

Ftwilliam.com Admin Software

Mini Class – Part 1

Presented by Melissa Howard

August 2013

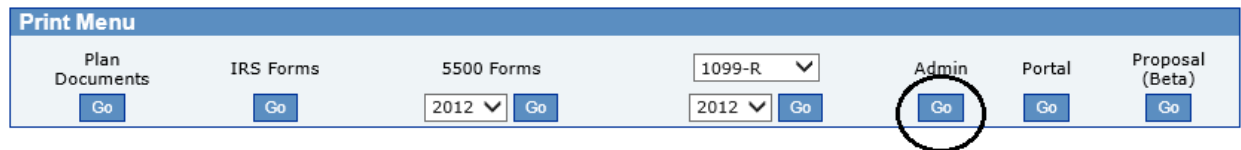


Agenda

- Logging in to FT William
- Plan Set-up
- Census grids
- Portal
- Census Upload
- Supplemental Grids
- Data Scrub

Logging In to Ft William Admin - Exercise

- www.ftwilliam.com and click the “Log In” link
- For today’s session:
 - Company Code is “classtrain”
 - Login name is first initial last name
 - Password is “password1”
- Select your company
- Select your plan
- Click “Go” Admin button



Plan Set-up: Plan Specifications

General Features/Sources/Inv Accounts

- Check that dates are populated
 - Original Effective Date
- Accounts/Sources
 - Add investment accounts (as applicable)
 - Confirm source set-up
 - Add vendor (as applicable)

Plan Set-up: General Plan Features

Click to Edit Plan Features

General Features/Sources and Inv Accounts	???
Eligibility	???
Contribution	???
Vesting	???
Distribution	???
Print Plan Specifications	
Compare Specifications to Plan Document	

Edit General Plan Information

Company: **ABC Company**
 Plan: **Sample 401(k) Plan**
 Plan Type: **401(k)**
 Year End: **2011-12-31**

General Plan Features

Enter plan type:	<input type="text" value="401(k)"/>	??
Enter Plan Year begin date (YYYY-MM-DD):	<input type="text" value="2011-01-01"/>	??
Indicate whether the Plan is Active:	<input type="text" value="Yes"/>	??
If Plan is not active, enter the date it became inactive:	<input type="text"/>	??
Enter ID for Participant Upload/Download:	<input type="text" value="SSN"/>	??
Select method to capture employment status changes	<input type="text" value="Fixed hire-term fields"/>	??
Plan Year End (MM-DD):	<input type="text" value="12-31"/>	??
Indicate if this is the first Plan Year for a new plan:	<input type="text" value="No"/>	??
Original Effective Date (MM/DD/YYYY):	<input type="text" value="01/01/2000"/>	??

[Return](#) [Run Edit Checks](#) [Clear Edit Checks](#)

Plan Set-up: Investment Accounts

Accounts/Sources

Refresh

Use Investment Accounts to track Participant balances: Yes ??

Financial data import vendor: None ??

Financial data import ID code: ??

[List Financial Data Vendors](#)

[Work with Sources](#)

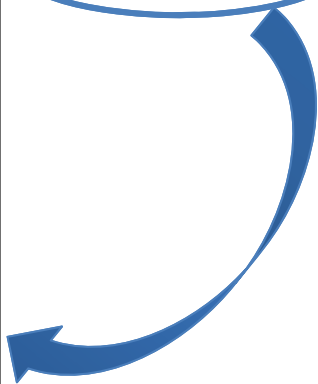
Work with Inv Accounts

Inv Account Setup

[Return](#) | Update | [Loan Inv Account Distribution/Hierarchy](#)

Seq	AccountID	Account Name	Account Description	Type
100	VENDOR	Lincoln	Lincoln	Cash
110	POOLED	Pooled Account	Pooled Account	Cash
120	BROKERAGE	Brokerage Account	Brokerage Account	Brokerage
130	LOAN	Loan Fund	Loan Fund	Cash
140				Cash
150				Cash
160				Cash
170				Cash
180				Cash

[Return](#) | Update




Plan Set-up: Work with Sources

Accounts/Sources

Use Investment Accounts to track Participant balances: Yes ??

