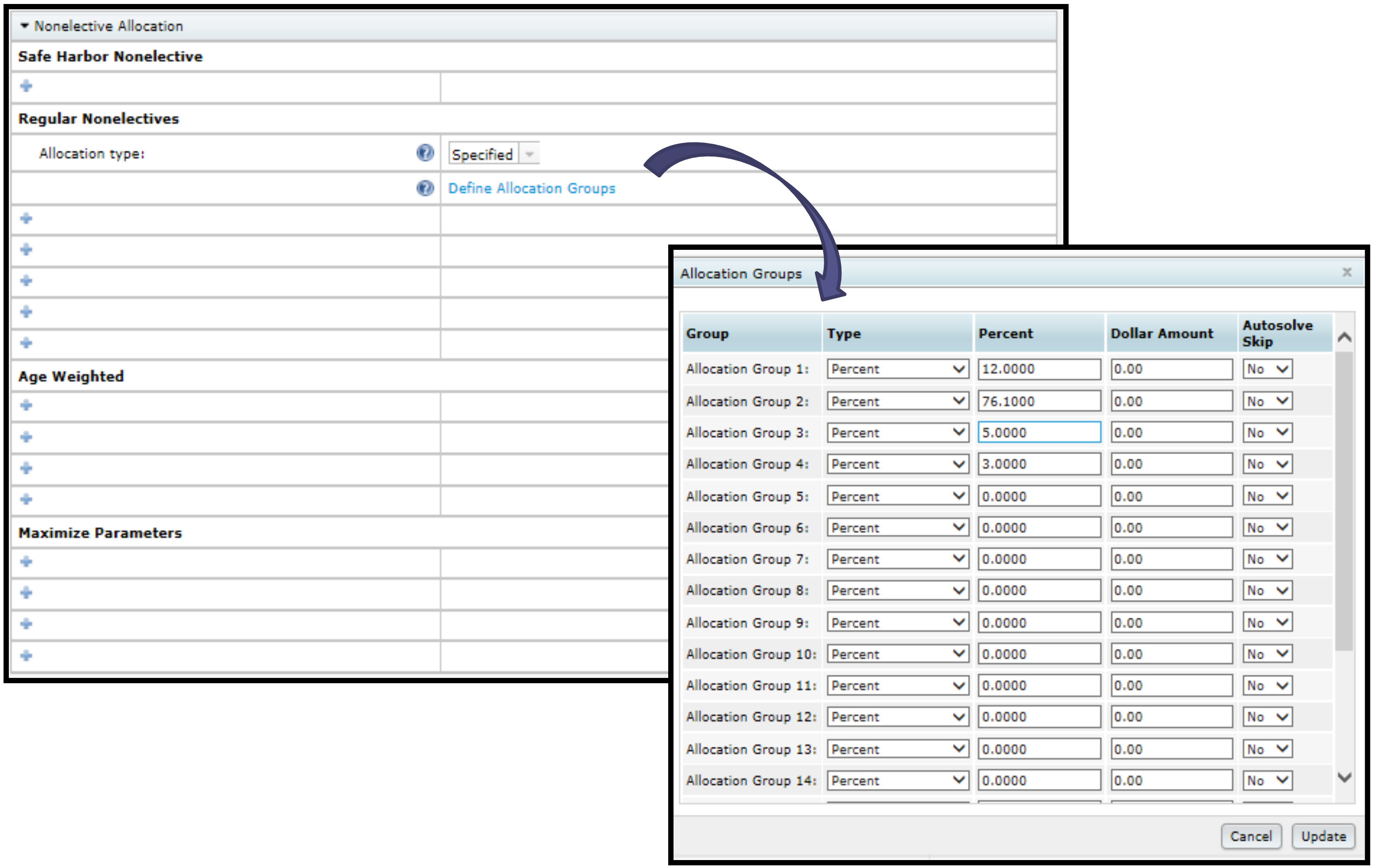
- Formula is in allocation parameters – will feed from document if plan specific

