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New User Interface And Navigation

The ftwilliam.com user interface features several new functions to improve navigation and efficiency while still allowing the same functionality previously available. Several key enhancements of the new user interface include:

- A new home page that enables quicker access to commonly used features, as well as easier navigation.
- A new "Navigation Bar" on page 8 that allows access to all of the plans on the site.
- "Breadcrumb Trails" on page 13 illustrate your current location within the site.
- Seamless integration.

Home



Select a Plan...

Go

Workflow

[Home](#)

Add Company

Add Plan

Batches / Workflow

ftwPortal Pro

Upload Plan Data

Updates: [\(View All\)](#)

ftwilliam.com New User Interface - **2/19/2014**

5500 Software Updates - **2/14/2014**

Applications for Pre-approved 403(b) Plans in Your Firm's Name - **2/4/2014**

5500 Package Updates - **2/3/2014**

Cash Balance Form 8905 and Applications for Defined Benefit (including cash balance) Plans in Your Firm's Name - **1/31/2014**

Plan Search

Company:

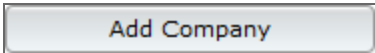
Plan:

Clear All

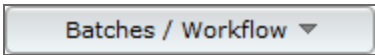
Search Results

Plan	
XYZ Sample Test Depositor XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company vs 4k pt XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company Test Upload and Logout XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company Plan2 XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company LLC STATE FULFILL TEST XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company Foreign Payer Address XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company foreign address no postal code XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company esop XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company CPI XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company CN iD XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company 945 test XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company 3 - TEST XYZ Sample Company 3	Edi
XYZ Sample Company - Test Upload 2 XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company - Test Upload XYZ Sample Company (ID: 10101001)	Edi
XYZ Sample Company - TEST 1 XYZ Sample Company 2	Edi

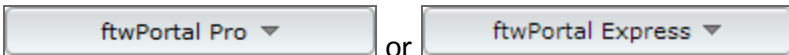
From the home page, you can easily navigate to companies and plans with Plan Search and Filter. On the left pane of the home page you can quickly access technical updates, and functions such as Add Company, Batches/Workflow, Portal, and the ability to Upload Plan Data. Several new and re-located features on the upper left side include:



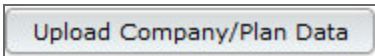
The Add Company feature allows you to create a new company.



The Batches/Workflow drop-down menu contains batch functions for Workflow, 1099, 5500, Documents, Admin and Portal, depending on products you have purchased.

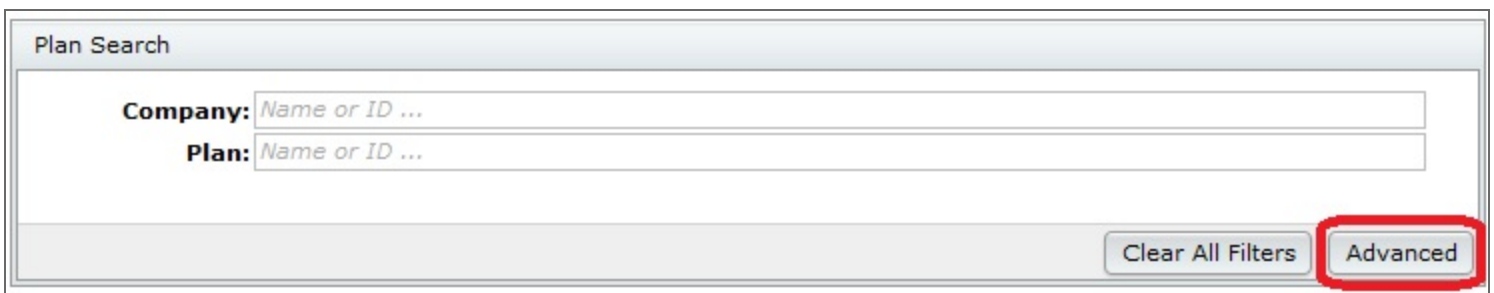


The Portal drop-down menu allows access to most features available to Portal Pro and Portal Express customers, such as View User Portal, Portal User Manager, Message Manager and Document Manager.



The Upload Company/Plan Data feature allows you to upload Company and Plan data using .csv files to create new Companies and Plans on the system, or modify ones already there. The feature also allows you to upload data files from other Document Software vendors, making it more efficient to transfer plan data into ftwilliam.com . Please contact support@ftwilliam.com for more details or assistance with this feature.

Plan Search / Filter

A screenshot of the "Plan Search" interface. It features a light blue header with the text "Plan Search". Below the header are two input fields: "Company: Name or ID ..." and "Plan: Name or ID ...". At the bottom right of the interface, there are two buttons: "Clear All Filters" and "Advanced". The "Advanced" button is highlighted with a red rectangular border.

The Plan Search box is a quick way to search for a Company or Plan using Company or Plan Name or Company ID or PlanID. The Plan Search Filter will display partial matches as well, so typing the first few unique characters in a

Company or Plan's name will only display all Companies and Plans whose name contains those characters is often enough to find the exact Company or Plan you are search for. In addition, you may perform advanced searches by clicking on the Advanced button. The Advanced fields enable you to perform an advanced search using the Employer's Identification Number (EIN), Plan Number, Plan Type, Plan Year End (in Section A. General Information), 5500 Admin, Document Admin and/or Compliance Admin. There is also an option in the Advanced search to display plans that have ALL modules indicated as 'No' for 'Resp' on the Edit Plan screen. **Note:** Indicating 'No' for 'Resp' for all of a given plan's modules will hide the plan from the Plan Search functions unless the 'Show Non-Resp Plans' box is checked.

The screenshot shows a 'Plan Search' window with the following fields and options:

- Company:**
- Plan:**
- Advanced Options:**
 - EIN:**
 - Plan Number:**
 - Plan Type:**
 - Plan Year End:**
 - 5500 Admin:**
 - Document Admin:**
 - Compliance Admin:**
 - Show Non-Resp Plans:**
- Buttons:** 'Clear All Filters' and 'Simple' (highlighted with a red box).

A vertical sidebar menu containing the following buttons:

- Edit Company
- Plan Documents
- IRS Forms
- 5500
- 1099
- Admin
- Portal
- Checklist

To hide the Advanced search options, click the Simple button.



The large Search Results box below the Plan Search box provides the quickest access to a software module for any plan by clicking on the drop-down menu next to 'Edit Plan' or by clicking on the Plan Name to click on the module that appears below the Plan Name. Note: The Search Results box displays all companies and plans by default. To narrow your plans down, see the above section on Plan Search.

ftwTest 401k Plan — Plan Name	Edit Plan ▼					
ftwTest Company — Company Name						
Plan Documents	IRS Forms	5500	1099	Admin	Portal	Checklist

Navigation Tools

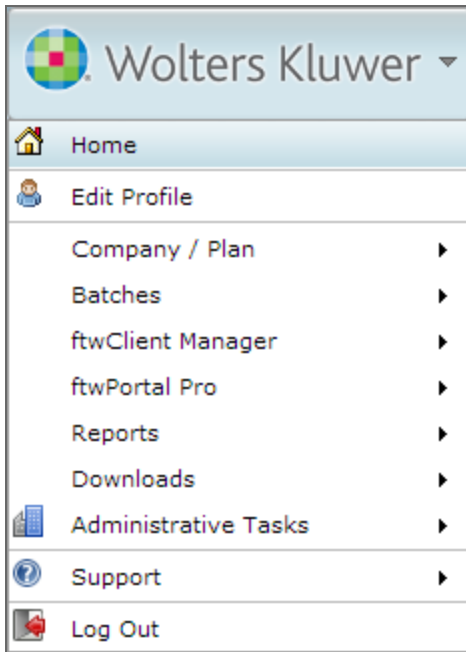
The Navigation Bar is located at the top of most screens to allow quick access to the Wolters Kluwer logo button, other Plans and modules, user profiles, support, suggestions and logging out. You can move around the site with just a few keystrokes or clicks.

Navigation Bar

 Wolters Kluwer ▼	Select a Plan... ▼	Go ▼	Workflow ▼	 L.User ▼
---	--------------------	------	------------	--

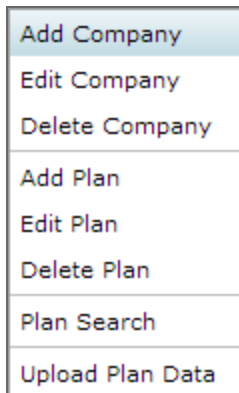
The new navigation bar hosts the ability to navigate to nearly any module or location in the site in a few keystrokes or clicks. Anywhere in the site, you can find the:

Wolters Kluwer logo button



The logo button is always accessible in the top left corner in the "Navigation Bar" on the previous page; it features instant access to administrative, Portal, and ftwClient Manager functions, including:

- Edit your user profile,
- Add a company, or plan, search plans, or upload a plan in the Upload Center,



- Batch functions, for 5500s, 1099s, Annual Notice, Welfare SBC, and Portal Batches,

5500 Batch / Workflow
1099
Batch Annual Notice
Batch Welfare SBC
Online Annual Questionnaire
Annual Questionnaire
Census Worksheet
Portal Documents


- ftwClient Manager features, such as the Workflow Dashboard or the Client Relationship Manager,

Workflow
Add Task
Add Project
CRM
Upload Contacts
Batch Add Projects
Batch Update Plan Specs
Enter Time

- Portal Features,

View User Portal
Contact Manager
Message Manager
Document Manager
Portal Document Batch
Portal User Edit Grid
Upload Portal Users
Download History
Portal User Help

- Administrative Tasks

Administrative Tasks	Portal / Workflow		
Support	Create Custom Checklist Edit Checks		
Log Out	Doc/SAR/AFN Print Settings		
	Check Out New DC PPA AA Styles		
	Defaults		SAR/AFN/8955-SSA Defaults
	Users		ZZZ-Defaults
	User Groups/Roles		Default Online Annual Questionnaire
	View Online Usage Agreement		

Various reports,

Compliance List
List of Deleted Plans
Document Provisions by Checklist
Selected Plan Provisions
Selected 5500 Provisions

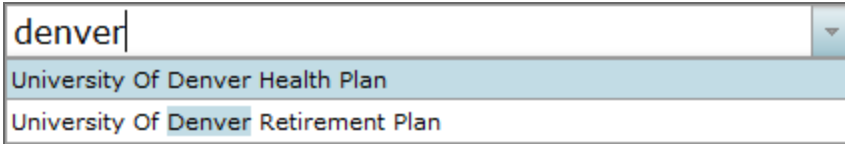
Assorted downloads,

Blank Checklists
Blank Adoption Agreements for Prototype-Style Plans
IRS Letters for Pre-approved Plans
ftwilliam Signed Amendments for Pre-approved Plans
All Portal User Messages

Select a plan

Go

The new plan select bar allows you to jump to any plan you administer from anywhere on the site. You can either click the arrow on the right side to view and select from all plans, or click the cursor in the text entry field and begin typing the name of the plan. As you type, the results from the list will automatically filter.



A search bar containing the text 'denver'. Below the search bar, a dropdown menu is open, displaying two search results: 'University Of Denver Health Plan' and 'University Of Denver Retirement Plan'. The second result is highlighted in blue.

If you enter text which does not match any company names, you will see a warning indicating that the search does not match any plans.

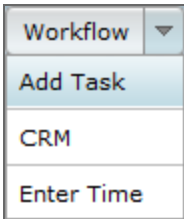


A search bar containing the text 'boulder'. To the right of the search bar, a red exclamation mark icon is visible, followed by a message box that says 'The value entered is not valid.'

The 'Go' Button

The 'Go' button allows you to access any module available for the plan currently displayed in the plan select bar at the center of the navigation bar. Click on the downward facing arrow next to the word 'Go' to jump immediately to any of the modules available to that plan (such as IRS Forms, Admin, or Portal), or click Edit Plan, or Edit Company to update relevant data. Clicking 'Go' itself will direct you to the Edit/Print Menu, where you can edit plan data, and also access modules for the plan.

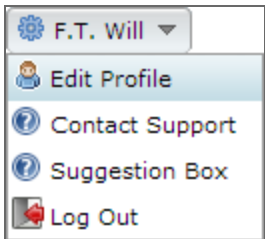
Workflow quick access features



A 'Workflow' menu button with a downward arrow. The dropdown menu is open, showing three options: 'Add Task', 'CRM', and 'Enter Time'.

The workflow menu button allows you to add a Task, or Project, access the CRM, or enter time for a Project from anywhere in the site. The 'Add Task ' and 'Add Project' options in the navigation bar function in Plan Context when a plan is selected.

Quick help link to edit your profile, contact us, or log out.



A user profile menu showing the username 'F.T. Will' with a gear icon and a dropdown arrow. The dropdown menu is open, displaying four options: 'Edit Profile', 'Contact Support', 'Suggestion Box', and 'Log Out'.

The menu in the top right always displays your username. From this drop-down menu, you can

edit your user profile, contact us (support@ftwilliam.com) , or log out.

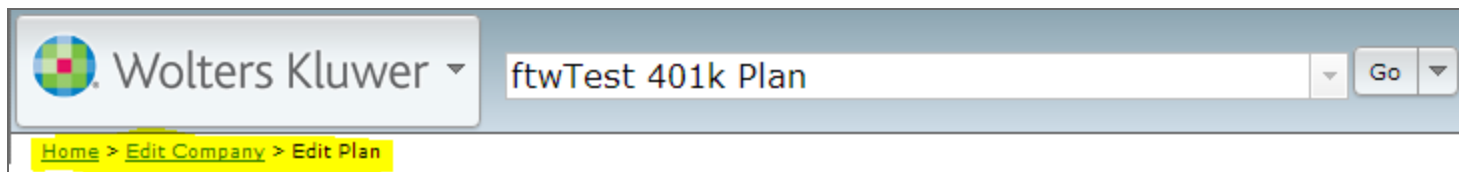
The option to quickly edit your user profile on the right side of the navigation bar enables you to set:

- First and last name,
- Display Name,
- Email Address,
- Phone Number,
- Option to switch between the new UI (Use New UI - Yes/No)
- Change Password.

The new quick edit profile option also allows you to select your Time Zone for calculating event times in your local time. The *ftwClient* Manager accounts for your time zones when setting up a new Task to organize, or attend a meeting.

For example, if your company's office is in California, but you work remotely from New York, and the meeting organizer sends a Task to join a meeting, *ftwClient* Manager will add the event to your calendar based on your time zone, not the meeting organizer's . The default value for all users is central standard --'America/Chicago'.

Breadcrumb Trails



Throughout the site you will notice a directory, or path to your current location known as a breadcrumb trail. The breadcrumb trail shows your current location in the site relative to the Home screen, and allows you to easily and intuitively go 'back' or 'up' in the path to any point by clicking the blue, underlined text.

Clicking the company name from the breadcrumb trail will direct you to 'Select Plan' screen , and clicking the plan name will direct you to the Edit/Print Menu, where you can edit plan information, or select available modules from the Print Menu.

The breadcrumb trail always begins with home, followed by either a company and plan, or a workflow or batch function.

New Windows/Dialogues

The new user-interface utilizes dialogues--frames that pop-up within the same window in your browser - for many new features, rather than directing you to a different page and derailing your workflow. The new dialogues are movable within the window frame, enabling you to view information on the page behind.

Workflow Dashboard

Add Task

Filters

Plan: Select a plan... Module: Select a module...

Show closed tasks: Service Level: B: C:

ProjectID	Description	Year	Est. Hours	FinalDueDate
795	Misc. tasks9	2013	0.00	0000-00-00
796	Misc. tasks X	2013	0.00	0000-00-00
797	Misc. tasks XI	2013	0.00	0000-00-00
798	Misc. tasks X2	2013	0.00	0000-00-00
799	Misc. tasks-9-long-name @	2013	0.00	0000-00-00
800	Misc. tasks99 - bottles - of - root - beer	2013	0.00	0000-00-00
801	Misc. tasks9 - another_really_long_name	2013	0.00	0000-00-00

Create Project X

Select a Project Template:

Misc. tasks

Misc. tasks

Description: Misc. tasks

Plan: Select a Plan (optional)

Assignee: Select an assignee

Year: 2013

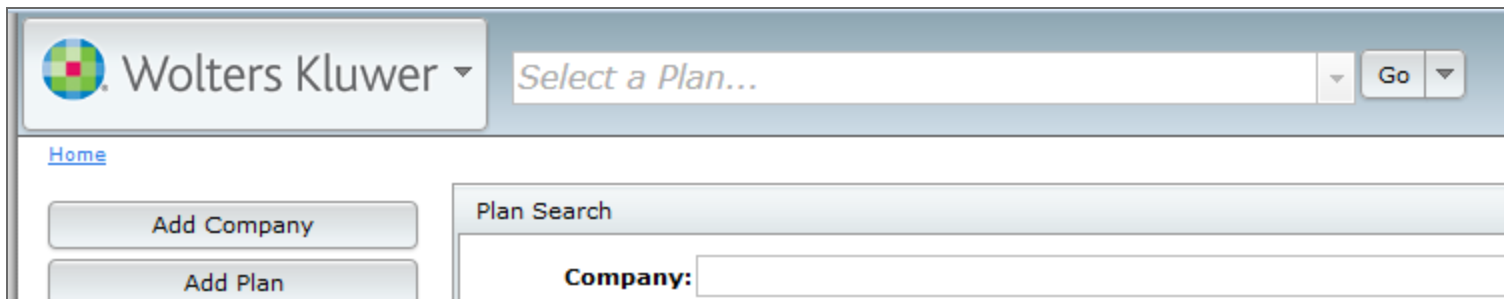
OK Cancel

Dialogues disable the page 'behind' the pop-up; you can close the dialogue and return to the page by either clicking the 'X' in the top right corner, or completing the operation for the dialogue (such as clicking 'Ok' in the pictured example of creating a project).

Contact Support And Suggestion Box

To improve the support process, the new 'Contact Us' form includes several new features to provide our support team with any information relevant to your support ticket. Additionally, the new contact form includes a new feature to submit suggestions for future enhancements to the ftwilliam.com software suite. To contact our support team, you may go to any one of the following

- the button in the top right which is labeled with your username, and select 'Contact Support' from the drop down menu. If you would like to submit a suggestion for a future enhancement to ftwilliam.com, select 'Suggestion Box',



The screenshot shows the top navigation bar of the Wolters Kluwer software. On the left, there is a logo with a colorful grid and the text 'Wolters Kluwer' followed by a dropdown arrow. Below the logo are two buttons: 'Add Company' and 'Add Plan'. To the right of the logo is a search bar with the placeholder text 'Select a Plan...' and a 'Go' button with a dropdown arrow. Below the search bar is a 'Plan Search' section with a 'Company:' label and an empty input field.

- the Wolters Kluwer logo button in the top left, then select 'Support' at the bottom then 'Contact Us',

The screenshot shows the top navigation bar of the Wolters Kluwer portal. On the left, the logo and name 'Wolters Kluwer' are displayed. To the right, there is a dropdown menu labeled 'Select a Plan'. Below the navigation bar is a main menu with the following items: Home, Edit Profile, Company / Plan, Batches, ftwPortal Pro, Reports, Downloads, Administrative Tasks, Support (highlighted), and Log Out. To the right of the main menu is a search form with fields for 'Company:' and 'Plan:', and a search button. Below the search form are sections for 'Search Results' and 'Plan'. At the bottom of the screenshot, there are several notification boxes: 'ftwportal.com Server Upgrade - 8/20/2013', 'ftwPro Amend Changes - 8/19/2013', and '8955-SSA Late Filing Notice Updates -'. On the far right, there is a vertical sidebar with links: 'Contact Us', 'Suggestion Box', 'User Guides', 'Portal User Help', 'Email Updates', and 'Tech Updates'.

- 'Contact Us' in the footer of any page.

The dialogue that appears automatically populates the form with your user name, email, and phone number as well as the company, plan, and module you are viewing when applicable to help improve the speed effective support. If your question does not pertain to the pre-populated fields, or to a plan other than the one that's automatically filled, all fields in the support contact form are editable. Additionally, you can change the recipient of your message in the contact support dialogue by changing the 'To' field to the recipient of choice--**Suggestion Box** or **Support**.

Contact Information x

Email: support@ftwilliam.com
Phone: 800.596.0714
Address: 700 W. Virginia St.
Suite 305
Milwaukee, WI 53204

Submit a Question

Plan: ▼

Module: ▼

Your Name:

Your Email:

Your Phone:

To: ▼

Subject:

Message:

By using the contact form , our support team can speed up resolving issues by using information such as which web browser you use, and plan checklist information which is not available by the traditional means of emailing contact directly.

Grids

ftwClient Manager uses new grids, such as the CRM grid below, for many features in the site to enable quicker access to plans, contacts, and other information.

	Name		Company	Type	Phone	Email
<input type="checkbox"/>	Name		Company	Type	Phone	Email
<input type="checkbox"/>	1, Test		Compuglobalhypermeganet			frye.nick@gmail.com
<input type="checkbox"/>	2, Test		Compuglobalhypermeganet			nicholas.frye@wolterskluw
<input type="checkbox"/>	3, Test		compuglobalhypermeganet			nicholas.frye@wolterskluw
<input type="checkbox"/>	Bean, Java		Alterra Coffee Roasters, Inc.	Plan Sponsor	888-654-9871	mike.ceolla@wolterskluwe
<input type="checkbox"/>	Brin, Sergey		Google, Inc.	Trustee	800-753-6541	sbrin@google.com
<input type="checkbox"/>	Bunny, Bugsy		Looney Tunes	Financial Advisor	888-444-6541	bbunny@looneytunes.com
<input type="checkbox"/>	Caffeinated, Joe		Starbucks Corporation	Plan Sponsor	800-123-4567	cjoe@starbucks.com
<input type="checkbox"/>	Cake, Patty		Baker's Man Bakery	Trustee	369-852-7410	pcake@bakersman.com
<input type="checkbox"/>	Ceolla, Mike		EMP			mike.ceolla@wolterskluwe
<input type="checkbox"/>	Contact, Test		Test Company			jason.hardies@wolterskluw
<input type="checkbox"/>	Dary, Legen		Stinson's Fine Suites	Attorney	854-552-5541	ldary@stinsons.com
<input type="checkbox"/>	Dog, Astro		Jetsons, LLC		000-THX-1138	jared.marker@wolterskluw
<input type="checkbox"/>	Gaga, Lady		Born This Way Inc.	Financial Advisor	877-564-7852	lady@gaga.com
<input type="checkbox"/>	Jetson, Elroy		Jetsons, LLC		000-THX-1138	jared.marker@wolterskluw
<input type="checkbox"/>	Jetson, George		Jetsons, LLC		000-THX-1138	jared.marker@wolterskluw
<input type="checkbox"/>	Jones, Felix		Kat, Felix, and Jones	Attorney	866-555-4321	jared.marker@wolterskluw
<input type="checkbox"/>	Jones, Kat		Kat, Felix, and Jones	CPA	866-555-4321	jared.marker@wolterskluw
<input type="checkbox"/>	Jones, Tom		Kat, Felix, and Jones	Financial Advisor	515-555-4412	jared.marker@wolterskluw
<input type="checkbox"/>	Muffet, Little		Curds & Whey LLC	Plan Sponsor	321-566-6548	lmuffet@curdswhey.com
<input type="checkbox"/>	Page, Larry		Google Inc.	Plan Sponsor	800-753-6541	lpage@google.com
<input type="checkbox"/>	Postit, Peter		3m Company	Plan Sponsor	800-716-9547	ppostit@3m.com
<input type="checkbox"/>	Stinson, Barnev		Leoen Waitforit Darv Attorneys	Attorney	867-541-5211	bstinson@leondarvattorn


Do with selected: Current View Total: 30 / Number Selected: 0

Filtering

	Name		Company	Type	Phone	Email
<input type="checkbox"/>	Name		Company	Type	Phone	Email
<input type="checkbox"/>	1, Test		Compuglobalhypermeganet			frye.nick@gmail.com

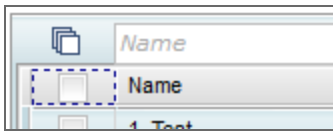
In grids which have text entry fields above each column, you can enter text to filter. After hitting enter or return on your keyboard, the grid contents will automatically update to include only rows which match the entered text. To remove the entered text, click the 'X' next to the filtered text you would like to remove and the grid will display more results.

Pop-out


Clicking the pop-out icon in the top right corner of the grid will open the grid in a new window in your browser, enabling you to maximize, or resize the grid. When the grid opens in a new window, the grid functions such as filters, and automatically saving fields behave the same as when the grid is embedded in the page.  You can close the pop-out window by clicking the red 'X' in the top-right corner of the grid.

Using the pop-out feature requires your browser to allow pop-ups; if the pop-out does not open a new window, or tab, you must configure your browsers setting to allow pop-ups from ftwilliam.com.

Select/Unselect All



The top left corner of the new grids features options to select, or unselect all items in the grid. The checkbox next to the column headers will select all items displayed on the grid, and only selects items currently displayed. Using the select all, in combination with the column filters provides a powerful resource for working with batches to select specific entries.

To unselect all plans, click the unselect all button .

Export Current View to CSV

The option 'Export Current View to CSV' will download a .csv formatted spreadsheet of the current contents of the grid. This export option observes filters , and sorting in the current view and will create a .csv file with those modifiers in place.

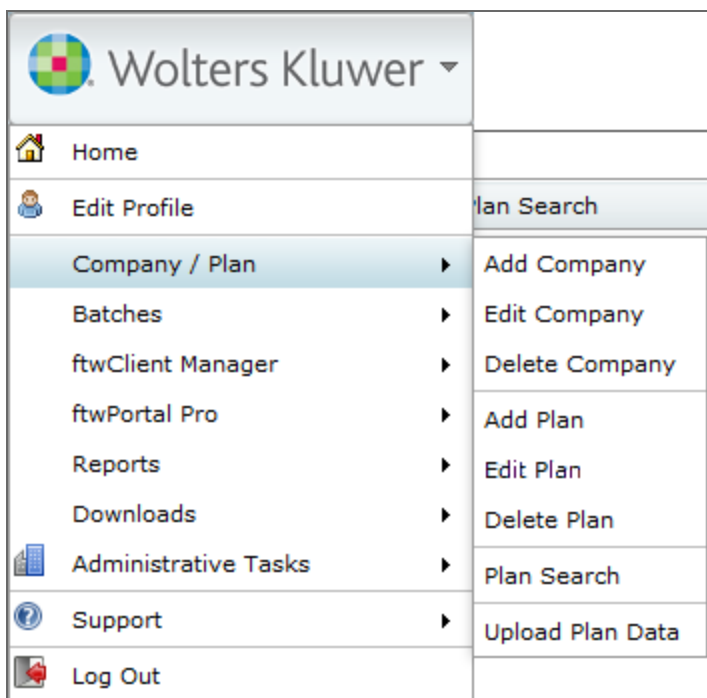
Plan Document Software User Guide

PLEASE NOTE: this is intended to be a general guide to introduce you to the document software features and structure. More detail is often provided at ftwilliam.com. At the top of every page you should find a link to 'Help' and a link to contact 'support' (via email). You can also call us between 8 p.m. and 5 p.m. CST at 1 (800) 596-0714 (you can also find this number at the bottom of every page in your account).

The Plan Document software helps you draft Plan Documents and other supporting documents as you complete the online Checklist found on the Edit Plan screen. Some of the data entered within the Checklist automatically populates

sections of IRS Forms. Additionally, the Administration software will automatically pull data from the Plan Checklist where applicable when you add a new plan year end to a plan for the first time.

To get started, you will need to add a company and plan by clicking on the **Wolters Kluwer logo button** in the top left corner, select **Company/Plan**, then click **Add Company**. Or, from the home screen you can click the **Add Company**, and **Add Plan** buttons in the top left. To get to the Home screen from anywhere in the site, you can click the **Home** under the **Wolters Kluwer logo button**, or click **Home** at the root of the bread crumb trail just below the "Navigation Bar" on page 8.



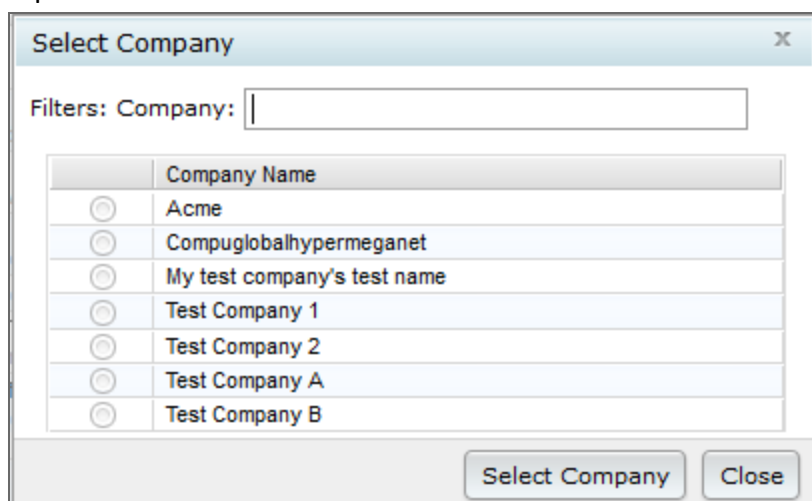
- **Add a Company**

When you add a new company, if you enter an EIN which matches a 5500 record from the previous year's filing, the [55AutoFill](#) (patented) feature will allow you to import company and plan information from previous 5500 filings. All you need to do is enter the plan sponsor's taxpayer identification number and basic plan and

company information for that plan sponsor are automatically imported for your use - even if you did not use our software in any previous year.

- **Select a Company**


To edit or delete a company you've already created, go to the **Home** page and select one of the company's plans from the plan list (you can find those plans quicker by using the "Filtering" on page 18 options for the Plan Grid). You can also select a company to edit by selecting **Company/Plan** from the **Wolters Kluwer logo button** and clicking **Edit Company**, then select the company you would like to edit from dialog that pops up. If you have a long list of companies, you can filter by company name when typing into the company filter at the top.





- **Delete a Company**

You can also delete a company using the drop-down option from the **Wolters Kluwer logo button** by selecting **Company/Plan**, then clicking **Delete Company**. You can only delete a company if it has no associated plans.

Edit Company

After you've selected a company, you can enter and update company data from the Company Data checklist. By default, the list will display all relevant sections of the checklist; fields which are not applicable based on other answers will not be displayed, and in their place you will see a  sign to expand the section --e.g. 10b: Union Representative will not be displayed unless 'Union' is selected for 10a.

For more info on each entry, you can hover you cursor over the  icon next to the Company Checklist to see a brief summary, or click on the  to read a longer description.

Home > Edit Company

Company: ID:

Plan:

Company M

- Delete
- Add

- Update unlocked **5500s and 8955-SSAs** with applicable data from this page. ??
- Update unlocked **1099s** with applicable data from this page. ??

Update

Company Data

Expand All Applicabl

▶ Company Information:

▶ Additional Company Information:

▶ Contact Information:

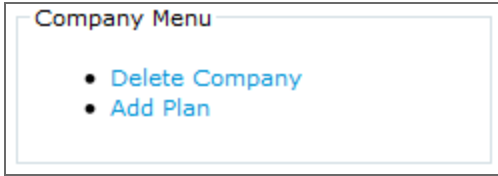
▾ Notes:

30. Notes



Add A Plan

After you have created a Company, you can add new plans to associate with a company. If you used 55Autofill to add a Company, all plans reported to the DOL which are associated with the EIN will be added to the system for you.

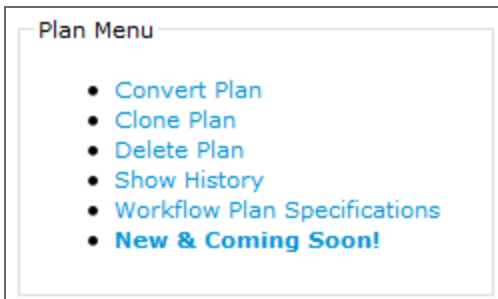


To add a plan to a company, you can either select **Company/Plan** from the **Wolters Kluwer logo button**, then select **Add Plan**, or from the Company Data checklist click **Add Plan** from the **Company Menu** in the upper right. You may also add a plan via file upload.

Responsible For

The 'Responsible For' option displays on the Edit Plan screen below each module you have purchased within the Plan Modules box. With this option you can select whether your firm is responsible for the tasks in each module for the plan, such as filing 5500s, or completing compliance testing. These values are referred to within workflow grids, and can be used to hide the plan from your plan/batch lists. If you are no longer responsible for managing a plan, but do not want to delete the plan, you can set 'Resp' to **No** for each module. This will prevent the plan from appearing in the plan list in the navigation bar, and from the plan list on the Home screen by default.

Clone A Plan



If you would like to add a plan which is very similar or identical to another plan, you can clone the original plan rather than creating a new plan and re-entering the information. Cloning a plan will copy the checklist answers of the selected plan to a new plan for an existing company that you have created on the system. If you would like to add the plan to a new Company, you will need to create the company prior to cloning the plan. You will not need to create a new plan, which will be done by the Clone Me feature. To clone a plan, simply navigate to the **Edit Plan** screen by either selecting the plan in the "Navigation Bar" on page 8, or from the Home screen. In the Plan Menu click **Clone Plan**, then in the next screen, select a company to associate with the cloned

Clone a Plan

Name of plan that will serve as the basis of the new plan: Test 401k A

Select the Company for which the new plan will be created:

Company:

Clone Plan

Cancel and return to previous page


plan.

Delete A Plan

Deleting a plan will permanently remove the plan from the system, as well as all completed forms and filings. If you might need access to the plan again in the future, we recommend you mark the plan as one you are no longer responsible for. Plans you are no longer responsible for will not appear in plan search results.

To delete a plan, select the plan with the Navigation Bar, or click **Edit Plan** next to the plan from the Home screen. From the **Plan Menu** in the top right beneath the Navigation Bar, click **Delete Plan**. You may cancel deleting the plan on the following screen by clicking **Cancel and Return to Previous Page**, otherwise click **Delete Plan** once more.

Plan Checklists


Wolters Kluwer
My test plan
Go

[Home](#) > [Edit Company](#) > Edit Plan

Company:	My test company	ID:	
Plan:	My test plan	ID:	
Checklist:	Prototype Non-Standardized 401(k) - EGTRRA		
Details:	EIN: 987654321 • PN: 1 • PYE: ???		

Plan Modules

Module	Plan Documents	IRS Forms	5500 Forms 2013	1099-R 2012	Admin	
Resp	Yes	Yes	Yes	Yes	Yes	Y
Admin	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Plan Checklist - [Expand All Applicable](#) / [Expand All](#) / [Collapse All](#)
Print



▶ A. General Information	E
▶ B. Eligibility	E
▶ C. Contributions	E
▶ D. Vesting	E
▶ E. Distributions	E
▶ F. In Service Withdrawals/Loans	E
▶ G. Plan Operations	E
▶ H. Top Heavy	E
▶ I. Custom Language	E
Items Below Do Not Affect Plan Document	
▶ J. Administrative Elections	E

- Plan Menu
- Cor
 - Clo
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 - Wo
 - Nev
 - Vie

Edit Plan

The Edit Plan screen is the home page for each plan and enables you to access each available module for the plan, such as Admin, 5500s, Portal, etc., as well as edit data about the plan itself. In the top left, you will see the basic information about the plan, including:

- Company Name
- Plan Name
- Checklist Type
- Employer Identification Number, Plan Number, and Plan Year End (EIN, PN, and PYE respectively)
- Company ID* - a Unique ID for the company assigned by an Admin user
- Plan ID* - a Unique ID for a plan assigned by an Admin user

*If you are an Admin user, a  icon will appear next to the field. Click the icon to edit the field, and the field will automatically save. Click the  icon to discard any changes you've entered.

This information is displayed on the home screen for all modules and the top right will feature functions for each module. For example, in the Plan Document module, the Plan Document Menu allows users to choose between Word and PDF output formats, Print IRS Letters for the plan, etc.

Using the drop-down options under Company Name and Plan Name, you can quickly navigate between plans and companies you would like to work with. Selecting a different Company Name will direct you to the Edit Company screen with that company selected; selecting a different Plan Name will not change which screen you are currently viewing but will change which plan you have selected

Checklist Type

All plans on *ftwilliam.com* are associated with a checklist type of one of the following depending on the document packages you have purchased.

Retirement Plan Documents:

- Prototype Non-Standard 401(k) - PPA
- Prototype Non-Standard 401(k) (Answers Only) - PPA
- Prototype Non-Standardized Money Purchase
- Prototype Non-Standardized Target Benefit
- Prototype Standardized 401(k) - PPA

- Prototype Standardized 401(k) (Answers Only) - PPA
- Prototype Standardized Money Purchase
- Volume Submitter 401(k) Prototype Format - PPA
- Volume Submitter 401(k) Prototype Format (Answers Only)- PPA
- Volume Submitter 401(k) - PPA
- Volume Submitter Profit Sharing - PPA
- Volume Submitter Money Purchase
- Defined Benefit Pension Plan (Proto Format)
- Defined Benefit Pension Plan (ID Format)
- Cash Balance Plan (Proto Format)
- Cash Balance Plan (ID Format)
- Employee Stock Ownership Plan
- Employee Stock Ownership Plan 401(k)
- Section 403(b) Plan (Full Scope)
- Section 403(b) Plan (Limited Scope)

- Welfare Plan Documents:
 - Cafeteria Plan
 - Premium Only Plan
 - Health Reimbursement Arrangement
 - Trans Spend Acct
 - Wrap Plan

- Non-Qualified Plan Documents:
 - Section 457(b) Plan
 - Section 409A Plan

- Misc (1099, 5500 or Admin Software)

Note: If you have not purchased a plan document module you will only have access to the 'Misc' plan checklist type. Plans using the Misc. checklist have access to the General Information section on the Edit Plan screen. Plans using the Misc. checklist can still be used for all modules except the Plan Documents module.

Converting Checklist Types

You may change the Document Checklist Type for a plan using the **Convert Plan** function in the Plan Menu in the top right. You can change between different retirement checklist types, or between welfare checklist types, but if you

need to convert a plan checklist from a retirement plan to a welfare plan, or the other way around, you must first convert the plan to a 'Misc' type, then complete the conversion.

Designated Admin users may "Revert " on page 44 converting a plan from the Show History menu as well, but you cannot revert changes made to the plan prior to conversion without converting the plan checklist type back, since the Revert function rolls back the Plan Checklist to a prior state.

Print Checklist

You can also print the selected checklist and responses to a .rtf file at the top of the Plan Checklist section by clicking the **Print** icon. Per plan document customers will not be billed for printing checklists.

Editing the Checklist

Each checklist type features different sections, and fields though you can edit them all the same. To display the content of any section, click anywhere on the section next to the section letter index A-J, and all the relevant checklist options will appear for the selected plan's Checklist Type.

The sections listed will vary depend on the checklist the plan is using. To view the checklist questions in each section, you can click **Expand All**, **Expand All Applicable**, or click the section header itself. **Expand All** will display all checklist questions even if they are disabled from the response of another checklist question. For example, if question 4b for a Prototype Non-Standardized 401(k) plan is 'No', questions 4ci, and 4cii will still be listed, but will appear grayed out and disabled (unable to enter text, or select an option).

4b. The Plan has a short plan year:		<input type="radio"/> Yes / <input checked="" type="radio"/> No
4ci. If A.4b is Yes", enter the start date of the short Plan Year:		<input type="text"/>
4cii. If A.4b is Yes", enter the end date of the short Plan Year:		<input type="text"/>

Expand All Applicable will still list the blank entry, but not display the question or entry field:

4b. The Plan has a short plan year:		<input type="radio"/> Yes / <input checked="" type="radio"/> No

You can also expand each section one at a time by clicking the section name, as well as each sub-section.

After making an entry in a text or date field, you do not need to click any buttons to submit; when you move your cursor the field will automatically save: clicking elsewhere on the page, or pressing the Tab key, for example. When the document checklist has been successfully updated, you will see a confirmation icon (🟢) next to the updated field.

If the field fails to update, you will see the failed upload icon (🔴). If you cannot update the text field, try refreshing the page to verify you are still logged in, and that you currently have an internet connection.

ZZZ - Default Plans

When you add a new plan any necessary plan specifications are automatically populated using defaults set in special plans called 'ZZZ-Defaults' (unless you added the plan using 55Autofill or by cloning a plan). Before adding new plans, you may want to start by opening the default company plans and updating the default plan specifications. 'ZZZ-Default' settings do not affect existing plans, and are only used when creating a new plan. All 'ZZZ-Defaults' are unique to each plan type: for example, the defaults for a 401(k) Prototype Non-Standardized plan will not affect new Volume Submitter 401(k) plans.

Designated Admin users and the Master user can edit ZZZ-Defaults by clicking the **Wolters Kluwer logo button**, selecting **Administrative Tasks**, then clicking **ZZZ-Defaults** under **Defaults** . You can edit the default "Plan Checklists" on page 25 just like other plans.

You may also copy the checklist answers to a new plan in any company instead of using ZZZ-Defaults by clicking on the **Clone Me** link next to the Checklist name. Cloning a plan will copy the checklist answers of the selected plan to a new plan for an existing company that you have created on the system. If you would like to add the plan to a new Company, you will need to create the company prior to cloning the plan. You will not need to create a new plan, which will be done by the Clone Me feature. To clone a plan, simply navigate to the **Edit Plan** screen by either selecting the plan in the "Navigation Bar" on page 8, or from the Home screen. In the Plan Menu click **Clone Plan**, then in the next screen, select a company to associate with the cloned plan.

Clone a Plan

Name of plan that will serve as the basis of the new plan: Test 401k A

Select the Company for which the new plan will be created:

Company:

SIMPLE 401(k) User Guide

The SIMPLE 401(k) plan is a type of 401(k) plan that is exempt from ADP, ACP, 401(a)(4), and top-heavy testing as long as specific requirements are met. Coverage testing, annual additions, and elective deferral limits will still apply to a SIMPLE 401(k) plan.

WHO CAN ESTABLISH A SIMPLE 401(k) PLAN?

Any employer who is eligible to establish a 401(k) plan and who has no more than 100 employees can establish a SIMPLE 401(k) plan. In any calendar year that an employer maintains a SIMPLE 401(k) plan, they cannot maintain any other type of retirement plan. SIMPLE 401(k) plans are still subject to the Form 5500 filing requirements.

WHAT ARE THE CONTRIBUTION REQUIREMENTS FOR A SIMPLE 401(k) PLAN?

A SIMPLE 401(k) plan has mandatory contribution requirements. The plan must give either (1) a matching contribution of 100% on the first 3% of compensation deferred or (2) a non-elective contribution of 2% of compensation, but not both. Aside from elective deferrals and rollover contributions, no other employee or employer contributions can be made to a SIMPLE 401(k) plan.

WHAT ARE SOME OF THE OTHER REQUIREMENTS FOR A SIMPLE 401(k) PLAN?

- Limitation year, plan year and determination period must all be the calendar year.
- Compensation must be defined as unreduced W-2 compensation.
- All plan assets must be fully (100%) vested. This includes any assets that were subject to a vesting schedule prior to the adoption of the SIMPLE 401(k) provisions.
- Notice must be provided every year to all eligible employees.

HOW SHOULD A SIMPLE 401(k) PLAN BE SET UP ON THE ftwilliam.com DOCUMENT SYSTEM?

Below is a chart that lists the questions that must be set a certain way to ensure that the SPD and SIMPLE 401(k) notice populate correctly.

Edit checks will trigger to help guide you in setting up the SIMPLE 401(k) plans when using PPA versions of the Volume Submitter Prototype, Volume Submitter IDP, Prototype Non-Standardized, and Prototype Standardized 401(k) documents, including the Answers Only versions.

Please note that this chart includes the responses for plans that have matching contributions and plans that have non-elective contributions.

Question	Required Response
Plan Year End (Month Day)	December 31
Limitation Year means	Calendar Year
Voluntary (after-tax) Contributions are permitted (If "No", questions regarding Voluntary Contributions are disregarded)	No
Definition of Compensation for purposes of allocations	W-2
For purposes of allocating Employer Contributions, Compensation is determined over the period specified below ending with or within the Plan Year	Calendar year
Include deferrals in definition of Compensation	Yes
Deferrals included for purposes of Matching Contributions (Match Only)	Yes
Deferrals included for purposes of Non-elective Contributions (Non-elective Only)	Yes
Exclude pay earned before participation in Plan from definition of Compensation	No
Exclude pay earned before participation in Plan from definition of Compensation For Matching Contributions (Match Only)	No
Exclude pay earned before participation in Plan from definition of Compensation For Non-elective Contributions (Non-elective Only)	No

Exclude other pay from definition of Compensation for the following Participants	No
Exclude Employees covered under a collective bargaining agreement from definition of Eligible Employee	Exclusions must match between the different sources allowed
Exclude leased Employees from definition of Eligible Employee	Exclusions must match between the different sources allowed
Exclude nonresident aliens from definition of Eligible Employee	Exclusions must match between the different sources allowed
Eligibility for Matching Contributions (Match Only)	Same as Elective Deferrals
Eligibility for Profit Sharing Contributions (Non-elective Only)	Same as Elective Deferrals
This is a safe-harbor plan exempt from most testing	N/A
Maximum Elective Deferral contribution as a percent of Compensation (enter "100%" if no limit applies)	100%
Indicate whether a lower maximum Elective Deferral contribution applies for HCEs	No
Plan provides for automatic enrollment	None
In order to share in the allocation of Matching Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year or complete Hours of Service in the applicable Plan Year (Match Only)	No
In order to share in the allocation of Matching Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year (Match Only)	No
In order to share in the allocation of Matching Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year or complete at least the Hours of Service specified below in the applicable Plan Year (Match Only)	No
Modifications shall be made to the service described above for an allocation of Matching contributions (Match Only)	No

Matching Contribution formula (Match Only)	Single rate
First rate of Matching Contributions (without % sign - percent of elective deferrals match) (Match Only)	100
Maximum amount of Employee contributions matched (without % sign - maximum percent of compensation matched at rate above) (Match Only)	3
Further discretionary Matching Contributions may be made in addition to those described as first - third steps (Match Only)	No
Further fixed Matching Contributions will be made in addition to those described as first - third steps (Match Only)	No
Plan limits Matching Contributions to a maximum amount/percentage in each Plan Year (Match Only)	No
Continuing Eligibility for Profit Sharing Contributions (Non-elective Only)	Pursuant to options selected below
In order to share in the allocation of Profit Sharing Contributions, a Participant is required to complete Hours of Service in the applicable Plan Year (Non-elective Only)	No
In order to share in the allocation of Profit Sharing Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year (Non-elective Only)	No
In order to share in the allocation of Profit Sharing Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year or complete at least the Hours of Service specified below in the applicable Plan Year (Non-elective Only)	No
Amount of Profit Sharing Contributions (Non-elective Only)	Other
Enter the other Profit Sharing Contribution amount (Non-elective Only)	Amount needed to meet the SIMPLE 401(k) Contribution requirements
Profit Sharing allocation formula (Non-elective Only)	Fixed Amount

Profit Sharing Contributions are subject to a minimum amount (Non-elective Only)	No
Profit Sharing Contributions are subject to a maximum amount (Non-elective Only)	No
Plan also provides for an allocation formula required under a collective bargaining agreement (Non-elective Only)	No
Plan also provides for a Prevailing wage allocation formula as regular Profit Sharing Contribution (Non-elective Only)	No
Plan also provides for a Prevailing wage allocation formula as QNEC (Non-elective Only)	No
The Plan may accept voluntary contributions to deemed IRAs	No
Matching Contribution Account Vesting Schedule (Match Only)	100%
Profit Sharing Contribution Account Vesting Schedule (Non-elective Only)	100%
Plan has a vesting schedule other than the schedules described above	No
Retain old Profit Sharing Vesting for pre 2007 contributions (Non-elective Only)	No

Publishing Plan Documents

In the Plan Document module screen, you can print all the relevant forms and documents for the selected plan type.

Plan Documents

Note: Documents and forms may not generate correctly if the status for any section is "NOT-OK" or "???". If the status for any section is "NOT-OK" or "???", the first page of each downloaded document or form will contain a warning to that effect (you can always print a document even if you have not passed edit checks).

You can print the Plan Document by clicking **Plan Document** or **Adoption Agreement**. **Note** that you must generate Basic Plan Documents individually and the Basic Plan Document is not selectable for use with options in the **Do with Selected** menu, such as **Print to One File**, **Download to ZIP** or **Publish to Portal**. Clicking any other link in the Documents / Forms menu will download the respective document in .rtf or .pdf format depending on what you have selected from the 'Document Format' drop-down in the top right. On most desktop computers .rtf files will open in Microsoft Word and .pdf files will open with Adobe Reader/Acrobat.

Home > Edit Company > Edit Plan > Print Plan Documents

Company:	Quick-E Mart (div A) test	ID:	QuickE
Plan:	Quick-E Mart 401(k) (div A)	ID:	QuickE
Checklist:	Prototype Non-Standardized 401(k) - EGTRRA		
Details:	EIN: 22222222 • PN: 001 • PYE: ???		

Plan Documents Menu

ftwPro Amend

- Document Format:
- [Print IRS Letter for](#)
- [View Plan Docs D](#)

Documents / Forms

Plan Document

- [Adoption Agreement](#)
- [Download Basic Plan Document](#)

Required Amendments *

- [DC PPA Amendment](#)
- [2011 Required Amendment](#)
- [2012 Interim Amendment](#)

Custom/Workflow

MEP/APA

- [Joinder Agreement](#)

Summary Plan Description

- [Summary Plan Description](#)

Highlights

- [Sponsor Highlights](#)
- [Participant Highlights](#)

Administrative Policies

- [QDRO Procedures](#)
- [Funding Policy](#)

Model/Sample Amendments/Agreements

- [Consent](#)
- [Amendment](#)
- [Short Plan Year Amendment](#)
- [Termination Kit non MP](#)
- [Cease Safe Harbor Match Amendment](#)
- [Cease Safe Harbor Nonelective Amendment](#)
- [Trust Only](#)
- [EGTRRA Summary](#)

- [2012 DC Termination Amendment](#)

Forms

- [Deferral Agreement](#)
- [Deferral Agreement](#)
- [Bonus Deferral Ag](#)
- [Self Employed Def](#)
- [Beneficiary Design](#)
- [Special Tax Notice](#)
- [Distribution Electio](#)
- [Roth Certification f](#)
- [Beneficiary Dist Ele](#)
- [Inservice Distributi](#)
- [Benefit Statement](#)
- [Notice of Multiple S](#)
- [Blackout Notice i](#)

Do with selected: ▾

*NOTE: Documents generated after the required amendments have been released will have the changes automatically.

Note: Per plan document customers will be charged each time you click **Plan Document** on Volume Submitter style document, or **Adoption Agreement** for Prototype style documents. Per plan document customers are not charged

for generating supporting documents, such as Basic Plan Documents (BPD), Summary Plan Descriptions (SPD), amendments, checklists, etc. Per plan customers will also receive a warning that you will be charged for generating a document each time you click **Adoption Agreement** or **Plan Document**. We recommend that per plan customers generate the checklist to review with clients prior to generating the Adoption Agreement or Plan Document. We also suggest saving the Adoption Agreement or Plan Document to your computer once you have generated one. Annual document customers are only charged the annual fee.

Once you create a document, you should save a copy of the document to your computer. Documents on the system are updated from time to time. We fix documents for typos without notifying customers. Any time there is a new checklist item or other similar change, we will notify customers. At the time we notify customers, the older version of the plan will no longer be available. Note that even pre-approved documents can be changed after the time of release (after obtaining approval from the IRS). We do always contact customers via a technical update if changes have been made with detailed information on the changes.

Prototype Note: You will note that some items will appear blank on the adoption agreement. These items are blanked to indicate that a response is not necessary. For example, if matching contributions are not allowed in a 401(k) plan, all questions dealing with matching contributions will be blanked.

Select the document to print by clicking on the appropriate link within the 'Documents/Forms' box. The links that appear within the 'Documents/Forms' box may be determined by the type of plan. For instance, "Termination Kit non MP" will only appear for plans that are not money purchase or target benefit plans. "Trust Only" should only be an option if the checklist question "Trust Agreement is contained in a document separate from the Plan document" in Section G is answered "Yes" (it is a sample trust document you can modify and use if that is useful). You should consult with an attorney to determine if any other documents may be necessary. See the Table of Contents Note above for information regarding generating a table of contents for the SPD.

Please Note: Because of a quirk in MS Word, you often must save your plan document (if it contains a table of contents) and SPD as a regular Word document (.doc) immediately after downloading. If you fail to do so, the table of contents may not generate properly. After saving the plan document or SPD, you may generate the table of contents by placing the cursor and pressing F9 in the text "<< Press F9 to Generate Table of Contents here >>" that is present on the page immediately after the title page of the document.

Amendments

There are several types of amendments available on the system. All Amendments are located within the 'Documents/Forms' box on the 'Print Plan Documents' page for a plan.