Financial data import vendor: None ??

Financial data import ID code: ??

[Refresh](#)

[List Financial Data Vendors](#)

[Work with Sources](#)

[Work With Inv Accounts](#)

Source Setup

[Return](#) | [Update](#) | [Loan Source Distribution/Hierarchy](#)

Seq	SourceID	Suppress	To Heavy	Source Name	Source Desc	Source External ID	Vesting	Vest Other	Contribution Source	Earnings Alloc Meth	Curr Yr Factor	Curr Yr Contrib Factor	Account Information
100	401K	No	Yes	Elective Deferral	Elective Deferrals		100%	N/A	ElectiveDeferral	Bal Forward - Trad	100.00	0.00	Add
110	ROTH	No	Yes	Roth Deferral	Roth Elective Deferrals		100%	N/A	Roth	Bal Forward - Trad	100.00	0.00	Add
120	MATCH	No	Yes	Matching Contribution	Matching Contribution		2-6 Year Graded	N/A	Matching	Bal Forward - Trad	100.00	0.00	Add
130	QMAC	No	Yes	QMAC	Qualified Matching Contri		100%	N/A	QMAC	Bal Forward - Trad	100.00	0.00	Add
140	QNEC	No	Yes	QNEC	Qualified Nonelective Cor		100%	N/A	QNEC	Bal Forward - Trad	100.00	0.00	Add
150	PS	No	Yes	Profit Sharing	Profit Sharing Contributio		2-6 Year Graded	N/A	NonElective	Bal Forward - Trad	100.00	0.00	Add
160		No	Yes				100%	N/A	None	Bal Forward - Trad			N/A
170		No	Yes				100%	N/A	None	Bal Forward - Trad			N/A
180		No	Yes				100%	N/A	None	Bal Forward - Trad			N/A
190		No	Yes				100%	N/A	None	Bal Forward - Trad			N/A
200		No	Yes				100%	N/A	None	Bal Forward - Trad			N/A

[Return](#) | [Update](#)

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Plan Set-up: Add investments to sources

- Work with Sources
 - Click 'Add'
 - Use drop down box to select investment
 - Disregard error at bottom

Source - Inv Account Setup

Elective Deferral

[Click here to return](#) |

Seq	Account ID	Account Name	Contribution Percent
<input type="text" value="100"/>	POOLED	Pooled Account <input type="button" value="v"/>	<input type="text" value="0"/>
<input type="text" value="110"/>	VENDOR	Generic <input type="button" value="v"/>	<input type="text" value="0"/>
<input type="text" value="120"/>	N/A	None <input type="button" value="v"/>	<input type="text" value="0"/>
<input type="text" value="130"/>	N/A	None <input type="button" value="v"/>	<input type="text" value="0"/>
<input type="text" value="140"/>	N/A	None <input type="button" value="v"/>	<input type="text" value="0"/>
<input type="text" value="150"/>	N/A	None <input type="button" value="v"/>	<input type="text" value="0"/>
<input type="text" value="160"/>	N/A	None <input type="button" value="v"/>	<input type="text" value="0"/>

**ERROR:
Total = 0**

[Click here to return](#) |

Add Vendor

- Financial data import vendor – Choose vendor from drop-down box as applicable.
- To import data from a vendor that is not listed in the drop-down box, use the “Generic” upload format.

Accounts/Sources

Use Investment Accounts to track Participant balances: Yes ??

Financial data import vendor: ??

Financial data import ID code: ??

[Refresh](#)

[List Financial Data Vendors](#)

[Work with Sources](#)

[Work with Inv Accounts](#)

Plan Set-up: Exercise

- Check plan dates
- Investment Accounts → Yes and press “Refresh”
 - Add a pooled investment account
- Add the investment to non-suppressed sources

Inv Account Setup

[Return](#) | [Update](#) | [Loan Inv Account Distribution/Hierarchy](#)

Seq	AccountID	Account Name	Account Description	Type
100	POOLED	Pooled Account	Pooled Account	Cash ▼
110				Cash ▼
120				Cash ▼

Census Grids

- Start with one of the ‘core’ grids
 - Contain most data needed for annual processing
 - Mapping is correct and complete
- To customize a sample grid first copy it, then rename
 - Maintains sample grids
 - Avoids confusion with other associates’ grids

Loading Census Data

The data you load on your primary census grid allows the software to calculate eligibility and determine the Highly Compensated and Key employees.