Allocation – Top Heavy Parameters

Top Heavy Allocation	
Top Heavy as of Determination Date:	Yes
Plan to which Top-Heavy allocations are made:	This Plan
Design of Plan automatically meets top heavy allocation requirements	Yes / No
3. If Top-Heavy made in "This Plan", type of other plan maintained by the Company that covers employees eligible to participate in this Plan:	N/A - No other plan
Include Match in Top Heavy minimums for Non Keys:	Yes / No
Participants who share in Top-Heavy minimum allocations:	Non-Key only
Aggregation required:	Yes / No
Override Top Heavy minimum allocation percent	Yes / No

- Top heavy status feeds from top heavy test section
- Need to indicate if plan design meets top heavy requirements

Allocation - Nonelective



Troubleshooting the Allocation

- Eligibility is incorrect
- No plan compensation
- The deduction limit is exceeded
- The dollar amount is insufficient to meet top-heavy minimums
- A non-compliant integrated formula is used
- The allocation type for NCPS is not ‘Specified’
- Plan is top heavy and there are self-employed people on the census – need to override the TH minimum calculation and enter the percentage
- Contributions are uploaded on the census but no override set

Let’s Look at the Software!

Polling Question

- When uploading match on the census, you need to set which override(s) in the allocation parameters section?