- **Sample amendment template.** In the 'Documents/Forms' box, the link to 'Amendment' will generate a sample Amendment template that can be used to create amendments to existing documents. For pre-approved documents, we generally recommend copying and pasting the language from an existing adoption agreement/document into the amendment template to help ensure you do not modify the pre-approved language. This is an option for users that do not subscribe to the automated amendment, ftwPro Amend feature.
- **Optional amendments.** Some Amendments may be provided in case you should find them useful (termination amendments, amendments to add/remove optional features). Some examples of optional amendments include: Cease Safe Harbor Match Amendment, DBK Amendment, Roth Amendment (for 457(b) documents), etc.
- **Required Amendments.** Required amendments are typically named "20XX Required Amendment". When required amendments are released, updated plan documents are released at the same time. Pre-approved documents will typically include required amendments as a tack-on amendment. Individually designed documents will typically have the changes incorporated into the document. This means that if new documents are generated as part of a restatement for example, you do not need to separately create any required amendments
- **ftwPro Amend.** Automatically generate a plan amendment, summary of material modifications (SMM) and consent action for any retirement or welfare plan in prototype format (plan with an Adoption Agreement). This amendment feature creates totally customized amendments based on revisions you have made to checklist answers. **Note:** Answers Only document versions will generate the amendment as if it were a full version document type so that all changes made in the checklist are displayed, including blank or inactive options. **Note:** The ftwPro Amend feature is an add-on to the documents in prototype format. If you would like to learn more, please contact support@ftwilliam.com or call 800-596-0714.

Forms

The forms available to print in the Plan Document module vary on the selected plan. For instance, loan documents will only appear for plans that permit participant loans. To print any form available, simply click on the appropriate form name.

Print Settings

Master Users and designated Admin users may configure print settings using the print settings dialog by clicking **Document Print Settings** from the Plan Documents screen, or under **Administrative Tasks** in the **Wolters Kluwer** logo button.

Plan Documents Menu

[ftwPro Amend](#) [E-Signed Docs](#)

- Document Format: Word
- [Print IRS Letter for This Plan \(Other Plans\)](#)
- [Document Print Settings](#)
- [View Plan Docs Demo Video](#)

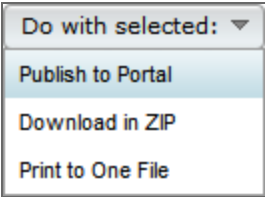
Wolters Kluwer ▾

- Home
- Edit Profile
- Company / Plan ▶
- Batches ▶
- ftwClient Manager ▶
- ftwPortal Pro ▶
- Reports ▶
- Downloads ▶
- Administrative Tasks ▶
 - Portal / Workflow ▶
 - Create Custom Checklist Edit Checks
 - Document Print Settings**
 - SAR/AFN Print Settings
 - Defaults ▶
- Support ▶
- Log Out

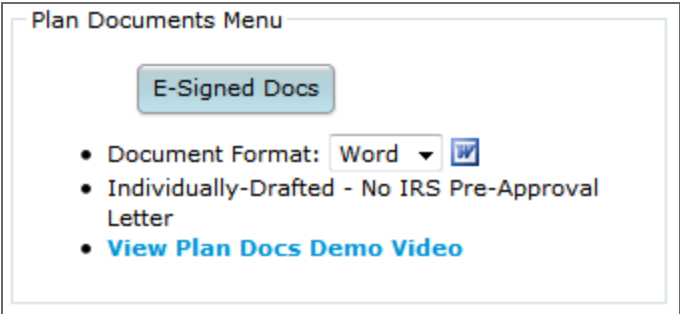
Group Print Forms and Documents

You can select any forms and documents listed to print together as a single file, or as a collection of individual files in a .zip directory. To print a batch of forms and/or documents, select the checkbox next to each form you would like to print, or click **Select All**.

After selecting the documents/forms you wish to print, you can print the documents/forms by clicking the **Do with Selected** button and click either download option **Print to One File** or **Download in ZIP**. Additionally, Portal customers may [publish plan documents directly to the Portal](#) by clicking the **Publish to Portal** option.

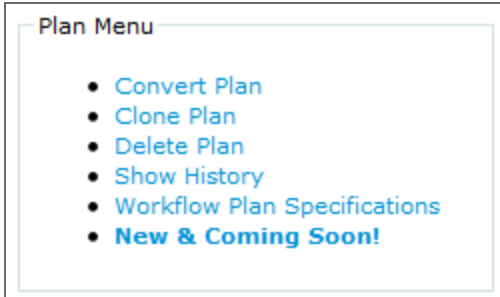


Note. There is an option to select the **Document Format** in the upper-right hand side of the page. In the Plan Documents menu choose between publishing plan documents as .pdf or .Word file when using **Print to One File**, or **Download in ZIP**.



Show History screen

The Show History screen enables you to review all modifications made to plan documents, displaying which user made the changes, when and what changes the user made. Designated Administrative users can also revert changes made to plan document checklists from this screen.



To access the Show History screen, click **Show History** in the top right corner on the Edit Plan screen under the Plan Menu for any plan.

[Home](#) > [Edit Company](#) > [Edit Plan](#) > History

Company:	Quick-E Mart (div A) test	ID: QuickE
Plan:	Apu's Pension Plan (div A)	ID:
Checklist:	Defined Benefit Pension Plan (Proto Format) - EGTRRA	
Details:	EIN: 22222222 • PN: ??? • PYE: ???	

	User	Type	Module	Document/Area	Date	Note
	test user	ADD	Plan Document	All	2014-02-04 10:43:42	Added Via Cloning, c 401(k) (div A);]
	test user:	UPDATE	Plan Document	Misc-WL	2014-02-04 10:44:57	ConvertFrom=ProtoN ConvertTo=:Misc:WL
	test user	UPDATE	Plan Document	Welfare-Cafe	2014-02-04 10:45:22	ConvertFrom=Misc:W ConvertTo=EGTRRA:
	test user	UPDATE	Plan Document	Welfare-Cafe	2014-02-04 10:45:45	
	nick	UPDATE	Plan Document	Welfare-Cafe	2014-02-05 11:15:55	
	nick	UPDATE	Plan Document	Misc-WL	2014-02-05 11:16:00	ConvertFrom=Welfar ConvertTo=:Misc:WL
	nick	UPDATE	Plan Document	DefBen-DB	2014-02-05 11:17:13	ConvertFrom=Misc:W ConvertTo=EGTRRA:
	Apu N.	UPDATE	Plan Document	General Information	2014-02-06 10:38:24	
	Apu N.	UPDATE	Plan Document		2014-02-06 10:38:24	
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-07 12:00:58	
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-10 16:49:21	
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-10 16:59:24	
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-10 17:03:36	
	nick	GENERATE	Docs	Adoption Agreement	2014-02-11 10:29:20	
	nick	GENERATE	Plan Document	Plan Document	2014-02-11 10:29:37	
	nick	GENERATE	Plan Document	Plan Document	2014-02-11 10:29:42	
	Apu N.	UPDATE	Portal		2014-02-11 11:40:01	update=add;usernam
	Apu N.	UPDATE	Portal		2014-02-11 11:40:01	update=add;usernam module=Document;
	Apu N.	UPDATE	Portal		2014-02-11 11:40:01	update=add;usernam
	Apu N.	UPDATE	Portal		2014-02-11 11:40:14	View5500=Yes;

The Show History screen also shows history such as when documents were generated, forms were printed, and updates were made changes to Portal users, etc for the selected plan. The Note column offers more details regard-

ing the change; all changes you have made in the Plan Document module are logged, and you can click **Update** in the Type column to view any set of changes to the plan documents.

Transaction Log

To view the summary of a change set, click on **Update** which will provide a pop-up of the Transaction List.

Section	Line No	Question	Old Value	New Value
A	23a	Include Post Severance Compensation :	Yes	No
A	23b	A.23a is "Yes", effective date of inclusion of Post Severance Compensation shall be limitation years beginning on or after:	Maybe	(DISABLED)
A	23c	Compensation is determined using Post Year End Compensation:	No	Yes
A	23d	If A.23c is "Yes", effective date of using Post Year End Compensation shall be limitation years beginning on or after:	(DISABLED)	(BLANK)
A	23d	If A.23c is "Yes", effective date of using Post Year End Compensation shall be limitation years beginning on or after:	(BLANK)	something...

The top of the Transaction List provides the Plan Name, which user made the Update and the Date and Time range of the session when the changes were made. Each time the user logs in, the Transaction List will record a new session for all changes the user makes which lasts until the user logs out of the system. Additionally, changing a plan's checklist by converting a plan will end the user's session and start a new session, creating multiple entries in the Show History log. The Section, Line No and Question columns refer to the part of the checklist that was changed. The Old Value is the value prior to the change and the New Value is the value replacing the Old Value. Note: The user may not have changed some of the values directly: due to other checklist options being enabled or disabled. For example, in the screen shot above, Line 23a was changed to 'No', which disabled Line 23b since the value was no longer pertinent.

Revert

From the Show History screen, Designated Admin users can also revert changes made during each session and all changes following that session effectively rolling back the Plan Document to the state prior to the selected entry. To revert changes, click **Revert** at a point in the checklist change history that you would like to revert to. **Note:** Clicking **Revert** will undo all changes made during the session you have selected. Reverting changes also creates a record in the Show History log, and reverts can also be reverted.

Revert Plan Checklist Values

Plan: Apu's Pension Plan (div A)
Revert To: Values prior to 2014-02-07 12:00:58

Please confirm the resulting changes.
New values shown in bold.
Click 'OK' below to apply these changes.

Section	Line No	Question	Current Value	Revert Value	Imposed Default
A	3a	Original effective date of Plan:	just a test	(BLANK)	
A	3c	If A.3b is "Yes", effective date of Plan restatement:	yet another test	(BLANK)	
I	1	Enter custom language that is to be added as an Addendum to the Adoption Agreement.	Some custom language la-alalalala	(BLANK)	
A	20a	Definition of Compensation:	Withholding	W-2	
A	23d	If A.23c is "Yes", effective date of using Post Year End Compensation shall be limitation years beginning on or after:	something...	(DISABLED)	
A	23c	Compensation is determined using Post Year End Compensation:	Yes	No	

OK Cancel

The Revert Plan Checklist Values dialogue summarizes all values that will be reverted, including the current values and the values the checklist will be reverted back to. If you would like to cancel the revert, just click **Cancel**.

Pressing **OK** from the Revert Plan Checklist Values dialog will provide you with a confirmation, reporting the changes successfully made during the revert.

Revert Plan Checklist Values

Plan: Apu's Pension Plan (div A)
Revert To: Values prior to 2014-02-10 17:03:36



Success!

New values are shown in **bold**.

Section	Line No	Question	Old Value	Revert Value	Imposed Default
A	23a	Include Post Severance Compensation:	No	Yes	
A	23c	Compensation is determined using Post Year End Compensation:	Yes	No	

Close

After completing a revert, you can see the entry in the Show History log of the revert itself:

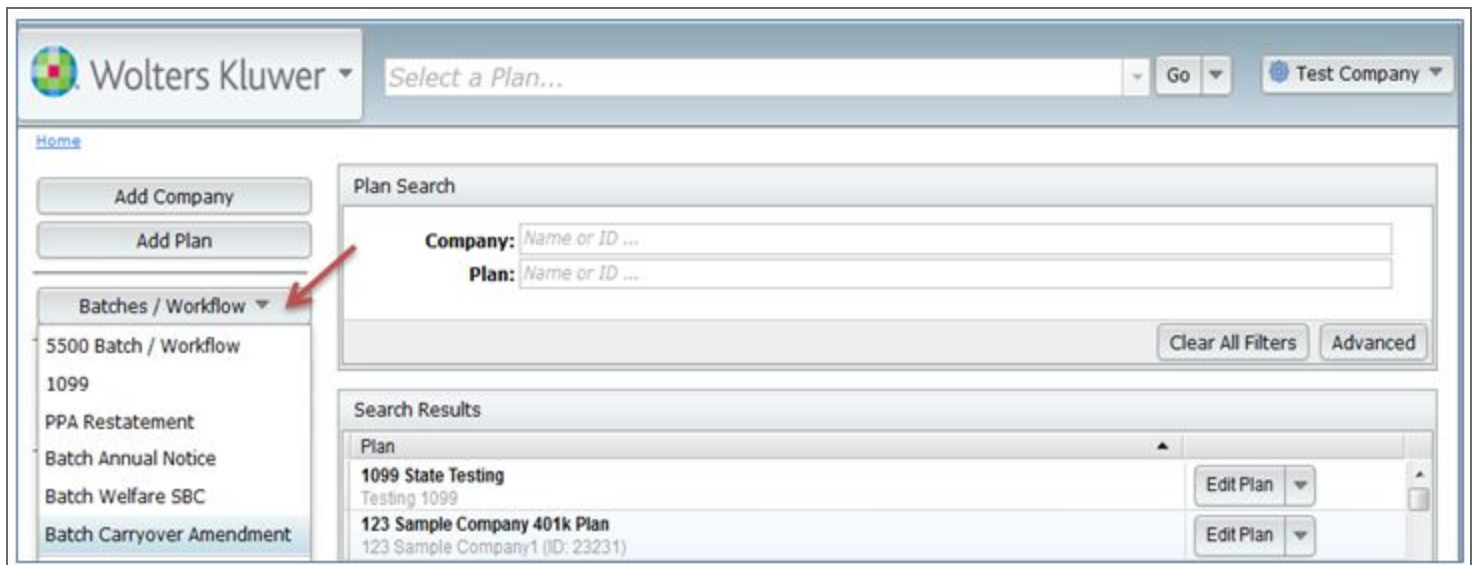
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-11 15:26:04	Revert to values prior to 2014-02-10 17:03:36
--------	------	--------	---------------	-----------	---------------------	---

Document Batches

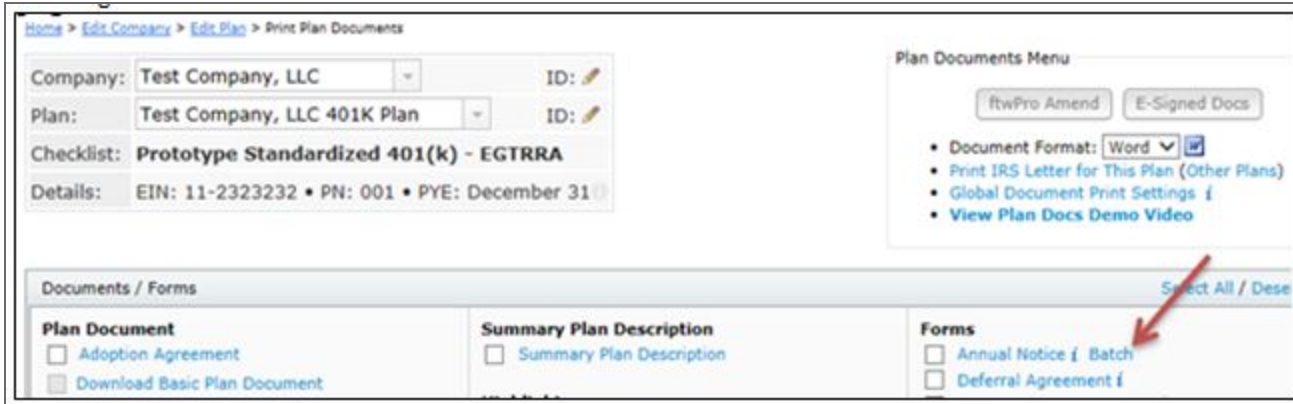
Overview:

The Batch feature permits you to print PPA Restatements, Annual Notices, Summary of Benefits and Coverage (SBCs) and Carryover Amendments for all of your clients in a few easy steps. **Note:** This feature is only available to Annual Document Subscribers.

To use the applicable batch feature(s), select from the applicable Batch in the drop-down ("PPA Restatement", "Batch Annual Notice", "Batch Welfare SBC" or "Batch Carryover Amendment") on the "Home" page under "Batches/Workflow".



You can also access the applicable feature(s) by clicking on the "Batch" link located in the "Forms" box on the "Print Plan Documents" page just to the right of the applicable link. For example, for a plan with Annual Notice features (safe harbor, auto-enrollment or QACA) to the right of the Annual Notice link; for welfare plans subject to HIPAA Portability, to the right of the SBC - Annual link.



PPA Restatement

The PPA Restatement Batch allows the user to convert EGTRRA plans to PPA. Once converted to PPA, the user is able to print the Restatement, along with a Cover Letter, Basic Plan Document (BPD), if applicable, Summary Plan Description (SPD) and Participant Highlights.

The PPA Restatement Batch can also be used to update plans that were restated for PPA prior to February 22, 2015. This can be done either by creating an entirely new set of documents (either [reposting](#) or [regenerating](#) the original PPA Restatement or creating a new PPA Restatement batch) or by creating an amendment batch ([2015 IRS Update Amendment](#)). The amendment option is only available for prototype documents and those Volume Submitter documents using the prototype format.

Click [here](#) to view a demo video of the PPA Restatement.

Existing Batches.

The image below shows sample batches already added.

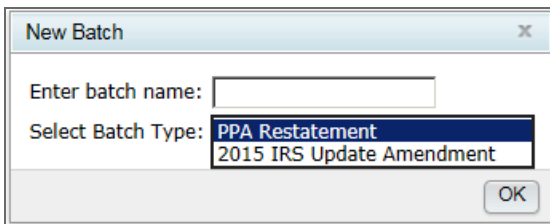
Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	Change Status
VolSub4kprRestatement	136050	97	✖	02/23/2015	02/23/2015	-	-	-	🗑 Delete Complete
2015IRSUpdateAmendment	136053	2	✖	02/23/2015	-	-	-	-	🗑 Delete Complete
2015Amend(2)	136058	1	✖	-	-	-	-	-	🗑 Delete
SamplePPARestatement	136069	1	✔	-	02/23/2015	-	02/23/2015	02/23/2015	🔒 Locked Unlock

A batch that has an 'OK' (✔) Error status means that all edit checks in the plan checklist and batch grid have passed. The ✖ symbol means there are errors either with one or more of the document checklist(s) or with the batch grid. Click on the ✖ to see the checklist and/or grid errors.

Users can "Complete" a batch at any time. If a batch is completed, it will appear as having a "Locked" status and Completed column will have a date stamp with the date the batch was marked as "Complete". If a user wishes to edit, resend or delete a "Locked" batch, they will first need to "Unlock" the batch by pressing the "Unlock" link under Change Status. If the user wishes to delete the batch, they can simply click the "Delete" link under the Change Status column. To edit an unlocked batch click on the name of the batch link.

Work Flow. By clicking on "Work Flow", the user will see a list of all of the Defined Contribution plans set up in the system that have "Yes" for "Resp" for the Plan Documents, whether they are EGTRRA or PPA. You can also view which plans have "Yes" for "Resp" for the Plan Documents (plans marked "No" under "Resp" will not be available to add to the batch).

Create New Batch. Click on "Create New Batch" to start the process of completing a PPA Restatement Batch or 2015 IRS Update Amendment Batch.



The image shows a "New Batch" dialog box with a close button (X) in the top right corner. It contains two input fields: "Enter batch name:" followed by a text box, and "Select Batch Type:" followed by a dropdown menu. The dropdown menu is open, showing two options: "PPA Restatement" (highlighted in blue) and "2015 IRS Update Amendment". An "OK" button is located at the bottom right of the dialog box.

Batch Options (*before PPA conversion*):

Add Plans. Once directed to the "Batch Options" screen, click on "Add Plans", where a list of plans that are not currently in another PPA Restatement batch will display (and are marked as "Yes" for "Resp"). The user will be able to select EGTRRA or PPA checklist types. To add plans to the batch, the user would check the box on the left-hand side of "Plan Name" to select/unselect all the plans listed, or check off plans one at a time. When the plans are selected, click on "Add Plans".

Home > PPA DC Restatement Batches > PPASample

Batch Options

Name: PPASample [Edit Name](#) Printed: - Posted: -
 Batch Type: PPA DC Restatement Downloaded: - Invited: -

You must first add plans to the batch for additional options to appear.

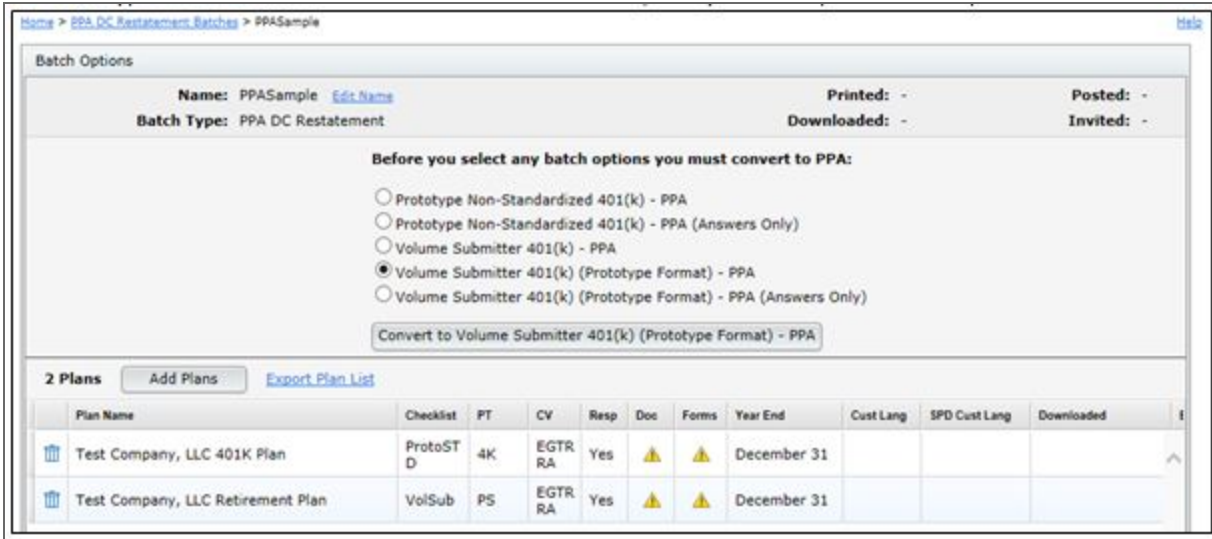
0 Plans

Add Plans

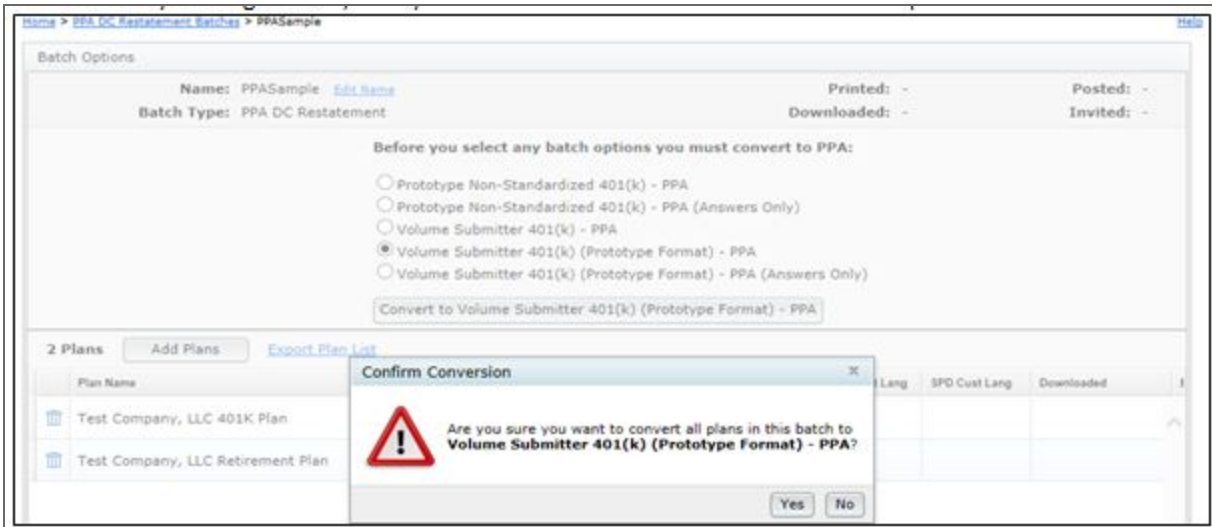
<input checked="" type="checkbox"/>	Plan Name	Year End	Checklist	Plan Type	CV	Safe Harbo
<input checked="" type="checkbox"/>	Test Company, LLC 401K Plan	December 31	ProtoSTD	4K	EGTRRA	Yes - nonelec contribu
<input checked="" type="checkbox"/>	Test Company, LLC Retirement Plan	December 31	VolSub	PS	EGTRRA	No

Current View Total: 2 / Number Selected: 2 [Export current view to CSV](#)
[don't see your plan?](#)

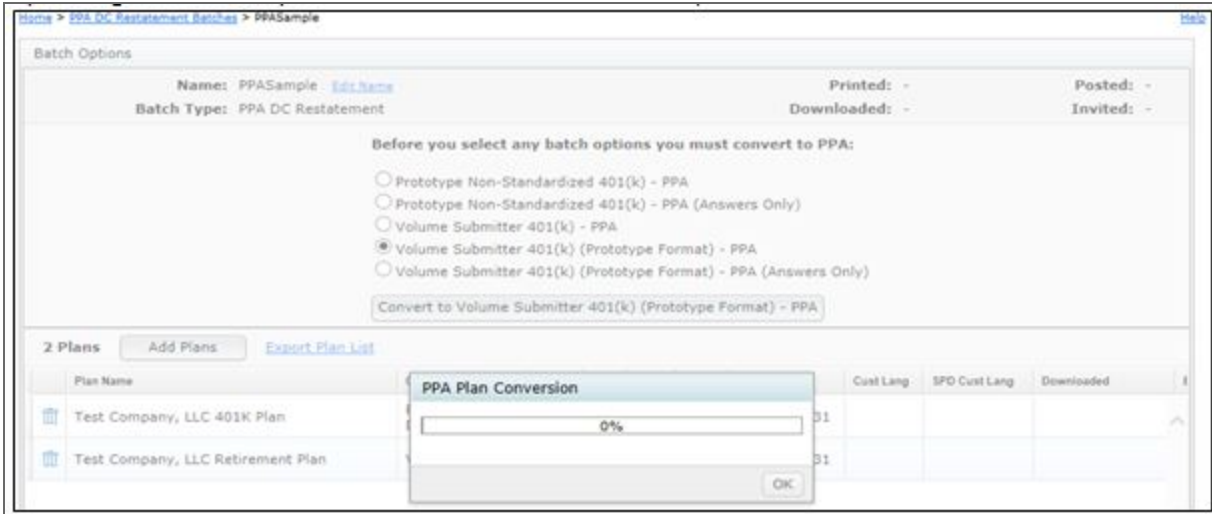
The user will be directed back to the "Batch Options" screen where the option to choose the PPA Checklist type will appear. Once selected, the user will click on "Convert to [Checklist Type] – PPA". **Note:** If the user adds plans to the batch that have already been converted to PPA for the **SAME** checklist type that is being converted, the system will not perform any updates to that plan. However, if the user adds PPA plans that are on **DIFFERENT** checklist types from what has been selected for conversion, the system will perform the updates.



Once the user clicks on "Convert to [Checklist Type] – PPA", a warning dialog will appear for the user to Confirm Conversion. By clicking on "No", the system will direct the user back to the "Batch Options" screen.

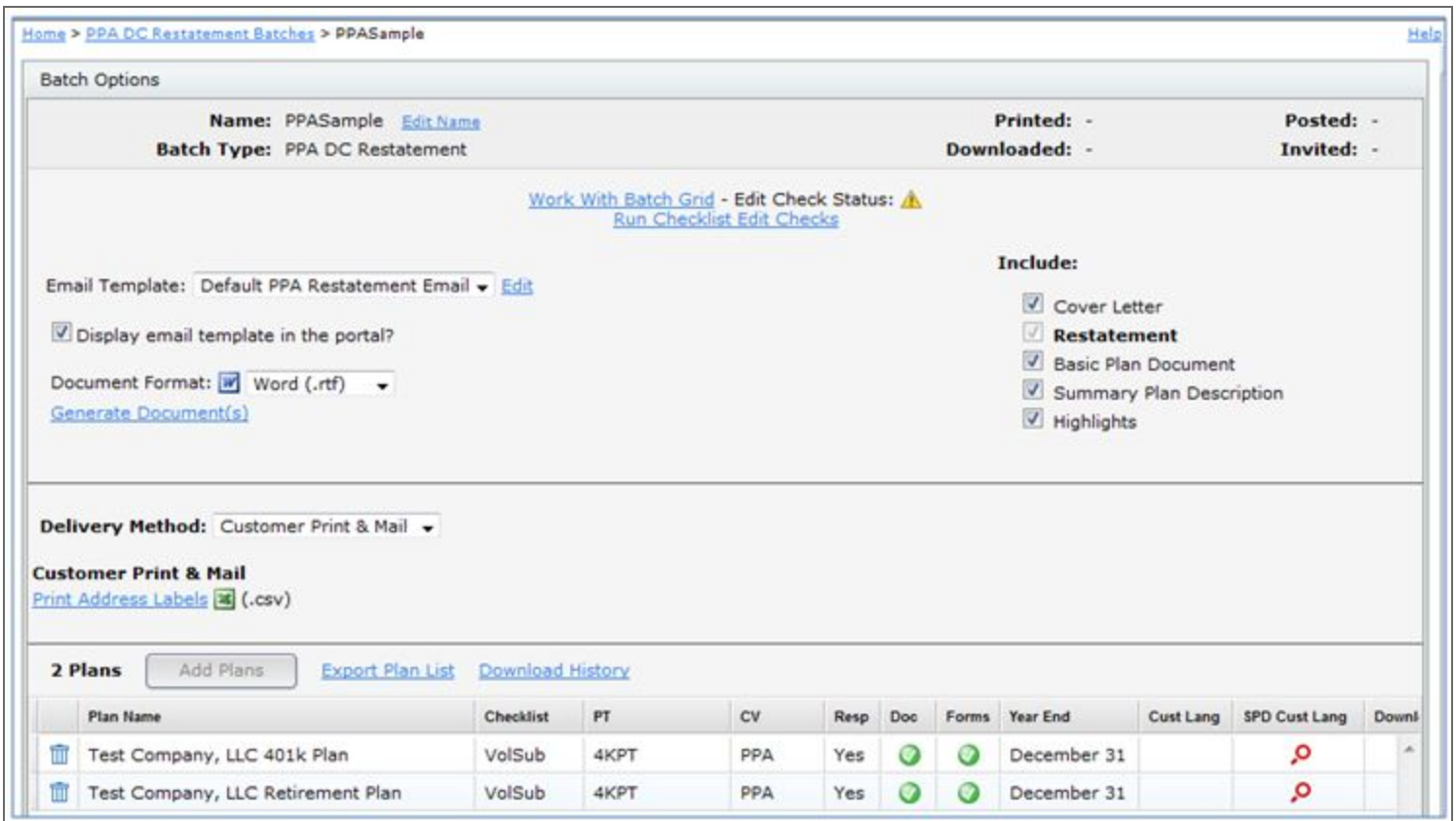


By clicking on "Yes" the system will run the PPA Conversion and provide a PPA Plan Conversion statistic.



Batch Options (after PPA conversion):

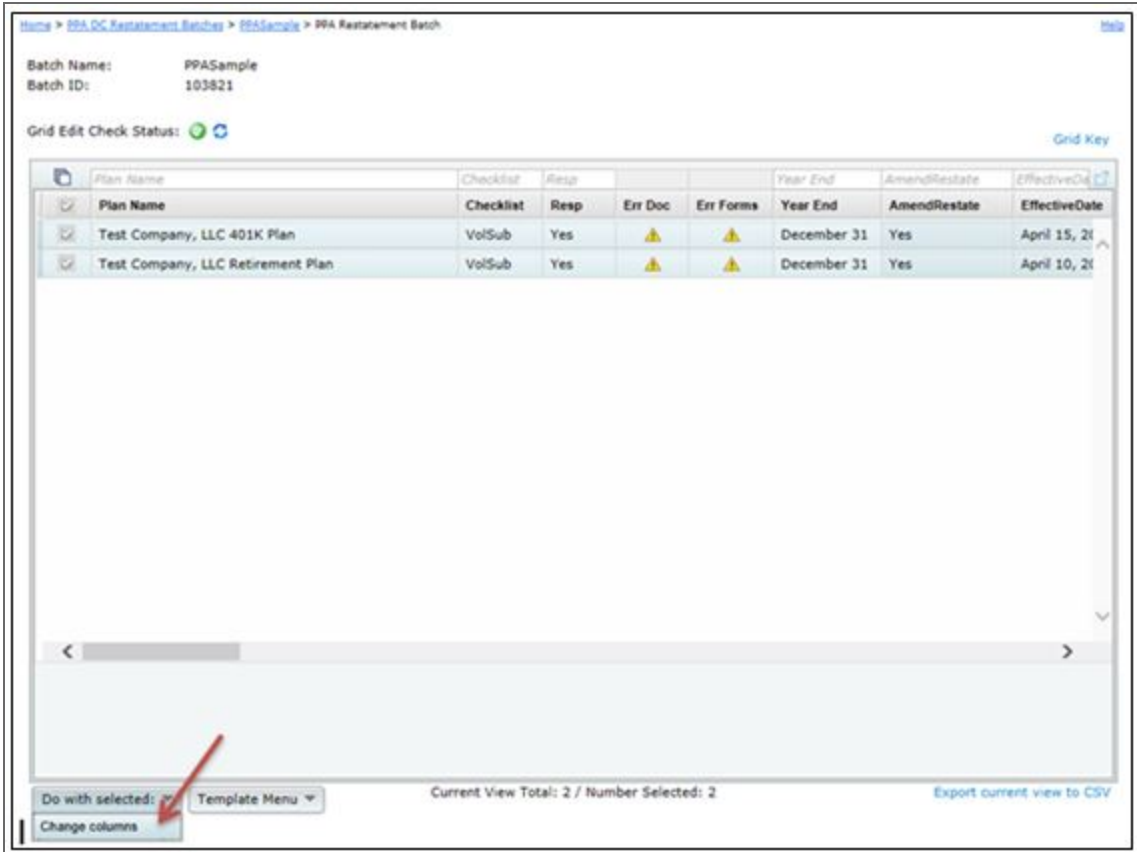
Once the plans in the batch have been converted to PPA, numerous options will appear on the "Batch Options" screen. Each will be discussed in the order they appear below.



Edit Name. The user may click on this link to re-name the batch.

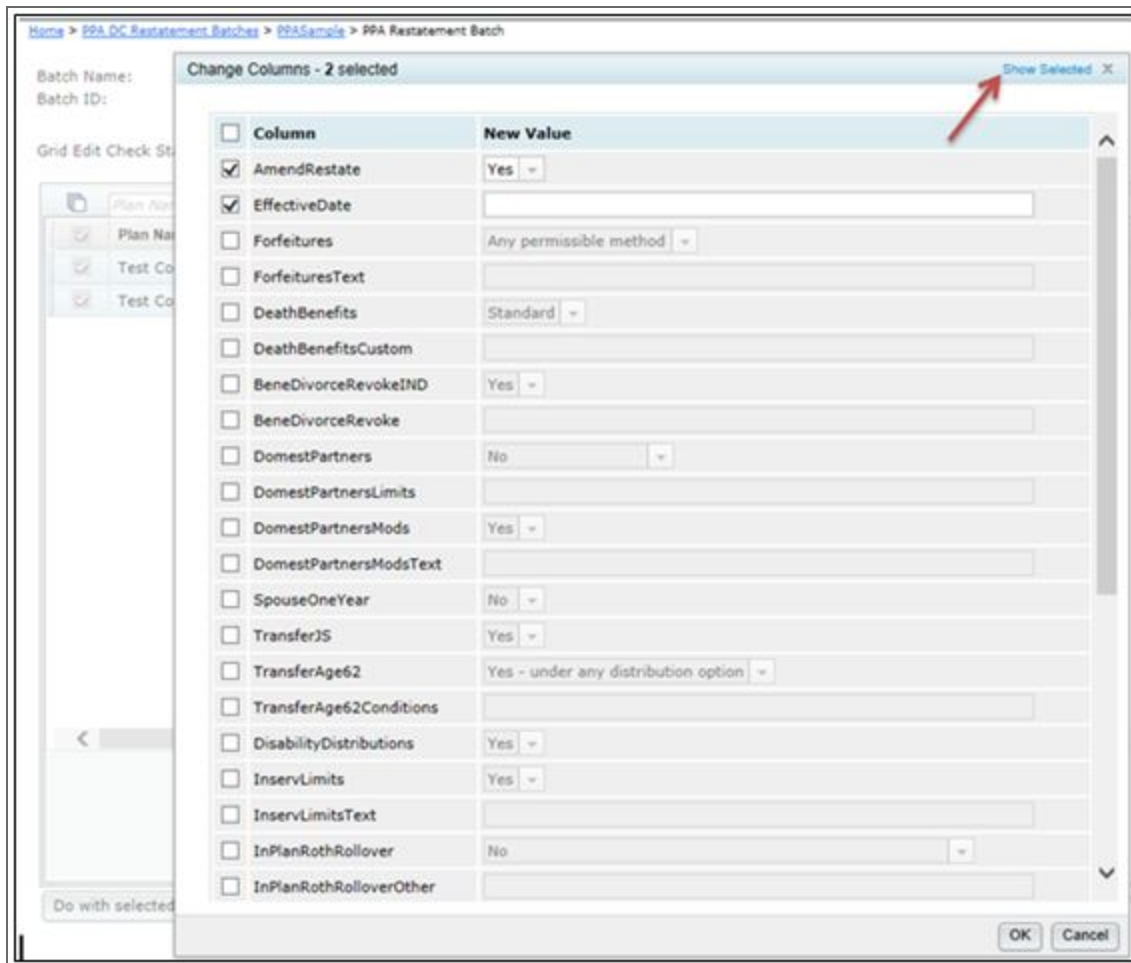
Work with Batch Grid. Instead of going directly to a plan's "Edit Plan" screen to work on the checklist, the user can go into the "Work with Batch Grid" to update some of the checklist items. The user is able to directly change checklist items within the grid, which will update the Online Checklist found on the Edit Plan screen. For more details on which columns may be edited, view the "[Batch Grid Data Entry Key](#)".

Do With Selected. This feature allows you to "Change columns" for plans selected.



Change columns. Allows admin users to update the AmendRestate, EffectiveDate, Forfeitures, ForfeituresText, DeathBenefits, DeathBenefitsCustom, BeneDivorceRevokeIND, BeneDivorceRevoke, DomesticPartners, DomesticPartnersLimits, DomesticPartnersMods, DomesticPartnersModsText, SpouseOneYear, TransferJS, TransferAge62, TransferAge62Conditions, DisabilityDistributions, InservLimits, InservLimitsText, InPlanRothRollover, InPlanRothRolloverOther, InPlanRothRolloverAge, InPlanRothRolloverPartVested, InPlanRothRolloverEffDate, InPlanRothRollover411,

InPlanRothRollover411Other, IRRNotDistributable, IRRNotDistributableLimits, IRRNotDis-tributableEffDate, SpecialTrustee, SpecialTrusteeOther, SttLimit, SttLimitPeriod, SignaturePages columns by checking the box for the column to un-gray the fields. The user will find more details on what each column represents by going to the "[Batch Grid Data Entry Key](#)" with the "Grid Key".



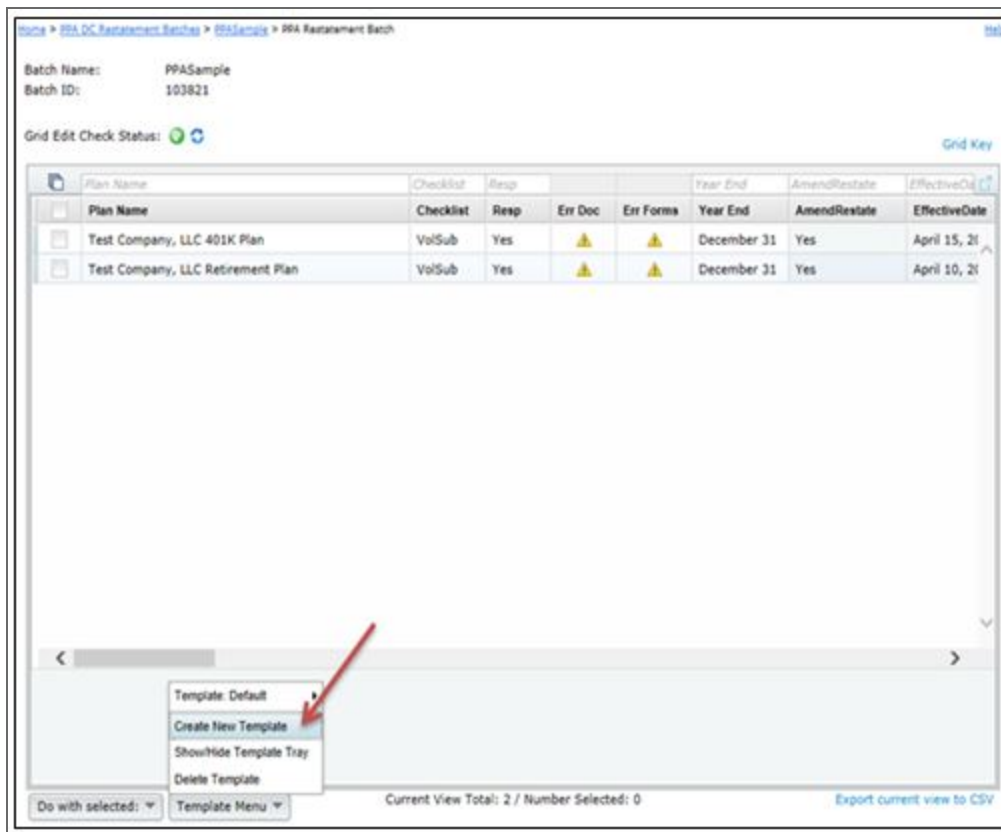
Show Selected. Displays the plans that were selected on the "Batch Options" screen.

Default Template: Master and Designated Admin user will start off with a Default Template and have the option to create a new template for all users to view. For more details about the Templates, view Template Menu below.

The grid options that appear for all users will depend upon what template is selected by the admin user (s). If users do not see one of the columns described under "Change columns", the admin user has likely

selected a different template for its users. You may click on "[Batch Grid Data Entry Key](#)" for more details.

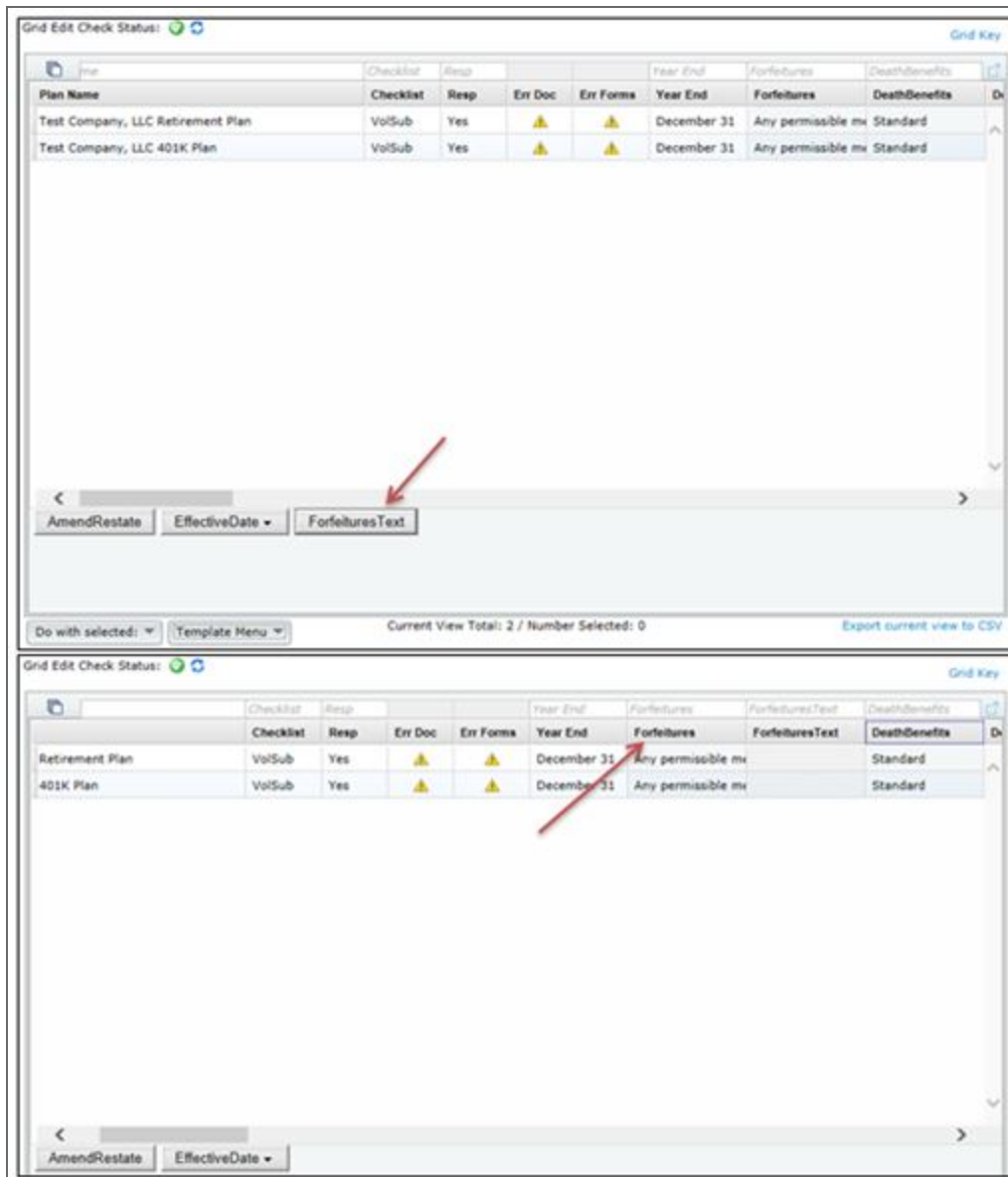
Template Menu. Master/Designated Admin users may make changes to the Default Template grid, or create a new template grid. This menu has three options (Create New Template, Show/Hide Template Tray and Delete Template) described in detail below:



Create New Template. Create a template, which will replicate the Default and select it from the Template drop-down list. Use only letters, numbers, spaces and dashes to create templates. Once created, you will need to select the new template from the Template drop-down list before you can edit it under the "Show/Hide Template Tray" option described below (or delete it).

Show/Hide Template Tray. Customize the Default or any template created. First, the user should ensure the template is selected and then select the "Show/Hide Template Tray".

Add column headers by clicking on the header in the tray. Note that headers will be added in the default order. Remove column headers by dragging them into the tray.



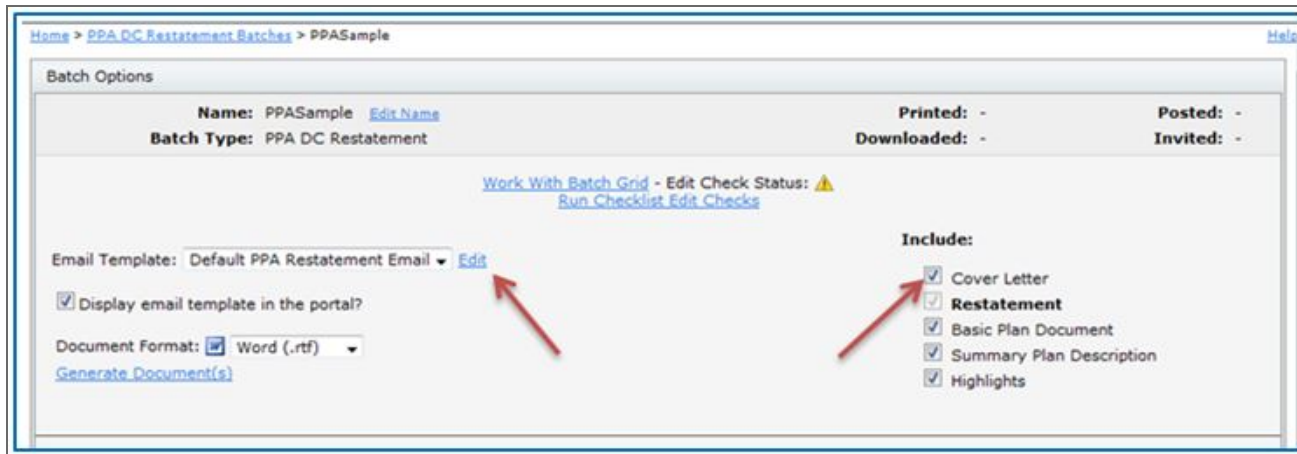
Delete Template. Delete the template that is currently displayed on the "Template" button. Pop-Up window appears to confirm you are sure you would like to delete the template.

Export current view to CSV. Export a CSV file for the template you have selected.

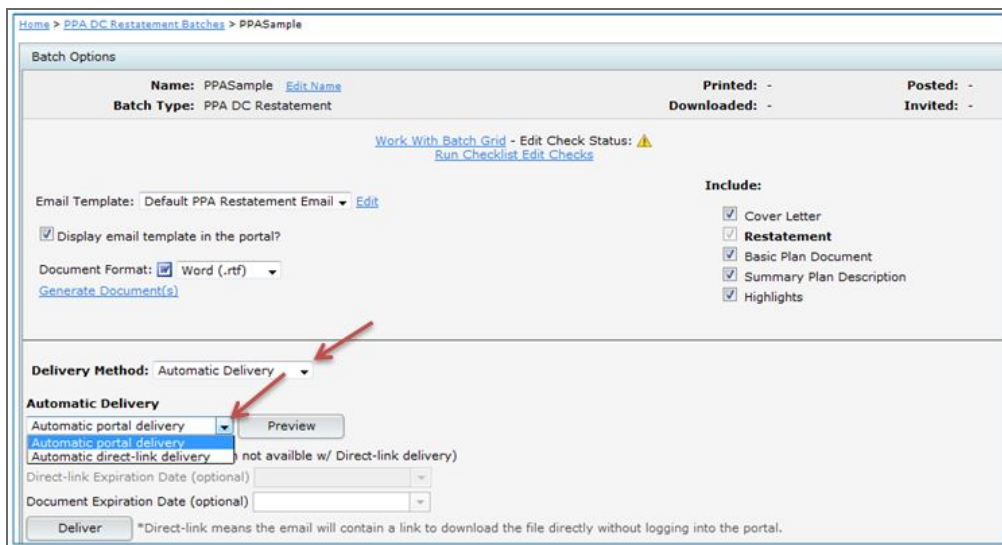
Include. The Restatement is auto-selected beneath 'Include' on the right-hand side of the screen. You are able to also select the Cover Letter, Basic Plan Document, if applicable, Summary Plan Description, and/or Highlights to

print with the Restatement. After you have the documents selected that you wish to print, click on "Generate Selected Document(s)", which will create a zip folder containing a file for each plan within the batch. The "Printed" date will update in the upper right-hand corner once you click "OK" when generating the files.

If you are familiar with *ftwPortal Pro*, the Cover Letter is the same as the Email Template. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide. Annual Document subscribers and *ftwPortal Pro* customers can follow the same steps to set up the Cover Letter.



Delivery Method. Users that are a *ftwPortal Pro* customer have the option to publish the PPA Restatement to the portal, or provide a Direct-Link to the PPA Restatement so that users can auto-generate the Restatement without logging into the portal. First, the user will need to select Automatic Delivery from the drop-down list.



Automatic Delivery:

Automatic portal delivery. Select this option to send a link to portal users to log into the portal to view the Restatement and supporting documents, if applicable.

Automatic direct link delivery. Select this option to send a direct-link to portal users to easily download a copy of the Restatement and supporting documents, if applicable, without having to log into the portal.

Note. Users should be sure to click on "Preview" to ensure that portal users are assigned to the plans, and to verify that the correct placeholders are used within the email templates before sending the invites to your clients. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide.

E-Sign:

ftwPortal Pro customers that have reviewed the [E-Signature Whitepaper](#) and emailed the completed [E-Signature Authorization Form](#) to support@ftwilliam.com will have access to use the E-Sign option for the Batch PPA Restatement. This feature is an add-on product to *ftwPortal* Pro at no additional cost.