Data Entry Grid (Census Grid) - JN Sample Census (comp and comp after elig)

Plan: **Sample 401(k) Plan** | Year End: **2011-12-31** [Change Year End](#)

[Refresh the Grid](#) | Active/Inactive Participants not on current census: **None** | [Show Actives Only](#)

[Return](#)

Employee1, Firstname3 | [Select Participant](#) | [Delete Participant](#)

[Add Participant](#) | SSN: Last Name: First Name:

	Last_Name	First_Name	SSN	Birth_Date	Date of Hir...	Date of Te...	Term_Reason1	...	Servic...	Comp_Statu...
1	Employee1	Firstname3	111-11-1113	09/05/1979	11/08/2008				2,080	67,000.00
2	Employee2	Firstname4	111-11-1114	11/12/1986	04/15/2007	02/19/2011	Termination		300	55,000.00
3	Employee3	Firstname5	111-11-1115	01/09/1960	02/06/2005	12/31/2007	Termination		2,080	29,000.00
4	Employee4	Firstname6	111-11-1116	05/20/1949	12/22/1996				2,080	88,000.00
5	Employee5	Firstname7	111-11-1117	08/02/1982	09/02/2010				2,080	45,000.00
6	Owner1	Firstname1	111-11-1111	01/22/1960	01/02/1996				2,080	189,000.00
7	Owner2	Firstname2	111-11-1112	04/25/1954	01/03/1996				2,080	189,000.00

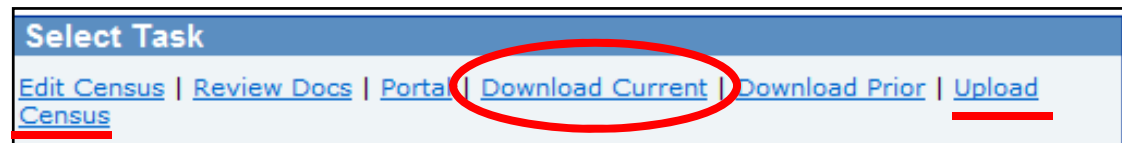
Loading Census Data

- Add census data directly to the grid or upload via spreadsheet
- Re-upload to correct bad data - select 'Yes' to reset eligibility in first year
 - Resetting eligibility will clear out eligibility dates that were previously calculated and re-calculate based on the newly uploaded census data
- 'Download Current' to open/save spreadsheet
- 'Upload' Census to load data



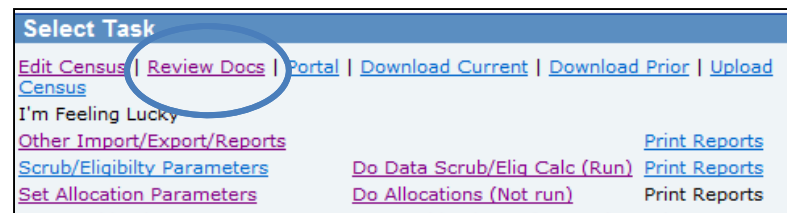
Retirement & Benefits Compliance
Customer Conference

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Census Grid - Exercise

- Select primary census grid
 - Work with Data Entry Grids
 - Select “Sample Census (comp and comp after elig) (c5debf8)”
 - Press “Select Census Grid”, then “Return”
- Click on “Review Docs” in the main plan administration menu
- Press the ‘Review’ link to download the census worksheet & save on your desktop as a .csv file



First Year in the System

The first year the plan is on the ftwilliam system the software will assume that prior year data was the same as the current year.