Transactions

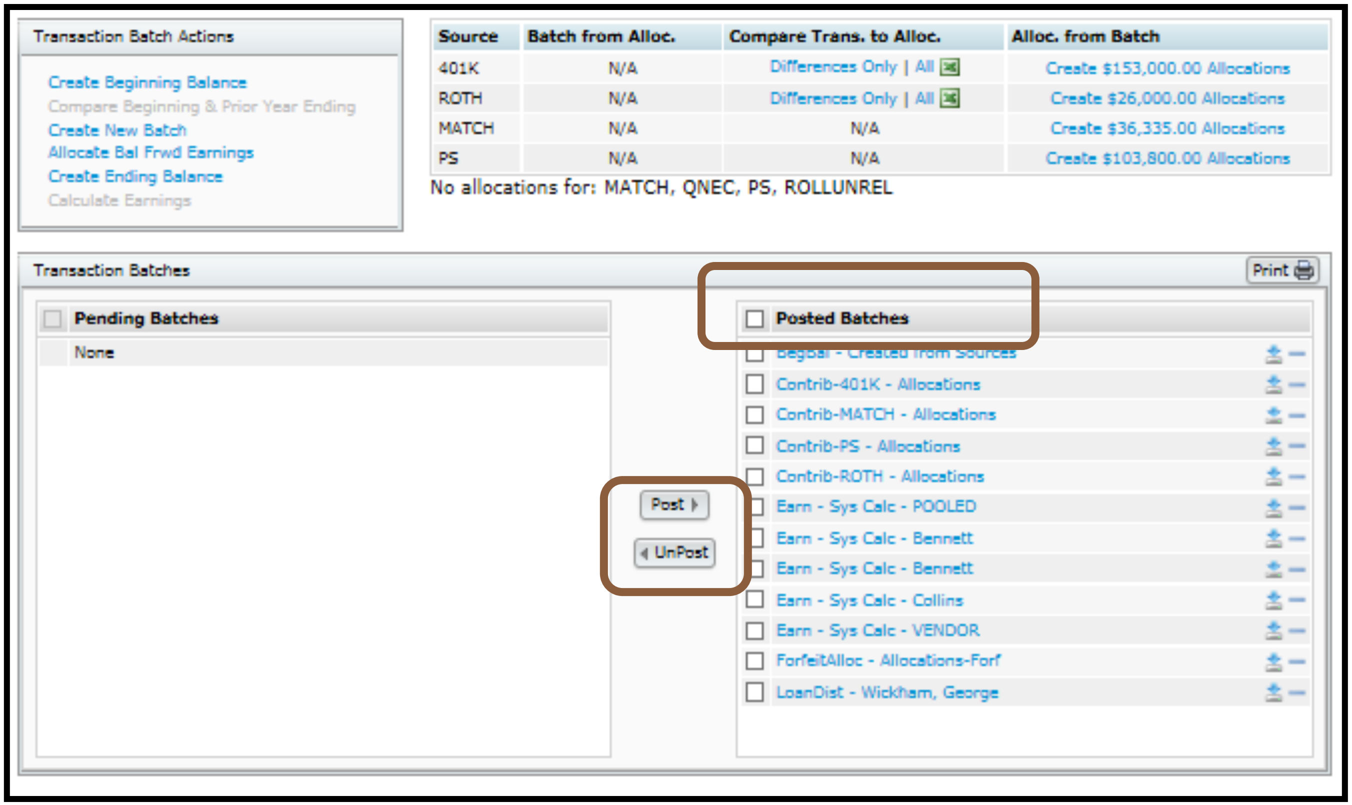
Adding Financial Data

Transaction Menu

- Options for adding transaction batches:
  - Upload from asset custodian
  - Create from the allocation
  - Create manually
  - Other options
    - Create beginning balances
      - Need posted prior year ending balance to add a populated batch
      - Select ''From Sources' to add batch with participant & source/account detail
    - Allocate Earnings

Transaction Menu

- Option to select and post/unpost multiple batches together



Options on Transaction Menu

- Create transaction batches by ‘pulling’ contributions from the allocation
- Compare the allocation numbers with the transaction batches
- ‘Push’ transaction data to the census to populate the contribution columns
  - Allows you to run testing based on the numbers from the vendor

Source	Batch from Alloc.	Compare Trans. to Alloc.	Alloc. from Batch
401K	N/A	Differences Only | All	Create $147,000.00 Allocations
ROTH	N/A	Differences Only | All	Create $18,000.00 Allocations
MATCH	Create Batch	N/A	N/A
PS	Create Batch	N/A	N/A

No allocations for: ROLLUNREL

Earnings Allocation

- Set formula on Work with Sources screen
  - Traditional vs. All transactions
    - Traditional = just $ going out
    - All Transactions = $ coming in and going out
  - Current year weighting factors
- Posting Order is important – make sure all batches are posted before allocating earnings
- Date range is set on the main transaction screen
  - Applies to statements & reports as well as earnings
- Accounts coded as Type 'Brokerage' allow earnings to be allocated to individuals

Earnings Allocation - Basis Methods

Current Year Factor = 100%;
Current Year Contribution Factor = 50%

Traditional Method

Beginning Balance Adjusted by	
Subtracting 100% of	Distributions In-service distributions ADP/ACP Corrective distributions Insurance premium payments Transfers Out, Forfeitures Loan Distributions
Adding 50% of	Contributions

All Transactions

Beginning Balance Adjusted by	
Subtracting 100% of	Distributions In-service distributions ADP/ACP Corrective distributions Insurance premium payments Transfers Out, Forfeitures Loan Distributions
Adding 100% of	Transfers In Loan Repayments Forfeiture Allocations
Adding 50% of	Contributions

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Uploading Vendor Files

- Spreadsheet with instructions by vendor is in the Help Center under Transactions
- General rules:
  - Always set up ftwilliam sources, and accounts if using, before uploading file
  - Also map vendor sources to ftwilliam sources
  - If the vendor file is a CSV, open it, and save as a CSV file
  - If a non-CSV file, do not open, just download & save
  - Some files need the contract number as part of the file name

Generic Upload

- Generic upload available for plans using a vendor we don’t have a custom feed for
- SRT upload is another option – easy to get data into the format they use
  - Need to use SRT source codes
- Contact support@ftwilliam.com for a sample template for either of the above

Let’s Look at the Software!

Polling Question

- When might you NOT see an option to allocate earnings on the transaction menu screen?

Getting Help

Resources

Getting Help

- Two user guides are available – regular & quick start:
- Help Center
    - Includes troubleshooting information on using the software
- Both the above are accessed from the Wolters Kluwer logo drop-down or the ‘Help’ link at the top right of any plan in compliance
- Contact support@ftwilliam.com if you can’t access the Compliance Help Center

Getting Help

- Compliance User Group
  - Meets the first Tuesday of most months at 12 Noon CT via webinar
  - Contact support@ftwilliam.com to join
- Call (800)596-0714 or email support@ftwilliam.com with specific questions – hours are 8 AM to 5 PM CT on weekdays
  - Please send emails from the plan you are working in – allows us to see the problem
  - Please don’t sent emails to our personal email accounts

Thank You for Attending

- We will respond to questions from the webinar in a follow-up note by early next week
- Please send further questions or feedback to support@ftwilliam.com
- Look out for more Train the Trainer sessions later in the year