The screenshot shows a web interface for configuring a PPA DC Restatement Batch. The breadcrumb trail is "Home > PPA DC Restatement Batches > PPASample". The "Batch Options" section displays "Name: PPASample" (with an "Edit Name" link) and "Batch Type: PPA DC Restatement". On the right, status indicators show "Printed: -", "Downloaded: -", "Posted: -", and "Invited: -". Below this, there are links for "Work With Batch Grid - Edit Check Status: ⚠" and "Run Checklist Edit Checks". The "Email Template" is set to "Default Document Signer Email" (with an "Edit" link), and a checkbox "Display email template in the portal?" is checked. The "Document Format" is set to "Word (.rtf)" with a "Generate Document(s)" link. An "Include:" list on the right has checkboxes for "Cover Letter", "Restatement", "Basic Plan Document", "Summary Plan Description", and "Highlights", all of which are checked. The "Delivery Method" is set to "Automatic Delivery". Under "Automatic Delivery", the "Automatic portal delivery" option is selected, and a "Preview" button is visible. The "Require E-Sign:" checkbox is checked, with a note "(E-Sign option not available w/ Direct-link delivery)". Below this are optional fields for "Direct-link Expiration Date" and "Document Expiration Date". A "Deliver" button is at the bottom left, and a footnote states: "*Direct-link means the email will contain a link to download the file directly without logging into the portal." Two red arrows point to the "Edit" link and the "Automatic portal delivery" dropdown.

Once users have E-Sign turned on, the option will become visible to the user after selecting Automatic Delivery, then Automatic portal delivery. **Note:** E-Sign is not an option with Direct-Link. After E-Sign is checked, the Email Template will also update to the default email template selected in the Global Email Settings for Document Signer Email.

Users should click on "Preview" to verify signers have been set up for each plan listed in the batch. Click on "No valid users" to add a signer to the plan. Each plan can only have one Sponsor, but as many Trustees as desired.

Home > PPA DC Restatement Batches > PPASample > Automatic Portal Delivery Help

PPA DC Restatement - PPASample

E-Signing has been authorized for all plans.

Automatic Portal Delivery -- Preview

Company	Document Name	Document Status	Portal User	Signing As	Pre-Approved	ESign eligible	Signed Status	Email Sent
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.rtf	Preview	Message11	SPONS	Yes	Yes		Preview
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.rtf	Preview	Message158	TRUST	Yes	Yes		Preview
Test Company, LLC Retirement Plan	Test Company, LLC Retirement Plan_PPADC.rtf	Preview	No valid users					

Home > PPA DC Restatement Batches > PPASample > Automatic Portal Delivery Help

PPA DC Restatement - PPASample

E-Signing has been authorized for all plans.

Automatic Portal Delivery -- Preview

Company	Document Name	Document Status	Portal User	Signing As	Pre-Approved	ESign eligible	Signed Status	Email Sent
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.rtf	Preview	Message11	SPONS	Yes	Yes		Preview
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.rtf	Preview	Message158	TRUST	Yes	Yes		Preview
Test Company, LLC Retirement Plan	Test Company, LLC Retirement Plan_PPADC.rtf	Preview	Message172	SPONS:TRUST	Yes	Yes		Preview

Users should return back to the Batch Options screen to click on Deliver. All the files that were "Included" will publish to the portal as one file for the portal users to E-Sign in .pdf format, even if it was sent to the portal in .rtf format. Once the file has been E-Signed, the signatures will insert into the signature line(s) of the Adoption Agreement/Plan Document. Users can verify the status of the plan by going to the "Status (Portal delivery method)" to view the Signed Status.

Home > PPA DC Restatement Batches > PPASample

Batch Options

Name: PPASample [Edit Name](#) **Printed:** - **Posted:** 09/22/2014
Batch Type: PPA DC Restatement **Downloaded:** - **Invited:** 09/22/2014
E-Signed: 1 of 2 | 9/22/2014 **Completed:** [Mark as Complete](#)

[View Batch Grid](#) - [Edit Check Status](#): ⚠️
[Run Checklist](#) [Edit Checks](#)

Email Template: PPA E-Sign Template [Edit](#)

Display email template in the portal?

Document Format: Word (.rtf) [Generate Document\(s\)](#)

Include:

- Cover Letter
- Restatement**
- Basic Plan Document
- Summary Plan Description
- Highlights

Delivery Method: Automatic Delivery

Automatic Delivery
[Status \(Portal delivery method\)](#) [Download History](#)

2 Plans [Add Plans](#) [Export Plan List](#) [Download History](#)

	Plan Name	Checklist	PT	CV	Resp	Doc	Forms	Year End	Cust Lang	SPD Cust Lang	Downl
	Test Company, LLC 401k Plan	VolSub	4KPT	PPA	Yes			December 31			09 ^
	Test Company, LLC Retirement Plan	VolSub	4KPT	PPA	Yes			December 31			

Home > PPA DC Restatement Batches > PPASample > Automatic Portal Delivery [Help](#)

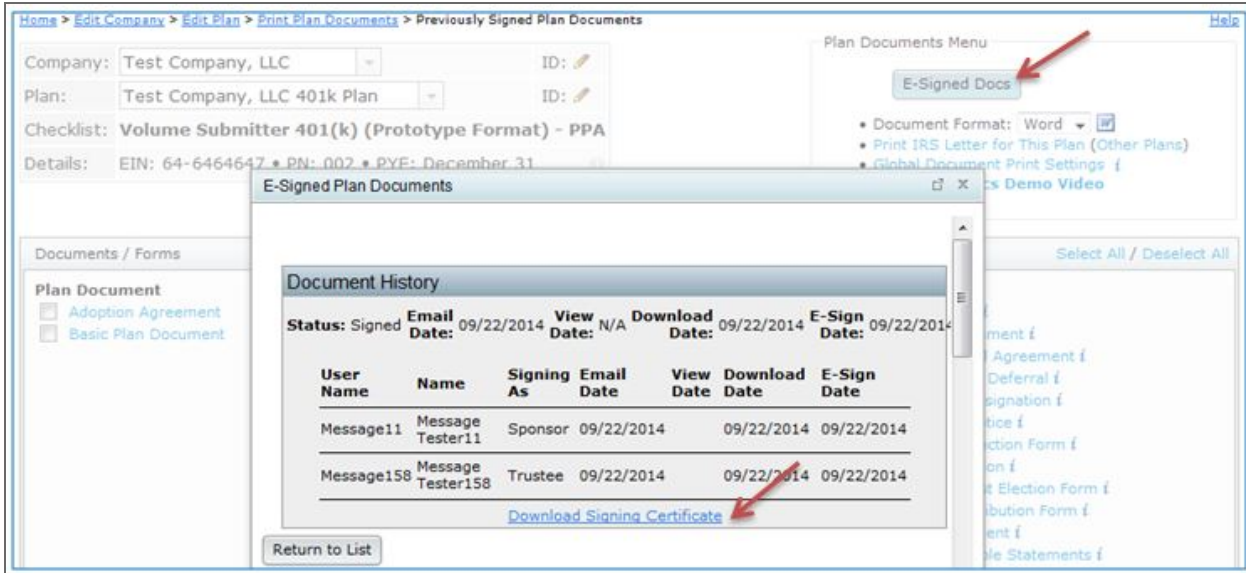
PPA DC Restatement - PPASample

E-Signing has been authorized for all plans.

Automatic Portal Delivery -- Results

Company	Document Name	Document Status	Portal User	Signing As	Pre-Approved	Esign eligible	Signed Status	Email Sent
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.pdf	OK	Message11	SPONS	Yes	Yes	Signed	Sent: 2014-09-22 17:06:00 (Resend)
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.pdf	OK	Message158	TRUST	Yes	Yes	Signed	Sent: 2014-09-22 17:06:00 (Resend)
Test Company, LLC Retirement Plan	Test Company, LLC Retirement Plan_PPADC.rtf	OK	Message172	SPONS:TRUST	Yes	Yes	Not Signed	Sent: 2014-09-22 17:06:01 (Resend)

The user can go to the Print Plan Document screen for a given plan to view the E-Signed Adoption Agreement/Plan Document, as well as the Certificate.



Note: Batches that contain E-Signed Documents may be deleted. However, please note the following:

- If a document in the batch was fully signed, that is, all required signers e-signed the document on the portal, the original e-signed document will remain on the portal user's portal page so the history is retained.
- If a document was only partially e-signed, that is, multiple signers were required to sign and not all did, the document will be deleted from the portal.
- If a document in the batch was not e-signed, the document will be deleted from the portal.

Regenerating a Restatement Batch.

Plans that were already restated for PPA prior to February 22, 2015 using the PPA Restatement batch feature, can be reprinted to produce new documents with the required changes that can then be manually printed and sent to your clients.

From the PPA Restatement Batch screen, click the link under the "Batch Name" of the batch that will be reprinted.

Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	Change Status
VolSub4kprRestatement	136050	97	🔴	02/23/2015	02/23/2015	-	-	-	🗑️ Delete 🏁 Complete
2015IRSUpdateAmendment	136053	2	🔴	02/23/2015	-	-	-	-	🗑️ Delete 🏁 Complete
2015Amend(2)	136058	1	🔴	-	-	-	-	-	🗑️ Delete
SamplePPArestatement	136069	1	🟢	-	02/23/2015	-	02/23/2015	02/23/2015	🔒 Locked 🔓 Unlock

After making any changes to the document format or documents to include in the batch, simply press the "Generate Document(s)" button to produce a zip folder with all of the selected documents in the batch.

Batch Options

Name: SamplePPArestatement [Edit Name](#)

Batch Type: PPA DC Restatement


Printed: - **Posted:** -

Downloaded: - **Invited:** -

[Work With Batch Grid](#) - Edit Check Status: ⚠
[Run Checklist](#) [Edit Checks](#)

Email Template: [Edit](#)

Check to use PPA Changes Email Template
 Display email template in the portal?

Document Format: [Generate Document\(s\)](#) 

Include:

- Cover Letter
- Restatement**
- Basic Plan Document
- Summary Plan Description
- Highlights

Reposting a Restatement Batch. Plans that were already restated for PPA prior to February 22, 2015 using the PPA Restatement batch feature, can be reposted to produce new documents with the required changes and automatically deliver them to their client's portal.

First, from the PPA Restatement Batch screen, click the link under the "Batch Name" of the batch that needs to be reposted. The batch must have an unlocked status in order for the "Repost" button to be available.

Home > PPA DC Restatement Batches [Help](#)

[Create New Batch](#) | [Work Flow](#) | [Download History](#)

Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	Change Status
VolSub4kprRestatement	136050	97		02/23/2015	02/23/2015	-	-	-	Delete Complete
2015IRSUpdateAmendment	136053	2		02/23/2015	-	-	-	-	Delete Complete
2015Amend(2)	136058	1		-	-	-	-	-	Delete
SamplePPArestatement	136069	1		-	02/23/2015	-	02/23/2015	02/23/2015	Locked Unlock

Next, set the Delivery Method to Automatic Delivery. The screen will refresh and the "Repost" button will appear. Pressing the "Repost" button posts the newest version of the documents to the portal.

Delivery Method:

Automatic Delivery

[Status \(Portal delivery method\)](#) [Download History](#) 

Once returned to the batch restatement, verify that the settings are as you wish them to be and press the "Deliver" button to require e-signing or enable direct-link delivery.

Home > PPA DC Restatement Batches > PPASample

Batch Options

Name: PPASample [Edit Name](#) **Printed:** - **Posted:** -
Batch Type: PPA DC Restatement **Downloaded:** - **Invited:** -

[Work With Batch Grid](#) - Edit Check Status: ⚠️
[Run Checklist](#) [Edit Checks](#)

Email Template: Default Document Signer Email [Edit](#)

Display email template in the portal?

Document Format: Word (.rtf) [Generate Document\(s\)](#)

Include:

- Cover Letter
- Restatement**
- Basic Plan Document
- Summary Plan Description
- Highlights

Delivery Method: Automatic Delivery

Automatic Delivery

Automatic portal delivery

Require E-Sign: (E-Sign option not available w/ Direct-link delivery)

Direct-link Expiration Date (optional)

Document Expiration Date (optional)

*Direct-link means the email will contain a link to download the file directly without logging into the portal.

Click [here](#) to view a demo video of the PPA Restatement process.

2015 IRS Update Amendment Batch.

Prototype plans that were already restated for PPA prior to February 22, 2015 using the PPA Restatement batch feature, can elect to produce the 2015 IRS Update Amendment instead of generating entirely new documents. This feature is accessed from within Batches --> PPA Restatement.

Home > PPA DC Restatement Batches Help

[Create New Batch](#) | [Work Flow](#) | [Download History](#)

Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	Change Status
VolSub4kprRestatement	136050	97	⊘	02/23/2015	02/23/2015	-	-	-	Delete Complete
2015IRSUpdateAmendment	136053	2	⊘	02/23/2015	-	-	-	-	Delete Complete
2015Amend(2)	136058	1	⊘	-	-	-	-	-	Delete
SamplePPArestatement	136069	1	⊙	-	02/23/2015	-	02/23/2015	02/23/2015	Locked Unlock

First, users will need to create a new batch. To do this, click the "Create New Batch" button --> Enter batch name-> Select batch type to be "2015 IRS Update Amendment" and press OK.

New Batch ✕

Enter batch name:

Select Batch Type: PPA Restatement
2015 IRS Update Amendment

Next, click the "Add Plans" button and select the plans you would like to add to your batch. Please note that individually designed plans (IDPs) are not able to be added to a 2015 IRS Update Amendment batch, as these plans must be fully restated. Once all plans you wish to include in this batch have been selected, press the "Add Plans" button.

The user will be directed back to the "Batch Options" screen where the option to choose the PPA Checklist type will appear. Once selected, the user will click on "Convert to [Checklist Type] – PPA". **Note:** If the user adds plans to the batch that have already been converted to PPA for the **SAME** checklist type that is being converted, the system will not perform any updates to that plan. However, if the user adds PPA plans that are on **DIFFERENT** checklist types from what has been selected for conversion, the system will perform the updates needed to convert the plan to the new document type.

Prior to generating the amendment, the user should run the checklist edit checks. This will run edit checks for all plans in the batch. All issues in each plan should be resolved within the specific plan's checklist prior to continuing on.

The e-mail template should then be selected. The "E-mail Template" is the same as the "Cover Letter" if you elect to print the cover letter when printing your documents or are publishing to the portal if you use ftwPortal Pro. The document selection is located on the right side of the screen. Check the documents that you would like to print (or publish to the portal if you use ftwPortal Pro). The Amendment and Basic Plan Document will automatically be checked and cannot be un-selected as these are both required to be printed.

Batch Options

Name: SampleAmendment Edit Name	Printed: -	Posted: -
Batch Type: PPA 2015 IRS Update Amendment	Downloaded: -	Invited: -

[Work With Batch Grid](#) - Edit Check Status: ⚠
[Run Checklist Edit Checks](#)

Email Template: [Edit](#)

Display email template in the portal?


Document Format: Word (.rtf)

[Generate Document\(s\)](#)

Include:

- Cover Letter
- IRS Update 2015 Amendment
- Basic Plan Document
- Summary Plan Description
- Highlights

Delivery Method:

Customer Print & Mail
[Print Address Labels](#)  (.csv)

After all selections have been made, the user will either press the Generate Document(s) link to download the amendment packages to a zip folder or can use the [Automatic Delivery](#) method to post the amendment to the portal.

Click [here](#) to view a demo video of the PPA Amendment process.

Annual Notice

Select year end to print. First, select the plan year end you want to work with under the 'Edit Printing Parameters' box. Click "Select Date" to select/update the plan year end shown.

Home > Annual Notice 12/2015 Batches

Note: Before using the batch annual notice software you must select the plan year end for the notice. Calendar year plans will end in the following year. Click "Select Date" once you have updated the month and year.

Review/Edit Printing Parameters

Select year end to print - Month: 12 Year: 2015 Select Date
(e.g. Select 12 and 2011 to print documents for the 12/31/2011 year end)

Cover letter options are edited on the batch settings page.

Create New Batch | Work Flow | Download History

Batch Name	Batch ID	Count	Error	Printed	Posted	Invited	Downloaded	Completed	Change Status
AnnualNoticeSample	104553	2	✖	-	-	-	-	-	Delete
NewSample	103887	2	✖	-	-	-	-	-	Delete
MaybeNotOne	104517	24	✔	10/31/2014	11/04/2014	11/04/2014	-	-	Delete Complete
MaybeNotTwo	104529	2	✖	-	-	-	-	-	Delete
MaybeNotThree	104543	11	✖	11/05/2014	11/05/2014	11/05/2014	-	-	Delete Complete

Work Flow By clicking on "Work Flow", the user will see a list of all of the plans set up in the system that have "Yes" for "Resp" for the Plan Documents, whether they are EGTRRA or PPA, and that have Safe Harbor, Nonelective, QACA and/or QDIA (plans marked "No" under "Resp" will not be available to add to the batch).

Note: Click on "Work Flow" before adding a batch to verify that each plan has a 'Month' selected. Only those plans that have a 'Month' selected in the 'Month' column will appear in the user's 'Add Plans' list. If the 'Month' column is not completed, the user can sort the 'Year End' column by entering December, for example. When the user clicks on 'Enter' the list will narrow down to those plans that have a December 'Year End'. Then, the user can check the box to the right of the 'Plan Name' and click on 'Do with selected', then 'Change columns'. This will allow the user to check the box for 'Month' and click 'OK' after a New Value has been selected to update the selected plan's 'Month' column.

Home > Annual Notice 12/2015 Batches > Batch Annual Notice Workflow

Batch Year: 2015
Refresh Grid:

Grid Key

Plan Name	CV	Checklist	PlanType	Resp	Err Doc	Err Forms	December	Month
<input checked="" type="checkbox"/> Plan Name	CV	Checklist	PlanType	Resp	Err Doc	Err Forms	Year End	Month
<input checked="" type="checkbox"/> 123 Sample Company 401k Plan	PPA	ProtoNS	4K	No			December 31	12
<input checked="" type="checkbox"/> 5500 Workflow Grid Test3	PPA	ProtoNS	4K	Yes			December 31	12
<input checked="" type="checkbox"/> 5500 Workflow Grid Sample PPA Doc	PPA	VolSub	4KPT	Yes			December 31	12
<input checked="" type="checkbox"/> 5500-SF Workflow Grid							December 31	12
<input checked="" type="checkbox"/> American Express Retirement Savings Pla							December 31	11
<input checked="" type="checkbox"/> Book-IT Test Co, LLC 401(k) Plan Original							December 31	12
<input checked="" type="checkbox"/> Book-IT Test Co, LLC 401(k) Plan Second							December 31	12
<input checked="" type="checkbox"/> Book-IT Test Co, LLC 401(k) Plan Third							December 31	12
<input checked="" type="checkbox"/> Book-IT Test Co, LLC ProtoSTD4K PPA							December 31	12
<input checked="" type="checkbox"/> Book-IT Test Co, LLC ProtoSTD4K PPA Tw							December 31	12
<input checked="" type="checkbox"/> Davison's Test Plan	PPA	ProtoNS	4K	Yes			December 31	12
<input checked="" type="checkbox"/> Eye Medical Center 401(K) PSP	PPA	ProtoNS	4K	Yes			December 31	12
<input checked="" type="checkbox"/> Ferrucci Financial Services Co 401(K) P/S Plan	EGTRRA	VolSub	4K	Yes			December 31	12
<input checked="" type="checkbox"/> First Florida Credit Union 401(K) Profit Sharing Plan & Trust	EGTRRA	VolSub	4K	Yes			December 31	12

Change Columns - 83 selected Show Selected X

Column	New Value
<input type="checkbox"/> Resp	Yes
<input checked="" type="checkbox"/> Month	12
<input type="checkbox"/> Admin	

OK Cancel

Do with selected: Template Menu Current View Total: 83 / Number Selected: 83 Export current view to CSV

Download History. If the user has *ftwPortal*, then the user can click on 'Download History' to view when portal users have downloaded the Annual Notice from the portal, if published to the portal.

Create New Batch. Click on "Create New Batch" for the Year End selected above. Note that you can always delete a batch and/or add/remove plans to a batch up until the batch has been marked as 'Completed'. Once a batch has been printed and the Error status is 'OK' () , you will have the option to mark the batch as 'Complete' from this page. The symbol means there are errors either with one or more of the document checklist(s) or with the Work With Batch grid. Click on the to see the checklist and/or grid errors.

Add Plans. After creating a new batch, the user will be directed to the "Batch Options" screen. The user will need to click on "Add Plans", where a list of plans for the Year End that are not currently in another batch will display. The user can check the box on the left-hand side of 'Plan Name' to select/unselect all the plans listed, check off plans one at a time and/or use the filters to narrow down the plans before selecting. Click on "Add Plans" once the desired plans have been selected.

Note: Both EGTRRA and PPA plans may be added to the batch. PPA plans have the option in the plan checklist to select the Safe Harbor Maybe Not language; however, EGTRRA plans will only have the option through the Work With Batch Grid. See below for more details.

Home > Annual Notice 12/2015 Batches > 12/31/15Notices

Batch Options

Name: 12/31/15Notices [Edit Name](#) Printed: - Posted: -
 Batch Type: Annual Notice Downloaded: - Invited: -

Add Plans

<input checked="" type="checkbox"/>	Plan Name	Year End	CV	Checklist	PlanType	Safe
<input checked="" type="checkbox"/>	Plan Name	Year End	CV	Checklist	PlanType	Safe Ha
<input checked="" type="checkbox"/>	123 Sample Company ProtoNS4K PPA		PPA	VolSub	4KPT	No
<input checked="" type="checkbox"/>	123 Sample Company VS4K PPA		PPA	ProtoNS	4K	No
<input checked="" type="checkbox"/>	5500 Test Plan		PPA	VolSub	4KPT	No
<input checked="" type="checkbox"/>	5500 Workflow Grid Test3	December 31	PPA	ProtoNS	4K	No
<input checked="" type="checkbox"/>	5500 Workflow Grid Sample PPA Doc	December 31	PPA	VolSub	4KPT	Yes
<input checked="" type="checkbox"/>	5500 Workflow Grid Sample ProtoSTD4K(AO)		PPA	ProtoSTD	4K	No
<input checked="" type="checkbox"/>	5500 Workflow Grid test		PPA	VolSub	4KPT	No
<input checked="" type="checkbox"/>	5500-SF Workflow Grid	December 31	PPA	VolSub	4K	No
<input checked="" type="checkbox"/>	5558 2010 1st 5500 w/old 5558		PPA	ProtoNS	4K	No
<input checked="" type="checkbox"/>	5558 2010 1st 5500 no 5558		PPA	VolSub	4K	No
<input checked="" type="checkbox"/>	5558 2011 SF w/old 5558		PPA	VolSub	4K	No

7 Plans Add Plans

Current View Total: 70 / Number Selected: 70 [Export current view to CSV](#)
[Don't see your plan?](#)

Add Plans **Cancel**

	Book-IT Test Co, LLC 401(k) Plan Third	PPA	4K	Yes			December 31	Book-IT Test Co, LLC
--	--	-----	----	-----	--	--	-------------	----------------------

Edit Batch Screen. Once plans have been added to a batch, numerous options will appear on this screen. Each will be discussed in the order they appear below.

Home > Annual Notice 12/2015 Batches > 12/31/15Notices

Batch Options

Name: 12/31/15Notices [Edit Name](#) **Printed:** - **Posted:** -
Batch Type: Annual Notice **Downloaded:** - **Invited:** -

[Work With Batch Grid](#) - Edit Check Status: ⚠
[Run Checklist Edit Checks](#)

Email Template: NewestSampleAN [Edit](#)

Display email template in the portal?

Print Each Plan in Separate File
Document Format: Word (.rtf) [Generate Document\(s\)](#)

Edit Filenames
[Edit Group Filenames](#) - [Edit Individual Filenames](#)

Include:

Cover Letter
 Annual Notice
 Deferral Agreement
 Highlights

Additional Files:
None

Delivery Method: Customer Print & Mail

Customer Print & Mail
[Print Address Labels](#) (.csv)

7 Plans [Add Plans](#) [Export Plan List](#) [Download History](#)

Plan Name	CV	PlanType	Resp	Err Doc	Err Forms	Year End	Company Name
Book-IT Test Co, LLC 401(k) Plan Third	PPA	4K	Yes			December 31	Book-IT Test Co, LLC
Happy Sample Days 401k Plan EGTRRA Fifth	PPA	4K	Yes			December 31	Happy Sample Days

- **Edit Name.** Users may click on this link to re-name the batch.
- **Include.** The Annual Notice is auto-selected beneath 'Include' on the right-hand side of the screen. Users are able to also select the Cover Letter, Deferral Agreement and/or Highlights to print with the Annual Notice. After the documents are selected to print, click on "Generate Selected Document(s)" for 'Print Each Plan in Separate File', which will create a zip folder containing a separate folder for each plan within the batch. The 'Printed' date will update in the upper right-hand corner once the user clicks 'OK' when generating the files.
Note: The 'Print All Plans in One File - MS Word', which generated one file for all the plans within the batch has been disabled due to the batch allowing both EGTRRA and PPA plans.

Edit (Email Template): Users familiar with *ftwPortal Pro*, the Cover Letter is the same as the Email Template. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide. Annual Document subscribers and *ftwPortal Pro* customers should follow the same steps to set up the Cover Letter.

Delivery Method Users that have *ftwPortal Pro*, have the option to publish the Annual Notice to the portal, or

provide a Direct-Link to the Annual Notice so that portal users can auto-generate the Annual Notice without logging into the portal. First, users will need to select Automatic Delivery from the drop-down list.

- **Automatic portal delivery.** Select this option to send a link to portal users to log into the portal to view the Annual Notice and supporting documents, if applicable.
- **Automatic direct link delivery.** Select this option to send a direct-link to portal users to easily download a copy of the Annual Notice and supporting documents, if applicable, without having to log into the portal.

Note. Be sure to click on "Preview" to ensure that portal users have been assigned to the plans, and to verify that the correct placeholders are within the email templates before sending the invites to your clients. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide.

Email Template: NewestSampleAN [Edit](#)

Display email template in the portal?

Print Each Plan in Separate File
Document Format: Word (.rtf) [Generate Document\(s\)](#)

Edit Filenames
[Edit Group Filename](#) - [Edit Individual Filenames](#)

Include:

- Cover Letter
- Annual Notice**
- Deferral Agreement
- Highlights

Additional Files:
None
[Add File](#)

Delivery Method: Automatic Delivery

Automatic Delivery

Automatic portal delivery
Automatic portal delivery
Automatic direct-link delivery

Document Expiration Date (optional)

*Direct-link means the email will contain a link to download the file directly without logging into the portal.

Work with Batch Grid.

Default Template: Master and Designated Admins will start off with a Default Template.

The grid options that appear for all users will depend upon what template is selected by the admin user(s) at the bottom of the 'Batch Annual Notice' screen. Users may click on "Grid Key" to view the '[Batch Grid Data Entry Key](#)' for more details.

Users that have both EGTRRA and PPA plans will have the option to set up Safe Harbor Maybe Not language by going to the Work with Batch Grid. **Note:** EGTRRA plans will automatically highlight red until the "Maybe SH" column has been completed. EGTRRA plans do not have the option to update the online checklist; therefore, ftwilliam.com developed a way to add the text within the grid. PPA plans do have the option to select the Maybe Not language within the online checklist, but can also update the "Maybe SH" option within the grid.

Batch Name: 12/31/15Notices
 Batch ID: 104555
 Batch Year: 2015

Grid Edit Check Status: Grid Key

Plan Name	Checklist	CV	Resp	Err Doc	Err Forms	Year End	Month	Safe Harbor
Book-IT Test Co, LLC 401(k) Plan Third	ProtoSTD	PPA	Yes			December 31	12	QACA Ma
Happy Sample Days 401k Plan EGTRRA Fifth	ProtoNS	PPA	Yes			December 31	12	Match
Happy Sample Days 401k Plan Second	ProtoNS	PPA	Yes			December 31	12	Non-Eled
Headlines Inc 401k Profit Sharing Plan & Trust Fourth	ProtoNS	PPA	Yes			December 31	12	Maybe
Sample Sponsor Name Test Company SH Test	ProtoNS	EGTRRA	Yes			December 31	12	Non-Eled
Test Company, LLC 401k Plan EGTRRA	VolSub	EGTRRA	Yes			December 31	12	QACA Ma
The S500 H Testing Company	ProtoNS	EGTRRA	Yes			December 31	12	Match

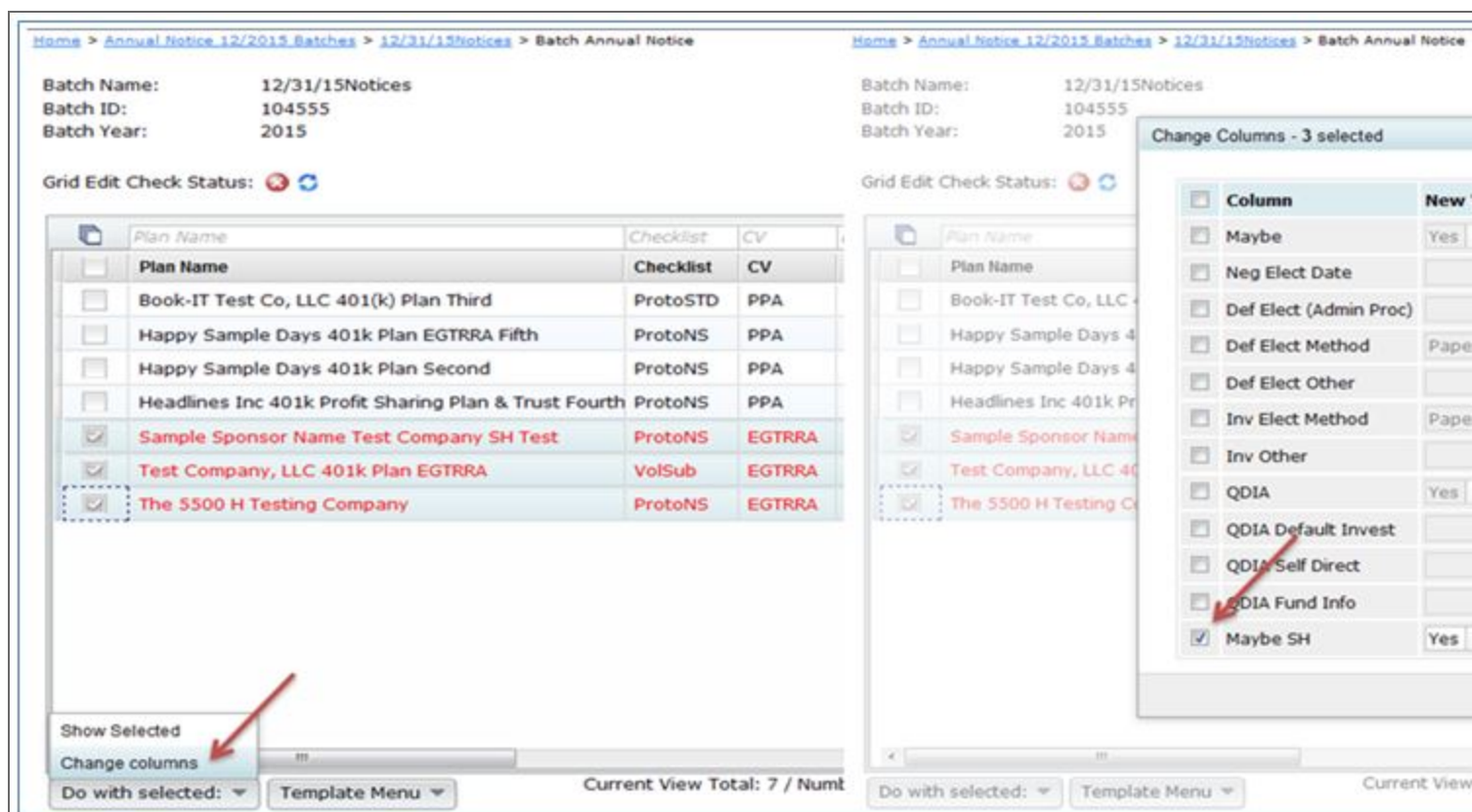
QDIA Default Invest	QDIA Self Direct	QDIA Fund
N/A	N/A	N/A
N/A	N/A	N/A
N/A	N/A	N/A
100% Martineau Fu you have the right www.he		
N/A	N/A	N/A
N/A	N/A	N/A
N/A	N/A	N/A

Do with selected: Template Menu Current View Total: 7 / Number Selected: 0 Export current view to CSV Total: 7 / Number Selected: 0

For EGTRRA plans, if the "Maybe SH" option is Yes, the following text will appear within the Annual Notice:

The plan may be amended during the plan year to reduce or suspend safe harbor nonelective contributions. The reduction or suspension will not apply until at least 30 days after you are provided notice of the reduction or suspension.

- **Do With Selected.** This feature allows users to view/update plans selected.
 - Show Selected. Displays the plans that were checked.
 - Change a Column. Allows admin users to update the Maybe, Neg Elect Date, Def Elect (Admin Proc), Def Elect Method, Def Elect Other, Inv Elect Method, Inv Other, QDIA, QDIA Default Invest, QDIA Self Direct, QDIA Fund Info and/or Maybe SH columns. First, the user will need to select the applicable plans and then click on **Do with selected.**



Template Menu. You may make changes to the Default template grid, or create a new template grid. This menu has three options (Create New Template, Show/Hide Template Tray and Delete Template) described in detail below:

- Create New Template (create a template, which will replicate the Default and select it from the Template drop-down list)
 - Use only letters, numbers, spaces and dashes to create templates.
 - Once created, you will need to select that template from the Template drop-down list before you can edit it under the 'Show/Hide Template Tray' option described below (or delete it).

- Show/Hide Template Tray (customize the Default or any template created). First ensure the template you want to work on is selected and then click to 'Show/Hide Template Tray'.
 - Add column headers by clicking on the header in the tray. Note that headers will be added in the default order.
 - Remove column headers by dragging them into the tray.

Batch Annual Notice

Batch Name: SampleBatch
 Batch ID: 101961
 Batch Year: 2014

Grid Edit Check Status:

[Return](#)

<input type="checkbox"/>	Plan Name	Checklist	Resp
<input type="checkbox"/>	GOOGLE INC. 401(K) SAVINGS PLAN	VolSub	Yes
<input type="checkbox"/>	IRS 403b Limited	403B	Yes
<input type="checkbox"/>	Little General Store, Inc. 401(K) Plan	VolSub	Yes
<input type="checkbox"/>	Microsoft Corporation Savings Plus 401(K) Plan	ESOP	Yes
<input type="checkbox"/>	New Glarus Brewing Company 401k Plan	VolSub	Yes
<input type="checkbox"/>	Nordstrom 401k Plan & Profit Sharing	VolSub	Yes
<input type="checkbox"/>	Physical Medicine & Rehabilitation, PLLC 401(K) Profit S	VolSub	Yes
<input type="checkbox"/>	Qualcomm Incorporated Employee Savings And Retir	VolSub	Yes
<input type="checkbox"/>	Red Dog Oil Tools, Inc. 401(K) P/S Plan	VolSub	Yes

Version

Do with selected: **Template Menu**

- Template: Default
- Create New Template
- Show/Hide Template Tray
- Delete Template

Batch Annual Notice

Batch Name: SampleBatch
 Batch ID: 101961
 Batch Year: 2014

Grid Edit Check Status:

[Return](#)

<input type="checkbox"/>	Plan Name	Checklist	Version	Resp
--------------------------	-----------	-----------	---------	------

- Delete Template
 - Deletes the template that is currently displayed on the **Template** button.
 - Pop-Up window appears to confirm you are sure you would like to delete the template.
- Export current view to CSV
 - Export a CSV file for the template you have selected.

Batch Carryover Amendment

The Batch Carryover Amendment allows users to quickly create the Carryover/Election Amendment for Cafeteria and Premium Only Plans (POP). Once the batch is created, users are able to print the Amendment (includes the Consent, SMM and Amendment), along with a Cover Letter, in One File for all plans, or in a Zip folder.

Home > Batch Carryover Amendment Batches

Review/Edit Printing Parameters

Email options are edited on the batch settings page.

Create New Batch | Work Flow | Download History

Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	
FirstSample	104527	2		11/04/2014	11/04/2014	11/04/2014	11/04/2014	-	
CarryoverSample	104530	2		11/05/2014	11/04/2014	-	-	-	
SecondSample	104537	2		11/04/2014	11/04/2014	11/04/2014	11/04/2014	11/05/2014	
E-SignSample	104549	2		11/05/2014	11/05/2014	11/05/2014	11/05/2014	-	
test2	104551	2		-	-	-	-	-	

Work Flow. By clicking on "Work Flow", the user will see a list of all of the Welfare plans set up in the system under a Cafeteria or POP checklist for the Plan Documents. Users will also be able to view which plans have "Yes" for "Resp" for the Plan Documents (plans marked "No" under "Resp" will not be available to add to the batch).

Create New Batch. Click on "Create New Batch" to start the process of completing a Batch Carryover Amendment. The sample image above shows a sample batch already added. Note that you can always delete a batch up until the batch is marked as 'completed'. Once a batch has been printed and the Error status is 'OK' () , you will have the option to mark the batch as 'Complete' from this page. The symbol means there are errors either with one or more of the document checklist(s) or with the batch grid. Click on the to see the checklist and/or grid errors.

Batch Options:

Once plans in the batch have been added, numerous options will appear on the "Batch Options" screen. Each will be discussed in the order they appear below.

Home > Batch Carryover Amendment Batches > SampleTest

Batch Options

Name: SampleTest [Edit Name](#)

Batch Type: Carryover/Election Amendment

Printed: - **Posted:** -
Downloaded: - **Invited:** -

[Work With Batch Grid - Edit Check Status:](#) ⚠️
[Run Checklist Edit Checks](#)

Email Template: Carryover Automatic Delivery [Edit](#)

Display email template in the portal?

Print All Plans in One File - MS Word (.rtf)
[Generate Document\(s\)](#)

Print Each Plan in Separate File
Document Format: Word (.rtf) PDF
[Generate Document\(s\)](#)

Include:

Cover Letter
 Carryover/Election Amendment

Delivery Method: Customer Print & Mail

Customer Print & Mail
[Print Address Labels](#) (.csv)

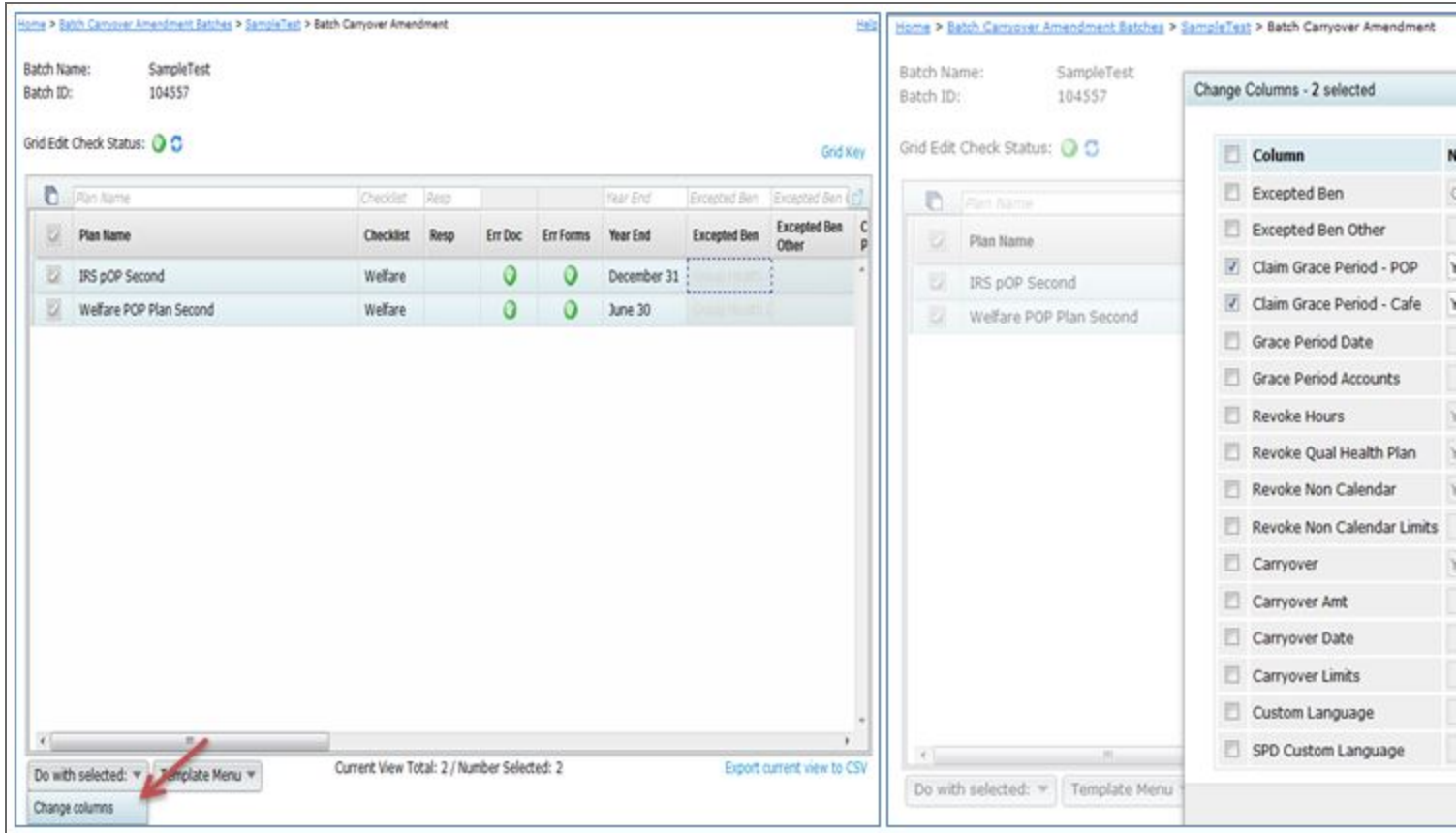
2 Plans [Add Plans](#) [Export Plan List](#) [Download History](#)

	Plan Name	Year End	Checklist	PT	Cust Lang	SPD Cust Lang	Doc Admin
	IRS pOP Second	December 31	Welfare	POP			
	Welfare POP Plan Second	June 30	Welfare	POP			

Edit Name. The user may click on this link to re-name the batch.

Work with Batch Grid. Instead of going directly to a plan's "Edit Plan" screen to work on the checklist, the user can go into the "Work with Batch Grid" to update some of the checklist items. The user is able to directly change checklist items within the grid, which will update the Online Checklist found on the Edit Plan screen. For more details on which columns may be edited, view the "[Batch Grid Data Entry Key](#)".

Do With Selected. This feature allows you to "Change columns" for plans selected.



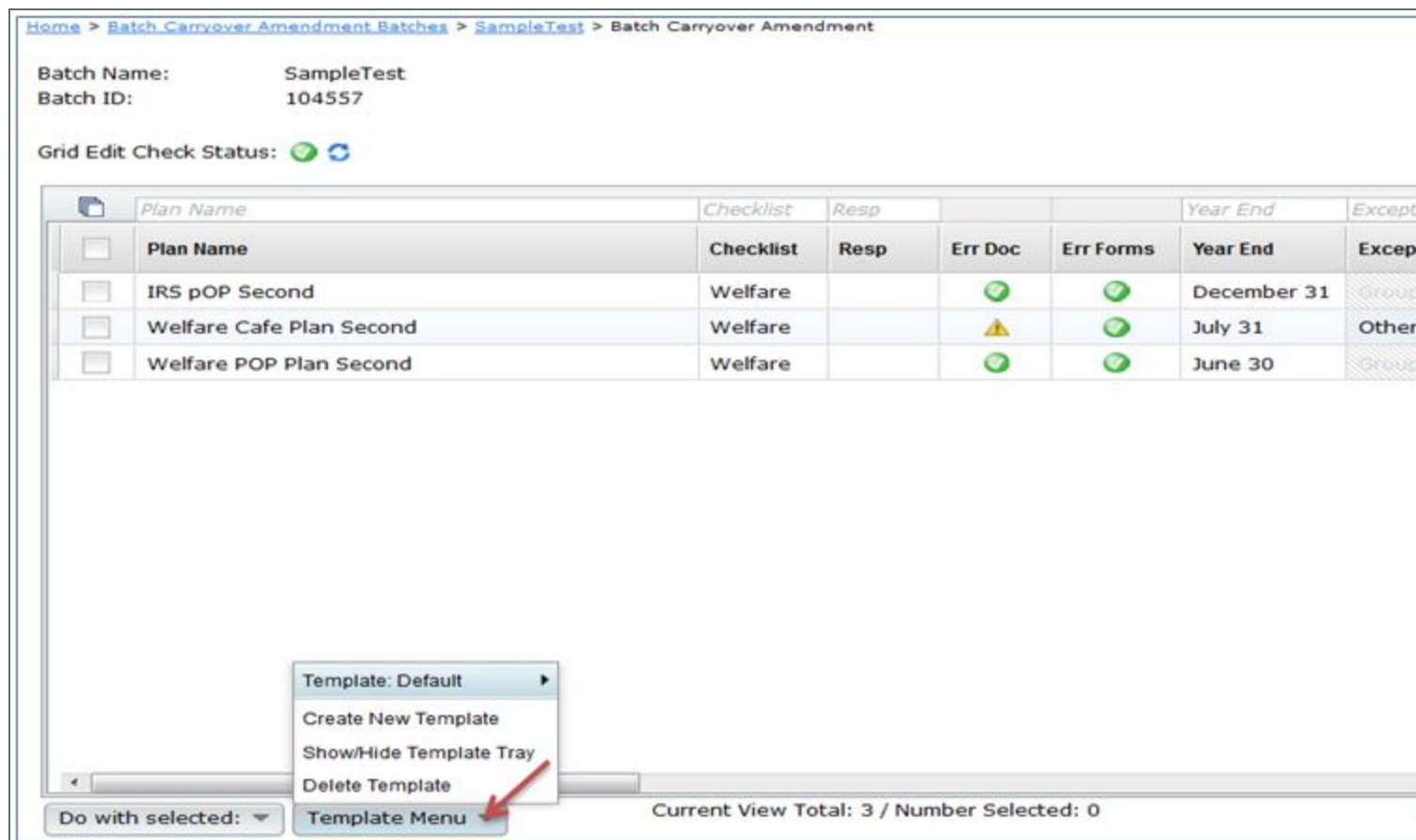
- Change columns. Allows admin users to update the Expected Ben, Expected Ben Other, Claim Grace Period - POP, Claim Grace Period - Cafe, Grace Period Date, Grace Period Accounts, Revoke Hours, Revoke Qual Health Plan, Revoke Non Calendar, Revoke Non Calendar Limits, Carryover, Carryover Amt, Carryover Date, Carryover Limits, Custom Language and Custom Language SPD columns by checking the box for the column to un-gray the fields. The user will find more details on what each column represents by going to the "[Batch Grid Data Entry Key](#)" with the "Grid Key".

Default Template: Master and Designated Admin user will start off with a Default Template and have the option to create a new template for all users to view. For more details about the Templates, view Template Menu below.

The grid options that appear for all users will depend upon what template is selected by the admin user (s). If users do not see one of the columns described under "Change columns", the admin user has likely

selected a different template for its users. You may click on "[Batch Grid Data Entry Key](#)" for more details.

Template Menu. Master/Designated Admin users may make changes to the Default Template grid, or create a new template grid. This menu has three options (Create New Template, Show/Hide Template Tray and Delete Template) described in detail below:



The screenshot shows a web application interface for managing templates. At the top, there is a breadcrumb trail: Home > Batch Carryover Amendment Batches > SampleTest > Batch Carryover Amendment. Below this, the 'Batch Name' is 'SampleTest' and the 'Batch ID' is '104557'. A 'Grid Edit Check Status' is shown with a green checkmark and a refresh icon. The main part of the interface is a table with the following columns: Plan Name, Checklist, Resp, Err Doc, Err Forms, Year End, and Except. The table contains three rows of data:

Plan Name	Checklist	Resp	Err Doc	Err Forms	Year End	Except
IRS pOP Second	Welfare		✓	✓	December 31	Group
Welfare Cafe Plan Second	Welfare		⚠	✓	July 31	Other
Welfare POP Plan Second	Welfare		✓	✓	June 30	Group

At the bottom of the interface, there is a 'Do with selected:' dropdown menu. A red arrow points to the 'Template Menu' option, which has opened a dropdown menu with the following items: 'Template: Default' (with a right-pointing arrow), 'Create New Template', 'Show/Hide Template Tray', 'Delete Template', and 'Template Menu' (with a downward-pointing arrow).

Create New Template. Create a template, which will replicate the Default and select it from the Template drop-down list. Use only letters, numbers, spaces and dashes to create templates. Once created, you will need to select the new template from the Template drop-down list before you can edit it under the "Show/Hide Template Tray" option described below (or delete it).

Show/Hide Template Tray. Customize the Default or any template created. First, the user should ensure the template is selected and then select the "Show/Hide Template Tray".

Add column headers by clicking on the header in the tray. Note that headers will be added in the default order. Remove column headers by dragging them into the tray.

Home > Batch Carryover Amendment Batches > SampleTest > Batch Carryover Amendment

Batch Name: SampleTest
Batch ID: 104557

Grid Edit Check Status:

Grid Key

Plan Name	Err Doc	Err Forms	Year End	Excepted Ben	Excepted Ben Other	Claim Grace Period - POP	Claim Grace Period - C
<input type="checkbox"/> Plan Name							
<input type="checkbox"/> IRS pOP Second			December 31	Group Health		Yes	
<input type="checkbox"/> Welfare Cafe Plan Second			July 31	Other	submit the reir		Yes - I
<input type="checkbox"/> Welfare POP Plan Second			June 30	Group Health		Yes	

Tray:

Buttons: Resp Checklist

Do with selected: Template Menu Current View Total: 3 / Number Selected: 0 [Export current view to CSV](#)

Home > Batch Carryover Amendment Batches > SampleTest > Batch Carryover Amendment

Batch Name: SampleTest
Batch ID: 104557

Grid Edit Check Status:

Grid Key

Plan Name	Checklist	Err Doc	Err Forms	Year End	Excepted Ben	Excepted Ben Other	Claim Grace Period - POP
<input type="checkbox"/> Plan Name							
<input type="checkbox"/> IRS pOP Second	Welfare			December 31	Group Health		Yes
<input type="checkbox"/> Welfare Cafe Plan Second	Welfare			July 31	Other	submit the reir	
<input type="checkbox"/> Welfare POP Plan Second	Welfare			June 30	Group Health		Yes

Tray:

Buttons: Resp

Do with selected: Template Menu Current View Total: 3 / Number Selected: 0 [Export current view to CSV](#)

Delete Template. Delete the template that is currently displayed on the "Template" button. Pop-Up window appears to confirm you are sure you would like to delete the template.

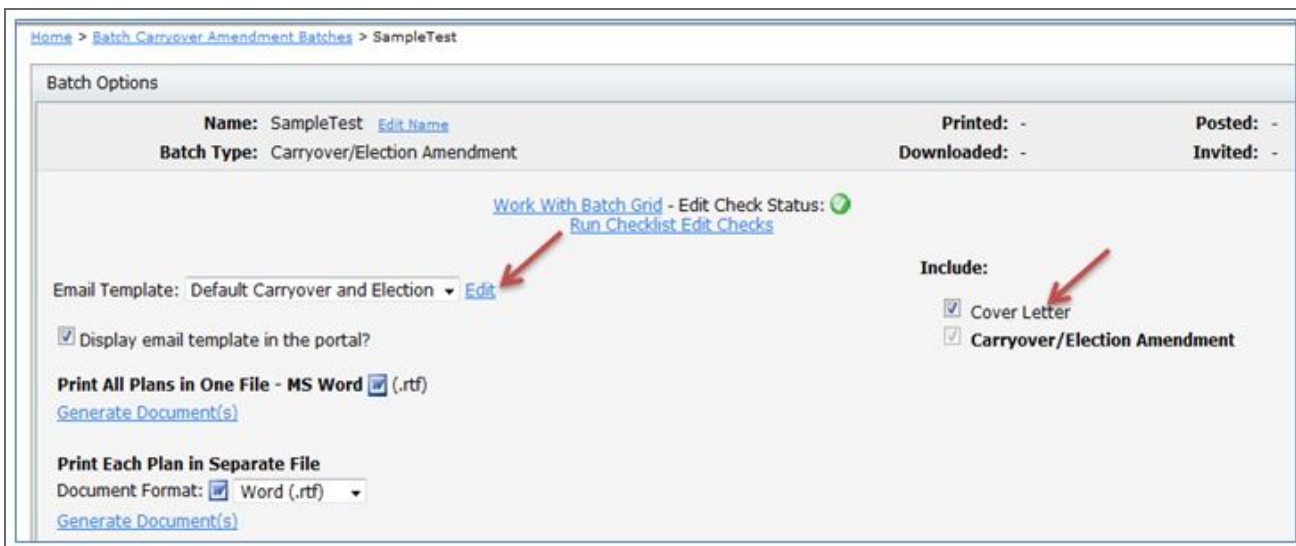
Export current view to CSV. Export a CSV file for the template you have selected.

Include. The Amendment is auto-selected beneath 'Include' on the right-hand side of the screen. The user is also able to select the Cover Letter to print with the Amendment.

