ftwilliam.com Admin Software User Group Meeting

Wolters Kluwer
Law & Business

Meeting #19 July 1, 2014

Agenda

- The Miscellaneous Tasks menu
  - Vesting Export Reports
  - Required Minimum Distribution Menu
  - Form 5500 Data Report
  - 8955-SSA Export Menu
  - 1099-R Export Menu
- Update on the participation incentive
- Open discussion

The Miscellaneous Tasks Menu

Select Task

Edit Census | Review Docs | Portal | Download Current | Download Prior | Upload Census

Other Import/Export/Reports		Print Reports
Scrub/Eligibilty Parameters	Do Data Scrub/Elig Calc (Run)	Print Reports
Set Allocation Parameters	Do Allocations (Run)	Print Reports
Set Combined Test Parameters	Do Combined Test (Run)	Print Reports
Set ADP/ACP Testing Parameters	Do ADP/ACP Test (Run)	Print Reports
Set General Test Parameters	Do General Test (Run)	Print Reports
Set Top Heavy Test Parameters	Do Top Heavy Test (Run)	Print Reports
Printing Parameters/Client Package		
Set Printing Parameters	Select Reports	Print Package

Miscellaneous Tasks

RMD Menu | Vesting Export All Plans | Vesting Detail Export All Plans

8955-SSA Export Menu | 1099-R Export Menu

5500 Data Report

Global Participant Search | Summary of Test Results | Plan Highlights [excel]

Wolters Kluwer
Law & Business

Vesting Export Report

Select Task

Edit Census | Review Docs | Portal | Download Current | Download Prior | Upload Census

Other Import/Export/Reports		Print Reports
Scrub/Eligibilty Parameters	Do Data Scrub/Elig Calc (Run)	Print Reports
Set Allocation Parameters	Do Allocations (Not run)	Print Reports
Set Combined Test Parameters	Do Combined Test (Not run)	Print Reports
Set ADP/ACP Testing Parameters	Do ADP/ACP Test (Not run)	Print Reports
Set General Test Parameters	Do General Test (Not run)	Run Combined
Set Top Heavy Test Parameters	Do Top Heavy Test (Not run)	Print Reports

Printing Parameters/Client Package

Set Printing Parameters	Select Reports	Print Package

Miscellaneous Tasks

RMD Menu | Vesting Export All Plans | Vesting Detail Export All Plans

8955-SSA Export Menu | 1099-R Export Menu

5500 Data Report

Global Participant Search | Summary of Test Results | Plan Highlights [excel]

Wolters Kluwer
Law & Business

Vesting Export Report Setup

- Links will become available only after the data scrub has been run.
- Must setup sources before data will populate within the report.
- Note: Running any of these report options will calculate vesting, so you do not need to run statements from the Transaction/Statement menu to get correct data.

