

# ftwilliam.com Software: Compliance Testing and Reporting Module



The fully web-based **Compliance Module** helps you manage your plans' testing and reporting with ease, and streamline your census preparation. Have a question? Our average time to answer customers questions during testing season is 1.2 hours!

## Software Highlights

- **New!** Custom Report Writer – customize and easily edit reports on the fly
- **New!** Payroll Data Accumulator – quickly create (in batches!), delete, compare, and push data to census
- **New!** Distribution Processing Features - system computes vested balance and forfeitures, and creates transactions by source and investment account
- Complex/Multi-Tiered Contribution Allocations
- Safe Harbor/Top Heavy and Gateway Minimums
- Self-Employed Calculations
- Balance Forward Accounting/ Participant Statements
- Transaction Import/Export
- Auto Solving for failed Gateway and Rate Group tests
- Workflow management helps you supervise all your compliance tasks: track status of census data, compliance testing, and report preparation
- Extensive Census Data Scrub
- Automatically generate promissory notes and amortization schedules
- Searchable online user guide and Help Center offers 24-hour support
- Cash Balance Administration Options
- QNEC Calculation for correcting ADP/ ACP test failures
- Aggregation of plans for testing
- Calculate Required Minimum Distributions Per Plan or Global
- Integration with the 5500, 8955-SSA, and 1099 software
- Securely transfer census and annual questionnaire via ftwPortal Pro (additional fees apply)
- Edit census and questionnaire online via ftwPortal Pro (additional fees apply)
- Our PensionPro partnership allows the status of your compliance work to flow seamlessly into PensionPro's Workflow software for greater control and efficiencies

## Annual Tests Provided

*(Listed by Internal Revenue Code Section Number)*

- 401(a)(4)**—General Test/ Cross Test
- 402(g)**—Elective Deferral Limitation
- 401(k)/(m)**—ADP and ACP Nondiscrimination Testing
- 410(b)**—Ratio Percentage and Average Benefits Coverage Testing
- 414(q)**—Highly Compensated Employee Determination
- 414(s)**—Nondiscriminatory Compensation Testing
- 415(c)**—Annual Additions Limitation Testing
- 416**—Top-Heavy Rules
- 414(v)**—Catch-Up Contribution Processing
- 404**—Contribution Limit

Visit [ftwilliam.com](http://ftwilliam.com) or call 1-800-596-0714 to learn more.

Below is a screen shot of the Compliance Module 'Tasks Menu'. Each of the tasks is run. The green check mark indicates the test passed; the red X indicates a failure, or for the top heavy test, that the plan is top heavy.

The screenshot shows the 'Compliance Menu' with the following items: Census, Tasks, Transactions, Miscellaneous, Tools/Settings, and Plan Specifications. Below this is the 'Tasks' section for a specific plan, showing a list of tasks with their status (Run) and report availability (Reports).

Task	Run	Reports
Scrub/Eligibility	Run:	Reports:
Allocation	Run:	Reports:
Combined Test	Run:	Reports:
ADP/ACP Test	Run:	Reports:
General Test	Run:	Reports:
Top Heavy Test	Run:	Reports:

Callout boxes provide details for each menu item:

- Compliance Menu - Census:**
  - Upload/download Census data
  - Create/edit census grids
  - Access portal screens
- Compliance Menu - Transactions:**
  - Import financial data from vendor
  - Compare financial data with census data
  - Upload payroll period data
  - Access loan & distribution modules
- Compliance Menu - Miscellaneous:**
  - Export data to ftw 5500 & 1099 modules
  - Calculate RMDs

This section provides a detailed view of the 'Compliance Tasks' list, highlighting specific tasks and their associated actions.

- Scrub/Eligibility:** Calculate initial and continuing eligibility, identify HCEs & key employees
- Allocation:** Calculate employer contributions including top heavy minimums; Compute true-up amounts
- Combined Test:** Perform up to four tests with one click: (410)(b) coverage, 415, deduction limits & compensation testing)
- ADP/ACP Test:** Perform ADP/ACP testing; Calculate refunds including earnings; Estimate QNECs
- General Test:** Perform general testing; Auto-Solves offers alternative allocations to pass Rate Group & Gateway tests

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