



**FTWILLIAM.COM COMPLIANCE MODULE USER
GROUP MEETING**

Tuesday July 2, 2019

AGENDA

- Compensation - plans that use different definitions for different sources
- Reports - content & formatting options
- Tips of the Month
- New releases



COMPENSATION

3 Those pesky plans that use different definitions for different sources

COMPENSATION

- Hours & compensation both feed from the primary census grid
- Our four system primary grids are designed for compensation to feed to the different contributions and tests, based on typical plan design
- Rule of thumb - all compensation columns on the census should be populated
 - Avoids error messages on the scrub results!



PRIMARY SYSTEM GRIDS

- * ftw Primary 1 Census (Comp & Comp After Eligibility) is the default grid for most users
 - For plans using entry date compensation for contributions & testing
 - Top heavy minimums are based on full year compensation

PRIMARY SYSTEM GRIDS

- * ftw Primary 2 Census Statutory Comp
 - For plans using full year compensation for all contributions & testing
 - Only one compensation column - this feeds to all contributions & tests

PRIMARY SYSTEM GRIDS

- * ftw Primary 3 Census Fiscal Plan Year - for non-calendar year 401(k) plans
 - Includes full year and entry date compensation columns
 - Also has two additional columns which are populated each year:
 - R: 401(k) PreCalYr - for 401(k) deferrals, including catch-ups, made prior to 1/1 in the plan year
 - R: Roth PreCalYr - for Roth deferrals, including catch-ups, made prior to 1/1 in the plan year
 - The first 401(k) and Roth fields should be populated with the pre-tax or Roth contributions for the full plan year

OTHER SYSTEM PRIMARY GRIDS

- * ftw Primary 4 Census exclude certain comp(414s comp test) for plans using a non 414(s) compensation definition
 - Three Compensation columns:
 - Statutory compensation
 - Entry Date compensation
 - Plan compensation, e.g. comp excluding bonuses
 - Compensation test will compare plan compensation with entry date or full year compensation
 - Depends on selection made in Plan Specs→General Features as to whether the plan excludes compensation prior to plan entry

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

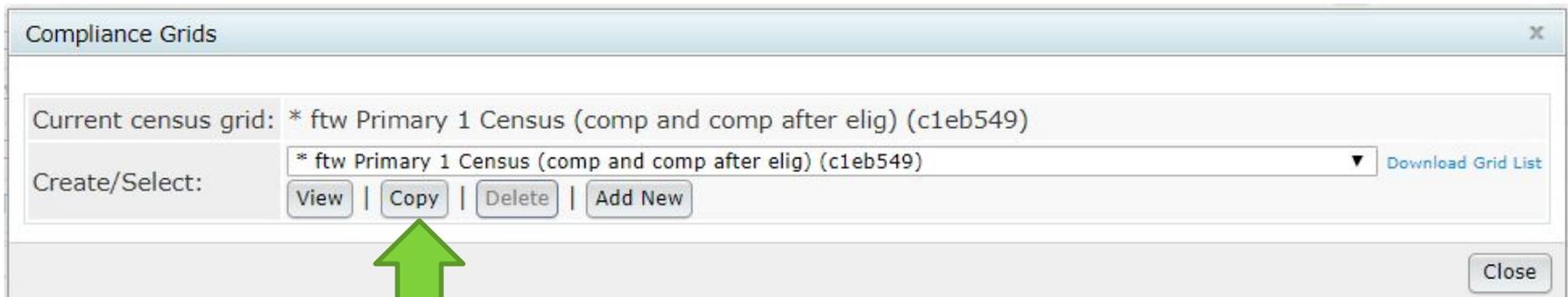
Compensation_Statutory ▼

GRID MAPPING

- Mapping is pre-set on the primary grids
- Screen shot shows mapping for * ftw Primary 1
- Other primary system grids are similar

PLANS WITH DIFFERENT COMPENSATION PROVISIONS

- Create a custom grid for the plan - name it accordingly
 - Copy one of the primary system grids - go to Census and select Create/Edit Grids
 - The primary grid selected will be in the drop-down
 - Click the Copy button



The screenshot shows a window titled "Compliance Grids" with a close button (x) in the top right corner. Inside the window, there are two main sections. The first section is labeled "Current census grid:" and contains a text field with the value "* ftw Primary 1 Census (comp and comp after elig) (c1eb549)". The second section is labeled "Create/Select:" and contains a dropdown menu with the same value as the first section, a "Download Grid List" link, and four buttons: "View", "Copy", "Delete", and "Add New". A large green arrow points to the "Copy" button. A "Close" button is located in the bottom right corner of the window.

