

ftwilliam.com
Compliance Software
User Group Meeting

Meeting #34 May 3, 2016

AGENDA

- ◎ Recent enhancements:
 - Portal and compliance functionality
 - Last day rule and option to add plan year ends in batch
 - Report Options
- ◎ Demonstration of enhancements
- ◎ Survey of compliance users on the ‘Train the Trainer’ initiative
- ◎ Open forum

THE FTWILLIAM.COM COMPLIANCE TEAM

◎ Janice Herrin



◎ Jane Nickalls

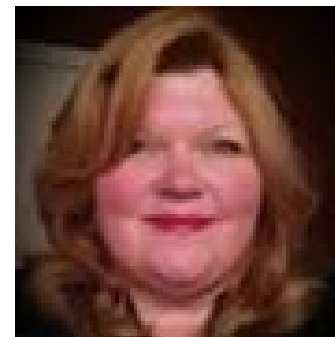


◎ Melissa Howard



◎ And introducing.....

◎ Lissa Marsh!



Topic #1

RECENT ENHANCEMENTS
ADDED

PORTAL & COMPLIANCE FUNCTIONALITY

- ⦿ Bring forward prior year portal users plan by plan or in batch
- ⦿ More choices for annual online questionnaire
- ⦿ New options for census upload to portal

PORTAL™

BRING FORWARD PORTAL USERS

- ⦿ Plan by plan or in batch
- ⦿ Do this before adding the plan year end, OR after
- ⦿ Only brings users forward if there are none already added
- ⦿ To do, go to the portal screen for any plan
 - Either Edit Plan=>Portal
 - Or from Portal Files screen in Compliance, click the 'Portal' link

BRING FORWARD PORTAL USERS

- ⦿ New links: 'Bring Forward Portal Users' and 'All Plans'
- ⦿ Bring Forward Portal Users will pull in PUs from prior year for compliance module only
- ⦿ PU permissions also will be brought forward
 - Click the 'Manage User' link to change permissions

BRING FORWARD PORTAL USERS

- ⦿ 'All Plans' link brings up a dialogue box where you select a target year end
- ⦿ Plans with the year prior to that year end will be included, or the year prior and the year
 - E.g. select 12/31/2016 – list will include plans whose last year end is 12/31/2015, or 12/31/2016

BRING FORWARD PORTAL USERS

- ⦿ Click the 'Bring Forward' button
- ⦿ See a window listing all the plans potentially having a portal user added with results for each
- ⦿ Shows number of plans and number portal users brought forward

ONLINE ANNUAL QUESTIONNAIRE

- ⦿ New global option on Default OAQ screen
 - 'Prior Year Default Q & A'
 - Will be checked unless user unchecks
- ⦿ If checked, and the plan has a prior year OAQ, this will be brought forward to the new year, with answers
- ⦿ If not checked the default OAQ will pull in

ONLINE ANNUAL QUESTIONNAIRE

- ⦿ Batch options – when you create an OAQ batch and add plans, you'll see an indicator for each plan as to whether the OAQ is a custom questionnaire or the default

NEW OPTIONS FOR CENSUS UPLOAD

- ◎ New option on portal files screen to load current census to portal
 - Prior year pulls a file from the prior year census without last year's hours, compensation etc.
 - Current year typically pulls a blank file
 - Just column headings & instructions

NEW OPTIONS FOR CENSUS UPLOAD

- ⦿ Former or current year census is also a batch level option
 - One choice per batch, can't have some of each in a single batch
- ⦿ Option to upload a custom spreadsheet is still available either plan by plan or within a batch
- ⦿ Additional fields to filter and order by are available within the batch census upload

OTHER ENHANCEMENTS FOR ALL USERS

- Plan year ends can now be added in batch



- New options for plans imposing last day rule for employer contributions



ADDING PLAN YEAR ENDS IN BATCH

- ① From the compliance module in any plan, go to Tools/Settings and select 'Batch Add Plan Year End'
- ① Brings up a dialogue box to select the year end to add – defaults to the current calendar year

ADDING PLAN YEAR ENDS IN BATCH

- ⦿ Choose or enter the year end, you'll see a list of plans to select to the new year end to
- ⦿ The list will include all plans whose last year end is the year before the one entered
 - E.g. if you use 12/31/2016 you'll get a list of all calendar year plans that have a 12/31/2015 year end but not a 12/31/2016

ADDING PLAN YEAR ENDS IN BATCH

- ⦿ Need to specify which plan specs to copy – previous year in compliance or plan document
 - Default is compliance
- ⦿ Can change line by line or select the ones to change and use ‘Do with Selected’ button
- ⦿ Click Add Year End to add to the selected plans

LAST DAY RULE

- ⦿ New option to include last day for a participant to get Match, Profit Sharing or QNEC
 - Drop-down for last day rule question now includes Yes, No and Include last Day – in plan specifications
- ⦿ Option is available for both the stand alone last day rule question, and the ‘Either/Or’ option - employed on the last day or completes the hours of service

REPORT ENHANCEMENTS

- ⦿ New option on Global Print Settings screen – ‘Global Report Options’
 - Settings can be changed globally, across all plans
- ⦿ SSN masking for reports is also now on Global Print Settings screen rather than Account Profile

REPORT ENHANCEMENTS

- ◎ New options for the client package
 - Can choose to include or exclude the client letter, the cover page and the table of contents (TOC)
 - TOC has links to reports
- ◎ Updates made to the following reports:
 - Eligibility Status
 - Custom Individual Participant Statements
 - ADP/ACP Detail
 - ADP/ACP Corrections
 - QNEC Estimate

REPORT ENHANCEMENTS

- ◎ Eligibility Report - new options include:
 - Include additional information: SSN (masked or unmasked); compensation; pre-tax deferrals, Roth contributions
 - Can also display dollar signs
 - Add additional columns – initial eligibility override and continuing eligibility override
 - The report can be sorted by name, status, compensation or hours



REPORT ENHANCEMENTS

- ◎ Custom Individual Participant Statement options
 - Employee number or SSN (masked or unmasked) can be included
 - Option to show dollar signs
 - New optional column to show fees

REPORT ENHANCEMENTS

Report	ADP/ACP	ADP/ACP Corrections	Estimate QNEC
Sort By	Name, Compensation or Status		
Show \$	Yes		
Optional Columns	Employee #/SSN; Division; Status	Employee #/SSN; Status; 402(g) Catch-up	Employee #/SSN; Division; Status

NOW LET'S LOOK AT THE
SOFTWARE!

SURVEY ON TRAIN THE TRAINER

- Survey went out on Friday April 22 to all compliance users
- Positive response from those who have already completed the survey
- It's not too late to get your response in – we especially appreciate your comments!



OPEN FORUM

- ⦿ Next meeting – Tuesday, June 7, 2016
- ⦿ Ideas for future agenda items:
- ⦿ Questions, ideas, suggestions.....
- ⦿ Thank you for attending!