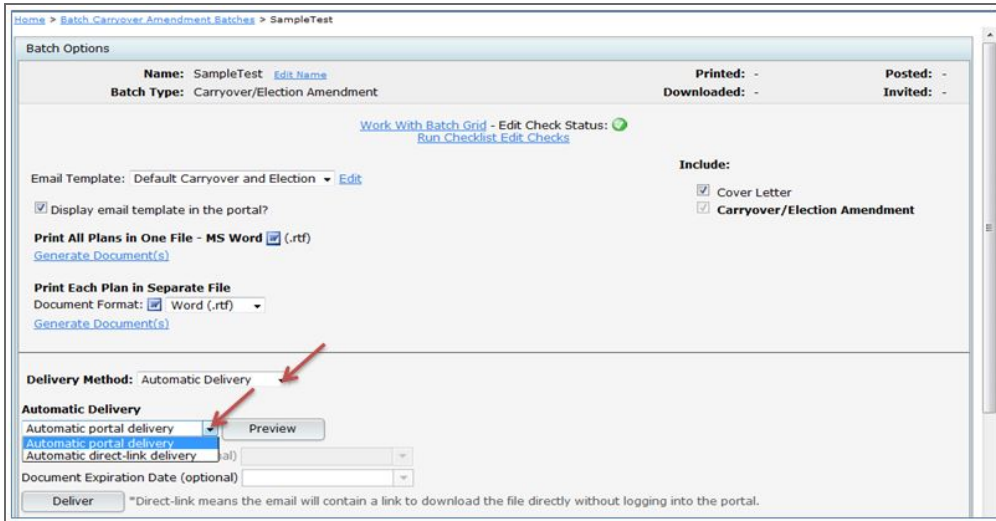
Print All Plans in One File - MS Word. After the user has the documents selected to print, the user would click on "Generate Selected Document(s)", which will generate a single file containing the Amendment for each plan within the batch. The "Printed" date will update in the upper right-hand corner once you click "OK" when generating the files.

Print Each Plan in Separate File. After the user has the documents selected to print, the user would click on "Generate Selected Document(s)", which will create a zip folder containing the amendment for each plan within the batch. The "Printed" date will update in the upper right-hand corner once you click "OK" when generating the files.

For users that are familiar with *ftwPortal Pro*, the Cover Letter is the same as the Email Template. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide. Annual Document subscribers and *ftwPortal Pro* customers can follow the same steps to set up the Cover Letter.



Delivery Method. Users that are a *ftwPortal* Pro customer have the option to publish the Amendment to the portal, or provide a Direct-Link to the Amendment so that users can auto-generate the Amendment without logging into the portal. First, the user will need to select Automatic Delivery from the drop-down list.



Automatic Delivery:




Automatic portal delivery. Select this option to send a link to portal users to log into the portal to view the Amendment.

Automatic direct link delivery. Select this option to send a direct-link to portal users to easily download a copy of the Amendment without having to log into the portal.

Note. Users should be sure to click on "Preview" to ensure that portal users are assigned to the plans, and to verify that the correct placeholders are used within the email templates before sending the invites to your clients. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide.

Batch Welfare SBC

The Welfare SBC email text is currently only used for portal subscribers. The Welfare SBC batch currently does not allow printing a cover letter. The cover letter language can be used as a model if it is helpful but the system will not generate cover letters at this time. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide.

Create New Batch. On the 'Show Batches' page, under the 'Current Batches' box, click on the button "Create New Batch". Enter a name for the batch and click "Create New Batch". You will then be taken to a screen below where you can select the plans to include in your batch. Note that you can always delete a batch and/or add/remove plans to a batch up until the batch is marked as 'completed'. Once a batch has been printed and the Error status is 'OK' (), you will have the option to mark the batch as 'Complete' from this page. The symbol  means there are errors either with one or more of the document checklist(s) or with the batch grid. Click on the  to see the checklist and/or grid errors.


Edit Batch

[Return to Previous Page](#)

Batch Options

Name: SampleSBC [Edit Name](#) **Printed:** - **Posted:** -
Batch Type: Welfare SBC **Received:** - **Invited:** -

Email Template: [Edit](#) Display email template in the portal?

[Work With Batch Grid](#) - Edit Check Status: 

Print Each Plan in Separate File - MS Word (.rtf) **Include:**

[Generate Selected Document\(s\)](#)

- SBC
- SPD *
- Medical Reimbursement Form *
- WHCRA Annual Notice *
- Highlights *
- CHIPRA Annual Notice *










* For Portal delivery only

Delivery Method:

Customer Print & Mail

[Print Address Labels](#) (.csv)

3 Plans [Add Plans](#) [Export Plan List](#) [Download History](#)

Plan Name	Plan Type	Resp	Err Doc	Err Forms	Year End	Company Name
 123 Sample Welfare Plan	HRA	Yes			December 31	123 Sample Company
 Caribou Coffee Company, Inc. Group Dental Plan	HRA	Yes				Caribou Coffee Company, Inc.
 Fox Agency, Inc. Cafe Plan	Cafe	Yes			December 31	Fox Agency, Inc.



Add Plans. Once directed to the "Edit Batch" screen, click on "Add Plans", where a list of plans that are not currently in another batch will display. You can check the box on the left-hand side of 'Plan Name' to select/unselect all the plans listed, or you can check of those plans that you would like in your batch one at a time. When the plans are selected, click on "Add Plans".







Print Notices and Review/Edit Plan Specifications. Once you have plans added to a batch, you can review the plan specifications relevant to the SBC and edit certain plan specifications in batch format. Click on the batch you want to edit and the 'Edit Batch' page will appear (see image above).

Click on 'Work with Grid' and a grid will appear with the plans in the current batch and it will display checklist items relevant to the SBC. If a field is editable, you will see a down arrow for drop-boxes and if you click inside the field and begin typing without errors when you leave the field, you can directly edit that field on the grid (changes will show in corresponding document checklist items). You can see more detail about each column and whether it is editable in the "[Batch Data Entry Grid Key](#)".

Home > [Batch Welfare SBC - 2014 Batches](#) > [test](#) > Welfare SBC Batch Grid

Batch Name: test
 Batch ID: 103103
 Batch Year: 2014

Grid Edit Check Status:  

<input type="checkbox"/>	Plan Name	Plan Type	Resp	Err Doc	Err Forms	Year End	Beg
<input type="checkbox"/>	000 Sample Company HRA	HRA	Yes			June 27	06/1/14
<input type="checkbox"/>	00000000 test HRA	HRA	Yes				1/1/14
<input type="checkbox"/>	Sample Company HRA 2	HRA	Yes				1/1/14

Do with selected: Current View Total: 3 / Number Selected: 0

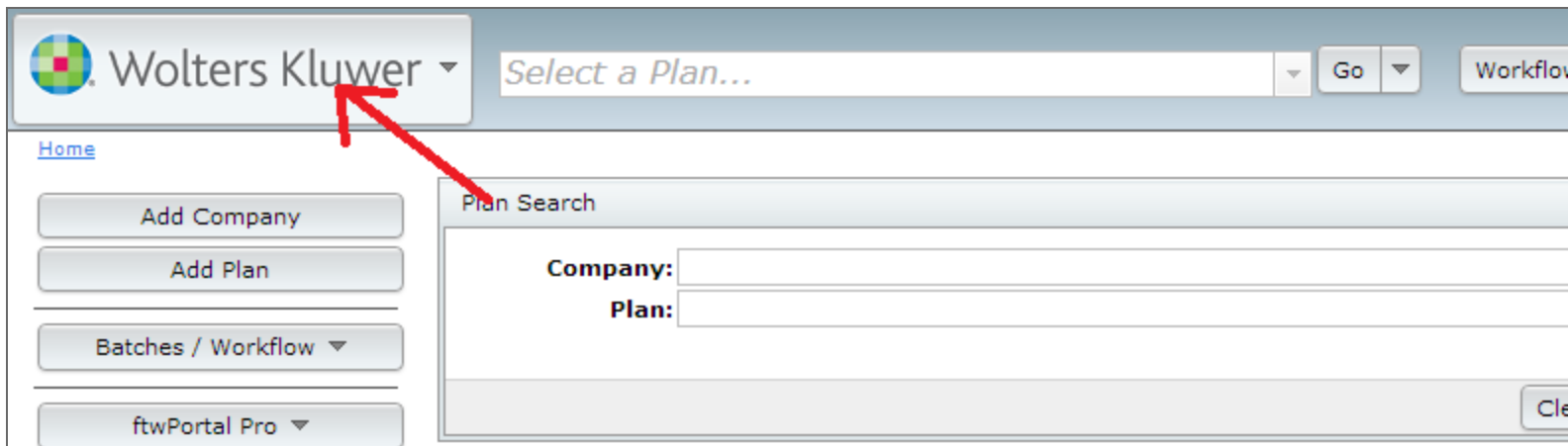
There is only one Print Option on the Batch Menu page for the Batch SBC; 'Print Each Plan in a Separate File - MS Word'. This will only generate the SBC in bold under 'Include'. To view more details on how to post batches to the portal, click [here](#) to be directed to the Portal User Guide.

Custom Edit Checks

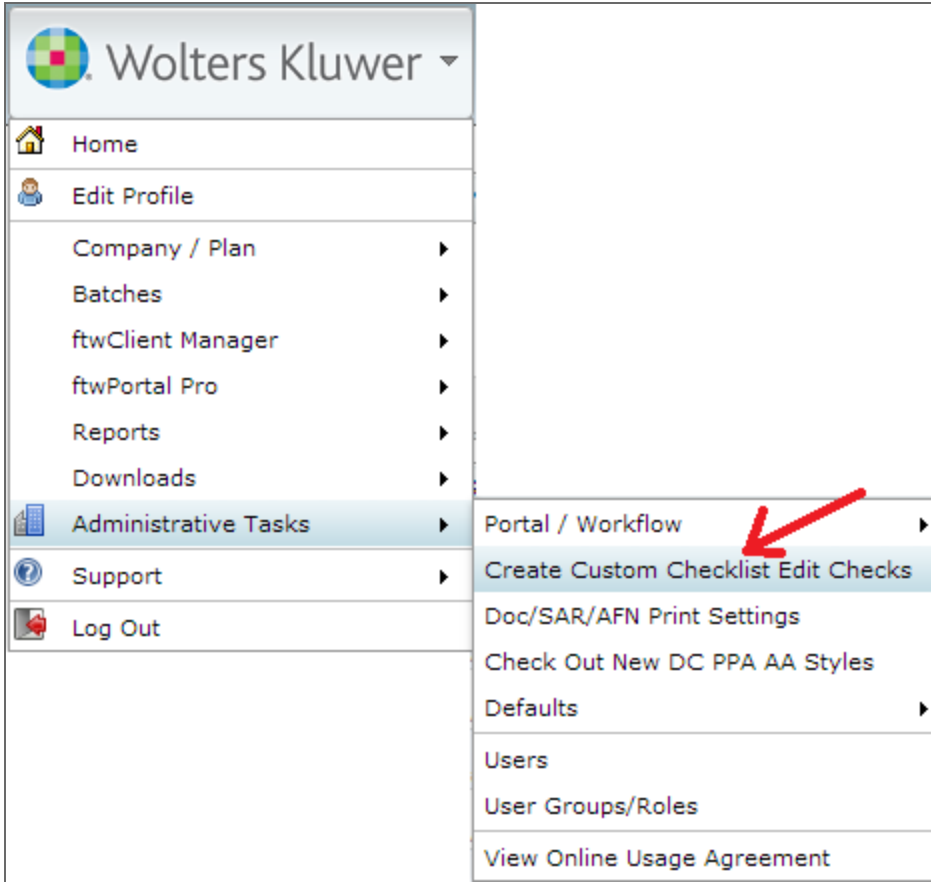
Edit Checks Overview

The document software uses edit checks to help ensure all applicable information is entered in the checklist correctly and to help catch errors. In addition to the edit checks ftwilliam.com has embedded in the software, you can also disable the ftwilliam.com edit checks and/or create additional new edit checks. Please note that only users with administrative rights can use the custom edit checks feature.

To access custom edit checks, click the Wolters Kluwer logo at the top left of the screen.



A drop down list of options will appear under the Wolters Kluwer logo, select Administrative Tasks from the list, then select **Create Custom Checklist Edit Checks**.



Custom Edit Check Dashboard

Clicking **Create Custom Checklist Edit Checks** will take you to the Custom Edit Check Dashboard. Here you can view all system and custom edit checks. To help you view only the edit checks applicable your current needs, we have added filtering and sorting options.

- Above the column header is a place to enter criteria to filter results. Filters will reduce the listing to only those edit checks meeting the specified criteria. To remove a filter, click the 'x' next to the filter applied.
- The columns can be sorted by clicking on the header of the column. Clicking once will sort in either alphabetical or numeric order, depending on the data. Clicking twice on a header will sort in the opposite order.
- To view all columns, you can maximize the grid by clicking the blue page icon in the upper-right corner of the grid.

Custom Edit Check Dashboard

Error ID	Document Type	Affected Checklists	Section	Go to Field	Display Message	Enabled
FW-1001	403B, Defined Ber	403B 4B, 403B 4BL, De	A	PlanNumber	Please enter a three digit Plan number in !@!PlanNumber::LineNum	Yes
FW-1002	403B, Defined Ber	403B 4B, 403B 4BL, De	A	PlanLine1	Please enter the Plan name in !@!PlanLine1::LineNum	Yes
FW-1003	403B, Defined Ber	403B 4B, 403B 4BL, De	A	OrigEffectDate	Please enter the Plan's original effective date in !@!OrigEffectDate::LineNum using full text (e.g., January 1, 1976).	Yes
FW-1004	403B, Defined Ber	403B 4B, 403B 4BL, De	A	EffectiveDate	If !@!AmendRestate::LineNum is 'Yes' (amended and restated plan), please enter the effective date of Plan restatement in !@!EffectiveDate::LineNum	Yes
FW-1005	403B, Defined Cor	403B 4B, 403B 4BL, Pro	A	PlanYearEnd	Please enter the Plan year end in !@!PlanYearEnd::LineNum using full text (e.g., December 31).	Yes
FW-1006	ESOP, Defined Cor	ESOP 4K, ProtoNS 4K, F	A	ElectiveDeferral401KRegEffDate	If Elective Deferrals allowed, please enter the effective date of the final 401(k)-(m) regulations in A.10b.	Yes
FW-1007	ESOP, Defined Cor	ESOP 4K, ProtoNS 4K, F	A	RothElectDefEffDate	If Roth Elective Deferrals allowed, please enter the effective date in A.10d.	Yes
FW-1008	ESOP, Defined Cor	ESOP 4K, ProtoNS 4K, F	A	Matching	A.12 (Matching Contributions) may not be 'No' if C.1 provides for a safe harbor Matching Contribution.	Yes
FW-1009	ESOP	ESOP 4K	A	AfterTax	If A.10 (Elective Deferrals) is 'No', A.11 (Voluntary Contributions) may not be 'Yes'. If A.10 (Elective Deferrals) is 'No',	Yes

Current View Total: 1338

The edit check grid columns display:

- Error ID: This is a value used to identify the edit check. System generated Error IDs will be in the format of FW-####. Custom edit check Error IDs will be in the format defined by you. This can be any combination of numbers or alpha characters.
- Document Type: All document types that the edit check applies to will be listed here.

- Affected Checklists: All checklists that are affected by the edit check will be displayed in this column. Below are a list of possible checklists for each document type:
 - 403(b)
 - Section 403(b) Plan (Full Scope) – 403B 4B
 - Section 403(b) Plan (Limited Scope) – 403B 4BL
 - Defined Benefit
 - Cash Balance Plan (Proto Format) - DefBen CB
 - Cash Balance Plan (ID Format) - DefBen CBID
 - Defined Benefit Pension Plan (Proto Format) – DefBen DB
 - Defined Benefit Pension Plan (ID Format) – DefBen DBID
 - Defined Contribution
 - Prototype Non-Standardized 401(k) - ProtoNS 4K
 - Prototype Non-Standardized Money Purchase - ProtoNS MP
 - Prototype Non-Standardized Target Benefit - ProtoNS TG
 - Prototype Standardized 401(k) - ProtoSTD 4K
 - Prototype Standardized Money Purchase - ProtoSTD MP
 - Volume Submitter: Volume Submitter 401(k) – VolSub 4K
 - Volume Submitter Profit Sharing – VolSub PS
 - Volume Submitter Money Purchase – VolSub MP
 - Volume Submitter 401(k) (Prototype Format) – VolSub 4KPT
 - ESOP
 - Employee Stock Ownership Plan - ESOP PS
 - Employee Stock Ownership Plan 401(k) - ESOP 4K
 - MISC
 - Misc (1099, 5500 or Admin Software) - Misc WL
 - NonQualified
 - Section 409A Plan - NonQual 409A
 - Section 457(b) Plan - NonQual 457B
 - TIAA
 - Governmental 457(b) Plan - TIAA 457BGOVT
 - Tax-Exempt 457(b) Plan - TIAA 457BTEND

- Welfare
 - Cafeteria Plan - Welfare Cafe
 - Health Reimbursement Arrangement - Welfare HRA
 - Premium Only Plan - Welfare POP
 - Trans Spend Acct - Welfare 132
 - Wrap Plan - Welfare WRAP
- Section: This column displays the section of the document that the edit check applies to.
- Go to Field: When the edit check is triggered, you will be directed to the field listed in this column.
- Display Message: This is the message that you will see when the edit check is triggered.
- Enabled: Will show "Yes" if the edit check is active or "No" if the edit check has been disabled.
- Options - Drop-down arrow will display options depending upon the edit check type:
 - All edit checks: **Disable/Enable** button - Click the **Disable/Enable** button to Disable an active edit check or Enable a disabled edit check. Note that the button needs to be pressed, not the drop-down box, to enable or disable the edit check.
 - Custom Edit checks: Delete - Pressing the drop-down arrow will give the option to edit or delete a custom edit check.
 - Custom Edit checks: Edit – If Edit is selected, you will be directed to the Custom Edit Check Builder, where you have the option to change the edit check criteria or cancel to leave as is.
- Error Lvl
 - Warnings will flag a field as yellow and will display the warning message but allow you to still continue through document submission process.
 - An error will prevent you from completing the document due to the condition that is set.
- System: This column will display "Yes" if the edit check is a system (ftwilliam.com) edit check and "No" if the edit check is a custom edit check.

Export Current view to .csv – Pressing this link will download all edit checks. If filters were applied, only the edit checks with which the filters applied will be displayed in the spreadsheet.

Custom Edit Checks

Clicking the **Create New Edit Check** button will take you to the Custom Edit Check Builder screen to create a completely customized edit check.

Custom Edit Check Builder

Set Edit Check Criteria

Choose Document Classification:

Choose all plan types affected:

Please select an option above.

Create Edit Check Create Parameters

Filter by Section:

Apply to Group:

Field Name: Condition: Value: Please Select a Field Name

Display Edit Check Display Parameters

Please add a condition above

Set Edit Check Error Criteria

Section: Go to Field: Error Type: Custom Error ID:

Display Message:

These are the steps you will take to create a custom edit check:

1. Choose Document Classification – Use the drop down box to select a document type. Only one document type can be selected per custom edit check.

Set Edit Check Criteria

Choose Document Classification:

- 403B
- Defined Benefit
- Defined Contribution
- ESOP
- Misc
- Non Qualified
- TIAA
- Welfare

2. Choose all plan types affected – Can select a single plan type or multiple plan types. Select multiple plan types by clicking on the plan type and pressing the ctrl button on your keyboard at the same time. If selecting all plan types, use the Select All button at under the possible options box. Click **Confirm** to move on to the next step.

Choose all plan types affected:

Possible Options		Selected Options
Prototype Non-Standardized 401(k) - [ProtoNS 4K] Prototype Non-Standardized Money Purchase - [ProtoNS MP] Prototype Non-Standardized Target Benefit - [ProtoNS TG] Prototype Standardized 401(k) - [ProtoSTD 4K] Prototype Standardized Money Purchase - [ProtoSTD MP] Volume Submitter 401(k) - [VolSub 4K] Volume Submitter 401(k) (Prototype Format) - [VolSub 4KPT] Volume Submitter Money Purchase - [VolSub MP] Volume Submitter Profit Sharing - [VolSub PS]	>> <<	Volume Submitter 401(k) (Prototype Form
<input type="button" value="Select All"/> <input type="button" value="Deselect All"/>	<input type="button" value="Confirm"/>	<input type="button" value="Select All"/> <input type="button" value="Deselect All"/>

3. Create Edit Check Parameters – Here is where you will create the edit check.

Create Edit Check Parameters

Filter by Section:

Apply to Group:

Field Name: Condition: Value:

4.

- a. Filter by Section – Use this drop down box to select the section of the document that the edit check will apply to. This will reduce the fields you are able to select in **Field Name** to those in the selected section.
- b. Apply to Group - There are up to three different groups available. If a simple edit check is being created with only one field and one value, the group number will be irrelevant. The grouping will determine the "and/or" logic that is applied to the criteria of the edit check that involves multiple fields or values. This will be explained in greater detail below.
- c. Field Name – Use the drop-down box to select the name of the field that the edit check will look at (the available fields will be filtered depending upon the plan types selected - only fields that all types share will be available)
- d. Condition – Use the drop-down box to select the condition. Possible options include **Less than, Equals, Not equal, Greater than, Less than, Greater or equal to, Less or equal to**.
- e. Value – Depending on the field name selected, you will either select an option (or multiple options) from a specified list or enter the value manually.
 - i. If selecting an option from a list
 1. You can select one option by clicking on the given value, then by pressing **Add Line**.
 2. You can select multiple options by simultaneously holding the ctrl button on the keyboard and selecting the multiple options in the list. Note that by selecting multiple options in a list in this manner, the multiple options will have "or" relationship logic.
 3. Example: In the screenshot below, the **Value** is selected from a predetermined list. As such, no "ADD" button will be found, only the **Add Line** button.

The screenshot shows a dialog box titled "Create Edit Check Parameters". It contains several input fields and a button. The "Filter by Section" field is a dropdown menu with "C" selected. The "Apply to Group" field is a dropdown menu with "1" selected. The "Field Name" field is a dropdown menu with "ADPACPSafe" selected. The "Condition" field is a dropdown menu that is currently empty. The "Value" field is a dropdown menu that is currently empty. At the bottom left of the dialog box, there is a button labeled "Add Line".

If entering a value manually - The value entered can be numeric, alpha character or special character.

The screenshot shows a dialog box titled "Create Edit Check Parameters". It contains the following fields and controls:

- Filter by Section:
- Apply to Group:
- Field Name:
- Condition:
- Value:
- Buttons: "Add Line"

1. You must enter a value, then press the **ADD** button
2. Pressing the **ADD** button displays the amount entered in a box below the "Value" field.

This screenshot is identical to the previous one, but it shows a small input box below the "Value" field containing the number "1000", indicating that the value has been entered and is now visible in a separate box.

3. Now you have the option to either enter another value to add to the edit check and press **ADD** again; or if done, you may press the **Add Line** button to add the edit check to the edit check parameters.
4. Let's assume you are done and presses **Add Line**. Now the edit check will appear in the Display Edit Check Parameters:

The screenshot shows a dialog box titled "Display Edit Check Parameters". It displays the following information:

- IF everything in Group 1 is True:**
- A table with three columns: Field Name, Condition, and Value.

EligHoursofService	Greater than	1000
--------------------	--------------	------

Display Edit Check Parameters		
IF everything in Group 1 is True:		
EligHoursofService	Greater than	1000

- f. Press **ADD** – The **ADD** button will appear if the value in the value field was required to be manually entered.
- i. You will see an **ADD** button to the right of the value box. This **ADD** button should be pressed prior to pressing the **Add Line** button.
 - ii. To create an "And" relationship between values in a group, complete the field name, condition and value, press **ADD**, then press **Add Line**
 - iii. It is possible to create an "or" relationship between values in a group, as long as the field name does not change. To create an "or" relationship between values in the same group, complete the field name, condition and value, then press **ADD**. Then enter new data in the Value box and press **ADD** again. Each value that is added will have an "or" relationship. Press **Add Line** when done.
- g. Press **Add Line**
1. After adding all edit checks within a group, press **Add Line**.
 2. To add a blank "Value" for a field that requires manually entered data, press **Add Line** without pressing **ADD** first.
5. Display Edit Check Parameters – After pressing **Add Line** the edit check criteria will be added to 'Display Edit Check Parameters'. If more than one line has been added, the lines will have either an "and" or an "or" relationship, based on the grouping and method of adding, as described above. Below is a review of the different logic options for the custom edit check.

- a. Parameters of different groups have "or" logic.

Display Edit Check Parameters			
IF everything in Group 1 is True:			
ElectiveDeferral		Equals	Yes
OR IF everything in Group 2 is True:			
RothElectDef		Equals	Yes

- b. Different Field Name criteria within the same group have "and" logic.

Display Edit Check Parameters			
IF everything in Group 1 is True:			
PlanNumber		Equals	BLANK
AND PlanLine1		Equals	BLANK

- c. Edit checks with the same Field Name may have "and" or "or" logic, depending on how the data is added. Example of "or" logic for same field name within same group: If you wanted to check a field for a '001' or a '002', you could set the first edit check to group 1, select the Field Name, set the Condition and enter a '001' the Value field, then press **ADD**. Then you would enter a '002' in the Value field and again

press **Add**. Lastly, press **Add line**.

Create Edit Check Parameters

Filter by Section:

Apply to Group:

Field Name: Condition: Value:

001 OR
002

Display Edit Check Parameters

IF everything in Group 1 is True:

PlanNumber	Not equals	001
	OR Not equals	002

d. Add a **BLANK** field (as shown below) by entering nothing in the "Value" field and pressing **Add Line**.

Display Edit Check Parameters

IF everything in Group 1 is True:

PlanNumber	Equals	BLANK
------------	--------	-------

6. Set Edit Check Error Criteria

Set Edit Check Error Criteria

Section: Go to Field: Error Type: Custom Error :

Display Message:

2. Section: Enter the section that the edit check applies to
3. Go to Field: Enter the Field in which you should be directed to when the error or warning message is applicable.

4. Error Type: Designate whether the edit check should be classified as a warning or an error.
 1. Warning – Fields that do not pass warning edit checks will be highlighted in yellow.
 2. Error - Fields that do not pass error edit checks will be highlighted in red.
5. Custom Error ID: This field can be used to enter an identification number specific to the edit check.

Users can use numbers, alpha characters or a combination of both. You can duplicate the same error ID or use a unique ID for every edit check.
7. Press **Update Edit Check** to save the edit check and return to the Custom Edit Check Dashboard.

Plan Documents Permissions

Master and Designated Admin users can control each user's permission for each document type: Retirement, Non-Qualified, and Welfare. For each document type, users can permissions to Edit, View only, or None. Master and designated Admin users have additional abilities to revert changes to plan checklists in the Show History screen.

Edit permissions enable the user to modify document checklist options as well as access the document modules.

Plan Checklist - Expand All Applicable / Expand All / Collapse All		Print	Edit
▼ A. General Information		Edit C	
▼ A. General			
1. Plan Number:		<input type="text"/>	
2a. First line of Plan name:		<input type="text" value="Apu's Pension Plan (div A)"/>	
2b. Second line of Plan name:		<input type="text" value="test!"/>	
3a. Original effective date of Plan:		<input type="text"/>	

View only permissions enable the user to see all the document checklist options as well as access the Plan Document module. Users with view only permissions cannot edit the document checklist answers.

Plan Checklist - Expand All Applicable / Expand All / Collapse All		Print	Edit
▼ A. General Information		Edit C	
▼ A. General			
1. Plan Number:		<input type="text"/>	
2a. First line of Plan name:		<input type="text" value="Apu's Pension Plan (div A)"/>	
2b. Second line of Plan name:		<input type="text" value="test!"/>	
3a. Original effective date of Plan:		<input type="text"/>	

Setting a user's permissions to the document module to 'None' will hide the document checklist options, as well as disable their ability to access the Plan Document module.

Company:	My test company's test name	ID:	test things
Plan:	Test DB Proto Plan	ID:	
Checklist:	Defined Benefit Pension Plan (Proto Format) - EGTRRA		
Details:	EIN: 11-1111111 • PN: ??? • PYE: ???		

Plan Menu




- Show
- Work
- New
- View

Plan Modules

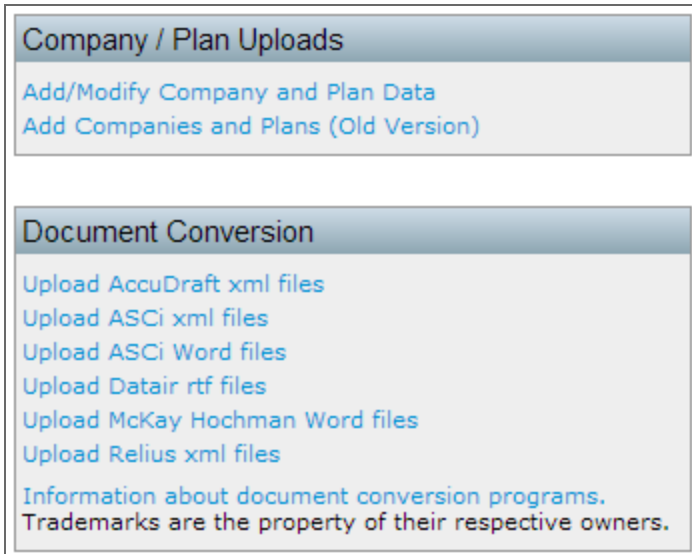
Module	Plan Documents	IRS Forms	5500 Forms	1099-R	Admin	Por
Resp		Yes	2013 Yes	2012 Yes		Yes
Admin						

Upload Plan Data

You can upload a variety of different file types to add or update plans and companies to your ftwilliam.com account. You can use this feature if you are converting your data to ftwilliam.com from another software vendor, or to use a .csv file to import new plan data or update existing plan information. To view the available upload file format options, click the **Wolters Kluwer logo button** in the top left corner, select **Company/Plan**, then click **Upload Plan Data**.

 Wolters Kluwer ▾	
 Home	
 Edit Profile	
Company / Plan ▶	Add Company
Batches ▶	Edit Company
ftwClient Manager ▶	Delete Company
ftwPortal Pro ▶	Add Plan
Reports ▶	Edit Plan
Downloads ▶	Delete Plan
 Administrative Tasks ▶	Plan Search
 Support ▶	Upload Plan Data
 Log Out	

In the Upload Center, you will see a list of available file type uploads from other software vendors. If you have a file from one of the listed vendors, simply click the link for the respective files type to upload, and [see these instructions](#).



If you have plan data stored in a .csv file, you can use the **Add/Modify Company and Plan Data** features to create your own upload. Additionally, by uploading plan data in a .csv you may update existing plans or add new plans.

Upload Menu

The plan upload enables you to upload data for any plan type for existing plans, or to add new plans, as well as add and update company/sponsor information. The Upload Menu features a list of all the available plan and company schemas which list columns you can include in the upload on the right. Click **Download** to see a .csv that lists all of the acceptable column headers/fields along with data types that may be accepted for the listed plan type.

Upload Company and Plan Information

The system will not perform data integrity edits on uploaded data.
Be sure you run all appropriate edit checks after performing the import.

Sample Spreadsheet

This sample spreadsheet will add a company and 2 plans. The sample plans use most of the ZZZ default plan options, only overriding the appropriate elements.

You will need to create a spreadsheet using the appropriate schema located on the right side of this page. Note that you do not need to repeat company data on subsequent lines when adding multiple plans to the same company, as shown in this example. Any column which is not specified, will use the value from the appropriate ZZZ default plan. Any columns which could not be mapped to an appropriate ftwilliam.com column (e.g. incorrect spelling) will be ignored and will be displayed on the confirmation page.

After clicking 'Submit' you will be shown a preview of the changes that will take place after performing the import. For company/plan updates only data changes will appear. For new companies/plans, all accepted data from the CSV will be shown. Click 'Perform Upload' to commit the changes.

Upload file name: No file selected.

Number of rows before column headers:

Select Division:

[Cancel](#)

Description	Check
Company	
Prototype Non-Standardized 401(k)	Proto
Prototype Non-Standardized Money Purchase	Proto
Prototype Non-Standardized Target Benefit	Proto
Prototype Standardized 401(k)	Proto
Prototype Standardized Money Purchase	Proto
Volume Submitter 401(k)	VolS
Volume Submitter Profit Sharing	VolS
Volume Submitter Money Purchase	VolS
Volume Submitter 401(k) (Prototype Format)	VolS
Volume Submitter 401(k) (Prototype Format)	VolS
Defined Benefit Pension Plan (Proto Format)	DefB
Defined Benefit Pension Plan (ID Format)	DefB
Cash Balance Plan (Proto Format)	DefB
Cash Balance Plan (ID Format)	DefB
Employee Stock Ownership Plan	ESOP
Employee Stock Ownership Plan 401(k)	ESOP
Section 403(b) Plan (Full Scope)	403B
Section 403(b) Plan (Limited Scope)	403B
Cafeteria Plan	Welfa
Premium Only Plan	Welfa
Health Reimbursement Arrangement	Welfa
Trans Spend Acct	Welfa
Wrap Plan	Welfa
Section 457(b) Plan	NonQ
Section 409A Plan	NonQ
Tax-Exempt 457(b) Plan	TIAA
Governmental 457(b) Plan	TIAA
Misc (1099, 5500 or Admin Software)	Misc

[Download ftwilliam.com plan IDs](#)

Adding New Companies and Plans

Each file upload requires identifying information for the plan or company you would like to create through the file upload. To add companies or plans to ftwilliam.com, you must include the value CompanyName.

If you are adding a new plan to the system, you must include the following fields to identify the plan's sponsor:

- An existing ftwCustomerID *or* CustomerID *or* CompanyEmployerID (EIN)
- PlanLine1
- Valid Checklist and PlanType combination as listed on the Upload Menu

If you are adding a company and a plan in the same row of a .csv upload, you must include the CompanyName field for the new company you are creating.

Updating Existing Companies and Plans

To update existing company data, you must include at least one of the following fields that match a Company you administer on the ftw system:

- CustomerID—a unique value you may assign to each employer from the
- Employer's EIN
- ftwCustomerID (a unique identifier created by the system – you can get find the IDs by clicking **Download ftwilliam.com plan IDs** from the Upload Company and Plan Information screen)

To update existing plan data, you must include at least one of the following fields for each plan to identify an existing plan on the system:

- PlanID—a unique value you may assign to each employer
- PlanNumber and one of the company identifiers above for the relevant Company
- FTWPlanID (also included for each plan when you click **Download ftwilliam.com plan IDs**)

Uploading a .csv file with blank entries will delete the value for that row, unless it includes identifying information for the plan as mentioned above, or only accepts List Values. See the corresponding schema download to see which fields use list values and what those list values are.

Upload Results Preview

After selecting a file and clicking **Submit**, you will see a summary of the changes that will be made to the plans in your upload file prior to actually making the changes. If you are deleting the value in a row, the result of deleting that row will also be displayed in the upload summary.

Company/Plan Upload x

Upload Results Preview

#	Result	Company	Plan	ftwCustomerID	CustomerID	CompanyName	CompanyEmployerID
2	OK	Update		313467216		Compuglobalhypermegamet -> Interslice	

[Download as CSV](#)

Total rows processed/accepted:	2/1
Total rows with companies to be added:	0
Total rows with companies to be updated:	1
Total rows with plans to be added:	0
Total rows with plans to be updated:	0

Total errors:	1
Total warnings:	0

The columns of the Upload Results Preview will always display the PlanID and CustomerID, ftwCustomerID and CompanyEmployerID (EIN) headings. If those values have changed, you will see the updated value in the column. Otherwise, if it is blank, then no changes will be made to those fields.

The summary in the bottom left describes how many Plans and Companies will be added or updated/modified. In the example above, the upload will only modify one company: no plans or companies will be added, and no plans will be modified.

If all of the information in the Upload Results Preview is accurate, click **Perform Upload** to complete the upload.

Warnings and Errors

You may see errors or warnings after you have uploaded a file from the Upload Menu. If your upload creates a Warning, only the specified value will be omitted from the upload for the specified reason, and any other acceptable data from the file will continue to be processed and uploaded. You may receive a warning because the value you entered is not a valid entry because it is not one of the specified responses in the schema. For example, in a company upload, you cannot set the value 'EntityType' to 'Union' because it is not one of the list vales in the schema. If you see an Error during the upload, there was insufficient identifying information to update or add the record and the entire entry/row on the .csv will be skipped.

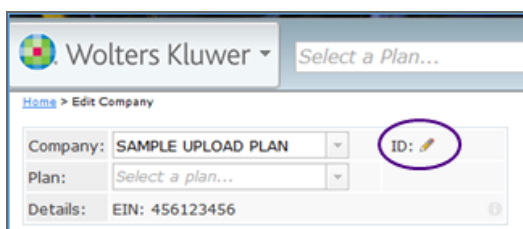
Additionally, some operations are not allowed through file upload to prohibit entry errors. The following are some of the forbidden operations:

- Changing Plan Sponsor for an existing plan
- Changing Plan Type or Checklist Type

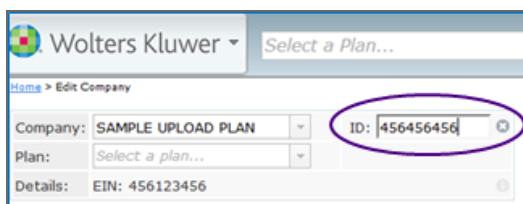
EGTRRA Plans - Simple Upload Procedures

PPA versions of the defined contribution documents are now available on the ftwilliam.com system. There may still be times when you would need to add an EGTRRA version of these documents. This guide walks you through how to set up a new EGTRRA document on the system that is tied to a company but that will be populated with defaults. You will then be able to enter the checklist for the plan and make any provisional changes that are needed.

1. Set or find CustomerID for the company that needs the EGTRRA defined contribution document.
 - a. Go to “Edit Company” screen.
 - b. Next to the company name find the CustomerID. If there is no CustomerID click on the pencil icon and enter in a number that is unique to the company.



The screenshot shows the 'Edit Company' interface. At the top, there is a 'Wolters Kluwer' logo and a 'Select a Plan...' dropdown. Below that, the breadcrumb 'Home > Edit Company' is visible. The main form contains three rows: 'Company: SAMPLE UPLOAD PLAN' with a dropdown arrow and a pencil icon next to the 'ID:' label; 'Plan: Select a plan...' with a dropdown arrow; and 'Details: EIN: 456123456' with a small information icon. The 'ID:' label and the pencil icon are circled in purple.

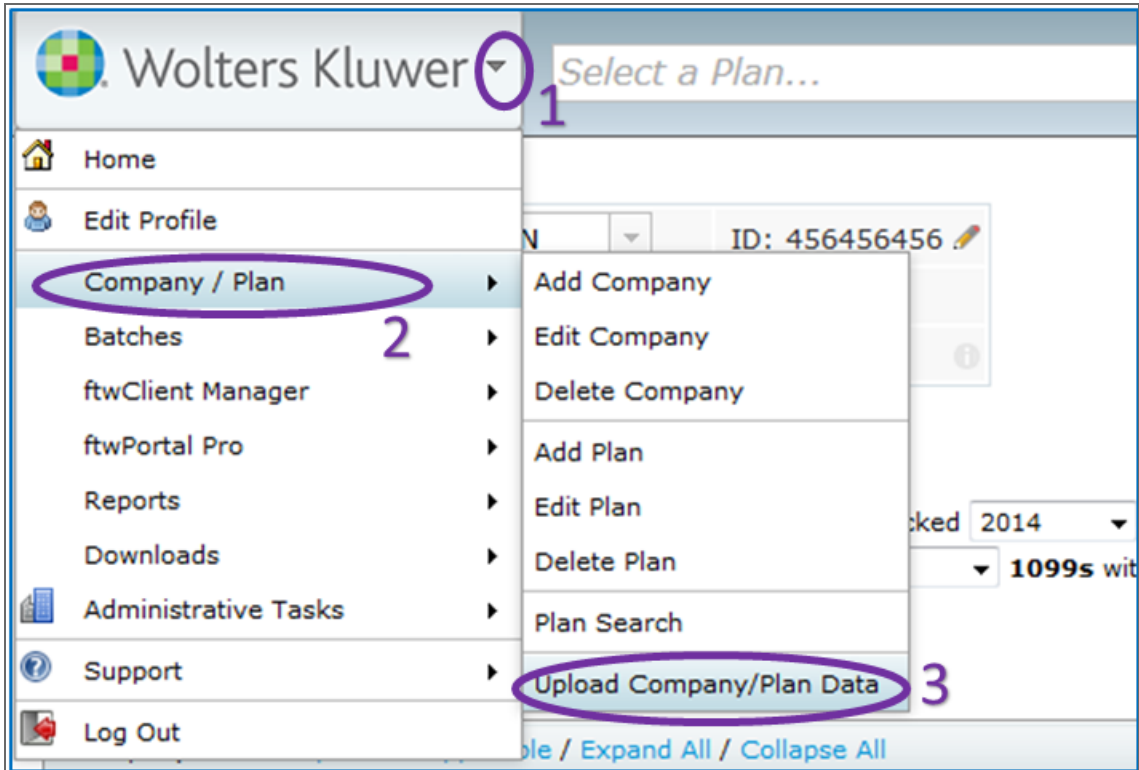


This screenshot is identical to the one above, but the 'ID:' field now contains the number '456456456'. The entire 'ID:' field, including the number and the pencil icon, is circled in purple.

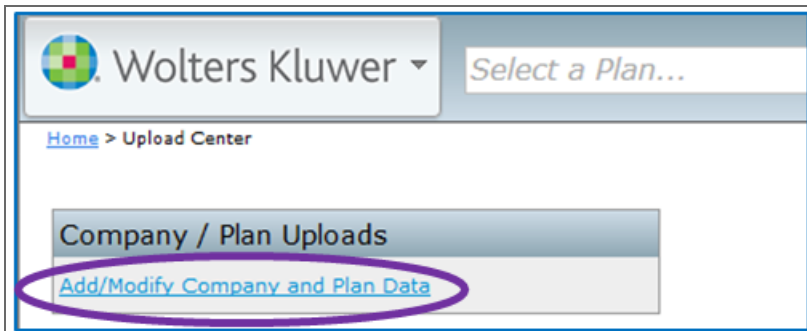
2. Complete the EGTRRA Plan SIMPLE Upload CSV file for the type of plan you would like to add. Note that you will be editing the spreadsheet in Excel but the file must be saved in the .csv format for uploading.

a. The sample spreadsheet can be found on the "Upload Employer/Plan Data" Screen.

i. Under the Company/Plan, choose "Upload Company/Plan Data"



ii. Click the "Add/Modify Company and Plan Data" link



iii. Click the "EGTRRA Plan Simple Upload Sample" to download the sample spreadsheet.

Sample Spreadsheet

This sample spreadsheet will add a company and 2 plans. The sample plans use most of the ZZZ default plan options, only overriding the appropriate elements.

This upload can also be used to replace existing company/plan data in batch. For a video demonstration outlining a method to update certain plan fees for existing plans:

[EGTRRA Plan Simple Upload Sample](#)

[Recorded demonstration](#)

[Outline and notes to accompany demo](#)

Upload file name:
Number of rows before

b. PlanType, Checklist, and ChecklistVersion – These codes will tell the system what type of plan you would like to add. The specific codes for each plan type can be taken from the following chart.

	PlanType	CheckList	ChecklistVersion
401(k) Plans			
Prototype Nonstandardized	4K	ProtoNS	EGTRRA
Prototype Standardized	4K	ProtoSTD	EGTRRA
Volume Submitter – Prototype Format	4KPT	VolSub	EGTRRA
Volume Submitter – IDP Format	4K	VolSub	EGTRRA
Profit Sharing Plans			
Volume Submitter – IDP Format	PS	VolSub	EGTRRA
Money Purchase Pension Plans			
Prototype Nonstandardized	MP	ProtoNS	EGTRRA
Prototype Standardized	MP	ProtoSTD	EGTRRA
Volume Submitter – IDP Format	MP	VolSub	EGTRRA
Target Benefit Plans			
Prototype Nonstandardized	TG	ProtoNS	EGTRRA

c. CustomerID – This must match exactly the number found/set in step 1. This tells the system what company you want the new EGTRRA plan added to.

d. PlanLine1 – This should be the first line of the plan name for the new EGTRRA plan. All plan specific information can be changed in the checklist after the spreadsheet is uploaded. Entering the plan name

will allow you to more easily find the plan after upload.

- e. You can add as many plans as you would like to the same upload file as long as the CustomerID and PlanLine1 are unique.
- f. Below is a sample of a spreadsheet for a new 401(k) prototype nonstandardized plan for the SAMPLE UPLOAD PLAN company shown above as well as plans for two other companies.

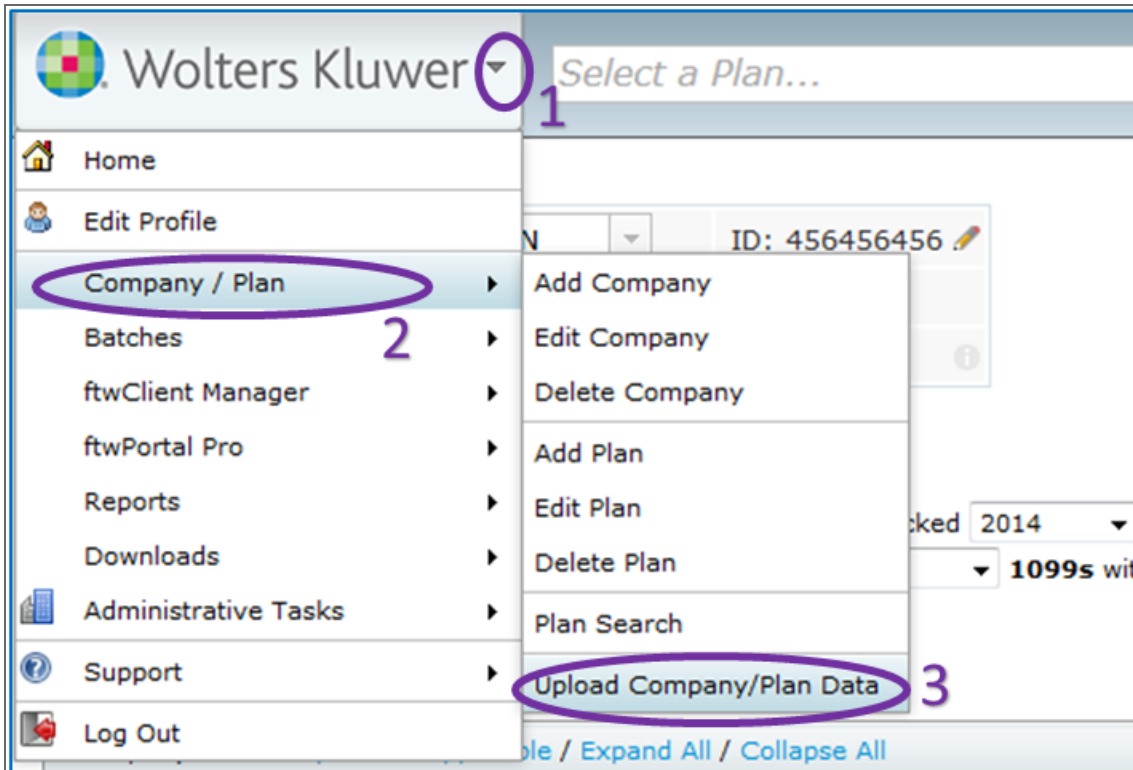
	A	B	C	D	E
1	PlanType	CheckList	Checklist\	CustomerID	PlanLine1
2	4K	ProtoNS	EGTRRA	456456456	SAMPLE 401(k) ProtoNS EGTRRA - 456456456
3	4K	ProtoNS	EGTRRA	123123123	SAMPLE 401(k) ProtoNS EGTRRA - 123123123
4	4KPT	ProtoSTD	EGTRRA	789789789	SAMPLE 401(k) ProtoSTD EGTRRA - 789789789
5					

- g. Save the file as a .csv file in a place you can easily access it.

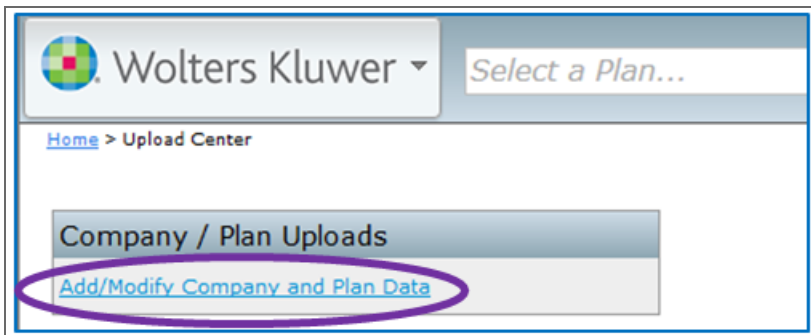
File name:	EGTRRA Plan Simple Upload - SAMPLE UPLOAD PLAN
Save as type:	CSV (Comma delimited)

- 3. Upload csv file to the system.

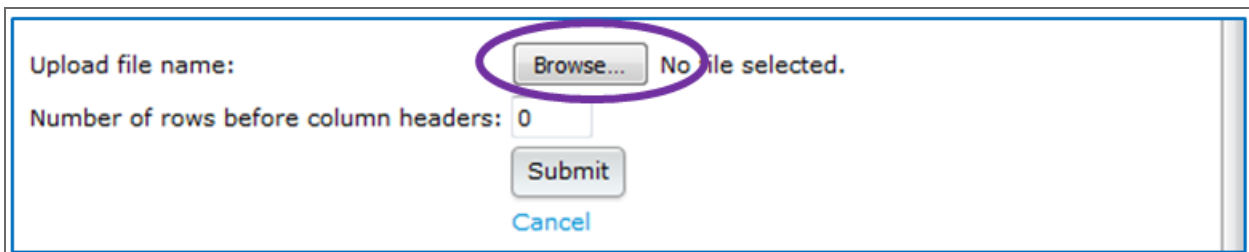
a. Under the Company/Plan select “Upload Company/Plan Data”.



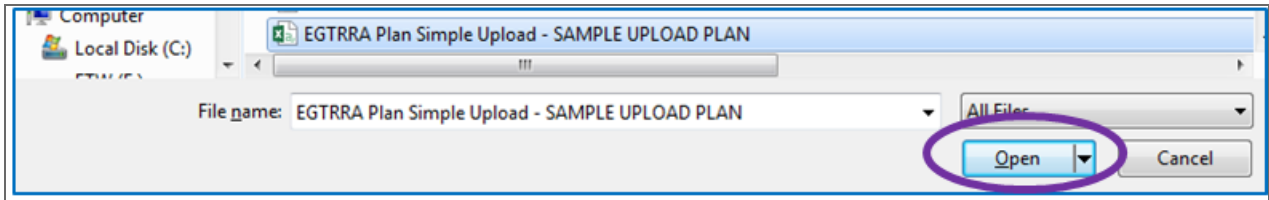
b. On the Upload Center screen select “Add/Modify Company and Plan Data”.



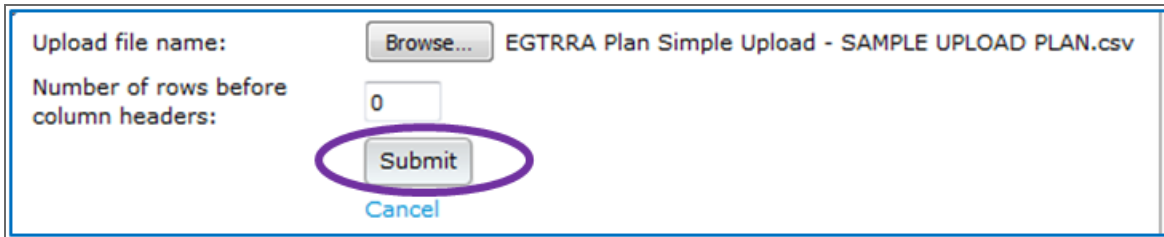
c. Towards the bottom of Upload Company and Plan Information screen click on the “Browse” button.