EDITING A GRID

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

Short Description: | Excel Download file type: ▼

Long Description

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)

- ALWAYS start with one of the primary grids
- Rename the grid in the Short Description
 - Defaults to 'Created from' and the name of the grid you copied
 - Suggestion would be to include the plan name or plan design
- Add more in the Long Description if you wish

EDITING A GRID

- Sequence numbers determine the order of the columns
 - If no sequence number entered, the new field will be first in the list, i.e. the first column on the grid
- Field names are fixed
- Heading & Help Text fields are editable
 - These feed to the grid, and the worksheet you download to upload the census data
- Add a new field by entering a sequence number to position it & select the field from the Field drop-down
 - E.g. Compensation_FromEntry2
- Click the Update and edit mapping button

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:Compensation_FromEntry2	▼	Plan Comp less bonuses	Enter compensation from entry date less bonuses

GRID MAPPING

- Adjust the mapping according to plan provisions
- Any compensation field on the grid can be mapped to a compensation system field

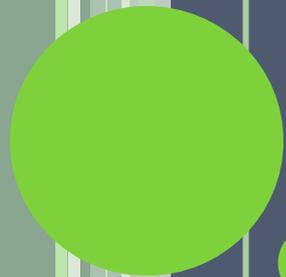
Update

Description: **Primary 1 (three comp for Test Plan)**

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_FromEntry2 ▼
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_FromEntry2 ▼
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 ▼

Update



REPORTS



Content & Formatting Options



REPORT FORMATTING

- Some suggestions for improving the look of your reports:
 - Change the orientation of the report - on the plan level print settings screen
 - Landscape works better for reports with more columns, e.g. Eligibility & Allocation reports, financial reports
 - Customize the report style
 - Edit the report in Word

REPORT STYLES

- Go to Tools/Settings=>Print Setting=>Global
 - Options to add generic client letter and your firm name & address - these will feed through to client packages for individual plans
 - Edit/Create Custom Styles for client letter and reports
 - Global Report Options - content choices for reports apply across all plans
 - Global SSN Masking - applies to all reports that can't be customized under Global Report options

GLOBAL PRINT SETTINGS SCREEN

[Home](#) > [Edit Company](#) > [Edit Plan](#) > [Compliance](#) > [Select Printing Parameters](#) > Global Printing Parameters [Updates](#) [Help](#)

Company:	My Company	ID:	
Plan:	Fiscal Year Test Plan 052017	ID:	
Year End:	03/31/2017		

Default Client Prepared By

The ABC TPA Firm
101 anywhere street
Madison, WI

Default Client Letter

Dear TPA Client

Please find enclosed the annual reports for the XYZ Company 401(k) Profit Sharing plan for the 2016/17 plan year. You should note the following:

- Eligibility report
- ADP/ACP test results and corrections
- Top Heavy test results and repercussions
- General test results
- Non-elective contribution allocation
- Plan design issues
- Notice requirements

Thank you for your business

Warm regards
Your friendly Wisconsin TPA

Compliance Menu

- ◀ Census
- Tasks
- ◀ Transactions
- ◀ Miscellaneous
- ◀ Tools/Settings
- ◀ Plan Specifications

Edit/Create Custom Styles

* ftw Cover Letter ▼

| |

Global Report Options

Client Package ▼

Global SSN Masking

Show full SSNs in Compliance reports: Yes No

NOTE: This setting does not affect reports which have their own, individual options.

LET'S LOOK AT THE SOFTWARE

- Tools/Settings=>Print Setting=>Global



TIPS OF THE MONTH



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ANDY - ADDING PARTICIPANTS FROM BELOW THE GRID BACK TO THE GRID

- 'Add to Census' link can be used
- We don't recommend except for single participants in a current plan year
 - E.g. when adding a new year-end, uploading the census is preferable to adding back the participants individually
 - Adding back individually will include last year's compensation etc.

JANE - CHANGING AN ORIGINAL DATE OF HIRE

- The first year a plan is in ftw, or the first year a participant is on the census, the field 'EarliestHireDate' will populate with the date of hire
- If an earlier date of hire is entered subsequently, that date will replace what is there already
- To correct an original hire date, add the grid: '* ftw DER Conversion 2017' on the Other Imports /Exports/Reports screen
 - Enter the correct original hire date in both Earliest Hire Date columns
 - Do this in the first year the participant is on the census



NEW RELEASES



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T. ROWE PRICE VENDOR UPLOAD

- Custom upload for T. Rowe Price is now available
 - There's an option to upload the file showing loan activity separately
 - Instructions were included in the 7/1 email and are on the Vendor Files - file types & tips spreadsheet in the Transaction section of the Compliance Help Center

NEW OPTIONS ON THE ELIGIBILITY REPORT

- You now have the option to include the following additional fields on the Eligibility Status report:
 - Attained Age
 - Vesting years of service
- These are computed fields - not available for other reports

Global Report Settings: Eligibility Status

Sorting

Field: Name

Order: Ascending / Descending

Optional Information

SSN (apply mask) Compensation

Deferrals Roth

Show Dollar Sign Attained Age

Vesting Years of Service

Optional Columns

Initial Override Continuing Override

Save & Close Cancel

WRAP-UP

- Next User Group meeting - August 6, 2019
- Let us know if there are topics you'd like to cover, via chat now, or at support@ftwilliam.com
- Questions, thoughts, suggestions..... please send them!