Vesting Export Report Data

Sample Plan											
Vesting Report for Year End: 2012-12-31											
Participant Name	SSN	Birth Date	Yrs Service	Participation Start	NRA	NRADate	FTW Source	External Source	Vesting Override	Vesting Percent	Prior Distribution
Employee3, Firstname3	100-01-0001	1/2/1955	7	N/A	No - Age	N/A	MATCH	N/A	No	100	0
Employee3, Firstname3	100-01-0001	1/2/1955	7	N/A	No - Age	N/A	PS	N/A	No	100	0
Employee3, Firstname3	100-01-0001	1/2/1955	7	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee4, Firstname4	100-01-0003	3/2/1970	6	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee4, Firstname4	100-01-0003	3/2/1970	6	N/A	No - Age	N/A	MATCH	N/A	No	100	0
Employee4, Firstname4	100-01-0003	3/2/1970	6	N/A	No - Age	N/A	PS	N/A	No	100	0
Employee5, Firstname5	100-01-0004	4/12/1975	0	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee5, Firstname5	100-01-0004	4/12/1975	0	N/A	No - Age	N/A	MATCH	N/A	No	0	0
Employee5, Firstname5	100-01-0004	4/12/1975	0	N/A	No - Age	N/A	PS	N/A	No	0	0
Employee6, Firstname6	100-01-0006	6/16/1985	5	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee6, Firstname6	100-01-0006	6/16/1985	5	N/A	No - Age	N/A	MATCH	N/A	No	80	0
Employee6, Firstname6	100-01-0006	6/16/1985	5	N/A	No - Age	N/A	PS	N/A	No	80	0
Employee7, Firstname7	100-01-0008	9/30/1991	0	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee7, Firstname7	100-01-0008	9/30/1991	0	N/A	No - Age	N/A	MATCH	N/A	No	0	0
Employee7, Firstname7	100-01-0008	9/30/1991	0	N/A	No - Age	N/A	PS	N/A	No	0	0
Employee1, Firstname1	100-01-0010	2/2/1993	3	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee1, Firstname1	100-01-0010	2/2/1993	3	N/A	No - Age	N/A	MATCH	N/A	No	40	0
Employee1, Firstname1	100-01-0010	2/2/1993	3	N/A	No - Age	N/A	PS	N/A	No	40	0
Employee2, Firstname2	100-01-0012	9/12/1995	0	N/A	No - Age	N/A	MATCH	N/A	No	0	0
Employee2, Firstname2	100-01-0012	9/12/1995	0	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee2, Firstname2	100-01-0012	9/12/1995	0	N/A	No - Age	N/A	PS	N/A	No	0	0

Vesting Detail Export Report

- The ‘Vesting Detail Export’ report adds two historical columns.
  - Hire/Term History
  - Service History

Sample Plan

Vesting Report for Year End: 2012-12-31

Participant Name	SSN	Birth Date	Hire/Term History	Yrs Service	Serv History	Part Start	NRA	NRADate	FTW Source	External Source	Vesting OR	Vesting %	Prior Distr
Employee3, Firstname3	100-01-0001	1/2/1955	2006-01-01=>Hire	7	2011-12-31=>9999/6;2012-12-31=>2080	N/A	No - Age	N/A	PS	N/A	No	100	0
Employee3, Firstname3	100-01-0001	1/2/1955		7		N/A	No - Age	N/A	MATCH	N/A	No	100	0
Employee3, Firstname3	100-01-0001	1/2/1955		7		N/A	No - Age	N/A	401K	N/A	No	100	0
Employee4, Firstname4	100-01-0003	3/2/1970	2006-08-14=>Hire	6	2011-12-31=>9999/5;2012-12-31=>2080	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee4, Firstname4	100-01-0003	3/2/1970		6		N/A	No - Age	N/A	MATCH	N/A	No	100	0
Employee4, Firstname4	100-01-0003	3/2/1970		6		N/A	No - Age	N/A	PS	N/A	No	100	0
Employee5, Firstname5	100-01-0004	4/12/1975	2007-03-15=>Hire;2010-09-16=>Terminate	0		N/A	No - Age	N/A	401K	N/A	No	100	0
Employee5, Firstname5	100-01-0004	4/12/1975		0		N/A	No - Age	N/A	MATCH	N/A	No	0	0
Employee5, Firstname5	100-01-0004	4/12/1975		0		N/A	No - Age	N/A	PS	N/A	No	0	0
Employee6, Firstname6	100-01-0006	6/16/1985	2008-04-12=>Hire	5	2011-12-31=>9999/4;2012-12-31=>2080	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee6, Firstname6	100-01-0006	6/16/1985		5		N/A	No - Age	N/A	MATCH	N/A	No	80	0
Employee6, Firstname6	100-01-0006	6/16/1985		5		N/A	No - Age	N/A	PS	N/A	No	80	0
Employee7, Firstname7	100-01-0008	9/30/1991	2009-05-04=>Hire	0	2012-12-31=>500	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee7, Firstname7	100-01-0008	9/30/1991		0		N/A	No - Age	N/A	MATCH	N/A	No	0	0
Employee7, Firstname7	100-01-0008	9/30/1991		0		N/A	No - Age	N/A	PS	N/A	No	0	0
Employee1, Firstname1	100-01-0010	2/2/1993	2010-01-03=>Hire	3	2011-12-31=>9999/2;2012-12-31=>2080	N/A	No - Age	N/A	401K	N/A	No	100	0
Employee1, Firstname1	100-01-0010	2/2/1993		3		N/A	No - Age	N/A	MATCH	N/A	No	40	0
Employee1, Firstname1	100-01-0010	2/2/1993		3		N/A	No - Age	N/A	PS	N/A	No	40	0
Employee2, Firstname2	100-01-0012	9/12/1995	2011-02-02=>Hire	0	2012-12-31=>500	N/A	No - Age	N/A	PS	N/A	No	0	0
Employee2, Firstname2	100-01-0012	9/12/1995		0		N/A	No - Age	N/A	401K	N/A	No	100	0
Employee2, Firstname2	100-01-0012	9/12/1995		0		N/A	No - Age	N/A	MATCH	N/A	No	0	0