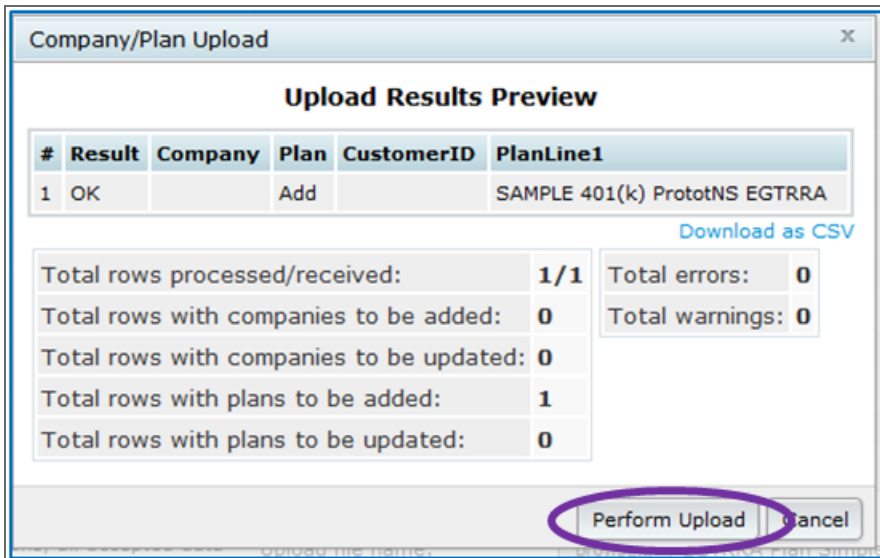
d. Use the pop-up screen to choose the file you created and saved in Step 2 and click the “Open” button.



e. Click on the “Submit” button.



f. A pop-up will show if there are any errors or warnings. Typically the only issue you may see with this simplified procedure is if you already have a plan with the same name under the company you are adding to. If there are no errors click the “Perform Upload” button.



g. When the upload is complete a pop-up will show that the new plan(s) has been added. Click the “Close” button. Your new EGTRRA document is now ready to work with.

Company/Plan Upload


Upload Complete

#	Result	Company	Plan	PlanType	CheckList	ChecklistVersion	CustomerID	PlanLine1
1	OK		Add	4K	ProtoNS	EGTRRA		

[Download as CSV](#)

Total rows processed/received: **1/1** Total errors: **0**
Total rows with companies added: **0** Total warnings: **0**
Total rows with companies updated: **0**
Total rows with plans added: **1**
Total rows with plans updated: **0**

[Close](#)

 **Wolters Kluwer** ▾

[Home](#) > [Edit Company](#)

Company: ▾ ID: 456456456 ✎

Plan: ▾

Details: ⓘ

[Company Modules](#)

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New User Interface And Navigation

The ftwilliam.com user interface features several new functions to improve navigation and efficiency while still allowing the same functionality previously available. Several key enhancements of the new user interface include:

- A new home page that enables quicker access to commonly used features, as well as easier navigation.
- A new "Navigation Bar" on page 8 that allows access to all of the plans on the site.
- "Breadcrumb Trails" on page 12 illustrate your current location within the site.
- Seamless integration.

Home

The screenshot shows the home page of the Wolters Kluwer system. At the top left is the Wolters Kluwer logo. To its right is a search bar with the text "Select a Plan..." and a "Go" button. Further right is a "Workflow" button. Below the logo is a "Home" link. On the left side, there is a vertical menu with buttons for "Add Company", "Add Plan", "Batches / Workflow", "ftwPortal Pro", and "Upload Plan Data". Below these buttons are several update notifications, each with a date: "ftwilliam.com New User Interface - 2/19/2014", "5500 Software Updates - 2/14/2014", "Applications for Pre-approved 403(b) Plans in Your Firm's Name - 2/4/2014", "5500 Package Updates - 2/3/2014", and "Cash Balance Form 8905 and Applications for Defined Benefit (including cash balance) Plans in Your Firm's Name - 1/31/2014". The main content area is divided into two sections: "Plan Search" and "Search Results". The "Plan Search" section has two input fields: "Company: Name or ID ..." and "Plan: Name or ID ...", with a "Clear All" button to the right. The "Search Results" section shows a table with a "Plan" column and an "Edit" column. The table contains 16 rows of search results, each with a plan name and the company ID "XYZ Sample Company (ID: 10101001)".

Wolters Kluwer Select a Plan... Go Workflow

[Home](#)

Add Company

Add Plan

Batches / Workflow

ftwPortal Pro

Upload Plan Data

Updates: [\(View All\)](#)

ftwilliam.com New User Interface - **2/19/2014**

5500 Software Updates - **2/14/2014**

Applications for Pre-approved 403(b) Plans in Your Firm's Name - **2/4/2014**

5500 Package Updates - **2/3/2014**

Cash Balance Form 8905 and Applications for Defined Benefit (including cash balance) Plans in Your Firm's Name - **1/31/2014**

Plan Search

Company: Name or ID ...

Plan: Name or ID ...

Clear All

Search Results

Plan	Edit
XYZ Sample Test Depositor XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company vs 4k pt XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company Test Upload and Logout XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company Plan2 XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company LLC STATE FULFILL TEST XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company Foreign Payer Address XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company foreign address no postal code XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company esop XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company CPI XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company CN iD XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company 945 test XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company 3 - TEST XYZ Sample Company 3	Edit
XYZ Sample Company - Test Upload 2 XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company - Test Upload XYZ Sample Company (ID: 10101001)	Edit
XYZ Sample Company - TEST 1 XYZ Sample Company 2	Edit

From the home page, you can easily navigate to companies and plans with Plan Search and Filter. On the left pane of the home page you can quickly access technical updates, and functions such as Add Company, Batches/Workflow, Portal, and the ability to Upload Plan Data. Several new and re-located features on the upper left side include:

Add Company

The Add Company feature allows you to create a new company.

Batches / Workflow ▼

The Batches/Workflow drop-down menu contains batch functions for Workflow, 1099, 5500, Documents, Admin and Portal, depending on products you have purchased.

ftwPortal Pro ▼

or

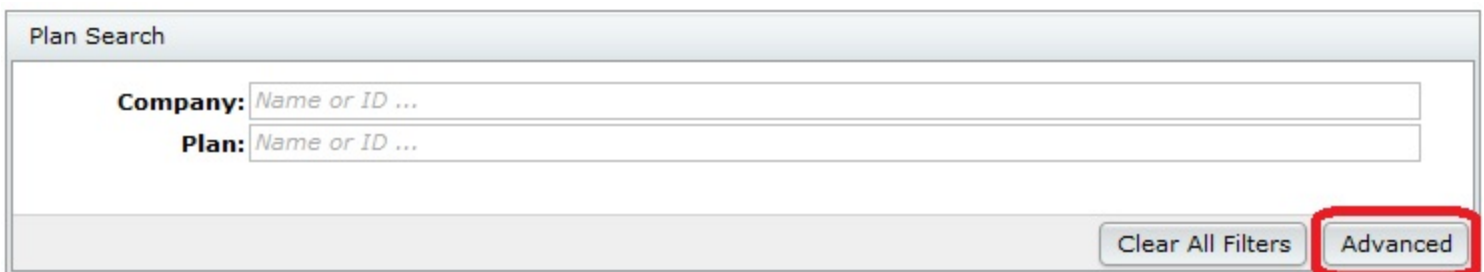
ftwPortal Express ▼

The Portal drop-down menu allows access to most features available to Portal Pro and Portal Express customers, such as View User Portal, Portal User Manager, Message Manager and Document Manager.

Upload Company/Plan Data

The Upload Company/Plan Data feature allows you to upload Company and Plan data using .csv files to create new Companies and Plans on the system, or modify ones already there. The feature also allows you to upload data files from other Document Software vendors, making it more efficient to transfer plan data into ftwilliam.com . Please contact support@ftwilliam.com for more details or assistance with this feature.

Plan Search / Filter



Plan Search

Company:

Plan:

Clear All Filters **Advanced**

The Plan Search box is a quick way to search for a Company or Plan using Company or Plan Name or Company ID or PlanID. The Plan Search Filter will display partial matches as well, so typing the first few unique characters in a Company or Plan's name will only display all Companies and Plans whose name contains those characters is often enough to find the exact Company or Plan you are search for. In addition, you may perform advanced searches by clicking on the Advanced button. The Advanced fields enable you to perform an advanced search using the Employer's Identification Number (EIN), Plan Number, Plan Type, Plan Year End (in Section A. General Information), 5500 Admin, Document Admin and/or Compliance Admin. There is also an option in the Advanced search to display plans that have ALL modules indicated as 'No' for 'Resp' on the Edit Plan screen. **Note:** Indicating 'No' for 'Resp' for all of a given plan's modules will hide the plan from the Plan Search functions unless the 'Show Non-Resp Plans' box is checked.

Plan Search

Company:

Plan:

Advanced Options

EIN:

Plan Number:

Plan Type:

Plan Year End:

5500 Admin:

Document Admin:

Compliance Admin:

Show Non-Resp Plans:

-

-
-
-
-
-
-
-

To hide the Advanced search options, click the Simple button.

The large Search Results box below the Plan Search box provides the quickest access to a software module for any plan by clicking on the drop-down menu next to 'Edit Plan' or by clicking on the Plan Name to click on the module that appears below the Plan Name. Note: The Search Results box displays all companies and plans by default. To narrow you plans down, see the above section on Plan Search.

— Plan Name

— Company Name

▼

Navigation Tools

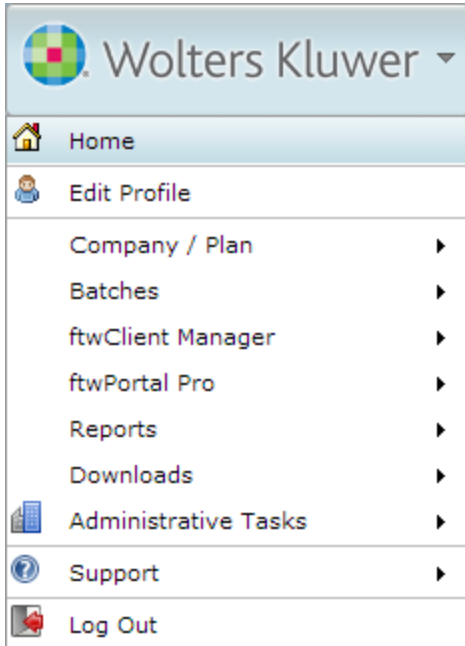
The Navigation Bar is located at the top of most screens to allow quick access to the Wolters Kluwer logo button, other Plans and modules, user profiles, support, suggestions and logging out. You can move around the site with just a few keystrokes or clicks.

Navigation Bar



The new navigation bar hosts the ability to navigate to nearly any module or location in the site in a few keystrokes or clicks. Anywhere in the site, you can find the:

Wolters Kluwer logo button



The logo button is always accessible in the top left corner in the "Navigation Bar" above; it features instant access to administrative, Portal, and ftwClient Manager functions, including:

- Edit your user profile,
- Add a company, or plan, search plans, or upload a plan in the Upload Center,

Add Company
Edit Company
Delete Company
Add Plan
Edit Plan
Delete Plan
Plan Search
Upload Plan Data

- Batch functions, for 5500s, 1099s, Annual Notice, Welfare SBC, and Portal Batches,

5500 Batch / Workflow
1099
Batch Annual Notice
Batch Welfare SBC
Online Annual Questionnaire
Annual Questionnaire
Census Worksheet
Portal Documents





- ftwClient Manager features, such as the Workflow Dashboard or the Client Relationship Manager,

Workflow
Add Task
Add Project
CRM
Upload Contacts
Batch Add Projects
Batch Update Plan Specs
Enter Time

- Portal Features,

View User Portal
Contact Manager
Message Manager
Document Manager
Portal Document Batch
Portal User Edit Grid
Upload Portal Users
Download History
Portal User Help

• Administrative Tasks

 Administrative Tasks	▶	Portal / Workflow	▶	
 Support	▶	Create Custom Checklist Edit Checks		
 Log Out		Doc/SAR/AFN Print Settings		
		Check Out New DC PPA AA Styles		
		Defaults	▶	
		Users		
		User Groups/Roles		
		View Online Usage Agreement		
			SAR/AFN/8955-SSA Defaults	
			ZZZ-Defaults	
			Default Online Annual Questionnaire	

Various reports,

Compliance List
List of Deleted Plans
Document Provisions by Checklist
Selected Plan Provisions
Selected 5500 Provisions

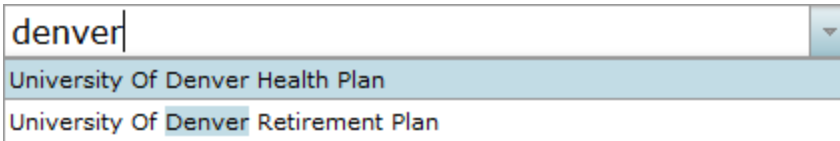
Assorted downloads,

Blank Checklists
Blank Adoption Agreements for Prototype-Style Plans
IRS Letters for Pre-approved Plans
ftwilliam Signed Amendments for Pre-approved Plans
All Portal User Messages

Select a plan

A horizontal search bar with a light blue background. On the left, there is a text input field containing the placeholder text "Select a Plan...". To the right of the input field is a small downward-pointing arrow icon. Further right is a button labeled "Go" with a small downward-pointing arrow icon to its right.

The new plan select bar allows you to jump to any plan you administer from anywhere on the site. You can either click the arrow on the right side to view and select from all plans, or click the cursor in the text entry field and begin typing the name of the plan. As you type, the results from the list will automatically filter.

A horizontal search bar with a white background. The text "denver" is entered in the input field. A dropdown menu is open below the input field, showing two options: "University Of Denver Health Plan" and "University Of Denver Retirement Plan". The second option is highlighted with a light blue background.

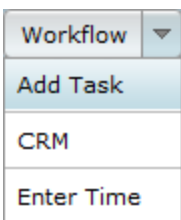
If you enter text which does not match any company names, you will see a warning indicating that the search does not match any plans.

A horizontal search bar with a white background. The text "boulder" is entered in the input field. To the right of the input field is a red exclamation mark icon. Further right is a button labeled "The value entered is not valid." with a small leftward-pointing arrow icon to its right.

The 'Go' Button

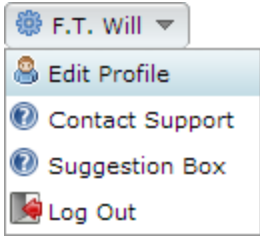
The 'Go' button allows you to access any module available for the plan currently displayed in the plan select bar at the center of the navigation bar. Click on the downward facing arrow next to the word 'Go' to jump immediately to any of the modules available to that plan (such as IRS Forms, Admin, or Portal), or click Edit Plan, or Edit Company to update relevant data. Clicking 'Go' itself will direct you to the Edit/Print Menu, where you can edit plan data, and also access modules for the plan.

Workflow quick access features

A vertical dropdown menu. The top item is "Workflow" with a downward-pointing arrow icon. Below it are three items: "Add Task", "CRM", and "Enter Time". Each item is on a separate line with a light blue background.

The workflow menu button allows you to add a Task, or Project, access the CRM, or enter time for a Project from anywhere in the site. The 'Add Task ' and 'Add Project' options in the navigation bar function in Plan Context when a plan is selected.

Quick help link to edit your profile, contact us, or log out.



The menu in the top right always displays your username. From this drop-down menu, you can edit your user profile, contact us (support@ftwilliam.com) , or log out.

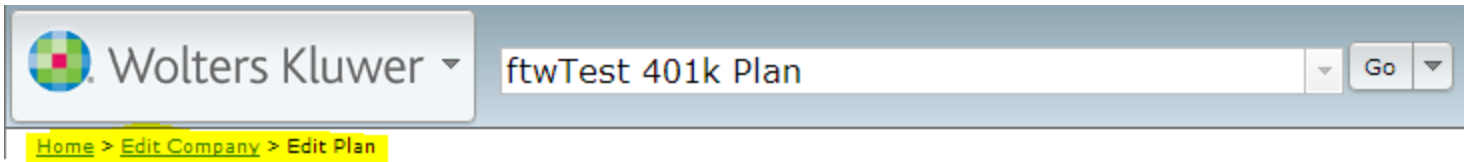
The option to quickly edit your user profile on the right side of the navigation bar enables you to set:

- First and last name,
- Display Name,
- Email Address,
- Phone Number,
- Option to switch between the new UI (Use New UI - Yes/No)
- Change Password.

The new quick edit profile option also allows you to select your Time Zone for calculating event times in your local time. The *ftw*Client Manager accounts for your time zones when setting up a new Task to organize, or attend a meeting.

For example, if your company's office is in California, but you work remotely from New York, and the meeting organizer sends a Task to join a meeting, *ftw*Client Manager will add the event to your calendar based on your time zone, not the meeting organizer's . The default value for all users is central standard --'America/Chicago'.

Breadcrumb Trails



Throughout the site you will notice a directory, or path to your current location known as a breadcrumb trail. The breadcrumb trail shows your current location in the site relative to the Home screen, and allows you to easily and intuitively go 'back' or 'up' in the path to any point by clicking the blue, underlined text.

Clicking the company name from the breadcrumb trail will direct you to 'Select Plan' screen , and clicking the plan name will direct you to the Edit/Print Menu, where you can edit plan information, or select available modules from the Print Menu.

The breadcrumb trail always begins with home, followed by either a company and plan, or a workflow or batch function.

New Windows/Dialogues

The new user-interface utilizes dialogues--frames that pop-up within the same window in your browser - for many new features, rather than directing you to a different page and derailing your workflow. The new dialogues are movable within the window frame, enabling you to view information on the page behind.

Workflow Dashboard

▼ Filters

Plan: Module:

Show closed tasks: Service Level: B: C:

Tasks	Projects			
ProjectID	Description	Year	Est. Hours	FinalDueDate
795	Misc. tasks9	2013	0.00	0000-00-00
796	Misc. tasks X	2013	0.00	0000-00-00
797	Misc. tasks XI	2013	0.00	0000-00-00
798	Misc. tasks X2	2013	0.00	0000-00-00
799	Misc. tasks-9-long-name @	2013	0.00	0000-00-00
800	Misc. tasks99 - bottles - of - root - beer	2013	0.00	0000-00-00
801	Misc. tasks9 - another_really_long_name	2013	0.00	0000-00-00

Create Project ✕

Select a Project Template:

Misc. tasks

Description:

Plan:

Assignee:

Year:

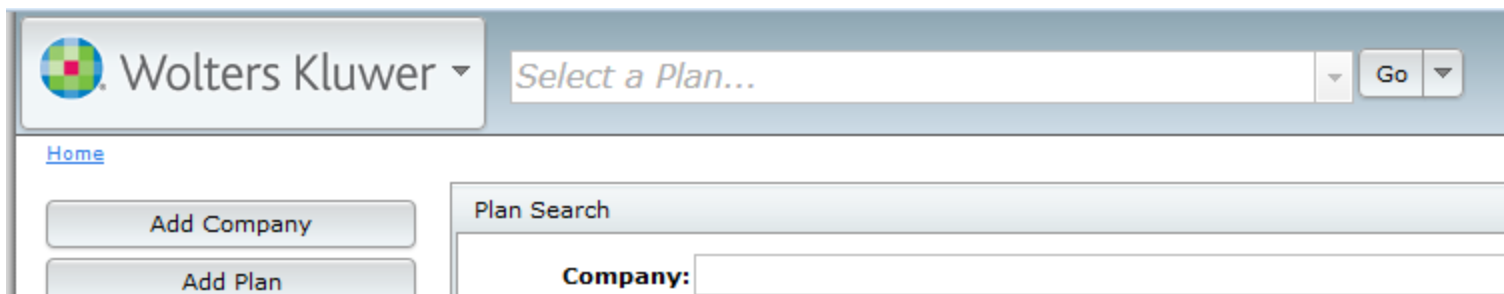
Dialogues disable the page 'behind' the pop-up; you can close the dialogue and return to the page by either clicking the 'X' in the top right corner, or completing the operation for the dialogue (such as clicking 'Ok' in the pictured example of creating a project).

Contact Support And Suggestion Box

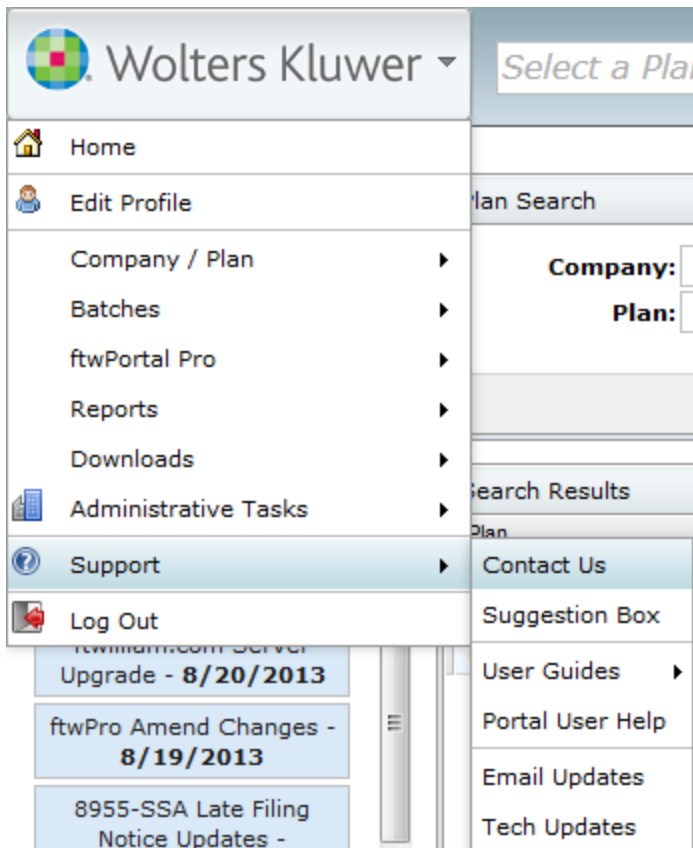
To improve the support process, the new 'Contact Us' form includes several new features to provide our support team with any information relevant to your support ticket. Additionally, the new contact form includes a new feature to submit

suggestions for future enhancements to the ftwilliam.com software suite. To contact our support team, you may go to any one of the following

- the button in the top right which is labeled with your username, and select 'Contact Support' from the drop down menu. If you would like to submit a suggestion for a future enhancement to ftwilliam.com, select 'Suggestion Box',



- the Wolters Kluwer logo button in the top left, then select 'Support' at the bottom then 'Contact Us',



- 'Contact Us' in the footer of any page.

The dialogue that appears automatically populates the form with your user name, email, and phone number as well as the company, plan, and module you are viewing when applicable to help improve the speed effective support. If your question does not pertain to the pre-populated fields, or to a plan other than the one that's automatically filled, all fields in the support contact form are editable. Additionally, you can change the recipient of your message in the contact support dialogue by changing the 'To' field to the recipient of choice--**Suggestion Box** or **Support**.

Contact Information [X]

Email: support@ftwilliam.com
Phone: 800.596.0714
Address: 700 W. Virginia St.
Suite 305
Milwaukee, WI 53204

Submit a Question

Plan: Example Plan 401(k) [v]
Module: Workflow [v]
Your Name: L.User
Your Email: Linux.User@wolterskluwer.com
Your Phone: (888) 555-0102
To: Support [v]
Subject: Example Message
Message: Example Message Body

[Send] [Close]

By using the contact form , our support team can speed up resolving issues by using information such as which web browser you use, and plan checklist information which is not available by the traditional means of emailing contact directly.

Grids

ftwClient Manager uses new grids, such as the CRM grid below, for many features in the site to enable quicker access to plans, contacts, and other information.

	Name	Company	Type	Phone	Email
<input type="checkbox"/>	1, Test	Compuglobalhypermegamet			frye.nick@gmail.com
<input type="checkbox"/>	2, Test	Compuglobalhypermegamet			nicholas.frye@wolterskluv
<input type="checkbox"/>	3, Test	compuglobalhypermegamet			nicholas.frye@wolterskluv
<input type="checkbox"/>	Bean, Java	Alterra Coffee Roasters, Inc.	Plan Sponsor	888-654-9871	mike.ceolla@wolterskluwe
<input type="checkbox"/>	Brin, Sergey	Google, Inc.	Trustee	800-753-6541	sbrin@google.com
<input type="checkbox"/>	Bunny, Bugsy	Looney Tunes	Financial Advisor	888-444-6541	bbunny@looneytunes.com
<input type="checkbox"/>	Caffeinated, Joe	Starbucks Corporation	Plan Sponsor	800-123-4567	cjoe@starbucks.com
<input type="checkbox"/>	Cake, Patty	Baker's Man Bakery	Trustee	369-852-7410	pcake@bakersman.com
<input type="checkbox"/>	Ceolla, Mike	EMP			mike.ceolla@wolterskluwe
<input type="checkbox"/>	Contact, Test	Test Company			jason.hardies@wolterskluv
<input type="checkbox"/>	Dary, Legen	Stinson's Fine Suites	Attorney	854-552-5541	ldary@stinsons.com
<input type="checkbox"/>	Dog, Astro	Jetsons, LLC		000-THX-1138	jared.marker@wolterskluw
<input type="checkbox"/>	Gaga, Lady	Born This Way Inc.	Financial Advisor	877-564-7852	lady@gaga.com
<input type="checkbox"/>	Jetson, Elroy	Jetsons, LLC		000-THX-1138	jared.marker@wolterskluw
<input type="checkbox"/>	Jetson, George	Jetsons, LLC		000-THX-1138	jared.marker@wolterskluw
<input type="checkbox"/>	Jones, Felix	Kat, Felix, and Jones	Attorney	866-555-4321	jared.marker@wolterskluw
<input type="checkbox"/>	Jones, Kat	Kat, Felix, and Jones	CPA	866-555-4321	jared.marker@wolterskluw
<input type="checkbox"/>	Jones, Tom	Kat, Felix, and Jones	Financial Advisor	515-555-4412	jared.marker@wolterskluw
<input type="checkbox"/>	Muffet, Little	Curds & Whey LLC	Plan Sponsor	321-566-6548	lmuffet@curdswhey.com
<input type="checkbox"/>	Page, Larry	Google Inc.	Plan Sponsor	800-753-6541	lpage@google.com
<input type="checkbox"/>	Postit, Peter	3m Company	Plan Sponsor	800-716-9547	ppostit@3m.com
<input type="checkbox"/>	Stinson, Barnev	Leoen Waitfort Darv Attorneys	Attorney	867-541-5211	bstinson@leondarvattorn

Do with selected: ▾


Current View Total: 30 / Number Selected: 0

Filtering

	Name	Company	Type	Phone	Email
<input type="checkbox"/>	Name	Company	Type	Phone	Email
<input type="checkbox"/>	1 Test	Compuglobalhypermegamet			frye.nick@gmail.com

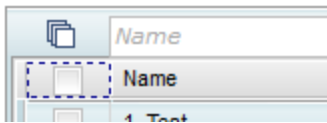
In grids which have text entry fields above each column, you can enter text to filter. After hitting enter or return on your keyboard, the grid contents will automatically update to include only rows which match the entered text. To remove the entered text, click the 'X' next to the filtered text you would like to remove and the grid will display more results.

Pop-out


Clicking the pop-out icon in the top right corner of the grid will open the grid in a new window in your browser, enabling you to maximize, or resize the grid. When the grid opens in a new window, the grid functions such as filters, and automatically saving fields behave the same as when the grid is embedded in the page.  You can close the pop-out window by clicking the red 'X' in the top-right corner of the grid.

Using the pop-out feature requires your browser to allow pop-ups; if the pop-out does not open a new window, or tab, you must configure your browsers setting to allow pop-ups from ftwilliam.com.

Select/Unselect All



The top left corner of the new grids features options to select, or unselect all items in the grid. The checkbox next to the column headers will select all items displayed on the grid, and only selects items currently displayed. Using the select all, in combination with the column filters provides a powerful resource for working with batches to select specific entries.

To unselect all plans, click the unselect all button .

Export Current View to CSV

The option 'Export Current View to CSV' will download a .csv formatted spreadsheet of the current contents of the grid. This export option observes filters, and sorting in the current view and will create a .csv file with those modifiers in place.

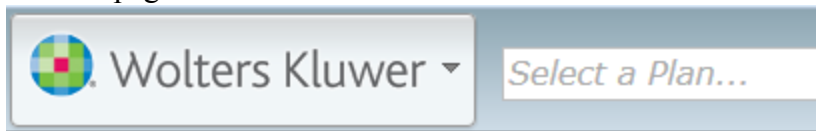
Plan Document Software User Guide

PLEASE NOTE: this is intended to be a general guide to introduce you to the document software features and structure. More detail is often provided at ftwilliam.com. At the top of every page you should find a link to 'Help' and a link to contact 'support' (via email). You can also call us between 8 p.m. and 5 p.m. CST at 1 (800) 596-0714 (you can also find this number at the bottom of every page in your account).

The Plan Document software helps you draft Plan Documents and other supporting documents as you complete the online Checklist found on the Edit Plan screen. Some of the data entered within the Checklist automatically populates sections of IRS Forms. Additionally, the Administration software will automatically pull data from the Plan Checklist where applicable when you add a new plan year end to a plan for the first time.

To get started, you will need to add a company and plan by clicking on the **Wolters Kluwer logo button** in the top left corner, select **Company/Plan**, then click **Add Company**. Or, from the home screen you can click the **Add Company**, and **Add Plan** buttons in the top left. To get to the Home screen from anywhere in the site, you can click the **Home**

under the **Wolters Kluwer logo button**, or click **Home** at the root of the bread crumb trail just below the "Navigation Bar" on page 8.



[Home](#) > [Portal Documents Batches](#) > [IE10](#) > Download History

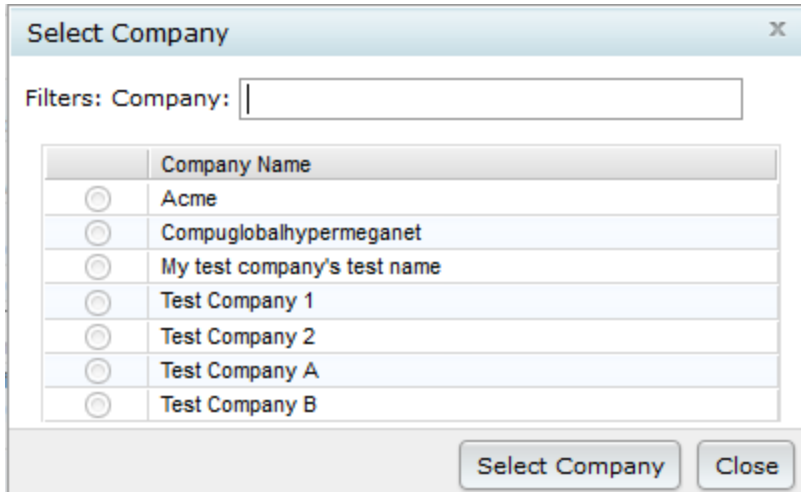


- **Add a Company**

When you add a new company, if you enter an EIN which matches a 5500 record from the previous year's filing, the [55AutoFill](#) (patented) feature will allow you to import company and plan information from previous 5500 filings. All you need to do is enter the plan sponsor's taxpayer identification number and basic plan and company information for that plan sponsor are automatically imported for your use - even if you did not use our software in any previous year.

- **Select a Company**

To edit or delete a company you've already created, go to the **Home** page and select one of the company's plans from the plan list (you can find those plans quicker by using the "Filtering" on page 16 options for the Plan Grid). You can also select a company to edit by selecting **Company/Plan** from the **Wolters Kluwer logo button** and clicking **Edit Company**, then select the company you would like to edit from dialog that pops up. If you have a long list of companies, you can filter by company name when typing into the company filter at the top.



- **Delete a Company**

You can also delete a company using the drop-down option from the **Wolters Kluwer logo button** by selecting **Company/Plan**, then clicking **Delete Company**. You can only delete a company if it has no associated plans.

Edit Company

After you've selected a company, you can enter and update company data from the Company Data checklist. By default, the list will display all relevant sections of the checklist; fields which are not applicable based on other answers will not be displayed, and in their place you will see a + sign to expand the section --e.g. 10b: Union Representative will not be displayed unless 'Union' is selected for 10a.

For more info on each entry, you can hover your cursor over the ⓘ icon next to the Company Checklist to see a brief summary, or click on the ⓘ to read a longer description.

Wolters Kluwer ▼

[Home](#) > Edit Company

Company: ▼ ID:

Plan: ▼

Update unlocked ▼ **5500s and 8955-SSAs** with applicable data from this page. ??

Update unlocked ▼ **1099s** with applicable data from this page. ??

Company Data [Expand All Applicable](#)

- ▶ Company Information:
- ▶ Additional Company Information:
- ▶ Contact Information:
- ▼ Notes:
 - 30. Notes

Company Menu

- [Delete Company](#)
- [Add Plan](#)

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Add A Plan

After you have created a Company, you can add new plans to associate with a company. If you used 55Autofill to add a Company, all plans reported to the DOL which are associated with the EIN will be added to the system for you.

Company Menu

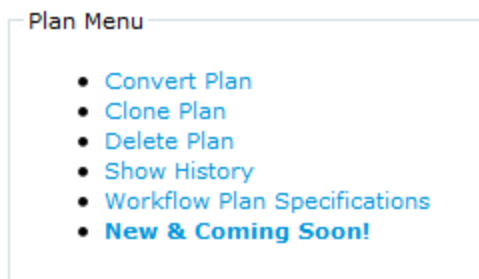
- [Delete Company](#)
- [Add Plan](#)

To add a plan to a company, you can either select **Company/Plan** from the **Wolters Kluwer logo button**, then select **Add Plan**, or from the Company Data checklist click **Add Plan** from the **Company Menu** in the upper right. You may also add a plan via file upload.

Responsible For

The 'Responsible For' option displays on the Edit Plan screen below each module you have purchased within the Plan Modules box. With this option you can select whether your firm is responsible for the tasks in each module for the plan, such as filing 5500s, or completing compliance testing. These values are referred to within workflow grids, and can be used to hide the plan from your plan/batch lists. If you are no longer responsible for managing a plan, but do not want to delete the plan, you can set 'Resp' to **No** for each module. This will prevent the plan from appearing in the plan list in the navigation bar, and from the plan list on the Home screen by default.

Clone A Plan



If you would like to add a plan which is very similar or identical to another plan, you can clone the original plan rather than creating a new plan and re-entering the information. Cloning a plan will copy the checklist answers of the selected plan to a new plan for an existing company that you have created on the system. If you would like to add the plan to a new Company, you will need to create the company prior to cloning the plan. You will not need to create a new plan, which will be done by the Clone Me feature. To clone a plan, simply navigate to the **Edit Plan** screen by either selecting the plan in the "Navigation Bar" on page 8, or from the Home screen. In the Plan Menu click **Clone Plan**, then in the next screen, select a company to associate with the cloned plan.

Clone a Plan

Name of plan that will serve as the basis of the new plan: Test 401k A

Select the Company for which the new plan will be created:

Company:

Clone Plan

Cancel and return to previous page

Delete A Plan

Deleting a plan will permanently remove the plan from the system, as well as all completed forms and filings. If you might need access to the plan again in the future, we recommend you mark the plan as one you are no longer responsible for. Plans you are no longer responsible for will not appear in plan search results.

To delete a plan, select the plan with the Navigation Bar, or click **Edit Plan** next to the plan from the Home screen. From the **Plan Menu** in the top right beneath the Navigation Bar, click **Delete Plan**. You may cancel deleting the plan on the following screen by clicking **Cancel and Return to Previous Page**, otherwise click **Delete Plan** once more.

Plan Checklists



Wolters Kluwer

My test plan

Go

[Home](#) > [Edit Company](#) > Edit Plan

Company:	My test company	ID:	
Plan:	My test plan	ID:	
Checklist:	Prototype Non-Standardized 401(k) - EGTRRA		
Details:	EIN: 987654321 • PN: 1 • PYE: ???		

Plan Menu

- Cor
- Clo
- Del
- Sho
- Wo
- Ne
- Vie

Plan Modules

Module	Plan Documents	IRS Forms	5500 Forms	1099-R	Admin
Resp	Yes	Yes	2013	2012	Yes
Admin					

Plan Checklist - [Expand All Applicable](#) / [Expand All](#) / [Collapse All](#)



Print

- ▶ A. General Information E
 - ▶ B. Eligibility E
 - ▶ C. Contributions E
 - ▶ D. Vesting E
 - ▶ E. Distributions E
 - ▶ F. In Service Withdrawals/Loans E
 - ▶ G. Plan Operations E
 - ▶ H. Top Heavy E
 - ▶ I. Custom Language E
- Items Below Do Not Affect Plan Document
- ▶ J. Administrative Elections E

Edit Plan

The Edit Plan screen is the home page for each plan and enables you to access each available module for the plan, such as Admin, 5500s, Portal, etc., as well as edit data about the plan itself. In the top left, you will see the basic information about the plan, including:

- Company Name
- Plan Name
- Checklist Type
- Employer Identification Number, Plan Number, and Plan Year End (EIN, PN, and PYE respectively)
- Company ID* - a Unique ID for the company assigned by an Admin user
- Plan ID* - a Unique ID for a plan assigned by an Admin user

*If you are an Admin user, a  icon will appear next to the field. Click the icon to edit the field, and the field will automatically save. Click the  icon to discard any changes you've entered.

This information is displayed on the home screen for all modules and the top right will feature functions for each module. For example, in the Plan Document module, the Plan Document Menu allows users to choose between Word and PDF output formats, Print IRS Letters for the plan, etc.

Using the drop-down options under Company Name and Plan Name, you can quickly navigate between plans and companies you would like to work with. Selecting a different Company Name will direct you to the Edit Company screen with that company selected; selecting a different Plan Name will not change which screen you are currently viewing but will change which plan you have selected

Checklist Type

All plans on *ftwilliam.com* are associated with a checklist type of one of the following depending on the document packages you have purchased.

Retirement Plan Documents:

- Prototype Non-Standard 401(k) - PPA
- Prototype Non-Standard 401(k) (Answers Only) - PPA
- Prototype Non-Standardized Money Purchase
- Prototype Non-Standardized Target Benefit
- Prototype Standardized 401(k) - PPA
- Prototype Standardized 401(k) (Answers Only) - PPA
- Prototype Standardized Money Purchase
- Volume Submitter 401(k) Prototype Format - PPA
- Volume Submitter 401(k) Prototype Format (Answers Only)- PPA
- Volume Submitter 401(k) - PPA
- Volume Submitter Profit Sharing - PPA
- Volume Submitter Money Purchase
- Defined Benefit Pension Plan (Proto Format)

- Defined Benefit Pension Plan (ID Format)
- Cash Balance Plan (Proto Format)
- Cash Balance Plan (ID Format)
- Employee Stock Ownership Plan
- Employee Stock Ownership Plan 401(k)
- Section 403(b) Plan (Full Scope)
- Section 403(b) Plan (Limited Scope)

- Welfare Plan Documents:
 - Cafeteria Plan
 - Premium Only Plan
 - Health Reimbursement Arrangement
 - Trans Spend Acct
 - Wrap Plan
- Non-Qualified Plan Documents:
 - Section 457(b) Plan
 - Section 409A Plan
- Misc (1099, 5500 or Admin Software)

Note: If you have not purchased a plan document module you will only have access to the 'Misc' plan checklist type. Plans using the Misc. checklist have access to the General Information section on the Edit Plan screen. Plans using the Misc. checklist can still be used for all modules except the Plan Documents module.

Converting Checklist Types

You may change the Document Checklist Type for a plan using the **Convert Plan** function in the Plan Menu in the top right. You can change between different retirement checklist types, or between welfare checklist types, but if you need to convert a plan checklist from a retirement plan to a welfare plan, or the other way around, you must first convert the plan to a 'Misc' type, then complete the conversion.

Designated Admin users may "Revert " on page 40 converting a plan from the Show History menu as well, but you cannot revert changes made to the plan prior to conversion without converting the plan checklist type back, since the Revert function rolls back the Plan Checklist to a prior state.




Print Checklist

You can also print the selected checklist and responses to a .rtf file at the top of the Plan Checklist section by clicking the **Print** icon. Per plan document customers will not be billed for printing checklists.



Editing the Checklist

Each checklist type features different sections, and fields though you can edit them all the same. To display the content of any section, click anywhere on the section next to the section letter index A-J, and all the relevant checklist options will appear for the selected plan's Checklist Type.


The sections listed will vary depend on the checklist the plan is using. To view the checklist questions in each section, you can click **Expand All**, **Expand All Applicable**, or click the section header itself. **Expand All** will display all checklist questions even if they are disabled from the response of another checklist question. For example, if question 4b for a Prototype Non-Standardized 401(k) plan is 'No', questions 4ci, and 4cii will still be listed, but will appear grayed out and disabled (unable to enter text, or select an option).


4b. The Plan has a short plan year:		<input type="radio"/> Yes / <input checked="" type="radio"/> No
4ci. If A.4b is Yes", enter the start date of the short Plan Year:		<input type="text"/>
4cii. If A.4b is Yes", enter the end date of the short Plan Year:		<input type="text"/>

Expand All Applicable will still list the blank entry, but not display the question or entry field:

4b. The Plan has a short plan year:		<input type="radio"/> Yes / <input checked="" type="radio"/> No
		
		

You can also expand each section one at a time by clicking the section name, as well as each sub-section.

After making an entry in a text or date field, you do not need to click any buttons to submit; when you move your cursor the field will automatically save: clicking elsewhere on the page, or pressing the Tab key, for example. When the document checklist has been successfully updated, you will see a confirmation icon () next to the updated field.

If the field fails to update, you will see the failed upload icon (). If you cannot update the text field, try refreshing the page to verify you are still logged in, and that you currently have an internet connection.

ZZZ - Default Plans

When you add a new plan any necessary plan specifications are automatically populated using defaults set in special plans called 'ZZZ-Defaults' (unless you added the plan using 55Autofill or by cloning a plan). Before adding new plans, you may want to start by opening the default company plans and updating the default plan specifications. 'ZZZ-Default' settings do not affect existing plans, and are only used when creating a new plan. All 'ZZZ-Defaults' are unique to each plan type: for example, the defaults for a 401(k) Prototype Non-Standardized plan will not affect new Volume Submitter 401(k) plans.

Designated Admin users and the Master user can edit ZZZ-Defaults by clicking the **Wolters Kluwer logo button**, selecting **Administrative Tasks**, then clicking **ZZZ-Defaults** under **Defaults** . You can edit the default "Plan Checklists" on page 23 just like other plans.

You may also copy the checklist answers to a new plan in any company instead of using ZZZ-Defaults by clicking on the **Clone Me** link next to the Checklist name. Cloning a plan will copy the checklist answers of the selected plan to a new plan for an existing company that you have created on the system. If you would like to add the plan to a new Company, you will need to create the company prior to cloning the plan. You will not need to create a new plan, which will be done by the Clone Me feature. To clone a plan, simply navigate to the **Edit Plan** screen by either selecting the plan in

the "Navigation Bar" on page 8, or from the Home screen. In the Plan Menu click **Clone Plan**, then in the next screen,

Clone a Plan

Name of plan that will serve as the basis of the new plan: Test 401k A

Select the Company for which the new plan will be created:

Company:

Clone Plan

Cancel and return to previous page

select a company to associate with the cloned plan.

SIMPLE 401(k) User Guide

The SIMPLE 401(k) plan is a type of 401(k) plan that is exempt from ADP, ACP, 401(a)(4), and top-heavy testing as long as specific requirements are met. Coverage testing, annual additions, and elective deferral limits will still apply to a SIMPLE 401(k) plan.

WHO CAN ESTABLISH A SIMPLE 401(k) PLAN?

Any employer who is eligible to establish a 401(k) plan and who has no more than 100 employees can establish a SIMPLE 401(k) plan. In any calendar year that an employer maintains a SIMPLE 401(k) plan, they cannot maintain any other type of retirement plan. SIMPLE 401(k) plans are still subject to the Form 5500 filing requirements.

WHAT ARE THE CONTRIBUTION REQUIREMENTS FOR A SIMPLE 401(k) PLAN?

A SIMPLE 401(k) plan has mandatory contribution requirements. The plan must give either (1) a matching contribution of 100% on the first 3% of compensation deferred or (2) a non-elective contribution of 2% of compensation, but not both. Aside from elective deferrals and rollover contributions, no other employee or employer contributions can be made to a SIMPLE 401(k) plan.

WHAT ARE SOME OF THE OTHER REQUIREMENTS FOR A SIMPLE 401(k) PLAN?

- Limitation year, plan year and determination period must all be the calendar year.
- Compensation must be defined as unreduced W-2 compensation.
- All plan assets must be fully (100%) vested. This includes any assets that were subject to a vesting schedule prior to the adoption of the SIMPLE 401(k) provisions.
- Notice must be provided every year to all eligible employees.

HOW SHOULD A SIMPLE 401(k) PLAN BE SET UP ON THE ftwilliam.com DOCUMENT SYSTEM?

Below is a chart that lists the questions that must be set a certain way to ensure that the SPD and SIMPLE 401(k) notice populate correctly.

Edit checks will trigger to help guide you in setting up the SIMPLE 401(k) plans when using PPA versions of the Volume Submitter Prototype, Volume Submitter IDP, Prototype Non-Standardized, and Prototype Standardized 401(k) documents, including the Answers Only versions.

Please note that this chart includes the responses for plans that have matching contributions and plans that have non-elective contributions.

Question	Required Response
Plan Year End (Month Day)	December 31
Limitation Year means	Calendar Year
Voluntary (after-tax) Contributions are permitted (If "No", questions regarding Voluntary Contributions are disregarded)	No
Definition of Compensation for purposes of allocations	W-2
For purposes of allocating Employer Contributions, Compensation is determined over the period specified below ending with or within the Plan Year	Calendar year
Include deferrals in definition of Compensation	Yes
Deferrals included for purposes of Matching Contributions (Match Only)	Yes
Deferrals included for purposes of Non-elective Contributions (Non-elective Only)	Yes
Exclude pay earned before participation in Plan from definition of Compensation	No
Exclude pay earned before participation in Plan from definition of Compensation For Matching Contributions (Match Only)	No
Exclude pay earned before participation in Plan from definition of Compensation For Non-elective Contributions (Non-elective Only)	No
Exclude other pay from definition of Compensation for the following Participants	No
Exclude Employees covered under a collective bargaining agreement from definition of Eligible Employee	Exclusions must match between the different sources allowed
Exclude leased Employees from definition of Eligible Employee	Exclusions must match between the different sources allowed
Exclude nonresident aliens from definition of Eligible Employee	Exclusions must match between the different sources allowed
Eligibility for Matching Contributions (Match Only)	Same as Elective Deferrals
Eligibility for Profit Sharing Contributions (Non-elective Only)	Same as Elective Deferrals
This is a safe-harbor plan exempt from most testing	N/A
Maximum Elective Deferral contribution as a percent of Compensation (enter "100%" if no limit applies)	100%
Indicate whether a lower maximum Elective Deferral contribution applies for HCEs	No
Plan provides for automatic enrollment	None
In order to share in the allocation of Matching Contributions, a Participant is	No

required to be employed by the Company on the last day of the Plan Year or complete Hours of Service in the applicable Plan Year (Match Only)	
In order to share in the allocation of Matching Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year (Match Only)	No
In order to share in the allocation of Matching Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year or complete at least the Hours of Service specified below in the applicable Plan Year (Match Only)	No
Modifications shall be made to the service described above for an allocation of Matching contributions (Match Only)	No
Matching Contribution formula (Match Only)	Single rate
First rate of Matching Contributions (without % sign - percent of elective deferrals match) (Match Only)	100
Maximum amount of Employee contributions matched (without % sign - maximum percent of compensation matched at rate above) (Match Only)	3
Further discretionary Matching Contributions may be made in addition to those described as first - third steps (Match Only)	No
Further fixed Matching Contributions will be made in addition to those described as first - third steps (Match Only)	No
Plan limits Matching Contributions to a maximum amount/percentage in each Plan Year (Match Only)	No
Continuing Eligibility for Profit Sharing Contributions (Non-elective Only)	Pursuant to options selected below
In order to share in the allocation of Profit Sharing Contributions, a Participant is required to complete Hours of Service in the applicable Plan Year (Non-elective Only)	No
In order to share in the allocation of Profit Sharing Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year (Non-elective Only)	No
In order to share in the allocation of Profit Sharing Contributions, a Participant is required to be employed by the Company on the last day of the Plan Year or complete at least the Hours of Service specified below in the applicable Plan Year (Non-elective Only)	No
Amount of Profit Sharing Contributions (Non-elective Only)	Other
Enter the other Profit Sharing Contribution amount (Non-elective Only)	Amount needed to meet the SIMPLE 401(k) Contribution requirements

Profit Sharing allocation formula (Non-elective Only)	Fixed Amount
Profit Sharing Contributions are subject to a minimum amount (Non-elective Only)	No
Profit Sharing Contributions are subject to a maximum amount (Non-elective Only)	No
Plan also provides for an allocation formula required under a collective bargaining agreement (Non-elective Only)	No
Plan also provides for a Prevailing wage allocation formula as regular Profit Sharing Contribution (Non-elective Only)	No
Plan also provides for a Prevailing wage allocation formula as QNEC (Non-elective Only)	No
The Plan may accept voluntary contributions to deemed IRAs	No
Matching Contribution Account Vesting Schedule (Match Only)	100%
Profit Sharing Contribution Account Vesting Schedule (Non-elective Only)	100%
Plan has a vesting schedule other than the schedules described above	No
Retain old Profit Sharing Vesting for pre 2007 contributions (Non-elective Only)	No

Publishing Plan Documents

In the Plan Document module screen, you can print all the relevant forms and documents for the selected plan type.

Plan Documents

Note: Documents and forms may not generate correctly if the status for any section is "NOT-OK" or "???". If the status for any section is "NOT-OK" or "???", the first page of each downloaded document or form will contain a warning to that effect (you can always print a document even if you have not passed edit checks).

You can print the Plan Document by clicking **Plan Document** or **Adoption Agreement**. **Note** that you must generate Basic Plan Documents individually and the Basic Plan Document is not selectable for use with options in the **Do with Selected** menu, such as **Print to One File**, **Download to ZIP** or **Publish to Portal**. Clicking any other link in the Documents / Forms menu will download the respective document in .rtf or .pdf format depending on what you have selected from the 'Document Format' drop-down in the top right. On most desktop computers .rtf files will open in Microsoft Word and .pdf files will open with Adobe Reader/Acrobat.

Home > Edit Company > Edit Plan > Print Plan Documents

Company:	Quick-E Mart (div A) test	ID:	QuickE
Plan:	Quick-E Mart 401(k) (div A)	ID:	QuickE
Checklist:	Prototype Non-Standardized 401(k) - EGTRRA		
Details:	EIN: 222222222 • PN: 001 • PYE: ???		

Plan Documents Menu

ftwPro Amend

- Document Format:
- [Print IRS Letter for](#)
- [View Plan Docs D](#)

Documents / Forms

Plan Document

- [Adoption Agreement](#)
- [Download Basic Plan Document](#)

Required Amendments *

- [DC PPA Amendment](#)
- [2011 Required Amendment](#)
- [2012 Interim Amendment](#)

Custom/Workflow

MEP/APA

- [Joinder Agreement](#)

Summary Plan Description

- [Summary Plan Description](#)

Highlights

- [Sponsor Highlights](#)
- [Participant Highlights](#)

Administrative Policies

- [QDRO Procedures](#)
- [Funding Policy](#)

Model/Sample Amendments/Agreements

- [Consent](#)
- [Amendment](#)
- [Short Plan Year Amendment](#)
- [Termination Kit non MP](#)
- [Cease Safe Harbor Match Amendment](#)
- [Cease Safe Harbor Nonelective Amendment](#)
- [Trust Only](#)
- [EGTRRA Summary](#)
- [2012 DC Termination Amendment](#)

Forms

- [Deferral Agreement](#)
- [Deferral Agreement](#)
- [Bonus Deferral Ag](#)
- [Self Employed Defe](#)
- [Beneficiary Design](#)
- [Special Tax Notice](#)
- [Distribution Election](#)
- [Roth Certification f](#)
- [Beneficiary Dist Ele](#)
- [Inservice Distributi](#)
- [Benefit Statement](#)
- [Notice of Multiple S](#)
- [Blackout Notice f](#)

Do with selected: ▼

*NOTE: Documents generated after the required amendments have been released will have th automatically.

Note: Per plan document customers will be charged each time you click **Plan Document** on Volume Submitter style document, or **Adoption Agreement** for Prototype style documents. Per plan document customers are not charged for generating supporting documents, such as Basic Plan Documents (BPD), Summary Plan Descriptions (SPD), amendments,

checklists, etc. Per plan customers will also receive a warning that you will be charged for generating a document each time you click **Adoption Agreement** or **Plan Document**. We recommend that per plan customers generate the checklist to review with clients prior to generating the Adoption Agreement or Plan Document. We also suggest saving the Adoption Agreement or Plan Document to your computer once you have generated one. Annual document customers are only charged the annual fee.

Once you create a document, you should save a copy of the document to your computer. Documents on the system are updated from time to time. We fix documents for typos without notifying customers. Any time there is a new checklist item or other similar change, we will notify customers. At the time we notify customers, the older version of the plan will no longer be available. Note that even pre-approved documents can be changed after the time of release (after obtaining approval from the IRS). We do always contact customers via a technical update if changes have been made with detailed information on the changes.