Data Entry Grid (Census Grid) - JN Sample Census (comp and comp after elig)

Plan: **Sample 401(k) Plan** | Year End: **2011-12-31** [Change Year End](#)

[Refresh the Grid](#) | **Active/Inactive Participants not on current census: None** | [Show Actives Only](#)

[Return](#)

Employee1, Firstname3

| SSN: Last Name: First Name:

	Last_Name	First_Name	SSN	Birth_Date	Date of Hir...	Date of Te...	Term_Reason1	Servic...	Comp_Statut...
	Help	Help	Help	Help	Help	Help	Help	Help	Help
1	Employee1	Firstname3	111-11-1113	09/05/1979	11/08/2008			2,080	67,000.00
2	Employee2	Firstname4	111-11-1114	11/12/1986	04/15/2007	02/19/2011	Termination	300	35,000.00
3	Employee3	Firstname5	111-11-1115	01/09/1960	02/06/2005	12/31/2007	Termination	2,080	29,000.00
4	Employee4	Firstname6	111-11-1116	05/20/1949	12/22/1996			2,080	88,000.00
5	Employee5	Firstname7	111-11-1117	08/02/1982	09/02/2010			2,080	45,000.00
6	Owner1	Firstname1	111-11-1111	01/22/1960	01/02/1996			2,080	189,000.00
7	Owner2	Firstname2	111-11-1112	04/25/1954	01/03/1996			2,080	189,000.00



Adding Historical Data

- You can add historical data using a supplemental grid
- Sample Census Supplemental with Disagg No OR** – add this on the Other Import/Export/Reports' screen under one of the user defined drop-down boxes

The screenshot displays a software interface for managing retirement and benefits data. On the left, a 'Select Task' menu is visible, with 'Other Import/Export/Reports' circled in blue. A large blue arrow points from this menu item to the 'UD Grid 1' dropdown in the 'Select Grids' section on the right. The 'Select Grids' section shows a list of grids with dropdown menus, and 'UD Grid 1' is currently set to 'Sample Census Supplemental with disagg No OR'. Other grids are set to 'None'. The interface also shows company information: 'Company: ABC Company', 'Plan: Sample 401(k) Plan', and 'Year End: 2011-12-31'.

Editing Prior Years of Service

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

Data Entry Grid (Census Grid) - Sample Census Supplemental with disagg No OR

Plan: **Sample 401(k) Plan** | Year End: **2011-12-31** [Change Year End](#)

[Refresh the Grid](#) | Active/Inactive Participants not on current census: **None** | [Show Actives Only](#)

[Return](#)

Employee1, Firstname3

| SSN: Last Name: First Name:

	Last_Name	First_Name	Earliest_H...	EntryDt_ED	EntryDt_...	EntryDt_PS	EntryDt_...	Prior_...	Prior_...	Prior_...	Servic...	Prior_...	TopHeavy_In...	TopHeavy_I
	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	H
1	Employee1	Firstname3						0	0	0	0	0	0.00	0
2	Employee2	Firstname4						4	4	4	4	4	0.00	0
3	Employee3	Firstname5						0	0	0	0	0	0.00	0
4	Employee4	Firstname6						0	0	0	0	0	0.00	0
5	Employee5	Firstname7						0	0	0	0	0	0.00	0
6	Owner1	Firstname1						0	0	0	0	0	0.00	0
7	Owner2	Firstname2						0	0	0	0	0	0.00	0



Other Supplemental Data on This Grid

In-service distribution amounts for Top Heavy testing

Data Entry Grid (Census Grid) - Sample Census Supplemental with disag No OR

Plan: **Sample 401(k) Plan** | Year End: **2011-12-31** [Change Year End](#)

[Refresh the Grid](#) | Active/Inactive Participants not on current census: **None** | [Show Actives Only](#)

[Return](#)

Employee1, Firstname3 | |

| SSN: Last Name: First Name:

	Last_Name	First_Name	c...	Pric...	Y...	TopHeavy...	TopHeav...	TopHea...	TopHeav...	TopHea...	KEY_Em...	KEY_Emplo...	Compensation...	HCE_TopPa...
	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help
1	Employee1	Firstname3	0		0	0.00	0.00	0.00	0.00	0.00			0.00	
2	Employee2	Firstname4	4		4	0.00	0.00	0.00	0.00	0.00			0.00	
3	Employee3	Firstname5	0		0	0.00	0.00	0.00	0.00	0.00			0.00	
4	Employee4	Firstname6	0		0	0.00	0.00	0.00	0.00	0.00			0.00	
5	Employee5	Firstname7	0		0	0.00	0.00	0.00	0.00	0.00			0.00	
6	Owner1	Firstname1	0		0	0.00	0.00	0.00	0.00	0.00			0.00	
7	Owner2	Firstname2	0		0	0.00	0.00	0.00	0.00	0.00			0.00	
Totals:			4		4	0.00	0.00	0.00	0.00	0.00			0.00	

Other Supplemental Data on This Grid

Key Employee indicators

Data Entry Grid (Census Grid) - Sample Census Supplemental with disagg No OR

Plan: **Sample 401(k) Plan** | Year End: **2011-12-31** [Change Year End](#)

[Refresh the Grid](#) | Active/Inactive Participants not on current census: **None** | [Show Actives Only](#)

[Return](#)

Employee1, Firstname3

| SSN: Last Name: First Name:

	Last_Name	First_Name	Dr_...	Prior_...	Servic...	T...	T...	T...	T...	KEY_Employee_DetermDat	KEY_EmployeePriorYr	Compensat...	HCE_To...
	Help	Help	help	Help	Help	H...	H...	H...	H...	Help	Help	Help	Help
1	Employee1	Firstname3	3	3	3	0...	0...	0...	0...	No	No	67,000.00	
2	Employee2	Firstname4	4	4	4	0...	0...	0...	0...	No	No	55,000.00	
3	Employee3	Firstname5	6	6	6	0...	0...	0...	0...	No	No	29,000.00	
4	Employee4	Firstname6	15	15	15	0...	0...	0...	0...	No	No	88,000.00	
5	Employee5	Firstname7	0	0	0	0...	0...	0...	0...	No	No	45,000.00	
6	Owner1	Firstname1	15	15	15	0...	0...	0...	0...	Yes	No	189,000.00	
7	Owner2	Firstname2	15	15	15	0...	0...	0...	0...	Yes	No	189,000.00	
Totals:			58	58	58	0...	0...	0...	0...			662,000.00	

[Return](#)

Other Supplemental Data on This Grid

Prior year statutory compensation

Data Entry Grid (Census Grid) - Sample Census Supplemental with disagg No OR

Plan: **Sample 401(k) Plan** | Year End: **2011-12-31** [Change Year End](#)

[Refresh the Grid](#) | Active/Inactive Participants not on current census: **None** | [Show Actives Only](#)

[Return](#)

Employee1, Firstname3

| SSN: Last Name: First Name:

	Last_Name	First_Name	Prior_...	Servic...	Prior_...	Top...	To...	TopHeavy_In...	To...	TopHe...	KEY_Em...	Compensation_Statutory_PriorYear	CE_To...
	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help	Help
1	Employee1	Firstname3	3	3	2	0.00	0.00	0.00	0.00	0.00	No	67,000.00	
2	Employee2	Firstname4	4	4	4	0.00	0.00	0.00	0.00	0.00	No	55,000.00	
3	Employee3	Firstname5	6	6	6	0.00	0.00	0.00	0.00	0.00	No	29,000.00	
4	Employee4	Firstname6	15	15	14	0.00	0.00	0.00	0.00	0.00	No	88,000.00	
5	Employee5	Firstname7	0	0	0	0.00	0.00	0.00	0.00	0.00	No	45,000.00	
6	Owner1	Firstname1	15	15	15	0.00	0.00	0.00	0.00	0.00	Yes	189,000.00	
7	Owner2	Firstname2	15	15	15	0.00	0.00	0.00	0.00	0.00	Yes	189,000.00	
Totals:			58	58	56	0.00	0.00	0.00	0.00	0.00		662,000.00	

[Return](#)

Other Supplemental Data on This Grid

Top Paid Group – prior year

Data Entry Grid (Census Grid) - Sample Census Supplemental with disagg No OR

Plan: **Sample 401(k) Plan** | Year End: **2011-12-31** [Change Year End](#)