Vesting Report – All Plans

- Prints same data as Vesting Export or Vesting Detail Export Reports.
- Additionally, the following was added to help users identify and sort companies and plans more easily:
  - FTW Company Number
  - FTW Plan Number
  - Customer ID

General Features

- RMD, 8955-SSA and 1099-R all require data scrub AND statements to be run
- All can be done plan by plan or globally
- Data for 8955-SSA and 1099-R can be uploaded or ‘pushed’ to 5500/1099 software
  - Beware of global push

RMD Rules - Reminder

- RBD = April 1 of the year following the year turn 70½
  - Unless non-owner and still employed
- Two distributions required that year
- RMD is account balance at the end of the prior year divided by life expectancy

Wolters Kluwer
Law & Business

RMD Menu

- Software will calculate required beginning dates and distribution amounts
  - For current and following plan years
- Detailed explanation of functionality in User Guide

RMD Menu

- Calculations require the following participant data:
  - Vested account balance for valuation year
  - Date of birth
  - Ownership data for calendar year turn 70½
  - Termination date and reason
  - Beneficiary's date of birth

Form 5500 Data Report

- Software will calculate participant counts for Form 5500/SF/EZ
- ‘Pull’ rather than ‘Push’ – run report and verify counts in admin software then populate the fields in the 5500

Detail Participant Data - 2013-12-31

Name	Type	Earliest Date	Last Day Status	Balance	Vested balance	100% Vest	Distributions	Part at BOY	Part enter at BOY	Total Part BOY	Active Part BOY	Enter During	Participating	Term During	Active EOY (6a)	Ret w/o benefits	Ret and rec benefits (6b)	Ret, entitled to fut benefits (6c)
Employee1, Firstname3	Before	2007-7-1	Active	No	No	Yes	No	X		X	X		X		X			
Employee2, Firstname4	Before	2011-1-1	Active	No	No	Yes	No	X		X	X		X		X			
Employee3, Firstname5	Before	2003-1-1	Active	No	No	Yes	No	X		X	X		X		X			
Employee4, Firstname6	First day	2013-1-1	Term	No	No	Yes	No		X	X	X		X	X		X		
Employee5, Firstname7	During	2013-7-1	Active	No	No	Yes	No					X	X		X			
Owner1, Firstname1	Before	2002-1-1	Active	No	No	Yes	No	X		X	X		X		X			
Owner2, Firstname2	Before	2001-7-1	Active	No	No	Yes	No	X		X	X		X		X			

- See list of participants and counts for each category

5500 Data

Participants on beginning of plan year (From 2012 5500):	5
Participants entering plan on beginning of plan year:	1
5. Total Participants at the Beginning of Plan Year:	6
Active Participants at the Beginning of the Year:	6
New Participants During the Year:	1
Total Participating:	7
Total terminating during Year:	1
6a. Active Participants at the End of the Year:	6
Retired or Separated Without Any Future Benefits:	1
6b. Retired or Separated Participants Receiving Benefits:	0
6c. Retired or Separated Participants Entitled to Future Benefits:	0
6d. Subtotal (6a+6b+6c):	6
6e. Deceased Participants Whose Beneficiaries Get Benefits:	0
6f. Total Participants at the End of the Year (6d+6e):	6
6g. Participants with Account Balance (N/A for Defined Benefits):	0
6h. Terminated Participants with Accrued Benefits not 100% Vested:	0