Prototype Note: You will note that some items will appear blank on the adoption agreement. These items are blanked to indicate that a response is not necessary. For example, if matching contributions are not allowed in a 401(k) plan, all questions dealing with matching contributions will be blanked.

Select the document to print by clicking on the appropriate link within the 'Documents/Forms' box. The links that appear within the 'Documents/Forms' box may be determined by the type of plan. For instance, "Termination Kit non MP" will only appear for plans that are not money purchase or target benefit plans. "Trust Only" should only be an option if the checklist question "Trust Agreement is contained in a document separate from the Plan document" in Section G is answered "Yes" (it is a sample trust document you can modify and use if that is useful). You should consult with an attorney to determine if any other documents may be necessary. See the Table of Contents Note above for information regarding generating a table of contents for the SPD.

Please Note: Because of a quirk in MS Word, you often must save your plan document (if it contains a table of contents) and SPD as a regular Word document (.doc) immediately after downloading. If you fail to do so, the table of contents may not generate properly. After saving the plan document or SPD, you may generate the table of contents by placing the cursor and pressing F9 in the text "<< Press F9 to Generate Table of Contents here >>" that is present on the page immediately after the title page of the document.

Amendments

There are several types of amendments available on the system. All Amendments are located within the 'Documents/Forms' box on the 'Print Plan Documents' page for a plan.

- **Sample amendment template.** In the 'Documents/Forms' box, the link to 'Amendment' will generate a sample Amendment template that can be used to create amendments to existing documents. For pre-approved documents, we generally recommend copying and pasting the language from an existing adoption agreement/document into the amendment template to help ensure you do not modify the pre-approved language. This is an option for users that do not subscribe to the automated amendment, ftwPro Amend feature.
- **Optional amendments.** Some Amendments may be provided in case you should find them useful (termination amendments, amendments to add/remove optional features). Some examples of optional amendments include: Cease Safe Harbor Match Amendment, DBK Amendment, Roth Amendment (for 457(b) documents), etc.

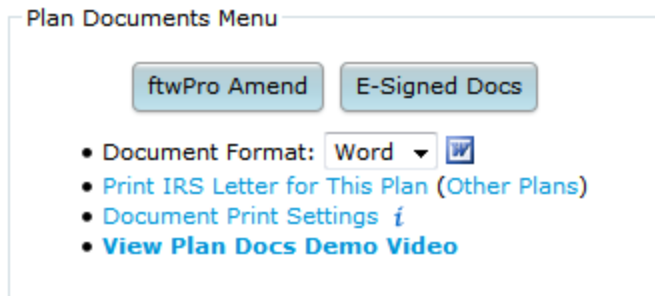
- **Required Amendments.** Required amendments are typically named "20XX Required Amendment". When required amendments are released, updated plan documents are released at the same time. Pre-approved documents will typically include required amendments as a tack-on amendment. Individually designed documents will typically have the changes incorporated into the document. This means that if new documents are generated as part of a restatement for example, you do not need to separately create any required amendments
- **ftwPro Amend.** Automatically generate a plan amendment, summary of material modifications (SMM) and consent action for any retirement or welfare plan in prototype format (plan with an Adoption Agreement). This amendment feature creates totally customized amendments based on revisions you have made to checklist answers. **Note:** Answers Only document versions will generate the amendment as if it were a full version document type so that all changes made in the checklist are displayed, including blank or inactive options. **Note:** The ftwPro Amend feature is an add-on to the documents in prototype format. If you would like to learn more, please contact support@ftwilliam.com or call 800-596-0714.

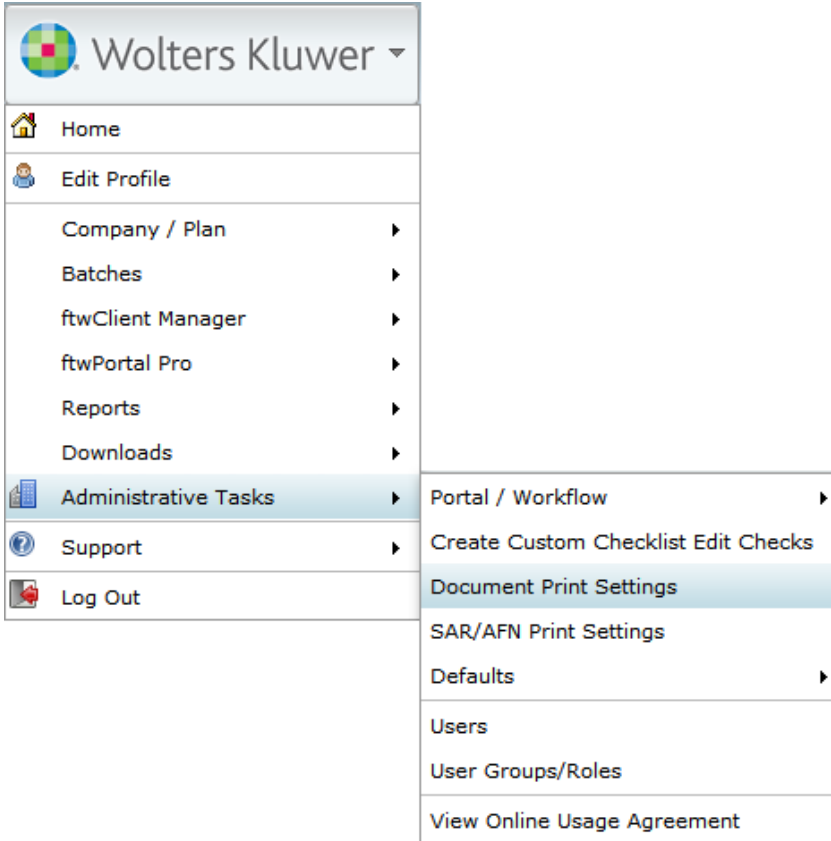
Forms

The forms available to print in the Plan Document module vary on the selected plan. For instance, loan documents will only appear for plans that permit participant loans. To print any form available, simply click on the appropriate form name.

Print Settings

Master Users and designated Admin users may configure print settings using the print settings dialog by clicking **Document Print Settings** from the Plan Documents screen, or under **Administrative Tasks** in the **Wolters Kluwer logo button**.

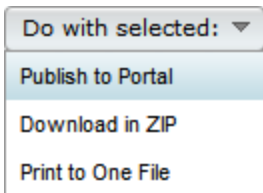




Group Print Forms and Documents

You can select any forms and documents listed to print together as a single file, or as a collection of individual files in a .zip directory. To print a batch of forms and/or documents, select the checkbox next to each form you would like to print, or click **Select All**.

After selecting the documents/forms you wish to print, you can print the documents/forms by clicking the **Do with Selected** button and click either download option **Print to One File** or **Download in ZIP**. Additionally, Portal customers may [publish plan documents directly to the Portal](#) by clicking the **Publish to Portal** option.



Note. There is an option to select the **Document Format** in the upper-right hand side of the page. In the Plan Documents menu choose between publishing plan documents as .pdf or .Word file when using **Print to One File**, or **Download in ZIP**.

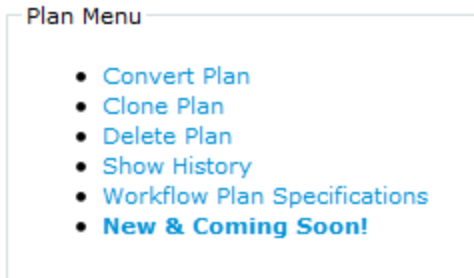
Plan Documents Menu

E-Signed Docs

- Document Format: Word 
- Individually-Drafted - No IRS Pre-Approval Letter
- [View Plan Docs Demo Video](#)

Show History screen

The Show History screen enables you to review all modifications made to plan documents, displaying which user made the changes, when and what changes the user made. Designated Administrative users can also revert changes made to plan document checklists from this screen.



To access the Show History screen, click **Show History** in the top right corner on the Edit Plan screen under the Plan Menu for any plan.

[Home](#) > [Edit Company](#) > [Edit Plan](#) > History

Company:	Quick-E Mart (div A) test	ID: Quicke
Plan:	Apu's Pension Plan (div A)	ID:
Checklist:	Defined Benefit Pension Plan (Proto Format) - EGTRRA	
Details:	EIN: 22222222 • PN: ??? • PYE: ???	

	User	Type	Module	Document/Area	Date	Note
	test user	ADD	Plan Document	All	2014-02-04 10:43:42	Added Via Cloning, co 401(k) (div A);]
	test user:	UPDATE	Plan Document	Misc-WL	2014-02-04 10:44:57	ConvertFrom=ProtoN ConvertTo=:Misc:WL
	test user	UPDATE	Plan Document	Welfare-Cafe	2014-02-04 10:45:22	ConvertFrom=Misc:W ConvertTo=EGTRRA:
	test user	UPDATE	Plan Document	Welfare-Cafe	2014-02-04 10:45:45	
	nick	UPDATE	Plan Document	Welfare-Cafe	2014-02-05 11:15:55	
	nick	UPDATE	Plan Document	Misc-WL	2014-02-05 11:16:00	ConvertFrom=Welfar ConvertTo=:Misc:WL
	nick	UPDATE	Plan Document	DefBen-DB	2014-02-05 11:17:13	ConvertFrom=Misc:W ConvertTo=EGTRRA:
	Apu N.	UPDATE	Plan Document	General Information	2014-02-06 10:38:24	
	Apu N.	UPDATE	Plan Document		2014-02-06 10:38:24	
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-07 12:00:58	
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-10 16:49:21	
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-10 16:59:24	
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-10 17:03:36	
	nick	GENERATE	Docs	Adoption Agreement	2014-02-11 10:29:20	
	nick	GENERATE	Plan Document	Plan Document	2014-02-11 10:29:37	
	nick	GENERATE	Plan Document	Plan Document	2014-02-11 10:29:42	
	Apu N.	UPDATE	Portal		2014-02-11 11:40:01	update=add;usernam
	Apu N.	UPDATE	Portal		2014-02-11 11:40:01	update=add;usernam module=Document;
	Apu N.	UPDATE	Portal		2014-02-11 11:40:01	update=add;usernam
	Apu N.	UPDATE	Portal		2014-02-11 11:40:14	View5500=Yes;

The Show History screen also shows history such as when documents were generated, forms were printed, and updates were made changes to Portal users, etc for the selected plan. The Note column offers more details regarding the change; all changes you have made in the Plan Document module are logged, and you can click **Update** in the Type column to view any set of changes to the plan documents.

Transaction Log

To view the summary of a change set, click on **Update** which will provide a pop-up of the Transaction List.

Transaction List				
Plan:	Apu's Pension Plan (div A)			
User:	nick			
Date Time:	2014-02-10 17:03:36 -> 2014-02-10 17:03:44			
Section	Line No	Question	Old Value	New Value
A	23a	Include Post Severance Compensation :	Yes	No
A	23b	A.23a is "Yes", effective date of inclusion of Post Severance Compensation shall be limitation years beginning on or after:	Maybe	(DISABLED)
A	23c	Compensation is determined using Post Year End Compensation:	No	Yes
A	23d	If A.23c is "Yes", effective date of using Post Year End Compensation shall be limitation years beginning on or after:	(DISABLED)	(BLANK)
A	23d	If A.23c is "Yes", effective date of using Post Year End Compensation shall be limitation years beginning on or after:	(BLANK)	something...

Close

The top of the Transaction List provides the Plan Name, which user made the Update and the Date and Time range of the session when the changes were made. Each time the user logs in, the Transaction List will record a new session for all changes the user makes which lasts until the user logs out of the system. Additionally, changing a plan's checklist by converting a plan will end the user's session and start a new session, creating multiple entries in the Show History log. The Section, Line No and Question columns refer to the part of the checklist that was changed. The Old Value is the value prior to the change and the New Value is the value replacing the Old Value. Note: The user may not have changed some of the values directly: due to other checklist options being enabled or disabled. For example, in the screen shot above, Line 23a was changed to 'No', which disabled Line 23b since the value was no longer pertinent.

Revert

From the Show History screen, Designated Admin users can also revert changes made during each session and all changes following that session effectively rolling back the Plan Document to the state prior to the selected entry. To revert changes, click **Revert** at a point in the checklist change history that you would like to revert to. **Note:** Clicking **Revert** will undo all changes made during the session you have selected. Reverting changes also creates a record in the Show History log, and reverts can also be reverted.

Revert Plan Checklist Values

Plan: Apu's Pension Plan (div A)
Revert To: Values prior to 2014-02-07 12:00:58

Please confirm the resulting changes.

New values shown in bold.
 Click 'OK' below to apply these changes.

Section	Line No	Question	Current Value	Revert Value	Imposed Default
A	3a	Original effective date of Plan:	just a test	(BLANK)	
A	3c	If A.3b is "Yes", effective date of Plan restatement:	yet another test	(BLANK)	
I	1	Enter custom language that is to be added as an Addendum to the Adoption Agreement.	Some custom language la-alalalala	(BLANK)	
A	20a	Definition of Compensation:	Withholding	W-2	
A	23d	If A.23c is "Yes", effective date of using Post Year End Compensation shall be limitation years beginning on or after:	something...	(DISABLED)	
A	23c	Compensation is determined using Post Year End Compensation:	Yes	No	

OK Cancel

The Revert Plan Checklist Values dialogue summarizes all values that will be reverted, including the current values and the values the checklist will be reverted back to. If you would like to cancel the revert, just click **Cancel**.

Pressing **OK** from the Revert Plan Checklist Values dialog will provide you with a confirmation, reporting the changes successfully made during the revert.

Revert Plan Checklist Values

Plan: Apu's Pension Plan (div A)
Revert To: Values prior to 2014-02-10 17:03:36



Success!
 New values are shown in **bold**.

Section	Line No	Question	Old Value	Revert Value	Imposed Default
A	23a	Include Post Severance Compensation:	No	Yes	
A	23c	Compensation is determined using Post Year End Compensation:	Yes	No	

Close

After completing a revert, you can see the entry in the Show History log of the revert itself:

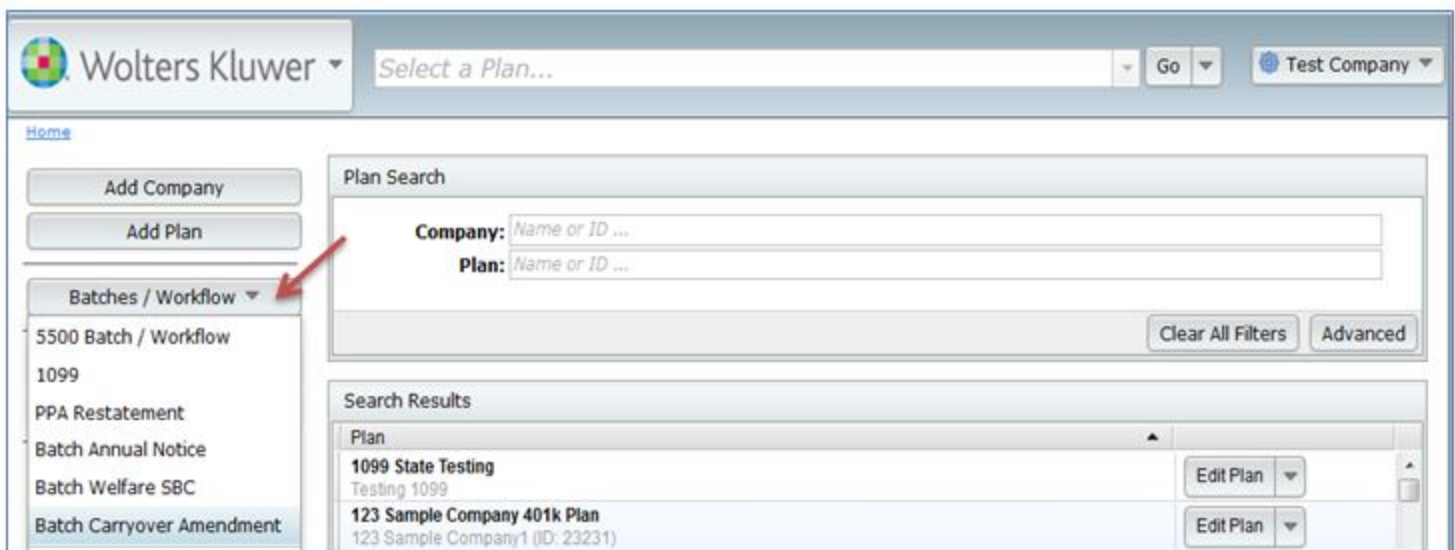
Revert	nick	UPDATE	Plan Document	DefBen-DB	2014-02-11 15:26:04	Revert to values prior 17:03:36
--------	------	--------	---------------	-----------	---------------------	------------------------------------

Document Batches

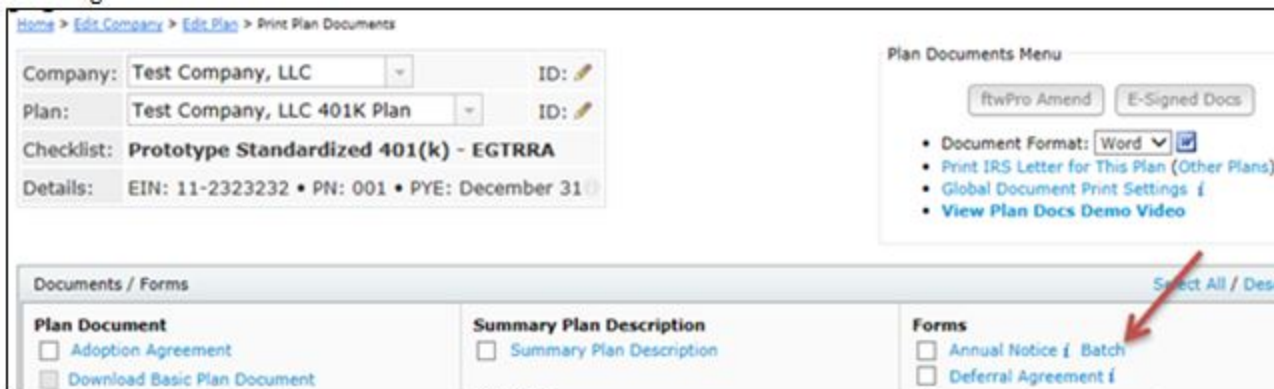
Overview:

The Batch feature permits you to print PPA Restatements, Annual Notices, Summary of Benefits and Coverage (SBCs) and Carryover Amendments for all of your clients in a few easy steps. **Note:** This feature is only available to Annual Document Subscribers.

To use the applicable batch feature(s), select from the applicable Batch in the drop-down ("PPA Restatement", "Batch Annual Notice", "Batch Welfare SBC" or "Batch Carryover Amendment") on the "Home" page under "Batches/Workflow".



You can also access the applicable feature(s) by clicking on the "Batch" link located in the "Forms" box on the "Print Plan Documents" page just to the right of the applicable link. For example, for a plan with Annual Notice features (safe harbor, auto-enrollment or QACA) to the right of the Annual Notice link; for welfare plans subject to HIPAA Portability, to the right of the SBC - Annual link.



PPA Restatement

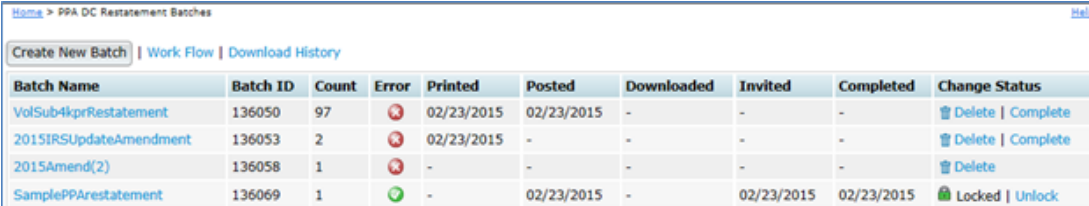
The PPA Restatement Batch allows the user to convert EGTRRA plans to PPA. Once converted to PPA, the user is able to print the Restatement, along with a Cover Letter, Basic Plan Document (BPD), if applicable, Summary Plan Description (SPD) and Participant Highlights.

The PPA Restatement Batch can also be used to update plans that were restated for PPA prior to February 22, 2015. This can be done either by creating an entirely new set of documents (either [reposting](#) or [regenerating](#) the original PPA Restatement or creating a new PPA Restatement batch) or by creating an amendment batch ([2015 IRS Update Amendment](#)). The amendment option is only available for prototype documents and those Volume Submitter documents using the prototype format.

Click [here](#) to view a demo video of the PPA Restatement.

Existing Batches.

The image below shows sample batches already added.



Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	Change Status
VolSub4kprRestatement	136050	97	✖	02/23/2015	02/23/2015	-	-	-	Delete Complete
2015IRSUpdateAmendment	136053	2	✖	02/23/2015	-	-	-	-	Delete Complete
2015Amend(2)	136058	1	✖	-	-	-	-	-	Delete
SamplePPARestatement	136069	1	✔	-	02/23/2015	-	02/23/2015	02/23/2015	Locked Unlock

A batch that has an 'OK' (✔) Error status means that all edit checks in the plan checklist and batch grid have passed. The ✖ symbol means there are errors either with one or more of the document checklist(s) or with the batch grid. Click on the ✖ to see the checklist and/or grid errors.

Users can "Complete" a batch at any time. If a batch is completed, it will appear as having a "Locked" status and Completed column will have a date stamp with the date the batch was marked as "Complete". If a user wishes to edit, resend or delete a "Locked" batch, they will first need to "Unlock" the batch by pressing the "Unlock" link under Change Status. If the user wishes to delete the batch, they can simply click the "Delete" link under the Change Status column. To edit an unlocked batch click on the name of the batch link.

Work Flow. By clicking on "Work Flow", the user will see a list of all of the Defined Contribution plans set up in the system that have "Yes" for "Resp" for the Plan Documents, whether they are EGTRRA or PPA. You can also view which plans have "Yes" for "Resp" for the Plan Documents (plans marked "No" under "Resp" will not be available to add to the batch).

Create New Batch. Click on "Create New Batch" to start the process of completing a PPA Restatement Batch or 2015 IRS Update Amendment Batch.

New Batch
X

Enter batch name:

Select Batch Type: PPA Restatement
2015 IRS Update Amendment

Batch Options (before PPA conversion):

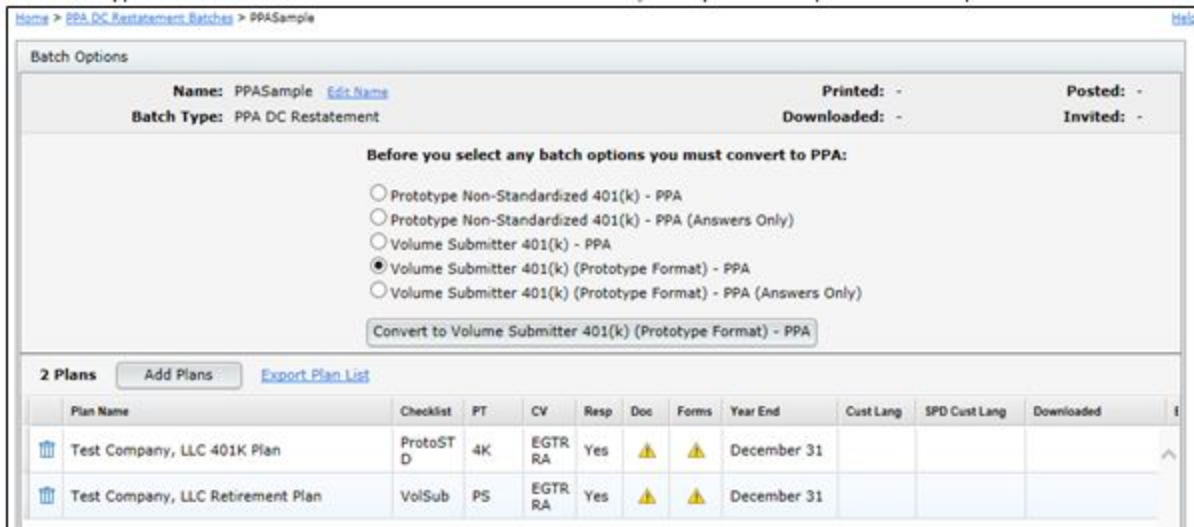
Add Plans. Once directed to the "Batch Options" screen, click on "Add Plans", where a list of plans that are not currently in another PPA Restatement batch will display (and are marked as "Yes" for "Resp"). The user will be able to select EGTRRA or PPA checklist types. To add plans to the batch, the user would check the box on the left-hand side of "Plan Name" to select/unselect all the plans listed, or check off plans one at a time. When the plans are selected, click on "Add Plans".

The screenshot shows the 'Batch Options' interface for a batch named 'PPASample'. A modal window titled 'Add Plans' is open, displaying a table of available plans. A red arrow points to the 'Add Plans' button at the bottom of the modal. The table contains the following data:

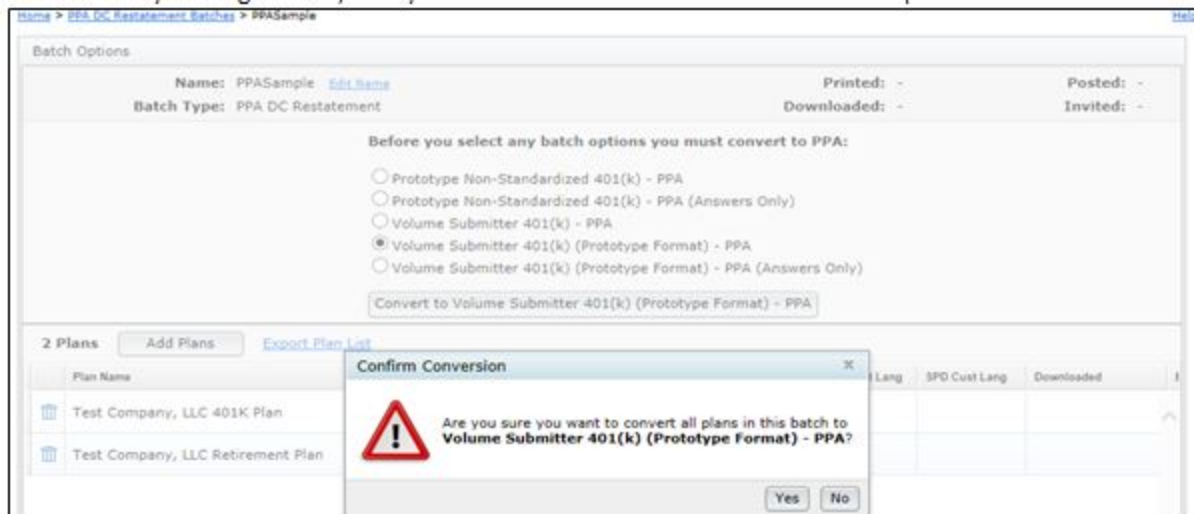
Plan Name	Year End	Checklist	Plan Type	CV	Safe Harb
<input checked="" type="checkbox"/> Test Company, LLC 401K Plan	December 31	ProtoSTD	4K	EGTRRA	Yes - nonelec contribs
<input checked="" type="checkbox"/> Test Company, LLC Retirement Plan	December 31	VolSub	PS	EGTRRA	No

At the bottom of the modal, it shows 'Current View Total: 2 / Number Selected: 2' and an 'Export current view to CSV' link.

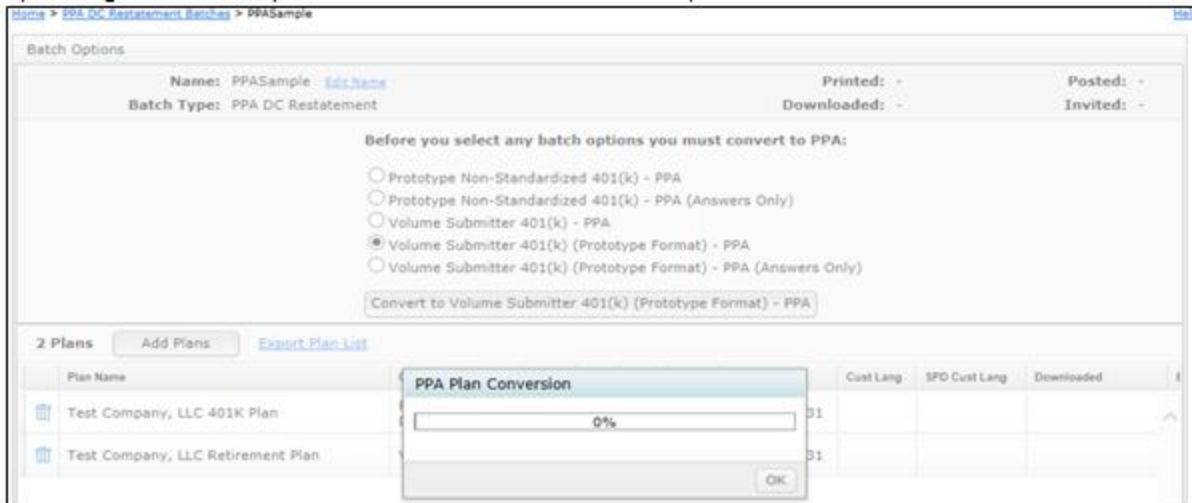
The user will be directed back to the "Batch Options" screen where the option to choose the PPA Checklist type will appear. Once selected, the user will click on "Convert to [Checklist Type] – PPA". **Note:** If the user adds plans to the batch that have already been converted to PPA for the **SAME** checklist type that is being converted, the system will not perform any updates to that plan. However, if the user adds PPA plans that are on **DIFFERENT** checklist types from what has been selected for conversion, the system will perform the updates.



Once the user clicks on "Convert to [Checklist Type] – PPA", a warning dialog will appear for the user to Confirm Conversion. By clicking on "No", the system will direct the user back to the "Batch Options" screen.

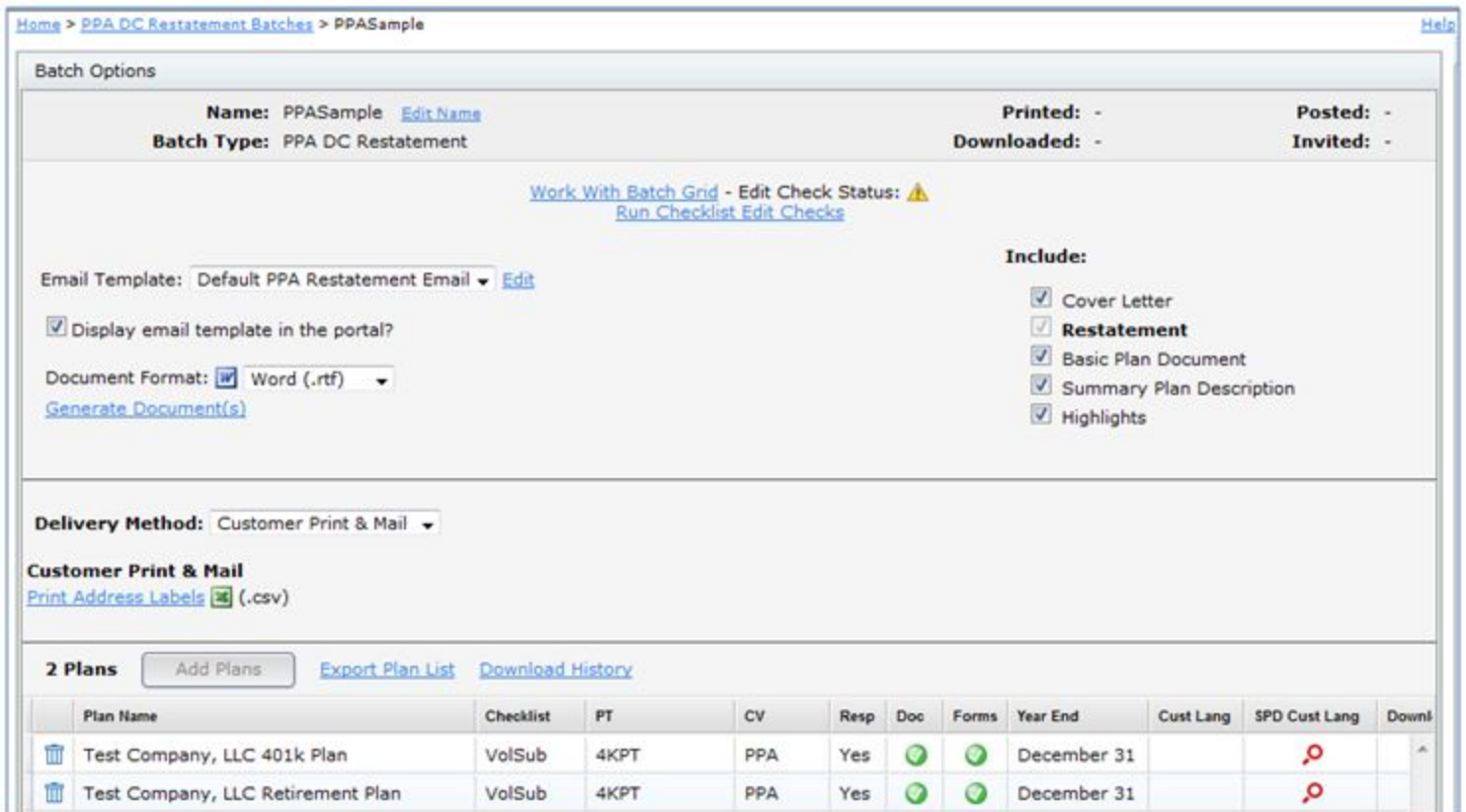


By clicking on "Yes" the system will run the PPA Conversion and provide a PPA Plan Conversion statistic.



Batch Options (after PPA conversion):

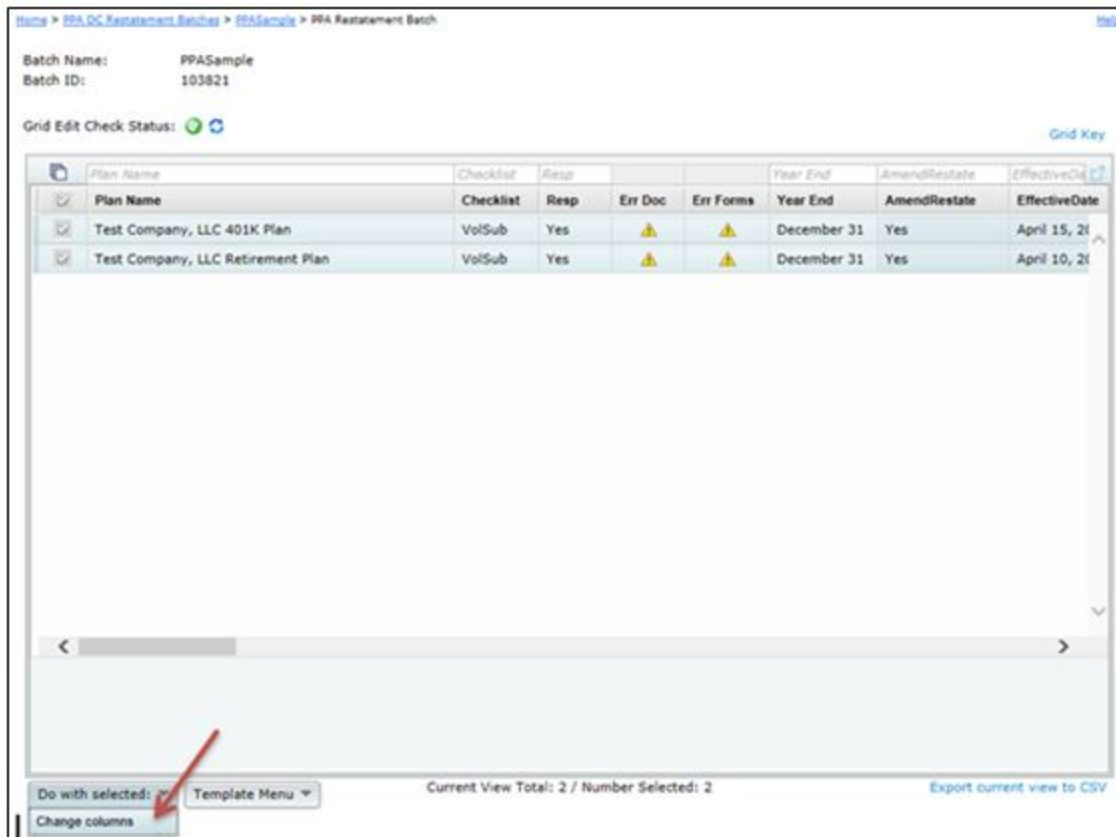
Once the plans in the batch have been converted to PPA, numerous options will appear on the "Batch Options" screen. Each will be discussed in the order they appear below.



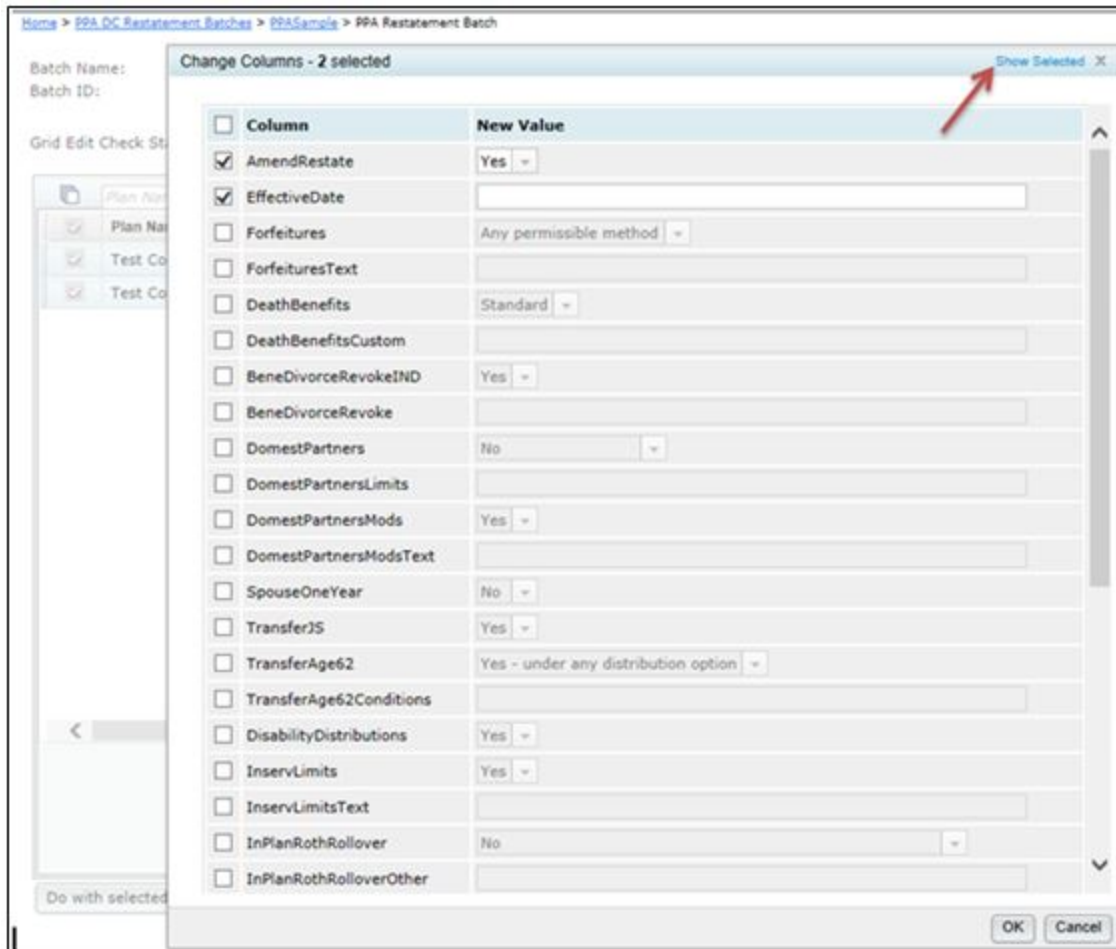
Edit Name. The user may click on this link to re-name the batch.

Work with Batch Grid. Instead of going directly to a plan's "Edit Plan" screen to work on the checklist, the user can go into the "Work with Batch Grid" to update some of the checklist items. The user is able to directly change checklist items within the grid, which will update the Online Checklist found on the Edit Plan screen. For more details on which columns may be edited, view the "[Batch Grid Data Entry Key](#)".

Do With Selected. This feature allows you to "Change columns" for plans selected.



Change columns. Allows admin users to update the AmendRestate, EffectiveDate, Forfeitures, ForfeituresText, DeathBenefits, DeathBenefitsCustom, BeneDivorceRevokeIND, BeneDivorceRevoke, DomesticPartners, DomesticPartnersLimits, DomesticPartnersMods, DomesticPartnersModsText, SpouseOneYear, TransferJS, TransferAge62, TransferAge62Conditions, DisabilityDistributions, InservLimits, InservLimitsText, InPlanRothRollover, InPlanRothRolloverOther, InPlanRothRolloverAge, InPlanRothRolloverPartVested, InPlanRothRolloverEffDate, InPlanRothRollover411, InPlanRothRollover411Other, IRRNotDistributable, IRRNotDistributableLimits, IRRNotDistributableEffDate, SpecialTrustee, SpecialTrusteeOther, SttLimit, SttLimitPeriod, SignaturePages columns by checking the box for the column to un-gray the fields. The user will find more details on what each column represents by going to the "[Batch Grid Data Entry Key](#)" with the "Grid Key".



Show Selected. Displays the plans that were selected on the "Batch Options" screen.



Default Template: Master and Designated Admin user will start off with a Default Template and have the option to create a new template for all users to view. For more details about the Templates, view Template Menu below.





The grid options that appear for all users will depend upon what template is selected by the admin user(s). If users do not see one of the columns described under "Change columns", the admin user has likely selected a different template for its users. You may click on "[Batch Grid Data Entry Key](#)" for more details.

Template Menu. Master/Designated Admin users may make changes to the Default Template grid, or create a new template grid. This menu has three options (Create New Template, Show/Hide Template Tray and Delete Template) described in detail below:

Home > PPA DC Restatement Batch > PPA Sample > PPA Restatement Batch

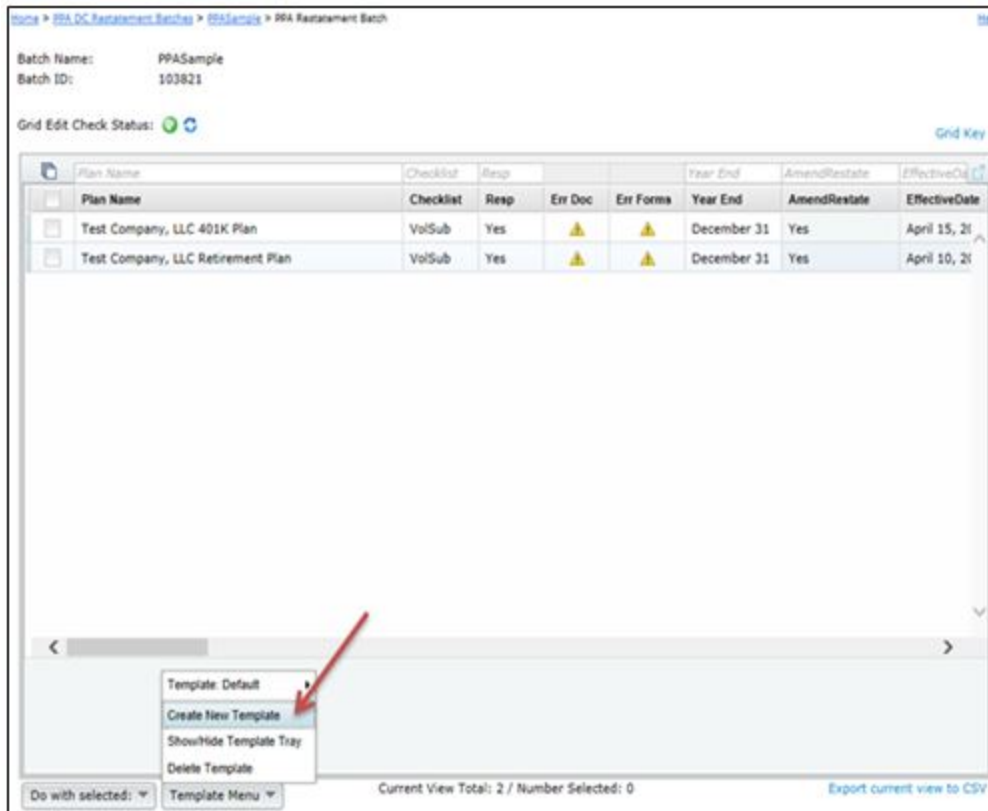
Batch Name: PPA Sample
Batch ID: 103821

Grid Edit Check Status:   Grid Key

Plan Name	Checklist	Resp	Err Doc	Err Forms	Year End	Amend/Restate	Effective Date
Test Company, LLC 401K Plan	VolSub	Yes			December 31	Yes	April 15, 2021
Test Company, LLC Retirement Plan	VolSub	Yes			December 31	Yes	April 10, 2021

Do with selected: Template Menu

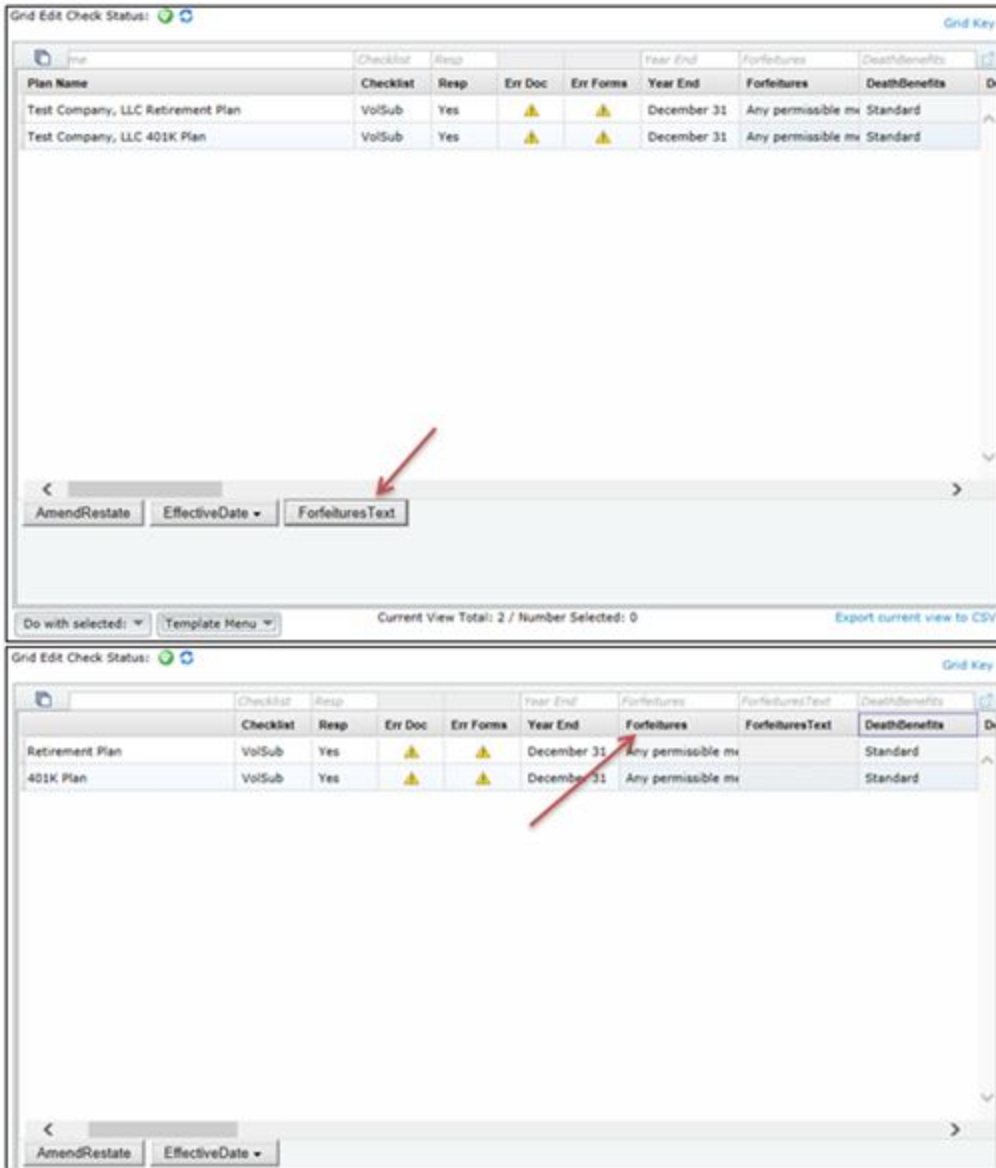
Current View Total: 2 / Number Selected: 0 [Export current view to CSV](#)



Create New Template. Create a template, which will replicate the Default and select it from the Template drop-down list. Use only letters, numbers, spaces and dashes to create templates. Once created, you will need to select the new template from the Template drop-down list before you can edit it under the "Show/Hide Template Tray" option described below (or delete it).

Show/Hide Template Tray. Customize the Default or any template created. First, the user should ensure the template is selected and then select the "Show/Hide Template Tray".

Add column headers by clicking on the header in the tray. Note that headers will be added in the default order. Remove column headers by dragging them into the tray.

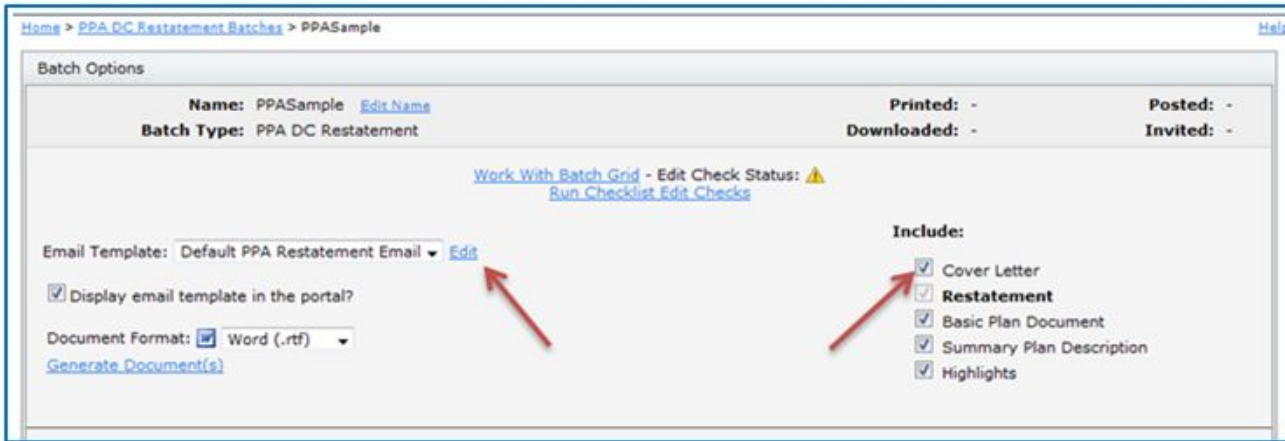


Delete Template. Delete the template that is currently displayed on the "Template" button. Pop-Up window appears to confirm you are sure you would like to delete the template.

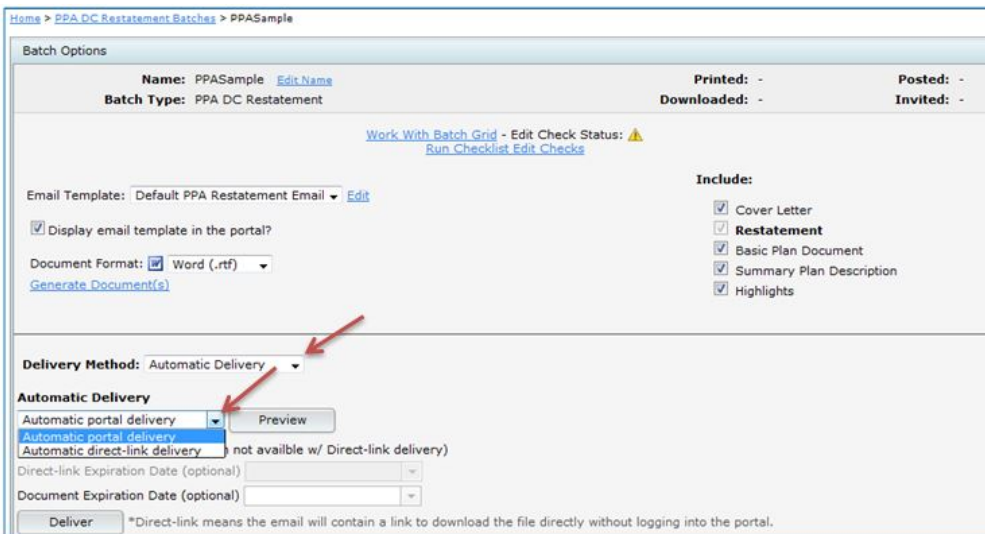
Export current view to CSV. Export a CSV file for the template you have selected.