[Refresh the Grid](#) | **Active/Inactive Participants not on current census: None** | [Show Actives Only](#)

[Return](#)

Employee1, Firstname3

| SSN: Last Name: First Name:

	Last_Name	First_Name	arliest_...	EntryDt...	Prior...	Prior...	Prior...	Servi...	Prior...	To...	T...	To...	KEY_E...	HCE_TopPaidGrpPrior
	Help	Help	elp	Help	Help	Help	Help	Help	Help	Help	H...	Help	Help	Help
1	Employee1	Firstname3	/08/20...	01/01/20...	3	3	3	3	2	0.00	0...	0.00	No	<input type="text"/>
2	Employee2	Firstname4	/15/20...	07/01/20...	4	4	4	4	4	0.00	0...	0.00	No	<input type="text"/>
3	Employee3	Firstname5	/06/20...	07/01/20...	6	6	6	6	6	0.00	0...	0.00	No	<input type="text"/>
4	Employee4	Firstname6	/22/19...	01/01/20...	15	15	15	15	14	0.00	0...	0.00	No	<input type="text"/>
5	Employee5	Firstname7	/02/20...	01/01/20...	0	0	0	0	0	0.00	0...	0.00	No	<input type="text"/>
6	Owner1	Firstname1	/02/19...	01/01/20...	15	15	15	15	15	0.00	0...	0.00	Yes	<input type="text"/>
7	Owner2	Firstname2	/03/19...	01/01/20...	15	15	15	15	15	0.00	0...	0.00	Yes	<input type="text"/>
Totals:					58	58	58	58	56	0.00	0...	0.00	...	

[Return](#)



Adding Additional Data

- If you only have a few items to add you can click the ‘Edit Data’ link next to the grid and add the data directly into the grid.
- If you have more data you can click the ‘Download’ link to save the grid in spreadsheet format, add your data to the spreadsheet, save and “Upload No Map”.

Company: ABC Company
Plan: Sample 401(k) Plan
Year End: 2011-12-31

[Return](#)

Select Grids		
Participant Lookup	None	Edit Data Download Print Upload no Map Upload with Map
Service Grid	None	
Initial Eligibility Grid	None	
Continuing Eligibility Grid	None	Edit Data Download Print Upload no Map Upload with Map
HCE Grid	None	
Key Grid	None	
Allocation Grid	None	
410(b) Grid	None	
ADP/ACP Grid	None	Edit Data Download Print Upload no Map Upload with Map
General Test Grid	None	
UD Grid 1	Sample Census Supplemental with disagg No OR	Edit Data Download Print Upload no Map Upload with Map
UD Grid 2	None	Edit Data Download Print Upload no Map Upload with Map
UD Grid 3	None	
UD Grid 4	None	
UD Grid 5	None	

[Select Grids](#)

Run the Data Scrub

- The data scrub calculates eligibility and entry dates and determines the HCEs and Key employees. You can run the scrub once you have added the supplemental data.
- Letting the system do the calculations is preferable to using overrides

Select Task		
Edit Census	Review Docs	Portal
Download Current	Download Prior	Upload Census
I'm Feeling Lucky		
Other Import/Export/Reports		Print Reports
Scrub/Eligibility 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 SH (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		
Global 70-1/2 Report For 2011 2012 5500 Data Report		



Recap

- Upload primary census
- Add supplemental grid
- Enter data in supplemental grid
- Run data scrub

Exercise

- Upload the census grid that you downloaded from the portal to your plan
- Add the supplemental grid 'Sample Census Supplemental with Disagg No OR' on the 'Other Import/Export/Reports' screen and add the following data:
 - Enter 5 prior years of service for John Gaunt
 - Add an in-service distribution for Julius Caesar of \$25,000, for Distrib. Yr 1
 - Enter prior year statutory compensation of \$90,000 for Jane Grey
- Run the data scrub

Questions?



Continuing Education

Please – before you leave:

1. Sign in

- Verify your attendance
- Check the box if you want your attendance reported to IRS (for ERPA reporting and those with a PTIN only)

2. Pick up your certificate of attendance

- Certificates will not be emailed after the conference