Detailed Participant Count

5500 Data	
Participants on beginning of plan year (From 2012 5500):	5
Participants entering plan on beginning of plan year:	1
5. Total Participants at the Beginning of Plan Year:	6
Active Participants at the Beginning of the Year:	6
New Participants During the Year:	1
Total Participating:	7
Total terminating during Year:	1
6a. Active Participants at the End of the Year:	6
Retired or Separated Without Any Future Benefits:	1
6b. Retired or Separated Participants Receiving Benefits:	0
6c. Retired or Separated Participants Entitled to Future Benefits:	0
6d. Subtotal (6a+6b+6c):	6
6e. Deceased Participants Whose Beneficiaries Get Benefits:	0
6f. Total Participants at the End of the Year (6d+6e):	6
6g. Participants with Account Balance (N/A for Defined Benefits):	0
6h. Terminated Participants with Accrued Benefits not 100% Vested:	0

- Counts indicate which line on Form 5500 will be populated

Form 5500

? 5	Total number of participants at the beginning of the plan year — Populate lines 5 and 6 from Admin	5	
6	Number of participants as of the end of the plan year (welfare plans complete only lines **6a**, **6b**, **6c**, and **6d**).		
a	Active participants	6a	
b	Retired or separated participants receiving benefits	6b	
	Welfare Plans — Pension Plans		
c	Other retired or separated participants entitled to future benefits	6c	
d	Subtotal. Add lines **6a**, **6b**, and **6c**	6d	0
e	Deceased participants whose beneficiaries are receiving or are entitled to receive benefits.	6e	
f	Total. Add lines **6d** and **6e**.	6f	0
? g	Number of participants with account balances as of the end of the plan year (only defined contribution plans complete this item)	6g	
? h	Number of participants that terminated employment during the plan year with accrued benefits that were less than 100% vested	6h	

8955-SSA Export Menu

- Create records
- Review/Edit records
- Transfer records

Form 8955-SSA - Create SSA Transfer Records

CAUTION: This will delete any SSA transfer records for the plan or all plans (depending on whether the function is called for all plans or for a single plan).

Select the Plan Month/Year End that matches the the year of the 8955-SSA you wish to export.

Select Plan Month/Year End 12 / 2013

Also select which year to use when finding terminated participants.

Select Termination Year Current Year

Calculate for This Plan | Calculate for All Plans

Form 8955-SSA - Review/Edit Transfer Records

Select the Plan Month/Year End that matches the the year of the 8955-SSA Transfer Records.

Select Plan Month/Year End 12 / 2013

Select type of report Web page

This Plan | All Plans

Form 8955-SSA - Transfer SSA Data to 5500 System

CAUTION: Selecting 'Automatic Push' will delete any 8955-SSA records in the 5500 system for the plan or all plans (depending on whether the function is called for all plans or for a single plan).

Selecting 'Create csv' will create a spreadsheet that can be manually uploaded to the 5500 system for the plan or all plans (depending on whether the function is called for all plans or for a single plan.

Select the Plan Month/Year End that matches the the year you wish to transfer

Select Plan Month/Year End 12 / 2013

Select mode of transfer Create csv

This Plan | All Plans

8955-SSA Export Menu - Options

- Report current or prior year terminees
- See report as web page or CSV file
  - Select web page to edit records
- Download a CSV file to upload to the 5500 software or do automatic push

Edit Records Option

SSA Records

participants Coded as 'None' will not be transfered

Code	Ann Type	Ann Freq	Participant Name	SSN	Term Date	Term Reason	Ending Balance	Vested Balance	Status
My Company JN 2012 Demo Plan | Refresh									
A	A	A	Grant, Cary	111-11-1119	08/17/2012	Termination	46542.71	46542.71	OK

SSA Records

Code	A
Ann Type	A
Ann Freq	A
First Name	Cary
Last Name	Grant
SSN	111-11-1119
Vested Balance	46542.71

Update

- Click on participant name

1099-R Export Menu

- Create records
- Review/Edit records
- Transfer records

Form 1099-R - Create 1099 Transfer Records

CAUTION: This will delete any 1099 transfer records for the plan or all plans (depending on whether the function is called for all plans or for a single plan).