Include. The Restatement is auto-selected beneath 'Include' on the right-hand side of the screen. You are able to also select the Cover Letter, Basic Plan Document, if applicable, Summary Plan Description, and/or Highlights to print with the Restatement. After you have the documents selected that you wish to print, click on "Generate Selected Document (s)", which will create a zip folder containing a file for each plan within the batch. The "Printed" date will update in the upper right-hand corner once you click "OK" when generating the files.

If you are familiar with *fwPortal Pro*, the Cover Letter is the same as the Email Template. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide. Annual Document subscribers and *fwPortal Pro* customers can follow the same steps to set up the Cover Letter.



Delivery Method. Users that are a *fwPortal Pro* customer have the option to publish the PPA Restatement to the portal, or provide a Direct-Link to the PPA Restatement so that users can auto-generate the Restatement without logging into the portal. First, the user will need to select Automatic Delivery from the drop-down list.



Automatic Delivery:

Automatic portal delivery. Select this option to send a link to portal users to log into the portal to view the Restatement and supporting documents, if applicable.

Automatic direct link delivery. Select this option to send a direct-link to portal users to easily download a copy of the Restatement and supporting documents, if applicable, without having to log into the portal.

Note. Users should be sure to click on "Preview" to ensure that portal users are assigned to the plans, and to verify that the correct placeholders are used within the email templates before sending the invites to your clients. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide.

E-Sign:

*ftw*Portal Pro customers that have reviewed the [E-Signature Whitepaper](#) and emailed the completed [E-Signature Authorization Form](#) to support@ftwilliam.com will have access to use the E-Sign option for the Batch PPA Restatement. This feature is an add-on product to *ftw*Portal Pro at no additional cost.

The screenshot shows a web interface for managing PPA DC Restatement Batches. The breadcrumb trail is "Home > PPA DC Restatement Batches > PPASample". The main section is titled "Batch Options" and contains the following information:

- Name:** PPASample (with an [Edit Name](#) link)
- Batch Type:** PPA DC Restatement
- Printed:** -
- Posted:** -
- Downloaded:** -
- Invited:** -

Below this information, there are two links: [Work With Batch Grid - Edit Check Status:](#) (with a warning icon) and [Run Checklist Edit Checks](#).

The "Email Template" section includes:

- Current template: "Default Document Signer Email" (with an [Edit](#) link)
- Display email template in the portal?
- Document Format: Word (.rtf) (with a [Generate Document\(s\)](#) link)

The "Include:" section has a list of items with checkboxes:

- Cover Letter
- Restatement**
- Basic Plan Document
- Summary Plan Description
- Highlights

The "Delivery Method:" is set to "Automatic Delivery".

The "Automatic Delivery" section includes:

- Automatic portal delivery (with a [Preview](#) button)
- Require E-Sign: (E-Sign option not available w/ Direct-link delivery)
- Direct-link Expiration Date (optional) (dropdown menu)
- Document Expiration Date (optional) (dropdown menu)

At the bottom, there is a [Deliver](#) button and a note: "*Direct-link means the email will contain a link to download the file directly without logging into the portal."

Two red arrows in the image point to the "Edit" link next to the email template and the "Require E-Sign" checkbox.

Once users have E-Sign turned on, the option will become visible to the user after selecting Automatic Delivery, then Automatic portal delivery. **Note:** E-Sign is not an option with Direct-Link. After E-Sign is checked, the Email Template will also update to the default email template selected in the Global Email Settings for Document Signer Email. Users should click on "Preview" to verify signers have been set up for each plan listed in the batch. Click on "No valid users" to add a signer to the plan. Each plan can only have one Sponsor, but as many Trustees as desired.

PPA DC Restatement - PPASample

E-Signing has been authorized for all plans.

Automatic Portal Delivery -- Preview

Company	Document Name	Document Status	Portal User	Signing As	Pre-Approved	ESign eligible	Signed Status	Email Sent
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.rtf	Preview	Message11	SPONS	Yes	Yes		Preview
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.rtf	Preview	Message158	TRUST	Yes	Yes		Preview
Test Company, LLC Retirement Plan	Test Company, LLC Retirement Plan_PPADC.rtf	Preview	No valid users					

PPA DC Restatement - PPASample

E-Signing has been authorized for all plans.

Automatic Portal Delivery -- Preview

Company	Document Name	Document Status	Portal User	Signing As	Pre-Approved	ESign eligible	Signed Status	Email Sent
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.rtf	Preview	Message11	SPONS	Yes	Yes		Preview
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.rtf	Preview	Message158	TRUST	Yes	Yes		Preview
Test Company, LLC Retirement Plan	Test Company, LLC Retirement Plan_PPADC.rtf	Preview	Message172	SPONS:TRUST	Yes	Yes		Preview

Users should return back to the Batch Options screen to click on Deliver. All the files that were "Included" will publish to the portal as one file for the portal users to E-Sign in .pdf format, even if it was sent to the portal in .rtf format. Once the file has been E-Signed, the signatures will insert into the signature line(s) of the Adoption Agreement/Plan Document. Users can verify the status of the plan by going to the "Status (Portal delivery method)" to view the Signed Status.

Home > PPA DC Restatement Batches > PPA Sample

Batch Options

Name: PPA Sample [Edit Name](#) **Printed:** - **Posted:** 09/22/2014
Batch Type: PPA DC Restatement **Downloaded:** - **Invited:** 09/22/2014
E-Signed: 1 of 2 | 9/22/2014 **Completed:** [Mark as Complete](#)

[View Batch Grid](#) - [Edit Check Status](#): ⚠️
[Run Checklist](#) [Edit Checks](#)

Email Template: PPA E-Sign Template [Edit](#)

Display email template in the portal?

Document Format: Word (.rtf) [Generate Document\(s\)](#)

Include:

- Cover Letter
- Restatement**
- Basic Plan Document
- Summary Plan Description
- Highlights

Delivery Method: Automatic Delivery

Automatic Delivery
[Status \(Portal delivery method\)](#) [Download History](#)

2 Plans [Add Plans](#) [Export Plan List](#) [Download History](#)

Plan Name	Checklist	PT	CV	Resp	Doc	Forms	Year End	Cust Lang	SPD Cust Lang	Downl
Test Company, LLC 401k Plan	VolSub	4KPT	PPA	Yes	✓	✓	December 31		🔍	09 ^
Test Company, LLC Retirement Plan	VolSub	4KPT	PPA	Yes	✓	✓	December 31		🔍	

Home > PPA DC Restatement Batches > PPA Sample > Automatic Portal Delivery [Help](#)

PPA DC Restatement - PPA Sample

E-Signing has been authorized for all plans.

Automatic Portal Delivery -- Results

Company	Document Name	Document Status	Portal User	Signing As	Pre-Approved	Esign eligible	Signed Status	Email Sent
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.pdf	OK	Message11	SPONS	Yes	Yes	Signed	Sent: 2014-09-22 17:06:00 (Resend)
Test Company, LLC 401k Plan	Test Company, LLC 401k Plan_PPADC.pdf	OK	Message158	TRUST	Yes	Yes	Signed	Sent: 2014-09-22 17:06:00 (Resend)
Test Company, LLC Retirement Plan	Test Company, LLC Retirement Plan_PPADC.rtf	OK	Message172	SPONS:TRUST	Yes	Yes	Not Signed	Sent: 2014-09-22 17:06:01 (Resend)

The user can go to the Print Plan Document screen for a given plan to view the E-Signed Adoption Agreement/Plan Document, as well as the Certificate.

Company: Test Company, LLC ID:

Plan: Test Company, LLC 401k Plan ID:

Checklist: Volume Submitter 401(k) (Prototype Format) - PPA

Details: EIN: 64-6464647 • PN: 002 • PYE: December 31

Plan Documents Menu

- E-Signed Docs
- Document Format: Word
- Print IRS Letter for This Plan (Other Plans)
- Global Document Print Settings
- View Demo Video

Documents / Forms

Plan Document

- Adoption Agreement
- Basic Plan Document

E-Signed Plan Documents

Document History

Status: Signed Email Date: 09/22/2014 View Date: N/A Download Date: 09/22/2014 E-Sign Date: 09/22/2014

User Name	Name	Signing As	Email Date	View Date	Download Date	E-Sign Date
Message11	Message Tester11	Sponsor	09/22/2014		09/22/2014	09/22/2014
Message158	Message Tester158	Trustee	09/22/2014		09/22/2014	09/22/2014

[Download Signing Certificate](#)

Return to List

Note: Batches that contain E-Signed Documents may be deleted. However, please note the following:

- If a document in the batch was fully signed, that is, all required signers e-signed the document on the portal, the original e-signed document will remain on the portal user's portal page so the history is retained.
- If a document was only partially e-signed, that is, multiple signers were required to sign and not all did, the document will be deleted from the portal.
- If a document in the batch was not e-signed, the document will be deleted from the portal.

Regenerating a Restatement Batch.

Plans that were already restated for PPA prior to February 22, 2015 using the PPA Restatement batch feature, can be reprinted to produce new documents with the required changes that can then be manually printed and sent to your clients.

From the PPA Restatement Batch screen, click the link under the "Batch Name" of the batch that will be reprinted.

Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	Change Status
VolSub4kprRestatement	136050	97		02/23/2015	02/23/2015	-	-	-	Delete Complete
2015IRSUpdateAmendment	136053	2		02/23/2015	-	-	-	-	Delete Complete
2015Amend(2)	136058	1		-	-	-	-	-	Delete
SamplePPArestatement	136069	1		-	02/23/2015	-	02/23/2015	02/23/2015	Locked Unlock

After making any changes to the document format or documents to include in the batch, simply press the "Generate Document(s)" button to produce a zip folder with all of the selected documents in the batch.

Batch Options

Name: SamplePPArestatement [Edit Name](#)

Batch Type: PPA DC Restatement

Printed: - **Posted:** -


Downloaded: - **Invited:** -

[Work With Batch Grid](#) - [Edit Check Status](#): ⚠️
[Run Checklist](#) [Edit Checks](#)

Email Template: [Edit](#)

Check to use PPA Changes Email Template
 Display email template in the portal?

Document Format: Word (.doc)

[Generate Document\(s\)](#) 

Include:






- Cover Letter
- Restatement**
- Basic Plan Document
- Summary Plan Description
- Highlights

Reposting a Restatement Batch. Plans that were already restated for PPA prior to February 22, 2015 using the PPA Restatement batch feature, can be reposted to produce new documents with the required changes and automatically deliver them to their client's portal.

First, from the PPA Restatement Batch screen, click the link under the "Batch Name" of the batch that needs to be reposted. The batch must have an unlocked status in order for the "Repost" button to be available.

Home > PPA DC Restatement Batches [Help](#)

[Create New Batch](#) | [Work Flow](#) | [Download History](#)

Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	Change Status
VolSub4kprRestatement	136050	97		02/23/2015	02/23/2015	-	-	-	Delete Complete
2015IRSUpdateAmendment	136053	2		02/23/2015	-	-	-	-	Delete Complete
2015Amend(2)	136058	1		-	-	-	-	-	Delete
SamplePPArestatement	136069	1		-	02/23/2015	-	02/23/2015	02/23/2015	 Locked Unlock

Next, set the Delivery Method to Automatic Delivery. The screen will refresh and the "Repost" button will appear. Pressing the "Repost" button posts the newest version of the documents to the portal.

Delivery Method:

Automatic Delivery

[Status \(Portal delivery method\)](#) [Download History](#) 

Once returned to the batch restatement, verify that the settings are as you wish them to be and press the "Deliver" button to require e-signing or enable direct-link delivery.

Home > PPA DC Restatement Batches > PPASample

Batch Options

Name: PPASample [Edit Name](#) **Printed:** - **Posted:** -
Batch Type: PPA DC Restatement **Downloaded:** - **Invited:** -

[Work With Batch Grid](#) - [Edit Check Status](#): ⚠️
[Run Checklist](#) [Edit Checks](#)

Email Template: Default Document Signer Email [Edit](#)

Display email template in the portal?

Document Format: Word (.rtf) [Generate Document\(s\)](#)

Include:

- Cover Letter
- Restatement**
- Basic Plan Document
- Summary Plan Description
- Highlights

Delivery Method: Automatic Delivery

Automatic Delivery

Automatic portal delivery

Require E-Sign: (E-Sign option not available w/ Direct-link delivery)

Direct-link Expiration Date (optional)

Document Expiration Date (optional)

*Direct-link means the email will contain a link to download the file directly without logging into the portal.

Click [here](#) to view a demo video of the PPA Restatement process.

2015 IRS Update Amendment Batch.

Prototype plans that were already restated for PPA prior to February 22, 2015 using the PPA Restatement batch feature, can elect to produce the 2015 IRS Update Amendment instead of generating entirely new documents. This feature is accessed from within Batches --> PPA Restatement.

Home > PPA DC Restatement Batches [Help](#)

[Create New Batch](#) | [Work Flow](#) | [Download History](#)

Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed	Change Status
VolSub4kprRestatement	136050	97	❌	02/23/2015	02/23/2015	-	-	-	Delete Complete
2015IRSUpdateAmendment	136053	2	❌	02/23/2015	-	-	-	-	Delete Complete
2015Amend(2)	136058	1	❌	-	-	-	-	-	Delete
SamplePPArestatement	136069	1	✅	-	02/23/2015	-	02/23/2015	02/23/2015	Locked Unlock

First, users will need to create a new batch. To do this, click the "Create New Batch" button --> Enter batch name-> Select batch type to be "2015 IRS Update Amendment" and press OK.

New Batch ✕

Enter batch name:

Select Batch Type: PPA Restatement
2015 IRS Update Amendment

Next, click the "Add Plans" button and select the plans you would like to add to your batch. Please note that individually designed plans (IDPs) are not able to be added to a 2015 IRS Update Amendment batch, as these plans must be fully restated. Once all plans you wish to include in this batch have been selected, press the "Add Plans" button.

The user will be directed back to the "Batch Options" screen where the option to choose the PPA Checklist type will appear. Once selected, the user will click on "Convert to [Checklist Type] – PPA". **Note:** If the user adds plans to the batch that have already been converted to PPA for the **SAME** checklist type that is being converted, the system will not perform any updates to that plan. However, if the user adds PPA plans that are on **DIFFERENT** checklist types from what has been selected for conversion, the system will perform the updates needed to convert the plan to the new document type.

Prior to generating the amendment, the user should run the checklist edit checks. This will run edit checks for all plans in the batch. All issues in each plan should be resolved within the specific plan's checklist prior to continuing on.

The e-mail template should then be selected. The "E-mail Template" is the same as the "Cover Letter" if you elect to print the cover letter when printing your documents or are publishing to the portal if you use ftwPortal Pro. The document selection is located on the right side of the screen. Check the documents that you would like to print (or publish to the portal if you use ftwPortal Pro). The Amendment and Basic Plan Document will automatically be checked and cannot be un-selected as these are both required to be printed.

Batch Options

Name: SampleAmendment Edit Name	Printed: -	Posted: -
Batch Type: PPA 2015 IRS Update Amendment	Downloaded: -	Invited: -

[Work With Batch Grid](#) - Edit Check Status: ⚠
[Run Checklist Edit Checks](#)

Email Template: [Edit](#)

Display email template in the portal?

Document Format:

[Generate Document\(s\)](#)

Include:

- Cover Letter
- IRS Update 2015 Amendment
- Basic Plan Document
- Summary Plan Description
- Highlights

Delivery Method:

Customer Print & Mail
[Print Address Labels](#) (.csv)

After all selections have been made, the user will either press the Generate Document(s) link to download the amendment packages to a zip folder or can use the [Automatic Delivery](#) method to post the amendment to the portal.

Click [here](#) to view a demo video of the PPA Amendment process.

Annual Notice

Select year end to print. First, select the plan year end you want to work with under the 'Edit Printing Parameters' box. Click "Select Date" to select/update the plan year end shown.

Home > Annual Notice 12/2015 Batches

Note: Before using the batch annual notice software you must select the plan year end for the notice. Calendar year plans will end in the following year. Click "Select Date" once you have updated the month and year.

Review/Edit Printing Parameters

Select year end to print - Month: 12 ▾ Year: 2015 ▾

(e.g. Select 12 and 2011 to print documents for the 12/31/2011 year end)

Cover letter options are edited on the batch settings page.

| [Work Flow](#) | [Download History](#)

Batch Name	Batch ID	Count	Error	Printed	Posted	Invited	Downloaded	Completed	Change Status
AnnualNoticeSample	104553	2		-	-	-	-	-	Delete
NewSample	103887	2		-	-	-	-	-	Delete
MaybeNotOne	104517	24		10/31/2014	11/04/2014	11/04/2014	-	-	Delete Complete
MaybeNotTwo	104529	2		-	-	-	-	-	Delete
MaybeNotThree	104543	11		11/05/2014	11/05/2014	11/05/2014	-	-	Delete Complete

Work Flow By clicking on "Work Flow", the user will see a list of all of the plans set up in the system that have "Yes" for "Resp" for the Plan Documents, whether they are EGTRRA or PPA, and that have Safe Harbor, Nonelective, QACA and/or QDIA (plans marked "No" under "Resp" will not be available to add to the batch).

Note: Click on "Work Flow" before adding a batch to verify that each plan has a 'Month' selected. Only those plans that have a 'Month' selected in the 'Month' column will appear in the user's 'Add Plans' list. If the 'Month' column is not completed, the user can sort the 'Year End' column by entering December, for example. When the user clicks on 'Enter' the list will narrow down to those plans that have a December 'Year End'. Then, the user can check the box to the right of the 'Plan Name' and click on 'Do with selected', then 'Change columns'. This will allow the user to check the box for 'Month' and click 'OK' after a New Value has been selected to update the selected plan's 'Month' column.

Home > Annual Notice 12/2015 Batches > Batch Annual Notice Workflow

Batch Year: 2015
Refresh Grid:

Grid Key

Plan Name	CV	Checklist	PlanType	Resp	Err Doc	Err Forms	Year End	Month
123 Sample Company 401k Plan	PPA	ProtoNS	4K	No			December 31	12
5500 Workflow Grid Test3	PPA	ProtoNS	4K	Yes			December 31	12
5500 Workflow Grid Sample PPA Doc	PPA	VolSub	4KPT	Yes			December 31	12
5500-SF Workflow Grid							December 31	12
American Express Retirement Savings Pla							December 31	11
Book-IT Test Co, LLC 401(k) Plan Origina							December 31	12
Book-IT Test Co, LLC 401(k) Plan Second							December 31	12
Book-IT Test Co, LLC 401(k) Plan Third							December 31	12
Book-IT Test Co, LLC ProtoSTD4K PPA							December 31	12
Book-IT Test Co, LLC ProtoSTD4K PPA Tw							December 31	12
Davison's Test Plan	PPA	ProtoNS	4K	Yes			December 31	12
Eye Medical Center 401(k) PSP	PPA	ProtoNS	4K	Yes			December 31	12
Ferrucci Financial Services Co 401(k) P/S Plan	EGTRRA	VolSub	4K	Yes			December 31	12
First Florida Credit Union 401(k) Profit Sharing Plan & Trust	EGTRRA	VolSub	4K	Yes			December 31	12

Change Columns - 83 selected Show Selected X

Column	New Value
<input type="checkbox"/> Resp	Yes
<input checked="" type="checkbox"/> Month	12
<input type="checkbox"/> Admin	

OK Cancel

Do with selected: Template Menu

Current View Total: 83 / Number Selected: 83 Export current view to CSV

Download History. If the user has *fwPortal*, then the user can click on 'Download History' to view when portal users have downloaded the Annual Notice from the portal, if published to the portal.

Create New Batch. Click on "Create New Batch" for the Year End selected above. Note that you can always delete a batch and/or add/remove plans to a batch up until the batch has been marked as 'Completed'. Once a batch has been printed and the Error status is 'OK' () , you will have the option to mark the batch as 'Complete' from this page. The symbol means there are errors either with one or more of the document checklist(s) or with the Work With Batch grid. Click on the to see the checklist and/or grid errors.

Add Plans. After creating a new batch, the user will be directed to the "Batch Options" screen. The user will need to click on "Add Plans", where a list of plans for the Year End that are not currently in another batch will display. The user can check the box on the left-hand side of 'Plan Name' to select/unselect all the plans listed, check off plans one at a time and/or use the filters to narrow down the plans before selecting. Click on "Add Plans" once the desired plans have been selected.

Note: Both EGTRRA and PPA plans may be added to the batch. PPA plans have the option in the plan checklist to select the Safe Harbor Maybe Not language; however, EGTRRA plans will only have the option through the Work With Batch Grid. See below for more details.

Batch Options

Name: 12/31/15Notices [Edit Name](#)
Batch Type: Annual Notice

Printed: - Posted: -
Downloaded: - Invited: -

Email Template: Newest

Display email template

Print Each Plan in Separ

Document Format: W

[Generate Document\(s\)](#)

Edit Filenames

[Edit Group Filename - Ed](#)

Delivery Method: Custom

Customer Print & Mail

[Print Address Labels](#) (.cc

7 Plans

[Add Plans](#)

Add Plans

<input checked="" type="checkbox"/>	Plan Name	Year End	CV	Checklist	PlanType	Safe
<input checked="" type="checkbox"/>	Plan Name	Year End	CV	Checklist	PlanType	Safe Ha
<input checked="" type="checkbox"/>	123 Sample Company ProtoNS4K PPA		PPA	VolSub	4KPT	No
<input checked="" type="checkbox"/>	123 Sample Company VS4K PPA		PPA	ProtoNS	4K	No
<input checked="" type="checkbox"/>	5500 Test Plan		PPA	VolSub	4KPT	No
<input checked="" type="checkbox"/>	5500 Workflow Grid Test3	December 31	PPA	ProtoNS	4K	No
<input checked="" type="checkbox"/>	5500 Workflow Grid Sample PPA Doc	December 31	PPA	VolSub	4KPT	Yes
<input checked="" type="checkbox"/>	5500 Workflow Grid Sample ProtoSTD4K(AO)		PPA	ProtoSTD	4K	No
<input checked="" type="checkbox"/>	5500 Workflow Grid test		PPA	VolSub	4KPT	No
<input checked="" type="checkbox"/>	5500-SF Workflow Grid	December 31	PPA	VolSub	4K	No
<input checked="" type="checkbox"/>	5558 2010 1st 5500 w/old 5558		PPA	ProtoNS	4K	No
<input checked="" type="checkbox"/>	5558 2010 1st 5500 no 5558		PPA	VolSub	4K	No
<input checked="" type="checkbox"/>	5558 2011 SF w/old 5558		PPA	VolSub	4K	No

[Add Plans](#) [Cancel](#)

Current View Total: 70 / Number Selected: 70

[Don't see your plan?](#)

[Export current view to CSV](#)

	Book-IT Test Co, LLC 401(k) Plan Third	PPA	4K	Yes			December 31	Book-IT Test Co, LLC
--	--	-----	----	-----	--	--	-------------	----------------------

Edit Batch Screen. Once plans have been added to a batch, numerous options will appear on this screen. Each will be discussed in the order they appear below.

Home > Annual Notice 12/2015 Batches > 12/31/15Notices

Batch Options

Name: 12/31/15Notices [Edit Name](#) **Printed:** - **Posted:** -
Batch Type: Annual Notice **Downloaded:** - **Invited:** -

[Work With Batch Grid](#) - Edit Check Status: ⚠ [Run Checklist Edit Checks](#)

Email Template: NewestSampleAN [Edit](#)

Display email template in the portal?

Print Each Plan in Separate File
Document Format: Word (.rtf) [Generate Document\(s\)](#)

Edit Filenames
[Edit Group Filename](#) - [Edit Individual Filenames](#)

Include:

Cover Letter
 Annual Notice
 Deferral Agreement
 Highlights

Additional Files:
None

Delivery Method: Customer Print & Mail

Customer Print & Mail
[Print Address Labels](#) (.csv)

7 Plans [Add Plans](#) [Export Plan List](#) [Download History](#)

	Plan Name	CV	PlanType	Resp	Err Doc	Err Forms	Year End	Company Name
	Book-IT Test Co, LLC 401(k) Plan Third	PPA	4K	Yes			December 31	Book-IT Test Co, LLC
	Happy Sample Days 401k Plan EGTRRA Fifth	PPA	4K	Yes			December 31	Happy Sample Days

- **Edit Name.** Users may click on this link to re-name the batch.
- **Include.** The Annual Notice is auto-selected beneath 'Include' on the right-hand side of the screen. Users are able to also select the Cover Letter, Deferral Agreement and/or Highlights to print with the Annual Notice. After the documents are selected to print, click on "Generate Selected Document(s)" for 'Print Each Plan in Separate File', which will create a zip folder containing a separate folder for each plan within the batch. The 'Printed' date will update in the upper right-hand corner once the user clicks 'OK' when generating the files. **Note:** The 'Print All Plans in One File - MS Word', which generated one file for all the plans within the batch has been disabled due to the batch allowing both EGTRRA and PPA plans.

Edit (Email Template): Users familiar with *ftwPortal Pro*, the Cover Letter is the same as the Email Template. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide. Annual Document subscribers and *ftwPortal Pro* customers should follow the same steps to set up the Cover Letter.

Delivery Method Users that have *ftwPortal Pro*, have the option to publish the Annual Notice to the portal, or provide a Direct-Link to the Annual Notice so that portal users can auto-generate the Annual Notice without logging into the portal. First, users will need to select Automatic Delivery from the drop-down list.

- **Automatic portal delivery.** Select this option to send a link to portal users to log into the portal to view the Annual Notice and supporting documents, if applicable.
- **Automatic direct link delivery.** Select this option to send a direct-link to portal users to easily download a copy of the Annual Notice and supporting documents, if applicable, without having to log into the portal.

Note. Be sure to click on "Preview" to ensure that portal users have been assigned to the plans, and to verify that the correct placeholders are within the email templates before sending the invites to your clients. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide.

The screenshot shows a web interface for configuring an email template. At the top, the 'Email Template' is set to 'NewestSampleAN' with an 'Edit' link. A checkbox 'Display email template in the portal?' is checked. Below this, the 'Print Each Plan in Separate File' section shows 'Document Format' set to 'Word (.rtf)' and a 'Generate Document(s)' button. The 'Edit Filenames' section has links for 'Edit Group Filename' and 'Edit Individual Filenames'. On the right, the 'Include:' section has checkboxes for 'Cover Letter', 'Annual Notice' (checked), 'Deferral Agreement', and 'Highlights'. The 'Additional Files:' section is set to 'None' with an 'Add File' button. The 'Delivery Method:' is set to 'Automatic Delivery'. Under 'Automatic Delivery', a dropdown menu is open showing 'Automatic portal delivery' (selected), 'Automatic portal delivery', and 'Automatic direct-link delivery'. A 'Preview' button is next to the dropdown. Below the dropdown is a 'Document Expiration Date (optional)' field. At the bottom left is a 'Deliver' button. A note at the bottom states: '*Direct-link means the email will contain a link to download the file directly without logging into the portal.'

Work with Batch Grid.

Default Template: Master and Designated Admins will start off with a Default Template.

The grid options that appear for all users will depend upon what template is selected by the admin user(s) at the bottom of the 'Batch Annual Notice' screen. Users may click on "Grid Key" to view the '[Batch Grid Data Entry Key](#)' for more details.

Users that have both EGTRRA and PPA plans will have the option to set up Safe Harbor Maybe Not language by going to the Work with Batch Grid. **Note:** EGTRRA plans will automatically highlight red until the "Maybe SH" column has been completed. EGTRRA plans do not have the option to update the online checklist; therefore, ftwilliam.com developed a way to add the text within the grid. PPA plans do have the option to select the Maybe Not language within the online checklist, but can also update the "Maybe SH" option within the grid.

Home > Annual Notice 12/2015 Batches > 12/31/15 Notices > Batch Annual Notice

Batch Name: 12/31/15 Notices
 Batch ID: 104555
 Batch Year: 2015

Grid Edit Check Status:

Grid Key

Plan Name	Checklist	CV	Resp	Err Doc	Err Forms	Year End	Month	Safe Harbor
Book-IT Test Co, LLC 401(k) Plan Third	ProtoSTD	PPA	Yes			December 31	12	QACA Ma
Happy Sample Days 401k Plan EGTRRA Fifth	ProtoNS	PPA	Yes			December 31	12	Match
Happy Sample Days 401k Plan Second	ProtoNS	PPA	Yes			December 31	12	Non-Elect
Headlines Inc 401k Profit Sharing Plan & Trust Fourth	ProtoNS	PPA	Yes			December 31	12	Maybe
Sample Sponsor Name Test Company SH Test	ProtoNS	EGTRRA	Yes			December 31	12	Non-Elect
Test Company, LLC 401k Plan EGTRRA	VolSub	EGTRRA	Yes			December 31	12	QACA Ma
The 5500 H Testing Company	ProtoNS	EGTRRA	Yes			December 31	12	Match

QDIA Default Invest	QDIA Self Direct	QDIA Fund
N/A	N/A	N/A
N/A	N/A	N/A
N/A	N/A	N/A
100% Martineau Fu	you have the right	www.hear
N/A	N/A	N/A
N/A	N/A	N/A
N/A	N/A	N/A

Do with selected: Template Menu Current View Total: 7 / Number Selected: 0 Export current view to CSV Total: 7 / Number Selected: 0

For EGTRRA plans, if the "Maybe SH" option is Yes, the following text will appear within the Annual Notice:

The plan may be amended during the plan year to reduce or suspend safe harbor nonelective contributions. The reduction or suspension will not apply until at least 30 days after you are provided notice of the reduction or suspension.

- **Do With Selected.** This feature allows users to view/update plans selected.
 - Show Selected. Displays the plans that were checked.
 - Change a Column. Allows admin users to update the Maybe, Neg Elect Date, Def Elect (Admin Proc), Def Elect Method, Def Elect Other, Inv Elect Method, Inv Other, QDIA, QDIA Default Invest, QDIA Self Direct, QDIA Fund Info and/or Maybe SH columns. First, the user will need to select the applicable plans and then click on **Do with selected**.

Home > Annual Notice 12/2015 Batches > 12/31/15Notices > Batch Annual Notice

Batch Name: 12/31/15Notices
Batch ID: 104555
Batch Year: 2015

Grid Edit Check Status:

Plan Name	Checklist	CV
<input type="checkbox"/> Plan Name	Checklist	CV
<input type="checkbox"/> Book-IT Test Co, LLC 401(k) Plan Third	ProtoSTD	PPA
<input type="checkbox"/> Happy Sample Days 401k Plan EGTRRA Fifth	ProtoNS	PPA
<input type="checkbox"/> Happy Sample Days 401k Plan Second	ProtoNS	PPA
<input type="checkbox"/> Headlines Inc 401k Profit Sharing Plan & Trust Fourth	ProtoNS	PPA
<input checked="" type="checkbox"/> Sample Sponsor Name Test Company SH Test	ProtoNS	EGTRRA
<input checked="" type="checkbox"/> Test Company, LLC 401k Plan EGTRRA	VolSub	EGTRRA
<input checked="" type="checkbox"/> The 5500 H Testing Company	ProtoNS	EGTRRA

Home > Annual Notice 12/2015 Batches > 12/31/15Notices > Batch Annual Notice

Batch Name: 12/31/15Notices
Batch ID: 104555
Batch Year: 2015

Grid Edit Check Status:

Change Columns - 3 selected

Column	New
<input type="checkbox"/> Maybe	Yes
<input type="checkbox"/> Neg Elect Date	
<input type="checkbox"/> Def Elect (Admin Proc)	
<input type="checkbox"/> Def Elect Method	Paper
<input type="checkbox"/> Def Elect Other	
<input type="checkbox"/> Inv Elect Method	Paper
<input type="checkbox"/> Inv Other	
<input type="checkbox"/> QDIA	Yes
<input type="checkbox"/> QDIA Default Invest	
<input type="checkbox"/> QDIA Self Direct	
<input type="checkbox"/> QDIA Fund Info	
<input checked="" type="checkbox"/> Maybe SH	Yes

Show Selected
Change columns
Do with selected: Template Menu

Current View Total: 7 / Num



Template Menu. You may make changes to the Default template grid, or create a new template grid. This menu has three options (Create New Template, Show/Hide Template Tray and Delete Template) described in detail below:

- Create New Template (create a template, which will replicate the Default and select it from the Template drop-down list)
 - Use only letters, numbers, spaces and dashes to create templates.
 - Once created, you will need to select that template from the Template drop-down list before you can edit it under the 'Show/Hide Template Tray' option described below (or delete it).
- Show/Hide Template Tray (customize the Default or any template created). First ensure the template you want to work on is selected and then click to 'Show/Hide Template Tray'.
 - Add column headers by clicking on the header in the tray. Note that headers will be added in the default order.

- Remove column headers by dragging them into the tray.

Batch Annual Notice



Batch Name: SampleBatch
 Batch ID: 101961
 Batch Year: 2014



Grid Edit Check Status:  

 Return

<input type="checkbox"/>	Plan Name	Checklist	Resp
<input type="checkbox"/>	GOOGLE INC. 401(K) SAVINGS PLAN	VolSub	Yes
<input type="checkbox"/>	IRS 403b Limited	403B	Yes
<input type="checkbox"/>	Little General Store, Inc. 401(K) Plan	VolSub	Yes
<input type="checkbox"/>	Microsoft Corporation Savings Plus 401(K) Plan	ESOP	Yes
<input type="checkbox"/>	New Glarus Brewing Company 401k Plan	VolSub	Yes
<input type="checkbox"/>	Nordstrom 401k Plan & Profit Sharing	VolSub	Yes
<input type="checkbox"/>	Physical Medicine & Rehabilitation, PLLC 401(K) Profit S	VolSub	Yes
<input type="checkbox"/>	Qualcomm Incorporated Employee Savings And Retir	VolSub	Yes
<input type="checkbox"/>	Red Dog Oil Tools, Inc. 401(K) P/S Plan	VolSub	Yes



Version

Do with selected:  Template Menu 

- Template: Default 
- Create New Template
- Show/Hide Template Tray 
- Delete Template

Batch Annual Notice

Batch Name: SampleBatch
 Batch ID: 101961
 Batch Year: 2014

Grid Edit Check Status:  

 Return

<input type="checkbox"/>	Plan Name	Checklist	Version	Resp
<input type="checkbox"/>	GOOGLE INC. 401(K) SAVINGS PLAN	VolSub	EGTRRA	Yes
<input type="checkbox"/>	IRS 403b Limited	403B	EGTRRA	Yes
<input type="checkbox"/>	Little General Store, Inc. 401(K) Plan	VolSub	EGTRRA	Yes
<input type="checkbox"/>	Microsoft Corporation Savings Plus 401(K) Plan	ESOP	EGTRRA	Yes

- Delete Template
 - Deletes the template that is currently displayed on the **Template** button.
 - Pop-Up window appears to confirm you are sure you would like to delete the template.
- Export current view to CSV
 - Export a CSV file for the template you have selected.

Batch Carryover Amendment

The Batch Carryover Amendment allows users to quickly create the Carryover/Election Amendment for Cafeteria and Premium Only Plans (POP). Once the batch is created, users are able to print the Amendment (includes the Consent, SMM and Amendment), along with a Cover Letter, in One File for all plans, or in a Zip folder.

Home > Batch Carryover Amendment Batches

Review/Edit Printing Parameters

Email options are edited on the batch settings page.

Create New Batch | Work Flow | Download History

Batch Name	Batch ID	Count	Error	Printed	Posted	Downloaded	Invited	Completed
FirstSample	104527	2	✘	11/04/2014	11/04/2014	11/04/2014	11/04/2014	-
CarryoverSample	104530	2	✘	11/05/2014	11/04/2014	-	-	-
SecondSample	104537	2	✘	11/04/2014	11/04/2014	11/04/2014	11/04/2014	11/05/2014
E-SignSample	104549	2	✘	11/05/2014	11/05/2014	11/05/2014	11/05/2014	-
test2	104551	2	✘	-	-	-	-	-

Work Flow. By clicking on "Work Flow", the user will see a list of all of the Welfare plans set up in the system under a Cafeteria or POP checklist for the Plan Documents. Users will also be able to view which plans have "Yes" for "Resp" for the Plan Documents (plans marked "No" under "Resp" will not be available to add to the batch).

Create New Batch. Click on "Create New Batch" to start the process of completing a Batch Carryover Amendment. The sample image above shows a sample batch already added. Note that you can always delete a batch up until the batch is marked as 'completed'. Once a batch has been printed and the Error status is 'OK' (✔), you will have the option to mark the batch as 'Complete' from this page. The ✘ symbol means there are errors either with one or more of the document checklist(s) or with the batch grid. Click on the ✘ to see the checklist and/or grid errors.

Batch Options:

Once plans in the batch have been added, numerous options will appear on the "Batch Options" screen. Each will be discussed in the order they appear below.

Home > [Batch Carryover Amendment Batches](#) > SampleTest

Batch Options

Name: SampleTest [Edit Name](#)

Batch Type: Carryover/Election Amendment

Printed: - **Posted:** -
Downloaded: - **Invited:** -

[Work With Batch Grid](#) - Edit Check Status: ⚠
[Run Checklist Edit Checks](#)

Email Template: Carryover Automatic Delivery [Edit](#)

Display email template in the portal?

Print All Plans in One File - MS Word (.rtf)
[Generate Document\(s\)](#)

Print Each Plan in Separate File
 Document Format: Word (.rtf) [Generate Document\(s\)](#)

Include:

Cover Letter
 Carryover/Election Amendment

Delivery Method: Customer Print & Mail

Customer Print & Mail
[Print Address Labels](#) (.csv)

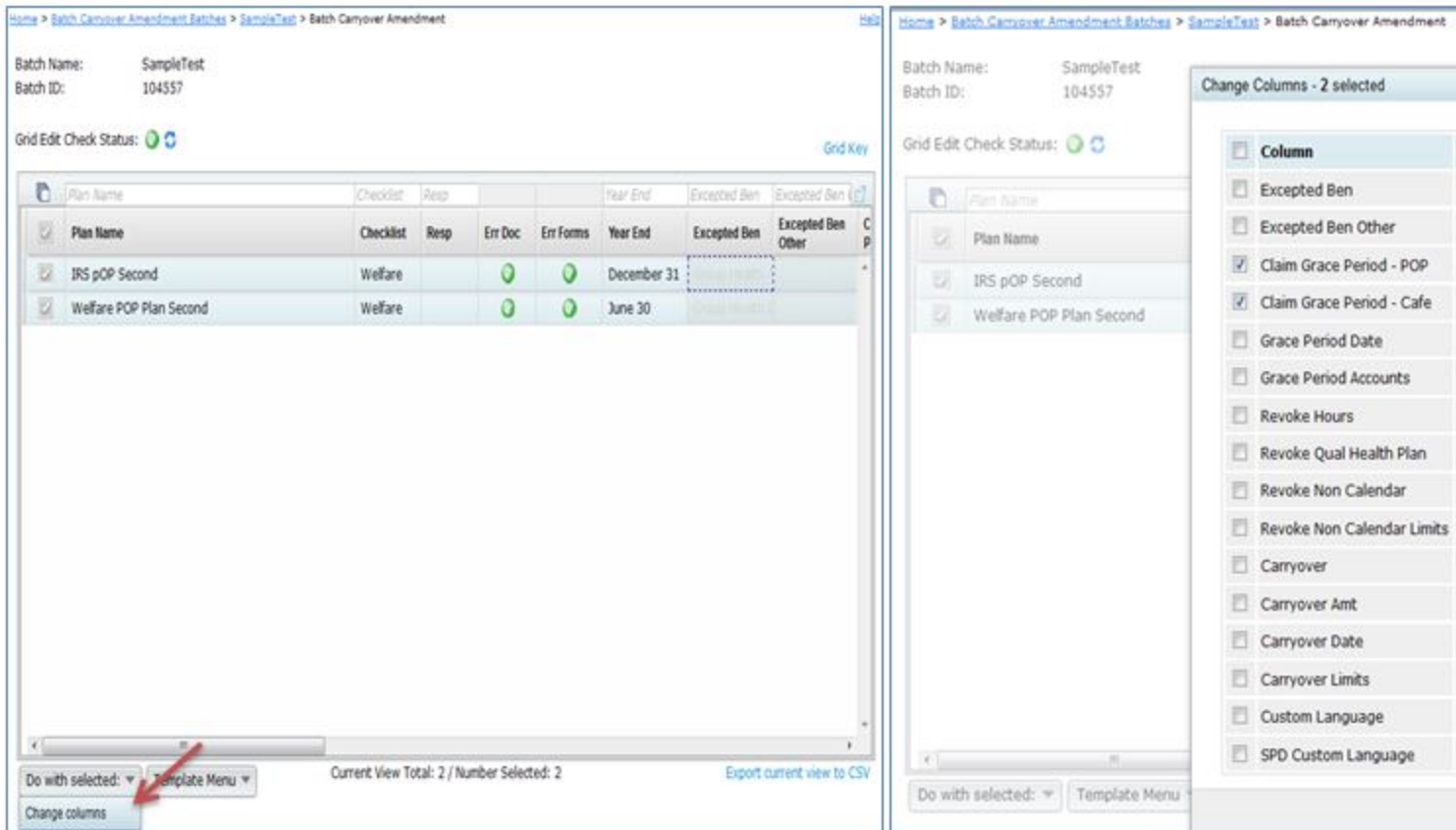
2 Plans [Add Plans](#) [Export Plan List](#) [Download History](#)

	Plan Name	Year End	Checklist	PT	Cust Lang	SPD Cust Lang	Doc Admin
	IRS pOP Second	December 31	Welfare	POP			
	Welfare POP Plan Second	June 30	Welfare	POP			

Edit Name. The user may click on this link to re-name the batch.

Work with Batch Grid. Instead of going directly to a plan's "Edit Plan" screen to work on the checklist, the user can go into the "Work with Batch Grid" to update some of the checklist items. The user is able to directly change checklist items within the grid, which will update the Online Checklist found on the Edit Plan screen. For more details on which columns may be edited, view the "[Batch Grid Data Entry Key](#)".

Do With Selected. This feature allows you to "Change columns" for plans selected.



- Change columns. Allows admin users to update the Expected Ben, Expected Ben Other, Claim Grace Period - POP, Claim Grace Period - Cafe, Grace Period Date, Grace Period Accounts, Revoke Hours, Revoke Qual Health Plan, Revoke Non Calendar, Revoke Non Calendar Limits, Carryover, Carryover Amt, Carryover Date, Carryover Limits, Custom Language and Custom Language SPD columns by checking the box for the column to un-gray the fields. The user will find more details on what each column represents by going to the "[Batch Grid Data Entry Key](#)" with the "Grid Key".



Default Template: Master and Designated Admin user will start off with a Default Template and have the option to create a new template for all users to view. For more details about the Templates, view Template Menu below.







The grid options that appear for all users will depend upon what template is selected by the admin user(s). If users do not see one of the columns described under "Change columns", the admin user has likely selected a different template for its users. You may click on "[Batch Grid Data Entry Key](#)" for more details.

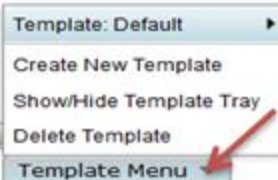
Template Menu. Master/Designated Admin users may make changes to the Default Template grid, or create a new template grid. This menu has three options (Create New Template, Show/Hide Template Tray and Delete Template) described in detail below:

Home > Batch Carryover Amendment Batches > SampleTest > Batch Carryover Amendment

Batch Name: SampleTest
Batch ID: 104557

Grid Edit Check Status:  

<input type="checkbox"/>	Plan Name	Checklist	Resp	Err Doc	Err Forms	Year End	Except
<input type="checkbox"/>	Plan Name	Checklist	Resp	Err Doc	Err Forms	Year End	Except
<input type="checkbox"/>	IRS pOP Second	Welfare				December 31	Group
<input type="checkbox"/>	Welfare Cafe Plan Second	Welfare				July 31	Other
<input type="checkbox"/>	Welfare POP Plan Second	Welfare				June 30	Group

Do with selected:  Current View Total: 3 / Number Selected: 0

Create New Template. Create a template, which will replicate the Default and select it from the Template drop-down list. Use only letters, numbers, spaces and dashes to create templates. Once created, you will need to select the new template from the Template drop-down list before you can edit it under the "Show/Hide Template Tray" option described below (or delete it).

Show/Hide Template Tray. Customize the Default or any template created. First, the user should ensure the template is selected and then select the "Show/Hide Template Tray".

Add column headers by clicking on the header in the tray. Note that headers will be added in the default order. Remove column headers by dragging them into the tray.

Home > Batch Carryover Amendment Batches > SampleTest > Batch Carryover Amendment

Batch Name: SampleTest
Batch ID: 104557

Grid Edit Check Status:

[Grid Key](#)

Plan Name	Err Doc	Err Forms	Year End	Excepted Ben	Excepted Ben Other	Claim Grace Period - POP	Claim Grace Period - C
<input type="checkbox"/> Plan Name							
<input type="checkbox"/> IRS pOP Second			December 31	Group Health		Yes	
<input type="checkbox"/> Welfare Cafe Plan Second			July 31	Other	submit the rein		Yes - I
<input type="checkbox"/> Welfare POP Plan Second			June 30	Group Health		Yes	

Resp Checklist

Do with selected: Template Menu Current View Total: 3 / Number Selected: 0 [Export current view to CSV](#)

Home > Batch Carryover Amendment Batches > SampleTest > Batch Carryover Amendment

Batch Name: SampleTest
Batch ID: 104557

Grid Edit Check Status:

[Grid Key](#)

Plan Name	Checklist	Err Doc	Err Forms	Year End	Excepted Ben	Excepted Ben Other	Claim Grace Period - POP
<input type="checkbox"/> Plan Name							
<input type="checkbox"/> IRS pOP Second	Welfare			December 31	Group Health		Yes
<input type="checkbox"/> Welfare Cafe Plan Second	Welfare			July 31	Other	submit the rein	
<input type="checkbox"/> Welfare POP Plan Second	Welfare			June 30	Group Health		Yes

Resp

Do with selected: Template Menu Current View Total: 3 / Number Selected: 0 [Export current view to CSV](#)

Delete Template. Delete the template that is currently displayed on the "Template" button. Pop-Up window appears to confirm you are sure you would like to delete the template.

Export current view to CSV. Export a CSV file for the template you have selected.

Include. The Amendment is auto-selected beneath 'Include' on the right-hand side of the screen. The user is also able to select the Cover Letter to print with the Amendment.

Print All Plans in One File - MS Word. After the user has the documents selected to print, the user would click on "Generate Selected Document(s)", which will generate a single file containing the Amendment for each plan within the batch. The "Printed" date will update in the upper right-hand corner once you click "OK" when generating the files.

Print Each Plan in Separate File. After the user has the documents selected to print, the user would click on "Generate Selected Document(s)", which will create a zip folder containing the amendment for each plan within the batch. The "Printed" date will update in the upper right-hand corner once you click "OK" when generating the files.

For users that are familiar with *ftw*Portal Pro, the Cover Letter is the same as the Email Template. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide. Annual Document subscribers and *ftw*Portal Pro customers can follow the same steps to set up the Cover Letter.

Home > Batch Carryover Amendment Batches > SampleTest

Batch Options

Name: SampleTest [Edit Name](#) Printed: - Posted: -
Batch Type: Carryover/Election Amendment Downloaded: - Invited: -

[Work With Batch Grid - Edit Check Status: ✔](#)
[Run Checklist Edit Checks](#)

Email Template: Default Carryover and Election [Edit](#)

Display email template in the portal?

Print All Plans in One File - MS Word (.rtf)
[Generate Document\(s\)](#)

Print Each Plan in Separate File
Document Format: Word (.rtf) [Generate Document\(s\)](#)

Include:

Cover Letter
 Carryover/Election Amendment

Delivery Method. Users that are a *ftw*Portal Pro customer have the option to publish the Amendment to the portal, or provide a Direct-Link to the Amendment so that users can auto-generate the Amendment without logging into the portal. First, the user will need to select Automatic Delivery from the drop-down list.

Home > Batch Carryover Amendment Batches > SampleTest

Batch Options

Name: SampleTest [Edit Name](#)
 Batch Type: Carryover/Election Amendment

Printed: -
 Downloaded: -
 Posted: -
 Invited: -

[Work With Batch Grid](#) - Edit Check Status: ✔
[Run Checklist Edit Checks](#)

Email Template: Default Carryover and Election [Edit](#)

Display email template in the portal?

Print All Plans in One File - MS Word (.rtf)
[Generate Document\(s\)](#)

Print Each Plan in Separate File
 Document Format: Word (.rtf) PDF
[Generate Document\(s\)](#)

Include:

Cover Letter
 Carryover/Election Amendment

Delivery Method: Automatic Delivery

Automatic Delivery

Automatic portal delivery
 Automatic portal delivery
 Automatic direct-link delivery (al)
 Document Expiration Date (optional)

*Direct-link means the email will contain a link to download the file directly without logging into the portal.

Automatic Delivery:

Automatic portal delivery. Select this option to send a link to portal users to log into the portal to view the Amendment.

Automatic direct link delivery. Select this option to send a direct-link to portal users to easily download a copy of the Amendment without having to log into the portal.

Note. Users should be sure to click on "Preview" to ensure that portal users are assigned to the plans, and to verify that the correct placeholders are used within the email templates before sending the invites to your clients. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide.

Batch Welfare SBC

The Welfare SBC email text is currently only used for portal subscribers. The Welfare SBC batch currently does not allow printing a cover letter. The cover letter language can be used as a model if it is helpful but the system will not generate cover letters at this time. To view more details on how to edit or clone email templates, click [here](#) to be directed to the Portal User Guide.

Create New Batch. On the 'Show Batches' page, under the 'Current Batches' box, click on the button "Create New Batch". Enter a name for the batch and click "Create New Batch". You will then be taken to a screen below where you can select the plans to include in your batch. Note that you can always delete a batch and/or add/remove plans to a batch up until the batch is marked as 'completed'. Once a batch has been printed and the Error status is 'OK' (✔), you will have the option to mark the batch as 'Complete' from this page. The symbol ✖ means there are errors either with one or more of the document checklist(s) or with the batch grid. Click on the ✖ to see the checklist and/or grid errors.


Edit Batch

[Return to Previous Page](#)

Batch Options

Name: SampleSBC [Edit Name](#) **Printed:** - **Posted:** -
Batch Type: Welfare SBC **Received:** - **Invited:** -

Email Template: [Edit](#) Display email template in the portal?

[Work With Batch Grid](#) - Edit Check Status: 

Print Each Plan in Separate File - MS Word (.rtf)
[Generate Selected Document\(s\)](#)

Include:







- SBC
- SPD *
- Medical Reimbursement Form *
- WHCRA Annual Notice *
- Highlights *
- CHIPRA Annual Notice *

* For Portal delivery only

Delivery Method:

Customer Print & Mail
[Print Address Labels](#) (.csv)

3 Plans [Add Plans](#) [Export Plan List](#) [Download History](#)



Plan Name	Plan Type	Resp	Err Doc	Err Forms	Year End	Company Name
<input type="checkbox"/> 123 Sample Welfare Plan	HRA	Yes			December 31	123 Sample Company
<input type="checkbox"/> Caribou Coffee Company, Inc. Group Dental Plan	HRA	Yes				Caribou Coffee Company, Inc.
<input type="checkbox"/> Fox Agency, Inc. Cafe Plan	Cafe	Yes			December 31	Fox Agency, Inc.







Add Plans. Once directed to the "Edit Batch" screen, click on "Add Plans", where a list of plans that are not currently in another batch will display. You can check the box on the left-hand side of 'Plan Name' to select/unselect all the plans listed, or you can check of those plans that you would like in your batch one at a time. When the plans are selected, click on "Add Plans".

Print Notices and Review/Edit Plan Specifications. Once you have plans added to a batch, you can review the plan specifications relevant to the SBC and edit certain plan specifications in batch format. Click on the batch you want to edit and the 'Edit Batch' page will appear (see image above).

Click on 'Work with Grid' and a grid will appear with the plans in the current batch and it will display checklist items relevant to the SBC. If a field is editable, you will see a down arrow for drop-boxes and if you click inside the field and begin typing without errors when you leave the field, you can directly edit that field on the grid (changes will show in corresponding document checklist items). You can see more detail about each column and whether it is editable in the "[Batch Data Entry Grid Key](#)".