Select the Calendar Year End that matches the the year of the 1099-R you wish to export.

Select Calendar Year End 2013

Calculate for This Plan | Calculate for All Plans

Form 1099-R - Review/Edit Transfer Records

Select the Calendar Year End that matches the the year of the 1099-R Transfer Records.

Select Calendar Year End 2013

Select type of report Web page

This Plan | All Plans

Form 1099-R - Transfer Data to 1099 System

CAUTION: Selecting 'Automatic Push' will delete any 1099-R records in the 1099 system for the plan or all plans (depending on whether the function is called for all plans or for a single plan).

Selecting 'Create csv' will create a spreadsheet that can be manually uploaded to the 1099 system for the plan or all plans (depending on whether the function is called for all plans or for a single plan.

Select Calendar Year End 2013

Select mode of transfer Create csv

This Plan | All Plans

1099-R Export Menu - Options

- Select calendar year
- See report as web page or CSV file
  - Select web page to edit records
- Download a CSV file to upload to the 1099 software or do automatic push

Edit Records Option

- Click name to edit

1099-R Records

Code 1	7
Code 2	
Participant TIN	111-11-1123
First Name	Vivien
Last Name	Leigh
Address	
City	
State	None
PartZip	
Gross Distribution	20000.00
Taxable Amount	20000.00
Taxable Amt Not Det (1=checked)	0
Total Distribution (1=checked)	1
Federal Tax WH	4000.00

Update

1099-R Records

PayerTIN	PartTIN	Participant Name	Gross Dist	xable Amt	PartTaxAmt NotDet	Fed Tax WH	Code1	Code2	StatusMessage
My Company, JN 2012 Demo Plan | Refresh									
	111-11-1111	Bacall, Lauren	5500.00	5500.00	0	1100.00	1		Bad Payer TIN Bad Address
	111-11-1123	Leigh, Vivien	20000.0	20000.00	0	4000.00	7		Bad Payer TIN Bad Address

Wolters Kluwer
Law & Business

User Group Participation Incentive

- Last meeting we introduced an initiative to encourage participation in user group meetings
- We received several entries already
- Jennifer J earned six entries today!

Wolters Kluwer
Law & Business

Competition

- We are soliciting the following:
  - Share your favorite feature of the admin software
  - Share an ‘Ah ha moment’ with the software
  - Suggest a topic for a future user group meeting
  - Suggest a topic for a future user group meeting AND volunteer to lead discussion on it
  - Supply new vendor information (mentioned above)

Increase Your Odds

	#
Share your favorite feature	1
Share an ‘Ah ha moment’	1
Suggest a topic for a meeting	1
Suggest a topic AND ftw demos it	2
Supply instructions for a current vendor (not ING, John Hancock, Lincoln)	2
Supply new vendor information	3
Suggest a topic AND volunteer to lead	6

Incentive

- All entries will go into a drawing at the User Conference – Admin User Group 'Meet and Greet' August 3, 2014
- Drawing is for an AMEX gift card (amount to be announced during June meeting)
- You DO NOT have to attend the user conference to win
- Submit your entries between now and August 1, 2014 to support@ftwilliam.com

Wolters Kluwer
Law & Business

Open Discussion

- Meet & Greet Sunday afternoon at the ftw User Conference August 3-5, 2014 in Chicago
- Next regular meeting – Tuesday, September 2, 2014
- Ideas for future agenda items; questions, ideas, suggestions.....
- Thank you for attending!