Batch Name: test
Batch ID: 103103
Batch Year: 2014

Grid Edit Check Status:  

<input type="checkbox"/>	Plan Name	Plan Type	Resp	Err Doc	Err Forms	Year End	Begin
<input type="checkbox"/>	000 Sample Company HRA	HRA	Yes			June 27	06/2
<input type="checkbox"/>	00000000 test HRA	HRA	Yes				1/1/
<input type="checkbox"/>	Sample Company HRA 2	HRA	Yes				1/1/

Do with selected: Current View Total: 3 / Number Selected: 0

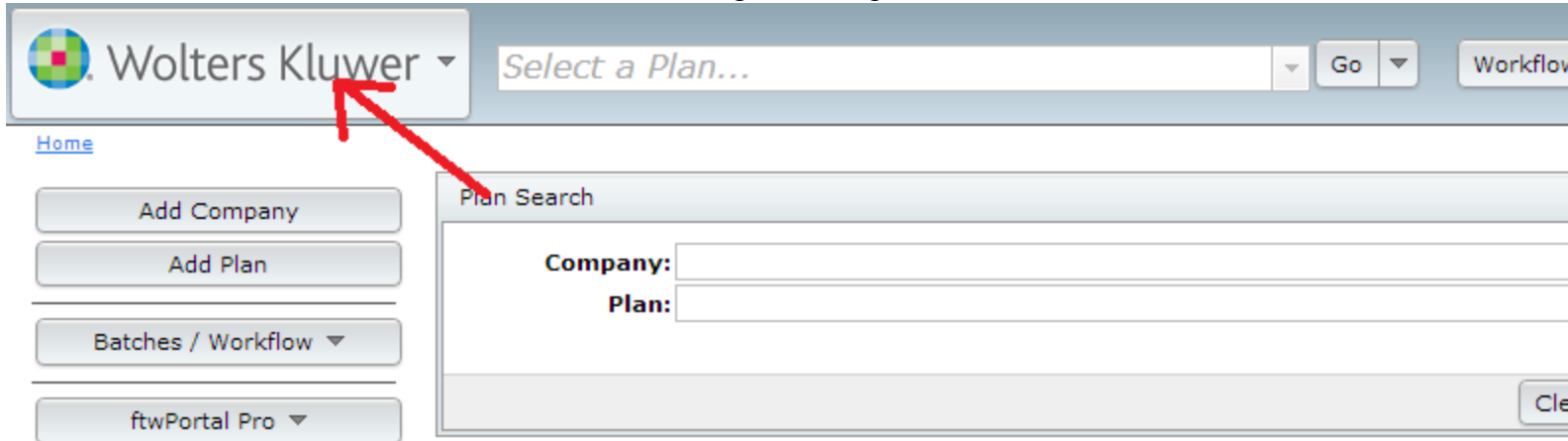
There is only one Print Option on the Batch Menu page for the Batch SBC; 'Print Each Plan in a Separate File - MS Word'. This will only generate the SBC in bold under 'Include'. To view more details on how to post batches to the portal, click [here](#) to be directed to the Portal User Guide.

Custom Edit Checks

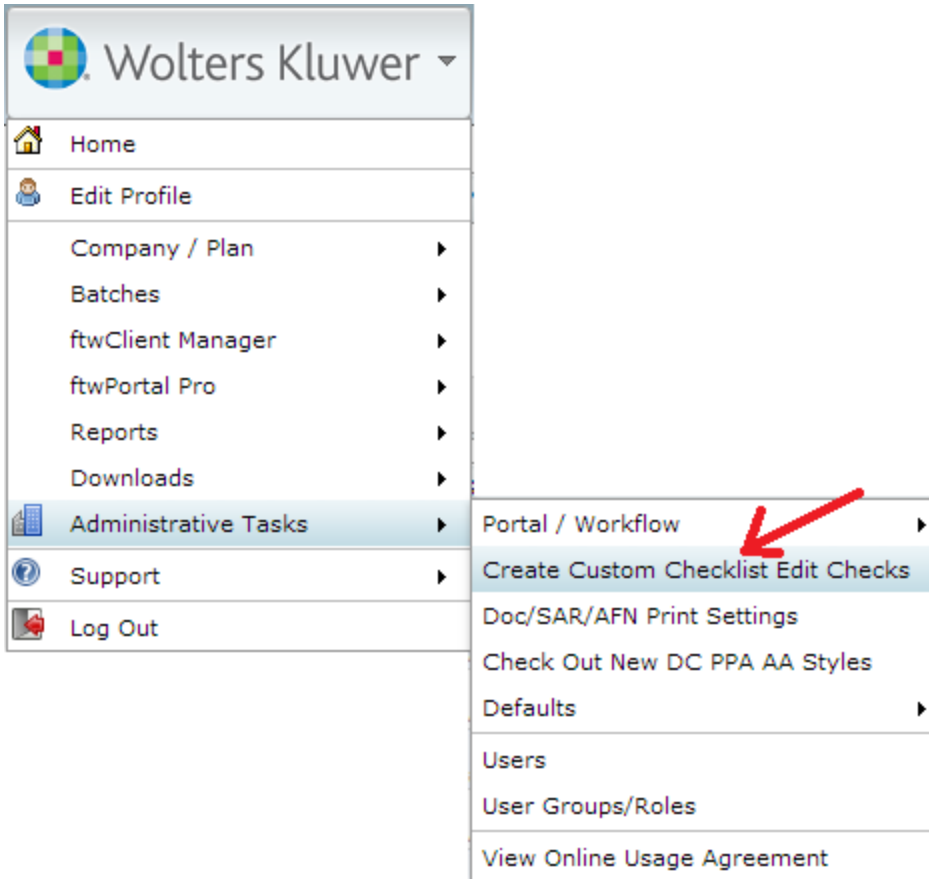
Edit Checks Overview

The document software uses edit checks to help ensure all applicable information is entered in the checklist correctly and to help catch errors. In addition to the edit checks ftwilliam.com has embedded in the software, you can also disable the ftwilliam.com edit checks and/or create additional new edit checks. Please note that only users with administrative rights can use the custom edit checks feature.

To access custom edit checks, click the Wolters Kluwer logo at the top left of the screen.



A drop down list of options will appear under the Wolters Kluwer logo, select Administrative Tasks from the list, then select **Create Custom Checklist Edit Checks**.



Custom Edit Check Dashboard

Clicking **Create Custom Checklist Edit Checks** will take you to the Custom Edit Check Dashboard. Here you can view all system and custom edit checks. To help you view only the edit checks applicable your current needs, we have added filtering and sorting options.

- Above the column header is a place to enter criteria to filter results. Filters will reduce the listing to only those edit checks meeting the specified criteria. To remove a filter, click the 'x' next to the filter applied.
- The columns can be sorted by clicking on the header of the column. Clicking once will sort in either alphabetical or numeric order, depending on the data. Clicking twice on a header will sort in the opposite order.
- To view all columns, you can maximize the grid by clicking the blue page icon in the upper-right corner of the grid.

Custom Edit Check Dashboard

Error ID	Document Type	Affected Checklists	Section	Go to Field	Display Message	Enabled
FW-1001	403B, Defined Ber	403B 4B, 403B 4BL, De	A	PlanNumber	Please enter a three digit Plan number in !@!PlanNumber::LineNum	Yes
FW-1002	403B, Defined Ber	403B 4B, 403B 4BL, De	A	PlanLine1	Please enter the Plan name in !@!PlanLine1::LineNum	Yes
FW-1003	403B, Defined Ber	403B 4B, 403B 4BL, De	A	OrigEffectDate	Please enter the Plan's original effective date in !@!OrigEffectDate::LineNum using full text (e.g., January 1, 1976).	Yes
FW-1004	403B, Defined Ber	403B 4B, 403B 4BL, De	A	EffectiveDate	If !@!AmendRestate::LineNum is 'Yes' (amended and restated plan), please enter the effective date of Plan restatement in !@!EffectiveDate::LineNum	Yes
FW-1005	403B, Defined Cor	403B 4B, 403B 4BL, Pro	A	PlanYearEnd	Please enter the Plan year end in !@!PlanYearEnd::LineNum using full text (e.g., December 31).	Yes
FW-1006	ESOP, Defined Cor	ESOP 4K, ProtoNS 4K, F	A	ElectiveDeferral401KRegEffDate	If Elective Deferrals allowed, please enter the effective date of the final 401(k)-(m) regulations in A.10b.	Yes
FW-1007	ESOP, Defined Cor	ESOP 4K, ProtoNS 4K, F	A	RothElectDefEffDate	If Roth Elective Deferrals allowed, please enter the effective date in A.10d.	Yes
FW-1008	ESOP, Defined Cor	ESOP 4K, ProtoNS 4K, F	A	Matching	A.12 (Matching Contributions) may not be 'No' if C.1 provides for a safe harbor Matching Contribution.	Yes
FW-1009	ESOP	ESOP 4K	A	AfterTax	If A.10 (Elective Deferrals) is 'No', A.11 (Voluntary Contributions) may not be 'Yes'. If A.10 (Elective Deferrals) is 'No',	Yes

Current View Total: 1338

Ex

The edit check grid columns display:

- Error ID: This is a value used to identify the edit check. System generated Error IDs will be in the format of FW-####. Custom edit check Error IDs will be in the format defined by you. This can be any combination of numbers or alpha characters.
- Document Type: All document types that the edit check applies to will be listed here.
- Affected Checklists: All checklists that are affected by the edit check will be displayed in this column. Below are a list of possible checklists for each document type:

- 403(b)
 - Section 403(b) Plan (Full Scope) – 403B 4B
 - Section 403(b) Plan (Limited Scope) – 403B 4BL
- Defined Benefit
 - Cash Balance Plan (Proto Format) - DefBen CB
 - Cash Balance Plan (ID Format) - DefBen CBID
 - Defined Benefit Pension Plan (Proto Format) – DefBen DB
 - Defined Benefit Pension Plan (ID Format) – DefBen DBID
- Defined Contribution
 - Prototype Non-Standardized 401(k) - ProtoNS 4K
 - Prototype Non-Standardized Money Purchase - ProtoNS MP
 - Prototype Non-Standardized Target Benefit - ProtoNS TG
 - Prototype Standardized 401(k) - ProtoSTD 4K
 - Prototype Standardized Money Purchase - ProtoSTD MP
 - Volume Submitter: Volume Submitter 401(k) – VolSub 4K
 - Volume Submitter Profit Sharing – VolSub PS
 - Volume Submitter Money Purchase – VolSub MP
 - Volume Submitter 401(k) (Prototype Format) – VolSub 4KPT
- ESOP
 - Employee Stock Ownership Plan - ESOP PS
 - Employee Stock Ownership Plan 401(k) - ESOP 4K
- MISC
 - Misc (1099, 5500 or Admin Software) - Misc WL
- NonQualified
 - Section 409A Plan - NonQual 409A
 - Section 457(b) Plan - NonQual 457B
- TIAA
 - Governmental 457(b) Plan - TIAA 457BGOVT
 - Tax-Exempt 457(b) Plan - TIAA 457BTEND
- Welfare
 - Cafeteria Plan - Welfare Cafe
 - Health Reimbursement Arrangement - Welfare HRA
 - Premium Only Plan - Welfare POP
 - Trans Spend Acct - Welfare 132
 - Wrap Plan - Welfare WRAP
- Section: This column displays the section of the document that the edit check applies to.
- Go to Field: When the edit check is triggered, you will be directed to the field listed in this column.
- Display Message: This is the message that you will see when the edit check is triggered.
- Enabled: Will show "Yes" if the edit check is active or "No" if the edit check has been disabled.
- Options - Drop-down arrow will display options depending upon the edit check type:
 - All edit checks: **Disable/Enable** button - Click the **Disable/Enable** button to Disable an active edit check or Enable a disabled edit check. Note that the button needs to be pressed, not the drop-down box, to enable or disable the edit check.

- Custom Edit checks: Delete - Pressing the drop-down arrow will give the option to edit or delete a custom edit check.
- Custom Edit checks: Edit – If Edit is selected, you will be directed to the Custom Edit Check Builder, where you have the option to change the edit check criteria or cancel to leave as is.
- Error Lvl
 - Warnings will flag a field as yellow and will display the warning message but allow you to still continue through document submission process.
 - An error will prevent you from completing the document due to the condition that is set.
- System: This column will display "Yes" if the edit check is a system (ftwilliam.com) edit check and "No" if the edit check is a custom edit check.

Export Current view to .csv – Pressing this link will download all edit checks. If filters were applied, only the edit checks with which the filters applied will be displayed in the spreadsheet.

Custom Edit Checks

Clicking the **Create New Edit Check** button will take you to the Custom Edit Check Builder screen to create a completely customized edit check.

Custom Edit Check Builder

Set Edit Check Criteria			
Choose Document Classification:	<input type="text" value="Select a Document Type..."/>		
Choose all plan types affected:	Please select an option above.		

Create Edit Check Create Parameters			
Filter by Section:	<input type="text"/>		
Apply to Group:	<input type="text" value="1"/>		
Field Name:	<input type="text"/>	Condition:	<input type="text"/>
		Value:	Please Select a Field Name
<input type="button" value="Add Line"/>			

Display Edit Check Display Parameters			
Please add a condition above			

Set Edit Check Error Criteria			
Section:	<input type="text"/>	Go to Field:	<input type="text"/>
Error Type:	<input type="text" value="Error"/>	Custom Error ID:	<input type="text"/>
Display Message:	<input type="text"/>		

These are the steps you will take to create a custom edit check:

1. Choose Document Classification – Use the drop down box to select a document type. Only one document type can be selected per custom edit check.

Set Edit Check Criteria

Choose Document Classification:

- 403B
- Defined Benefit
- Defined Contribution
- ESOP
- Misc
- Non Qualified
- TIAA
- Welfare

- Choose all plan types affected – Can select a single plan type or multiple plan types. Select multiple plan types by clicking on the plan type and pressing the ctrl button on your keyboard at the same time. If selecting all plan types, use the Select All button at under the possible options box. Click **Confirm** to move on to the next step.

Choose all plan types affected:

Possible Options		Selected Options
Prototype Non-Standardized 401(k) - [ProtoNS 4K] Prototype Non-Standardized Money Purchase - [ProtoNS MP] Prototype Non-Standardized Target Benefit - [ProtoNS TG] Prototype Standardized 401(k) - [ProtoSTD 4K] Prototype Standardized Money Purchase - [ProtoSTD MP] Volume Submitter 401(k) - [VolSub 4K] Volume Submitter 401(k) (Prototype Format) - [VolSub 4KPT] Volume Submitter Money Purchase - [VolSub MP] Volume Submitter Profit Sharing - [VolSub PS]	>> <<	Volume Submitter 401(k) (Prototype Form
<input type="button" value="Select All"/> <input type="button" value="Deselect All"/>	<input type="button" value="Confirm"/>	<input type="button" value="Select All"/> <input type="button" value="Deselect All"/>

- Create Edit Check Parameters – Here is where you will create the edit check.

Create Edit Check Parameters

Filter by Section:

Apply to Group:

Field Name: Condition: Value:

- Filter by Section – Use this drop down box to select the section of the document that the edit check will apply to. This will reduce the fields you are able to select in **Field Name** to those in the selected section.

- b. Apply to Group - There are up to three different groups available. If a simple edit check is being created with only one field and one value, the group number will be irrelevant. The grouping will determine the "and/or" logic that is applied to the criteria of the edit check that involves multiple fields or values. This will be explained in greater detail below.
- c. Field Name – Use the drop-down box to select the name of the field that the edit check will look at (the available fields will be filtered depending upon the plan types selected - only fields that all types share will be available)
- d. Condition – Use the drop-down box to select the condition. Possible options include **Less than, Equals, Not equal, Greater than, Less than, Greater or equal to, Less or equal to.**
- e. Value – Depending on the field name selected, you will either select an option (or multiple options) from a specified list or enter the value manually.
 - i. If selecting an option from a list
 1. You can select one option by clicking on the given value, then by pressing **Add Line**.
 2. You can select multiple options by simultaneously holding the ctrl button on the keyboard and selecting the multiple options in the list. Note that by selecting multiple options in a list in this manner, the multiple options will have "or" relationship logic.
 3. Example: In the screenshot below, the **Value** is selected from a predetermined list. As such, no "ADD" button will be found, only the **Add Line** button.

Create Edit Check Parameters

Filter by Section:

Apply to Group:

Field Name: Condition:

Value:

If entering a value manually - The value entered can be numeric, alpha character or special character.

Create Edit Check Parameters

Filter by Section:

Apply to Group:

Field Name: Condition:

Value:

1. You must enter a value, then press the **ADD** button
2. Pressing the **ADD** button displays the amount entered in a box below the "Value" field.

Create Edit Check Parameters

Filter by Section:

Apply to Group:

Field Name: Condition: Value:

3. Now you have the option to either enter another value to add to the edit check and press **ADD** again; or if done, you may press the **Add Line** button to add the edit check to the edit check parameters.
4. Let's assume you are done and presses **Add Line**. Now the edit check will appear in the Display Edit Check Parameters:

Display Edit Check Parameters

IF everything in Group 1 is True:

EligHoursofService	Greater than	1000
--------------------	--------------	------

Display Edit Check Parameters

IF everything in Group 1 is True:

EligHoursofService	Greater than	1000
--------------------	--------------	------

- f. Press **ADD** – The **ADD** button will appear if the value in the value field was required to be manually entered.
 - i. You will see an **ADD** button to the right of the value box. This **ADD** button should be pressed prior to pressing the **Add Line** button.
 - ii. To create an "And" relationship between values in a group, complete the field name, condition and value, press **ADD**, then press **Add Line**
 - iii. It is possible to create an "or" relationship between values in a group, as long as the field name does

not change. To create an "or" relationship between values in the same group, complete the field name, condition and value, then press **ADD**. Then enter new data in the Value box and press **ADD** again. Each value that is added will have an "or" relationship. Press **Add Line** when done.

g. Press **Add Line**

1. After adding all edit checks within a group, press **Add Line**.
2. To add a blank "Value" for a field that requires manually entered data, press **Add Line** without pressing **ADD** first.

5. Display Edit Check Parameters – After pressing **Add Line** the edit check criteria will be added to 'Display Edit Check Parameters'. If more than one line has been added, the lines will have either an "and" or an "or" relationship, based on the grouping and method of adding, as described above. Below is a review of the different logic options for the custom edit check.

a. Parameters of different groups have "or" logic.

Display Edit Check Parameters		
IF everything in Group 1 is True:		
ElectiveDeferral	Equals	Yes
OR IF everything in Group 2 is True:		
RothElectDef	Equals	Yes

b. Different Field Name criteria within the same group have "and" logic.

Display Edit Check Parameters		
IF everything in Group 1 is True:		
PlanNumber	Equals	BLANK
AND PlanLine1	Equals	BLANK

c. Edit checks with the same Field Name may have "and" or "or" logic, depending on how the data is added. Example of "or" logic for same field name within same group: If you wanted to check a field for a '001' or a '002', you could set the first edit check to group 1, select the Field Name, set the Condition and enter a '001' the Value field, then press **ADD**. Then you would enter a '002' in the Value field and again press

Add. Lastly, press **Add line**.

Create Edit Check Parameters

Filter by Section: A

Apply to Group: 1

Field Name: PlanNumber Condition: Not equals Value:

001 OR
002

Add Line

Display Edit Check Parameters

IF everything in Group 1 is True:

PlanNumber	Not equals	001
	OR Not equals	002

d. Add a **BLANK** field (as shown below) by entering nothing in the "Value" field and pressing **Add Line**.

Display Edit Check Parameters

IF everything in Group 1 is True:

PlanNumber	Equals	BLANK
------------	--------	-------

6. Set Edit Check Error Criteria

Set Edit Check Error Criteria

Section: A Go to Field: PlanNumber Error Type: Warning Custom Error 1

Display Message: Enter edit check warning message here.


2. Section: Enter the section that the edit check applies to
3. Go to Field: Enter the Field in which you should be directed to when the error or warning message is applicable.
4. Error Type: Designate whether the edit check should be classified as a warning or an error.
 1. Warning – Fields that do not pass warning edit checks will be highlighted in yellow.
 2. Error - Fields that do not pass error edit checks will be highlighted in red.

5. Custom Error ID: This field can be used to enter an identification number specific to the edit check. Users can use numbers, alpha characters or a combination of both. You can duplicate the same error ID or use a unique ID for every edit check.
7. Press **Update Edit Check** to save the edit check and return to the Custom Edit Check Dashboard.

Plan Documents Permissions





Master and Designated Admin users can control each user's permission for each document type: Retirement, Non-Qualified, and Welfare. For each document type, users can permissions to Edit, View only, or None. Master and designated Admin users have additional abilities to revert changes to plan checklists in the Show History screen.

Edit permissions enable the user to modify document checklist options as well as access the document modules.


Plan Checklist - [Expand All Applicable](#) / [Expand All](#) / [Collapse All](#) Print  Edit

▼ A. General Information Edit

▼ A. General





1. Plan Number:		<input type="text"/>
2a. First line of Plan name:		<input type="text" value="Apu's Pension Plan (div A)"/>
2b. Second line of Plan name:		<input type="text" value="test!"/>
3a. Original effective date of Plan:		<input type="text"/>

View only permissions enable the user to see all the document checklist options as well as access the Plan Document module. Users with view only permissions cannot edit the document checklist answers.

Plan Checklist - [Expand All Applicable](#) / [Expand All](#) / [Collapse All](#) Print  Edit

▼ A. General Information Edit

▼ A. General

1. Plan Number:		<input type="text"/>
2a. First line of Plan name:		<input type="text" value="Apu's Pension Plan (div A)"/>
2b. Second line of Plan name:		<input type="text" value="test!"/>
3a. Original effective date of Plan:		<input type="text"/>

Setting a user's permissions to the document module to 'None' will hide the document checklist options, as well as disable their ability to access the Plan Document module.

Company:	My test company's test name	ID:	test things
Plan:	Test DB Proto Plan	ID:	
Checklist:	Defined Benefit Pension Plan (Proto Format) - EGTRRA		
Details:	EIN: 11-1111111 • PN: ??? • PYE: ???		

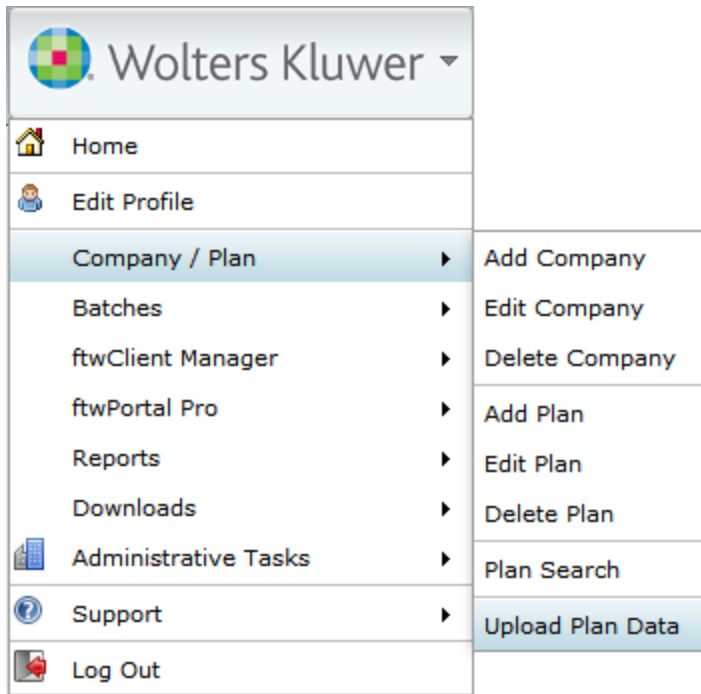
Plan Menu

- Show
- Workf
- New
- View

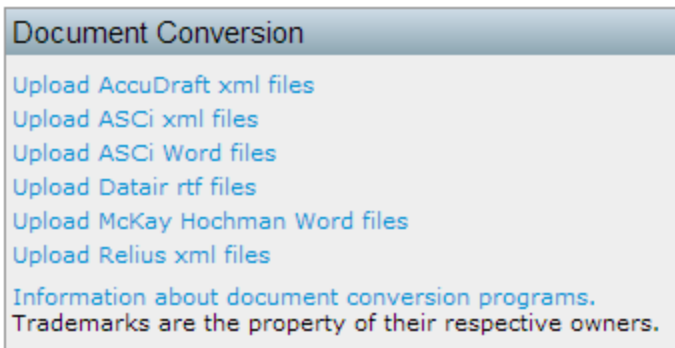
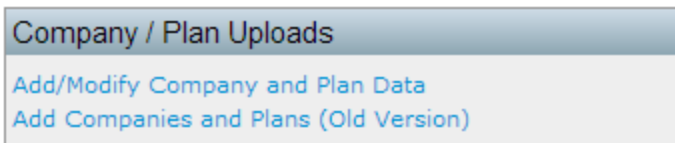
Plan Modules						
Module	Plan Documents	IRS Forms	5500 Forms	1099-R	Admin	Por
			2013	2012		
Resp		Yes	Yes	Yes		Yes
Admin						

Upload Plan Data

You can upload a variety of different file types to add or update plans and companies to your ftwilliam.com account. You can use this feature if you are converting your data to ftwilliam.com from another software vendor, or to use a .csv file to import new plan data or update existing plan information. To view the available upload file format options, click the **Wolters Kluwer logo button** in the top left corner, select **Company/Plan**, then click **Upload Plan Data**.



In the Upload Center, you will see a list of available file type uploads from other software vendors. If you have a file from one of the listed vendors, simply click the link for the respective files type to upload, and [see these instructions](#).



If you have plan data stored in a .csv file, you can use the **Add/Modify Company and Plan Data** features to create your own upload. Additionally, by uploading plan data in a .csv you may update existing plans or add new plans.

Upload Menu

The plan upload enables you to upload data for any plan type for existing plans, or to add new plans, as well as add and update company/sponsor information. The Upload Menu features a list of all the available plan and company schemas which list columns you can include in the upload on the right. Click **Download** to see a .csv that lists all of the acceptable column headers/fields along with data types that may be accepted for the listed plan type.

Upload Company and Plan Information

The system will not perform data integrity edits on uploaded data.
Be sure you run all appropriate edit checks after performing the import.

Sample Spreadsheet

This sample spreadsheet will add a company and 2 plans. The sample plans use most of the ZZZ default plan options, only overriding the appropriate elements.

You will need to create a spreadsheet using the appropriate schema located on the right side of this page. Note that you do not need to repeat company data on subsequent lines when adding multiple plans to the same company, as shown in this example. Any column which is not specified, will use the value from the appropriate ZZZ default plan. Any columns which could not be mapped to an appropriate ftwilliam.com column (e.g. incorrect spelling) will be ignored and will be displayed on the confirmation page.

After clicking 'Submit' you will be shown a preview of the changes that will take place after performing the import. For company/plan updates only data changes will appear. For new companies/plans, all accepted data from the CSV will be shown. Click 'Perform Upload' to commit the changes.

Upload file name: No file selected.

Number of rows before column headers:

Select Division:

[Cancel](#)

Description	Check
Company	
Prototype Non-Standardized 401(k)	Proto
Prototype Non-Standardized Money Purchase	Proto
Prototype Non-Standardized Target Benefit	Proto
Prototype Standardized 401(k)	Proto
Prototype Standardized Money Purchase	Proto
Volume Submitter 401(k)	VolSu
Volume Submitter Profit Sharing	VolSu
Volume Submitter Money Purchase	VolSu
Volume Submitter 401(k) (Prototype Format)	VolSu
Volume Submitter 401(k) (Prototype Format)	VolSu
Defined Benefit Pension Plan (Proto Format)	DefB
Defined Benefit Pension Plan (ID Format)	DefB
Cash Balance Plan (Proto Format)	DefB
Cash Balance Plan (ID Format)	DefB
Employee Stock Ownership Plan	ESOP
Employee Stock Ownership Plan 401(k)	ESOP
Section 403(b) Plan (Full Scope)	403B
Section 403(b) Plan (Limited Scope)	403B
Cafeteria Plan	Welfa
Premium Only Plan	Welfa
Health Reimbursement Arrangement	Welfa
Trans Spend Acct	Welfa
Wrap Plan	Welfa
Section 457(b) Plan	NonQ
Section 409A Plan	NonQ
Tax-Exempt 457(b) Plan	TIAA
Governmental 457(b) Plan	TIAA
Misc (1099, 5500 or Admin Software)	Misc

[Download ftwilliam.com plan IDs](#)

Adding New Companies and Plans

Each file upload requires identifying information for the plan or company you would like to create through the file upload. To add companies or plans to ftwilliam.com, you must include the value CompanyName.

If you are adding a new plan to the system, you must include the following fields to identify the plan's sponsor:

- An existing ftwCustomerID *or* CustomerID *or* CompanyEmployerID (EIN)
- PlanLine1
- Valid Checklist and PlanType combination as listed on the Upload Menu

If you are adding a company and a plan in the same row of a .csv upload, you must include the CompanyName field for the new company you are creating.

Updating Existing Companies and Plans

To update existing company data, you must include at least one of the following fields that match a Company you administer on the ftw system:

- CustomerID—a unique value you may assign to each employer from the
- Employer's EIN
- ftwCustomerID (a unique identifier created by the system – you can get find the IDs by clicking **Download ftwilliam.com plan IDs** from the Upload Company and Plan Information screen)

To update existing plan data, you must include at least one of the following fields for each plan to identify an existing plan on the system:

- PlanID—a unique value you may assign to each employer
- PlanNumber and one of the company identifiers above for the relevant Company
- FTWPlanID (also included for each plan when you click **Download ftwilliam.com plan IDs**)

Uploading a .csv file with blank entries will delete the value for that row, unless it includes identifying information for the plan as mentioned above, or only accepts List Values. See the corresponding schema download to see which fields use list values and what those list values are.

Upload Results Preview

After selecting a file and clicking **Submit**, you will see a summary of the changes that will be made to the plans in your upload file prior to actually making the changes. If you are deleting the value in a row, the result of deleting that row will also be displayed in the upload summary.

Company/Plan Upload x

Upload Results Preview

#	Result	Company	Plan	ftwCustomerID	CustomerID	CompanyName	CompanyEmployerID
2	OK	Update		313467216		Compuglobalhypermeganet -> Interslice	

[Download as CSV](#)

Total rows processed/accepted: 2/1	Total errors: 1
Total rows with companies to be added: 0	Total warnings: 0
Total rows with companies to be updated: 1	
Total rows with plans to be added: 0	
Total rows with plans to be updated: 0	

The columns of the Upload Results Preview will always display the PlanID and CustomerID, ftwCustomerID and CompanyEmployerID (EIN) headings. If those values have changed, you will see the updated value in the column. Otherwise, if it is blank, then no changes will be made to those fields.

The summary in the bottom left describes how many Plans and Companies will be added or updated/modified. In the example above, the upload will only modify one company: no plans or companies will be added, and no plans will be modified.

If all of the information in the Upload Results Preview is accurate, click **Perform Upload** to complete the upload.

Warnings and Errors

You may see errors or warnings after you have uploaded a file from the Upload Menu. If your upload creates a Warning, only the specified value will be omitted from the upload for the specified reason, and any other acceptable data from the file will continue to be processed and uploaded. You may receive a warning because the value you entered is not a valid entry because it is not one of the specified responses in the schema. For example, in a company upload, you cannot set the value 'EntityType' to 'Union' because it is not one of the list values in the schema. If you see an Error during the upload, there was insufficient identifying information to update or add the record and the entire entry/row on the .csv will be skipped.

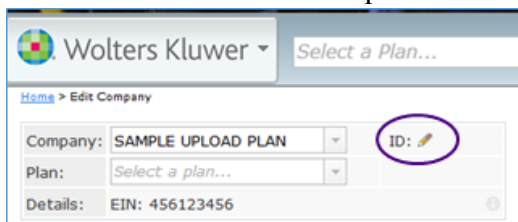
Additionally, some operations are not allowed through file upload to prohibit entry errors. The following are some of the forbidden operations:

- Changing Plan Sponsor for an existing plan
- Changing Plan Type or Checklist Type

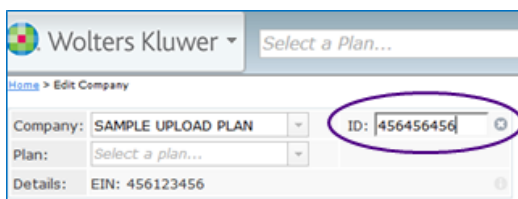
EGTRRA Plans - Simple Upload Procedures

PPA versions of the defined contribution documents are now available on the ftwilliam.com system. There may still be times when you would need to add an EGTRRA version of these documents. This guide walks you through how to set up a new EGTRRA document on the system that is tied to a company but that will be populated with defaults. You will then be able to enter the checklist for the plan and make any provisional changes that are needed.

1. Set or find CustomerID for the company that needs the EGTRRA defined contribution document.
 - a. Go to “Edit Company” screen.
 - b. Next to the company name find the CustomerID. If there is no CustomerID click on the pencil icon and enter in a number that is unique to the company.



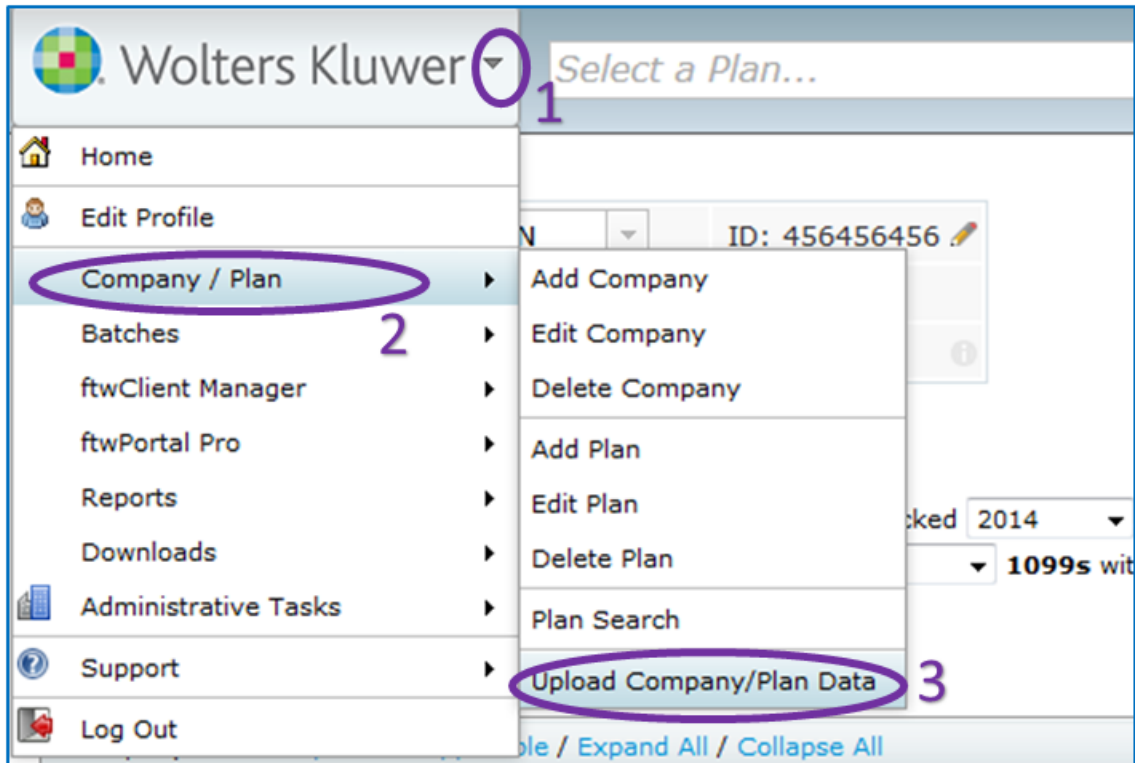
The screenshot shows the 'Edit Company' screen for 'SAMPLE UPLOAD PLAN'. The 'ID' field is empty and has a pencil icon next to it, indicating it can be edited. The 'EIN' is 456123456.



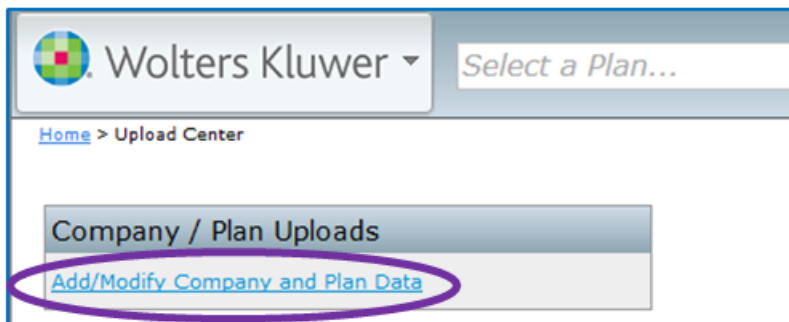
The screenshot shows the 'Edit Company' screen for 'SAMPLE UPLOAD PLAN'. The 'ID' field now contains the value '456456456'. The 'EIN' is 456123456.

2. Complete the EGTRRA Plan SIMPLE Upload CSV file for the type of plan you would like to add. Note that you will be editing the spreadsheet in Excel but the file must be saved in the .csv format for uploading.

- a. The sample spreadsheet can be found on the "Upload Employer/Plan Data" Screen.
i. Under the Company/Plan, choose "Upload Company/Plan Data"



- ii. Click the "Add/Modify Company and Plan Data" link



- iii. Click the "EGTRRA Plan Simple Upload Sample" to download the sample spreadsheet.

Sample Spreadsheet

This sample spreadsheet will add a company and 2 plans. The sample plans use most of the ZZZ default plan options, only overriding the appropriate elements.

This upload can also be used to replace existing company/plan data in batch. For a video demonstration outlining a method to update certain plan fees for existing plans:

[EGTRRA Plan Simple Upload Sample](#)

[Recorded demonstration](#)

[Outline and notes to accompany demo](#)

Upload file name:
Number of rows before

- b. PlanType, Checklist, and ChecklistVersion – These codes will tell the system what type of plan you would like to add. The specific codes for each plan type can be taken from the following chart.

	PlanType	CheckList	ChecklistVersion
401(k) Plans			
Prototype Nonstandardized	4K	ProtoNS	EGTRRA
Prototype Standardized	4K	ProtoSTD	EGTRRA
Volume Submitter – Prototype Format	4KPT	VolSub	EGTRRA
Volume Submitter – IDP Format	4K	VolSub	EGTRRA
Profit Sharing Plans			
Volume Submitter – IDP Format	PS	VolSub	EGTRRA
Money Purchase Pension Plans			
Prototype Nonstandardized	MP	ProtoNS	EGTRRA
Prototype Standardized	MP	ProtoSTD	EGTRRA
Volume Submitter – IDP Format	MP	VolSub	EGTRRA
Target Benefit Plans			
Prototype Nonstandardized	TG	ProtoNS	EGTRRA

- c. CustomerID – This must match exactly the number found/set in step 1. This tells the system what company you want the new EGTRRA plan added to.
- d. PlanLine1 – This should be the first line of the plan name for the new EGTRRA plan. All plan specific information can be changed in the checklist after the spreadsheet is uploaded. Entering the plan name will allow you to more easily find the plan after upload.
- e. You can add as many plans as you would like to the same upload file as long as the CustomerID and PlanLine1 are unique.

f. Below is a sample of a spreadsheet for a new 401(k) prototype nonstandardized plan for the SAMPLE UPLOAD PLAN company shown above as well as plans for two other companies.

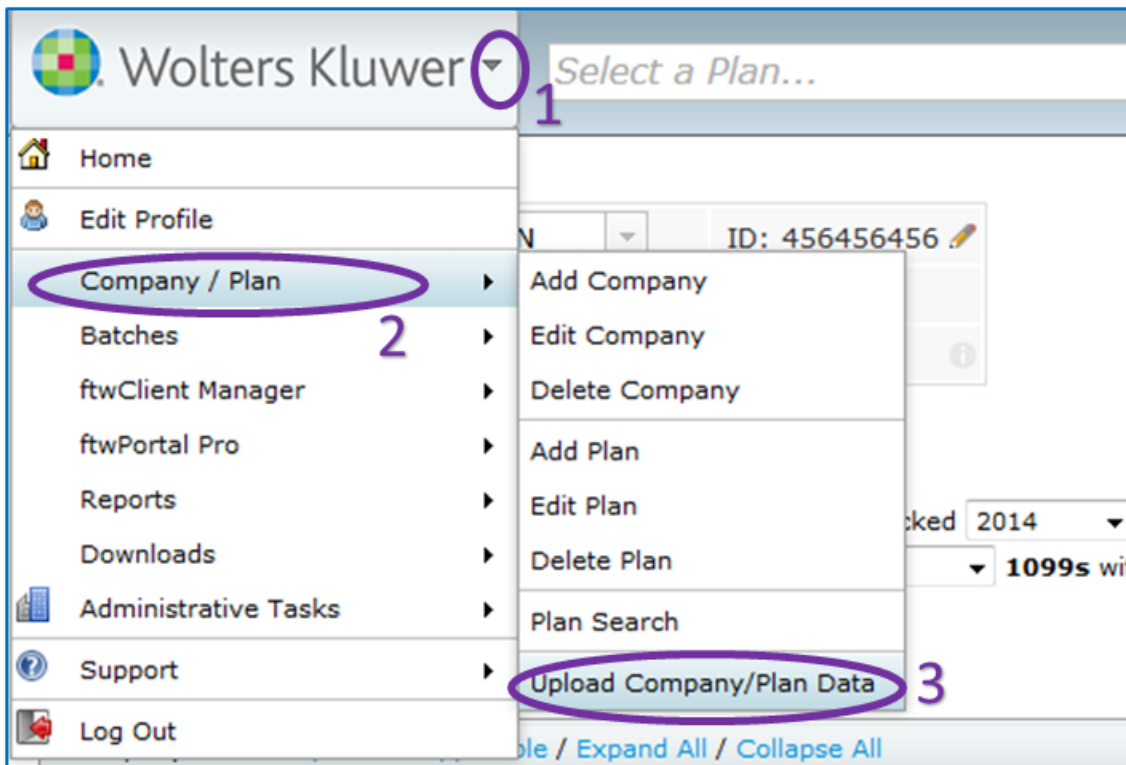
	A	B	C	D	E
1	PlanType	CheckList	Checklist\	CustomerID	PlanLine1
2	4K	ProtoNS	EGTRRA	456456456	SAMPLE 401(k) ProtoNS EGTRRA - 456456456
3	4K	ProtoNS	EGTRRA	123123123	SAMPLE 401(k) ProtoNS EGTRRA - 123123123
4	4KPT	ProtoSTD	EGTRRA	789789789	SAMPLE 401(k) ProtoSTD EGTRRA - 789789789
5					

g. Save the file as a .csv file in a place you can easily access it.

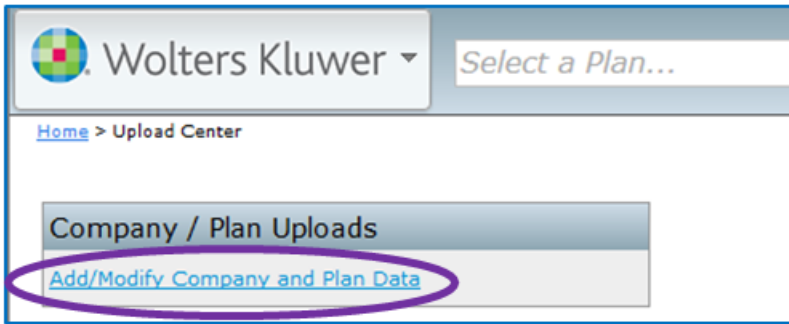
File name: EGTRRA Plan Simple Upload - SAMPLE UPLOAD PLAN
 Save as type: CSV (Comma delimited)

3. Upload csv file to the system.

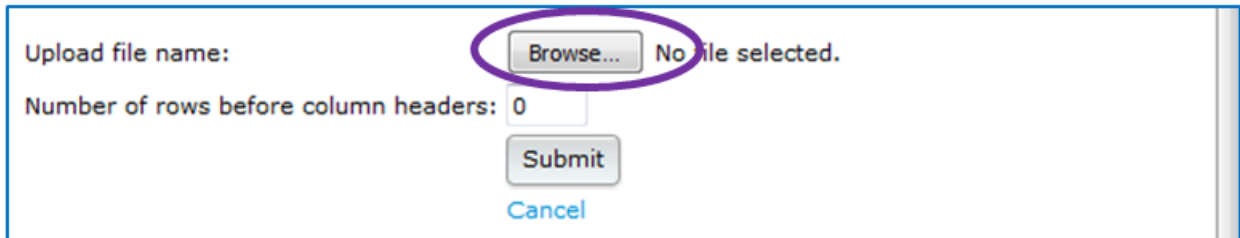
a. Under the Company/Plan select “Upload Company/Plan Data”.



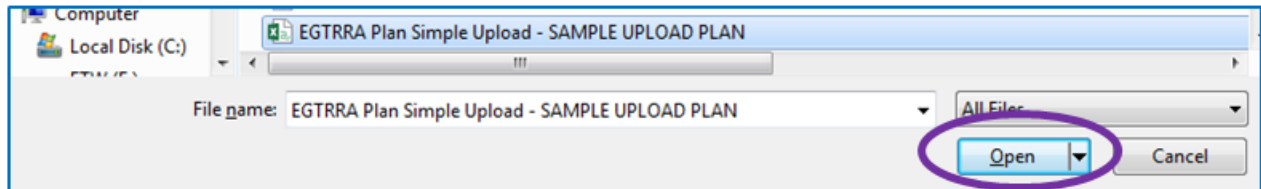
b. On the Upload Center screen select “Add/Modify Company and Plan Data”.



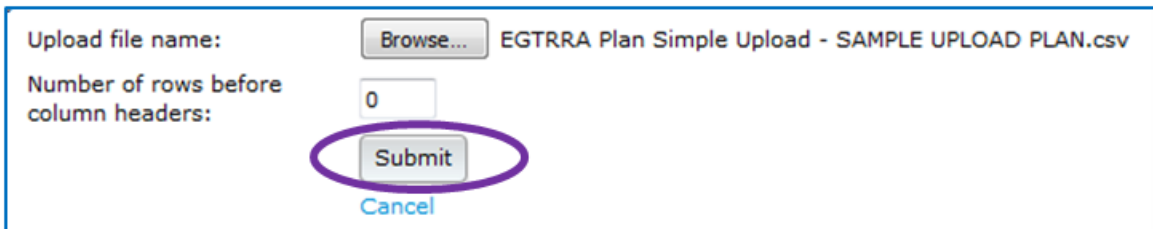
c. Towards the bottom of Upload Company and Plan Information screen click on the “Browse” button.



d. Use the pop-up screen to choose the file you created and saved in Step 2 and click the “Open” button.

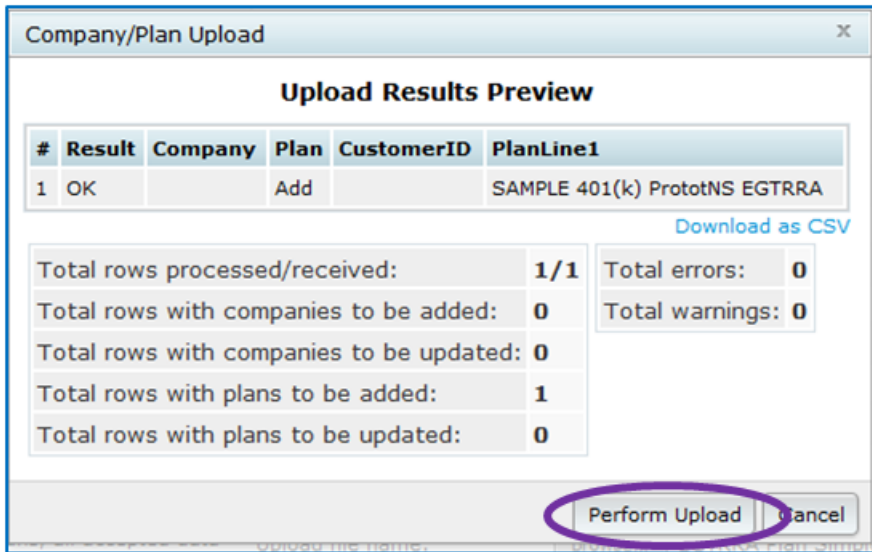


e. Click on the “Submit” button.

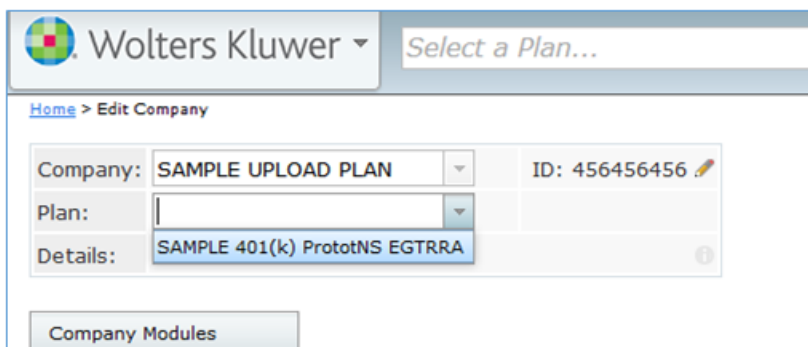
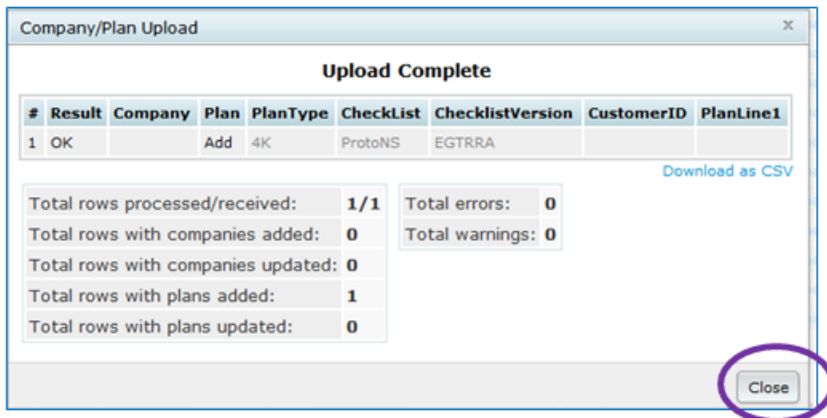


f. A pop-up will show if there are any errors or warnings. Typically the only issue you may see with this simplified procedure is if you already have a plan with the same name under the company you are adding to. If

there are no errors click the “Perform Upload” button.



- g. When the upload is complete a pop-up will show that the new plan(s) has been added. Click the “Close” button. Your new EGTRRA document is now ready to work with.



Glossary

B

Batch target

A special target that lets you build and/or publish multiple other targets in a single group (or "batch"). You can schedule batches to run at any time.

Block snippet

A snippet that is created out of one or more paragraphs.

C

Condition tag

A marker that you can apply to different areas of your content so that some sections show up in some of your outputs but not in others.

Cross-reference

A navigation link that lets you connect text in one topic to another topic (or a bookmark within a topic). Cross-references let you create "automated" links that are based on commands you provide. This allows you to keep links consistent and change them in just one place by using the "xref" style.

D

Drop-down text

A feature that lets you "scrunch up" content in your topic. The content is expanded (and therefore displayed) when the end user clicks a link.

F

Footnote

A comment that is used to explain a specific area of the text. Both the area in the text and the comment contain a number or symbol that ties the two together. A footnote (or endnote) comment can be placed at the end of a page, document, chapter, section, or book.

S

Single-Sourcing

"Single-Sourcing" is a fancy term that means something very simple—to produce multiple outputs from one source.

Snippet

A pre-set chunk of content that you can use in your project over and over. Snippets are similar to variables, but snippets are used for longer chunks of content that you can format just as you would any other content in your topic. In snippets, you can also insert tables, pictures, and whatever else can be included in a normal topic.

Span

A tag that is used to group inline elements to format them with styles. A span tag doesn't perform any specific action; it simply holds the attributes (e.g., font size, color, font family) that you apply to inline content.

Style

An element that contain pre-set formatting properties. You can apply style classes to your content to change the way it looks. Using style classes instead of direct (or "inline") formatting helps you work faster, more efficiently, and with more consistency in your topics. If you need to make changes to the formatting in the future, you do not need to change the formatting in each topic (as you would with direct formatting). Instead, you only need to change the formatting properties for that style in the appropriate stylesheet.

T

Table

A group of intersecting columns and rows that you can add to a topic for various purposes, such as comparing one thing with another or giving field descriptions for a software dialog.

Target

One "instance" of an output type. When you build your final output, you are essentially building one or more of the targets in your project.

Text snippet

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Topic

A chunk of information about a particular subject. Topics are the most important part of a project. Everything else is contained within topics (e.g., hyperlinks, text, pictures) or points toward topics (e.g., table of contents, index, browse sequences). The very reason end users open a Help system is to find information, a little direction. They find that help within individual topics.

V

Variable

A pre-set term or content that you can use in your project over and over. Variables are similar to snippets, but variables are used for brief, non-formatted pieces of content (such as the name of your company's product or your company's phone number). There are different kinds of variables: (1) those you create, (2) system variables, (3) Heading variables, or (4) Running HF variables for page headers and footers in printed output.

X

XML Editor

The window in the Flare interface where you can add content and formatting to elements such as topics and snippets.

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